VEET Scheme Registry Account Application Form

Version 1.0 – 1 November 2023

This application form must be used by an applicant who is applying to the Essential Services Commission (the commission) for a Victorian Energy Efficiency Target (VEET) scheme registry account, for the purpose of the holding, transfer and/or surrender of energy efficiency certificates and is not (or is not intending to become) an accredited person (AP).

**Do not use this form** if you or the applicant company is: an existing AP; seeking accreditation; renewing an accreditation; and/or seeking a variation in accreditation conditions, including additional activities. Please use the [[VEU Accreditation application form](https://view.officeapps.live.com/op/view.aspx?src=https%3A%2F%2Fwww.esc.vic.gov.au%2Fsites%2Fdefault%2Ffiles%2Fdocuments%2FFINAL%2520FRM%2520VEU%2520Accreditation%2520Application%2520Form%25201%2520July%25202023_0.docx&wdOrigin=BROWSELINK)](https://view.officeapps.live.com/op/view.aspx?src=https%3A%2F%2Fwww.esc.vic.gov.au%2Fsites%2Fdefault%2Ffiles%2Fdocuments%2FFINAL%2520FRM%2520VEU%2520Accreditation%2520Application%2520Form%25201%2520July%25202023_0.docx&wdOrigin=BROWSELINK), available on our [website](https://www.esc.vic.gov.au/victorian-energy-upgrades-program/participating-veu-program/how-become-veu-accredited-person#tabs-container2), which includes an option to apply for a VEET scheme registry account.

To use this application form, you must have an active VEU administrative account. To apply for a VEU administrative account, got to [www.veu-registry.vic.gov.au](http://www.veu-registry.vic.gov.au) and click on “open a new VEU account”.

Please note: a VEU administrative account provides administrative access only to the VEU portal and does not enable the holding, transfer, surrender of energy efficiency certificates.

**Lodgement**

To lodge your application:

1. Download this form and answer the questions required (see below).
2. Prepare and provide supporting documentation referenced in this form.
3. Create a new application for VEET Scheme Registry Account via your VEU administrative account.
4. Upload this form and the supporting documentation, noting that any documents considered as ‘commercial-in-confidence’ are required to be identified to the commission.
5. You will receive an invoice to pay the applicable application fee at the time of submission:  
   - $2000 for VEET Scheme Registry Account application (subject to any relevant fee waiver considered by the commission).

We will not begin processing your application until the relevant application fee has been paid.

**Instructions**

You must complete all required sections of this form.

For **Relevant Entities or other body corporate applicants who have been assessed as fit and proper by an Australian regulator under an equivalent test** youmay be able to access a streamlined option by completing Section 3.

For such applicants the commission may waive the application fee.

# Application for VEET scheme registry account

When completing this form, please note the following, definitions used:

* **Officer** means all Directors and the Company Secretary of an applicant that is a body corporate and any person who makes or participates in making, decisions that affect the whole of, or a substantial part of, the applicant’s business, for example Chief Executive Officer, Chief Financial Officer, Managing Director etc.
* **Related body corporate** of a body corporate means a subsidiary, holding body corporate or a subsidiary of a holding body corporate of that body corporate.
* **Relevant Entity** means a body corporate applicant that also holds a current licence issued by the commission under the *Electric Industry Act 2000* or the *Gas Industry Act 2001*.
* **Compliance and enforcement action** means regulatory action of any kind (including warnings) that relate to a finding of non-compliance.
* This form must be signed by an authorised officer or a senior manager of the applicant, as defined above.

## Person making this application

|  |  |
| --- | --- |
| Applicant details | |
| **Q1.** VEU account name: | The entity/body corporate name applied to the applicant’s VEU administrative account. |
| **Q2.** Name of person preparing this application: | Person preparing the application to identify their name. |
| **Q3.** Job title: | Person preparing the application to identify their job title. |
| **Q4.** Email: | Person preparing the application to identify their email address. |
| **Q5.** Contact phone number: | Person preparing the application to identify their phone number. |

## Applicant details

|  |  |
| --- | --- |
| Organisational overview | |
| **Q6**. What is the full legal name of the applicant? Please include the ABN for all applicants and ACN for corporate applicants. | Full legal name of applicant, ABN as it is registered with the Australian Business Register and ACN (if the applicant is a body corporate) as it is registered with ASIC. Upload a copy of ABR and/or ASIC Connect record, no more than 30 days old at the time of upload. |
| **Q7**. Please advise the names and job titles of officers**.** | Full name and title of all officers. |

## Equivalent fit and proper assessment

Where the applicant answers yes to either Q8 or Q9 of Section 3, then they may skip Section 4.

If this option is adopted, only the ‘Declaration for the officer submitting the application’ need be completed, not declarations for each officer.

|  |  |
| --- | --- |
| Equivalent test of fit and proper person capacity | |
| **Q8.** Is the applicant a body corporate under the Corporations Act 2001 and does the applicant hold a current licence issued by the commission under the Electricity Industry Act 2000 or the Gas Industry Act 2001? | Yes/No  If yes, please provide details of the license. |
| **Q9.** In the applicant’s opinion, has the applicant been assessed as meeting an equivalent ‘fit and proper’ person test (i.e. requiring similar information to that required below at Section 4) by another Australian regulator, for example by the Australian Securities and Investments Commission in relation to or equivalent to provision of an Australian Financial Services Licence or Australian Credit Licence? | Yes/No  If yes, please provide details of the equivalent test and including any relevant documentation verifying the timing and outcome of the assessment. |

The commission will consider an applicant’s responses to Question 8 and 9 and whether to accept an applicant’s proposed equivalent fit and proper person test.

Where the commission determines that the proposed test is not considered equivalent to the considerations detailed in Part 4, the commission will advise the applicant and provide them an opportunity to submit an application containing the information in Part 4.

## Information to be provided by the applicant to inform the commission’s assessment of a fit and proper declaration

|  |  |
| --- | --- |
| Criminal matters | |
| **Q10**. In the last 10 years, has the applicant, a related body corporate or any of the applicant’s officers been charged or found guilty of an offence involving fraud or dishonesty? | Yes/No  If yes, please provide details of each finding of guilt, and the penalties or sentencing outcomes made in relation to each finding of guilt. |
| **Civil matters** | |
| **Q11.** In the last 10 years, has the applicant, a related body corporate or any of the applicant’s officers, been given a civil penalty by a court, or been found by a court to have engaged in conduct that is dishonest, negligent or in breach of a fiduciary duty? | Yes/No  If yes, please provide details of any finding of dishonest or negligent conduct, or conduct that breached a fiduciary duty. Provide details of all civil penalties issued, and findings of fact made, by civil courts concerning the person’s breach of fiduciary duties, dishonesty, and negligence. State when and where these matters occurred. |
| **Compliance matters** | |
| **Q12.** Has the applicant, a related body corporate, or any of the applicant’s officers (either working for the applicant or any other entity), been the subject of a compliance and enforcement action of any kind (including formal warnings) by an Australian regulator? This could include, but is not limited to:   1. action taken by the Australian Securities and Investments Commission 2. action taken by Consumer Affairs Victoria, WorkSafe Victoria, EnergySafe Victoria, Victorian Building Authority, and the Clean Energy Regulator 3. action in relation to suspected or actual misleading, false or deceptive conduct 4. action in relation to suspected or actual failure to comply with an accreditation condition 5. action in relation to suspected or actual failure to disclose information requested by the commission or required under the VEET Act or the regulations. | Yes/No  If yes, provide details of each instance of compliance and enforcement action taken by an Australian regulator in relation to the person. |
| **Insolvency** | |
| **Q13.** In the past 10 years, has the applicant or a related body corporate become, or have any of the applicant’s officers been an officer of a body corporate that was at any time subject to a debt judgement or insolvency proceedings (including any administration, liquidation or receivership)? If so, please provide details. | Yes/No  If yes, please provide details of external administration, including when and where it occurred, and the person’s involvement in it. |
| **Q14.** In the past 10 years, has the applicant or any of the applicant’s officers become, or ever been declared bankrupt? If so, please provide details. | Yes/No  If yes, please provide details of any relevant bankruptcies, including when and where they occurred. |
| **Disqualification of officers or senior management** | |
| **Q15.** In the past 10 years, have any of the applicant’s officers, either in working for the applicant or any other entity, been disqualified from managing a corporation under the Corporations Act 2001 (Cth)? | Yes/No  If yes, please provide details of details of each disqualification. |

## Required statutory declarations

|  |
| --- |
| Statutory declaration |
| **Q16.** For applicants:   1. that completed Section 4, the following statutory declarations must be provided:  * A declaration for the officer submitting the application, and * A declaration for each other officer regarding the correctness of the information pertaining to their individual circumstances as provided in this form.  1. that did not need to complete Section 4, only a statutory declaration for the officer submitting the application is required. |

## Declaration of the officer submitting the application

|  |  |
| --- | --- |
| Declaration | |
| I declare that:   1. I am authorised to submit this application to the Essential Services Commission (commission) on behalf of the applicant; 2. to the best of my knowledge and belief, and having taken all reasonable steps to verify the information in this form, that all of the information in the application is true and correct as at the date of this declaration; 3. the applicant is, for the purposes of holding, transfer and surrender of VEECs – a fit and proper person; and 4. the applicant, or any related body corporate to a corporate body applicant, does not already hold a VEET scheme registry account.   I understand that:   * it is an offence to give information to the commission that I know to be false or misleading in a material particular; and * provision of incorrect or false information may result in the application for approval of a VEET Scheme Registry Account being refused.   On behalf of the applicant, I consent to the commission disclosing the following information to any person the commission considers appropriate:   * Information relating to matters declared to the commission. * Information relating to Victorian energy efficiency certificates (VEECs) created under the applicant’s VEU account for any period(s) requested by the administrator. * Information relating to any investigations or enforcement actions which may be taken in relation to the applicant by the commission under the VEU program.   I acknowledge that I am required to provide information to the commission upon request as part of the operation of the VEET Scheme Registry Account. | |
| Name: | Click here to enter text. |
| Signature: |  |
| Date: | DD/MM/YY |
|  |  |
| Name (witness): | Click here to enter text. |
| Signature: |  |
| Date: | DD/MM/YY |

## Declaration for all other officers of the applicant

|  |  |
| --- | --- |
| Declaration | |
| I declare that:   * to the best of my knowledge and belief that all the information in the application pertaining to me as an officer of the applicant is true and correct as at the date of this application.   I understand that:   * it is an offence to give information to the commission that I know to be false or misleading in a material particular; and * provision of incorrect or false information may result in the application for approval of a VEET Scheme Registry Account being refused or cancelled.   On behalf of the applicant, I consent to the commission disclosing the following information to any person the commission considers appropriate:   * Information relating to matters declared to the commission. * Information relating to Victorian energy efficiency certificates (VEECs) created under the applicant’s VEU account for any period(s) requested by the administrator. * Information relating to any investigations or enforcement actions which may be taken in relation to the applicant by the commission under the VEU program. | |
| Name: | Click here to enter text. |
| Signature: | A white square with a blue border  Description automatically generated |
| Date: | DD/MM/YY |
| Name (witness): | Click here to enter text. |
| Signature: | A white square with a blue border  Description automatically generated |
| Date: | DD/MM/YY |