

“KNOW YOUR CUSTOMER” (KYC) QUESTIONNAIRE

BRUGEL

Document Reference	AIB-FIN-KYC_20120307
Version number	1
Issue	Draft 0.3
Date of Issue	23 rd April 2012
Reason for Issue	Revised draft , comments from Norwegian authorities and others
Author(s)	PH Moody (AIB Secretary General)

Your company wishes to hold an account with BRUGEL. As a member of the Association of Issuing Bodies, BRUGEL is bound to comply with Anti-Money Laundering Regulations supporting where appropriate EU Directive 2005/60/EC and “Know your Customer” regulations and requirements. Thus, in order to complete our appraisal concerning your application, we kindly ask you to answer the following questions about your company. Please note that BRUGEL can decide not to proceed with the admission process depending on the answers given in this questionnaire.

To simplify access to their respective markets, all AIB members are cooperating in the admission process, and all questionnaires are made available to all other AIB members in order to share information.

Corporate name (according to national company register)	
Organisation number on national company register	
Trading name(s) (if trading under a different name to corporate name)	
Address of registration	
Phone (switchboard)	
Web site	

1. SUPPORTING DOCUMENTS

- 1.1. Please provide a copy of your audited annual report for the last 3 years (original document and a translation in English).
- 1.2. Please attach a business plan of your certificate trading activity over the next 3 years.

2. IDENTITY

2.1. What is your company type?

- Credit institution (please provide a copy of your licence document)
- Investment firm (please provide a copy of your licence document)
- Other authorised or regulated financial institution (please provide a copy of your licence document)
- Commercial firm (Utilities, industry)
- Municipal or regional supplier
- Broker

2.2. When was your company founded?

2.3. Where was your company established?

2.4. Please indicate the number of employees that work for your company?

2.5. Please indicate in which countries your company is active.

2.6. Has the equity capital of the company been totally paid? If not, please indicate the uncalled capital.

Equities of your company amount to, or are more than, 2 million euros (equity capital + provisions and reserves + net profit + retained earnings).

Yes

No

The total of the balance sheet of your company amounts to, or is more than, 20 million euros.

Yes

No

The turnover after taxes of your company amounts to, or is more than, 40 million euros.

Yes

No

2.7. Please describe the main business of your company.

2.8. What are the name, address and date of birth of your General Manager? Please provide a good quality colour photograph of his/her passport.

2.9. What are the names, addresses and dates of birth of your Board members and contact people? Please provide a good quality colour photograph of his/her passport.

2.10. Please give an overview of your shareholder structure (indicate their respective shares if >10%).

2.11. Please give an overview of the changes of your shareholder structure over the past 3 years.

- 2.12. If applicable, what is the justification of the specific financial arrangement and structure of your company (e.g. registered office in low tax countries..., in places where it has no activity...)?
- 2.13. Who is your Independent Auditor? Please give us a contact and his/her details (phone, email)?
- 2.14. Is your company member of one or several professional associations? If yes, indicate the name and contact details of these associations. Since when are you member?
- 2.15. Please indicate name and domicile of your commercial bank.

3. YOUR MOTIVATIONS

- 3.1. Why does your company want to be a member of our market?
- 3.2. Will your activity on BRUGEL be occasional, seasonal or permanent?
- 3.3. Is your company active in any other energy, commodities or financial markets? If yes, which ones? Since when?
- 3.4. Is your company active in the electricity or gas OTC market? If yes, since when? Please list the official (legal) name and registered company number (if a natural person, then the address) of five (5) counterparts you are dealing with on the OTC markets.
- 3.5. Is your company active on any other certificate markets (e.g. ROCs, LECs, Elcerts, Certificati Verdi ...)? If yes, since when? Please list the official (legal) name and registered company number (if a natural person, then the address) of five (5) counterparts you are dealing with on these markets.

3.6. Is your company active on any other certificate registries? If yes

Which registries? (list)

Since when have you been registered with these registries? (Give date of opening account for each)

3.7. Please indicate :

- Your expertise in certificates (regulation, retail, production, trading)
- Your assets in certificates (customers, certificate based energy supply contracts etc.)

3.8. Do you trade for your own account or third party as well? If you trade for third party, please indicate their official (legal) name and registered company number or, if a natural person, then their address.

3.9. What do you expect your trading volumes to be?

	Certificates (volumes in MWh)	
	Annual	Monthly
EECS GOs		
EECS ICS (e.g. RECS)		

4. YOUR CAPABILITY TO INTERVENE

4.1. Do you have professional traders working for your company?

Are these traders qualified or certified by a professional organisation?

Name	Qualification

4.2. What trading and associated systems will you be using in-house to support your activities?

4.3. Will your traders have a partial or full time activity with your company?

- 4.4. Are your traders employed by another firm?
- 4.5. Do you have facilities dedicated to trading?
- 4.6. Do you have any back-up systems?
- 4.7. Do you have Back Office team and Compliance measures in place? Please describe.
- 4.8. Please indicate what TSO's you have a contract with.

5. OTHER

- 5.1. Please make any other comments that you feel to be relevant to your application.

I recognise that BRUGEL, as a member of the Association of Issuing Bodies is bound to comply with Anti-Money Laundering Regulations and “Know your Customer” regulations and requirements.

I also recognise that this questionnaire will be made available to all other AIB members in accordance with the AIB data protection policy (<https://www.aib-net.org/privacy-policy>).

I declare in good faith that all information, answers and documents provided with this questionnaire are exact and authentic. I have omitted no important information that could have impact on the judgment made by BRUGEL on this demand.

I agree to answer any other questions that BRUGEL might have in the future to comply with its legal obligations.

Place

Date

Name and signature of the legal representative of the company:

PROCESSING OF YOUR PERSONAL DATA

Your personal data shall be processed in accordance with the relevant legislation in force.

All the information requested from you is strictly necessary to enable the opening of a transferable Guarantees of Origin account. It is processed solely by BRUGEL for the purposes of opening a Transferable Guarantees of Origin account.

Main legal basis:

- The Ordinance on the organisation of the electricity market in the Brussels-Capital Region of 19 July 2001.
- The Decree of the Government of the Brussels-Capital Region on the promotion of green electricity of 17 December 2015.

If you believe that BRUGEL is not complying with the relevant regulations, you are invited to contact BRUGEL in writing as a matter of priority.

BRUGEL's detailed policy on the protection of personal data is available on the BRUGEL website (<https://www.brugel.brussels/page/privacy>). If you have any questions about the processing of your data by BRUGEL, if you wish to request access to your data or if you wish to rectify your data, you can contact its Data Protection Officer (DPO) by sending an e-mail to dpo@brugel.brussels.

You can also lodge a complaint with the Personal Data Protection Authority at the following address Rue de la Presse 35 - 1000 Brussels - contact@apd-gba.be. You may also file a complaint with the court of first instance of your domicile.