

## **Legal Compliance and Operational Due Diligence Form**

Hyland needs the information requested in this form to: (1) assist Hyland in complying with applicable anti-bribery, anti-corruption, anti-terrorism and "know-your-customer" laws, including laws of the United States and of those other jurisdictions where you may conduct business as part of the "Territory" in our potential business relationship; and (2) assist Hyland in conducting a credit analysis and establishing payment terms and credit limits applicable to our potential business relationship. Thank you in advance for your cooperation in providing the requested information.

***For questions 1-4, please either provide the answers to the questions in the spaces provided below or include with this form a copy of the business registration documents required by law in your jurisdiction that contain the information requested.***

1. Please provide your company's business name, primary business address, form of business organization (corporation, LLC, etc.) and indicate the number of years your company has conducted business activities:

2. List each person or legal entity (including a trust) which individually (or collectively with other related or commonly owned or controlled persons or legal entities) is the record or beneficial owner of 5% or more of the outstanding ownership interests of your company, specifying their percentages of ownership. If your company does not have any 5% or more owners, please answer "None" or "N/A." If your company has a legal entity, or group of commonly owned or controlled legal entities, which owns more than 50% of such outstanding ownership interests (a "Parent Company"), then please include all of the information required in #1 above for your Parent Company:

3. List the names and titles of all officers and directors (or comparable) of your company and of any Parent Company:

4. Does your company own of record or beneficially a controlling interest in any other company (a "Subsidiary"), directly or through one or more other companies (other than investments in less than 5% of the outstanding ownership interests of any publicly traded company)? If yes, will that company have any rights or obligations under any agreement with Hyland related to our potential business relationship? If yes to both of the above, please provide the information requested in #1 and #3 above for each Subsidiary. If no to either of the above, please answer "None" or "N/A":

5. Please provide the name, position and email address for:

(a) the individual who will be your company's relationship manager for the potential business relationship with Hyland:

(b) the individual who will be responsible for communications for your company related to billings and payment if different than your relationship manager. If the same as (a) above, please answer "Same" or "N/A":

6. Please provide the company names and individual contacts for at least 3 businesses with which you currently conduct business that we may contact as business references for your company (names, addresses and primary contact information):

7. Please list your company's primary banking institution (business name, address and contact information to verify

relationship):

8. Will your company retain any subcontractors, consultants, agents or representatives specifically to conduct activities with prospective customers, customers or other third parties in connection with your business relationship with Hyland (this does not include third parties that you retain on a temporary or contracted basis in connection with your business operations generally, including those operations entirely unrelated to Hyland)? If yes, please identify the individual(s) or entity(ies) and describe their activities. If no, please answer "None" or "N/A."

9. Please list all countries where you plan to conduct activities:

10. Does or has your company, any Parent Company, any Subsidiary, any individual identified in response to any of #1 - #5 or any key employee of any of the foregoing (or any of the family members of any identified individuals or key employees) act or acted in any official capacity for: (a) any government or department, agency, or instrumentality thereof; (b) a government owned or controlled entity; (c) a public international organization, such as the United Nations or the World Bank; (d) a political party; or (e) a candidate for political office? If yes, please identify the individual(s) or entity(ies) and describe the official capacity. If no, please answer "None":

11. Does any person acting in an official capacity for, or any employee of, a government, department, agency, or instrumentality thereof, a government owned or controlled entity, a public international organization, a political party or a candidate for political office have any interest in or stand to benefit in any way as a result of your activities in connection with your potential business relationship with Hyland? If yes, please list the individual(s) or entity(ies) and provide details. If no, please answer "None":

12. Answer **Yes** or **No** to each item below with respect to your company, any Parent Company and any Subsidiaries.

(a) Has any individual or company identified in response to #1 - #5 above ever been charged with or convicted of fraud, bribery, corruption or other similar crimes or offenses?

(b) Does your company have a written policy and program, including training, with respect to compliance with applicable anti-bribery/anti-corruption laws?

(c) Does your company regularly review employee expense reports to monitor and restrict gifts, travel, petty cash or entertainment provided to government officials?

Signed for and on behalf of (your company name) by its duly authorized officer:

By: Date:

Print Name:

Title:

Hyland Contact Email Address: