

Sanctions Exposure Questionnaire

WealthHub Securities Limited
ABN 83 089 718 249
AFSL No. 230704

GPO Box 4545
Melbourne VIC
3001

Telephone 13 13 80
nabtrade.com.au

NAB's Sanctions Policy is one of the ways NAB protects our customers and the global financial system from criminal misuse.

Our policy is informed by the sanctions regulations of the United Nations, European Union, Australia, and all the countries in which NAB operates, including the United States, the United Kingdom, China, Singapore, Japan, France, and New Zealand. Balancing these regulations and maintaining a high standard of financial crime protection means that NAB cannot support certain business activity, even where it falls within local regulations or the policies of other banks.

With limited exceptions for activity licensed by regulators, NAB does not support transactions involving:

- Iran, Syria, North Korea, Venezuela, Myanmar, Cuba, Afghanistan, Belarus, Russia, or parts of Ukraine not under Ukrainian government control (including but not limited to Crimea and the Donbas)
- Any persons or entities sanctioned by the United Nations, Australian Department of Foreign Affairs and Trade, European Union, U.S. Office of Foreign Asset Control, or other sanctions authorities in jurisdictions where NAB operates, noting that such persons include members of governments (including those of Eritrea, Lebanon, Sudan, Turkey, Zimbabwe, and countries listed above).

You must notify NAB in advance if you plan to engage in business related to the above, even where related to humanitarian aid, legal in your location, or covered by a regulatory license. This will help minimise delays in your transaction and allow us to request the appropriate documentation to mitigate potential financial crime risks (including the risk of funds confiscation).

About this Questionnaire

To balance our business customers' needs with the range of sanctions regulations applicable in different circumstances, NAB needs to understand its customers' exposures to certain regions and industries. Please answer the questions below using the following definitions:

Your Entity The entity (e.g. company, association) you represent to NAB, including any joint ventures or subsidiaries.

Related Parties Any individuals or entities legally or structurally linked to your entity, including Parent Company/Group, beneficial owners, directors, affiliates, agents, or officers.

Business Activity Includes current and planned operations, customers, suppliers, joint ventures, agreements, and origin, destination, and end-user of goods.

Your Details

Customer (Entity) Name

nabtrade Trading Account number

Date Completed

Contact Person Name, Position

1.1. Does your entity, or its related parties, have activity in any of the following sanctioned areas? (e.g. operations, sourcing from, selling to)

Country/Region	Yes / No
Iran	Yes <input type="checkbox"/> No <input type="checkbox"/>
Syria	Yes <input type="checkbox"/> No <input type="checkbox"/>
North Korea	Yes <input type="checkbox"/> No <input type="checkbox"/>
Crimea/Sevastopol regions	Yes <input type="checkbox"/> No <input type="checkbox"/>
Other occupied regions of Ukraine (e.g., Donetsk, Luhansk)	Yes <input type="checkbox"/> No <input type="checkbox"/>
Cuba	Yes <input type="checkbox"/> No <input type="checkbox"/>
Afghanistan	Yes <input type="checkbox"/> No <input type="checkbox"/>
Belarus	Yes <input type="checkbox"/> No <input type="checkbox"/>
Myanmar	Yes <input type="checkbox"/> No <input type="checkbox"/>
Russia	Yes <input type="checkbox"/> No <input type="checkbox"/>
Venezuela	Yes <input type="checkbox"/> No <input type="checkbox"/>

1.2. If you answered 'Yes' to any items in Q1.1, please answer the following questions with regard to that activity. Use as much space as needed to answer.

- Do any of these countries contribute to more than 1% of your, or your related party's, revenue? If so, please provide an estimate of % for each country.
- What is the nature of the business with each country for which you answered 'yes'? Please describe
 - The types of goods or services involved
 - How those goods/services are sourced and exchanged (e.g., where they're first designed and created, any shipping or other transport arrangements, any other countries involved, the ultimate end-user)
 - The parties involved (incl. your entity/related party, any partners or agents, any trading partners or counterparts, any suppliers or distributors).
- Do you take any steps to manage sanctions risk associated with the activity? If yes, please describe.
- What banking products and/or payment services do you use in relation to the activity?

1.3. Does your entity, or its related parties, have business activity in any of the following sanctions-sensitive areas?

Country/Region	Yes / No
Cambodia	Yes <input type="checkbox"/> No <input type="checkbox"/>
Central African Republic	Yes <input type="checkbox"/> No <input type="checkbox"/>
Dem. Republic of the Congo	Yes <input type="checkbox"/> No <input type="checkbox"/>
Ethiopia	Yes <input type="checkbox"/> No <input type="checkbox"/>
Eritrea	Yes <input type="checkbox"/> No <input type="checkbox"/>
Haiti	Yes <input type="checkbox"/> No <input type="checkbox"/>
Iraq	Yes <input type="checkbox"/> No <input type="checkbox"/>
Lebanon	Yes <input type="checkbox"/> No <input type="checkbox"/>
Libya	Yes <input type="checkbox"/> No <input type="checkbox"/>
Nicaragua	Yes <input type="checkbox"/> No <input type="checkbox"/>
Somalia	Yes <input type="checkbox"/> No <input type="checkbox"/>
Sudan (Republic of)	Yes <input type="checkbox"/> No <input type="checkbox"/>
South Sudan	Yes <input type="checkbox"/> No <input type="checkbox"/>
Yemen	Yes <input type="checkbox"/> No <input type="checkbox"/>
Zimbabwe	Yes <input type="checkbox"/> No <input type="checkbox"/>

1.4. If you answered 'Yes' to any items in Q1.3, please describe the activity undertaken with each relevant country, guided by the points below. Use as much space as needed to answer.

- What types of goods or services are involved?
- Who is the ultimate end-user of the goods or services?
- What other parties are involved? (incl. your entity/related party, any partners or agents, any trading partners or counterparts, any suppliers or distributors).

2.1. Does your entity's business relate to any of the following?

Goods, Services, or Technology	Yes / No
Any goods or services provided to or designed for military, defence, police, or security sectors	Yes <input type="checkbox"/> No <input type="checkbox"/>
Advanced optical equipment/systems, or thermal or infrared optical equipment/systems	Yes <input type="checkbox"/> No <input type="checkbox"/>
Explosives or explosive propellants	Yes <input type="checkbox"/> No <input type="checkbox"/>
Aviation/aerospace (e.g. operation, leasing, design, parts for planes, helicopters, gliders)	Yes <input type="checkbox"/> No <input type="checkbox"/>
Export of equipment or software for surveillance, or for intercepting telecommunications	Yes <input type="checkbox"/> No <input type="checkbox"/>
Nuclear material	Yes <input type="checkbox"/> No <input type="checkbox"/>
High-performance computer parts/software (e.g., for a supercomputer, data centre, or advanced AI)	Yes <input type="checkbox"/> No <input type="checkbox"/>
Quantum, hypersonic, or advanced bio- technologies	Yes <input type="checkbox"/> No <input type="checkbox"/>
Drones/UAVs, or equipment for use with drones/UAVs	Yes <input type="checkbox"/> No <input type="checkbox"/>
Manufacture or export of semiconductor devices, integrated circuits, or related parts or equipment (incl. silicon wafers, printed circuit boards, manufacturing equipment or software)	Yes <input type="checkbox"/> No <input type="checkbox"/>
Export of equipment for navigation or for electronic testing (or export of related services)	Yes <input type="checkbox"/> No <input type="checkbox"/>
Export of CNC or Additive Manufacturing (AM) machine tools (or export of related services)	Yes <input type="checkbox"/> No <input type="checkbox"/>
Export of turbine oil or turbine oil additives	Yes <input type="checkbox"/> No <input type="checkbox"/>
Export of ball, roller, or spindle bearings	Yes <input type="checkbox"/> No <input type="checkbox"/>
Items appearing on the Australian Defence and Strategic Goods List	Yes <input type="checkbox"/> No <input type="checkbox"/>

2.2. If you answered 'Yes' to any item above, please describe your entity's involvement, guided by the points below.

Use as much space as needed to answer.

- What relevant goods/services are involved in your business?
- What countries do the goods/services come from, go to, and if relevant, travel through?
- Who is the ultimate end-user of the goods or services? What steps do you take to understand who (and in what country) will be the ultimate end-user for your product?

3.1 Is your entity or any related party the target of any sanctions, by any regulator (regardless of location/authority)?

Related parties include any individuals or entities legally or structurally linked to your entity, including Parent Company/ Group, beneficial owners, directors, affiliates, agents, or officers.

Yes No

If yes, who is the entity targeted by sanctions, and what authority imposes the sanctions?

3.2 Does your entity or any related party have any business interest or relationship with persons or entities targeted by any sanctions?

This includes but is not limited to suppliers, distributors, partners, and customers.

Yes No

If yes, please list the approximate % of annual revenue derived, and how that revenue is managed.