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| APPLICATION FORM |
| Application for Registration as a Trader in the NEM |

Please complete this Application Form using the appropriate Application Guide, and any other documents and information sources mentioned in this document.

The information in this Application Form is not to be altered without the prior written consent of Australian Energy Market Operator Ltd (AEMO).

Rules terms

Terms defined in the National Electricity Rules (*Rules* or NER) have the same meanings in this Application Form unless otherwise specified. Those terms are intended to be identified in this form by italicising them, but failure to italicise such a term does not affect its meaning.

Application Form submission

To submit an application to AEMO:

* complete this Application Form
* print and sign the form using a written signature[[1]](#footnote-1),
* email a scanned copy including all attachments to the AEMO Registration Team via email to [onboarding@aemo.com.au](mailto:onboarding@aemo.com.au).

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Application Overview

Complete this Application Form (this Form) to apply for registration in the *National Electricity Market* (NEM) as a *Trader*.

Where a requirement for information is ‘Not Applicable’, please put “NA” in the field (such as for ‘Fax’).

For help in completing this Form, refer to the appropriate [Application Guide](https://www.aemo.com.au/energy-systems/electricity/national-electricity-market-nem/participate-in-the-market/registration/register-as-a-trader-in-the-nem) on the AEMO website*.*

Direct any questions regarding your application to the AEMO Registration Team email: [onboarding@aemo.com.au](mailto:onboarding@aemo.com.au).

# Participant Category

This application is for those wanting to be registered as a *Trader* in the NEM.

Under Section 2.5A of the National Electricity Rules (NER), and subject to the sub-clauses of that section, a *Trader* is a wholesale client registered by AEMO to allow participation in Settlement Residue Auctions (SRA) under rule 3.18 of the NER.

Anyone who wishes to participate in SRA, and who is not already registered with AEMO as a *Market Customer* or a *Generator*, must register with AEMO as a *Trader*.

# Application Details

Please clearly mark all attachments as "Attachment to Section B“ and number each page consecutively.

## Applicant details

|  |  |  |  |
| --- | --- | --- | --- |
| Entity Name: |  | | |
| Trading Name: |  | | |
| ABN: |  | ACN: |  |
| Participant ID[[2]](#footnote-2): |  | | |

## Declaration

The Applicant is applying to become a *Trader* in the NEM, being managed by AEMO under the NER.

The Applicant authorises AEMO to contact any organisation named in any information provided in support of this Application and any regulatory authority[[3]](#footnote-3).

I, <Full Name>, <Position>, declare that I have been authorised by the Applicant to submit this Application on their behalf and certify that the contents of the Application and any further submissions are complete, true and correct.

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| Signature: |  | Date: | 14/10/2020 |

By signing this form, the signatory warrants that the signatory is duly authorised to sign this document on behalf of the Applicant and to make the declarations set out in this document on the Applicant’s behalf.

# Contact Details

Please clearly mark all attachments as "Attachment to Section C" and number each page consecutively.

You must provide contact details to assist with communication between AEMO and your organisation. Provide contact details for your head office, any branch offices, and all relevant personnel.

## Registration contact

Please provide contact details for all questions regarding this Application.

|  |  |  |  |
| --- | --- | --- | --- |
| Name: |  | | |
| Position: |  | Email: |  |
| Phone: |  | Mobile: |  |

## Head office and branch contact details

|  |  |  |  |
| --- | --- | --- | --- |
| Office Name\*: |  | | |
| Street address: |  | | |
| State: |  | Postcode: |  |
| Postal address: |  | | |
| State: |  | Postcode: |  |
| Phone: |  | Fax: |  |
| Email: |  | | |
| \* Type “Head Office” or the name of the branch | | | |

## Personnel contacts

Provide details for the following roles in your desired format, for example, a list exported from Microsoft Outlook, Excel, or Word and check each checkbox in the list below to confirm details have been provided.

The minimum details required are: role(s), name, position, phone number, mobile number and email address.

Each contact can have more than one role.

|  |  |
| --- | --- |
| Mandatory contacts | |
| CEO |  |
| Communications Crisis Contact |  |
| Company Secretary |  |
| Corporate Relations Manager |  |
| Dispute Management Contact |  |
| IT After Hours / Emergency Contact |  |
| IT Security Contact |  |
| NEM Observer |  |
| Settlements Contact |  |
| SRA Trading Manager |  |

# Required Information

Include the following information (where relevant) and ensure the information is attached to this application. Click in each checkbox to indicate that you have attached the information required. If you have not addressed all necessary items, please provide a reason in the field provided.

Please clearly mark all attachments as "Attachment to Section D" and number each page consecutively.

## Partnership status

Is the Applicant applying on behalf of a partnership?  Yes  No

If Yes,

I have provided a copy of the partnership agreement.

## Trust status

Is the Applicant applying for registration on behalf of a Trust?  Yes  No

If Yes,

I have provided a copy of the Trust Deed establishing the Applicant trust.

I have provided an executed Trustee Deed in favour of AEMO.

## Organisational capability

Please confirm you have provided the following information:

An Organisation chart and other documents (such as the résumés of key managers) detailing the necessary expertise to carry out electricity industry operations, including operations management, settlements and risk management.

A document that demonstrates the NEM-related policies and procedures which are already in place or under development (do not submit the documents to AEMO, simply advise that they exist or are being developed).

Evidence of the IT systems in place and system readiness to support NEM activities.

If the Applicant has not participated in the NEM before but has participated in another relevant market, copies of electricity licences (if any) held in related markets and the duration of activity in the market.

A corporate structure chart explaining any links with parent and other organisations that provides evidence of your ability to comply with the NER.

|  |  |
| --- | --- |
| Reason if not attached: |  |

## Financial viability

I have provided copies of recently audited financial statements.

I have provided an explanation of financial links with parent organisations and other organisations that may improve my financial viability.

|  |  |
| --- | --- |
| Reason if not attached: |  |

## Eligibility to participate

Proof that the Applicant is a ‘wholesale client’ as defined in section 761G(4) of the Corporations Act 2001 (Commonwealth of Australia). See the [Establishing if a Person is Not a Retail Client](https://www.aemo.com.au/-/media/files/electricity/nem/participant_information/application-forms-and-supporting-documentation/fact-sheet-nem-establishing-if-a-person-is-not-a-retail-client.pdf?la=en) fact sheet for evidentiary requirements.

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| --- | --- |
| Reason if not attached: |  |

Evidence of the Applicant having an office in Australia, or a certified copy of any document appointing an agent located in Australia

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| Reason if not attached: |  |

## Auction Participant Agreement

To participate in Settlement Residue Auctions (SRA), complete and attach two signed copies of the [Auction Participant Agreement](https://www.aemo.com.au/Electricity/National-Electricity-Market-NEM/Settlements-and-payments/Settlements/Settlements-Residue-Auction/Auction-participant-agreement) to your application.

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| --- | --- |
| Reason if not attached: |  |

## Austraclear

AEMO uses an external electronic funds transfer system provided by Austraclear. Please apply directly to [Austraclear](https://www.asx.com.au/services/settlement/austraclear.htm) for membership. Membership approvals can take up to five weeks to process and charges are payable direct to Austraclear.

|  |  |
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| Austraclear Membership Number: |  |

# IT Setup

To allow connectivity to AEMO IT systems, you must provide the following information.

## MarketNet connection

For details regarding AEMOs private data network connection (MarketNet), options and entitlements, see the [Guide to Information Systems](https://www.aemo.com.au/-/media/Files/IT_Changes/Guide-to-Information-Systems.pdf) on AEMO’s website.

Do you require a new MarketNet connection?  Yes  No

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Connection types: | Primary: |  | | Backup: |  |
| IT Technical Network Contact: | | | | | |
| Contact number: | | | Email: | | |

## IT Notifications email address

It is important to receive AEMO notifications regarding IT changes or outages that may impact your business.

Please have your IT staff set up and maintain a group email address with an appropriate distribution list of members for this to occur (individual email addresses are not accepted).

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| IT Notifications email address: | <e.g. AEMOIT@yourdomain.com.au> |

1. Digital signatures are not accepted. [↑](#footnote-ref-1)
2. Add your existing Participant ID or enter a preferred Participant ID. If you leave this field blank, and you do not have one, AEMO will assign an ID to you. [↑](#footnote-ref-2)
3. Australian Energy Regulator, Independent Pricing and Regulatory Tribunal of New South Wales, Essential Services Commission for Victoria, Queensland Competition Authority, Essential Services Commission for South Australia, Independent Competition and Regulatory Commission for the Australian Capital Territory, Economic Regulation Authority (Western Australia), Office of the Tasmanian Economic Regulator and Queensland Government - The Department of Natural Resources, Mines and Energy. [↑](#footnote-ref-3)