



UOB – Sanctions Questionnaire (Corporates)

United Overseas Bank Limited (“UOB”), its branches in and outside Singapore and subsidiaries (“UOB Group entities”) are committed to complying with the sanctions laws and regulations (“sanctions laws”) imposed by Singapore, the United Nations Security Council (UN), the European Union (EU), the U.S. Department of the Treasury’s Office of Foreign Assets Control (OFAC), the United Kingdom Her Majesty’s Treasury Office of Financial Sanctions Implementation (OFSI) or any other applicable regulatory or supervisory authority or body. UOB endeavours to understand the extent of its clients’ activities with certain locations identified in the public domain that may increase UOB’s sanctions risks. The purpose of this form is to ask questions which help to identify and understand the nature of any sanctions exposure.

Legal Entity Name:	
Section A: Sanctions Exposure	
<i>If yes to any of the below questions, please provide more information to the corresponding Section below each question.</i>	
Sanctioned Countries/Regions: Iran, North Korea, Syria, Cuba, and Crimea, Kherson, Zaporizhzhia, Luhansk and Donetsk Regions in Ukraine	
1. Do you transact with persons/entities (both currently or in the future) who are/have: <ul style="list-style-type: none"> • Sanctioned parties including owned or controlled by sanctioned parties / governments of Sanctioned Countries/Regions • National/ Resident of Sanctioned Countries/Regions • Registered/ Operating/ Located in Sanctioned Countries/Regions • Email domains of Sanctioned Countries (<i>refer to the email domains in Appendix 2</i>) • International Direct Dialling (IDD) prefix of Sanctioned Countries (<i>refer to the IDD prefix in Appendix 2</i>) 	<input type="checkbox"/> Yes <input type="checkbox"/> No
If Yes, please provide information on the persons/entities’ names, transactions, currencies involved, percentage of exposure, addresses, sanctioned country involved, sanctions compliance program and your Bank’s information (name of Bank).	
2. Do you transact with persons/entities (both currently or in the future) indirectly via subsidiaries, representative offices or intermediaries who are/have: <ul style="list-style-type: none"> • Sanctioned parties including owned or controlled by sanctioned parties / governments of Sanctioned Countries/Regions • National/ Resident of Sanctioned Countries/Regions • Registered/ Operating/ Located in Sanctioned Countries/Regions • Email domains of Sanctioned Countries (<i>refer to the email domains in Appendix 2</i>) • International Direct Dialling (IDD) prefix of Sanctioned Countries (<i>refer to the IDD prefix in Appendix 2</i>) 	<input type="checkbox"/> Yes <input type="checkbox"/> No
If Yes, please provide information on the persons/entities’ names, transactions, currencies involved, percentage of exposure, subsidiaries/representative offices/ intermediaries involved, addresses, sanctioned country involved, sanctions compliance program and your Bank’s information (name of Bank).	

3. Do you have subsidiaries, representative offices or any related companies which are/have: <ul style="list-style-type: none"> • Sanctioned parties including owned or controlled by sanctioned parties / governments of Sanctioned Countries/Regions • Registered/ Operating/ Located in Sanctioned Countries/Regions • Email domains of Sanctioned Countries (<i>refer to the email domains in Appendix 2</i>) • International Direct Dialling (IDD) prefix of Sanctioned Countries (<i>refer to the IDD prefix in Appendix 2</i>) 	<input type="checkbox"/> Yes <input type="checkbox"/> No
If Yes, please provide information on the name, address, type of relationship i.e., subsidiaries/representative office/related companies and nature of dealings.	
4. Do you have any dealings with Russia involving the following sectors and/or items in Appendix 1?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If Yes, please provide information on the persons/entities' names, transactions, currencies involved, percentage of exposure, addresses, sanctions compliance program and your Bank's information (name of Bank).	
5. Do you have any dealings with Myanmar Military/ Government or entities owned by Myanmar Military/ Government that are Sanctioned directly or indirectly?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If Yes, please provide information on the persons/entities' names, transactions, currencies involved, percentage of exposure, addresses, compliance program and your Bank's information (name of Bank).	
Details of Sanctions Exposure(s) - Additional Information, if any	

Section B: Customer's Confirmation and Acceptance

I/we confirm that all information provided above is correct and true.

I/we undertake that I/we will not transact any business or activities through my/our accounts or services with UOB, that directly or indirectly involve or benefit any person or entity located in a Sanctioned Country/Region or, with any jurisdiction, state, entity, vessel or individual, designated as a sanctioned entity.

I/we shall notify the Bank immediately if any representation, undertaking or confirmation contained herein, or any information provided, becomes, or is likely to become untrue or inaccurate in whole or in part, at any time.

Name of Individual(s) & Designation:

Signature(s):

Date:

Appendix 1

a) Specified Sectors:

- 1) Technology
- 2) Defense and related materiel
- 3) Financial services
- 4) Aerospace
- 5) Electronics
- 6) Marine
- 7) Accounting
- 8) Trust and corporate formation services
- 9) Management consulting
- 10) Quantum computing
- 11) Metals and mining
- 12) Architecture
- 13) Engineering
- 14) Construction
- 15) Manufacturing
- 16) Transportation

b) Specified Items:

Category	Description
Certain machine tools and manufacturing equipment	<ul style="list-style-type: none"> • Numerically controlled (CNC) machine tool • Additive manufacturing (AM) machine tools • Semiconductor manufacturing equipment
Certain manufacturing materials for semiconductors and related electronics	<ul style="list-style-type: none"> • Silicon boules • Silicon wafers • Photoresist materials • Bare printed circuit boards (PCBs) • Printed circuit board (PCB) substrates
Certain electronic test equipment	<ul style="list-style-type: none"> • Oscilloscopes • Automated test equipment • Data acquisition systems • Signal generators • Pulse generators • Spectrum analyzers
Certain propellants, chemical precursors for propellants and explosives	<ul style="list-style-type: none"> • Nitrocellulose • Smokeless powder • Research Department eXplosive (RDX, also known as Royal Demolition eXplosive, cyclonite, hexogen) • High Melting eXplosive (HMX, also known as High-Molecular-Weight RDX, octogen, cyclotetramethylenetetranitramine)
Certain lubricants and lubricant additives	<ul style="list-style-type: none"> • Turbine oil • Turbine oil additives
Certain bearings	<ul style="list-style-type: none"> • High-precision ball and roller bearings • Angular contact (spindle) bearings
Certain advanced optical systems	<ul style="list-style-type: none"> • Thermal sights • Thermal imaging arrays • Infrared focal plane arrays • Image intensifier tubes (IITs)
Certain navigation instruments	<ul style="list-style-type: none"> • Inertial navigation systems (INS) • Inertial measurement units (IMUs) • Fiber-optic gyroscopes (FOGs)

Appendix 1 (continued)

c) List of Military Goods:

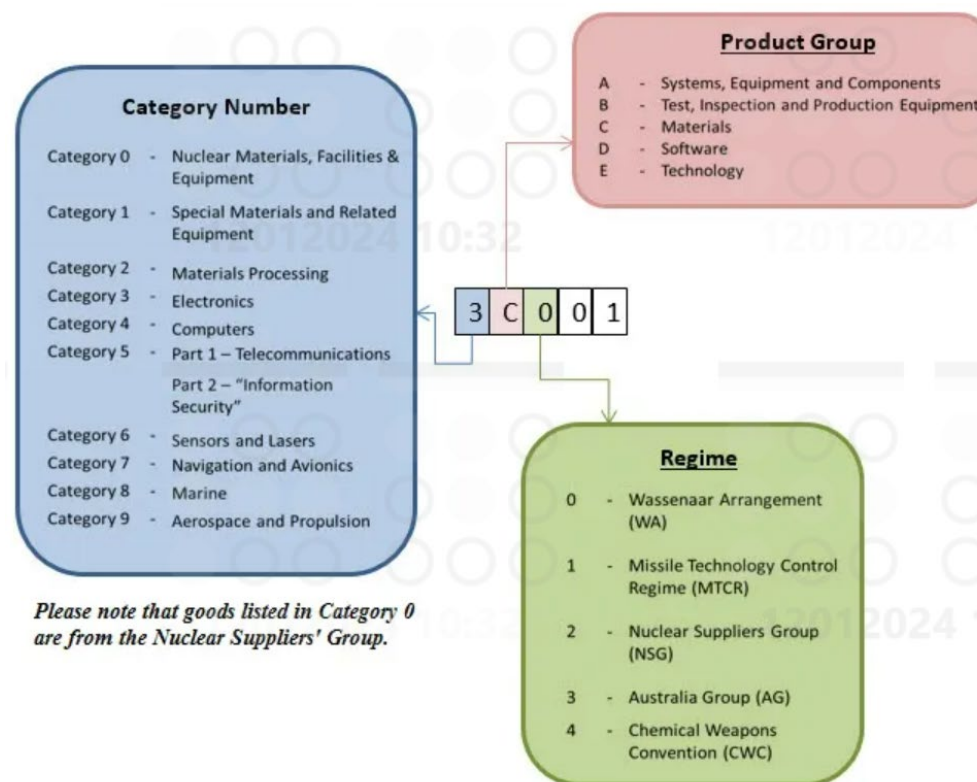
Category Code	Description
ML1	Small-Calibre Arms
ML2	Large-Calibre Weapons & Projectors
ML3	Ammunition & Fuse Setting Devices
ML4	Bombs, Missiles, Other Explosive Devices and Related Equipment
ML5	Fire Control & Related Alerting and Warning Equipment
ML6	Ground Vehicles & Components
ML7	Chemical or Biological Toxic Agents and Related Equipment
ML8	Explosives, Propellants, Fuels and Related Substances
ML9	Naval Vessels & Components
ML10	Military Aircraft & Components
ML11	Electronic Equipment for Military Use
ML12	High Velocity Kinetic Energy Weapons
ML13	Armoured or Protective Equipment
ML14	Specialised equipment for military training
ML15	Imaging or Countermeasure Equipment
ML16	Unfinished products for use in military items
ML17	Miscellaneous equipment and materials
ML18	Production equipment for military items
ML19	Directed energy weapon systems
ML20	Cryogenic and "superconductive" equipment
ML21	Specific software for military items
ML22	Specific technology for military items

d) List of Dual-Use Goods:

The List of Dual-Use Goods includes a wide range of goods that are designed for commercial applications but can have military applications or potentially be used as precursors or components of weapons of mass destruction.

A 5-digit alphanumeric code is used for goods and technology in the List of Dual-Use Goods. The list is divided into 10 categories and each category is further divided into 5 product groups.

The Category 3 (Electronics), Category 4 (Computers) or Category 5 (Telecommunications and "Information Security") of the List of Dual-Use Goods can be found in the Strategic Goods Control List in The Schedule to the Strategic Goods (Control) Order 2023.



Appendix 1 (continued)

e) List of HS Codes:

HS Code	HS Description and Representative Part
8542.31	Electronic integrated circuits: Processors and controllers, whether or not combined with memories, convertors, logic circuits, amplifiers, clock and timing circuits, or other circuits
8542.32	Electronic integrated circuits: Memories
8542.33	Electronic integrated circuits: Amplifiers
8542.39	Electronic integrated circuits: Other
8517.62	Machines for the reception, conversion, and transmission or regeneration of voice, images or other data, including switching and routing apparatus
8526.91	Radar apparatus, radio navigational aid apparatus and radio remote control apparatus: Radio navigational aid apparatus
8532.21	Other fixed capacitors: Tantalum capacitors
8532.24	Other fixed capacitors: Ceramic dielectric, multilayer
8548.00	Electrical parts of machinery or apparatus, not specified or included elsewhere in chapter 85
8471.50	Processing units other than those of subheading 8471.41 or 8471.49, whether or not containing in the same housing one or two of the following types of units: Storage units, input units, output
8504.40	Electrical transformers, static convertors (for example, rectifiers) and inductors; part thereof: Static convertors
8517.69	Other apparatus for the transmission or reception of voice, images or other data, including apparatus for communication in a wired or wireless network
8525.89	Television cameras, digital cameras and video camera recorders
8536.69	Coaxial connectors; cylindrical multicontact connectors; rack and panel connectors; printed circuit connectors; ribbon or flat cable connectors; other
8536.90	Electrical apparatus for switching or protecting electrical circuits, or for making connections to or in electrical circuits: Other apparatus
8541.10	Diodes, other than photosensitive or light-emitting diodes
8541.21	Transistors, other than photosensitive, with a dissipation rate of less than 1W
8541.29	Transistors, other than photosensitive, Nesoi
8541.30	Thyristors, diacs and triacs, other than photosensitive devices
8541.49	Photosensitive semiconductor devices: Other
8541.51	Semiconductor-based transducers
8541.59	Semiconductor devices, Nesoi
8541.60	Mounted piezoelectric crystals

8807.30	Other parts of airplanes. Helicopters or unmanned aircraft
9013.10	Lasers, other than laser diodes; other optical appliances and instruments: Telescopic sights for fitting to arms
9013.80	Lasers, other than laser diodes; other optical appliances and instruments, Neso
9014.20	Instruments and appliances for aeronautical or space navigation (other than compasses)
9014.80	Other navigational instruments and appliances
8471.80	Other units of automatic data processing machines
8486.10	Machines and apparatus: For the manufacture of boules or wafers

Appendix 2

Sanctioned Countries	Email / top-level domain	IDD prefix
Cuba	.cu	+53
Iran	.ir	+98
North Korea	.kp	+850
Syria	.sy	+963