

part of eex group



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

04.07.2024

Leipzig

Doc. A01\_E Ref. 030

**- 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 at EEX for trading on the following market segment(s):

- ☐ Spot Market
  - ☐ limited to participation in EUA Primary Spot Auction
- ☐ Derivatives Market
- ☐ as soon as possible
- ☐ as of the following date (dd.mm.yyyy): \_\_\_\_\_

The following membership package as described in the List of Services and Prices of EEX AG shall apply.  
(Please choose the membership package that comprises all products you intend to trade)

- ☐ EEX Full Membership
- ☐ EEX Power Plus Membership
- ☐ EEX Natural Gas Plus Membership
- ☐ Environmental and Emerging Markets Membership
- ☐ Primary Auction Only Membership

## 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,
  - Admission Rules,
  - Trading Conditions,
  - Contract Specifications and Contract Specification for Trade Registration,
  - Code of Conduct,
  - EEX Implementation Regulations as well as
  - Announcements and decisions of the Management Board of the Exchange.

The above-mentioned legal basis is supplemented by the legal relationships between the applicant, the exchange operating company and the clearing house of the EEX, European Commodity Clearing AG (ECC AG), as well as a legal relationship between the applicant and its clearing member. This includes in particular:

- ECC Clearing Conditions,
- NCM CM Clearing Agreement
- List of Services and Prices of EEX AG and the Price List of ECC AG and
- Contracts for technical accesses.

By signing this application, we assure that we are familiar and comply with the above-mentioned rules and regulations. Especially we agree with the validity of the List of Services and Prices of EEX AG and the Price List of ECC AG. 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
Invoice Address (only if different to the above address)	
Country	Address
Post Code	City

### 3.2. Executive Officers/Managing Directors

Persons who are entrusted with the management of the applicant and empowered with its representation according to law, articles of associations or deed of partnership (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		

### 3.3. Central Coordinator / Membership Contact

The person(s) listed below shall be appointed as the Central Coordinator(s) to act as the main contact person for exchange related membership matters. Only personal e-mail addresses can be accepted. The Central Coordinator(s), also CC,

(i) shall be responsible for the internal distribution of all European Energy Exchange (EEX), EEX AG information

(ii) shall be authorized to represent and make declarations on behalf of the member vis-à-vis EEX, EEX AG, and

(iii) will receive access to the Member Section and the Customer Portal and may administrate the user accounts therein.

Mr/Mrs	First Name	Last Name	Phone	Email

This person will get access to the Member Section & Customer Portal

### 3.4. Contact person(s)

#### IT Contact

Mr/Mrs	First Name	Last Name	Phone	Email

#### Invoicing Contact

Mr/Mrs	First Name	Last Name	Phone	Email

#### Compliance / Legal Contact

Mr/Mrs	First Name	Last Name	Phone	Email

### Security Administrator for T7 Admin GUI (Mandatory for EUREX T7 Trading System)

T7 GUI connection via Internet is not charged for participants with a EEX production session setup.

This User is authorized to manage Transaction Size Limits (TSL) and User accounts in T7 Trading System.

Mr/Mrs	First Name	Last Name	Phone	Email

### 3.5. IMP User

According to Articles 25 and 26 of Regulation (EU) 600/2014 (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, Delegated Regulation (EU) 2017/580) and a daily transaction report (RTS22, Delegated Regulation (EU) 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.

Mr/Mrs	First Name	Last Name	Phone	Email

### 3.6. 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 applicant, 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 or CC. By signing T01 a contract of technical access is arranged between EEX AG and the applicant. The fees will be charged according to the List of Services and Prices of EEX AG in its respective valid version.

### 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. We confirm that the person(s) listed under section 3.2 has/have the necessary professional qualification for engaging in exchange transactions.
4. We assure that neither the applicant nor the signatory/-ies have knowledge of any circumstance that would give reason to doubt the personal reliability of any of the persons listed under section 3.2. In particular,
  - a. we assure that neither the applicant nor the signatory/-ies are aware of any preliminary or main proceedings pending against these persons for punishable acts related to assets, taxes or other in connection with their previous occupation or their participation in exchange dealings or have been pending against them within the last five years. This does not include proceedings resulting in an acquittal or a discontinuation in accordance with Article 170 StPO (German Code of Criminal Procedure).
  - b. we assure that neither the applicant nor the signatory/-ies are aware of any violations committed by any of these persons against
    - the trading and consulting regulations,
    - the guidelines for own securities business of staff members of credit institutions or comparable internal regulations,
    - the regulations of the German Securities Trading Act, in particular the insider regulations and the rules of good behavior,
    - the German Exchange Act and the Exchange rules and regulations
 within the last three years nor that there are corresponding proceedings pending against them.
  - c. we are aware, that if the assurance under items a) and b) cannot be given in their entirety, then the relevant wording has to be marked up and further details have to be provided on a separate sheet.
  - d. we confirm that the applicant will inform the Management Board of the Exchange as soon as possible if there are any changes in the confirmations given under item a).
  - e. we acknowledge that the Management Board of the Exchange may – at any time – request further documents that are relevant for the evaluation of the reliability of these persons.
5. 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.

6. 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.
7. 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.
8. We acknowledge that upon admission to a market segment, we will be able to trade only those products, for which we have been recognised as trading participant by ECC AG. Trading includes orderbook trading and registration of transactions within the trading system (Trade Registration) for products for which the Trade Registration functionality is offered.
9. In case we trade a product that is not comprised by the membership package we have chosen with this application we acknowledge and agree that EEX AG will change the applied membership package pursuant to the List of Services and Prices of EEX AG accordingly.
10. We agree to the publication of our company as an Exchange Participant.
11. We hereby give permission and authorise EEX to record our calls with the market supervision of EEX in order to ensure the orderly operation of the exchange. We assure that we will inform the employees concerned about this practice.
12. 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 Boards of the European Energy Exchange ("EEX") and the operating company of EEX, European Energy Exchange AG ("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 Boards 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/she 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/she 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	Legally binding signature(s) of applicant  <i>Name(s) of Signatory/ies:</i>
-------	------	-----------------------------------------------------------------------------------



## 4. Additional Gas Dedicated Functions

(only required in case of admission to Gas market)

### 4.1. Back-Office Contact

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

Mr/Mrs	First Name	Last Name	Phone	Email

### 4.2. 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.

Mr/Mrs	First Name	Last Name	Phone	Email

### 4.3. Customer Information

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

Mr/Mrs	First Name	Last Name	Phone	Email	
					Spot Future
					Spot Future

### 4.4. 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.

Mr/Mrs	First Name	Last Name	Phone	Email

**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.

Mr/Mrs	First Name	Last Name	Phone	Email

The undersigned assures that he/she 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/she 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	Legally binding signature(s) of applicant  <i>Names of Signatory/ies:</i>
-------	------	---------------------------------------------------------------------------------