|  |
| --- |
| **Applicant (proposed Prime Recipient):** |
| **Application Control Number:** |

*INSTRUCTIONS: The Principal Investigator (PI) of the proposed Prime Recipient is required to complete and submit this form with the Full Application. Additional instructions are provided below. A sample response to this form is available on ARPA-E eXCHANGE (*[*https://arpa-e-foa.energy.gov*](https://arpa-e-foa.energy.gov)*).*

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.

PI Name:

Date:

PI Signature: [Insert below..]



1. **ADDITIONALITY AND RISKS:** Mandatory. 4 pages maximum. The PI must provide a narrative response to each question below. If the question is not applicable, please insert “N/A” in the space provided.
   1. **Describe the technical, market, and organizational risks associated with the proposed R&D project.**

* 1. **Describe why the proposed Prime Recipient and/or other members of the Project Team need ARPA-E funding for the proposed R&D project, relative to other funding sources.**

* 1. **Describe how, if the successful, the proposed R&D project may lead to increased employment and manufacturing in the United States.**

* 1. **If the proposed Prime Recipient is a large business, describe why this R&D project is not being sponsored internally.**

* 1. **If the proposed Prime Recipient is a small business sponsored by private investors, identify the types of private investors that have supported your business and explain why this R&D project is not being supported by the private investors. In addition, describe technical outcomes of the proposed R&D project that could lead to additional private investment following a successful ARPA-E project.**

* 1. **If the proposed Prime Recipient is a small business not sponsored by private investors, describe why this R&D project has been unable to attract private financing. In addition, describe technical outcomes of the proposed R&D project that could lead to private investment following a successful ARPA-E project.**

* 1. **If the proposed Prime Recipient is a university, nonprofit, or national laboratory, describe the institutional or other resources that may be leveraged, and explain why these resources have not been available to date.**

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

1. **POTENTIAL OVERLAP WITH OTHER APPLICATIONS:** Mandatory. No page limit. The PI must answer “Yes” or “No” to each question below. If the answer to either question is “Yes,” the PI must provide the requested information.
   1. **Has the proposed Prime Recipient, Subrecipient(s), PI, or any Co-PI(s) submitted this project to any Federal or non-Federal entity (including but not limited to industry, private investors, and foreign, state, or local governments)?**YES NO

If “Yes,” complete a separate table for each Federal and non-Federal entity. If additional tables are required, include the tables in an addendum to this form.

|  |
| --- |
| **Source of Funding #1:** |
| **Date of Submission:** |
| **Title of Submission:** |
| **Application Status:** |

|  |
| --- |
| **Source of Funding #2:** |
| **Date of Submission:** |
| **Title of Submission:** |
| **Application Status:** |

* 1. **Has the proposed Prime Recipient, Subrecipient(s), PI, or any Co-PI(s) submitted any application(s) for related work(i.e., work that relates directly or indirectly to the proposed R&D project) to any Federal or non-Federal entity (including but not limited to industry, private investors, and foreign, state, or local governments) within the last 24 months?**

YES NO

If “Yes,” complete a separate table for each Federal and non-Federal entity. If additional tables are required, include the tables in an addendum to this form.

|  |
| --- |
| **Source of Funding #1:** |
| **Date of Submission:** |
| **Title of Submission:** |
| **Application Status:** |

|  |
| --- |
| **Source of Funding #2:** |
| **Date of Submission:** |
| **Title of Submission:** |
| **Application Status:** |

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

1. **OTHER SOURCES OF FUNDING:** Mandatory. No page limit. The PI is required to disclose all Federal financial assistance received by the proposed Prime Recipient, Subrecipient(s), PI, and any Co-PI(s). In addition, the PI is required to disclose any funding from non-Federal entities for related work (i.e., work relating directly or indirectly to the proposed R&D project).
   1. The PI is required to disclose **all financial assistance from any Federal entity** that the **proposed Prime Recipient, Subrecipient(s), PI, or any Co-PI(s)** are **currently receiving or has received within the last 5 years**. Complete a separate table for each Federal entity. If additional tables are required, include the tables in an addendum to this form. If the PI and any Co-PI(s) have not received any such financial assistance, check the box marked “None” below.

|  |
| --- |
| **If NONE, check here** |

|  |
| --- |
| **Federal Entity #1:** |
| **Federal Program Manager Name and Title:** |
| **Federal Program Manager Telephone:** |
| **Federal Program Manager Email Address:** |
| **Federal Program Manager Postal Address:** |
| **Title of Project:** |
| **Federal Funding:** |
| **Non-Federal Funding:** |
| **Start and End Dates:** |
| **Abstract for Project:** |

|  |
| --- |
| **Federal Entity #2:** |
| **Federal Program Manager Name and Title:** |
| **Federal Program Manager Telephone:** |
| **Federal Program Manager Email Address:** |
| **Federal Program Manager Postal Address:** |
| **Title of Project:** |
| **Federal Funding:** |
| **Non-Federal Funding:** |
| **Start and End Dates:** |
| **Abstract for Project:** |

* 1. The PI is required to disclose **any funding from any non-Federal entity** for **related work (i.e., work that is related directly or indirectly to the proposed R&D project)** that the **proposed Prime Recipient, Subrecipient(s), PI, or any Co-PI(s)** are **currently receiving or has received within the last 5 years**. Please complete a separate table below for each source of funding. If additional tables are required, include the tables in an addendum to this form. If the PI and Co-PI(s) have not received any such funding, check the box marked “None” below.

|  |
| --- |
| **If NONE, check here** |

|  |
| --- |
| **Non-Federal Entity #1:** |
| **Point of Contact Name and Title:** |
| **Point of Contact Telephone:** |
| **Point of Contact Email Address:** |
| **Point of Contact Postal Address:** |
| **Title of Project:** |
| **Funding Amount:** |
| **Start and End Dates:** |
| **Abstract for Project:** |

|  |
| --- |
| **Non-Federal Entity #2:** |
| **Point of Contact Name and Title:** |
| **Point of Contact Telephone:** |
| **Point of Contact Email Address:** |
| **Point of Contact Postal Address:** |
| **Title of Project:** |
| **Funding Amount:** |
| **Start and End Dates:** |
| **Abstract for Project:** |

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

1. **LETTERS OF CORROBORATION:** Mandatory. No page limit.
   1. **The PI is required to provide any letter(s) or other communications (e.g., emails) from private investors explaining why they decided not to fund the proposed R&D project or related work** (i.e., work that is related directly or indirectly to the proposed R&D project).Append copies of the letters or other communications to this form.
   2. **If the PI has not received any such letters or other communications, the PI must document any interaction(s) with private investors.** Complete a separate table for each source of funding.If additional tables are required, include the tables in an addendum to this form.

|  |
| --- |
| **Source of Funding #1:** |
| **Point of Contact(s):** |
| **Dates of Interaction(s):** |
| **Reason(s) Given for Not Funding the Proposed R&D Project:** |

|  |
| --- |
| **Source of Funding #2:** |
| **Point of Contact(s):** |
| **Dates of Interaction(s):** |
| **Reason(s) Given for Not Funding the Proposed R&D Project:** |