



## Customer

In the framework of our due diligence process required for becoming a shipper, please fill in this form and return this form and its annex together with the mandatory supporting documents.

## Mandatory supporting documents

Please provide (a translation version in English, French or German, if the original version is not in one of the before-mentioned language) the following documents:

1. The latest commercial registry extract, not older than 3 months.
2. The latest articles of association of the Company.
3. Rating by a recognised rating agency (Standard & Poor's, Moody's, Fitch) if available  
Please paste link here if applicable:
4. In case the Company doesn't hold a sufficient rating by a recognised rating agency in the framework of the creditworthiness requirements of the Balancing Agreement, the statutory and consolidated financial statements of the last 3 fiscal years, including management and auditor's report. If the Company is younger, please provide all available audited annual financial statements and the opening balance of the Company and in case of an existing Parent Company, also include the latter's financial statements of the last three fiscal years (including management and auditor reports).
5. If not already included in the financial statements, a memo describing Company activities. Alternatively, please complete the Main Business field in the Company Profile section below.
6. The Powers of Attorney (PoA), or delegation of Powers (DoP) of the person who will sign this KYC form and a copy of his/her passport or ID. If the person who will sign the contract is different, please also include a copy of his/her passport.
7. The structure chart up to and including the Ultimate Parent level as well as the direct and indirect beneficial owners with minimum of 25% aggregate ownership or comparable control rights, including all the Ultimate Beneficial Owner(s). Alternatively, please complete the Ownership section of this form.
8. The Company's Code of Ethics, the Company's Anti- Bribery & Anti-Corruption policy (ABAC), and the Company's Anti-Money Laundering (AML) and Counter-Terrorist Financing (CTF) policy. If the Company has not such policies, please provide a sworn statement in which the Company states that the Company does not tolerate or engage in any form of corruption, bribery, money laundering or terrorist financing and countersigned by a recognised auditor  
Please paste link here if applicable:
9. Proof of VAT (Value Added Tax) registration, if applicable, being a VAT registration certificate, not older than three months or a link to the official Government website or European Commission website  
Please paste link here if applicable:

## Company profile

In order to analyse your application, please answer thoroughly and complete all the following questions according to Commercial Registry (questions must be answered for the applicant Company only – not its group or shareholder).

1	Company legal name	
2	Company registered office address including country	
3	General Company postal address if different	
4	General Company phone including country code	
5	General Company email	
6	Website	
7	Company incorporated under the laws of	
8	Date of incorporation	
9	City of registration	
10	Registration number	
11	LEI <sup>1</sup>	
12	EIC number <sup>2</sup>	
13	Requested shipper code <sup>3</sup>	
14	If applicable VAT number/TIN/DUNS <sup>4</sup> (US only) in country of establishment	
15	VAT numbers of relevant Company local branches if applicable (please specify the countries)	
16	Main bank name	
17	Main bank address including country	
18	Account number	
19	IBAN number	

<sup>1</sup> LEI being Legal Entity Identifier

<sup>2</sup> EIC being Energy Identification Code, in case the Company has no EIC number yet, it can be issued by Fluxys Belgium – shareholder of Balansys - via filling in a form on this [website](#)

<sup>3</sup> If applicable/ available, the requested shipper code that the customer already has with another TSO (as short as possible, 3-12 characters, no numbers or special characters and capital letters only) may be used. If requested shipper code is already used by another shipper, you will be informed by Balansys to agree on an alternative shipper code

<sup>4</sup> TIN being Taxpayer Identification Number and DUNS being Data Universal Numbering System

Balansys KYC Form

20	BIC code <sup>5</sup>	
21	Number of employees	
22	Names of the Company's Managing Director(s)/ CEO	
23	Please describe the core business activities of the Company <sup>6</sup>	
24	Countries in which your Company is active	

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<sup>5</sup> BIC stands for Business Identifier Code, this is a unique code consisting of either 8 or 11 alphanumeric characters, and all banks and financial institutions are assigned one

<sup>6</sup> Not necessary if this information is already provided as a supporting document

## Identity

Which category does your Company belong to (multiple possible answers)

1.  Majority of shares publicly- /state- / municipally owned (>50%) or 100% subsidiary of such a company
2.  Exchange listed / exchange traded corporation or 100% subsidiary of such a company
3.  Private company

## Ownership

Not necessary if this information is already provided in the supporting documents.

NB: Please ensure that you include all the Ultimate Beneficial Owner(s)<sup>7</sup>, who is (are) a natural person(s) unless the Company is stock listed on an exchange, or under the supervision of a supervisory authority, or is a public authority.

1. Who are your direct shareholders/owners, owning more than 25% of your Company?

Company/First Name and Surname	Role/position (within the Company if applicable)	Country of domiciliation	Share (in %)

2. Who are your indirect shareholders, owning more than 25% of your Company?

Company/First Name and Surname	Role/position (within the Company if applicable)	Country of domiciliation	Share (in %)

<sup>7</sup> Ultimate Beneficial Owners (UBO) means:

Category 1: The natural person(s) shareholder(s) who own more than 25% of the shares or the voting rights.

Category 2: The natural person(s) who do(es) not own 25% of the shares or the voting rights, but has/have control over the governance of the corporate entity by any other means (e.g. majority of voting rights; power of control; power to appoint the majority of directors)

Category 3: If, after having exhausted all possible means and provided there are no grounds for suspicion, no person under Category 1 or 2 is identified, or if there is any doubt that the person(s) identified are the beneficial owner(s), the natural person(s) who hold(s) the position of senior managing official(s).

## Ethical Standards

The Company declares that the following facts are accurate:

1. The Company applies a level of ethical behaviour and has developed ethical programs and safeguards.  
Yes      No
2. The Company, its directors, employees, consultants, third-party service providers, agents, and other persons acting on behalf of your Company, act in compliance with the Company's existing ABAC, AML, CTF and other applicable policies, including applicable laws and regulations.  
Yes      No
3. In the past three years, none of the Company or its directors, employees, consultants, third-party service providers, agents, and other persons acting on behalf of the Company, is or has been the subject of any investigation, inquiry or enforcement proceedings by any governmental authority regarding any offense or alleged offense under any ABAC, AML, CTF laws, and no such investigation, inquiry, or proceedings have been threatened, or are pending and there are no circumstances likely to give rise to any such investigation, inquiry or proceedings.  
Yes      No
4. The Company regularly trains or educates its staff members working in departments responsible for compliance with the relevant ABAC, AML, CTF or KYC requirements about measures/processes and (if applicable) regulatory requirements.  
Yes      No
5. The Company is located in a [high risk third country](#)<sup>8</sup> in the framework of anti-money laundering and countering the financing of terrorism.  
Yes      No

If yes, please provide a signed declaration in which the Company states that the Company does not tolerate or engage in any form of corruption, bribery, money laundering or terrorist financing. The declaration - not older than three months - should be signed by a person listed in the Powers of Attorney (PoA) or Delegation of Powers (DoP) of the Company and countersigned by a recognised auditor.

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<sup>8</sup> Based on Directive (EU) 2015/849, Article 9, the Commission is mandated to identify high-risk third countries having strategic deficiencies in their regime on anti-money laundering and countering the financing of terrorism. According to this Directive, banks and other gatekeepers are required to apply enhanced vigilance in business relationships and transactions involving high-risk third countries. Companies located in countries considered as a high risk third country will only be able to foresee a sufficient rating or a bank guarantee in the framework of the creditworthiness requirements which are due in the framework of the execution of their Balancing Agreement with Balansys.

## Your trading profile and capability to intervene

1. Please state on which market segments your Company is or wants to become active?

Spot Market	Active	Interest	Futures Market	Active	Interest
CEGH	<input type="checkbox"/>	<input type="checkbox"/>	CEGH	<input type="checkbox"/>	<input type="checkbox"/>
ETF	<input type="checkbox"/>	<input type="checkbox"/>	ETF	<input type="checkbox"/>	<input type="checkbox"/>
THE	<input type="checkbox"/>	<input type="checkbox"/>	THE	<input type="checkbox"/>	<input type="checkbox"/>
NBP	<input type="checkbox"/>	<input type="checkbox"/>	NBP	<input type="checkbox"/>	<input type="checkbox"/>
NCG	<input type="checkbox"/>	<input type="checkbox"/>	NCG	<input type="checkbox"/>	<input type="checkbox"/>
OTE	<input type="checkbox"/>	<input type="checkbox"/>	OTE	<input type="checkbox"/>	<input type="checkbox"/>
PEG	<input type="checkbox"/>	<input type="checkbox"/>	PEG	<input type="checkbox"/>	<input type="checkbox"/>
PSV	<input type="checkbox"/>	<input type="checkbox"/>	PSV	<input type="checkbox"/>	<input type="checkbox"/>
TTF	<input type="checkbox"/>	<input type="checkbox"/>	TTF	<input type="checkbox"/>	<input type="checkbox"/>
ZTP	<input type="checkbox"/>	<input type="checkbox"/>	ZTP	<input type="checkbox"/>	<input type="checkbox"/>
PVB	<input type="checkbox"/>	<input type="checkbox"/>	PVB	<input type="checkbox"/>	<input type="checkbox"/>
Turkish Market	<input type="checkbox"/>	<input type="checkbox"/>	JKM (Liquid Natural Gas)	<input type="checkbox"/>	<input type="checkbox"/>
Slovak Market	<input type="checkbox"/>	<input type="checkbox"/>	Henry Hub	<input type="checkbox"/>	<input type="checkbox"/>
Henry Hub	<input type="checkbox"/>	<input type="checkbox"/>			

If your Company is already admitted/registered on at least one Regulated Market/Exchange, please provide the following details for each admission/registration:

Regulated Market/Exchange	Start date	Type			
		<input type="checkbox"/>	Directly registered	<input type="checkbox"/>	Via
		<input type="checkbox"/>	Directly registered	<input type="checkbox"/>	Via
		<input type="checkbox"/>	Directly registered	<input type="checkbox"/>	Via
		<input type="checkbox"/>	Directly registered	<input type="checkbox"/>	Via

2. Does your Company trade on other markets (e.g. Multilateral Trade Facility [MTF], Organized Trading Facility [OTF], Over-the-Counter [OTC]) beside the regulated market places/exchanges stated in the answer to the question above?

Yes  No

If yes, please provide the following details:

Market	Start date

3. Does your Company trade on its own account exclusively?

Yes  No

If no, on who's account does your Company trade in addition to its own?

.....  
 .....

4. Do your traders have adequate qualification/experience for trading energy/energy related products (e.g. trader certification/admission to exchanges/other markets)?

Yes  No

5. Does your Company physically supply end customers on the retail segment?

If yes, in which European countries?

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6. 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	

7. Is your Company considered as a market participant that enters into transactions which need to be reported to ACER (CEREMP platform) and has your Company fulfilled its registration obligation with the relevant National Regulatory Authority (NRA) to make such reporting possible?

Yes       No

8. Is your Company a company which requires a license to sell gas to end consumers and has this been given by the relevant Regulatory Authority?

Yes       No

If No, please provide the details why not:

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## Signature(s)

We authorize Balansys and its affiliated companies<sup>9</sup> to use the information given in this form (including annex and supporting document(s) for internal purposes only.

We declare in good faith that all information, answers and documents provided with this form are exact, accurate and authentic. We have omitted no information that could have an impact on the judgment you will make about our request for admission.

Place	Date	Legally binding signature(s) of the Company	
		Signature	
		First Name and Surname	
		Position	
		Signature	
		First Name and Surname	
		Position	
		Signature	
		First Name and Surname	
		Position	
		Signature	
		First Name and Surname	
		Position	

<sup>15</sup> Fluxys Belgium SA and Creos Luxembourg SA, and any other current and future Balansys affiliated companies