

part of eex group



Application for  
Admission as  
„Auction only“ -  
Exchange participant  
on the Spot Market  
of the European  
Energy Exchange  
(Electronic Bidding)

05.02.2018  
Leipzig

Ref. A05a  
Release 005

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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 the legally binding signed application form including relevant documentation to:

European Energy Exchange	
Member Readiness	
Augustusplatz 9	
04109 Leipzig	
Germany	
Phone:	+49 (0)341 2156-261
Fax:	+49 (0)341 2156-559
E-mail:	MemberReadiness@ecc.de

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. For further information and queries please contact Member Readiness under phone number +49 (0)341 24680-261 or visit [www.ecc.de](http://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 for admission with the exchange is completed by relationship between the applicant 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 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

All current documentation can be downloaded from the websites [www.eex.com](http://www.eex.com) and [www.ecc.de](http://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 ex- change trading in forms of § 17 (3) of the Exchange Rules.

We provide proof of the personal reliability of all persons referred to in Section 4.1, who are en- trusted 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. Authorized signatories

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.

Persons entitled to sign EEX					
	Name	First Name	Specimen signature	Entitled to sign on his/her 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.

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

## 4.4. Auction participation

Bidding is effected electronically. Therefore a trader needs to be named and a technical access to the auction system needs to be set up.

### 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
<input type="checkbox"/> Ms.					
<input type="checkbox"/> Mr.					
<input type="checkbox"/> Ms.					
<input type="checkbox"/> Mr.					
<input type="checkbox"/> Ms.					
<input type="checkbox"/> 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.

## 4.4.2. Technical access

For electronic bidding it is necessary to order an access to the M7 Auction System. IT contact persons are named hereafter:

Contact Persons - IT					
	Name	First Name	Phone	Fax	E-Mail
<input type="checkbox"/> Ms <input type="checkbox"/> Mr					
<input type="checkbox"/> Ms <input type="checkbox"/> Mr					
<input type="checkbox"/> Ms <input type="checkbox"/> Mr					

Hereby we order the access to the M7 Auction System.

- ☐ Setup M7 Auction System  
☐ Setup as soon as possible      ☐ Wunschtermin (TT.MM.JJJJ): \_\_\_\_\_

The technical access to the M7 Auction System is free of charge.

## 4.5. Invoicing

Invoicing contact persons are named hereafter:

Contact Persons - Invoicing (Invoice Recipient)					
	Name	First Name	Phone	Fax	E-Mail
<input type="checkbox"/> Ms <input type="checkbox"/> Mr					
<input type="checkbox"/> Ms <input type="checkbox"/> Mr					
<input type="checkbox"/> Ms <input type="checkbox"/> Mr					



## 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. 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 on request.
4. We agree to the publication of our company as an Exchange Participant.
5. We agree that in the context of our exchange membership, ECC AG, if required, acts as authorized recipient for our company. In case we would like to appoint an alternative authorized recipient, we provide EEX with the respective admission form (E07).

## 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 company of the Exchange to exchange information and data regarding the Exchange membership within the EEX group as well as within the Deutsche Börse group. The authorisation for the exchange of information and data also includes the exchange of personal data and information of the persons named in section 4.1. We confirm that these persons have granted their approval for exchanging information and data within the EEX group and within Deutsche Börse group. We will inform EEX about any modification of this authorisation immediately.

## 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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