

Supplier questionnaire

In order to comply with local and international laws applicable to us, we should be grateful if you could reply to the questionnaire below.

Unless otherwise provided, “**Company**,” means either **London United Busways Limited, London Transit Limited or London Sovereign Limited (all trading as First Bus London)** which is the recipient of this questionnaire. A request for information is a request for all such information for the last **5 years** from the date that this questionnaire is delivered (unless otherwise provided).

If a question is not applicable, please say N/A. First Bus London may ask you further questions or require further documentation if needed to comply with its supplier due diligence process. If you need help with the questions, please ask your contact at First Bus London.

We may send you a request to update the information you already provided to us from time to time.

A. GENERAL INFORMATION

1. Details of your organisation and contact details

| | | |
|-----|--|---|
| 1.1 | Full name and/or trade name if different | |
| 1.2 | Is it a Ltd/LLP/sole Trader or some other legal structure -please describe | |
| 1.3 | Registration number and country of registration/incorporation | Number: Country of registration/ incorporation: |
| 1.4 | VAT Number | |
| 1.5 | Registered office address | |
| 1.6 | Business address if different | |
| 1.7 | General contact details | |
| 1.8 | Contact person for the Account (name, phone number, e mail) | |
| 1.9 | Invoicing Address | |

2. Bank details of your organisation

| | | |
|-----|---------------------------------|--|
| 2.1 | Name of the bank account holder | |
| 2.2 | Account Number | |
| 2.3 | Sort Code | |

3. Bank reference (if the recipient of the funds is in a different country of incorporation from the company, please explain why):

4. **Economic information**

4.1 **Number of employees:**

Employees:

4.2 **Turnover** (i.e. annual sales volume)

Net profit per year of your Company in total, in the last three years, in the table below:
Please insert value in GBP (£) or US (\$) or in EUR (€) (as appropriate)

| Financial year | Approx. turnover | Net profit | Currency |
|----------------|------------------|------------|----------|
| | | | |
| | | | |
| | | | |

5. **Insurance Covers** of your Company or organisation

- 5.1 **Public Liability Insurance:** (insert value in GBP) £.....
- 5.2 **Product liability Insurance:** (insert value in GBP) £.....
- 5.3 **Employer liability Insurance:** (insert value in GBP) £.....
- 5.4 **Professional indemnity Insurance:** (insert value in GBP) £.....

B. EXPERTISE AND CONTRACTUAL RELATIONSHIPS WITH FIRST BUS LONDON

6. Details of Goods or Service your organisation will provide to First Bus London:
(Describe briefly the scope of the contract, the client and the main business partners)

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7. If applicable, length of contract agreed for supply of Goods or Service

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.....

8. If applicable, please list any other agreement (and their date) your organisation or companies/organisation connected with it (such as direct or indirect subsidiaries or holdings companies) entered into with First Bus London in the past five years.

..... **Date**.....

C. OWNERSHIP, AFFILIATES AND MANAGEMENT OF YOUR ORGANISATION AND RIGHT TO WORK OF KEY INDIVIDUALS

9. **Owners/Shareholders**

9.1 Please provide your **organisation/company group structure** with details of immediate and ultimate parent company.

9.2 **Please list all the owners/partners/shareholders who own directly an interest in your organisation.** If those direct owners are legal entities, please trace ownership of all such entities back through as many

layers as is necessary to identify all ultimate individual owners holding at least 25% of the rights (beneficial owner) directly or not in your organisation.

Please use separate sheets as needed.

| Direct shareholder | Citizenship | % of ownership | Ultimate owner (individual) | Number of layers between direct shareholder and ultimate owner |
|--------------------|-------------|----------------|-----------------------------|--|
| | | | | |
| | | | | |
| | | | | |
| | | Total : 100% | | |

9.3 If **applicable**, please provide details of the stock exchange or market on which the company's/ organisation's shares are traded:

9.4 Does any current or former Government Official have any interest directly or indirect or ownership in your organisation?**YES / NO**

If the answer is yes, please identify the Government Official:

9.5 Do any other individuals have a Beneficial Interest in, or the ability to control, the Company or in its revenues or profits? **YES / NO**

If the answer is yes, please explain:

9.6 Do any other individuals have a Beneficial Interest in, or the ability to control, the Company or in its revenues or profits? **YES / NO**

If the answer is yes, please explain:

10. Principals of your organisation, employees who will provide services, and their right to work in the UK

10.1 Please provide details of all current members of the board of directors of your organisation, their title and whether or not they are employed by your organisation, including a confirmation statement for each of them that you carried out checks on their right to work in line with the UK Home Office.

Please use separate sheets as needed.

| Name | Employing company | Title | Right to Work (Y / N) |
|------|-------------------|-------|-----------------------|
| | | | |
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|--|--|--|--|
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10.2 Please provide details of all current or proposed **senior managers** any employees of your organisation who will be providing the relevant services, including a confirmation statement for each of them that you carried out checks on their right to work in line with the UK Home Office

| Name | Employing company | Title | Right to Work (Y / N) |
|------|-------------------|-------|------------------------|
| | | | |
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10.3 Are any of the Principals employed by, or do they have an interest in, any other business? **YES / NO**.
If the answer is yes, please identify the individual, the business and the position held.

| Individual | Business full name | Position held |
|------------|--------------------|---------------|
| | | |
| | | |
| | | |

Government Officials

10.4 Is any Principal a Government Official or does any Principal hold any office with or have any official duties for, or is any Principal otherwise in a position to influence or provide services for any Government Entity? **YES / NO**
If the answer is yes, please identify the Principal, the Government Entity and the position held.

| Individual | Government Entity | Position Held |
|------------|-------------------|---------------|
| | | |
| | | |

10.5 If any Principal was previously a Government Official, what is the name of the employer and the position or rank held? Please indicate the dates of severance/termination or retirement from such service, or dates of the Principal's candidacy.

| Name of Individual | Government entity | Position held | Date of severance or retirement |
|--------------------|-------------------|---------------|---------------------------------|
| | | | |
| | | | |

10.6 Is or was any **Close Family Member** of any Principal of the Company a Government Official?

Close Family Member means an individual having a friendly or family relationship with the person.
 **YES / NO**

If the answer is yes, please identify the office held, the name of the person holding the office, and that person's relationship to the Principal.

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10.7 Is or was any Close Family Member of any Principal connected with First Bus London or its shareholder?

..... **YES / NO**

If the answer is yes, please identify the name of the person and that person's relationship to the Principal of the Company.

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11. **List all affiliated companies.**

11.1 Subsidiary company(ies) (i.e., companies owned, in whole or in part, by your organisation):

| Full Corporate Name | Jurisdiction of incorporation | Address |
|---------------------|-------------------------------|---------|
| | | |
| | | |
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11.2 Sister company(ies) (i.e., other companies owned by the owners of your organisation):

| Full Corporate Name | Jurisdiction of incorporation | Address |
|---------------------|-------------------------------|---------|
| | | |
| | | |

11.3 Joint ventures or similar entities:

| Full Corporate Name | Jurisdiction of incorporation | Address |
|---------------------|-------------------------------|---------|
| | | |

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12. Your Subcontractors and Right to Work

12.1 Do you plan to use any individuals who are not employed by your organisation for any supply or good or services to be provided to First Bus London?**YES / NO**

Do you obtain evidence of all subcontractors' right to work in the UK? **YES / NO**

12.2 If the answer above is yes, please identify the individual(s) and the business you are considering to use as third parties, consultants or sub-contractors and add this information in the table below. Please also insert a confirmation statement that you carried out checks on their right to work in line with the UK Home Office those individuals who are not your employees but who will be providing the relevant services, including a confirmation statement for each of them.

| Name | Employing company | Title | Right to Work (Y / N) |
|------|-------------------|-------|------------------------|
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D. HUMAN RIGHTS (Sourcing of supplies)

13. Has the Company (including any associated or previously associated organization or any predecessor organization), or any present or former Principal been (1) suspended from doing business in any capacity, (2) investigated for or charged with any criminal act, or (3) subject to any allegation of human rights violations ?**YES / NO**

If the answer is yes, please provide complete details relating to the matter(s) (if necessary in a separate appended document)

14. Is the Company or any of its suppliers involved in any operations in a region identified as exposed to the risk of forced labor by the United Nations Human Rights Council (UNHRC) ?**YES / NO**

If yes, what specific steps have you taken to ensure that no forced labor is used at any point in your supply chain? Please include information on audits, third-party verifications, and supply chain mapping. Please provide complete details relating to the matter(s) (if necessary in a separate appended document)

15. Does the Company have a formal human rights policy and its related procedure in place?**YES / NO**

If yes, please provide a copy of the policy and procedure to prevent the risk of modern slavery or a summary of their key elements. Please provide complete details relating to the matter(s) (if necessary in a separate appended document)

E. COMPLIANCE

16. Does the Company have the following policies and procedures in place:

| | | |
|------|-------------------------|--------|
| 16.1 | Ethical Trading | YES/NO |
| 16.2 | Health & Safety | YES/NO |
| 16.3 | Environmental | YES/NO |
| 16.4 | Equality | YES/NO |
| 16.5 | Modern Slavery Act 2015 | YES/NO |
| 16.6 | Anti-Tax Evasion & IR35 | YES/NO |
| 16.7 | Data protection | YES/NO |

If yes, please provide policies and procedures for review and contact name or person held responsible for their implementation and review.

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17. Please confirm if your services involve the processing of personal data?.....**YES / NO**
If yes, a separate GDPR questionnaire will follow.

18. Has the Company (including any associated or previously associated organization or any predecessor organization), or any present or former director or Principal been:

- (1) suspended from doing business in any capacity,
- (2) disqualified within the meaning of the UK Company Directors Disqualification Act 1986;
- (3) investigated for or charged with any criminal act;
- (4) subject to any allegation of fraud, misrepresentation, bribery, corruption, tax evasion, or other related activities?

Answer:**YES / NO**

If the answer is yes, please provide complete details:

.....

F. PERSONAL DATA CERTIFICATE

Some of the information provided by or for your organisation in response to this Questionnaire may include “**personal data**,” defined as any information relating to an identified or identifiable natural person. The data collected in this questionnaire will be stored and processed by First Bus London management, for the purpose of this due diligence exercise and in compliance with applicable data protection laws and the First Bus London data protection policy.

By providing the personal information, you consent and/or your organisation certifies that it has obtained the consent of the relevant individuals regarding the sharing, processing used for those personal data for the purpose set out above.

I have reviewed this questionnaire, and I declare that the information provided is accurate and complete to the best of my knowledge and belief. I understand that making a false statement may have serious repercussions that impact the business of your organisation.

Signature:

Name and title, (Director)

Company/Organisation:

Date:

Annex

Please provide the supporting documents to your replies to this questionnaire. If applicable, please provide the documents in their original language and translated in English. Please explain the reasons for not supplying the required supporting documents.

| Number | Document | Details |
|--------|---|---|
| 1 | Registration documents | <ul style="list-style-type: none"> • Copy of certificate of incorporation • Copy of bylaws of the company |
| 2 | Ownership structure | Name and percentage shareholding of the shareholders and beneficial owners. |
| 4 | Shareholders / Directors identification | <p>For two directors and individual shareholder holding 20% or more of the supplier:</p> <ul style="list-style-type: none"> • ID card or Passport in date <p><i>Required for foreign entities only.</i></p> |
| 5 | Summaries (CVs) detailing: professional technical and /or commercial experiences and knowledge of the shareholders and Key Principals | <ul style="list-style-type: none"> • Name • Date of birth • Role at the company • Education relevant to the role at the company • Former employers <p><i>Required for foreign entities only.</i></p> |
| 7 | Integrity code / compliance policies | If applicable, translation of information, sections or clauses relating to your processes to prevent bribery, corruption and modern slavery |
| 8 | Financial documentation | Annual accounts showing a balance sheet and profit and loss statement (audited by certified public accountants if applicable) and translation if applicable. |