




Financial Institution Name:  
Location (Country):

EDF Trading Europe Ltd  
Ireland

No #	Question	Answer
<b>1. ENTITY &amp; OWNERSHIP</b>		
1	Full Legal name	EDF Trading Europe Limited
2	Append a list of foreign branches which are covered by this questionnaire	N/A
3	Full Legal (Registered) Address	9 Cianwilliam Terrace, Dublin 2, Dublin, Ireland
4	Full Primary Business Address (if different from above)	
5	Date of Entity incorporation/establishment	01/11/2018
6	Select type of ownership and append an ownership chart if available	
6 a	Publicly Traded (25% of shares publicly traded)	No
6 a1	If Y, indicate the exchange traded on and ticker symbol	
6 b	Member Owned/Mutual	No
6 c	Government or State Owned by 25% or more	Yes
6 d	Privately Owned	No
6 d1	If Y, provide details of shareholders or ultimate beneficial owners with a holding of 10% or more	
7	% of the Entity's total shares composed of bearer shares	
8	Does the Entity, or any of its branches, operate under an Offshore Banking License (OBL) ?	No
8 a	If Y, provide the name of the relevant branch/es which operate under an OBL	
9	Does the Bank have a Virtual Bank License or provide services only through online channels?	No
10	Provide Legal Entity Identifier (LEI) if available	549300HC0HDAWBHGG218
<b>2. AML, CTF &amp; SANCTIONS PROGRAMME</b>		
11	Does the Entity have a programme that sets minimum AML, CTF and Sanctions standards regarding the following components:	
11 a	Appointed Officer with sufficient experience/expertise	Yes
11 b	Adverse Information Screening	Yes
11 c	Beneficial Ownership	Yes
11 d	Cash Reporting	Not Applicable
11 e	CDD	Yes
11 f	EDD	Yes

11 g	Independent Testing	Yes
11 h	Periodic Review	Yes
11 i	Policies and Procedures	Yes
11 j	PEP Screening	Yes
11 k	Risk Assessment	Yes
11 l	Sanctions	Yes
11 m	Suspicious Activity Reporting	Yes
11 n	Training and Education	Yes
11 o	Transaction Monitoring	Yes
12	Is the Entity's AML, CTF & Sanctions policy approved at least annually by the Board or equivalent Senior Management Committee?	Yes
13	Does the Entity use third parties to carry out any components of its AML, CTF & Sanctions programme?	Yes
13 a	If Y, provide further details	Compliance Catalyst - for screening on Politically Exposed Persons (PEPs), State Owned Enterprises (SOEs) and adverse media.
14	Does the entity have a whistleblower policy?	Yes
<b>3. ANTI BRIBERY &amp; CORRUPTION</b>		
15	Has the Entity documented policies and procedures consistent with applicable ABC regulations and requirements to reasonably prevent, detect and report bribery and corruption?	Yes
16	Does the Entity's internal audit function or other independent third party cover ABC Policies and Procedures?	Yes
17	Does the Entity provide mandatory ABC training to:	
17 a	Board and Senior Committee Management	Yes
17 b	1st Line of Defence	Yes
17 c	2nd Line of Defence	Yes
17 d	3rd Line of Defence	Yes
17 e	Third parties to which specific compliance activities subject to ABC risk have been outsourced	Not applicable
17 f	Non-employed workers as appropriate (contractors/consultants)	Yes
<b>4. AML, CTF &amp; SANCTIONS POLICIES &amp; PROCEDURES</b>		
18	Has the Entity documented policies and procedures consistent with applicable AML, CTF & Sanctions regulations and requirements to reasonably prevent, detect and report:	
18 a	Money laundering	Yes
18 b	Terrorist financing	Yes
18 c	Sanctions violations	Yes
19	Does the Entity have policies and procedures that:	
19 a	Prohibit the opening and keeping of anonymous and fictitious named accounts	No
19 b	Prohibit the opening and keeping of accounts for unlicensed banks and/or NBFIs	No
19 c	Prohibit dealing with other entities that provide banking services to unlicensed banks	No
19 d	Prohibit accounts/relationships with shell banks	No
19 e	Prohibit dealing with another Entity that provides services to shell banks	No
19 f	Prohibit opening and keeping of accounts for Section 311 designated entities	No
19 g	Prohibit opening and keeping of accounts for any of unlicensed/unregulated remittance agents, exchanges houses, casa de cambio, bureaux de change or money transfer agents	No
19 h	Assess the risks of relationships with domestic and foreign PEPs, including their family and close associates	Yes
19 i	Define the process for escalating financial crime risk issues/potentially suspicious activity identified by employees	Yes
19 j	Outline the processes regarding screening for sanctions, PEPs and Adverse Media/Negative News	Yes

20	Has the Entity defined a risk tolerance statement or similar document which defines a risk boundary around their business?	Yes
21	Does the Entity have record retention procedures that comply with applicable laws?	Yes
21 a	If Y, what is the retention period?	5 years or more
<b>5. KYC, CDD and EDD</b>		
22	Does the Entity verify the identity of the customer?	Yes
23	Do the Entity's policies and procedures set out when CDD must be completed, e.g. at the time of onboarding or within 30 days?	Yes
24	Which of the following does the Entity gather and retain when conducting CDD? Select all that apply:	
24 a	Customer identification	Yes
24 b	Expected activity	Yes
24 c	Nature of business/employment	Yes
24 d	Ownership structure	Yes
24 e	Product usage	Yes
24 f	Purpose and nature of relationship	Yes
24 g	Source of funds	Yes
24 h	Source of wealth	Yes
25	Are each of the following identified:	
25 a	Ultimate beneficial ownership	Yes
25 a1	Are ultimate beneficial owners verified?	Yes
25 b	Authorised signatories (where applicable)	Yes
25 c	Key controllers	Yes
25 d	Other relevant parties	Yes
26	Does the due diligence process result in customers receiving a risk classification?	Yes
27	Does the Entity have a risk based approach to screening customers and connected parties to determine whether they are PEPs, or controlled by PEPs?	Yes
28	Does the Entity have policies, procedures and processes to review and escalate potential matches from screening customers and connected parties to determine whether they are PEPs, or controlled by PEPs?	Yes
29	Is KYC renewed at defined frequencies based on risk rating (Periodic Reviews)?	Yes
29 a	If yes, select all that apply:	
29 a1	Less than one year	No
29 a2	1 – 2 years	Yes
29 a3	3 – 4 years	Yes
29 a4	5 years or more	Yes
29 a5	Trigger-based or perpetual monitoring reviews	Yes
29 a6	Other (please specify)	Monitoring and checking of alerts which 
30	From the list below, which categories of customers or industries are subject to EDD and/or are restricted, or prohibited by the Entity's FCC programme?	
30 a	Arms, Defence, Military	EDD on risk-based approach
30 b	Respondent Banks	Do not have this category of customer or industry
30 b1	If EDD or EDD & restricted, does the EDD assessment contain the elements as set out in the Wolfsberg Correspondent Banking Principles 2022?	No
30 c	Embassies/Consulates	EDD on risk-based approach
30 d	Extractive industries	EDD on risk-based approach
30 e	Gambling customers	Do not have this category of customer or industry
30 f	General Trading Companies	EDD on risk-based approach
30 g	Marijuana-related Entities	Do not have this category of customer or industry
30 h	MSB/MVTS customers	Do not have this category of customer or industry
30 i	Non-account customers	EDD on risk-based approach
30 j	Non-Government Organisations	Do not have this category of customer or industry
30 k	Non-resident customers	EDD on risk-based approach

30 l	Nuclear power	EDD on risk-based approach
30 m	Payment Service Providers	EDD on risk-based approach
30 n	PEPs	EDD on risk-based approach
30 o	PEP Close Associates	EDD on risk-based approach
30 p	PEP Related	EDD on risk-based approach
30 q	Precious metals and stones	EDD on risk-based approach
30 r	Red light businesses/Adult entertainment	Do not have this category of customer or industry
30 s	Regulated charities	Do not have this category of customer or industry
30 t	Shell banks	Do not have this category of customer or industry
30 u	Travel and Tour Companies	EDD on risk-based approach
30 v	Unregulated charities	Do not have this category of customer or industry
30 w	Used Car Dealers	Do not have this category of customer or industry
30 x	Virtual Asset Service Providers	Do not have this category of customer or industry
30 y	Other (specify)	
31	If restricted, provide details of the restriction	
<b>6. MONITORING &amp; REPORTING</b>		
32	Does the Entity have risk based policies, procedures and monitoring processes for the identification and reporting of suspicious activity?	Yes
33	What is the method used by the Entity to monitor transactions for suspicious activities?	Automated
33 a	If manual or combination selected, specify what type of transactions are monitored manually	
34	Does the Entity have regulatory requirements to report suspicious transactions?	Yes
34 a	If Y, does the Entity have policies, procedures and processes to comply with suspicious transactions reporting requirements?	Yes
35	Does the Entity have policies, procedures and processes to review and escalate matters arising from the monitoring of customer transactions and activity?	Yes
<b>7. PAYMENT TRANSPARENCY</b>		
36	Does the Entity adhere to the Wolfsberg Group Payment Transparency Standards?	Yes
37	Does the Entity have policies, procedures and processes to comply with and have controls in place to ensure compliance with:	
37 a	FATF Recommendation 16	Yes
37 b	Local Regulations	Yes
37 b1	If Y, Specify the regulation	Terrorism Act 2000 Proceeds of Crime Act 2002 (POCA) Counter-Terrorism Act 2008 Money Laundering Regulations 2017 Criminal Finance Act 2017
37 c	If N, explain	
<b>8. SANCTIONS</b>		
38	Does the Entity have a Sanctions Policy approved by management regarding compliance with sanctions law applicable to the Entity, including with respect to its business conducted with, or through accounts held at foreign financial institutions?	Yes
39	Does the Entity have policies, procedures or other controls reasonably designed to prohibit and/or detect actions taken to evade applicable sanctions prohibitions, such as stripping, or the resubmission and/or masking, of sanctions relevant information in cross border transactions?	Yes

40	Does the Entity screen its customers, including beneficial ownership information collected by the Entity, during onboarding and regularly thereafter against Sanctions Lists?	Yes
41	Select the Sanctions Lists used by the Entity in its sanctions screening processes:	
41 a	Consolidated United Nations Security Council Sanctions List (UN)	Used for screening customers and beneficial owners (i.e. reference data)
41 b	United States Department of the Treasury's Office of Foreign Assets Control (OFAC)	Used for screening customers and beneficial owners (i.e. reference data)
41 c	Office of Financial Sanctions Implementation HMT (OFSI)	Used for screening customers and beneficial owners (i.e. reference data)
41 d	European Union Consolidated List (EU)	Used for screening customers and beneficial owners (i.e. reference data)
41 e	Lists maintained by other G7 member countries	Used for screening customers and beneficial owners (i.e. reference data)
41 f	Other (specify)	
42	Does the Entity have a physical presence, e.g. branches, subsidiaries, or representative offices located in countries/regions against which UN, OFAC, OFSI, EU or G7 member countries have enacted comprehensive jurisdiction-based Sanctions?	No
<b>9. TRAINING &amp; EDUCATION</b>		
43	Does the Entity provide mandatory training, which includes:	
43 a	Identification and reporting of transactions to government authorities	Yes
43 b	Examples of different forms of money laundering, terrorist financing and sanctions violations relevant for the types of products and services offered	Yes
43 c	Internal policies for controlling money laundering, terrorist financing and sanctions violations	Yes
43 d	New issues that occur in the market, e.g. significant regulatory actions or new regulations	Yes
44	Is the above mandatory training provided to :	
44 a	Board and Senior Committee Management	Yes
44 b	1st Line of Defence	Yes
44 c	2nd Line of Defence	Yes
44 d	3rd Line of Defence	Yes
44 e	Third parties to which specific FCC activities have been outsourced	Not Applicable
44 f	Non-employed workers (contractors/consultants)	Yes
<b>10. AUDIT</b>		
45	In addition to inspections by the government supervisors/regulators, does the Entity have an internal audit function, a testing function or other independent third party, or both, that assesses FCC AML, CTF, ABC, Fraud and Sanctions policies and practices on a regular basis?	Yes
<b>Signature Page</b>		
Wolfsberg Group Financial Crime Compliance Questionnaire 2023 (FCCQ V1.2)		
_____ (Financial Institution name)		
I, _____ (Senior Compliance Manager- Second Line representative), certify that I have read and understood this declaration, that the answers provided in this Wolfsberg FCCQ are complete and correct to my honest belief.		
_____ (Signature & Date)		

**EDF TRADING**

80 Victoria Street  
 Cardinal Place, 3rd floor  
 London SW1E 5JL  
 T +44 (0)20 7061 4000  
 F +44 (0)20 7061 5000

## EDF Trading Europe Limited Due Diligence (KYC) Information

Full Legal Name & Trading Names (if applicable)	EDF Trading Europe Limited
Date of Incorporation	01/11/2018
Registered Address	9 Clanwilliam Terrace, Dublin 2, Dublin, Ireland
Country	Ireland
Company Website	<a href="https://www.edftrading.com/">https://www.edftrading.com/</a>
Type of Organization (single owner, partnership, etc)	Private Limited Liability Company
Legal Entity Identifier (LEI)	549300HC0HDAWBHGG218
VAT number	IE 3575803FH
Registration Number	636822

### 1. SUPPORTING DOCUMENTS

The following supporting documents are available upon request:

- Certificate of Good Standing
- Memorandum and Articles of Association
- Last 2 years audited annual reports and financial statements

### 2. CONTACT DETAILS

Should you require any further information or clarifications, please contact:

**Team:** EDFT Compliance Team – Financial Crime

**Email Address:** [rsc\\_fin\\_crime@edftrading.com](mailto:rsc_fin_crime@edftrading.com)

### 3. BANK DETAILS

Bank Name / Branch (City)	Citibank, Dublin
Country of Bank Account	Ireland
Type of Currency	EUR
Account Name	

Account Number	27432832
International Bank Account Number (IBAN)	IE49 CITI 9900 5127 4328 32
Sort Code (UK only)	
Routing Code (US only)	

**4. COMPANY INFORMATION**

**4.1 Details of company shareholders:**

Full Legal Name	Country of Incorporation	% Share Capital
EDF Trading Limited	United Kingdom	100%

**4.2 Ultimate Beneficial Owners (individuals):**

Full Legal Name	Nationality	DOB	Country of Residence	% Share Capital
Not applicable				

**OR**

**4.3 Is the company a State-Owned Enterprise (SOE)?**

Yes  No

The ultimate beneficial owner of EDFT Europe Ltd is EDF S.A, which is owned by the French Government.

**4.4 Details of any current subsidiaries in which the company has controlling ownership (greater than 25%):**

Full Legal Name	Place of Incorporation	Total % Ownership
Not applicable		

**4.5 Company Directors and Board of Executives:**

Full Legal Name	Job Title / Position
Guido Santi	Director
Eileen Treacy	Director
Barrie McCloskey	Director
Sylvie Billion	Director

**4.6 Are any of the Ultimate Beneficial Owners or Directors, a Politically Exposed Person (“PEP”), a family member of PEPs or known close associate of PEPs?**

No

**4.7 What is the main business of the company?**

Wholesale commodities trading company, active in selected electricity and natural gas markets which the parent company EDFT Ltd may be unable to access due to local restrictions to UK firms post-Brexit. The company is also active in the trading of biofuels, particularly ethanol.

**4.8 Will any third parties, intermediaries or sub-contractors be used for the purpose of our business relationship?**

Yes  No

**5. SANCTIONS INFORMATION****5.1 Does the Company or one of our subsidiaries, directors & shareholders have any involvement with persons or entities sanctioned under current applicable sanctions programs (i.e. UN, EU, OFSI & OFAC)?**

No

**5.2 Does the Company have any subsidiaries in a country/territory that is under any current applicable sanctions programs?**



No

**5.3 Does the Company currently conduct business in any sanctioned countries?**

No – EDFT Europe Ltd does not conduct any business activity in the following countries: Iran, North Korea, Syria, Russia, Cuba, Crimea Region, Libya, Afghanistan, Sudan, South Sudan, Belarus, Iraq.

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## OWNERSHIP STRUCTURE

