**Know Your Client (KYC) Form**

Date: Click or tap to enter a date.

Albania Bidding Zone  Kosovo Bidding Zone

**To: ALPEX SHA To: ALPEX SHA-Branch in Kosova**

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|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **General Info** | | | | | | | |
| Company Name | | : | | | | | |
| NUIS / NUI | | : | | | | | |
| BIC Code | | : | | | | | |
| BoD Chairman | | : | | | | | |
| Tel: | | : | E-mail: | | : | | |
| CEO | | : | | | | | |
| Tel: | | : | E-mail: | | : | | |
| Compliance Officer | | : | | | | | |
| Tel: | | : | E-mail: | | : | | |
| Head of Clearing | | : | | | | | |
| Tel: | | : | E-mail: | | : | | |
| **Contact Information** | | | | | | | |
| Address | : | | | | | | |
| Postal Code | : | | | City - Country | | |  |
| Tel | : | | | Fax | | |  |
| E-mail: | : | | | | | | |
|  | | | | | | | |
| **Company Profile** | | | | | | | |
| Main line of business of the company | | | | | | : | |
| Official Company website | | | | | | : | |
| Number of Employees | | | | | | : | |
| Please provide all shareholders names with a share of 10% or more: | | | | | |  | |
| **Name of shareholder:** | | | | | | **Share (0%)** | |
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| Is your company a subsidiary (if yes please provide more information)? | | | | | | : YES / NO | |
| Parent Company’s Trade Name | | | | | | : | |
| Parent Company’s TIN | | | | | | : | |
| Parent Company’s Adress (Country) | | | | | | : | |
|  | | | | | | | |
| **Company Accession** | | | | | | | |
| DAM & IDM Clearing | | | | | | | |
| Membership to other Exchanges | | | | | | | |
| (If yes, please state which) | | | | | | | |
| Membership to other Clearing Houses | | | | | | | |
| (If yes, please state which) | | | | | | | |
| **Technical Profile (for API users only)** | | | | | | | |
| EMCS API applied | | | | | | YES / NO | |
| Protocol used | | | | | | Choose an item. | |
| Name of the Provider of the Application | | | | | | : | |
| Names of Data Feed Providers | | | | | | : | |
|  | | | | | |  | |
| OASIS API applied | | | | | | YES / NO | |
| Protocol used | | | | | | Choose an item. | |
| Name of the Provider of the Application | | | | | | : | |
| Names of Data Feed Providers | | | | | | : | |
|  | | | | | |  | |
| **QUESTIONS’ SECTION** | | | | | | | |
| **SECTION A (Applicable to all candidate Clearing Members)** | | | | | | | |
| **A.1 Key Financial Data (from annual & semi-annual audited financial statements)** | | | | | | | |
| Fiscal Year: | | | | | | | |
| Total Assets | | | | | | : | |
| Share Capital | | | | | | : | |
| Equity Capital | | | | | | : | |
| Total Liabilities | | | | | | : | |
| Turnover | | | | | | : | |
| Gross Profit | | | | | | : | |
| Net Profit (after tax) | | | | | | : | |
| Debt-to-Equity Ratio | | | | | | : | |
| Audit Firm | | | | | | : | |
| **SECTION B (Applicable to all candidate Clearing Members)** | | | | | | | |
| B.1 Describe briefly, how will your firm achieve the required organizational and functional adequacy related to the requested Membership. Please describe or provide the relevant policies applied (Clearing & Risk Management, Default Procedures, Compliance, Internal Audit, etc.) | | | | | | | |
| ……………………………… | | | | | | | |
| B.2 Has your company, or any BoD member been under investigation by the Competent Supervisory Authority or any other authority (e.g. competition, tax) during the last two years? If yes, briefly describe the results. | | | | | | | |
| ……………………………… | | | | | | | |
| B.3 Are there any activities of your company outsourced? If yes, please describe. | | | | | | | |
| ……………………………… | | | | | | | |
| B.4 Does your company have a Business Plan in place? If yes, please describe. | | | | | | | |
| ……………………………… | | | | | | | |
| B.5 Does your company have policies on the following? | | | | | | | |
| Know your Client  Anti-money laundering | | | | | | | |
| B.6 Does your company clear OTC energy related products?  Please provide details. | | | | | | | |
| ……………………………… | | | | | | | |
| B.7 What are the expected volume to be cleared for the following year by ALPEX? | | | | | | | |
| DAM  (MWh)  IDM  (MWh) | | | | | | | |

The Company undertakes the obligation to inform the respective natural persons about the processing of their personal data, by handing to them the information of Appendix I.

For the Company,    
(Name of Legal Representative, Position, Signature)

(Company Stamp)

**APPENDIX I**

**INFORMATION ON THE PROCESSING OF PERSONAL DATA FOR CLEARING MEMBERS DATA SUBJECTS FOR KYC PURPOSES**

1. PROVISION OF INFORMATION TO DATA SUBJECTS

ALPEX, in its capacity as data controller, and the other provisions of the Albania/Kosovo legislation on the protection of personal data, hereby provides information concerning the personal data processing of the persons in their capacity as BoD Chairman, CEO, Compliance Officer, Head of Clearing and Shareholders on ALPEX clients (hereinafter “subjects”), in the way described below.

1. What kind of data do we collect?

a) Identification data such as name and current position in the client’s company

b) Contact details such as e-mail address and telephone number

c) Percentage of share capital in client for shareholders

1. Where do we collect your data from?

The aforementioned data are collected directly from the subject or the client that the subject is employee or shareholder.

1. Why do we collect your data and how do we process them?

Personal data collected in the way described above, in accordance with the applicable legal and regulatory framework, are processed for conducting “know your client” procedures by ALPEX.

The legal basis of the processing for this purpose is that the processing is necessary in the exercise of official authority and competences vested in ALPEX.

1. Who are the data recipients?

ALPEX employees who are responsible for ALPEX members’ support, who have been duly informed about the secure processing of your personal data.

In addition, recipients of your data are natural and legal persons to whom ALPEX entrusts the performance of specific tasks on its behalf, such as, among others, system maintenance and technical support providers, software service providers and information security service providers (e.g., ATHEX companies that provide the necessary IT platforms and technical support services). These persons, acting as processors of personal data, have been informed and committed in advance to respect the confidentiality of your data, are aware of and follow our instructions regarding the processing of personal data and take all appropriate measures to protect them.

Furthermore, the recipients of your personal data may be, on a case-by-case basis supervisory, auditing, independent, judicial, public and/or other authorities and bodies within the scope of their statutory responsibilities, duties and powers, when the transfer to them is required by law or provided for by law.

1. For how long are the data retained?

The personal data will be stored by ALPEX for a period of 5 years or for the fulfillment of the legal basis and their processing purpose, as well as for the necessary period of time required by the legal and/or regulatory framework in force or for the time required for ALPEX to exercise its claims and defend its rights and legal interests.

1. How can the subjects exercise their rights?

In order to exercise their rights, the subjects may address:

* In writing to: ALPEX Address

Liman Kaba Street, Olympic Residence, Level 3, Floor 1, Office 1, Tirana, Albania

Ali Pashe Tepelena Street, Building MP Group, Local No.7, Prishtina, Kosova

* Through email to: [clearing@alpex.al](mailto:clearing@alpex.al)

ALPEX shall use its best endeavors to address to subjects’ requests within thirty (30) days of its receipt. The above-mentioned period may be prolonged for sixty (60) more days, if deemed necessary, taking into account the complexity of the issue and the number of the requests. ALPEX shall inform the subjects within thirty (30) days after receipt of their request in any case of prolongation of the above-mentioned period.

If ALPEX does not take action in relation to subjects’ request, it shall inform the subject without delay and within thirty (30) days of the receipt of their request at the latest, for the reasons it did not take action and for the possibility of the subject to submit a complaint and open a judicial procedure.

1. How are the subjects’ rights protected?

ALPEX applies an information security management system to ensure the confidentiality and security of the subjects’ data processing procedure and to protect them against accidental or unlawful destruction, loss, alteration, unauthorized disclosure or access and any other form of unlawful processing.

1. Complaints’ submission

The subjects have the right to file a complaint with the Personal Data Protection Authority, which is the competent supervisory authority for the protection of the fundamental rights and freedoms of natural persons with regard to their processing, when they assume that their rights are infringed in any way.

1. CONTANT DETAILS

Albanian Power Exchange -ALPEX SHA

Liman Kaba Street, Olympic Residence, Level 3, Floor 1, Office 1, Tirana, Albania

Contact phone number:

Email: [info@alpex.al](mailto:info@alpex.al)

OR

Albanian Power Exchange -ALPEX SHA- Branch in Kosova

Ali Pashe Tepelena Street, Building MP Group, Local No.7, Prishtina, Kosova

Contact phone number:

Email: [info@alpex.al](mailto:info@alpex.al)