

part of eex group



Due Diligence Questionnaire for exchange members of EEX

24.06.2022

Leipzig

Release 010A

- only required as scan -

With this questionnaire EEX fulfils its obligations under Article 7 of Delegated Regulation (EU) 2017/584 to perform an annual due diligence on its exchange members. It further serves as a means to review and, if needed, update admission related information of EEX's exchange members (including participants of the EEX OTF). You as an exchange member are obliged to duly complete and sign this questionnaire and return it to EEX as requested in the email this form was attached to.

In case you are not sure about the information you have provided EEX with, we kindly refer to the latest Admission Letter you have received from us.

Company		
Company Name		Member ID: <input type="text"/> <input type="text"/> <input type="text"/> E X
Contact person for any questions regarding the questionnaire		
Name	E-Mail Address	
	Phone	
Compliance contact (to be used for any compliance topics related to the exchange membership):		
Name	E-Mail Address	<input type="checkbox"/> New <input type="checkbox"/> Replacing the old contact <input type="checkbox"/> Additional
	Phone	

1. Is your enterprise an affiliated undertaking of any other exchange member(s) of EEX within the meaning of § 11 Para. 6 Clauses 4 and 5 of the Saxon Exchange Law Execution Ordinance (SächsBörsDVO)?

- ☐ No.
☐ Yes, of the following exchange member(s): _____

2. If your enterprise uses systems for algorithmic trading as defined in Sect. 1.10 of the EEX Technical Implementation Regulation at EEX, please confirm the following:

- ☐ We confirm
 - that all systems for algorithmic trading that are connected to EEX under our Member ID, including via DEA, ORS and OEA, have been notified to EEX and
 - that we use post-trade controls on our trading activities whenever systems for algorithmic trading as defined in Sect. 1.10 of the EEX Technical Implementation Regulation are involved.
- ☐ Not applicable – no systems for algorithmic trading used at EEX.

If you are not able to check one of the boxes above, please contact your EEX Key Account Manager proactively and immediately.

3. Have the person(s) entrusted with the management and representation of your enterprise changed since the latest Admission Letter?

- ☐ No. ☐ Yes, updated information (form) attached

If you need the respective form, please contact your EEX Key Account Manager proactively and immediately.

4. Please confirm that no reasons to doubt the personal reliability of the person(s) entrusted with the management and representation of your enterprise have come up during the last year (this question refers to the persons listed under 4.1. of the A01 form and updates thereof).

☐ Confirmed

If you are not able to confirm, please contact your EEX Key Account Manager proactively and immediately.

5. Please confirm that – during the last year – your enterprise has performed (itself or through an eligible third party) the technical and functional conformance testing according to Section 2.1.1.4 and 2.1.2 of the EEX Technical Implementation Regulation
- before implementing a new connection to our trading system and
 - before any update of our trading system that requires such testing as informed by EEX.

☐ Confirmed

☐ No confirmation needed (see Appendix)

If you are not able to check one of the boxes above, please contact your EEX Key Account Manager proactively and immediately.

6. Please state if there have been any changes during the last year with regards to your enterprise's registration as an authorized investment firm as defined in Art. 4(1) of Directive 2014/65/EU.

☐ No changes

☐ Yes, updated information attached

7. If you are admitted to participate in the EUA/EUAA primary auctions, please confirm that during the last year/since admission (whichever period is shorter) there have been no changes that would affect your enterprise's categorization in the Eligibility Form or eligibility criteria under Article 18 of the Auctioning Regulation.

☐ Confirmed

☐ Not confirmed, updated Eligibility Form attached

8. Does your enterprise grant indirect access to EEX?

☐ Yes

☐ No

If yes, please check if you have provided all required forms! If you are not sure if you have provided all required forms, please contact your EEX Key Account Manager proactively and immediately.

9. As exchange member your enterprise has direct access to EEX. Does it additionally use indirect access to EEX? If yes, who is the indirect access provider?

☐ Yes, Access Provider: _____

☐ No

With our signature, we confirm and approve all changes and amendments to the List of Services and Prices of EEX AG and the ECC Price List that have been implemented until the date of signature of this form.

The signatory/ies assure(s) that the contact persons named in connection with the exchange membership relationship or other legal relationships have been fully informed about the transfer of their personal data and that the PRIVACY NOTICE, which can be found on EEX Group's company websites, has brought to their attention.

Place	Date dd.mm.yyyy	Enterprise stamp and legally binding signature(s) of exchange member Name(s) of Signatory/ies:
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Appendix:

To Question 5:

No confirmation is needed for the following systems:

- TT Screen (conformance is ensured)
- Eurex T7 Trading GUI (conformance is ensured)
- Trayport Joule Screen (conformance is certified by trayport to EEX directly)
- Exxeta (conformance is certified by Exxeta to EEX directly)