Reporting a Change Condition
Industry User Guide

DEFENSE SECURITY SERVICE (DSS)
NATIONAL INDUSTRIAL SECURITY SYSTEM (NISS)

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What is a Change Condition?

In accordance with paragraph 1-302g of the National Industrial Security Program Operating Manual (NISPOM), cleared contractors are required to report certain changes affecting the facility clearance (FCL) to the Defense Security Service (DSS). These changes can involve one or more of the following: Ownership, Legal Structure, Operating Name, Address, Key Management Personnel (KMP), and Foreign Ownership, Control or Influence (FOCI).

Follow the steps below to report a change condition to DSS.

Submitting a Change Condition Package

1. As an FSO, AFSO, or Other Security Staff user, navigate to the NISS Homepage Dashboard, scroll to Quick Links, and select Report Change Conditions. (Please note: you must be logged in as FSO, AFSO, or Other Security Staff in order to report a change condition.)

2. A window will appear with 3 tabs: Basic Information, Change Condition Questionnaire, and Industry-DSS Package Comments.
   a. Basic Information tab – the Business Structure field is pre-populated with your facility’s current business structure. If your facility’s business structure is changing, click the Business Structure dropdown menu to select the new business/legal structure.
   b. Basic Information tab – add any prior legal names for your facility in the Prior Legal Names box. If the facility name is changing as part of this change condition package, include the prior facility name here.
   c. Basic Information tab – add any prior addresses for your facility in the Prior Addresses box. If the facility address is changing as part of this change condition package, include the prior address here.
   d. Click the Change Condition Questionnaire tab to advance to the next tab when done.

   *Note: DO NOT click Save yet.*

   *Note: In this example, Test Facility is not changing its private corporation business structure, but it is changing its name and address.*
3. Change Condition Questionnaire tab – using the radio buttons, answer the required questions (include red asterisk). If you responded “Yes” to any of these questions, use the corresponding text boxes in the following section of the page to provide more details (see next step).
4. Change Condition Questionnaire tab – using the text fields, provide detailed information on the change condition(s).

**Note:** In this example, the facility is changing operating name and address, so the text fields for question 2 and 3 are where additional details have been provided. Include prior name and address, date of change, and note any additional corresponding documentation that will be provided.

5. Change Condition Questionnaire tab – click **Save** button upon completion.

**Note:** Upon saving successfully, the Alert prompt below will appear towards the top of your page.

6. Upon saving, additional tabs will generate based on the responses in the Change Condition Questionnaire. Click the **subsequent tab** to move forward.

7. SF-328 tab - If your responses to the Change Condition Questionnaire added a tab labeled SF-328, see the **SF-328 Tab section** of this guide for instructions on completing it. If not, proceed to the next step.

**Note:** In this example, facility name and address change generates SF-328 and Supporting Documents tabs. The Supporting Documents tab will also update with a list of required documents based on the change condition(s) submitted in the Change Conditions Questionnaire.
8. Supporting Documents tab – This tab is where you can upload files to document the details of your change condition. Based on the responses from your Change Conditions Questionnaire, a corresponding list of required documents will be listed in bold red font as shown below.

*Note:* For more information on the required supporting documents by type of change condition, see Annex – Supporting Documents by Change Condition Type.

Resources - If changes are being made to your facility’s ownership as part of this change condition package, click on the sample Legal Organization Chart; or if reporting a FOCI change, you may click on the fillable PDF version of the Ownership and Control Worksheet. These will be links to PDF files in blue font as shown below.

*Note:* In this example, the facility is changing name and address so an updated SF-328 and DD Form 441 are required.

9. Click **Add Record** to upload a document.
10. Supporting Documents tab – click the **Document Type dropdown** menu to select the document type that is being uploaded. Then click **Select a File** to upload the file from your computer.

   **Note**: The FCL Package field is a non-editable field.

11. Supporting Documents tab – use the Description field to add a brief description of the document. Click **Save** when ready to upload.
12. Supporting Documents tab – upon clicking Save, the Alert prompt below will appear towards the top of your page.

After which, your document will appear listed under the column labeled Document Type. **Note:** *Support documents are listed by document type.*

![Alert](image)

![Supporting Documents tab](image)

**Note:** *To remove an uploaded file, click the trashcan icon next to the file.*

13. Supporting Documents tab – repeat the document upload steps above for each document. All uploaded documents should be listed under Document Type as shown below. Click **Save** then click **Industry-DSS Package Comments tab** to proceed.

![Supporting Documents tab](image)
14. Industry-DSS Package Comments – to provide DSS with additional information regarding your change conditions package, use the Package Summary Comments for DSS text box, as needed. Click **Save** to save information and submit later, or click **Submit** if you’re ready to submit the package to DSS.

![Screenshot of the Industry-DSS Package Comments section](image)

**Note:** Upon successful submission, the message below will appear.

![Dashboard showing the Change Condition has been submitted](image)

**Your Change Condition has been submitted, you may view its status from your dashboard.**

**Note:** Once your Change Condition Package has been submitted, the assigned Industrial Security Representative (ISR) will receive an automatically generated email to notify them.

**Note:** Once your package has been either approved, returned to you for changes, or archived, you will receive an email alert to notify you of this update.

15. If your change condition package has been approved, the corresponding changes will be made to your Facility Profile. **Note:** In this example, Facility Name has changed from “Test Facility” to “New Test Facility”, and the Physical Address has changed from “123 Test Street - - Quantico – VA – 22134” to “456 New Address Ave - - Stafford – VA – 22554”.

![Packet showing the new address and name](image)
SF-328 Tab:
If your responses to the change questionnaire tab generates an SF-328 tab, follow these steps:

*Note: If your change condition results in any changes to your existing SF-328, including name or address changes, you must submit an updated SF-328 as part of the change condition package. Use the following instructions to update, print and upload the completed, signed SF-328 in the Supporting Documents tab.*

1. SF 328 tab – If your facility is a branch/division office, or if your tier parent company is submitting a consolidated SF-328, check the check box that appears at the top of the form. If checked, you will need to enter the CAGE code and facility name of the parent/home office of the Consolidated SF-328 in the two fields immediately below the checkbox. After that, you will not be required to complete the SF 328.

![SF-328 Tab Example](image)

2. SF 328 tab – The next question concerns companies that issue stock. Consult resources within your organization if you require assistance answering this question. Use the radio button to answer “Yes” or “No.” If “Yes” is selected, the follow on question, 1a, will be available. If “No” is selected, question 1b (for entities which do not issue stock) will be available.

*Note: Refer to SF-328 instruction sheet for additional guidance on completing this form.*

![SF-328 Tab Example](image)
3. SF-328 tab – Scrolling down the page, you will see the questions of an SF-328 form with “Yes” or “No” radio buttons. Selecting a “Yes” response will generate a text box for users to provide additional information (see example responses below).

**Note:** In this example, the facility does issue stock and answered “Yes” to question 1a, so additional information has been provided in the corresponding text fields.

<table>
<thead>
<tr>
<th>QUESTIONS and ANSWERS</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. (Answer 1a or 1b)</td>
</tr>
<tr>
<td>a. (For entities which issue stock) Do any foreign person(s), directly or indirectly, own or have beneficial ownership of 5 percent or more of the outstanding shares of any class of your organization’s equity securities?</td>
</tr>
<tr>
<td><em>Yes</em></td>
</tr>
<tr>
<td>1a) Percentage of Stock or Other Securities Details</td>
</tr>
<tr>
<td>6%, common stock, Jacque Smith, France, directly owned, no voting rights.</td>
</tr>
<tr>
<td>Are there shareholder agreements? If yes, attach a copy(ies). If none, so state.</td>
</tr>
<tr>
<td><em>Yes</em></td>
</tr>
<tr>
<td>Shareholder Agreement Comment</td>
</tr>
<tr>
<td>Copies attached under &quot;Supporting Documents&quot; tab</td>
</tr>
<tr>
<td>Indicate whether a copy of SEC Schedule 13D/13G report has been received from any investor. If yes, attach a copy(ies).</td>
</tr>
<tr>
<td><em>Yes</em></td>
</tr>
<tr>
<td>Note: Ownership of less than 5% should be included if the holder is entitled to control the appointment and tenure of any management position.</td>
</tr>
</tbody>
</table>

2. Does your organization directly, or indirectly through your subsidiaries and/or affiliates, own 10 percent or more of any foreign interest?  |
| *Yes* | *No* |

3. Do any non-U.S. citizens serve as members of your organization’s board of directors (or similar governing body), officers, executive personnel, general partners, managers, trustees or senior management officials?  |
| *Yes* | *No* |
4. SF-328 tab – fill in the text fields under Certification Information. Once you have entered the requested information on the SF-328 tab, click the **Save** button.

**Note:** Upon clicking save, text at the bottom of the page will turn red to highlight instructions on how to sign your SF-328 form.
5. Once you click Save, a Print SF-328 to PDF button will appear. Click the **Print SF-328 button** to generate a PDF file of your SF-328. A prompt will appear at the very bottom of your browser, select **Save** to save the PDF file to your computer.

6. SF-328 PDF File – open the SF-328 PDF file, print a copy, then have the designated Witness and Authorized Contractor Representative sign in the corresponding fields. Scan and save the SF-328 to your computer. Click **Supporting Documents tab** to move forward and to upload the completed, signed SF-328.
Submitting a Change in Key Management Personnel (KMP)

Submitting a change condition package is the only way to update your facility’s KMP list; this includes updates to an existing KMP’s individual record and changes to any exclusion resolutions.

**Note:** When making any changes to the KMP List, the potential/revised KMP entries will be incorporated into the existing KMP List in the Facility Profile. While you have an open change condition package, you will see both the original and the potential/revised entries together in your KMP List on the facility profile, with the potential/revised entries being preceded by “Awaiting Approval.” This will occur even if you don’t submit the package. Please note: The KMP records marked “Current” are the official record according to DSS and those records can only be modified by DSS personnel. Industry has the ability to modify “Awaiting Approval” records when submitting a change condition package.

**Note:** If the KMP change condition is Approved by ISR, then these KMP entries will replace the original entries in the KMP List of the Facility Profile and their status will update to “Current.”

**Note:** If the KMP change condition is Archived or Discontinued, the potential/revised entries will be deleted from the KMP List and the original KMP entries will remain.

Follow the steps below to submit a KMP change condition:

1. To view your current KMP list, navigate to your NISS Dashboard and select **View My Facility Profile** from your Quick Links.

2. From the (External) My Facilities view, click the CAGE Code of the facility to view the Facility Profile. **Do not** click the check box next to the CAGE code.
3. From the Facility Overview dropdown menu, select **KMP**. Your KMP list will display.

   ![KMP List Image]

   **Note:** Your original KMP List, prior to making any changes, will have “Current” as the status preceding each entry.

4. To submit a KMP change, navigate to the NISS Dashboard and select **Report Change Conditions** from your Quick Links.

   ![Quick Links Image]

5. Click the **Change Condition Questionnaire tab**.

   ![Change Condition Questionnaire Image]
6. Select “Yes” to the question regarding change in Key Management Personnel (KMP). If you are submitting an additional change(s), answer the remaining questions accordingly.

7. Using the text box corresponding to question 4, provide details regarding the change in KMP, see example below. Once you have completed the Change Condition Questionnaire, click Save.

**Note:** DO NOT click Submit yet.
8. Upon clicking Save, both the Supporting Documents tab and KMP List tab will be generated, based on the “Yes” response in the questionnaire.

9. Click the Supporting Documents tab – based on the type of KMP change condition being submitted, you may need to upload supporting documentation.
   Note: For more information on the required supporting documents by type of change condition, see Annex – Supporting Documents by Change Condition Type.
   To add a supporting document, click Add Record button.

10. Click the Document Type dropdown menu to select the document type that is being uploaded. Then click Select a File to upload the file from your computer.
    Note: The FCL Package field in a non-editable field.
11. Use the Description field to add a brief description of the document. Click Save when ready to upload. 

**Note:** In the example, we are uploading Meeting Minutes as a supporting document to provide additional information regarding the election of the Facility’s Chairman of the Board.

![Image of Add Record interface](image1)

12. The uploaded document should now appear under Document Type. Click the KMP List tab to move forward.

**KMP List Tab**

The KMP List tab is where you can modify, delete, or add individuals to your facility’s KMP List. A bullet list of positions that are required to be included on your KMP List will be shown at the top of the tab. When you are updating an existing KMP List, if you’ve already included one of these positions, it will be preceded by “(Identified)” as shown in the example below.

**Note:** Refer to the KMP List Guide linked at the top of the KMP List tab for more information on which KMPs you are required to list based on your business structure and which additional KMPs you may need to identify.

![Image of KMP List interface](image2)
**Note:** As you make changes to the KMP List, the new entries will be preceded by “Awaiting Approval” under the Status column. Remember, “Awaiting Approval” records are draft/working copy records of your proposed KMP List for DSS to review.

**Modifying a KMP:**

You can modify an existing KMP record to update details such as indicating if they are a Facility Security Officer (FSO), Senior Management Official (SMO), or Insider Threat Program Senior Official (ITPSO); you can also edit details such as their position titles, ownership percentage, and exclusion resolution status, among other details.

1. KMP List tab – your current KMP list is listed. To edit a KMP, **single click the record**.

![KMP List Table](image-url)
2. KMP List tab – a KMP Details window appears. Review and update the information as needed.

**Essential KMP**: Use the Essential KMP radio buttons to select whether this KMP is essential or non-essential (refer to the KMP List Guide for more information on essential KMPs).

**Role**: For essential KMPs, use the radio buttons immediately below to indicate if they are a Facility Security Officer (FSO), Senior Management Official (SMO), or Insider Threat Program Senior Official (ITPSO). Make sure to check the box associated with FSO/SMO/ITPSO. **Do not** click the words “FSO,” “SMO,” or “ITPSO.” Clicking the check box will ensure proper business logic is applied. You can expect the check box response time to be delayed.
3. Use the Position Titles checkboxes to add any applicable titles.

**Note:** In this example, the President of the Facility has been recently appointed as Chairman of the Board so we’re selecting the checkboxes corresponding to Chairman as well as President.

4. Upon completion, scroll down and click **Save**.

5. The KMP list should now be updated.

**Note:** In this example, the “Chairman” title now appears in the KMP list in addition to “President.”
Deleting a KMP:

1. To delete a KMP, simply click the trashcan icon corresponding to the record you wish to delete.
   
   *Note: In this example, we will delete the entry for company Treasurer, Jane Doe.*

2. Upon click the trashcan icon, a popup message will appear. Click OK to confirm deletion.

3. The “Treasurer” KMP will be removed from the list.
Adding a KMP:

**Note:** In this example, we will add a KMP record for the Treasurer position:

1. Click **Add Record** to add a KMP to your Facility Profile.

2. A KMP Details window will appear – fill in the required fields accordingly. Use the Position Titles checkboxes to indicate the position of the new KMP being added. Make sure to check the box associated with FSO/SMO/ITPSO. **Do not** click the words “FSO,” “SMO,” or “ITPSO.” Clicking the check box will ensure proper business logic is applied. You can expect the check box response time to be delayed.

   **Note:** Depending on whether the record is for an essential or non-essential KMP, different fields will be required (essential KMP requires more information) and different fields may be grayed out.
3. Upon completion, scroll to the bottom of the window and click **Save**.

**Note:** You will receive a “Saved Successfully” alert to confirm your changes have been saved.

Vacant Positions:

1. If the position was previously filled and the previous individual’s record now needs to be removed from the KMP List, delete the record. **Note:** refer to **Delete KMP** for instructions.

2. Add a new record to act as the place holder for the vacant position. Click **Add Record** to add a KMP to your Facility Profile.
3. A KMP details window will appear – type “Vacant” in both the First Name and Last Name fields to indicate that this position is now vacant. Use the Position Titles checkboxes to indicate the position that is now vacant.

4. Upon completion, scroll to the bottom of the window and click Save.

**Note:** You will receive a “Saved Successfully” alert to confirm your changes have been saved.
Excluding a KMP:

1. To add an exclusion, **single click the KMP record** that you wish to exclude then use the checkboxes available under the KMP Exclusion header.

   **Note:** *In this example, we will be adding an exclusion for the Secretary KMP. Only non-essential KMPs are typically excluded. In rare cases, essential KMP may be considered for temporary exclusion. Please contact your ISR to make this determination.*

2. Upon completion, hit **Save**.

   **Note:** *You will receive a “Saved Successfully” alert to confirm your changes have been saved.*
Submitting the KMP Change Condition Package

1. Click the **Industry-DSS Package Comments tab** to move forward. Use the Package Summary/Comments for DSS text box to provide your ISR with any additional information regarding your change conditions package, as needed.

2. Click **Save** to save information and submit later, or click **Submit** if you’re ready to submit the package to DSS.

3. Upon successful submission, user will receive the message below to confirm.

   **Your Change Condition has been submitted, you may view its status from your dashboard.**

   **Note:** Once your Change Condition Package has been submitted, the assigned ISR will receive an automatically generated email to notify them. Once your package has been either approved, returned back to you, or archived, you will receive an email alert to notify you of this update.
4. DSS review – if your KMP change condition is **Approved** by the IS Rep, then these KMP changes will be reflected in the KMP List of your Facility Profile, and their status will update to “Current” as shown below.

DSS review - If the KMP change condition is **Archived or Discontinued** by your IS Rep, the potential/revised entries will be deleted from the KMP List and the original KMP entries will remain.

![KMP List Example](image)

**Note:** In this example, Jane Smith now has the added title of “Chairman” and the “Treasurer” position is now updated to reflect a vacancy. The changes we have made now reflect “Current” status.
Returning to a Draft Change Condition Package

1. To return to an open draft Change Condition package that has not yet been submitted, navigate to your NISS Dashboard and click View My Change Condition Packages.

2. Click (External) My Open Change Conditions from the FCL Package Views pane on the right-hand side. Click the Draft record that you wish to open then follow the instructions above to submit the Package.
Resubmitting a Change Condition Package

If your package has been returned to you by DSS for changes, follow these steps to resubmit the package.

1. To resubmit your change condition package, navigate to the NISS Dashboard and click View My Tasks from your Quick Links.

2. On the right bar, click (External) Security Staff Tasks. Find the open task called Resubmit CC Package. Click the record to open it (DO NOT click the check box on the far left side).

3. When the task page opens, click Actions on the right bar, and then select Complete.
4. Upon clicking Complete, a Resubmit CC Package task window will appear; initially it will be on the Resubmit Task tab. Click the **Industry-DSS Package Comments tab** to find feedback from DSS explaining why the package was returned.

5. Refer to the **DSS Package Feedback** box to view notes from your IS Rep on why this package was returned. Based on their feedback, **navigate through each tab** and update the pertinent information accordingly.

   **Note:** **DO NOT** click the Complete button until you’re ready to resubmit the package. You must make all changes at once in order to submit the package. There is no “Save” button.
6. Making edits to the SF-328 tab – if you need to update the entries to your SF-328 as part of resubmitting, go to the SF-328 tab to make changes. Refer to the SF-328 section for guidance on how to update the information.

7. Making edits to the Supporting Documents tab – if you need to update your supporting documentation as part of resubmitting, go to the Supporting Documents tab to make changes. For guidance on how to add or delete supporting documents, follow these steps.

**Note:** When making updates to the Supporting Documents below (Add, Update, Delete), you will see a spinning 'Saving' icon. Please ignore this icon and continue making your changes.
8. Making edits to the KMP List tab – if you need to update your KMP List information as part of resubmitting, go to the KMP List tab to make changes to KMP List including individual KMP details. For guidance on how to add, delete or modify the details of a KMP record, follow these steps.

**Note:** When making updates to the Supporting Documents below (Add, Update, Delete), you will see a spinning 'Saving' icon. Please ignore this icon and continue making your changes.
9. Once all of the updates have been made to the package, click the Industry-DSS Package Comments tab. Use the Package Summary/Comments for DSS box to confirm that the requested revisions have been made, and also to add any additional comments or notes.

10. Click to return to the Resubmit Task tab. Select the Send to ISR radio button. Click Complete button to resubmit the package.

**Note:** The Discontinue option can be used to archive a package. If discontinue is selected, any FCL changes, and any KMP changes that are “Awaiting Approval” will be deleted.

**Note:** The ISR will receive an email alert once the FSO resubmits.

11. To confirm your package has been submitted – check your task list to confirm that the status has changed from “Open” to “Completed”. Follow 29 to get to your tasks.
Deleting a Change Condition Package

Requesting a Draft Package be Archived (For Packages Not Yet Submitted to DSS)

If you have begun a change condition package that is still in Draft status (e.g. that has never been submitted to DSS), you can request the package be archived. To do this, you will still need to submit the package to DSS; however, you will include a comment requesting it be archived. DSS will then process the package as Archived in order for the package to be deleted. Please note that when package is changed to an archived status, any potential changes awaiting approval, including “Awaiting Approval” KMP will be deleted.

To submit the package with a request to archive, complete the following steps:

1. From the Dashboard, click on “View My Change Condition Packages.”

2. Click on “(External) My Open Change Conditions.” Then, click on the package to be archived.

   Note: You can only request packages for archive that are in a “Draft” status.

3. Navigate to the “Industry-DSS Package Comments” tab.

4. Update “Package Summary/Comments for DSS” comment box with a request to remove the package and include your reason; for example: “Please remove this package. There is nothing to report. This package was created in error.”
5. Click on the **Submit** button located in the lower right of the window.

6. To verify the archive status (after your ISR has archived the package), go to your Dashboard, select “8. View My Change Condition Packages”, and click on “(External) My Closed Packages”. The system will display all completed packages with the FCL Package Status.

*Once the ISR has archived the package, the system will send you a system email notification to login to NISS.*
Deleting a Package (For Packages Already Submitted to DSS)

If a change condition package has already been submitted to DSS (e.g. you have an open task called "Resubmit CC Package"), you can delete the package. Please note that when package is deleted, the package status is changed to “Archive,” and any potential changes awaiting approval, including “Awaiting Approval” KMP will be deleted. To request that a change condition package be deleted, complete the following steps once the ISR has returned your package.

1. From the Dashboard, click “View My Tasks”.

2. Click (External) Security Staff Tasks from the Tasks Views pane on the right-hand side then click the “Resubmit CC Package” task to archive.

3. When the task page opens, click Actions on the right bar, then select Complete.
4. Click the **Industry-DSS Package Comments tab**. Update the **Package Summary/Comments for DSS** comment box with your request to delete the package including your reason(s).

   **Click Resubmit Task tab.**

   *Note: In this example, the package was submitted in error so the comment states: “Please archive this package. There is nothing to report. This package was created in error.”*

5. From the Resubmit Task tab, select the **Discontinue** radio button, then click **Complete** button to delete the package.

   *Note: Once you select Discontinue and complete the task, the package status is changed to “Archive,” and any potential changes awaiting approval, including “Awaiting Approval” KMP will be deleted.*
6. To verify the archive status, go to your Dashboard, select **View My Change Condition Packages**, and click **(External) My Closed Packages**. The system will display all completed packages with the FCL Package Status.

![Table of Closed Packages]

**Note:** Once the package has been archived, none of the changes reported in the package will be processed by DSS or in NISS, and your Facility Profile will return to the same state as prior to drafting/submitting change condition package (e.g. KMPs with an “Awaiting Approval” status will be deleted).

**Closing out an e-FCL Package**

e-FCL packages migrated to NISS but are only available for DSS users at this time. If you need to close out an e-FCL package that was pending during the data migration to NISS, please work directly with your ISR to close the package. You can use the NISS Messaging feature to exchange messages and documents.
Annex – Supporting Documents by Change Condition Type

Depending on the type of change condition being submitted, the requested supporting documents will vary. Below are a few examples of different types of change and the supporting documents for each to include as part of your change condition package.

<table>
<thead>
<tr>
<th>Type of Change</th>
<th>Supporting Documents</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Address Change:</strong></td>
<td>- SF-328 (current version)</td>
</tr>
<tr>
<td></td>
<td>- DD-441</td>
</tr>
<tr>
<td></td>
<td>- Modified DD 254s</td>
</tr>
<tr>
<td></td>
<td>- Business Documentation*</td>
</tr>
<tr>
<td><strong>KMP Change:</strong></td>
<td>- KMP List</td>
</tr>
<tr>
<td></td>
<td>- Business Documentation*</td>
</tr>
<tr>
<td><strong>Name Change:</strong></td>
<td>- SF-328</td>
</tr>
<tr>
<td></td>
<td>- DD-441</td>
</tr>
<tr>
<td></td>
<td>- Business Documentation*</td>
</tr>
<tr>
<td></td>
<td>- State tax information and SAM information showing the change (preferred, not required)</td>
</tr>
<tr>
<td><strong>Ownership Change:</strong></td>
<td>- Business Documentation*</td>
</tr>
<tr>
<td></td>
<td>- KMP List</td>
</tr>
<tr>
<td></td>
<td>- Stock Ledger</td>
</tr>
<tr>
<td></td>
<td>- Voting Rights and Control of all the owners</td>
</tr>
<tr>
<td><strong>Legal Structure Change:</strong></td>
<td>- New Business Documentation (By-Laws/Operating Agreement)</td>
</tr>
<tr>
<td></td>
<td>- DD-441</td>
</tr>
<tr>
<td></td>
<td>- New Articles of Organization/Incorporation</td>
</tr>
</tbody>
</table>

*Meeting Minutes, Amendment to By-Laws/Operating Agreement, and/or Memo on letterhead from the SMO*