

# Membership Guide for HEnEx Spot

## Guidelines for Participants

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Version 3.0

# Contents



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## HEnEx's Membership Guide

- Eligible Trading Participants
- Membership Process
- Access to Energy Trading Spot System - ETSS
- Energy Trader Certificate
- HEnEx Charges
- Members Support Contact
- ANNEX - Legal Documentation for HEnEx Candidates

# Introduction

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- Towards the implementation of **Target Model**, EnExGroup has set out this **Membership Guide for** Candidate Participants and Clearing Members, in order to acquire Membership in:
  -  Day Ahead (DAM) & Intraday (IDM) Markets
  -  Clearing on DAM/IDM or/and IPTO's Balancing Market
- A candidate must complete a certain procedure as described in this document supported by a single contact point:

## EnEx Member Support



**E-mail:** [EnEx-Member-Support@enexgroup.gr](mailto:EnEx-Member-Support@enexgroup.gr)

**Tel :** (+30) 210 33 66 845, (+30) 210 33 66 952

**Fax:** (+30) 210 33 66 951

110 Athinon Avenue, Athens  
104 42, Greece

# HEnEx's Membership Guide

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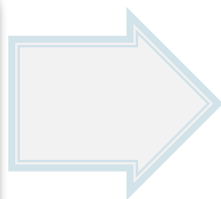
Eligibility, Admission & Certification Process, Access to ETSS, Fees

# Who is an Eligible Person?

## ➤ A) Legal Entities or Natural Persons

Section 3.2 par. 1  
Trading Rulebook

Holders of  
relevant  
License

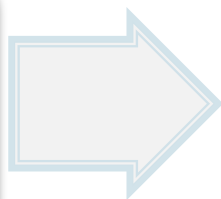


- ✓ **Producers**, holders of a RAE Production License or an exemption from obtaining a production licensing.
- ✓ **Suppliers**, holders of a RAE Supply License.
- ✓ **Traders**, holders of a RAE Trading License.
- ✓ **RES & High Efficiency CHP Producers**, holders of the Contract for sliding Feed in Premium (sFiP) or DAPEEP certificate concerning the operating capacity of the RES & CHP Units (art. 3, par. 19 of Law 4414/2016)
- ✓ **RES Aggregators**, holders of RES Aggregator License.
- ✓ **Self-Supplying Consumers**.

## ➤ B) Persons or Cooperative Bodies

Section 3.2 par. 2  
Trading Rulebook

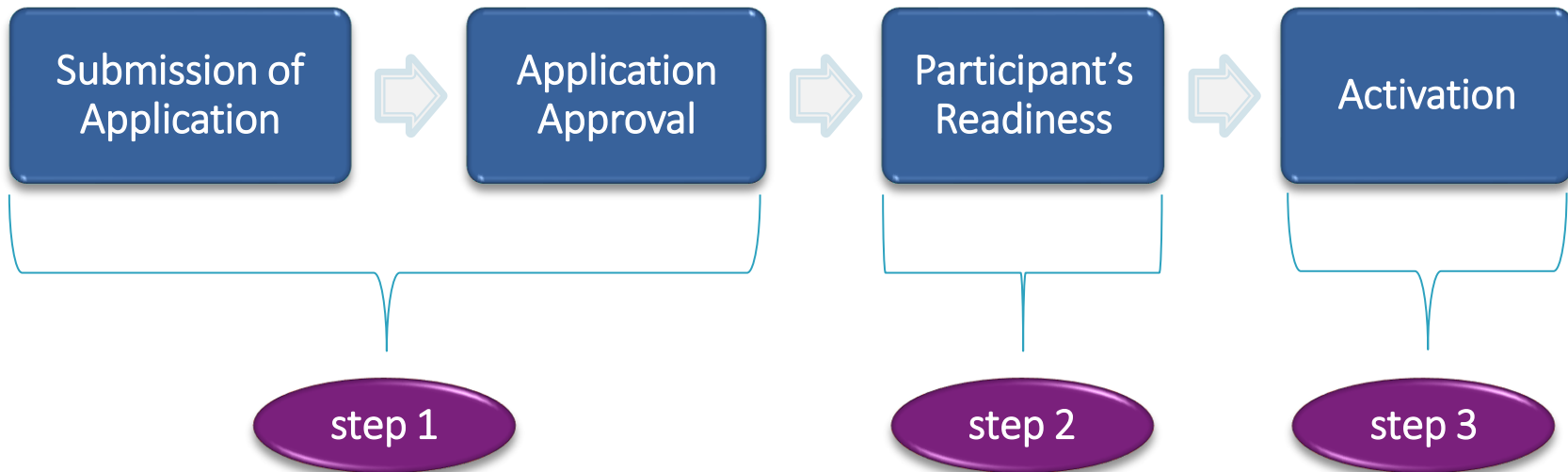
By Law or  
Regulation



- ✓ **Transmission System Operator (IPTO).**
- ✓ **RES & CHP Units Registry Operator (DAPEEP).**

# Membership Process in HEnEX's Spot Markets

The Participant admission process is completed in three (3) steps :



**Note:** The Membership requirements are defined in the Day-Ahead & Intra-Day Markets Trading Rulebook and Decision 1 "Procedure for acquiring the Participant capacity, Participant resignation and other Participant issues of HEnEx Day-Ahead and Intra Day Markets".

# Step 1: Submission of Application & accompanying docs (1/2)

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The Eligible Person shall submit the form F1-1 “[Candidate Membership Form](#)” along with the relevant License\* by the competent authority and the following three types of Documents (A), (B) and (C):

## A) Legal Documentation

1. Candidate type (a): Natural Person
2. Candidate type (b): Legal Entity

» Please check [ANNEX A](#) to find the relevant Legal Documentation depending on your business type.

*Note: Visit our website [here](#) to find further information about our membership policy.*

# Step 1: Submission of Application & accompanying docs (2/2)

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## B. HEnEx Forms :

- i. “Candidate Membership Form” (F1-1): Application Form.
- ii. “Joint Statement of Participant/Trading Member & General Clearing Member (F1-1a)”: Joint statement of the candidate Participant with the General Clearing Member who cooperates with the latter in clearing its transactions – required only by candidate Participants, which will be Non-Clearing Members.
- iii. “KYC Form” (F1-2): Know your client form.

## C. Additional Documentation

- i. REMIT Package Documentation  
or Declaration where the candidate Participant states that it does not intend to conclude a reference service contract with HEnEx.
- ii. Declaration of Activation as a Non-Clearing Member or as a Direct Clearing Member in the relevant Market.
- iii. Financial statements of the last two years, (not required for HTSO and DAPEEP)
- iv. Proof of payment of the relevant Application Fee (not required for HTSO and DAPEEP)



# Step 1: Application Approval

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Hard copies of the Application Form and the Supportive documents shall be sent to HEnEx headquarters, except from the digital signed documents which can be sent electronically via E-mail.

In the course of evaluating the application, HEnEx may request other additional or supplementary documents or information which it may deem necessary for the purpose of verifying the data submitted.

As long as the candidate's application is approved by HEnEx, EnEx Member Support informs the Participant about the next steps for their activation process and provides the **"Participant Registration Certificate"**.

***Note:** HEnEx forms shall be submitted only in English and the accompanying documents in Greek or English. All documents and forms must be signed by the Legal Representative with the company's stamp, and where applicable, genuity of signature with a Hague Apostille,.*

## Step 2: Preparation for the Participant Activation



### The Participant shall:

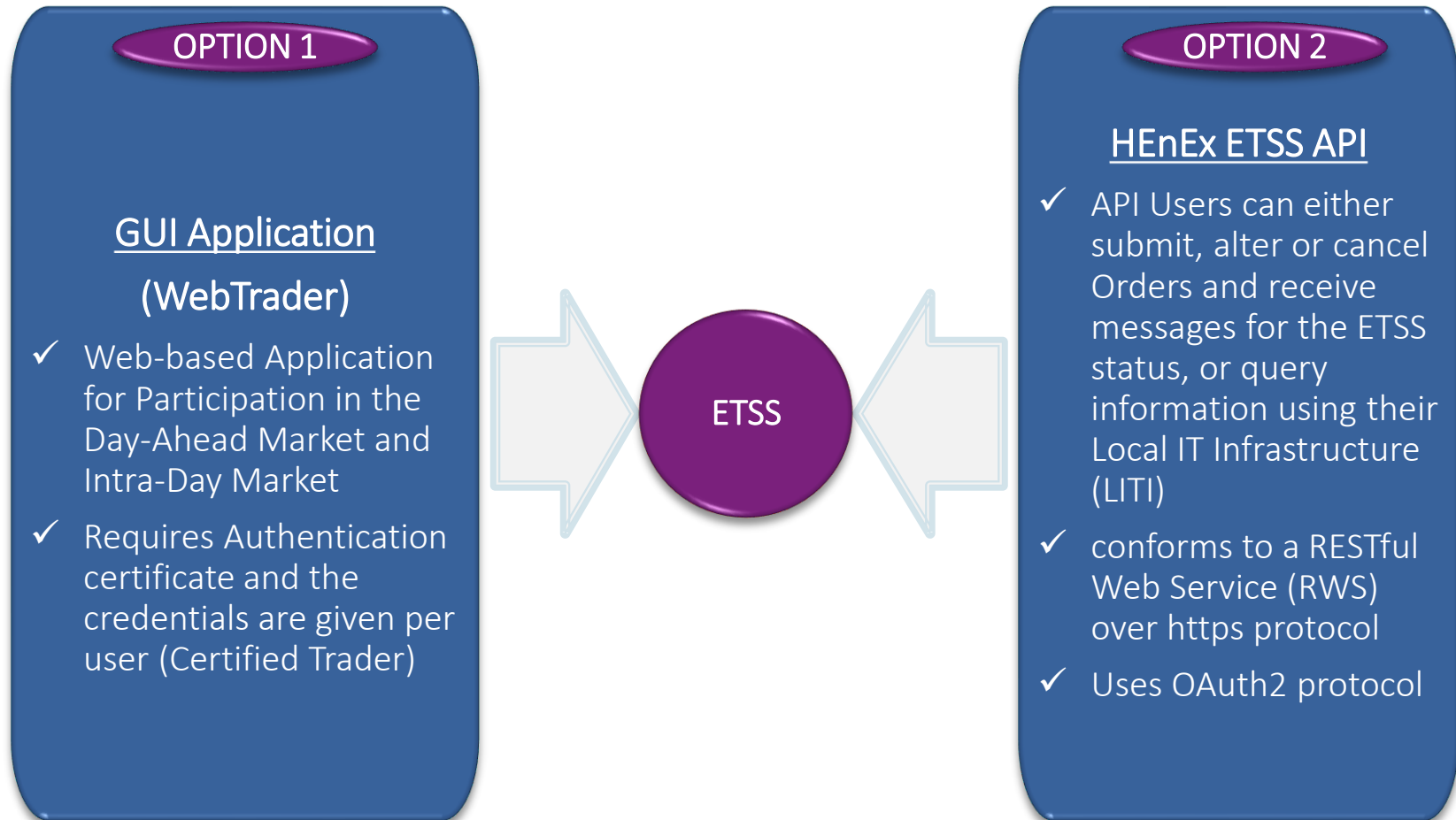
1. acquire the technological infrastructure for successful connection to the Energy Trading Spot System (ETSS)
2. have a sufficient number of Certified Energy Traders

»» Please check Slide [15](#), [16](#), [17](#) for the Certification Process

3. ensure its Certified Energy Traders readiness, given that HEnEx may organize Mock Sessions or other simulation scenarios under actual trading conditions.
4. in case the Participant wants to clear its transactions as a Direct Clearing Member, the registration certificate from EnEx Clearing House S.A. shall be submitted.
4. proceed with the payment of the Initial Registration Fee and the applicable Annual Subscription.

# Step 2: Access to Energy Trading System - ETSS

The Participant has the following options to access ETSS Servers:



## Step 2: Access ETSS: WebTRADER Application

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Access the WebTrader Application following the steps below:

a) Get the Client Authentication Certificate

The Certificate is provided by [ATHEX - Digital Certificates Services \(PKI-CA\)](#) and it is required for accessing the WebTrader Application. Submit the relevant form "EnEx Client Auth Subscriber Agreement" which must be signed by the Legal Representative and the Natural Person in Organization. Details concerning invoicing and installation procedure are provided by [ATHEX - Digital Certificates Services \(PKI-CA\)](#).

b) Install the Client Authentication Certificate.

Installation guidelines will be attached along with the Certificate reception.

c) Use the Credentials which has been allocated to the users declared\* in form S1-5.  
"Connection to the Energy Trading System SPOT (ETSS) Form".

**Note:** \* Users must be certified Energy Traders.

Participants/Clearing Members which have already acquired the certificate during the mock sessions, it is not required to get it again. Please be reminded that it has annual validity.

## Step 2: Access ETSS: API

Access the ETSS API following the steps below:



Declare your interest for HEnEx ETSS API “

- ✓ Submit the HEnEx form S1-5 ["Connection to the Energy Trading System SPOT \(ETSS\) Form"](#).

Develop and customize your Local IT Infrastructure (LTI) according to ETSS API Package

- Meet the requirements in the:
- ✓ ETSS API Specification
  - ✓ ETSS API Client sample application with installation

Request for the API User Credentials (Client ID & Client Secret)

- ✓ ETSS Connection Test
- ✓ ETSS Connection validation
- ✓ [Access ETSS](#)

## Step 3: Activation of the Participant



The participant shall submit the following HEnEx Forms electronically in order to finalize their activation to the Market:

- ✓ Agreement of Balancing Responsible Party with HTSO, being in force.
- ✓ “[Membership Activation form](#)” (F1-3): Activation date form for each Market (DAM/IDM).
- ✓ “[Participant’s/Members profile form](#)” (F1-4): Key persons form.
- ✓ “[Connection to the Energy Trading System \(ETSS\) Form](#)” (S1-5): Connectivity issues & users.

**Note:** The above actions must be completed within one month of the completion of the previous step.

# Energy Trader's Certification (1/3)

The requirements in order to become Energy Certified Trader are defined in Decision 2  
"Professional competence of Participants' Certified Energy Traders participating in the Day-Ahead & Intra-Day Market of HEnEx"

- The first case is to participate in HEnEx Exams and apply for becoming an Energy Certified Trader by submitting the form (S2-1) "Application Form for the issuance of the Energy Trader Certificate (ETC)"

## Case 1

### Requirement for issuing ETC (§2.3 of Decision 2)

- The applicant is at least 18 years of age.
- There are no grounds for not issuing the ETC in accordance with par. 2.3(2).
- **Has passed HEnEx exams.**
- Has paid the relevant fee.



Submit HEnEx  
Form  
S2-1

# Energy Trader's Certification (2/3)

A candidate Certified Energy Trader may be eligible to be **exempted from exams**, if apart from the requirements of §2.3, he/she fulfills the following criteria:

## Case 2

### Request Exception from HEnEx Exams (§3.5 of Decision 2)

- The candidate possesses an equivalent certificate to ETC *or*
- two years working experience in a member of a state energy market that is part of the “market coupling” system of the “target model”, acquired during the last five (5) years from the time submitting the application for certification, with main duties relative to that of the requested trading certification.
- He/She has participated in HEnEx’s “Energy Trader Seminar” and received a Certificate of Participation.
- Affirms jointly with the Participant, that he/she is aware of the trading & clearing regulatory framework of the market



Submit HEnEx  
Form  
S2-1

***Note:** Exception from the Exams can be requested only by a Person who is an employee of a HEnEx Participant*



# Energy Trader's Certification (3/3)

## How to apply for HEnEx's Exams and Seminars



### HEnEx's Exams Participation

- EnEx Member Support announces the exact **Examination's date**.
- Online Registration for the Persons who are willing to participate in **HEnEx's Exams**.
- The relevant payment of the fee is required, and the proof of payment must be sent back to EnEx Member Support.



### HEnEx's Seminars Participation

- EnEx Member Support announces the exact **Seminar's date**.
- Online Registration for the Persons who are willing to participate in **"Energy Trader Seminar"**.
- The relevant payment of the fee is required, and the proof of payment must be sent back to EnEx Member Support.

# HEnEx Fees

HEnEx fees are defined in the [Day-Ahead & Intra-Day Markets Trading Rulebook](#) and described in detail at Decision 6 [“Calculation, pricing and settlement procedures concerning the fees and charges of section 3.12, as well as the Non-Compliance Charges of the sections and sub-sections 4.4.2 and 6.8”](#)



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Administrative Fee

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Initial Registration Fee

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Annual Subscription

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Transaction Fee

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Commission on using common access point

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Commission on Trading on Behalf service

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Non-Compliance Charge for illegal submission of Sell Orders regarding the Available Capacity

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Non-Compliance Charge for violating the limit of the Maximum Percentage of Energy Financial Instruments with Physical Delivery

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Non-Compliance Charge for violating the limit of the Maximum Percentage of Energy Financial Instruments with Physical Delivery

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# Members Support Contact

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- ✓ Questions related to the Membership Process shall be addressed to EnEx Member Support Department.
- ✓ **Hardcopies** of the original documents with no Electronic signatures which have been already submitted via e-mail to EnEx Member Support, shall be sent to EnExGroup headquarters.
- ✓ **EnEx Members Support Contact details :**
  - Phone : +30 210 33 66 845
  - FAX : +30 210 33 66 852
  - Email : [EnEx-Member-Support@enexgroup.gr](mailto:EnEx-Member-Support@enexgroup.gr)
- ✓ For ATHEX - Digital Certificates Services (PKI-CA):
  - Email : [PKICA-Services@athexgroup.gr](mailto:PKICA-Services@athexgroup.gr)

# ANNEX A – Legal Documentation for HEnEx Candidates

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- Candidate type (a): Natural Person

- i. Copy of identity card
- ii. Certificate for the commencement of professional activity and/or modification of the same for electricity production
- iii. Certificate of non-bankruptcy issued by the competent First Instance Court (issued not more than 60 days before the submission to HEnEx) or in the case of a foreign candidate an equivalent document.

- Candidate type (b) : Legal Entity

- i. Announcement of the latest codified Articles of Association or the relevant corporate agreement, as appropriate, to the General Electronic Commercial Registry or if it is a candidate based out of Greece, to the relevant Registry of Companies and the provision of relevant information for its online search (link).
- ii. Announcement of the latest codified Articles of Association or the relevant corporate agreement, as appropriate, to the General Electronic Commercial Registry or if it is a candidate based out of Greece, to the relevant Registry of Companies and the provision of relevant information for its online search (link).
- iii. If the above online search is not possible according to points (ii) or (iii), a copy of the Articles of Association or the relevant corporate agreement as well as the minutes regarding the legal representation in the books of the Registry of Companies to which the candidate belongs.
- iv. Certificate of non-bankruptcy issued by the competent First Instance Court (issued not more than 60 days before the submission to HEnEx) or in the case of a foreign candidate an equivalent document.
- v. Persons having a branch or office in Greece, shall also submit the announcement of the branch details to the General Electronic Commercial Registry and shall also provide all relevant information for their online search (link).