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### GENERAL INFORMATION

The purpose of Saab's Due Diligence process, of which this Due Diligence Questionnaire is an integrated part, is to ensure that the candidate Intermediary Company ("Company") is qualified for the appointment, that it is of good standing reputationally and financially, and that it conducts its business in an ethical manner.

Saab AB ("Saab") adheres to the rules and regulations set forth below and expects that Company at least has equal standard on ethics and compliance.

- OECD Convention on combating bribery of foreign public officials in international business transactions (<http://www.oecd.org>).
- ICC Rules of Conduct to combat extortion and bribery (<http://www.iccwbo.org>).
- Aerospace And Defense Industries Association Of Europe (ASD) Common Industry Standards ([www.asd-europe.org](http://www.asd-europe.org)).
- Saab Code of Conduct (<http://www.saabgroup.com/>).

Submission of this Due Diligence Questionnaire to Saab is the first step in Saab's appointment process, and submission does not constitute a commitment by Saab to enter into a business relationship with the Company. The appointment by Saab of the Company is subject to a written Agreement between the parties.

### INSTRUCTIONS

Carefully and thoroughly complete this Questionnaire and provide all requested enclosures. Before returning the completed Questionnaire, attention should be paid to the following:

- ensure that all questions are duly answered
- if a certain response or a requested document is not provided, it must be clearly stated and justification given with the reasons why
- please note that Saab may conduct external inquiries and investigations in order to verify the information provided prior the appointment
- all requested documents shall, if given in its original language, also be submitted with translations into English
- ensure that the questionnaire is duly signed
- submission of this questionnaire shall be made by email to [email address].

### Definitions

The following definitions will be used through this questionnaire:

A1	Direct Owner (Individuals) of the Company
A2	Ultimate beneficial owner of the Company (ownership through Legal Entity)
B	Board of directors
C	Directors who perform services for Saab
D	All other personnel of the Company i.e. managers and employees who perform services for Saab
E	Key advisors to the Company
F	Third parties engaged by the Company who could be either Individuals and/or legal entities



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### 1 BUSINESS INFORMATION

Full name of the Company (as it appears in the register)	
Trading name (if applicable)	
Name in local language/ characters (if applicable)	
Address    Visiting address	
Postal address	
City	
State/Province	
Country	
Postal Code	
Telephone number	
E-mail	
Website	

### 2 REGISTRATION INFORMATION

Registration number	
Registration date	
Registration expire date (if applicable)	
Government office where registered	
City	
Country	
When was the Company established if different than above and under what name	
VAT/GST registration number or equivalent	
Type of legal entity	<input type="checkbox"/> Limited Liability Company <input type="checkbox"/> Limited Liability Partnership <input type="checkbox"/> Partnership <input type="checkbox"/> Sole Proprietor (unlimited personal liability) <input type="checkbox"/> Other, please describe

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### 3 OTHER REGISTRATIONS AND LICENSES

#### 3.1 Is the Company registered by any other organisations or associations than given above in paragraph 2

<input type="checkbox"/> Yes	<input type="checkbox"/> No	If "Yes", please describe hereunder or in an attachment
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### 4 OWNERSHIP AND BOARD OF DIRECTORS

#### 4.1 Are the securities of the Company traded publicly

<input type="checkbox"/> Yes	<input type="checkbox"/> No	If "Yes", please identify the exchange(s) where traded
------------------------------	-----------------------------	--

#### 4.2 List all direct owners and/or shareholders of the Company

Individuals (if any) (A1)	Nationality and Citizenship	Date of birth	Ownership share
Legal entities (if any)	Country of registration	Registration number	Ownership share
<b>Total</b>			<b>100 %</b>

#### 4.3 Ultimate beneficial owners of the legal entities above (A2)

Legal entity (as per above)	Individuals <sup>1</sup>	Nationality and Citizenship	Date of birth	Ownership share

<sup>1</sup> State all Individuals who holds an ownership of 5% or more in the legal entity.



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#### 4.4 Does any other person, entity, government or government entity have any management right or financial interest in the Company

<input type="checkbox"/> Yes <input type="checkbox"/> No	If "Yes", please describe hereunder or in an attachment
--	---

#### 4.5 Does Company have any subsidiaries

<input type="checkbox"/> Yes <input type="checkbox"/> No	If "Yes", please state hereunder or in an attachment
--	--

#### 4.6 Does the Company directly or indirectly own more than 5% in any other company

<input type="checkbox"/> Yes <input type="checkbox"/> No	If "Yes", please state hereunder or in an attachment
--	--

#### 4.7 Does the Company have a Board of Directors (B) and/or Key Advisors (E)

<input type="checkbox"/> Yes <input type="checkbox"/> No
--

If "Yes", please state the following for all members of Board of Directors:

Name	Date of Birth	Nationality	Title	Role (B/E)

#### 4.8 Are the owners, shareholders and/or beneficiaries/Key Advisors of the Company owners, officers or directors in any other entity (company)

<input type="checkbox"/> Yes <input type="checkbox"/> No	If "Yes", please state hereunder or in an attachment
--	--

### 5 PERSONNEL

#### 5.1 Intermediaries total number of personnel (employees) (including managers and directors)

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- 5.2 State all Directors (C), and other personnel (D) who are authorized to;**
- a. make binding decisions for Company and/or enter into contracts with customers**
  - b. market or sell products/services to customers**
  - c. interact with a government official or government entity who will perform services on behalf of Saab**

Name	Date of Birth	Nationality	Title	Role

### 6 THIRD PARTIES INTENDED FOR THE SAAB ASSIGNMENT

- 6.1 List third parties (F), i.e. individuals, companies or organizations that the Company may wish to contract in the performance of its services to Saab. Before each such potential contract is signed, a written approval from Saab is required**

Individuals (if any)	Nationality and Citizenship	Date of birth
Legal entities (if any)	Country of registration	Registration number

- 6.2 If the Company intends to contract such third parties, please describe in an attachment, the scope of the contemplated services and the reasons for contracting them**



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### 7 OTHER ENGAGEMENTS

#### 7.1 List the most important clients to the Company, in terms of invoicing

Client	Domain	Approximate share of company turnover in percent

#### 7.2 Does the Company market products or services to any government, government-controlled or military entity, including any state-owned enterprises

<input type="checkbox"/> Yes <input type="checkbox"/> No	If "Yes", please identify the government agencies hereunder
--	---

#### 7.3 Does the Company have any contracts with, or provide services directly to, any government, government-controlled or military entity, including any state-owned enterprises

<input type="checkbox"/> Yes <input type="checkbox"/> No	If "Yes", please identify the government agencies hereunder
--	---

### 8 FINANCIALS

#### 8.1 Are the Company's books and records maintained in accordance with generally accepted accounting practices

<input type="checkbox"/> Yes <input type="checkbox"/> No
--

#### 8.2 Does the Company have recent audited financial statement prepared by an external auditor

<input type="checkbox"/> Yes <input type="checkbox"/> No
--

#### 8.3 Please enclose copies of the two (2) recent year's financial statements/annual accounts or equivalent document of the Company

<input type="checkbox"/> Yes <input type="checkbox"/> No	If "No", please give a justification hereunder
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#### 8.4 Please fill in the bank details below and enclose a Bank Certificate issued and signed by the bank

a)	Bank	
b)	Branch (if applicable)	



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c)	Bank address	
d)	Phone	
e)	Bank contact person	
f)	Name of account holder	
g)	Account number	
h)	Swift/BIC code	
i)	IBAN code (if applicable)	

**8.5 Does the Company have a D-U-N-S number (DUNS <http://www.dnb.com/duns-number.html>)**

<input type="checkbox"/> Yes <input type="checkbox"/> No	If "Yes", please state number hereunder
--	---

**9 LOCAL REQUIREMENTS**

<input type="checkbox"/> Yes <input type="checkbox"/> No
--

**9.1 Are there any laws or regulations in the territory that result in restrictions or limitations relevant for the engagement of intermediaries and their operation in the territory**

<input type="checkbox"/> Yes <input type="checkbox"/> No
--

**9.2 Are there any particular laws and regulations and/or limitations pertinent to military sales regarding the engagement of intermediaries and their operations in the territory**

<input type="checkbox"/> Yes <input type="checkbox"/> No
--

**9.3 Is any registration with authorities, any license or permit required to operate as a company in the territory**

<input type="checkbox"/> Yes <input type="checkbox"/> No
--

**9.4 Are there any reporting obligations to any authorities when operating as an intermediary in the territory**

<input type="checkbox"/> Yes <input type="checkbox"/> No	If "Yes" to any of 9.1) to 9.4) above, please describe hereunder or in an attachment
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### 10 RELATIONSHIPS WITH OFFICIALS AND GOVERNMENT REPRESENTATIVES

The questions in this section 10 relate to all of the following persons and entities;

- any person or entity identified in section 4, Owners (A1) and/or Ultimate Beneficial Owners (A2), members of the board (B)
- any person identified in section 5, Directors (C) and other employees (D)
- any person or entity identified in section 6, (F) third parties potentially contracted by the company

#### 10.1 Is or has any of the persons or entities above been employed by, or otherwise engaged to perform work or services for, any Government entity, Government-controlled entity or Public Authority including the military, or considered part of a royal family

<input type="checkbox"/> Yes <input type="checkbox"/> No	If "Yes", please describe hereunder or in an attachment (including name of Public Authority, role/position, responsibilities, length of service and any other information reasonably relevant to Saab)
--	--

#### 10.2 Do any of the persons above have a closely related family member who is employed by or otherwise retained to perform work or services for a representative of any Government entity or Public Authority including the military, or considered part of a royal family

<input type="checkbox"/> Yes <input type="checkbox"/> No	If "Yes", please describe hereunder or in an attachment
--	---

#### 10.3 If yes to any of 10.1 to 10.3, please respond to this question; Must Government and Public Authority officials and employees of potential customers of Saab wait a specific period of time (revolving door policy) before working with promoting sales to the Government (in the territory)

<input type="checkbox"/> Yes <input type="checkbox"/> No	If "Yes", please describe hereunder or in an attachment
--	---

### 11 ETHICS & COMPLIANCE

#### 11.1 Does the Company have a written policy or code of conduct or similar addressing anti bribery

<input type="checkbox"/> Yes <input type="checkbox"/> No
--

If yes, please attach a signed copy of this policy/code

#### 11.2 Does the Company distribute its ethics and compliance (including anti bribery) policies/code to its employees

<input type="checkbox"/> Yes <input type="checkbox"/> No
--

#### 11.3 Has the Company been a party to any mergers or acquisitions over the past 5 years

<input type="checkbox"/> Yes <input type="checkbox"/> No	If "Yes" under questions 11.2 to 11.3 above, please describe hereunder or in an uploaded attachment
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### 12 DISCLOSURES

The questions in this section 12 relates to all of the following entities:

- the Company (Legal Entity)
- any person or entity identified in section 4, Owners (A1) and/or, members of the board (B)
- any person identified in section 5, Directors (C) and other employees (D)
- any persons or entities identified in section 6, (F) third parties potentially contracted by the Company

**12.1 Are or have any of the persons or entities above been subject to allegation, investigation, interview, deposition, subpoena and/or prosecution related to any of the following:**

- bribery
  - fraud
  - abuse with regard to any governmental procurements
  - tax crime
  - import/export control or trade control violations
  - donations, contributions, honoraria or any other form of remuneration to any government official or any individual working for a commercial enterprise
  - securities or commodities trading laws
  - any laws governing the regulation of antitrust practices
  - any other government regulations
- regardless of whether the investigation, allegation or charge was dropped, dismissed or a verdict of not guilty was awarded

Yes  No

**12.2 Excluding traffic charges and similar petty fines, has any person above ever been arrested, charged, cited or held by law enforcement authorities for any matter not listed above, or discharged from any Armed Forces with other than an honourable discharge**

Yes  No

**12.3 Has any person or entity above ever been debarred, "blacklisted", suspended or otherwise prevented from doing business or participating in public or Non-Governmental Organizations (NGO) procurement proceedings or been named on any regulatory or government watch lists or placed on any restricted parties' lists (for example: United Nations and European Union Consolidated List, U.S. Department of Commerce Denied Persons List, Unverified List or Entity List; U.S. Treasury Department's Specially Designated Nationals List, etc.)**

Yes  No

**12.4 Has any person or entity above ever had a security clearance denied or revoked**

Yes  No



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**12.5 Has the company, or any of your Owners (A1) or members of the board (B), been the subject of any voluntary or involuntary bankruptcy or other similar proceeding**

Yes  No

**12.6 Has any person above ever held any position with, or had any duties for, any political party or political campaign**

Yes  No

**12.7 Is any person above a candidate for any political office**

Yes  No

**12.8 Has any person above any family members employed by or have duties for any political party or political campaign**

Yes  No

**12.9 Has any person above any family members who are candidates for political office**

Yes  No

**12.10 Has any person above or entity or any family members made donations, contributions, honoraria or any other form of remuneration to any government official or any individual working for a commercial enterprise**

Yes  No

### 13 REFERENCES

References shall **not be current employees of Saab**, government employees or current or potential customers of Saab. The Company gives consents to Saab approaching the references

**13.1 Please provide three (3) business references**

Individual's Name	Company Name	Postal address	E-mail and phone number	Nature, context and duration of relation



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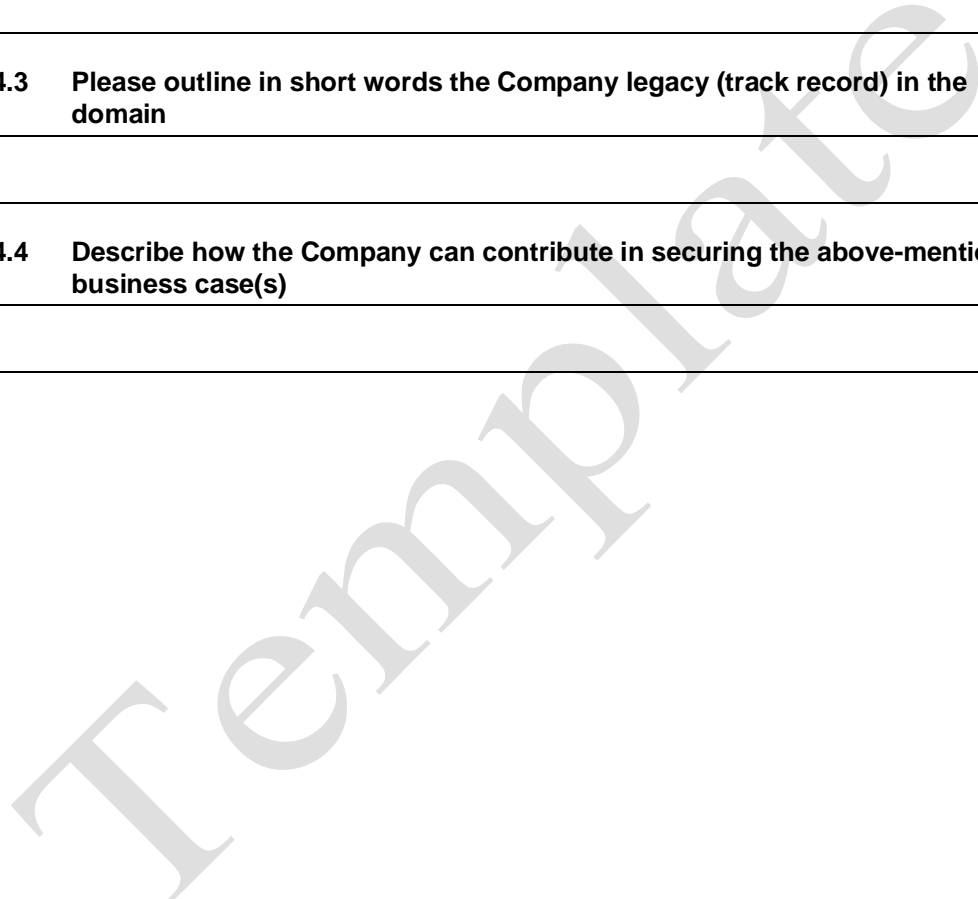
**14 PROSPECTIVE BUSINESS**

**14.1 Please outline in short words (i.e. timeframe, potential order values, and other important facts) the business case(s) discussed with Saab**

**14.2 Please outline in short words the Company's capacity, ability and network in respect to the above discussed business case(s) i.e. number of personnel and competences intended to be used for rendering Saab services**

**14.3 Please outline in short words the Company legacy (track record) in the domain**

**14.4 Describe how the Company can contribute in securing the above-mentioned business case(s)**





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### 15 ATTACHMENTS

For the avoidance of doubt all documents stated below which are submitted in native language shall be translated into English language.

Required documents	Reference	Attached
A resume/curriculum vitae for all individuals owning 5 % or more of the Company. <i>N.B. The following categories of personal information shall not be submitted in any resume/curriculum vitae: racial- or ethnic origin, political associations, religion, trade union membership, health data or sexual orientation.</i>	Section 4	<input type="checkbox"/> Yes <input type="checkbox"/> No
A resume/curriculum vitae for any and all individuals within the Company's organisation who will be involved in the performance of the company's services to Saab. <i>N.B. The following categories of personal information shall not be submitted in any resume/curriculum vitae: racial- or ethnic origin, political associations, religion, trade union membership, health data or sexual orientation.</i>	Section 5 and 6	<input type="checkbox"/> Yes <input type="checkbox"/> No
Articles of Association and/or Memorandum of Association for the Company, or equivalent	Section 2	<input type="checkbox"/> Yes <input type="checkbox"/> No
Company registration certificate	Section 2	<input type="checkbox"/> Yes <input type="checkbox"/> No
Financial Statements/Annual Accounts	Section 8	<input type="checkbox"/> Yes <input type="checkbox"/> No
Licenses and/or registrations	Section 3 and 9	<input type="checkbox"/> Yes <input type="checkbox"/> No
Bank Certificate (duly signed by the bank)	Section 8	<input type="checkbox"/> Yes <input type="checkbox"/> No
Scope of work for Third parties (if applicable)	Section 6	<input type="checkbox"/> Yes <input type="checkbox"/> No
Literature Company Presentations etc.	Section 14	<input type="checkbox"/> Yes <input type="checkbox"/> No
Name Confirmation Document	Section 4, 5 and 6	<input type="checkbox"/> Yes <input type="checkbox"/> No
Code of conduct, anti-bribery policy	Section 11	<input type="checkbox"/> Yes <input type="checkbox"/> No
If "No" for any attachment above, please describe reason hereunder		

Please number consecutively any additional pages. Additional pages should reference the information provided to the corresponding number in this Questionnaire.

How many additional pages are attached containing responses to any of the items above
---

### Data Privacy Statement

The Personal Data provided in response to this questionnaire will be processed, stored and used by Saab in its due diligence process to help ensure compliance with applicable anti-corruption and bribery legislation. This is described in further detail in the Data Privacy Notice (GFCJ-18-0026) attached to this document. Your company undertakes to submit a copy of the Data Privacy Notice to any physical person that you have identified in this document.



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### CERTIFICATION

By signing below I represent and affirm (i) that I am duly authorized to sign this questionnaire on behalf of the Company, (ii) that the information provided herein or in any attachment is correct and complete, (iii) the Company has or will secure whatever legal authority or consent that may be necessary for the transfer, processing and use of all Personal Data provided in this questionnaire and (iv) that the Company will submit a copy of the Data Privacy Notice to any physical person identified in this document.

The Company understands that Saab will rely on this information in determining whether to enter into a business relationship with the Company, and that, in addition to any other remedies that may be available, the provision of false or misleading information shall entitle Saab to terminate any such relationship with immediate effect.

The company agrees to immediately notify Saab of any change of status regarding any information provided.

Company name in block letters		
Title in block letters		
Signature	Clarification of signature in block letters	Date

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