

part of eex group



Fill-in Guide  
Admission as „Auction only“-  
Exchange participant on the  
Spot Market of the European  
Energy Exchange (Trading on  
Behalf)

30.09.2017

Leipzig

Ref. Checklist Auction only A05a

Release 003

# Checklist

This is a checklist to assist with completing the admission to become an "Auction Only" Exchange participant on the Spot Market of the EEX. Please enclose the following documents and certificates:

|                          | Forms  | Explanations  |
|--------------------------|--|---|
| <input type="checkbox"/> | EEX - Application for Admission as „Auction only“- Exchange participant (A05b)   | <p><u>Item 4.1.:</u><br/>Please enter all company-relevant information. Entering of the correspondence address is only necessary in case it differs from the business address.</p> <p>Only members of the management board or equivalent may be specified as persons holding management authority according to § 19 (4) Exchange Act.</p> <p>For at least one of the persons mentioned under 4.1 a CV has to be enclosed as a proof of the professional reliability.</p> <p><u>Item 4.2:</u><br/>In addition to the management board signatories, authority to sign on matters related to the exchange membership can be given to non-management board individuals. Should you have a list of signatories who you intend to attach to this application form, this section does not need to be completed.</p> <p><u>Item 4.3.:</u><br/>Please provide the contact information for a person (Central Coordinator) in your company who is responsible for the admission process.</p> <p><u>Item 4.5.:</u><br/>Please provide the contact information for a person in your company who is responsible for invoicing.</p> <p><u>Item 8.:</u><br/>The signature of a member of the management board is required. Furthermore, please attach a proof of such authority (e.g. an excerpt from the commercial register or other appropriate documents)</p> <p>Upon signing this application form, the powers to sign as specified in item 4.2 are activated and are then valid for all further application forms, with the exception of the</p> <ul style="list-style-type: none"> <li>• Declaration of Personal Reliability – Member of the Management Board (Form E01; see below for further details)</li> </ul> |
| <input type="checkbox"/> | EEX - Declaration of Personal Reliability - Member of the Management Board (E01) | <p>The declaration of personal reliability of the members of the management board of the applicant company (exchange participant) according to para 19 (4) of the Exchange Act, can either be provided by submitting a certificate of good conduct or the signed E01 form.</p> <p>The E01 form or the certificate of good conduct must be provided for all board members listed in the A05 form (item 4.1.). A copy of their ID card or Passport is also required.</p>  |

|                          | Forms   | Explanations   |
|--------------------------|---|--|
| <input type="checkbox"/> | EEX - Eligibility form  | Participation in auctioning of emission allowances according to Commission Regulation (EU) No.1031/2010 requires the proof of the respective eligibility.  |
| <input type="checkbox"/> | ECC - NCM01 Application   | <p>Please enter all company-relevant information. Entering of the correspondence address is only necessary in case it differs from the business address.</p> <p>In addition to the management board signatories, authority to sign on matters related to the ECC membership can be given to non-management board individuals. Should you have a list of signatories who you intend to attach to this application form, this section does not need to be completed.</p> <p>Please provide the contact information for a person in your company who is responsible for the following ECC related topics: general contact, invoice contact, emergency contact</p> <p>Please state the name of your clearing bank.</p> |
| <input type="checkbox"/> | ECC - NCM02 Agreement   | The agreement is required in triplicate and defines the legal relationship between your company, your clearing bank and ECC and is signed by all three parties.  |
| <input type="checkbox"/> | ECC - Group KYC - Common  | <p>The KYC questionnaire serves for the identification of new customers and the background of their transactions.</p> <p>The questionnaire needs to be completed according to your best knowledge.</p>   |
| <input type="checkbox"/> | ECC - TP_EEX_04   | Please enter all required company details and appoint users to initiate registry transfer requests. Adding registry accounts to the trusted accounts list of ECC is optional.  |
| <input type="checkbox"/> | ECC - TP07  | This form constitutes the basic requirement for a registration at ECC and serves the purpose of an appropriate Value Added Tax (VAT) classification of the trading participants in order to ensure adequate invoicing, thus avoiding VAT risks. Section A and C must be completed by all auction only members.   |
| <input type="checkbox"/> | <p><u>German applicants:</u><br/>Certificate of Company Register</p> <p><u>Applicants (not domiciled in the Federal Republic of Germany):</u> Similar documents</p> | <p>Most recent excerpt from the company register for evidence of:</p> <ul style="list-style-type: none"> <li>a) the applicant's registered address; and</li> <li>b) the persons authorised with its legal representation.</li> </ul> <p>The excerpt from the commercial register should not be older than 3 months. If an excerpt of the commercial register is not available, respective certificates need to be provided, thereby providing legal or statutory provisions, as well as legally binding declarations of the company regarding the authorized representatives.</p> <p>For applicants who are not domiciled in the Federal Republic of Germany equivalent documents may be submitted.</p>            |
| <input type="checkbox"/> | Proof of signatures   | Specimen signatures or copies of the ID cards of all persons who are signing the applications.   |