

› eex group

Appendix for **Gas**
to the EEX Group KYC
(Know-Your-Customer)
Questionnaire

01.09.2021
Release 007

- only required as scan -

1. Your trading profile

1.1 Please state on which market segments your company is or wants to become active?

Spot Market	Futures Market
<input type="checkbox"/> CEGH	<input type="checkbox"/> CEGH
<input type="checkbox"/> ETF	<input type="checkbox"/> ETF
<input type="checkbox"/> THE	<input type="checkbox"/> THE
<input type="checkbox"/> NBP	<input type="checkbox"/> NBP
<input type="checkbox"/> CZ VTP	<input type="checkbox"/> CZ VTP
<input type="checkbox"/> PEG	<input type="checkbox"/> PEG
<input type="checkbox"/> TTF	<input type="checkbox"/> PSV
<input type="checkbox"/> ZEE	<input type="checkbox"/> TTF
<input type="checkbox"/> ZTP	<input type="checkbox"/> ZEE
<input type="checkbox"/> PVB	<input type="checkbox"/> ZTP
	<input type="checkbox"/> PVB
	<input type="checkbox"/> JKM (Liquid Natural Gas)
	<input type="checkbox"/> EGSI (Financial Natural Gas)

1.2 Please provide detailed explanation and justification why your company is or wants to be a member of our markets?

1.3 What is/will be your activity?

Occasional	Seasonal	Permanent
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

1.4 What are your expectations on your gas trading volume?

	Gas Spot		Gas Futures	
	Exchange A	Exchange B	Exchange A	Exchange B
Exchange name				
Annual volume in MWh				
Monthly volume in MWh				

1.5 Who are your company's 5 main counterparties on the OTC markets?

GAS	Legal Name of the Counterparties	Since when

If you are not active on the OTC power, gas and capacity guarantees markets please tick:

☐ No

1.6 Does your company have physical assets in gas (gas sourcing contacts, storage, LNG terminals access, interconnection capacity)?

☐ Yes ☐ No

If yes, please describe:

1.7 Does your company physically supply end customers

on the wholesale segment? ☐ Yes ☐ No

on the retail segment? ☐ Yes ☐ No

1.8 Does your company have its own gas shipper agreements?

☐ Yes ☐ No

Please provide the following details about these shipper agreements.

GAS	Balance agreements(s)			Contract since
	Name of the TSO	Own agreement	Third-Party agreement (name of the owner)	
		<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	

2. Your capability to intervene

- 2.1 REMIT Implementing Acts entered into force in January 2015 and trigger market monitoring at European level by ACER. Market participants have to register with one National Regulatory Authority (NRA) prior to entering into transactions in the European Union which are required to be reported under the Implementing Acts. For detailed information of the process, please consult the website of the NRA in the country where your company is located or active if out of the European Union.

If relevant, did your company already start the registration process (pursuant to article 9.1. of REMIT Regulation n°1227/2011)?

☐ Yes ☐ No

If relevant, did your company already get your ACER registration code (mentioned by article 10.2. of REMIT's Implementing Regulation n° 1348/2014)?

☐ Yes, code: ☐ No

- 2.2 Who are the professional gas traders working for your company?

Name, First name	Date of birth	Full time		Employed by another firm (which?)	Experience on trading systems (which?)
		<input type="checkbox"/> Yes	<input type="checkbox"/> No		
		<input type="checkbox"/> Yes	<input type="checkbox"/> No		
		<input type="checkbox"/> Yes	<input type="checkbox"/> No		
		<input type="checkbox"/> Yes	<input type="checkbox"/> No		
		<input type="checkbox"/> Yes	<input type="checkbox"/> No		
		<input type="checkbox"/> Yes	<input type="checkbox"/> No		
		<input type="checkbox"/> Yes	<input type="checkbox"/> No		

2.3 What are your internal facilities dedicated to gas trading?

Gas dedicated Facilities	Details
IT solutions / resources / systems / premises	
Backup solutions	
Dedicated Trading floor / size	
Other	

Signature(s)

We recognize that the companies being part of the EEX Group are obliged to implement measures against money laundering, financing of terrorist activities and fraud (e.g. VAT tax fraud) and that the information in this questionnaire is used to fulfill regulatory requirements. We authorize the companies being part of the EEX Group to use the information given in this questionnaire internally and to exchange information in this questionnaire with the partner exchanges within the Group where the applicant is admitted for trading or has applied for admission.

We declare in good faith that all information, answers and documents provided with this questionnaire are exact and authentic. We have omitted no important information that could have impact on the judgment made about our request for admission. We accept to answer to any other question you might have in the future to comply with your legal obligations.

DATA PROTECTION DECLARATION

The undersigned assures that he has fully informed the contact persons named in connection with the contract, the exchange membership relationship or other legal relationships about the transfer of their personal data and that he has brought to their attention the DATA PROTECTION DECLARATION which can be found on our company websites

Place	Date	Company stamp and legally binding signature(s) of the company Signature(s): Name(s) in capital letters: _____
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