

part of eex group



Application for
approval as a Trading
Participant at EPEX
SPOT SE for trading
in Power Spot
Contracts (own
balance area
agreement), at French
Capacity Market (own
registry account) and
pan-European
Guarantees of Origin
(own registry account)

Required in single copy

01.01.2024

Leipzig

Ref. TP_EPEX_01a

Release 019

- only required as scan -

Preliminary remark

With this form you are applying for approval as a Trading Participant at European Commodity Clearing AG ("ECC") for trading in Power Spot Contracts (Contracts at the Day-Ahead and Intra-Day Market), at French Capacity Market and pan-European Guarantees of Origin traded at EPEX SPOT SE in accordance with the Clearing Conditions of European Commodity Clearing AG (ECC).

The physical settlement of EPEX SPOT SE Power Contracts, Capacity Guarantees of the French Capacity Market (CGFR) and pan-European Guarantees of Origin will be effected by European Commodity Clearing Luxembourg S.à.r.l. (ECC Lux) a subsidiary of ECC. Both ECC and ECC Lux will be referred to in this form as ECC.

Approval as a Trading Participant requires:

- (a) participation in clearing as a Clearing Member, Non-Clearing Member or DCP Clearing Member for the market, where the respective product is being traded,
- (b) admission as an exchange participant at the market or a comparable and by ECC as equivalent acknowledged access to the market, where the respective product is being traded,
- (c) proof of the capability for physical settlement
 - (c.a) For Power Spot Contracts:

proof of the capability for physical settlement at the respective transmission grid by holding an own balance area agreement with Amprion GmbH (Amprion), TenneT TSO GmbH (TenneT), TransnetBW GmbH (TransnetBW), 50Hertz Transmission GmbH (50Hertz), Verbund-Austrian Power Grid AG (APG), Réseau de Transport d'Electricité (RTE), swissgrid AG (swissgrid), Elia System Operator N.V. (ELIA), TenneT TSO B.V. (TENNET), ELEXON.co.uk (ELEXON).
 - (c.b) For Spot contracts in Capacity Guarantees:

at the registry for Capacity Guarantees operated by RTE by designating a registry account at said registry self-owned
 - (c.c) For Spot contracts in pan-European Guarantees of Origin:

at the registry for pan-European Guarantees of Origin operated by a registry operator associated in the Association of Issuing Bodies (AIB) and accepted for the market by EPEX SPOT SE

Approval involves the following steps:

1. Please fill in the application form for approval as a Trading Participant and sign it in legally binding manner.
2. Send this application in scanned version to the following E-Mail address:

MemberReadiness@ecc.de
Phone: +49 341 24680 261

3. ECC shall decide on the application regarding approval as a Trading Participant and inform the applicant and the EPEX SPOT SE thereof.

Application

We hereby apply for approval as a Trading Participant in EPEX SPOT SE Spot Contracts according to the Clearing Conditions of ECC:

Setup	Change of Nomination Code ¹
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In case of already existing control areas please only mark the additional ones with a cross:

Day-Ahead Auction	Intraday Continuous / After-Market	Intraday Auction ²
DE Amprion	DE Amprion	DE Amprion <i>15min Intraday Auction</i>
DE Tennet (GER)	DE Tennet (GER)	DE Tennet (GER) <i>15min Intraday Auction</i>
DE TransnetBW	DE TransnetBW	DE TransnetBW <i>15min Intraday Auction</i>
DE 50Hertz	DE 50Hertz	DE 50Hertz <i>15min Intraday Auction</i>
AT APG	AT APG	AT APG <i>15min Intraday Auction</i>
FR RTE	FR RTE	FR RTE ³ <i>30min Intraday Auction</i>
CH Swissgrid	CH Swissgrid	CH Swissgrid <i>60min Intraday Auction</i>
BE ELIA	BE ELIA	BE ELIA <i>15min Intraday Auction</i>
NL TENNET (NL)	NL TENNET (NL)	NL TENNET (NL) <i>15min Intraday Auction</i>
GB ELEXON	GB ELEXON	GB ELEXON <i>30min Intraday Auction; 30min Day-Ahead Auction</i>

French Capacity
Pan-European Guarantees of Origin

¹ A Change of nomination code will not be possible on Mondays, Fridays, during the weekend and on German bank holidays. ECC shall receive the application regarding the change of nomination code (TP_EPEX_01a/b) in soft version **10 working days** prior to the envisaged date of change in order to ensure the proper setup in the systems. Please insert the respective new code on the following page.

² Contracts for Pan-European Intraday Auctions will be available for members with the Go-Live that is anticipated **13 June 2024**. Expected Go-Live date depends on overall readiness of all market participants. Please check ECC website/Clearing Circular 17/2024 (<https://www.ecc.de/en/newsroom/circulars>) for more information.

³ with Go-Live of Pan-European Intraday Auctions (anticipated 13 June 2024) **FR Intraday Auctions** will be available for **DCP CMs** as well

The legal bases for approval as a Trading Participant is established in:

- this application,
- the Clearing Conditions of ECC as amended from time to time,
- the Clearing Agreement (Clearing Member), NCM Agreement (Non-Clearing Member), the Settlement Bank Agreement or any other agreement between the DCP Clearing Member and the Settlement Bank regarding keeping of a Settlement Account and
- the price list of ECC amended from time to time.

By signing this application we confirm that we are familiar with the above mentioned rules and regulations and that we acknowledge and observe these. The respective current version of said documents can be downloaded from the ECC website at www.ecc.de.

Applicant

Member-ID: *

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text" value="E"/>	<input type="text" value="X"/>
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* Need to get filled only in case you are already Member at ECC. NEW members can leave it blank.

Name of the Company and Company Register	
Name of the Company according to excerpt from company register	Legal status
Tax number	Sales tax identification number

Emergency Contact / Nominations / 24/7

Contact person
Name or department
Telephone number
Fax
E-mail

Proof of capability for physical settlement

For Power Spot Contracts

Our own balance area agreement should be used for physical settlement of our transactions in EPEX SPOT SE Power Contract:

Information regarding the balance area agreement				
Control areas ⁴		Delivery account (e.g. EIC Code/EAN Code)		
Amprion ⁵	DE-LU		TP02 Form sent to TSO (date):	
Tennet (GER) ⁵			TP02 Form sent to TSO (date):	
TransnetBW ⁵			TP02 Form sent to TSO (date):	
50Hertz ⁵			TP02 Form sent to TSO (date):	
APG	AT			
RTE	FR	RE_ _		
Swissgrid	CH			
ELIA	BE			
TENNET (NL) ⁶	NL		SST Form sent to TSO (date):	
ELEXON ⁷	GB	Party ID:		
		Energy Account (P or C):		BSCP71 sent to TSO (date): (as agreed with Member Readiness)

The use of the balance area agreements mentioned above for the physical settlement of our transactions in EPEX SPOT SE Power Contracts shall take effect:

as of the next delivery date possible

as of delivery date _____

⁴ Multiple control areas can be selected.

⁵ By choosing Amprion, TenneT (GER), TransnetBW and/or 50Hertz as the Balance Area please fill in the **TP02** form ("Formblatt Börsenzulassung"). Please send the original copy directly to the respective TSO and a scan to MemberReadiness@ecc.de.

⁶ The respective authorization form for Single-Sided Transactions (SST) is preconditioned for the setup. Please contact TENNET (NL) for receiving the form and send the Original copy directly to them.

⁷ To take part in trading in the UK a **C or P** account is needed. Buying and Selling is possible with both accounts equally. Please clarify with ELEXON directly which account type is relevant for you. Since all stock exchange transactions are nominated for you by the ECC (single-sided nomination) you are asked to fill in the **BSCP71** form. Please send the original copy directly to ELEXON **after** Member Readiness advised you to do so and a scan to MemberReadiness@ecc.de.

For Spot Contracts in Capacity Guarantees

Deliveries of Capacity Guarantees to the RTE registry account of ECC have to be compulsory carried out from a below-mentioned registry account nominated as reference account. Any deliveries from another account are unacceptable and will be immediately reversed.

Name of registry	
Name of registry	RTE
RTE Registry account ⁸	
ECC Member ID	

For Spot Contracts in Pan-European Guarantees of Origin

Deliveries of Pan-European Guarantees of Origin to the registry account of the Trading Participant will be compulsory carried out to the below-mentioned registry account nominated as reference account.

Name of registry		
Name of Registry (e.g. 4 registries in Belgium)		
Delivery Registry account ⁹ (e.g. 12ABCDEFG1)	Main account	
	Other account(s) ¹⁰	
Country of Origin (e.g. Germany)		

VAT Details

VAT details are only required if a classification for the purpose of VAT treatment has not taken place previously or these classifications are not relevant for deliveries of electricity at the respective transmission grid. We have attached the form TP07 "VAT Details" with this application if applicable.

⁸ RTE account has to be owned by the applicant mentioned at page 5.

⁹ Delivery registry account for pan-European Guarantees of Origin is an account of a Trading Participant at the registry for Guarantees of Origin associated in the AIB and accepted by EPEX SPOT SE. The delivery registry account ID for pan-European Guarantees of Origin has to be owned by the applicant mentioned on page 5.

¹⁰ The other account(s) are not mandatory but can be provided for backup reasons.

Declarations

1. We hereby assure that we will acknowledge and observe the rules and regulations of ECC (in particular the Clearing Conditions) and the rules and regulations of EPEX SPOT SE in their respectively valid versions.
2. We recognise that in the case of mismatches between schedules nominated to the respective system operator the schedules nominated by ECC are binding and that we will take all measures required, in particular the correction of our schedules, in order to match the schedules nominated by us with the binding schedules nominated by ECC. Any imbalances between the binding schedules nominated by ECC and the amount of electricity actually injected or withdrawn shall be borne by us.
3. We recognize that the Single-Sided Transaction (SST) process for the market area TENNET (NL) will be performed according to the Electricity Act (System Code) together in good cooperation with ECC (especially about timing of permission by TENNET). This procedure serves to prevent mismatches between schedules nominated at the TSO and guarantees that the schedules nominated by ECC are binding. In the event of deviation from these procedures, any imbalances between the binding schedules nominated by ECC and the amount of electricity actually injected or withdrawn shall be borne by us, if such imbalances have been caused by us.
4. We hereby confirm that – for the market area TENNET (NL) – we have completed the form "Authorisation form for Single-Sided Transactions" accordingly and forwarded to the TenneT TSO B.V. (TENNET).
5. We recognize that the BSC procedure 71 – ECVNA Registration, Authorization and Termination at market area ELEXON – will be performed according to the Balancing and Settlement Code together in good cooperation with ECC (especially about timing of contacting ELEXON). This procedure serves to prevent mismatches between schedules nominated at the respective TSOs and guarantees that the schedules nominated by ECC are binding.
6. In the event of deviation from these procedures, any imbalances between the binding schedules nominated by ECC and the amount of electricity actually injected or withdrawn shall be borne by us, if such imbalances have been caused by us.
7. If the respective system operator rejects the schedules nominated by ECC for the physical settlement of our transactions in EPEX SPOT SE Power Spot Contracts, because we failed to provide the capability for physical settlement according to its terms and conditions, we will hold ECC harmless from any damages caused by this rejection. We will undertake appropriate actions to solve the cause of the rejection, immediately after being informed.
8. We assure that we will inform ECC immediately with regard to the loss of the proof of the capability for physical settlement. This shall apply especially in the case of the suspension or termination of a balance area agreement, the delivery registry account for pan-European Guarantees of Origin and/or the RTE registry account or in case of insufficient collaterals provided to the TSO.
9. If a Nordic TSO decides to modify the topology in its market areas as per the applicable procedures, ECC will perform the necessary amendments to the information provided in this TP Form accordingly and inform all effected Trading Participants by way of a Clearing Circular without undue delay.
10. We hereby declare our consent with the forwarding of information by ECC regarding physical delivery to EPEX SPOT SE and to the affected transmission system operators, to the registry for pan-European Guarantees of Origin operator with regard to the designated registry account and/or to RTE with regard to the designated RTE registry account, respectively.
11. We hereby authorize the affected transmission system operators, the registry for pan-European Guarantees of Origin operator with regard to the designated registry account and/or RTE with regard to the designated RTE registry account, respectively, to inform ECC with regard to the designated balance area agreement as well as about the status of our nominated schedules and deliveries, the delivery registry account for pan-European Guarantees of Origin and/or the designated RTE registry account.

PRIVACY NOTICE

The undersigned assures that he/she has 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 he/she has brought to their attention the PRIVACY NOTICE which can be found on our company websites.

On behalf of the **Trading Participant**:

Place	Date	Company stamp and legally binding signature(s) Signature(s): Name(s):
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