

OTC CLEARING REGISTRATION RULES
of
HUDEX Hungarian Derivative Energy Exchange
Ltd.
ANNEX I.
OTC BROKERS LIST

Version ~~5~~**4.0**

Effective from ~~27/07/2023~~**15/04/2024**

Date of publication: ~~26/07/2023~~**11/04/2024**

Approved by the resolution of the CEO No.



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15/2024 (IV.10)26/2023 (VII.26.)

OTC BROKERS LIST

| Name of OTC Brokers entitled to use the Broker Trading System, the automatically supported clearing solution for transactions | Address | Market Segments |
|---|---|--------------------------|
| 1. 42 Financial Services a.s. | Klimentská 1216/46 110 00 Praha 1 Czech Republic | Power |
| 3. ICAP Energy AS | Storetvetvegen 96 5072 Bergen Norway | Power |
| 4. Tradition Financial Services Ltd. | 1st Floor Beaufort House 15 St Botolph Street London EC3A 7QX United Kingdom | Power |
| 5. Griffin Markets Limited | 40 rue du Louvre Paris 75001 France | Power |
| 6. GFI Securities Ltd | 1 Snowden Street London, EC2A 2DQ United Kingdom | Power |
| <u>7. GMG Europe BV.</u> | <u>3A.11, Laarderhoogtweg 7, 1101 DZ, Amsterdam, The Netherlands</u> | <u>Power</u> |
| Name of Brokers entitled to use the OTC Clearing Registration Platform, the manual solution for clearing transactions | Address | Market Segments |
| 1. 42 Financial Services a.s. | Klimentská 1216/46 110 00 Praha 1 Czech Republic | Power and Natural gas |
| 3. ICAP Energy AS | Storetvetvegen 96 5072 Bergen Norway | Power and Natural gas |
| 4. Tradition Financial Services Ltd. | 1st Floor Beaufort House 15 St Botolph Street London EC3A 7QX United Kingdom | Power and Natural gas |



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| | | |
|----------------------------|--|--|
| 5. Griffin Markets Limited | 40 rue du Louvre Paris 75001 France | Power and Natural gas |
| 6. Enmacc GmbH | Ridlerstraße 57 80339 Munich Germany | Natural gas |
| 7. GFI Securities Ltd | 1 Snowden Street London, EC2A 2DQ United Kingdom | Power and Natural gas |
| <u>8. GMG Europe BV.</u> | <u>3A.11, Laarderhoogtweg 7,</u> <u>1101 DZ, Amsterdam,</u> <u>The Netherlands</u> | <u>Power and</u> <u>Natural gas</u> |

Formázott táblázat



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~~OTC-CLEARING REGISTRATION RULES~~
~~of~~
~~HUDEX Hungarian Derivative Energy Exchange~~
~~Ltd.~~
~~ANNEX II.~~
~~OTC-ONLY TRADER REGISTRATION FORM~~

~~Version 3.0~~

~~Effective from 20/11/2019~~

~~Date of publication: 14/11/2019~~

~~Approved by the resolution of the CEO No. 46/2019 (XI. 14.)~~



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OTC-ONLY TRADER REGISTRATION FORM

| Default set-up of OTC-only Trader 1 – Obligatory information | |
|---|--|
| Last name | |
| First name | |
| Birth name | |
| Date and place of birth | |
| Mothers maiden name | |
| Nationality | |
| Address | |
| National ID type and number¹ – according to 2017/590 Delegated Regulation (RTS22) | |
| Telephone | |
| Mobile | |
| E-mail | |

| Provide a copy of the following original document |
|---|
| A copy of the ID (ID or passport) of the trader and in case of foreign document an unofficial translation in English or Hungarian |
| Address card (lakcímkártya) only for Hungarian citizens ² |

¹ Please indicate the 1st priority

² Please indicate the 1st priority



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Default set up of OTC-only Trader 1 – Optional information

To be filled only if the company would like to have different default setup for OTC-only Trader than for the position report of the company

Hedge

Speculative

To be filled only if the decision maker is different from OTC-only Trader 1

Last name of the decision maker

First name of the decision maker

Date of birth of the decision maker

Nationality of the decision maker

National ID³ of the decision maker according to 2017/590 Delegated Regulation (RTS22)

³ Please indicate the 1st priority



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HUDEX

Information sheet for “OTC only” traders

Version: 5.0

Effective from 15/04/2024

Date of publication: 11/04/2024

Approved by the resolution of the CEO No. 14/2024 (IV.10)

Place

Budapest

Document number

H06



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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 |
| Last name | |
| First name | |
| Birth name | |
| Date and place of birth | |
| Mothers maiden name | |
| Nationality | |
| Address | |
| National ID type and number⁴ according to 2017/590 Delegated Regulation (RTS22) | |
| Short code of the trader (optional, if no preference, HUDEX will generate short code) | |
| Phone | |
| Mobile | |
| E-mail | |

Default set up of trader (Derivative indicator⁵) (choose only one)

| | |
|--------------------|--|
| Hedge | |
| Speculative | |

⁴ Please indicate the first priority
⁵ Term used in reports



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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 questions⁶ (In cases defined in Market Rules)

| | |
|-------------------------------------|--|
| <u>First working place</u> | |
| <u>Name of the secondary school</u> | |

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

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

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

| <u>Decision maker for trader</u> | |
|--|--|
| <u>Last name of the decision maker</u> | |
| <u>First name of the decision maker</u> | |
| <u>Date of birth of the decision maker</u> | |

⁶ For security reasons HUDEX may ask the listed questions to identify the trader.



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| | |
|--|--|
| Nationality of the decision maker | |
| National ID number⁷ of the decision maker according to 2017/590 Delegated Regulation (RTS22) | |
| Short code of the decision maker (optional, if no preference, HUDEX will generate short code) | |

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.

| |
|--|
| <u>A copy of the ID of the traders and a translation in English or Hungarian</u> |
| <u>Address card (lakcímkártya) only for Hungarian citizens⁸</u> |

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.

| | |
|---|---|
| <u>Authorised signatory of the Company</u> | |
| <u>Name:</u> _____ <u>Date:</u> _____ | <u>Name:</u> _____ <u>Date:</u> _____ |

⁷ Please indicate 1st priority

⁸ Please provide a copy only from the side of the address card, which contains the address



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Signature _____

Signature _____



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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];



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- 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.

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.



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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) 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



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- 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:



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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;



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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.

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



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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) 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.

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<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: _____
