



# LETŠENG DIAMONDS

## GOVERNANCE QUESTIONNAIRE

The UK Bribery Act (the “Act”) which came into force in 2010 makes it an offence in the UK to fail to take proper measures in the prevention of bribery and corruption in its business activities worldwide. Gem Diamonds Limited has agreed to adhere to the provisions of the Act which also requires all entities in the Gem Diamonds Group (the “Group”) to do the same.

In complying with the policy, Letšeng, as an entity in the Group is required to put in place “adequate procedures” for the prevention of bribery and corruption. One such procedure is to ensure that all third parties are made aware of and comply with the relevant provisions of the Act.

It has always been the Letšeng’s policy to conduct business in an honest and ethical way, and without the use of corrupt practices or acts of bribery to obtain an unfair advantage. To this end, Letšeng requires all its Suppliers and/or Business Partners to undergo strict due diligence prior to rendering goods and/or services to the Company.



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1	Please read the covering Page 1 thoroughly and answer all questions	YES	NO
1.1	<p>Are any of the organisations' shareholders, directors, or employees in senior management:</p> <ol style="list-style-type: none"> <li>1. Government officials , whether at national, district or constituency level;</li> <li>2. (*) Political party officials, whether at national, district or constituency level;</li> <li>3. Occupying any official post in a parastatal or international organisation?</li> </ol> <p>If yes please provide details.            (*) Government Official =</p> <ul style="list-style-type: none"> <li>- Any person who receives any remuneration from public funds;</li> <li>- Any person in the public service as contemplated in the Public Service Act, 2005;</li> <li>- Any functionary or official serving within, or an employee or servant of a public body.</li> </ul> <p>In the case of a public body that is registered as a corporation, any person who is incorporated as such.</p>		
1.2	<p>Do any of your organisation's shareholders, directors, or employees in senior management have any family or close business relationships with any (*) government or political party official, whether at national, district or constituency level, or any official in a parastatal or international organisation? If yes please provide details.</p>		
1.3	<p>Does your organisation or any of its shareholders, directors, or employees in senior management ever offer gifts or bribes or facilitation payments to any of the above-mentioned officials or individuals to facilitate business transactions or obtain business advantages? If yes please provide details.</p>		
1.4	<p>Does your organisation or any of its shareholders, directors, or employees in senior management have any affiliation to organised crime or receive or pass on the proceeds of illicit activities through normal business channels although directly involved in such activities? If yes please provide details.</p>		
1.5	<p>Has your organisation had its assets, accounts or financial transactions blocked for actual or suspected involvement in corrupt activities or received notice that all or any financial transactions involving the assets of your organisation or any of its shareholders, directors, or employees in senior management are to be blocked. If yes please provide details.</p>		
1.6	<p>Has your organisation or any of its shareholders, directors, or employees in senior management ever been officially listed by any organisation, body or country as being involved in corrupt activities? If yes please provide details.</p>		



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1.7	<p>Has your organisation or any of its shareholders, directors, or employees in senior management ever been the subject of public allegations, under investigation, charged, sued, prosecuted, or convicted, or had your/its/their assets seized, blocked, frozen or has had a forfeiture order or a judgment entered against you/it/them in respect of any national, foreign, or international law relating to any of the following:</p> <p>1.7.1 Money laundering 1.7.2 Financial crime 1.7.3 Corruption 1.7.4 Bribery 1.7.5 Any other economic offence</p> <p>If yes, please provide details as an attachment</p>		
1.8	<p>Is your organisation, any predecessor to your organisation or any member of your organisation currently a party to any litigation that is in progress? If yes please provide details.</p>		
1.9	<p>Has your organisation, any predecessor to your organisation, or any member of your organisation within the last three years been a party to any litigation directly or indirectly related to the conduct of your business? If yes please provide details.</p>		
1.10	<p>Has your organisation or any of its shareholders, directors, or employees in senior management ever been convicted of a criminal offence in any authority? If yes, please provide details. By submitting this questionnaire, the applicant consents to Letseng Diamonds (Pty) Ltd (or its agent) performing any criminal search in any authority, which it may in its sole discretion consider necessary, from time to time.</p>		
1.11	<p>Has a civil judgment or any similar ruling been made against your organisation or any of its shareholders, directors, or employees in senior management in any authority? If yes, please provide details. By submitting this questionnaire, the applicant consents to Letseng Diamonds (Pty) Ltd (or its agent) performing any business/consumer profile search and judgment enquiry in any authority, which it may in its sole discretion consider necessary, from time to time.</p>		
1.12	<p>Has your organisation, any predecessor to your organisation or any member of your organisation within the last three years been the subject of any disciplinary action by a court, professional body, or regulatory agency? If yes please provide details.</p>		
1.13	<p>Has your organisation retained, or does it intend to retain any subcontractors, dealers, or sub-dealers, agents, or representatives to assist in providing services to Letšeng?</p>		



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	<p>If so, will you or have you performed adequate due diligence/risk assessment with respect to them in respect of normal commercial, as well as anti-corruption, anti-money laundering, matters?</p> <p>Please furnish details about such subcontractors etc.</p>		
1.14	<p>Does your organisation have an existing internal compliance programme/ measures and controls that addresses the prevention of corruption, money laundering and terrorism?</p> <p>If yes, kindly furnish us with details of its nature and effectiveness as an attachment. Please indicate whether the programme includes an education and training program in respect of governance generally and anti-bribery in particular.</p>		
1.15	<p>Do you have a compliance or risk officer within your organisation?</p>		

I/We hereby declare and warrant that all information furnished in this document, including all supporting documents is true and correct in every respect, in that Letšeng may rely upon it. I further confirm that I am duly authorised to act on behalf of the organization and provide information reflected in this document.

Name \_\_\_\_\_

Designation \_\_\_\_\_

Signature \_\_\_\_\_

on this \_\_\_\_\_ day of \_\_\_\_\_ 201\_\_.