

"KNOW YOUR CUSTOMER" QUESTIONNAIRE

TECHNICAL REGULATION NO. 6 OF HUPX GO RULES AND REGULATIONS

Version 1.0

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Compliance procedure

KNOW YOUR CLIENT QUESTIONNAIRE

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

1. COMPANY PROFILE

1. Please provide the following information regarding your company:

Number of employees: , thereof energy traders:

- 2. Please describe your company's main activities and licenses related to those activities (including licenses under foreign jurisdictions).
- 3. Please provide a copy of the organizational chart explaining the shareholder/ownership' structure, up to and including the ultimate parent level.
- 4. 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		

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

Yes 🗆

No 🗆



2. FINANCIAL PARAMETERS

6. 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 🗆

7. 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 va	lue)	:[
Thereof outstanding:]
Total assets:]	
Total liabilities:]	
Turnover:		[
Profit:]			

3. TRADING

8. 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 🗆

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

Yes 🗆	No 🗆
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10. Does your company own or operate renewable production assets?

Yes 🗆 🛛 No 🗆

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

Yes 🗆 No 🗆

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

Yes 🗆

No 🗆



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

🗆 Own

□ Third party

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

- □ Supplier of end users
- \Box GO trader
- □ Broker
- □ Private producer
- □ Subsidized producer
- □ End user
- □ Consulting company
- □ TSO
- □ Other:

4. INTERNAL POLICY

- 15. 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
- 16. 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 🗆



17. Are there any Politically Exposed Persons (PeP)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 □

18. 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 list²?

Yes □ No □

Signed in ONE original.

Place	
Date	
Name	
Acting as	
Signature of a legal representative	

² The current FATF list is published under the following link http://www.fatf-gafi.org/topics/high-riskandnon-cooperativejurisdictions

¹ For details please refer to Article 2 of Directive 2006/70/EG laying down implementing measures for Directive 2005/60/EG.