

A HUDEX Magyar Derivatív Energiatőzsde Zártkörűen Működő Részvénytársaság (cégjegyzékszám: 01-10-049303; székhelye: 1134 Budapest, Dévai utca 26-28.; a továbbiakban: „HUDEX Energiatőzsde Zrt.” vagy „Társaság”) Vezérigazgatója a Társaság Szabályozott Piaci Szabályzatának II.1.2. pontja alapján a

„HUDEX Energiatőzsde Zrt. tagfelvételhez szükséges dokumentumainak módosítása”

tárgyában az alábbi határozatot hozta:

35/2018. (X. 5.) számú vezérigazgatói határozat

A HUDEX Energiatőzsde Zrt. Vezérigazgatója a jelen határozat melléklete szerinti – angol nyelvű – tartalommal határozza meg a Társaság tagfelvételhez szükséges következő dokumentumai módosítását:

- H04/A. HUDEX Compliance Procedure Form,
- H04/B. HUDEX Extended Compliance Procedure Form.

A Társaság tagfelvételhez szükséges, jelen határozat alapján módosult dokumentumai 2018. október 6. napjától alkalmazandóak a tagfelvételi eljárásokban.

A jelen határozat szerinti módosítások a Magyar Nemzeti Bank, mint felügyeleti hatóság által jóváhagyott 4.0 verziószámú Szabályozott Piaci Szabályzat hatálybalépése okán váltak szükségessé.

Budapest, 2018. október 5.



Vass Attila Tibor
vezérigazgató

Mellékletek:

1. számú melléklet: H04/A. HUDEX Compliance Procedure Form
2. számú melléklet: H04/B. HUDEX Extended Compliance Procedure Form





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HUDEX

Compliance Procedure Form

Version 4.0

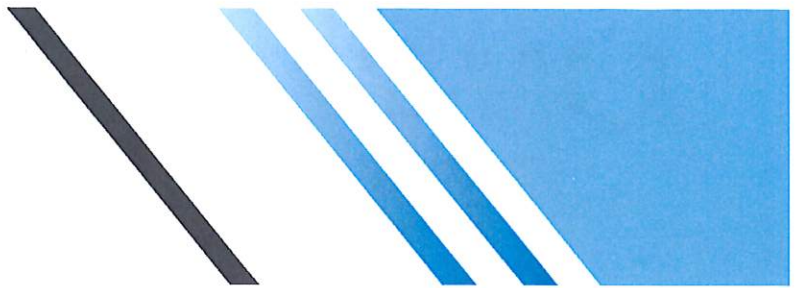
Effective from 06/10/2018

Date of publication: 05/10/2018

Approved by the resolution of the CEO No. 35/2018 (X.5.)

Place
Document number

Budapest
H04/A



Compliance procedure

KNOW YOUR CLIENT QUESTIONNAIRE

**Your prompt and full completion of this questionnaire will help to speed up compliance procedure*

I. COMPANY PROFILE

1. Please provide the following information regarding your company:

a, Number of employees:

.....

b, Is your firm a subsidiary, or controlled by any other organization:

.....

2. Please describe your company's main activities:

.....
.....
.....
.....

II. FINANCIAL PARAMETERS

3. Please provide information about the financial parameters of your company for the last year (in Euro):

a, Share capital (nominal value):

.....

b, Thereof outstanding:

.....

c, Total assets:

.....

d, Turnover:

.....

e, Profit:

.....

4. Please provide the Full Name(s) of all Directors, Supervisory Board Members, Main Shareholders (10% or more):



Shareholder name	Share (in %)
Name of position holder	Position

III. Trading

5. Does your company or company group have its production, transmission or storage facilities?

Yes No

6. Does your company supply end user costumers?

Yes No

7. Does your company already trade on other energy or energy related markets (Power, gas)?

Yes No

If yes, please fill out the following table:

Exchange / OTC	Commodities	Since

8. Does your company trade any energy related products other than the ones available on HUDEX (exchange or OTC)?

Yes No

If yes, please fill out the following table:



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Exchange / OTC	Commodities	Since

9. Do you act for your own account or on behalf of a third party?

- Own
 Third party

IV. INTERNAL POLICY

10. Do you have an internal policy on the following?

- Yes No
- Anti Money Laundering
 Know Your Customer
 Anti Bribery & Corruption
 Market Abuse

Signed in ONE original.

Place	Date	Company stamp and legally binding signature (s)



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HUDEX

Extended Compliance Procedure Form

Version 1.0

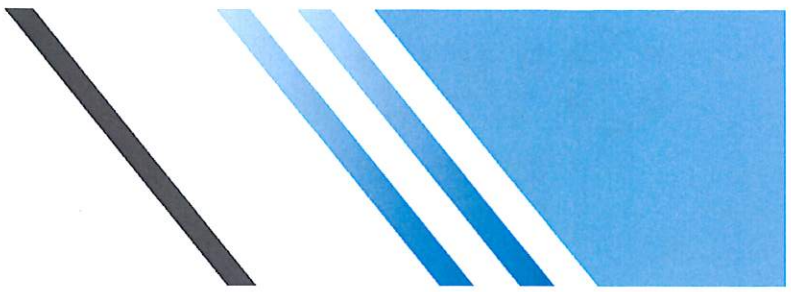
Effective from 06/10/2018

Date of publication: 05/10/2018

Approved by the resolution of the CEO No. 35/2018 (X.5.)

Place
Document number

Budapest
H04/B



Compliance procedure

KNOW YOUR CLIENT QUESTIONNAIRE

**Your prompt and full completion of this questionnaire will help to speed up compliance procedure*

I. COMPANY PROFILE

1. Please provide the following information regarding your company:

a, Number of employees:

.....

thereof energy traders:

b Is your firm a subsidiary, or controlled by any other organization:

.....

2. Please describe your company's main activities and licenses related to those activities (including licenses under foreign jurisdictions).

.....

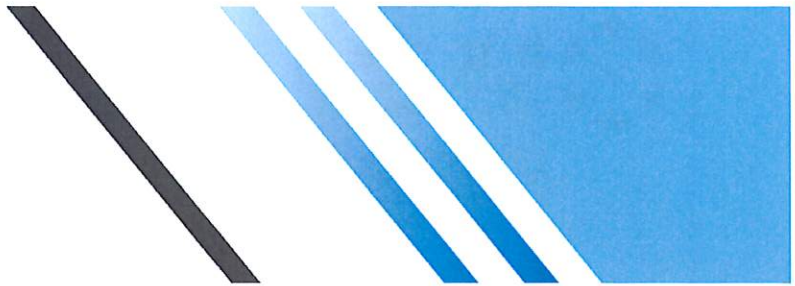
.....

.....

3. Please provide the organizational chart explaining the shareholder/ownership' structure, up to and including the Ultimate Parent level.

4. Please provide the Full Name(s) of all Directors, Supervisory Board Members, Main Shareholders (10% or more):

Shareholder name	Share (in %)
Name of position holder	Position



5. Who are your indirect shareholders (up to the ultimate parent/final beneficiary), owning more than 10% of your company?

Name	Country of domiciliation	Share (in %)

6. Does your company have offshore jurisdiction(s) in its organizational structure?

Yes No

II. FINANCIAL PARAMETERS

7. Please provide the financial statements, audited if available, incl. balance sheet and P&L for the last 3 years; If no audited financial statement is available, a business plan of your business activity for the next 3 years.

8. Please provide information about the financial parameters of your company for the last year in Euro (if not available please provide an estimation were appropriate):

- a, Share capital (nominal value):
.....
- b, Thereof outstanding:
.....
- c, Total assets:
.....
- d, Total liabilities:
.....
- e, Turnover:
.....
- f, Profit:
.....

III. Trading

9. Does your company, or your company's (i) subsidiary, (ii) parent company, or (iii) subsidiary of your company's parent company own an electricity or gas trading license from any European country?

Yes No



If yes, please provide the jurisdiction and copy of the license.

.....

10. Does your company or company group have its production, transmission or storage facilities?

Yes No

11. Does your company supply end user costumers?

Yes No

12. Does your company already trade on other energy or energy related markets (Power, gas)?

Yes No

If yes, please fill out the following table:

Exchange / OTC	Commodities	Since

13. Does your company trade any energy related products other than the ones available on HUDEX (exchange or OTC)?

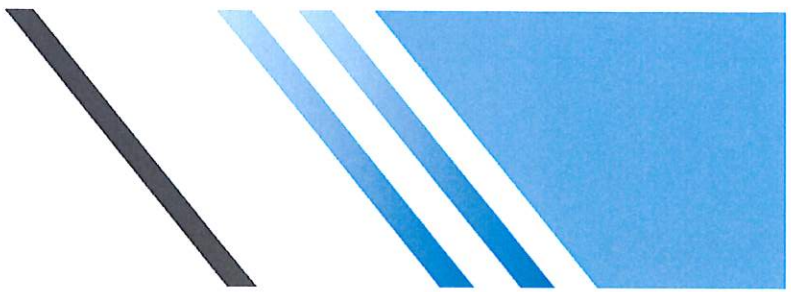
Yes No

If yes, please fill out the following table:

Exchange / OTC	Commodities	Since

14. Do you act for your own account or on behalf of a third party?

- Own
- Third party



IV. INTERNAL POLICY

15. Do you have an internal policy on the following?

Yes No

- Anti Money Laundering
- Know Your Customer
- Anti Bribery & Corruption
- Market Abuse

16. Has your company, its group and/or its management been under investigation (e.g. by tax, financial, competition or energy authorities) within the last three years or is such an investigation currently ongoing?

.....
.....

17. Are there any Politically Exposed Persons (PeP)¹ among your company's direct or indirect owners/shareholders or in its management/supervisory board?

Yes No

If yes, please classify the relationship:

Direct Indirect

18. Does your company maintain accounts and/or uses banking services at/from banks or financial institutions domiciled countries outside Europe which are classified as "ultra-high-risk" or "non-cooperative" according to the FATF list²?

Yes No

Signed in ONE original.

Place	Date	Company stamp and legally binding signature (s)

¹ For details please refer to Article 2 of Directive 2006/70/EG laying down implementing measures for Directive 2005/60/EG.

² The current FATF list is published under the following link <http://www.fatf-gafi.org/topics/high-riskandnon-cooperativejurisdictions>

