

DUE DILIGENCE QUESTIONNAIRE



SECTION 1: BACKGROUND INFORMATION

Registered Name	<input type="text"/>		
English and Local Language	<input type="text"/>		
Registered Trade Name	<input type="text"/>		
Legal Entity	<input type="text"/>	Listed	YES NO
Registered Address	<input type="text"/>		
Contact Details: Email	<input type="text"/>		
Phone	<input type="text"/>		
Website	<input type="text"/>		
Business Address	<input type="text"/>		
Incorporation (Date and Place)	<input type="text"/>		
Registration Number	<input type="text"/>		
VAT / GST Number	<input type="text"/>		
Number of Employees	<input type="text"/>		
Parent Company	<input type="text"/>		

Documents Attached			
Extract Trade Register (KvK or equivalent)	YES	NO	
Proxy's	YES	NO	
Organisational Chart	YES	NO	
Latest Annual Report	YES	NO	
	YES	NO	
	YES	NO	
	YES	NO	

Name	%	(Pseudo)UBO	PEP*	
Shareholders			YES	NO
and in any case (pseudo)UBO			YES	NO
Politically Exposed Persons			YES	NO
			YES	NO
			YES	NO

Name	Nationality	Title	PEP*	
Directors			YES	NO
Name all and state			YES	NO
Politically Exposed Persons			YES	NO
(If applicable)			YES	NO

Counterparty State Owned	<input type="text"/>
Primary Fields of Business	<input type="text"/>
Years in Business	<input type="text"/>

Country	PEP's* involved in business in country stated
Countries in which your company, or any company affiliated to your company, conducts business	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
*Politically Exposed Persons	<input type="text"/>

SECTION 2: COMPLIANCE QUESTIONS

Please detail what compliance policies, procedures, manuals and guidelines your Company has implemented.

Name the corporate function responsible for compliance risk issues: (a) Within senior management and/or on the Board; and (b) Within the business/businesses?

Has there been any actual or potential violation of anti-corruption laws or internal policies by your Company or its employees, agents or other persons who perform or have performed services for or on behalf of your Company? If so, what procedures have been put in place to prevent their recurrence?

Is the business of your Company conducted through agents, intermediaries, brokers, consultants or other third parties or joint venture parties? If yes, please provide details.

Does your Company perform/undertake due diligence and/or background checks on the agents, intermediaries, brokers, consultants or other third parties appointed?

Does your Company screen customers and other third parties against EU, UK and U.S. designated/restricted party lists? If so, please describe the method/ process.

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I certify that to the best of my knowledge and belief:

I. I am an officer or director of the Counterparty with authority to sign documents on behalf of the Counterparty; and

II. The answers provided in this Compliance Questionnaire are accurate and complete to the best of my knowledge after reasonable inquiry.

Signed:

Name:

Job Title:

Company:

Date: