

INTEGRITY DUE DILIGENCE QUESTIONNAIRE

- COMPANY INFORMATION**

Full legal company name	
All previous company names	
Registered address	
Primary trading address, if different from the registered address	
Date of incorporation	
Country of incorporation	
Is your company a branch or subsidiary ¹ of a foreign parent company?	
Country of incorporation of your foreign parent company	
Core business activities	
Type of cargo and Industries served	
List countries/jurisdictions that your company operate in	

¹ Being a 'subsidiary' includes, but is not limited to, instances where a foreign parent company holds a minority shareholding in your company with a local partner or sponsor holding a majority stake

- OWNERSHIP**

Please list the names of all shareholders or owners who hold a financial interest in your company 10% and above.

Company Name of Full name (for individuals)	Nationality (for individuals)	Country of Incorporation / Country of Residence (for individuals)	Company Registration Number / Passport Number (for Individuals)	Percentage of ownership

If one or more of your shareholders/owners is a company, list the ultimate beneficial owner(s)².

Company Name of Full name (for individuals)	Nationality (for individuals)	Country of Incorporation / Country of Residence (for individuals)	Company Registration Number / Passport Number (for Individuals)	Percentage of ownership

Is your company or foreign parent company (if relevant) a state-owned entity (SOE)³? If yes, please provide details.

● **KEY EXECUTIVES**

Please provide the following details for each of your company’s Key Executives⁴.

Full Name	Job Title	Gender	Nationality	Passport Number	Country of Residence

Are any of the Key Executives listed above politically exposed persons⁵ in jurisdictions in or outside OMAN? If yes, please provide details.

Full Name	Identify Political Exposure

³ A SOE is an entity in which a government or state has significant control through full, majority, or significant minority ownership.

⁴The Key Executives are the board of directors and members of the corporate executive team.

Please provide the following details for each of the Key Executives of your company's foreign parent company(s).

Full Name	Job Title	Nationality	Country of Residence

- Are any of the Key Executives listed above politically exposed persons in jurisdictions outside the OMAN? If yes, please provide details.

- Has the Company had any conflict of interest with ASYAD Group (and subsidiaries)⁶ Director's or employees up to second degree?

If yes, provide a description of such conflict.

- Has the Company had any kind of partnership (silent or official) with ASYAD Group and subsidiaries Director's employees?

⁵Politically exposed persons include:

- Heads of state or government
- Ministers and deputy ministers
- Members of parliaments
- Ambassadors
- Members of high-level judicial bodies
- High-ranking officers in the armed forces

- Members of the boards of directors or corporate executive teams at state-owned entities
- The immediate family (i.e., those related directly or through marriage) of a person in any of the above categories.

⁶ ASYAD GROUP and Subsidiaries.

- **COMPLIANCE- Anti Bribery and Sanctions**

Does your company have current and formally documented policies covering Fraud, Anti-Bribery and Corruption, Sanctions, Code of Business Conduct, Business Code of Ethics, etc.?

You may be asked to provide a copy of these policies at a later date.

Are any of:

- Your company
- any of your company's subsidiaries⁷
- your foreign parent company (if relevant) or any of its subsidiaries
- the Key Executives of your company or your foreign parent company (if relevant)

currently subject to any international sanctions regime⁸ or listed on any government watch list or sanctioned/restricted party list?

If yes, please provide details.

In the past 15 years, has your company or foreign parent company (if relevant) been convicted of any offences, whether civil or criminal? This includes, but is not limited to:

- Corruption and bribery
- Fraud and misconduct
- Money laundering and tax evasion
- Other criminal activities or unethical business practices
- Breaches of sanctions regimes and/or regulatory frameworks
- If yes, please provide details.

⁷ In this context, subsidiary means any entity in which your company directly or indirectly holds an interest of 50% or more.

⁸ International sanctions regimes include, but are not limited to, international economic, sectoral, financial or trade sanctions laws and/or regulations enforced by:

- Oman.
- the Gulf Cooperation Council (the Council as a whole and not its individual members).
- the United Nations Security Council (the Council as a whole and not its individual members).
- the U.S. Department of Treasury Office of Foreign Assets Control.
- the U.S. Department of Commerce Bureau of Industry and Security.
- the U.S. Department of State.
- the European Union (the Union as a whole and not its individual members); and
- Her Majesty's Treasury of the United Kingdom.

Does your company engage, directly or indirectly, with any countries, entities, or individuals that are subject to international sanctions (as issued by OFAC, the EU, the UN, or the UK)?

Yes No

If Yes, please specify: _____

Does your company primarily conduct international transactions in any of the following currencies: USD, EUR, GBP, or others?

Yes No

If yes, please specify currency/currencies: _____

In doing business with ASYAD Group and Subsidiaries will you interact with public officials on ASYAD's Group behalf in jurisdictions other than the Oman? For example, customs officials for clearance of goods or obtaining permits or licenses for ASYAD Group and Subsidiaries outside the Oman? (Yes/No. If yes, how.).

In doing business, please describe the company's general approach and procedures for complying with (i) applicable economic sanctions regimes, trade embargoes and related rules and regulations and (ii) the UK Bribery Act, the US Foreign Corrupt Practices Act or equivalent applicable anti-bribery and anti-corruption laws and OFAC.

Please identify and briefly describe any business activities or interests of the company, including any offices or facilities in, cargo origin, commercial contracts associated with, investments from or in, or joint ventures with companies or persons subject to the jurisdiction of any the following territories: Crimea, Cuba, Iran, North Korea, Sudan, or Syria.

- **GEOGRAPHIC AND TRADE COMPLIANCE**

What are the primary destination countries for your shipments?

Do you anticipate shipping to, from, or through any country currently subject to comprehensive (country-wide) sanctions/embargoes (e.g., Cuba, Iran, North Korea, Syria)?

Primary Goods/Commodities Shipped *(To identify controlled, dual-use, or military goods.)*

Are any of your goods classified as Dual-Use, Military/Defense Articles, or subject to specific export controls (e.g., WMD proliferation controls)?

Do you expect to use any third-party payers or consignees that are NOT the registered customer entity?

- **ANNUAL REVENUE AND BANK DETAILS**

Would you specify range (more than USD 500m+; USD 500m- USD 100m; under USD 100m).

Please provide hereafter your company's bank details that will be used to receive and/or make payments.

Bank Name

Bank Address

Account Name

Account Number/Swift Code/IBAN

● **MAIN CONTACT**

Please provide the contact details of the focal points in your company – include full name, email and direct phone number.

Finance (for payments and other)

Contract Manager

Compliance and/or Legal

● **REQUIRED DOCUMENTS**

- Certificate of formation (CoF)/ Certificate of incorporation("Col") /Commercial Registration("CR")
- Commercial License
- Shareholder Structure
- Article of Association/ Constitutive Document
- Proof of tax ID number
- Copy of Latest Audited Financial Statement covering 3 years
- Proof of Ultimate Beneficiary of Bank Account holder / Payee
- A signed undertaking for sanctions compliance.
- Copy of passport or CR, Col and CoF of people and companies mentioned in section key executives and ownership

● **DECLARATION**

I/We hereby declare that, to the best of my/our knowledge and belief, the information provided in this submission is true, complete, and accurate. I/We understand that any misrepresentation or omission may affect the assessment, approval, or renewal of the related application. I/We further undertake to comply with all applicable laws, regulations, and internal policies of Asyad Group.

- **SIGNATURE**

Signature

Name

Position

Date

Company Stamp