

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:

Email: _____

Direct Phone:

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)