



KYC QUESTIONNAIRE

SECTION A - CORPORATE INFORMATION

Registered Name (Business Name/Incorporated):
Trading Name (if different):
Registered Address:
Website Address:
Operating Business Address:
Tax Identification Number (TIN):
Email Address:
Telephone Number:
Incorporation Document Number (RC):

SECTION B: DETAILS OF DIRECTORS

Name of Director(s)	Address

SECTION C: OWNERSHIP STRUCTURE

Ownership – Please list shareholders/UBO (Ultimate Beneficial Owner) holding 5% or more of the shares/voting rights.

*If all shareholders are under 5% then please list your largest shareholders including %.

Name	Nationality	%



Board of Directors – Management Structure and Politically Exposed Persons (PEPs)

Full Name	Position	Nationality	PEP Y/N	Details of PEP Position

Has ownership changed during the last 3 years? (YES/NO) If YES, please give details.

Has any director been subject to any adverse regulatory or criminal action in the past 3 years? (YES/NO) If YES, please give details.

SECTION D: FINANCIAL PROFILE

Provide an overview of the firm's main business activities.

	SOURCE (S) OF INCOME AND TRANSACTION PROFILE
Nature of Business	
Source of Fund	
Expected Volume of transaction	
Expected Type of transaction	

Has the organisation been subject to any adverse regulatory or criminal action relating to AML/CFT/CPF in the past 3 years? (YES/NO) If YES, please give details.

High- risk countries

Does the company have customers with business operations in any of the following countries?

Afghanistan	<input type="checkbox"/>	Croatia	<input type="checkbox"/>
Democratic People's Republic of North Korea	<input type="checkbox"/>	Cameroon	<input type="checkbox"/>
Iran	<input type="checkbox"/>	Haiti	<input type="checkbox"/>
Mali	<input type="checkbox"/>	Pakistan	<input type="checkbox"/>
Albania	<input type="checkbox"/>	Yemen	<input type="checkbox"/>
Syria	<input type="checkbox"/>		

SECTION E: POLICIES

Does your organisation have documented policies on the following?

POLICY	YES	NO	NOT APPLICABLE
Ethical Code of Conduct			
Whistle Blowing Policy			
Gift & Entertainment Policy			
Related Party Transaction Policy			
Anti-Bribery and Corruption Policy			
HSE Policy			
AML/CFT/CPF Policy			
Are facilitation payments permitted?			
If yes, Under what circumstances			
What records are maintained of each facilitation payment?			

SECTION F: ADDITIONAL INFORMATION

Please respond to the following questions in the table below on behalf of the Company and all Key Persons (Executive Management Staff, Directors, Shareholders or spouses). Tick the Column applicable to the enquiry. If the answer to any of the below questions is "yes" please update the last column.

Enquiries	YES	NO	Explanation if Yes
Has the Organisation or any Key Person ever been convicted of violating any rules or regulations governing the purchase or sale of goods or services to or by any government or its agency?			



Has the Organisation or any Key Person listed ever been found guilty of any violations of securities or commodity trading laws?			
Has the Organisation or any Key Person received advice on the tax liabilities to ensure compliance with all applicable tax and other laws?			
Has the Organisation or any Key Person ever been found guilty or any violation of any laws and regulations governing the Oil & Gas Industry?			
Has any Key Person ever been convicted of a criminal or civil offense?			
Has any Key Person ever been declared an undischarged bankrupt?			
Has the Company or any Key Person ever been found guilty of violating any anti-bribery or anti-corruption law?			
Is the Company or Key Person currently the subject of a Foreign Corrupt Practices law or other anti-bribery law investigation or enforcement action?			
Has the Organisation or Key Person ever been convicted of a felony or other criminal act for any matter not listed above?			
Has the Company or any corporation, partnership, or other entity in which director, or key employee ever been refused or had revoked a license, permit or any other authorization to conduct business?			
Has the Company or any corporation, partnership, or other entity in which the company has more than a 5% interest or is an owner, partner, officer, director, or key employee ever been refused or had revoked a license, permit or other authorization to conduct business?			
Does the Company currently hold all requisite material licenses, permits or other consents to conduct its business under the relevant laws?			
Is the Company in compliance with all applicable laws and regulations?			
Are sanctions specifically spelt out in the policy?			



SECTION G: DOCUMENTATION REQUIRED

1. Executed POGL KYC Questionnaire
2. Company Profile
3. Company Information/Ownership Documentation
 - Certificate of Incorporation
 - Form CO2 (Shareholding structure)
 - Form CO7 (Particulars of Directors)
 - Memorandum and Article of Association (MEMAT)
 - Tax Identification Number (TIN)
 - Value Added Tax (VAT) Registration
 - Current Tax Clearance Certificate.
 - Evidence of Identification of Directors, Shareholders and Ultimate Beneficial Owners with 5% holding and above (NIN preferably)
 - Registration documentation to unveil Ultimate Beneficial Owners where applicable
 - Business Address, Valid Email and Contact Information
 - Utility bill or proof of Business address/Location not later than 3 months
4. Operational/Financial information/Documentation
 - Licensing and Permit/Approval Documentation: e.g. NMDPRA import Permit, DPR Permit etc.
 - Licensing/Certificates for Specialized Businesses e.g. NAICOM License, IATA License, CBN License, COREN Certificate, Freight Forwarding License, etc.
 - NCEC or NOGIC JQS Certificate (Applicable to Vendors only)
 - SCUML Certificate for Designated NON- Financial Businesses such as Construction companies, Real Estate Companies, Car dealers etc.
 - ISO Certification where applicable.
 - Bank reference
 - Three (3) years Audited Financial Statement (Balance Sheet, Income Statement)
 - Satisfactory third-party reference checks from at least two (2) known/reputable industry peers/partners attesting to past performances and character. - (Applicable to Vendors only)
 - List of five (5) recently completed supplies or services in an MS Excel or PDF, indicating client, scope and delivery dates/status. (Applicable to vendors only)
 - An undated Cheque drawn in favour of Pinnacle Oil and Gas Limited (Applicable to vendors only)
5. Regulatory information/Documentation
 - Evidence of Anti-Bribery and Corruption (ABC) Policy
 - Evidence of Health, Safety and Environmental (H.S.E) Policy
 - Conflict of Interest Policy
 - Quality Policy

***** These documents should be sent as a single merged PDF file with name in the format-(CompanyName_Vendor Credentials e.g. Pinnacle_Vendor Credentials) and must not exceed 15MB***
Send the required document listed above to "vendormanagement@pinnacleoilandgas.com"**



SECTION H: DETAILS OF CONTACT PERSONS

Names	Position	Contact Details	Email Address

SECTION I: DECLARATION/ACKNOWLEDGEMENT

- (A) We, the undersigned confirm that all the above information are true and correct as of the date below.
- (B) If requested, we will provide appropriate letter of authority permitting Pinnacle Oil and Gas Limited to access corporate records and obtain certified copies of the above organisation.
- (C) We give Pinnacle Oil and Gas Limited an unreserved access to process, store and use the information provided above for the purpose of business transactions that either exist or may exist between us.

Date:

On behalf of.....

Designation.....

Email.....

Name.....

Signature.....

***Note: Any document to be provided not prepared in the English language must be translated to English and notarized before submission.**