

Country Entry Approval Form

Please refer to the instructions on Page 2 before completing the form

General Information	
Name:	
Job Title/Position:	
Date:	
Geography (country) of opportunity:	
Is the country of opportunity subject to economic sanctions? (Please refer to list of countries here link) These lists are maintained by the Ethics & Compliance Office and available at www.mubadalacompliance.ae	
Description of opportunity (high level summary):	
Interaction with agents, intermediaries, third parties, governments, and regulators	
Will an agent, intermediary, or other third party business partner be required to execute this opportunity? (Yes or No) If Yes: (i) Explain Why the party will be used; How the party will be used; Who the party is; and How much the party will be used. (ii) Has Due Diligence been successfully completed on the party? (Yes or No) If No, explain why not.	
Will government or regulatory licenses or authorizations be required to execute this opportunity? (Yes or No) If Yes, identify each one, its cost, how it will be obtained, and how long it is expected to take to obtain it.	
Commercial aspects of the opportunity (based upon best available information; NA if unknown)	
What is the anticipated value of this opportunity? (specify the time to realization)	
What is the anticipated return on this opportunity? (specify time to realization)	
What is the anticipated cost of this opportunity? (specify over what period of time)	
Summarize any known legal, technical, commercial, or regulatory, or compliance risks not covered elsewhere in this form (e.g., FX risk, political risk, staffing, etc.).	
Risk Ratings/Indices	
What is the most recent TRACE MATRIX rating for the country? Link to Trace Matrix	
What is the most recent Transparency International Corruption Perception Index rating? Link to TI Index	
What is the most recent World Bank Ease of Doing Business rating? Link to WB rating	
Endorsements on Page 2	

Please contact ethics@mubadala.ae for any questions, or if any of the information initially provided above changes

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Endorsements			
Unit	Name and Title	Signature	Date
Mubadala Ethics & Compliance Office			
<i>Comments</i>			
<i>(Where proposed entry into a country subject to economic sanctions)</i>			
Mubadala Legal & Governance			
<i>Comments</i>			
Group Government Affairs			
<i>Comments</i>			

Instructions:

You are required to fully complete this Country Entry Approval Form in each of the following situations:

- (i) The Business/Asset is proposing to enter into¹ a country not listed on the approved countries list
- (ii) The Business/Asset is proposing to transact business in, or with a counter-party from or connected to, a country subject to economic sanctions² (even if this country is listed on the approved countries list)

Note:

1. “proposing to enter into” a country means (i) establishing a business presence by branch, incorporation, agency, or other means; (ii) investing in; or (iii) operating in
The list of approved countries is available here: [LINK](#)
2. The list of countries subject to economic sanctions is available here: [LINK](#)
These lists are maintained by the Ethics & Compliance Office and available at www.mubadalacompliance.ae
A review of the applicable economic sanctions will be conducted and approval required from Heather Martin, Senior Legal Counsel, Mubadala Legal & Governance in order for the proposed transaction to proceed

Please submit the completed form as early as possible in the process to ethics@mubadala.ae

No formal or binding commitment should be entered into until a copy of the Country Entry Approval Form has been returned to the Sector/Asset with the signed approvals of Ethics & Compliance, Government Affairs and (where applicable) Mubadala Legal & Governance