

GUIDE TO REGISTRATION FOR MARKET PARTICIPANTS

This guide was written to help future Market Participants through the registration process with JAO. This document contains all the important information regarding the process, but in case you have additional questions or need further clarification, please do not hesitate to contact us via phone (+352 27 62 38 38) or through our ticketing platform (<https://servicedesk.jao.eu>).

All the relevant documents and forms requested for registration are available on the JAO [website](#) under the “Documents” tab / “Resource center” in the “Registration” Section:

The guide is separated into two parts – for handwritten signatures and electronic signatures. JAO accepts electronically signed documents only if a qualified electronic signature conforming to the [eIDAS](#) regulation is used.

It is required to provide the registration documents no later than 9 working days before the auction in which you intend to participate. JAO shall assess the completeness of the information submitted within 7 working days of receipt of the documentation. Before the expiration deadline of the 7 working days, JAO shall ask the Participant to provide any outstanding information/document, which he failed to submit. Once the information is received, JAO has an additional 7 working days to review the information and inform the Market Participant if further information is required.

REGISTER TO JAO'S TICKETING SYSTEM

To improve our communication with the Market Participants and have a clear track on requests, JAO started to use a ticketing system instead of the emails. All questions and requests are handled through this ticketing platform. Therefore, we kindly ask all Market Participants to register to the system in order to send the documents for verification before sending the originals.

To register/ log in please visit: <https://servicedesk.jao.eu>

Participants may find a user guide how to register and use the system on our website: Support/Service Desk/1. JAO Service Desk

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REGISTRATION OF A COMPANY – HANDWRITTEN SIGNATURES

IMPORTANT NOTES before you start to fill out the forms:

1. Only electronically filled forms with handwritten signatures can be accepted, and a certified English translation must be provided for any document, which is not written in English. JAO requires hard copies for accurate record keeping and to verify the authenticity of the documents.
2. Prior to sending the registration documents by postal mail to JAO, the electronic version of the completed documents should be sent through our ticketing system (<https://servicedesk.jao.eu>) in order to be verified.

In order to register a company JAO requires as a first step the following documents:

1. Participation Agreement

JAO shall receive 2 originals, one will stay in the company archive and the other countersigned document will be sent back to the Participant. Please make sure you use the latest version (download the form from our website just right before you start to fill it out).

Only the Participation Agreement has to be sent, any *Amendment No. x. to Participation Agreement* available on our website is relevant only for those companies which are already registered with us, but they signed an older version of the Participation Agreement or wish to modify their settings.

Details to pay attention to:

- **Page 1:**
Please enter your company name and registered address (as stated in the Commercial Extract)
- **Page 3:**
The Participation Agreement has to be signed by authorized person(s) as per the company's signatory rights (joint signatures or a sole signature) as stated in the Commercial Extract or in an additional official document.
- **Page 4:**
It is important to provide a valid EIC code (available both in ACER (CEREMP) and in ENTSO-E databases) and VAT number. As one of the first steps, JAO checks the provided codes in the relevant databases. In order to be able to fulfill reporting obligations, the Participant shall have the correct EIC code registered with ACER (CEREMP). If JAO is not able to verify the EIC code / VAT number / the company details (name, display name, country, and postal code) are not matching, the registration cannot be started.
All 4 contacts have to be filled out – General correspondence, Financial contact person, Operational contact person and Commercial contact person. General correspondence address needs to be in the same country as VAT number, in case company is based in the EU.
- **Page 5:**
The *Additional declarations for Allocation of Long Term Transmission Rights* have to be agreed to, either Yes-No or No-Yes, both **cannot** be selected. This declaration is to decide if the Participant wants to participate only in transfer of Long Term Transmission Rights (Yes-No) or also in Auctions (No-Yes). If the Participant wants to participate only in transfer, then it is not necessary

to open a Business Account, as the payments will be handled between the Parties, JAO is not involved in it. In case the Participant chooses to participate in Auctions, then he is automatically given all the entitlements to participate in the long term auctions (all monthly and yearly auctions, except on the Swiss borders CH<>DE, CH<>AT, CH<>IT, CH<>FR and on the UK borders GB<>BE (Nemo Link), GB<>NL (BritNed), IF1-GB<>FR (IFA1), IF2-GB<>FR (IFA2), GB<>FR (ElecLink)). For long term auctions JAO do not require any TSO agreement, however, to nominate and to use acquired capacity, Market Participant needs to follow the local nomination rules (have the TSOagreement(s) with the concerned TSOs).

The future Participant always has to provide his corporate bank account details, even if he participates only in transfer of Long Term Transmission Rights, as all payments (compensation) from JAO will be made to this account. A certificate of these bank account details is also required. The market participant is expected to only make transfers to their business account from an account in its name with a credit institution based in the European Union, United Kingdom, European Economic Area or any other country in which JAO performs cross border auction services.

- Page 6:
Under the *Declarations for other processes and Additional Rules*, the acceptance of the Additional Rules are optional, but bring no extra cost to the Market Participant. Most of the Allocation rules for the daily, intraday and shadow auctions contain the pre-requisites (agreements are needed with the TSOs), which a Participant has to meet in order to have the necessary entitlements for the selected auctions. These can be found on our website <http://www.jao.eu/resource-center> under Document/Resource center/Auction rules (Annex 1 or Annex 2 of the Daily-, Intraday-, Shadow Rules - *List of agreements per Bidding Zone border needed with the concerned TSOs or other legal entities depending on the relevant national legislation to be entitled to nominate the allocated Transmission Rights*).
If 'Yes' is selected for any of the following Additional Rules:
 - Daily Capacity Allocation on Swiss Borders
 - Relevant Shadow Allocation Rules
- Then the Participant shall select the Bidding Zone border(s) for which he wishes to be registered in the relevant Attachment (1/4).
In case the Participant accepts any other additional rules than mentioned above and -in case needed - holds the relevant BRP agreements, it will receive the entitlements for all auction borders in these regions automatically.
- Page 8:
The *TSO designation* selection asks the Participant to state to which German TSO acquired Physical Transmission Rights shall be attributed. Only one can be selected for each border pair. This can be changed anytime by sending the *Amendment No. x. to Participation Agreement* in two originals via post.
- Pages 6, 9-10:
Attachments 1 (in case "*Daily Capacity Allocation on Swiss Borders*" is accepted) and *4* ask the Participant to select the Bidding Zone borders, where he wishes to be registered in.

2. Financial Agreement

JAO shall receive 2 originals, one will stay in the company archive and the other countersigned document will be sent back to the Participant.

In case the Participant chooses to participate only in transfer of Long Term Transmission Rights, then no Financial Agreement is signed, as no business account is needed to open for this Participant.

Details to pay attention to:

- Page 1-2:
The date and the Business Account number will be filled by JAO, please leave them empty.
- Page 11:
The Financial Agreement has to be signed by authorized person(s) as per the company's signatory rights (joint signatures or a sole signature) as stated in the Commercial Extract or in an additional official document.

3. Commercial Extract

The Participant needs to send a copy of the commercial extract from the Business Register / Trade Register or in case of a new company, the Constitution Deed. In case the register is available for public access online, a printout with the link to validate it will also be accepted.

This should not be older than 3 months and a certified English translation has to be attached in case it is in a different language.

If the signatory rights in the Commercial Extract are not clear (who and how many signatures are needed to engage the company externally), the Participant needs to provide an additional official document, which makes these rights clear.

4. Beneficial owner structure information

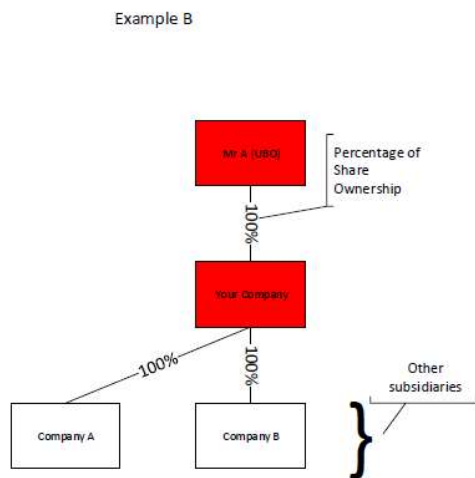
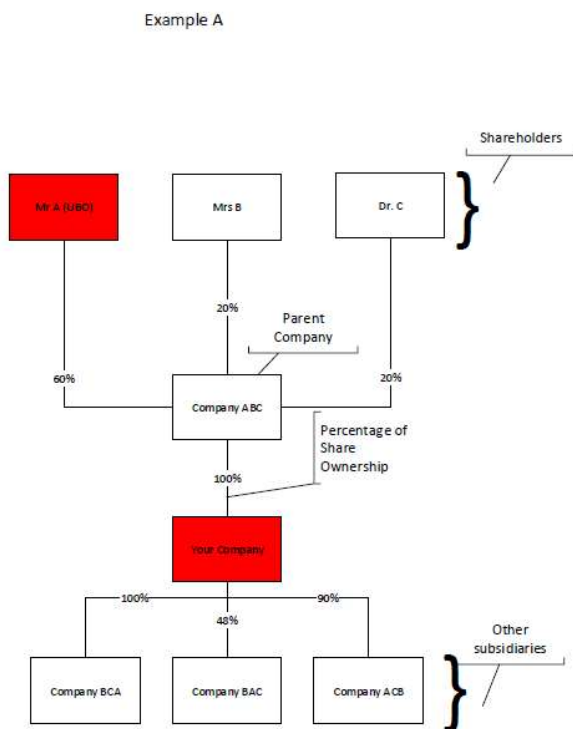
The Participant needs to provide a chart or document (soft copy) showing the companies held by your company (subsidiaries) (if any) going up to the natural persons (beneficial owners) via companies (if applicable) who ultimately own your company.

This chart or document shall show the percentage (%) of share detention at each step, duly dated (not older than 1 month) and signed (handwritten or electronically) by the same authorized persons in your registration documents.

Additionally, a government-issued identification document of the ultimate beneficial owner (i.e. the natural person who ultimately owns or controls your Company through direct or indirect ownership of more than 25% of the shares or voting rights) or the Managing Director(s) (if applicable) need(s) to be provided.

The identification document provided will be used for an anti-money laundering, terrorist financing and know your customer verification and monitoring process only and will not be shared with any third party. This will enable JAO fulfil its legal obligation under the Luxembourg legal framework on money laundering and terrorist financing.

Please see a template below:



Other subsidiaries; this refers to companies owned by your company, if any
You should also include other companies owned directly by your parent company or shareholder

5. Certificate of bank account details

The Participant needs to provide a certificate (soft copy) of the bank account details that he provided on the Participation Agreement. The certificate has to be issued by the Participant's bank and include the IBAN code, SWIFT code, account holder and the registered address of the account holder. This document can not be older than 3 months.

Upon registration, JAO will send one countersigned copy of the Participation Agreement and one countersigned copy of Financial Agreement to the Participant.

REGISTRATION OF A COMPANY – ELECTRONIC SIGNATURES

IMPORTANT NOTES before you start to fill out the forms:

1. To accept an electronically signed registration document, all signatures placed must be electronic and created with a qualified electronic signature from the [European Commission Trusted List](#) (with two-factor authentication, like a token, USB stick, website confirmation or any other means)
2. A certified English translation must be provided for any document which is not written in English
3. All documents must be submitted to our ticketing system (<https://servicedesk.jao.eu>). The countersigned files will be attached to the same ticket and no printed documents will be exchanged by mail.

In order to register a company JAO requires as a first step the following documents:

1. Participation Agreement

Please make sure you use the latest version (download the form from our website just right before you start to fill it out).

Only the Participation Agreement has to be sent, any *Amendment No. x. to Participation Agreement* available on our website is relevant only for those companies which are already registered with us, but they signed an older version of the Participation Agreement or wish to modify their settings.

Details to pay attention to:

- **Page 1:**
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All 4 contacts have to be filled out – General correspondence, Financial contact person, Operational contact person and Commercial contact person. General correspondence address needs to be in the same country as VAT number, in case company is based in the EU.
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The *Additional declarations for Allocation of Long Term Transmission Rights* have to be agreed to, either Yes-No or No-Yes, both **cannot** be selected. This declaration is to decide if the Participant wants to participate only in transfer of Long Term Transmission Rights (Yes-No) or also in Auctions (No-Yes). If the Participant wants to participate only in transfer, then it is not necessary

to open a Business Account, as the payments will be handled between the Parties, JAO is not involved in it. In case the Participant chooses to participate in Auctions, then he is automatically given all the entitlements to participate in the long term auctions (all monthly and yearly auctions, except on the Swiss borders CH<>DE, CH<>AT, CH<>IT, CH<>FR and on the UK borders GB<>BE (Nemo Link), GB<>NL (BritNed), IF1-GB<>FR (IFA1), IF2-GB<>FR (IFA2) , GB<>FR (ElecLink)). For long term auctions JAO do not require any TSO agreement, however, to nominate and to use acquired capacity, Market Participant needs to follow the local nomination rules (have the TSOagreement(s) with the concerned TSOs).

The future Participant always has to provide his corporate bank account details, even if he participates only in transfer of Long Term Transmission Rights, as all payments (compensation) from JAO will be made to this account. A certificate of these bank account details is also required. The market participant is expected to only make transfers to their business account from an account in its name with a credit institution based in the European Union, United Kingdom, European Economic Area or any other country in which JAO performs cross border auction services.

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If 'Yes' is selected for any of the following Additional Rules:
 - Daily Capacity Allocation on Swiss Borders
 - Relevant Shadow Allocation Rules

then the Participant shall select the Bidding Zone border(s) for which he wishes to be registered in the relevant Attachment (1/4).

In case the Participant accepts any other additional rules than mentioned above and -in case needed - holds the relevant BRP agreements, it will receive the entitlements for all auction borders in these regions automatically.

- Page 8:
The *TSO designation* selection asks the Participant to state to which German TSO acquired Physical Transmission Rights shall be attributed. Only one can be selected for each border pair. This can be changed anytime by sending the *Amendment No. x. to Participation Agreement* duly filled and signed.
- Pages 6, 9-10:
Attachments 1 (in case "*Daily Capacity Allocation on Swiss Borders*" is accepted) and *4* ask the Participant to select the Bidding Zone borders, where he wishes to be registered in.

2. Financial Agreement

In case the Participant chooses to participate only in transfer of Long Term Transmission Rights, then no Financial Agreement is signed, as no business account is needed to open for this Participant.

Details to pay attention to:

- **Page 2:**
Once IBAN has been allocated, JAO will fill it out on page 2 and the document will then be sent to Market Participant for signature.
- **Page 1 and 11:**
In case of electronic signatures, the Financial Agreement is not required to start the registration process. The company name and the Business Account number will be filled by JAO, and JAO asks the Market Participants to date and sign the document. The Financial Agreement has to be signed by authorized person(s) as per the company's signatory rights (joint signatures or a sole signature) as stated in the Commercial extract or in an additional official document.
Due to the specificity of electronic signatures, any modification made after the document was signed will invalidate it. JAO will add the needed information, send it for signature by the market participant, and countersign it after that.

3. Commercial Extract

The Participant needs to send a copy of the commercial extract from the Business Register / Trade Register or in case of a new company, the Constitution Deed. In case the register is available for public access online, a printout with the link to validate it will also be accepted.

This should not be older than 3 months and a certified English translation has to be attached in case it is in a different language.

If the signatory rights in the Commercial Extract are not clear (who and how many signatures are needed to engage the company externally), the Participant needs to provide an additional official document, which makes these rights clear.

4. Beneficial owner structure information

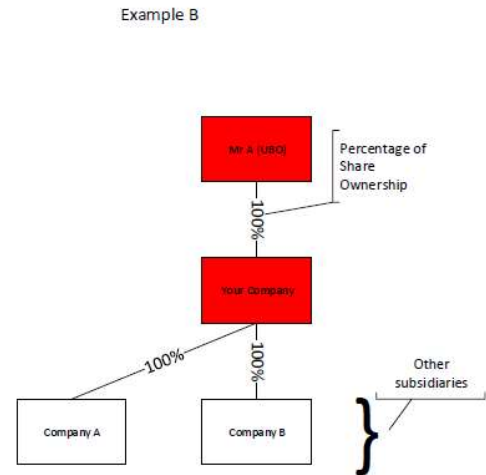
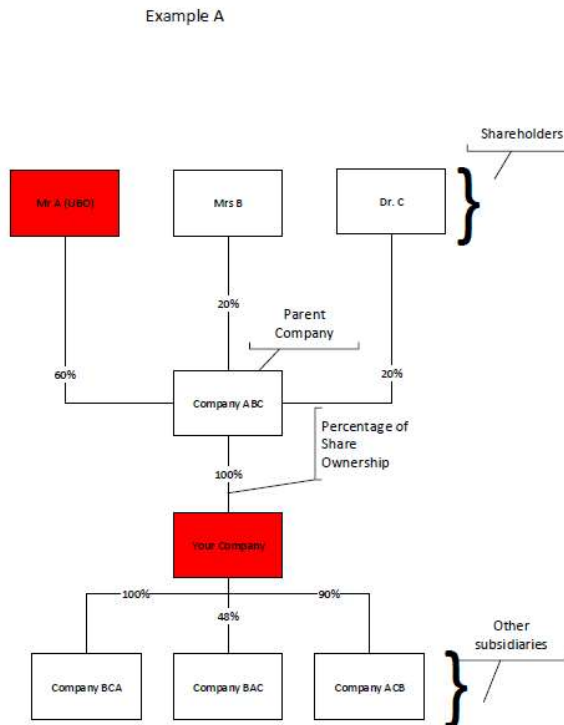
The Participant needs to provide a chart or document (soft copy) showing the companies held by your company (subsidiaries) (if any) going up to the natural persons (beneficial owners) via companies (if applicable) who ultimately own your company.

This chart or document shall show the percentage (%) of share detention at each step, duly dated (not older than 1 month) and signed (handwritten or electronically) by the same authorized persons in your registration documents.

Additionally, a government-issued identification document of the ultimate beneficial owner (i.e. the natural person who ultimately owns or controls your Company through direct or indirect ownership of more than 25% of the shares or voting rights) or the Managing Director(s) (if applicable) need(s) to be provided.

The identification document provided will be used for an anti-money laundering, terrorist financing and know your customer verification and monitoring process only and will not be shared with any third party. This will enable JAO fulfil its legal obligation under the Luxembourg legal framework on money laundering and terrorist financing.

Please see a template below:



Other subsidiaries; this refers to companies owned by your company, if any
You should also include other companies owned directly by your parent company or shareholder

5. Certificate of bank account details

The Participant needs to provide a certificate (soft copy) of the bank account details that he provided on the Participation Agreement. The certificate has to be issued by the Participant's bank and include the IBAN code, SWIFT code, account holder and the registered address of the account holder. This document can not be older than 3 months.

REGISTRATION OF USER(S) TO THE ALLOCATION TOOL

A Participant may register as many users as he deems necessary. However, it is recommended to limit the access due to security reasons.

To register a user in the Allocation Tool (eCAT), the registered Participant has to send the following two files through our ticketing system (<https://servicedesk.jao.eu>):

1. User Account form

This form has to be signed by the user and by the authorized person(s) of the company as per the company's signatory rights (joint signatures or a sole signature) as stated in the Commercial Extract or in an additional official document. In case the Participant wants to appoint a person who is responsible for signing the user account forms, he shall send a duly signed *Power of Attorney for user account* (soft copy), which is available on our website.

The user account form can be signed by hand or with an electronic signature, just make sure that all the signatures are of the same kind.

JAO does not require to receive original copy of this form, it can be sent in soft copy through our ticketing system.

Details to pay attention to:

- Please make sure that the type of the request (setup/modification/deletion) and the type of access (full access/read only) are selected.
- The Certificate Serial number can be found in the public part of the certificate under the *Details* tab as *Serial number*

2. Electronic certificate for access to eCAT

All registered users are requested to get an electronic certificate from a certificate issuing authority (you may find a list of approved providers on our website under Support/Resource Center/4. eCAT). The electronic certificates are entitled to help systems to authenticate the person behind the login. The document *Certificates Q&A, Technical Requirements* (available also on our website under Support/Resource Center/4. eCAT) describes the technical requirements for Certificates (you may provide this information to the certificate issuing authority). Once the electronic certificate is available, the user has to install the certificate on his computer and after installation, he can export the public part, which he shall send to JAO (in .cer format).

ADDITIONAL DOCUMENTS

1. Documents for fund transfer

In case a dedicated bank account was opened for the Participant during the registration, he should send the following documents through our ticketing system (<https://servicedesk.jao.eu>) - after receiving back the registration documents with the bank account details - in order to appoint person(s) who will be able to request fund withdrawal from this account to his corporate bank account (which was provided in the Participation Agreement):

- I. *JAO Power of Attorney for funds transfer with its Appendix 1 – Signature card* (soft copy – handwritten or electronic signature)
For the person(s) who will be allowed to ask for movements under the bank account. (Preferably our form but JAO can also accept other form if it contains all the necessary information). The POA has to be signed by authorized person(s). The person can be the authorized signatory himself. The *Signature card is only needed if a handwritten signature will be used* for the future fund transfer requests. It has to be signed by the person(s) who received the power.
- II. *ID card copies* (soft copy and only needed if a handwritten signature will be used for the future funds transfer requests)

The *JAO Funds transfer request* form can also be sent in soft copy through our ticketing system (<https://servicedesk.jao.eu>) and can be signed with a handwritten or electronic signature. It has to be filled out electronically, and only the person(s), who is (are) authorized in the Power of Attorney form(s)/the company's authorized signatories (by the commercial extract or any other official document) can request the transfer. Other requests will be declined.

2. Bank Guarantee

If the company wishes to have a bank guarantee, our template (on www.jao.eu under Support/Resource center/1. Registration) should be filled out by the bank, undersigning that he will take responsibility for the company's liabilities up to the stated amount. This template should not be altered by the bank, otherwise it will be rejected by JAO.

The Participant shall submit the bank guarantee at least 4 working days before the auction closure to which it shall be used as collateral.

3. Registration for ING Inside Business

If the Participant wishes to have an online read-only access to ING Inside Business, he has to send the duly filled and signed *ING Inside Business User Access Form* (available on our website under Support/Resource center/1. Registration) through our ticketing system (<https://servicedesk.jao.eu>). It is important to mention that the login will be linked to an individual of your choice from your company. This user has to provide personal information on the user form and a copy of his/her ID card or passport.

There will be no additional cost for the access to ING Inside Business, as it is web-based and can be accessed from a computer, tablet or phone.

Registration for ING Inside Business is not mandatory, however we will not be able to provide bank statements upon request.

REQUEST CHANGES

1. Amendments/modifications to the Participation Agreement:

Following forms are available on our website (under Support/Resource center/1.Registration):

- The *Amendment x. to the Participation Agreement* form is available for request changes in the acceptance of Additional Rules (Attachment 1/ Section 3.) and/or in the Attachments 3 and 4. The form has to be signed by authorized person(s) and sent in hard copy (2 originals via post in case of handwritten signature or through our ticketing system in case of electronic signature)
- The *Change of bank details request form* is available for request the change of the company's corporate bank account details. The form has to be signed by authorized person(s) and sent in soft copy (with handwritten or electronic signature) through our ticketing system (<https://servicedesk.jao.eu>). A certificate of the new bank details shall also be provided.

Changes regarding the company details and/or contact people can be sent without any form directly through our ticketing system (<https://servicedesk.jao.eu>). In case of change of company details (name, address, authorized people), Participant shall also send the copy of the updated commercial extract/additional document on the signatory rights and any other relevant documents (e.g. Beneficial owner structure and bank account details in case of company name change).

2. Termination of the Agreements

In order to terminate the Participation Agreement and Financial Agreement with JAO, the Participant has to send the duly filled and signed *Termination Request* (available on our website under Support/Resource center/1. Registration) in hard copy (original via post in case of handwritten signature or through our ticketing system in case of electronic signature). In case the Participant has money on his Business Account, a duly filled and signed *Funds transfer request* shall also be sent.