

**the  
Wolfsberg  
Group**

Financial Institution Name:

NATIXIS SA

Location (Country) :

FRANCE

No #	Question	Answer
<b>1. ENTITY &amp; OWNERSHIP</b>		
1	Full Legal Name	NATIXIS SA
2	Append a list of branches which are covered by this questionnaire	All Natixis's branches: Natixis Beijing / Natixis Canada Branch / Natixis Dubai / Natixis Frankfurt / Natixis Grand Cayman / Natixis Hong Kong / Natixis Labuan / Natixis London / Natixis Madrid / Natixis Milan / Natixis New York / Natixis Shanghai / Natixis Singapore / Natixis Taipei
3	Full Legal (Registered) Address	30, avenue Pierre Mendès France, 75013 PARIS, FRANCE
4	Full Primary Business Address (if different from above)	As above
5	Date of Entity incorporation / establishment	30th July 1954
6	Select type of ownership and append an ownership chart if available	
6 a	Publicly Traded (25% of shares publicly traded)	Yes
6 a1	If Y, indicate the exchange traded on and ticker symbol	PARIS STOCK EXCHANGE (FR0000120685 KN), Euronext Paris.
6 b	Member Owned / Mutual	No
6 c	Government or State Owned by 25% or more	No
6 d	Privately Owned	Yes
6 d1	If Y, provide details of shareholders or ultimate beneficial owners with a holding of 10% or more	On 31/07/2018, BPCE detains 70,70% of Natixis (and 70,76% of its voting rights) and 26,59% is floating.
7	% of the Entity's total shares composed of bearer shares	On 31/07/2018, the free float of Natixis represents 26,59% of the total capital. It should be noted that a part of Natixis shares are considered as "bearer" because in France, most of shares circulating in stock exchange (eg. the float) are told "bearer", according to the Directive Transparency of the EU of 15/12/2004
8	Does the Entity, or any of its branches, operate under an Offshore Banking License (OBL) ?	No
8 a	If Y, provide the name of the relevant branch/es which operate under an OBL	N/A

2. AML, CTF & SANCTIONS PROGRAMME		
9	Does the Entity have a programme that sets minimum AML, CTF and Sanctions standards regarding the following components:	
9 a	Appointed Officer with sufficient experience / expertise	Yes
9 b	Cash Reporting	Yes
9 c	CDD	Yes
9 d	EDD	Yes
9 e	Beneficial Ownership	Yes
9 f	Independent Testing	Yes
9 g	Periodic Review	Yes
9 h	Policies and Procedures	Yes
9 i	Risk Assessment	Yes
9 j	Sanctions	Yes
9 k	PEP Screening	Yes
9 l	Adverse Information Screening	Yes
9 m	Suspicious Activity Reporting	Yes
9 n	Training and Education	Yes
9 o	Transaction Monitoring	Yes
10	Is the Entity's AML, CTF & Sanctions policy approved at least annually by the Board or equivalent Senior Management Committee?	Yes
11	Does the Entity use third parties to carry out any components of its AML, CTF & Sanctions programme?	Yes
11 a	If Y, provide further details	When needed, Natixis can have recourse to external support in order to proceed to some targeted controls and analyze the Financial Security program.
3. ANTI BRIBERY & CORRUPTION		
12	Has the Entity documented policies and procedures consistent with applicable ABC regulations and requirements to [reasonably] prevent, detect and report bribery and corruption?	Yes
13	Does the Entity's internal audit function or other independent third party cover ABC Policies and Procedures?	Yes
14	Does the Entity provide mandatory ABC training to:	Yes
14 a	Board and Senior Committee Management	Yes
14 b	1st Line of Defence	Yes
14 c	2nd Line of Defence	Yes
14 d	3rd Line of Defence	Yes
14 e	3rd parties to which specific compliance activities subject to ABC risk have been outsourced	Not Applicable
14 f	Non-employed workers as appropriate (contractors / consultants)	No