

KYC questionnaire for capital market

Privacy policy

In order to ensure efficient cooperation, KELER CCP Central Counterparty Ltd. (hereinafter: KELER CCP) would like to know and understand its existing and future clients better. On this basis, the Risk Know Your Customer Questionnaire (hereinafter: Questionnaire) is introduced.

In line with the General Business Rules and the applicable Announcements of KELER CCP, filling out the Questionnaire forms part of the mandatory annual reporting obligation, and in the case of new clients it is one of the entry terms. The Questionnaire requests information related to your company that KELER CCP needs in order to have as comprehensive information as possible for risk management purposes.

Please note that some of the questions in the Questionnaire require documents to be attached/sent. Please make sure that the attachment is in Hungarian or English. If documents in other languages are attached, additional questions may be asked in order to obtain information.

Processing 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 connection with the personal data provided in The Questionnaire, KELER CCP Ltd. is acting fully in line with the Act CXII of 2011 on the Right of Informational Self-Determination and Freedom of Information (hereinafter: Infotv.) and in line with the Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC (GDPR). The detailed information can be found in the General Business Rules and in the Privacy Policy, which are available on the public website of KELER CCP Ltd.

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 we acknowledge and accept the above terms and conditions and comply with them, we declare that the consent to personal data handling is given, the provided data, information are complete and correct.

Date:

Signature:

I. Company information

1. Please provide the following information about your company:

Is your company already a clearing member of KELER CCP?

Yes

No

Company name:

Help: Full business name.

Short company name:

Help: Short business name.

Place of registration:

Time of registration:

Help: Please enter the date in this format YYYY/MM/DD.

Registered office:

Country:

ZIP code:

City:

Street name:

Help: Please state the street suffix, e.g. road, street, square, lane, etc.

Street number:

TAX number (EU or local TAX number):

EU TAX number:

If the company does not have EU Tax number, please state the local Tax number:

LEI code:

Help: Legal Entity Identifier. If the company does not have LEI code, please leave the field blank. For more details on LEI application, please visit the following [link](#).

2. Does your company have a website?

- Yes. / If yes, please provide the link of your website.

Website name:

- No.

Help: If the company is part of a group of companies and does not have a website of its own, please state the name of the website of the group.

3. Please select the group into which your company falls:

- Listed company
- Company with more than 50% direct or indirect state ownership
- Subject to AML rules (or 100% owned subsidiary of a company that is subject to AML rules)

Help: Anti-Money Laundering Legislation.

- None of the above.

4. Please attach the detailed ownership structure of the company, including shareholding percentages (direct or indirect holdings, share of ownership).

Help: Please attach the ownership structure file to the email, in which you send the completed KYC questionnaire back to KELER CCP. The format of the attached document can be: doc, docx, pdf, xls, xlsx, jpeg, bmp.

II. Corporate profile and attributes of trading

1. Is the company a financial institution according to 575/2013 EU regulation?

Yes

No

2. Please attach the organizational chart of the company.

Help: Please attach the organizational chart file to the email, in which you send the completed KYC questionnaire back to KELER CCP. The format of the attached document can be: doc, docx, pdf, xls, xlsx, jpeg, bmp.

3. Has your company been part of a merger or division or has the ownership of your company changed during the last business year?

Yes / If yes, please detail the changes!

No

4. Please state the number of employees of the company at the end of the latest business year!

Number of Employees:

5. Please list, of which central counterparties' clearing member you are.

6. ESMA (European Securities and Markets Authority) obligates central counterparties to take credit exposures against clearing members into consideration in the requirements for clearing members and during the assessment of clearing members, based on data provided by the clearing members, namely the extent of those losses that the clearing members might suffer due to losing the pre-funded and non-pre-funded resources as being a clearing member of other central counterparties.

The total exposure of the clearing member towards central counterparties on 31th December of the latest closed business year.	
Please state the currency (EUR, USD etc.)	
Pre-funded resources (e.g.contribution to default fund)	Non-pre-funded resources (pl.: assessment powers committed)

7. Based on CPMI-IOSCO Resilience and recovery of CCPs 2.2.13. article, please state about the followings: Is your company able to forecast and manage the potential changes stemming from market stress situations (e.g.: margin calls, depositing additional collateral, default losses etc.)?

- Yes
- No

8. Does your company trade on behalf of clients?

- No
- Yes / If yes, please state the estimated share of brokering activity in total trading turnover (expressed in %).

9. Please confirm if your company was fined by the competent authorities in the past 3 years.

- No.
- Yes. / In the following table, please state the name of the authority that levied the fine, the amount and currency of the fine.

Name of authority imposing the fine	Amount of fine imposed	Currency of fine imposed

III. Operational capacities

1. Please fill in the table below!

Topic	Department responsible for data services towards KELER CCP (quarterly balance sheet and profit and loss statement, annual reporting obligation, KYC)	
Corresponding department name		
Contact name		
Contact position		
Availability (email address/ phone number)		
Topic	Department responsible for risk management in relation with clearing member activity	
Corresponding department name		
Contact name		
Contact position		
Availability (email address/ phone number)		
Topic	Department responsible for accomplishing margin requirements	
Corresponding department name		
Contact name		
Contact position		
Availability (email address/ phone number)		

2. Please describe the solutions of the company which are dedicated to ensure the trading activity.

	Please, describe in some sentences
IT systems/ resources	
Backup solutions	
Business continuity planning	
Dedicated trading department	
Risk management department	
Backoffice department	

3. Please describe the counterparty risk management tools of your company related to OTC trading (if any).

4. Above the requested collaterals imposed by KELER CCP, do you require additional collaterals from your non-clearing members/client?

Yes / If yes, please describe the method of setting the required amount.

No

5. Does your company forward the obligation of the contribution to the default fund required by KELER CCP to your non-clearing members/clients?

Yes

No

6. Please describe how you limit the trading activity of your non-clearing members /clients (for example application of trading limits).

7. If your company has a parent company, is it able to financially support its subsidiaries in case of liquidity issues?

Yes

No

8. Has your company suffered any losses because of your trading partner's default in the last 12 months?

Yes / If yes, please specify how many times and let us know the approximate amount.

No

9. In case of the default of your client/non-clearing member, does your company have the necessary resources to purchase the security?

Yes

No

IV. Financials

Please state the following details related to the annual report.

1. How much time do you have to prepare and/or disclose your financial statement (calculated from the balance sheet date) in the country where your company is seated?

In case you have more than 9 months (calculated from the balance sheet date) to prepare your financials please indicate the proper regulation that justifies it.

2. The annual report was prepared in line with the following reporting standards:

- National.
- International. / Please state the name of the international reporting standards (e.g. IFRS, US GAAP).

Name of international reporting standard: