

## Third Party Due Diligence Questionnaire

The purpose of this form is to obtain important background information necessary for appropriate compliance approval in connection with you or your company's relationship with Poongsan. Please complete this form and submit it together with all related documents to your contact department of Poongsan. Your cooperation in completing this form is important to us and is greatly appreciated.

If you feel that you need to answer "not applicable" to any of the questions, please briefly explain why that answer is most appropriate. If any of the requested documentation does not exist, please note that in the relevant section of the form. If any space in the form intended for your answer to any question is insufficient, then please add further detail on additional sheets of paper, making reference to the relevant question. Should there be any questions, please contact Poongsan or your Poongsan contact.

Has this form been previously submitted to Poongsan?

☐ Yes ☐ No

If **Yes**, please provide updates for any information that may have changed.

### 1. Identifying information

a. Name of Third Party: \_\_\_\_\_

b. Address: \_\_\_\_\_

c. Telephone: \_\_\_\_\_

d. Website: \_\_\_\_\_

e. Email: \_\_\_\_\_

f. Contact: \_\_\_\_\_

g. Type of Business:

☐ Sole Proprietorship ☐ Partnership ☐ Corporation ☐ Individual / Independent Worker

h. Country of Incorporation (if applicable): \_\_\_\_\_

i. Registration Number and/or Tax Identification Number (if applicable): \_\_\_\_\_

j. Date of Establishment (if applicable): \_\_\_\_\_

k. Principal Line of Business

l. Head Office and other Locations of Business (if applicable): \_\_\_\_\_

m. Please describe the services to be provided to Poongsan and/or the proposed business relationship with Poongsan, including how you were introduced to Poongsan.

n. Are there any required business licenses or registrations that you or your company must hold? ☐ Yes ☐ No

If **Yes**, please a description along with a copy of such licenses or registrations.

☐ Materials attached

- o. Are there any anticipated interactions with government entities (government departments, ministries, agencies, legislatures, political parties, or government-owned companies) or any officials of such entities (such as employees, representatives, elected or appointed officials) on Poongsan's behalf or in connection with your business with Poongsan? Note: Interaction may include direct or in-person contact, telephone or electronic communications, filing papers, obtaining documentation such as licenses, visas or permits, or paying duties or fees.

☐ Yes ☐ No

If **Yes**, please describe those interactions and identify all the individuals in your company who are likely to have them.

- p. Will any other company or individual be used, hired, or subcontracted by you or your company to perform work on Poongsan's behalf or in connection with the proposed business relationship with Poongsan? Note: This includes your company's subsidiaries, affiliates, partnerships, joint ventures, consultants, intermediaries, public relations agencies, marketing agencies, logistics providers, freight forwarders, customs brokers other than company employees.

☐ Yes ☐ No

If **Yes**, are there any anticipated interactions with government entities (government departments, ministries, agencies, legislatures, political parties, or government-owned companies) or any officials of such entities (such as employees, representatives, elected or appointed officials) on Poongsan's behalf or in connection with your business with Poongsan? Note: Interaction may include direct or in-person contact, telephone or electronic communications, filing papers, obtaining documentation such as licenses, visas or permits, or paying duties or fees.

☐ Yes ☐ No

If **Yes** to the question above, please describe those interactions and identify the individual or company likely to have them and a description of the role/function such individuals or companies will perform.

## 2. Third party operations

- a. Briefly describe the nature and history of your business.

- b. List all subsidiaries and affiliates (such as sub offices or branches) and the countries in which you will be performing work for Poongsan.

- c. Approximate turnover/revenue in the last five years (check as appropriate):

☐ Less than \$1 million (U.S.)

☐ \$1 - \$10 million (U.S.)

☐ \$10 - \$50 million (U.S.)

☐ Over \$50 million (U.S.)

- d. If your company is a new venture, estimated turnover/revenue for the next business year:

- e. Please provide copies of your company's most recent audited financial statements and/or the most recent unaudited financial statements. If full financial statements are unavailable, please provide a copy of the current balance sheet and income statement.

☐ Materials attached.

- f. If you are individual/independent worker/sole proprietorship, please provide a curriculum vitae. For companies, please provide copies of company brochures, certificate of incorporation of company's registration in the country in which the company is incorporated and in all of the countries of intended activity on behalf of involving Poongsan, annual reports (if available) and any other documentation deemed appropriated.

☐ Materials attached.

- g. Please state how many employees your business has (at your head office and overall) and include a copy of your company's most recent organizational chart.

Number of employees: \_\_\_\_\_

☐ Organization chart attached.

- h. List all previous or current relationships, if any, with Poongsan.

- i. Do you provide services for or are you in a business relationship for other companies or

institutions in the same industry as Poongsan?

☐ Yes ☐ No

If **Yes**, please identify the top three in terms of volume of business.

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If **No**, do you anticipate providing services exclusively for or only partnering with Poongsan?

☐ Yes ☐ No

j. Please identify the proposed method of payment (e.g., wire transfer to bank account):

Name of Account Holder: \_\_\_\_\_

Name of Bank: \_\_\_\_\_

Branch Name: \_\_\_\_\_

Location and Address of Bank: \_\_\_\_\_

Account Name: \_\_\_\_\_

Account Number: \_\_\_\_\_

Swift Code: \_\_\_\_\_

Currency: \_\_\_\_\_

### 3. Ownership and management

a. If a company, are your shares publicly traded?

☐ Yes ☐ No

b. If shares are publicly traded, please attach a copy of your most recent public filing showing the company's shareholders, partners, or owners. If this filing does not list shareholders, please identify, to the extent consistent with privacy laws, all major (greater than 5%) shareholders (public and non-public) and their ownership percentage.

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☐ Materials attached

c. If not publicly traded, five the names, nationalities, and ownership percentage of all shareholders, partners, or beneficial owners. Note: If any direct owner is a company, list the ultimate beneficial owner and any intermediate entities or persons. Holders of passive ownership interests, if any, must be included.

d. Give the names, nationalities, and relevant experience of:

- All other employees who will be performing services under the proposed contract of otherwise working in connection with Poongsan business:

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☐ Materials attached.

#### 4. Additional relationship questions

- a. Are you, any company owner (including any ultimate beneficial owner or shareholder) or company director, officer or employee either a present or former government official? Note: "Government official" means any employee or elected/appointed official of any government department, ministry, agency, legislature, political party, candidate for political office.
- ☐ No
- ☐ Yes. Please provide details: \_\_\_\_\_
- b. Are there any local laws or regulations that apply to you or any of your company's owner (including any ultimate beneficial owner or shareholder), or company officers, directors, or employees that restrict ownership or employment after a government official leaves office?
- ☐ No
- ☐ Yes. Please provide details: \_\_\_\_\_
- c. In the past five years, have you, your company, any currently or previously associated organization, or any present or former company owner, officer, director, or employee of any of such organization ever been suspended from doing business in any capacity (e.g. by a regulatory authority or public organization), investigated, deposed, interviewed, arrested, charged or convicted with any criminal act or the subject of any allegation of fraud, misrepresentation, kickbacks, bribery or other related activities, or violations of antitrust laws, environmental laws, tax laws, securities or trading laws, trade controls or economic sanctions?
- ☐ No
- ☐ Yes. Please provide details: \_\_\_\_\_
- d. Have you, your company, any company owner (including any ultimate beneficial owner or shareholder), officer, director, or employee been convicted of violating any rules or regulations governing the purchase or sale of goods or services to or by any government?
- ☐ No
- ☐ Yes. Please provide details: \_\_\_\_\_
- e. Have you, your company, any company owner (including any ultimate beneficial owner or shareholder), officer, director, or employee ever been accused, investigated, charged or convicted of violating any rules or regulations governing government or World Bank contracts or been suspended or debarred from participating in government or World Bank contracts?
- ☐ No
- ☐ Yes. Please provide details: \_\_\_\_\_
- f. Have you, your company, any company owner (including any ultimate beneficial owner or shareholder), officer, director, or employee ever been accused, investigated, charged or convicted of violating any rules or regulations governing the donations, honoraria or any other remuneration to any government official?
- ☐ No

- ☐ Yes. Please provide details: \_\_\_\_\_
- g. Have you or your company, any company owner (including any ultimate beneficial owner or shareholder), voluntary or involuntary bankruptcy?
- ☐ No
- ☐ Yes. Please provide details: \_\_\_\_\_
- h. Has any owner (including any ultimate beneficial owner), director, officer or key employee of your company, or any member of their immediate family, ever been employed by Poongsan?
- ☐ No
- ☐ Yes. Please provide details: \_\_\_\_\_
- i. Does your company, or any owner (including ultimate beneficial owner or shareholder) have any service or other contracts directly with a government or government controlled entity?
- ☐ No
- ☐ Yes. Please provide details: \_\_\_\_\_
- j. Does your company have a code of conduct or written guidelines, manuals, policies and procedures addressing compliance and ethical business practices and the prevention of bribery?
- ☐ No
- ☐ Yes. Please provide a copy of the code of conduct and/or any such guidelines, manuals, policies and procedures.
- ☐ Materials attached
- k. Does your company have a system of accounting controls?
- ☐ No
- ☐ Yes. Please provide a description: \_\_\_\_\_
- l. Please use this space to add other comments:
- ☐ By checking this box, I hereby certify that I, or the company I represent, previously submitted this questionnaire and that only the information set forth above, if any, has changed since the last submittal.

I affirm that all information submitted in response to this Questionnaire, including information in any attachments or exhibits, is complete and accurate. I understand that Poongsan will rely on the above information in determining whether to enter into any contractual agreement or other arrangement with me/my company, and that any false or misleading information provided would be grounds for the immediate termination of any such contractual agreement or other arrangement.

I understand the requirements of applicable anti-bribery laws and Poongsan's prohibition on all forms of corruption, and certify that neither I nor/my company have taken, or will take, any action in connection with the proposed relationship with Poongsan that would violate any such law or prohibition.

I authorize Poongsan and its employees or contractors to conduct due diligence regarding myself, my organization, its shareholders, or owners to the extent legally permissible and as Poongsan deems appropriate. I understand that this due diligence may include verification of education, employment/work history, criminal history information, and that Poongsan will undertake reasonable efforts to ensure any information it gathers is kept confidential. I expressly consent to the transfer of information provided in response to this Questionnaire, including any personally identifiable information, and further agree to forever release, discharge, and hold harmless Poongsan, its agents, directors, employees, subsidiaries, affiliates, and representatives from any claims, damages, losses, liabilities, costs, and expenses (including any attorney and/or legal fees) or any other charge or complaint filed, arising from any legally appropriate due diligence efforts undertaken and the use of any information gathered during such efforts.

I represent and acknowledge that I have the authority to sign this Questionnaire on my or my company's behalf.

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

Email: \_\_\_\_\_