

# ANNEX B

## DUE DILIGENCE QUESTIONNAIRE

The aim of the DDQ is to help ascertain the risks associated with doing business with prospective business partners, and evaluate the strength and complexity of their compliance programs. This is of utmost importance under applicable compliance legislation, as HES could be held liable for the acts of a Third Party even if there is no wrongdoing on HES' part.

When sending the questionnaire to potential Third Parties, please stress that:

- The questions need to be answered truthfully and to the best of their knowledge, giving as much information as possible;
- The filled in questionnaire must be signed and returned to HES;
- If any of the answers change over time, the Third Party must inform HES immediately and provide an updated questionnaire;
- All information will be handled with strict confidentiality; and
- Any adverse answers will not necessarily preclude HES from establishing a business relationship with the party in question.

Throughout the process, it may also be useful to refer to our List of Red Flags when conducting due diligence. This is a non-exhaustive list of risk indicators but can function as a useful reference when initially assessing the level of risk posed by a particular transaction.

**Please remove this cover sheet before sending the questionnaire to potential Third Parties.**

**Return the filled in and signed questionnaire to the local compliance officer and the Chief Compliance Officer.**