

› eex group

Appendix for **Power**  
to the EEX Group KYC  
(Know-Your-Customer)  
Questionnaire

16.12.2021  
Release 006

- only required as scan -

# 1. Your trading profile

1.1 On which market segments your company is or wants to become active?

Spot Market		Derivatives Market
Auction	Continuous Intraday	
<input type="checkbox"/> Austrian	<input type="checkbox"/> Austrian	<input type="checkbox"/> Austrian (Phelix AT)
<input type="checkbox"/> Belgian	<input type="checkbox"/> Belgian	<input type="checkbox"/> Belgian
<input type="checkbox"/> Czech	<input type="checkbox"/> Danish	<input type="checkbox"/> Bulgarian
<input type="checkbox"/> Danish	<input type="checkbox"/> Dutch	<input type="checkbox"/> Czech
<input type="checkbox"/> Dutch	<input type="checkbox"/> Finnish	<input type="checkbox"/> Dutch
<input type="checkbox"/> Finnish	<input type="checkbox"/> French	<input type="checkbox"/> French
<input type="checkbox"/> French	<input type="checkbox"/> GB	<input type="checkbox"/> German (Phelix DE)
<input type="checkbox"/> French Capacity Market	<input type="checkbox"/> German	<input type="checkbox"/> German-Intraday-Cap/Floor Future
<input type="checkbox"/> GB	<input type="checkbox"/> Hungarian	<input type="checkbox"/> GB
<input type="checkbox"/> German	<input type="checkbox"/> Ireland	<input type="checkbox"/> Greek
<input type="checkbox"/> Hungarian	<input type="checkbox"/> Northern Ireland	<input type="checkbox"/> Hungarian
<input type="checkbox"/> Ireland	<input type="checkbox"/> Norwegian	<input type="checkbox"/> Italian
<input type="checkbox"/> Northern Ireland	<input type="checkbox"/> Polish	<input type="checkbox"/> Japanese
<input type="checkbox"/> Norwegian	<input type="checkbox"/> Swedish	<input type="checkbox"/> Nordic
<input type="checkbox"/> Polish	<input type="checkbox"/> Swiss	<input type="checkbox"/> Polish
<input type="checkbox"/> Serbian		<input type="checkbox"/> Romanian
<input type="checkbox"/> Swedish		<input type="checkbox"/> Serbian
<input type="checkbox"/> Swiss		<input type="checkbox"/> Slovakian
		<input type="checkbox"/> Slovenian
		<input type="checkbox"/> Spanish
		<input type="checkbox"/> Swiss

1.2 Please provide detailed explanation and justification why your company is or wants to be a member of our markets?

## 1.3 What is/will be your activity?

Occasional	Seasonal	Permanent
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## 1.4 A) What do you expect your power trading volumes be?

	Day-Ahead Auction		Intraday Continuous		Intraday Auction		Derivatives	
	Exchange A	Exchange B	Exchange A	Exchange B	Exchange A	Exchange B	Exchange A	Exchange B
Exchange name								
Annual volume in MWh								
Monthly volume in MWh								

## B) What you expect your trading amount of Capacity Guarantee on EPEX SPOT to be in number of guarantees?

1 guarantee = 0.1 MW	Day-Ahead Auction
Annual amount of Guarantees	
Monthly amount of Guarantees	

## 1.5 Who are your company's 5 main counterparties on the OTC markets?

Name	Market		Since when
	<input type="checkbox"/> Power	<input type="checkbox"/> Capacity Guarantees	
	<input type="checkbox"/> Power	<input type="checkbox"/> Capacity Guarantees	
	<input type="checkbox"/> Power	<input type="checkbox"/> Capacity Guarantees	
	<input type="checkbox"/> Power	<input type="checkbox"/> Capacity Guarantees	
	<input type="checkbox"/> Power	<input type="checkbox"/> Capacity Guarantees	

If you are not active on the OTC power and capacity guarantees markets please tick:

☐ No

1.6 Does your company have physical assets in power (e.g. installed generation capacities)?

☐ Yes ☐ No

If yes, please describe:

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1.7 Does your company physically supply end customers?

on the wholesale segment? ☐ Yes ☐ No

on the retail segment? ☐ Yes ☐ No

1.8 Does your company have its own balance area agreements?

☐ Yes ☐ No

Please provide the following details about these balance area agreements.

POWER	Balance agreements(s)			Contract since
	Name of the TSO	Own agreement	Third-Party agreement (name of the owner)	
		<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. Your capability to intervene

- 2.1 REMIT Implementing Acts entered into force in January 2015 and trigger market monitoring at European level by ACER. Market participants have to register with one National Regulatory Authority (NRA) prior to entering into transactions in the European Union which are required to be reported under the Implementing Acts. For detailed information of the process, please consult the website of the NRA in the country where your company is located or active if out of the European Union.

If relevant, did your company already start the registration process (pursuant to article 9.1. of REMIT Regulation n°1227/2011)?

☐ Yes ☐ No

If relevant, did your company already get your ACER registration code (mentioned by article 10.2. of REMIT's Implementing Regulation n° 1348/2014)?

☐ Yes, code ☐ No

Exception: Companies applying for trading only on EPEX SPOT Swiss market segment and / or companies applying for trading on the French Capacity Market Segment are exempted from the two points mentioned above. Companies applying for trading only on EPEX SPOT Swiss market segment shall provide EPEX SPOT a letter of capacity to buy and sell electricity (D06 form that is provided at a later stage in your admission process).

- 2.2 Who are the professional power traders working for your company?

Name, First name	Date of birth	Full time		Employed by another firm (which?)	Experience on trading systems (which?)
		<input type="checkbox"/> Yes	<input type="checkbox"/> No		
		<input type="checkbox"/> Yes	<input type="checkbox"/> No		
		<input type="checkbox"/> Yes	<input type="checkbox"/> No		
		<input type="checkbox"/> Yes	<input type="checkbox"/> No		
		<input type="checkbox"/> Yes	<input type="checkbox"/> No		
		<input type="checkbox"/> Yes	<input type="checkbox"/> No		
		<input type="checkbox"/> Yes	<input type="checkbox"/> No		

### 2.3 What are your internal facilities dedicated to power trading?

Power dedicated Facilities	Details
IT solutions / resources / systems / premises	
Backup solutions	
Dedicated Trading floor / size	
Other	

### 2.4 What system are you using for power nomination/scheduling towards the TSO(s)?

### 2.5 Do you have an account in RTE Guarantee Capacity Register?

☐ Yes ☐ No

Contact since

## Signature(s)

We recognize that the companies being part of the EEX Group are obliged to implement measures against money laundering, financing of terrorist activities and fraud (e.g. VAT tax fraud) and that the information in this questionnaire is used to fulfill regulatory requirements. We authorize the companies being part of the EEX Group to use the information given in this questionnaire internally and to exchange information in this questionnaire with the partner exchanges within the Group where the applicant is admitted for trading or has applied for admission.

We declare in good faith that all information, answers and documents provided with this questionnaire are exact and authentic. We have omitted no important information that could have impact on the judgment made about our request for admission. We accept to answer to any other question you might have in the future to comply with your legal obligations.

### 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	Company stamp and legally binding signature(s) of the company
		Signature(s):  Name(s): 