



European Union Registry

EU Emissions Trading System (EU ETS)

Instructions on Applying for Trading Accounts

Editorial information

Publisher

German Emissions Trading Authority (DEHSt)
at the German Environment Agency

City Campus

Building 3, Entrance 3A

Buchholzweg 8

D-13627 Berlin

Phone: +49 (0) 30 89 03-50 50

Fax: +49 (0) 30 89 03-50 10

emissionstrading@dehst.de

Internet: www.dehst.de/English

Status: March 2022

Responsible Editor: Section V 3.4 – Registry Administration

Cover image: Tkemot/Shutterstock.com

Content

Preliminary Statements	4
1 Filling in the Online Form	4
2 Account Holder and Authorised Representatives	4
3 Proof of Identity of the account holder	5
4 Proof of Identity of the Authorised Representatives	6
5 Contact Information	6
6 Sending the filled out form and Requisite Documents	7
7 Fees	7
8 Data Protection	7
9 Queries regarding the Opening of an Account and further Queries	7
10 Account Information to be entered	8
Account Opening – Account Details	8
Account Opening – Account Holder Information	8
Trusted Account List Preferences	10
Authorised Representatives	11

Preliminary Statements

This short manual aims at helping you to apply for a Trading Account (TA) in the Union Registry. Trading accounts can hold and transfer EUA allowances and allowances of linked systems, such as Switzerland's (CHU, Swiss allowances and CHUA, Swiss aviation allowances).

1 Filling in the Online Form

For requesting a Trading Account in the German managed part of the Union Registry an online form is available under the following link: <https://ets-registry.webgate.ec.europa.eu/euregistry/DE/index.xhtml>

The online form consists of several pages. Before leaving each page, it will be automatically checked whether all mandatory fields have been completed in accordance with the format specifications. The mandatory fields are listed in Section 10 to give you the opportunity to collect the necessary data in advance and check them for completeness. Partially completed forms cannot be saved during online entry. After completion, the application is sent to the nominates accountrepresentatives as a PDF file by email. Please send this application to the DEHSt's registry administration as described in section 6.

2 Account Holder and Authorised Representatives

The account holder may be a legal entity or a natural person, who must name at least two authorised representatives with access to the account, at least one of whom must have their permanent residence in Germany. As far as DEHSt is concerned, authorised representatives act on behalf of the account holder. If the account holder is a natural person, he/she may name him/herself as one of the authorised representatives. All authorised representatives must be different natural persons over the age of 18.

3 Proof of Identity of the account holder

The following documentation has to be submitted together with the application:

1. Evidence that the legal or natural person requesting the account opening has an open bank account in a Member State of the European Economic Area.
2. Evidence to support the identity of the natural person requesting the account opening, which may be a copy of one of the following:
 - a) an identity card issued by a state that is a member of the European Economic Area or the Organisation for Economic Co-operation and Development;
 - b) a passport.
3. Evidence to support the address of the permanent residence of the natural person account holder, which may be a copy of one of the following:
 - a) the identity document submitted, if it contains the address of the permanent residence;
 - b) any other government-issued identity document that contains the address of permanent residence;
 - c) if the country of permanent residence does not issue identity documents that contain the address of permanent residence, a statement from the local authorities confirming the nominee's permanent residence;
4. The following documents in case of a legal person requesting the account opening:
 - a) a copy of the instruments establishing the legal entity and a copy of a document proving the registration of the legal entity;
 - b) bank account details;
 - c) a confirmation of VAT registration;
 - d) information on the legal entity's beneficial owner as defined in Directive 2005/60/EC;
 - e) list of directors;
 - f) a copy of the annual report or of the latest audited financial statements, or if no audited financial statements available, a copy of the financial statements stamped by the tax office or the financial director.
 - g) Evidence to support the registered address of the legal person account holder, if this is not clear from the document submitted in accordance with point 3 (2).
 - h) The criminal record of the natural person requesting the account opening or if it is a legal person, of its directors.

Documentation must be submitted to the DEHSt in certified form, with certification dating back no further than three months. Certification is not necessary if the excerpt is from the German Commercial Register (Handelsregister), Register of Cooperatives (Genossenschaftsregister), Register of Associations (Vereinsregister) or Register of Partnerships (Partnerschaftsregister). If the relevant documents have not been issued in English or German, a certified translation into English must also be submitted.

When sending the form with the requisite evidence by letter, the authorised person of the legal entity must sign the application (names must be added in print below the signatures).

4 Proof of Identity of the Authorised Representatives

1. Evidence to support the identity of the account representative, which may be a copy of one of the following:
 - a) an identity card issued by a state that is a member of the European Economic Area or the Organisation for Economic Co-operation and Development;
 - b) a passport.
2. Evidence to support the address of the permanent residence of the account representative, which may be a copy of one of the following:
 - a) the identity document submitted, if it contains the address of the permanent residence;
 - b) any other government-issued identity document that contains the address of permanent residence;
 - c) if the country of permanent residence does not issue identity documents that contain the address of permanent residence, a statement from the local authorities confirming the nominee's permanent residence;
3. The criminal record of the of the nominated authorised representatives. If the representative's country does not issue criminal records certificates or equivalent documentation a statutory declaration of the representative will be sufficient.

Documentation must be submitted to the DEHSt in certified form, with certification dating back no further than three months. If the relevant documents have not been issued in English or German, a certified translation into English must also be submitted.

5 Contact Information

All contact information refers to the respective business addresses. Therefore, please use the fields "Company Name" and "Company Department" in the online form to specify the addresses as exactly as possible. This information will be used by DEHSt to send sensitive information (such as an enrolment key for authorised representatives) by mail.

Furthermore, please provide the email addresses personalised to the account representatives because important information will be sent by email.

By filling in your contact information (company, department) and providing your personalised e-mail addresses, you can ensure that the information reaches the competent bodies or persons.

6 Sending the filled out form and Requisite Documents

For Trading Accounts there are two possible ways of sending application (received PDF file) to the DEHSt:

- a) via the Virtual Post Office (VPS) of the DEHSt: VPS enables secure electronic communication between the applicant or an authorised person and DEHSt. In order to use VPS, the applicant or authorised person must have a signature card with a qualified digital signature. You will find more detailed information on the use of VPS at www.dehst.de/Virtual-post-office-in-EU-ETS.

When sending the filled-in form with the requisite evidence via the Virtual Post Office of DEHSt, a legally binding declaration (full power) of the authorised representatives of the legal entity must be submitted, stating that the sender is authorised to send the application via the Virtual Post Office. Dispensation may be given for such a declaration only if the sender is the sole authorised person (e. g. according to an entry in the commercial register). Please state the signatory's name in print.

The application sent to VPS by the applicant need not be physically signed, as documents that have been sent using the signature card of the applicant or the authorised person carry a legally binding digital signature.

- b) by mail: Please print out the PDF file, sign it and send it to DEHSt as a letter. When sending the form with the requisite evidence by letter, the authorised person of the legal entity must sign the application (names must be added in print below the signatures).

7 Fees

For the opening of a trading account, a one-time fee of € 393 as well as an account maintenance fee for the entire trading period 2021–2030 of € 649 is charged and € 281 for the change of the name of an account holder and € 280 for the change of an authorised representative's appointment.

8 Data Protection

Person-related data is stored in compliance with the Federal Data Protection Act and the EU Registry Regulation. Pursuant to EU Registry Regulation certain data has to be made publicly available.

9 Queries regarding the Opening of an Account and further Queries

For any queries on opening an account and on emissions trading in general please contact our hotline (Phone: +49 (0) 30 89 03-50 50, Fax: +49 (0) 30 89 03-50 10), or send your query to emissionstrading@dehst.de

Further information on emissions trading can be found at www.dehst.de/English

10 Account Information to be entered

Please find below a list of all data to be entered into the application form when requesting a trading account, as well as some hints on how to fill in the form. We recommend that you have the relevant data at hand before you proceed, as the online form cannot be saved half-way through the process.

Account Opening – Account Details

* mandatory field

Account Type	Go to the website https://ets-registry.webgate.ec.europa.eu/euregistry/DE/index.xhtml log in and select the account type “Trading Account” under the left menu item “Account request”.
Account Name*	You can choose any name for your account. Names must contain at least 10 and at most 50 alphanumeric characters, including special symbols such as hyphens or slashes. Example: Trading Account XYZ corp. The account name should not be confused with the account identification code which is assigned to the account holder automatically.
Group	For trading accounts, leave this field blank.

Account Opening – Account Holder Information

One selection box has to be chosen.

Account Holder is already linked to the user	Choose this selection box if the user currently logged in is already linked to the account holder of the new account. If you choose this selection box a drop down list appears where you can pick up the appropriate account holder from.
Account holder is already recorded in the registry	Choose this selection box if the account holder of the new account has already an identifier in the Union Registry. In this case you have to enter the “Account holder ID”.
Account holder is new	Choose this selection box if the account holder of the new account you are requesting for is new. If you choose this selection box the undermentioned information regarding the account holder has to be entered. This is the only selection box if the current user is not logged in.

* mandatory field

¹ additional mandatory field for legal entities

² additional mandatory field for natural persons

Name*	Enter the name of the account holder. For natural persons also first name, date and place of birth are mandatory (first name and then the surname in capital letters; e. g. First name SURNAME). These fields remain void for legal entities. For account holders, who are legal entities, please enter the name as stated in a public register (e. g. commercial register)
Legal Entity Identifier (LEI)	Only for legal persons. More information can be found on www.gleif.org/en
Open accounts in other Member States	Indication of other MS in which accounts of the same account holder are open and the associated consent for the registry administrations of these MS to exchange information and documents relating to the opening of the account.
Country*	
Region or State	
Postcode* and City*	
Address Line 1*	In most cases street and number or PO box
Address Line 2	Further space for additional information, such as department in business addresses
Telephone 1*	You can only enter a plus sign and digits but no slashes or spaces. Please enter also the national prefix. Example: +49163123456789 It can be selected whether this field should be published on the EUTL website.
Telephone 2*	See Telephone 1.
E-mail Address*	Personal e-mail address wherever possible. Important e-mails will be sent to this address by the Registry administration. It can be selected whether this field should be published on the EUTL website.
Selection box*	If the account holder is a natural person choose "Person" and "Company" if he is a legal entity. For a natural person, first name, surname, date of birth, place and country of birth are required fields. For legal entities, these fields must remain empty. If the account holder is a legal entity, please enter the name as it appears in the public register (e. g. register of companies).
National Registration number	Only if the account holder is a natural person
Date of Birth²	Necessary if the account holder is a natural person. Please enter in DD/MM/YYYY format, e. g. 05/09/1963.
Place of Birth²	Necessary if the account holder is a natural person.
Country of Birth²	Necessary if the account holder is a natural person.
ID No²	Necessary if the account holder is a natural person. Enter the identifier of the national ID card, passport or something similar. For German ID cards, the number on the upper right in ID card must be entered.
Identity document expiry date	Necessary if the account holder is a natural person.
Company Registration No.¹	Necessary if the account holder is a legal entity as stated in a public register (e. g. commercial register).
VAT Registration Number with Country Code¹	Necessary if the account holder is a legal entity. Two letter Country Code as listed in ISO 3166-1 (for example www.iso.org/iso-3166-country-codes.html). For example DE 123456789 (with a space after the Country code).

Trusted Account List Preferences

Transactions to trusted accounts

Selection field: Yes/No – Transactions to trusted accounts without confirmation of a second authorised representative (2-eye-principle).

Transactions to non-trust accounts

Transactions to non-trust accounts as well as the addition of new trust accounts must always be carried out in accordance with the 4-eye-principle, irrespective of whether the 2-eye-principle is used for transactions to trusted accounts.

Authorised Representatives

* mandatory

URID*	<p>The individual in question needs to have already a URID with the German Part of the Union Registry. URIDs you can use in the German part always begins with DE e. g. DE598457695481. For more explanations please refer to the separate document “Establishing an EU Logging Access and Register at the Union Registry” on the internet page of the DEHSt.</p> <p>If the authorised representative is already assigned to the account holder, then it can be selected at this point. No further information on this person is then necessary. The person making the request must be assigned to the account holder and logged in.</p>
Authorised Representative Role	<p>Authorised Representatives Roles</p> <p>Read Only: This Representative can only view the account but does not have the right to either initiate or approve transactions and processes.</p> <p>Process Initiator Only: This Representative can only initiate transactions and processes but cannot approve them.</p> <p>Process Approver Only: This Representative can only approve transactions and processes initiated by another Representative.</p> <p>Process Initiator/Approver: This Representative can both initiate and approve transactions and processes but can only approve transactions and processes initiated by another Representative.</p> <p>Note: At account opening, the account must have at least one Representative that can initiate transactions and processes and one that can approve transactions and processes initiated by another Representative.</p> <p>Possible combinations are: Process Initiator Only + Process Approver Only; Process Initiator Only + Process Initiator and Approver; Process Initiator and Approver + Process Initiator and Approver; Process Initiator Only + Process Initiator and Approver.</p>
Company Name	<p>Here you can enter additional address information, such as a company name for business addresses. This field is optionally used as an address component, together with department, address line 1 and 2.</p>
Company Department	<p>You can enter further address information, such as the name of a department for business addresses. This field is optionally used as an address component, together with the company name, and address lines 1 and 2.</p>
Job Titel	
Country*	
Region or State	
Postcode* and City*	
Address Line 1*	<p>Street and house number or PO Box. If you specify a business address, please also use the fields “Address line 2”, “Company Name” and “Company Department” to indicate the address as precisely as possible. The enrolment key to access the account will be sent to this address.</p>
Address Line 2	<p>If you specify a business address, you may also use the fields “Company Name” and “Company Department” to indicate the address as precisely as possible. The enrolment key to access the account will be sent to this address.</p>
Telephone 1*	<p>Only a plus sign and digits can be entered but no slashes or spaces. Please enter also the national prefix. Example: +49163123456789.</p>
Telephone 2*	<p>See telephone 1.</p>
E-Mail Address*	<p>Personal e-mail address necessary. Important e-mails will be sent to this address by the Registry administration.</p>

