

# Supplier questionnaire

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

If a question is not applicable, please say N/A.

Unless otherwise provided, "Company," means the entity within RATP Dev Transit 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).

Please note that RATP Dev Transit London could ask you further questions or require further documentation if needed to comply with our due diligence process. If you need any clarification, please ask your contact at RATP Dev Transit London. We may send you a request to update the information you 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 account	
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 RATP DEV TRANSIT LONDON**

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

.....  
.....

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

.....  
.....

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 RATP Dev Transit London in the past five years.

.....Date.....

**C. OWNERSHIP, AFFILIATES AND MANAGEMENT OF YOUR ORGANISATION**

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

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, and their citizenship

Name	Employing company	Title	Citizenship

10.2 Please provide details of all current or proposed senior managers of your organisation, including their citizenship

Name	Title	Citizenship

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 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.

.....  
 .....

10.7 Is or was any Close Family Member of any Principal connected with RATP Dev Transit London or RATP?  
 .....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

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

**12. Your Subcontractors**

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 RATP DEV Transit London? .....YES / NO

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.

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**D. COMPLIANCE**

13. Does the Company have the following policies in place:

13.1	Ethical Trading	YES/NO
13.2	Health & Safety	YES/NO
13.3	Environmental	YES/NO
13.4	Equality	YES/NO
13.5	Modern Slavery Act 2015	YES/NO
13.6	Anti-Tax Evasion & IR35	YES/NO

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

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14. 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: .....  
 .....

**E. 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 RATP DEV Transit London management, for the purpose of this Due Diligence exercise and in compliance with applicable data protection laws and the RATP DEV Transit 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.

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"> <li>• Copy of certificate of incorporation</li> <li>• Copy of bylaws of the company</li> </ul>
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"> <li>• ID card or Passport in date</li> </ul> <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"> <li>• Name</li> <li>• Date of birth</li> <li>• Role at the company</li> <li>• Education relevant to the role at the company</li> <li>• Former employers</li> </ul> <p><i>Required for foreign entities only.</i></p>
7	Integrity code / compliance policies	If applicable, translation of information, sections or clauses relating to anti-bribery and anti-corruption
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.