

## Registry Account Opening Guide – Aviation Operators (Dec 12)

### Introduction and Important Points

This guide is to help you complete your Aviation Operator Holding Account (AOHA) application for a UK Registry account in the European Commission's Union Registry. The UK segment of the Union Registry will be administered by the Environment Agency as the National Administrator for the UK. Each Aircraft Operator shall have one account per permit.

### What do I need to do now?

You (the Account Holder) need to review this guide and nominate at least two Authorised Representatives (AR) for your account. The Authorised Representatives will be the main users of the Registry account on behalf of your organisation. You can nominate more Authorised Representatives once your account has been opened and access has been given.

If you intend to use the account for trading purposes (in addition to compliance) then you will also need to set up your Trusted Accounts – this will take at least 7 working days to complete. You also have the option of nominating at least one Additional Authorised Representative (AAR). If you have an AAR on your account then their consent will be required in order to approve certain transactions but the requirement for an AAR on your account is not mandatory.

There are a number of steps you need to complete in order to open an AOHA:

1. Complete an online registration in the new registry to apply for your users and account.
2. Provide the required identification documents for your nominated ARs, (and AAR if applicable).
3. ARs, (and AAR if applicable) to register with European Commission Authentication Service (ECAS).
4. If Trading from your account - Once the account has been opened you will need to set up your Trusted Accounts. Trusted Accounts are not required to complete the surrendering of allowances for compliance.

It can take time to prepare your identity documents, therefore we advise you to start preparing them in advance of the online registration. When you have prepared the documents for your ARs and AAR (if applicable), please send this to the UK Registry Team.

Should you have any problems at this stage then please contact the Registry Help Desk  
[etregistryhelp@environment-agency.gov.uk](mailto:etregistryhelp@environment-agency.gov.uk)

Once you have completed your online registration and made an application for an Aircraft Operator Holding Account in the new Registry – this will be held in our work queue – awaiting final approval from the Registry Team in the UK. The final approval will only be given when all the required identification documentation has been received, checked and validated for your Authorised Representatives and Additional Authorised Representatives (if applicable). Any identification documentation that is incomplete or incorrect will delay the approval process and the allocation of free allowances (if applicable).

All Account Holders (if a legal entity, its company director or company secretary) will need to provide a completed Letter of Authority. Please use the template in Appendix 1 of this guide.

All nominated Authorised Representatives and Additional Authorised Representatives (if applicable) will need to provide us with copies of identification documentation for proof of name and proof of permanent residence (see Section A for full details on what Legal Entity and Authorised Representative documentation is required).

All nominated Authorised Representatives and Additional Authorised Representatives (if applicable) will also need to provide criminal record details as listed in Section A2 of this guide.

You need to review the Data Protection Act Statement in Section C of this guide and act upon it.

You will also be sent and be required to accept the Registry Terms before being given access.

**(Please note that the UK Registry Administrator is not responsible for any failures by third parties (including the EC Central Administrator) to comply with their obligations which may have an impact on an account being opened and/or access being given).**

Please read this guide carefully and provide all the requested documentation to us. Incomplete or missing information will delay the information being processed and your request to us to open an account in the Registry being delayed.

**To ensure your application is dealt with promptly, please read the following points;**

We do not accept documents via fax.

If original documents are sent to us these cannot be returned, so in most cases colour copies are accepted.

However, copies of certified and Legalised / Apostilled documents will NOT be accepted.

Please review the Certification and Legalisation/Apostilling of Documents information in Section D of this guide to ensure that your documents are certified or legalised/apostilled correctly. We cannot accept alternatives.

Documents not certified / legalised/apostilled, or certified / legalised/apostilled incorrectly will not be accepted.

Without exception, no alternative documents will be accepted other than those requested in this guide.

All documents must be certified or legalised/apostilled as appropriate (see Section D). Documents not in English must be accompanied by a certified translation into English.

## A. Supporting Identification Documents

**As an Aircraft Operator you must provide the following 3 documents:**

**A.1.1 Letter of authority** nominating your authorised representatives / additional authorised representatives (please use the 'Letter of Authority' template in Appendix 1 of this guide).

Note - It must be printed on company letter headed paper (if applicable) and signed by a company director or company secretary.

### **A.1.2 Legal Entity Document**

Copy of document proving the Registration of the Legal Entity. e.g. Certificate of Incorporation

or

Copy of Instruments establishing the Legal Entity.

### **A.1.3 List of Beneficial Owners of the Legal Entity** (if applicable)

"Beneficial owner" means those individuals who own or control over 25% of the Aircraft Operator's shares or voting rights or otherwise have control over its management.

### **A.1.4 Aircraft Operators who are individuals**

If you are not a legal entity then you will be required to provide information in respect of yourself during the online application process.

## **A2. Authorised Representative / Additional Authorised Representative Document Requirements**

The Authorised Representatives and Additional Authorised Representatives applying for access to the Registry account must each provide the following 5 documents:

**A2.1. Witness statement** signed by each authorised representative (and AAR if applicable) confirming full name, permanent residential address, place of birth, date of birth, country of birth, landline phone number and company email address. Please use the 'Witness Statement' template in Appendix 2 of this guide.

### **A2.2. Criminal records:**

It usually takes time to obtain a CRB and therefore this should be applied for as soon as possible. You must provide a copy of a criminal record check for every country where you have been resident in the last 5 years.

Where you have been resident in the UK in the last 5 years.

Either;

A copy of a basic Criminal Records Bureau check from Disclosure Scotland (dated within last 30 days)

Disclosure Scotland is a service designed to enhance public safety. This applies to the whole of the UK. <http://www.disclosurescotland.co.uk/what-is-disclosure/>

OR

A copy of a standard Criminal Records Bureau Check from the Home Office (dated within last 30 days).

The CRB check can be obtained from <http://www.homeoffice.gov.uk/agencies-public-bodies/crb/services/crb-checks-fees/>

Both services provide criminal history information for a fee, which is non-refundable and paid for by the applicant.

Where you have been resident outside of the UK in the last 5 years.

For non-UK residents, a copy of the criminal record issued by the government for the permanent residence of the authorised representative, and the additional authorised representative, dated within the previous 30 days or evidence satisfactory to the Administrator that they do not have a criminal record.

Note – It is unlikely that checks completed by commercial organisations will be accepted.

Advice on where to obtain a criminal record check for the country of your permanent residence is also available at:

<http://www.cpni.gov.uk/advice/Personnel-security1/Overseas-criminal-record-checks/>

**A2.3. Authorised representatives / additional authorised representatives must also provide one document from the following table for **Proof of Name****

**A2.4. Authorised representatives / additional authorised representatives must also provide one document from the following table for **Proof of Permanent Residential Address** (if time at this address is less than 3 years – please list previous addresses and dates of residency (including post code).**

**Important Note:**

If any details provided on application change then you must notify the Registry Administrator (UK) of the changes within 10 working days, together with copies of supporting documentation to evidence the changes.

Operators shall notify the administrator of their account within 10 working days if they have undergone a merger of two or more aircraft operators or if they have split into two or more aircraft operators.

## Proof of Name

Please provide a colour copy of just **one** of the below documents for each authorised representative / additional authorised representative. Ensure the copy you send is legible and that all images are clear. The document must be certified or legalised (See Section D).

<b>Proof of Name – Authorised Representatives</b>	<b>UK</b>	<b>Non-UK</b>
UK Citizens	Certified	Legalised/ Apostilled
Current Passport (front and back cover and pages containing photograph and identity information, but excluding blank pages or those containing only visa, entry and exit stamps etc) Note: This document does not need to be in colour.	Yes	Not applicable
Identity Card issued by a state which is a member of the European Economic Area (EEA) or Organisation for Economic Co-operation & Development (OECD)	Yes	Not applicable
Identity Card issued by the Electoral Office of Northern Ireland	Yes	Not applicable
<b>Non-UK Citizens</b>		
Current Passport (front and back cover and pages containing photograph and identity information, but excluding blank pages or those containing only visa, entry and exit stamps etc) Note: This document does not need to be in colour.	Not applicable	Yes
A National Identity Card issued by a state which is a member of the European Economic Area (EEA), or Organisation for Economic Co-operation & Development (OECD)	Not applicable	Yes

## Proof of Permanent Residential Address

Please provide a colour copy of just **one** of the below documents for each authorised representative / additional authorised representative. Ensure the copies you send are legible and clearly display the permanent residential address. **If residence is under 3 years, please also list previous addresses including postcodes and dates of residency.**

<b>Proof of Permanent Residential Address – Authorised Representatives</b>	<b>UK</b>	<b>Non-UK</b>
<b>UK Residents:</b>	<b>Certified</b>	<b>Legalised/ Apostilled</b>
Bank Statement (dated within last 3 months)	Yes	Not applicable
Current Driving Licence (both parts)	Yes	Not applicable
Local authority bill for council tax dated within last 3 months	Yes	Not applicable
Gas, electricity, water or telephone bill dated within last 3 months	Yes	Not applicable
<b>Non-UK Residents:</b>		
A National Identity Card issued by a state which is a member of the European Economic Area (EEA) or Organisation for Economic Co-operation & Development (OECD)	Not applicable	Yes
Any other government issued identity document that contains the address of permanent residence	Not applicable	Yes
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 permanent residence	Not applicable	Yes
Gas, electricity, water or telephone bill dated within last 3 months (but not mobile phone bill printed off the internet)	Not applicable	Yes

Note - Your proof of permanent residential address document you provide cannot be the same as your proof of name document unless it is an ID Card which states the permanent residential address.

## B. Final Checks

You have reached the end of the application. Please use this section to check that you have prepared all the requested documents and know where to send them to.

### B1. Checklist

Please tick off the documents you have prepared. If you have any empty boxes remaining, please go back to the relevant section to check what you have missed.

Are all the documents legible and clear?

Have any translated documents been certified or legalised/apostilled?

Do all of your certified or legalised/apostilled documents fully comply with the 'Certification and Legalisation of Documents' information in Section D of this guide?

#### ***Legal Entity Documents***

Letter of Authority  Is it signed by Company Director/Company Secretary?  Used the template from Appendix 1 of this guide?  Is it on letter headed paper?

Document proving Registration of the Legal Entity.  Is it certified or legalised/apostilled?   
Or

Copy of Instruments establishing the Legal Entity.  Is it certified or legalised/apostilled?

List of Beneficial Owners of the Legal Entity.  (See section A.3)

#### ***Authorised Representative / Additional Authorised Representative Documents***

Witness Statement signed by each of the Authorised Representative / Additional Authorised Representative  Have you used the template in Appendix 2 of this guide?

Copy of Criminal Records  Is it certified or legalised?

One document from the 'Proof of Name' table  Is it certified or legalised/apostilled?

One document from the 'Proof of Address' table  Is it certified or legalised/apostilled?

Have you provided the above documents in section for ALL Authorised Representatives?



## **B2. Postal Address**

If you have ticked all the boxes in the checklist, you are now ready to send your application.

We strongly suggest that you use Royal Mail special delivery or an equivalent secure postal service and send your documents to:

**The Registry Administrator (UK)  
Environment Agency  
Richard Fairclough House  
Knutsford Road  
Warrington  
Cheshire  
WA4 1HG**

Note - We do not accept copies of documents via email or fax.

## **B3. Registry Helpdesk Contact Details**

If you still have questions about the application, please email us at the following email address.

[etregistryhelp@environment-agency.gov.uk](mailto:etregistryhelp@environment-agency.gov.uk)

Emails are answered within 5 working days. We are closed at weekends and public holidays. Working hours are 09:00 – 17:00 (Monday – Friday), Greenwich Mean Time (GMT)/British Summer Time (BST).

Tel: 01925 542594

## Section C

### Data Protection Act – Statement

1. You agree that the Registry Administrator may use the information submitted in or with or in connection with this Form, (including, if You are an individual, any personal information about you) in accordance with the purposes of processing information in connection with the opening of and management of Aircraft Operator Holding Accounts including assessing nominations of authorised representatives, including as set out here.
2. The information that you supply to the Registry Administrator includes personal information about your Authorised Representatives.
3. The Administrator will process that personal information in connection with the ETS Scheme and in accordance with the Data Protection Act 1998 and any other applicable legislation. In order to do so it is important that You notify Your Authorised Representatives that their personal information has been or will be passed to the Registry Administrator and will be used in accordance with clauses 4 and 5 below and that they have consented to such use.
4. The Registry Administrator may use any personal information you have supplied in the following ways:
  - 4.1 for the purposes of assessing information provided by you to comply with identity requirements and processing any application including for an Aircraft Operators Holding Account in the EC Union Registry (which may include making searches with credit reference and fraud prevention agencies, to include background checks,, or checks to identify Politically Exposed Persons (PEPs), and against Financial Sanctions Lists);
  - 4.2 in order to provide, operate and maintain security measures, which may include passing personal information to a digital certificate provider (if any);
  - 4.3 in order to manage accounts in the EC Union Registry in accordance with the ETS Scheme and all applicable laws, including in the case of Account Holders, your Authorised Representatives:
    - (a) by posting certain personal information on a non-secure area of a Website (which may be accessed by the general public) provided that You (the Account Holder) requested the Registry Administrator in writing to display all or some of this information (in order to meet public reporting obligations).;
    - (b) passing certain personal information to the EC Central Administrator for the ETS Scheme for inclusion in the EUTL, the European Transaction Log and/or the EC Union Registry; and
    - (c) passing certain personal information to the ITL Administrator, the UNFCCC Secretariat or the CDM Executive Board;

- 4.4 for the purpose of contacting You in connection with Your Account or the ETS Scheme;
  - 4.5 to enable the Registry Administrator to carry out statistical analysis or research and development in relation to the ETS Scheme;
  - 4.6 to prevent or investigate fraud, money laundering or other unlawful activity;
  - 4.7 to enable the Registry Administrator to comply with any other duties or obligations placed on it under the ETS Scheme including supplying information to the EC Central Administrator in connection with the establishment and operation of the Union Registry and Accounts to be held in it;
  - 4.8 by providing it in accordance with regulation 29 of the Aviation Greenhouse Gas Emissions Trading Scheme Regulations 2010 (SI No. 2010 of 1996) as amended or replaced from time to time;
  - 4.9 in order to comply with the law including the Environmental Information Regulations 2004 (SI 2004/3391); or the Freedom of Information Act 2000;
  - 4.10 by disclosing it to, amongst others, the UK law enforcement and tax authorities, Europol or other EU Registry Administrators in accordance with Commission Regulation (EC) No 2216/2004 of 21 December 2004 as amended or replaced. Or the Central Administrator, or its Service Support Provider.
- 5 The Registry Administrator will only use the personal information supplied by you or your Authorised Representatives in the manner described above. In particular, the Registry Administrator will not sell, rent or trade the personal information supplied by you to others.

## Section D

### Certification and Legalisation/Apostilling of Documents

#### Certification of Documents

Certified colour copies of documents should be delivered. The date of certification, Legalisation or Apostillation must not be more than three months prior to the date of application.

Documents from UK Sources must be certified only by an UK practising Solicitor or Notary Public with current Practising Certificates.

Documents from non UK sources must be legalised or apostilled depending on the status of the country of origin

(See [http://www.hcch.net/index\\_en.php?act=conventions.authorities&cid=41](http://www.hcch.net/index_en.php?act=conventions.authorities&cid=41) for a list of countries where apostilled documents would apply.)

Documents not in English must be accompanied by a translation into English. The Translation must be certified, legalised or apostilled as appropriate.

#### UK Individuals

Copy documents relating to UK individuals may be certified by a solicitor admitted to practice in the UK with a current Practising Certificate or Notary Public with a current Practising Certificate. The person certifying the documents must check the copy document against the original.

The certification should include a statement: **“I refer to the UK Registry Procedures and certify that this copy document is a true copy of the original”** and should include the printed name, signature and profession of the person certifying the document, the name and address of the company, partnership or organisation for whom they work and the date of signature.

#### Non-UK Individuals

Documents relating to non-UK individuals must be Legalised or Apostilled.

# Appendix 1 – Template (to be printed on letter headed paper)

## Letter of Authority

Dear Sirs

### UK Registry:

Authorised Representatives (Minimum no of 2)  
Additional Authorised Representatives (if applicable)

Aircraft Operator Name (Legal Name).....  
CRCO Number.....  
Account Name.....

I hereby nominate the following individuals to act as the Authorised Representatives / Additional Authorised Representatives for the Aircraft Operator Holding (Registry) Account for the Company.

Name.....(Authorised Representative)

Name.....(Authorised Representative)

(If applicable)

Name.....(Additional Authorised Representative)

Name.....(Additional Authorised Representative)

I confirm that I am the Aircraft Operator (if an individual) or a Company Director/Company Secretary (delete as appropriate) of the Company and am authorised to nominate these people as Authorised Representatives.

By signing this I authorise the Environment Agency to make the relevant enquiries and take references to validate the information I have provided. I authorise the use of Credit Reference Agencies to use the information obtained to compile a report and provide the results directly to the Environment Agency. And to check for Politically Exposed Persons (PEPs) and to make checks against Financial Sanctions Lists and system records provided by the UK Identity and Passport Services (Home Office).

I confirm that I have read the Data Protection Statement forming part of the Registry Account Opening Guide (Sept 2012, v1.3) and agree to it.

I confirm that I have read the Registry Terms and Conditions dated June 2012 and agree to them.

Please note that the Terms and Conditions may be modified at any time by the National Administrator. Where modifications have been made the National Administrator will endeavour to notify you, however, it is your responsibility to ensure you regularly check the Environment Agency Website for details of any such modifications.

Name (Block Capitals).....

Position in Company.....

Signed.....

Date...../...../.....

**Appendix 2 – Template**  
**(One to be completed by each nominated Authorised Representative /**  
**Additional Authorised Representative)**

**Witness Statement**

I.....(enter full name in block capitals)  
declare that my details are as follows:

Permanent Residential Address (if less than 3 years please provide details of previous addresses and dates):.....

.....  
.....

Date of Birth:.....

Place of Birth:.....

Country of Birth:.....

Nationality:.....

Direct Landline Number:.....

Company email:.....

I confirm that the details I have provided above and supporting documentation are complete, up to date, accurate and true.

By signing this I authorise the Environment Agency to make the relevant enquiries and take references to validate the information I have provided. I authorise the use of Credit Reference Agencies to use the information obtained to compile a report and provide the results directly to the Environment Agency. And to check for Politically Exposed Persons (PEPs) and to make checks against Financial Sanctions Lists and system records provided by the UK Identity and Passport Services (Home Office).

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Name (Block Capitals).....  
Position in Company.....

Signed.....  
Date...../...../.....