

**BDSI REQUEST AND RISK ASSESSMENT FORM**

Issue April 2015

**I, in my responsibility as Division Head of Sales, represent that:**

- The information contained in this BDSI Request and Risk Assessment Form is comprehensive and accurate.
- I understand that a violation of the Airbus Group Business Development Anti-Corruption Policy will trigger an internal sanction and may also lead to external civil or criminal penalties.
- Based on the information described in this BDSI Request and Risk Assessment Form, the results of the Third Party Interview, the information provided in the attached Third Party Questionnaire, and any other additional information, I assess the risk of this Third Party support as:

**LOW**

**HIGH**

Name:

Place and Date:

Signature:

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**I, in my responsibility as Division Compliance Officer, represent that:**

- Based on the information described in this BDSI Request and Risk Assessment Form, the results of the Third Party Interview, the information provided in the attached Third Party Questionnaire, and any other additional information, I assess the risk of this Third Party support as:

**LOW**

**HIGH**

Name:

Place and Date:

Signature:

## THIRD PARTY QUESTIONNAIRE

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This Questionnaire (including all of its appendices incorporated herein and made a part hereof) is a fundamental component of the due diligence Airbus Group conducts prior to entering into agreements with any third parties supporting our business development initiatives. We know that our success depends largely on the support of third parties, suppliers, and other external supporters. At the same time, Airbus Group is held accountable for having adequate processes and controls in place to manage risks – in particular compliance risks – associated with third party relationships. We appreciate you taking the time to fill out this Questionnaire completely and accurately, including providing us with the additional documents referenced herein.

All answers and representations made herein, and the information in the additional documents to be provided with this Questionnaire, are considered material to our decision as to whether to enter into a Third Party Agreement with you. We can only begin our internal process of review of a potential engagement with you, in compliance with our Business Development Anti-Corruption Policy, after this Questionnaire is fully completed and signed and, together with all the documents references in Section 10 below is submitted to the respective Airbus Group Division Head of Sales in the English language. Complete answers to all questions is mandatory and must be provided at the time this Questionnaire and the other required documents are first submitted to the respective Airbus Group Division. Prior to completing this Questionnaire, we expect you to review, understand, and be prepared to adhere to the Airbus Group Standards of Business Conduct ([http://www.airbusgroup.com/dam/assets/airbusgroup/int/en/group-vision/ethics-compliance/documents/Standards\\_Airbusgroup\\_EN/Standards\\_AirbusGroup\\_EN.PDF](http://www.airbusgroup.com/dam/assets/airbusgroup/int/en/group-vision/ethics-compliance/documents/Standards_Airbusgroup_EN/Standards_AirbusGroup_EN.PDF))

IS THIS AN UPDATE? Yes No Date:

Please note this questionnaire must to be completed and signed at least every 3 years.

**All documents provided must be mandatorily translated into English**

Country(ies) where the BDS will be performed	
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### 1. THIRD PARTY – GENERAL DESCRIPTION

1.1	Name of the Third Party and all affiliated companies (i.e. registered names of legal entities)	
1.2	Legal form of Third Party (e.g.: GmbH, Société Anonyme, Proprietary, Limited etc.)	
1.3.	Incorporation Date Term of Validity of registration (if applicable)	
1.4.	Certificate of Registration of the company : Place of registration or declaration Number at Trade Register	
1.5.	Contact Details : Registered office address in the Country: Operational address in the Country Name of legal representative: Phone number: Cell phone:	

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	Fax: E-mail: Website:	
1.6.	Tax registration number	
1.7.	VAT number, including valid European VAT number if BP registered in EU	
1.8.	Issued Capital /Currency	
1.9.	Number of employees globally and in the relevant countries where services would be provided to Airbus Group	
1.10.	Third Party business description: (As described in the by-laws of the Company).  Additionally, describe in detail the services the Third Party will provide for the Airbus Group Company/ies.	
1.11.	Personal details of the representative(s) empowered to bind the Third Party - and signing this questionnaire and related documents  Name  Date and Place of Birth  Nationality	
1.12.	Relevant projects and business experience: List at least three companies, countries, and dates thereof.	

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### 2. THIRD PARTY OPERATIONAL ENTITY(IES) IN THE COUNTRY(IES)

2.1	<p>Please provide details on operational entity(ies) in the concerned Country(ies) in which the Third Party will rely to fulfil all or part of its contractual obligations with the Airbus Group.</p> <table border="1"> <tr> <td data-bbox="315 407 724 1073"> <p>Name of operational entity(ies)</p> <p>Nature of operational entity (e.g. company, branch etc.)</p> <p>Disclose any current or past relationship with Airbus Group for each operational entity.</p> <p>List all Officers and Directors of all such entities and disclose any potential conflicts of interest</p> <p>Contact Details for each operational entity:</p> <p>Contact Name:</p> <p>Phone number:</p> <p>Cell phone:</p> <p>Fax:</p> <p>E-mail:</p> </td> <td data-bbox="724 407 1094 1073">Country(ies):</td> <td data-bbox="1094 407 1484 1073">Other Country(ies), if any:</td> </tr> </table>	<p>Name of operational entity(ies)</p> <p>Nature of operational entity (e.g. company, branch etc.)</p> <p>Disclose any current or past relationship with Airbus Group for each operational entity.</p> <p>List all Officers and Directors of all such entities and disclose any potential conflicts of interest</p> <p>Contact Details for each operational entity:</p> <p>Contact Name:</p> <p>Phone number:</p> <p>Cell phone:</p> <p>Fax:</p> <p>E-mail:</p>	Country(ies):	Other Country(ies), if any:
<p>Name of operational entity(ies)</p> <p>Nature of operational entity (e.g. company, branch etc.)</p> <p>Disclose any current or past relationship with Airbus Group for each operational entity.</p> <p>List all Officers and Directors of all such entities and disclose any potential conflicts of interest</p> <p>Contact Details for each operational entity:</p> <p>Contact Name:</p> <p>Phone number:</p> <p>Cell phone:</p> <p>Fax:</p> <p>E-mail:</p>	Country(ies):	Other Country(ies), if any:		
2.2	<p>If the company has no operational entity in the relevant Country(ies), or uses the services of another company or structure in the Country(ies), provide a details explanation why:</p>			

### 3. BANK DETAILS

3.1	<p>Bank Account Details</p> <p>Name of Third Party 's bank in the Country</p> <p>Bank account number</p> <p>Bank account Currency</p> <p>SWIFT Code</p> <p>IBAN</p>	
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### 4. SHAREHOLDERS, PARTNERS, PERSONS ENTITLED

4.1	<p>Are the shareholders the sole financial beneficiaries of capital or assets?</p>	<input type="checkbox"/> yes	<input type="checkbox"/> no
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### 5. BOARD MEMBERS, EXECUTIVES MANAGERS OR DIRECTORS

5.1	Is one or more of the directors, managers, executives, shareholders or partners, or persons entitled to or beneficiaries of all or part of the shares representing the capital of the Third Party a <ul style="list-style-type: none"> <li>• French, German, Spanish, UK or USA citizen</li> </ul>	<input type="checkbox"/> yes	<input type="checkbox"/> no
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### 6. LINK WITH GOVERNMENT OFFICIALS

6.1	Does any shareholder, beneficial owner, officer, director, employee of the Third Party, or of the operational entity(ies) of the Third Party in the concerned Country(ies), or any affiliated persons or companies of the Third Party, fall into one of the following categories of "Government Officials" :	<input type="checkbox"/> yes	<input type="checkbox"/> no
6.2	<ul style="list-style-type: none"> <li>• An employee, officer or representative of, or any person otherwise acting in an official capacity for or on behalf of (a) a national state or local government or any political subdivision thereof; (b) an instrumentality, board, commission, court or agency, whether civilian or military, of any of the above however constituted; (c) a government owned /government controlled association, organisation or enterprise, or (d) a political party?</li> </ul>	<input type="checkbox"/> yes	<input type="checkbox"/> no
6.3	<ul style="list-style-type: none"> <li>• A legislative, administrative or judicial official, regardless of whether elected or appointed?</li> </ul>	<input type="checkbox"/> yes	<input type="checkbox"/> no
6.4	<ul style="list-style-type: none"> <li>• An officer of, or an individual who holds a position in, a political party or a candidate for political office?</li> </ul>	<input type="checkbox"/> yes	<input type="checkbox"/> no
6.5	<ul style="list-style-type: none"> <li>• An individual who holds any official or other appointed or inherited position with a government or any of its agencies?</li> </ul>	<input type="checkbox"/> yes	<input type="checkbox"/> no
	<ul style="list-style-type: none"> <li>• An individual who has family or economic links with a government or any of its agencies?</li> </ul>	<input type="checkbox"/> yes	<input type="checkbox"/> no
<p><b>If the answer is "yes" to any of the questions above, provide:</b></p> <p>List of persons concerned ..... <input type="checkbox"/> Appended</p> <p><i>Including for each person detail of name, title, DoB, nationality, category of government/political body and position held.</i></p>			
6.6	<ul style="list-style-type: none"> <li>• A person who formerly met one or more of the conditions in 6.2 – 6.5 above</li> </ul>	<input type="checkbox"/> yes	<input type="checkbox"/> no

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	<p><b>If the answer is "yes" to item 6.6, provide:</b></p> <p>Legal evidence of date of retirement (official certificate or copy of retirement card from concerned public administration), indicating release of all obligations and the right to provide services such as those subject to this particular BDSI. .... <input type="checkbox"/> Appended</p>		
6.7	<ul style="list-style-type: none"> <li>An officer or employee of a supra-national organization (e.g. World Bank, United Nations, International Monetary Fund, and OECD), non-governmental organisation (e.g.: Union Africaine, Gulf Cooperation Council etc.)</li> </ul>	<input type="checkbox"/> yes	<input type="checkbox"/> no
<p><b>If an answer is marked "yes" in any of 6.5. to 6.7 above,</b></p> <p>please confirm that the Third Party is not restricted/prevented from fulfilling its duties..... <input type="checkbox"/> I confirm</p>			
<p>If there are restrictions / conflicts of interest limiting the Third Party's scope of business activities, please provide details:</p>			
6.8	<p>Please confirm the persons described in sections 5 and 6.1. above are not prevented from fulfilling their duties as Third Party.</p>		<input type="checkbox"/> I confirm
6.9	<p>Are there any contractual relationships between the Third Party or members of its operational entity(ies) in the concerned Country(ies) and any Government official / governmental body (as described in sections 6.1 – 6.7 above?)</p>	<input type="checkbox"/> yes	<input type="checkbox"/> no
<p><b>If the answer is "yes" to item 6.9, include:</b></p> <p>List of contractual relationship or official mandates assigned <input type="checkbox"/> Appended</p>			

### 7. LINK WITH CUSTOMERS & COMPETITORS

7.1	<p>Does any shareholder, beneficial owner, officer, director or employee of the Third Party or of its operational entity, or any affiliates thereof,</p> <ul style="list-style-type: none"> <li>have a family or commercial relationship with the End Customer and/or its affiliates?</li> </ul>	<input type="checkbox"/> yes	<input type="checkbox"/> no
7.2	<ul style="list-style-type: none"> <li>have a commercial or contractual link / agreement with potential competitors of the concerned Airbus Group companies?</li> </ul>	<input type="checkbox"/> yes	<input type="checkbox"/> no
7.3	<p>Are any of the Third Party's managers executives or employees (or managers, executives or employees of its operational entity(ies) or affiliate/s in the Country(ies) also a manager, executive or employee of the Customer or end user to which the products are to be sold or to whom the services will be rendered? If yes, please detail:</p>	<input type="checkbox"/> yes	<input type="checkbox"/> no
<p><b>If the answer is "yes" to items 7.1 and/or 7.2 above, include:</b></p> <ul style="list-style-type: none"> <li>List of concerned persons ..... <input type="checkbox"/> Appended <i>indicating name, title, nationality, DoB, place of residence, specifying type of link.</i></li> <li>List of concerned companies and products ..... <input type="checkbox"/> Appended</li> </ul>			



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### 10. ADDITIONAL DOCUMENTATION RELATED TO ABOVE SECTIONS OF THIS QUESTIONNAIRE

*Note: Each document is to be individually signed and dated by the Legal Representative of the Third Party and must be provided in the order below with reference to the corresponding numbers (1-14) and the corresponding Heading as underlined below.*

1. Appendix 1 (related to Section 1). Description of Official Business Activity. By-Laws or other official company documents detailing the business activity of the Third Party and affiliates
2. Appendix 2 (related to Section 1). Original Certificate of Registration
3. Appendix 3 (related to Section 1). Profit & Loss Statements signed by your CFO and/or auditor for the previous 3 fiscal years
4. Appendix 4 (related to Section 1.4). List of References with full description of the services performed and detailed contact information of managers with whom we can communicate about the respective services
5. Appendix 5 (related to Section 2). A separate Third Party Questionnaire for Operational Entities must be completed by each operational entity the Third Party intends to include in the respective BDSI.
6. Appendix 6 (related to Section 3). Bank Reference Letter.
7. Appendix 7 (related to Section 4). Official List of Third Party Shareholders
  - a. Include the names, share percentages held, nationalities, and places of residence (of companies and natural persons) of the shareholders
  - b. Include a copy of shareholder Registry
  - c. If all or some of the shareholders listed are not the Ultimate Beneficial Owners of the Third Party, provide legal documentation certifying ownership up to the ultimate physical beneficial owner(s)
8. Appendix 8 (related to Section 5). Official List of all Managers, Directors and Executives:
  - a. Include full names, titles, nationalities, dates of birth, registered places of residence
  - b. Include detailed and dated resumes ("Curriculum Vitae") of persons listed indicating educational and professional background and, in particular, experience and know-how in the business activity of this particular BDSI
9. Appendix 9 (related to Sub-sections 6.2-6.6). List of Persons with Links to Government Officials, and the requested detailed information, if applicable.
10. Appendix 10 (related to Sub-section 6.9). List of contractual relationships or official mandates regarding Operational Entities
11. Appendix 11 (related to Section 7). Relationships with Customers, End Users and/or Competitors. List of concerned companies and/or persons indicating for all persons the names, titles, nationalities, dates of birth, place of residence, specifying type of relationship
12. Appendix 12 (related to Section 8.1). List of Managers, Directors or Executives Investigated or Charged, indicating their names, titles, nationalities, dates of birth, and places of residence. Include official documents (e.g. Judgements of the relevant Court). Also, specify the type of investigation, type and duration of any sanction, and the name and location of the relevant Court
13. Appendix 13 (related to Section 8.2).
  - a. Provide on company letterhead a detailed description of your internal compliance programme including numbers of employees dedicated to Compliance, primary topics covered, copies or internet links to primary documentation such as Codes of Conduct and Anti-Corruption policies, and any other information helpful in assessing the strength of your compliance programme.
  - b. Provide a copy of any external certification of your compliance program if available.
14. Appendix 14 (related to Section 9.1). Approval to Act Requirements. Provide any required registrations, certifications, or other official documentation necessary for you to provide the services under this BDSI.



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"I, Mr/Mrs<sup>1</sup>..... in my capacity as (title)<sup>2</sup>....., legally representing and binding the Third Party, hereby acknowledge that:

- Airbus Group and its Divisions, subsidiaries, controlled companies, etc. (hereinafter collectively referred to as the "Company") will rely on the information contained in this Questionnaire and all appendices as a material pre-condition to entering into any contractual relationship with the Third Party. I hereby declare that all such information is true, complete and accurate and agree that the Company, acting in its sole discretion, may immediately terminate any contractual relationship with the Third Party if the Company becomes aware that any such information is or becomes untrue, incomplete or inaccurate without the Third Party having any right to compensation or indemnity in respect thereof.
- I read and understand the Airbus Group Standards of Business Conduct and recognize that the Third Party shall in all circumstances abide by those.
- I further agree that the Company acting in its sole discretion, may immediately terminate any contractual relationship with the Third Party (without the Third Party having any right to compensation or indemnity in respect thereof) if the Company becomes aware that the Third Party is in breach of any contractual commitments with the Company.

I hereby represent and warrant that:

1. all the information provided in this Third Party Questionnaire and its appendices are true, complete and accurate; and
2. the Third Party possesses (or will possess) the requisite specialised knowledge, experience, technical and commercial skills to meet the foreseen contractual obligations; and
3. the Third Party possesses (or will possess) all necessary licenses and qualifications to perform the duties under the foreseen Third Party Agreement; and
4. there are no legal, regulatory, contractual, financial or other obstacles that will prevent the Third Party from performing its contractual duties under the foreseen Third Party Agreement; and
5. the Third Party is neither currently engaged in nor has any financial interest in a business, nor is it subject to any professional, ethical or fiduciary duty which could create a conflict of interest by performing its contractual obligations under the foreseen Third Party Agreement; and
6. the Third Party is aware of and fully understands the laws and regulations in force in the place of incorporation and in the country(ies) where it will be active, including those prohibiting or imposing restrictions or obligations based on the remuneration of the Third Party or the nature of the activities to be performed (e.g. contact with public officials, lobbying, etc.) by the Third Party; and
7. there is no legal, regulatory, contractual or other condition or agreement in force in the place of incorporation and in the country(ies) where it will be active which prevents it from or imposes specific conditions for entering into any agreement with the Company, except as disclosed in the Third Party Questionnaire; and
8. after prior consultations with its own legal and compliance advisors, it is – and its executives, employees and sub-contractors are and will remain – in compliance with the provisions of the OECD Convention on Combating Bribery of Foreign Public Officials in International Business Transactions and with all applicable international, national, regional and local laws, regulations, and administrative restrictions in force in the country(ies) where the services are being performed and in any country with jurisdiction over the activities of the Third Party that address bribery and corruption (including but not limited to the UK Bribery Act and the US Foreign Corrupt Practices Act), money-laundering fraud, anti-terrorism, export control, economic sanctions, boycotts, and comparable subject matter, together referred to as the "Regulations", and neither itself nor any of its executives, officers, directors, employees, sub-contractors or agents has violated the Regulations nor will they violate the Regulations; and

<sup>1</sup> Name of the Legal Representative of the Third Party as mentioned in § 1.11 above

<sup>2</sup> Title of the Legal Representative of the Third Party as mentioned in § 1.11 above

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9. the Third Party has reviewed and will adhere to the Airbus Group Standards of Business Conduct and will take steps to ensure that all employees of the Third Party and any of its affiliates or subcontractors involved with the Airbus Group are familiar with the Airbus Group Standards of Business Conduct and shall comply with them; and
10. the Third Party shall notify the Company immediately if subsequent developments cause these representations and warranties, or any other information in the Questionnaire, to be inaccurate or incomplete.

I acknowledge that Airbus Group will rely on the representations and warranties above.

Name of the Legal Representative of the Third Party<sup>3</sup>:

Title of the Legal Representative of the Third Party:

Place:

Date:

Signature of the Legal Representative of the Third Party:

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<sup>3</sup> Legal Representative of the Third Party as mentioned in § 1.11 above