part of eex group

Eligibility form EU ETS 1

- only required as scan -

30.10.2026
Leipzig

Release

006A

Eligibility form EU ETS 1

Declaration of eligibility for participation in auctioning of emission allowances according to Article 18 of the Commission Regulation (EU) No. 2023/2830 (Auctioning Regulation)[1]

This eligibility form is applicable only for participating in EEX auctions for emission allowances under the European Union Emissions Trading System 1 (EU ETS 1). Participants for EU ETS 2 must use the separate form for EU ETS 2. Please see the **FAQ** for further information on the participation in EU ETS 1 and EU ETS 2.

Company name: _____

(A) Registry account

For participation in emissions auctions, the holding of a Union Registry account[2] is mandatory. Therefore, we hereby designate the following stationary installation holding account, aircraft operator holding account, maritime operator holding account, national holding account or trading account for the purposes of participating in the auction process.

Union Registry account:

Please enclose a screenshot of the account as respective proof.

(B) Maximum bid-size

As required under the Auctioning Regulation, an auction platform may impose a maximum bid-size for auction participants. For participation in emission auctions, EU rules require the bidder to have the necessary arrangements in place to give effect to such maximum bid-size, when requested. This maximum bid-size always applies on group level. Therefore, we hereby confirm that, in accordance with Article 19(2)(g) of the Auctioning Regulation, we have in place or are able to put in place when requested, the internal process, procedures and contractual agreements necessary to give effect to a maximum bid-size imposed pursuant to Article 48 of the Auctioning Regulation.

[1] see Commission Delegated Regulation (EU) 2023/2830

[2] see Annex I to Commission Delegated Regulation (EU) 2023/2904

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(C) Categorization (referred to in Article 18(1) of the Auctioning Regulation)

We hereby declare that our company belongs to one or several of following categories according to Article 18 of the Auctioning Regulation:

1) Eligibility for bidding on own account as

◯ operator / aircraft operator / shipping company[3] or a parent, subsidiary or affiliate undertaking forming part of the same group of undertakings as the operator / aircraft operator / shipping company having an operator account[4].

We enclose a screenshot of our operator account (account number and name of the company has to be visible), if not already provided under "(A) Registry account".

If the company is part of the same group of undertakings as the operator / aircraft operator / shipping company, it shall provide a document clearly identifying the structure of the group. The document should be submitted as original, (certified) copy or electronically signed document.

◯ investment firm authorised under Directive 2014/65/EU (MiFID)[5]

We enclose reference to the official listing as licensed investment firm or an authorization by the competent national authority.

◯ credit institution authorised under Directive 2013/36/EU (Banking Directive)[6]

We enclose reference to the official listing as licensed credit institution (either by the respective national Supervisory Authority or another competent authority) or an authorization by the competent national authority.

◯ business grouping of persons listed in Article 18(1) (a) of the Auctioning Regulation bidding on our own account and acting as an agent on behalf of our members.

We enclose a screenshot of all registry accounts (account number and name of the company has to be visible) of all members of our business grouping, on which bids are entered on behalf.

◯ public body or state-owned entity of a Member State controlling any of the persons in Article 18 (1) (a) of the Auctioning Regulation.

We enclose a screenshot of our registry account (account number and name of the company have to be visible).

◯ person covered by the exemption in Article 2(1)(j) of Directive 2014/65/EU

We declare that we are covered by exemption in Article 2(1), point (j), of Directive 2014/65/EU.

[3] operators, aircraft operators and shipping companies may only participate in the auctions of allowances referred to in Articles 10 and 11 of the Auctioning Regulation (EU ETS 1)

[4] see Annex I to Commission Delegated Regulation (EU) 2023/2904

[5] see Directive 2014/65/EU

[6] see Directive 2013/36/EU

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2) Eligibility for bidding on behalf of clients as

◯ person covered by exemption in Article 2(1)(j) of Directive 2014/65/EU

We declare that we are covered by exemption in Article 2(1), point (j), of Directive 2014/65/EU.

◯ investment firm authorised under Directive 2014/65/EU

We declare that we are authorized by our competent national authority for bidding on behalf of our clients for auctioned products and that also our clients are classified according to Article 18(1) or (2) of the Auctioning Regulation.

We enclose our authorization by the competent national authority.

◯ credit institution authorised under Directive 2013/36/EU

We declare that we are authorized by our competent national authority for bidding on behalf of our clients for auctioned products and that also our clients are classified according to Article 18 (1) or (2) of the Auctioning Regulation.

We enclose our authorization by the competent national authority.

(D) Contact details for participants admitted to bid on behalf of clients

According to Article 51, first paragraph, point (d) of the Auctioning Regulation, auction platforms must publish a list of the names and contact details of all participants admitted to bid on behalf of clients in the emissions auctions.

If you are admitted to bid on behalf of clients in emissions auctions, please state the following contact details for publication on EEX's website:

Name:

Address:

Telephone:

E-Mail:

Website:

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(E) Notifications and Acknowledgments

We hereby acknowledge that we will notify to the auction platform any changes that would affect our categorization under section (D) above or eligibility criteria under Article 18 of the Auctioning Regulation.

In cases where bids are submitted on behalf of clients, we acknowledge that the auction platform may rely on reliable checks carried by us as well as the clients of our clients, in line with Article 18(3) of the Auctioning Regulation. We acknowledge that in those cases we are responsible for ensuring that we are able to demonstrate to the auction platform whenever requested to do so by the auction platform pursuant to Article 20(5)(d) of the Auctioning Regulation that the conditions in Article 18(3) (a) and (b) are fulfilled.

(G) Signature(s)

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

Place	Date dd.mm.yyyy	Full name of the Authorized Representative Legally binding signature(s) of the applicant

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