

part of eex group



Application for  
admission as  
exchange participant  
to the markets of the  
European Energy  
Exchange

31.01.2023

Leipzig

Doc. A01\_E

Ref. 029F

**- only required as scan -**

# 1. Preliminary note

This application form is used to apply for admission as an exchange participant to the markets of EEX. The admission procedure consists of the following steps:

1. Please return the legally binding signed application for admission as an exchange participant including relevant documentation to:

E-mail:	membership@eex.com
Phone:	+33 1 70 36 33 42

2. In order to receive admission to the exchange, the clearing house of EEX, European Commodity Clearing AG ("ECC AG"), must provide recognition that the applicant is an approved trading participant. Required forms can be downloaded on ECC AG website [www.ecc.de](http://www.ecc.de).
3. The trading of power on the Spot Market takes place at EPEX Spot. Therefore, separate admission to EPEX Spot is necessary for trading power on the Spot Market. For information on the admission procedure, please contact EPEX Spot SE directly. For further information and the relevant contact details please see [www.epexspot.com](http://www.epexspot.com).
4. The Management Board of the Exchange shall inform the applicant in writing of its decision in respect of this application to the exchange.

## 2. Application

### 2.1. Membership application

We hereby apply for the admission as an exchange participant to the following markets and products:

Spot Market	Derivatives Market
Emission Rights Primary Auctions	Power in EUR
Emission Rights Secondary Market	Power in GBP
Natural Gas	Power in JPY
Natural Gas*  <small>* If your traders should not be setup by default on the corresponding Locational (THE) or Hourly products (THE &amp; TTF) please tick this box.</small>	Emission Rights
	Agricultural Products
	Freight
	Natural Gas
	Natural Gas TTF Options
	Liquefied Natural Gas

- as soon as possible  
 as of requested date (dd.mm.yyyy): \_\_\_\_\_

The admission for trading also includes the authorisation to register transactions for clearing within the trading system, for which Trade Registration functionality is offered (not available for whole Gas Market, except TTF Options and LNG Futures).

- The admission shall be restricted to the authorisation to register transactions within the trading system. („Trade Registration Only“)

## 2.2. The legal basis

The legal basis for admission and participation on the exchange is based upon:

1. The Exchange Act of the Federal Republic of Germany.
2. The rules and regulations of EEX in its current form, in particular:
  - Exchange Rules,
  - Trading Conditions,
  - Contract Specifications,
  - Code of Conduct,
  - EEX Trade Registration Rules (incl. TR Contract Specification),
  - EEX-Implementation Regulations as well as
  - Admission Rules.

The above-mentioned legal basis is completed by the relationship between the applicant, the exchange operating companies of the respective markets and the clearing house of the EEX, European Commodity Clearing AG, as well as a legal relationship between the applicant and its clearing member. This affects in particular:

- ECC Clearing Conditions,
- NCM CM Clearing Agreement
- Price lists of the EEX group and, if applicable, the operating company of the respective markets and ECC AG and
- Contracts for technical accesses.

By signing this application, we assure that we are familiar and abide with the above-mentioned rules and regulations. Especially we agree with the validity of the price lists of the EEX Group. All current documentation can be downloaded from the websites [www.eex.com](http://www.eex.com) and [www.ecc.de](http://www.ecc.de).

### 3. General data of the applicant

#### 3.1. Applicant

Name of the Company and Company Register	
Name of the Company according to Company Register	Legal Status
Company Registration No.	Place of Registration
Business Address of the Trading Participant	
Country	Address
Post Code	City
Correspondence Address (only if different to the above address)	
Country	Address
Post Code	City

Persons who are entrusted with the management and the representation of the company's business by law, articles of association or shareholders' agreement (for example proprietor, management director, board member, but not proxy holder or other authorised representatives):

	First Name	Last Name
1		
2		
3		
4		
5		
6		
7		
8		

We hereby declare, that the above-mentioned person(s) as business owner(s) or in another position entrusted with the management of our business according to law, regulations or firm's contract is/are entitled to represent it and has/have the necessary professional qualification for the exchange trading in forms of § 17 (3) of the Exchange Rules.

We provide proof of the personal reliability of all persons referred to in Section 3.1, who are entrusted with the management and the representation of the company's business by law, articles of association or shareholder's agreement by submitting certificates of good conduct or by signing form E01 "Declaration of Personal Reliability (Member of Management Board)".

We enclose the copies of the ID cards.

Correspondence and invoices will be sent in English.

### 3.2. Central Coordinator / Membership Contact

The Central Coordinator is the main contact person and authorised to receive all exchange related matters. This person is responsible for the internal distribution of all EEX information. Only personal e-mail addresses can be accepted.

	First Name	Last Name	Phone	Email
<input type="checkbox"/> Ms. <input type="checkbox"/> Mr.				
<input type="checkbox"/> Ms. <input type="checkbox"/> Mr.				

### 3.3. Contact person(s) for technical requirements, invoicing and compliance

#### IT Contact(s)

	First Name	Last Name	Phone	Email
<input type="checkbox"/> Ms. <input type="checkbox"/> Mr.				
<input type="checkbox"/> Ms. <input type="checkbox"/> Mr.				

#### Invoicing Contact

	First Name	Last Name	Phone	Email
<input type="checkbox"/> Ms. <input type="checkbox"/> Mr.				

#### Compliance Contact

	First Name	Last Name	Phone	Email
<input type="checkbox"/> Ms. <input type="checkbox"/> Mr.				

### 3.4. IMP User

According to Articles 25 and 26 of MiFIR, the relevant data relating to all orders and all transactions in financial instruments, need to be kept at the disposal of the competent authority, for at least five years and the Market Operators need to provide the order record keeping report (RTS24, OJ\* 2017/580) and a daily transaction report (RTS22, OJ\* 2017/590) to the competent authority. The person entitled as IMP User has to be a trader of your company. Not required for Gas Spot Only Member.

	First Name	Last Name	Phone	Email
<input type="checkbox"/> Ms.				
<input type="checkbox"/> Mr.				

### 3.5. Technical connection to the trading systems

For technical access several alternatives are provided depending on the technical infrastructure of the applicant. Regarding questions which connection type is the best solution for the Exchange participant, please do not hesitate to contact the Service Desk Connectivity (+49 341 2156-466) and for Gas Spot the Market Operation Team Paris (+33 173 03 96 24).

To order this connection the form T01 has to be filled in completely and signed by an authorized signatory. By signing T01 a contract of technical access is arranged between EEX AG and the Exchange participant. The fees will be charged according to the price list of EEX AG.

### 3.6. Exchange trader

The Exchange traders mentioned in form A03 "Application for Setup/Deletion of Exchange Traders and Trader Assistants" shall be entitled to act on our behalf on the EEX markets.

We enclose the respective proofs of personal reliability according to para 19 (5) Exchange Act (Form E04 "Declaration of personal reliability (Exchange Trader/Trader Assistant/TR-User)") and copies of the ID cards.

### 3.7. Assurances / Statements

1. We assure that we are familiar with the rules and regulations of EEX and the ECC AG listed in section 2.2 and that we shall acknowledge and observe them.
2. We assure that all necessary national, supranational and/or international authorisations, licenses and permissions have been collected in order to take part on the markets of the EEX. We also assure that trading on the markets of the EEX does not contravene our bylaws or obligations which are known to us.
3. In the event that screens necessary for trading are not installed in the applicant's premises, by signing this application we assure that agreements were made, entitling EEX to check the observance of the requirements for installation and operation of a participant front end installation in the third party's office.
4. We herewith consent to allow representatives of EEX or persons acting on their behalf, to monitor (on the premises of the applicant) at any time compliance with the Rules and Regulations of the EEX as amended from time to time and with the obligations and assurances of the applicant vis-à-vis EEX and their governing bodies.
5. We assure to promptly inform the EEX about changes to the entries, confirmations and declarations, which have been given in context with this application, and to prove such entries, confirmations and declarations.
6. We agree to the publication of our company as an Exchange Participant.
7. We hereby give permission and authorise EEX to record our calls with Market Operations of EEX in order to ensure the orderly operation of the exchange. We assure that we will inform the employees concerned about this practice.

8. We give our consent, that amendments of contact persons named in section 3.3 and 3.4 as well as extensions and reductions of our admission for products on an already admitted market (Spot/Derivatives) of EEX may, in addition to the authorised signatories, also be applied for by the central coordinator(s) listed in section 3.2. by sending the request from one of the e-mail addresses listed in section 3.2. We will inform EEX about any modification of this consent immediately. We are aware of the fact that an extension of the admission is subject to a respective approval by ECC.
9. We agree, that in the context of our exchange membership, ECC AG, if required, acts as authorized recipient for our company. In case we would like to appoint an alternative authorized recipient, we provide EEX with the respective admission form (E07).

### 3.8. Admission documents ECC AG

We are aware that admission for trading on one of the EEX markets can only occur after ECC AG has confirmed recognition of the applicant as a trading participant. Documentation required by the ECC AG can be submitted together with the required EEX documentation.

### 3.9. Authorisation for the exchange of information

We authorise the Management Board of the European Energy Exchange ("EEX") and the operating company of the exchange ("EEX AG") that information and data entered into EEX Systems and all data resulting or derived from such entries in EEX Systems may be transmitted by EEX and/or EEX AG to national and foreign public authorities if demanded by them from EEX or EEX AG and if the requesting authority is subject to a statutory confidentiality obligation according to the laws applicable to them.

We authorise the Management Board of the EEX and EEX AG to exchange information and data regarding the exchange membership within the EEX group as well as within the Deutsche Börse group.

### 3.10. Signature(s) for the application for admission as Exchange Participant to the Spot and/or Derivatives Markets of the European Energy Exchange

The undersigned assures that he has fully informed the contact persons named in connection with the contract, the exchange membership relationship or other legal relationships about the transfer of their personal data and that he has brought to their attention the PRIVACY NOTICE which can be found on our company websites.

Legally binding signature(s) for the whole application and the general data given in Section 3:

Place	Date dd.mm.yyyy	Legally binding signature(s) of applicant  <i>Name(s) of Signatory/ies:</i>
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## 4. Gas Dedicated Functions

(only required in case of Gas admission)

### 4.1 Back Office Contact

**BACK OFFICE CONTACT** will receive the access to the FTP server (trade files and invoices).

	First Name	Last Name	Phone	Email
Ms. Mr.				

### 4.2 Customer Center User

**CUSTOMER CENTER USER** will receive access to the Customer Center.

	First Name	Last Name	Phone	Email
Ms. Mr.				
Ms. Mr.				

### 4.3 Urgent Market Message

**URGENT MARKET MESSAGE** registered contacts will receive all the communications about the gas related topics such as deal cancellation, planned and unplanned market halt.

	First Name	Last Name	Phone	Email
Ms. Mr.				
Ms. Mr.				

## 4.4 Customer Information

**CUSTOMER INFORMATION** registered contacts receive all gas related communications such as new products or services launch, software updates, fees update, trading calendar.

	First Name	Last Name	Phone	Email
Ms. Mr.				
Ms. Mr				

## 4.5 Front Office Manager

**FRONT OFFICE MANAGER** can be contacted by Membership as an escalation contact. He receives all the customer and market information if he subscribed to Customer Info/Urgent Market Message services.

	First Name	Last Name	Phone	Email	
Ms. Mr.					Spot Future
Ms. Mr.					Spot Future

## 4.6 Order Alert

**ORDER ALERT** registered contact(s) will receive an email informing about an order, upon one member's request to Gas Market operations. You can register either for all or for some specific hubs.

	First Name	Last Name	Phone	Email
Ms. Mr.				
Ms. Mr.				

All Active Hubs:

Specific Hubs:

## 4.7 Trade Alert (Optional)

**TRADE ALERT FOR ME:** this service is provided to traders only. Subscribers will receive a trade alert notification only for its own trades as soon as he hits an existing order or is lifted.

	First Name	Last Name	Phone	Email
Ms. Mr.				
Ms. Mr				

**TRADE ALERT FOR MY COMPANY:** this service can be provided to any person within the company. When one trader hits an existing order or is lifted, all Trade Alert registered users from the company will receive a trade confirmation containing the details of the trade. This service will be likely used by back-office and dispatching teams.:

	First Name	Last Name	Phone	Email
Ms. Mr.				
Ms. Mr				

The undersigned assures that he has fully informed the contact persons named in connection with the contract, the exchange membership relationship or other legal relationships about the transfer of their personal data and that he has brought to their attention the PRIVACY NOTICE which can be found on our company websites.

Legally binding signature(s) for data given in Section 4:

Place	Date dd.mm.yyyy	Legally binding signature(s) of applicant  <i>Names of Signatory/ies:</i>
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