

part of eex group



Setup / Modification of contacts and functions

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Leipzig

Ref. CM04

Release 010

Setup / Modification of contacts and functions

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Name of Applicant (Company's name)		Member - ID				
		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text" value="E"/>	<input type="text" value="X"/>
<input type="checkbox"/>	Setup	(replacing current setup)				
<input type="checkbox"/>	Modification	(listed contacts are to be added or modified)				

Contacts

A distinction is made between:

1. Availability during ECC business hours mandatory
2. Further availability during ECC business hours

The following people are named as contacts:

1. General information on the person

Nr.	Name	First Name	Phone	Fax	E-Mail
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					

Allocation of the persons to the contact categories

(The first row relates to the Number of the person the table before.)

	1	2	3	4	5	6	7	8	9	10
a) Contact Collateral Management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) Contact Margin Calls	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c) Contact Backload-/Legacy Trades	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d) Contact Position Management / Close Out	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e) Contact Cash Processing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f) General Contact for business matters	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g) Contact Product Setup / Backoffice Systems	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h) Contact Fee cancellation of Counter Trades	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
i) Contact Clearing Fund	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
j) Contact for Correction of Variation Margin	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
k) Contact EMIR Trade Reporting	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
l) Client Risk Management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Escalation Contact (only available with another category)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

1. General information on the group contacts

Nr.	Name	Phone	Fax	Group Email
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				

Allocation of the group contacts to the contact categories

(The first row relates to the Number of the group contact the table before.)

	1	2	3	4	5	6	7	8	9	10
a) Contact Collateral Management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) Contact Margin Calls	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c) Contact Backload-/Legacy Trades	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d) Contact Position Management / Close Out	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e) Contact Cash Processing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f) General Contact for business matters	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g) Contact Product Setup / Backoffice Systems	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h) Contact Fee cancellation of Counter Trades	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
i) Contact Clearing Fund	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
j) Contact for Correction of Variation Margin	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
k) Contact EMIR Trade Reporting	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
l) Client Risk Management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Escalation Contact (only available with another category)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2. Used Back Office System

In order to provide the respective external software vendors with all relevant information regarding new products ECC would kindly ask you to fill in the used Backoffice systems.

	Backoffice System
Spot Market	
Future Market	

3. Distribution List for NCM topics

In order to provide the respective information regarding admission, revocation, suspension and/or termination of NCMs please enter the respective contact details. These contacts will be approached in case of admission questions and they are to initiate the suspension of NCMs by themselves.

Nr.	Name	First Name	Phone	E-Mail
1				
2				
3				
4				
5				
6				

Explanation

I. Availability during ECC business hours mandatory

Availability in accordance with the ECC Clearing Conditions chapter 2.1.2 is mandatory.

For each category at least one general contact **and** one or two escalation contacts are required. The escalation contact will be contacted in case of non-availability of general contacts and should at least be the head of department. If one person holds different functions please list for each function.

a) Contact Collateral Management (*Availability requested from 7:45am until 7:00pm*)

These contact persons are responsible for the management of collaterals for Margins & the Clearing Fund contribution. Communication in regards to collateral management can be addressed to them. Also decisions on collateral related questions can be obtained from them.

b) Contact Margin Calls (*Availability requested from 7:45am until 7:00pm*)

These contact persons are responsible for the handling of Intraday Margin Calls. Please note that a fast reaction to Margin Calls is crucial as misconduct to such inquiries automatically triggers the default processes according to ECCs Clearing Conditions.

c) Contact Backload-/Legacy Trades (*Availability requested from 7:45am until 7:00pm*)

These contact persons are authorized to approve registration of trades outside the trade registration price range by themselves. Normally this is the case if clients demand the clearing of off-book trades that have been originated from prices deviating far from the current market price levels.

d) Contact Position Management / Close Out (*Availability requested from 7:45am until 7:00pm*)

These contact persons are responsible for position management of clients, proprietary positions and NCMs.

e) Contact Cash Processing (*Availability requested from 7:45am until 7:00pm*)

If the payment processing triggered every ECC business day at 7:45 CET fails, ECC will first try to reach these contacts. Furthermore the contact is responsible for payment processing in urgent cases. Please note that misconduct to payment processes automatically triggers the default process according to ECCs Clearing Conditions.

k) Contact EMIR Trade Reporting (*Availability requested from 7:45am until 7:00pm*)

These contact persons are responsible for Art. 9 EMIR Trade Reporting. Communication in regards to EMIR Trade Reporting can be addressed to them. Decisions related to EMIR Trade Reporting can be obtained from these persons.

II. Further availability during ECC business hours

Availability not in the context of chapter 2.1.2 of the ECC Clearing Conditions

f) General Contact for business matters

These general contacts should receive information regarding Clearing Working Group etc.

g) Contact Product Setup / Backoffice Systems

These contacts should be informed in case of new product launches.

h) Contact FEE cancellation of Counter Trades

These contacts should be informed in case of fee cancellation due to mistrades.

i) Contact Clearing Fund

These contact persons are responsible for the handling of Clearing Fund contributions. Due to ECCs procedures there can be ad-hoc adjustments but at least a monthly adjustment.

j) Contact for Correction of Variation Margin

These contacts should be informed in case of corrections of Variation Margin due to adjusted settlement prices.

l) Client Risk Management

These contacts are available for ECC for questions concerning client risk management. This includes in particular the area of the Emergency Member Stop and other client risk management related questions that may arise.

Signature(s)

DATA PROTECTION DECLARATION

The undersigned assures that he 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 has brought to their attention the DATA PROTECTION DECLARATION which can be found on our company websites.

Place	Date dd.mm.yyyy	Legally binding signature(s) of applicant