

**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

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 one copy of this document and two copies of the Balance Group Contract, 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

Energy Identification Code (EIC)

Planned activation date

### 1.1. General information about the company

Company name

Form of company

Registered office

Street

Street number

P.O. box

Post code

Place

Country

Fixed line number

Company E-Mail

Company Website

VAT No.

Commercial register number

Founding year

Number of employees

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 keep interests in other companies? If so, we ask you to mention the investments and the participation levels.

## 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 not a 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 which country, registered at which 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 the contact data (contact person, e-mail, phone).

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## 2.2 Specific questions about balance group management processes

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 in case of open positions, especially outside normal business hours?

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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### 3.1a Contact office for general queries (BGM)

Title \_\_\_\_\_

Surname name \_\_\_\_\_

First name \_\_\_\_\_

Fixed line number \_\_\_\_\_

Mobile phone \_\_\_\_\_

E-Mail general contact \_\_\_\_\_

### 3.1b Contact office for general queries of the deputy (BGM deputy)

Title deputy \_\_\_\_\_

Surname deputy \_\_\_\_\_

First name deputy \_\_\_\_\_

Fixed line number deputy \_\_\_\_\_

Mobile phone deputy \_\_\_\_\_

E-Mail general contact deputy \_\_\_\_\_

### 3.2 Contact office for operational queries

E-Mail \_\_\_\_\_

E-Mail 2 (optional) \_\_\_\_\_

Fixed line phone Dayahead \_\_\_\_\_

Fixed line phone 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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#### **4.6 E-Mail connection for INS schedules Energy Reserve**

E-mail INS schedules ER \_\_\_\_\_

#### **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 Intraday Capacity Allocation border Austria-Switzerland**

Participation ID Capacity Alloc. AT-CH \_\_\_\_\_

#### **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 Determination 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 Information 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 € \_\_\_\_\_

### 6.1 Summary of collateral

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. The registration fee is non-refundable. 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.

Undersigned's name in block  
capitals

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Signature

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Date

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Place

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