

part of eex group



Declaration of Personal Reliability (Exchange Trader/Trader Assistants)

Please send the scanned version to
MemberReadiness@ecc.de

07.09.2017
Leipzig

Ref. E04_E
Release 008

Declaration of Personal Reliability (Exchange Trader/Trader Assistant)

Name of
Exchange Trader/Trader Assistant: _____

Date of birth of
Exchange Trader/Trader Assistant: _____

1. I assure that there are no preliminary or main proceedings pending against me for punishable acts related to assets, taxes or otherwise in connection with my previous occupation or my participation in exchange dealings.
2. I assure that no such proceedings have been pending against me within the last five years. Statements about proceedings resulting in an acquittal or a discontinuation in accordance with para 170 StPO (German Code of Criminal Procedure) are not necessary.
3. I assure that within the last three years I have not violated the trading and consulting regulations, the guidelines for own securities business of staff members of credit institutions or comparable internal regulations, regulations of the Securities Trading Act, in particular the insider regulations and the rules of good behavior, the German Exchange Act and the Exchange rules and regulations and that no corresponding proceedings are pending against me.
4. I hereby authorise the last enterprise I was employed by to inform the exchange management of facts in accordance with item 1. - 3. that are relevant for the evaluation of my reliability.
5. Furthermore, I confirm that I will inform the exchange management as soon as possible if there are any changes in the confirmations given under item 1.
6. The exchange management may request further documents that are relevant for the evaluation of my reliability.
7. If a statement to be made under 1. - 4. cannot be made or can only be made with reservations, this has to be marked and requires a comment to the item in question on a separate sheet.
8. I hereby give my permission and authorise EEX to record my calls with the Market Supervision of EEX in order to ensure the orderly operation of the Exchange.
9. I hereby agree to the collection, processing, and use of my personal information and data as far as it is carried out to create, execute or terminate the admission to EEX and for the respective fulfillment of tasks by EEX. I authorise EEX to exchange my personal data within EEX group and Deutsche Boerse group. I hereby authorize EEX to transfer my personal information and data to other third parties as far as it is necessary for the purpose of the fulfillment of tasks performed by third parties for EEX and if the respective third party has committed itself to strict confidentiality.
10. In case my exam for Derivatives Markets is to serve as proof for the professional qualification for the admission as an Exchange Trader at the EEX Spot Markets, I herewith ensure that I acquired the product specific knowledge of the EEX Spot Markets.
11. I am aware of and will obey the rules and regulations of EEX and the clearing house of EEX, ECC AG (available under www.eex.com and www.ecc.de).

Place	Date dd.mm.yyyy	Signature (Exchange Trader/Trader Assistant)