

# Client Risk Profile

CRI-MSF-39, Rev.2.0 , Date 14-10-2018



To apply for certification of ISO 37001:2016 (Anti-Bribery Management System) with ABAC Certification, following details are required to initiate the risk assessment process in lieu of application process.

## 1. General Information

1.1	Full legal name:			
1.2	Registered address:			
1.3	Phone/ Fax Number			
1.4	Website			
1.5	Type of Business (circle as appropriate)	Individual	Corporation	Partnership
1.6	Is your organization publicly listed and where?	<i>For privately owned companies, list all the owners of your organization. For publicly traded companies, list shareholders holding more than 5%.</i>		
		Name	Ownership (%)	Nationality
1.7	Organization Governing Body members	Name	Ownership (%)	Nationality
1.8	Does the organization have legal trade license	Yes _____ , No _____		
1.9	Number of years in business			
1.10	Countries the Organization is Operating in			

## 2. Business Associates

*External Party with whom the organization has, or plans to establish, some form of business relationship (ISO37001:2016 3.26)*

2.1	Is this organization working through; (tick as appropriate)	<input type="checkbox"/> Intermediaries	<input type="checkbox"/> Joint ventures
		<input type="checkbox"/> Consortia	<input type="checkbox"/> Affiliates
2.2	Are you able to interact directly with third parties, or do you rely on intermediaries to help you		
2.3	Has the organization previously worked in high corruption risk country? If yes, please specify. (sectoral risk)		
2.4	Has the organization recently acquired or merged with any organizations in counties with perceived high levels of corruption.		

# Client Risk Profile

CRI-MSF-39, Rev.2.0 , Date 14-10-2018



2.5	Does the country in which organization operates, or will operate have perceived high levels of corruption?	
2.6	Please give names of other organizations with which you had business relationships	
<b>Business Associate 1</b>		
A	Full Legal Name of Business Associate	
B	Trading/Business Names of Business Associate (if different from legal name)	
C	Previous Names of Business Associate (if any or if known)	
D	Number of Years the Business Associate has been Trading (Approx.)	
E	Street Address and Telephone Number of Business Associate	
F	Business Associate Website	
G	Country of Incorporation	
H	Is Due Diligence conducted prior to commencement of business?	
<b>Business Associate 2</b>		
A	Full Legal Name of Business Associate	
B	Trading/Business Names of Business Associate (if different from legal name)	
C	Previous Names of Business Associate (if any or if known)	
D	Number of Years the Business Associate has been Trading (Approx.)	
E	Street Address and Telephone Number of Business Associate	
F	Business Associate Website	
G	Country of Incorporation	
H	Is Due Diligence conducted prior to commencement of business?	

If you need additional space, please continue a separate piece of paper.

# Client Risk Profile

CRI-MSF-39, Rev.2.0 , Date 14-10-2018



## 3. Risk from Personnel

3.1	Has the organization or any of its personnel ever underwent through the following:	<ul style="list-style-type: none"> <li>• Blacklisted/Banned (Yes / No)</li> <li>• Bribery (Yes / No)</li> <li>• Corruption (Yes / No)</li> <li>• Fail to report records/ Securities (Yes / No)</li> <li>• Fraud (Yes / No)</li> <li>• Terrorism/ Terrorist financing (Yes / No)</li> <li>• Embezzlement (Yes / No)</li> <li>• Price-Fixing/ illegal Cartel (Yes / No)</li> <li>• Formation/Anti-Trust Violations (Yes / No)</li> </ul> <p>If Others, please specify</p> <ul style="list-style-type: none"> <li>• Money Laundering (Yes / No)</li> <li>• Organized crime (Yes / No)</li> <li>• Regulatory breach (Yes / No)</li> <li>• Securities Fraud (Yes / No)</li> <li>• Forgery (Yes / No)</li> <li>• Theft (Yes / No)</li> <li>• Tax evasion (Yes / No)</li> <li>• Racketeering (Yes / No)</li> <li>• Illegal Distribution/ production of banned or fake product (Yes / No or N/A)</li> </ul>
3.2	Does the organization conduct background screening of employees prior to hiring	
3.3	Is there an Antibribery policy in place communicated to staff?	
3.4	Are there any foreign nationalities employed	

## 4. Legal

4.1	Has the company ever been subject to legal proceedings, or the threat of them? If so provide details	
4.2	How difficult is it rightfully to obtain the permit or other relevant service?	
4.3	Are there conditions which you may or may not have fulfilled in obtaining the permits and, if so, what are they?	

## Client Risk Profile

CRI-MSF-39, Rev.2.0 , Date 14-10-2018



4.4	Are there outstanding Bribery/Corruption/Criminal offence cases that has yet not be resolved?	
4.5	Has organization ever been the subject of media or internet attention, suspicious rumors, or law enforcement scrutiny for criminal activities, improper business practices or other issues related to business or personal integrity?	If Yes, please specify:
4.6	Is the organization subject to any legal/regulatory requirement	If Yes, please specify the list of regulatory bodies
4.7	Are there are cautions or convictions for criminal offences, including motoring offences and pending actions against the organization or any of its personnel?	If Yes, please specify
4.8	<b>BANKRUPTCY</b> Have you been declared bankrupt in the last six (6) years from the date of application?	If Yes, please specify

### 5. Relationship to Government Organizations or Public Officials

*person holding legislative, administrative, military or judicial office for any country*

*-person exercising a public function for any country, government or governmental agency*

*-employee of a government-owned or controlled enterprise*

*-official or agent of a public international organization*

*-political party or official of a political party*

*As such, Public Officials include honorary government officials; members of boards, officers, directors and employees of governmental, quasi-governmental or government-owned companies; some members of royal or ruling families; and officials of such public international organizations as the World Bank, International Monetary Fund and the World Trade Organization.*

5.1	Does the organization interact with central, local or public officials?	If yes, kindly indicate frequency and means of interaction (direct or intermediary)
5.2	Is any key employee/ senior management a Public Official?	If yes, kindly include their name and designation in the organization
5.3	Is a government interaction direct or through an intermediary	<i>If applicable, what is the purpose of the interaction:</i>
5.4	Is there a risk of relationship with politically sensitive person/ public official?	

# Client Risk Profile

CRI-MSF-39, Rev.2.0 , Date 14-10-2018



## 6. Internal Governance

6.1	Is there a Compliance department/ Anti- bribery compliance function	
6.2	Is there structured decision making?	
6.3	Is the organization chart established?	If yes, please attach with the form
6.4	Is there segregation in duties?	If yes, please attach process interaction map.

## 7. Transaction Risk

7.1	Is the organization involved in charitable donations?	
7.2	Is the organization involved in political donations?	
7.3	Does the transactions involving licenses, permits and transactions related to public procurement which brings employees and others into frequent contact with public officials?	If yes, please attach with the form
7.4	Is the organization involved in projects which involves a number of contractors and intermediaries/?	
7.5	Does the project involve below market prices?	
7.6	Does the project involve a tendering exercise?	

## 8. Top Management Risk Assessment (To be completed on behalf of Top management)

8.1	Has Top Management ever been convicted of a crime involving dishonesty?	If Yes, please specify
8.2	Has Top Management ever served or been sentenced to a term of imprisonment?	If Yes, please specify
8.3	Has Top Management ever been convicted of any offence under any provision of the financial markets legislation or any offence under any provision of any foreign act governing auditors, financial markets or financial services, corporations, financial reporting, or requirements for preventing money laundering?	If Yes, please specify
8.4	Has Top Management ever been banned from acting as a director of a company or other incorporated body, of from being involved in the management of any class of incorporated or unincorporated entity?	If Yes, please specify

## Client Risk Profile

CRI-MSF-39, Rev.2.0 , Date 14-10-2018



8.5	Has Top Management ever been subject to disciplinary action against them by any professional body or disciplinary tribunal, where those actions resulted in penalties being imposed or censure?	If Yes, please specify
8.6	Has Top Management ever had a court ruling against them in respect of a civil case, or has reached an out of court settlement, relating to their profession?	If Yes, please specify
8.7	Has Top Management ever been declined membership of any professional body, or has been declined any registration, license, authorization or accreditation required in relation to any profession by any public body, self-regulatory organization or exchange, or has had any such membership, registration, license, authorization or accreditation revoked or withdrawn?	If Yes, please specify
8.8	Has Top Management ever been dismissed, or asked to resign, from a position of trust, fiduciary appointment or similar position?	If Yes, please specify
8.9	Has Top Management ever been placed into statutory management, or has been a director of a company which has been placed into statutory management?	If Yes, please specify
8.10	Has Top Management ever, in the last 10 years, been a director or senior manager of a company, or other incorporated or unincorporated entity, which has been placed into liquidation, administration or receivership, entered into any compromise agreement, moratorium or other restructuring to avoid liquidation, administration or receivership?	If Yes, please specify
8.11	Has Top Management subject to pending proceedings which, if any adverse finding is reached, will result in one or more of the matters set out in the paragraphs above applying to you?	If Yes, please specify

### 9. Impartiality

9.1	Self-Review- Is the organization utilizing services of ABAC Certification's parent or subsidiary organizations, or other entities having a close contractual relationship with the ABAC Certification.	
-----	--	--

# Client Risk Profile

CRI-MSF-39, Rev.2.0 , Date 14-10-2018



9.2	Familiarity (or trust)- Does the organization know any personnel of ABAC Certification on personal level?	
-----	---	--

## 10.0 DECLARATION

I, \_\_\_\_\_, on behalf of \_\_\_\_\_ certify that the statements made in this application are valid and complete to the best of my knowledge. I understand that providing false or misleading information to **Anti Bribery Anti-Corruption Center of Excellence Limited (ABAC CoE)** and its subsidiaries may constitute grounds for withdrawal of application process, certificate.

I further declare that any documents that I provide as proof of company's identity, proof of address, proof of right to work and any other documents that I provide are genuine and give my consent for these documents to be examined.

Should the circumstances be subject to change prior to the on-site visit for auditing which would reasonable affect the outcome of the auditing process, I declare to report the same immediately to the ABAC Certification in writing.

## 11.0 AUTHORIZATION

I authorize ABAC CoE and its agents to conduct a reference check, as per the requirements of background check for certification for ISO 37001:2016. If ABAC CoE is unable to verify any reference stated in this application, it is my responsibility to furnish the necessary documentation. I understand that ABAC CoE may request a background check from a credit reporting agency or related service.

I understand that I have a right to make a written request within a reasonable time for the disclosure of the name and address of the credit-reporting agency so that I may obtain a complete disclosure of the nature and scope of any investigation.

## 12.0 DATA PROTECTION ACT

ABAC CoE will use the information you have given on your application form (together with any information which we obtain with your consent from third parties) for assessing your suitability for ISO 37001:2016. It may be necessary to disclose your information to our agents and other service providers. By returning this form to the Company you consent to our processing data, transfer of your information where this is necessary. Your information will be held on our computer database and/or in our paper filing systems. Under GDPR, you have the right to apply for a copy of your information processed by us and to have any inaccuracies corrected as well as have the information removed from our database.

I have read, understood and by my signature given consent to these statements.

Authorized Signatory Name: ..... Designation: ..... Signature: .....

Date: .....

Company stamp: .....

**REVISION HISTORY OF THE DOCUMENT**

Revision Status		Page No.	Description of Changes	Effective Date
Revision No.	Rev. Date			
0	22-08-2017	All	First Issue	22-08-2017
1	18-10-2017	5	Clause 8 of Top Management Risk is included	18-10-2017
2	14-10-2018	7	Legal name updated and authorization addressed	14-10-2018

**NOTE:**

**Upon receipt of amendments, please**

- a) Remove and destroy the amended sheet(s) / page(s)
- b) Replace it with superseded sheet(s) / page(s)
- c) Check the controlled status
- d) Inform any discrepancy observed to Program Manager/ MR immediately.