

USER GUIDE TO COMPLETING THE RISK KYC QUESTIONNAIRE

Updated on 15 September 2016

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I. GENERAL INFORMATION

1. RISK KYC Questionnaire (KYC=Know Your Customer)

In order to ensure an efficient cooperation, KELER CCP Central Counterparty Ltd. (hereinafter: KELER CCP Ltd.) wishes to have thorough information on its existing and potential clients. To this end, the Risk Know Your Customer Questionnaire (hereinafter: Questionnaire) is introduced.

2. Purpose, content of Questionnaire

In line with the General Business Rules of KELER CCP Ltd. and the relevant Announcement, the Questionnaire is required to be completed in line with the annual reporting obligation, and for new clients (gas market clearing membership and energy market non-clearing membership) it is one of the conditions of admission. In the Questionnaire you are required to provide information on your company that are necessary for KELER CCP Ltd. for risk management purposes.

3. Availability of applicable regulation, announcement

The General Business Rules of KELER CCP Ltd. with effective date 2 May 2016 govern the completion of the Risk KYC Questionnaire as follows:

- Please refer to Points 3.5.3. and 9.5.3. of the valid KELER CCP Ltd. General Business Rules for more details on the reporting obligation.
- If you complete the Questionnaire as part of the admission process, the data of the annual report herein submitted form part of the shareholders' equity analysis that is covered in detail in Points 3.3.1.5. and 9.3.1.

[General Business Rules](#)

[Announcement](#)

4. Security

Please make sure that the new password you select to enter the webpage where the KYC Questionnaire can be completed is secured (difficult to decipher for others). The secured password is at least 8 characters in length, and contains a minimum of one number, one lower case letter, one upper case letter and one special character.

Please do remember the password to complete the Questionnaire but do not write it down, do not let anyone see your password and do not store it electronically.

There is a session timeout set to complete the Questionnaire - that is to say if the user does not work on the Questionnaire for more than 15 minutes, the user will get logged out automatically. Please do not leave your computer without supervision while working on the KYC Questionnaire.

II. REGISTRATION TO COMPLETE THE QUESTIONNAIRE

1. Enter e-mail address – register the person completing the Questionnaire

Existing or future clients can access the Questionnaire after KELER CCP Ltd. approves their registration. Thus, **in order to complete your registration, you are kindly requested to send the vCard (name, e-mail address, phone number, position) of your colleague completing the Questionnaire** to the following e-mail address: KYC@kelerkszf.hu.

2. Registration process

- Existing and potential clients send the e-mail to be registered by returning the completed attached form.
- KELER CCP Ltd. administrator registers the e-mail address on the www.kelerkszf.hu website.
- The registration notice is forwarded to the e-mail address stated by the partner, to the person completing the Questionnaire. This person needs to click the link in the e-mail received to confirm registration, and needs to change the password.
- Please check your spam folder also, as the registration e-mail with the link may get diverted to the spam folder.
- **Please note that the registration link is valid for 72 hours from the time of sending. If you cannot register in this period of 72 hours, please inform us at the following e-mail address KYC@kelerkszf.hu, and we will resend the registration link.**
- The KYC Questionnaire is available at:
 - <https://english.kelerkszf.hu/Risk-KYC-Questionnaire>
- Login to complete the KYC Questionnaire:
 - User name: the already registered e-mail address, it will not change.
 - Password: the password generated during registration. The password must be at least 8 characters in length, and must contain a minimum of one lower case letter, one upper case letter, one number and one special character.
 - Password modification: the first password is provided automatically, by clicking the link in the registration e-mail. On the website to complete the Questionnaire, the password can be modified in the My Profile menu item in the upper menu bar.
 - Forgotten password: click the “Forgotten Password” link on the login page.
- Exiting the Questionnaire:
 - If the Questionnaire is not yet completed, click the “Save and Quit” button to exit.
 - If the Questionnaire is completed, click the “Finalize” button. (In order to ensure that the Questionnaire contains all the details requested, the user will be warned if any information is missing, see [III/5.](#) and [Chapter 6](#)). Once the Questionnaire is finalized, the user can view and print the completed Questionnaire.

The “Logout” button can be found in the “My Profile” menu item in the upper menu bar.

III. TIPS TO COMPLETE THE QUESTIONNAIRE

1. How long does it take to complete the Questionnaire?

If the user has all the information requested, it takes not more than 30 minutes to complete the Questionnaire. If information needs to be collected to respond to a question, completing the Questionnaire will take longer.


2. What type of questions does the KYC Questionnaire contain?

The questions are divided into four major groups:

Company information, Corporate Profile, Attributes of trading and Financials.

The Questionnaire can be completed in English and Hungarian.

Use of Help:

Help is highlighted with the icon  next to some of the questions; it assists in interpreting the questions and in completing the fields correctly. **Please read Help for each question and make sure you respond accordingly.**

3. Who should complete the Questionnaire?

Only the registered user can complete the Questionnaire, **and only one authorization to complete the Questionnaire is offered to each company.** Therefore, only the registered user can complete the Questionnaire, and the details of the registered user will be shown as the details of the person completing the Questionnaire when it is finalized.

The registered user/person completing the Questionnaire is recommended to consult in advance a responsible manager, colleague that has the information required. Additionally, it is reasonable to reach management consensus related to the questions concerning areas other than statistics, and respond according to the consensus reached.

4. How to complete the Questionnaire?

Questionnaire review:

Please review/read the Questionnaire before starting to complete it and highlight the questions related to which information, data, files need to be collected.

Questionnaire completion suspension:

In order to collect the necessary information, completing the Questionnaire can be suspended by clicking the “Save” and “Save and Quit” button.

Responding to the questions:

Regarding most of the questions, the user can select the response from fixed response options. The switch next to the response option can be selected by clicking it. There are two different types of switches, free text responses and file uploads as follows:

- KELER code:

As a client of KELER CCP Ltd., your company has a KELER code that is e-mailed to the user assigned to complete the Questionnaire. The KELER code needs to be entered into the appropriate response field to help client identification.

- Radio buttons:

- Igen There is a radio button next to the most frequent question type; for these questions
- Nem only one response can be selected.

- Checkboxes:
 - In this case one or several responses can be selected.
- Free text response:

In line with the Help information, the user requires to form sentences to respond to the question.
- Number fields:

There are some fields where only numbers can be entered, e.g. phone number, figures. Therefore, please do read the Help instructions.
- File uploads

Some responses must include uploaded files. Please upload files in line with the Help instructions. The size of the file to be uploaded cannot exceed 10 Mb, supported file types are as follows: doc, docx, xls, xlsx, pdf, jpg, tiff, bmp, zip.
- Virus scanning:

Uploaded files are scanned for viruses for security reasons. Virus scanning can take up to 5 minutes, depending on the size of the file. The user can work on the Questionnaire during virus scanning.

If the file is free of viruses, there is a green tick shown. If the file is infected, a red exclamation mark is shown. If the file is infected, a new, virus free file needs to be uploaded to be able to close the Questionnaire.

5. How to save data in the Questionnaire?

Save button:

Click the „Save” button to save already entered responses, data, and file uploads. Data, responses, files can be modified after saving.

Save, Quit button:

Click the „Save, Quit” button to save the Questionnaire as it is and to exit the Risk KYC Questionnaire application. The user needs to login again to be able to work on the Questionnaire.

Completing and finalizing fields:

If the „Finalize” button is clicked, but a mandatory field is not completed, the question concerned will be highlighted in red. The user can finalize the Questionnaire if the highlighted question is answered.

6. How to close, finalize the Questionnaire?

Finalize

Click the “Finalize” button to close the Questionnaire. From this point on, the Questionnaire cannot be modified, it is finalized and closed and the user can no longer modify or edit responses.


The Questionnaire can be finalized if all the questions are answered. If there are questions without responses and the “Finalize” button is clicked, the questions without responses will be highlighted in red boxes and need to be answered to be able to close the Questionnaire.

Once finalized, the Questionnaire completed can be viewed and printed. The Questionnaire is time stamped at the time of finalization (date and time when finalized), including the details of the user completing it (user name, e-mail address). As our partners need to complete the Questionnaire annually for counterparty rating purposes, the completed Questionnaire will be available for about 1 year.

How to reopen the finalized Questionnaire for editing?

The Questionnaire cannot be opened for editing if it is closed. If you realize after finalizing the Questionnaire that incorrect response or data was provided or incorrect files were uploaded, please inform us at the following e-mail address KYC@kelerkszf.hu and the Questionnaire will be reopened for you. Please note that in this case the data provided earlier **will be lost, you need to register again and the Questionnaire needs to be completed again.**

How to get assistance?

Should any issue arise related to completing the Questionnaire, please check the Guide and the Help first. If these options do not help in resolving the issue, please click the  envelope icon in the upper right corner of the Questionnaire to send us your questions to the e-mail address stated or to KYC@kelerkszf.hu.

IV. MANAGEMENT AND PROTECTION OF PERSONAL DATA

In line with the provisions of Act CXX of 2001 (hereinafter: Tpt.), KELER CCP Ltd. can manage personal data related to the tasks regulated in the Tpt. that KELER CCP Ltd. performs, for the transactions related to which it acts as central counterparty. Based on the Tpt., in order to perform the tasks therein regulated, the central securities depository (KELER Central Depository Ltd.) and the central counterparty (KELER CCP Ltd.) are entitled, without any separate authorization, to transfer to one another the personal data managed in line with the above.

In line with Act CXII of 2011 on the Right of Informational Self-Determination and Freedom of Information (hereinafter: Info tv.), related to the management of the personal data provided in response to this Questionnaire of KELER CCP Ltd., the parties concerned have the right to:

- request information on the management of data,
- request the correction of personal data,
- request the blocking or deletion of personal data.

Related to the management of personal data, in the case of infringement of their rights, the parties concerned can take the case to court or the Hungarian authority of data protection, in line with the provisions of the Hungarian Civil Code. (Anyone can request an investigation by the Hungarian data protection authority by reporting the infringement of rights or the imminent risk of such infringement related to the management of personal data.) The detailed provisions of legal remedy are included in Act V of 2013 on the Civil Code and the Hungarian civil procedural law if the case is taken to court, or in the Info tv. if the case is taken to the Hungarian data protection authority.

KELER CCP Ltd. reserves the right to change the content of this Questionnaire in full or in part, any time, without any restrictions, subject to the applicable legal requirements. By completing the Questionnaire you acknowledge and accept to be bound by the above terms and state that the data, information you provide are true.