

Appendix 2 - Bankers' Almanac Due Diligence Module

Required Documents and Information from Financial Institutions:

1. Response to Anti-Money Laundering Questionnaire
2. Dated copy of Corporate Anti-Money Laundering Policies and/or Procedures
3. USA Patriot Act Certification – for institutions required to provide Certifications
4. Biographies of Board Members and Senior Management
5. List of owners (as well as other identifying information, such as address, etc.) who directly or indirectly own, control or have the power to vote 10 percent or more of any class of voting securities for any company that is not publicly traded. For companies that are publicly traded identify the exchange on which the company is traded
6. Latest Annual Report, including Annual Reports of subsidiaries.
7. Copy of license and licenses of subsidiaries (with English translation if original license is in language other than English)
8. Copies of corporate governance documents, such as:
 - Company by-laws
 - Memorandum, Articles or Certificate of Incorporation
 - Memorandum, Articles or Certificate of Association
9. Extract from commercial register