Portonave S/A (“Portonave”) is committed to guaranteeing the highest standard of integrity in conducting its business and believes that, in order to achieve this objective, it needs to ensure that all its relationships are guided by honest conduct and in compliance with relevant laws and regulations.

For this purpose, this Self-Assessment Questionnaire (“Questionnaire”) is an integral part of Portonave's internal procedures to identify the main risks to which Portonave may potentially be exposed and effectively mitigate them.

The mission of the Questionnaire is to provide Portonave with a deeper understanding of your personal data, therefore, we ask you to kindly answer the questions in a clear, detailed, and complete manner. All information provided by you in this Questionnaire will be confidential and will be in compliance with the General Data Protection Law.

**INSTRUCTIONS FOR COMPLETING THE QUESTIONNAIRE:**

* Before providing the information and statements contained in this questionnaire, make sure that they are reliable and that they can be substantiated. The data recorded in this questionnaire is the sole responsibility of its signatories.
* All questions must be answered. No question can go unanswered.
* If necessary and at the discretion of PORTONAVE, additional information or documents may be requested.
* Fill out the document on the computer and send it in digital form, with the responsible person's signature.

1. General information

Name:

Full Address:

Date of Birth:      /     /

CPF:

Professional Website:

2. Do you have shares in companies? Yes   No

If affirmative, please describe the Company Name, CNPJ, and percentage of participation:

2.1. If yes in item 2 above, please inform if the company has an implemented Compliance program or policies/procedures aimed at fighting corruption? Yes   No

Please describe:

3. During your professional activities, do you have interactions with public agents?[[1]](#footnote-2) due to the position you occupy? Yes   No

If affirmative, please describe:

4. Do you hold, or have you held any public office? Yes   No

If affirmative, please describe:

5. Do you have any type of family relationship with a national or foreign public authority, regardless of the level of the public authority, or do they belong to an autarchy or mixed capital company? Yes   No

If affirmative, please describe:

6. Do you own or is a member of any non-profit association, which may have a public official as a member or who participates in its management?

Yes   No

If affirmative, please describe the position that they occupy:

7. Have you ever been trained on Compliance and corruption fighting? Yes   No

If affirmative, please describe (where/when):

8. Have you ever been approached by a public agent requesting any undue advantage? Yes   No

If affirmative, please describe (where/when/motive):

9. Among the companies you have worked with, have any of them ever been accused, investigated, criminally prosecuted, or convicted for fraud, corruption or money laundering in the last 5 years? Yes   No  If affirmative, please describe:

10. Have you ever been accused, criminally prosecuted or convicted for fraud, corruption or money laundering in the last 05 years? Yes   No

If affirmative, please describe:

**STATEMENT**

I declare and attest for the due purposes that the information provided herein, as well as the documents provided, are true and that no data has been omitted.

If at any time the information or documents submitted in this questionnaire no longer represent reality, I agree to immediately notify PORTONAVE Group and provide a complementary report detailing said change.

I further declare that I undertake to prevent bribery on my behalf or for the benefit of the business partner in connection with the relevant transaction, activity, project, or relationships.

|  |
| --- |
| Date: |
| Signature: |
| Full name: |
|  |
|  |

1. **Public agent**: person holding a legislative, administrative or judicial position, whether by appointment, election, or succession, or any person exercising a public function, including with a state agency or a state-owned company, or any agent or official of a national or international public organization, or any candidate for public office. Source: ABNT NBR ISO 37001:2017. [↑](#footnote-ref-2)