

# KYC questionnaire for capital market

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In order to ensure efficient cooperation, KELER CCP Central Counterparty Ltd. (hereinafter: KELER CCP) need to know and understand its existing and future clients and their activities. 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.

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.

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.

**By completing the Questionnaire we acknowledge and accept the above terms and conditions and comply with them, we declare that the provided data, information are complete and correct.**

Date:

Signature:

## I. Company information

1. Please provide the following information about the company you represent (Company):

Company name:

Short Company name:

Place of registration:

Time of registration:

**Registered office:**

Country:

ZIP code:

City:

Street name:

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:**

- LEI code:
- The Company does not have a 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 the Company have a website?**

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

Website link:

- 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 confirm if your company was fined by the competent authorities (related to operating and trading activities) 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 and the reason for the imposed fine.

Name of authority imposing the fine	Amount and currency of fine imposed	Reason for fine imposed

HELP: IF IT'S NECESSARY PLEASE PRESENT FINES IMPOSED TO THE COMPANY IN ATTACHED DOCUMENT. THE FORMAT OF THE ATTACHED DOCUMENT CAN BE: DOC, DOCX, PDF, XLS, XLSX, JPEG, BMP.

**4. Do any of the following apply to the Company?**

- Yes
  - Listed company.
  - Company with more than 50% direct or indirect state ownership.
  - Subject to the legal framework for the prevention of money laundering (or 100% owned subsidiary of a company that is subject to money laundering prevention rules).
- No

**5. 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 (KSFREPORING@KELERKSF.HU). THE FORMAT OF THE ATTACHED DOCUMENT CAN BE: DOC, DOCX, PDF, XLS, XLSX, JPEG, BMP.

**6. Please state the number of employees of the Company.**



## II. Financials

**1. Please attach the most recent audited annual report of the Company that was signed by the auditor. If available electronically please state a hyperlink that directs to the annual report.**

If the Company was founded in the latest 6 months, then please attach the company except.

PLEASE ATTACH THE AUDITED FINANCIAL STATEMENT TO THE EMAIL, IN WHICH YOU SEND THE COMPLETED KYC QUESTIONNAIRE BACK TO KELER CCP (KSZFREPORTING@KELERKSZF.HU). THE FORMAT OF THE UPLOADED DOCUMENT CAN BE: DOC, DOCX, PDF, XLS, XLSX, JPEG, BMP.

***Hyperlink to the annual report:***

HELP: BY ATTACHING THE AUDITED ANNUAL REPORT WITH APPROPRIATE CONTENT OR STATING THE HYPERLINK TO THE PUBLIC AND OFFICIAL WEBSITE YOU MEET THE APPLICABLE REPORTING OBLIGATION. FOR MORE DETAILS ON THE REPORTING OBLIGATION, PLEASE REFER TO POINTS 7.5. OF THE GENERAL BUSINESS RULES OF KELER CCP LTD. IF YOU COMPLETE THE QUESTIONNAIRE AS PART OF ENTERING KELER CCP LTD., THE DATA OF THE ANNUAL REPORT ATTACHED HERE WILL BE USED TO CHECK SHAREHOLDERS' EQUITY, FOR MORE DETAILS PLEASE REFER TO POINTS 7.4.

**2. Please state the following details related to the annual report of the Company:**

*Balance sheet date:*

*How much time does the Company 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 the Company has more than 9 months (calculated from the balance sheet date to prepare your financials) please indicate the proper regulation which justifies it.*

**Please mark and fill in the one in below that is appropriate for the Company:**

- There is an audited report available
  - Annual report was audited by:
    - 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):
  - There is no audited report available.

### III. Operating capacities

#### III/1. Ensuring and availability of liquidity

1. Please describe the Company's liquidity management framework, including how the Company ensures the availability of necessary liquidity to maintain normal continuous day-to-day trading activity. In addition, which tools is the Company able to use to ensure the establishment of the necessary liquidity demand in a market stress situation (e.g. significant change in margin requirements, intraday margin call, increased guarantee fund contribution)?

2. Is the parent company / owner(s) of the Company able to financially support the Company in case of liquidity issues?

- Yes
- No
- N/A, please indicate why:

3. I declare that the Company is always capable of ensuring the required liquidity by its available tools and resources to be able to maintain its future/planned and current trading activities.

- Yes
- No

4. Above the requested collaterals imposed by KELER CCP, does the Company require additional collaterals from its non-clearing members/client?

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

- No

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

- Yes
- No

## III/2. Ability to interface with financial systems

1. I undertake that the Company will establish and continuously maintain access to its bank accounts held at the CB and/or KELER, thus I undertake that the Company will always be technically capable of ensuring the funds required for the settlement of financial obligations arising from clearing membership (for example: required collateral, guarantee fund contribution, fees) on its bank account(s) held at CB within the appropriate deadline.

Yes

No

2. I undertake that the Company will establish and continuously has a backup solution which enables the Company to be technically capable of ensuring the funds required for the settlement of financial obligations arising from clearing membership (for example: required collateral, guarantee fund contribution, fees) on its bank account(s) held at CB within the appropriate deadline.

Yes

Presentation of backup solution:

No

3. I undertake that the Company will establish and continuously maintain access to the securities accounts held at KELER, thus I undertake that the Company is technically capable of providing the required collateral for the settlement of securities and collateral provided in securities on the securities accounts held at KELER within the appropriate time frame.

Yes

No

### **III/3. Availability of appropriate IT systems related to clearing membership**

**1. I undertake that the Company will continuously maintain the agreement on the use of the KID system during the clearing membership of the clearing member and will continuously provide access to the KID system.**

Yes

No



### III/4. Required expertise, experience, risk management within the company

1. Please fill in the table below!

<b>Topic</b>	<b>Department responsible for data services towards KELER CCP (quarterly balance sheet and profit and loss statement, annual reporting obligation, KYC)</b>	
Corresponding department name		
Contact name		
Contact position		
Availability (email address/phone number)		
<b>Topic</b>	<b>Department responsible for risk management related to clearing membership activities</b>	
Corresponding department name		
Contact name		
Contact position		
Availability (email address/phone number)		
<b>Topic</b>	<b>Department responsible for imposing collateral related to clearing membership activities</b>	
Corresponding department name		
Contact name		
Contact position		

Availability (email address/phone number)		
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**2. Please describe the solutions of the Company which are dedicated to ensure the trading activity. If the solutions are performed by the parent company / outsourced, please indicate.**

	Please describe in some sentences.	The solution is provided by the parent company/ outsourced by a third party	If the solution is provided by the parent company/ third party, please explain how you manage the related risks, how you supervise the function?
IT systems / resources  (e.g. name of software and purpose of use, outsourced activity)			
Backup solutions  (e.g.. cloud solutions)			
Dedicated trading department  (if any, and what work schedule they work on (e.g. 7 / 24)			
Backoffice department			

(if any, and what work schedule they work on (e.g. 7 / 24))			
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**3. Please describe the counterparty risk management tools of your company related to OTC trading (if any).**

**4. Please briefly explain how the Company limits the trading activities of its non-clearing members/clients!**

**5. I declare that the Company has a framework for the management of operational risks and a BCP plan or other solutions to ensuring business continuity for the continuous operation of clearing, and also the trading and operational processes preceding clearing.**

- Yes
- No

**6. Please describe how the Company manages operational risks?**