



**To:** AES Business Partners, Vendors and Suppliers

**From:** AES Compliance Department

**Ref:** Due Diligence Questionnaire

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AES is committed to upholding ethical standards in all its business dealings. All AES people and others performing work on behalf of AES are expected to adhere to all applicable laws and regulations and to demonstrate ethical behavior in their business relations and decisions. To that end, AES has implemented a comprehensive Corporate Compliance Program to ensure that the highest ethical and legal standards are upheld in all its business transactions. The Compliance Program includes a “know your business partner” program which requires AES to conduct due diligence on prospective business partners prior to entering into a business agreement.

The first step in the due diligence process is the completion of the attached Compliance Due Diligence Questionnaire which provides AES with the information upon which to conduct our compliance due diligence. Please complete the Compliance Due Diligence Questionnaire fully and return it to your contact at AES.

In addition, all contracts and purchase orders must contain compliance language that requires business partners to comply with all applicable anti-bribery, anti-money laundering, anti-terrorism, and economic sanctions laws and regulations.

We appreciate your cooperation in completing the AES Compliance Due Diligence Questionnaire.

**THE AES CORPORATION**  
**COMPLIANCE DUE DILIGENCE QUESTIONNAIRE**

1. **Company Name:** \_\_\_\_\_

2. **Address:** \_\_\_\_\_  
\_\_\_\_\_

3. **Telephone:** \_\_\_\_\_ **Facsimile:** \_\_\_\_\_

4. **Business form:** Sole Proprietor Corporation  
Partnership LLC/LLP Other: \_\_\_\_\_

**State/Country where incorporated or chartered:** \_\_\_\_\_

5. **Will subcontractors be used to fulfill this contract?** Yes No

**If Yes, please identify and give their location (city, state, and/or country):**

\_\_\_\_\_

6. **Owners/Principals (Ownership percentages must total 100%. If publicly traded, all shareholders holding 5% or more must be listed individually.) Please provide full, legal names and location (city, state, and/or country).**

Name _____	%	ownership _____	Location _____
Name _____	%	ownership _____	Location _____
Name _____	%	ownership _____	Location _____
Name _____	%	ownership _____	Location _____
Name _____	%	ownership _____	Location _____
Name _____	%	ownership _____	Location _____

7. **Members of the Board of Directors. Please provide full, legal names and location (city, state, and/or country):**

Name _____	Location: _____
Name _____	Location: _____
Name _____	Location: _____
Name _____	Location: _____

Name \_\_\_\_\_ Location: \_\_\_\_\_

Name \_\_\_\_\_ Location: \_\_\_\_\_

Name \_\_\_\_\_ Location: \_\_\_\_\_

**8. Officers (or persons holding equivalent position). Please provide full, legal names and location (city, state, and/or country):**

President/CEO \_\_\_\_\_ Location: \_\_\_\_\_

Chief Financial Officer \_\_\_\_\_ Location: \_\_\_\_\_

Chief Operating Officer \_\_\_\_\_ Location: \_\_\_\_\_

Managing Director \_\_\_\_\_ Location: \_\_\_\_\_

Sales/Marketing Director \_\_\_\_\_ Location: \_\_\_\_\_

Other \_\_\_\_\_ Location: \_\_\_\_\_

**9. Other employees who will work on the project or transaction. Please provide full, legal names, position, and location (city, state, and/or country):**

Name: \_\_\_\_\_ Position: \_\_\_\_\_ Location: \_\_\_\_\_

Name: \_\_\_\_\_ Position: \_\_\_\_\_ Location: \_\_\_\_\_

Name: \_\_\_\_\_ Position: \_\_\_\_\_ Location: \_\_\_\_\_

Name: \_\_\_\_\_ Position: \_\_\_\_\_ Location: \_\_\_\_\_

Name: \_\_\_\_\_ Position: \_\_\_\_\_ Location: \_\_\_\_\_

**10. List all parent companies—up to and including the ultimate parent—and their location (city, state, and/or country).**

Name \_\_\_\_\_ Location: \_\_\_\_\_

Name \_\_\_\_\_ Location: \_\_\_\_\_

Name \_\_\_\_\_ Location: \_\_\_\_\_

Name \_\_\_\_\_ Location: \_\_\_\_\_

**11. List (or attach a list of) all subsidiaries and other affiliated companies and their location (city, state, and/or country):**

Name \_\_\_\_\_ Location: \_\_\_\_\_

Name \_\_\_\_\_ Location: \_\_\_\_\_

Name \_\_\_\_\_ Location: \_\_\_\_\_

Name \_\_\_\_\_ Location: \_\_\_\_\_

**12. Business (Company) References; when possible these should be companies for whom you have performed the same or similar work. Please also provide a contact name and contact information.**

Business: \_\_\_\_\_ Phone: \_\_\_\_\_

Name: \_\_\_\_\_ E-mail: \_\_\_\_\_

Business: \_\_\_\_\_ Phone: \_\_\_\_\_

Name: \_\_\_\_\_ E-mail: \_\_\_\_\_

Business: \_\_\_\_\_ Phone: \_\_\_\_\_

Name: \_\_\_\_\_ E-mail: \_\_\_\_\_

**13. Background information: Years in business: \_\_\_\_\_**

Description of business: \_\_\_\_\_

**14. Is any owner, controlling shareholder, director, officer, employee or agent of your Company a family member<sup>1</sup> of any AES employee? If yes, please provide details.**

Yes                      No

**15. Is any family member of any owner, controlling shareholder, director, officer, senior management-level employee or agent of your Company:**

- (i) an officer or employee of a (non-U.S.) government, department (whether executive, legislative, judicial or administrative), agency, or instrumentality thereof, including a regional governmental body;
- (ii) an officer or employee of a (non-U.S.) government-owned or controlled entity;
- (iii) an officer or employee of a public international organization;
- (iv) a person acting in an official capacity for or on behalf of such government, department, agency, instrumentality, or public international organization;
- (v) a candidate for political or government office or appointee for such office outside of the United States; or
- (vi) an officer or employee of a political party outside of the United States?

Yes                      No

If yes, provide details:

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<sup>1</sup> **Family member** means a parent, spouse, child, sibling or in-law.

**16. Is any owner, controlling shareholder, director, officer, senior management-level employee or agent of your Company:**

- (vii) an officer or employee of a (non-U.S.) government, department (whether executive, legislative, judicial or administrative), agency, or instrumentality thereof, including a regional governmental body;
- (viii) an officer or employee of a (non-U.S.) government-owned or controlled entity;
- (ix) an officer or employee of a public international organization;
- (x) a person acting in an official capacity for or on behalf of such government, department, agency, instrumentality, or public international organization;
- (xi) a candidate for political or government office or appointee for such office outside of the United States; or
- (xii) an officer or employee of a political party outside of the United States?

Yes                      No

If yes, provide details:

**17. To the best of your knowledge, has any owner, controlling shareholder, director, senior management-level employee or agent of your Company ever been:**

- (i) named a Designated Person<sup>2</sup> (<http://www.whitehouse.gov/news/releases/2001/09/20010924-1.html>),
- (ii) named on the
  - a. Specially Designated National list (<http://www.treas.gov/offices/enforcement/ofac/sdn/>),
  - b. Denied Persons list (<http://www.bis.doc.gov/dpl/thedeniallist.asp>),
  - c. Entity list (<http://www.access.gpo.gov/bis/ear/pdf/744spir.pdf>),
  - d. Unverified list ([http://www.bis.doc.gov/Enforcement/UnverifiedList/unverified\\_parties.html](http://www.bis.doc.gov/Enforcement/UnverifiedList/unverified_parties.html)), or the
  - e. Debarred list (<http://www.pmdtc.state.gov/debar059.htm>) issued by the U.S. Departments of State, Commerce and Treasury; or
- (iii) named on any other list maintained by the U.S. Government, the United Nations or any other applicable jurisdiction?

Yes                      No

If yes, provide details:

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<sup>2</sup> **Designated Person** means any person, entity or country (1) whose name is specified in, or pursuant to, any Executive Order issued by the President of the United States of America relating to the designation of a person as a terrorist or terrorist organization or blocking any assets of such person; (2) in respect of whom any person has received notice from the United States Government that all financial transactions involving the assets of such person have been, or are to be, blocked; (3) who is designated from time to time by either Executive Order of the President of the United States, or in published lists issued by the United States Treasury Department (and its Office of Foreign Assets Control) including the Specially Designated Nationals (“SDN”) list, the United States Department of Commerce or the United States Department of State, as a foreign terrorist organization or an organization that assists or provides support to a foreign terrorist organization or a party subject to sanctions; or (4) who is or was convicted, found guilty or against whom a judgment or order was entered in any proceedings for violating money laundering, anti-corruption or bribery, or international economic or anti-terrorism sanction laws, or whose assets were seized, blocked, frozen or ordered forfeited for violation of money laundering or international anti-terrorism laws.

- 18. To the best of your knowledge, has your Company ever been**
- (i) formally charged or under any formal investigation by a competent governmental authority for any financial crime, including but not limited to fraud, bribery, corruption, money laundering or terrorism financing;
  - (ii) convicted by a competent judicial authority for any financial crime; or
  - (iii) the subject of any blocking, seizure or forfeiture order or judgment based on any alleged violation of any money laundering or terrorism laws or for violating any anti-money laundering or anti-terrorism laws?

Yes                      No

If yes, provide details:

- 19. To the best of your knowledge, has your Company ever engaged in a transaction that involves:**
- (i) the receipt, transfer, transportation, retention, use, structuring, diverting, or hiding the proceeds of any criminal activity whatsoever, including drug trafficking, fraud and bribery of a public official;
  - (ii) engaging or becoming involved in, financing, or supporting or giving aid or comfort to any terrorist person, activity or organization; or
  - (iii) a Designated Person?

Yes                      No

If yes, provide details:

- 20. Does your company have a compliance program or code of conduct? (If Yes, please provide AES a copy of such code of conduct or compliance program.)**

Yes                      No

**Does the code of conduct or compliance program apply to all employees who will work on this transaction with AES?**

Yes                      No

**CERTIFICATION, AUTHORIZATION and RELEASE**

I hereby certify that the answers provided herein are true and correct. By completing and signing this Questionnaire for myself, and if applicable as an agent of my employer, I hereby, authorize The AES Corporation, its subsidiaries and affiliates, or its agents to investigate and verify the information contained in this Questionnaire. A facsimile of this document shall be considered as valid as an original.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Company

\_\_\_\_\_  
Date