



## Information sheet

Admission as „Auction only“- Exchange participant on the Spot Market of the European Energy Exchange (Electronic Bidding)

Date

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Place

**Leipzig**

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**Checklist A05a\_E**

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**002**

## Checklist

This is a checklist to assist with completing the admission to become an "Auction Only" Exchange participant on the Spot Market of the EEX. Please enclose the following documents and certificates:

	Forms	Explanations
<input type="checkbox"/>	Application for Admission as „Auction only“- Exchange participant (A05a)	<p><u>Item 4.1.:</u></p> <p>Please enter all company-relevant information. Entering of the correspondence address is only necessary in case it differs from the business address.</p> <p>Only members of the management board or equivalent may be specified as persons holding management authority according to § 19 (4) Exchange Act.</p> <p>For at least one of the persons mentioned under 4.1 a CV has to be enclosed as a proof of the professional reliability.</p> <p><u>Item 4.2.:</u></p> <p>In addition to the management board signatories, authority to sign on matters related to the exchange membership can be given to non-management board individuals. Should you have a list of signatories who you intend to attach to this application form, this section does not need to be completed.</p> <p><u>Item 4.3.:</u></p> <p>Please provide the contact information for a person (Central Coordinator) in your company who is responsible for the admission process.</p> <p><u>Item 4.4.1.:</u></p> <p>Please name the respective exchange traders.</p> <p>Kindly note, the German regulator requires that all traders registered at EEX take and pass the EEX exchange trader exam. Please contact your Key Account Manager who can provide you with further information.</p> <p><u>Item 4.4.2.:</u></p> <p>Please provide the contact information for a person in your company who is responsible for technical support.</p>

	Forms	Explanations
<input type="checkbox"/>	Application for Admission as „Auction only“- Exchange participant (A05a)	<p><u>Item 4.5.:</u></p> <p>Please provide the contact information for a person in your company who is responsible for invoicing.</p> <p><u>Item 8.:</u></p> <p>The signature of a member of the management board is required. Furthermore, please attach a proof of such authority (e.g. an excerpt from the commercial register or other appropriate documents)</p> <p>Upon signing this application form, the powers to sign as specified in item 4.2 are activated and are then valid for all further application forms, with the exception of the</p> <ul style="list-style-type: none"> <li>- Declaration of Personal Reliability – Member of the Management Board (Form E01; see below for further details)</li> <li>- Declarations of Personal Reliability – Exchange Trader/Trader Assistants (Form E04; see below for further details).</li> </ul>
<input type="checkbox"/>	Declaration of Personal Reliability - Member of the Management Board (E01)	<p>The declaration of personal reliability of the members of the management board of the applicant company (exchange participant) according to para 19 (4) of the Exchange Act, can either be provided by submitting a certificate of good conduct or the signed E01 form.</p> <p>The E01 form or the certificate of good conduct must be provided for all board members listed in the A05 form (item 4.1.). A copy of their ID card or Passport is also required.</p>
<input type="checkbox"/>	Declaration of Personal Reliability – Exchange Trader (E04)	<p>The declaration of personal reliability of exchange traders and trader assistants according to para 19 (5) of the German Exchange Act has to be submitted by every trader and trader assistant who is listed in the A05 form (item 4.4.1.).</p> <p>Such a declaration is made in the E04 form and has to be signed personally by the trader or trader assistant it applies to. A copy of their ID card or Passport has to be enclosed.</p>
<input type="checkbox"/>	Eligibility form	<p>Participation in auctioning of emission allowances according to Commission Regulation (EU) No.1031/2010 requires the proof of the respective eligibility.</p>

	Documents	Explanations
<input type="checkbox"/>	<p><u>German applicants:</u> Certificate of Company Register</p> <p><u>Applicants (not domiciled in the Federal Republic of Germany):</u> Similar documents</p>	<p>Most recent excerpt from the company register for evidence of:</p> <ul style="list-style-type: none"> <li>a) the applicant's registered address; and</li> <li>b) the persons authorised with its legal representation.</li> </ul> <p>The excerpt from the commercial register should not be older than 3 months. If an excerpt of the commercial register is not available, respective certificates need to be provided, thereby providing legal or statutory provisions, as well as legally binding declarations of the company regarding the authorized representatives.</p> <p>For applicants who are not domiciled in the Federal Republic of Germany equivalent documents may be submitted.</p>