

## ANNEX IV

### **Information to be provided for opening an auction delivery account or a trading account**

1. The information set out in Table III-I of Annex III.
2. Proof that the person requesting to open an account has an open bank account in a Member State of the European Economic Area.
3. Evidence to support the identity of the natural person requesting to open an account, which may be a copy of one of the following:
  - (a) an identity card issued by a State that is a member of the European Economic Area or the Organisation for Economic Cooperation and Development;
  - (b) a passport;
  - (c) a document that is accepted as a personal identification document under the national law of the national administrator administering the account.
4. Evidence to support the address of the permanent residence of the natural person account holder, which may be a copy of one of the following:
  - (a) the identity document submitted under point 3, if it contains the address of the permanent residence;
  - (b) any other government-issued identity document that contains the address of permanent residence;
  - (c) if the country of permanent residence does not issue identity documents that contain the address of permanent residence, a statement from the local authorities confirming the nominee's permanent residence;
  - (d) any other document that is customarily accepted in the Member State of the administrator of the account as evidence of the permanent residence of the nominee.
5. The following documents in case of a legal person requesting to open an account:
  - (a) a document proving the registration of the legal entity;
  - (b) bank account details;
  - (c) a confirmation of VAT registration;
  - (d) the name, date of birth and nationality of the legal entity's beneficial owner as defined in point (6) of Article 3 of Directive (EU) 2015/849 including the type of ownership or control they are exercising;
  - (e) list of directors.
6. If a legal person requests to open an account, national administrators may ask for the submission of the following additional documents:
  - (a) a copy of the instruments establishing the legal entity;
  - (b) a copy of the annual report or of the latest audited financial statements, or if no audited financial statements available, a copy of the financial statements stamped by the tax office or the financial director.

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**Changes to legislation:** There are currently no known outstanding effects for the Commission  
Delegated Regulation (EU) 2019/1122, ANNEX IV. (See end of Document for details)

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7. Evidence to support the registered address of the legal person account holder, if this is not clear from the document submitted in accordance with point 5.
8. The criminal record, or any other document that is accepted by the administrator of the account as criminal record, of the natural person requesting to open an account.

If a legal person requests the opening of an account, the national administrator may request the criminal record, or any other document that is accepted by the administrator of the account as criminal record, of the beneficial owner and/or the directors of this legal person. If national administrator requests the criminal record, the justification for such request shall be recorded.

Instead of requesting the submission of a criminal record, the national administrator may request the competent authority for keeping criminal records to provide the relevant information electronically, in accordance with national law.

Documents submitted under this point may not be retained after the opening of the account.

9. If a document is provided in original to the national administrator, it may make a copy of it and indicate its authenticity on the copy.
10. A copy of a document may be submitted as evidence under this Annex if it is certified as a true copy by a notary public or other similar person specified by the national administrator. Without prejudice to the rules set out in Regulation (EU) 2016/1191, regarding documents issued outside the Member State where the copy of the document is submitted, the copy shall be legalised, except otherwise provided for by national law. The date of the certification or legalisation shall not be more than three months prior to the date of application.
11. The administrator of the account may require that the documents submitted be accompanied with a certified translation into a language specified by the administrator.
12. Instead of obtaining paper documents proving information required under this Annex, national administrators may use digital tools to retrieve the relevant information, provided that such tools are authorised under national law to provide that information.

**Changes to legislation:**

There are currently no known outstanding effects for the Commission Delegated Regulation (EU) 2019/1122, ANNEX IV.