

ANNEX C

RECOMMENDATION FORM

This form must be filled in and submitted to the Chief Compliance Officer (compliance@hesinternational.eu). A copy must be sent to your local compliance officer.

Name employee:		Signature:
Job title:		
Date:		

Recommendation Form		
Sanctions Screening		
Sanctions screening results	<input type="checkbox"/> No Match <input type="checkbox"/> Initial False Positive, ultimate No Match	
Risk Assessment		
Risk Rating:		
Copy of completed Risk Assessment attached:	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Description rationale resolved Red Flags:		
Unresolved Red Flags:		
Any information regarding the Third Party that is of relevance during		

the Engagement Procedure:	
Recommendation:	
Mitigation Steps	
Mitigation Steps to be implemented	
Implementation Mitigation Steps	
Any relevant documents:	

Approval sign off		
<i>Description and substantiation approval</i>		
Name employee:		Signature:
Job title:	Chief Compliance Officer	
Date:		