

Anti-corruption declaration for enhanced due diligence

Version 4.0, as of 1 November 2019

Schweizerische Exportrisikoversicherung
Assurance suisse contre les risques à l'exportation
Assicurazione svizzera contro i rischi delle esportazioni
Swiss Export Risk Insurance



Exporter/other relevant party [Click here to enter text.](#)
Project [Click here to enter text.](#)
Country [Click here to enter text.](#)
Orderer [Click here to enter text.](#)

For insurance to be granted and subsist, applicable Swiss and foreign law including anti-corruption law shall be complied with in connection with the conclusion and performance of the underlying transaction/export contract in relation to which insurance cover is requested under this application (together the "Transactions").

We therefore confirm that **neither we, nor** any natural or legal person acting on our behalf or appointed by us to provide services in connection with the Transactions, such as agents

- 1 a) have in connection with the Transactions been engaged or will engage in acts of bribery of foreign or domestic public officials or in bribery in the private sector per applicable Swiss or foreign law and jurisdiction, and/or
b) have committed or will commit any other criminal offence per applicable Swiss or foreign law and jurisdiction to bring about the conclusion of the relevant transaction or gain an unbefitting advance;
- 2 a) are currently under charge in any court or, to the best of our knowledge, are formally under investigation by public prosecutors for violation of laws against bribery of any country; and/or
b) within a five-year period preceding the application, have been convicted in any court for violation of laws against bribery of any country, been subject to equivalent measures, or been found as part of a publicly-available arbitral award to have engaged in bribery;
☐ We are unable to provide the confirmation pursuant to Article 2, for the following reasons (description of pending investigations, charges, convictions or equivalent measures or relevant listing in a publicly-available arbitral award and in relation to each individual case please state claimant, investigated natural or legal person/defendant, the allegations or judgment/administrative measures, relevant amounts involved, provisions made if any):
[Click here to enter text.](#)
- 3 are listed on the publicly available debarment lists of the following international financial institutions: World Bank Group, African Development Bank, Asian Development Bank, European Bank for Reconstruction and Development and the Inter-American Development Bank;
☐ We are unable to provide the confirmation pursuant to Article 3, for the following reasons:
[Click here to enter text.](#)
- 4 We further confirm that no natural or legal person of our group of companies, which is either
a) named on any debarment list as per Article 3, or/and
b) currently under charge in any court or, to the best of our knowledge, formally under investigation by public prosecutors for violation of laws against bribery of any country, and/or within a five-year period preceding the application, has been convicted in any court for violation of laws against bribery of any country, been subject to equivalent measures or been found as part of a publicly-available arbitral award to have engaged in bribery, will be involved in the conclusion or

performance of the relevant Transactions for which cover has been requested. In the case of natural persons so listed/involved, we confirm that they have been replaced. We provided SERV with written information on the identity of those and the relevant events as well as corrective and preventative measures.

- 5 ☐ No natural or legal person is/was acting on our behalf or appointed by us to provide services in connection with the Transactions, such as for example an agent.
- 6 ☐ A natural or legal person is/was acting on our behalf or appointed by us to provide services in connection with the Transactions, such as for example an agent.

We disclose herewith the:

- i. identity of any natural or legal person, such as **consultants/agents** involved in connection with the Transactions:
Name/address: [Click here to enter text.](#)
- ii. the amount and purpose of the commissions and fees paid, or agreed to be paid, to such persons:
Amount/currency: [Click here to enter text.](#)
Indicate one-off or recurring period:
☐ One-off ☒ Recurring
If recurring period: [Click here to enter text.](#)
Purpose: [Click here to enter text.](#)
- iii. country or jurisdiction in which the commissions and fees have been paid or agreed to be paid: [Click here to enter text.](#)

Further, we confirm that any commissions and fees paid, or agreed to be paid, to any such person involved in connection with the transaction, was, is or will be for legitimate services only,

- 7 The responsible compliance function (please provide contact details below) carefully reviewed the transaction for which insurance has been requested for any corruption-specific issues, in particular regarding the conclusion and performance thereof, **terms** of consultancy/agency agreements. The review did not reveal any corruption-specific issues or indication of such.

Contact details of the responsible compliance function (please complete):

Responsible compliance function [Click here to enter text.](#)
Last name, first name, function of the contact person [Click here to enter text.](#)
Telephone number [Click here to enter text.](#)
Email [Click here to enter text.](#)

- 8 We confirm we fully and accurately informed SERV about the compliance organisation, compliance management system including relevant processes and standards and compliance measures in relation to relevant corruption risks in our group of companies and in our company and will notify SERV without delay of any changes in this regard. We confirm we fully applied the above to the transaction for which insurance has been requested.

We confirm that we are aware of our duty to fully and correctly disclose to SERV all circumstances material to the acceptance of insurance and entitlements to indemnity and to further

notify SERV of any changes of such circumstances without delay (Art. 16 of the Swiss Export Risk Insurance Act, Art. 8 of the Federal Regulation on the Swiss Export Risk Insurance).

Note

We confirm that we took notice of the information in leaflet "Prevention of corruption in connection with SERV's Insurance Products" (https://www.serv-ch.com/fileadmin/Files/PDF/online-schalter/nachhaltigkeit/Information_Korruptionspraevention_e.pdf) and are aware of Articles 102, 322ter to 322decies of the Swiss Criminal Code, Articles 4a and 23 of the Swiss Unfair Competition Act and Articles 27a, 36 of the Federal Act on the Swiss Export Risk Insurance.

Click here to enter text.

Place and date

Legally binding signature(s) by the compliance function(s) of exporter/other relevant party