



A05
Application for Admission as „Auction only“-
Exchange participant on the Spot Market of
the European Energy Exchange

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2. Preliminary note

This application form is used to apply for admission as an exchange participant exclusively for participation in the primary allocation of emission rights (Auction only) on the EEX Spot Market. The admission procedure consists of the following steps:

1. Please return legally signed application form including relevant documentation to:

European Energy Exchange Admission Services Augustusplatz 9 04109 Leipzig Germany Phone: +49 (0)341 2156-261 Fax: +49 (0)341 2156-559 E-mail: admission@eex.com
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2. In order to receive admission to the exchange, an admission as a clearing member or non-clearing member to the EEX clearing house, the European Commodity Clearing AG (ECC AG) shall be deemed necessary. Our ECC AG colleagues are pleased to provide you with further information and answer your queries under phone number +49 (0)341 24680-444. Please also feel free to visit our ECC AG website www.ecc.de.
3. The management board of the exchange shall inform on the results of the application by written notification.

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

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-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 applies particularly to the:

- ECC Clearing Conditions,
- NCM CM Clearing Agreement and
- Price lists of the EEX group and, if applicable, the operating company of the respective markets and ECC AG
- 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 and www.ecc.de.

3. Application

We hereby apply for admission as an Exchange Participant exclusively for participation in the primary allocation of emission rights on EEX Spot Markets

as soon as possible

requested date (dd.mm.yyyy): __ __ ____

Costs are charged according to the current valid price list of European Energy Exchange AG. Currently no annual fee is charged for Auction only.

4. General data of the applicant

4.1. Applicant

Name of the Company and Company Register	
Name of the Company according to Company Register	Legal Status
Sector	
Company Registration No.	Place of Registration
Address of the Trading Participant	
Country	Address
Post Code	City
Correspondence Address (only if different to the above address)	
Country	Address
Post Code	City
Address of the Front office (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 (Proprietor, Management Director, Board Member, but not Procurators or other authorised representatives):

	Name	First Name
1		
2		
3		

We hereby declare, that the below 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 § 18 (3) of the Exchange Rules.

We provide proof of the personal reliability of all persons referred to in Section 4.1, 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 copies of the ID-cards.

Correspondence and invoices will be sent in English.

4.2. Persons entitled to sign vis à vis EEX

The following persons are authorised, to represent and to sign for all exchange or exchange membership related matters.

This does not include the authorisation to participate in trading, since the admission to the EEX as an exchange trader is necessary.

Gegenüber EEX zeichnungsberechtigte Personen					
	Name	First Name	Specimen signature	Entitled to sign on his own	Only allowed to sign together with No.
1				<input type="checkbox"/>	
2				<input type="checkbox"/>	
3				<input type="checkbox"/>	
4				<input type="checkbox"/>	
5				<input type="checkbox"/>	
6				<input type="checkbox"/>	

Please see the attached signature list for authorised representatives.

4.3. Central Coordinator

The Central Coordinator is main contact person and authorized to receive in all Exchange related matters. He/She is responsible for the internal distribution of all EEX information. For the participation in primary auctions, the Central Coordinator is entitled to issue Trading-on-Behalf orders.

Central Coordinator					
	Name	First Name	Phone	Fax	E-Mail
<input type="checkbox"/> Ms					
<input type="checkbox"/> Mr					

4.4. Type of auction participation

Bidding may be effected via Trading-on-Behalf by the Central Coordinator. Alternatively electronic bidding is possible. In that case a trader needs to be named and a technical access to the auction system needs to be set up.

We would like to participate in the auction via

Trading-on-Behalf

Electronic bidding.

4.4.1. Exchange Traders

For participation via electronic bidding we apply for the admission of the following Exchange traders:

Exchange Trader(s)					
	Name	First Name	Date of Birth	Phone	E-Mail
Ms					
Mr					
Ms					
Mr					
Ms					
Mr					

We enclose the proof of personal reliability according to para 19 (5) Exchange Act (form E04 „Declaration of Personal Reliability (Exchange trader)”) as well as copies of the ID-cards.

5. Assurances / Statements

1. We assure that we are familiar with the rules and regulations of EEX and ECC AG, listed under point 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 EEX Spot Market. We also assure that trading on the markets of the EEX does not contravene our bylaws or obligations which are known to us, etc.
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. The applicant hereby agrees that all fees incurred in accordance with the price list may be collected from the German account indicated on the credit transfer instruction enclosed as copy.
6. 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.
7. In case we have provided a fax number in the USA to the EEX, we agree to the conveyance of faxes to this number.
8. We agree to the publication of our company as an Exchange Participant.

6. Admission documents ECC AG

We are aware that the admission to trading for one of the EEX Markets may only be given in case of a coexistent admission as clearing member or non-clearing member as well as an approval as trading participant by ECC AG. Therefore we will provide the documentation required by ECC AG simultaneously.

7. Authorization for the exchange of information within the EEX Group

We authorise the management board of the exchange and the operating companies of the exchange to exchange information and data regarding the exchange membership within the EEX group, EPEX Spot SE and ECC AG as well as Deutsche Börse Group.

8. Signature(s) for the application for admission as "Auction-only" Exchange participant

Legally binding signature(s) for the whole application and the general data given under point 4:

Place	Date DD.MM.YYYY	Company stamp and legally binding signature(s) of applicant
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