

Name _____ <i>(as appears on the ARN/NISM Certificate)</i>																																																														
Status (please ✓ anyone)																																																														
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Non-Individuals <input type="checkbox"/> Partnership Firm <input type="checkbox"/> Private Limited Company <input type="checkbox"/> Public Limited Company <input type="checkbox"/> Others _____																																																														
Date of Birth / Date of Incorporation / Date of Registration <table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="width: 20px; text-align: center;">D</td><td style="width: 20px; text-align: center;">D</td><td style="width: 20px; text-align: center;">/</td><td style="width: 20px; text-align: center;">M</td><td style="width: 20px; text-align: center;">M</td><td style="width: 20px; text-align: center;">/</td><td style="width: 20px; text-align: center;">Y</td><td style="width: 20px; text-align: center;">Y</td><td style="width: 20px; text-align: center;">Y</td><td style="width: 20px; text-align: center;">Y</td> </tr> </table>		D	D	/	M	M	/	Y	Y	Y	Y																																																			
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Nomination Details for Brokerage / Commission (For individuals and sole proprietorships) Name _____ Address _____ Relationship with Distributor _____	Default payment option would be Electronic If Nominee is a minor Date of Birth of Nominee _____ Name of Legal Guardian _____ Address of Legal Guardian _____ Signature of Legal Guardian _____																																																													
UNDERTAKING :																																																														
1. I / We confirm and undertake that only persons who have passed the AMFI/ NISM Mutual Fund Certification Programme will be engaged in the sales and marketing of the units of BNP Paribas Mutual Fund / Product of AMC. 2. I / We confirm that we hold a valid ARN/ NISM Mutual Fund Certificate & I / We will take appropriate steps for keeping the same in force during the term of engagement as distributor with BNP Paribas Mutual Fund / Product of AMC. 3. I / We also confirm and undertake that we shall follow the provisions of SEBI Regulations and guidelines pertaining to Mutual Funds / Portfolio Management services while selling / marketing the units of BNP Paribas Mutual Fund / Product of AMC. 4. I / We confirm that I / We have received that Code of Conduct for Intermediaries of Mutual Fund / Portfolio Management services & undertake to abide by the same in the course of my business as distributor to BNP Paribas Mutual Fund / Product of AMC. 5. I/We confirm that we have read & understood the Terms & Conditions / Agreements required to be executed for the purpose of empanelment as a Distributor of units of BNP Paribas Mutual Fund / Product of AMC. The information above is correct & true to my / our knowledge. My / our application for empanelment as distributor may please be considered.																																																														
All fields required above are mandatory. Incomplete applications shall be rejected. Self-attested copies of the following documents are required to be submitted along with the Distribution Partner Empanelment Application Form:																																																														
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Recommended by _____ Reasons for recommendation _____ _____ BC _____ Date <table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="width: 20px; text-align: center;">D</td><td style="width: 20px; text-align: center;">D</td><td style="width: 20px; text-align: center;">/</td><td style="width: 20px; text-align: center;">M</td><td style="width: 20px; text-align: center;">M</td><td style="width: 20px; text-align: center;">/</td><td style="width: 20px; text-align: center;">Y</td><td style="width: 20px; text-align: center;">Y</td><td style="width: 20px; text-align: center;">Y</td><td style="width: 20px; text-align: center;">Y</td> </tr> </table>	D	D	/	M	M	/	Y	Y	Y	Y	Approved by _____ _____ (Regional Head - Sales)
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Signature _____											

1. Any term referred hereunder will have the same meaning as attributed under the SID, SAI & KIM of the respective schemes launched by the AMC on behalf of the MF.
2. The appointment of the Distributor is a non-exclusive appointment and the AMC may at its sole discretion appoint other distributors to distribute the Units of the MF. The relationship between AMC and Distributor is that of principal to principal. The Distributor shall not be entitled to by act, word, deed or otherwise, make any representations on behalf of the AMC or the Schemes or in any way bind the AMC or the Mutual Fund. The activities undertaken by the Distributor shall not be construed to be activities of the AMC or the Mutual Fund. Nothing in this Terms and Conditions shall be deemed to either constitute a partnership between the parties or otherwise entitle the parties to bind each other outside the scope of this agreement for any purpose.
3. The appointment of the Distributor shall be subject to the terms and conditions stipulated herein and to any guidelines, notifications, regulations, policies, procedures that may be framed or issued from time to time by the MF AMC, Association of Mutual Funds in India ("AMFI"), SEBI or any other regulatory body / authority.
4. The Distributor shall ensure that the Distributor, its employees, representatives, servants, agents or sub-distributors have and at all times shall continue to hold all valid and subsisting approvals / registrations / certifications as may be required by law to perform its obligations hereunder during the term of appointment and that they have not and shall not violate / breach any of the terms and conditions subject to which such approvals / registrations / certifications have been granted.
5. The Distributor shall mobilise the funds under each scheme of the MF in accordance with the SID, SAI & KIM of the respective schemes & operating instructions, if any, provided by the AMC / MF.
6. The investor/unit holder in question will be the investor/unit holder of the BNP Paribas Mutual Fund (formerly known as Fortis Mutual Fund). The Distributor agrees that, he will always provide each investor/unit holder with a copy of the abridged SID, SAI & KIM with respect to the relevant scheme of the MF and will be given a copy of the SID, SAI & KIM if requested with respect to the relevant scheme of the MF.
7. The Distributor shall do all acts, deeds and things necessary on behalf of the MF / AMC to enhance the investors' confidence and interest in the MF and ensure that the interests and reputation of the MF and the AMC is fully protected at all times.
8. The Compensation (i.e. commission, brokerage, fee etc.) and the periodicity of its payments for each scheme of the MF will be decided by the AMC at its discretion. Further, the AMC has the right to prospectively revise the same from time to time as it thinks fit. The Distributor shall be eligible to receive Compensation based on the amounts mobilised by such Distributor under each scheme of the MF subject to such other terms and conditions as may be applicable.
9. The Distributor shall not have any right or claim against the MF / AMC, for any loss incurred by it due to any revision made by the AMC in Compensation or any change of terms and conditions of distribution.
10. In case the Distributor receives any Compensation or any other amount which is not due or payable to the Distributor, the AMC / MF shall be entitled to recover the same or adjust all such amounts as are paid wrongly or erroneously or by mistake to the Distributor. Further, the distributor agrees to the claw back / recovery provisions indicated in the terms and condition of the brokerage structure issued by the AMC from time to time.
11. The Distributor shall only make representations / statements concerning units of scheme as contained in the current Scheme Information Document (SID) / Statement of Additional Information (SAI) and Key Information Memorandum (KIM) which shall be available on website of AMC.
12. As stated in SEBI Circular no. Cir/ IMD/ DF/13/ 2011 dated August 22, 2011, if applicable, the AMC either itself or through any agency can perform necessary due diligence exercise before appointment of distributor or thereafter.
13. The Distributor shall ensure compliance with respect to SEBI Circular SEBI/IMD/Cir No.14/151044/2009 dated January 19, 2009 and various communications released by AMFI in this regard and shall not give any indicative portfolio or indicative yield in any communication or in any manner whatsoever with respect to any Scheme launched or to be launched by the AMC.
14. Distributor shall ensure that unitholders will be provided unfettered and unrestricted access to Mutual Fund/AMC and will ensure that the unit holder's rights are not restricted in any manner.
15. The Distributor agrees to comply with the relevant know your client ("KYC") norms as laid down by SEBI and/or AMFI and as amended from time to time pursuant to Prevention of Money Laundering Act, 2002. The Distributor agrees that the AMC has right to reject the transaction in case of failure of KYC for any Investor. The onus of conducting/adhering to the KYC norms is on the Distributor and the Distributor will ensure proper verification of identity of investors.
Further, the Distributor, in relation to its Customers, shall also assist the AMC in complying with all applicable anti money laundering law and regulations under the Prevention of Money Laundering Act, 2002 and Rules framed thereunder and policy(ies) adopted thereunder by AMC ("AML Norms"). The Distributor agrees and understands that the AMC reserves the right to seek additional information in conduct of its due diligence of the Customers, including, but not limited to, conducting of screening procedures whereby names of the investors will be screened against such database considered appropriate by the AMC, determining country(ies) of citizenship/residence/operation of such Customers etc. Further, AMC shall be entitled to take necessary action including rejection of application / refund of application money / freezing of investor account for future transactions / mandatorily redeem the investments within reasonable time at applicable NAV if the AMC has a reasonable ground to do so or believes / suspects that the transactions involve Money Laundering or Terrorist Financing or proceeds of crime so as to ensure that provisions of AML Norms are being adhered to in letter and in spirit.
16. In terms of AMFI Circular 35P/ MEM-COR/ 13/ 10-11 dated August 27, 2010, read with various clarifications issued thereafter, compliance with "Know Your Distributors" (KYD) norms will be mandatory for fresh ARN registration and ARN renewal effective from September 1, 2010.
17. The Distributor shall only use advertising / sales material for distributing / selling the units of the MF as provided / approved by the MF / AMC.
18. The Distributor shall not indulge in any kind of malpractice or unethical practice to sell, market or induce any investor to buy the units of the scheme(s) of the MF.
19. The Distributor shall neither use nor display the logo or mark of the AMC / MF (or any logo or mark similar thereto) in any manner whatsoever, without the AMC's prior written approval.
20. The Distributor shall take adequate steps to obtain information and identify the investors/ unit holders who invest in the MF through the Distributor and shall maintain all information / documents / records in respect of services provided under this terms and conditions e.g. customer data base etc.
21. The Distributor shall provide such assistance as may be required by the investors / unit holders / the Registrar / the AMC to redress any complaints received therefrom.
22. The Distributor (including all its employees, representatives, servants, agents and sub-distributors) undertakes to maintain strict confidentiality with regard to all matters, documents, reports and information given to the Distributor on confidential basis by the AMC / MF.
23. The Distributor shall ensure that the terms and conditions mentioned herein or as agreed to from time to time are also complied with by the Distributors' employees, representatives, servants, agents and sub-distributors.
24. The Distributor shall protect and keep harmless and indemnify the MF / AMC against and in respect of any loss, claim, cost, charges, expenses (including legal fees and expenses), penalties whatsoever which the MF / AMC, may incur as a result of:
 - i) breach of any term or condition mentioned herein by the Distributor or any of its employees, representatives, servants, agents and sub-distributors;
 - ii) fraudulent, improper, incorrect, wrongful or negligent performance, work, service, act or omission by the Distributor or any of its employees, representatives, servants, agents and sub-distributors;
 - iii) willful misconduct of the Distributor or any of its employees, representatives, servants, agents and sub-distributors.
25. The Distributor agrees that the AMC shall have no privity of contract with agents and sub-distributors appointed by the Distributor. Further, the Distributor shall be solely responsible and liable for all acts of its employees, representatives, servants, agents and sub-distributors.
26. The Distributor shall promptly provide and shall cause any of its agents / subdistributors to provide on periodic basis such written declaration / confirmations along with supporting documents as required by the AMC to ensure compliance with all applicable laws / rules / regulations / guidelines / circulars.
27. Without prejudice to any of the provisions under these Terms and Conditions, each Party shall have the right to terminate this agreement forthwith without assigning any reason, upon the occurrence of any of the following events:
 - a. If the other Party commits any breach of any of the terms and conditions by giving one (1) month notice in writing to the other Party;
 - b. If the other Party engages in fraud or other illegal or unethical activities, or in any activity which the affected party, in its reasonable judgment, believes could adversely affect the reputation of the affected Party;
 - c. If the other Party enters into liquidation whether compulsory or voluntary (save for the purpose of amalgamation or reconstruction) or makes an assignment for the benefit of, or compounds with, its creditors or has a manager or receiver appointed in respect of all or any part of its business or a petition for winding-up or other party ceases to carry on any part of its business or threatens to do any of these things.
 - d. If the AMC believes that Distributor fails to satisfactorily fulfill the due diligence criteria as laid down by AMC pursuant to SEBI circular Cir/ IMD/ DF/13/ 2011 dated August 22, 2011.
 - e. If the Distributor fails to comply with regulations prescribed by SEBI or AMFI or any other regulatory authority from time to time pertaining to distribution of units of mutual funds including compliance of various provisions stated under SEBI (KYC Registration Agencies) Regulations, 2011.
28. Disputes arising out of this arrangement will be subject to the exclusive jurisdiction of the courts in Mumbai City only.
29. In case of distribution of PMS products various applicable provisions of SEBI (Portfolio Managers) Regulation 1993 shall also be applicable.
30. While distributing the product, the principle of 'appropriateness' of products shall be applied by the distributor. Appropriateness is defined as selling only that product categorization that is identified as best suited for investors within a defined upper ceiling of risk appetite.
31. While selling Mutual Fund products of the distributors' group/affiliate/associates, the distributor shall make disclosure to the customer regarding the conflict of interest arising from the distributor selling of such products.
32. The Distributor will provide such other relevant information (including its name, address and tax identifying number and that of its direct or indirect beneficial owners, beneficiaries or controlling persons "Ownership Information") and documentation as the AMC may reasonably request, from time to time, during the term of this Agreement in order to enable the AMC to comply with its regulatory and contractual obligations or such further information as may be properly required by any government entity or competent regulatory authority, in each case promptly following request.
33. The Distributor confirms that any information (including Ownership Information) and documentation that it has provided or that may be required from time to time from the Distributor is complete, accurate and not misleading in any material respect. The Distributor shall promptly inform the AMC in case of any changes occur in respect of any information (including Ownership Information) and/or documentation provided by it to the AMC.
34. The Distributor undertakes that it authorises the AMC to disclose its identification documentation and information (including Ownership Information) to any Affiliate or its Group companies (in India and outside India) for Anti Money Laundering (AML) and other financial crimes in accordance with the laws, regulations, internal policies or procedures or any other commercial purpose. The Distributor acknowledges and agrees that any data supplied to the AMC during the term of this Agreement may be disclosed by the AMC when required by any law or regulation or an agreement between the AMC and any government entity or supervisory authority or such action is motivated by a legitimate reason. Additionally, the AMC may, in its sole and absolute discretion, take such appropriate actions which may include but is not limited to (a) combining information available with AMC with other related information in the possession of the BNP Paribas Group, and/or (b) making further enquiries as to the status of a person or entity, or confirming identity and status of such person or entity and/or (c) share information on a confidential basis with such Group companies (in or outside India). The AMC shall ensure data confidentiality in accordance with applicable laws on the part of the recipients.
35. The AMC shall not be responsible for indemnifying the Distributor for any taxes which may be imposed on or due by the Distributor on the brokerage / commission earned by him under this agreement. The Distributor agrees to receive any payments made pursuant to this Agreement net of and subject to any withholding or deduction from such payment which is required to be made by law, by regulation of a government entity or supervisory authority, or by an agreement between the AMC and any government entity or supervisory authority.
36. The Distributor has in place and implements policies and procedures designed to ensure compliance with its obligations under applicable law and regulation in connection with international financial sanctions, including sanctions and other restrictive measures imposed by the United Nations, the European Union, the United States (Office of Foreign Assets of Control / OFAC), and the jurisdiction of the Distributor (collectively, the "Measures"). The Distributor undertakes not to offer [MF / Product] to any client (or any third-party acting on behalf of a client) who is subject to: (i) restrictive measures or a freeze of its assets; or (ii) any embargo measure; pursuant to the Measures.
The Distributor undertakes not to act in any manner in the exercise of its rights and obligations herein that would subject AMC / MF or its affiliates to a violation of the Measures. The Distributor agrees and understands that the AMC reserves the right to seek additional information of the clients referred by the Distributor Further, in case AMC, through its client due diligence measures and screening procedures or any such controls and procedures, determines or believes or has reasonably grounds indicating that the units are being or have been offered by Distributor to its clients who are or were subject to restrictions as enumerated under (i) and (ii) above, AMC reserves the right to undertake necessary actions including but not limited to rejection of application / refund of application money / freezing of client account for future transactions and also withhold commission / brokerage with respect to such transactions or not undertake any further business from the Distributor.

I/We, the Distributor, agree and accept that these terms and conditions constitute a valid and binding contract enforceable under law and I/We having fully read and understood these terms hereby agree to comply with and be bound by the same.

(Rubber stamp mandatory for non-individuals)	(Rubber stamp mandatory for non-individuals)	Place <input style="width: 100%;" type="text"/> Date <table border="1" style="display: inline-table; border-collapse: collapse; text-align: center;"> <tr> <td style="width: 20px;">D</td> <td style="width: 20px;">D</td> <td style="width: 20px;">M</td> <td style="width: 20px;">M</td> <td style="width: 20px;">Y</td> <td style="width: 20px;">Y</td> <td style="width: 20px;">Y</td> <td style="width: 20px;">Y</td> </tr> </table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y			

GENERAL INFORMATION & INSTRUCTIONS

The beneficial owner has been defined as the natural person or persons, who ultimately own, control or influence person(s) on whose behalf a transaction is being conducted, and includes a person who exercises ultimate effective control over a legal person or arrangement.

1. Ultimate Beneficiary Owner [UBO]:

A. For Entities other than individuals or trusts :

- (i) The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of / entitlement to:
 - more than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
 - more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership;
 - more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.
- (ii) In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.
- (iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

B. For Entity which is a trust:

The identity of the settler of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

C. Exemption in case of listed companies

The client or the owner of the controlling interest is a company listed on a stock exchange, or is a majority-owned subsidiary of such a company, it is not necessary to identify and verify the identity of any shareholder or beneficial owner of such companies.

2. Controlling Person Type [CP / UBO] Codes:

UBO Code	Description
01	CP of legal person-ownership
02	CP of legal person-other means
03	CP of legal person-senior managing official
04	CP of legal arrangement-trust-settlor
05	CP of legal arrangement-trust-trustee
06	CP of legal arrangement-trust-protector
07	CP of legal arrangement-trust-beneficiary
08	CP of legal arrangement-trust-other
09	CP of legal arrangement-other-settlor equivalent
10	CP of legal arrangement-other-trustee equivalent
11	CP of legal arrangement-other-protector equivalent
12	CP of legal arrangement-other-beneficiary equivalent
13	CP of legal arrangement-other-other equivalent
14	Unknown

MAJOR SANCTIONED COUNTRIES QUESTIONNAIRE - DISTRIBUTOR

As part of BNP Paribas' ("BNPP") client due diligence, BNPP endeavors to understand whether, and to what extent, its distributors have activities with or in certain sensitive or Major Sanctioned Countries or Regions.

It is the global policy of BNPP not to process or otherwise engage in activity (regardless of currency) for, on behalf of, or for the benefit of, a sanctioned individual, entity, territory, or organization targeted by French, European, or United States authorities, or other applicable sanctions regimes, in particular activity involving directly or indirectly: **CUBA, IRAN, NORTH KOREA, SUDAN, SYRIA, and CRIMEA/SEVASTOPOL** (collectively, "Major Sanctioned Countries and Regions" or "MSCs"), in any currency.

BNPP obeys the laws of all jurisdictions in which it operates and does not further support or otherwise participate in unlawful boycotts. If you respond to any of the questions below in the affirmative, this does not necessarily mean that BNPP would reject you as a distributor or terminate BNPP's relationship with you.

Please provide the following information as requested below on behalf of your company and your company's group of entities, as defined below. The reference period is the preceding 12 months **or the 12 month period corresponding with your most recent reporting period.**

Additional information may be requested upon review.

MSCs – CUBA, IRAN, NORTH KOREA, SUDAN, SYRIA and CRIMEA/SEVASTOPOL

<p>To the best of your knowledge, does your company, or any member of your company's group of entities (any entity directly or indirectly controlled by, or under common control with your company ("Controlled Perimeter")):</p> <ul style="list-style-type: none"> reside in or have any offices, transactions, investments, activities or planned activities in a MSC, or have any transactions, investments, activities or planned activities ("Dealings") with (or in) any individual or entity located, resident, or organized in a MSC or with (or in) any entity directly or indirectly owned or controlled by any entity located, resident, or organized in a MSCs (in each case, including with intermediaries acting on behalf of or engaging in related Dealings with MSCs or MSC-based entities)? 	<p>Please choose:</p> <p><input type="checkbox"/> YES</p> <p><input type="checkbox"/> NO</p>
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If NO, please complete this page **only**.

If YES, please complete this page **and fill out the rest of the questionnaire**.

To be completed by the Company :

It is the global policy of BNPP not to process or otherwise engage in activity (regardless of currency) for, on behalf of, or for the benefit of, a **sanctioned individual, entity, territory or organization targeted by French, European, or United States authorities, or other applicable sanctions regimes**, in particular activity involving directly or indirectly: **CUBA, IRAN, NORTH KOREA, SUDAN, SYRIA, and CRIMEA/SEVASTOPOL** (collectively, "Subject Transactions").

To the best of our ability, we hereby acknowledge that, we will not, nor any member of our Controlled Perimeter, directly or indirectly,² use any account(s) or any products and services provided by BNPP, regardless of currency, to undertake or otherwise conduct any Subject Transactions.

We further confirm that any activity conducted by us (as well as by our Controlled Perimeter) related to Subject Transactions is permissible, exempted or licensed and, to the best of our knowledge and ability, we will not, nor any of our subsidiaries, directly or indirectly, involve BNP Paribas, regardless of currency, in any Subject Transactions (including through any account, product, or service provided by BNP Paribas), even if licensed by the relevant authorities.

We will promptly notify BNPP if we, at any time, are no longer able to comply with any of the aforementioned representation.

Company hereby represents that the statements above are accurate and complete.

Company Name	
Company Address	
Company Group Name: (if applicable)	
Completed By*: (name/title)	
Signature	
Date	

*This questionnaire must be completed by a duly authorized Senior Representative(s) of the Distributor who is/are in a position to respond on behalf of the Company and Company's Controlled Perimeter. Examples include but are not limited to: CEO, CFO, COO, President, Treasurer, Legal or Compliance Representative, or other authorized representative.

¹ Entities in which you own directly or indirectly 50% or more of the shares or voting rights or entities on which you exercise control.

² Indirect activities include, but are not limited to, dealings with third party intermediaries for goods, services or technology that come from or are destined to CUBA, IRAN, NORTH KOREA, SUDAN, SYRIA or CRIMEA/SEVASTOPOL region, or with banks/financial institutions that could be associated with these transactions.

Company Name	
Company Group Name	

Please complete and return the questionnaire

MSCs – CUBA, IRAN, NORTH KOREA, SUDAN, SYRIA and CRIMEA/SEVASTOPOL

I. **To the best of your knowledge**, does your company, or any member of your company's group of entities (any entity directly or indirectly controlled by, or under common control with your company ("Controlled Perimeter")³:

- reside in or have any offices, transactions, investments, activities or planned activities in a MSC, or
- have any transactions, investments, activities or planned activities ("Dealings") with (or in) any individual or entity located, resident, or organized in a MSC or with (or in) any entity directly or indirectly owned or controlled by any entity located, resident, or organized in a MSC (in each case, including with intermediaries acting on behalf of or engaging in related Dealings with MSCs or MSC-based entities)?

- If YES, please choose all that apply:

<input type="checkbox"/> MSC: Cuba	<input type="checkbox"/> MSC: Iran
<input type="checkbox"/> MSC: North Korea	<input type="checkbox"/> MSC: Sudan
<input type="checkbox"/> MSC: Syria	<input type="checkbox"/> MSC: Crimea/Sevastopol
- If YES, please detail specific types of transactions, investments, activities or planned activities.

- If YES, please quantify your MSC exposure by identifying the % of assets, and/or % of revenues, and/or % of purchases of your company accounted for by these transactions, investments, or activities.

	% of Revenues (if any)	% of Purchases (if any)	% of Assets (if any)
Cuba			
Iran			
North Korea			
Sudan			
Syria			
Crimea / Sevastopol			

II. Does any member of your Controlled Perimeter have individual MSC exposure of 1% or greater?

- If YES, please identify all members of your Controlled Perimeter that have individual MSC exposure of 1% or greater.

III. **To the best of your knowledge** and as applicable, is your company or any member of your company's Controlled Perimeter involved in the maintenance or expansion of oil and gas production/imports, of a nuclear program, of weapons capability, or in dual usage goods or in equipment that may be used in those sectors for MSCs?

- If YES, please choose all that apply:

<input type="checkbox"/> MSC: Cuba	<input type="checkbox"/> MSC: Iran
<input type="checkbox"/> MSC: North Korea	<input type="checkbox"/> MSC: Sudan
<input type="checkbox"/> MSC: Syria	<input type="checkbox"/> MSC: Crimea/Sevastopol
- If YES, please detail specific types of transactions, investments, activities or planned activities.

- If YES, please quantify your MSC exposure by identifying % of assets, and/or % of revenues, and/or % of purchases of your company accounted for by these transactions, investments, or activities.

	% of Revenues (if any)	% of Purchases (if any)	% of Assets (if any)
Cuba			
Iran			
North Korea			
Sudan			
Syria			
Crimea / Sevastopol			

IV. **To the best of your knowledge and as applicable**, please describe any activity covered under an Office of Foreign Assets Control ("OFAC") General or Specific license for your company or any member of your company's Controlled Perimeter.

V. **To the best of your knowledge and as applicable**, please describe any activity which specifically falls under any EU licenses, authorizations, or exemptions for your company or any member of your company's Controlled Perimeter.

VI. **To the best of your knowledge and as applicable**, please describe any part of your business activity in MSCs that is permissible and outside the scope of specific U.S. or EU licenses, authorizations or exemptions.

³ Entities in which you own directly or indirectly 50% or more of the shares or voting rights or entities on which you exercise control.



FOR BNPP AMC'S RELATIONSHIP MANAGER'S (RM) INTERNAL USE ONLY

Company Name	
Company Address	
Type: (e.g. Corporate Client, Correspondent Bank, Bank, Fund Manager, Broker, Custodian)	
This MSCQ is representative of the: Entity/Subsidiary _____ or Group/Parent _____	
Company Group Name (if applicable)	
Date/s of conversation/s with Company Representative	
RM (name/title)	
Company Representative (name/title)	
Completed By (name/title)	
Signature	
Date	

RM Comments:

The responses to this questionnaire must be discussed by the RM with a duly authorized Senior Representative(s) of the Distributor who is/are in a position to respond on behalf of the Company and Company's Controlled Perimeter. Examples included but are not limited to: CEO, CFO, COO, President, Treasurer, Legal or Compliance Representative, or other authorized representative.