

## Compliance Questionnaire

(사업별 업무특성 반영하여 변경사용)

회사 기본 정보	
회사명 (Company Name)	회사 홈페이지 주소 (company web Site)
회사주소 (Address)	직원수 (Number of Employees)
작성자 (Name of Representative Signing this Questionnaire)	부서 및 직위 (Title)
내선번호/휴대폰(Telephone)	E-Mail
사업형태(주식회사/파트너사/벤처/개인사업자/LLC/기타) Business Type: <input type="checkbox"/> Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Joint Venture <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> LLC <input type="checkbox"/> Other (explain):	
사업자번호 (Commercial Registration Number)	설립연도 (Date of Establishment)

### 1. 사업정보 (Project Information)

- a. 본 사업의 목적과 귀사의 역할, 책임을 서술바랍니다. Please describe the nature of the project being considered (the "Project") and the role and responsibilities of your company (the "Company") for the Project:
- b. 귀사는 한국항공우주산업(KAI)과 과거에 사업적 거래관계가 있었습니까? 만약 있었으면 사업내용과 시기를 기록바랍니다. Has the Company conducted business previously with Korea Aerospace Ind.? If yes, please describe, including time frame and contact information.

### 2. 회사 구조 (Company Ownership & Management)

- a. 귀사는 유가증권에 공개되었습니까? Are the securities of the Company traded publicly? No Yes.
- b. 귀사의 주식에 대한 소유주 비중을 기입바라며 국가나 공공기관이 소유한 주식 비율을 상세히 확인바랍니다. 5%이상은 모두 기록. Identify the owner(s)/shareholder(s) of the Company and the nationality and percentage interest held by each. If you answered yes to question 2.a. above, the list of owners/shareholders need only refer to persons directly or indirectly holding an ownership interest greater than 5% of any class of the Company's securities.

주주명(사업분야)Owner(s)/Shareholder(s)	국적(Nationality)	비율 (% Ownership)

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c. 회사의 주요 주주사별 대표자 이름, 국적, 고용 형태 기술바랍니다. Please identify the principal officers of the Company, the nationality and employment background of each

주주사(Company Name of Shareholders)	대표자(Names/Titles of Principal Officers)	국적(Nationality)	고용형태(Employment Background)

**3. 정부와의 관계 (Governmental Connections of the Company)**

- a. 귀사의 소유주나 운영자가 정부나 정부소유기관 관계자입니까? Is the Company owned or controlled by any government or government-owned or controlled company ("instrumentality")?  No  Yes.
- b. 현재 대표이사, 임원, 거래담당직원이 정부소유 기관에 근무한 경험이 있습니까? 만약 그렇다면 각 인력별 과거 근무이력과 근무 부서를 기록하세요. Is any owner, director, officer, employee, or other representative of the Company a current or former official or employee of the government of the country or any agency, military branch, or instrumentality thereof (including a government-owned or government-controlled company)?  No  Yes. If Yes, identify each person, his/her last date of employment, and government department, agency or instrumentality:
- c. 이 거래가 정부, 공공기관, 정당, 정당후보와 관련이 있거나 이익을 주거나 받고 있나요? Does or will any government or public official or employee or any official of any political party or candidate for political office have any interest in, or receive any benefit from, the proposed Project?  No  Yes. If Yes, explain in detail:
- d. 정부, 공공기관, 정당, 정당후보자 등이 본 사업영역에서 영향력을 행사할 수 있는 부분을 알거나 의심되는 부분이 있습니까? Is the Company aware of any other relationships, connections, or ties to any government or public official or employee or any official of any political party or candidate for political office such that execution of the Project could be expected to affect the award of business to Korea Aerospace Ind. or affect the evaluation, payment approval, or other aspect of the administration of any Korea Aerospace Ind. business with the government of the country?  No  Yes. If Yes, explain in detail:
- e. 과거 5년 동안 회사는 정부나 공공기관, 정당, 에이전트, 중개업체 등에게 기부활동으로 금전 제공을 하였습니까? 제공하였다면 내역을 설명하세요. During the past five years, has the Company provided monetary or other contributions to any government or public official, political party, political campaign, or government department, agency, or instrumentality?  No  Yes. If Yes, explain in detail, including the recipient, date, amount, and nature of the contribution:
- f. 과거 5년 동안 정부나 공공기관에게 식사, 행사비, 교통비, 호텔여비, 선물 등을 제공하였습니까? During the past five years, has the Company provided hospitality to any government or public official, including meals, entertainment, transportation, hotels, gifts, etc.?  No  Yes. If Yes, explain in detail:

- g. 과거 5 년동안 회사는 정부나 공공기관, 에이전트, 중개업체 등에게 급행료를 제공하였습니까? 그 결과(내역영수증, 날짜, 총계, 지불내용)를 포함하여 설명하세요. During the past five years, has the Company provided any facilitating or expediting payments to any government or public official, department, agency, or instrumentality?  No  Yes. If Yes, explain in detail, including the name of the recipient, date, amount, and nature of the payment:

#### 4. 법률 소송 (Allegations and Legal Proceedings)

- a. 과거 5 년 동안 회사나 최대주주나 과거 책임자가 사기나 부정부패 등 이와 유사한 사건으로 공공매체 노출, 민·형사 소송 등이 있습니까? 상세하게 설명바랍니다. During the past five years, has the Company, any affiliate (any entity controlling, controlled by, or under common control with the Company), any predecessor entity or affiliate of the Company, or any present or former owner, director, officer, or key employee been the subject of any allegations of fraud, misrepresentation, bribery, or other similar activity in the media or other forum?  No  Yes. If Yes, please explain in detail:
- b. 귀사나 임원이 당사나 정부사업으로부터 제외되거나 일시정지 등의 제한을 받은 적이 있습니까? 상세설명바랍니다. Has the Company, any affiliate (as defined above), any predecessor entity or affiliate of the Company, any present or former owner, director, officer, or key employee ever been debarred, suspended, or otherwise restricted from doing business with any government or been notified that such action is pending?  No  Yes. If Yes, please explain in detail:
- c. 귀사는 법적으로 계약파기, 미지불 및 손해배상 등 주요한 소송이 있었습니까? 만약 있다면 사건번호와 사건내용을 기입하세요. Does the Company have any pending material legal proceeding or have any pending proceeding in bankruptcy or insolvency?  No  Yes. If Yes, explain in detail including identification of the jurisdiction and case number of any proceeding:

#### 5. 판매대행사, 컨설턴트, 에이전트 활용 (Representative, Consultant, or Agent Practices)

- a. 귀사는 현재나 과거 3 년안에 판매대행사, 컨설턴트, 에이전트에게 회사사업에 관련되어 커미션이나 수수료 지불을 하였습니까? 만약 그렇다면 사업자명, 사업내용, 사업관계를 설명하십시오. Does the Company have currently or has it had within the past three years a sales representative, consultant, or agent of any kind entitled to a commission or other fee or payment with respect to the Company's business or activities in the country?  No  Yes. If Yes, provide complete details of all such person(s) and the associated business arrangement(s):
- b. 귀사는 이번 계약에 판매대행사, 컨설턴트, 에이전트를 사용합니까? 만약 그렇다면 관련된 제 3 자(중계자, 판매대행사, 컨설턴트, 정부나 공공기관, 에이전트)에 대한 정보를 제출하십시오. Does the Company intend to use a sales representative, consultant, or agent of any kind in connection with the proposed Project?  No  Yes. If Yes, provide complete details of all such

third parties and the associated business arrangements, including any intermediation between the sales representative, consultant, or agent and any governmental or public official or entity on behalf of this proposed Project:

- c. 귀사는 판매대행사, 컨설턴트 또는 에이전트와 관계계약 이전에 Compliance 준수를 위한 상당한 주의(Due diligence)와 교육에 대한 절차나 정책을 가지고 있습니까? 만약 있다면 복사본을 제출바랍니다. Does the Company have any policy or procedure regarding investigation or the performance of anti-corruption due diligence prior to the engagement of sales representatives, consultants, or other agents?  No  Yes. If Yes, please provide a copy.

## 6. Compliance 정책과 절차 여부 (Company Policies and Procedures)

- a. 귀사는 임직원에게 Compliance 교육을 어떻게 얼마나 자주 시행합니까? Does the Company require anti-corruption training of its employees and, if so, how often?  No  Yes.
- b. 귀사는 Compliance 강화를 위해 윤리강령, 행동강령, 반부패 강화정책 등 유사한 정책을 가지고 있습니까? 만약에 있다면 복사본을 제출바랍니다. Does the Company have a Code of Ethics, Code of Business Conduct, or similar policy?  No  Yes. If Yes, please provide a copy.
- c. 귀사는 선물, 편의제공, 기부, 스폰스, 접대 등을 공무원이나 사업거래자에게 제공하는 기준이나 정책이 있습니까? 만약 있다면 복사본을 제출바랍니다. Does the Company have any policy or procedure regarding the giving of gifts, business courtesies, gratuities, or hospitality to commercial relations and government or public officials, by Company personnel or its consultants, representatives, or agents?  No  Yes. If Yes, please provide a copy.
- d. 귀사는 정부나 공공기관, 에이전트, 중계업자에게 급행료 지급금지에 관한 절차나 정책을 가지고 있습니까? 만약 있다면 복사본을 제출바랍니다. Does the Company have any policy or procedure regarding facilitating or expediting payments to government or public officials, departments, agencies, or instrumentalities?  No  Yes. If Yes, please provide a copy.
- e. 귀사는 군사보안이나 국제수출통제품에 대한 관리나 보호에 관한 정책이나 절차를 가지고 있습니까? 만약 있다면 복사본을 제출바랍니다. Does the Company have any policy or procedure regarding the management and protection of information and goods with respect to which military or security classifications apply and/or with respect to which national or international export controls apply?  No  Yes. If Yes, explain in detail or provide a copy:
- f. 귀사는 이러한 정책이나 절차를 Compliance 에게 검토, 평가, 감사를 받나요? Does the Company conduct any audits, assessments, or other reviews of its compliance with these policies and procedures?  No  Yes. If Yes, explain in detail:
- g. 귀사는 GAAP 회계시스템이나 이와 유사한 회계시스템이 구현되었나요? Does the Company have an implemented a GAAP compliant accounting system or an equivalently-rated system (e.g., IFRS)?  No  Yes. If No, describe the Company's accounting system:
- h. 귀사는 외부 회계전문회사에게 주기적으로 감사를 받고 있나요? Does the Company undergo periodic audits by a third party or outside accounting/audit firm?  No  Yes. If Yes, describe the frequency and the auditing party:

- i. 귀사는 현금지불을 허용합니까? 만약 허용한다면 허용조건과 관리방법을 설명바랍니다. Are cash payments permitted by the Company?  No  Yes. If Yes, describe under what conditions and controls:

### 확약 서명 (Certification)

회사(사업거래)를 대표 할 수 있는 사람이 아래에 서명하여 스캔본을 메일이나 팩스로 송부바랍니다. 위에 제공된 정보는 KAI 가 귀사와 계약체결 여부를 평가하는 기준으로 사용되므로 향후 위의 정보가 거짓이나 잘못된 정보이면 계약 해지, 손해배상 청구 등을 할 수 있음을 서약하는 것입니다. 이에 향후 추가나 변경되는 사항은 즉시 통보하여 수정바랍니다.

The Company representative signing below represents that he or she is authorized to sign this Questionnaire on behalf of the Company and that Korea Aerospace Ind. may rely upon a scanned or faxed signature as binding upon the Company.

The Company understands that Korea Aerospace Ind. will rely on the above information and other business information provided by the Company in determining whether to enter into an agreement with the Company regarding the Project (as it may change from time to time), and that, in addition to any other remedies that may be available, any false or misleading information provided by the Company shall be grounds for the immediate termination of any such agreement.

<b>회사명</b> <b>Company Name</b>		<b>작성자 서명</b> <b>Name</b>	
<b>대표자 서명</b> <b>Signature</b>		<b>날짜</b> <b>Date</b>	
<b>프로젝트명</b> <b>Project</b>			

상세 설명자료를 첨부하여 제출할 수 있습니다.