

REGISTRATION REQUIREMENTS
for the opening of an REGULATED ENTITY HOLDING ACCOUNT
in the Austrian part of the Union Registry

Documents to be provided for the COMPANY applying for an account as a future account holder:

1. **Proof of registration as a legal entity** confirming the details of the registered office address (extract from the companies register certified by a notary public or electronic extract with official signature) *
2. **Specimen signatures** of authorised signatories (as stated in the companies register or similar) **certified by a notary public** *
3. **Certificate from the relevant local tax authority to confirm valid VAT registration number** (original or a copy certified by a notary public)
4. **Greenhouse gas emission permit** (uncertified copy)
5. **Information about the LEI (Legal Entity Identifier) – Code** (informal electronic submission, if applicable for the company)
6. **Document clearly identifying the structure of the group** (e.g. organisation chart, duly signed by the parent undertaking (ideally) or the account holder, if applicable for the company)

Documents to be provided for ALL AUTHORISED REPRESENTATIVES:

1. **Proof of identity** (copy of a valid passport, valid identity card or a valid identification document recognized under national law certified by a notary public. For documents without an expiry date, the date of issue of the document must not be more than 10 years ago.)
2. **Evidence to support the address of the permanent residence** (confirmation of residence registration: either the original or an electronic document carrying the official signature or a copy certified by a notary public) *
3. **Criminal record certificate for the last 5 years** (either the original or an electronic document carrying the official signature or a copy certified by a notary public)

General information about the formal requirements for documents:

- The **issue date of the documents and the date of the certification or legalisation** of the notarised copy of the identity document must **not be more than three months prior to the date of application**. The greenhouse gas emission permit is excluded from this. In case of the proof of identity without an expiry date, documents that were issued more than 10 years ago cannot be accepted.
- **Certifications or legalisations** have to be carried out by a **notary public** or another person with a **similar function** (for example a court).
- You have to send the **original documents** or notarised copies **by post** to the Austrian Emissions Trading Registry.
- **Electronic documents with official signatures**, as well as documents for which the certification note is made by means of an electronic notarial certification signature, have to be **sent by e-mail**. Only **qualified electronic signatures in accordance with regulation (EU) 910/2014 (as amended)**, when transmitted by e-mail, are accepted on electronically signed documents and applications.
- Documents that have not been issued in Austria but in other countries that are members of the Hague Convention Abolishing the Requirement of Legalisation for Foreign Public Documents require an **apostille certificate**.

If a bilateral agreement on the mutual recognition of documents between Austria and the issuing country exists, no apostille is required.

Personal documents issued in EU Member States do not require the apostille or any other form of legalisation according to Regulation (EU) 2016/1191 (as amended).

Documents issued in countries that are not members of the Hague Convention have to be legalised by the competent Austrian authority in the issuing country in the correct manner (note of legalisation).

- **Documents** that have been prepared **in a language other than German or English** have to be accompanied by a **certified German or English translation**. The translation has to be carried out by a translator sworn to a national court or administrative body (for example the Ministry of Justice) and publicly appointed by them as an officially recognised translator.

If the document has been issued by an EU Member State, no translation is required if that document is accompanied by a standard form that has been completed and attached by the issuing authority in accordance with the Annexes to Regulation (EU) 2016/1191 (as amended).

- *The Austrian Emissions Trading Registry has access to the Austrian electronic commercial register and to the publicly accessible Austrian residence registration register. Excerpts from the commercial register and notarized sample signatures deposited in the publicly accessible collection of documents of the Austrian Commercial Register as well as confirmations of registration from the residence registration register are therefore available to the Emissions Trading Registry. These documents do not have to be submitted if they are available in the registers mentioned. Documents not issued in Austria must be submitted.

Note:

The applicable EU Regulations, in particular (EU) 2019/1122 (as amended) and, where appropriate, the Emissions Allowances Act 2011 (as amended) shall apply.