**Know Your Client (KYC) Form**

Date:Click or tap to enter a date.

To: **EnEx Admission Service**

110, Athinon Ave. 104 42 Athens, Greece

Tel: +30 210 33 66 548

E-mail: [admission@enexgroup.gr](mailto:admission@enexgroup.gr)

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **General Info** | | | | | | | |
| Company Name: | *(full trade name and distinctive title)* | | | | | | |
| Address: |  | | | | | | |
| Postal Code: |  | | | City – Country: | | | **-** |
| Tel: |  | | |  | | |  |
| E-mail: |  | | | | | | |
| VAT ID[[1]](#footnote-2): |  | | | Tax Office: | | |  |
| EIC Code[[2]](#footnote-3): |  | | | | | | |
| ACER Code[[3]](#footnote-4): |  | | | | | | |
| BIC Code[[4]](#footnote-5): |  | | | | | | |
| LEI Code: |  | | | Corporate sector**[[5]](#footnote-6)**: | | |  |
| No of GCR**[[6]](#footnote-7)**: |  | | | Issuance Date of GCR/Authority: | | |  |
| 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: | |  | | | | | |
|  | | | | | | | |
| **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)** |
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| Is your company a subsidiary (if yes please provide more information)? | | | | | | | : Choose an item. |
| Parent Company’s Trade Name | | | | | | | : |
| Parent Company’s VAT ID | | | | | | | : |
| Parent Company’s Seat (Country) | | | | | | | : |
|  | | | | | | | |
| **Company’s Capacities** | | | | | | | |
| Power Spot Markets | | | Producer  Supplier  Trader  RES & High Efficiency CHP Producer  RES Aggregator  RES Producer  Demand Response Aggregator  Other | | | | |
| IPTO’s Balancing Market | | | Balancing Responsible Party  Balancing Service Provider | | | | |
| Derivatives Market Trading | | | Choose an item. | | | | |
| Natural Gas Trading Platform | | | Transmission User  Liquidity provider  Trading-only Participant  Other | | | | |
| Membership to Exchanges | | |  | | | | |
| (If yes, please state which) | | |  | | | | |
| Membership to Clearing Houses | | |  | | | | |
| (If yes, please state which) | | |  | | | | |
|  | | | | | | |  |
| **QUESTIONS’ SECTION** | | | | | | | |
| ***SECTION A (Applicable only to candidate Clearing Members)*** | | | | | | | |
| **A.1 Key Financial Data (from annual or semi-annual audited financial statements)**  *please state the currency in the amounts* | | | | | | | |
| Fiscal Year : | | | | | | | |
| Total Assets | | | | | | | : |
| Share Capital | | | | | | | : |
| Equity Capital | | | | | | | : |
| Total Liabilities | | | | | | | : |
| Audit Firm | | | | | | | : |
| **A.2 For Credit Institutions only: Capital Adequacy & Liquidity Coverage Ratio (LCR)** | | | | | | | |
| Capital Adequacy Ratio | | | | | | | : |
| Minimum Limit of the capital adequacy ratio | | | | | | | : |
| CET1 Ratio | | | | | | | : |
| LCR (%) | | | | | | | : |
| LCR Limit (%) | | | | | | | : |
| ***SECTION B (Applicable to all candidate Participants/Members)*** | | | | | | | |
| B.1 Describe briefly, how will your company achieve the required organizational and functional adequacy related to the requested Membership. Please describe orprovide the relevant documents applied (Organization Chart, Trading, Clearing & Risk Management procedures, Policies, 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? Choose an item.  If yes, describe briefly the results. | | | | | | | |
|  | | | | | | | |
| B.3 Are there any activities of your company outsourced? Choose an item.  If yes, please describe. | | | | | | | |
|  | | | | | | | |
| B.4 Does your company have a Business Continuity Plan (BCP) in place? Choose an item.  If yes, please describe or provide any supporting docs. | | | | | | | |
|  | | | | | | | |
| B.5 Does your company have policies on the following? | | | | | | | |
| Know your Client  Anti-money laundering  Market abuse  VAT Fraud  Segregation of trades conducted by a Trading-only Participant and trades conducted by the Transmission User in its capacity as Participant to the HEnEx markets, where applicable. | | | | | | | |
| B.6 Does your company trade/clear OTC energy related products? Choose an item.  If yes, please provide details. | | | | | | | |
| B.7 Applicable to Credit Institutions & Investment Firms: Do you maintain accounts for not identified customers (anonymous accounts)? Choose an item. | | | | | | | |
| B.8 Has your company or its officials and/or beneficial owners been subject to restrictive measures by any competent international, European or national authority? Choose an item.  In case of negative answer to this question, are there data regarding your company or its officials and/or beneficial owners that could, to the best of your knowledge, lead to such measures in the foreseeable future? Choose an item. | | | | | | | |
| B.9 What are the expected trading volumes for the following year in HEnEx? | | | | | | | |
| DAM  (MWh)  IDM  (MWh)  Derivatives  (MWh) | | | | | | | |
| Natural Gas  (MWh) | | | | | | | |
| B.10 What are the expected volume to be cleared for the following year by EnExClear? | | | | | | | |
| DAM/IDM  (MWh) | | | | | | | |
| Natural Gas  (MWh) | | | | | | | |

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)



**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 (<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. VAT 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. The available options of Member’s Corporate Sector are ***E***= Energy company, ***C***= Credit institution authorized in accordance with Directive 2006/48/EC, or ***F*** = Investment firm in accordance with Directive 2004/39/EC. [↑](#footnote-ref-6)
6. GCR stands for the General Commercial Registry. [↑](#footnote-ref-7)