



Guidance on Completion of Attachment A Form for U.S. Prime Contractors

This document outlines how to fill out ownership information on the **U.S. Firm Information Form** and the **U.S. Firm Form – Attachment A** for an activity with the U.S. Trade and Development Agency (USTDA), using a theoretical **Prime Contractor** as well as its parent entities as an illustrative example. Information in these forms are used to conduct screening of entities and individuals to confirm that potential partners meet USTDA’s requirements, and to ensure compliance with legislative and executive branch prohibitions on providing support or resources to, or engaging in transactions with, certain individuals or entities. This document includes:

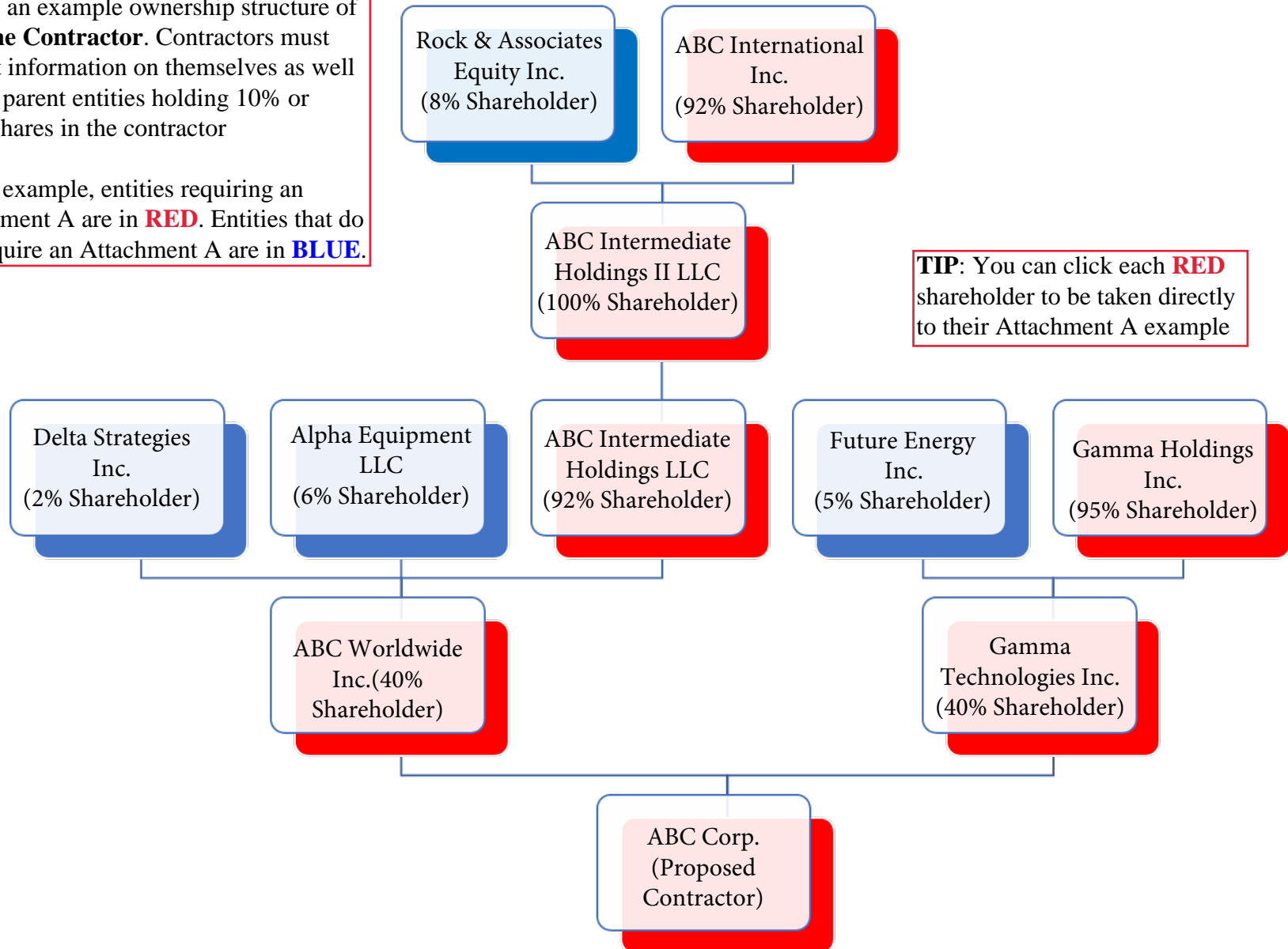
- **An organization chart of the Prime Contractor** (USTDA encourages contractors to submit an organization chart if they have a complex ownership structure)
- **An example U.S. Firm Information Form**
- **Six example U.S. Firm Attachment A Forms based on the organization chart**

The example forms have been filled out only in the sections that pertain to the ownership structure of the **Prime Contractor**. Please note, however, that contractors are required to complete all sections of the U.S. Firm Information Form and the U.S. Firm Form - Attachment A

- **U.S. Firm Information Form:** This form contains information on the Prime Contractor, including (without limitation) in relation to its principal officers and directors, and its ownership information.
- **U.S. Firm Form - Attachment A:** This form contains information on a parent entity that holds a direct or indirect ownership interest in the Contractor. This form is required for any parent entity (also referenced as an upstream owner) that holds a 10% or greater interest in the Contractor (such an entity is referred to as an “Owner”). This form is also required for any parent entity that holds a 10% or greater interest in any Owner, and so forth up the ownership chain for any parent entity that holds a 10% or greater interest in any indirect Owner up the chain. This form is not required for individual people who hold an ownership interest in the Contractor or any (direct or indirect) Owner.

This is an example ownership structure of a **Prime Contractor**. Contractors must submit information on themselves as well as any parent entities holding 10% or more shares in the contractor

In this example, entities requiring an Attachment A are in **RED**. Entities that do not require an Attachment A are in **BLUE**.



All sections of the form must be filled out. This example form is to be used strictly as guidance for filling out ownership-specific sections.

USTDA-funded Feasibility Study, Technical Assistance, or Training Grant

U.S. Prime Contractor Form

This form is designed to enable the U.S. Trade and Development Agency ("USTDA") to obtain information about entities and individuals proposed for participation in USTDA-funded activities. Information in this form is used to conduct screening of entities and individuals to confirm that potential partners meet USTDA's requirements, and to ensure compliance with legislative and executive branch prohibitions on providing support or resources to, or engaging in transactions with, certain individuals or entities.

USTDA Activity Number [To be completed by USTDA]					
Activity Type [To be completed by USTDA]		Feasibility Study		Technical Assistance	Other (specify)
Activity Title [To be completed by USTDA]					
1. Full Legal Name of U.S. Prime Contractor (as stated in articles of incorporation or equivalent legal document)					
2. U.S. Prime Contractor Business Address					
3a. U.S. Prime Contractor Telephone					
3b. U.S. Prime Contractor Website					
4. Year U.S. Prime Contractor Established (include any predecessor company(ies) and year(s) established). Please attach additional pages as necessary.					
5. Type of Business Entity (e.g., corporation, LLC, Partnership, Sole Proprietor, Other)					
6. Type of Ownership		Publicly Traded Company (i.e., off-exchange and is subject to SEC rep			General public through a U.S. stock
		Private Company (including subs			panies)
		Other (specify)			
7. If the U.S. Prime Contractor is not a publicly traded company and has owners (e.g., shareholder, partner, parent company), provide a list of such owners and the percentage of their ownership. Please complete an Attachment A for each parent company whose ownership percentage is 10% or more. Attachment A does not need to be completed for individual people who own shares of the U.S. Prime Contractor, even though such individuals must be listed here. <u>The sum of the percentages listed here must equal 100%.</u>	Name of Owner				Percentage (%) Ownership (Column total must equal 100%)
If available, please attach corporate organization chart that includes the corporate relationships listed here.					
8. Is the U.S. Prime Contractor proposing to subcontract some of the proposed work to another firm?	Yes		No		
9. Please list the legal names of the proposed subcontractors (if applicable). An Attachment B is required for each proposed subcontractor.					
U.S. Prime Contractor Project Manager (Point of Contact for USTDA)					
10. Full Legal Name (First, Middle, Last)					
11. Business Address					
12. Telephone					
13. Email					
U.S. Prime Contractor may attach additional sheets, as necessary.					

The ownership percentage must always equal 100%

Both of ABC Corp.'s immediate parent entities hold more than 10% shares in the company. Both companies require an Attachment A.

All sections of the form must be filled out. This example form is to be used strictly as guidance for filling out ownership-specific sections.



ATTACHMENT A

USTDA-Funded Feasibility Study, Technical Assistance, or Training Grant

U.S. Prime Contractor Ownership Information Form: Parent Entity(ies)

This form shall be completed for each parent entity that owns 10% or more of the U.S. Prime Contractor ("Owner"). An additional copy of this form shall be completed for each parent company identified in this form that owns 10% or more in the Owner, as identified in this form. This form does not need to be completed for individual people who own shares of the U.S. Prime Contractor or the Owner.

USTDA Activity Number [To be completed by USTDA]			
Activity Title [To be completed by USTDA]			
1. Full Legal Name of U.S. Prime Contractor			
2. Full Legal Name of Owner (as stated in articles of incorporation or equivalent legal document)			
3. Business Address of Owner			
4. Owner Telephone Number			
5. Owner Website			
6. Year Owner Established (include any predecessor company(ies) and year(s) established). Please attach additional pages as necessary.			
7. Country of Owner's Principal Place of Business			
8. Type of Entity	Publicly Traded Company (i.e., offers securities for sale to the public on a stock exchange)	Principal stock ownership percentage(specify):	
	Private Company		
	Other (specify)		
9. Provide a list of Owner's upstream owners (e.g., shareholder, partner, parent company) and the percentage of their ownership. Please complete an Attachment A for each parent company whose ownership percentage is 10% or more. Attachment A does not need to be completed for individual people who own shares of the Owner, though such individuals must be listed here. <u>The sum of the percentages listed here must equal 100%.</u>	Name of Owner		Percentage (%) Ownership (Column total must equal 100%)

Sec. 1 will always be the name of the **Prime Contractor** doing business with USTDA. ABC Corp. will be in Sec. 1 of all Attachment As.

Sec. 2 should always contain the name of the parent entity the Attachment A is for. This Attachment A is for Gamma Technologies Inc.

The ownership percentage must always equal 100%

Gamma Holdings Inc. is the only entity which holds 10% or more shares in Gamma Technologies Inc. An Attachment A is required for Gamma Holdings Inc. An Attachment A is **NOT NEEDED** for Future Energy Inc.

Please attach additional sheets, as necessary.

All sections of the form must be filled out. This example form is to be used strictly as guidance for filling out ownership-specific sections.



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USTDA Activity Number [To be completed by USTDA]

Activity Title [To be completed by USTDA]

Sec. 1 will always be the name of the **Prime Contractor** doing business with USTDA. ABC Corp. will be in Sec. 1 of all Attachment As.

1. Full Legal Name of U.S. Prime Contractor

2. Full Legal Name of Owner (as stated in articles of incorporation or equivalent legal document)

3. Business Address of Owner

4. Owner Telephone Number

5. Owner Website

6. Year Owner Established (include any predecessor company(ies) and year(s) established). Please attach additional pages as necessary.

Sec. 2 should always contain the name of the parent entity the Attachment A is for. This Attachment A is for Gamma Holdings Inc.

7. Country of Owner's Principal Place of Business

8. Type of Entity

Publicly Traded Company
(i.e., offers securities for sale to the stock exchange)

Principal stock
(specify):

Private Company

Other (specify)

The ownership percentage must always equal 100%

9. Provide a list of Owner's upstream owners (e.g., shareholder, partner, parent company) and the percentage of their ownership. Please complete an **Attachment A** for each parent company whose ownership percentage is 10% or more.

Attachment A does not need to be completed for individual people who own shares of the Owner, though such individuals must be listed here. ~~The sum of the percentages listed here must equal 100%.~~

If an entity has multiple individual shareholders who hold few shares in the entity, you may combine the individuals' shares as referenced in the example.

All the shareholders of Gamma Holdings Inc. are individuals. Attachment As are **NOT NEEDED** for individuals.

Please attach additional sheets, as necessary.

All sections of the form must be filled out. This example form is to be used strictly as guidance for filling out ownership-specific sections.






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U.S. Prime Contractor Ownership Information Form: Parent Entity(ies)

This form shall be completed for each parent entity that owns 10% or more of the U.S. Prime Contractor ("Owner"). An additional copy of this form shall be completed for each parent company identified in this form that owns 10% or more in the Owner, as identified in this form. This form does not need to be completed for individual people who own shares of the U.S. Prime Contractor or the Owner.

USTDA Activity Number [To be completed by USTDA]	<div>  <div> <p>Sec. 1 will always be the name of the Prime Contractor doing business with USTDA. ABC Corp. will be in Sec. 1 of all Attachment As.</p> </div> </div>		
Activity Title [To be completed by USTDA]			
1. Full Legal Name of U.S. Prime Contractor			
2. Full Legal Name of Owner (as stated in articles of incorporation or equivalent legal document)			
3. Business Address of Owner			
4. Owner Telephone Number			
5. Owner Website			
6. Year Owner Established (include any predecessor company(ies) and year(s) established). Please attach additional pages as necessary.	<div>  <div> <p>Sec. 2 should always contain the name of the parent entity the Attachment A is for. This Attachment A is for ABC Worldwide Inc.</p> </div> </div>		
7. Country of Owner's Principal Place of Business			
8. Type of Entity	Publicly Traded Company <small>(i.e., offers securities for sale to stock exchange)</small>	Principal stock ownership percentage (specify):	
	Private Company		
	Other (specify)		
9. Provide a list of Owner's upstream owners (e.g., shareholder, partner, parent company) and the percentage of their ownership. Please complete an Attachment A for each parent company whose ownership percentage is 10% or more. Attachment A does not need to be completed for individual people who own shares of the Owner, though such individuals must be listed here. <u>The sum of the percentages listed here must equal 100%.</u>	Name of Owner		Percentage (%) Ownership (Column total must equal 100%)
<div>  <div> <p>ABC Intermediate Holdings LLC is the only entity which holds 10% or more shares in ABC Worldwide Inc. An Attachment A is required for ABC Intermediate Holdings LLC. An Attachment A is NOT NEEDED for Delta Strategies Inc. or Alpha Equipment LLC.</p> </div> </div>			

Please attach additional sheets, as necessary.

All sections of the form must be filled out. This example form is to be used strictly as guidance for filling out ownership-specific sections.



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U.S. Prime Contractor Ownership Information Form: Parent Entity(ies)

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USTDA Activity Number [To be completed by USTDA]

Activity Title [To be completed by USTDA]

Sec. 1 will always be the name of the **Prime Contractor** doing business with USTDA. ABC Corp. will be in Sec. 1 of all Attachment As.

1. Full Legal Name of U.S. Prime Contractor

2. Full Legal Name of Owner (as stated in articles of incorporation or equivalent legal document)

3. Business Address of Owner

4. Owner Telephone Number

5. Owner Website

6. Year Owner Established (include any predecessor company(ies) and year(s) established). Please attach additional pages as necessary.

7. Country of Owner's Principal Place of Business

8. Type of Entity

Publicly Traded Company
(i.e., offers securities for sale to the general public through a stock exchange)

Principal stock exchange(specify):

Private Company

Other (specify)

The ownership percentage must always equal 100%

9. Provide a list of Owner's upstream owners (e.g., shareholder, partner, parent company) and the percentage of their ownership. Please complete an **Attachment A** for each parent company whose ownership percentage is 10% or more.

Attachment A does not need to be completed for individual people who own shares of the Owner, though such individuals must be listed here. The sum of the percentages listed here must equal 100%.

Name of Owner

Percentage (%) Ownership
(Column total must equal 100%)

ABC Intermediate Holdings II LLC holds 10% or more shares in ABC Intermediate Holdings LLC. An Attachment A is required for ABC Intermediate Holdings II LLC.

Please attach additional sheets, as necessary.

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USTDA Activity Number [To be completed by USTDA]

Activity Title [To be completed by USTDA]

Sec. 1 will always be the name of the **Prime Contractor** doing business with USTDA. ABC Corp. will be in Sec. 1 of all Attachment As.

1. Full Legal Name of U.S. Prime Contractor

2. Full Legal Name of Owner (as stated in articles of incorporation or equivalent legal document)

3. Business Address of Owner

4. Owner Telephone Number

5. Owner Website

6. Year Owner Established (include any predecessor company(ies) and year(s) established). Please attach additional pages as necessary.

7. Country of Owner's Principal Place of Business

8. Type of Entity

Publicly Traded Company
(i.e., offers securities for sale to stock exchange)

Private Company

Other (specify)

Principal stock
ownership(s) (specify):

The ownership percentage must always equal 100%

9. Provide a list of Owner's upstream owners (e.g., shareholder, partner, parent company) and the percentage of their ownership. Please complete an **Attachment A** for each parent company whose ownership percentage is 10% or more.

Attachment A does not need to be completed for individual people who own shares of the Owner, though such individuals must be listed here. The sum of the percentages listed here must equal 100%.

Name of Owner

Percentage (%) Ownership
(Column total must equal 100%)

ABC International Inc. is the only entity which holds 10% or more shares in ABC intermediate Holdings II LLC. An Attachment A is required for ABC International Inc.. An Attachment A is **NOT NEEDED** for Rock & Associates Equity Inc.

Please attach additional sheets, as necessary.

All sections of the form must be filled out. This example form is to be used strictly as guidance for filling out ownership-specific sections.



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USTDA Activity Number [To be completed by USTDA]

Activity Title [To be completed by USTDA]

Sec. 1 will always be the name of the **Prime Contractor** doing business with USTDA. ABC Corp. will be in Sec. 1 of all Attachment As.

1. Full Legal Name of U.S. Prime Contractor

2. Full Legal Name of Owner (as stated in articles of incorporation or equivalent legal document)

3. Business Address of Owner

4. Owner Telephone Number

5. Owner Website

6. Year Owner Established (include any predecessor company(ies) and year(s) established). Please attach additional pages as necessary.

7. Country of Owner's Principal Place of Business

Sec. 2 should always contain the name of the parent entity the Attachment A is for. This Attachment A is for ABC International Inc.

8. Type of Entity

Publicly Traded Company
(i.e., offers securities for sale to the general public through a stock exchange)

Principal stock exchange(specify):

Private Company

Other (specify)

9. Provide a list of Owner's upstream owners (e.g., shareholder, partner, parent company) and the percentage of their ownership. Please complete an **Attachment A** for each parent company whose ownership percentage is 10% or more.

Name of Owner

Percentage (%) Ownership
(Column total must equal 100%)

Attachment A does not need to be completed for individual people who own shares of the Owner, though such individuals must be listed here. The sum of the percentages listed here must equal 100%.

As indicated in Sec. 8 above, ABC International Inc. is a U.S. publicly-traded company. No ownership information is needed and no further Attachment As are required.

Please attach additional sheets, as necessary.