

**PROSPECTIVE BUSINESS ASSOCIATES QUESTIONNAIRE**

**Background:** Exxon Mobil Corporation and its Affiliates<sup>1</sup> operating anywhere in the world (the “Company”) are committed to compliance with all laws that apply to its operations.

To ensure we comply with all applicable laws, we gather information from prospective business associates. The analysis with regard to a particular prospective business associate will depend on a number of factors which the Company will carefully evaluate. Therefore, we appreciate your assistance in completely and accurately responding to the following questions.

Please attach all requested additional documentation. **Please note that the form requests information for yourself (if you are the contracting party) and/or your company, and any person, company, or other entity owning an interest in your company or its parent, directly or indirectly, including your ultimate parent company or individual beneficial owners.** The form will be treated as incomplete unless all relevant information is provided. Failure to provide complete and accurate information may result in the Company terminating further review.

We inform you that the personal data that you provided through this online PBAQ, will be processed by ExxonMobil in accordance with its [Privacy Statement](#). We recommend that you carefully read the [Privacy Statement](#).

By marking this box, I declare that:

- I have the proper authority to disclose the relevant information and I confirm that I give permission to ExxonMobil to Process the Personal Data for the purposes stated in the terms of the [Privacy Statement](#). I have received the permission of the person(s) mentioned in this PBAQ other than myself, to provide to ExxonMobil the personal data for processing in accordance with the [Privacy Statement](#).

**SECTION A: IDENTIFYING INFORMATION**

1. Full legal name of company or individual (“PBA”): \_\_\_\_\_
2. “Doing Business As” name or trade/marketing name used by PBA (if applicable): \_\_\_\_\_
3. Has the business, company, or individual name changed within the previous five (5) years? Yes:  No:   
If “Yes,” please provide previous full legal name(s): \_\_\_\_\_
4. Address for communication from ExxonMobil affiliate, if different from \_\_\_\_\_

<sup>1</sup> ExxonMobil and/or ExxonMobil Affiliates mean (a) Exxon Mobil Corporation or any parent of Exxon Mobil Corporation, (b) any company or partnership in which Exxon Mobil Corporation or any parent of Exxon Mobil Corporation now or hereafter, directly or indirectly (1) owns or (2) controls, more than fifty percent (50%) of the ownership interest having the right to vote or appoint its directors or functional equivalents (“Affiliated Company”), and (c) any joint venture in which Exxon Mobil Corporation, any parent of Exxon Mobil Corporation, or an Affiliated Company has day to day operational control.

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the principal place of business:

5. Primary Contact person's full legal name: \_\_\_\_\_
6. Primary Contact Title/Position: \_\_\_\_\_
7. Primary Contact Telephone: \_\_\_\_\_
8. Primary Contact E-mail address: \_\_\_\_\_

**SECTION B: COMPANY BACKGROUND**

1. Business type: Corp:  Partnership:  Sole Proprietorship:  Other:

If "Other," please describe: \_\_\_\_\_

2. Date and country of entity formation (please attach copies of, or a link to, formation documents):

If PBA is an individual, the number of years in business: \_\_\_\_\_

Has PBA had any previous contracts with, or provided services to, Exxon Mobil Corporation or its Affiliates? If yes, please provide details. \_\_\_\_\_

3. Number of employees (FT and PT):  0 – 10       11 – 50       51 – 200  
 201 - 500       501 – 1000       1000+

4. Principal place of business: \_\_\_\_\_

5. Other countries in which PBA conducts business: \_\_\_\_\_

6. Do you have an office in the country in which the contract will be performed? Yes:  No:

If "Yes", please provide the office address, telephone and fax number as well as the name of the senior managers in that office. \_\_\_\_\_

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7. Is the PBA licensed and/or registered to do business in the country where the contract will be performed? Yes:  No:

If "Yes," please provide proof of license to conduct business and complete the information below:

Registration Number	Beginning Date (mm/dd/yyyy)	Ending Date (mm/dd/yyyy)	Gov't Office of Registration	City	Country

8. Describe the categories of goods and/or services to be provided by PBA under the prospective contract.

Goods or Services	Will goods or service providers cross international borders?

**SECTION C: OWNERSHIP AND MANAGEMENT**

**Note: The PBAQ will be returned as incomplete unless all ownership information is included.**

1. If any shares of the PBA are PUBLICLY TRADED, attach a copy of your most recent public filing (or provide a link to same) showing the company's shareholders. If this filing does not list major (>5%) shareholders, to the best of your knowledge, identify below any major shareholders of your company.

Individual Shareholder Name	Citizenship:	Address:	Ownership %	Identify Stock Exchange

Entity Shareholder Name	Country or U.S. State of Incorporation	Ownership %	Identify Stock Exchange

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2. For all non-publicly traded, direct ownership interest, complete the ownership information below.

2.a. **For Individuals:**

Name	Citizenship	Address	Ownership %

2.b. **For Entities:**

Name	Country of Incorporation	Address	Ownership %

2.c. If one or more of your direct owners is a company (such as your immediate parent company, hierarchical parent company or ultimate parent company), list the shareholders of this company, including the beneficial owners and the names of any intermediate entities or persons owning an interest in that company. **Ultimately, you need to identify all beneficial owners of all shareholding entities to the level of either individual persons and/or companies listed on the OECD country stock exchanges.**

Name	Nationality or Country/State of Incorporation	Address	Ownership %

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3. Identify full name and citizenship of Officers, Directors and Key Managers of PBA:

- A. Chairman/President: \_\_\_\_\_
- B. Managing Director: \_\_\_\_\_
- C. Other Directors: \_\_\_\_\_
- D. Officers: \_\_\_\_\_
- E. Key Managers: \_\_\_\_\_

4. Complete the information below for any individual, company, or entity that:

Will have any of the following business relationships with the PBA related to, or performing work under, the proposed contract: affiliate, consortium, partnership, joint venture, or alliance. This question does not request information on subcontractors of the PBA.

Individual / Entity Name	Citizenship / Country or U.S. State of Incorporation	Address	Reason for Payment

5. Complete the information below for all entities or individuals who directly or indirectly have an ownership interest in any company or entity listed in question C.4. above.

Individual/ Entity listed in C.4	Individual / Entity Name	Citizenship / Country or U.S. State of Incorporation	Address	Ownership %

**SECTION D: COMPLIANCE INFORMATION**

For this Section D, “**Affiliate**” includes:

- (i) any parent of your company;
- (ii) any company or partnership in which your company or any parent of your company, directly or indirectly owns or controls, fifty percent (50%) or more of the ownership interest – having the right to vote or appoint its directors or functional equivalents; and
- (iii) any joint venture in which your company, any parent of your company, or a company meeting the requirements above has day-to-day operational control.

1. Is PBA or any of its Affiliates organized, existing, incorporated, or operating under the laws of a jurisdiction currently comprehensively sanctioned by the United States (including, but not limited to, Crimea, North Korea, Syria, Cuba, or Iran)? Yes:  No:

2. Is PBA, or any of its Affiliates, owners, officers, or directors, a [Specially Designated National](#) (“SDN”) as identified by the U.S. Office of Foreign Assets Control, or identified on the Commerce Department’s [Denied Persons List](#) and [Entity List](#)? (Refer to links for additional information) Yes:  No:

3. If the answer to either D.1. or D.2. is “Yes,” please complete the information below.

**3.a. For Individuals:**

Name	Citizenship	Address	Ownership %

**3.b. For Entities:**

Name	Country or U.S. State of Incorporation	Address	Ownership %

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4.a In the past 5 (five) years, has PBA, or any **entity** with an ownership interest in PBA or its Affiliates, or (ii) any other entity listed in response to Sections C.4 or C.5 (collectively, "Entity"): (1) been charged with or investigated (either criminal or civil) by an enforcement or regulatory agency; or (2) been a defendant in private litigation, related to any of the following:

- |   |   |   |
|---|---|---|
| <input type="checkbox"/> bribery/corruption                   | <input type="checkbox"/> Fraud  | <input type="checkbox"/> antiboycott violations                   |
| <input type="checkbox"/> money laundering                     | <input type="checkbox"/> sanctions violations                                   | <input type="checkbox"/> other financial or ethics-related charge |
| <input type="checkbox"/> import/export controls violations    | <input type="checkbox"/> in their capacity as shareholders, any criminal matter | <input type="checkbox"/> human trafficking                        |
| <input type="checkbox"/> competition/antitrust law violations | <input type="checkbox"/> tax law violations                                     | <input type="checkbox"/> organized crime                          |

4.b In the past 5 (five) years, has any **individual** with an ownership interest in PBA, or (ii) any other individual listed in response to Sections C.3, C.4 or C.5 (collectively, "Individual"): (1) been charged with or investigated (either criminal or civil) by an enforcement or regulatory agency; or (2) **in their capacity as owners, officers, directors, or key managers of PBA**, been a defendant in private litigation, related to any of the following:

- |   |  |   |
|---|--|---|
| <input type="checkbox"/> bribery/corruption                   | <input type="checkbox"/> Fraud   | <input type="checkbox"/> antiboycott violations                   |
| <input type="checkbox"/> money laundering                     | <input type="checkbox"/> sanctions violations                                      | <input type="checkbox"/> other financial or ethics-related charge |
| <input type="checkbox"/> import/export controls violations    | <input type="checkbox"/> any criminal matter (other than minor traffic violations) | <input type="checkbox"/> human trafficking                        |
| <input type="checkbox"/> competition/antitrust law violations | <input type="checkbox"/> tax law violations  | <input type="checkbox"/> organized crime                          |

5.a If any boxes are checked in response to D.4.a, please provide details for such **Entities**:


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5.b If any boxes are checked in response to D.4.b, please provide details for such **Individuals**:

**IMPORTANT: Do not provide details for such Individuals if:**

- the box is checked with respect to question D.4.b(1), i.e. “been charged with or investigated (either criminal or civil) by an enforcement or regulatory agency...”, AND
- the individual has his/her residence in the European Region\*, the activity has been committed in the European Region, or the proceeding/ investigation is carried out in the European Region.

\* European Region: European Economic Area (EEA), UK and Switzerland


6. If an entity, does the PBA have a compliance program? Yes:  No:

If “Yes,” please indicate which of the following elements comprise part of your compliance program.

- |  |   |
|--|---|
| <input type="checkbox"/> written antiboycott policy/procedures                                 | <input type="checkbox"/> employee antiboycott training  |
| <input type="checkbox"/> written anti-corruption compliance policy / procedures                | <input type="checkbox"/> employee anti-corruption training  |
| <input type="checkbox"/> anti-corruption due diligence on third parties                        | <input type="checkbox"/> written ethics policy or Code of Conduct                                     |
| <input type="checkbox"/> written antitrust compliance policy / procedures                      | <input type="checkbox"/> employee antitrust training  |
| <input type="checkbox"/> Restricted Party Screening  | <input type="checkbox"/> employee sanctions training  |
| <input type="checkbox"/> written trade sanctions compliance policy / procedures                | <input type="checkbox"/> employee export controls training  |
| <input type="checkbox"/> written export controls policy / procedures                           | <input type="checkbox"/> a hotline or other formal process to report suspected compliance violations. |
| <input type="checkbox"/> policy / procedures for gifts and hospitality of government officials | <input type="checkbox"/> other: _____   |
| <input type="checkbox"/> financial controls  |   |



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7. Is a Power of Attorney from an ExxonMobil affiliate required by law or regulation for the work requested by Exxon Mobil Corporation or its affiliates? Yes:  No:

If "Yes," please cite the relevant law or regulation: \_\_\_\_\_

8. If the answer to D.7. is "Yes," please complete the information below for each company, entity, or individual (if other than the PBA) to whom a Power of Attorney will be granted and attach a completed PBAQ for that company, entity, or individual.

Company, Entity, or Person to whom the POA will be granted	Address

9. Will PBA use any commission-based sales agent or other representative who receive a **commission or percentage based fee** related to the proposed agreement or work thereunder?

Yes:  No:

If so, provide additional information:


10. With respect to any employee, officer or director of PBA acting in their individual capacity, are you aware of any business or payment arrangements between such employee, officer or director and any ExxonMobil Affiliate?

Yes:  No:

If so, provide additional information:


11. Please provide any additional information that may be useful or relevant to the work under the proposed agreement with ExxonMobil, or which may be relevant to ExxonMobil's due diligence review. Please also use this opportunity to clarify or elaborate on any of your responses in the preceding sections.


**SECTION E: RELATIONSHIPS WITH GOVERNMENT OFFICIALS**  
**AND PUBLIC INTERNATIONAL ORGANIZATIONS**

For this Section E, “**Official**” means and includes:

- (i) any agent, officer, director, or employee (elected, appointed, or career) of:
  - a. a government (whether central, national, federal, regional, state, or local); or
  - b. any department, agency, ministry, body, or instrumentality thereof whether legislative, administrative, or judicial ; or
  - c. any person acting in an official capacity on behalf of any such government, department, agency, ministry, body, or instrumentality; or
  - d. any legal entity or commercial enterprise owned or controlled by the government;
- (ii) any official of a political party;
- (iii) any candidate for political office; or
- (iv) any officer or employee of a Public International Organization (an organization so designated by the President of the United States by Executive order, or whose members are (a) countries or territories; (b) governments of countries or territories; (c) other public international organizations; (d) a mixture of any of the above, or (e.g., United Nations, IMF, World Bank).

For this Section E, “**Close Family Member**” of an Official means and includes the Official's spouse; the Official's and the spouse's grandparents, parents, siblings, and children; the spouse of any of these people; and any other individuals who share the same household.

1. Within the past 5 years, has PBA or any of its Affiliates or owners been an Official as defined above Yes:  No:

If “Yes,” please provide information in E.3.

2. Within the past 5 years, have any of the persons listed in the responses in Section C or D been:

- Officials  Close Family Members of Officials
- former Officials  Involved in any business relationship, including acting as an agent for, or holding common ownership of any business enterprise or partnership with, any Official or Close Family Member of an Official

3. If the answer to E.1 is “yes” or any of the categories under E.2. are checked, please provide the following details for each such person:

Legal Name and Former Name(s) and any Aliases	If Official or Former Official, title(s) and Responsibilities as an Official	If Official or Former Official, date(s) of Service as an Official	Description of business or personal relationship with Official or Close Family Member of Official	Description of participation, if any, in Services to be provided by PBA

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4. Will PBA or any of its officers, directors, employees, agents, Affiliates or others acting on its behalf potentially interact with Officials while performing services for Exxon Mobil Corporation or its affiliates?      Yes:       No:

If "Yes," please complete the information below for any such PBA officer, director, employee, agent, Affiliate or other individual acting on behalf of PBA:

Country of Services	Scope / Nature of Interactions with Officials	Method of Payment to Official, If Any

**SECTION F: CERTIFICATION**

I certify that the information provided is, to the best of my knowledge and belief, accurate, current, and complete, and that I am authorized to provide the information and certify that the foregoing information is true and accurate.

**Signature:**

\_\_\_\_\_

**Printed Name:**

\_\_\_\_\_

**Name of Prospective Business Associate (if entity):**

\_\_\_\_\_

**Title:**

\_\_\_\_\_

**Date:**

\_\_\_\_\_