“Know Your Customer” Questionnaire

Technical Regulation no. 6 of

HUPX GO Rules and Regulations

Version 1.0

**Effective from 26/04/2022**

**Date of publication: 22/04/2022**

**Compliance procedure**

**KNOW YOUR CLIENT QUESTIONNAIRE**

*Your prompt and full completion of this questionnaire will help to speed up compliance procedure.*

# COMPANY PROFILE

1. **Please provide the following information regarding your company:**

Number of employees: , thereof energy traders:

1. **Please describe your company’s main activities and licenses related to those activities (including licenses under foreign jurisdictions).**

1. **Please provide a copy of the organizational chart explaining the shareholder/ownership’ structure, up to and including the ultimate parent level.**

1. **Please provide the Full Name(s) of all Directors, Supervisory Board Members, Main Shareholders (10% or more):**

|  |  |
| --- | --- |
| **Shareholder name** | **Share (in %)** |
|  |  |
|  |  |
|  |  |
| **Name of position holder** | **Position** |
|  |  |
|  |  |
|  |  |
|  |  |

1. **Does your company have offshore jurisdiction(s) in its organizational structure?**

Yes  No

# FINANCIAL PARAMETERS

1. **I/We, the undersigned representative(s) of , declare that the company is conducting business based on the prudence principles with regards to financials and liabilities:**

Yes

1. **Please provide information about the financial parameters of your company for the last year in Euro (if not available please provide an estimation were appropriate):**

Share capital (nominal value):

Thereof outstanding:

Total assets:

Total liabilities:

Turnover:

Profit:

# TRADING

1. **Does your company, or your company’s (i) subsidiary, (ii) parent company, or (iii) subsidiary of your company’s parent company own an electricity or natural gas trading license from any European country?**

Yes  No

1. **Does your company or company group have its production, transmission or storage facilities?**

Yes  No

1. **Does your company own or operate renewable production assets?**

Yes  No

1. **Does your company supply end user costumers with electricity or natural gas?**

Yes  No

1. **Does your company maintain a contractual relationship with a Clearing House in the European Union?**

Yes  No

1. **Do you act for your own account or on behalf of a third party?**

Own

Third party

1. **How do you describe the type and activity of your company?**

Supplier of end users

GO trader

Broker

Private producer

Subsidized producer

End user

Consulting company

TSO

Other:

# INTERNAL POLICY

1. **Please tick which of the followings do you have internal policy for:**

Anti Money Laundering

Know Your Customer

Anti Bribery & Corruption

Market Abuse

Neither of these

1. **Has your company, its group and/or its management been under investigation (e.g. by tax, financial, competition or energy authorities) within the last three years or is such an investigation currently ongoing?**

Yes  No

1. **Are there any Politically Exposed Persons (PeP)[[1]](#footnote-1) among your company’s direct or indirect owners/shareholders or in its management/supervisory board?**

Yes  No

**If yes, please classify the relationship:**

Direct  Indirect

1. **Does your company maintain accounts and/or uses banking services at/from banks or financial institutions domiciled countries outside Europe which are classified as “ultra-high-risk” or “non-cooperative” according to the FATF list[[2]](#footnote-2)?**

Yes  No

**Signed in ONE original.**

|  |  |
| --- | --- |
| **Place** |  |
| **Date** |  |
| **Name** |  |
| **Acting as** |  |
| **Signature of a legal representative** |  |

1. *For details please refer to Article 2 of Directive 2006/70/EG laying down implementing measures for Directive 2005/60/EG.* [↑](#footnote-ref-1)
2. *The current FATF list is published under the following link http://www.fatf-gafi.org/topics/high-riskandnon-cooperativejurisdictions* [↑](#footnote-ref-2)