

Contact Market Operations:

Ms. Olga Azadegan
Telefon: 0043 1 2537272 92
Fax: 0043 1 2537272 96
E-Mail: markets@exaa.at

Please send all your documents to:

EXAA
Abwicklungsstelle für Energieprodukte AG
Alserbachstraße 14-16
1090 Wien, Austria



Guideline

Application Procedure for Electricity Trading at the EXAA Spot Market

In this guideline, you can find a description of the application procedure for trading at the EXAA Energy Spot Market. In case of any questions, please do not hesitate to contact the EXAA Market Operations: markets@exaa.at

Preliminary Note: All necessary documents can be found on this data carrier or always up-to-date on our homepage: <http://en.exaa.at/download/spotmarket.html>. The listed documents are directly linked to the download centre on our homepage. Please use the [checklist](#) for support.

IMPORTANT:

Please note, that you have to send the Membership Agreement with Wiener Börse and the Clearing & Settlement Agreement with EXAA in **duplicate** and to fill out all forms in **German language**; the English version of the contracts are not legally binding and shall be understood as a courtesy for your convenience.

I. Completion of EXAA-Package

1. Clearing & Settlement Agreement **in German Abwicklungsvereinbarung with EXAA**

Please fill in/sign on page 1, and §12 and 13

Including the annexes:

- for **collaterals** you have to use **Annex 2** (Anlage 2) (sample for a bank guarantee) or **Annex 4** (Anlage 4) (cash deposits or. securities) depending on the kind of collaterals you would like to deposit
- for **direct debit authorization (Einzugsermächtigung)** you have to fill in **Annex 3** (Anlage 3) (A bank account at an Austrian bank is mandatory)
- for the **exemption from the bank secret (Entbindung vom Bankgeheimnis)** we would need **Annex 5** (Anlage 5)
- in case you don't have your own balance group, but a membership in a balance group please fill in **Annex 6** (Anlage 6) (Please do also compare with the part precondition for participation in exchange trade)
- to confirm the technical arrangements, please submit **Annex 7 (Bestätigung der technischen Vorkehrungen)** Anlage 7
- optional for participants who have submitted a bank guarantee or securities: for the opportunity to deposit additional collaterals on a cash account as a short term replacement when collaterals requirements are exceeded please sign Annex 8 (Bestätigung des Börsenmitglieds betreffend Überweisung von Geldbeträgen auf ein Konto der EXAA (Anlage 8)

2. Membership Agreement with Wiener Börse AG:

Please fill in/sign the [Membership agreement with Wiener Börse \(Mitgliedschaftsvereinbarung mit der Wiener Börse AG\)](#) on page 1, page 2/point 1 selecting “Trading in spot market products for electric power” and “Clearing and settlement of exchange deals concluded in the trading at spot market products for electric power and also XIV and XV.

3. Furthermore we would need:

- A current excerpt from your company’s register
 - the financial statements of the last two years
 - [specimen signatures](#)
 - [contact sheet](#)
 - [data sheet](#)
 - [application as an exchange trader](#)
(=Antrag auf Zulassung als Händler bei der Wiener Börse)
 - For every company which participates in trading at EXAA, at least one trader has to attend a trader’s training and pass an exam. Please register: markets@exaa.at
 - [Agreement between EXAA and market participant in the Amprion control area](#) if the trade occurs in this control area: [Vereinbarung Amprion-Zone](#)
 - [Agreement between EXAA and market participant in the TenneT-control area](#) if the trade occurs in this control area: [Vereinbarung TenneT-Zone](#)
 - Copy of the exertion notification (Ausübungsbescheid) from E-Control, or a copy of balance group contract (in case you don’t have a balance group in Austria or the four mentioned German areas, please use the guideline in Point II).
1. When trading in one of the German Control areas the TSO requires a signed Appendix to the balance group contract confirming that the schedules of EXAA have priority. (Please choose the relevant [amendment](#) (=Formblatt) :

Note: The official company signature has to include the signatures of the persons authorized to sign on behalf of the company as mentioned in the official companies register and the company stamp!

II. Pre-requirement for Participation in Exchange Trading

1) For trading at EXAA it is a pre-requirement to either

- a) founding a balance group in Austria** (and become Balance Group Responsible [BGR])
or
- b) confirmed membership in an existing balance group in Austria or**
- c) confirmed status of a BGR or member of a balance group in the TenneT control area or Amprion control area or 50Hertz control area or EnBW control area**

Ad a) Founding a balance group in Austria

Most exchange members decide to found their own balance group and to become Balance Group Responsible themselves. An admission examination consists of the following three steps:

Step 1:

The technical and financial requirements for the Balance Group Responsible's position and duties are defined in the General Business Terms of the Balance Group Coordinator (BGC or Clearing & Settlement Agency) in charge.

The documents required for the application for admission have to be handed in with the BGC (Clearing & Settlement Agency) in charge and are examined there. These documents can be downloaded on the website of the BGC (Clearing & Settlement Agency) in charge.

For the **Control Area APG** the **Clearing and Settlement Agency** in charge is **APCS**:

Contact: Mr. Christian Sedlak
Email: christian.sedlak@apcs.at
office@apcs.at
Phone: +43 1 319 07 01 - 61
Fax: +43 1 319 07 01 - 77
Address: APCS Power Clearing and Settlement AG
Palais Liechtenstein
Alserbachstrasse 14-16
A-1090 Wien
Homepage: www.apcs.at

After the completion of the admission examination by the BGC (Clearing & Settlement Agency) the applicant receives the **Green Card**. This Green Card has to be sent to E-Control Austria (ECA) by the BGC (Clearing & Settlement Agency) and by the applicant.

Step 2:

At the same time the applicant for the foundation of a balance group already also has to get into contact with the respective **grid operator** for data exchange tests.

For the **Control Area APG**:
Contact: Programmbüro der Hauptschaltleitung UBH der APG
Phone.: + 43 (0)50320 53220
Homepage: <http://www.verbund.at/>

Step 3:

The legal requirements are examined by ECA. **Simultaneously** with the application at the Clearing&Settlement Agency and the Network Operator, please contact Mr. Johannes Mrazek (johannes.mrazek@e-control.at; Tel.: 0043 1 24724 405) at E-Control Austria regarding the documents for the admission application. The fulfilment of all requirements finally results in the award of the Official Note of Operation issued by ECA.

A copy of this Official Note of Operation issued by E-Control Austria has to be sent to EXAA as the final confirmation of the Balance Group Responsibility by the new exchange member.

Annex 6 of the EXAA Clearing & Settlement Agreement (Agreement between the Exchange Member [EM] and the Balance Group Responsible [BGR] if the EM is not a BGR) is not in use in this case.

Please note: For the delivery of the Official Note of Operation by E-Control the applicant has to report a **mailing address** for legal documents in **Austria** to E-Control Austria!

Ad b) Membership in an existing Austrian Balance Group

In case the new exchange member decides to make a contract with an existing balance group in Austria, a copy of the Official Note of Operation issued by ECG of this balance group and Annex 6 of the EXAA Clearing & Settlement Agreement (Agreement between the Exchange Member [EM] and the Balance Group Responsible [BGR] if the EM is not a BGR) have to be sent to EXAA by the new exchange member.

In Annex 6 (Agreement between the Exchange Member [EM] and the Balance Group Responsible [BGR] if the EM is not a BGR) The BGR confirms that it assumes the balancing energy risk for the trades which will be concluded at EXAA by the EM.

Ad c) Trade at EXAA via a balance group in the TenneT Control Area or in the Amprion, 50Hertz or EnBW Control Area

Trading at EXAA is also possible via an existing balance group in one of the four German Control Areas. For trading in TenneT or Amprion Control area, the conclusion of an agreement with EXAA is required for the new exchange member who accepts as the BGR of the balance group that all schedules sent to the transmission system operators by EXAA are valid and at the same time it will accept the prescribed fiscal treatment. Additionally, the exchange member has to provide EXAA with a copy of the balance group contract. *Furthermore the member has to agree in a formless letter to the TenneT transmission system operator that the schedules of the exchange have priority.*

Contact Person TenneT Netz:

Frau Jana Upmeyer
TenneT TSO GmbH

Bernecker Straße 70,
95448 Bayreuth,
Deutschland
Tel.: 0049 921 915 4515
Email: jana.upmeyer@tennet.eu

Contact Person Amprion Netz:

Herr Witali Brunmaier
Amprion GmbH

Rheinlanddamm 24,
44139 Dortmund,
Deutschland
Tel. : 0049 231 438 -5539
E-mail: witali.brunmaier@amprion.net

Contact Person 50Hertz Transmission Netz:

Hr. Jörg Michaelis
50Hertz Transmission GmbH

Eichenstraße 3 A
12435 Berlin
Tel. : 0049 305150 45 68
E-mail: joerg.michaelis@50hertztransmission.net

Contact Person EnBW Netz:

Hr. Eberhard
EnBW Transportnetze AG

Kriegsbergstraße 32
70174 Stuttgart
Tel: 0049 711128 3230
E-mail: bilanzkreise@EnBW.com

For trading in 50Hertz or EnBW grid EXAA only needs a copy of the balance group contract.

Ad d) Contract with a BGR

If the new exchange member is not a BGR in the control area, there is the possibility of trading at EXAA via membership in such a balance group. Therefore the conclusion of an agreement between the respective BGR, the new exchange member and EXAA is required. In this agreement the BGR and the new exchange member as clearing & settlement participant confirm their contractual relationship (the BGR assumes the balancing energy risk for the exchange member) as well as accept that all schedules sent to the transmission system operators by EXAA are valid and at the same time accept the prescribed fiscal treatment. Additionally, the new exchange member has to provide EXAA with a copy of the balance group contract between the TSO and the respective BGR.

**We are looking forward to welcome you soon
as trading participant at EXAA!!!**