

part of eex group



Application for approval as a Trading Participant in Emission Rights Spot Contracts and Emission Rights Futures

Required in single copy

07.09.2017

Leipzig

Ref. TP_EEX_04

Release 004

Preliminary remark

With this form you are applying for approval as a Trading Participant in Emission Rights at European Commodity Clearing AG (ECC) in accordance with the Clearing Conditions of ECC.

The physical settlement of Emission Rights will be effected by European Commodity Clearing Luxembourg S.a.r.l. (ECC Lux) a subsidiary of ECC. Both ECC and European Commodity Clearing Luxembourg S.a.r.l. will be mentioned in this form as ECC.

Approval as a Trading Participant requires

- (a) participation in clearing as a Clearing Member or Non-Clearing Member for the market, where the respective product is being traded,
- (b) admission as an exchange participant at the market or a comparable and by ECC as equivalent acknowledged access to the market, the respective product is being traded on.

Approval involves the following steps:

1. Please fill in the application form for approval as a Trading Participant. You shall sign it in a legally binding manner.
2. Send this application in scanned version to the following E-Mail address:

MemberReadiness@ecc.de
Phone: +49 341 24680 261

3. ECC shall decide on the application regarding approval as a Trading Participant and it shall inform the applicant and the European Energy Exchange thereof.

Application

We hereby apply for approval as a Trading Participant in the following products according to the Clearing Conditions of ECC:

- ☐ Emission Right Spot Contracts
- ☐ Emission Right Futures

The legal bases for approval as a Trading Participant are established in:

- this application,
- the Clearing Conditions of ECC,
- the Clearing Agreement (Clearing Member) or NCM Agreement (Non-Clearing Member) and
- the price list of ECC.

By signing this application we confirm that we are familiar with the above mentioned rules and regulations and that we acknowledge and observe these. The respective current version of said documents can be downloaded from the ECC website at www.ecc.de.

Applicant

Member-ID:

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text" value="E"/>	<input type="text" value="X"/>
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Name of the Company and Company Register

Name of the Company according to excerpt from company register

Legal status

Tax number

Sales tax identification number

Setup user physical settlement/ delivery

Herewith we request the following persons (at least two) to be setup as User with the right to initiate registry transfer requests of Emission Rights within the ECC Member Area:

Name, First Name	Phone	E-Mail

VAT Details

VAT details are only required if a classification for the purpose of VAT treatment hasn't taken place previously or these classifications are not relevant for deliveries of Emission Rights. We have attached the form TP07 "VAT Details" with this application if applicable.

Setup Trusted Account List (optional)

Herewith we request to add the following registry accounts to the Trusted Account List of ECC:

Registry Account	Account Holder

The activation of the above mentioned registry accounts within ECC's Trusted Account List will be effective at the Union Registry within seven business days. As soon as a registry account is added to the Trusted Account List of ECC, transfers of emission allowances requested via the ECC Member Area will be processed without a delay of 26 hours of the Union Registry. Such transactions could not be revoked afterwards.

Declarations by the Trading Participant

1. We hereby assure that we will acknowledge and observe the rules and regulations of ECC (in particular the Clearing Conditions) and the rules and regulations of European Energy Exchange in their respectively valid versions.
2. This agreement shall expire as soon as ECC receives and approves the cancellation. The agreement can only be cancelled if there are no open positions and stock on accounts.

On behalf of the Trading Participant:

Place	Date	Company stamp and legally binding signature(s)