

Leuven,

Dear valued customer,

Imec International and its subsidiaries worldwide are committed to compliance with export/import and sanctions-related laws and regulations.

Under such laws and regulations, some products can in some cases be considered as “dual-use” items as they have the potential to be used in both civil and military applications. While many items are not controlled for export, some specific items and their related end-use applications are controlled; consequently, they may require an export license prior to shipment to their final destinations.

To better assist us in determining if an export control license is required, we kindly ask you to complete the attached questionnaire, print it on your company letterhead, sign it and send it back.

The information you will supply in the attached questionnaire is necessary for us to assess compliance of all applicable export control and related regulations, and eventually ensure the execution of the collaboration.

If you have any questions related to the completion of this questionnaire, please revert to us (your partnership manager and/or our export control representative ExportControl@imec.be) and we will assist to the extent possible.

We thank you for your cooperation which is key for the success of our project.

Kind regards,

Imec business and Partnership Development
Imec export control and compliance

TO: IMEC, KAPELDREEF 75, B-3001 LEUVEN, BELGIUM

EXPORT CONTROL QUESTIONNAIRE

SECTION ONE (INFORMATION & BACKGROUND)

INFORMATION ABOUT YOUR COMPANY

COMPANY DATA	
Company Name	
Address	
Country	
Website	
E-mail address	
Main representative name	
Job title	
Major Shareholders and their background (please list + short description)	

Please provide additional information in attachment (see items below 2a-b-c-d-e-f)

COMPANY ACTIVITIES	(brief descriptions)
Major field of operation (market areas, regions)	
Major products on the market today or in development	
New market areas envisioned by current R&D	

SECTION TWO (DECLARATION)

A. DECLARATION ON COMPANY AND REPRESENTATION

The undersigned

1. declares that he/she is authorized to represent the Company
2. declares that he/she has attached the following documents to this form:
 - a. A copy of Company's registration in the Trade register or a legal certificate of incorporation or equivalent document
 - b. If Company is not registered in a Trade register: a copy of the memorandum of association and/or articles of association, which is relevant for the determination of interest of control
 - c. An organizational chart of the ownership and control structure of the company
 - d. An overview of the members of the executive board and board of directors
 - e. Annual report of last year
 - f. A copy of his/her valid identity document

3. declares that
 - a. The persons listed below qualify as (direct or indirect) UBO(s)¹ of the Company

---> Enter the information requested underneath and enclose an organization chart which shows the ownership structure including UBO

- b. the persons listed below qualify as a Pseudo-UBO² of the Company.

---> Enter the information requested underneath and enclose an organization chart which shows the ownership structure including UBO.

(Pseudo) UBO number 1	
First name(s)	
Last name	
Date of birth	
Address:	
Postcode/Town or city	
Country	
Job title	

¹ For an explanation of the term "UBO", see Appendix to this Form

² For an explanation of the term "Pseudo-UBO", see Appendix to this Form

(Pseudo) UBO number 2	
First name(s)	
Last name	
Date of birth	
Address:	
Postcode/Town or city	
Country	
Job title	

c. The hardware/software/technology is being used in the development of any of the following within your organization:

- | | | |
|---|-----|----|
| 1. Military technology/end-use ³ | Yes | No |
| 2. Nuclear Industry Research | Yes | No |
| 3. Missile, Aviation or Space industries | Yes | No |
| 4. Chemical or biological agents | Yes | No |
| And | | |
| 5. Our organization is a government research facility | Yes | No |

If you have answered 'yes' to any of questions 1 to 5, please explain and elaborate further:

³ For an explanation of the term "UBO", see Appendix to this Form

³ For an explanation of the term "Pseudo-UBO", see Appendix to this Form

B. DECLARATION OF COMMITMENT

In accordance with the export control and sanction regulations,

- We certify that:
 - (i) We will not evaluate or employ any item or technical data including software and source code (herein referred to as “Item”) contrary to any applicable export control law or regulation, including but not limited to the European Union Regulations.
 - (ii) The Item will not be supplied in any way, directly or indirectly via third party organizations to an entity/person in or from North Korea, Syria, Russia, Iran, Sudan or the Crimea Region of Ukraine.
 - (iii) We will not make any unauthorized export, re-export or transfer to any entity or person that is on any export control restricted list, including any entity that is, to the best of our knowledge owned 50% or more, directly or indirectly, by such restricted entity or person.
 - (iv) We will only re-export or transfer to a third party on condition that the third party accepts the commitments listed in this declaration as binding for itself and on condition that the third party is known to be trustworthy and reliable in the observance of such commitments.

- We further certify that the Item will not be used or likely to be used, wholly or in part for or in connection with any of the following:
 - (i) the design, development, production, handling, operation, maintenance, storage, detection, identification or dissemination of any nuclear, chemical or biological weapon;
 - (ii) the design, development, production, maintenance or storage of systems that are capable of delivering such weapons (e.g. missiles, rockets or unmanned air vehicle systems); or
 - (iii) threats to public security and/or human rights violation.

- We certify that the Item will only be used for civil end-uses and will not be supplied to a “military end-user being the national armed services (army, navy, marine, air force, or coast guard), as well as the national guard and national police, government intelligence or reconnaissance organizations, or any person or entity whose actions or functions are intended to support a ‘military end-use’ (*).
(*) Delete if not applicable in case of military items or supply to a military end-user.

I, [Name], certify that the above is true and correct to the best of my knowledge. I confirm that I will notify imec immediately of any end-use change. I certify that I am duly authorized to bind [Company Name].

Signature by Authorized person

Date

Full name (capital letters)

Title

Appendix: Definitions

- UBO and Pseudo-UBO:

Qualification UBO: Every legal entity does have at least one ultimate beneficiary owner (ubo); a natural person who ultimately owns or controls the legal entity. Not every single ubo qualifies as an Ultimate Beneficiary Owner (UBO).

In case a natural person: owns more than a 25% interest in a company or owns more than 25% of the voting rights in a company, or is the beneficiary of more than 25% of the assets of the company, he or she qualifies as a UBO. It is important to state that these points are important indicators, but do not make up an exhaustive list. It is therefore possible to qualify as a UBO without meeting the above-mentioned indicators (e.g.: a person with an interest of 10% whose family member has an interest of 20% and/or is a managing director may also qualify as a UBO (or both may qualify as a UBO).

Qualification Pseudo-UBO: If, after having exhausted all possible means and provided that there are no grounds for suspecting there to be a UBO, no person holding direct or indirect ownership can be identified, or if there is any doubt that the person identified is the beneficial owner, a natural person who holds the position of senior managing official of the client will be deemed to be the pseudo-UBO. It is advisable to appoint a managing director as the pseudo-UBO given the registration in the Trade Register.

- Military end-use will mean:

- (a) incorporation into military items listed in the military list. For latest update see www.wassenaar.org
- (b) use of production, test or analytical equipment and components therefor, for the development, production or maintenance of military items listed in the above-mentioned list;
- (c) use of any unfinished products in a plant for the production of military items listed in the above-mentioned list.