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| **Applicant:** |
| **Application Control Number:** |

*INSTRUCTIONS: The Applicant is required to complete and submit this form with the Full Application. Additional instructions are provided below. A sample response to this form is attached to the Funding Opportunity Announcement.*

Certification: I certify that the information contained in this disclosure form is accurate and complete. I understand that false statements or misrepresentations may result in civil and/or criminal penalties under 18 U.S.C. § 1001.

Authorized Representative Name:

Date:

Authorized Representative Signature: [Insert below. Electronic signatures are acceptable.]



1. **DISCLOSE OF POTENTIAL IMPROPRIETIES:** Mandatory. No page limit. The Applicant is required to disclose if any of the following conditions exist. If the answer to any of the questions below is “Yes,” the Applicant is required to provide a detailed explanation in an addendum to this form.
   1. **Is the proposed Prime Recipient, Subrecipient(s), Principal Investigator (PI), or Co-PI(s) under investigation for potential fraud or similar acts?**

YES NO

* 1. **Has the proposed Prime Recipient, Subrecipient(s), PI, or Co-PI(s) been convicted of fraud or similar acts?**

YES NO

* 1. **Is the proposed Prime Recipient, Subrecipient(s), PI, or Co-PI(s) under investigation for potential violations of U.S. export controls laws and regulations?**

YES NO

* 1. **Has the proposed Prime Recipient, Subrecipient(s), PI, or Co-PI(s) been convicted of any violations of U.S. export controls laws and regulations?**

YES NO

* 1. **Is the proposed Prime Recipient or Subrecipient(s) under investigation for potential violations of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701, et seq.)?**

YES NO

* 1. **Has the proposed Prime Recipient or Subrecipient(s) been convicted of any violations of the Drug-Free Workplace Act of 1988?**

YES NO

* 1. **Is the proposed Prime Recipient, Subrecipient(s), PI, or Co-PI(s) under investigation for research misconduct?**

YES NO

* 1. **Has the proposed Prime Recipient, Subrecipient(s), PI, or Co-PI(s) been convicted of research misconduct?**

YES NO

* 1. **Has any Federal agency proposed the proposed Prime Recipient, Subrecipient(s), PI, or Co-PI(s) for suspension or debarment?**

YES NO

* 1. **Is the proposed Prime Recipient, Subrecipient(s), PI, or Co-PI(s) debarred, suspended, or otherwise declared ineligible from receiving Federal contracts, subcontracts, or financial assistance and benefits?**

YES NO

* 1. **Is the proposed Prime Recipient or Subrecipient(s) insolvent?**

YES NO

* 1. **Has the proposed Prime Recipient or Subrecipient(s) filed for bankruptcy or insolvency in any domestic or foreign jurisdiction?**

YES NO

* 1. **Is the proposed Prime Recipient or Subrecipient(s) at risk of insolvency?**

YES NO

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1. **POTENTIAL CONFLICTS OF INTEREST WITHIN PROJECT TEAM:** Mandatory. No page limit. The Applicant is required to disclose potential conflicts of interest within the Project Team. An apparent or actual conflict of interest may exist where an individual or entity has different, and potentially conflicting, duties or relationships with respect to other individuals or entities within the Project Team. Complete a separate table for each potential conflict of interest. If additional tables are required, include the tables in an addendum to this form. If no conflicts of interest exist, check the box marked “None” below. Examples of potential conflicts of interest include but are not limited to:

* The PI for the Prime Recipient has an equity stake in a Subrecipient;
* The PI for a Subrecipient has a consulting arrangement with the Prime Recipient; or
* A Subrecipient is a subsidiary of or otherwise affiliated with the Prime Recipient.

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| **If NONE, check here** |

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| **Conflicted Individual or Entity #1:** |
| **Description of Potential Conflict of Interest:** |

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| **Conflicted Individual or Entity #2:** |
| **Description of Potential Conflict of Interest:** |

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| **Applicant:** |
| **Application Control Number:** |

1. **COST SHARE VERIFICATION** (see Section III.B.8 of the FOA)**:** Mandatory. The Applicant must provide written assurance of its cost share commitment. The Applicant is bound by the cost share proposed in this form. Complete a separate table for each source of cost share. If additional tables are required, include the tables in an addendum to this form.

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| **Source of Cost Share #1:** |
| **Type of Contribution (Cash or In-Kind):** |
| **Value of Contribution (in Dollars):** |
| **Value of Contribution (as % of Total Project Cost):** |
| **If In-Kind, Detailed Description of Contribution:** |
| **If In-Kind, Relevance to Project Objectives:** |

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| **Source of Cost Share #2:** |
| **Type of Contribution (Cash or In-Kind):** |
| **Value of Contribution (in Dollars):** |
| **Value of Contribution (as % of Total Project Cost):** |
| **If In-Kind, Detailed Description of Contribution:** |
| **If In-Kind, Relevance to Project Objectives:** |

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| **Source of Cost Share #3:** |
| **Type of Contribution (Cash or In-Kind):** |
| **Value of Contribution (in Dollars):** |
| **Value of Contribution (as % of Total Project Cost):** |
| **If In-Kind, Detailed Description of Contribution:** |
| **If In-Kind, Relevance to Project Objectives:** |

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| **Applicant:** |
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1. **WAIVER REQUEST – FOREIGN WORK** (see Section IV.F.6 of the FOA)**:** Optional. No page limit. ARPA-E requires all work to be performed in the United States (i.e., Prime Recipients must expend 100% of the Total Project Cost in the United States). Applicants may request a waiver of this requirement if they wish to perform some work overseas. Complete a separate table for each entity performing work overseas. If additional tables are required, include the tables in an addendum to this form. If no work will be performed overseas, check the box marked “Not Applicable” below.

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| **If NOT APPLICABLE, check here** |

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| **Entity #1:** |
| **Countries in Which Work Will Be Performed :** |
| **Description of Work to Be Performed:** |
| **Rationale for Performing Work Overseas:** |

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| **Entity #2:** |
| **Countries in Which Work Will Be Performed :** |
| **Description of Work to Be Performed:** |
| **Rationale for Performing Work Overseas:** |

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| **Entity #3:** |
| **Countries in Which Work Will Be Performed :** |
| **Description of Work to Be Performed:** |
| **Rationale for Performing Work Overseas:** |

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| **Applicant:** |
| **Application Control Number:** |

1. **WAIVER REQUEST – TECHNOLOGY TRANSFER AND OUTREACH COSTS** (see Section IV.F.8 of the FOA)**:** Optional. No page limit. ARPA-E requires the Prime Recipient to spend at least 5% of ARPA-E funding on Technology Transfer and Outreach (TT&O) activities. Applicants may request a waiver of this requirement in whole or in part. If the Applicant is seeking a waiver, please provide the information in the table below. If the Applicant is not seeking a waiver, check the box marked “Not Applicable” below.

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| **If NOT APPLICABLE, check here** |

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| **Proposed % to Be Spent on TT&O Activities:** |
| **Rationale for Waiver Request :** |

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| **Applicant:** |
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1. **REQUEST – TECHNOLOGY INVESTMENT AGREEMENT** (see Section II.B.3 of the FOA)**:** Optional. No page limit. Applicants may request a Technology Investment Agreement by responding to the questions below. If the Applicant is not requesting a Technology Investment Agreement, check the box marked “Not Applicable” below.

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| **If NOT APPLICABLE, check here** |

* 1. **Briefly explain why you would prefer to use a Technology Investment Agreement instead of ARPA-E’s Model Cooperative Agreement** **(**[**http://arpa-e.energy.gov/FundingAgreements/Overview/Award.aspx#Cooperative\_Agreements**](http://arpa-e.energy.gov/FundingAgreements/Overview/Award.aspx#Cooperative_Agreements)**).**

* 1. **Briefly describe the specific objectives that you are seeking to accomplish through the Technology Investment Agreement, including any special terms and conditions.**

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1. **WAIVER REQUEST – U.S. MANUFACTURING REQUIREMENT** (see Section VI.B.10 of the FOA**):** Optional. No page limit. Applicants may request a modification or waiver of the U.S. Manufacturing Requirement described in Section VI.B of the FOA. Modifications or waivers will be granted only in exceptional circumstances. In return for a modification or waiver, the Applicant is required to make specific, tangible commitments for investments in the United States that are consistent with ARPA-E’s statutory mission (42 U.S.C. § 16538(c)). If the Applicant is not seeking a modification or waiver of the U.S. Manufacturing Requirement, check the box marked “Not Applicable” below.

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| **If NOT APPLICABLE, check here** |

* 1. **Briefly describe your business model and plans for manufacturing products embodying subject inventions (or products produced through the use of subject inventions) in the United States and overseas, and explain why the products cannot be manufactured in the United States.**

* 1. **Briefly describe your existing investments in the United States, including (1) the number of employees, facilities, and locations, and (2) the types of activities performed at each location (e.g., RD&D, manufacturing, administration).**

* 1. **Briefly describe your planned investments in the United States with respect to the subject inventions, including staffing, manufacturing, RD&D, and facility usage or buildout.**

* 1. **Briefly describe your business plan for the subject inventions (e.g., initial work in the United States with subsequent global diversification).**

* 1. **Briefly describe any U.S. jobs that will be created as a result of activities relating to the subject inventions.**

* 1. **Briefly describe how your investments will further the development and deployment of the technology in the United States and any other benefits that its work may have for the U.S. economy.**

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1. **FFRDC AUTHORIZATION** (see Section II.B.2 of the FOA)**:**  Mandatory for FFRDCs only. No page limit. Before submitting a Full Application, DOE/NNSA FFRDCs are required to obtain written authorization from the cognizant DOE/NNSA contracting officer. Non-DOE/NNSA FFRDCs are required to obtain written authorization from the cognizant Federal agency sponsoring the FFRDC. If the Applicant is not a FFRDC, check the box marked “Not Applicable” below.

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| **If NOT APPLICABLE, check here** |

The written authorization must be appended to this form and be signed and dated by the authorizing contracting officer. The following wording is suggested (but not mandatory) for the written authorization. The authorizing contracting officer may use other language, as appropriate.

“Authorization is granted for [FFRDC Name] to participate in the proposed project. The work proposed for [FFRDC Name] is consistent with or complimentary to the missions of [FFRDC Name], will not adversely impact execution of assigned programs at [FFRDC Name], and will not place [FFRDC Name] in direct competition with the domestic private sector.”

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1. **FIELD WORK PROPOSAL** (see Section II.B.2 of the FOA): Mandatory for DOE/NNSA FFRDCs only. No page limit. DOE/NNSA FFRDCs are required to append a Field Work Proposal to this form. The Field Work Proposal must conform to the instructions in DOE O 412.1A, “Work Authorization System” (<https://www.directives.doe.gov/directives/0412.1-BOrder-a/view>). If the Applicant is not a DOE/NNSA FFRDC, check the box marked “Not Applicable” below.

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| **If NOT APPLICABLE, check here** |