



## Guidance on Completion of Attachment A Form for Private Sector Grantees

This document outlines how to fill out ownership information on the **Private Sector Grantee Information Form** and the **Private Sector Grantee Information Form – Attachment A** for an activity with the U.S. Trade and Development Agency (USTDA), using a theoretical **Private Sector Grantee** 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 Private Sector Grantee** (USTDA encourages grantees to submit an organization chart if they have a complex ownership structure)
- **An example Private Sector Grantee Information Form**
- **Six example Private Sector Grantee Attachment A Forms based on the organization chart**

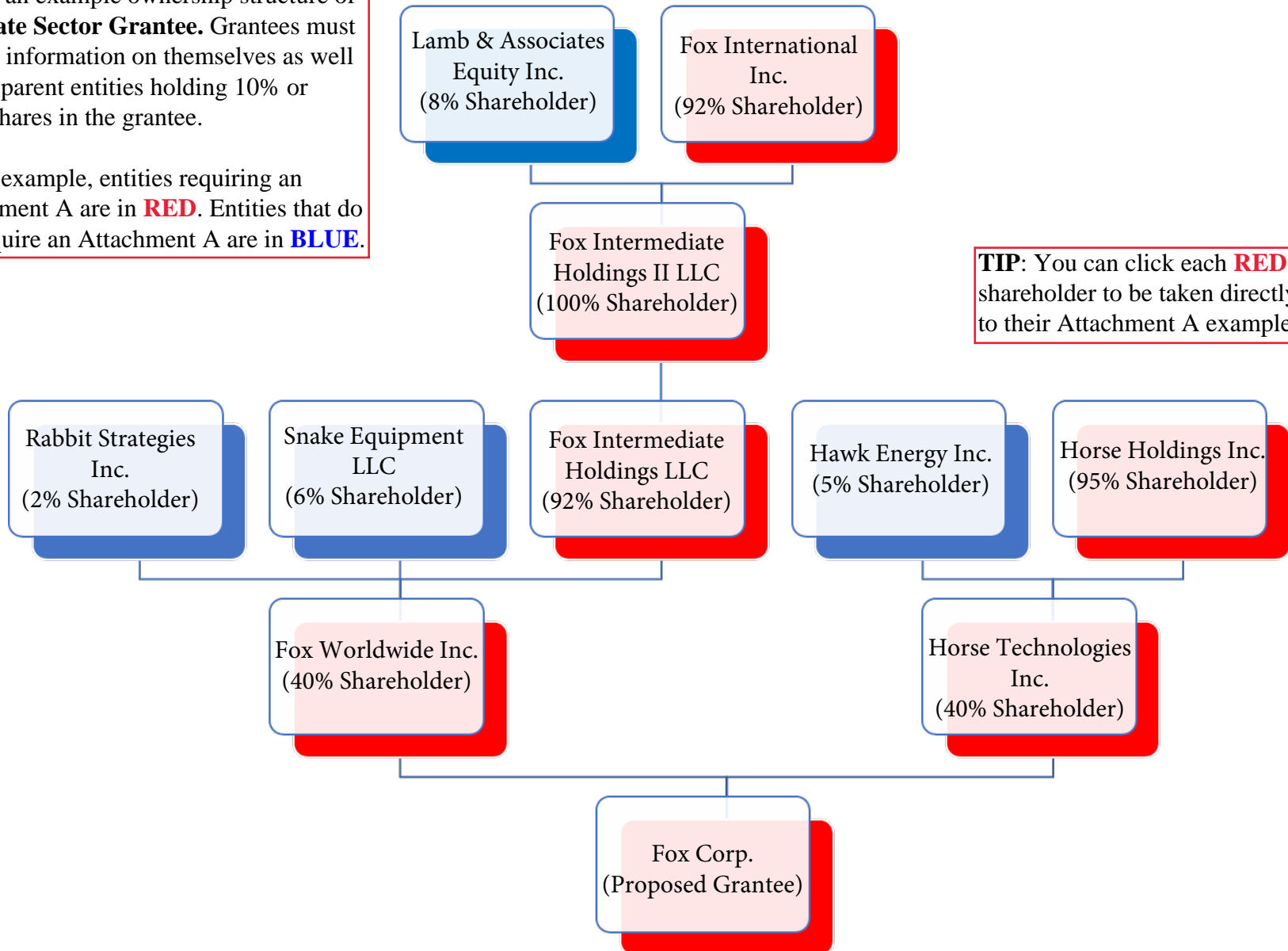
The example forms have been filled out only in the sections that pertain to the ownership structure of the **Private Sector Grantee**. Please note, however, that grantees and contractors are required to complete all sections of the Private Sector Grantee Information Form and the Private Sector Grantee Information Form – Attachment A.

- **Private Sector Grantee Information Form:** This form contains information on the Grantee, including (without limitation) in relation to its principal officers and directors, and its ownership information.
- **Private Sector Grantee Information Form – Attachment A:** This form contains information on a parent entity that holds a direct or indirect ownership interest in the Grantee. This form is required for any parent entity (also referenced as an upstream owner) that holds a 10% or greater interest in the Grantee (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 Grantee or any (direct or indirect) Owner.

This is an example ownership structure of a **Private Sector Grantee**. Grantees must submit information on themselves as well as any parent entities holding 10% or more shares in the grantee.

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

**TIP:** You can click each **RED** shareholder to be taken directly to their Attachment A example.



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

### Private Sector Grantee Information 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 Grantee (as stated in articles of incorporation or other legal documents)					
2. Grantee Business Address					
3a. Grantee Telephone					
3b. Grantee Website					
4. Year Grantee Established (Include any predecessor company(ies) and year(s) established. Please attach additional pages as necessary.)					
5. Country of Grantee's Principal Place of Business					
6. Type of Business Entity (e.g., corporation, LLC, LP, SA, JSC, partnership, etc.)					
7. Type of Ownership		Publicly Traded Company (i.e., offers securities for sale to general public through a stock exchange)			
		Private Company			
		Other (specify)			
8. If Grantee has owners (e.g., shareholder, partner, parent company), provide a list of such owners and the percentage of their ownership. Please complete an <b>Attachment A</b> 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 Grantee, though such individuals must be listed here. <u>The sum of the percentages listed here must equal 100%.</u>  If available, please attach a <b>corporate organization chart</b> that includes the corporate relationships listed here.	Name of Owner			Percentage (%) Ownership (Column total must equal 100%)	
<b>Project Manager (Point of Contact)</b>					
9. Full Legal Name (First, Middle, Last/Family)					
10. Family Name or Last Name					
11. Business Address					
12. Telephone					
13. Email					

Grantee may attach additional sheets, as necessary.

The ownership percentage must always equal 100%

Both of Fox 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.



U.S. TRADE AND DEVELOPMENT AGENCY

## ATTACHMENT A

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

### Private Sector Grantee Ownership Information Form:

**Parent Entity(ies)**

This form shall be completed for each parent entity that owns 10% or more of the Grantee ("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 Grantee or Sec. 1 will always be the name of the

USTDA Activity Number [To be completed by USTDA]

Activity Title [To be completed by USTDA]

1. Full Legal Name of Grantee

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

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 Operation or Principal Place of Business

## 8. Type of Entity

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

Private Company

Other (specify)

Principal Stock  
age (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 additional **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%)

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



## ATTACHMENT A

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

#### Private Sector Grantee Ownership Information Form:

#### Parent Entity(ies)

This form shall be completed for each parent entity that owns 10% or more of the Grantee ("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 Grantee.

USTDA Activity Number [To be completed by USTDA]

Activity Title [To be completed by USTDA]

1. Full Legal Name of Grantee

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

3. Business Address of Owner

4. Owner Telephone Number

5. Owner Website

6. Year Owner Established (if company(ies) and year(s) established additional pages as necessary.)

7. Country of Owner's Operation 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):

IDX

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 additional **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,

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

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

Sec. 1 will always be the name of the **Private Sector Grantee** doing business with USTDA. Fox 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 Horse Holdings Inc.

The ownership percentage must always equal 100%

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.



## ATTACHMENT A

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

#### Private Sector Grantee Ownership Information Form:

#### Parent Entity(ies)

This form shall be completed for each parent entity that owns 10% or more of the Grantee ("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 Grantee.

Sec. 1 will always be the name of the Private Sector Grantee doing business with USTDA. Fox Corp. will be in Sec. 1 of all Attachment As.

USTDA Activity Number [To be completed by USTDA]

Activity Title [To be completed by USTDA]

1. Full Legal Name of Grantee

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

3. Business Address of Owner

4. Owner Telephone Number

5. Owner Website

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

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

7. Country of Owner's Operation or Principal Place of Business

8. Type of Entity

Publicly Traded Company  
(i.e., offers securities for sale through a 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 additional **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%.

Fox Intermediate Holdings LLC is the only entity which holds 10% or more shares in Fox Worldwide Inc. An Attachment A is required for Fox Intermediate Holdings LLC. An Attachment A is **NOT NEEDED** for Rabbit Strategies Inc. or Snake Equipment LLC.

Please attach

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

#### Private Sector Grantee Ownership Information Form:

#### Parent Entity(ies)

This form shall be completed for each parent entity that owns 10% or more of the Grantee ("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 Grantee.

USTDA Activity Number [To be completed by USTDA]

Activity Title [To be completed by USTDA]

1. Full Legal Name of Grantee

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

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 Operation or Principal Place of Business

8. Type of Entity

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

Private Company

Other (specify)

Principal Stock  
Ownership (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 additional **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%)

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

Please attach additional sheets, as necessary.

Sec. 1 will always be the name of the **Private Sector Grantee** doing business with USTDA. Fox 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 Fox Intermediate Holdings LLC.

The ownership percentage must always equal 100%

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

#### Private Sector Grantee Ownership Information Form:

#### Parent Entity(ies)

This form shall be completed for each parent entity that owns 10% or more of the Grantee ("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 Grantee.

USTDA Activity Number [To be completed by USTDA]

Activity Title [To be completed by USTDA]

1. Full Legal Name of Grantee

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

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 Operation or Principal Place of Business

8. Type of Entity

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

Private Company

Other (specify)

Principal Stockholder (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 additional **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%.

Please

Sec. 1 will always be the name of the **Private Sector Grantee** doing business with USTDA. Fox 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 Fox Intermediate Holdings II LLC.

The ownership percentage must always equal 100%

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



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**

**Private Sector Grantee Ownership Information Form:**

**Parent Entity(ies)**

This form shall be completed for each parent entity that owns 10% or more of the Grantee ("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 Grantee.

USTDA Activity Number [To be completed by USTDA]

Activity Title [To be completed by USTDA]

1. Full Legal Name of Grantee

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

3. Business Address of Owner

4. Owner Telephone Number

5. Owner Website

6. Year Owner Established (include company(ies) and year(s) established on additional pages as necessary).

7. Country of Owner's Operation or 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):

IDX

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 additional **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%.

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 Fox International Inc. are individuals. Attachment As are **NOT NEEDED** for individuals.

Sec. 1 will always be the name of the **Private Sector Grantee** doing business with USTDA. Fox 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 Fox International Inc.

The ownership percentage must always equal 100%

Please attach additional sheets, as necessary.