

part of eex group



Application to extend  
the recognition as  
Non-Trading Broker  
to the Markets of the  
European Energy  
Exchange (EEX) and  
EEX OTF (for  
already recognized  
companies only)

18.01.2023

Leipzig

Doc. A08a

Ref. 010C

**- only required as scan -**

# Application to extend the recognition as Non-Trading Broker

Name of the Non-Trading Broker	Member ID
	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

We hereby apply for an extension of the existing recognition as a Non-Trading Broker (NTB) to the following markets and products at the European Energy Exchange (EEX) and EEX OTF:

Spot Market	Futures Market	
EEX Regulated Market	EEX Regulated Market	EEX OTF Market*
Emission Rights <input type="checkbox"/>	Power in EUR <input type="checkbox"/>	Power in EUR <input type="checkbox"/>
	Power in GBP <input type="checkbox"/>	
	Power in JPY <input type="checkbox"/>	
	Emission Rights <input type="checkbox"/>	
	Agricultural Products <input type="checkbox"/>	
	Freight <input type="checkbox"/>	
	Natural Gas <input type="checkbox"/>	Natural Gas <input type="checkbox"/>

☐ as soon as possible

☐ requested date (dd.mm.yyyy): \_\_\_\_\_

The recognition as a Non-Trading Broker only includes the authorisation to enter trades in the trading system on behalf and in the name of participants for which Trade Registration functionality is offered.

\* Non-Trading Brokers cannot register trades across EEX RM and EEX OTF as such cross-market-registration requires the ability of the respective broker to conclude own trades and hold own positions. Therefore cross-market-registration can only be conducted by Trading Brokers.

A precondition for this application is to have an existing recognition as Non-Trading Broker at EEX.

This application is an addendum to the main application dated (dd.mm.yyyy):

The regulations governing the main application also apply to this addendum.

For the EEX OTF Market the respective Rules and Regulation of the EEX OTF will apply accordingly.

Should any information in the main application require updating, this shall be done by submitting updated documentation to EEX, as necessary.

Furthermore we will annex a current excerpt of the commercial register to this application.

The respective price lists of the EEX group are applicable.

We authorise the Management Board of the Exchange EEX and the operating companies of the Exchange and the EEX OTF to exchange information and data regarding the memberships within the EEX Group as well as within the Deutsche Börse Group. The authorisation for the exchange of information and data also includes the exchange of personal data and information of the persons named in section 4.1 of the main application. We confirm that these persons have granted their approval for exchanging information and data within the EEX Group and within Deutsche Börse Group. We will inform EEX about any modification of this authorisation immediately.

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 PRIVACY NOTICE which can be found on our company websites.

Place	Date dd.mm.yyyy	Signature(s) of applicant          Name of Signatory/ies:
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