



UK Registry Document Guide

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If you need any assistance with your application, please contact the Registry Team by emailing etregistryhelp@environment-agency.gov.uk

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Purpose of this guide

You must review this Guide if we have asked you to supply supporting documentation because:

- you have recently applied to open a UK Emissions Trading Scheme (ETS) Trading Account in the UK ETS Registry or a Kyoto Protocol (KP) Person Holding Account in the UK Kyoto Protocol National Registry, or;
- you have been nominated to be appointed as an Authorised Representative on one or more existing accounts in the UK Registry or;
- you are making changes to your User Profile or Registry Account that we need to verify or;
- you are being added to an account as a Primary Contact or Alternative Primary Contact;
- you are a listed director, officer of the corporate entity or equivalent authorising the appointment of a Primary Contact or Alternative Primary Contact.

This guide provides more detail about the supporting documents that we have asked you to provide.

In this guide the term “Registry Administrator” is used to refer to both the Registry Administrator of the UK ETS Registry and the National Administrator of the UK KP Registry.

Submitting documents

Once an online application has been made, the Registry Administrator will assess it and determine what supporting documentation is required from you in order to determine your application.

Please do not supply any documents in support of your online application until you have been contacted by the Registry Administrator.

You will receive request(s) for supporting documents through a Document Request Task generated in the UK Registry. When this request is made you will receive a system generated email from the Registry notifying you of the Document Request.

Full details of the request are available in your Task List in the UK Registry. You should upload the requested supporting documentation into the Document Request Task; making sure you press the “Complete” button once the documents have been uploaded. The documents will then be available for the Registry Administrator to review.

If you are not able to upload any of the documents, please contact the Registry Help Desk for further advice.

Please note: All documents uploaded to the Registry will be deleted within three months of your application being determined.

Documents you may be asked to submit

Forms

We require the forms templates set out in the table below to be completed in full and submitted for all account types in the UK Registry.

| Declaration Templates | Purpose |
|--|--|
| Primary Contact Appointment and Declaration | To be completed when changing your Primary Contact or Alternative Primary Contact. |
| Letter of Authority | To be completed when a new account is opened or when new Authorised Representatives are appointed to an account. |
| Authorised Representative Declaration | To be completed the first time you are appointed as an Authorised Representative to an account in the Registry. It is not required for second and subsequent appointments. |

All the forms listed above are available as downloadable copies from within the UK Registry. Go to your Document Request Task, download the forms required, complete templates and then upload them into the Registry. Electronic signatures are acceptable.

Note: There is a 2MB file size upload limit per document.

Corporate Entity Documents

If the Account Holder is a corporate entity, you may be asked to provide the documents specified in the table below. These documents will only be requested if you are:

- opening a Trading Account or;
- making your first Authorised Representative appointment to an Operator Holding Account or Aircraft Operator Holding Account or;
- making a significant change to your Account Holder Details such as changing the corporate entity name or registered office address.

If you are not able to supply any of the documents listed, please contact the Registry Help Desk for further advice.

Please do not send or provide any of these documents until they have been requested by the Registry Administrator. They will usually be requested via a Document Request Task, assigned to the account applicant, within the UK Registry.

| Corporate Entity Document List | Examples | Account Types |
|----------------------------------|---|--|
| Proof of incorporation | <ul style="list-style-type: none">• Certificate of incorporation of a company• Articles of establishment of a partnership• Proof of charity registration <p>Your proof of incorporation should include any registration number.</p> <p>If your Registered Office address is not included in the proof of incorporation, you may be asked to supply this separately.</p> | UK ETS Trading or KP Person Holding Accounts |
| Proof of corporate change | <ul style="list-style-type: none">• Registration of significant change such as a change in corporate entity name or registered address• Registration of change to corporate entity status, such as entry into administration or liquidation | UK ETS Trading or KP Person Holding Accounts |

| Corporate Entity Document List | Examples | Account Types |
|---|--|--|
| Details of the corporate group ownership structure | <ul style="list-style-type: none"> A branded copy of the current corporate entity structure (e.g. an organogram showing the ultimate parent / owners of the corporate entity) | UK ETS Trading or KP Person Holding Accounts |
| List of Persons with Significant Control | <ul style="list-style-type: none"> A list of individuals or companies who hold 25% or more of the shares in the corporate entity (beneficial owners) Other individuals or companies who exercise significant control of the corporate entity | UK ETS Trading or KP Person Holding Accounts |
| List of current directors /officers | <ul style="list-style-type: none"> A list of the current directors/officers of the corporate entity as listed on Companies House or equivalent overseas Company Register | UK ETS Trading or KP Person Holding Accounts |
| Proof of authority to sign the Primary Contact Declaration where the signatory is not a director/officer of the corporate entity | <ul style="list-style-type: none"> Scheme of Delegation, or Power of Attorney document or branded letter demonstrating the Account Holder Signatories are authorised to sign on behalf of the corporate entity. | All Account Types |
| Latest set of audited accounts | <ul style="list-style-type: none"> For the last 12 months only (a copy will not be required if these are available to view or download e.g. on your corporate entity web site) | UK ETS Trading or KP Person Holding Accounts |
| Evidence of an open bank account (not required if the corporate entity is a bank) | <ul style="list-style-type: none"> A copy of a bank statement for an open account held in the name of your corporate entity dated within the last 3 months. Details of transactions may be redacted. | UK ETS Trading or KP Person Holding Accounts |

Personal documents

You may be asked to supply some, or all the documents set out in the Personal Documents List in the table below if you are:

- being appointed as an Authorised Representative onto a Registry Account or;
- the signatories (such as a director or officer of a corporate entity) authorising the appointment of a Primary Contact or an Alternative Primary Contact for UK ETS Trading Account or KP Person Holding Accounts or;
- opening a Registry Account as an individual/sole trader.

| Personal Document List | Options |
|---|--|
| Proof of name | <ul style="list-style-type: none">• Passport• Identity Card issued by the Electoral Office of Northern Ireland• National Identity Card |
| Proof of permanent residential address. If your Proof of name includes your permanent residential address it can be used for your proof of address as well. | <ul style="list-style-type: none">• Current Driving License• Latest copy of a Local Authority bill (e.g. Council Tax Bill)• Utility Bill dated within the last 3 months. Printed copies of online bills can be accepted.• Bank statement dated within the last 3 months. Details of transactions may be redacted.• Any other officially issued document that includes your residential address |
| Criminal Record Check(s) or equivalent dated within the last 12 months which covers your last 5 years of permanent residence. If you have lived in more than one country in the last 5 years you will need to supply a Criminal Record Check from each country of permanent residence. | <ul style="list-style-type: none">• Official Criminal Record Check/Good Conduct Certificate issued by your government. Where possible please supply this as a sharing code so we can view the certificate online.• Evidence of UK or other State Security Clearance• Company employment checks that include a Criminal Record Check from an official source• Any other official check formally issued by the government of your country of residence which includes a Criminal Record Check |

Obtaining a criminal record check

The table below provides guidance on where to obtain a Criminal Record Check.

| Country of Residence | Where to apply |
|----------------------|---|
| England or Wales | A basic disclosure from the Disclosure and Barring Service: Request a basic DBS check - GOV.UK (www.gov.uk) |
| Scotland | A basic disclosure from Disclosure Scotland: Apply for basic disclosure - mygov.scot |
| Northern Ireland | A basic check from “nidirect”: Apply online for a basic check nidirect |
| Non-UK residents | Guidance can be found at: Criminal records checks for overseas applicants - GOV.UK (www.gov.uk) |

Translating documents

If the documents you are supplying are not in English, they must be accompanied by an official, certified translation into English. If they are not accompanied by an official, certified English translation we may need to ask you to re-supply your documents with an appropriate translation, which will delay the processing of your application.

Any translation must include the statement "I certify this is a true and accurate translation of the original document", the date of the translation, the printed name and signature of the translator and, if applicable, the translation company name, company address and contact phone number.

Authenticating your documents

The Document Upload Request Tasks in the Registry specify which documents need to be uploaded and whether these need to be authenticated.

If documents need to be authenticated, then please use the tables below to select the best available options for you. The options available will vary depending on the document type, official body supplying the document and the country location of the applicants.

If a requested document is not correctly authenticated you may need to re-supply it, which will delay the processing of the application and may incur additional costs. If you are unsure how to authenticate the documents, please contact the Registry Helpdesk for further advice.

Authentication options

| Method | Description |
|---------------|--|
| Online | <p>Obtaining an online document that can be verified using a share code, link or pin number service may be sufficient evidence of authenticity, and the Registry Administrator may not require further authentication from you.</p> <p>Example: If you are resident in England and Wales you can use an online service for your Criminal Record Check such as DBS online or similar.</p> <p>Some online services provide share codes, links and pin numbers. Others provide QR codes that can be scanned.</p> <p>The Registry Administrator can then use this information to access the details and further authentication of this document may not be required.</p> |
| Certification | <p>Documents such as paper copies of criminal record checks, utility bills, passports can be certified by a solicitor, notary public or equivalent, as being a true copy of the original.</p> <p>The certification must include the full name, signature, professional registration number (if any) and business address of the professional certifying the document. It must also include the statement “I certify that this is a true copy of the original”</p> <p>Certification of documents by the UK Post Office is also accepted.</p> |

| Method | Description |
|---------------------------|--|
| Apostilling | <p>This is an alternative to Certification for official documents issued by a State, other than the UK, that is party to the Hague Convention of 5 October 1961 Abolishing the Requirement of Legalisation for Foreign Public Documents (the Hague Convention). Apostilling is carried out by a competent authority nominated by the relevant party.</p> <p>For more information about apostilling public documents, we recommend that you seek professional advice or contact your government, embassy, or consulate.</p> |
| Statement of Truth | <p>For a document which cannot be authenticated by any of the methods listed above, such as List of Persons with Significant Control, you may be able to authenticate a document by providing a Statement of Truth signed by a Director/officer/ authorised signatory of the corporate entity which includes the statement "I believe that the facts stated in this [insert name of document] are true". The full name, signature, and position of the signatory, must also be included.</p> |

Contact us

If you need any assistance with your application, please contact the Registry Team by emailing etregistryhelp@environment-agency.gov.uk.

Please include the Task ID of either your application or your Document Request Task in the subject line of your e-mail.