

part of eex group



# Application for Admission as Non- Clearing Member

07.09.2017  
Leipzig

Ref. NCM01  
Release 009

## Preliminary remark

With this application form you can apply for admission as a Non-clearing Member (NCM) at European Commodity Clearing AG (ECC) according to the Clearing Conditions of ECC. NCMs are companies without a clearing license, which take part in clearing as clients of a Clearing Member on the markets for which ECC provides clearing services. Further details regarding the legal relationship between the parties are provided in the Clearing Conditions of ECC.

Admission involves the following steps:

1. Please fill in the application form for admission as an NCM.
2. Submit the necessary documents in accordance with the checklist.
3. Send the application form for licensing as an NCM to:

<p>European Commodity Clearing AG          Clearing &amp; Settlement          Augustusplatz 9          D-04109 Leipzig          Germany</p>
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<p>Phone: +49 (0)341 24680-261          Fax: +49 (0)341 24680-559</p>
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4. ECC will review the application and inform the applicant with regard to its decision.

## Application

We hereby apply for admission as a Non-Clearing Member according to the Clearing Conditions of ECC.

The legal bases of admission as a Non-Clearing Member and participation in clearing are established in:

- This application
- The Clearing Conditions of ECC,
- The NCM agreement
- 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 them. The most current version of the documents can be downloaded from the ECC website at [www.ecc.de](http://www.ecc.de).

# Applicant

Name of Company and Company Register	
Name of the company according to company register	Legal status
Company register no.	Place of registration
Tax number	Sales tax identification number
Address of the applicant	
Country	Street and house number
Post code	Town
Correspondence Address (if different)	
Country	Street and house number
Post code	Town

# Persons entitled to sign

The following persons are authorized to represent and to sign towards ECC in all contractual matters and business operations which might arise.

	Surname	First Name	signature specimen	Entitled to sign alone	Only allowed to sign together with No.
1				<input type="checkbox"/>	
2				<input type="checkbox"/>	
3				<input type="checkbox"/>	

Please find enclosed signature list for authorized representatives. (EEX Group Signature Schedule or Power of Attorney)

## General contact persons

	Surname	First Name	Phone	Fax	E-Mail
1					
2					
3					

## Invoicing contacts

These contacts will be setup as user for the ECC Member Area and receive in the course of the electronic invoice dispatching invoices and credit notes electronically in form of a download link send via email. It is mandatory to name at least one E-mail address.

	Surname	First Name	E-Mail
1	Invoicing 1	Contact Report	
2	Invoicing 2	Contact Report	

## Emergency procedure contacts

These persons are authorised to issue legally binding statements on behalf of the applicant in cases of emergency.

	Surname	First Name	Phone	Fax	E-Mail
1					
2					
3					

# Clearing Member

Financial settlement shall be conducted via the Clearing Member as follows in accordance with the current Clearing Conditions of ECC.

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Name of Clearing Member

A list of institutions acting as Clearing Members at ECC is available on the ECC website ([www.ecc.de](http://www.ecc.de)).  
 The NCM Agreement duly signed by us and by our Clearing Member is enclosed herewith as proof of proper financial settlement.

## Declarations

1. We assure that all necessary national and/or international authorizations/ licenses/ and permissions have been obtained in order to take part in clearing by ECC, Leipzig/Germany. We furthermore confirm that clearing does not violate any laws, regulations, obligations etc. and that it is allowed under current legislation.
2. After licensing the applicant will receive a separate invoice for fees, which results from the fee structure referred to in the price list in the respectively valid version. The applicant hereby agrees that all fees incurred in accordance with the price list may be collected from the bank account indicated on the debit order.
3. We agree to the publication of our company as an NCM.

On behalf of the Non-Clearing Member:

Place	Date	Company stamp and legally binding signature(s)

# Checklist

We enclose the following required forms and certificates as evidence for the fulfilment of the requirements for admission approval and hereby certify their validity.

Document	Explanations	
Certificate from company registry	<i>Copy of the current company registry certificate. For foreign applicants other comparable documents.</i>	<input type="checkbox"/>
Proof of signatures	E.g. copies of the ID cards of all persons who sign this application	<input type="checkbox"/>
NCM Agreement (NCM02)	Such proof can be furnished by means of a signed NCM Agreement.	<input type="checkbox"/>
Setup/Modification/Deletion of user accounts (T10)	Application for creation of users accounts in the clearing and settlement systems of ECC	<input type="checkbox"/>

We enclose the following forms in case a technical connection to the ECC clearing and settlement system EUREX is desired.

Document	Explanations	
Order for technical access (T01)	Form for ordering technical access to the ECC clearing and settlement system EUREX	<input type="checkbox"/>
Setup for Common Report Engine (T06)	Form for technical setup of Common Report Engine for distribution of EUREX Reports	<input type="checkbox"/>