

	<b>100.102.005</b>	<b>Anti-Corruption Program - Global Appendix 5</b> BUSINESS PARTNER ANTI-CORRUPTION QUESTIONNAIRE		
<b>CORPORATE LEGAL ETHICS &amp; COMPLIANCE</b>	Effective Date:	2015-June-17	Rev. 6	Page 1 of 4

**Instructions:** AN AUTHORIZED REPRESENTATIVE OF BUSINESS PARTNER MUST ANSWER THE QUESTIONS, SIGN AND RETURN THIS FORM TO THE REGAL EMPLOYEE OR BUSINESS SPONSOR. THIS FORM MAY ALSO BE AVAILABLE FOR ONLINE COMPLETION. CONTACT THE REGAL EMPLOYEE WITH WHOM YOU ARE WORKING FOR THE APPROPRIATE WEB SITE ADDRESS.

This questionnaire is a step in Regal’s risk analysis and due diligence process. **Business Partners and third parties that represent Regal externally or act on its behalf selling products or providing services must fill out this questionnaire.** At the discretion of the corporate Ethics & Compliance Office, other Business Partners that do not represent Regal or act on its behalf but operate in countries perceived as being corrupt (as measured by Transparency International Corruption Perception Index or the Trace Matrix) may also be required to complete the questionnaire and participate in Regal’s due diligence process and risk analysis.

For risk analysis and due diligence purposes, Regal defines the term “Public Official” broadly to include not only traditional government officials and those employed by government agencies, departments, or ministries, but also employees of entities which are owned or controlled by a national, state or local government and their family members. And, the term “Government Entity” means any organization, company, group or business in *any way* owned or controlled by a government or any government agency, department or ministry.

- Full Legal Name of Business Partner : \_\_\_\_\_  
 If not written in English, Name in English: \_\_\_\_\_  
 Is Business Partner publicly traded? Check one  Yes  No  
 Has Business Partner ever conducted business under an alias, assumed name, trade name or used any other business name other than the full business name listed above?  
 Check one  Yes  No If yes, please list the other names used in the last three (3) years:

System assigned Regal Vendor/Supplier Number (if applicable): \_\_\_\_\_

- Location and Contact Information  
 Location Street Address: \_\_\_\_\_  
 City: \_\_\_\_\_ State: \_\_\_\_\_ Country: \_\_\_\_\_ Postal Code: \_\_\_\_\_  
 Headquarters location (if different): \_\_\_\_\_  
 Telephone: \_\_\_\_\_  
 Email: \_\_\_\_\_  
 Website: \_\_\_\_\_

Information of Person (authorized representative) completing this Form for Business Partner  
 Last Name: \_\_\_\_\_ First Name: \_\_\_\_\_ Middle Initial: \_\_\_\_\_  
 Name in local language: \_\_\_\_\_  
 Date of Birth (YYY-MM-DD): \_\_\_\_\_ Nationality: \_\_\_\_\_  
 Postal Address: \_\_\_\_\_  
 City: \_\_\_\_\_ State: \_\_\_\_\_ Country: \_\_\_\_\_ Postal Code: \_\_\_\_\_  
 Telephone: \_\_\_\_\_  
 Mobile Number: \_\_\_\_\_  
 Fax: \_\_\_\_\_  
 Email: \_\_\_\_\_

3. Please list the contact information of the person or people employed by Regal that Business Partner considers its primary contacts for the business relationship.

Name	Email	Telephone Number	Country Location

4. What type of business relationship does Business Partner have or seek to have with Regal? Check all that apply:

- |   |  |  |
|---|--|--|
| <input type="checkbox"/> Advertising/Public Relations | <input type="checkbox"/> Manufacturer - components parts       | <input type="checkbox"/> Service Provider – Professional: accountant, auditor, legal advisor |
| <input type="checkbox"/> Charitable organization      | <input type="checkbox"/> OEM (original equipment manufacturer) | <input type="checkbox"/> Service Provider - Other  |
| <input type="checkbox"/> Consultant                   | <input type="checkbox"/> Referral Partner                      | <input type="checkbox"/> Supplier - Parts  |
| <input type="checkbox"/> Customs agent/broker         | <input type="checkbox"/> Research & Development                | <input type="checkbox"/> Supplier - Other  |
| <input type="checkbox"/> Distributor                  | <input type="checkbox"/> Reseller                              | <input type="checkbox"/> Trade Association   |
| <input type="checkbox"/> Joint venture partner        | <input type="checkbox"/> Sales Agent or Representative         | <input type="checkbox"/> Union   |
| <input type="checkbox"/> Lobbyist                     |  | <input type="checkbox"/> Not listed  |
| <input type="checkbox"/> Logistics agent              |  |  |

5. Approximately how much of Business Partner 's business is or will be devoted to Regal? \_\_\_\_%

6. Type of business entity of Business Partner (check one)

- |  |  |
|--|--|
| <input type="checkbox"/> Individual  | <input type="checkbox"/> Joint Venture                 |
| <input type="checkbox"/> Corporation   | <input type="checkbox"/> Limited Liability Company     |
| <input type="checkbox"/> Partnership   | <input type="checkbox"/> Limited Liability Partnership |
| <input type="checkbox"/> Other organization _____ (please describe and specify type) |  |

7. When and where did Business Partner begin doing business? \_\_\_\_\_ (month/year)  
 \_\_\_\_\_ (city, state, country)

8. List the country or countries in which Business Partner seeks to represent or supply goods to Regal:

9. For each listed country where Business Partner will represent or supply goods to Regal, identify whether registration with a Government Authority is a requirement for Business Partner to conduct of business in the country. If yes, provide Business Partner 's registration and tax number for each country. Add additional lines if needed.

_____(country)_____	<input type="checkbox"/> Yes	<input type="checkbox"/> No	_____(tax/registration number)_____
_____	<input type="checkbox"/> Yes	<input type="checkbox"/> No	_____
_____	<input type="checkbox"/> Yes	<input type="checkbox"/> No	_____
_____	<input type="checkbox"/> Yes	<input type="checkbox"/> No	_____
_____	<input type="checkbox"/> Yes	<input type="checkbox"/> No	_____

10. Briefly describe the experience and qualifications of the management personnel of Business Partner and how this may help the relationship with Regal.

11. Does Business Partner perform background checks or due diligence on other parties it has engaged or those it anticipates engaging to act on Regal's behalf? Check one  Yes  No



12. Do any of Business Partner 's executives, members, employees, shareholders, or their immediate family members currently hold any positions in any Governmental Entity?  
 Check one  Yes  No  Not sure If yes or not sure, please explain.
  
13. Does any Government Entity or Public Official have any ownership or other financial interest in Business Partner? Check one  Yes  No  Not sure If yes or not sure, please explain.
  
14. In the last 10 years, have you, the Business Partner , any of Business Partner 's officers, directors, leaders or owners, or anyone working for, or on behalf of Business Partner been accused of or convicted of violating any law or regulation prohibiting fraud, bribery or other corruption? Check one  Yes  No  Not sure If yes or not sure, please explain.
  
15. In the last 10 years, have you, the Business Partner , any of Business Partner 's officers, directors, leaders or owners, or anyone working for, or on behalf of Business Partner , been accused of or convicted of violating any other criminal or securities laws?  
 Check one  Yes  No  Not sure If yes or not sure, please explain.
  
16. If Business Partner has a Code of Business Conduct or similar document, check this box . Is it published on a publicly available web site? Check one  Yes  No  
 If yes, what is the website address? \_\_\_\_\_
  
17. If Business Partner has an Anti-Corruption Policy or program, check here . Is it published on a publicly available web site? Check one  Yes  No  
 If yes, what is website address? \_\_\_\_\_
  
18. Does Business Partner regularly train employees in the FCPA and UKBA and other relevant anti-corruption laws or regulatory guidelines? Check one  Yes  No
  
19. Does Business Partner (including any subsidiaries, sister companies, joint venture partners, etc) sell to or interact with (or anticipate doing so) any of the types of entities listed below on Regal's behalf? Check one  Yes  No If yes, select all that apply:  
 Government owned utility  Military  State owned entity  
 Any other government entity
  
20. List individuals (with their titles) and entities that exercise management control in or over Business Partner .


21. Please use this space to provide any additional information which you feel may be relevant to the relationship between Business Partner and Regal.



CORPORATE Anti-Corruption Program  
**100.102.005 BUSINESS PARTNER ANTI-CORRUPTION QUESTIONNAIRE**

Completed by:

\_\_\_\_\_  
 Business Partner Name

Date: \_\_\_\_\_

By: \_\_\_\_\_  
 Signature of Authorized Representative of Business Party

\_\_\_\_\_  
 Printed Title of Authorized Representative

\_\_\_\_\_  
 Printed Name of Authorized Representative

\_\_\_\_\_  
 Company of Authorized Representative (if different from Business Partner Name)

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