

› eex group

Appendix for GOs
to the EEX Group KYC
(Know-Your-Customer)
Questionnaire

Required in single copy

03.05.2023
Leipzig

Release 0002

- only required as scan -

Name of Applicant (Company's name):	Member-ID:*	E	X
	* Need to get filled only in case you are already Member at ECC. NEW members can leave it blank.		

1. Why does your company want to be a member on the EPEX SPOT European Guarantees of Origin Market (e.g. cover your end-consumption with green electricity, re-sell GOs, etc.)?

2. What will your expected annual activity be on the EPEX SPOT European Guarantees of Origin Market?

	0 GWh	0 – 250 GWh	250 GWh – 1 TWh	> 1 TWh
Buy				
Sell				

3. Please provide the list of the top-3 counterparts you trade Guarantees of Origin with.

Counterparts

4. Which issuing countries of Guarantees of Origin are you expecting to buy and sell?

Buy	Sell

5. Which are the European Guarantees of Origin registries on which your company is an Account Holder?

European Guarantees of Origin Registry	Entry date

6. Which are the other certificates registries/markets where you are active? (if applicable)

a. Non-EU renewable energy certificate systems (REC, REGO, I-REC/TIGR)

Non-EU renewable energy certificate	Entry date

b. Other certificate markets (e.g., white certificates, ROC, elercert, Certificati Verdi)

Other certificate markets	Entry date

7. Who are the GO traders working for your company?

Name, First name	Date of birth	Full time		Employed by another firm (which?)	Experience on trading systems (which?)
		Yes	No		
		Yes	No		
		Yes	No		
		Yes	No		
		Yes	No		
		Yes	No		
		Yes	No		

Signature(s)

We recognize that the companies being part of the EEX Group are obliged to implement measures against money laundering, financing of terrorist activities and fraud (e.g. VAT tax fraud) and that the information in this questionnaire is used to fulfill regulatory requirements. We authorize the companies being part of the EEX Group to use the information given in this questionnaire internally and to exchange information in this questionnaire with the partner exchanges within the Group where the applicant is admitted for trading or has applied for admission.

We declare in good faith that all information, answers and documents provided with this questionnaire are exact and authentic. We have omitted no important information that could have impact on the judgment made about our request for admission. We accept to answer to any other question you might have in the future to comply with your legal obligations.

As part of this GO admission process, EEX Group collects confidential business information (Confidential Information¹).

EEX Group agrees and commits not to disclose nor to disseminate Confidential Information to a third party except to EEX Group entities, Shareholders and entities or other institutions directly involved in performing the duties and responsibilities of EEX Group (such as, for instance, clearing institutions or supervisory and regulatory authorities). Therefore, by filling out this GO Annex to the KYC Questionnaire, the applicant hereby expressly authorizes EEX Group entities to share with each other collected Confidential Information. In such case, EEX Group remains responsible for ensuring the confidentiality of the Confidential Information shared and acknowledges that in case of a breach of this obligation of confidentiality, the applicant shall be entitled to claim compensation from the EEX Group entity which is in breach of its confidentiality obligation for any direct financial damage resulting from such a breach. This compensation obligation is limited to a cap of ten thousand Euros (10.000 €), all damages included.

*As part of this GO admission process, EEX Group also receives and/or collects and processes personal data from/of traders, employees or any other representative of the applicant ("**Data Subject**"). This includes among others their contact details (name, email and postal address, phone number) and connection details ("**Personal Data**") received, collected and/or processed:*

- i) either directly by submission of such information to EEX Group by the Data Subject. Any detail related to the processing of such Personal Data, including the rights of Data Subjects, is available on demand; or*
- ii) indirectly via the applicant. In such a case, the applicant warrants that the collection and processing of Personal Data by it, including the transfer itself by it to EEX Group, has been and, up to the moment of the transfer, will continue to be carried out in accordance with all applicable Data Privacy Regulation³.*

Therefore, the applicant hereby expressly authorizes each EEX Group entity to share this Personal Data with other EEX Group entities, for the purpose of GO admission and operation processes coordination within EEX Group. The applicant herewith confirms that the applicant has obtained any consents from the Data Subject to the extent required by law. The applicant also agrees that if the EEX Group is held liable by a Data Subject for any breach of the Data Privacy Regulation due to the processing of Personal Data under ii), it will indemnify EEX Group for any cost, charge, damages, expenses or loss it has incurred

Place	Date	Company stamp and legally binding signature(s) of the company Signature(s):
		Name(s) in capital letters:

¹ Confidential information refers to any information whether or not marked as confidential, including, but not limited to, documents, data, processes, reports, records, financial information, customer information and contents of the discussions/negotiations with EEX Group, directly or indirectly related to the process of application as a member of EEX Group markets, which has been provided or for which access has been given to EEX Group in writing, electronic or any other form in the framework of the process of application. Confidential Information does however not include information which has come into the public domain through no fault or negligence of EEX Group

² Personal Data" and "Data Subject" shall have the same meaning as in the General Data Protection Regulation (Regulation (EU) 2016/679) on the protection of individuals with regard to the processing of Personal Data and on the free movement of such data ("GDPR")

³ Data Privacy Regulation" refers to the GDPR and any other applicable national data privacy law.