



University of Dayton  
Research Institute

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Vendor ID \_\_\_\_\_

## UDRI First-Tier Subcontractor Transparency Act Reporting Form

### 1. Subcontractor Information

Name of Subcontractor

Subcontractor's Physical Address:

Street

City, State & Nine-Digit Zip Code

Country

Congressional District

Subcontractor's Fiscal Year

### 2. Place of Performance

Street

City, State & Nine-Digit Zip Code

Country

Congressional District

### 3. Subcontractor's Unique Entity ID (UEI)

Performing Entity

Parent Company

### 4. Subcontractor's Top Five Most Highly Compensated Officers Reporting

a) During the previous tax year was the Subcontractor's gross income from all sources under \$300,000?  Yes – skip to signature block  
 No – answer 4(b)

b) During preceding fiscal year was 80% or more of Subcontractor's annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements?  Yes – answer 4(c)  
 No – skip to signature block

c) During preceding fiscal year did Subcontractor have \$25,000,000 or more in annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements?  Yes – answer 4(d)  
 No – skip to signature block

d) Does the public have access to information about the compensation of Subcontractor's executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 USC 78m(a), 780(d)) or section 6104 of the Internal Revenue Code of 1986  Yes – skip to signature block  
 No – complete 4(e)

e) Subcontractor's Top Five Most Highly Compensated Officers

Officer Name	Total Compensation for Preceding Fiscal Year
1	
2	
3	
4	
5	

Print Name & Title of Representative Completing Form

Signature of Authorized Representative

Date

Please fax completed form to UDRI Purchasing Office at (937) 229-3433. For questions regarding this form, please contact UDRI Purchasing Office by calling (937) 229-3822.



## UDRI First-Tier Subcontractor Transparency Act Reporting Form Guidance FAR 52.204-10 Reporting Executive Compensation and First-Tier Subcontract Awards (Oct 2015)

### Subcontractor's Compensation Reporting Guidelines

Upon award of any Subcontractor award of \$30,000 or more, and annually thereafter, UDRI as the prime contractor must report the total compensation and names of the Subcontractor's top five most highly compensated executives if:

- (a) In the Subcontractor's preceding fiscal year, the Subcontractor received:
  - (i) 80% or more of its annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements, and other forms of Federal financial assistance; and
  - (ii) \$25,000,000 or more in annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements, and other forms of Federal financial assistance; and
- (b) The public does not have access to information about the compensation of the executives through period reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 USC 78m(a), 780(d)) or section 6104 of the Internal Revenue Code of 1986.

If a Subcontractor in the previous tax year had gross income from all sources under \$300,000, the prime contractor does not need to report awards for that subcontractor.

This information will be reported through the Federal Funding Accountability and Transparency Act Subaward Reporting System. The public may view first-tier subcontract award data at <http://usaspending.gov>.

### Definitions

As used in FAR 52.204-10:

*Executive* means officers, managing partners, or any other employees in management positions.

*First-tier subcontract* means a subcontract awarded directly by the Contractor for the purpose of acquiring supplies or services (including construction) for performance of a prime contract. It does not include the Contractor's supplier agreements with vendors, such as long-term arrangements for materials or supplies that would benefit multiple contracts and/or the costs of which are normally applied to a Contractor's general and administrative expenses or indirect cost.

*Total compensation* means the cash and noncash dollar value earned by the executive during the Contractor's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):

- (1) Salary and bonus.
- (2) Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Financial Accounting Standards Board's Accounting Standards Codification (FASB ASC) 718, Compensation-Stock Compensation.
- (3) Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
- (4) Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
- (5) Above-market earnings on deferred compensation which is not tax-qualified.
- (6) Other compensation, if the aggregate value of all such other compensation (e.g., severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

**Further information about the Transparency Act is available at:**

**[www.USAspending.gov](http://www.USAspending.gov) & [www.whitehouse.gov/omb/open](http://www.whitehouse.gov/omb/open)**