

GUIDELINE FOR THE ADMISSION TO THE ELECTRICITY SPOT MARKET
of the Energy Exchange EXAA and its clearing house CCP Austria

GUIDELINE FOR THE ADMISSION TO THE ELECTRICITY SPOT MARKET

Dear interested Party!

We are very pleased about your interest in the EXAA electricity spot market!

This guideline aims to give an overview of the necessary registration forms and requirements for the energy exchange EXAA and its clearing house CCPA.

The first part covers all information for the admission to EXAA while the second part informs about all necessary steps for a registration at CCPA. Furthermore, information about balancing groups, as well as the responsible contact persons for the respective transmission system operators. The admission- and registration process at EXAA and CCPA can naturally run simultaneously. To become an exchange member however, both processes have to be completed.

If you have any more questions, please feel free to contact your contact partners at EXAA and CCPA.

Admission at EXAA



EXAA Abwicklungsstelle für Energieprodukte AG

EXAA Market Operations

+43 1 253 72 72 – 90

trading@exaa.at

Return of documents to:

EXAA Abwicklungsstelle für Energieprodukte AG

Alserbachstraße 14-16

1090 Wien

AUSTRIA

Sections 1-5 in the EXAA part are obligatory documents. Sections 6-8 are optional and can be used according to your needs. Should questions arise concerning this, please feel free to contact us.

Please note, that all documents have to be sent in original to the above-mentioned post address.

For some documents, only the German version is legally binding. If required, you can find the German version directly below the English version.

We recommend sending the documents beforehand as a scan to trading@exaa.at to accelerate the process.

1) Documents for the Vienna Stock Exchange

For the registration at EXAA, a membership agreement with the Vienna Stock Exchange is obligatory. Additionally, the Declaration of Reliability of the Vienna Stock Exchange must be signed. This ensures that the exchange member has taken note of the regulations set out in § 28 BörseG (Stock Exchange Act).

[Membership Agreement with Vienna Stock Exchange](#) (in duplicate, Translation only)

[Mitgliedschaftsvereinbarung mit der Wiener Börse](#) (in duplicate)

[Declaration of Reliability of the Vienna Stock Exchange](#) (Translation only)

[Zuverlässigkeitserklärung für die Wiener Börse](#)

2) Confirmation of the technical installations

To ensure that all technical requirements for the participation in the trading via the EXAA trading system are met, the confirmation of the technical installations must be filled out by the member.

[Confirmation of the technical installations](#)

3) Registration of trader and Backoffice contacts

Each trading member must register at least one Senior Trader and one Commercial Representative (Backoffice contact). All traders to be registered must have completed the EXAA traders training.

Exempt from this rule is only the management of the member. Registrations for the training sessions can be sent to training@exaa.at. More information can be found on our [homepage](#).

[Admission of Exchange Traders for Vienna Stock Exchange](#) (Translation only)

[Antrag als Börsebesucher von der Wiener Börse](#)

4) Access to the EXAA trading system

The access to the EXAA trading system is done via a two-factor authentication. The following methods are available: hardware token, e-mail token or SMS token. The choice of token is specified in the two-factor authentication form.

You can nominate your traders in the data sheet (see Point 5).

5) Additional requirements

Additionally, to complete the registration at EXAA, the following documents are required:

- ▶ Company register excerpt (not older than 3 months)
- ▶ A valid specimen signature sheet for the verification of signatures ([sample sheet](#))
- ▶ [Contact-Sheet](#)
- ▶ [Data-Sheet](#)
- ▶ [EXAA questionnaire](#)

For persons not listed in the company register who are nonetheless authorised to sign, an additional confirmation is needed.

The company register excerpt and the specimen signature sheet have to be submitted only once (to EXAA or CCPA)

6) REMIT reporting for OMP EXAA to ACER (optional for CH: to ELCOM)

EXAA reports as Organized Market Place (OMP) and as Registered Reported Mechanism (RRM) all transactions made in the EXAA trading system to ACER according to Art. 8 REMIT-VO. For this purpose, a REMIT Agreement must be signed, which will be sent to you as part of the admission process. Within this agreement you can choose additional services (Access to your reporting file and/or to your ACK-File from ACER via FTP),

As an optional service for our trading participants based in Switzerland, EXAA assumes the resulting, additional reporting obligations (relating to EXAA trading) to the Swiss Federal Electricity Commission (ElCom). For this purpose an ELCOM Agreement must be signed, which will be sent to you as part of the admission process upon request.

7) API-Solution (optional)

To automate your trading at EXAA, we offer access to the EXAA trading system via Application Programming Interface (API)

We offer the following function with the Trading API:

- ▶ **Read-Only Access:** to query the market- and trade results for the 10:15 Auction and the 12:00 Auction (Market Results, Trade Results and Trade Confirmation)
- ▶ **10:15 Auction:** for order management (submission and deletion of orders) and to request market- and trading results
- ▶ **Post-Trading:** for post-order management (only available for the 10:15 Auction)
- ▶ **Location Spread:** for spread-order management (only available for the 10:15 Auction)
- ▶ **12:00 Auction:** for order management (submission and deletion of orders) and to request market- and trading results.

8) Special roles at the EXAA spot market (optional)

- ▶ Market Maker
- ▶ Liquidity Provider

For questions regarding the above-mentioned options please feel free to contact trading@exaa.at.

Integration with CCPA



CCP Austria Abwicklungsstelle für
Börsengeschäfte GmbH

Energy Operations

+43 (1) 533 22 44 – 2055

energy@ccpa.at

CCP Austria Abwicklungsstelle für
Börsengeschäfte GmbH

Backoffice

+43 (1) 533 22 44 – 2884

energy@ccpa.at

OeKB CSD GmbH

+43 (1) 53127 – 2100

csd@oekb-csd.at

Oesterreichische Kontrollbank AG

+43 1 53127 – 0

info@oekb.at

1) Contact form

The [contact form](#) is used to establish contact with CCPA in a simple and convenient manner. Contact persons for the most important specialist areas in the processing of the electricity spot market are compiled here. The data provided will be handled in accordance with data protection regulations. Please return the form digitally to energy@ccpa.at.

2) Credit assessment

The credit assessment is carried out on the basis of the business reports submitted by you, as well as any other information. Once all the required documents have been received by CCPA, this will take approximately two weeks. Please send the following documents in digital form to the CCPA back office (energy@ccpa.at):

- Current excerpt from the company register (also: excerpt from the commercial register)
- Annual financial statements of the last 3 financial years
- CRA Ratings (optional)

3) Clearing agreement

In order to participate in the EXAA electricity exchange, each clearing member must conclude a [clearing agreement](#) with CCPA (for admission requirements see also § 7 of the [General Terms and Conditions Spot Market Products in Electric Energy](#)).

4) Annexes to the clearing agreement

The [annexes to the clearing agreement](#) consist of various mandatory and optional annexes. The clearing agreement including annexes must be signed in paper form in duplicate by the company; in the case of a certified digital signature (e.g. A-Trust), a single copy is sufficient; this can be returned to energy@ccpa.at. A current specimen

signature sheet or signature list must be provided in any case (a copy of the specimen signature sheet from EXAA is also sufficient).

Please send original documents to:

CCP Austria Abwicklungsstelle für Börsengeschäfte GmbH
 Attn.: Clearing Operations
 Strauchgasse 1-3
 A-1010 Vienna

Please find below a list of the annexes to the clearing agreement including practical information:

Obligatory annexes	Annex ./2	SEPA Corporate Direct Debit Mandate (B2B) of the Clearing Member <ul style="list-style-type: none"> Used for the collection of overdue payments The mandate reference is filled in after entry in the payment system of OeKB AG The name and address of the debtor as well as the information on the account-holding bank must be filled in
	Annex ./3	Release of the settlement bank from the banking secrecy obligation <ul style="list-style-type: none"> Required for two-way communication between settlement bank OeKB AG and CCPA Company name and registered office are to be filled in
	Annex ./4	Confirmation of the transfer of funds to an account of CCPA <ul style="list-style-type: none"> Enables collateralisation by means of transfer of funds to a CCPA account Company name and registered office are to be filled in
	Annex ./5	Information on physical settlement: Balance responsible party <ul style="list-style-type: none"> Information if you are a balance responsible party yourself Company name, registered office, control areas, EIC codes and notices or contracts are to be filled in
	alternatively Annex ./5a	Information on physical settlement: Agreement with a balance responsible party <ul style="list-style-type: none"> If you are a member of a balance group Company name, registered office and information on the balance group must be filled in
Optional annexes	Annex ./6	Bank guarantee declaration <ul style="list-style-type: none"> If collateralisation by means of a bank guarantee bond is desired The company name and registered office of both the company and the guarantor and information on the bank guarantee bond must be completed CCPA will only accept Supplement 6 as a form or the exact wording of the Supplement as a valid Bank Guarantee Declaration
	Annex ./7	Pledge declaration for funds by the clearing member <ul style="list-style-type: none"> Enables collateralisation by pledging funds to an account of OeKB AG Company name, registered office, account number for clearing collateral and/or default fund contributions are to be filled in
	Annex ./8	Collateral deposit of the clearing member with the collateral depository <ul style="list-style-type: none"> Enables collateralisation by pledging securities on a securities account of OeKB CSD GmbH Company name, registered office and collateral deposit number are to be filled in
	Annex ./8a	Pledge statement for securities by the clearing member <ul style="list-style-type: none"> Legal basis for the pledging of securities on a securities account of OeKB CSD GmbH Company name, registered office and collateral deposit number are to be filled in

	Annex ./9	Authorisation to collect receivables by direct debit <ul style="list-style-type: none"> Instructs CCPA to cover by direct debit any requirements for clearing collateral and/or default fund contributions
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5) Clearing training

Pursuant to § 7 para. 4 lit. d of the [GTC Spot Market Products for Electric Energy](#), each new clearing member must have appropriately trained staff (at least one CCPA clearing diploma in the company). Appointments can be arranged individually in German or English. The **clearing training** is followed by the (optional) diploma examination.

- Possible as joint training in coordination with EXAA
- The costs of a clearing training and diploma examination can be found in the [Schedule of Fees Spot Market Products in Electric Energy](#)

6) Minimum collateral contributions

The provision of the **clearing collateral** and the **default fund contribution** is a basic prerequisite for a successful CCPA connection and must be provided no later than one week before the agreed start of the clearing membership. The minimum contribution of the clearing collateral amounts to EUR 40,000.00, the minimum contribution of the default fund amounts to EUR 10,000.00. Further information can be found in the CCPA [Collateral Policy](#).

7) Position limits

In order to limit CCPA's risks from trading in cash market products for electrical energy by clearing members, participation is only possible within the scope of [position limits](#) calculated in accordance with § 26 para. 3 of the [GTC Spot Market Products in Electric Energy](#). It should be noted that an **initial collateral deposit** is required prior to the start of trading on EXAA so that no restrictions arise due to position limits.

CCPA provides clearing members with a [margin simulation tool](#). This allows participants to determine the amount of clearing collateral required based on historical or projected netting payment obligations. The results of the simulation are not binding.

Additional information on balance groups/balancing groups

In the following we provide initial information and contact details **on the balance groups and balancing groups in Austria (AT), Germany (DE), the Netherlands (NL), Belgium (BE) and France (FR)** (cf. [annexes 5 or 5a](#)).

Please contact the offices listed below if you require more information. For clearing at CCPA, membership of at least one balance group is required.

For admission as a balance responsible party or the establishment of a balance group in **Austria** (in the APG control area), please contact the clearing office:

**APCS Power Clearing and Settlement
AG**

+43 1 319 07 01 0

office@apcs.at

At the same time, it is recommended to also register with APG for data exchange tests:

**APG AG - Programmbüro der
Hauptschaltleitung UBH**

+43 50320 53220

apg@apg.at

The legal requirements are checked by E-Control Austria. For the authorisation application documents, please contact:

E-Control Austria

+43 1 24724-0

office@e-control.at

The examination of the legal requirements leads to the award of a licence by E-Control Austria if all conditions are met.

The German control area managers can be reached at:

TenneT TSO GmbH

+49 921 50740-0

info@tennet.eu

Amprion GmbH

+49 2234 85-0

bilanzkreise@amprion.net

50Hertz Transmission GmbH

+49 (0) 30 5150-0

info@50hertz.com

TransnetBW GmbH

+49 711 21858-0

bilanzkreise@transnetbw.de

The Dutch control area managers can be reached at:

TenneT TSO B.V.

0800 836 63 88

servicecenter@tennet.eu

The French control area managers can be reached at:

**Réseau de Transport d'Electricité, S.A.
(RTE)**

marketservices@rte-france.com

The Belgian control area managers can be reached at:

Elia Transmission Belgium SA

+32 2 546 74 88

info@elia.be

If the new exchange member does not have its own balancing group in a control area, it is possible to participate in trading on EXAA via membership in an existing balancing group.

Below you will find the EI-codes or the EAN code of CCP Austria:

Control area	EXAA 10:15 Auction Grey	EXAA 10:15 Auction Green	MC 12:00 Auction	Nomination by	TSO
AT	14YCCPADATENMLDW	14Y-GREEN-CCPA-8	14YCCPADATENML2H	CCPA & Market Participants	APG/APCS
BE	14X----CCPA----8	-	-	CCPA & Market Participants	ELIA
DE	14YCCPADATENMLDW	14Y-GREEN-CCPA-8	14YCCPADATENML2H	CCPA & Market Participants	DE TSOs
FR	-	-	-	CCPA	RTE
NL	9099999136747	-	-	CCPA & Market Participants	Tennet NL