

part of eex group



Order Routing System,
Direct Electronic
Access and Other
Electronic Access

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Leipzig

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Please send the scanned version to
MemberReadiness@ecc.de

- only required as scan -

Order Routing System, Direct Electronic Access and Other Electronic Access

1. General data of the applicant

Member ("Applicant"):

European Commodity Clearing AG

Member Readiness

Phone: +49 341 24680-261

Email: MemberReadiness@ecc.de

For Gas related requests:

Phone: +33 173 03 7671 / 7688

Email: Membership@powernext.com

Company name

Name of technical contact

Street or P.O.B.

Postal code, City, Country

Telephone

Email-Address

Member ID (if known)

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2. Application

Sponsored Access	
Setup	Technical Access
<p>Herewith we apply for the authorisation to connect a Direct Electronic Access (DEA) in the form of Sponsored Access to the EEX trading system pursuant to Sec. 2.6 of the EEX Technical Implementation Regulations.</p> <p>Herewith we apply for the authorisation to connect an additional User-ID for an already approved Sponsored Access.</p>	<p>Trayport® Joule® or EEX Joule Direct Screen (owned by DEA client)</p> <p>TT Screen (owned by DEA client)</p> <p>EUREX T7 GUI (owned by DEA client)</p>

3. Notification

Order Routing System (ORS)	
Setup	Technical Access
<p>Herewith we notify EEX of the connection of an Order Routing System (ORS) to the EEX trading system(s) pursuant to Sec. 2.4 of the EEX Technical Implementation Regulations.</p> <p>Herewith we notify EEX of the connection of additional User-IDs for an ORS already notified to EEX as specified below.</p>	<p>Trayport® Joule® or EEX Joule Direct Screen</p> <p>TT Screen</p> <p>EUREX T7 GUI</p>

Direct Market Access (DMA)	
Setup	Technical Access
<p>Herewith we notify EEX of the connection of a Direct Electronic Access (DEA) in form of Direct Market Access (DMA) to the EEX trading system pursuant to Sec. 2.5 of the EEX Technical Implementation Regulations.</p> <p>Herewith we request additional User IDs for an already notified DMA as specified below.</p>	<p>Trayport® Joule® or EEX Joule Direct Screen</p> <p>TT Screen</p> <p>EUREX T7 GUI</p>

Other Electronic Access (OEA)	
Setup	Technical Access
<p>Herewith we notify EEX of the connection of an Other Electronic Access (OEA) pursuant to Sec. 2.7 of the EEX Technical Implementation Regulations.</p> <p>Herewith we request additional User-IDs for an already notified OEA as specified below.</p>	<p>Trayport® Joule® or EEX Joule Direct Screen</p> <p>TT Screen</p> <p>EUREX T7 GUI</p>

4. Responsibility

The responsibility in the sense of the EEX Technical Implementation Regulation hold(s) the following exchange trader(s) admitted for the Applicant (for ORS) or person(s) (for Sponsored Access, DMA or OEA):

	User 1	User 2	User 3
Name of responsible trader / person			
Email of responsible trader / person			
Phone of responsible trader / person			
Number of ORS User IDs			
Number of Sponsored Access User IDs			
Number of DMA User IDs			
Number of OEA User IDs			
Product setup	Derivatives Market Spot Market EUA Spot Market Natural Gas ¹	Derivatives Market Spot Market EUA Spot Market Natural Gas ¹	Derivatives Market Spot Market EUA Spot Market Natural Gas ¹

Please use an additional sheet, if more than three Users are required.

Any changes of the responsible trader(s) and person(s) have to be reported to EEX immediately.

5. Declaration of consent for publication on the EEX website

Yes, we agree to be listed on EEX's website as an exchange participant that offers market access to EEX for non- members. Please use the following URL as link to our website:

No, we do not agree to be listed on EEX's website as an exchange participant that offers market access for non- members.

We already declared our consent or refusal regarding a publication on the EEX website.

¹ For Gas Spot: In case the user wants a setup that differs from your company's setup, please ask your authorized signatory or central coordinator to send an email specifying the user's name and the requested setup at membership@powernext.com

6. Declarations

We guarantee that at all times we will comply with the conditions, requirements and instructions as set out in the EEX Exchange Rules (ORS, OEA and DEA), in section 2.4. of the EEX Technical Implementation Regulation (for ORS), in section 2.7 of the EEX Technical Implementation Regulation (for OEA) or as stated below (for DEA):

- a) We have ensured contractually that only persons that are personally reliable and that have the required professional qualifications enter, change or delete orders in the T7 trading system.
- b) We submit all our potential DEA clients to a due diligence examination in order to ensure that these comply with the requirements of the Delegated Regulation (EU) 2017/589 and the rules and regulations of EEX.
- c) We have ensured contractually that our DEA Customers fulfill the pre- and post-trade obligations according to sec. 19 paragraph 2 of Regulation (EU) 2017/589. We monitor our DEA Clients' compliance with these requirements continuously.
- d) All orders and trades which are entered into the trading system or concluded in it by a person using a DEA we have granted will be labeled as such.
- e) The EEX Technical Implementation Regulation will be complied with at all times with regard to the technical access.
- f) We have ensured contractually that if our DEA clients connect a system for algorithmic trading to the trading systems of EEX, they will comply with all requirements regarding such systems and we will notify the connection of such system by our DEA Clients to EEX according to Section 2.3.1.2 of the EEX Technical Implementation Regulation.
- g) We will forward the User IDs provided to us by EEX to our DEA Clients and have ensured contractually that they will exclusively use these User IDs when trading at EEX.
- h) Whenever we permit any of our DEA clients to grant DEA for third parties, we will ensure that our DEA clients have put in place for such third parties due diligence procedures which are, at least, equivalent to the procedures outlined in letter c).
- i) Additionally, in case of Sponsored Access:
 - i. The DEA clients are subject to our pre-and post- trade controls.
 - ii. Only we are entitled to specify or amend the parameters for these pre-and post-trade controls.
 - iii. The parameters for risk controls and trade limits established at EEX are observed.

Please consider encrypting the information you provide. We offer you the use of our secure platform of document exchange. If you would like to arrange an individual setup for secure transmission please contact us.

The undersigned assures that he 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 has brought to their attention the PRIVACY NOTICE which can be found on our company websites.

Place	Date	Signature(s) of the company
		<p style="text-align: center;">Name of Signatory/-ies:</p>