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All firm details must be completed before a proposal can be submitted.

Firm Information

Firm Name *

EIN/Tax ID *

UEI * ?

Optional

D-U-N-S ?

CAGE Code ?

Firm Address

Street *

Apt/Suite

City *

State/Territory *

ZIP+4 * ?

Firm Contact Information

Phone *

Website

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Please read carefully the following certification statements:

- The Federal government relies on the information to determine whether the business is eligible for a Small Business Innovation Research (SBIR) Program award. A similar certification will be used to ensure continued compliance with specific program requirements during the life of the funding agreement. The definitions for the terms used in this certification are set forth in the Small Business Act, SBA regulations (13 C.F.R. Part 121), the SBIR Policy Directive and also any statutory and regulatory provisions referenced in those authorities.
- If the funding agreement officer believes that the business may not meet certain eligibility requirements at the time of award, they are required to file a size protest with the U.S. Small Business Administration (SBA), who will determine eligibility. At that time, SBA will request further clarification and supporting documentation in order to assist in the verification of any of the information provided as part of a protest. If the funding agreement officer believes, after award, that the business is not meeting certain funding agreement requirements, the agency may request further clarification and supporting documentation in order to assist in the verification of any of the information provided.
- Even if correct information has been included in other materials submitted to the Federal government, any action taken with respect to this certification does not affect the Government's right to pursue criminal, civil or administrative remedies for incorrect or incomplete information given in the certification. Each person signing this certification may be prosecuted if they have provided false information.

1. The Awardee business concern meets the ownership and control requirements set forth in 13 CFR 121.702. *

☒ Yes
☐ No

2. If a corporation, all corporate documents (namely: articles of incorporation and any amendments, articles of conversion, by-laws and amendments, shareholder meeting minutes showing director elections, shareholder meeting minutes, all issued stock certificates, stock ledger, buy-sell agreements, stock transfer agreements, voting agreements, and documents relating to stock options, including the right to convert non-voting stock or debentures into voting stock) evidence that it meets the ownership and control requirements set forth in 13 C.F.R. §121.702. *

☒ Yes
☐ N/A

3. If a partnership, the partnership agreement evidences that it meets the ownership and control requirements set forth in 13 C.F.R. §121.702. *

☒ Yes
☐ N/A

4. If a limited liability corporation, the articles of organization and any amendments, and operation agreement and amendments, evidence that it meets the ownership and control requirements set forth in 13 C.F.R. §121.702. *

☒ Yes
☐ N/A

5. The birth certificates, naturalization papers, or passports show that any individuals it relies upon to meet the eligibility requirements are U.S. citizens or permanent resident aliens in the United States. *

☒ Yes
☐ N/A

6. The Awardee business concern has no more than 500 employees, including the employees of its Affiliates. *

☒ Yes
☐ No

6a. The number of employees, including the employees of its affiliates is: *

100

7. SBA has not issued a size determination currently in effect finding that this business concern exceeds the 500 employee size standard. *

☒ True
☐ False

8. The SBIR Awardee has registered itself on SBA's database as majority-owned by venture capital operating companies, including hedge funds or private equity firms. *

☒ Yes
☐ No
☐ N/A

9. It is a Covered Small Business Concern (a small business concern that: (a) was not majority-owned by multiple venture capital operating companies (VCOCs), hedge funds, or private equity firms on the date on which it submitted an application in response to an SBIR solicitation; and (b) on the date of the SBIR award, which is made more than 9 months after the closing date of the solicitation, is majority-owned by multiple venture capital operating companies, hedge funds, or private equity firms). *

☒ Yes
☐ No

10. The firm is owned by a faculty member or a student of an institution of higher education (as defined in 20 U.S.C. section 1001). *

☒ Yes
☐ No

11. The offeror qualifies as a (select all that apply): *

For all definitions, go to <https://www.sba.gov/federal-contracting/contracting-assistance-programs>.

- ☐ Socially and Economically Disadvantaged SBC
☐ HUBZone-owned SBC
☐ Service-Disabled Veteran-owned SBC
☐ Women-owned SBC
☒ Veteran-owned SBC
☐ None Listed

12. Race of the offeror (select all that apply): *

- ☐ American Indian or Alaska Native
☐ Asian
☐ Black or African American
☒ Native Hawaiian or Other Pacific Islander
☐ White
☐ Do not wish to provide

13. Ethnicity of the offeror: *

☒ Hispanic or Latino
☐ Not Hispanic or Latino
☐ Do not wish to provide

14. It is a corporation that has some unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have not been exhausted or have not lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability. *

☐ True
☒ False

15. The corporation was convicted, or had an officer or agent acting on behalf of the corporation convicted, or a felony criminal violation under a Federal law within the preceding 24 months. *

☐ True
☒ False

16. The offeror will not provide covered telecommunications equipment or services to the Government in the performance of any contract, subcontract or other contractual instrument resulting from the solicitation (as per section 2.3.1 FAR 52.204-24 of the solicitation). *

☒ True
☐ False

17. The offeror does not use covered telecommunications equipment or services, or use any equipment, system, or service that uses covered telecommunications equipment or services (as per section 2.3.1 FAR 52.204-24 of this solicitation). *

☒ True
☐ False

18. The offeror does not provide covered telecommunications equipment or services as a part of its offered products or services to the Government in the performance of any contract, subcontract, or other contractual instrument (as per section 2.3.2 FAR 52.204-26). *

☒ True
☐ False

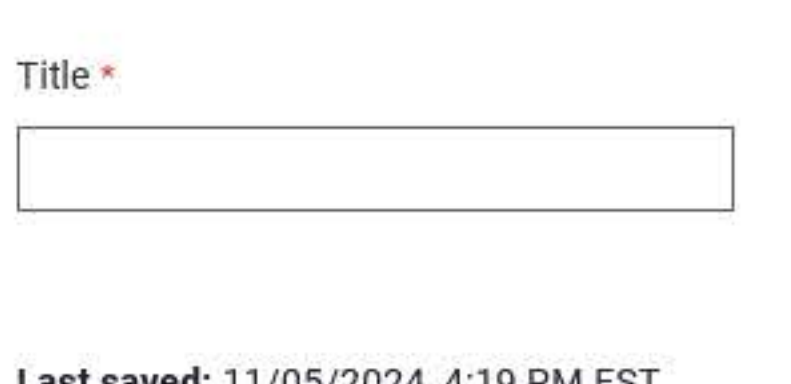
19. Verify that your firm has registered in SBA's Company Registry at www.sbir.gov by providing the SBC Control ID # and including a PDF of the registration confirmation along with your submission files. *

SBC Control ID # *

123456464

Upload registration confirmation PDF. *

You can upload a document more than once, but only the most recent version is saved.



Maximum file size: 10MB

Confirmation of Firm Certifications

☒ I understand that the information submitted may be given to Federal, State and local agencies for determining violations of law and other purposes. *

☒ I am an officer of the business concern authorized to represent it and sign this certification on its behalf. By signing this certification, I am representing on my own behalf, and on behalf of the business concern that the information provided in this certification, the application, and all other information submitted in connection with this application, is true and correct as of the date of this application. I acknowledge that any intentional or negligent misrepresentation of the information contained in this certification may result in criminal, civil or administrative sanctions, including but not limited to: (1) fines, restitution and/or imprisonment under 18 U.S.C. §1001; (2) treble damages and civil penalties under the False Claims Act (31 U.S.C. §3729 et seq.); (3) double damages and civil penalties under the Program Fraud Civil Remedies Act (31 U.S.C. §3801 et seq.); (4) civil recovery of award funds; (5) suspension and/or debarment from all Federal procurement and non-procurement transactions (FAR Subpart 9.4 or 2 C.F.R. part 180); and (6) other administrative penalties including termination of SBIR/STTR awards. *

The undersigned has reviewed, verified and certifies the above information:

Firm Name

Your Name (acts as signature) *

Title *

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Disclosure of Foreign Affiliations

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Relevant Definitions

Covered Individual

The term "covered individual" means an individual who:

- contributes in a substantive, meaningful way to the scientific development or execution of a research and development project proposed to be carried out with a research and development award from a federal research agency and
- is designated as a covered individual by the federal research agency concerned.

Foreign Affiliation

The term "foreign affiliation" means a funded or unfunded academic, professional, or institutional appointment or position with a foreign government or government-owned entity, whether full-time, part-time, or voluntary. This includes appointments or positions deemed adjunct, visiting, or honorary with research institutions located in a foreign country of concern.

Foreign country of concern

The term "foreign country of concern" means the People's Republic of China, the Democratic People's Republic of Korea, the Russian Federation, the Islamic Republic of Iran, or any other country determined to be a country of concern by the Secretary of State.

Malign foreign talent recruitment program

The term "malign foreign talent recruitment program" has the meaning given such term in section 19237 of title 42.

Federally funded award

The term "federally funded award" means a Phase I, Phase II (including a Phase II award under subsection (cc)), or Phase III SBIR or STTR award made using a funding agreement.

1. Is any owner or covered individual of the applicant or awardee party to any malign foreign talent recruitment program? *

- ☐ Yes
- ☒ No

2. Is there a parent company, joint venture, or subsidiary, of the applicant or awardee that is based in, or receives funding from, any foreign country of concern? *

- ☐ Yes
- ☒ No

3. Does the applicant or awardee have any current or pending contractual or financial obligation or other agreement specific to a business arrangement, or joint venture-like arrangement with an enterprise owned by a foreign state or any foreign entity? *

- ☐ Yes
- ☒ No

4. Is the applicant or awardee wholly owned in a foreign country? *

- ☐ Yes
- ☒ No

5. Does the applicant or awardee have any venture capital or institutional investment? *

- ☐ Yes
- ☒ No
- ☐ Unable to determine

6. During the previous 5-year period, did the applicant or awardee have any technology licensing or intellectual property sales or transfers, to a foreign country of concern? *

- ☐ Yes
- ☒ No

7. Is there any foreign business entity, offshore entity, or entity outside the United States related to the applicant or awardee? *

- ☐ Yes
- ☒ No

8. Does the applicant or awardee have an owner, officer, or covered individual that has a foreign affiliation with a research institution located in a foreign country of concern? *

- ☐ Yes
- ☒ No

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All required fields must be completed before this form can be submitted.

Has a Federal agency ever audited your accounting system? *



Yes



No

Additional Information

Agency Name *

Agency Location

Street *

Apt/Suite

City *

State/Territory *

ZIP+4 * ?

Agency Contact

First Name *

Last Name *

Email *

Phone *

Was your accounting system approved by the auditing agency? *



Yes



No

Was a rate agreement negotiated with the auditing agency? *



Yes



No

Was an overhead and/or cost audit performed? *



Yes



No

Are the rates from the audit agreement used for this firm's proposal? *



Yes



No

If a Federal agency has ever audited your account system, please upload a copy of the audit information as a PDF document. *

You can upload a document more than once, but only the most recent version is saved.



Drag file or [choose from folder](#)

Maximum file size: 10MB

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Adding Your Firm's Prior Awards

The Prior Awards Addendum captures information on your small business's prior Phase I and II awards. If your small business has received **more than 15 SBIR or STTR Phase II awards** in the previous five fiscal years, you are required to provide information for each of those Phase II awards in the form below.

Does your firm have prior awards to report? *



Yes



No

Add prior awards. You may add multiple awards at a time.

+Add

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Prior Awards Addendum

Firm Name:

Add Firm's Prior Awards

Proposal Title *

Topic and/or subtopic to which the proposal was submitted:

Agency Name *

Program *

☐ SBIR

☐ STTR

Phase *

☐ Phase I

☐ Phase II

Award Date *

Month	Day	Year
<input type="text" value="MM"/>	<input type="text" value="DD"/>	<input type="text" value="YYYY"/>

Funding Agreement/Contract # *

[+ Add Another](#)

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Please complete a Company Commercialization Report, or update an existing report if applicable, via [sbir.gov](#) (The report is available in the "My Dashboard" section of your company's sbir.gov profile.)

Completed reports must be uploaded as a PDF.

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