



CEF SOC LTD
152 ANN CRESCENT
BLOCK C, UPPER GRAYSTON
OFFICE PARK
STRATHAVON, SANDTON
SOUTH AFRICA

Reg. No. 1976/001441/30
P O BOX 786141
SANDTON
2146

TEL +27 010 201-4700

FAX: +27 010 201-4900

CEF Group is committed to the highest standards of integrity, openness and accountability in the conduct of the CEF Group's business and operations. As such when CEF Group and its subsidiaries engage with any third-party counterparties (hereinafter referred to as 'Third-Party'), we are obligated to conduct appropriate third-party due diligence to understand the business and background of our prospective business counterparties. The following questionnaire is mandatory to be completed. You may use additional pages when necessary, and return a scanned, signed copy CEF Group nominated personnel. Please attach required documents listed in Document and signed documents.

Corporate Details

Registered Company Name (Full Legal Name)			
Other Name (Any previous Legal Name/ Trading Names)			
Registration Number		Tax Registration Number	
Country of Incorporation		Date of Incorporation (dd/mm/yyyy)	
Corporate Status (Private Limited, Limited, Partnership Listed, etc.)		No. of Employees	
Nature and Line of Business (Please state your core industry and main activity e.g.-			

Renewable Energy or Oil & Gas)	
Registered Address	
Business Address	
Telephone No.	
Email Address	
Website	
Branch (if any)	
Branch Address	
Contact Details	

Primary Contact Person			
Department			
Telephone No		Email	
Shareholders			
Parent Company		Country	
Ultimate Parent Company		Country	
Company's Shareholders and their details			
Name	Nationality	Appointment date	Identity No.
Executive Management of Company			
Name	Nationality	Position	Identity No.
Is the Company listed on stock exchange			
Exchange Name	Country	Market Capitalization	Status
Is the Company being rated by any rating agency			

Rating Agency	Rate	Date	Status
Company's banking details			
Bank Name	Swift Code	IBAN/Routing Code	Account Manager Name
Experience & Expertise			
Experience in the Industry	Years	Licenses (name and registration No.)	Authority/Regulator
Company owns any Intellectual Property (IP), patent or technology relevant (if any)			
Patent Number	Issuing Body	Expiry	Description
Company's On-Going Project			
Project Type	Infrastructure Name	Commencement Date & Status	Owner/Lease & Value
Sanctions			
No	Question	Response	Electronic Attachments
1.	Is the Company or any of its affiliates incorporated, located within, or operating from any countries subject to any Political or Economic Sanctions?		
2.	Is the Company or any of its affiliates engaged in transactions, investments, business, or other dealings that directly or indirectly involve or benefit any countries subject to Sanctions or any person or entity which is the target or subject of any Sanctions.		
3.	Has the Company ever been the subject of any convictions or prosecutions, or is it the subject of any pending investigations by a public authority, in relation to economic sanctions & export control regulation?		
Data			
4.	Has the Company conducted an information audit to map data flows?		
6.	Does the Company document what personal data it holds, where it came from, who the Company shares it with and what the Company does with it?		
7.	Has the Company implemented adequate technical and organizational security measures to protect and secure business and personal data from loss, misuse, unauthorized or accidental access or disclosure (whether processed electronically or non-electronically)?		

8.	Is the Company currently accredited or certified in respect of its information security, cybersecurity, or data privacy practices? Which regulator?		
9.	Does the Company have an appropriate personal data protection policy? If yes, please provide a confirmatory certificate from the Company's appointed Information Officer.		
10.	With regards to engaging sub-processor(s), does the Company ensure that there is a contract with the sub-processor(s) and includes equivalent personal data protection obligations?		
11.	Does the Company have effective processes in place to identify and report any personal data breaches to your data user / data controller or relevant authorities?		
12.	Has the Company been sanctioned and penalized for any data breaches by the regulator/		
Competition			
13.	Has the company received any Punitive award from the Competition regulator or tribunal? Provide details and Date.		
14.	Has the Company ever been the subject of any convictions or prosecutions, or is it the subject of any ongoing investigations by an authority, in relation to competition or anti-trust laws?		
Ethics & Integrity			
15.	Are any of the current directors or executives' current key employees of the Company also government public officials? Provide details and the nature of employment.		
16.	Does any government, its agencies or controlled organizations, or any other organization performing a governmental function own any interest in or exercise any control over the Company's business?		
17.	Does the Company have and following policies to regulate integrity and ethics: i) Written employee code of conduct. ii) Written anti-bribery and corruption policy; and iii)a policy and process for reporting bribery/fraud. A confirmatory certificate signed by Company's secretariat is required.		

18.	Has the Company (or any of its affiliates, shareholders, directors, or key employees) ever been the subject of any convictions or prosecutions, or subject of any pending investigations by public authority, in relation to fraud/ bribery or corruption? Provide details, if any.		
19.	Has the Company (or any person or entity listed in this questionnaire) ever been barred from competing for government contracts in any country?		
Financial			
20.	Is the Company Insolvent or declared insolvent?		
21.	Any Business Rescue plans in progress or planned to be instituted?		
22.	What is the tax status of the Company?		
23.	Has the Company submitted all financial returns to the tax regulations consistently in the last 3 years? A written confirmation certificate from the appointed finance manager of the Company is required. No request financial statement must be attached.		
24.	Is the Company or its affiliate under liquidation?		
Litigation			
25.	Any pending litigation between the Company and regulators?		
26.	Any legal litigation instituted with listed Companies at Johannesburg Stock Exchange or other Stock Exchange Government Institutions or agencies?		