**Know Your Client (KYC) Form**

Date:Click or tap to enter a date.

To: **EnEx Member Support**

110, Athinon Ave. 104 42 Athens, Greece

Tel: +30 210 336 6845

Fax: +30 210 336 6951

E-mail: [EnEx-Member-Support@enexgroup.gr](mailto:EnEx-Member-Support@enexgroup.gr)

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **General Info** | | | | | | | | | |
| Company Name | | : | | | | | | | |
| TIN[[1]](#footnote-2) | | : | | | | | | | |
| EIC Code[[2]](#footnote-3) | | : | | | | | | | |
| ACER Code[[3]](#footnote-4) | | : | | | | | | | |
| BIC Code[[4]](#footnote-5) | | : | | | | | | | |
| BoD Chairman | | : | | | | | | | |
| Tel: | | : | | | E-mail: | | : | | |
| CEO | | : | | | | | | | |
| Tel: | | : | | | E-mail: | | : | | |
| Compliance Officer | | : | | | | | | | |
| Tel: | | : | | | E-mail: | | : | | |
| Head of Trading | | : | | | | | | | |
| Tel: | | : | | | E-mail: | | : | | |
| Head of Clearing | | : | | | | | | | |
| Tel: | | : | | | E-mail: | | : | | |
|  | | | | | | | | | |
| **Regulatory Authorization** | | | | | | | | | |
| Name of the competent authority | | | : | | | | | | |
| Registry Reference Number | | | : | | | | | | |
|  | | | | | | | | | |
| **Contact Information** | | | | | | | | | |
| Address | : | | | | | | | | |
| Post Code | : | | | | | City - Country | | | **-** |
| Tel | : | | | | | Fax | | |  |
| E-mail: | : | | | | | | | | |
|  | | | | | | | | | |
| **Company Profile** | | | | | | | | | |
| Main line of business of the company | | | | | | | | : | |
| Official Company website | | | | | | | | : | |
| Number of Employees | | | | | | | | : | |
| Exchange Listed | | | | | | | | : | |
| Please provide all shareholders names with a share of 10% or more: | | | | | | | |  | |
| **Name of shareholder:** | | | | | | | | **Share (10% or more)** | |
|  | | | | | | | |  | |
|  | | | | | | | |  | |
|  | | | | | | | |  | |
|  | | | | | | | |  | |
|  | | | | | | | |  | |
|  | | | | | | | |  | |
|  | | | | | | | |  | |
| Is your company a subsidiary (if yes please provide more information)? | | | | | | | | : YES / NO | |
| Parent Company’s Trade Name | | | | | | | | : | |
| Parent Company’s TIN | | | | | | | | : | |
| Parent Company’s Seat (Country) | | | | | | | | : | |
|  | | | | | | | | | |
| **Firm’s Capacities** | | | | | | | | | |
| HEnEx DAM & IDM Trading | | | | Producer  Supplier  Trader  RES & High Efficiency CHP Producer  RES Aggregator  RES Producer  Other | | | | | |
| Balancing Market | | | | Balancing Responsible Party  Balancing Service Provider | | | | | |
| HEnEx Derivatives Market Trading | | | | Choose an item. | | | | | |
| HEnEx Natural Gas Trading Platform | | | | Transmission User  Liquidity provider  Other | | | | | |
| EnExClear DAM & IDM Clearing | | | |  | | | | | |
| EnExClear Balancing Market Clearing | | | |  | | | | | |
| EnExClear Natural Gas Trading Platform Clearing | | | |  | | | | | |
| ATHEXClear Derivatives Clearing | | | |  | | | | | |
| Membership to other Exchanges | | | |  | | | | | |
| (If yes, please state which) | | | |  | | | | | |
| Membership to other Clearing Houses | | | |  | | | | | |
| (If yes, please state which) | | | |  | | | | | |
| Derivatives Market Making Obligations to Exchanges | | | |  | | | | | |
| (If yes, please state which) | | | |  | | | | | |
|  | | | | | | | | | |
| **Technical Profile (for API users only)** | | | | | | | | | |
| ETSS API applied | | | | | | | | YES / NO | |
| Protocol used | | | | | | | | Choose an item. | |
| Name of the Provider of the Application | | | | | | | | : | |
| Names of Data Feed Providers | | | | | | | | : | |
|  | | | | | | | |  | |
| OASIS API applied | | | | | | | | YES / NO | |
| Protocol used | | | | | | | | Choose an item. | |
| Name of the Provider of the Application | | | | | | | | : | |
| Names of Data Feed Providers | | | | | | | | : | |
|  | | | | | | | |  | |
| **QUESTIONS’ SECTION** | | | | | | | | | |
| **SECTION A (Applicable to all candidate Participants/Members)** | | | | | | | | | |
|  | | | | | | | | | |
| **A.1 Key Financial Data (from annual & semi-annual audited financial statements)** | | | | | | | | | |
| Fiscal Year: : | | | | | | | | | |
| Total Assets | | | | | | | | : | |
| Share Capital | | | | | | | | : | |
| Equity Capital | | | | | | | | : | |
| Total Liabilities | | | | | | | | : | |
| Turnover | | | | | | | | : | |
| Gross Profit | | | | | | | | : | |
| Net Profit (after tax) | | | | | | | | : | |
| Debt-to-Equity Ratio | | | | | | | | : | |
| Audit Firm | | | | | | | | : | |
|  | | | | | | | | | |
| **A.2 For Credit Institutions & Investment Firms: Data concerning Capital Adequacy** | | | | | | | | | |
| Capital Adequacy Ratio | | | | | | | | : | |
| Minimum Limit of the capital adequacy ratio | | | | | | | | : | |
| CET1 Ratio | | | | | | | | : | |
|  | | | | | | | |  | |
| **A.3 For Credit Institutions only: Liquidity Coverage Ratio (LCR)** | | | | | | | | | |
| LCR (%) | | | | | | | | : | |
| LCR Limit (%) | | | | | | | | : | |
|  | | | | | | | | | |
| **SECTION B (Applicable to all candidate Participants/Members)** | | | | | | | | | |
| B.1 Describe briefly, how will your firm achieve the required organizational and functional adequacy related to the requested Membership. Please describe or provide the relevant policies applied (Clearing & Risk Management, Trading, Default Procedures, Compliance, Internal Audit, etc.) | | | | | | | | | |
|  | | | | | | | | | |
| B.2 Has your company, or any BoD member been under investigation by the Competent Supervisory Authority or any other authority (e.g. competition, tax) during the last two years? If yes, describe briefly the results. | | | | | | | | | |
|  | | | | | | | | | |
| B.3 Are there any activities of your company outsourced? If yes, please describe. | | | | | | | | | |
|  | | | | | | | | | |
| B.4 Does your company have a Business Continuity Plan (BCP) in place? If yes, please describe. | | | | | | | | | |
|  | | | | | | | | | |
| B.5 Does your company have policies on the following? | | | | | | | | | |
| Know your Client  Anti-money laundering  Market abuse | | | | | | | | | |
| B.6 Does your company trade/clear OTC energy related products?  Please provide details. | | | | | | | | | |
|  | | | | | | | | | |
| B.7 What are the expected trading volumes for the following year in HEnEx? | | | | | | | | | |
| DAM  (MWh)  IDM  (MWh)  Derivatives  (MWh) | | | | | | | | | |
| Natural Gas  (MWh) | | | | | | | | | |
| B.8 What are the expected volume to be cleared for the following year by EnExClear? | | | | | | | | | |
| DAM/IDM  (MWh) | | | | | | | | | |
| Natural Gas  (MWh) | | | | | | | | | |
|  | | | | | | | | | |
| **SECTION C (Applicable to candidate Derivatives Market Makers)** | | | | | | | | | |
| C.1 Describe in detail how your Market Making Service by the relevant department is efficiently segregated from the other departments of your company. | | | | | | | | | |
|  | | | | | | | | | |
| C.2 Is there any function of the Market Making Service being outsourced? If yes, please describe thoroughly, which functions are being outsourced and the way in which they comply with the Rulebook[[5]](#footnote-6). | | | | | | | | | |
|  | | | | | | | | | |
|  | | | | | | | | | |
| **SECTION D (Applicable to candidate Natural Gas Trading Platform Liquidity Providers)** | | | | | | | | | |
| D.1 Is there any function of the Liquidity Provider Service being outsourced? If yes, please describe thoroughly, which functions are being outsourced and the way in which they comply with the Rulebook[[6]](#footnote-7). | | | | | | | | | |
|  | | | | | | | | | |

The Company undertakes the obligation to inform the respective natural persons about the processing of their personal data, by handing to them the information of Appendix I.

For the Company,   
(Name of Legal Representative, Position, Signature)



(Company Stamp)

**APPENDIX I**

**INFORMATION ON THE PROCESSING OF PERSONAL DATA FROM ENEX GROUP FOR CLIENTS’ DATA SUBJECTS FOR KYC PURPOSES**

A. PROVISION OF INFORMATION TO DATA SUBJECTS

EnEx Group, in its capacity as data controller, in accordance with the Regulation (EU) 2016/679 (GDPR), L. 4624/2019 and the other provisions of the Greek and European legislation on the protection of personal data, hereby provides information concerning the personal data processing of the natural persons in their capacity as BoD Chairman, CEO, Compliance Officer, Head of Trading, Head of Clearing and Shareholders with a share of 10% or more on EnEx Group clients (hereinafter “subjects”), in the way described below.

Ι. What kind of data do we collect?

a) Identification data such as name and current position in the client’s company

b) Contact details such as e-mail address and telephone number

c) Percentage of share capital in client for shareholders with a share of 10% or more

ΙΙ. Where do we collect your data from?

The aforementioned data are collected directly from the subject or the client that the subject is employee or shareholder.

ΙΙΙ. Why do we collect your data and how do we process them?

Personal data collected in the way described above, in accordance with the applicable legal and regulatory framework, are processed for conducting “know your client” procedures by EnEx Group.

The legal basis of the processing for this purpose is that the processing is necessary in the exercise of official authority and competences vested in EnEx Group.

IV. Who are the data recipients?

EnEx Group’s employees who are responsible for EnEx Group members’ support, who have been duly informed about the secure processing of your personal data.

In addition, recipients of your data are natural and legal persons to whom EnEx Group entrusts the performance of specific tasks on its behalf, such as, among others, system maintenance and technical support providers, software service providers and information security service providers (e.g., ATHEXGROUP’s companies that provide the necessary IT platforms and technical support services). These persons, acting as processors of personal data, have been informed and committed in advance to respect the confidentiality of your data, are aware of and follow our instructions regarding the processing of personal data and take all appropriate measures to protect them.

Furthermore, the recipients of your personal data may be, on a case-by-case basis supervisory, auditing, independent, judicial, public and/or other authorities and bodies within the scope of their statutory responsibilities, duties and powers, when the transfer to them is required by law or provided for by law.

V. Are the data transferred outside the European Economic Area (E.E.A.) or to international organizations?

EnEx Group does not transfer any personal data to any third country or international organization regarding this matter.

VI. For how long are the data retained?

The personal data will be stored by EnEx Group for the period of time necessary by law or for the fulfillment of the legal basis and their processing purpose, as well as for the necessary period of time required by the legal and/or regulatory framework in force or for the time required for EnEx Group to exercise its claims and defend its rights and legal interests.

VII. What rights do the subjects have for the protection of their data?

According to GDPR, the data subjects have the following rights:

a) To know, which personal data, concerning them, are being stored and processed by EnEx Group, as well as their source (right of access).

b) To request for the rectification and/or supplementation of these data, so as to be complete and accurate, by submitting any necessary document which shows the need for supplementation or rectification (right to rectification).

c) To request for the restriction of processing concerning their personal data (right to restriction of processing).

d) To deny and/ or object to any further processing of their personal data retained by EnEx Group (right to object).

e) To request for erasure of their personal data from EnEx Group’s records (right to be forgotten).

f) To request for the transfer of the data they have provided to EnEx Group to another controller (right to data portability).

EnEx Group has, in any case, the right to refuse the request, if the processing is necessary for the establishment, exercise or defense of EnEx Group’s rights or the fulfilment of its legal obligations.

VIIΙ. How can the subjects exercise their rights?

In order to exercise their rights, the subjects may address EnEx Group:

* In writing to: EnEx Group

110 Athinon Avenue, 104 42 Athens

c/o: Data Protection Officer

* Through email to EnEx Group’s Data Protection Officer to: [dataprotectionofficer@athexgroup.gr](mailto:dataprotectionofficer@athexgroup.gr)

EnEx Group shall use its best endeavors to address to subjects’ requests within thirty (30) days of its receipt. The abovementioned period may be prolonged for sixty (60) more days, if deemed necessary, taking into account the complexity of the issue and the number of the requests. EnEx Group shall inform the subjects within thirty (30) days after receipt of their request in any case of prolongation of the abovementioned period.

If EnEx Group does not take action in relation to subjects’ request, it shall inform the subject without delay and within thirty (30) days of the receipt of their request at the latest, for the reasons it did not take action and for the possibility of the subject to submit a complaint and open a judicial procedure.

ΙΧ. How are the subjects’ rights protected?

EnEx Group applies an information security management system to ensure the confidentiality and security of the subjects’ data processing procedure and to protect them against accidental or unlawful destruction, loss, alteration, unauthorized disclosure or access and any other form of unlawful processing.

Χ. Complaints’ submission

The subjects have the right to file a complaint with the Personal Data Protection Authority ([www.dpa.gr](http://www.dpa.gr)), which is the competent supervisory authority for the protection of the fundamental rights and freedoms of natural persons with regard to their processing, when they assume that their rights are infringed in any way.

B. CONTANT DETAILS

Ι. Data Controller

EnEx Group S.A.

Address: 110 Athinon Avenue, 104 42 Athens

Contact phone number: +30 210 33 66 800

# ΙΙ. Data Protection Officer

Address: 110 Athinon Avenue, 104 42 Athens

Email: [dataprotectionofficer@athexgroup.gr](mailto:dataprotectionofficer@athexgroup.gr)

1. Tax Identification Number [↑](#footnote-ref-2)
2. EIC Code is required for Energy Companies [↑](#footnote-ref-3)
3. ACER Code is required for Energy Companies [↑](#footnote-ref-4)
4. BIC Code is required for Credit Institutions & Investment Firms [↑](#footnote-ref-5)
5. Please provide your company’s outsourcing policy and risk management policy, according to case (2) par.1.2 of Decision 2: “Procedure for acquiring the Market Maker capacity and terms of market making in the Financial Energy Market (Derivatives Market) of HEnEx”. [↑](#footnote-ref-6)
6. Please provide your company’s outsourcing policy and risk management policy, according to case (2) par.1.2 of Decision 2: “Procedure for acquiring the Liquidity Provider and terms of market making in the Natural Gas Trading Platform of HEnEx”. [↑](#footnote-ref-7)