Market Participation Application Form

Introduction and Filing Address

* + - * 1. BSP Energy Exchange LL C and its affiliated companies (hereinafter jointly and/or individually referred to as “BSP SouthPool”) jointly operate an energy exchange and respective trading, clearing and settlement systems (hereinafter referred to as “Exchange”) in accordance with the rules of the Exchange, including the appendices and other regulations of BSP SouthPool applicable, (hereinafter referred to as “Exchange Rules”).
        2. This application form (hereinafter referred to as “Application”) is the form required in accordance with the Exchange Rules as of 21 June 2016 for the application to Market Participation and shall be, duly signed and accompanied with the relevant documentation, filed with:
        3. BSP Energy Exchange LL C
        4. Dunajska 156
        5. SI-1000 Ljubljana
        6. Slovenia
        7. Telephone: +386 1 620 7687
        8. Telefax: +386 1 620 7677
  1. Application

We, the Applicant, are hereby applying for:



We, the Applicant, assure that:



* 1. Applicant’s Identification Data

|  |  |
| --- | --- |
| ***Official Company Name*** | |
| Full Company Name |  |
| Short Company Name |  |
| ***Official Registration*** | |
| Legal Status |  |
| Registration Number |  |
| Place of Registration |  |
| ***Registered Place of Business*** | |
| Address |  |
| City, Post No. |  |
| Country |  |

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| ***Mailing Address*** | | |
| Company, Person |  | |
| Address |  | |
| City, Post No. |  | |
| Country |  | |
| ***Tax-related Registrations*** | | |
| Tax Registration No. | |  |
| VAT Identification No. | |  |
| ***Bank Account Information*** | | |
| Name of the Applicant’s Bank | |  |
| Address of the Applicant’s Bank | |  |
| Applicant’s Bank’s SWIFT code | |  |
| Applicant’s Bank Account No. (IBAN) | |  |
| ***Slovenian Electricity Market Registrations*** | | |
| EIC Identification Code | |  |

* 1. Correspondence Representatives for Issues Related to Admission

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| ***Applicant’s Representatives for the operational issues related to BSP SouthPool’s admission procedures*** | | | | | | | | | |
|  | ***Name*** |  | ***Surname*** |  | ***Telephone*** |  | ***Telefax*** |  | ***E-mail*** |
| 1. |  |  |  |  |  |  |  |  |  |
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| 3. |  |  |  |  |  |  |  |  |  |

* 1. Correspondence Representatives for Issues Related to Technical Requirements

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| ***Applicant’s Representatives for the operational issues related to BSP SouthPool‘s technical requirements*** | | | | | | | | | |
|  | ***Name*** |  | ***Surname*** |  | ***Telephone*** |  | ***Telefax*** |  | ***E-mail*** |
| 1. |  |  |  |  |  |  |  |  |  |
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* 1. Obligatory Attachments Checklist
     + - 1. The following documents, save for the documents of those mentioned below, that have already been conveyed to BSP SouthPool during previous admission processes, shall be filed with the Application:

Excerpt from the Official Company Registry stating the latest facts and in any case not older than 30 days;

A copy of the license to perform trade in energy in the Markets the Applicant is applying for, if such license is needed by the laws applicable to the Applicant;

Copies of the official documents confirming the Apllicant’s tax registration numbers stated in the Application;

Copies of the official documents confirming the Apllicant’s VAT identification numbers stated in the Application;

Copies of the official documents confirming the Applicant’s EIC identification codes stated in the Application;

Audited, if applicable, Financial Statements (Balance Sheet, Income Statement, Cash‑flow Statement) including accompanying notes and Management Reports either for the last three years or, if the Applicant has been established less than three full calendar years ago, for all the years of Applicant’s operation and the same Financial Statements as valid per last quarter;

Nomination Sheet duly signed, either:

by the Applicant, if the Applicant is an Exchange Member, or

by the Exchange Member it belongs to, if the Applicant is an Affiliate Member.

***BSP SouthPool may require additional documents and/or confirmations in the process of admission.***

* 1. Statements and Signatures

We, the Applicant, hereby state and assure and give consent respectively that we:

1. are commercially engaged in the business of either buying and selling in our own name for our own account (own transactions) or buying and selling in our own name for the account of a third party (client transactions) or acting as intermediaries for contracts to buy and sell (brokerage operations);
2. are familiar with and accept the Exchange Rules without reservations;
3. shall acknowledge and observe the Exchange Rules including future amendments;
4. shall at all times fulfil all obligations towards BSP SouthPool and other Exchange Participants, in accordance with the Exchange Rules and applicable laws and with respect to the risk exposure, originating from our activities at the Exchange;
5. have all necessary authorisations, licenses and permissions required by any state and/or private laws applicable in order to do business and operate at the Exchange;
6. allow representatives of BSP SouthPool and/or persons acting on its behalf to access our premises to observe and monitor compliance both with the Exchange Rules including future amendments and with obligations assurances of ours made to BSP SouthPool;
7. will without undue delay notify BSP SouthPool of any changes of factual or legal nature in relation to the information and data required and/or conveyed in the process of admission;
8. agree to BSP SouthPool publishing our company as Market Participant upon admission;
9. authorise BSP SouthPool to exchange any information and data required and/or conveyed in the process of admission within the companies of BSP SouthPool.

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| Agreed to and executed in/at | | | | |  | | | on | |  | |  |
|  | Signed: | | |  | |  | Signed: | | | |  | |
|  | Name: | |  | | |  | Name: | | |  | | |
|  | Title: |  | | | |  | Title: | |  | | | |

Nomination Sheet

We, the authorising Exchange Member, hereby nominate the persons stated below as Applicant’s Exchange Traders and Clearing Representatives (i.e. both Financial Settlement Representatives and Physical Settlement Representatives) respectively to be approved by BSP SouthPool as such.

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| Authorising Exchange Member | |  |
|  | ***To be provided if the Applicant is not the Authorising Exchange Member*** | |
|  | Applicant |  |

* 1. Exchange Traders

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| Central Telephone: | | |  | | | | | |  | Central Telefax: | | | | |  | | |
| ***Exchange Traders Authorised to Act on Applicant’s Behalf*** | | | | | | | | | | | | | | | | | | |
|  | ***Name*** | |  | ***Surname*** | | |  | ***Telephone*** | | |  | ***Mobile Phone*** | | | |  | ***E-mail*** | |
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* 1. Financial Settlement

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| Central Telephone: | | | |  | | | |  | Central Telefax: | | | |  | | |
| ***Financial Settlement Clearing Representatives Authorised to Act on Applicant’s Behalf*** | | | | | | | | | | | | | | | |
|  | ***Name*** | |  | ***Surname*** | |  | ***Telephone*** | | |  | ***Mobile Phone*** | | |  | ***E-mail*** |
| 1. |  | |  |  | |  |  | | |  |  | | |  |  |
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* 1. Physical Settlement (Scheduling)

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| **24-hours Telephone:** | | | | |  | | | |  | Central Telefax: | | | |  | | |
| ***Physical Settlement Clearing Representatives Authorised to Act on Applicant’s Behalf*** | | | | | | | | | | | | | | | | |
|  | ***Name*** | |  | ***Surname*** | | |  | ***Telephone*** | | |  | ***Mobile Phone*** | | |  | ***E-mail*** |
| 1. |  | |  |  | | |  |  | | |  |  | | |  |  |
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We, the authorising Exchange Member, shall upon decision to withdraw authorisation of any of the persons promptly inform BSP SouthPool of such decision in writing using the appropriate forms. BSP SouthPool shall, upon receipt of the aforementioned information on withdrawal of authorisations, effect the changes in authorisations within its Trading and Clearing Systems without undue delay. Until information on withdrawal of authorisations is received by BSP SouthPool and the time needed to effect the appropriate changes in the Trading and/or Clearing Systems passes, the authorisations shall be deemed as valid in relation to BSP SouthPool and other Exchange Participants and Clearing Members.

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| Agreed to and executed in/at | | | | |  | | | on | |  | |  |
|  | Signed: | | |  | |  | Signed: | | | |  | |
|  | Name: | |  | | |  | Name: | | |  | | |
|  | Title: |  | | | |  | Title: | |  | | | |