

Please note: This document serves as an example. To fill in the Appendix 3 «Registration form», please use the customer portal for balance groups.

Your Balance Group Registration

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Registration form
Version 1.0 of July 2016

Appendix 3 «Registration form» includes all information in accordance with your declaration and refers to further documents that need to be submitted concerning the establishment of a balance group in accordance with the Balance Group Contract Chapter 3 as well as the General Balance Group Regulations Chapter 1.

Further documents need to be submitted:

- » Signed Balance Group Contract in duplicate as well as the signed present Annex 3 «Registration form»
- » Presentation of legally valid proof of the applicant's status as a legal entity (generally by means of a registry extract), not older than three months.; not older than three months
 - » Swiss contractual partner: A commercial registry excerpt that is certified by the commercial registry official. It does not have to be notarised additionally for the purpose of this Agreement.
 - » Foreign contractual partner: A current extract from the commercial register that has been issued and/or is certified in accordance with the national law of the country in which the contractual partner has its registered office is in accordance with the law. If this is not received in the German, English, French or Italian language, a translation into one of the languages must be made.
- » Copy of the undersigned person's personal identity document as well as a residence certificate
- » Provision of suitable collateral in accordance with specification, as well as documented evidence of the issuing institute's rating
- » Confirmation of the BGM's bank that the BGM has set up the SEPA direct debit mandate for the benefit of Swissgrid. In an individual case and only by agreement, the Swissgrid direct debit form can be used
- » Organisational chart with the company's central functions

Optional documents:

- » Grant of power of attorney of the undersigning person if this person is not indicated in the registry extract
- » Grant of power of attorney regarding the delegation of the processing of schedule messages as well as taking receipt of the imbalance data
- » Balance sheets of the last three years, if these are not publicly available
- » Documented evidence of shares in pumps and power plants

Please print out this document as well as the Balance Group Contract in duplicate, sign all copies and send these with documented evidence in accordance with the law of the applicant's continued existence as a legal person by post to Swissgrid.

Best regards

Swissgrid Ltd

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Registration form

Planned activation date _____

1.1 General information about the company

Company name _____

Form of company: _____

Registered office _____

Street _____

Street number _____

P.O. box _____

Postal code _____

Place _____

Country _____

Fixed line number _____

Company fax number _____

Company e-mail _____

Company website _____

VAT number _____

Commercial register number _____

Founding year _____

Number of employees _____

Energy Identification Code _____

Payment type _____

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Information on the last three balance sheets (equity, balance sheet total, sales, profit), if not publicly available.

Does your company hold shares in other companies? If yes, we request that you specify the shares and the amounts of the shares.

2.1 Further details about the company

Does your company have an ACER Code? If yes, please indicate the ACER Code. The acer code is no requirement for the balance group registration..

Is your company already registered at power exchanges or energy trading platforms? If yes, where and since when?

Does your company already operate balance groups outside of Switzerland? If yes, in what country, at what TSO and since when?

Please describe briefly your company organization. In addition, we ask you to send us an organizational chart.

Are the employees of the operational contact office employed in your company? If no, in which company are they employed?

Does your company have a compliance and/or risk management department? If yes, please provide us the contact data (contract person, e-mail, telephone).

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2.2 Specific questions about balance group management processes

What is your motivation for setting up and manage a balance group in Switzerland?

What is the expected maximum trading volume per quarter in MWh to be handled by the balance group?

What measures have you taken to ensure the availability of capable contacts during scheduling and open positions especially outside normal business hours?

The settlement of trades is a critical process. How is the two-man rule applied in the processes for settlement of trades?

Which physical (not financial) trading limits have you implemented for Switzerland and how are these enforced and monitored in your company?

How does your company ensure that relevant IT systems have a high availability and a minimal downtime for execution of trades?

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3.1 Contact office for general queries

Title	_____
Last name	_____
First name	_____
Fixed line number	_____
Mobile phone	_____
Fax number	_____
E-Mail general contact	_____

3.2 Contact office for operational queries

E-Mail	_____
E-Mail 2 (optional)	_____
Fixed line phone Dayahead	_____
Fax Dayahead	_____
Fixed line phone Intraday	_____
Fax Intraday	_____

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3.3 Contact office for billing queries

Title _____

Surname _____

First name _____

Fixed line number _____

Mobile phone _____

E-Mail _____

E-Mail 2 (optional) _____

E-Mail 3 (optional) _____

E-Mail 4 (optional) _____

E-Mail 5 (optional) _____

3.4 Contact office for financial queries

Title _____

Last name _____

First name _____

Fixed line number _____

Mobile phone _____

E-Mail _____

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4.1 Data transfer for billing operation

E-Mail balance time series _____

4.2 Choice of data transmission for schedule operation

Primary connection _____

Secondary connection _____

4.3 Details on E-Mail connection

E-mail _____

E-mail 2 _____

List of the e-mail senders

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4.4 Details on FTP connection

FTP server name or IP address _____

User name _____

Password _____

Directory _____

FTP Out Com-Mode _____

4.5 Whitelist with IP address sender

IP address 1 _____

IP address 2 _____

IP address 3 _____

IP address 4 _____

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5.1 Choice of balance group type

Balance group type

5.2 Control energy scheduling deliveries abroad

Do you intend to make deliveries of electrical energy between the Swiss control area and French control area in the context of participation in the French balancing market?

5.3 Auctions and intraday boarder Switzerland/ France

Is the participation at auctions and intraday market on the border between Switzerland and France desired? If yes, please note that a balance group registration in France at RTE is necessary.

5.4 Choice of limit

Choice of limit

Limit 1: DA to D-2h in MW

Limit 2: D-2h to COT ID in MW

Limit 3: COT ID and PS in MW

Collateral corresponding to the limit in €

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Details for balance groups with metering points

5.5 Calculation of the plausibility values

Minimum input profile total (IPT_Min) _____

Maximum input profile total (IPT_Max) _____

Minimum load profile aggregate (LPA_Min) _____

Maximum load profile aggregate (LPA_Max) _____

Own pump capacity (PUMP_Max) _____

Power plant shares (PP_Shares) _____

Pump shares (PU_Shares) _____

5.6 Calculation of the plausibility values

PROD_Min: _____

PROD_Max _____

CONS_Min _____

CONS_Max _____

5.7 End customer profile

Briefly describe the typical customer profiles (in Switzerland) and if possible, please indicate the customer's name.

5.8 Details on metering points

In which grid areas (in Switzerland) are the customers supplied by the BGM?

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5.9 Increase of collateral for balance groups with metering points

Average load in MW _____

Average production in MW _____

Calculated collateral for new BG in € _____

Collateral for already activated BG in € _____

5.10 End consumption of the balance group in Switzerland (forecast)

Q1 after the date of activation _____

Forecast in Mwh for Q1 in MW _____

Q2 after the date of activation _____

Forecast in Mwh for Q2 in Mwh _____

6.0 Summary of collaterals

Collateral corresponding to limit in € _____

Calculated collateral for new BG in € _____

Collateral for already activated BG in € _____

Total collateral in € _____

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Confirmation of the application for registration and signature

By signing and submitting Annex 3 «Master Data Registration Balance Group», the applicant takes note of the requirements for establishment of a balance group as given in Chapter 1 of the General Balance Group Regulations.

Please note: The registration process has to be completed within a period of six months at the latest following receipt of the application form. If the registration process cannot be completed within six months due to missing details not provided by the applicant, the applicant is called upon to provide Swissgrid with a binding date for the submission of all required details and documents as well as the completion of the tests. Failing this, Swissgrid will return all previously submitted documents to the applicant and end the registration process. If another application is submitted following this, the registration fee needs to be paid again.

The complete Requirements for Establishment and Activation of the Balance Group are defined in the Balance Group Agreement as well as the General Balance Group Regulations.

Place, date _____

Name of the signatory
in block capitals _____

Signature _____