

Membership Guide for HEnEx Spot

Guidelines for Participants

Version 5.1

Contents

HEnEx's Membership Guide

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

HEnEx's Membership Guide

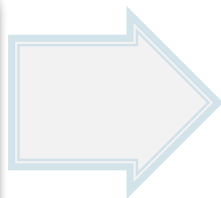
Eligibility, Admission & Certification Process, Access to ETSS, Fees

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

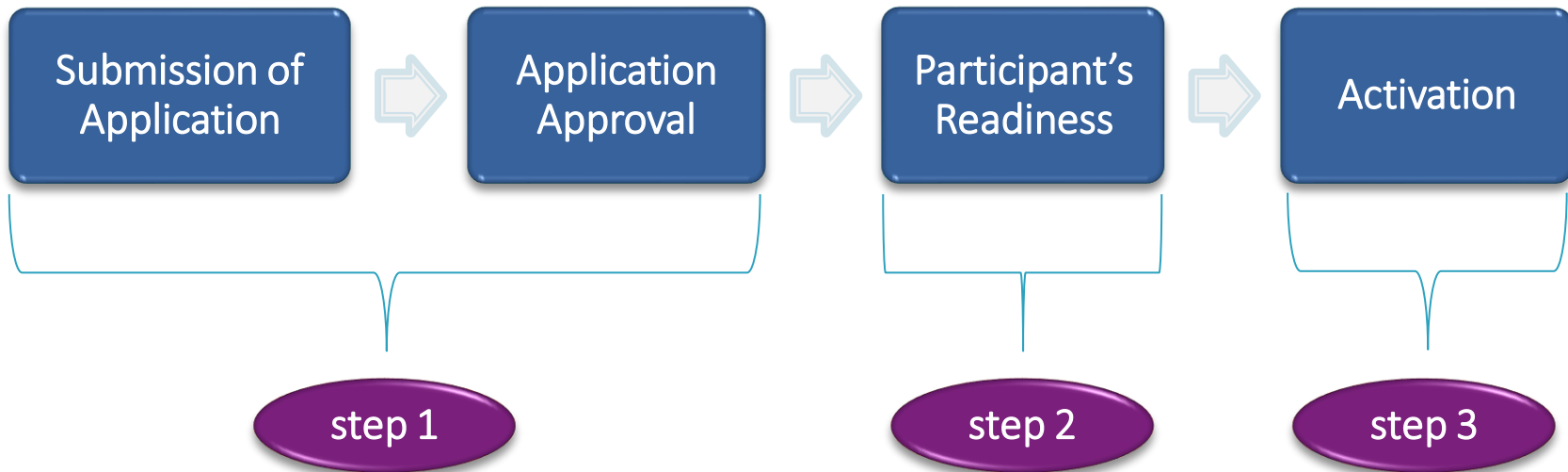


- ✓ **Transmission System Operator (IPTO).**
- ✓ **RES & CHP Units Registry Operator (DAPEEP).**

Participants may act as Direct Clearing Members of EnExClear **or** assign the clearing of their transactions to a General Clearing Member.

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)



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 & slide 18](#) to find the relevant Legal Documentation depending on your business type.

Note: Candidates already registered (as Participants and/or Members) with HEnEx or with EnExClear are not required to resubmit legal documentation except in cases whereby submission of updated documentation is necessary, due to amendments.

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

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 who 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. Financial statements of the last two years, (not required for HTSO and DAPEEP)
- iii. Proof of payment of the relevant Application Fee (not required for HTSO and DAPEEP)

Step 1: Application Approval



Hard copies of the Application Form and the Supportive documents shall be sent to EnExGroup headquarters, **except from the digitally signed documents (with a properly certified digital signature, issued by a qualified trust service provider), which are to 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 must bear company's stamp with a valid digital signature of the Legal Representative, or a handwritten signature certified as authentic, in accordance with the rules of the State where the applicant legal entity is established. The authenticity of the signature may also be certified by Hague Apostille, where applicable.*

Step 2: Preparation for the Participant Activation



The Participant shall:

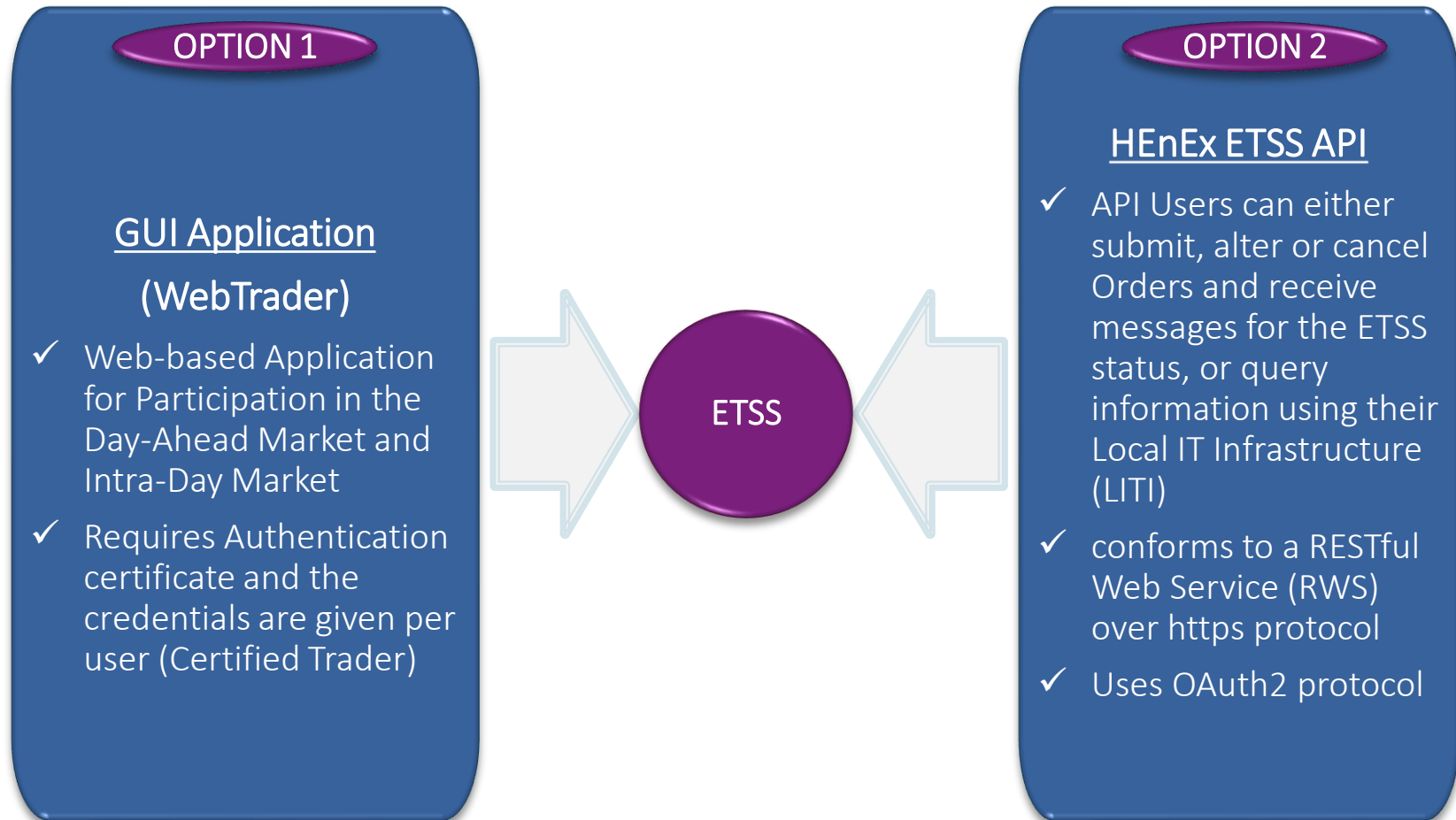
1. acquire the technological infrastructure for successful connection to the Energy Trading Spot System (ETSS)
2. have a sufficient number of Certified Energy Traders

»» Please check Slide [14](#), [15](#) 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

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 F1-5 "[Connection to the Trading Systems 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 F1-5 ["Connection to the Trading Systems 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 Trading Systems Form**” (F1-5): Connectivity issues & users.

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

Energy Trader Certificate – Electricity (ETC_E)

Traders shall be certified by HEnEx in order to participate in the Trading Platform

Requirements for Certification, as Defined in HEnEx's Decision 2 "Professional competence of Participants' Certified Energy Traders participating in the Day-Ahead & Intra-Day Market of HEnEx.":

► The candidate must:

1) be at least 18 years old

2a) Have passed the ETC_E examinations, **or**

2b) Meet the conditions for exemption* from such examinations, Decision 2 Par. 3.4

3) The candidate has not been convicted for offences according to Decision 2

4) Has paid the relevant certification fee (training material & exams)

**Conditions for exception:*

☐ The candidate:

✓ Holds a certificate equivalent to the ETC_E issued by authorities or entities or energy exchanges of a Member State of the EEA, or of a state incorporated in the market coupling system of the target model **or**

✓ has a two-year experience, acquired in the last five (5) years

☐ Has attended the relevant seminar organized by HEnEx **or** he/she has been trained via HEnEX 's electronic platform

☐ The candidate states jointly with the Participant that she/he is aware of the trading regulatory framework of the Trading Platform

How to apply for the Certificate or participate in Seminar

Option 2a Participate in HEnEx's exams

- **EnEx Training Service** announces the examination's dates (follow the [Certification Program](#) for regular exams). Ad-hoc examinations are also available in coordination with the EnEx Training service.

✓ Fill-in form F2-1* and pay the [relevant fee](#)

✓ Register online (link in the invitation)

**Both
required!**

- The Training Service will provide the applicant credentials to access the training and practice material in HEnEx's electronic platform.

Participate in HEnEx's seminar (optional)

- **EnEx Training Service** announces the seminar's dates (follow the [Seminar Program](#) for regular seminars). Ad-hoc seminars are also available in coordination with the EnEx Training service.

✓ Register online (link in the invitation) and pay the [relevant fee](#)

Option 2b Apply for an exemption from HEnEx's exams

- Please consult the conditions for exception in the previous page

✓ Fill-in form F2-1* and pay the [relevant fee](#)

✓ Get trained (details below)

**Both
required!**

- How to get trained (either of the two options):
 - ✓ Participate in HEnEx's seminar (details below), or
 - ✓ Get trained via HEnEX's electronic platform

The Training Service will provide the applicant credentials to access the training material.

A minimum study period is required to complete the training course.

**The F2-1 form available [here](#) must be digitally signed (digital sign by gov.gr is also acceptable where applicable) or handwritten signed (accompanied by identity verification issued by a Citizen Service Centre (KEP) for Greek candidates or apostiled by foreign candidates).*

For any clarifications, please contact EnEx Training Service at training@enexgroup.gr or +210 33 66 845

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”](#)



Administrative Fee

Initial Registration Fee

Annual Subscription

Transaction Fee

Commission on using common access point

Commission on Trading on Behalf service

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

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

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

HEnEx's Member's Area – Ticketing System

▶ Website Member's Area:

- **Reference Data files:** Provide the initial data of the trading session to every market participant every morning
- **Transaction files:** Provide the transactions (trades, orders) that a Member has concluded during the trading session. These files are available through the post trade procedures
- Other related market useful information

▶ EnEx JIRA Service Desk

EnEx Service Desk is a Ticketing System for accepting and processing the participants inquiries. Only authorized users can access EnEx Service desk. Persons with access to the Service Desk are those who have been declared in the "F1-4, Members Profile Form" and all users that have access to trading systems. To access EnEx Service Desk you need to do the following:

• **Step 1 – Log-in**

The user shall be directed in HEnEx website and log in Members Area [here](#) to access EnEx Service Desk portal.

• **Step 2 – Creation of a new JIRA request**

In case of a technical problem or other business inquiry the user can open a ticket and create a relevant Jira Request

Legal Prerequisites Set

- A sole prerequisite of legal due diligence set by EnExGroup

❑ The legal representative (-s) before EnEx Group must have representative powers to bind the candidate Participant/Member without any restrictions whatsoever; reference is especially made to monetary restrictions.

ANNEX A – Legal Documentation for HEnEx Candidates

- 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).

Contacts for Candidate Members

- ✓ Questions related to the Admission Process shall be addressed to **EnEx Admission Service**:
 - Phone : +30 210 33 66 548
 - Email : admission@enexgroup.gr
- ✓ Questions related to Certification of Energy Clearer shall be addressed to **EnEx Training Service**:
 - Phone : +30 210 33 66 952
 - Email : training@enexgroup.gr
- ✓ To obtain the Client Authentication Certificate please contact the ATHEX - Digital Certificates Services (PKI-CA):
 - Phone : +30 210 33 66 300
 - Email : PKICA-Services@athexgroup.gr

Note: *Hardcopies of the original documents shall be sent to EnExGroup headquarters. Digitally signed documents (with a properly certified digital signature, issued by a qualified trust service provider) shall be sent via email.*