

A HUDEX Magyar Derivatív Energiatőzsde Zártkörűen Működő Részvénytársaság (cégjegyzékszám: 01-10-049303; székhely: 1134 Budapest, Dévai utca 26-28.; a továbbiakban: „HUDEX Energiatőzsde Zrt.” vagy „Társaság”) Vezérigazgatója a Társaság Szabályozott Piaci Szabályzatának II.1.2.1. b) és c) pontja, valamint II.2.3.2. pontja alapján és a OTC Klíring Regisztrációs Szabályzatának 1.5.6. pontja alapján a

**„HUDEX Energiatőzsde Zrt. jelentkezési lap formanyomtatvány módosítása”;**  
**„HUDEX Energiatőzsde Zrt. jelentkezési lap a felhatalmazott OTC kereskedőkről formanyomtatvány módosítása”**

tárgyában az alábbi határozatot hozta:

### **25/2023. (VII. 26.) számú vezérigazgatói határozat**

A HUDEX Energiatőzsde Zrt. Vezérigazgatója a jelen határozat melléklete szerinti, „HUDEX Membership Application Form” és a „HUDEX Information sheet for OTC only traders” megnevezésű, angol nyelvű dokumentumokban foglalt tartalommal jóváhagyja a HUDEX Piaci Szabályzata és OTC Klíring Regisztrációs Szabályzata alapján a HUDEX tagsághoz szükséges jelentkezési lapokat.

A jelentkezési lapok a határozatnak a Társaság honlapján történő közzétételét követően 2023. július 27-től alkalmazandó a folyamatban lévő tagfelvételi és kereskedő regisztrációs eljárásokban is.

Budapest, 2023 július 26.

.....  
ISTVÁNYFY GYÖRGY  
vezérigazgató

HUDEX Energiatőzsde Zrt.

#### **Melléklet:**

1. számú melléklet: HUDEX Membership Application Form version 7.0
2. számú melléklet HUDEX Information Sheet for OTC only traders version 4.0

The chief executive officer of HUDEX Hungarian Derivative Energy Exchange Private Company Limited by Shares (company registration number: 01-10-049303; registered seat: 1134 Budapest, Dévai utca 26-28.; in the following: „HUDEX Energy Exchange Ltd.” or „Company”) based on points II.1.2.1. b), II.1.2.1. c) and II.2.3.2. of the Market Rules and on point 1.5.6. of the OTC Clearing Registration Rules of the Company in the below subject

**„Modification of the Membeship Application Form of HUDEX Energy Exchange Ltd.”;  
„Modification of the OTC only Information Sheet of HUDEX Energy Exchange Ltd.”**

made the following resolution:

**resolution of the CEO No. 25/2023 (VII. 26.)**

The CEO of HUDEX Energy Exchange Ltd. approves the “HUDEX Membership Application Form” and the “HUDEX Information sheet for OTC only traders” necessary for HUDEX membership according to the Market Rules and OTC Clearing Registration Rules of HUDEX in English language as attached to this resolution.

The HUDEX Membership Application Form and the HUDEX OTC Trader Registration Form will be applicable following the publication of this resolution on the website of the Company from 27<sup>th</sup> July 2023 also in the ongoing membership application and trader registration procedures.

Budapest, 26th July 2023.

.....  
GYÖRGY ISTVÁNFFY  
CEO

HUDEX Energiatőzsde Zrt.

**Annex:**

1. Annex: HUDEX Membership Application Form version 7.0
2. Annex: HUDEX Information Sheet for OTC only traders version 4.0

# HUDEX

## Membership Application Form

Version 7.0

Effective from 27/07/2023

Date of publication: 26/07/2023

Approved by the resolution of the CEO No. 25/2023 (VII.26.)

Place  
Document number

Budapest  
H01

## 1. General information

Company Registration	
Corporate name according to the Company Register	Country of Registration
Company Registration Number	VAT number
Address of the applicant – Head office	
Address	Post Code
Country	City
Address of the applicant – Location of activities (front office desk)	
Address	Post Code
Country	City
Phone	Fax number (optional)
Postal address receiving invoices (if applicable)	
Address	Post Code
Country	City

Company accepts e-invoices	
Yes <input type="checkbox"/>	No <input type="checkbox"/>
Company type	
Investment firm or credit institution licensed to provide investment service	
Yes <input type="checkbox"/>	No <input type="checkbox"/>
If YES: Investment firm Licensed commodity dealer Credit institution	
Commercial undertaking holding an energy license issued by Hungarian energy and public utility regulatory authority (HEA) or Mining Authority	
Yes <input type="checkbox"/>	No <input type="checkbox"/>
Please choose:  <u>ELECTRICITY</u> Electricity trader Electricity trader with User clients Universal Service Provider Producer TSO DSO  <u>GAS</u> Gas trader Gas trader with User clients Universal Service Provider Natural Gas Storage Mining of hydrocarbon DSO TSO TSO license issued by the competent authority in the EU or Energy Community	
EIC Code of the Company used in the physical delivery process	

### LEI Code of the Company

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### Authorization of HUDEX Energy Exchange Ltd. to do the REMIT reporting

Yes<sup>1</sup>

No

## 2. Trading Account

Traders shall select the appropriate trading account when submitting an order or executing a deal. The default setup contains 1 trading account. If you need additional trading account, please contact HUDEX Team.

### Declaration on trading account and physical settlement of electricity positions as default / <sup>2</sup>

Trading account	Physical settlement is possible	Physical settlement of electricity positions as default
A 01	Yes <input type="checkbox"/>	Yes <input type="checkbox"/>
	No <input type="checkbox"/>	No <input type="checkbox"/>

## 3. Default setup for position reports and position limits

The Company may choose a default setup for the position limits and position reporting. Please indicate the chosen default setup in the tables below, which will be then used for all Trades concluded on HUDEX in the position reporting and position management procedures.

Please note that the Speculative option will be set as default in the position reports, in case the company does not specify otherwise.

HUDEX will use the below indicated setup for position reporting and position limit controls as long as the Company does not indicate different purpose for the given daily positions during the respective daily procedures.

<sup>1</sup> In this case a conclusion of separate agreement is necessary

<sup>2</sup> In case of natural gas no cash settlement is possible

**Default setup for position limits (choose only one)**

<i>Hedge</i>	
<i>Speculative</i>	

**4. Transactions concluded on behalf of a client**
**Purchasing and selling for their own account**

Yes <input type="checkbox"/>	No <input type="checkbox"/>
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Besides own account transactions the Company may also perform transactions (Trades) in its own name but for the account of a third party. Please indicate below.

**Purchasing and selling in their own name for the account of a third party (client transactions)**

Yes <input type="checkbox"/>	No <input type="checkbox"/>
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In case the Company would like to conclude transactions on behalf of a client, the use of Trayport Joule/Joule Direct or other proper Front End may be required for the access to the Trading System as defined in the Technical Requirements available on HUDEX Website. For eventual default setups in case of client transactions please contact HUDEX.

**5. Legal status of clients, if company performs client transactions**
**Client is a legal person**

Yes <input type="checkbox"/>	No <input type="checkbox"/>
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**Client is a natural person**

Yes <input type="checkbox"/>	No <input type="checkbox"/>
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## 6. Use of algorithmic trading according to Art. 4 (1) (39) of MiFID II

Company uses algorithmic trading	
Yes <input type="checkbox"/>	No <input type="checkbox"/>
If yes, please indicate the name and ID of your algorithmic trading:	

## 7. Use of non-executing broker<sup>3</sup>

The default setup is that the Company is not using non-executive brokers during its trading activity.

In case the Company uses non-executive brokers, please contact HUDEX.

## 8. OTC clearing registration

On HUDEX Power market STP (Straight Through Processing) service is available for brokers and HUDEX Members. The service provides an automated platform for clearing OTC transactions, reducing counterparty risk, administration and costs.

If the HUDEX Member would like to clear OTC transactions at broker platforms please indicate at the below table the use of the OTC clearing service at any of the following brokers:

Brokers for OTC clearing registration	
<b>Tradition Ltd.</b>	[ ]
<b>42 Financial Services a.s.</b>	[ ]
<b>Griffin Markets Europe SAS</b>	[ ]
<b>ICAP Energy AS</b>	[ ]
<b>GFI Securities Ltd.</b>	[ ]

By indicating any of the brokers listed above HUDEX Members allows by default all of its Traders and OTC-only Traders to use the service. HUDEX Members can amend the list of

<sup>3</sup> According to Art. 2 d) of Regulation No. 2017/580 the member or participant of HUDEX who routed the order on behalf of and in the name of another member or participant of the trading venue, identified as a non-executing broker as specified in field 6 of Table 2 of the Annex;



brokers and the list of authorized Traders and OTC-only Traders via e-mail sent from the Membership contact e-mail address.

## 8. Contact Authorization Form

Membership contact(s)	
<b>Last name</b>	
<b>First name</b>	
<b>Phone</b>	
<b>Mobile</b>	
<b>E-mail</b>	
<p>For declarations and amendments of data given in different HUDEX forms regarding the HUDEX membership except the termination and suspension of the membership in the name and on behalf of the HUDEX Member. HUDEX accepts the mentioned declarations and amendments only from this Membership contact e-mail address(es). The Membership contact may be amended via signature of the amended Application form.</p>	
Contact for data reporting	
<b>Last name</b>	
<b>First name</b>	
<b>Phone</b>	
<b>Mobile</b>	
<b>E-mail</b>	
IT contact	
<b>Last name</b>	
<b>First name</b>	
<b>Phone</b>	

<b>Mobile</b>	
<b>E-mail</b>	
<b>Invoicing contact</b>	
<b>Last name</b>	
<b>First name</b>	
<b>Phone</b>	
<b>Mobile</b>	
<b>E-mail</b>	

(For trader authorization see separate Trader registration form)

## 9. Declarations and Signatures

We, the undersigned ..... as representatives of ..... (seat :..... hereinafter as «the Company »), Applicant for being admitted as a member of HUDEX Hungarian Derivative Energy Exchange Private Company Limited by Shares (in the following: HUDEX Derivative Energy Exchange Ltd.), hereby allege that the Company

1. undertakes to notify HUDEX Derivative Energy Exchange Ltd. with a prior notice as soon as possible in case of any change of situation of the establishment carrying out the transactions;
2. certifies the accuracy of all information enclosed in this Membership Application Form and all admission documents;
3. authorizes HUDEX Derivative Energy Exchange Ltd. to communicate the information returned:
  - a. to its relevant service providers,
  - b. to relevant Clearing House(s),
  - c. to the relevant TSO(s),
  - d. to the lawful authorities that would ask for them,
  - e. to the relevant OTC brokers;
4. undertakes to comply with all of the following requirements during the term of the Company's membership in HUDEX Derivative Energy Exchange Ltd.:
  - a. is of sufficient good repute
  - b. has a sufficient level of trading ability and experience;
  - c. has adequate organizational arrangements; and
  - d. has sufficient resources for the activity it is to perform, taking into account the different financial arrangements that the stock exchange may have established in order to guarantee the adequate settlement of transactions;
  - e. complies with the all times applicable requirements defined in the regulations against money laundering, financing of terrorist activities and market abuse activity;
5. is not under bankruptcy proceeding, liquidation or winding up;
6. has appropriate internal procedures and contractual framework with its clients and with the Clearing House or with the Clearing Member, which ensure that in case of application of measures regarding position limits and position management control mechanisms according to Art. 317/A of Capital Acts that the company after the call of HUDEX
  - a. reduces or closes its open positions regarding the affected Contracts via concluded Trades or brings liquidity back to the market,

- b. calls its client, if any to reduce or to close the open positions regarding the affected Contracts via concluded Trades or to bring liquidity back to the market and in case its client will not perform the instruction the company may apply unilateral measures in order to ensure the compliance with the call of HUDEX;
7. if the Company is not Clearing Member of the Clearing House who performs the clearing of the Trades, has appropriate legally effective contractual arrangement with the Clearing House or Clearing Member upon which the Clearing Member will become automatically contractual party to the concluded Trades (exchange transactions) and the applicable rules of Commission Regulation 2017/582/EU are fulfilled;
8. if the Company is not Clearing Member of the Clearing House who performs the clearing of the Trades, enters into Trades (exchange transactions) for its own account or on behalf of a client, ensures that the Company or its clients as the case may be has appropriate, legally effective contractual arrangements in place pursuant to which it or the client, as the case may be, becomes the counterparty to the Trades after the clearing relating to such Trades is performed pursuant to direct or indirect clearing arrangements with a Clearing Member and the applicable rules of Commission Regulation 2017/582/EU are fulfilled;
9. accepts the terms and conditions of the Rules of OTC Trades Registration for Clearing
10. confirms that all declarations regarding the HUDEX membership except the termination and suspension of the membership and all communications regarding the change of data given in the forms required for the HUDEX membership including OTC clearing sent from the e-mail address given under point 8 for "Membership contact" can be deemed and accepted in the name and on behalf of the Company;
11. confirms that all declarations and communications sent from the e-mail addresses given under point 8 for "Contact for data reporting", "IT contact" and "Invoicing contact" can be deemed and accepted in the name and on behalf of the Company as regards the specific areas indicated for.

Signed in one original in English or in Hungarian language.

<b>Place</b>	
<b>Date</b>	
<b>Name</b>	
<b>Acting as</b>	
<b>Signature</b>	

## HUDEX

# Annex I of Membership Application Form STATEMENT ON BENEFICIAL OWNER(S)

to comply with the legal obligation related to the Prevention and Combating of Money  
Laundering and Terrorist Financing

How to fill the form<sup>4</sup>:

1. Please list all natural person owners with at least 25% share in your company.
2. If the owners are legal entities, please state the final natural person owners with at least 25% share.

If there are no natural person owners with at least 25% share, please list the Board of Directors as in the Court of Registry. In this case “Nature and extent of ownership” field is not required.

I/We, the undersigned,

First name and surname	
Maiden name and surname	
Mother's maiden name	
Nationality	
Place and date of birth	
Address (or place of residence)	
Citizenship	
Type of I.D.	
I.D. document number	

<sup>4</sup> Based on the Act LIII of 2017 on the Prevention and Combating of Money Laundering and Terrorist Financing, which serves the purpose of compliance with Directive (EU) 2015/849 of the European Parliament and of the Council of 20 May 2015 on the prevention of the use of the financial system for the purposes of money laundering or terrorist financing.

First name and surname	
Maiden name and surname	
Mother's maiden name	
Nationality	
Place and date of birth	
Address (or place of residence)	
Citizenship	
Type of I.D.	
I.D. document number	

as the authorized representative of [],  
having its registered office at [],  
registered on []  
in the Companies Register of []  
under the number []

hereby declare that I am aware of my criminal responsibility and that the beneficial owner(s) of the legal person or organization without legal personality I am representing are the following persons:

First name and surname						
Maiden name and surname						
Nationality						
Place and date of birth						
Address (or place of residence)						
Nature („direct” or „indirect”) and extent of ownership (%)						
The beneficial owner is a politically exposed person*	Yes		Category			No

First name and surname	
------------------------	--

Maiden name and surname						
Nationality						
Place and date of birth						
Address (or place of residence)						
Nature („direct” or „indirect”) and extent of ownership (%)						
The beneficial owner is a politically exposed person*	Yes		Category			No

First name and surname						
Maiden name and surname						
Nationality						
Place and date of birth						
Address (or place of residence)						
Nature („direct” or „indirect”) and extent of ownership (%)						
The beneficial owner is a politically exposed person*	Yes		Category			No

First name and surname						
Maiden name and surname						
Nationality						
Place and date of birth						
Address (or place of residence)						
Nature („direct” or „indirect”) and extent of ownership (%)						
The beneficial owner is a politically exposed person*	Yes		Category			No

\*In case of a positive answer, please provide the code of the category:

- a) head of state, head of government, prime minister, deputy prime minister, state secretary, minister,
- b) a Member of the Parliament or a similar legislative body,

- c) member of the leadership of a political party,
- d) judge of the constitutional court, judge of the supreme court or of other high-level judicial bodies whose decisions are not subject to further appeal,
- e) a member of the management or supervisory board of the highest audit body, a member of the management or supervisory board of the central bank,
- f) ambassadors, chargés d'affaires and senior officers of the armed forces;
- g) members of the administrative, management or supervisory bodies of state companies;
- h) directors or deputy directors of international organizations, or its board members
- i) close relatives of persons mentioned in points a)-h): spouse or partner, biological, step- or adopted children, their spouses or partners, and biological, step- or adopting parents.
- j) any person who is a beneficial owner of a legal person or organization without legal personality together with a person mention in points a)-h) or who is in a close business relationship with them
- k) any person who is the only beneficial owner of a legal person or organization without legal personality which is known to have been established for the benefit of a person mention in points a)-h).

I, the undersigned, acknowledge that I am obliged to notify HUDEX Hungarian Derivative Energy Exchange Private Company Limited by Shares about any changes in the registered data within 5 working days; and any damages caused by omission will be borne by me.

Date: .....

.....

Official signature of Client



# HUDEX

## Annex to statement on beneficial owner(s)

### Information

#### about personal data handling of the beneficial owners and on representatives of the HUDEX Member according to GDPR

HUDEX Hungarian Derivative Energy Exchange Private Company Limited by Shares (hereinafter: HUDEX) aims to fully comply with the privacy regulations in force, in particular with Regulation (EU) 2016/679 of the European Parliament and of the Council on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC (hereinafter: the General Data Protection Regulation or **GDPR**) and the applicable national regulation, currently Act CXII of 2011 on informational self-determination and freedom of information (hereinafter: **Info Act**).

- 1. Name and contact details of the data controller:** HUDEX Hungarian Derivative Energy Exchange Private Company Limited by Shares  
Registered seat of data controller: Hungary 1134, Budapest, Dévai utca 26-28.  
Company registration number of data controller: 01-10-049303  
Telephone: (+36) 1 304 1090  
E-mail: [info@hudex.hu](mailto:info@hudex.hu)
- 2. Scope of processed personal data:** personal data under the Info Act which are recorded and processed in connection with the affected person, particularly the name, birth name, mother's maiden name, date and place of birth, nationality, address, copy of the passport/ID and copy of the address card for Hungarian citizens, nature and extent of ownership and if beneficial owner is a politically exposed person and its category.
- 3. Legal basis for data processing:**  
For representatives of HUDEX members: name, birth name, mother's maiden name, date and place of birth, nationality, address, copy of the passport/ID and copy of the address card for Hungarian citizens: Article 6 (1) c) of GDPR [Article 7 of Act LIII. of 2017 on the Prevention and Impending of Money Laundering and Terrorism Financing]  
For beneficial owners: name, birth name, date and place of birth, nationality, address, nature and extent of ownership and if beneficial owner is a politically exposed person and its category: Article 6 (1) c) of GDPR [Article 9 of Act LIII. of 2017 on the Prevention and Impending of Money Laundering and Terrorism Financing]
- 4. Purpose of data processing:** identifying the affected persons in connection with the HUDEX membership of the HUDEX Member for the purpose of anti-money laundering and informing authorities based on their request.
- 5. Data processing period:** period in which HUDEX is entitled to enforce its statutory or contractual rights in connection with the membership of the HUDEX Member on behalf of which the data subject acts.
- 6. Who has the right to get acquainted with the data?** Executive officers, employees of HUDEX and its subcontractors and performance agents involved in the operation of the HUDEX Markets.

Actual list of data processors and recipients are included in the Privacy Policy of HUDEX available on its website: [www.hudex.hu](http://www.hudex.hu). The HUDEX Member authorizes HUDEX Derivative Energy Exchange Ltd. to communicate the information returned to the following data processors and recipients:

- a. to its relevant service providers,
- b. to the lawful authorities that would ask for them including the financial supervisory authorities and tax authorities.

#### **7. Rights in connection with data processing**

The affected person may request information about the handling of his/her personal data and may request to correct and (except for statutory data handling) to cancel or withhold his/her personal data.

At the request of the affected person the data controller is obliged to provide information about the personal data handled by itself or by the data processor mandated by the data controller.

The data controller shall also provide information about the sources of the personal data, the purpose, legal ground and period of data handling, the name and address of the data processor and the acts of the latter in connection with data handling, and (in case of transmission of personal data) about the legal ground of transmission and the recipients.

The data controller is obliged to provide clear information in writing in the shortest possible time period after the receipt of the request, but not later than in 30 days.

If the data controller refuses to provide information or does not fulfil the request of the affected person to correct, withhold or cancel the personal data, it shall inform the affected person on the factual and legal reasons of the refusal in writing within 30 days. In such a case the data controller shall also inform the affected person about the legal remedies and the possible proceedings before the Hungarian National Authority for Data Protection and Freedom of Information. The data controller notes that the trading on HUDEX cannot be performed in the absence of certain data.

#### **8. Legal remedies in connection with data handling**

In case of unlawful data handling the affected person may initiate proceedings before the Hungarian National Authority for Data Protection and Freedom of Information (registered seat: 22 / c Erzsébet Szilágyi fasor, Budapest 1125, postal address: 5 P.O. box, Budapest 1530, phone: +36 (1) 391-1400, e-mail: [ugyfelszolgalat@naih.hu](mailto:ugyfelszolgalat@naih.hu)) or initiate litigation before the county court (in the capital: Municipal Court). According to the choice of the affected person the lawsuit may be brought before the county court competent according to the permanent or temporary residence of the affected person. If the court finds that the request is justified, the court obliges the data controller to correct, withhold or cancel the personal data, or to take into consideration the affected person's objection.

# **HUDEX**

## **Information sheet for “OTC only” traders**

**Version: 4.0**

**Effective from 27/07/2023**

**Date of publication: 26/07/2023**

**Approved by the resolution of the CEO No. 26/2023 (VII.26.)**

On HUDEX Power market STP (Straight Through Processing) service is available for brokers and traders. The service provides an automated platform for clearing OTC transactions, reducing counterparty risk, administration and costs.

We recommend you that all traders of your company who are registered at broker platforms shall be registered also at HUDEX as “OTC only trader” as this will provide more opportunities for them to trade with no extra cost.

The “OTC only” trader registration is free.

Set up / cancellation of OTC only traders	
<input type="checkbox"/> SETUP	<input type="checkbox"/> CANCELLATION
<b>Last name</b>	[ ]
<b>First name</b>	[ ]
<b>Birth name</b>	
<b>Date and place of birth</b>	
<b>Mothers maiden name</b>	
<b>Nationality</b>	
<b>Address</b>	
<b>National ID type and number<sup>1</sup> according to 2017/590 Delegated Regulation (RTS22)</b>	
<b>Short code of the trader (optional, if no preference, HUDEX will generate short code)</b>	
<b>Phone</b>	[ ]
<b>Mobile</b>	[ ]
<b>E-mail</b>	[ ]

Default set up of trader (Derivative indicator <sup>2</sup> ) (choose only one)	
<b>Hedge</b>	[ ]
<b>Speculative</b>	[ ]

<sup>1</sup> Please indicate the first priority

<sup>2</sup> Term used in reports

Please note that the Speculative option will be set as default, in case the User does not specify otherwise.

In case the User trades both Hedging and Speculative, the use of Trayport Joule/Joule Direct or other proper Front End may be required for the access to the Trading System as defined in the Technical Requirements available on HUDEX Website.

Confidential questions<sup>3</sup> (In cases defined in Market Rules)

<b>First working place</b>	
<b>Name of the secondary school</b>	

Please indicate at the below table which broker platform shall be the “OTC only” trader registered at:

Available broker platforms for OTC clearing	
<b>Tradition Ltd.</b>	
<b>42 Financial Services a.s.</b>	
<b>Griffin Markets Europe SAS</b>	
<b>ICAP Energy AS</b>	
<b>GFI Securities Ltd.</b>	

## 2. Default setup of a decision maker within the company for the purpose of transaction reports for regulatory reporting

Decision maker for trader	
<b>Last name of the decision maker</b>	
<b>First name of the decision maker</b>	
<b>Date of birth of the decision maker</b>	
<b>Nationality of the decision maker</b>	

<sup>3</sup> For security reasons HUDEX may ask the listed questions to identify the trader.

<b>National ID number<sup>4</sup> of the decision maker according to 2017/590 Delegated Regulation (RTS22)</b>	
<b>Short code of the decision maker (optional, if no preference, HUDEX will generate short code)</b>	

In case the Company would like to set up more than one decision makers for the same User, the use of Trayport Joule/Joule Direct or other proper Front End may be required for the access to the Trading System as defined in the Technical Requirements available on HUDEX Website.

### 3. Default setup of a person responsible for execution within the company for the purpose of transaction reports for regulatory reporting

The default setup for the person responsible for execution is always the Trader, who performs the related trading activity within the Trading System.

#### Supporting documents

Please provide a copy of the following original document.

A copy of the ID of the traders and a translation in English or Hungarian
Address card (lakcímkártya) only for Hungarian citizens <sup>5</sup>

**I/We the undersigned representative(s) ..... of HUDEX Member declare(s) that the OTC only trader nominated in this OTC only Trader registration form is legally authorized to conduct OTC cleared transactions for and on behalf of the HUDEX Member.**

Signed in one original in English or in Hungarian language.

<b>Authorised signatory of the Company</b>			
<b>Name:</b>	<b>Date:</b>	<b>Name:</b>	<b>Date:</b>
<b>Signature</b> _____		<b>Signature</b> _____	

<sup>4</sup> Please indicate 1st priority

<sup>5</sup> Please provide a copy only from the side of the address card, which contains the address



**h u d e x**  
HUNGARIAN DERIVATIVE  
ENERGY EXCHANGE

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Fax: (+36 1) 304 1099  
Web: [www.hudex.hu](http://www.hudex.hu)

# HUDEX

## Annex I to Information sheet for “OTC only” traders

### Declaration of consent

#### of OTC only trader relating to personal data handling according to GDPR

HUDEX Hungarian Derivative Energy Exchange Private Company Limited by Shares (hereinafter: HUDEX) aims to fully comply with the privacy regulations in force, in particular with Regulation (EU) 2016/679 of the European Parliament and of the Council on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC (hereinafter: the General Data Protection Regulation or **GDPR**) and the applicable national regulation, currently Act CXII of 2011 on informational self-determination and freedom of information (hereinafter: **Info Act**).

1. **Name and contact details of the data controller:** HUDEX Hungarian Derivative Energy Exchange Private Company Limited by Shares  
Registered seat of data controller: Hungary 1134, Budapest, Dévai utca 26-28.  
Company registration number of data controller: 01-10-049303  
Telephone: (+36) 1 304 1090  
E-mail: info@hudex.hu
2. **Scope of processed personal data:** personal data which are recorded and processed in connection with the affected person, particularly the name, telephone number, mobile phone number, e-mail address, address, birth name, mother's maiden name, name of the latest secondary school, first working place, date and place of birth of the affected person, type and number of national ID, nationality, declaration on criminal record, trader certificate, copy of the passport/ID and copy of the address card for Hungarian citizens.
3. **Legal basis for personal data processing:**
  - name, birth name, mother's maiden name, date and place of birth, nationality, address, copy of the passport/ID and copy of the address card for Hungarian citizens: Article 6 (1) c) of GDPR [Article 7 of Act LIII. of 2017 on the Prevention and Impending of Money Laundering and Terrorism Financing];
  - name, date of birth, nationality, type and number of national ID: processing is necessary for the performance and reporting of a contract to which the company of the data subject is party: consent of the person pursuant to Article 6 (1) a) of GDPR and resolution of the Hungarian National Bank;
  - telephone number, mobile phone number, e-mail address, name of the latest secondary school and first working place of the affected person: consent of the person pursuant to Article 6 (1) a) of GDPR.



4. **Purpose of data processing:** identifying and keeping in touch with the affected person in connection with the HUDEX membership of the HUDEX Member and fulfilling the transactions and producing and sending reports to authorities.
5. **Data processing period:** period in which HUDEX is entitled to enforce its statutory or contractual rights in connection with the membership of the HUDEX Member on behalf of which the data subject acts.
6. **Who has the right to get acquainted with the data?** Executive officers, employees of HUDEX and its subcontractors and performance agents involved in the operation of the HUDEX Markets. Actual list of data processors and recipients are included in the Privacy Policy of HUDEX available on its website: [www.hudex.hu](http://www.hudex.hu).

The HUDEX Member authorizes HUDEX Derivative Energy Exchange Ltd. to communicate the information returned to the following data processors and recipients:

- a. to its relevant service providers,
- b. to relevant Clearing House(s),
- c. to the relevant TSO(s),
- d. to the relevant OTC brokers as listed in this form;
- e. to the lawful authorities that would ask for them including the financial and tax supervisory authorities.

#### 7. **Rights in connection with data processing**

The data subject has the right to request from the controller access to and rectification or erasure (except for statutory data handling) of personal data or restriction of processing concerning the data subject or to object to processing as well as he has the right to data portability.

At the request of the data subject the data controller is obliged to provide information about the personal data handled by itself or by the data processor mandated by the data controller. The data controller shall also provide information about the sources of the personal data, the purpose, legal ground and period of data processing, the name and address of the data processor and the acts of the latter in connection with data processing, and (in case of transmission of personal data) about the legal basis of transmission and the recipients.

The data controller is obliged to provide clear information in writing in the shortest possible time period after the receipt of the request, but not later than in 30 days.

If the data controller refuses to provide information or does not fulfil the request of the affected person to correct, withhold or cancel the personal data, it shall inform the affected person on the factual and legal reasons of the refusal in writing within 30 days. In such a case the data controller shall also inform the affected person about the legal remedies and the possible proceedings before the Hungarian National Authority for Data Protection and Freedom of Information. The data controller notes that the trading on HUDEX cannot be performed in the absence of certain data.

#### 8. **Legal remedies in connection with data handling**

In case of unlawful data handling the affected person may initiate proceedings before the Hungarian National Authority for Data Protection and Freedom of Information (registered seat: 22 / c Erzsébet Szilágyi fasor, Budapest 1125, postal address: 5 P.O. box, Budapest 1530, phone: +36 (1) 391-1400, e-mail: [ugyfelszolgalat@naih.hu](mailto:ugyfelszolgalat@naih.hu)) or initiate litigation before the county court (in the capital: Municipal Court). According to the choice of the affected person the lawsuit

may be brought before the county court competent according to the permanent or temporary residence of the affected person. If the court finds that the request is justified, the court obliges the data controller to correct, withhold or cancel the personal data, or to take into consideration the affected person's objection.

FOR MORE INFORMATION ABOUT THE RIGHTS OF THE DATA SUBJECT PLEASE VISIT OUR SITE:

<https://hudex.hu/en/about-us/data-protection>

**I, the undersigned Trader ..... have read and understood the above data processing information sheet and the privacy policy of HUDEX. I declare that I received appropriate information on the legal basis, purpose, method and legal remedies in connection with the processing of my personal data.**

**With this knowledge I hereby give my consent to HUDEX to process my personal data listed below in accordance with the principles of data processing and data security requirements of GDPR and the related national regulations until the data processing period defined above.**

- name, date of birth, nationality, type and number of national ID: processing is necessary for the performance and reporting of a contract to which the company of the data subject is party: consent of the person pursuant to Article 6 (1) a) of GDPR and resolution of the Hungarian National Bank
- telephone number, mobile phone number, e-mail address, name of the latest secondary school and first working place of the affected person: consent of the affected person pursuant to Article 6 (1) a) of GDPR.

Date and place:

Signature of the affected person: \_\_\_\_\_

# HUDEX

## Annex II to Information sheet for “OTC only” traders

### Declaration of consent

#### of execution maker of OTC only trader relating to personal data handling according to GDPR

(If the decision maker is the OTC only trader itself you don't need to sign the form)

HUDEX Hungarian Derivative Energy Exchange Private Company Limited by Shares (hereinafter: HUDEX) aims to fully comply with the privacy regulations in force, in particular with Regulation (EU) 2016/679 of the European Parliament and of the Council on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC (hereinafter: the General Data Protection Regulation or **GDPR**) and the applicable national regulation, currently Act CXII of 2011 on informational self-determination and freedom of information (hereinafter: **Info Act**).

9. **Name and contact details of the data controller:** HUDEX Hungarian Derivative Energy Exchange Private Company Limited by Shares  
Registered seat of data controller: Hungary 1134, Budapest, Dévai utca 26-28.  
Company registration number of data controller: 01-10-049303  
Telephone: (+36) 1 304 1090  
E-mail: info@hudex.hu
10. **Scope of processed personal data:** personal data which are recorded and processed in connection with the affected person, particularly the name, telephone number, mobile phone number, e-mail address, address, birth name, mother's maiden name, name of the latest secondary school, first working place, date and place of birth of the affected person, type and number of national ID, nationality, declaration on criminal record, trader certificate, copy of the passport/ID and copy of the address card for Hungarian citizens.
11. **Legal basis for personal data processing:**
  - name, date of birth, nationality, type and number of national ID: processing is necessary for the performance and reporting of a contract to which the company of the data subject is party: consent of the person pursuant to Article 6 (1) a) of GDPR and resolution of the Hungarian National Bank;
12. **Purpose of data processing:** identifying and keeping in touch with the affected person in connection with the HUDEX membership of the HUDEX Member and fulfilling the transactions and producing and sending reports to authorities.
13. **Data processing period:** period in which HUDEX is entitled to enforce its statutory or contractual rights in connection with the membership of the HUDEX Member on behalf of which the data subject acts.

14. **Who has the right to get acquainted with the data?** Executive officers, employees of HUDEX and its subcontractors and performance agents involved in the operation of the HUDEX Markets. Actual list of data processors and recipients are included in the Privacy Policy of HUDEX available on its website: [www.hudex.hu](http://www.hudex.hu).

The HUDEX Member authorizes HUDEX Derivative Energy Exchange Ltd. to communicate the information returned to the following data processors and recipients:

- f. to its relevant service providers,
- g. to relevant Clearing House(s),
- h. to the relevant TSO(s),
- i. to the relevant OTC brokers as listed in this form;
- j. to the lawful authorities that would ask for them including the financial and tax supervisory authorities.

15. **Rights in connection with data processing**

The data subject has the right to request from the controller access to and rectification or erasure (except for statutory data handling) of personal data or restriction of processing concerning the data subject or to object to processing as well as he has the right to data portability.

At the request of the data subject the data controller is obliged to provide information about the personal data handled by itself or by the data processor mandated by the data controller. The data controller shall also provide information about the sources of the personal data, the purpose, legal ground and period of data processing, the name and address of the data processor and the acts of the latter in connection with data processing, and (in case of transmission of personal data) about the legal basis of transmission and the recipients.

The data controller is obliged to provide clear information in writing in the shortest possible time period after the receipt of the request, but not later than in 30 days.

If the data controller refuses to provide information or does not fulfil the request of the affected person to correct, withhold or cancel the personal data, it shall inform the affected person on the factual and legal reasons of the refusal in writing within 30 days. In such a case the data controller shall also inform the affected person about the legal remedies and the possible proceedings before the Hungarian National Authority for Data Protection and Freedom of Information. The data controller notes that the trading on HUDEX cannot be performed in the absence of certain data.

16. **Legal remedies in connection with data handling**

In case of unlawful data handling the affected person may initiate proceedings before the Hungarian National Authority for Data Protection and Freedom of Information (registered seat: 22 / c Erzsébet Szilágyi fasor, Budapest 1125, postal address: 5 P.O. box, Budapest 1530, phone: +36 (1) 391-1400, e-mail: [ugyfelszolgalat@naih.hu](mailto:ugyfelszolgalat@naih.hu)) or initiate litigation before the county court (in the capital: Municipal Court). According to the choice of the affected person the lawsuit may be brought before the county court competent according to the permanent or temporary residence of the affected person. If the court finds that the request is justified, the court obliges the data controller to correct, withhold or cancel the personal data, or to take into consideration the affected person's objection.

FOR MORE INFORMATION ABOUT THE RIGHTS OF THE DATA SUBJECT PLEASE VISIT OUR SITE:

<https://hudex.hu/en/about-us/data-protection>

**I, the undersigned decision maker ..... have read and understood the above data processing information sheet and the privacy policy of HUDEX. I declare that I received appropriate information on the legal basis, purpose, method and legal remedies in connection with the processing of my personal data.**

**With this knowledge I hereby give my consent to HUDEX to process my personal data listed below in accordance with the principles of data processing and data security requirements of GDPR and the related national regulations until the data processing period defined above.**

- name, date of birth, nationality, type and number of national ID: processing is necessary for the performance and reporting of a contract to which the company of the data subject is party pursuant to Article 6 (1) a) of GDPR and resolution of the Hungarian National Bank.

Date and place:

Signature of the affected person: \_\_\_\_\_