



## Partner and Client Due Diligence Questionnaire

### IMPORTANT INFORMATION

CJ ICM requires the following information for legal and compliance purposes.

If an answer requires more space than provided, please provide the information at the end of the questionnaire in the “Other” section.

Please ensure the information that you provide is complete and accurate and the questionnaire is completed and signed by an authorised person. Failure to provide complete and accurate information may affect this evaluation.

The data collected in this questionnaire will be stored and processed by CJ ICM management, only for the purpose of this Due Diligence and in compliance with applicable data protection laws and the CJ ICM’s data protection policy. The whole database is classified as confidential and therefore underlies a strict security requirement.

By providing the personal information, you consent that the data may be processed and used for the current due diligence process. When we conclude our review, all personal information will be deleted despite the result of the assessment. It will only be kept for later assessments if you give your explicit consent to such further storage and processing at the end of this questionnaire.

This questionnaire **must** be completed online.



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Issue Date	05.03.2015
Revision Date	28.09.2017
Revision Number	01

**Identifying information**

<b>1.1</b>	Full name of company or individual	
<b>1.2</b>	Name in local language and/or lettering and trade name (if different)	
<b>1.3</b>	Address (street, zip code, town, country)	
<b>1.4</b>	Registered office address (if different from above)	
<b>1.5</b>	Telephone number	
<b>1.6</b>	Webpage	
<b>1.7</b>	Contact person(s) at your company for further information. Please provide name, telephone number and e-mail address.	



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**Business information**

<b>1.8</b>	Is your company a <b>new or an existing business partner</b> of CJ ICM?	<input type="checkbox"/> New <input type="checkbox"/> Existing	
<b>1.9</b>	Please provide a <b>detailed description of the service</b> you are providing or will provide for CJ ICM and please indicate if you have interactions with government officials (e.g. customs) when providing services for CJ ICM.		
<b>1.10</b>	Is <b>Customs Clearance</b> part of the services provided for CJ ICM?	<input type="checkbox"/> Yes	<input type="checkbox"/> Copy of license / certificate of the company or individual attached  <input type="checkbox"/> No license / certificate required  Explanation:
<input type="checkbox"/> No			
<b>1.11</b>	In case <b>specific technical expertise</b> is required to perform the contracted service on behalf of CJ ICM please attach supporting documents (e.g. certificates, permits to transport dangerous goods, CEMT permit, etc.)	<input type="checkbox"/> Attached	
		<input type="checkbox"/> N/A	
<b>1.12</b>	Give a <b>date of original formation</b> of the company, and the company name at the time of formation if different from current name		



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<b>1.13</b>	Provide the <b>commercial registration number</b> and the <b>registration authority</b>	
<b>1.14</b>	<p>Please provide your registration document showing the following items:</p> <ul style="list-style-type: none"> <li>• commercial registration number,</li> <li>• date and place of registration,</li> <li>• the country in which you are incorporated,</li> <li>• your registered address,</li> <li>• your principal business activities,</li> <li>• the names and addresses of the directors / legal representatives,</li> <li>• changes in registered name, activities and / or directors / legal representatives,</li> <li>• signed by registration authority.</li> </ul>	<input type="checkbox"/> Attached  <input type="checkbox"/> N/A
<b>1.15</b>	Provide any <b>other names</b> by which the individual or company has been known, date of name change and why the name was changed	
<b>1.16</b>	Has the company <b>merged</b> with any other entity in the last ten years?	<input type="checkbox"/> No  <input type="checkbox"/> Yes Name of entities and date of merger:
<b>1.17</b>	Number of your <b>employees</b>	
<b>1.18</b>	Do you know any <b>former employees of CJ ICM</b> working (employed or as external support, e.g. consultant) for your company?	<input type="checkbox"/> No  <input type="checkbox"/> Yes



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		Name(s) and role(s) at your company:
<b>1.19</b>	Please provide <b>information about the company structure</b> (e.g. organizational chart including business units, key executives, office accommodation, staff and infrastructure)	<input type="checkbox"/> Attached
		<input type="checkbox"/> N/A
<b>1.20</b>	Please <b>list all countries where work will be performed for CJ ICM</b> and provide information that you can perform services in these countries (e.g. name of your entity, information from public domain, certificates of registration of subsidiaries or local offices in country where work will be performed)	<input type="checkbox"/> Attached
		<input type="checkbox"/> N/A
		<input type="checkbox"/> N/A
<b>1.21</b>	Please list all <b>other locations</b> of business (list all global locations in which the company operates)	
<b>1.22</b>	Please advise approx. <b>turnover</b> (i.e. annual sales volume net of any discounts or taxes) <b>and net profit per year</b> of your company in total, in the last five years, in USD or in EUR in the table below and provide in support of these figures <b>financial statements</b> (externally reviewed).	<input type="checkbox"/> All figures included in table below
		<input type="checkbox"/> Supporting documents attached



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	<p>→ please indicate the turnover / net profit of the entire company, and not the turnover / net profit you have with CJ ICM</p> <p>→ Supporting documents: published and audited annual financial statements or a summary of financial statements (externally reviewed)</p>	
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Financial year	Approx. turnover	Net profit	Currency

**Ownership and management**

<b>1.23</b>	As a company, are you <b>publicly held or listed on a stock exchange?</b>	<input type="checkbox"/> Yes
		<input type="checkbox"/> No
<b>1.24</b>	If yes, please attach a copy of your <b>most recent public filing</b> showing the company's shareholders, partners, or owners  If this filing does not list <b>major (&gt; 5%) shareholders</b> , please identify the major shareholders (public and non-public).	<input type="checkbox"/> Attached
		<input type="checkbox"/> N/A
<b>1.25</b>	If you are not publicly held or not listed on a stock exchange, please provide details about the <b>ownership structure</b> (e.g. the names of all your shareholders with a controlling interest, partners, or beneficial owners)  If your direct owner is a company, list the ultimate beneficial owner and any intermediate entities or persons.	<input type="checkbox"/> Attached
		<input type="checkbox"/> N/A
<b>1.26</b>	CJ ICM would like to learn more about your <b>professional (technical and/or commercial) experience and</b>	<input type="checkbox"/> All names and roles included in table below



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<p><b>knowledge.</b></p> <p>Please give the full names (including middle name, if known) of all <b>key executives</b> (i.e. directors, senior management and employees with executive authority acting in connection with the performed services on behalf of CJ ICM) in the table below and attach a short summary or CV for all of them, providing the following information:</p> <ul style="list-style-type: none"> <li>• Full name</li> <li>• Date of birth</li> <li>• Role at your company</li> <li>• Education relevant with regard to the job role and the services provided on behalf of CJ ICM</li> <li>• Former employers (including role and period of employment).</li> </ul> <p>→ If names are different in local language and/or lettering, please indicate them as well</p>	<p><input type="checkbox"/> CVs or short summaries attached</p>																											
<table border="1" style="width: 100%;"> <thead> <tr> <th style="width: 10%;"></th> <th style="width: 40%;">Name</th> <th style="width: 50%;">Role</th> </tr> </thead> <tbody> <tr><td>1</td><td></td><td></td></tr> <tr><td>2</td><td></td><td></td></tr> <tr><td>3</td><td></td><td></td></tr> <tr><td>4</td><td></td><td></td></tr> <tr><td>5</td><td></td><td></td></tr> <tr><td>6</td><td></td><td></td></tr> <tr><td>7</td><td></td><td></td></tr> <tr><td>8</td><td></td><td></td></tr> </tbody> </table>			Name	Role	1			2			3			4			5			6			7			8		
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**Potential conflict of interest/compliance concerns**

→ The information you provide in this section will only be reviewed by the legal department and not stored in the database.

<b>1.27</b>	Are you or any of the company's officers, directors, owners, employees, agents, or any person who acts on your or on your company's behalf or interest, or immediate family members thereof, currently or in the past, a <b>government official, official of a political party or candidate for a public office</b> , whose official duties include decisions to direct business to you, your company or CJ ICM or to supervise, or otherwise control or direct the actions of government officials, officials of a political party or candidates for a public office, who are in a position to do so, and therefore might potentially be in a conflict of interest ?	<input type="checkbox"/> No
		<input type="checkbox"/> Yes Details about government connections:
<b>1.28</b>	Have there ever been <b>investigations</b> on corruption with regards to <b>U.S. FCPA, UK Bribery Act, or on anti-trust violations, trade sanctions</b> or similar regulations in which you or any executive or shareholder have been involved or implicated, either as a party to, witness of or the subject of corrupt practices?	<input type="checkbox"/> No
		<input type="checkbox"/> Yes Details about investigations:
<b>1.29</b>	Have you or has your company or any of its officers, directors, owners, employees, agents, or any person who acts on your or on your company's behalf or interest, been charged or convicted with a <b>criminal offence</b> regarding fraud or bribery in the last five years?	<input type="checkbox"/> No
		<input type="checkbox"/> Yes Details about criminal offence(s):
<b>1.30</b>	Has your company ever had any <b>bankruptcy proceedings</b> instituted against it?	<input type="checkbox"/> No
		<input type="checkbox"/> Yes Details about bankruptcy proceedings:





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### Commercial information


<b>1.31</b>	How much <b>time of</b> the company's overall time <b>is or will be devoted to</b> the business relationship with CJ ICM?	<input type="checkbox"/> < 30 % <input type="checkbox"/> 30 - 70 % <input type="checkbox"/> 71 - 95 % <input type="checkbox"/> > 95 %
		Explanation / Background:
<b>1.32</b>	What is the <b>frequency of service</b> you (will) provide to CJ ICM?	<input type="checkbox"/> frequent (+/- daily) <input type="checkbox"/> often (+/- weekly) <input type="checkbox"/> regular (+/- monthly) <input type="checkbox"/> irregular <input type="checkbox"/> one off
<b>1.33</b>	Do you plan to <b>use third parties or consultants</b> for the tasks or services you will provide to CJ ICM?	<input type="checkbox"/> No <input type="checkbox"/> Yes
	<b>Please provide details below</b>	<b>→ Attach a separate file if you need more space</b>
	1) the name and address of the third party;	
	2) a description of the services to be provided;	
	3) the identity, owners or shareholders of the entity;	
	4) the place of incorporation or organization, type of business;	
	5) the number of years in business;	
	6) the number of years the third party / consultant is known to you;	
	7) can you provide references for the third party / consultant;	
	8) proposed compensation for the third party / consultant;	
	9) is there any affiliation with a government, a government official or a family member of a government official and similar background information on parties involved in profit sharing?	<input type="checkbox"/> Yes <input type="checkbox"/> No
	10) have you conducted or will you conduct background of integrity checks on these third	<input type="checkbox"/> No <input type="checkbox"/> Yes



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	parties?	Provide details:		
<b>1.34</b>	<b>Compliance Policies:</b>	<input type="checkbox"/> No		
	1) Does your company have an integrity code and/or compliance, including Anti-money laundering, FCPA, UK Anti-Bribery Act and other similar policies?	<input type="checkbox"/> Yes		
		Name of integrity code and / or compliance policies:		
	2) I have read CJ ICM's Supplier Code of Conduct and agree to abide by it.			
	3) Please attach a copy of the integrity code / compliance policies mentioned above.	<input type="checkbox"/> Attached		
		<input type="checkbox"/> N/A		
	4) To whom are the policies distributed?			
		<input type="checkbox"/> N/A		
	5) Do they cover everyone involved in the proposed business relationship?	<input type="checkbox"/> Yes		
		<input type="checkbox"/> No		
<b>1.35</b>	<b>Business references:</b> Please provide at least three independent (external) contactable references. Include contact name, telephone and email address			
		<b>Company</b>	<b>Contact Name</b>	<b>Contact Details</b>
	1			
	2			
	3			
	4			
	5			

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<b>1.36</b>	<p><b>Bank reference:</b> Please provide a letter from the bank in which you have/your company has one or more business accounts (on the bank's letterhead), containing <b>(1) an assessment on the quality of the banking relationship</b> and <b>(2) the length of time that you have had the account.</b></p> <p>→ The bank reference should <b>not be more than six months old.</b></p>		<input type="checkbox"/> Attached

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### List of supporting documents

The list below compiles supporting documents that have been requested in the questionnaire. If the documents are not available in English, the list clarifies translation requirements.

→ Please note that in all cases it is acceptable to provide the translation in legible handwriting on the original documents.

	Reference	Document	Details that need to be in English
<b>1.37</b>	1.10	Customs clearance license / certificate	Validity period and translation of description of authorised services contained in license / certificate. If the document is not in the Latin alphabet, please provide a translation of the name of the issuing authority.
<b>1.38</b>	1.14	Registration documents	Only information (if applicable) relating to: <ul style="list-style-type: none"> <li>• relevant registered business activities;</li> <li>• date and place (including country) of registration;</li> <li>• registration number;</li> <li>• registration authority;</li> <li>• names of directors / legal representatives;</li> <li>• changes in registered name, activities and /or directors / legal representative.</li> </ul>
<b>1.39</b>	1.19	Company organizational structure	Include translation regarding: <ul style="list-style-type: none"> <li>• business unit name;</li> <li>• names and designations of key executives.</li> </ul>
<b>1.40</b>	1.24	Most recent public filing showing the company's shareholders, partners, or owners	Include translation regarding the company's shareholders, partners, or owners
<b>1.41</b>	1.25	Ownership structure	Names and percentage shareholding of the shareholders with controlling interest, partners or beneficial owners. If the direct owner is a company, include translation of the document where it reflects the names of individuals who are the ultimate beneficial owners and any intermediate entities or persons.
<b>1.42</b>	1.26	Summaries (CVs) detailing professional technical and / or commercial experiences and knowledge of the key executives	Where the document is not in Latin alphabet: <ul style="list-style-type: none"> <li>• Name</li> <li>• Date of birth</li> <li>• Role at the company</li> <li>• Education relevant to the role at the company</li> <li>• Former employers (including names, positions held and period of employment)</li> </ul>
<b>1.43</b>	1.34	Integrity code / compliance policies	Translation of information or clause relating to anti-bribery and anti-corruption

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1.44	1.36	Bank reference letter	Translation of the content of the letter from the bank (i.e. this should include a translation of the bank's description of the assessment of the quality of the banking relationship and the length of time that company has had its account with the bank)
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**Certification**

<p>I agree that the personal data may be stored and processed for later business assessments by CJ ICM</p> <p>I further agree that that all applicable import, export control and sanctions laws, regulations, orders and requirements, as they may be amended from time to time, including without limitation those of the United States, the European Union, the UAE and the jurisdictions in which I/we am/are established or from which items may be supplied, and the requirements of any licenses, authorisations, general licences or licence exceptions relating thereto will apply to its receipt and use of hardware, software, services and technology.</p> <p>In no event shall I/We use, transfer, release, export or re-export any such hardware, software or technology in violation of such applicable laws, regulations, orders or requirements or the requirements of any licences, authorisations or licence exceptions relating thereto.</p> <p>I have been provided with CJ ICM's Supplier Code of Conduct, have no objections to, and agree to abide by it in full while working with CJ ICM.</p>	<input type="checkbox"/> Yes  <input type="checkbox"/> No
Signature	
Full name and Job Title	
Place and date of signature	