

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 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 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 in order to share information.

Corporate name (according to national company register)
Organisation number on national company register
VAT number on national VAT register
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? <input type="checkbox"/> Credit institution (please provide a copy of your licence document) <input type="checkbox"/> Investment firm (please provide a copy of your licence document) <input type="checkbox"/> Other authorised or regulated financial institution (please provide a copy of your licence document) <input type="checkbox"/> Commercial firm (Utilities, industry) <input type="checkbox"/> Municipal or regional supplier <input type="checkbox"/> 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 Is your company VAT registered in any other countries? If yes, which countries? (list with VAT number)
2.7 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). <input type="checkbox"/> Yes <input type="checkbox"/> No
The total of the balance sheet of your company amounts to, or is more than, 20 million euros. <input type="checkbox"/> Yes <input type="checkbox"/> No
The turnover after taxes of your company amounts to, or is more than, 40 million euros. <input type="checkbox"/> Yes <input type="checkbox"/> No

2.8 Please describe the main business of your company.
2.9 What are the name, address and date of birth of your General Manager? Please provide a good quality colour photograph of his/her passport.
2.10 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.
2.11 Please give an overview of your shareholder structure (indicate their respective shares if >10%).
2.12 Please give an overview of the changes of your shareholder structure over the past 3 years.
2.13 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...)?
2.14 Who is your Independent Auditor? Please give us a contact and his/her details (phone, email)?
2.15 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?
2.16 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 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 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-guaranties of origins		
Swedish national guaranties of origins		
Electricity certificates		

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 the Swedish Energy Agency, as a member of the Association of Issuing Bodies is bound to comply with "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 judgment 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 comply with its legal obligations.

Signature of the legal representative of the company

Place and date

Name of the legal representative of the company

Signature of the legal representative of the company