

## THIRD PARTY DUE DILIGENCE INFORMATION DECLARATION

### Part I: Company Information:

Full Legal Entity Name	Sberbank CIB(UK) Limited
Country of Registration	United Kingdom
Unique Company Registration Number	<b>04783112</b> <i>(Additional information available from UK companies register <a href="http://www.companieshouse.gov.uk">www.companieshouse.gov.uk</a>)</i>
Registered Office / Place of Business (if different)	<b>85 Fleet Street, London EC4Y 1 AE</b>
Ultimate Beneficial Owners of the firm (10% or more controlling stake)	<b>Ministry of Finance of the Russian Federation (50%)</b> <b>Sberbank of Russia (50%)</b> – Listed on NYSE/LSE <i>(see full structure chart attached)</i>
UBO/ Parent Company website and Investor Information	<b><a href="http://www.sberbank.ru">www.sberbank.ru</a></b>
UK Company Website / Compliance Policy Information	<b><a href="http://www.sberbank-cib.co.uk">www.sberbank-cib.co.uk</a></b>
Audited Financial Reports available from UK Companies House records	<a href="https://find-and-update.company-information.service.gov.uk/company/04783112">https://find-and-update.company-information.service.gov.uk/company/04783112</a>
Board of Directors information available from UK Companies House records*	<a href="https://find-and-update.company-information.service.gov.uk/company/04783112">https://find-and-update.company-information.service.gov.uk/company/04783112</a>
<ul style="list-style-type: none"> <li>• No members of Senior Management or the Board of Directors holds or controls (directly/indirectly) any of the issued share capital of Sberbank CIB(UK) Limited.</li> <li>• No members of Senior Management or the Board of Directors of Sberbank CIB(UK) Limited should be deemed to exert control or influence over the UBO of the entity.</li> <li>• There is no natural person which meets the 'EU Money Laundering Regulations' definition of a UBO of Sberbank CIB(UK) Limited. The entity is ultimately controlled by entities shown above.</li> <li>• Due diligence with respect to the Senior Management or the Board of Directors of Sberbank CIB(UK), for the reasons stated above, should therefore be limited to standard Identification and Verification checks.</li> <li>• Electronic verification of these individuals is available via the Financial Conduct Authority individual register - <a href="https://register.fca.org.uk/s/">https://register.fca.org.uk/s/</a></li> </ul>	
Name of National Competent Authority / Regulator	<b>Financial Conduct Authority</b>
Unique Regulator Firm Reference Number (FRN):	<b>228 551</b> <i>(additional information available from FCA register <a href="http://www.register.FCA.org.uk">www.register.FCA.org.uk</a>)</i>
Membership of any Recognised Investment Exchanges (RIEs)	<b>London Stock Exchange</b>



Details of activities for which the firm holds current regulatory permissions	Arranging Deals in Investments Dealing in Investments on Own Account Dealing in Investments on behalf of Clients Providing Investment Advice Managing and Safe Guarding Investments
Names of any appointed professional services firms: Internal Auditors: External Auditors:	Deloitte Price Waterhouse Coopers (PWC)
Applicable Anti Money Laundering (AML) legislation with which the firm complies	Proceeds of Crime Act 2002 Fourth EU Anti-Money Laundering Directive The Money Laundering and Terrorist Financing Regulations 2019
Countering the Financial Terrorism (CFT)	The Money Laundering and Terrorist Financing Regulations 2019 The Terrorism Act 2000
Anti-Bribery and Corruption (ABC)	The UK Bribery Act 2010
Tax evasion	The Criminal Finances Act 2017
Market Abuse and Insider Dealing	The EU Market Abuse Directive (MADII/MAR)

Details any judiciary or regulatory inquiry, conviction or sanction imposed on the firm, or individuals employed by it, in respect of Financial Crime in the last 5 years?	None
Details of Customer Screening for negative news, PEPs and sanctions	The firm uses an industry benchmark tool and performs overnight screening on all client accounts.
Details of Transaction Monitoring and Trade Surveillance activity undertaken by the firm	The firm has a dedicated and independent Compliance function that performs monitoring and surveillance on all transactions undertaken – using a combination of internal and vendor solutions
<b>Sanctions:</b> Details of controls to ensure no financial services are provided, nor any funds are made available, to sanctioned countries, institutions or natural persons?	The firm performs sanction screening on payments and clients in accordance with regulatory requirements. The firm also has a dedicated Sanctions Compliance team to manage specific queries.
Confirmation that the sanction lists the firm is screening against encompass United Nations, United States and European Union lists?	Confirmed
Confirmation that that firm has controls in place to comply with US and EU Sectoral Sanctions?	Confirmed



List the customer segments that the firm is providing services to by MIFID Classification	Per se Professional Clients Eligible Counterparties
Details of accounts held with Shell Banks	None – such relationships are prohibited by internal policies
Details of Correspondent Banking relationships	None – Sberbank CIB(UK) does not hold a UK banking licence
Questionnaire completed by: Richard Snookes	
Title: Chief Compliance Officer	
Signature: 	
Date: 9 <sup>th</sup> March 2021	