Supplier Compliance Certification (Export-Cyber-Telecom)

A response is required for all in order to be marked complete

Legal Entity Name: _____ Cage Code: _____

Please read the following statements, address the appropriate boxes, sign the certification on the last page and return this form to your AAR OEM Supply - NewVac point-of-contact (POC). (* required field)

SECTION I – Export Control Certification:

As a potential customer, supplier or subcontractor to AAR OEM Supply - NewVac, this Supplier Compliance Certification is required to be completed by all suppliers with whom AAR OEM Supply - NewVac conducts business with to ensure AAR OEM Supply - NewVac's suppliers are in compliance with all U.S. government export control regulations, including the U.S. State Department International Traffic in Arms Regulations (ITAR) and the Commerce Department Export Administration Regulations (EAR). Failure to complete this certification may result in loss of related business.

REQUIREMENTS	REPLY
*Is this company or legal entity registered with the Directorate of Defense Trade Controls (DDTC) per ITAR 22 C.F.R. § 122.1? **If YES: Provide copy of cert and record expiration date: _____**	<select>
*Is this company or legal entity a U.S. corporation, business association, partnership, society, trust or any other entity that is incorporated to do business in the U.S.? **If NO: List country of ownership/control _____**	<select>
Has this company implemented a Technology Control Plan or other safeguards to prevent Foreign Persons from having access to export controlled Technical Data, Services, and Hardware unless authorized (license, exemption, etc.) to do so by the U.S. Government?	<select>
Does this company employ, contract with, or consult with any Foreign Person(s) at its U.S. locations?	<select>
*Will any foreign company, affiliates, subsidiaries, facilities or foreign third-party facilities be involved in any way with AAR OEM Supply - NewVac's transactions?	<select>

*A Foreign Person means any natural person who is not a U.S. citizen, or a lawful permanent resident of the U.S. (i.e. U.S. green card holder) and includes any foreign corporation, business association, partnership, trust, society or any other entity or group that is not incorporated or organized to do business in the U.S. as defined by 22.C.F.R.§ 120.16

- This company understands its legal responsibilities under U.S. export control laws and regulations, including ITAR and EAR and certifies that it will not violate any applicable export control laws and regulations.
- This company certifies that it will not provide **Foreign Persons*** access to AAR OEM Supply - NewVac's export-controlled goods, services or technical data, either in the U.S. or abroad without export authorization from the U.S. Government.

- By signing this document, I certify that I am a responsible principal of the company listed above and authorized to legally obligate the company and I am authorized to sign this Supplier Certification on behalf of the company for U.S. Export Compliance.
- I further certify that the information provided on behalf of my company is true and correct and I am responsible for notifying AAR OEM Supply - NewVac of any changes to my company's standing with the U.S. Department of State with regard to export/import compliance and/or debarment.

SECTION II – Cyber Security Validation:

MANDATORY DOD CYBER SECURITY COMPLIANCE SUPPLIER VERIFICATION FORM

All contractors that provide goods and/or services in connection with U.S. Department of Defense (DOD) programs are required by law to comply with Defense Federal Acquisition Regulation Supplement (DFARS) 252.204-7012, which mandates the protection of all Covered Defense Information (CDI) that are "collected, developed, received, transmitted, used, or stored by or on behalf of the contractor in support of the performance" of a DOD contract that contains such clause. This obligation is required to be flowed down to all subcontractors (including commercial items suppliers) at every tier. In addition to protecting controlled technical information, the DFARS clause relies upon the National Archives' Controlled Unclassified Information (CUI) Registry to broadly include (for example) most export controlled data, cost and pricing data, law enforcement information, and personally identifiable information. The DFARS clause also specifically mandates that companies meet the 110 information technology (IT) security standards detailed in the National Institute of Standards and Technology (NIST) Special Publication (SP) 800-171r2, and imposes various prompt reporting obligations in the event of a cyber incident. This Supplier Verification Form is intended to ensure your company's awareness of these mandatory requirements, and to obtain confirmation that your company complies with these obligations. Failure to timely respond to this verification request may result in this company being ineligible for business with AAR OEM Supply - NewVac.

SAFEGUARDING COVERED DEFENSE INFORMATION (CDI) and COVERED UNCLASSIFIED INFORMATION (CUI) AND CYBER INCIDENT REPORTING, Reference FAR 52.204-21, DFAR 252.204-7012 SUPPLIER VERIFICATIONS
(*Check applicable box*) - On behalf of this company. (***A response is required on all 4 questions in order to be marked complete.*)

*1. We have reviewed and understand these DoD requirements, and:

- ☐ Our company has fully implemented the 110 NIST controls, and we comply with all of the DFARS 252.204-7012 obligations, or
- ☐ While our company has not fully implemented the 110 NIST controls, we have a System Security Plan (SSP) and requisite Plans of Action and Milestones (POAM) in place for prompt remediation of any identified gaps with the 110 NIST controls, and we comply with all of the DFARS 252.204-7012 obligations, or
- ☐ Our company is unable to comply with DFARS 252.204-7012, or
- ☐ N/A. Our company only provides commercially available off the shelf (COTS) items to AAR OEM Supply - NewVac

*__2__. Compliance with NIST 800-171 is required by the DFARS 252.204-7012 clause, which is flowed down to suppliers as required. Under the DFARS 252.204-7019 and DFARS 252.204-7020 clauses, AAR OEM Supply - NewVac is prohibited from awarding a subcontract or similar contractual instrument to a supplier that is subject to the implementation of NIST SP 800-171 security requirements in accordance with the DFARS clause 252.204-7012, unless the supplier has completed, within the last 3 years, at least a Basic NIST SP 800-171 DoD Assessment and has a current NIST 800-171 compliance assessment score on file with the Supplier Performance Risk Management Systems (SPRS).

We understand that these DFARS obligations include mandatory flow-downs to our suppliers, and:

☐ Our company has verified that our existing next-tier suppliers (and will do so with any new suppliers) are aware of the DFARS 252.204-7012 obligation and has verified their compliance status, or

☐ Our company has not implemented such a supplier verification process.

*__3__. Our company has documented a Basic (self) NIST SP 800-171 DoD Assessment score in Supplier Performance Risk System (SPRS).

☐ YES

☐ NO

LIST CAGE CODES BELOW for any entity that is performing efforts or delivering goods to AAR OEM Supply - NewVac and indicate “YES” or “NO” for each one as well as the additional information Required

Cage Code	Deliver goods to NewVac?	Date of Assessment	Summary Level Score	Date score of 110 expected to be achieved
	<select>			
	<select>			
	<select>			

*__4__. The supplier has acquired a DoD approved Medium Assurance Certificate as required under DFARS 252.204-7012(c)(3) for incident reporting

☐ YES

☐ NO

REFERENCES

- DFARS Clause: https://www.acq.osd.mil/dpap/dars/dfars/html/current/252204.htm#252.204-7012
- National Archives CUI Registry: http://www.archives.gov/cui/registry/category-lisT
- NIST SP800-171r2 Standards: https://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-171r2.pdf

SECTION III – Covered Telecom Representations:

COVERED TELECOMMUNICATIONS AND COVERED DEFENSE TELECOMMUNICATIONS EQUIPMENT OR SERVICES REPRESENTATIONS

Representation Regarding Certain Telecommunications and Video Surveillance Services or Equipment – FAR 52.204-24 (OCT 2020)

Prohibition on Contracting for Certain Telecommunications and Video Surveillance Services or Equipment – FAR 52.204-25 (AUG 2020)

Covered Telecommunications Equipment or Services-Representation – FAR 52.204-26 (OCT 2020)

*Section 889(a)(1) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (Pub. L.115-232) prohibits any U.S. Government contractor, from providing to the Government any equipment, system, or service that uses covered telecommunications equipment or services, as more specifically described in Federal Acquisition Regulation clause 52.204-25, "Prohibition on Contracting for Certain Telecommunications and Video Surveillance Services or Equipment,"

☐ Supplier or Subcontractor represents that it **does** provide covered telecommunications equipment or services as part of its offered products or services to the Government in the performance of any contract, subcontract, or other contractual instrument.

☐ Supplier or Subcontractor represents that it **does NOT** provide covered telecommunications equipment and services.

*After conducting a reasonable inquiry for purposes of this representation,

☐ Supplier or Subcontractor represents that it **does** use covered telecommunications equipment or services, or any equipment, system, or service that uses covered telecommunications equipment or services.

☐ Supplier or Subcontractor represents that it **does NOT** use covered telecommunications equipment or services, or any equipment, system, or service that uses covered telecommunications equipment or services.

The Supplier shall provide the additional disclosure information required FAR 52.204-24(e)(1) if the Supplier responds "does" above.

AUTHORIZED SUPPLIER or SUBCONTRACTOR POC

As a duly authorized representative of the Company, Company understands that certain goods and data either provided to AAR OEM Supply - NewVac or its subsidiaries or provided by AAR OEM Supply - NewVac to the Company may be subject to U.S. Government acquisition and export control laws and regulations including Defense Federal Acquisition Regulation Supplement (DFARS), Export Administration Regulations (EAR), and International Traffic in Arms Regulations (ITAR). Company understands that providing access to U.S. export-controlled goods, data, or services to non-U.S. persons either in the U.S. or abroad is prohibited without prior written authorization from the U.S. Government and AAR OEM Supply - NewVac. Company further certifies that it will notify AAR OEM Supply - NewVac's export compliance officer Andrea Goodman andrea.goodman@aarcorp.com of any changes to these representations and certification. As a duly authorized representative of the Company, you certify that Company will comply with all statements herein and that all statements herein regarding Company are true:

* Company Legal Entity: _____ *Cage Code: _____
* Parent Company (N/A if not applicable): _____
* State of Incorporation: _____ *Company Website: _____
* Address: _____
* City: _____ * State: _____ * Zip Code: _____ * Country: ____
* Printed Name: _____ * Title: _____
* Phone Number: _____ * Email Address: _____
* Signature Field: _____ * Date: _____