



### **KYC/ DUE DILIGENCE QUESTIONNAIRE**

**To be completed for Counterparts in an AML approved country.**

#### **Section 1:**

<b>Corporate Information:</b>	<b>Provide Details:</b>
Registered Name of Company:	
Date of Incorporation/Registration:	
Company Registration NO:	
Nature of business/Objectives:	
Registered address:	
Country/State of Incorporation:	
Address of Head Office (If different from above):	
Parent Company Name:	
Status/Ownership: (Please indicate): (i) Public Company (ii) Private Company (iii) Individual (iv) Partnership (v) State or Government entity:	
List of Subsidiaries & Affiliated Companies:	
Company Website:	
Company Email address:	
If publicly quoted, please name Stock Exchange(s) and Listing (s):	
Otherwise, please provide details of the ultimate beneficial owners of the company and their % share: (A natural person):	
VAT or W9 Taxpayer ID NO:	
List of Major customers and suppliers:	
Indicate relevant regulatory approvals & Permits:	
<b>Litigation History:</b> Any pending litigation by or against the	

Company that the outcome will likely impede this transaction YES / NO.	
<b>If yes, please give details:</b>	
<b>Primary Contact Information:</b>	
Name:	
Title:	
Telephone:	
Mobile:	
Fax NO:	
Email:	
Designation:	
<b>Operations Contact Information:</b>	
Name:	
Title:	
Telephone:	
Mobile:	
Fax NO:	
Email:	
Designation:	
<b>Accounting Department Contact Information:</b>	
Name:	
Title:	
Telephone:	
Mobile:	
Fax NO:	
Email:	
Designation:	

## Section 2:

<b>Financial Information:</b>	<b>Provide Details and/or Copies:</b>
Please provide Audited Financial Statements for the last 3 years:	
Provide current Financial Statement (If audited statements are unavailable):	
Breakdown of revenue by product/service and geographical region:	
Bank reference letter from a first-class bank:	
Indicate outstanding debts and liabilities:	

Provide details of Capital Structure (eg outstanding shares and debt instruments):	
<b>Bank Information</b>	<b>Provide Details:</b>
Name of Principal bankers:	
Bank branch Address:	
Name of Account Manager & Contact details:	
Account Number:	
Account Name:	
SWIFT Code:	

### Section 3:

<b>Insurance Information:</b>	<b>Provide Details and/or Copies:</b>
Does your company have an insurance cover regarding this transaction?	
If yes, kindly provide the policy document. If no, do you plan to take one?	
Contact information of your company's Insurance Officer:	
i. Name	
ii. Mobile Number	
iii. Telephone Number	
iv. Email address	

### Section 4:

<b>Trade Information:</b>	<b>Provide Details and/or Copies:</b>
Provide your company's 12 months trading experience/history within your given products.	
Give details of your trade volumes and counterparties you have traded with:	
Give details of the grades of your crude/product traded:	
Indicate the names of vessels you have chartered.	

**Section 5:**

<b>KYC/Due Diligence Documentation Checklist (Please Tick &amp; Provide):</b>	<b>Please Tick &amp; Provide Copies:</b>			
CTC of Certificate of Incorporation:				
CTC of Memorandum & Articles of Association:				
Evidence of Good Standing as applicable to your jurisdiction:(Annual returns, CAC status reports, certificate of good standing).				
Relevant trade licenses and permits required for your jurisdiction.				
<b>Board Composition: Details of Directors (Provide CTC of ID documents and Proof of residential address that is not more than 3 months for each):</b>	<b>Full Names</b>	<b>Designation</b>	<b>ID NO:</b>	<b>Nationality</b>
Is any of your directors a politically exposed person? (PEP) Yes or No. If yes, please give adequate details.				
<b>Details of Key Management Staff:</b>	<b>Full Names</b>	<b>Designation</b>	<b>ID NO</b>	<b>Nationality</b>

A complete Organization Chart Showing the company's group affiliation and ownership composition %:	
CTC Copies of passports of ultimate beneficial owners of the companies. (A natural Person):	
Tax registration Form:	
Company Introduction/Brochure:	
<b>Legal &amp; Regulatory Compliance Checklist: (Please Tick &amp; Provide):</b>	<b>Please Tick &amp; Provide Copies:</b>
Anti-Bribery & Corruption Policy:	
Whistleblowing Policy:	
Human Rights Policy:	
Anti-Slavery Policy:	
Code of Conduct for Employees Policy:	
Code of Business Ethics & Conduct Policy:	
Responsible Sourcing/Due Diligence Policy:	
Labour Laws Policy:	
Conflict of Interest Policy:	
International Sanctions Policy:	
Diversity & Inclusion Policy:	
<b>Anti-Bribery &amp; Corruption Compliance Information:</b>	<b>Provide Details:</b>
Does your company require anti-corruption training for its employees?	
Is your Company compliant with Anti-bribery and corruption laws and regulations (e.g. UN CAC, AUCPCC, OECD, IACAC etc.)	
Has your Company or any of its directors paid money or given expensive gifts to any government officials, Politicians, Governors, Commissioners, Ministers and/or any official in power in Nigeria or any other country?	
Is your company involved in money laundering?	
Has your company or any of its directors been involved in oil theft from Nigeria or any other country?	
Is your Company involved in Financing of Terrorism or other financial crimes?	

Has your company or any of its directors given expensive gifts or money to any chief (s) or king (s) or monarchs(s) in Nigeria or any jurisdiction to cover up oil spills, thefts, or any illegal activities?	
Does your company have a policy and process in place to identify all counterparties ie customers, contractors, employees, and other parties? <b>If yes, please provide a copy.</b>	
Does your company conduct background checks on counterparties, to ensure the company does not deal with parties involved in money laundering, financing of terrorism and other financial crimes?	
Has your company or any of its directors paid money to militants, any group (s) or individual (s) for protection or to cover up oil theft, spillage or any illegal activities in Nigeria or any other jurisdiction where your company operates?	
Has any legal action been brought against your company before any regulatory agency regarding violations of anti-money laundering and/or terrorist financing laws and regulations? If yes, please provide details of name of case, court references and summary of the outcome of court proceedings).	
Has your company ever been requested by any government or business official to pay a bribe or to make a facilitation payment (a modest payment to an official) to do their job?	
Has any of your director (s), officers and any other key management staff or employee (s) of your company ever been indicted or convicted of any criminal offence including corruption offences? If yes, please provide details.	
Has your company or any of its affiliates, or any of its key management staff and or employee (s) been previously charged or currently charged with or investigated (either criminal or civil) by an enforcement or regulatory agency or been a defendant in a private litigation, related to any of the following:	

<p>Bribery/corruption, competition/antitrust law violations:</p> <p>Fraud: <input type="checkbox"/></p> <p>Organized Crime: <input type="checkbox"/></p> <p>Human trafficking: <input type="checkbox"/></p> <p>Money laundering: <input type="checkbox"/></p> <p>Tax law violations: <input type="checkbox"/></p> <p>Other financial or ethics related charges: <input type="checkbox"/></p>	
<p>Has your company made any contributions to any political party, politician, elected official or candidate for public office in any country? <b>If yes, please provide details.</b></p>	
<p>Are any of your staff relatives to any government official who has an influence over your company's area of business? <b>If yes, please provide details.</b></p>	
<p>Has your company provided any gifts, entertainment, travel or promotional sponsorship to government or business official in the past year? <b>If yes, please provide details.</b></p>	
<p>Does any government official or government department have a direct or indirect financial interest in your company's business? <b>If yes, please provide details.</b></p>	
<p>Does your company have any policy or procedure regarding the giving of gifts, business courtesies, gratuities or hospitality to commercial relations and government or public officials, by company personnel or its consultants, representatives, or agents? <b>If yes, please provide details.</b></p>	

<b>Other Information:</b>	<b>Provide Details:</b>
Name of Individual completing Questionnaire:	
Position:	
Telephone:	
Email:	
Date:	

***(As part of our due diligence requirement, we require that this questionnaire be certified by a notary public.).***

**Attestation:**

I, (full name and designation) hereby confirm the accuracy of the information and documents submitted above.

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Signed

\_\_\_\_\_

Date