

Battelle

The Business of Innovation

**Battelle Memorial Institute
505 King Avenue, Columbus, Ohio 43201-2693**

**SUPPLIER INFORMATION & CLASSIFICATION
FORM E**

Signature of Officer or Employee Responsible for the Offeror	Date of Execution (mm/dd/yyyy)
Name	Legal Name of Offeror's Organization
Title	Street Address
Contact Phone No. (xxx-xxx-xxxx)	City, State, and Postal Code (xxxxx-xxxx)
Fax No. (xxx-xxx-xxxx)	E-mail Address

1. TAXPAYER IDENTIFICATION

(a) Definitions

"Common parent" means the corporate entity that owns or controls an affiliated group of corporations that files its Federal income tax returns on a consolidated basis, and of which the offeror is a member.

"Corporate status" means a designation as to whether the offeror is a corporate entity, an unincorporated entity (e.g., sole proprietorship or partnership), or a corporation providing medical and health care services.

"Taxpayer Identification Number (TIN)" means the number required by the Internal Revenue Service (IRS) to be used by the offeror in reporting income tax and other returns. The TIN may be either a Social Security Number or Employer Identification Number.

(b) All offerors are required to submit the information required in paragraphs (d) and (e) of this solicitation provision in order to comply with reporting requirements of 26 U.S.C. 6041, 6041A, and 6050M and implementing regulations issued by the IRS. If the resulting contract is subject to reporting requirements described in FAR 4.9, the failure or refusal by the offeror to furnish the information may result in a 30 percent reduction of payments otherwise due under the contract. (Backup withholdings will be 29% after December 31, 2003; 28% after December 31, 2005).

(c) Sections (d), (e), and (f) replaces in part the Internal Revenue Service W-9 form and complies with FAR 52.204-3 (Oct 1998).

(d) TAXPAYER IDENTIFICATION NUMBER (TIN)

Social Security Number (SSN) _____ OR Employer Identification Number (EIN) _____
(xxx-xx-xxxx) (xx-xxxxxxx)

Name: _____
(Name must match exactly the SSN or EIN name provided to the IRS)

"DBA Name": _____
(Business or "DBA" name, if different from above)

- TIN was applied for.
- For a nonresident alien, foreign corporation, or foreign partnership that performs any portion of the services in the United States, please complete and attach either the appropriate IRS Form W-8 or IRS Form 8233 (for nonresident alien individuals). These forms and instructions can be obtained from the Internal Revenue Service at www.irs.gov or 1-800-829-3676. Residents of a tax treaty country may download the tax treaty at www.irs.gov/prod/ind_infor/treaties.html.
- TIN is not required because:
 - Offeror is a nonresident alien, foreign corporation, or foreign partnership that does not have income effectively connected with the conduct of a trade or business in the US and does not have an office or place of business or a fiscal paying agency in the US (All services will be performed outside the United States).
 - Offeror is an agency or instrumentality of a foreign government.
 - Offeror is an agency or instrumentality of a Federal, state, or local government.
 - Other: State basis _____

(e) BUSINESS ORGANIZATION INFORMATION

(1) Provide a Dun and Bradstreet (DUNS) Number.
DUNS Number (xxxxxxxx) _____

To obtain a DUNS Number, go to <http://dnb.com/us>.

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(2) Provide North American Industrial Classification System (NAICS) Code(s). _____. (2) Other Codes _____.
To find applicable NAICS Codes, see https://eweb1.sba.gov/naics/dsp_naicssearch2.cfm. (Offeror's NAICS classification must match business type and size classification listed in (2) (a)). For assistance, contact the Battelle Office of Supplier Diversity at 614-424-4900.

(f) TYPE OF ORGANIZATION

- | | |
|---|---|
| <input type="checkbox"/> Individual / Sole proprietorship | <input type="checkbox"/> Partnership (including LLP) |
| <input type="checkbox"/> Corporate entity (not tax-exempt) in State of ____ | <input type="checkbox"/> Limited Liability Company (LLC) (select Single or Multi): |
| <input type="checkbox"/> Corporate entity (tax-exempt) in State of ____ | <input type="checkbox"/> Single-Owner LLC |
| <input type="checkbox"/> Government entity (Federal, state, or local) | <input type="checkbox"/> Multi-Owner LLC, TAXED as <input type="checkbox"/> Partnership or <input type="checkbox"/> Corporation |
| <input type="checkbox"/> Foreign government | <input type="checkbox"/> International organization per 26 CFR 1.6049-4 |
| <input type="checkbox"/> Non-profit organization / educational institution | <input type="checkbox"/> Other _____ |

(g) COMMON PARENT

- Offeror is **not** owned or controlled by a common parent as defined in paragraph (a) of this clause
 Offeror is owned or controlled by a common parent as defined in paragraph (a) of this clause
- Name of Common Parent: _____ TIN: _____

2. TYPE AND SIZE OF BUSINESS ORGANIZATION

(a) IS OFFEROR:

- LARGE BUSINESS (IF YOU ARE A LARGE BUSINESS – STOP)**
- SMALL BUSINESS (IF YOU ARE A SMALL BUSINESS – COMPLETE 2 (B) STATE & LOCAL OR 2 (C) FEDERAL)**

To identify the appropriate small business size standard, visit https://eweb1.sba.gov/naics/dsp_naicssearch2.cfm and enter offeror primary NAICS Code to determine small business status according to US SBA guidelines.

(b) The following classifications relate to State and Local descriptions. (CHECK ALL THAT APPLY)

- WOMAN- BUSINESS ENTERPRISE (WBE)**
Business that is not less than 51% owned by one or more women; or in the case of any publicly owned business, not less than 51% of the stock must be owned by one or more women, and whose management and daily operations are controlled by one or more women. <http://www.onlinewbc.gov/>
- MINORITY BUSINESS ENTERPRISE (MBE)**
A business, regardless of size, which is owned, operated and controlled by minority group members. "Minority group members" are United States citizens who are African-American, Hispanic, Native American, or Asian. Ownership by minority individuals means the business is not less than 51% owned by one or more such individuals or, in the case of a publicly owned business, not less than 51% of the stock. Further, those minority group members control the management and daily operations of the business.
- DISADVANTAGED BUSINESS ENTERPRISE (DBE)**
An offeror that represents, as part of its offer, that it is a small business under the size standard applicable to the acquisition; and either: it has received certification by the Small Business Administration as a small disadvantaged business concern consistent with 13 CFR part 124, subpart B, and: no material change in disadvantaged ownership and control has occurred since its certification; where the concern is owned by one or more disadvantaged individuals, the net worth of each individual upon whom the certification is based does not exceed \$750,000 after taking into account the applicable exclusions set forth at 13 CFR 124.104(c)(2); and it is identified, on the date of its representation, as a certified small business concern in the Central Contractor Registration (CCR) database.
- VETERAN- BUSINESS ENTERPRISE (VBE)**
A business that is not less than 51% owned by one or more veterans (as defined at 38 U.S.C. 101(2)) or, in the case of any publicly owned business, not less than 51% of the stock of which is owned by one or more veterans; and the management and daily business operations of which are controlled by one or more veterans. <http://www.sba.gov/vets/>

(c) The following classifications relate to Federal descriptions. (CHECK ALL THAT APPLY)

- SMALL DISADVANTAGED BUSINESS (SDB) ***
- A firm that is at least 51 percent owned and controlled by one or more socially and economically disadvantaged individual(s); or, in the case of any publicly-owned business, at least 51 percent of the stock of which is owned by one or more socially and economically disadvantaged individuals; and,
 - Whose management and daily business operations are controlled by one or more such individuals. **A Small Disadvantaged Business must be certified by the Small Business Administration (SBA) and registered in Pro-Net (www.pro-net.sba.gov).**
 - **PLEASE CHECK THE CATEGORY IN WHICH OWNERSHIP FALLS:**
 - African-American
 - Hispanic-American
 - Native-American (American Indians, Eskimos, Alaskan-Native, Aleuts or Native Hawaiians)
 - Asian-Pacific American (persons with origins from Burma, Thailand, Malaysia, Indonesia, Singapore, Brunei, Japan, China, Taiwan, Laos, Cambodia (Kampuchea), Vietnam, Korea, The Philippines, US Trust Territory of the Pacific

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- Islands (Republic of Palau), Republic of the Marshall Islands, Federated States of Micronesia, The Commonwealth of the Northern Mariana Islands, Guam, Samoa, Macao, Hong Kong, Fiji, Tonga, Kiribati, Tuvalu or Nauru.
- Subcontinent Asian (Asian-Indian) American (persons with origins from India, Pakistan, Bangladesh, Sri Lanka, Bhutan, the Maldives or Nepal).
- Individual concern, other than one of the preceding. Specify other _____

- CERTIFIED 8(A) FIRM ***
 - A firm owned and operated by socially and economically disadvantaged individuals and eligible to receive federal contracts under the Small Business Administration's 8(a) Business Development Program.
- HISTORICALLY UNDERUTILIZED BUSINESS ZONE (HUBZONE) SMALL BUSINESS ***
 - Only companies certified by the SBA are eligible to participate in the HUBZone program;
 - The company's principal office must be located within a "HUBZone", which includes lands on federally recognized Native American reservations;
 - The company must be owned and controlled by one or more US citizens; and
 - At least 35 percent of the company's employees must be HUBZone residents. To fulfill this requirement, employees must live in a primary residence within that area for at least 180 days or be a currently registered voter.
- WOMAN-OWNED SMALL BUSINESS (WOSB)**
 - Which is at least 51 percent owned and controlled by one or more women; or in the case of any publicly owned business, at least 51 percent of the stock of which is owned by one or more women; and
 - Whose management and daily business operations are controlled by one or more women.
- VETERAN-OWNED SMALL BUSINESS (VOSB)**
 - VETERAN – The term "veteran" as the meaning defined in 38 U.S.C. 101
 - Not less than 51 percent of which is owned by one or more veterans or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more veterans; and the management and daily business operations of which are controlled by one or more veterans.
- SERVICE-DISABLED VETERAN-OWNED SMALL BUSINESS (SD-VOSB)**
 - The term "service-disabled veteran" means a veteran with a disability that is service connected (as defined in section 101 (16) of title 38, United States Code). Specifically, with respect to disability, that such disability was incurred or aggravated, in line of duty in the active military, naval, or air service;
 - The term "small business concern owned and controlled by service-disabled veterans" means a small business concern not less than 51 percent or which is owned by one or more service-disabled veterans or, in the case any publicly owned business, not less than 51 percent or the stock of which is owned by one or more service-disabled veterans; and
 - The management and daily business operations of which are controlled by one or more service-disabled veterans or, in the case of a veteran with permanent and severe disability, the spouse or permanent caregiver of such a veteran.
- HISTORICALLY BLACK COLLEGE OR UNIVERSITY/ MINORITY INSTITUTION (HBCU/MI)**
 - Not less than 51 percent of which is owned by one or more historically black college(s) & university(ies) or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more historically black college(s) and university(ies); and
 - The management and daily business operations of which are controlled by one or more historically black college(s) and university(ies).

*Attach screen print from the Central Contractor Registration (CCR) database (formerly the Small Business Association's [SBA's] PRO-Net) (<http://www.ccr.gov>) indicating small disadvantaged business or HUBZone certification.