Sanctions Questionnaire

Date of issue: 1 October 2021

Version 1.2

Phemex is subject to, and is committed to compliance with, all applicable sanctions laws and regulations in various jurisdictions around the world. In furtherance of these compliance efforts, we require that our customers complete this sanctions questionnaire.

|  |  |
| --- | --- |
| **Entity Name:** |  |
| **Incorporation Number:** |  |

1. Does the company or any of its related parties^ incorporated, operates or has revenues and principal place of business with direct or indirect dealings in/with/through the **listed countries / territories**\*?

No

Yes

If Yes, please provide details for the company or its related parties in detail:

1. Does the company have any beneficial owners, directors, officers, authorized signatories, partners (as applicable) and related parties^ are citizens, nationality and resides in any of the **listed countries / territories**\*?

No

Yes

If Yes, provide details including full name of the individual(s), role in the company, the country of citizenship, nationality and place of residence. If entity, provide the activities involved, country of operation and the relationship with the company:

1. Does the company or any of its related parties^ deals, trades, transports any goods, services, technology, software, resources that originate from, or to / from

/ through the **listed countries / territories**\*?

No

Yes

If Yes, provide the activities involved, country of operation and the relationship with the company:

1. Does the company or any of its related parties^ have any direct or indirect dealings with or through any Sanctions Persons or Sanctioned Entity\*?

No

Yes

If Yes, provide details including full name of the individual(s), role in the company, the country of citizenship, nationality and place of residence. If entity, provide the activities involved, country of operation and the relationship with the company:

1. Does the company or any of its related parties^ directly or indirectly deal in products related to Arms, Weapons, pyrotechnics or defence industries?

No

Yes

If Yes, provide full name of the company(ies) and its business activities:

1. Does the company or any of its related parties^ directly or indirectly deals in products related to Rubies, rough diamonds, Iraqi property, charcoal from Somalia?

No

Yes

If Yes, provide full name of the company(ies) and its business activities:

**Sign off:**

**Full Name:**

**Position:**

**Email:**

**Contact number:**

 **Annex 1**

**Listed countries / territories**

Belarus Cuba

Crimea

Democratic Republic of Congo Iran

Iraq

North Korea (DPRK) Sudan

South Sudan Syria Zimbabwe

^Related parties refers to any group entities, subsidiaries and associates of the Company.