Third party due diligence assessment report

Biotech Bolivia Ltda.

Standard report

29 July 2020

Building a better working world

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Disclaimer:

This report only sets out information obtained from record search conducted by Ernst & Young AG (EY). EY does not provide any opinion in respect to the business entities or individuals on whom this search has been conducted. The information included in this report has been primarily collected from public sources, thus it is difficult to verify all aspects of the information obtained. EY makes no representation or warranties with respect to the contents or use of this report, and specifically disclaims any express or implied warranties or usefulness for any particular purpose of this report. EY takes no responsibility for the consequences resulting from decisions based on information included in this report. EY reserves the right to change or revise this report at any time.

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1 Executive summary

As agreed upon on 20 July 2020, EY (or "we") conducted integrity-related open source research on the legal entity "Biotech Bolivia Ltda.". Furthermore, following the EY CSS-model for integrity (i.e. collecting information on Compliance, Stability and Sustainability in order to assess the integrity of a research entity), we were first required to identify the "Existence" and "Capabilities" of the researched entity. The respective findings led to the following assessment:

	Integrity Dimension	Description	Assess-ment	CPI	Country in Scope
EY CSS Model*	Compliance	Identified litigation and adverse media concerns for the Entity. Identified litigations and adverse media concerns for a Named Individual.	✗	Bolivia CPI Rank 2019 123 CPI Score 31	 Bolivia
	Stability	No negative indicators identified	✓		
	Sustainability	No negative indicators identified	✓		
Identifi-cation**	Capabilities	Indicators for business activities identified	✓	Public Data Availability Bolivia Low	
	Existence	Legal entities and individuals identified	✓		

Summary of Findings	
Identification: Capabilities & Existence	During the course of research the requested entity "Biotech Bolivia Ltda." was identified in the consulted sources along with the incorporation details, and key personnel among other details. "Biotech Bolivia Ltda." is based in Bolivia and provides medical equipment to hospitals and laboratories. The Entity was registered with Registro de Comercio de Bolivia (Fundempresa) under the Commercial Registration Number 00008820 on 5 August 1993. Efrain Orlando Valdes Bueno was identified to be the General Manager and Legal Representative at the Entity. Roberto Valdes Morales was identified to be a sales manager at the Entity.

*CSS Model (Compliance - Stability – Sustainability)		**Identification	
Compliance risks indicators:	Identified adverse coverage, listings in official sanctions and embargo lists, or other fraudulent conduct, etc.	Capabilities & Existence indicators	Identification of general information on the entity: e.g. business activities, location, production facilities, shareholders, management members, registration number.
Stability risks indicators:	Identified financial data, credit-worthiness, insolvencies, history of the company or the industry, etc.		
Sustainability risks indicators:	Identified infringements of environmental or labor law, "Corporate Social Responsibility" issues, etc.		
Assessment			
✓	No integrity and/or compliance related risks identified		
⚡	Possible integrity and/or compliance related risks identified		
✗	Integrity and/or compliance related risks identified		

Summary of Findings	
Compliance, Stability, Sustainability	During the course of research, the integrity and compliance related issues was identified in connection with the requested entity "Biotech Bolivia Ltda." Below we provide a summary of key findings: Identified litigation for the Entity An appeal was filed by the Entity through, Efrain Orlando Valdes Bueno (Named Individual) (Bueno), before the Social and Administrative Chamber of the Supreme Tribunal of Justice, Bolivia, under appeal number 239 to 242 against the order number 177/2012 passed by the Social and Administrative Chamber of Cochabamba Departmental Court of Justice, Bolivia. The said order pertained to an appeal filed by Carlos Morató Velasco against the Entity for payment of social benefits and payment of compensation, wherein the court declared that claims as partially proven and ordered the Entity to pay BOB 6,362.14. As reported, in the current appeal, the court partially allowed the judgment order in the case number 177/2012. Complete details could not be obtained due to limited information provided by the source. Adverse media concerns for the Entity Research identified the Entity to be involved in matters pertaining to outstanding payments of long- term social security, expired goods held by custom administration and non- credit of amount to insured individuals' accounts, amongs others. Identified litigation for Efraín Orlando Valdez Bueno (Named Indiivdual) An appeal was filed by Efraín Orlando Valdez Bueno (Named Indiivdual), Manuel Fernando Tudela Pol, and others (appellants) against an order number '596 a 601' passed by the Sala Civil Segunda del Tribunal Departamental de Justicia de Cochabamba, Bolivia. The matter pertained to usucapion of a property located in Bolivia. The matter was stated to have been ruled in favour of the defendant, Manuel Jesús Zurita. However, on 26 November 2019, the court did not allow the current appeal and held lower court's decision. An overview of the findings classification with corresponding page references is provided under Section 2 "Summary of findings". A detailed description of the findings is provided under the Section 3 "Detailed findings".

2 Summary of findings

Entity Name: Biotech Bolivia Ltda.

Entity Country: Bolivia

As referenced in Section 1 "Executive summary", the table below contains a classification of findings with corresponding page references:

S.No.	Potential integrity and/or compliance related risks	Findings	Compliance	Stability	Sustainability	Page(s)
1	Bribery, corruption and fraud	No	n/a	n/a	n/a	n/a
2	Government relationships	No	n/a	n/a	n/a	n/a
3	Crime/illegal activities	No	n/a	n/a	n/a	n/a
4	Financial concerns/crime/non-compliance	No	n/a	n/a	n/a	n/a
5	Regulatory non-compliance	No	n/a	n/a	n/a	n/a
6	**Litigation**	**Yes**	**X**	**n/a**	**n/a**	**13 and 16-17**
7	**Derogatory publicity and other concerns**	**Yes**	**X**	**n/a**	**n/a**	**11-14**

X- Information identified, n/a – not applicable

Notes:

Information from Client: The Client provided the Entity's name as Biotech Bolivia Ltda located in La Paz, Bolivia. The client also provided the Entity's registered identification number as 1023287024 and its Legal Representative as Efrain Orlando Valdes Bueno.

Researcher's comments:
Research was conducted in English and Spanish by EY's research team.

3 Detailed findings

Background details

Business name	Biotech Bolivia Ltda.
Registered address	Av. Oquendo N 0654 Of. 802, Cochabamba (Zona Central), Bolivia

The following information was obtained on Biotech Bolivia Ltda. using public domain information sources:

Attribute	Findings	Source
Incorporation details	Year of Registration: 5 August 1993 Commercial Registration Number: 00008820 Tax Identification Number (NIT): 01023287024 Registration Authority: Registro de Comercio de Bolivia (Fundempresa) Country of Registration: Bolivia Status: Active	Trabajópolis Registro de Comercio de Bolivia (Fundempresa)
Ownership type	Limited Liability Company	EMIS Intelligence
Website	www.biotech.com.bo *(Domain registered: 19 February 2001)* *Domain expires: 19 February 2023)*	Public domain WhoIs.com
Nature of business	Provides medical equipment to hospitals and laboratories	Biotech Bolivia
Other addresses identified	Please note that online research identified the following additional addresses for the Entity: • C. Reyes Ortiz No. 73, Edif. Torres Gundlach Oeste, Of. 1201, La Paz, Bolivia • C. Independencia esq. Ingavi, Galería Central, Of. 06, Santa Cruz, Bolivia	Biotech Bolivia- Contact

Overview	Source
• Biotech Bolivia Ltda is engaged in providing medical equipment to hospitals and laboratories in Bolivia. • The Entity claims to encourage the development of public health programs to provide free access to medical tests to the people. • The Entity has been awarded the following government contracts amongst others: o 2018: A contract was awarded by the Autonomous Departmental Government of Cochabamba, Bolivia to obtain supplies and reagents for the laboratory unit of the Children's hospital Manuel Ascencio Villarroel, Bolivia worth BOB 237,581	Biotech Bolivia Biotech Bolivia - Preventive Medicine Sistema de Contrataciones Estatales (SICOES)

○ 2016: A contract was awarded by the Departmental Autonomous Government of Santa Cruz, Bolivia to obtain reagents for hormonas de laboratorio for the women 's hospital Dr . Percy Boland Rodriguez, Bolivia worth BOB 399,921 ○ 2016: A contract was awarded by the National Health Fund Santa Cruz, Government of Bolivia to obtain free T4 (DELFIA X 96 DET) regional laboratory worth BOB 74,445 ○ 2014: A contract was awarded by the Chuquisaca Departmental Health Service, Government of Bolivia, to obtain equipment for third level hospitals in Chuquisaca, Bolivia wort BOB 500,000 • The Entity was identified to be a distributor/partner of several companies including BioGenex, Fisher & Paykel Healthcare, Qiagen and Co-Diagnostics, Inc. amongst others. • Reverse searches conducted on the registered address of the Entity did not yield any additional information.	
Business operations	**Source**
• The Entity claims to provide technological solutions for intensive care equipment, clinical diagnostics tests and hospitals in Bolivia. • The Entity is stated to provide the following solutions: ○ Hospital Solutions: This includes installation, training and maintenance of medical equipment, spare parts and hospital supplies amongst other of different brands ○ Laboratory Solutions: This includes equipment for clinical analysis and provides advice to laboratories pertaining to methodologies and technologies ○ Preventive Medicines • The Entity claims to provide the following products: ○ Hospitals: The Entity provides products such as phototherapy systems, neonatal glasses for phototherapy and neonatal incubator amongst others ○ Laboratory and Biochemistry: This includes products such as CLIA automated analyzers, test analyzer for intensive care, cold storage unit for laboratory and sample loungers amongst others ○ Molecular Biology: This includes products such as protein characterization system and real-time PCR thermocyclers amongst others ○ Point of Care Analyzers: This includes products such as portable point of care systems and analizador de gasometría y electrolitos amongst others • The Entity claims to make several programs available to people for the detection of the following medical issues amongst others: ○ Neonatal research for congenital hypothyroidism ○ Neonatal screening for hearing loss ○ Neonatal screening for heart failure ○ Prevention of cervical cancer ○ Prevention of genetic disorder during pregnancy • The Entity was stated to have imported products from various countries in 2018, including Finland, United States, China, Singapore, Italy and Belgium • The Departmental Health Service (Sedes) of La Paz, Bolivia was stated to have signed an inter-institutional agreement with the Entity and the National Institute of Nuclear Medicine (INAMEN), Government of Bolivia, pertaining to a program 'Programa Departamental de Tamizaje Metabólico Neonatal'. In the said	Biotech Bolivia Biotech Bolivia- Home Biotech Bolivia- Products Biotech Bolivia- Neonatal research for congenital hypothyroidism Biotech Bolivia-Neonatal screening for hearing loss Biotech Bolivia- Neonatal screening for heart failure Biotech Bolivia- Prevention of cervical cancer Biotech Bolivia- Prevention of genetic disorder during pregnancy EMIS Intelligence SEDES La Paz Observatorio RSE

program, the Entity was stated to provide INAMEN with medical equipment and INAMEN in coordination with Sedes La Paz was to provide information and product data on the said program. • In 2016, the Entity signed a strategic alliance with the Centre of Research, Education and Services Center (CIES), Bolivia to provide a medical test named 'Prueba de Captura Híbrida' in order to decrease the mortality rate in women suffering from cervical cancer of childbearing age.	

Financial participation in other companies	Source
No records found	-

Key personnel/directors*

Name	Role	Source
Efrain Orlando Valdes Bueno	General Manager and Legal Representative	D&B
Roberto Valdes Morales	Sales Manager	

*Please note that corporate records are not available online in Bolivia. Therefore, the information has been obtained from public domain information sources.
The Principals' names were searched against compliance databases to determine whether the individuals are/were connected to government agencies/officials and/or appear on global watch lists. No records found.

Key shareholders*

Name	Details (%)	Source
No records found	-	-

*Please note that corporate records are not available online in Bolivia. Additionally, the shareholding information was not available on third party sources, subscribed databases or public domain information sources.

Recent changes in shareholding

Details	Source
No recent changes in the shareholding structure of the Entity were observed	-

Financial information

A search was performed using electronically available open source public domain information and subscribed databases to identify the financial information of the Entity.

Financial information	FY - 2019 (in USD million)	FY - 2018 (in USD million)	Source
Total operating revenue	Not available	2.59	EMIS Intelligence

Corporate structure – Subsidiaries and Affiliates

A search was performed using electronically available open source public domain information and subscribed databases to identify the corporate structure of the Entity.

Name	Details	Source
No records found	-	-

Business environment

Attribute	Details	Source
'Ease of Doing Business' by World Bank and IFC	Bolivia is ranked 150 out of 190 countries (2020).	Doing Business 2020
'*Corruption Perceptions Index*' by Transparency International	Bolivia Republic is ranked 123 out of 180 countries (2019).	Transparency International - 2019
'Country Economic Forecast' – Bolivia	*"Lockdown measures have been extended into Q3, forcing another downward revision to our GDP outlook. We now expect a contraction of 7.4% in 2020, down from-3.1% previously, with the economy only set to regain its pre-coronavirus size in 2022. Risks to the recovery in H2 are tilted to the downside as virus cases continue to rise, leading to the return of tighter social distancing measures. General elections are scheduled for September 6, but pandemic-related uncertainties make it hard to predict the final outcome."*	Oxford Economics – 2020

Links with Government

Relationship with Government	Source
No records found	-

Compliance database search results

Research was performed on the Entity across various international watch lists[1], the UN Consolidated List, the Bank of England Consolidated List, the OFAC SDN List, the Excluded Parties List System, and debarred party listings.

Type of finding	Details	Source
No records found	-	-

Media and internet search results

A search was performed using Internet search engines and electronically available open source public domain information relating to business and international media sources (available in English and Spanish) using pre-identified keywords to identify information relating to the Entity with respect to the following:

Attributes searched	Results
Reported criminal activity	No records found

[1] For an indicative list of databases researched please refer to Annex A.

Attributes searched	Results
Bankruptcy	No records found
Bribery and corruption	No records found
Financial irregularities	No records found
Fraud	No records found
Intellectual property violations	No records found
Litigation	**Records found**
Money laundering	No records found
Regulatory non-compliance/violations/sanctions	No records found
Tax violations	No records found
Scandals	No records found
Illegal activities	No records found
Other concerns	**Records found**

Detailed results

Headline	Mercancia Depositada En Recinto, Con Parte De Recepción Y Sin Dui (Plazo Vencido)
Report date	8 January 2016
Publication	National Customs, Bolivia
Issue	A list containing names of several companies, including the Entity, was published by the Regional Management Santa Cruz of the National Customs, Bolivia, pertaining to the companies' goods received by the custom office. As reported, the Entity's imported goods, including new advertising material, leaflets and medical devices, were received by the custom administration of Viru International airport on 16 May 2014 and 13 November 2014. The said goods' storage period was stated to have expired and the goods were stated to be without import declaration document. Complete details could not be obtained due to limited information provided by the source.
Text	(...) Administraci On De Aduana Aeropuerto Viru Nº Parte De Recepción 711 2014 604743 Fecha De Parte De Recepción 13/11/2014 Descripción Mercancia Medical Device Consignatario Importador **Biotech Bolivia LTDA** Estado Actual Con vencimiento de plazo de almacenamiento en deposito aduanero y Sin dui. No cuenta con resolucion de declaratoria de abandono (...)
Source	National Customs, Bolivia

Headline	Empresas Con Mora A La Seguridad Social De Largo Plazo
Report date	31 August 2015
Publication	Authority for Fiscalization and Control of Pensions and Insurance
Issue	As per a list published by Authority for Fiscalization and Control of Pensions and Insurance, Government of Bolivia, the Entity was cited among the companies which had outstanding payment of long- term social security with the BBVA Prevision AFP S.A., Bolivia (as of 31 August 2015), which manages pension funds in Bolivia. The Entity was identified to have outstanding payment of BOB 438.36. Complete details could not be obtained due to limited information provided by the source.
Text	(...) (...) NRO_Idrazon 102328702 Social(2) **BIOTECH BOLIVIA L.T.D.A** Monto Total Adeudado SSO BS.(1) 0.00 Monto Total Adeudado SIP BS.(1) 438.36 Monto Total Adeudado SSO + SIP B 438.36 (...)
Source	Authority for Fiscalization and Control of Pensions and Insurance

Headline	Lista De Oposiciones
Report date	5 June 2014
Publication	National Intellectual Property Service, Bolivia
Issue	As per a list published by the National Intellectual Property Service (Senapi), Bolivia, on 5 June 2014, the Entity was stated to be involved in a matter pertaining to a trademark issue. As reported the plaintiff who was represented by its attorney had applied for a brand name named 'BIOCAT-15', whereas the Entity (defendant) represented by its attorney Efrain Orlando Valdes Bueno (Named Individual) had applied for a brand name 'BIOCARD'. Complete details could not be obtained due to limited information provided by the source.
Text	(...) Marca Demandante BIOCAT-15 Marca Demandada BIOCARD Apoderado Demandante Ramiro Moreno Baldivieso Apoderado Demandado **Efrain Orlando Valdes Bueno** Firma Demandante Firma/Solicitant

	Atlantica Agricola, S.A. Firma/Solicitant E Demandado **Biotech** (...)
Source	National Intellectual Property Service, Bolivia

Report date	24 December 2013
Publication	Supreme Tribunal of Justice, Bolivia
Issue	An appeal was filed by the Entity through its General Manager and Legal Representative, Efrain Orlando Valdes Bueno (Named Individual) (Bueno) before the Social and Administrative Chamber of the Supreme Tribunal of Justice, Bolivia under appeal number 239 to 242 against the order number 177/2012 passed by the Social and Administrative Chamber of Cochabamba Departmental Court of Justice, Bolivia. Reportedly, prior to this, an appeal was filed by Carlos Morató Velasco against the Entity before the Partido Primero de Trabajo y Seguridad Social de la ciudad de Cochabamba, Bolivia, pertaining to payment of social benefits and payment of compensation, wherein the court declared that claims of Carlos Morató Velasco were partially proven and ordered the Entity to pay BOB 6,362.14. Later, both the Entity and Carlos Morató Velasco then filed their respective appeals with the social and administrative chamber of Cochabamba Departmental Court of Justice, Bolivia, wherein the court partially confirmed the prior judgment and also modified it with the inclusion of payment for the compensation without cost. As a result of this, the Entity then filed the said appeal. In its order, the court partially allowed the judgment order 177/2012 pertaining to payment of social benefits and compensation.
Text	(...) VISTOS: El recurso de casación en la forma y en el fondo de fs. 239 a 242 interpuesto por Luis Mario Olguín Zabalaga y Fernando Luis Saunero Carrasco, en representación legal de **Efraín Orlando Valdes Bueno**, Gerente General de la empresa "**BIOTECH BOLIVIA Ltda.",** contra el Auto de Vista Nº 177/2012 de 26 de septiembre que cursa a fs. 232 a 234, pronunciado por la Sala Social y Administrativa del Tribunal Departamental de Justicia de Cochabamba, dentro el proceso social que sigue Carlos Morató Velasco, contra la empresa "BIOTECH BOLIVIA Ltda."; la respuesta al recurso de fs. 248 a 249; el Auto de fs. 250 que concedió el recurso; los antecedentes del proceso; y (...) Por Tanto: La Sala Social y Administrativa del Tribunal Supremo de Justicia, en ejercicio de la atribución conferida por los artículos 184. 1 de la Constitución Política del Estado y 42. I. 1 de la Ley del Órgano Judicial No. 025 de 24 de junio de 2010, CASA PARCIALMENTE el Auto de Vista Nº 177/2012 de 26 de septiembre, cursante de fs. 232 a 234 sólo en cuanto se refiere al pago de la indemnización, dejando sin efecto dicho pago; manteniéndose en lo demás firme y subsistente. Sin responsabilidad de multa por ser excusable. (...)
Source	Supreme Tribunal of Justice, Bolivia

Headline	Recaudación No Aclarada
Report date	27 January 2013
Publication	DocPlayer
Issue	As per a list published by BBVA Previsión AFP, Bolivia, which manages pension funds in Bolivia, the Entity was cited amongst the companies which had not credited the

	amount to the insured individuals' accounts. The companies were suggested to contact BBVA Previsión AFP with their contribution form to regularize the said situation. The amount due from the Entity was stated to be BOB 369.51 as of 27 January 2013. Complete details could not be obtained due to limited information provided by the source.
Text	(...) Nro. Identi-ficación 1023287024 Razón Social **Biotech Bolivia L.T.D.A.** Formulario de Pago 4674861 Fecha de Pago 20120827 Causa No acreditación de Planilla Solución Presentación de Planilla Pago Periodo 201201 Lugar de Pag Cochabamba Valor 47,27 Banco de Pag Mutual La Paz (...)
Source	DocPlayer

Background details – Efrain Orlando Valdes Bueno

Name	Efrain Orlando Valdes Bueno[2]
Address	Not available
Current role	General Manager (since August 1993**) and Legal Representative*
Nationality	Not available

*Date of appointment not available.
**This information could not be confirmed with another independent source.

Key findings	Source
Personal details	
• Efrain Orlando Valdes Bueno holds a degree from the Bolivian Private University, Bolivia (1999-2001). • Reverse searches conducted on the email id 'evaldes@biotech.com.bo' did not yield any additional information.	Bolivian Private University
Professional history	
• No records found	-
Other business interests and Corporate affiliations	
• No records found	-

Compliance database search results

Research was performed on the Named Individual across various international watch lists[3], the UN Consolidated List, the Bank of England Consolidated List, the OFAC SDN List, the Excluded Parties List System, and debarred party listings.

Type of finding	Details	Source
No records found	-	-

Politically exposed persons search results

A search was conducted on the databases covering Politically Exposed Persons, their relatives, and close associates globally.

Details	Source
No records found	-

Media and internet search results

A search was performed using Internet search engines and electronically available open source public domain information relating to business and international media sources (available in English and Spanish) using pre-identified keywords to identify information relating to the Named Individual with respect to the following:

Attributes searched	Results
Reported criminal activity	No records found

[2] Searches were also conducted using following name variations: Efrain Valdes Bueno and Efraín Valdés
[3] For an indicative list of databases researched please refer to Annex A.

Attributes searched	Results
Bankruptcy	No records found
Bribery and corruption	No records found
Financial irregularities	No records found
Fraud	No records found
Intellectual property violations	No records found
Litigation	**Records found***
Money laundering	No records found
Regulatory non-compliance/violations/sanctions	No records found
Tax violations	No records found
Scandals	No records found
Illegal activities	No records found
Other concerns	**Records found***

*Refer to 'Media and internet search results' section of the Entity for more details.

Detailed Result

Report date	26 November 2019
Publication	Supreme Tribunal of Justice, Bolivia
Issue	An appeal was filed by Manuel Fernando Tudela Pol, Efraín Orlando Valdez Bueno (Named Indiivdual) and others (appellant) against an order number '596 a 601' passed by the Sala Civil Segunda del Tribunal Departamental de Justicia de Cochabamba, Bolivia. The said matter pertained to usucapión of a property located at Av. Potosí Nº 1385 esq. Av. Portales de la ciudad de Cochabamba, Bolivia. Initially, Manuel Jesús Zurita, the defendant in the said matter, had filed a usucapion demand against the appellants regarding the said property. As reported, the Juez Público Civil y Comercial Nº 7 of the Cochabamba Departmental Court of Justice, Bolivia, through its order number 381 a 385 had allowed the demands of the defendant in the said matter. In response to which, the appellants filed an appeal before the Sala Civil Segunda of the Cochabamba Departmental Court of Justice, Bolivia which also confirmed the ruling of the previous court. Consequently, the current appeal was filed by Manuel Fernando Tudela Pol and others (appellants) before the Supreme Tribunal of Justice, Bolivia. On 26 November 2019, the court did not allow the appellants' appeal.
Text	(...) VISTOS: El recurso de casación de fs. 604 a 621 vta., interpuesto por Manuel Fernando Tudela Pol contra el Auto de Vista de 09 de noviembre de 2018, cursante de fs. 596 a 601 vta., pronunciado por la Sala Civil Segunda del Tribunal Departamental de Justicia de Cochabamba, dentro del proceso ordinario sobre usucapión, seguido por Manuel Jesús Zurita contra el recurrente y otros; las respuestas de fs. 637 a 639 vta., y 654 a 658; el Auto de concesión del recurso de 20 de septiembre de 2019, cursante a fs. 693; el Auto Supremo de Admisión Nº 1048/2019-RA. de 9 de octubre cursante de fs. 700 a 701 vta., los antecedentes del proceso; y: (...) En ese entendido, de la revisión del cuaderno procesal, podemos colegir que por intermedio de los escritos de fs. 8 a 10, 14, 36, 46, 76 y 77, se apersona el Sr. Manuel Jesús Zurita, quien con base en los argumentos expuestos en los referidos escritos interpone una demanda de usucapión decenal respecto al inmueble ubicado

	en la Av. Potosí Nº 1385 esq. Av. Portales de la ciudad de Cochabamba; dirigiendo tal acción contra los Sres. Manuel Fernando Tudela Pol (ahora recurrente), Gustavo Tudela Pol, María Eugenia Belmont Urquizu Vda. de Tudela, Hernán Candia Romero, Lola Azero Quiroz, Jaime Jimenez Prudencio, Dory Elena Jiménez Prudencio, **Efraín Orlando Valdez Bueno**, María Roxana Morales de Valdez, Tatiana Erika Morales de Vargas, José Pedro Vargas Lobaton y presuntos interesados.
Source	Supreme Tribunal of Justice, Bolivia

Background details – Roberto Valdes Morales

Name	Roberto Valdes Morales[4]
Address	Not available
Current role	Sales Manager* and Regional Chief (since March 2013^)
Nationality	Not available

*Date of appointment not available.
^This information could not be confirmed with another independent source.

Key findings	Source
Personal details#	
• Roberto Valdes Morales holds an engineering degree in electronics and telecommunication from the Bolivian Private University, Bolivia.^ • He also attended the Nur University, Bolivia and studied in the field of networking - Local Area Network (LAN)/ Wide area network (WAN) (2002-2003).^ • Reverse searches conducted on the email id 'robertov@biotech.com.bo' did not yield any additional information.	LinkedIn^
Professional history	
• No records found	-
Other business interests and Corporate affiliations	
• No records found	-

^This information could not be confirmed with another independent source.
#Research on public domain sources identified several records for Roberto Valdés (name similar to that of the Named Individual). Furthermore, research identified a company named 'Valdes Morales Roberto Efrain' in Bolivia with NIT number '3757785012'. However, due to lack of further qualifying information and limited information provided by the sources, it could not be confirmed if those records pertained to the Named Individual. Hence, the same have not been included above.

Compliance database search results

Research was performed on the Named Individual across various international watch lists[5], the UN Consolidated List, the Bank of England Consolidated List, the OFAC SDN List, the Excluded Parties List System, and debarred party listings.

Type of finding	Details	Source
No records found	-	-

Politically exposed persons search results

A search was conducted on the databases covering Politically Exposed Persons, their relatives, and close associates globally.

Details	Source
No records found	-

[4]Searches were also conducted using following name variation: Roberto Valdés
[5]For an indicative list of databases researched please refer to Annex A.

Media and internet search results

A search was performed using Internet search engines and electronically available open source public domain information relating to business and international media sources (available in English and Spanish) using pre-identified keywords to identify information relating to the Named Individual with respect to the following:

Attributes searched	Results
Reported criminal activity	No records found
Bankruptcy	No records found
Bribery and corruption	No records found
Financial irregularities	No records found
Fraud	No records found
Intellectual property violations	No records found
Litigation	No records found
Money laundering	No records found
Regulatory non-compliance/violations/sanctions	No records found
Tax violations	No records found
Scandals	No records found
Illegal activities	No records found
Other concerns	No records found

4 Scope and approach limitations

Please keep this in mind while reading this report:

- The information obtained through searches on the identified databases is included in this report without any further verification. Ascertaining the reasons or genuineness of such information was beyond the scope of this engagement.
- The information in this document is collected from third parties/various secondary information sources available in public domain including third party websites. Accordingly, the factual accuracy of such information cannot be guaranteed. Since, the information included in this report is primarily collected from public sources; it is difficult to verify all aspects of the information obtained.
- The report only sets out the information obtained from record searches conducted by us. A majority of information for a background research is based on third party information sources. While, an effort is made to identify independent third parties, we cannot ensure the reliability and credibility of these third parties. The factual accuracy of such information cannot be guaranteed.
- We are not responsible for exhaustiveness of information as it is possible that we might not be able to access all the information. Further, the information search is limited to that published on the web, in the public domain in English and Spanish languages.
- For the listings/databases available online in the public domain, we referred to the listings (available on date of the research) and have presented information accordingly. It is to be noted that some of these databases are not updated regularly.
- We do not provide any opinion with respect to the business Entity or Individuals on whom this research is conducted.
- The lack of an exact match on the database searched does not necessarily indicate that there is no litigation or regulatory action involving the Entity or the Individual.
- Under no circumstances shall we be liable, for any loss or damage, of whatsoever nature, arising from information being withheld or concealed from us or misrepresented to us by any person/agency to whom/which information requests were made. Further, we shall not be responsible for the consequences resulting from decisions based on information included in the report.
- This report is not intended to provide legal advice or interpretation, and does not constitute (i) an audit, review or examination of financial statements in accordance with generally accepted auditing standards, (ii) an examination of prospective financial statements in accordance with standards established by the AICPA, or (iii) a review that detects fraud or illegal acts.
- The sufficiency of the work steps/procedures is solely the responsibility of the Client. Consequently, we make no representation regarding the sufficiency of the procedures performed for the purpose of which the report was requested.
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5 Annex

Annexure A

Indicative list of watch-lists consulted	
National Bureau of Corruption Prevention of China	China Security Regulatory Commission Enforcement Orders & Penalties
Hong Kong Police Wanted Persons List	Politically Exposed Persons
FBI Most Wanted Terrorists	World Bank Debarred Parties
China Banking Regulatory Commission	Securities and Futures Commission of Hong Kong
FBI Top Ten Most Wanted	Hong Kong Market Misconduct Tribunal
Interpol Most Wanted	Monetary Authority of Singapore List
Hong Kong Monetary Authority	Canadian OSFI Consolidated List
HK Financial Services and the Treasury Bureau of Hong Kong	China Central Commission for Discipline Inspection Anti - Corruption Network
Politically Exposed Persons	United Kingdom Proscribed Terrorist Group
Bureau of Industry and Security List	Consolidated List - Canada
Hong Kong Insider Dealing Tribunal Press Releases - Orders	Blocked Pending Investigation – Patriot Act (BPI-PA)
Other Weapons Proliferation Sanctions	Crime stoppers (UK) Most Wanted List
Foreign Terrorist Organizations	Specially Designated Terrorists (SDT)
Foreign Terrorist Organizations (FTO)	Defense Trade Controls Debarred Parties
Blocked Pending Investigation – Specially Designated Narcotic Traffic Kingpins (BPI SDNTK)	Blocked Pending Investigation – Specially Designated Narcotic Traffickers (BPI-SDNT)
China insurance Regulatory Commission	Hong Kong Customs and Excise Department
Specially Designated Narcotic Traffickers (SDNT)	DFAT Consolidated List (Persons & Entities) Australia
OSFI Consolidated List (Individuals)	Japan Foreign End Users of Concern
Canada OSFI Cumulative Warning List	Financial Services Authority Unauthorized Firms and Individuals List
EU Consolidated list	WMD End-Use Control Concerns: Iran
Foreign Terrorist Organizations	Singapore MAS Terrorism List
Specially Designated Nationals (SDN) Balkans	EU Combating Terrorism List
MLCA (Switzerland) EU List 2	MLCA (Switzerland) UN List 07-Nov-2002
SECO (Switzerland) Al-Qaida & Taliban List	SECO (Switzerland) Arms Embargoes

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