

part of eex group



Setup / Modification of contacts and functions for Clearing Members

05.10.2022
Leipzig

CM04
Release 011B

- only required as scan -

Setup / Modification of contacts and functions

European Commodity Clearing AG
 Member Readiness
 Augustusplatz 9
 D 04109 Leipzig

Phone: +49 (0) 341-24680 – 261
 Fax: +49 (0) 341-24680 – 559

Please send the valid signed (by authorized person/s) document via scan to: **MemberReadiness@ecc.de**

Name of Applicant (Company's name)		Member - ID				
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> E	<input type="checkbox"/> X
Setup	Initial setup for new members					
Add new/modify	For adding new contacts, or new/additional categories to existing contacts. Existing set up of all other contacts and categories assigned to them will remain unchanged.					
Replace	To replace all existing contacts and categories assigned to them. Existing set up of all contacts and categories assigned to them will be deleted and replaced. This document revokes and supersedes all previous CM04.					
To delete a contact, or a particular category from a contact, please send an <u>e-mail</u> to memberreadiness@ecc.de with an authorised person(s) in copy.						

Contacts

A distinction is made between:

1. Availability during ECC business hours mandatory
2. Further availability during ECC business hours

The following people are named as contacts: (please see next pages)

1. General information of the person

Nr.	Mr/ Mrs	Name	First Name	Phone	Personal E-Mail
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					

Allocation of the persons to the contact categories

(The first row relates to the Number of the person the table before.)

	1	2	3	4	5	6	7	8	9	10
a) Collateral Management										
b) Margin Calls										
c) Backload-/Legacy Trades										
d) Position Management / Close Out										
e) Cash Processing										
f) General Contact for business matters										
g) Product Setup / Backoffice Systems										
h) Fee cancellation of Counter Trades										
i) Clearing Fund										
j) Correction of Variation Margin										
k) EMIR Trade Reporting										
l) Client Risk Management										
Escalation Contact (only available with another category)										

1. General information of the group contacts

Nr.	Name	Phone	Group E-Mail
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			

Allocation of the group contacts to the contact categories

(The first row relates to the Number of the group contact the table before.)

	1	2	3	4	5	6	7	8	9	10
a) Collateral Management										
b) Margin Calls										
c) Backload-/Legacy Trades										
d) Position Management / Close Out										
e) Cash Processing										
f) General Contact for business matters										
g) Product Setup / Backoffice Systems										
h) Fee cancellation of Counter Trades										
i) Clearing Fund										
j) Correction of Variation Margin										
k) EMIR Trade Reporting										
l) Risk Management										
Escalation Contact (only available with another category)										

Distribution List for NCM topics

In order to provide the respective information regarding admission, revocation, suspension and/or termination of NCMs please enter the respective contact details. These contacts will be approached in case of admission questions and they are to initiate the suspension of NCMs by themselves.

Mr/ Mrs.	Name	First Name	Phone	E-Mail

Explanation

I. Availability during ECC business hours mandatory

Availability in accordance with the ECC Clearing Conditions chapter 2.1.2 is mandatory.

For each category at least one general contact and one or two escalation contacts are **required**. The escalation contact will be contacted in case of non-availability of general contacts and should at least be the head of department. *These contact(s) are required for default management purposes according to the clearing conditions.*

If one person holds different functions, please list for each function.

a) Contact Collateral Management (Availability requested from 7:45am until 7:00pm)

These contact persons are responsible for the management of collaterals for Margins & the Clearing Fund contribution. Communication in regard to collateral management can be addressed to them. Also, decisions on collateral related questions can be obtained from them.

b) Contact Margin Calls (Availability requested from 7:45am until 7:00pm)

These contact persons are responsible for the handling of Intraday Margin Calls. Please note that a fast reaction to Margin Calls is crucial as misconduct to such inquiries automatically triggers the default processes according to ECCs Clearing Conditions.

c) Contact Backload-/Legacy Trades (Availability requested from 7:45am until 7:00pm)

These contact persons are authorized to approve registration of trades outside the trade registration price range by themselves. Normally this is the case if clients demand the clearing of off-book trades that have been originated from prices deviating far from the current market price levels.

d) Contact Position Management / Close Out (Availability requested from 7:45am until 7:00pm)

These contact persons are responsible for position management of clients, proprietary positions and NCMs.

e) Contact Cash Processing (Availability requested from 7:45am until 7:00pm)

If the payment processing triggered every ECC business day at 7:45 CET fails, ECC will first try to reach these contacts. Furthermore, the contact is responsible for payment processing in urgent cases. Please note that misconduct to payment processes automatically triggers the default process according to ECCs Clearing Conditions.

k) Contact EMIR Trade Reporting (Availability requested from 7:45am until 7:00pm)

These contact persons are responsible for Art. 9 EMIR Trade Reporting. Communication in regard to EMIR Trade Reporting can be addressed to them. Decisions related to EMIR Trade Reporting can be obtained from these persons.

Further availability during ECC business hours

Availability not in the context of chapter 2.1.2 of the ECC Clearing Conditions

f) General Contact for business matters

These general contacts should receive information regarding Clearing Working Group etc.

g) Contact Product Setup / Backoffice Systems

These contacts should be informed in case of new product launches.

h) Contact FEE cancellation of Counter Trades

These contacts should be informed in case of fee cancellation due to mistrades.

i) Contact Clearing Fund

These contact persons are responsible for the handling of Clearing Fund contributions. Due to ECCs procedures there can be ad-hoc adjustments but at least a monthly adjustment.

j) Contact for Correction of Variation Margin

These contacts should be informed in case of corrections of Variation Margin due to adjusted settlement prices.

l) Client Risk Management

These contacts are available for ECC for questions concerning client risk management. This includes in particular the area of the Emergency Member Stop and other client risk management related questions that may arise.

Signature(s)

DATA PROTECTION DECLARATION

The undersigned assures that he has fully informed the contact persons named in connection with the contract, the exchange membership relationship or other legal relationships about the transfer of their personal data and that he has brought to their attention the DATA PROTECTION DECLARATION which can be found on our company websites.

Place	Date	Legally binding signature(s) of applicant
		Name: