

THIRD PARTY DUE DILIGENCE QUESTIONNAIRE

Information to be provided by business partners,
sub-contractors, joint venture partners, representatives,
agents and consultants of Deutsche Post DHL

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GENERAL INSTRUCTIONS

- 1) Please fill in the DDQ spreadsheet
- 2) Please provide the signed "Declaration" appearing in this file to your Deutsche Post DHL contact

IN CASE YOU HAVE SUBMITTED THIS DDQ TO ANY OTHER DEUTSCHE POST DHL ENTITY ALREADY, PLEASE PROVIDE DETAILS OF RECIPIENT:

Name

Position

Country

Deutsche Post DHL Division/Function

Phone Number

E-mail address

1 COMPANY CONTACT INFORMATION

Please provide general company and Key Account Manager contact information (as requested in the cover letter)

1.1 Company (Legal entity name)

1.2 Company web address

1.3 Date of incorporation

1.4 Place of incorporation

1.5 DUNS No.

DUNS = Data Universal Numbering System. It assigns a unique numeric identifier to a single business entity

1.6 ACCOUNT MANAGER FOR DEUTSCHE POST DHL / PRIMARY CONTACT

1.6.1 Name

1.6.2 Title / Position

1.6.3 Phone number

1.6.4 E-mail address

2 COMPANY OVERVIEW

2.1 Please provide a general description of your company, describing the principle lines of business

2.2 In which country does your company have its headquarters?

2.3 List the countries in which your company operates

2.4 Please define the geographical scope of the services to be provided for Deutsche Post DHL

2.5 How many employees does your company have?

2.6 What is the approximate annual revenue of your company?

2.7 Which % of your revenue is made with Deutsche Post DHL?

2.8 Is your company owned by a parent company?

yes no

Please provide the name of the ultimate parent company

2.9 Does your company own affiliates that have business with Deutsche Post DHL?

yes no

Please provide the names of the ultimate affiliated companies

3 OWNERSHIP AND MANAGEMENT

Please provide general company representative information as outlined below. Company/partnership management information:

3.1 Chairman/President

3.1.1 Other offices or mandate

3.1.2 Nationality

3.1.3 Date of birth (day.month.year)

3.2 Managing Director/General Manager

3.2.1 Other offices or mandate

3.2.2 Nationality

3.2.3 Date of birth (day.month.year)

3.3 Finance Director/Manager

3.3.1 Other offices or mandate

3.3.2 Nationality

3.3.3 Date of birth (day.month.year)

3.4 Other directors (or key personnel) and their offices and mandates

3.4.1 Title/Position

3.4.2 Nationality

3.4.3 Date of birth (day.month.year)

3 OWNERSHIP AND MANAGEMENT

3.5 Which of the following describes your company best?

3.6 If listed, on which stock exchange(s) is your company listed?

3.7 List all owners, partners and shareholders in your company (percentage should total to 100%)

Please provide surname, forename, nationality and date of birth. In the case of corporations with more than 50 shareholders, only list those who own more than 2% of the company: %

3.7.1

3.7.2

3.7.3

3.7.4

3.7.5

3.7.6

3.7.7 In case there are further owners, please attach relevant information in a separate document

Total

3.8 Previous owners, principals, partners (last 12 months)

3.8.1

3.8.2

3.8.3 In case there are further previous owners, please attach relevant information in a separate document

yes no

4 BUSINESS RELATIONSHIPS

4.1 Please provide details of your company's (including Parent Company, if any) trading history and activities (including any prior business relationships) with any Deutsche Post DHL Group company

4.2 Does your company have adequate safeguards to protect commercial information of Deutsche Post DHL?
yes no

4.3 If this is a new business relationship, was it introduced by a third party? If yes, please provide details
yes no
Please provide details

4.4 Will your company be acting as a sales intermediary, consultant or agent on behalf of Deutsche Post DHL? If so, please provide details of the proposed remuneration model
yes no
Please provide details

4.5 Please confirm that the proposed business relationship / arrangement and the provision of your services do not infringe any applicable laws or regulations
yes no

4 BUSINESS RELATIONSHIPS

4.6 Do you intend to retain any subcontractors, third party agents, partners or consultants to provide the proposed services?

yes no

If yes,

4.6.1 i) please detail the elements of your service for which you intend to use third parties

4.6.2 ii) do you have processes and procedures in place to ensure that these third parties fulfill the same standards of compliance that you and Deutsche Post DHL expect?

yes no

5 COMPLIANCE

5.1 ANTI-CORRUPTION

- 5.1.1 Does your Company have an approved and implemented anti-corruption policy (including terms on provision and acceptance of gifts & benefits) and will your Company comply with it when providing services for Deutsche Post DHL?
- yes no



- 5.1.2 Has your Company implemented adequate procedures to ensure compliance with all applicable anti-corruption and anti-bribery legislation? If so, please provide a description of the procedures
- yes no

Please provide details

- 5.1.3 Does any employee or company representative have a relationship to a Deutsche Post DHL Group company, company representative or employee which could create a conflict of interest or appear to do so? If yes, please provide details
- yes no

Please provide details

- 5.1.4 Does any current or former governmental official, political party official, candidate for political office or relative of such a person work for or have an ownership interest, direct or indirect, in the company / partnership? If yes, please provide details (name and official position / function, duties and responsibilities; If the official is a relative of an owner, director, officer or employee of your company / partnership, share the relationship of that official to such personnel)

yes no

Please provide details

5.1 ANTI-CORRUPTION

5.1.5 Will your Company make use of contacts in government or politics to deliver your services?

If yes, please provide details

yes no

Please provide details

5.1.6 When providing services for Deutsche Post DHL will any employee interact with any government official?

If yes, please provide details

yes no

Please provide details

5.1.7 Have your Company, its owners, its principle officers, directors, shareholders or any key employee who will be involved in the provision of services for Deutsche Post DHL ever been investigated or charged with any offense, including bribery, corruption, money laundering or conflicts of interest?

If yes, please provide details of the incident(s). Was your company or the individual indicted or convicted?

yes no

5.1.8 Has your company ever been declared insolvent or filed for bankruptcy in court?

yes no

5.2 IMPORT / EXPORT REGULATION

5.2.1 Will your Company be performing import/export work on behalf of Deutsche Post DHL?

yes no

5.2.2 Does your Company provide guidance and promote compliance with specific laws governing import and export transactions?

yes no

5.2.3 Does your Company regularly review applicable export laws and regulations to ensure that goods are not shipped to embargoed or sanctioned countries, persons or entities?

yes no

5.3 DATA PROTECTION

- 5.3.1 Is the data protection conformity of relevant systems and processes reviewed on a regular basis?
yes no
- 5.3.2 Are the employees committed to data secrecy?
yes no
- 5.3.3 Are the necessary written agreements in place if external service providers have access to company's personal data?
yes no

5.4 ENVIRONMENTAL PROTECTION

- 5.4.1 Does your company comply with all applicable environmental laws, regulations and standards?
yes no
- 5.4.2 Does your company have climate protection goals, targets or measures in place to make your operations more environmentally-friendly and to minimize your business' impact on the environment (e.g. the reduction of fuel/ energy use and related emissions)? If yes, please provide details. (Especially relevant to all companies providing transport and logistics solutions on behalf of Deutsche Post DHL)
yes no
Please provide details
- 5.4.3 Does your company commit to the Deutsche Post DHL Paper Policy?
(Especially relevant for all companies providing paper, paper products or paper-based packaging materials to any Deutsche Post DHL entity worldwide)
yes no

5.5 HUMAN RIGHTS / LABOUR STANDARDS

- 5.5.1 Do you have a human rights policy in place?
yes no
- 5.5.2 Please provide a copy of your human rights policy, code of conduct, etc.
- 5.5.3 Does your Company prohibit children under the age of 15 from being employed?
yes no
- 5.5.4 Does your company prohibit the use of forced or compulsory labor?
That means all work must be voluntary and workers shall be free to leave work or terminate their employment with reasonable notice.
yes no
- 5.5.5 Does your company comply with the respective national laws and regulations regarding working hours, wages and benefits?
yes no
- 5.5.6 Does your company prohibit any kind of discrimination?
yes no

5.6 HEALTH & SAFETY

- 5.6.1 Do you operate a Safety Management System conforming to a recognised health & safety standard (e.g. OHSAS 18001)?
yes no
If yes, please forward a copy of your certificate and go to question 5.6.4
- 5.6.2 Do you have a documented health & safety policy?
yes no
- 5.6.3 Do you have documented H&S risk assessments for the work to be carried out for Deutsche Post DHL?
yes no
- 5.6.4 Have you had any prosecutions or enforcement notices from the HSE authorities (last 5 years)?
yes no
Please provide details
- 5.6.5 Do employees receive health & safety training with relevant records maintained?
yes no

6 ACTIVE BUSINESS REFERENCES

Please note that references may be contacted in case a verification of your company's qualification or reputation is deemed necessary by the competent review function.

6.1 Active business references

a)

b)

6.2 Banking references

a)

b)

6.3 Auditor references (if any)

Name

Contact Details

6.3.1 For how long have you been retaining your current auditor?

7 DEUTSCHE POST DHL SUPPLIER CODE OF CONDUCT

Does your company commit to the Deutsche Post DHL Supplier Code of Conduct?

yes no



CERTIFICATION

I am owner / principal of our company and am authorized by our company to complete this questionnaire and sign this certification.

I certify that I have made full and diligent investigations in providing the information above and that the information is true and correct as at the date it is provided. I also confirm that I will advise Deutsche Post DHL (DPDHL) of any material change to any of the questions contained herein which may arise in the future.

I certify that I have received and understood DPDHL's "Supplier Code of Conduct" and I warrant that my company will comply with this policy. Key staff of my company will personally complete related training programs upon request. I confirm herewith that Deutsche Post DHL is entitled to perform a compliance audit on my company if Deutsche Post DHL has reason to believe that my company has materially failed to comply with the DPDHL Supplier Code of Conduct or the Anti-Corruption and Business Ethics Policy or respective equivalent own company policy (as per DDQ section 5.1.1). I confirm that in collecting and providing the information above, my company has complied with applicable data protection regulation.

Signed:

Print Name

For and on behalf of

Position in Company

Address

Phone

E-mail address

Date

Please ensure that the requested documents (trade registration certificate, copies of Code of Conduct and / or related policies and procedures, if applicable) are attached to this questionnaire.

Deutsche Post AG
Headquarters
Global Compliance Office
53250 Bonn
Germany
Status: 10/2014

Deutsche Post DHL