



TRÄNSNET BW

**FRENCH – GERMAN INTERCONNECTION  
INTRADAY CAPACITY EXPLICIT ALLOCATION RULES**

**VERSION 3.0**

**Draft Version**

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# **Section 0 Introduction**

## **0.1. Status of this introduction**

This introductory Section is an integral and binding part of these Rules.

## **0.2. General context**

This document sets out the Explicit Allocation Rules for intraday capacity on French – German interconnection in accordance with article 64 of Commission Regulation (EU) 2015/1222 establishing guideline on capacity allocation and congestion management (hereafter referred to as the “CACM Regulation”).

The French and German Transmission System Operators (TSOs), Amprion GmbH (Amprion), RTE Réseau de transport d’électricité (RTE) and TransnetBW GmbH (TNG) received a joint request from national regulatory authorities to maintain an intraday explicit allocation method on the interconnectors connecting the bidding zones of Germany/Luxembourg and France in the intraday time-frame.

These Rules contain the terms and conditions for the Intraday Explicit Allocation of available intraday Interconnection Capacity, which is jointly offered in form of physical transmission rights obligations (PTROs) by the French and German TSOs, TNG, RTE and Amprion with regard to the interconnections between France and Germany in both directions.

In parallel to the Intraday Explicit Allocation available intraday capacities are provided to a mechanism for Implicit Allocation. The implicit allocation process is not part of these Rules and will only be described in extracts where needed for better understanding of these Rules.

The Interconnection Capacity Allocation by Explicit Intraday Allocation is not a commercially motivated activity but one aimed at providing transparent methods of congestion management. The importance of the interconnections for the liberalization of the EU electricity market requires a strict policy with regard to the collection of payments and default consequences.

The terms and conditions for the Allocation of available Interconnection Capacity by Yearly, Monthly and Daily (Shadow) Auctions and for the PTR transfer and PTR resale are specified in separated Auction Rules.

The present Rules come into force on XBID Go-Live-Date and replace the previous version 2.4.

The Rules version 2.4 will continue to apply only insofar as necessary to settle any dispute pursuant the allocations conducted before XBID-Go-Live-Date and in case of declaration of Rollback.

## **0.3. Capacity Allocation Procedures**

The Explicit Allocation of available intraday Capacity is done in the form of PTROs that PTROs Holders are obliged to use in their full amount. The available intraday Capacity is Allocated by RTE and Amprion as Allocation Operators (AOs) on a coordinated basis according to the First Come – First Served Principle in accordance with Section III, as long as no methodology for pricing intraday cross-zonal capacity according Article 55 CACM is established.

The Intraday Allocation is operated by an external Capacity Allocation Platform on behalf of the AOs. This Capacity Allocation Platform is an integral part of the XBID-System responsible for Explicit Allocation of capacities at bidding zone borders where requested by NRAs. According to the First Come – First Served Principle explicit capacity requests compete with requests for capacities coming from the shared order book which processes local energy bids of connected NEMOs.

Capacity is Explicitly Allocated to the Users for two different purposes:

- 1) Allocation of standard intraday Capacity. The User obtains PTROs for intraday trading purposes.
- 2) Allocation of Capacity corresponding to transactions for RTE's Balancing Mechanism. If RTE activates a Balancing Actor for its Balancing Mechanism, this User must Request the corresponding intraday Capacity on the Capacity Allocation Platform. Depending on the time needed for Balancing Actors' activations, these Requests for RTE's Balancing Mechanism can be processed in parallel with the other Requests addressed to the Capacity Allocation Platform and have no priority. The User obtains PTRO for Balancing Mechanism purposes.

These Rules apply to Users taking part in standard intraday Capacity Explicit Allocation and to Users that participate in RTE's Balancing Mechanism at the French-German interconnection. Where specific provisions only apply to Users taking part in RTE's Balancing Mechanism, it is specified in the present Rules.

All relevant information is made available on the websites of the AOs according to Article 1.07.

#### **0.4. General aspects**

These Rules describe (among other aspects) the requirements that Users must fulfil to participate in Explicit Intraday Allocations, the Intraday Allocation proceedings, the awarding of PTROs as a result of Intraday Allocation, and the utilization of Interconnection Capacity after the PTRO Allocation. Article 5.02 contains liability and limitation of liability. As a matter of course this liability limitation is in line with all relevant national and European legislation. These Rules may be amended jointly by the TSOs according to Article 5.07.

#### **0.5. Legal qualification of Interconnection Capacity awarding pursuant to an Intraday Allocation**

The PTRO Allocation concerns only Interconnection Capacity. The Intraday Explicit Allocation and awarding of PTROs do not involve energy transports or any rights, liabilities or financial aspects pertaining to energy transports. PTRO Holders can invoke vis-à-vis the TSOs no other right than that Interconnection Capacity is made available to them subject to the provisions in these Rules. PTROs are not physical goods which can be bought but are contractual rights to be exerted vis-à-vis the TSOs to make Interconnection Capacity for electric energy transfer available on the interconnection. These Rules constitute the terms and conditions of the aforementioned contract. At the same time the Rules set forth the terms and conditions on which the TSOs are willing to allow Users to make Requests for these contracts and the terms and conditions on which the TSOs are willing to consider these Requests. It is noted in this respect that contracts concerning Interconnection Capacity for German Exports are governed exclusively by German law and contracts concerning Interconnection Capacity for French Exports are governed exclusively by French law (see Article 5.05).

# Section I. General

## Article 1.01 Definitions

In these Rules (including any Annexes, Appendices, Attachments and Forms) the terms beginning with a capital letter and defined below (where appropriate in plural) shall, for all purposes of these Rules have the meanings specified in this Article 1.01 (unless the context requires otherwise).

**Allocation:** the process by which PTRs are attributed to Users or NEMOs in response to a Request sent by a User or entities acting via the NEMOs. There are several Allocations for different timeframes.

**Article:** an article of the present Rules.

**Allocation Operator (AO):** both RTE and Amprion are referred to as Allocation Operators (AOs). RTE and Amprion operate the Intraday Allocation, respectively for the direction France to Germany and Germany to France.

**Amprion** (Amprion GmbH): Amprion with registered office at Rheinlanddamm 24, 44139 Dortmund, Germany – a German TSO and AO according to these Rules.

**Balancing Actor:** participant who conforms to the provisions of Chapter D of the Rules relative to Programming, Balancing Mechanism and Balance Responsible Entity System, by signing a Participation Agreement.

**Balancing Entity:** elementary balancing unit able to meet a request from RTE to inject or extract a given quantity of electricity into the system, for a given period, as defined in the Rules relative to Programming, Balancing Mechanism and Balance Responsible Entity System. When Requesting Capacity, Balancing Entities have to select a Balancing Entity code.

**Balancing Mechanism:** designs RTE's Balancing Mechanism which is a mechanism established by RTE in application of Law n° 2000-108, aimed at carrying out the following two functions:

- Maintaining the real time production=consumption balance;
- Resolving congestion on the public transport system

The rules governing the mechanism are defined in the Rules relative to Programming, Balancing Mechanism and Balance Responsible Entity System (section 1, chapter D).

**Bilanzkreisvertrag:** the agreement between a market party on the one hand and Amprion or TNG on the other hand, containing, inter alia, a mechanism for settling imbalance between energy injection into and energy extraction out of the German electricity grid.

**CACM or CACM Regulation:** as the meaning set forth in Article 0.2 "General context".

**Capacity Allocation Platform:** means an internet based platform to perform the Explicit Intraday Allocation functionally operated by the AOs, and which can be accessed on the following website: [www.intraday-capacity.com](http://www.intraday-capacity.com) or a special API. Handbooks containing technical details on the functioning of the Capacity Allocation Platform are available on AOs websites. The Capacity Allocation Platform is the capacity management module that is a part of the XBID-System.

**Countertrading:** cross zonal exchange initiated by TSOs between two Bidding Zones to relieve physical congestion.

**Day of Execution:** the day on which electricity transports using the PTR obtained in an Allocation take place.

**Emergency Situation:** As referred to in article 16(2) of Regulation n° 714/2009, situation where TSOs must act in an expeditious manner and Redispatching or Countertrading is not possible

**Explicit Allocation or Allocate Explicitly:** refers to the Allocation process to allocate Capacity only, without the energy transfer.

**First Come – First Served Principle:** Allocation method whereby the Requests of Users, in the limit of available Capacity, are served exclusively according to the time of their reception and without applying any other criteria. Requests for capacities coming from the Capacity Allocation Platform and from the Shared Order Book are executed non-discriminatory.

**First Half-Hour of Delivery (or First Half-Hour):** the first 30 (thirty) minutes period of one Hour of Delivery (from hh:00 to hh:30 for a given Hour of Delivery hh). One First Half-Hour corresponds only to one Hour.

**Force Majeure:** means any event or situation i) not reasonably foreseeable, ii) beyond the reasonable control of the Parties, iii) not due to a default of the affected Party, iv) which cannot be reasonably avoided or overcome, and v) which makes it impossible for such Party to fulfil temporarily or permanently, its obligations hereunder in accordance with the terms of the Rules. Force Majeure shall include (but shall not be limited to) the following events, except if these events could have reasonably been overcome:

- An enemy act or an act of terrorism, declared or undeclared war, threat of war, blockade, revolution, riot, insurrection, civil commotion, demonstration or public disorder;
- Sabotage or act of vandalism;
- Natural disaster or phenomenon;
- Fire, explosions, radioactive, chemical or other hazardous contamination;
- A general or industry-wide strike; or
- Faults or malfunctions of telecommunication lines (e.g. telephone lines) and Internet accesses, to the extent such faults or malfunctions are not attributable to a misconduct of the Party invoking Force Majeure and provided that such fault or malfunctions could not be avoided by such Party by taking the agreed upon fall back measures or in absence of such agreed upon measures, by taking the fall back measures that may be reasonably expected from a normal reasonable and diligent person engaged in the same line of business under the same circumstances and conditions.

**French Import/Export Rules (Contrat de Participation aux Règles d'Accès au RPT pour des Importations et des Exportations):** the rules that define the conditions to access the RTE transmission system for exports and imports, and which any participant who has signed a participation agreement has to comply with. These Rules are published on the RTE website:

([http://clients.rte-france.com/lang/an/clients\\_traders\\_fournisseurs/services\\_clients/inter\\_contrats.jsp](http://clients.rte-france.com/lang/an/clients_traders_fournisseurs/services_clients/inter_contrats.jsp)).

**French Export:** the export direction from France to Germany for electricity transfers and underlying PTRs.

**German Export:** the export direction from Germany to France for electricity transfers and underlying PTRs.

**German TSOs:** under the present Rules, German TSOs refers to Amprion and TNG.

**Half-Hour(s) of delivery (or Half-Hour(s)):** the half-hours on which scheduled electricity transports using the interconnection capacity obtained in an allocation take place. One half-hour corresponds only to one hour. One half-hour can either be a first half-hour or a second half-hour.

**Hour(s) of Delivery (or Hour(s)):** the hour(s) on which scheduled electricity transports using the Interconnection Capacity obtained in an Allocation take place. One Hour of Delivery is composed of two Half-Hours of Delivery (one First Half-Hour of Delivery and one Second Half-Hour of Delivery).

**Implicit Allocation or Allocate Implicitly:** refers to the Allocation process to Allocate Capacity and energy simultaneously which is done via the Shared Order Book (that is a part of the XBID-System) which is not part of these Rules.

**Interconnection Capacity or Capacity:** cross-border electric energy transfer capacity on the interconnections between France and Germany.

**Intraday Allocation:** the process by which Interconnection Capacity is attributed on an intraday basis regardless of whether it is an Explicit Allocation or an Implicit Allocation.

**Intraday Explicit Allocation:** the process by which PTROs on the French-German interconnection are attributed to Users in response to a Request sent by a User on an intraday basis. The Allocation is based on the First Come - First Served Principle.

- 1) Allocation for standard intraday transactions terminates:
  - a. one hour before the Hour of Delivery
  - b. one hour before the first half-hour of deliver
  - c. one hour and thirty minutes before the Second half-hour of Delivery

This Neutralization Lead-Time corresponds to the time necessary for TSOs to process intraday commercial Allocations, and take appropriate actions if needed.

- 2) Allocation for transactions on RTE's Balancing Mechanism terminates:
  - a. thirty minutes before the Hour of Delivery,
  - b. thirty minutes before the first half-hour of delivery
  - c. one hour before the second half-hour of delivery

This enables RTE to activate Balancing offers, when necessary and in accordance with the system requirements, close to real time.

**NEMO(s):** nominated electricity market operators designated as such by the competent authority, pursuant to article 4 of the CACM Regulation, to perform tasks related to single day-ahead or single intraday coupling including the service of matching buy and sell orders via a price coupling algorithm or a continuous trade matching algorithm.

**Neutralization Lead-Time:** the period between the end of the Allocation and the Hour of Delivery.

- 1) The Neutralization Lead-Time for standard Intraday Allocation transactions is:
  - a. one hour for a given hour of delivery
  - b. one hour for a given first half-hour of delivery
  - c. one hour and thirty minutes for a given second half-hour of delivery
- 2) The Neutralization Lead-Time for Allocations concerning transactions on RTE's Balancing Mechanism is:

- a. thirty minutes for a given hour of delivery
- b. thirty minutes for a given first half-hour of delivery
- c. one hour and thirty minutes for a given second half-hour of delivery

**Netting:** if a certain amount of Capacity has been Allocated in one direction, the same amount of Capacity is added to the overall Capacity to be Allocated in the other direction except for Balancing Mechanism exchanges. In critical situations of the transmission system, netting might be switched off by the AOs.

**Nomination:** the notification to the TSOs by a User of his Programmes relating to the power expressed in MW which he will use within the capacity limit defined by the PTRs awarded to him. In the case of PTROs, the Nomination shall be equal to the PTROs awarded to him.

**Party:** designates TSO, AO or User.

**Physical Transmission Right (PTR):** PTRs are of two kinds.

- Standard PTRs are the right to use Interconnection Capacity Allocated to a User for electricity transfers expressed in MW.
- **PTR Obligations (PTROs)** refer to the obligation to use Interconnection Capacity Allocated to a User, in its full amount, for electricity transfers expressed in MW. Intraday Interconnection Capacity is only Allocated in the form of PTROs.

**Programmes (or Exchange Programmes):** sum of PTRs Allocated to Users.

**PTR Holder or PTRO Holder:** the legal entity (User), which has obtained a PTR or a PTRO in the Allocation.

**Redispatching:** measure activated by one or several system operators by altering the generation and/or load pattern in order to change physical flows in the transmission system and relieve a physical congestion.

**Request (or Capacity Request):** the request sent by a User to acquire PTROs in Intraday Explicit Allocation.

**Rollback:** means the situation where the NEMOs and TSOs decide to stop operations of the Single Intraday Coupling. A Rollback decision can only be triggered within 2 months after the XBID Go-Live-Date.

**RTE ("RTE Réseau de transport d'électricité")** with registered office at Tour Initiale 1, terrasse Bellini, TSA 41 000, 92919 La Défense Cedex, – the French TSO and AO according to these Rules.

**Rules:** these intraday Capacity Explicit Allocation Rules.

**Rules relative to Programming, the Balancing Mechanism and the Balance Responsible Entity System:** the rules that define the conditions for programming, Balancing Mechanism and balance responsible entity system, and which any participant who has signed a participation agreement has to comply with. These Rules are published on the RTE website:

([http://clients.rte-france.com/lang/an/clients\\_traders\\_fournisseurs/services\\_clients/dispositif\\_re.jsp](http://clients.rte-france.com/lang/an/clients_traders_fournisseurs/services_clients/dispositif_re.jsp)).

**Second Half-Hour of Delivery (or Second Half-Hour):** the second 30 (thirty) minutes period of one Hour of Delivery (from hh:30 to hh+1:00 for a given Hour of Delivery hh).



One Second Half-Hour corresponds only to one Hour.

**Service Provider:** the service provider that has supplied the XBID-System and provides maintenance and hosting services for it. At the date of this version of the Rules, Deutsche Börse AG, an Aktiengesellschaft (AG) organised and existing under the laws of Germany, having its registered office at Mergenthalerallee 61, 65760 Eschborn, Germany, and registered in the Commercial Register Handelsregister HRB under Nr. 32232 and VAT DE 114151950.

**Single Intraday Coupling:** Pursuant to article 2, 27° of CACM Regulation, the continuous process where collected orders are matched and cross-zonal capacity is Allocated simultaneously for different bidding zones in the intraday market.

**Statement of acceptance:** Appendix 1 of the Rules. Once signed by the User, statement by which the User accepts to be bound by these Rules and the previous one in case of Roll-back.

**TNG:** TransnetBW GmbH, with registered office at Pariser Platz, Osloer Str. 15 – 17, 70173 Stuttgart, Germany – a German TSO

**Transmission System Operators (TSOs):** the Transmission System Operators who offer PTROs for Intraday Explicit Allocation under these Rules: Amprion (Germany), RTE (France), TNG (Germany). In the context of the XBID-System the term TSOs encases all participating European TSOs.

**User:** a legal person, which participates, intends to participate or has participated in the Intraday Explicit Allocation by submitting one or more Requests and which has been registered for that purpose in accordance with the procedures and requirements set forth in Article 2.01 of these Rules. For the avoidance of doubt, the term User includes Balancing Actors.

**XBID-System:** The software and ICT applications (including hardware if any), as well as all the relevant documentation pertaining thereto, developed by the Service Provider based on the requirement provided by certain NEMOs and TSOs, which is to be used for the performance of the Single Intraday Coupling to interact with amongst others NEMOs' local trading systems and TSOs' systems It consists of the two main modules, amongst others:

- A shared order book that collects and matches energy orders of the connected NEMOs depending on the availability of intraday capacity.
- A capacity management module that processes available capacities given by TSOs, doing the allocation (implicit and explicit), updating of available capacity and publishing these, informing PTRO holders about their positions, sending these information to affected TSOs.

The Capacity Allocation Platform is the capacity management module. A connection to this module enables to operate the Explicit Intraday Allocation which is only offered at borders where requested by national regulatory authorities.

**XBID Go-Live Date:** start of operations of the XBID-System on France-German border, as published on the websites of the AOs.

## **Article 1.02 Intraday Allocations**

Intraday Allocations are implemented for both directions of the French-German Interconnection, in accordance with Section III.

### **Article 1.03 Initial quantities available for Intraday Allocation**

PTRs offered in Daily Auctions which are not Nominated are made available to Users in Intraday Allocations, if this is consistent with a safe operation of the power system.

Interconnection Capacities made available in Intraday Allocation take into account the netted value of the Nominated yearly, monthly and daily PTRs.

The conditions under which the available intraday Capacity is updated and published during the Intraday Allocation are further detailed in Article 3.01.

### **Article 1.04 Valuation of Allocated Capacities on an Intraday basis**

The price of the Allocated Capacity on an Intraday basis is set at zero (0) Euro under the present Rules.

### **Article 1.05 Basis on which Interconnection Capacity is offered**

- (1) PTROs are offered in units of 0.01 MW with a minimum of 1 unit.
- (2) Intraday PTROs are offered on an hour-by-hour and half-hour by half hour basis.
- (3) PTROs Holders are obliged to use the PTROs obtained in their totality as further described under 0.

### **Article 1.06 Firmness of PTROs**

Intraday PTROs are firm as soon as they are Allocated by the TSOs, and Nominated and accepted by the German TSOs, as defined in Sections III and IV.

In the event of Force Majeure or an Emergency Situation, each TSO has the right to curtail PTROs or Intraday Exchange Programmes.

In such case, User's reimbursement or compensation is driven by the following principles, pursuant to article 72 of CACM Regulation:

- In the event of Force Majeure, the User shall be entitled to reimbursement of the price paid for the PTROs during the allocation process, defined according to Article 1.04 of these Rules;
- In an Emergency Situation, the User shall be entitled to market spread compensation between France and Germany in the intraday time-frame or, if the price is not calculated in, at least, France or Germany in the intraday time-frame, entitled to reimbursement of the price paid for PTROs during the allocation process, defined according to Article 1.04 of these Rules.

The market spread compensation between France and Germany is equal to the sum, by hourly period, of the products of:

- a - the average price difference between the German and French intraday markets for the corresponding hourly period (which might be zero and which is zero if there was no trade during that corresponding hour at the respective power exchange done), as far as this price difference is positive (else the price taken into account for the compensation will be equal to zero (0) EUR / MWh); and

b - the energy in MWh corresponding to the difference between the Nominated Exchange Programme and the reduced Exchange Programme, for the considered hourly or half-hourly period.

### **Article 1.07 Transparency**

The AOs each maintain a website where the following publications regarding the Intraday Allocations are made:

- a. these Rules, and any alterations thereof;
- b. announcements pursuant to these Rules;
- c. information on the Intraday Allocation proceedings;
- d. names, fax and telephone number(s) e-mail address(es) of contact persons of the AOs;
- e. PTROs available for Intraday Allocation;
- f. other relevant information.

The Capacity Allocation Platform publishes on its website:

General information:

- The initial available intraday Capacity;
- The remaining intraday Capacity updated in real time.

Confidential information necessitating a log-in:

- Users' net positions on the border (including every Allocation from long term to intraday) updated in real time;
- Users' non-netted positions in intraday for both directions updated in real time.

## **Section II. Participation requirements**

### **Article 2.01 General registration requirements**

(1) Prior to participating in Intraday Explicit Allocations, the User must register with one of the AOs submitting a completed Statement of acceptance form given in Appendix 1 and published on the AOs websites. This Statement of acceptance is specific to these Rules. In no way shall the signature of the Statement of acceptance allow the User to participate in any other Allocations than the Intraday Explicit Allocations.

(2) The Statement of acceptance form mentioned in paragraph (1) is valid for an indefinite number of Intraday Explicit Allocations, notwithstanding the obligation for the User to inform the AOs forthwith of any changes that could impact the proper execution of the present Rules and notwithstanding the right of the AOs to request a renewal of the registration and/or the documents to be submitted.

### **Article 2.02 Additional requirements to Request Capacity for RTE's Balancing Mechanism**

Users intending to Request Capacity for the Balancing Mechanism on the Capacity Allocation Platform shall, in addition to the requirements described in Article 2.01, fulfil the requirements described in the Rules relative to Programming, the Balancing Mechanism and the Balance Responsible Entity System, in order to be allowed to participate in RTE's Balancing Mechanism, and hence have signed a participation agreement to these rules as a Balancing Actor.

### **Article 2.03 Provision of bank guarantees**

Intraday PTRO Allocation does not require the provision of a bank guarantee.

### **Article 2.04 Requirements in respect of grid access**

In order to participate in the Intraday Explicit Allocation a User:

- a. must have entered into a balancing agreement (Bilanzkreisvertrag) in Germany with at least one involved German TSOs (Amprion and/or TNG);
- b. must have signed a participation agreement by which he commits to comply with the Import/Export Rules and satisfy all clauses specific to the French-German interconnection. The User must acquire, in the sense of the French Import/Export Rules, the necessary intraday activated transactions.

In case of discrepancy, the present Rules shall prevail over the French Import/Export Rules.

### **Article 2.05 Requirements in respect of access and use of the Capacity Allocation Platform**

Since the Capacity Allocation Platform can be accessed by the Internet, it is of fundamental importance that the User complies with the following security principles:

The User shall comply with any specific requirements imposed by the Service Provider as specified in the handbooks containing technical details on the functioning of the Capacity Allocation Platform which is available on AOs websites, and communicated to the User upon signature of Statement of acceptance (e.g. requirements regarding use, data transmission or security).

The User shall ensure, by using state of the art virus protection software, that its IT system or software that connects to the Capacity Allocation Platform does not contain any malicious code or any program parts that could damage such environments of the Service Provider or of the NEMOs.

In the event of unauthorized access to the Capacity Allocation Platform or if the User has reason to believe, that a password or credential has been compromised, it should inform the AOs immediately by E-Mail or Fax of any errors, malfunctions or damages to the Capacity Allocation Platform as well as of any unauthorized access to the system or compromised password or other credentials it has knowledge of.

## **Article 2.06 Suspension, withdrawal and termination of User's participation by the TSOs**

(1) At all times, Users must refrain from any action or behaviour which adversely affects or threatens to adversely affect competition in the Request proceedings or which aims at gaming or which in any other way disrupts or threatens to disrupt the Intraday Allocation proceedings, or the transparency, cost-effectiveness or fairness thereof.

This includes every type of behaviour that leads to a systematic blocking of Capacity for other Users or third-parties acting via the NEMOs. Blocking can mean, for example, the repeated occurrence by the same User of a Request of Capacity in one direction followed by the corresponding Allocation of Capacity but without effectively using the Allocated capacity, and instead performing a request of capacity followed by the corresponding Allocation for the same delivery time in the other direction.

This includes also action or behaviour which hampers the Intraday Capacity Allocation by using the Capacity Allocation Platform in a way that causes damage to the environments of the Service Provider or of the NEMOs.

(2) Users who act or behave or have acted or behaved (or on which behalf it is acted or behaved or it has been acted or behaved) in violation of the first paragraph or with any other provision of these Rules may be suspended in the conditions in the following paragraphs.

(3) Should the User in any manner, not fulfil any material obligations of the Rules, then each of the TSOs individually may suspend the User's participation in the Intraday Allocation, as long as the User does not prove that he complies with the Rules.

To this end, the TSO(s) should first notify the violation to the User and give him a reasonable time to remedy this violation. If after this time for remedy the User still does not comply with the Rules, then the TSO(s) is (are) entitled to suspend the participation of the User.

The TSO(s) shall then notify in writing to the User the suspension of its participation.

This notification of suspension indicates:

- the reasons for the suspension of the User's participation; and
- the date and time of the suspension of the User's participation after which the User is not entitled to request Intraday Capacity anymore.

The TSO(s) shall notify to the User the end of the suspension and the date of the Intraday Allocation he will be allowed to participate to.

The TSO(s) shall also notify the competent regulatory authority(ies) the reason and the date and time of the suspension as well as the date of the Intraday Allocation the User will be allowed to participate to.

(4) As mentioned in Article 3.02, a User's participation will be suspended for thirty (30) calendar days in case the User has Requested Capacity for the Balancing Mechanism, without having been activated on the Balancing Mechanism by RTE, for more than three times. It is understood that RTE will notify to the User each time such misconduct is observed. In that case, the fourth time that the misconduct is observed, RTE is entitled to immediately suspend the participation of the User without any additional formalities. For the avoidance of doubt, the suspension in that case will only refer to Intraday Allocation of Capacity for RTE's Balancing Mechanism.

(5) Users' participation may be definitively withdrawn by any TSO in case:

- the User (a) declares bankruptcy or (b) is declared bankrupt by a court ruling,
- reception by the TSOs of a decision by a competition or regulatory authority stating that the User has committed a misusing or fraudulent act with regard to the Allocation of Capacities and request its withdrawal.

Consequently, the Statement of acceptance is no longer valid.

(6) The Statement of acceptance of the User is automatically no longer valid in case of:

- a. The Import/Export Rules contract with RTE is terminated;
- b. The balancing agreement (Bilanzkreisvertrag) in with Amprion/TNG is terminated and there is no further one with Amprion/TNG.

(7) The User might be suspended immediately for a limited period of time if a malfunction or disturbance of the Intraday Allocation system is caused the User or its IT applications. The AO will notify this User about the suspension and the reason for this as soon as possible. If the violation is remedied the suspension will be removed.

### **Article 2.07 Suspension, withdrawal and termination of User's participation by the User**

A User may ask to suspend, withdraw or terminate its participation to these Rules by sending to the AOs a request by registered mail. This does not exonerate the TSOs, the AOs and the User from their respective financial and other obligations in application of these Rules.

## **Section III. Intraday Allocations process**

The available intraday Capacity which is offered to Intraday Allocation is jointly determined by the AOs according to this Section.

### **Article 3.01 Capacity calculation**

The available intraday Capacity in each direction for each Half-Hour of Delivery for the relevant Day of Execution is computed on the preceding day according to the methodology described in Article 1.03 and published on the Capacity Allocation Platform no later than 10:00 pm on that preceding day. The available intraday Capacity is also published on the public part of the Capacity Allocation Platform and on the AOs website.

The available intraday Capacity for a certain Half-Hour of Delivery is adjusted by the Capacity Allocation Platform, following each Intraday Allocation for that Half-Hour or the corresponding Hour. Netting is applied subject to technical feasibility. The publication of the available intraday Capacity on the Capacity Allocation Platform is updated on a constant basis.

The AOs may reassess the available intraday Capacity for each Half-Hour for the Day of Execution, based on changes in the power system relevant to power system safety. AOs are entitled to modify the available intraday Capacity within the day on the Capacity Allocation Platform if necessary.

### **Article 3.02 Intraday Capacity Request and intraday Capacity Allocation**

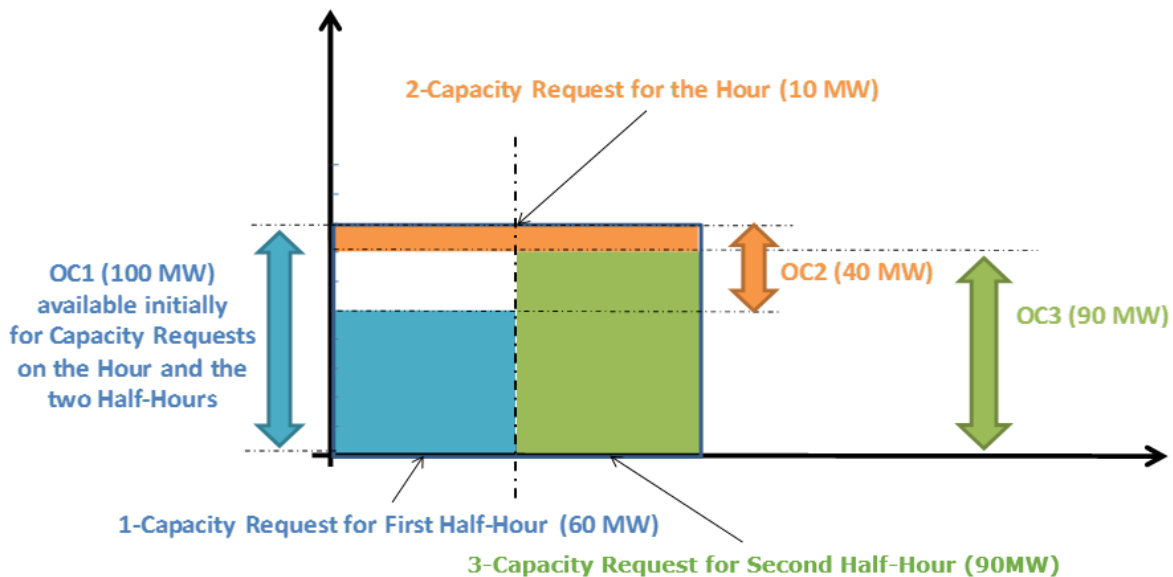
Capacity is Allocated through the Capacity Allocation Platform for both directions of the interconnection by requests of the Explicit Intraday Allocation including for Users participating in RTE's Balancing Mechanism or by third-parties via the Shared Order Book for Implicit Allocation. Explicit Capacity Requests must be formatted accordingly.

Requested intraday Capacity is Allocated to the maximum of the available intraday Capacity to Users in accordance with an automatic First Come - First Served Principle. This means that available intraday Capacity is exclusively Allocated according to the reception time of Requests:

- Each Capacity Request receives a timestamp upon receipt by the application server. No two requests can receive identical timestamps.
- There is no Intraday Allocation based on offered prices.

The Capacity Allocation Platform returns to Users the results of the Capacity Allocation for a given Half-Hour or Hour of Delivery directly after Intraday Allocation.

The management of simultaneous allocation of Capacity Requests for Half-Hours and Hours on a same Hour is explained in the example hereafter:



The first capacity published for allocation for the Hour and the two Half-Hours is OC1 (100 MW). Given the amount shown in the above figure, the following applies:

- Once the Capacity Request for the First Half-Hour (60 MW) has been Allocated:
  - capacity available for allocating the Capacity Request for the Hour corresponds to OC2 (40 MW)
  - capacity available for allocating the Capacity Request for the Second Half-Hour corresponds to OC1 (100 MW)
  - capacity available for allocating another Capacity Request for the First Half-Hour corresponds to OC2 (40 MW)
- Then, once the Capacity Request for the Hour (10 MW) has been Allocated:
  - capacity available for allocating a Capacity Request for the Second Half-Hour corresponds to OC3 (90 MW)
  - capacity available for allocating another Capacity Request for the Hour is 30 MW
  - capacity available for allocating another Capacity Request for the First Half-Hour is 30 MW
- Then, once the Capacity Request for the Second Half-Hour (90 MW) has been Allocated:
  - capacity available for allocating another Capacity Request for the First Half-Hour is 30MW
  - there is no capacity left for allocating another Capacity Request for the Second Half-Hour or the Hour

Capacity Requests can be sent to the Capacity Allocation Platform for one or more Hours of delivery and/or one or more Half-Hours of delivery. In the Explicit Allocation process a User can choose whether the Capacity is Allocated according to three types of request:

- Immediate Or Cancel: the Request is checked against the available capacity, and can be partially accepted.
- All Or Nothing: the Request is checked against the available capacity, and cannot be accepted partially.



- All Contracts Equal (for multiple contracts only): the Request is checked against the available capacity. The minimum capacity value available across all the contracts is Allocated to all.

The Capacity Allocation Platform is open to the submission of Capacity Requests from 10:00 pm on the day preceding the Day of Execution. The Capacity Allocation Platform will automatically decline to process capacity Request(s) which is (are) not filed in accordance with these Rules by the User.

The following two processes of Request and Allocation shall be distinguished: one for standard Intraday Allocations and one for Allocations corresponding to transactions for RTE' Balancing Mechanism:

**Case of Explicit Allocations for standard Intraday:**

A Capacity Request in respect of a given Hour of Delivery or a given half-hour of delivery must have been submitted to the Capacity Allocation Platform no later than

- one hour before this Hour of Delivery.
- one hour before that Half-Hour of Delivery (in case it is a First Half-Hour)
- one hour and thirty minutes before that Half-Hour of Delivery (in case it is a second half-hour)

Users must indicate that the Request corresponds to standard Intraday Allocation (in opposition to RTE's Balancing Mechanism).

**Case of Explicit Allocations corresponding to a transaction between RTE and a User for RTE's Balancing Mechanism:**

Only Users that are Balancing Actors and that have signed the present Rules are technically able to Request Capacity for RTE's Balancing Mechanism.

A Capacity Request in respect of a given Hour of Delivery or a given Half-Hour of Delivery must have been submitted no later than:

- thirty minutes before that Hour of Delivery,
- thirty minutes before that Half-Hour of Delivery (in case it is a First Half-Hour),
- one hour before that Half-Hour of Delivery (in case it is a Second Half-Hour).

Users must indicate that the Request corresponds to RTE's Balancing Mechanism (in opposition to standard Intraday Allocation). Users must also indicate the Balancing Entity code corresponding to the offer activated by RTE for its Balancing Mechanism.

Users can Request Capacity for the Balancing Mechanism only if RTE has previously activated an energy offer submitted by this User on the Balancing Mechanism. If a User Requests Capacity for Balancing Mechanism without having been activated on the Balancing Mechanism, RTE will automatically cancel the Allocation and the User might be suspended (cf. Article 2.06). If the cancellation of the Allocation is not possible, the User will have to pay the imbalance fee induced as the case may be.

In the case RTE activates a User on the Balancing Mechanism, should the Capacity Request for the Balancing Mechanism made by this User not correspond exactly to this activation due to an error in the Capacity Request of this user, RTE will have to correct the Programme of this user (the errors can concern: the nature of the Allocation - RTE's Balancing Mechanism or commercial intraday; the Balancing Entity code; the amount of capacity; the hour of delivery).

In all case where RTE has to correct the Programme of his user for any such event, the User has no right to claim compensation of any kind, and a payment of 1 500 euros (excl. VAT) will be paid by each User for each day where at least one modification of its Programme was made by RTE to cover the costs incurred.

In other cases, penalty defined in the "Rules on Programming, the Balancing Mechanism and the Balance Responsible Entity System" shall apply.

RTE ensures before the activation of a German offer on the Balancing Mechanism that there is enough Capacity left on the Capacity Allocation Platform for the transit of the energy. If however, a User who has been activated on RTE's Balancing Mechanism is unable to obtain sufficient capacity on the Capacity Allocation Platform (for instance, this can happen if another User made an important Request meanwhile), RTE will cancel its activation on the Balancing Mechanism. Therefore, The User's Balancing Perimeter will not be imbalanced.

### **Article 3.03 Case of daylight saving time**

The day on which the time changes from winter time to summer time has 23 hours. As a result, clocks advance from 02:00 CET to 03:00 CET. On the Capacity Allocation Platform, this jump is displayed with the hour 01:00-03:00.

The day on which the time changes from summer time to winter time has 25 hours. As a result, the hour 02:00-03:00 takes place twice for that day and is denoted with an "A" for summer time and with a "B" for winter time, e.g. 02:00-03:00A or 02:00-03:00B.

### **Article 3.04 Unavailability / cancellation of Intraday Allocation**

This Article only concerns Capacity that has not already been Allocated.

Without prejudice to Article 1.06 AOs may be forced to cancel or interrupt an Intraday Allocation in the event of any maintenance as described under Article 3.04 (1) and/or technical difficulties as described under Article 3.04 (2) of the Capacity Allocation Platform or of the information systems of the AOs or of the Nomination systems of the AOs, and/or in case of declaration of Rollback as described under Article 3.04 (3).

#### **(1) Programmed unavailability**

Necessary maintenance operations may give rise to temporary unavailability of the information system or of the Nomination systems of the AOs in intraday or of the Capacity Allocation Platform. In such cases of a programmed unavailability, the AOs may be forced to cancel the Intraday Allocation for one or more Hours of Delivery.

#### **(2) Not-programmed unavailability**

In case of not-programmed unavailability or of technical difficulties in the functioning of the information system of the AOs or of the Nomination systems of the AOs or of the Capacity Allocation Platform, the AOs may be forced to cancel the Intraday Allocation for one or more Hours of Delivery.

#### **(3) Unavailability in case of Rollback**

The decision to Rollback implies that the XBID-System will no longer be in operations for an undefined period of time and that Explicit Allocation will no longer be done using the Capacity Allocation Platform. In such case, the Explicit Allocation will be performed using the previous software for capacity allocation on the French-German border and, thus, governed by the previous rules of allocation on the French-German border.

The User hereby agrees, by submitting a signed Statement of acceptance (Appendix 1) to an AO, to be also bound by the previous set of rules for capacity allocation on the French-German border (Appendix 3) in case of Rollback for the duration of such Rollback.

#### **(4) Consequences**

In case of an unavailability of Intraday Allocation as mentioned under this Article, the following principles shall apply:

- The AOs use their best effort to minimize the disturbance caused to Users.

- The AOs inform the Users as soon as possible of the reasons which caused a cancellation due to a programmed or not-programmed unavailability.
- If the programmed unavailability involves the cancellation of the Intraday Allocation for one or more hours of delivery, AOs will forewarn Users with a reasonable period of notice as soon as the AOs have received knowledge of such a programmed unavailability.

In any such event mentioned under Article 3.04 (1), (2) and (3), the User has no right to claim compensation for any kind of damage arising out of the aforementioned unavailability or arising out due to a failure to reach the Users through the means of communication.

## **Section IV. Capacity Usage Rules**

### **Article 4.01 Usage of intraday PTROs**

PTROs must be used entirely.

Following Intraday Allocations, Users must send their Nomination to the German TSOs in accordance with the Nomination processes of the German TSOs: the intraday nomination instructions of the German TSOs can be found in the document "IntraDay Änderungen nach StromNZV - Konzept zum Datenaustausch" - published on [www.bdew.de](http://www.bdew.de). These Nominations must be strictly equal to PTROs Allocated to Users. Such Nominations shall consist of netted exchange schedules indicating the net transfers across the interconnection. If such Nominations received by German TSOs are not compliant with the Allocation results indicated by the Capacity Allocation Platform, German TSOs are entitled to consider only the results indicated by the Capacity Allocation Platform.

There is no Nomination step from Users on RTE side: since PTROs are obligations, RTE does not require PTROs holders to Nominate. RTE receives the Programmes from the Capacity Allocation Platform which are binding. Based on these Programmes, RTE performs the necessary actions to integrate the corresponding figures.

The difference of process existing between mandatory Nominations to German TSOs and no nomination to the French TSO is due to the necessity for German TSOs to receive Nominations in their process.

### **Article 4.02 Matching of Exchange Programmes**

TSOs ensure that for every following Half-Hours of Delivery, Programmes and Nominations are coherent. In any case, once matched by the AOs, the values of the Capacity Allocated by the Capacity Allocation Platform and submitted to the AOs by the Capacity Allocation Platform are binding.

## **Section V. Miscellaneous**

### **Article 5.01 Information / notices**

Any notice given under these Rules is to be in writing and must be addressed to all TSOs at the address mentioned in Appendix 2, except where these Rules provide otherwise.

Any notice addressed by any TSO to any User must be addressed at the User address mentioned in Appendix 1.

### **Article 5.02 Liability and limitation of liability**

(0) This Article applies to damages resulting from a breach of any provision of the present Rules. This Article does not apply to the cancellation or reduction of Exchange Programmes in the event of Force Majeure or for reasons linked to the safety of the power system in accordance to Article 1.06 for which the compensation mechanism of Article 1.06 applies. The application of this latter compensation mechanism is strictly limited to the cases described in said Article and does not extend to any breach of any provision of the present Rules.

(1) In the event of a failure to make Interconnection Capacity available to the extent of PTROs offered firm, the TSOs shall not be liable to a PTRO holder for any incidental, indirect or consequential damages caused by such failure.

(2) RTE, Amprion and TNG, either jointly or severally, do not assume responsibility for the arrival of intraday PTRO Request in time nor do they warrant – although they will try to prevent to the best of their abilities – that the information contained therein, despite being treated as confidential, will not come to the knowledge of third parties. The TSOs shall not be liable in case they decline intraday PTRO Request Notifications that are not compliant with the Rules.

(3) Liability between RTE and the User

In case of breach of the present Rules by a either RTE or the User (the “Defaulting Party”), the affected Party shall be entitled to claim compensation from the Defaulting Party, as the case may be, for any and all losses, damage, charges, fees or expenses, expected and unexpected, which can be considered as directly arising out of or directly resulting from a breach only and under the terms and conditions explicitly provided below.

Except in case of fraud or gross negligence, the indemnification obligations of RTE or the User shall at all times, irrespective of the number of breaches, be limited to an amount of two-hundred thousand (200.000) euros per calendar year.

(4) Limitation of liability between Amprion, TNG and the Users:

(a) The Parties are only liable for direct damages suffered by the other Party. The liability of the parties shall be limited to cases of wilful misconduct or gross negligence and to the direct damages typical and foreseeable.

(b) Amprion, TNG’s liability for the Intraday Allocation process:

As the intraday PTROs Allocated under the framework of these Rules are free of charge (gratuitous service) and do not constitute any right towards TSOs (e.g. that Programmes amounting to the intraday PTRO volume are accepted), Amprion and

TNG cannot be held liable for any loss or damage in particular occurring before Nomination from the non-availability of intraday PTROs Allocated, except in case of gross negligence and wilful misconduct. For the rest, the liability provisions of these Rules remain unaffected.

(5) Liability related to third party claims regarding a breach of Article 2.05

The present Article applies for third party claim related to a breach by the User of Article 2.05.

In case a TSO receives a claim for damage suffered by a third party and resulting directly from the breach by a User of the provisions of Article 2.05 of these Rules, the User shall fully cooperate with the TSO in such response and defence as reasonably required in order to minimize or settle the said claim. The User shall hold harmless the TSO against and indemnify it for the third party claim brought against it, irrespective of whether or not the claim was based on contractual or extra-contractual liability.

No cap shall be applicable to the indemnification obligation of the User for third party claims set forth in this Article.

### **Article 5.03 Confidentiality**

(1) The TSOs shall treat all information disclosed to each other pursuant to these Rules as confidential and they will refrain from disclosing such information to any third party without the prior consent of the User concerned.

Paragraph (1) shall not apply to:

- enquiries of regulators, governments and/or other administrative authorities,
- enquiries of courts of law and arbitrators for technical or security reasons,
- TSOs and/or AOs and the provider of the Capacity Allocation Platform,
- NEMOs connected to the XBID-System, in case of disturbances of the system in connection with the suspicion that a User breaches Article 2.05 or Article 2.06.
- circulation to consultants to the ones assigned by TSOs, AO or one of the above institution who are subject to confidentiality undertakings or professional confidentiality obligations.

(2) Notification pursuant to § 33 Abs. 1 of the German Data Protection Act (Bundesdatenschutzgesetz): the data required to conduct the Intraday Allocation will be stored by the AOs.

### **Article 5.04 Severability**

If any part of these Rules is by a public authority or court found to be invalid, illegal or unenforceable, the remaining part shall continue to be valid and enforceable to the extent permitted by law.

### **Article 5.05 Applicable law, disputes and language**

(1) Disputes concerning the rights and duties arising for the AOs and the Users under these Rules shall be settled by an ordinary court.

(2) Any disputes with regard to Interconnection Capacity for German Exports are governed exclusively by German law and will be brought before the competent courts in Dortmund

(Germany) and any disputes concerning Interconnection Capacity for French Exports are exclusively governed by French law and will be brought before the competent courts in Paris (France).

(3) The application of the UN Convention on Contracts for the International Sale of Goods (CISG) shall be excluded.

(4) Notwithstanding any translations that may be made, whether signed or not, the only legal binding version is this English language version.

## **Article 5.06 Force Majeure**

The Party which invokes Force Majeure, shall send the other Party notice describing the nature of the Force Majeure and its probable duration.

The obligations of a Party subject to Force Majeure, with the exception of confidentiality obligations defined in Article 5.03, shall be suspended from the date of beginning of Force Majeure.

The Party can in no circumstances be held responsible or held liable to pay any compensation for damage suffered, due to the non-performance or faulty performance of all or part of their obligations, when such non-performance or faulty performance is due to Force Majeure.

The Party, which invokes Force Majeure, shall make every possible effort to limit the consequences and duration of the event.

If Force Majeure lasts for more than thirty (30) days, either Party may suspend or terminate its participation to these Rules by sending a registered mail with acknowledgement of receipt with due explanation, if the event adversely affects the essential obligations of the Parties under the present Rules. The withdrawal or suspension of Statement of acceptance will take effect on the date of receipt of the said notice.

## **Article 5.07 Amendment of Rules**

These Rules are of indefinite duration but may be modified jointly by the TSOs with the aim of clarifying them or supplementing them.

Moreover, these Rules are subject to legal and technical conditions at the time of their creation. In the event of a material change in these conditions, particularly following legal requirements, government action or rules imposed by regulatory authorities, or if improvements are made to the Intraday Allocation process, the Rules will be modified as appropriate.

The modified Rules will take effect at the date mentioned in the modified Rules after advice and/or approval from all the regulatory authorities concerned, BNetzA and CRE, and if required by law, the formal consultation of all interested stakeholders. They will be published on the websites of the TSOs where applicable.

Amendments to the Rules have no impact on the validity of the Statement of acceptance signed by the Participant. This Statement of acceptance continues to be in force and includes acceptance of the modifications made to the Rules, without prejudice to the User's right to request withdrawal of its entitlement in accordance with Article 2.07.

On any event, Users shall be informed in due time before new Rules enter into effect.

# Appendix 1

## Statement of acceptance

User:

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(Name, Position, Address)

EIC -Code-Nr.:

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We hereby declare our intention to participate in the Intraday Explicit Allocation of available Interconnection Capacity for electricity transfers between Germany and France. We fulfil all participation requirements of the French - German Interconnection Intraday Capacity Allocation Rules in the version, which is in force at the time of relevant transactions by us.

We hereby expressly declare that we fulfil the requirements in respect of security as described in Article 2.05 of this Rules and in the handbooks containing technical details on the functioning of the Capacity Allocation Platform provided by the Service Provider.

We acknowledge that our admission to participate in the Intraday Explicit Allocation may be withdrawn in case regulations of the French - German Rules are breached.

We hereby agree to be bound by the previous set of allocation rules on the French-German border in case of Rollback for the duration of such Rollback.

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Date

-----  
Name and Position

---

Signature



## **Appendix 2**

### **Contacts**

#### **Amprion GmbH**

Von-Werth-Straße 274  
50259 Pulheim  
Deutschland

E-Mail: [frontoffice@amprion.net](mailto:frontoffice@amprion.net)

Phone: +49 2234 853301  
Fax: +49 2234 / 853300  
Website: [amprion.net](http://amprion.net)

Amprion is the single point of contact for operational issues.

#### **RTE RTE – CNES**

Service Relations Clientèle  
Bâtiment La Rotonde  
204, boulevard Anatole France  
93206 Saint-Denis Cedex 06  
France

E-Mail: [rte-marketservices@rte-france.com](mailto:rte-marketservices@rte-france.com)  
Fax: + 33 1 41 66 72 65  
Website: [www.rte-france.com](http://www.rte-france.com)

#### **TransnetBW GmbH,**

Pariser Platz  
Osloer Straße 15 - 17  
70173 Stuttgart  
Deutschland

E-Mail: [marktfrontoffice@transnetbw.de](mailto:marktfrontoffice@transnetbw.de)  
Fax: +49 711 21858-4463  
Website: [transnetbw.de](http://transnetbw.de)

# Appendix 3



## FRENCH – GERMAN INTERCONNECTION INTRADAY CAPACITY ALLOCATION RULES

VERSION 2.4

Final Version

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# Section 0 Introduction

## 0.6. Status of this introduction

This introductory Section is an integral and binding part of these Rules.

## 0.7. General context

These Rules contain the terms and conditions for the Allocation of available intraday Interconnection Capacity which is jointly offered in form of Physical Transmission Rights Obligations (PTROs) by the French and German Transmission System Operators (TSOs), TransnetBW GmbH (TNG), RTE Réseau de transport d'électricité (RTE) and Amprion GmbH (Amprion) with regard to the interconnections between France and Germany in both directions.

The Interconnection Capacity Allocation by Intraday Allocations is not a commercially motivated activity but one aimed at providing transparent methods of congestion management. The importance of the interconnections for the liberalization of the EU electricity market requires a strict policy with regard to the collection of payments and default consequences.

The terms and conditions for the Allocation of available Interconnection Capacity by Yearly, Monthly and Daily Auctions and for the PTR transfer and PTR resale are specified in separated Auction Rules.

The present Rules come into force on December, 15<sup>th</sup> 2015 and replace the previous version 2.3.

The Rules version 1.0, 1.1, 1.2, 2.0, 2.1 2.2, 2.3 and will continue to apply only insofar as necessary to settle any dispute pursuant the allocations conducted before December, 15<sup>th</sup> 2015.

## 0.8. Capacity Allocation Procedures

The intraday available Capacity is allocated in the form of PTROs that PTROs Holders are obliged to use in their full amount. The intraday available Capacity is allocated by RTE and Amprion as Allocation Operators (AOs) on a coordinated basis according to the First Come – First Served Principle in accordance with Section III.

The Intraday Allocation is operated by an external Capacity Allocation Platform on behalf of the AOs. Moreover, this Capacity Allocation Platform enables non-discriminatory connection of Trading Platforms and/or Central Counterparties intending to Implicitly Allocate intraday Capacity between France and Germany.

Capacity is Explicitly Allocated on the Capacity Allocation Platform to Users, which are of two sorts:

- **Every User except Trading Platforms and Central Counterparties.** Capacity is Explicitly Allocated to these Users for two different purposes:
  - 2) Allocation of standard intraday Capacity. The User obtains PTROs for intraday trading purposes.
  - 2) Allocation of Capacity corresponding to transactions for RTE's Balancing Mechanism. If RTE activates a Balancing Actor for its Balancing Mechanism, this User must Request the corresponding intraday Capacity on the Capacity Allocation Platform. Depending on the time needed for Balancing Actors' activations, these Requests for RTE's Balancing Mechanism can be processed in parallel with the other Requests addressed to the Capacity Allocation Platform and have no priority. The User obtains PTRO for Balancing Mechanism purposes.
- **Trading Platforms and/or Central Counterparties.** Standard intraday Capacity is Explicitly Allocated to Trading Platforms and/or Central Counterparties in order to Allocate PTROs Implicitly to the Trading Platforms' clients (offering the service of energy delivery coupled with Interconnection Capacity).

These Rules apply to Users taking part in standard intraday Capacity Allocation (including Trading Platforms and Central Counterparties) and to Users that participate in RTE's Balancing Mechanism at the French-German interconnection. Where specific provisions only apply to Users taking part in RTE's Balancing Mechanism, it is specified in the present Rules.

All relevant information is made available on the websites of the AOs according to Article 1.07.

## **0.9. General aspects**

These Rules describe (among other aspects) the requirements that Users must fulfil to participate in Intraday Allocations, the Intraday Allocation proceedings, the awarding of PTROs as a result of Intraday Allocation, and the utilization of Interconnection Capacity after the PTRO Allocation. Article 5.02 contains a limitation of liability. As a matter of course this liability limitation is in line with all relevant national and European legislation. These Rules may be amended jointly by the TSOs according to Article 5.07.

## **0.10. Legal qualification of Interconnection Capacity awarding pursuant to an Intraday Allocation**

The PTRO Allocation concerns only Interconnection Capacity. The Intraday Allocation and awarding of PTROs do not involve energy transports or any rights, liabilities or financial aspects pertaining to energy transports. PTRO Holders can invoke vis-à-vis the TSOs no other right than that Interconnection Capacity is made available to them subject to the provisions in these Rules. In fact, PTROs are not physical goods which can be bought but are contractual rights to be exerted vis-à-vis the TSOs to make Interconnection Capacity for electric energy transfer available on the interconnection. These Rules constitute the terms and conditions of the aforementioned contract. At the same time the Rules set forth the terms and conditions on which the TSOs are willing to allow Users to make Requests for these contracts and the terms and conditions on which the TSOs are willing to consider these Requests. It is noted in this respect that contracts concerning Interconnection Capacity for German Exports are governed exclusively by German law and contracts concerning Interconnection Capacity for French Exports are governed exclusively by French law (see Article 5.05).

## Section I. General

### Article 1.01 Definitions

In these Rules (including any Annexes, Appendices, Attachments and Forms) the terms beginning with a capital letter and defined below (where appropriate in plural) shall, for all purposes of these Rules have the meanings specified in this Article 1.01 (unless the context requires otherwise).

**Allocation:** the process by which PTRs are attributed to Users in response to a Request sent by a User. There are several Allocations for different timeframes.

**Article:** an article of the present Rules.

**Allocation Operator (AO):** both RTE and Amprion are referred to as Allocation Operators (AOs). RTE and Amprion operate the Intraday Allocation, respectively for the direction France to Germany and Germany to France.

**Amprion** (Amprion GmbH): Amprion with registered office at Rheinlanddamm 24, 44139 Dortmund, Germany – a German Transmission System Operator and Allocation Operator according to these Rules.

**Balancing Actor:** participant who conforms to the provisions of Chapter D of the Rules relative to Programming, Balancing Mechanism and Balance Responsible Entity System, by signing a Participation Agreement.

**Balancing Entity:** elementary balancing unit able to meet a request from RTE to inject or extract a given quantity of electricity into the system, for a given period, as defined in the Rules relative to Programming, Balancing Mechanism and Balance Responsible Entity System. When Requesting Capacity, Balancing Entities have to select a Balancing Entity code.

**Balancing Mechanism:** designs RTE's Balancing Mechanism which is a mechanism established by RTE in application of Law n° 2000-108, aimed at carrying out the following two functions:

- Maintaining the real time production=consumption balance;
- Resolving congestion on the public transport system

The rules governing the mechanism are defined in the Rules relative to Programming, Balancing Mechanism and Balance Responsible Entity System (section 1, chapter D).

**Bilanzkreisvertrag:** the agreement between a market party on the one hand and TNG or Amprion on the other hand, containing, inter alia, a mechanism for settling imbalance between energy injection into and energy extraction out of the German electricity grid.

**Capacity Allocation Platform:** means an internet based platform to perform the Intraday Allocation functionally operated by the AOs, and which can be accessed on the following website: [www.intraday-capacity.com](http://www.intraday-capacity.com). A handbook containing technical details on the functioning of the Platform is available on AOs websites.

**Central Counterparty (CCP):** legal entity that facilitates the settlement of transactions on a Trading Platform.

**Countertrading:** cross zonal exchange initiated by System Operators between two Bidding Zones to relieve physical congestion.

**Daily Auction:** the PTR auctioning for each hour of the respective following day.

**Day of Execution:** the day on which electricity transports using the PTR obtained in an Allocation take place.

**Emergency situation:** Situation where transmission System Operator must act in an expeditious manner and Redispatching or Countertrading is not possible.

**Explicit Allocation or Allocate Explicitly:** refers to the Allocation process to allocate Capacity only, without the energy transfer.

**First Come – First Served Principle:** Allocation method whereby the Requests of Users, in the limit of available Capacity, are served exclusively according to the time of their reception and without applying any other criteria.

**First Half-Hour of Delivery (or First Half-Hour):** the first 30 (thirty) minutes period of one Hour of Delivery (from hh:00 to hh:30 for a given Hour of Delivery hh).  
One First Half-Hour corresponds only to one Hour.

**French Import/Export Rules (Contrat de Participation aux Règles d'Accès au RPT pour des Importations et des Exportations):** the rules that define the conditions to access the RTE transmission system for exports and imports, and which any participant who has signed a participation agreement has to comply with. These Rules are published on the RTE website ([http://clients.rte-france.com/lang/an/clients\\_traders\\_fournisseurs/services\\_clients/inter\\_contrats.jsp](http://clients.rte-france.com/lang/an/clients_traders_fournisseurs/services_clients/inter_contrats.jsp)).

**French Export:** the export direction from France to Germany for electricity transfers and underlying PTRs.  
**German Export:** the export direction from Germany to France for electricity transfers and underlying PTRs.

**German TSOs:** under the present Rules, German TSOs refers to Amprion and TNG.

**Half-Hour(s) of delivery (or Half-Hour(s)):** the half-hours on which scheduled electricity transports using the interconnection capacity obtained in an allocation take place.  
One half-hour corresponds only to one hour.  
One half-hour can either be a first half-hour or a second half-hour.

**Hour(s) of Delivery (or Hour(s)):** the hour(s) on which scheduled electricity transports using the Interconnection Capacity obtained in an Allocation take place. One Hour of Delivery is composed of two Half-Hours of Delivery (one First Half-Hour of Delivery and one Second Half-Hour of Delivery).

**Implicit Allocation or Allocate Implicitly:** refers to the Allocation process to Allocate Capacity and energy simultaneously.

**Interconnection Capacity or Capacity:** cross-border electric energy transfer capacity on the interconnections between France and Germany.

**Intraday Allocation:** the process by which PTRs are attributed to Users in response to a Request sent by a User on an intraday basis. The Allocation is based on the First Come - First Served Principle.

- 3) Allocation for standard intraday transactions terminates:
  - a. one hour before the Hour of Delivery
  - b. one hour before the first half-hour of delivery
  - c. one hour and thirty minutes before the Second half-hour of Delivery

This Neutralization Lead-Time corresponds to the time necessary for TSOs to process intraday commercial Allocations, and take appropriate actions if needed.

- 4) Allocation for transactions on RTE's Balancing Mechanism terminates:
  - a. thirty minutes before the Hour of Delivery,
  - b. thirty minutes before the first half-hour of delivery
  - c. one hour before the second half-hour of delivery

This enables RTE to activate Balancing offers, when necessary and in accordance with the system requirements, close to real time.

**Monthly Auction:** the PTR auctioning for each Hour of the respective following month.

**Neutralization Lead-Time:** the period between the end of the Allocation and the Hour of Delivery.

- 3) The Neutralization Lead-Time for standard Intraday Allocation transactions is:
  - a. one hour for a given hour of delivery
  - b. one hour for a given first half-hour of delivery
  - c. one hour and thirty minutes for a given second half-hour of delivery
- 4) The Neutralization Lead-Time for Allocations concerning transactions on RTE's Balancing Mechanism is:
  - a. thirty minutes for a given hour of delivery
  - b. thirty minutes for a given first half-hour of delivery
  - c. one hour and thirty minutes for a given second half-hour of delivery

**Netting:** if a certain amount of Capacity has been Allocated in one direction, the same amount of Capacity is added to the overall Capacity to be Allocated in the other direction except for Balancing Mechanism exchanges.

**Nomination:** the notification to the TSOs by a User of his Programmes relating to the power expressed in MW which he will use within the capacity limit defined by the PTRs awarded to him. In the case of PTROs, the Nomination shall be equal to the PTROs awarded to him.

**Party:** designates TSO, AO or User.

**Physical Transmission Right (PTR):** PTRs are of two kinds.

- Standard PTRs are the right to use Interconnection Capacity Allocated to a User for electricity transfers expressed in MW.
- **PTR Obligations (PTROs)** refer to the obligation to use Interconnection Capacity Allocated to a User, in its full amount, for electricity transfers expressed in MW. Intraday Interconnection Capacity is only Allocated in the form of PTROs.

**Programmes (or Exchange Programmes):** sum of PTRs Allocated to Users.

**PTR Holder or PTRO Holder:** the legal entity (User), which has obtained a PTR or a PTRO in the Allocation.

**Redispatching:** measure activated by one or several system operators by altering the generation and/or load pattern in order to change physical flows in the transmission system and relieve a physical congestion..

**Request (or Capacity Request):** the request sent by a User to acquire PTROs.

**RTE ("RTE Réseau de transport d'électricité")** with registered office at Tour Initiale 1, terrasse Bellini, TSA 41 000, 92919 La Défense Cedex, – the French Transmission System Operator and Auction Operator according to these Rules.

**Rules:** these Intraday Capacity Allocation Rules.

**Rules relative to Programming, the Balancing Mechanism and the Balance Responsible Entity System:** the rules that define the conditions for programming, Balancing Mechanism and balance responsible entity system, and which any participant who has signed a participation agreement has to comply with. These Rules are published on the RTE website ([http://clients.rte-france.com/lang/an/clients\\_traders\\_fournisseurs/services\\_clients/dispositif\\_re.jsp](http://clients.rte-france.com/lang/an/clients_traders_fournisseurs/services_clients/dispositif_re.jsp)).

**Second Half-Hour of Delivery (or Second Half-Hour):** the second 30 (thirty) minutes period of one Hour of Delivery (from hh:30 to hh+1:00 for a given Hour of Delivery hh).  
One Second Half-Hour corresponds only to one Hour

**TNG:** TransnetBW GmbH, with registered office at Pariser Platz, Osloer Str. 15 – 17, 70173 Stuttgart, Germany – a German transmission system operator



**Trading Platform:** means a company which offers the service of matching offers and demands of contracts for delivery of electricity.

**Transmission System Operators (TSOs):** the Transmission System Operators who offer PTROs for Intraday Allocation under these Rules: (Germany) TransnetBW GmbH ("TNG") • (France) RTE Réseau de transport d'électricité ("RTE") • (Germany) Amprion GmbH ("Amprion").

**User:** a legal person, which participates, intends to participate or has participated in a PTRO Allocation by submitting one or more Requests and which has been registered for that purpose in accordance with the procedures and requirements set forth in Article 2.01 of these Rules. For the avoidance of doubt, the term User includes Balancing Actors, Trading Platforms and Central Counterparties.

**Yearly Auction:** the PTR auctioning for each Hour of the respective following year.

## **Article 1.02 Intraday Allocations**

Intraday Allocations are implemented for both directions of the French-German Interconnection, in accordance with Section III.

## **Article 1.03 Initial quantities available for Intraday Allocation**

PTROs offered in Daily Auctions which are not Nominated are made available to Users in Intraday Allocations, if this is consistent with a safe operation of the power system.

Interconnection Capacities made available in Intraday Allocation take into account the netted value of the Nominated yearly, monthly and daily PTROs.

The conditions under which the available intraday Capacity is updated and published during the Intraday Allocation are further detailed in Article 3.01.

## **Article 1.04 Valuation of Allocated Capacities on an Intraday basis**

The price of the Allocated Capacity on an Intraday basis is set at zero (0) Euro under the present Rules.

## **Article 1.05 Basis on which Interconnection Capacity is offered**

- (1) PTROs are offered in units of 0.01 MW with a minimum of 1 unit.
- (2) Intraday PTROs are offered on an hour-by-hour and half-hour by half hour basis.
- (3) PTROs Holders are obliged to use the PTROs obtained in their totality as further described under 0.

## **Article 1.06 Firmness of PTROs**

Intraday PTROs are offered on a firm basis except in case of Emergency Situation or for cases where curtailments are necessary due to circumstances that constitute Force Majeure as defined in Article 5.06 for all TSOs or, pursuant to German Energy Law and for German TSOs only, due to network security reasons and after having employed all other required measures according to relevant national and European legislation (in particular those of § 13 Abs. 2 of the German „Energiewirtschaftsgesetz“).

## **Article 1.07 Guarantee of Programmes**

Once Allocated by the Capacity Allocation Platform, Nominated and accepted by the German TSOs, as defined in Sections III and IV, the Intraday Exchange Programmes become firm except in case of Emergency Situation or for circumstances that constitute Force Majeure as defined under Article 5.06, or pursuant to German Energy Law and, for German TSOs only, due to network security reasons and after having employed all other required measures according to relevant national and European legislation (in particular those of § 13 Abs. 2 of the German „Energiewirtschaftsgesetz “).

The valuation of reductions of Exchange Programmes by German TSOs, whatever the direction, for reasons linked to the safety of the power system is equal to the sum, by hourly period, of the products of:

- a - in case the announcement was made before the Neutralization Lead-Time of the relevant Hour or Half-Hour of Delivery, the average price difference between the German and French intraday markets (average intraday prices fixed by EPEX Spot for France and Germany) for the corresponding hourly period (which might be zero and which is zero if there was no trade during that corresponding hour at the respective power exchange done), as far as this price difference is positive; or  
in case the announcement was made after the Neutralization Lead-Time of the relevant Hour or Half-Hour of Delivery : the price difference between the respective balancing markets, as far as this price difference is positive ; and

- b - the energy in MWh corresponding to the difference between the Nominated Exchange Programme and the reduced Exchange Programme, for the considered hourly or half-hourly period.

For negative price-spreads, the price taken into account for the compensation will be equal to 0 € / MWh.

## **Article 1.08 Transparency**

The AOs each maintain a website where the following publications regarding the Intraday Allocations are made:

- a. these Rules, and any alterations thereof;
- b. announcements pursuant to these Rules;
- c. information on the Intraday Allocation proceedings;
- d. names, fax and telephone number(s) e-mail address(es) of contact persons of the AOs;
- e. PTROs available for Intraday Allocation;
- f. other relevant information.

The Capacity Allocation Platform publishes on its website:

General information:

- The initial available intraday Capacity;
- The remaining intraday Capacity updated in real time.

Confidential information necessitating a log-in:

- Users' net positions on the border (including every Allocation from long term to intraday) updated in real time;
- Users' non-netted positions in intraday for both directions updated in real time.



## **Section II. Participation requirements**

### **Article 2.01 General registration requirements**

(1) Prior to participating in Intraday Allocations, the User must register with one of the AOs submitting a completed Statement of acceptance form given in Appendix 1 and published on the AOs websites. This Statement of acceptance is specific to these Rules. In no way shall the signature of the Statement of acceptance allow the User to participate in any other Allocations than the Intraday Allocations.

(2) The Statement of acceptance form mentioned in paragraph (1) is valid for an indefinite number of Intraday Allocations, notwithstanding the obligation for the User to inform the AOs forthwith of any changes that could impact the proper execution of the present Rules and notwithstanding the right of the AOs to request a renewal of the registration and/or the documents to be submitted.

### **Article 2.02 Additional requirements to Request Capacity for RTE's Balancing Mechanism**

Users intending to Request Capacity for the Balancing Mechanism on the Capacity Allocation Platform shall, in addition to the requirements described in Article 2.01, fulfil the requirements described in the Rules relative to Programming, the Balancing Mechanism and the Balance Responsible Entity System, in order to be allowed to participate in RTE's Balancing Mechanism, and hence have signed a participation agreement to these rules as a Balancing Actor.

### **Article 2.03 Provision of Bank Guarantees**

Intraday PTRO Allocation does not require the provision of a Bank Guarantee.

### **Article 2.04 Requirements in respect of grid access**

In order to participate in the Interconnection Capacity Intraday Allocation a User:

- a. must have entered into a balancing agreement (Bilanzkreisvertrag) in Germany with at least one involved German TSOs (TNG and/or Amprion);
- b. must have signed a participation agreement by which he commits to comply with the Import/Export Rules and satisfy all clauses specific to the French-German interconnection. The User must acquire, in the sense of the French Import/Export Rules, the necessary intraday activated transactions.

In case of discrepancy, the present Rules shall prevail over the French Import/Export Rules.

### **Article 2.05 Suspension, withdrawal and termination of User's participation by the TSOs**

(1) At all times, Users must refrain from any action or behaviour which adversely affects or threatens to adversely affect competition in the Request proceedings or which aims at gaming or which in any other way disrupts or threatens to disrupt the Intraday Allocation proceedings, or the transparency, cost-effectiveness or fairness thereof.

This includes every type of behaviour that leads to a systematic blocking of capacity for other Users. Blocking can mean, for example, the repeated occurrence by the same User of a request of capacity in

one direction followed by the corresponding allocation of capacity but without effectively using the allocated capacity, and instead performing a request of capacity followed by the corresponding allocation for the same delivery time in the other direction.

This includes also action or behaviour which hampers the intraday capacity allocation by using the Internet platform in a way that causes damage to the system.

(2) Users who act or behave or have acted or behaved (or on which behalf it is acted or behaved or it has been acted or behaved) in violation of the first paragraph or with any other provision of these Rules may be suspended in the conditions in the following paragraphs.

(3) Should the User in any manner, not fulfil any material obligations of the Rules, then each of the TSOs individually may suspend the User's participation in the Intraday Allocation, as long as the User does not prove that he complies with the Rules.

To this end, the TSO(s) should first notify the violation to the User and give him a reasonable time to remedy this violation. If after this time for remedy the User still does not comply with the Rules, then the TSO(s) is(are) entitled to suspend the participation of the User.

The TSO(s) shall then notify in writing to the User the suspension of its participation.

This notification of suspension indicates:

- the reasons for the suspension of the User's participation; and
- the date and time of the suspension of the User's participation.

The TSO(s) shall notify to the User the end of the suspension and the date of the Intraday Allocation he will be allowed to participate to.

The TSO(s) shall also notify the competent regulatory authority(ies) the reason and the date and time of the suspension as well as the date of the Intraday Allocation the User will be allowed to participate to.

(4) As mentioned in Article 3.02, a User's participation will be suspended for thirty calendar days in case the User has Requested Capacity for the Balancing Mechanism, without having been activated on the Balancing Mechanism by RTE, for more than three times. It is understood that RTE will notify to the User each time such a misconduct is observed. In that case, the fourth time that the misconduct is observed, RTE is entitled to immediately suspend the participation of the User without any additional formalities. For the avoidance of doubt, the suspension in that case will only refer to Intraday Allocation of Capacity for RTE's Balancing Mechanism.

(5) Users' participation may be definitively withdrawn by any TSO in case:

- the User (a) declares bankruptcy or (b) is declared bankrupt by a court ruling,
- reception by the TSOs of a decision by a competition or regulatory authority stating that the User has committed a misusing or fraudulent act with regard to the Allocation of Capacities and request its withdrawal.

Consequently, the Statement of acceptance is no longer valid.

(6) The Statement of acceptance of the User is automatically no longer valid in case of:

- a. The Import/Export Rules contract with RTE is terminated;
- b. The balancing agreement (Bilanzkreisvertrag) in with Amprion/TNG is terminated and there is no further one with Amprion/ TNG.

## **Article 2.06 Suspension, withdrawal and termination of User's participation by the User**

A User may ask to suspend, withdraw or terminate its participation to these Rules by sending to the AOs a request by registered mail. This does not exonerate the TSOs, the AOs and the User from their respective financial and other obligations in application of these Rules.

## **Section III. Intraday Allocations process**

The available intraday Capacity which is offered to Intraday Allocation is jointly determined by the AOs according to this Section.

### **Article 3.01 Capacity calculation**

The available intraday Capacity in each direction for each Half-Hour of Delivery for the relevant Day of Execution is computed on the preceding day according to the methodology described in Article 1.03 and published on the Capacity Allocation Platform no later than 09:05 pm on that preceding day. The available intraday Capacity is also published on the public part of the Capacity Allocation Platform and on the AOs website.

The available intraday Capacity for a certain Half-Hour of Delivery is adjusted by the Capacity Allocation Platform, following each Intraday Allocation for that Half-Hour or the corresponding Hour. Netting is applied subject to technical feasibility. The publication of the available intraday Capacity on the Capacity Allocation Platform is updated on a constant basis.

The AOs may reassess the available intraday Capacity for each Half-Hour for the Day of Execution, based on changes in the power system relevant to power system safety. AOs are entitled to modify the available intraday Capacity within the day on the Capacity Allocation Platform if necessary.

### **Article 3.02 Intraday Capacity Request and intraday Capacity Allocation**

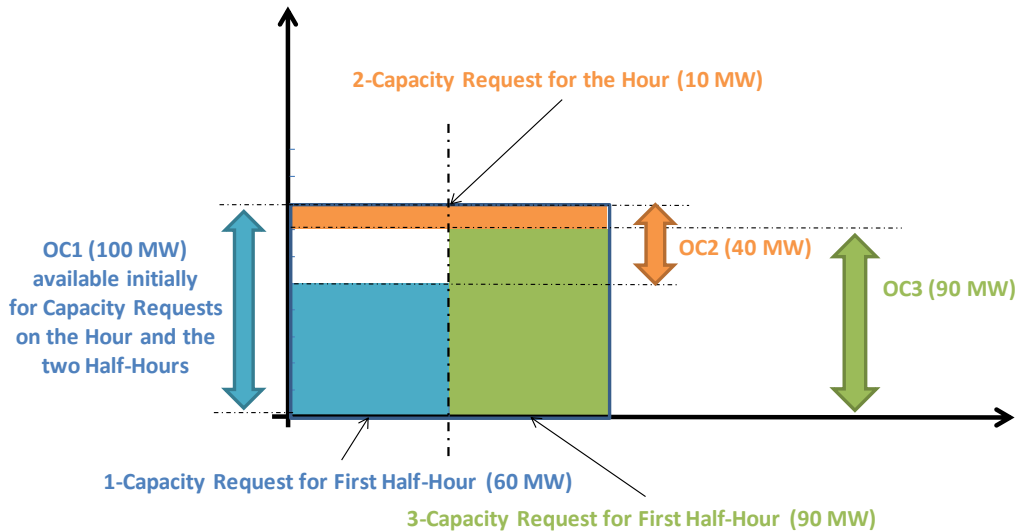
Capacity is exclusively Allocated through the Capacity Allocation Platform for both directions of the inter-connection, including for Users participating in RTE's Balancing Mechanism. Capacity Requests must be formatted accordingly.

Requested intraday Capacity is Allocated to the maximum of the available intraday Capacity to Users in accordance with an automatic First Come - First Served Principle. This means that available intraday Capacity is exclusively Allocated according to the reception time of Requests:

- Each Capacity Request receives a timestamp upon receipt by the application server. No two requests can receive identical timestamps.
- There is no Intraday Allocation based on offered prices.

The Capacity Allocation Platform returns to Users the results of the Capacity Allocation for a given Half-Hour or Hour of Delivery directly after Intraday Allocation.

The management of simultaneous allocation of Capacity Requests for Half-Hours and Hours on a same Hour is explained in the example hereafter:



The first capacity published for allocation for the Hour and the two Half-Hours is OC1 (100 MW). Given the amount shown in the above figure, the following applies:

- Once the Capacity Request for the First Half-Hour (60 MW) has been allocated:
  - capacity available for allocating the Capacity Request for the Hour corresponds to OC2 (40 MW)
  - capacity available for allocating the Capacity Request for the Second Half-Hour corresponds to OC1 (100 MW)
  - capacity available for allocating another Capacity Request for the First Half-Hour corresponds to OC2 (40 MW)
- Then, once the Capacity Request for the Hour (10 MW) has been allocated:
  - capacity available for allocating a Capacity Request for the Second Half-Hour corresponds to OC3 (90 MW)
  - capacity available for allocating another Capacity Request for the Hour is 30 MW
  - capacity available for allocating another Capacity Request for the First Half-Hour is 30 MW
- Then, once the Capacity Request for the Second Half-Hour (90 MW) has been allocated:
  - capacity available for allocating another Capacity Request for the First Half-Hour is 30 MW
  - there is no capacity left for allocating another Capacity Request for the Second Half-Hour or the Hour

Capacity Requests can be sent to the Capacity Allocation Platform for one or more Hours of delivery and/or one or more Half-Hours of delivery. A User can choose whether the Capacity is Allocated according to the “best efforts principle” or according to the “all-or-nothing principle”:

- With the “best efforts principle”, the Requested Capacity for each of the Hours and/or Half-Hours of Delivery is either fully Allocated or, if the demand cannot be fulfilled for one or more Hours and/or Half-Hours of Delivery, the remaining available Capacity is allocated.
- With the “all-or-nothing principle”, the Requested Capacity for each of the Hours and/or Half-Hours of Delivery is either fully Allocated or, if the demand cannot be fulfilled for at least one Hour and/or Half-Hour, no Capacity is Allocated for any Hour and/or Half-Hour of Delivery.

The Capacity Allocation Platform is open to the submission of Capacity Requests from 09:05 pm on the day preceding the Day of Execution. The Capacity Allocation Platform will automatically decline to process capacity Request(s) which is (are) not filed in accordance with these Rules by the User.

The following two processes of Request and Allocation shall be distinguished: one for standard Intraday Allocations and one for Allocations corresponding to transactions for RTE’ Balancing Mechanism:

**Case of Allocations for standard Intraday:**

A Capacity Request in respect of a given Hour of Delivery or a given half-hour of delivery must have been submitted to the Capacity Allocation Platform no later than

- one hour before this Hour of Delivery.
- one hour before that Half-Hour of Delivery (in case it is a First Half-Hour)
- one hour and thirty minutes before that Half-Hour of Delivery (in case it is a second half-hour)

Users must indicate that the Request corresponds to standard Intraday Allocation (in opposition to RTE's Balancing Mechanism).

**Case of Allocations corresponding to a transaction between RTE and a User for RTE's Balancing Mechanism:**

Only Users that are Balancing Actors and that have signed the present Rules are technically able to Request Capacity for RTE's Balancing Mechanism.

A Capacity Request in respect of a given Hour of Delivery or a given Half-Hour of Delivery must have been submitted no later than:

- thirty minutes before that Hour of Delivery,
- thirty minutes before that Half-Hour of Delivery (in case it is a First Half-Hour),
- one hour before that Half-Hour of Delivery (in case it is a Second Half-Hour).

Users must indicate that the Request corresponds to RTE's Balancing Mechanism (in opposition to standard Intraday Allocation). Users must also indicate the Balancing Entity code corresponding to the offer activated by RTE for its Balancing Mechanism.

Users can Request Capacity for the Balancing Mechanism only if RTE has previously activated an energy offer submitted by this User on the Balancing Mechanism. If a User Requests Capacity for Balancing Mechanism without having been activated on the Balancing Mechanism, RTE will automatically cancel the Allocation and the User might be suspended (cf. Article 2.06). If the cancellation of the Allocation is not possible, the User will have to pay the imbalance fee induced as the case may be.

In the case RTE activates a User on the Balancing Mechanism, should the Capacity Request for the Balancing Mechanism made by this User not correspond exactly to this activation due to an error in the Capacity Request of this user, RTE will have to correct the Programme of this user (the errors can concern: the nature of the Allocation - RTE's Balancing Mechanism or commercial intraday; the Balancing Entity code; the amount of capacity; the hour of delivery).

In all case where RTE has to correct the Programme of his user for any such event, the User has no right to claim compensation of any kind, and a payment of 1 500 euros (excl. VAT) will be paid by each User for each day where at least one modification of its Programme was made by RTE to cover the costs incurred. In other cases, penalty defined in the "Rules on Programming, the Balancing Mechanism and the Balance Responsible Entity System" shall apply.

RTE ensures before the activation of a German offer on the Balancing Mechanism that there is enough Capacity left on the Capacity Allocation Platform for the transit of the energy. If however, a User who has been activated on RTE's Balancing Mechanism is unable to obtain sufficient capacity on the Capacity Allocation Platform (for instance, this can happen if another User made an important Request meanwhile), RTE will cancel its activation on the Balancing Mechanism. Therefore, The User's Balancing Perimeter will not be imbalanced.

**Article 3.03 Case of daylight saving time**

The day on which the time changes from winter time to summer time has 23 hours. As a result, clocks advance from 02:00 CET to 03:00 CET. On the Capacity Allocation Platform, this jump is displayed with the hour 01:00-03:00.

The day on which the time changes from summer time to winter time has 25 hours. As a result, the hour 02:00-03:00 takes place twice for that day and is denoted with an "A" for summer time and with a "B" for winter time, e.g. 02:00-03:00A or 02:00-03:00B.



## **Article 3.04 Unavailability / cancellation of Intraday Allocation**

This Article only concerns Capacity that has not already been Allocated.

Without prejudice to Article 1.06 and Article 1.07, AOs may be forced to cancel or interrupt an Intraday Allocation in the event of any maintenance as described under Article 3.04 (1) and/or technical difficulties as described under Article 3.04 (2) of the Capacity Allocation Platform or of the information systems of the AOs or of the Nomination systems of the AOs ;

### **(1) Programmed unavailability**

Necessary maintenance operations may give rise to temporary unavailability of the information system or of the Nomination systems of the AOs in intraday or of the Capacity Allocation Platform. In such cases of a programmed unavailability, the AOs may be forced to cancel the Intraday Allocation for one or more Hours of Delivery.

### **(2) Not-programmed unavailability**

In case of not-programmed unavailability or of technical difficulties in the functioning of the information system of the AOs or of the Nomination systems of the AOs or of the Capacity Allocation Platform, the AOs may be forced to cancel the Intraday Allocation for one or more Hours of Delivery.

### **(3) Consequences**

In case of an unavailability of Intraday Allocation as mentioned under this Article, the following principles shall apply:

- The AOs use their best effort to minimize the disturbance caused to Users.
- The AOs inform the Users as soon as possible of the reasons which caused a cancellation due to a programmed or not-programmed unavailability.
- If the programmed unavailability involves the cancellation of the Intraday Allocation for one or more hours of delivery, AOs will forewarn Users with a reasonable period of notice as soon as the AOs have received knowledge of such a programmed unavailability.
- In any such event mentioned under Article 3.04 (1) and (2), the User has no right to claim compensation for any kind of damage arising out of the aforementioned unavailability or arising out due to a failure to reach the Users through the means of communication.

## **Section IV. Capacity Usage Rules**

### **Article 4.01 Usage of intraday PTROs**

PTROs must be used to their full amount (obligation).

Following Intraday Allocations, Users must send their Nomination to the German TSOs in accordance with the Nomination processes of the German TSOs: the intraday nomination instructions of the German TSOs can be found in the document “IntraDay Änderungen nach StromNZV - Konzept zum Datenaustausch” - published on [www.bdew.de](http://www.bdew.de). These Nominations must be strictly equal to PTROs Allocated to Users. Such Nominations shall consist of netted exchange schedules indicating the net transfers across the interconnection. If such Nominations received by German TSOs are not compliant with the Allocation results indicated by the Capacity Allocation Platform, German TSOs are entitled to consider only the results indicated by the Capacity Allocation Platform.

There is no Nomination step from Users on RTE side: since PTROs are obligations, RTE does not require PTROs Holders to Nominate. RTE receives the Programmes from the Capacity Allocation Platform which are binding. Based on these Programmes, RTE performs the necessary actions to integrate the corresponding figures.

The difference of process existing between mandatory Nominations to German TSOs and no nomination to the French TSO is due to the necessity for German TSOs to receive Nominations in their process.

### **Article 4.02 Matching of Exchange Programmes**

TSOs ensure that for every following Half-Hours of Delivery, Programmes and Nominations are coherent. In any case, once matched by the AOs, the values of the Capacity Allocated by the Capacity Allocation Platform and submitted to the AOs by the Capacity Allocation Platform are binding.

## Section V. Miscellaneous

### Article 5.01 Information / notices

Any notice given under these Rules is to be in writing and must be addressed to all TSOs at the address mentioned in Appendix 2, except where these Rules provide otherwise.

Any notice addressed by any TSO to any User must be addressed at the User address mentioned in Appendix 1.

### Article 5.02 Limitation of Liability

(0) This Article applies to damages resulting from a breach of any provision of the present Rules. This Article does not apply to the cancellation or reduction of Exchange Programmes in the event of Force Majeure or for reasons linked to the safety of the power system in accordance to Article 1.07 for which the compensation mechanism of Article 1.07 applies. The application of this latter compensation mechanism is strictly limited to the cases described in said Article and does not extend to any breach of any provision of the present Rules.

(1) In the event of a failure to make Interconnection Capacity available to the extent of PTROs offered firm, the TSOs shall not be liable to a PTRO Holder for any incidental, indirect or consequential damages caused by such failure.

(2) RTE, Amprion and TNG, either jointly or severally, do not assume responsibility for the arrival of intraday PTRO Request in time nor do they warrant – although they will try to prevent to the best of their abilities – that the information contained therein, despite being treated as confidential, will not come to the knowledge of third parties. The TSOs shall not be liable in case they decline intraday PTRO Request Notifications that are not compliant with the Rules.

(3) Limitation of liability between RTE and the Users

(a) The Parties are only liable for direct damages suffered by the other Party.

(b) RTEs' liability for the Intraday Allocation process:

Except in the case of gross negligence, RTE's liability is limited to € 200.000 per claim (i.e. per incident or related incidents). No indemnification will be due unless the Party proves specifically that the damages suffered resulted directly from the breach (direct damages typical and foreseeable) and that the Party took reasonable steps to mitigate the damages suffered.

(4) Limitation of liability between Amprion, TNG and the Users :

(a) The Parties are only liable for direct damages suffered by the other Party. The liability of the parties shall be limited to cases of wilful misconduct or gross negligence and to the direct damages typical and foreseeable.

(b) Amprion, TNG's liability for the Intraday Allocation process:

As the intraday PTROs Allocated under the framework of these Rules are free of charge (gratuitous service) and do not constitute any right towards TSOs (e.g. that Programmes amounting to the intraday PTRO volume are accepted), Amprion and TNG cannot be held liable for any loss or damage in particular occurring before Nomination from the non-availability of intraday PTROs allocated, except in case of gross negligence and wilful misconduct. For the rest, the liability provisions of these Rules remain unaffected.

### **Article 5.03 Confidentiality**

(1) The TSOs shall treat all information disclosed to each other pursuant to these Rules as confidential and they will refrain from disclosing such information to any third party without the prior consent of the User concerned.

Paragraph (1) shall not apply to:

- enquiries of regulators, governments and/or other administrative authorities,
- enquiries of courts of law and arbitrators for technical or security reasons,
- TSOs and/or AOs and the provider of the Capacity Allocation Platform,
- circulation to consultants to the ones assigned by TSOs, AO or one of the above institution who are subject to confidentiality undertakings or professional confidentiality obligations.

(2) Notification pursuant to § 33 Abs..1 of the German Data Protection Act (Bundesdatenschutzgesetz): the data required to conduct the Intraday Allocation will be stored by the AOs.

### **Article 5.04 Severability**

If any part of these Rules is by a public authority or court found to be invalid, illegal or unenforceable, the remaining part shall continue to be valid and enforceable to the extent permitted by law.

### **Article 5.05 Applicable law, disputes and language**

(1) Disputes concerning the rights and duties arising for the AOs and the Users under these Rules shall be settled by an ordinary court.

(2) Any disputes with regard to Interconnection Capacity for German Exports are governed exclusively by German law and will be brought before the competent courts in Dortmund (Germany) and any disputes concerning Interconnection Capacity for French Exports are exclusively governed by French law and will be brought before the competent courts in France.

(3) The application of the UN Convention on Contracts for the International Sale of Goods (CISG) shall be excluded.

(4) Notwithstanding any translations that may be made, whether signed or not, the only legal binding version is this English language version.

### **Article 5.06 Force Majeure**

Force Majeure means any not foreseeable event or situation beyond the reasonable control of the Parties and not due to a fault of such Parties which cannot reasonably be avoided or overcome, and which makes it impossible for one or several Parties to fulfil, temporarily or definitively, its or their obligations hereunder in accordance with the terms of these Rules (herein after Force Majeure).

The Party which invokes Force Majeure, shall send the other Party notice describing the nature of the Force Majeure and its probable duration.

The obligations of a Party subject to Force Majeure, with the exception of confidentiality obligations defined in Article 5.03, shall be suspended from the date of beginning of Force Majeure.

The Party can in no circumstances be held responsible or held liable to pay any compensation for damage suffered, due to the non-performance or faulty performance of all or part of their obligations, when such non-performance or faulty performance is due to Force Majeure.

The Party, which invokes Force Majeure, shall make every possible effort to limit the consequences and duration of the event.

If Force Majeure lasts for more than thirty (30) days, either Party may suspend or terminate its participation to these Rules by sending a registered mail with acknowledgement of receipt with due explanation, if the event adversely affects the essential obligations of the Parties under the present Rules. The withdrawal or suspension of Statement of acceptance will take effect on the date of receipt of the said notice.

## **Article 5.07 Amendment of Rules**

These Rules are of indefinite duration but may be modified jointly by the TSOs with the aim of clarifying them or supplementing them.

Moreover, these Rules are subject to legal and technical conditions at the time of their creation. In the event of a material change in these conditions, particularly following legal requirements, government action or rules imposed by regulatory authorities, or if improvements are made to the Intraday Allocation process, the Rules will be modified as appropriate.

The modified Rules will take effect at the date mentioned in the modified Rules after advice and/or approval from all the regulatory authorities concerned, BNetzA and CRE, and if required by law, the formal consultation of all interested stakeholders. They will be published on the websites of the TSOs where applicable.

Amendments to the Rules have no impact on the validity of the Statement of acceptance signed by the Participant. This Statement of acceptance continues to be in force and includes acceptance of the modifications made to the Rules, without prejudice to the User's right to request withdrawal of its entitlement in accordance with Article 2.06.

On any event, Users shall be informed in due time before new Rules enter into effect.