Exchange 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 Exchange 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 (hereinafter referred to as “Applicant”), are hereby applying for:

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|  |  |
| --- | --- |
| Exchange Member: |  |

We, the Applicant, assure that:

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General Information on the Applicant

|  |  |
| --- | --- |
| ***Official Company Names*** | |
| Full Company Name |  |
| Short Company Name |  |
| ***Official Registrations*** | |
| Legal Status |  |
| Registration Number |  |
| Place of Registration |  |
| Tax No. |  |
| VAT Identification No. |  |
| ***Registered Place of Business*** | |
| Address |  |
| City, Post No. |  |
| Country |  |
| ***Correspondence Mailing Address*** | |
| Address |  |
| City, Post No. |  |
| Country |  |

* 1. Applicant’s Officially Registered Representatives

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ***Persons entrusted with the management and representation of the Applicant, either by Law or by Articles of Association or by Shareholders’ Agreements*** | | | | | | | |
| ***No.*** | ***Signatory Authorisation*** | | |  | ***Person*** | | |
|  | *Jointly with Nos.* |  | *Solitary* |  | *Name* |  | *Last Name* |
| 1. |  |  |  |  |  |  |  |
| 2. |  |  |  |  |  |  |  |
| 3. |  |  |  |  |  |  |  |
| 4. |  |  |  |  |  |  |  |
| 5. |  |  |  |  |  |  |  |
| 6. |  |  |  |  |  |  |  |
| 7. |  |  |  |  |  |  |  |

* 1. Applicant’s Contact Persons Authorised for Applicant’s Representation in Contractual and Business Operation Relations with BSP SouthPool

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ***Persons authorised to act on behalf of Applicant in all contractual matters and business operation in relation to BSP SouthPool, save for trading at the Exchange if the person is not admitted as an Exchange Trader in Accordance with the Exchange Rules*** | | | | | | | |
| ***No.*** | ***Signatory Authorisation*** | | |  | ***Person*** | | |
|  | *In pair with Nos.* |  | *Solitary* |  | *Name* |  | *Last Name* |
| 1. |  |  |  |  |  |  |  |
| 2. |  |  |  |  |  |  |  |
| 3. |  |  |  |  |  |  |  |
| 4. |  |  |  |  |  |  |  |
| 5. |  |  |  |  |  |  |  |
| 6. |  |  |  |  |  |  |  |
| 7. |  |  |  |  |  |  |  |
| We are attaching to this Application, for each person nominated above, a Signature Sheet (on the form provided as appendix to this Application) duly signed by that person. | | | | | | | |

* 1. Correspondence Representatives for Issues Related to Admission

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| ***Applicant’s Representatives for the operational issues related to BSP SouthPool admission procedures*** | | | | | | | | | |
|  | ***Name*** |  | ***Surname*** |  | ***Telephone*** |  | ***Telefax*** |  | ***E-mail*** |
| 1. |  |  |  |  |  |  |  |  |  |
| 2. |  |  |  |  |  |  |  |  |  |
| 3. |  |  |  |  |  |  |  |  |  |

* 1. Obligatory Attachments Checklist
     + - 1. The following documents 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 official document confirming the Apllicant’s tax registration number stated in the Application;

A copy of the official document confirming the Apllicant’s VAT identification number 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.

A set of Signature Sheets duly signed by the persons nominated as Contact Persons.

***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 member of the Exchange;
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 an executed in/at | | | | |  | | | on | |  | |  |
|  | Signed: | | |  | |  | Signed: | | | |  | |
|  | Name: | |  | | |  | Name: | | |  | | |
|  | Title: |  | | | |  | Title: | |  | | | |

Signature Sheet

* + - * 1. As the nominated Contact Person of the Exchange Participant I duly accept the authorisation to act on behalf of Exchange Participant, either alone or jointly with another Contact Person in accordance with the authorisation given by the Exchange Participant in the Application, in all contractual matters and business operation in relation to BSP SouthPool, save for trading at the Exchange if I neither am nor will be admitted as an Exchange Trader in Accordance with the Exchange Rules.

|  |  |  |  |
| --- | --- | --- | --- |
| ***Authorising Exchange Participant*** | | | |
| Exchange Participant: |  | | |
| ***Contact Person*** | | | |
| Name: |  | | |
| Surname: |  | | |
| Place and Date: | |  |  |
| Signed | |  |  |