

# Compliance Audit Documentation

## Examples of Documents Dell Technologies May Require in a Partner Audit

All documents should be maintained in good condition, traceable and readable, and reflective of actual sales transactions.

### Anti-Corruption Concerns

- > Evidence of proper spending of Dell Technologies-provided marketing and business development funds.
- > Listing / journal of any payments (and supporting evidence) to any Dell Technologies customer or reseller or to any vendor involved in the execution of marketing / business activities funded by Dell Technologies.
- > Evidence supporting due diligence / vetting and other related third party controls.

### Trade Concerns

- > Purchase order from customer showing quantity and description of Dell Technologies products ordered, corresponding invoice(s) to customer and evidence of payment from customer. For EMC transactions only, physical documentary evidence showing a firm and final order placed by an end user customer.
- > Proof of delivery documentation including customer name and address to substantiate that Dell Technologies products were delivered to the intended customer / country, such as but not limited to:
  - delivery document from the carrier or forwarder; or
  - bill of lading/airway bill that corresponds with the country of ultimate destination of the products; or
  - company's invoice stamped by the reseller/end-user for the Dell Technologies product.
- > Customs clearance documentation, including evidence of product classification decision.
- > Tax invoice or tax valuation document.

### Money-Laundering Concerns

- > Identity and background of any entity that is not a contracting party but that may pay bills on your behalf.
- > Valid bank transfer advice, with identification of payor as requested.
- > Other relevant documentation that identifies source of payment.

### Organizational Concerns

- > Certificate of incorporation, partnership agreement or other charter documentation.
- > Proof of authority to do business in locations where you operate.
- > Identification of owners / stakeholders.

### Rebate / Compensation

- > Valid and accurate E2open sales-out and inventory reporting, reconciled with Company books and records.
- > Valid and accurate records of transshipment of product from your (internal or outsourced) warehouse.
- > Evidence supporting the transfer of Dell Technologies T2 rebates from the distributor to the intended resellers.