

Climate Policy Department
Unit for Guarantees of Origin and Electricity Certificates
Cesar Registry
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Know your customer (KYC) Questionnaire

Your company wishes to hold an account with the Swedish Energy Agency. As a member of the Association of Issuing Bodies, the Swedish Energy Agency is bound to comply with EU Directive 2015/849 and “Know your customer” regulations and requirements. Thus, to complete our appraisal concerning your application, we kindly ask you to answer the following questions about your company. Please note that the Swedish Energy Agency 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 to share information.

Corporate name (according to national company register)

Organization number on national company register

Address of registration

Phone (switchboard)

Web site

VAT registration number

1. Supporting documents

Provide a copy of your audited annual report for the last 3 years (original document and a translation in English). If not available (e.g. in case of a newly established company), attach a business plan for your certificate trading activity over the next 3 years. Also, provide the following additional supporting documents:

- Copy of the authorized signatory’s passport/ID-document
- Copy of the General Manager’s passport/ID-document
- Copy of the Chairman of the board’s passport/ID-document

2. Identity

2.1 Company type

Credit institution (please provide copy of your licence)

Investment firm (please provide copy of your licence)

Other authorised or regulated financial institution (please provide copy of your licence)

Commercial firm (utilities, industry)

Municipal or regional supplier

Broker

Trader

2.2 When and where was your company founded?

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

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

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

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

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

2.5 Please describe the main business of your company.

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

2.7 What is the name, address and date of birth of your General Manager?

2.8 Please provide information on Board Members (names, addresses, dates of birth).

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

2.10 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?

2.11 Please indicate in which countries your company is active.

2.12 Is your company VAT registered in any other countries? If yes, list the countries and VAT registration numbers.

2.13 Who is your independent auditor? Please state her/his contact details (phone, email).

2.14 Is your company a member of any professional associations? If yes, indicate names and contact details of these associations. Since when are you member?

2.15 Please indicate the name and domicile of your commercial bank and provide a list of your international bank accounts.

3. Your motivations

3.1 Why does your company want to be a member of our market?

3.2 Will your activity with the Swedish Energy Agency 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 5 counterparts you are dealing with on the OTC market. For companies state organizational number, for private persons state addresses.

3.5 Is your company active on any other certificate markets (ROCs, Certificati Verdi etc)? If yes, since when? Please list 5 counterparts you are dealing with on these markets. For companies state organizational number, for private persons state addresses.

3.6 Is your company active on any other certificate registries? If yes, which ones? Since when?

3.7 Please indicate:

Your expertise/experience 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 name, and for companies state organizational number, for private persons state addresses.

3.9 Please state estimated trading volume in MWh.

Type of certificate	Monthly	Annual
EECS GOs		
Swedish GOs		
Electricity Certificates		

4. Your capacity to intervene

4.1 Do you have professional traders working for your company? If yes, are they employed by your company or working on consultant basis?

4.2 What trading systems will you be using?

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? If yes, please provide address.

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 State any other information you think is relevant for the application.

I recognize that the Swedish Energy Agency, as a member of the Association of Issuing Bodies, is bound to comply with EU Directive 2015/849 and “Know your customer” regulations and requirements.

I also recognise that this questionnaire will be made available to all other AIB members.

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 judgement made by the Swedish Energy Agency on this demand.

I agree to answer any other questions that the Swedish Energy Agency might have in the future to the company with its legal obligations.

Place

Date

Name of legal representative of the company

Signature of legal representative of the company