

„COMPANY PROFILE QUESTIONNAIRE“

**Date (Version)
Place**

**14/10/2013
Vienna**

We are pleased that your company has decided to become a member of EXAA. Please answer the following company profile questionnaire as part of the registration process. Please note that EXAA can request additional documents during the registration process (see also EXAA Participation Rules § 3).

Official Company name	
Address (legal/branch)	
Phone (contact person)	
Homepage (company website)	

1. SUPPORTING DOCUMENTS

Please provide a copy of the original document and a translation in English or German

Annual Report *	<input type="checkbox"/>
Excerpt from the Company`s Register (not older than 3 months)	<input type="checkbox"/>
Official Certificate of good Character of the Management Board (not older than 3 months)	<input type="checkbox"/>

* If unavailable, please attach a detailed business plan of your power activity over 2 years.

2. INFORMATION ABOUT THE COMPANY

2.1. What is your legal form and branch of your company?

2.2. Is the main business of your company propriety power trading?

Yes No

In case of "No" what is the main business?

2.3. Founding year of your company?

2.4. Number of employees?

2.5. Amount of paid in equity capital?

2.6. Please list your main shareholders

2.7. Please list offices/branches or related companies in tax haven?

2.8. Is your company regularly audited?

Yes No

Please provide the contact of your auditor? (phone, e-mail)!

2.9. If you use an offshore setup please explain why?

2.10. Is your company member of professional associations in the power business? If yes, please indicate the name of these associations. Since when does the membership exist?

3. YOUR MOTIVATIONS

3.1. Why does your company want to be a member of EXAA?

3.2. Is your company active on other energy, commodities or financial market places?

3.3. Is your company active on the power OTC market or on other Exchanges? If yes, since when? If yes, please list 5 counterparts you are dealing with on the OTC markets.

3.4. Do you want to trade for your propriety account?

3.5. Do you trade for agents? Please describe the type of clients and provide their names if possible!

3.6. If you plan to join EXAA, what do you expect your trading volumes to be?

Annually _____ MWh

Weekly : _____ MWh

4. YOUR CAPABILITY TO INTERVENE

4.1. List the name of your traders and their experience

Name	Qualification

4.2. Will your traders have a partial or full time activity with your company?

4.3. Do you have branches?

4.4. How large are your premises used for trading?

4.5. How large is your back office team and compliance measures team in place? Please describe.

Did you ever have investigations concerning your energy trading business by ACER, your national power/financial regulator or the tax authorities?

Yes No

If Yes, why? What was the result?

4.6. What kind of collaterals according to the Clearing and Settlement Rules are you going to deposit and what is the name of the bank you are going to cooperate with?

I declare in good faith that all information, answers and documents provided within this questionnaire are exact and authentic. I have omitted no important information that could have an impact on the judgment made by EXAA on this demand.

I accept to answer any other questions EXAA might have in the future to comply with its legal obligations.

Place: _____

Date _____

Name and signature of the legal representative of the company:

Above information shall be regarded and handled as strictly confidential and will be used only for evaluation purposes by EXAA during the registration process of the company.