

KNOW YOUR BUSINESS PARTNER APPLICATION FORM

Authorization and Statement of Integrity

Important Information: (please read the following before completing this form)

Thank you for your interest in being a Business Partner of Johnson Controls Arabia. It is in the interests of all our stakeholders and business partners that JCA maintains a high standard of corporate governance, business ethics and compliance with the appropriate laws and regulations.

This Know Your Business Partner Application Form is for use by all parts of the Johnson Controls Arabia and its Affiliates in the JV Region (hereinafter referred to as” **JCA**”).

I understand and agree to the following:

1. JCA may retain any information provided by me during the course of the due diligence process for the duration of any business relationship into which I enter with JCA and for such period thereafter as may be necessary and/or required by law.
2. Our Company’s information will be processed by JCA.
3. I acknowledge that, to the extent that I have provided any information hereunder, I have done so with the consent of the persons to whom the information belongs and for the purpose of JCA’s performance of the proper due diligence check.
4. I/we agree to abide by the following Business Partner Code of Conduct of JCA, as amended, and those regulatory requirements, relevant to be a Business Partner of JCA.
5. Our owners, directors, officers, employees and I/(us), undertake to conform to international ethical practices and norms and, to abide by all applicable laws relating to sanctions, anti-money laundering , anti-terrorism, bribery, corruption, tax evasion, human rights and recognized unethical practices.

Name

Title/Role

Signature

Date

Company seal/stamp

KNOW YOUR BUSINESS PARTNER (“KYBP”) Form

Principle Information

Name of the Company	
Corporate Information	
Legal Form	
Date of Incorporation	
Core Business of the intended Partner	
CR No./Unified No.	
Full Address	
Email	
Phone No.	

(Owners, Board of Directors, Key Management and Ultimate Beneficial Owners)

Name	Role	PEP ¹	Public Appointments	Prior Employment	Political Activity	Sanctions, Investigations or Immunity ²
Owners (≥20%)						
			▪	▪	▪	
			▪	▪	▪	
			▪	▪	▪	
Board of Directors/Managers						
			▪	▪	▪	
			▪	▪	▪	
			▪	▪	▪	
Key Management						
			▪	▪	▪	
			▪	▪	▪	
			▪	▪	▪	

¹ Check if the person is a Politically Exposed Person (PEP) and provide copy of Identity Documents

² Check if (a) the person and/or any companies for which he/she has acted as director or officer, ever been officially sanctioned, (b) the person ever been the subject of an official investigation by an official body or (c) the person ever received immunity from prosecution from a government or government department.

Questionnaire

Are any of your Company’s owners, directors, officers or employees on, or have at any time in the past been on, a banking/government procurement blacklist or embargoed from trading; declared bankrupt, or accused, prosecuted and/or convicted for violation for any loss as a result of business operations of the Company or the actions of these persons?	<div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> Yes <input type="checkbox"/> No </div> <p>If Yes please provide details</p>
Does the applicant hold or have any commercial interest (shareholding) in other local and/or subsidiaries of foreign companies including offshore companies?	<div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> Yes <input type="checkbox"/> No </div> <p>If Yes please provide details</p>
Is any owner, director, officer or employee of your Company or any of your agents, distributors or affiliates the subject of any sanctions, including sanctions that apply to any jurisdiction or named on any sanctions list?	<div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> Yes <input type="checkbox"/> No </div> <p>If Yes please provide details</p>
Has your Company or its affiliates or any of your owners or your affiliates owners, directors, officers or employees been subject to a prior sanctions violation investigation or prosecution or is the subject of a current or anticipated sanctions investigation or prosecution?	<div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> Yes <input type="checkbox"/> No </div> <p>If Yes please provide details</p>
What business partner relationship are you seeking to form (or continue) with JCA?	<div style="display: flex; justify-content: space-between;"> Customer <input type="checkbox"/> </div> <div style="display: flex; justify-content: space-between;"> Distributor / Dealer <input type="checkbox"/> </div> <div style="display: flex; justify-content: space-between;"> Vendor / Service Provider <input type="checkbox"/> </div> <div style="display: flex; justify-content: space-between;"> Supplier/Manufacturer <input type="checkbox"/> </div>

Required Legal Documents Check-List

(updated copies shall be provided, Originals shall be ready for review)

Name	Issuance Date	Expiry Date	Copy provided
Company's updated Articles of Association and Bylaws			
Company's Commercial Registration.			
Company's governmental and operational licenses, permits, Income Tax, VAT and Tax certificates, and Social Insurance certificate.			

**JOHNSON CONTROLS ARABIA
BUSINESS PARTNERS CODE OF CONDUCT**

BUSINESS PARTNERS CODE OF CONDUCT

We understand the importance of following **“Know Your Business Partner”** procedures associated with prospective customers, agents, vendors, suppliers, subcontractors and Business Partners, when needed, as a pre-requisite procedure to ensure that they are involved in legitimate business activities and that their funds come from legitimate sources.

This Business Partners Code of Conduct (**“the Code”**) applies to all Business Partners and must be understood and followed within the broader context of your responsibilities under JCA Business Partners Code of Conduct.

This Code outlines the following expectations for Business Partners:

- Maintain awareness of and comply with all relevant laws and regulations in the countries where they operate.
- Disclose any situation that may present a potential conflict of interest. JCA enforces a zero-tolerance policy regarding compliance violations.
- Uphold the same values and ethical standards.

Business Partners Guidelines

1. Compliance With Laws and Regulations

- Business Partners, including their principals, owners, stakeholders, officers, directors, and employees, must engage in only legitimate and ethical business practices in all activities related to JCA. Business Partners are required to fully comply with all applicable laws.
- JCA Business Partners must comply with all applicable laws and regulations related to wages, working hours, and benefits. They should also strive to meet international standards for working hours and rest periods, including prohibiting all forms of forced or compulsory labor, child labor, and ensuring fair treatment of employees. Business Partners must respect employees’ rights and provide safe and healthy working conditions.
- JCA encourages its Business Partners to go beyond basic environmental, health and safety obligations and continually work to reduce the environmental impact of their operations, products, and services throughout their entire lifecycle. Business Partners are expected to prevent or minimize harmful effects such as pollution that threaten ecosystems and biodiversity. Additionally, JCA requires its Business Partners to properly handle and minimize all types of waste including hazardous waste, e-waste, packaging, single-use plastics, and wastewater by prioritizing prevention, reuse, recycling, and other reduction strategies.
- Business Partners are committed to sourcing products and services legally and responsibly, avoiding any materials that are illegally harvested, produced, or traded. They are expected to obtain raw and other materials from lawful, responsible sources and to conduct proper due diligence throughout their supply chains.
- Neither Business Partners nor any of their principals, owners, stakeholders, officers, directors, or employees shall directly or indirectly pay, offer, promise, or authorize the payment of any money or anything of value to any of JCA employees or individuals, including but not limited to any “Government Official,” with the intent to improperly influence their discretionary authority, or to gain assistance in obtaining or retaining business, rewarding favorable actions, or securing any improper advantage in commercial transactions or government matters.

- For the purposes of this Code, the term "**Government Official**" refers to any officer or employee of any government (federal, state, provincial, or local), including any government-owned or controlled entity, department, agency, corporation, or instrumentality thereof. It also includes any political candidate, official of a public international organization, or anyone acting on behalf of such entities or individuals, including their immediate family members or nominees.
- JCA Business Partners shall not offer, pay, promise to pay, or authorize the payment of any money, nor offer, give, promise to give, or authorize the giving of anything of value to any government official, their family members, political party, party official, or representative of a state-owned enterprise with the intent to wrongfully influence the recipient, obtain or retain business, or secure any improper business advantage. Additionally, they shall not permit or authorize any actions that could cause JCA or any of its Affiliates to violate applicable anti-bribery and anti-corruption laws, including the United States Foreign Corrupt Practices Act of 1977 and the UK Bribery Act of 2010, as amended.
- The Business Partner agrees to fully comply with all export control regulations and acknowledges their responsibility to obtain any necessary licenses for the export, re-export, or import of goods, as required.
- The Business Partner shall indemnify, defend, and hold the JCA harmless from any suits, claims, liabilities, costs, damages, or other expenses (including legal fees) incurred by the Company due to any material misrepresentation, warranty, or omission made by the business partner.

2. Conflicts of Interest

Our Business Partners must avoid any relationship, financial or otherwise, with suppliers, customers, or other Business Partners that could conflict, or appear to conflict, with their obligation to act in the best interests of JCA. While personal friendship outside of business are acceptable, Business Partners should ensure that such relationships do not influence the business judgment of JCA employees.

If a Business Partner's employee is a close family member (spouse, parent, sibling, grandparent, child, grandchild, or mother- or father-in-law) of a JCA employee, or if there is any other relationship with a JCA employee that could present a conflict of interest, the Business Partner must disclose this information to JCA or ensure that the JCA employee does so.

How can we identify whether an act is considered a conflict of interest by asking ourselves the following questions about the proposed decision or action:

1. Does it make us feel obligated to someone else?
2. Is it inconsistent with JCA's Code of Conduct?
3. Is it influenced (even slightly) by personal or family considerations?
4. Does it give the appearance that I am not prioritizing JCA's best interests?

If the answer to any of these questions is "yes" or "maybe," it's important to seek advice from your contact at JCA.

3. Gifts, Meals and Entertainment

Our Business Partners are prohibited from offering or accepting anything beyond modest gifts, meals, and entertainment. Ordinary business meals and small tokens of appreciation, such as gift baskets during the holiday season, are generally acceptable but should be reported. Business partners should avoid offering or accepting travel, frequent meals, or expensive gifts from JCA employees. Gifts of cash or cash equivalents, including gift cards, are strictly prohibited.

4. Business and Financial Records

Business Partners must maintain accurate records of all transactions related to the business with JCA, including the proper documentation of all expenses and payments. Business Partners should not delay submitting invoices or engage in any practices that would result in shifting expenses to a different accounting period.

5. Protecting Confidential Information

Business Partners must protect the confidentiality of JCA's information. If a Business Partner has been given access to confidential information as part of the business relationship, they should not share it with anyone unless expressly authorized by JCA. If a Business Partner believes they have received JCA's confidential information in error, they should immediately notify their contact at JCA and refrain from further distribution of the information.

Similarly, JCA must not share any of the Business Partner's confidential information if the Business Partner is under a contractual or legal obligation to keep it confidential.

6. Access to Premises, Property Use, and Safety Compliance

- Access by Business Partners, including their employees, agents, licensees and contractors to any JCA premises or properties where services are performed (**the "Property"**) shall be strictly limited to the areas necessary for the performance of the agreed services. and subject to JCA's identification and authorization requirements. JCA may deny or revoke access at its discretion.
- Business Partners shall be responsible for any damage to the Property caused by them or their representatives. No equipment, heavy objects, animals, hazardous or flammable materials may be brought onto or used on the Property, and no disturbances shall be caused, without JCA's prior written consent.
- No locks or security devices may be added or modified without JCA's approval, and all keys or access devices shall be returned upon termination. JCA may amend or rescind Property-related rules at any time, and Business Partners shall comply accordingly.

7. Non-Solicitation

- Under no circumstances shall, during the period of performing any transaction with JCA and for a period of 2 years after the completion of any transaction, Business Partners and/or its Affiliates or related parties, offer, employ or solicit for employment any of JCA's employees, unless obtaining the prior written consent of JCA.

General Assumptions

Business Partners must integrate compliance into all aspects of their role, and JCA encourages adherence to best practices in international corporate compliance across all business functions.

This Code outlines some of JCA's core business conduct expectations for Business Partners. For clarity, this code is not exhaustive, and additional expectations or guidelines may apply depending on the specific goods or services provided. These will be communicated on a case-by-case basis as relevant.

All Business Partners, including customers, suppliers, vendors, contractors, consultants, agents, stakeholders, and other providers of goods and services doing business with JCA, are expected to adhere to the Business Partner Code of Conduct.

Reporting of misconduct

Business partners who believe that an employee of JCA or anyone acting on behalf of JCA has engaged in illegal or otherwise improper conduct should report the matter to JCA. The proper reporting sequence must be followed to assess the seriousness of the report and ensure the ability to follow up on all allegations.

BUSINESS PARTNERS CODE OF CONDUCT

IN CLOSING . . .

Adhering to the Business Partners Code of Conduct is a crucial part of strengthening JCA's reputation and ensuring compliance with the highest standards of integrity and ethics in all our business dealings. We believe that our partners' commitment to these principles reflects their dedication to transparency, respect, and fairness in all aspects of our collaboration. By working together in accordance with these standards, we foster a sustainable and ethical business environment that ensures mutual success, while building trust and respect between us and our Business Partners.