



# UK Registry Document Guide

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**Contents**

Purpose of this guide .....3

Submitting documents .....3

    Document Requests .....3

Documents you may be asked to submit .....5

    Declaration templates .....5

    Documents required from a Corporate Entity .....6

    Personal documents .....8

Translating documents.....11

Authenticating your documents.....11

    Authentication options .....12

Contact us.....13

Useful links .....13

# Purpose of this guide

You must review this Guide because:

- you have recently applied to open a UK ETS Trading Account in the UK ETS Registry or a Kyoto Protocol 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 and permissions 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. At the end of this guide, you will find some links to external sites that may assist you in providing the documents that have been requested.

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 for them to determine your application.

Please note that you **cannot** apply online for an Operator Holding Account or Aircraft Operator Holding Account; these are opened by the Registry Administrator and the Permit or Emissions Monitoring Plan (EMP) holder contact will be asked by the Registry Administrator to provide details of the prospective Authorised Representatives.

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

## Document Requests

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 notification email from the Registry system 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 “Complete” the task once the documents have been uploaded. The documents will then be available for the Registry Administrator to view and use in the determination of your application.

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

## Declaration templates

We require the Declaration 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	Account Types
<b>Combined Primary Contact Appointment / Letter of Authority for Operator Holding Accounts and Aircraft Operator Holding Accounts</b>	This template is to be completed for Operator Holding Accounts and Aircraft Operator Holding Accounts when appointing the first set of Authorised Representatives onto the account(s)	Operator Holding Accounts or Aircraft Operator Holding Accounts only
<b>Primary Contact Appointment and Declaration</b>	To be completed when opening an ETS Trading Account or KP Person holding Account or when making changes to the Primary Contact of any account type.	UK ETS Trading or KP Person Holding Accounts on account opening.  All account types when changing the Primary Contact
<b>Alternative Primary Contact Appointment and Declaration</b>	To be completed when a new Alternative Primary Contact is appointed or for making changes to the Alternative Primary Contact	All account types
<b>Letter of Authority</b>	To be completed when a new account is opened or when new Authorised Representatives are appointed to an account.	UK ETS Trading or KP Person Holding Accounts on account opening.  All accounts when new Authorised Representatives are appointed.

Declaration Templates	Purpose	Account Types
<b>Authorised Representative Declaration</b>	To be completed for the first appointment of an Authorised Representative to an account in the Registry. It is not required for second and subsequent appointments.	All Account types

### Downloadable Templates

All the documents listed above are available as downloadable copies from within the UK Registry. Go to your Document Request Task, download the templates required, complete and sign the documents and upload them into the Registry. Note: There is a 2MB file size upload limit per document.

Note: Electronic signatures are acceptable.

## Documents required from a Corporate Entity

If the Account Holder is a corporate entity, you may be asked to provide the documents specified in the table below.

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
<b>Proof of corporate change (If applicable)</b>  <b>(Documentary evidence to be provided where this is not publicly available)</b>	<ul style="list-style-type: none"> <li>Registration of significant change such as a change in corporate entity name or registered address</li> <li>Registration of change to corporate entity status, such as entry into administration or liquidation</li> </ul>	UK ETS Trading or KP Person Holding Accounts
<b>Proof of Director level authority to sign the Declaration</b>	<ul style="list-style-type: none"> <li>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, where they are not a current director/officer of the corporate entity</li> </ul>	All Account Types
<b>List of current directors /officers</b>	<ul style="list-style-type: none"> <li>A list of the current directors/officers of the corporate entity as listed on Companies House or equivalent overseas Company Register</li> </ul>	All Account Types
<b>Proof of incorporation</b>	<ul style="list-style-type: none"> <li>Certificate of incorporation of a company</li> <li>Articles of establishment of a partnership</li> <li>Proof of charity registration</li> </ul> <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
<b>List of Persons with Significant Control</b>	<ul style="list-style-type: none"> <li>A list of individuals or companies who hold 25% or more of the shares in the corporate entity (beneficial owners)</li> <li>Other individuals or companies who exercise significant control of the corporate entity</li> </ul>	UK ETS Trading or KP Person Holding Accounts

Corporate Entity Document List	Examples	Account Types
<b>Details of the corporate group /ownership structure</b>	<ul style="list-style-type: none"> <li>A branded copy of the current corporate entity structure (e.g. an organogram showing the ultimate parent / owners of the corporate entity)</li> </ul>	UK ETS Trading or KP Person Holding Accounts
<b>Latest set of audited accounts</b>	<ul style="list-style-type: none"> <li>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)</li> </ul>	UK ETS Trading or KP Person Holding Accounts
<b>Evidence of an open bank account</b>  <b>Note: This is not required if a corporate entity is a bank.</b>	<ul style="list-style-type: none"> <li>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.</li> </ul>	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
<b>Proof of name</b>	<ul style="list-style-type: none"> <li>• Passport</li> <li>• Identity Card issued by the Electoral Office of Northern Ireland</li> <li>• National Identity Card (can be used for both proof of name and address)</li> </ul>
<b>Proof of permanent residential address</b>	<ul style="list-style-type: none"> <li>• Current Driving License</li> <li>• Latest copy of a Local Authority bill (e.g. Council Tax Bill)</li> <li>• Utility Bill dated within the last 3 months. Printed copies of online bills can be accepted.</li> <li>• Bank statement dated within the last 3 months. Details of transactions may be redacted. Printed copies of online statements are accepted.</li> <li>• Any other officially issued document that includes your residential address</li> </ul>

Personal Document List	Options
<p><b>Criminal Record Check(s) or equivalent dated within the last 12 months (or the period specified by the Registry Administrator which covers your last 5 years of permanent residence)</b></p>	<p><b>England and Wales Residents only (DBS Online);</b></p> <p>A hyperlink, certificate number and sharing code issued by the UK Government which enables the Registry Administrator to view online:</p> <p>DBS disclosure: <a href="https://www.gov.uk/guidance/request-a-basic-dbs-check">Request a basic DBS check - GOV.UK (www.gov.uk)</a></p> <p>If use of DBS Online is not possible then you can obtain a basic DBS Disclosure certificate – usually takes 10 working days.</p> <p><b>Residents of Northern Ireland only (Online);</b></p> <p>Basic check from “nidirect”:</p> <p><a href="https://nidirect.nidirect.gov.uk/">Apply online for a basic check   nidirect</a></p> <p><b>Residents of Scotland only;</b></p> <p>No online service available.</p> <p>Basic disclosure from Disclosure Scotland:</p> <p><a href="https://mygov.scot/">Apply for basic disclosure - mygov.scot</a></p> <p>Usually takes 14 working days.</p> <p><b>Other Options:</b></p> <ul style="list-style-type: none"> <li>• Evidence of UK or other State Security Clearance</li> <li>• Company vetting reports may be accepted</li> <li>• Any other criminal record check(s) formally issued by the government of your country of residence</li> </ul> <p>If you have lived in more than one country in the last 5 years you will need to supply Criminal Record Checks from each country of permanent residence.</p> <p>Additional information about obtaining Criminal Record Checks can be found in the links at the end of this document.</p>

# 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.

**Note: the completed Primary Contact Appointment and Declaration, Letter of Authority and Authorised Representative Declaration forms do not require any form of authentication.**

## Authentication options

Method	Description
<b>Online</b>	<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>
<b>Certification</b>	<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 <b>“I certify that this is a true copy of the original”</b></p> <p>Certification of documents by the UK Post Office is also accepted.</p>
<b>Apostilling</b>	<p>This is appropriate 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> <p>The text of the Hague Convention, and an up-to-date list of the parties and competent authorities can be found in the link at the end of this document.</p>

Method	Description
<b>Statement of Truth</b>	You may be able to authenticate a document other than an officially issued document by providing a <b>Statement of Truth</b> 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.

## Contact us

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

## Useful links

Obtaining a non-UK Criminal Record Disclosure:

<https://www.gov.uk/government/publications/criminal-records-checks-for-overseas-applicants>

List of signatories to the Hague Apostille Convention and nominated competent authorities: [http://www.hcch.net/index\\_en.php?act=conventions.authorities&cid=41](http://www.hcch.net/index_en.php?act=conventions.authorities&cid=41)