

# CLIENT ONBOARDING APPLICATION

Account Opening Documentation

## NIHAO CARBON CERTIFICATES

**Version 1.0**

Effective Date: January 1, 2024

Classification: CONFIDENTIAL

## SECTION A: ENTITY INFORMATION

Legal Name:

Trading Name (if different):

Legal Form:  Corporation  Partnership  LLC  Other: \_\_\_\_\_

Country of Incorporation:

Registration Number:

Date of Incorporation:

LEI (Legal Entity Identifier):

Registered Address:

Business Address (if different):

Main Telephone:

Website: \_\_\_\_\_

## SECTION B: BUSINESS ACTIVITIES

Primary Business Activity:

Annual Revenue (EUR):

Number of Employees:

### EU ETS Compliance Obligations:

- We have installations covered by EU ETS
- We have aircraft operations covered by EU ETS
- We are trading for investment/speculative purposes
- We provide services to EU ETS compliance entities

EU ETS Registry Account Number(s):

## SECTION C: AUTHORIZED REPRESENTATIVES

### Primary Contact:

Name: \_\_\_\_\_

Title/Position:

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Email: \_\_\_\_\_

Direct Phone:

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**Additional Authorized Traders:**

1. Name: \_\_\_\_\_ Email: \_\_\_\_\_ Trading Limit:  
EUR\_\_\_\_\_

2. Name: \_\_\_\_\_ Email: \_\_\_\_\_ Trading Limit:  
EUR\_\_\_\_\_

3. Name: \_\_\_\_\_ Email: \_\_\_\_\_ Trading Limit:  
EUR\_\_\_\_\_

## SECTION D: BENEFICIAL OWNERSHIP

List all natural persons who ultimately own or control 25% or more of the entity:

**Beneficial Owner 1:**

Full Name: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

Nationality: \_\_\_\_\_

Residential Address: \_\_\_\_\_

Ownership %: \_\_\_\_\_ Nature of Control: \_\_\_\_\_

PEP Status:  Yes  No If yes, provide details: \_\_\_\_\_

**Beneficial Owner 2:**

Full Name: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

Nationality: \_\_\_\_\_

Residential Address: \_\_\_\_\_

Ownership %: \_\_\_\_\_ Nature of Control: \_\_\_\_\_

PEP Status:  Yes  No If yes, provide details: \_\_\_\_\_

## SECTION E: SOURCE OF FUNDS

Primary Source of Funds for Trading:

Expected Annual Trading Volume (EUR): \_\_\_\_\_

Expected Number of Transactions per Month: \_\_\_\_\_

Bank Name for Settlements: \_\_\_\_\_

Bank IBAN: \_\_\_\_\_

Bank SWIFT/BIC: \_\_\_\_\_

## SECTION F: DECLARATIONS

I/We hereby declare and confirm that:

- All information provided in this application is true, accurate, and complete
- I/We will notify Nihao Carbon Certificates of any material changes to this information
- I/We have read and accept the Client Agreement, Risk Disclosure, and Privacy Policy

- I/We understand the minimum funding requirement of EUR 10,000,000
- The entity is not subject to sanctions by the EU, UN, US (OFAC), or other authorities
- The undersigned is duly authorized to submit this application on behalf of the entity

**Authorized Signatory:**

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

## REQUIRED DOCUMENTATION CHECKLIST

### **Corporate Documents:**

- Certificate of Incorporation
- Articles of Association / Memorandum
- Commercial Register Extract (dated within 3 months)
- Ownership Structure Chart
- Board Resolution authorizing account opening

### **For Each Beneficial Owner & Director:**

- Certified copy of passport or national ID
- Proof of address (utility bill/bank statement dated within 3 months)

### **Financial Documentation:**

- Latest audited financial statements
- Bank reference letter
- Evidence of source of funds

### **EU ETS Related:**

- EU ETS Registry account confirmation (if applicable)
- Installation permits / Operator Holding Account details (if applicable)