

part of eex group



Information Sheet Admission as an Exchange Participant to the Markets of the European Energy Exchange

20.08.2021
Leipzig

Ref. Checklist A01_E
Release 006

Checklist

This is a checklist to assist with completing the admission as an Exchange Participant at the European Energy Exchange. Please enclose the following documents and certificates which are required for an admission as Exchange Participant according to § 17 EEX Exchange Rules.

	Forms	Explanations
<input type="checkbox"/>	Application for Admission as Exchange Participant (A01)	<p>This is the form to apply for an admission as Exchange Participant to the EEX markets.</p> <p><u>Item 2.1.:</u> Application for admission is possible for all markets as well as market sectors and/or products. The selection of markets and/or products will be defined here.</p> <p><u>Item 3.1.:</u> Please enter all company-relevant information. The correspondence address is only required in case it differs from the company address provided. Only members of the management board or the management may be specified as persons holding management authority according to § 17 (3) EEX Exchange Rules.</p> <p><u>Items 3.2. to 3.4.:</u> At least one contact point has to be designated for the fields of admission (Central Coordinator), technology and invoices.</p> <p><u>Item 3.10.:</u> The application has to be signed in a legally binding manner. This can be ensured by representatives of the applicant holding management authority or entitled to sign in accordance with the powers granted to them. We need suitable proof of such authority (e.g. an excerpt from the commercial register or other appropriate documents).</p>
<input type="checkbox"/>	Application for Setup / Modification of Exchange Traders and Trader Assistants (A03)	<p>Application for setup/modification of traders and trader assistants. To be qualified to get admitted as a trader, a person must have passed the EEX Trader Exam or alternatively the Eurex Exam.</p> <p>Trader assistants are traders yet to take and pass the EEX Trader Exam. For the setup of new trader assistants, a responsible trader (as defined above) needs to be appointed. Trader assistants can only be admitted for a maximum of six months.</p>
<input type="checkbox"/>	Declaration of Personal Reliability - Member of Management Board (E01)	<p>The declaration of personal reliability of the members of the management board of the applicant company (Exchange Participant) according to § 19 (4) of the German Exchange Act, can either be provided by submitting a certificate of good conduct or the E01 form.</p> <p>E01 or certificate of good conducts must be provided for all board members listed in the A01 form (item 3.1.). A copy of their ID card or passport is also required.</p>

	Forms	Explanations
<input type="checkbox"/>	Application for Setup / Modification of EEX User IDs (E03)	Application for setup and modification of several system functions and user types in addition to exchange traders and trader assistants. User types and the respective available technical access type (for Info User and TR Users) may be selected in the form.
<input type="checkbox"/>	Declaration of Personal Reliability – Exchange Trader and Trader Assistants (E04)	Declaration of personal reliability of exchange traders and trader assistants according to § 19 (5) of the German Exchange Act, has to be submitted by every trader and trader assistant who has submitted an A03 form. Such a declaration is made with the E04 form and has to be signed personally by the trader or trader assistant to which it applies. A copy of their ID card or passport has to be enclosed.
<input type="checkbox"/>	Mail Authority (E07)	The appointment of an Authorised Recipient is <u>only</u> required for applicants domiciled outside the Federal Republic of Germany. ECC does offer to act as an authorized recipient for a company. In that case, the completion of form E07 would not be required.
<input type="checkbox"/>	Order for Technical Access (T01)	This is the order form for the technical infrastructure to the trading system(s). You will find more information in item 3.5. of form A01.
<input type="checkbox"/>	Straight Through Processing (T08)	This form may be used to stipulate the settings for the confirmation of registered trades.
<input type="checkbox"/>	Due Diligence Questionnaire	The completion of this questionnaire is a regulatory requirement for participants of trading venues pursuant to Commission Delegated Regulation (EU) 2017/584 of 14 July 2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council.
<input type="checkbox"/>	Eligibility Form	If you would like to participate in auctioning of emission allowances according to Commission Regulation (EU) No. 1031/2010, this form please needs to be completed.
<input type="checkbox"/>	<u>German applicants:</u> Certificate of Company Register <u>Applicants (not domiciled in the Federal Republic of Germany):</u> Similar documents	Most recent excerpt from the Register of Companies for the evidence of: <ul style="list-style-type: none"> a) the applicant's registered address; and b) the persons authorised with its legal representation. <p>The excerpt from the Commercial Registry 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 not domiciled in The Federal Republic of Germany, equivalent documents may be submitted.</p>

	Forms	Explanations
<input type="checkbox"/>	Proof of Signatures	Copies of the ID cards are required for all persons who signed the following forms and declarations: a) A01 b) E01 c) E04
<input type="checkbox"/>	Proof of professional qualification y of the persons mentioned in item 3.1. of form A01	For at least one of the persons mentioned in item 3.1., a CV as a proof of the professional qualification has to be attached.
<input type="checkbox"/>	Proof according to § 19 German Exchange Act concerning sufficient equity capital in a form suitable for EEX (at least € 50,000)	Confirmation from an auditor or other acceptable verification for EEX group, for example a business report or an excerpt from a company register. Equity capital includes the total capital and reserves after deduction of withdrawals by the owner; or personally liable shareholder(s); or current loans; as well as the amount of debt exceeding receivables of the owner. If proof of equity capital is not possible, according to § 17 (3) EEX Exchange Rules, an approval by presentation of a bank guarantee or the deposit of money at EEX is possible.