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## FINANCIAL SANCTIONS ASSESSMENT TEMPLATE

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Please note RIS & DDAR have their own due diligence questionnaires which include reference to Financial Sanctions.

Sanctions review approval form	
<b>Prepared by</b>	
<b>Requested by (name and school/ department)</b>	
<b>Department/School identifier (if available)</b>	
<b>Full name and address of person/entity being assessed</b>	
<b>Project code &amp; Summary</b>	
<b>Supporting documents (if applicable)</b>	
<b>Strategic context</b>	
<b>Governance</b>	Contracts and other agreements are governed by UK and international sanctions law, international financial regulations and University policy.
<b>Level 1 – recommendation</b>	<p>I confirm that the checks performed do/ do not reveal any sanctions restrictions relating to this person/entity <a href="#">[delete as appropriate]</a></p> <p>Further comments (if any):</p> <p>Signature:</p> <p><a href="#">[name of Prepared by...]</a>  <a href="#">[Role of Prepared by...]</a></p>
<b>Level 2 – approval</b>	<p>I approve/ do not approve/ pass for further review <a href="#">[delete as appropriate]</a></p> <p>Further comments (if any):</p> <p>Signature:</p> <p><a href="#">[name of Prepared by...]</a>  <a href="#">[Role of Prepared by...]</a></p>
<b>Level 3 - special approval</b>	<p>I approve/ do not approve engaging with this person/entity <a href="#">[delete as appropriate]</a></p> <p>Further comments (if any):</p> <p>Signature:</p> <p><a href="#">[name of Prepared by...]</a>  <a href="#">[Role of Prepared by...]</a></p>

Sanctions review detailed assessment	
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<b>Sanctions register ref number</b>	
<b>Person/Entity full name</b>	
<b>Person/Entity address</b>	
<b>Person/Entity country/ies based in</b>	
<b>Date of request</b>	
<b>Date of checks</b>	
<b>Date of review</b>	
<b>Cleared for use?</b>	

Detailed information		
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<b>Is/are the country/ies in which the person/entity is based a country on the University's list of sanctioned countries?</b>		<i>[comment if needed]</i>
<b>Is the person/entity itself on any sanctioned list?</b>		<i>[comment if needed]</i>
<b>For entities based in BRCs only: Are any controlling parties on any sanctions list?</b>		<i>[comment if needed]</i>

Checks carried out (insert more rows as needed)		
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<b>Name</b>	<b>United Kingdom</b>	<b>USA</b>

# Controlling parties hold more than 50% of the beneficial ownership of the entity.