

Appendix 3

AGENT / THIRD PARTY QUESTIONNAIRE

The Company takes the prevention of corruption very seriously, and therefore requests the following information from your Company (hereafter “**your Company**”) to ensure the highest levels of ethical conduct. Your co-operation is greatly appreciated.

1.	Your Company's Name and Address - Principal place of business: <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <tr><td style="width: 40%;">Company Name</td><td></td></tr> <tr><td>Type of Business</td><td></td></tr> <tr><td>Street Address (including city and country)</td><td></td></tr> <tr><td>Telephone</td><td></td></tr> <tr><td>Website Address</td><td></td></tr> <tr><td>Contact Person's Full Name</td><td></td></tr> <tr><td>Email Address</td><td></td></tr> </table>	Company Name		Type of Business		Street Address (including city and country)		Telephone		Website Address		Contact Person's Full Name		Email Address	
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Type of Business															
Street Address (including city and country)															
Telephone															
Website Address															
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2.	Your Company's Name and Address - Country where services will be performed: <input type="checkbox"/> Tick here if same as above <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <tr><td style="width: 40%;">Company Name</td><td></td></tr> <tr><td>Street Address (including city and country)</td><td></td></tr> <tr><td>Telephone</td><td></td></tr> <tr><td>Website Address</td><td></td></tr> <tr><td>Contact Person's Full Name</td><td></td></tr> <tr><td>Email Address</td><td></td></tr> </table>	Company Name		Street Address (including city and country)		Telephone		Website Address		Contact Person's Full Name		Email Address			
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3.	Bank Name and Address for payments to your Company, including account name and number: <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <tr><td style="width: 40%;">Bank Name</td><td></td></tr> <tr><td>Street Address (including city and country)</td><td></td></tr> <tr><td>Telephone</td><td></td></tr> <tr><td>Account Name</td><td></td></tr> <tr><td>Account Number</td><td></td></tr> </table>	Bank Name		Street Address (including city and country)		Telephone		Account Name		Account Number					
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4.	Which of the following best describes your Company? <div style="display: flex; flex-wrap: wrap; margin-top: 10px;"> <div style="width: 33%;"><input type="checkbox"/> Individual/Sole Proprietor</div> <div style="width: 33%;"><input type="checkbox"/> Partnership</div> <div style="width: 33%;"><input type="checkbox"/> Publicly Traded Corporation</div> <div style="width: 33%;"><input type="checkbox"/> Private Corporation</div> <div style="width: 33%;"><input type="checkbox"/> Limited Liability Partnership</div> <div style="width: 33%;"><input type="checkbox"/> State Owned Enterprise</div> <div style="width: 33%;"><input type="checkbox"/> Other (describe)</div> </div>														
5.	Is your Company listed on a stock exchange? Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes, on which stock exchange(s) is your Company listed and what is the stock symbol?														

6.	<p>Does your Company trade or operate under any other names?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If Yes, please list those other names:</p>										
7.	<p>Where and when was your business incorporated or founded?</p>										
8.	<p>How long has your Company been actively operating?</p>										
9.	<p>Please describe in detail the services you will provide to Hernan Group of Companies.</p>										
10.	<p>Please provide a description of your Company's capabilities to provide to Hernan Group of Companies the services described in 9 above.</p>										
11.	<p>Does your Company have the required licenses to deliver the services described in 9 and 10 above?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If "No", please explain in detail below:</p>										
12.	<p>How many employees does your Company have?</p>										
13.	<p>Please list all owners, partners, and shareholders in your Company (percentage should total 100%). In the case of a corporation where there are more than 50 shareholders, please list any person, company, or other entity who owns more than 10% of the shares in your Company. Attach additional pages if necessary.</p> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <thead> <tr> <th style="width: 60%; text-align: center;">Full Name</th> <th style="width: 40%; text-align: center;">Percent</th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> </tbody> </table>	Full Name	Percent								
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14.	<p>Is your Company a subsidiary of another company?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If "Yes", please identify the parent company, and provide the information given in response to question 13 in respect of the parent company. Attach additional pages if necessary.</p> <p>Parent company name:</p> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <thead> <tr> <th style="width: 60%; text-align: center;">Full Name</th> <th style="width: 40%; text-align: center;">Percent</th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> </tbody> </table>	Full Name	Percent								
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15.	Please list the Directors of your Company. Attach additional pages if necessary. <table border="1" style="width: 100%; margin-top: 10px; border-collapse: collapse;"> <tr> <th style="width: 40%; text-align: center;">Full Name</th> <th style="width: 60%; text-align: center;">Title</th> </tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> </table>	Full Name	Title										
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16.	Please list the Key Account Manager in your Company who will be principally responsible for the Hernan Group of Companies account. <table border="1" style="width: 100%; margin-top: 10px; border-collapse: collapse;"> <tr> <th style="width: 40%; text-align: center;">Full Name</th> <th style="width: 60%; text-align: center;">Title/Responsibilities</th> </tr> <tr><td> </td><td> </td></tr> </table>	Full Name	Title/Responsibilities										
Full Name	Title/Responsibilities												
17.	<p>Are any of the following individuals: (1) a current or former Government Official; or (2) a Close Family Member of a Government Official?</p> <ul style="list-style-type: none"> Any director, shareholder, or direct or indirect owner of your Company working on the Hernan Group of Companies account. Any agent or consultant of your Company, or Key Account Manager principally responsible for supervising or performing services on behalf of the Hernan Group of Companies account. <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If “Yes”, please provide details below:</p> <table border="1" style="width: 100%; margin-top: 10px; border-collapse: collapse;"> <tr> <th style="width: 33%; text-align: center;">Name of Government Official/Close Family Member</th> <th style="width: 33%; text-align: center;">Position in your Company</th> <th style="width: 33%; text-align: center;">Name of Government/Public Entity</th> </tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </table>	Name of Government Official/Close Family Member	Position in your Company	Name of Government/Public Entity									
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18.	<p>Will a current or former Government Official and/or their Close Family Member(s), receive any benefit or compensation (monetary or otherwise) if Hernan Group of Companies executes a contract with your Company?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If “Yes,” please identify the Government Official and/or Close Family Member(s), and describe the benefit that he or she will receive.</p> <table border="1" style="width: 100%; margin-top: 10px; border-collapse: collapse;"> <tr> <th style="width: 33%; text-align: center;">Name of Government Official/Close Family Member</th> <th style="width: 33%; text-align: center;">Description of Benefit</th> <th style="width: 33%; text-align: center;">Name of Government/Public Entity</th> </tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </table>	Name of Government Official/Close Family Member	Description of Benefit	Name of Government/Public Entity									
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19.	<p>Are any of the following individuals a relation, friend or business associate with any director, officer or senior manager at Hernan Group of Companies.</p> <ul style="list-style-type: none"> Any director, shareholder, or direct or indirect owner of your Company working on the Hernan Group of Companies account. Any agent or consultant of your Company, or Key Account Manager principally responsible for supervising or performing services on behalf of the Hernan Group of Companies account. Any individual responsible for negotiating the tender process on behalf of your Company working on the Hernan Group of Companies account. <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If "Yes", please identify the relevant individual(s) below:</p> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <thead> <tr> <th style="width: 33%; text-align: center; padding: 5px;">Name of Individual (your Company)</th> <th style="width: 33%; text-align: center; padding: 5px;">Name of Individual ([Company name])</th> <th style="width: 33%; text-align: center; padding: 5px;">Nature of Relationship</th> </tr> </thead> <tbody> <tr><td style="height: 30px;"></td><td></td><td></td></tr> <tr><td style="height: 30px;"></td><td></td><td></td></tr> <tr><td style="height: 30px;"></td><td></td><td></td></tr> </tbody> </table>	Name of Individual (your Company)	Name of Individual ([Company name])	Nature of Relationship									
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20.	<p>Has: (1) your Company; or (2) its directors, and shareholders/owners; or (3) any Key Account Manager principally responsible for the Hernan Group of Companies account, or other person working on behalf of your Company, to the best of your Company's knowledge, ever been subject to any legal investigation, regulatory action, or legal proceedings (criminal or civil) relating (directly or indirectly) to: (1) the violation of, or possible violation of, any laws, rules or regulations relating to bribery, corruption, sanctions, fraud, money laundering; or (2) payments, donations, contributions etc. to Government Officials or Close Family Members of any Public Officials; or (3) inaccurate record keeping or financial control deficiencies?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If "Yes", please provide full details, and describe the allegations that were made, how the allegations were resolved or, if not resolved, the current status of the investigation or proceeding (attach additional pages as needed).</p>												
21.	<p>Has: (1) your Company; or (2) its directors, and shareholders/owners; or (3) any Key Account Manager principally responsible for the Hernan Group of Companies account, or other person working on behalf of your Company, to the best of your Company's knowledge, disclosed to any regulatory and/or enforcement agency the violation of, or possible violation of, any laws, rules, or regulations relating to bribery, corruption, sanctions, fraud, money laundering, or any other criminal offences involving fraud or corruption?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If "Yes", please provide full details below (attach additional pages as needed).</p>												

22.	<p>Has: (1) your Company; or (2) its directors, and shareholders/owners; or (3) any Key Account Manager principally responsible for the Hernan Group of Companies account, or other person working on behalf of your Company, to the best of your Company's knowledge, ever offered, paid, or received (directly or indirectly) any improper payment incentive in order to obtain or retain business, or influence decision making?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If "Yes", please provide full details below (attach additional pages as needed).</p>									
23.	<p>Does your Company plan to use any other companies, including agents, subcontractors or joint venture partners, or individuals other than its own employees, to perform services for Hernan Group of Companies?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If "Yes", please provide full details below, but ONLY IF the entities or individuals:</p> <p>(a) will be dealing with Government Officials;</p> <p>(b) are owned directly or indirectly in whole or in part by Government Officials; or</p> <p>(c) have officers or directors who are Government Officials.</p> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <thead> <tr> <th style="width: 33%;">Name</th> <th style="width: 33%;">Relationship to your Company/Services Provided</th> <th style="width: 33%;">Connection with Government Official</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </tbody> </table>	Name	Relationship to your Company/Services Provided	Connection with Government Official						
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24.	<p>Does your Company have any policies, procedures and/or controls in place to prevent corruption?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If "Yes", please provide details below, and attach copies of such policies, procedures and/or controls.</p>									
25.	<p>Has: (1) your Company, or (2) its directors, or shareholders/owners; or (3) any Key Account Manager principally responsible for the Hernan Group of Companies account, or other person working on behalf of your Company, to the best of your Company's knowledge, been listed on any restricted trading list maintained by any country or the United Nations?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If "Yes", please provide full details below:</p> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <thead> <tr> <th style="width: 33%;">Name of Company or individual</th> <th style="width: 33%;">Name of sanction enforced</th> <th style="width: 33%;">Reasoning as to why the sanction was imposed</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </tbody> </table>	Name of Company or individual	Name of sanction enforced	Reasoning as to why the sanction was imposed						
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DEFINITIONS

For the purposes of this questionnaire:

“Government Official” means

- Officers and employees of any national, regional, local or other government.
- Elected or appointed government officials.
- Officers and employees of companies in which a government owns an interest.
- Candidates for public office.
- Political parties and their officials.
- Officers, employees or official representatives of any public international organization.
- Private individuals working for or on behalf of a government entity, public body, or public international organization (e.g. a consultant retained by a government department).

“Close Family Member of a Government Official” means a spouse or partner, one of his/her children, siblings or parents; the spouse or partner of his/her children or siblings; or any household member other than a domestic employee.

ANTI-BRIBERY AND CORRUPTION CERTIFICATION

Hernan Group of Companies takes its obligations to prevent corruption seriously, and expects all those it does business with, or extends business to, to conduct business in an ethical and compliant manner. Hernan Group of Companies has a zero-tolerance approach to bribery and corruption, and as such, requests that an authorised signatory of your Company certifies that:

1. Your Company, its officers, directors, and shareholders/owners, and/or any employee or other person working on behalf of your Company, to the best of your Company's knowledge, has not made, offered, promised to make or transferred any payment or anything of value, directly or indirectly, to **any individual** (including **Government Officials or Close Family Members**), to improperly obtain, retain, improperly influence, or direct business, or secure an improper advantage in the conduct of business, and has not (and will not) take any action to violate any applicable laws and regulations prohibiting bribery and corruption.
2. Your Company is not, at the time of signing this document, subject to any investigations or legal proceedings in relation to bribery, corruption, sanctions, fraud or money laundering, other than those disclosed above.
3. Your Company has read, understood and agrees to comply with the Company's policies and procedures set out in the Company's Anti-Bribery and Corruption Policy and Compliance Guide, and applicable Anti-Bribery and Corruption laws, including the US Foreign Corrupt Practices Act and the UK Bribery Act.

DATA PRIVACY CERTIFICATION

1. Your Company agrees to the disclosure of information contained in this questionnaire and understands that the completion of this questionnaire is voluntary, and that any personal information about your Company, its officers, directors, and shareholders/owners, and/or any employee or other person working on behalf of your Company has been voluntarily provided to Hernan Group of Companies.
2. Your Company consents to the processing of all information provided herein by Hernan Group of Companies, its affiliates and/or nominated third parties, and represents and warrants that the collection and disclosure of personal information provided herein complies with all applicable laws and regulations.
3. Your Company agrees to indemnify and hold Hernan Group of Companies harmless for any claim, action, or liability for any loss or harm that may arise as a result of your Company's failure to obtain the necessary data collection and processing consents.

I certify the above to be a true and accurate statement to the best of my knowledge and I agree to notify Hernan Group of Companies promptly of any material changes to the information provided herein

For and on behalf of [*insert name of organisation*]

Signature

Name and Title