
Status: Point in time view as at 31/01/2020.

Changes to legislation: There are currently no known outstanding effects for the Commission Regulation (EU) No 389/2013. (See end of Document for details)

Commission Regulation (EU) No 389/2013 of 2 May 2013 establishing a Union Registry pursuant to Directive 2003/87/EC of the European Parliament and of the Council, Decisions No 280/2004/EC and No 406/2009/EC of the European Parliament and of the Council and repealing Commission Regulations (EU) No 920/2010 and No 1193/2011 (Text with EEA relevance)

*Status: Point in time view as at 31/01/2020.**Changes to legislation: There are currently no known outstanding effects for the Commission Regulation (EU) No 389/2013. (See end of Document for details)*

ANNEX I

TABLE I-I

Account types and unit types that may be held in each account type (Article 9)

Account type name	Account holder	Administrator	No. of accounts of this type	Non-Kyoto units			Kyoto units				
				Allowances		AEAs	AAU	CER	ERU	ICER/ tCER	RMU/ ERU from RMU
				General allowances	Aviation allowances						
I. ETS management accounts in the Union Registry											
EU Total Quantity Account	EU	central administrator	1	Yes	No	No	No	No	No	No	No
EU Aviation Total Quantity Account	EU	central administrator	1	No	Yes	No	No	No	No	No	No
EU Auction Account	EU	central administrator	1	Yes	No	No	No	No	No	No	No
EU Allocation Account	EU	central administrator	1	Yes	No	No	No	No	No	No	No
EU New Entrant Reserve Account	EU	central administrator	1	Yes	No	No	No	No	No	No	No
EU Aviation Auction Account	EU	central administrator	1	No	Yes	No	No	No	No	No	No
EU Special Reserve Account	EU	central administrator	1	No	Yes	No	No	No	No	No	No
EU Aviation Allocation Account	EU	central administrator	1	No	Yes	No	No	No	No	No	No

a The MS national administrator can decide whether the account type may hold this type of unit.

b Excluding units which are not eligible for use pursuant to Articles 11a and 11b of Directive 2003/87/EC, Article 58 of this Regulation and measures adopted pursuant to Article 11a(9) of Directive 2003/87/EC.

c KP operator holding accounts existing in national KP registries before the consolidation referred to in Article 8(4) can hold the same unit types.

Status: Point in time view as at 31/01/2020.

Changes to legislation: There are currently no known outstanding effects for the Commission Regulation (EU) No 389/2013. (See end of Document for details)

Union Deletion Account	EU	central administrator	1	Yes	Yes	No	No	No	No	No	No
Auction Delivery Account	Auction platform that has opened the Settlement System	national administrator	one or more for each auction platform	Yes	Yes	No	No	No	No	No	No
EU International Credit Account	EU	central administrator	2	No	No	No	No	Yes ^b	Yes ^b	No	No
EU Credit Exchange Account	EU	central administrator	2	Yes	Yes	No	No	No	No	No	No

II. ETS holding accounts in the Union Registry

Operator holding account	Operator	national administrator of the Member State where installation is located	one for each installation	Yes	No	No	No	Yes ^b	Yes ^b	No	No
Aircraft operator holding account	Aircraft operator	national administrator of the Member State administering the aircraft operator	one for each aircraft operator	Yes	Yes	No	No	Yes ^b	Yes ^b	No	No
Person holding account	Person	national administrator or central administrator that	as approved	Yes	Yes	No	No	Yes ^b	Yes ^b	No	No

a The MS national administrator can decide whether the account type may hold this type of unit.

b Excluding units which are not eligible for use pursuant to Articles 11a and 11b of Directive 2003/87/EC, Article 58 of this Regulation and measures adopted pursuant to Article 11a(9) of Directive 2003/87/EC.

c KP operator holding accounts existing in national KP registries before the consolidation referred to in Article 8(4) can hold the same unit types.

*Status: Point in time view as at 31/01/2020.**Changes to legislation: There are currently no known outstanding effects for the Commission Regulation (EU) No 389/2013. (See end of Document for details)*

		has opened the account									
National holding account	Member State	national administrator of the Member State holding the account	alone or for each Member State	Yes	Yes	No	No	Yes ^b	Yes ^b	No	No

III. ETS trading accounts in the Union Registry

Trading account	Person	national administrator or central administrator that has opened the account	approved	Yes	Yes	No	No	Yes ^b	Yes ^b	No	No
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IV. Other ETS accounts in the Union Registry

External trading platform account	External trading platform	national administrator that has opened the account	alone or for each external trading platform	This account type does not hold any unit.							
Verifier account	Verifier	national administrator that has opened the account	alone or for each verifier	This account type does not hold any unit.							
National administrator platform account	Member State	central administrator	maximum for each	This account type does not hold any unit.							

a The MS national administrator can decide whether the account type may hold this type of unit.

b Excluding units which are not eligible for use pursuant to Articles 11a and 11b of Directive 2003/87/EC, Article 58 of this Regulation and measures adopted pursuant to Article 11a(9) of Directive 2003/87/EC.

c KP operator holding accounts existing in national KP registries before the consolidation referred to in Article 8(4) can hold the same unit types.

Status: Point in time view as at 31/01/2020.

Changes to legislation: There are currently no known outstanding effects for the Commission Regulation (EU) No 389/2013. (See end of Document for details)

			Member State								
V. KP accounts in the consolidated system of European registries											
Party holding to the Account	party to the Kyoto Protocol	KP registry administrator	at least 1	No	No	No	Yes	Yes	Yes	Yes	Yes
Cancellation Account		(in the Union Registry of the central administrator)	1	No	No	No	Yes	Yes	Yes	Yes	Yes
Retirement Account			1	No	No	No	Yes	Yes	Yes	Yes	Yes
ETS AAU Deposit Account			1	No	No	No	Yes	No	No	No	No
tCER Replacement Account	EU	central administrator	1	No	No	No	Yes	Yes	Yes	Yes	Yes
ICER Replacement Account	EU	central administrator	1	No	No	No	Yes	Yes	Yes	Yes	Yes
Person holding account ^c	Person	national administrator or central administrator that has opened the account	1	No	No	No	by MS ^a	by MS ^a	by MS ^a	by MS ^a	by MS ^a
VI. Accounts for the purpose of accounting transactions under Title 4											
EU AEA Total Quantity Account	EU	central administrator	1	No	No	Yes	No	No	No	No	No
ESD Deletion Account	EU	central administrator	1	No	No	Yes	No	No	No	No	No
ESD Compliance Account	Member State	central administrator of	1 for each of	No	No	Yes	No	Yes	Yes	Yes	No
<p>^a The MS national administrator can decide whether the account type may hold this type of unit.</p> <p>^b Excluding units which are not eligible for use pursuant to Articles 11a and 11b of Directive 2003/87/EC, Article 58 of this Regulation and measures adopted pursuant to Article 11a(9) of Directive 2003/87/EC.</p> <p>^c KP operator holding accounts existing in national KP registries before the consolidation referred to in Article 8(4) can hold the same unit types.</p>											

Status: Point in time view as at 31/01/2020.

Changes to legislation: There are currently no known outstanding effects for the Commission Regulation (EU) No 389/2013. (See end of Document for details)

			the 8 compliance years for each Member State							
a	The MS national administrator can decide whether the account type may hold this type of unit.									
b	Excluding units which are not eligible for use pursuant to Articles 11a and 11b of Directive 2003/87/EC, Article 58 of this Regulation and measures adopted pursuant to Article 11a(9) of Directive 2003/87/EC.									
c	KP operator holding accounts existing in national KP registries before the consolidation referred to in Article 8(4) can hold the same unit types.									

ANNEX II

Terms and conditions (Article 11)

Payment of fees

1. The terms and conditions regarding any registry fees for establishing and maintaining accounts.

Modification of core terms and conditions

2. Modification of the core terms to reflect changes to this Regulation or changes to domestic legislation.

Dispute resolution

3. Provisions relating to disputes between account holders and choice of court for national administrator.

Responsibility and liability

4. The limitation of liability for the national administrator.
5. The limitation of liability for the account holder.

ANNEX III

Information to be submitted with requests for opening an account (Articles 13, 14 and 19)

1. The information set out in Table III-I.

Table III-I

Account details for all accounts

	A	B	C	D	E	F
Item No.	Account detail item	Mandatory or Optional?	Type	Can be updated?	Update requires the approval	Displayed on the EUTL public website?

*Status: Point in time view as at 31/01/2020.**Changes to legislation: There are currently no known outstanding effects for the Commission Regulation (EU) No 389/2013. (See end of Document for details)*

Table III-I

Account details for all accounts

					of the administrator?	
1	Account ID (given by Union Registry)	M	Preset	No	n.a.	No
2	Account type	M	Choice	No	n.a.	Yes
3	Commitment period	M	Choice	No	n.a.	Yes
4	Account holder ID (given by Union Registry)	M	Free	Yes	Yes	No
5	Account holder name	M	Free	Yes	Yes	Yes
6	Account identifier (given by account holder)	M	Free	Yes	No	No
7	Account holder's address – country	M	Choice	Yes	Yes	Yes
8	Account holder's address - region or state	O	Free	Yes	Yes	Yes
9	Account holder's address – city	M	Free	Yes	Yes	Yes
10	Account holder's address – postcode	M	Free	Yes	Yes	Yes
11	Account holder's address – line 1	M	Free	Yes	Yes	Yes

Status: Point in time view as at 31/01/2020.

Changes to legislation: There are currently no known outstanding effects for the Commission Regulation (EU) No 389/2013. (See end of Document for details)

Table III-I

Account details for all accounts

12	Account holder's address – line 2	O	Free	Yes	Yes	Yes
13	Account holder's company registration number	M	Free	Yes	Yes	Yes
14	Account holder's telephone 1	M	Free	Yes	No	No
15	Account holder's telephone 2	M	Free	Yes	No	No
16	Account holder's email address	M	Free	Yes	No	No
17	Date of birth (for natural persons)	M for natural persons	Free	No	n.a.	No
18	Place of birth – city (for natural persons)	M for natural persons	Free	No	n.a.	No
19	Place of birth - country	O	Free	No	n.a.	No
20	Type of document supporting identity (for natural persons)	M	Choice	Yes	Yes	No
21	Identity document number (for natural persons)	M	Free	Yes	Yes	No
22	Identity document expiry date	O	Free	Yes	Yes	No

Status: Point in time view as at 31/01/2020.

Changes to legislation: There are currently no known outstanding effects for the Commission Regulation (EU) No 389/2013. (See end of Document for details)

Table III-I

Account details for all accounts						
23	VAT registration number with country code	M where assigned	Free	Yes	Yes	No
24	Account opening date	M	Preset	No	n.a.	Yes
25	Account closing date	O	Preset	Yes	Yes	Yes

2. The account identifier shall be unique within the registry system.

ANNEX IV

Information to be provided for opening an auction delivery account, a person holding account, a trading accounts or an external trading platform accounts (Articles 15, 18 and 20)

1. The information set out in Table III-I of Annex III. (The account ID and the alphanumeric identifier are unique within the registry system.)
2. Proof that the person requesting the account opening has an open bank account in a Member State of the European Economic Area.
3. Evidence to support the identity of the natural person requesting the account opening, which may be a copy of one of the following:
 - (a) an identity card issued by a State that is a member of the European Economic Area or the Organisation for Economic Cooperation and Development;
 - (b) a passport.
4. Evidence to support the address of the permanent residence of the natural person account holder, which may be a copy of one of the following:
 - (a) the identity document submitted under point 3, if it contains the address of the permanent residence;
 - (b) any other government-issued identity document that contains the address of permanent residence;
 - (c) if the country of permanent residence does not issue identity documents that contain the address of permanent residence, a statement from the local authorities confirming the nominee's permanent residence;
 - (d) any other document that is customarily accepted in the Member State of the administrator of the account as evidence of the permanent residence of the nominee.

Status: Point in time view as at 31/01/2020.

Changes to legislation: There are currently no known outstanding effects for the Commission Regulation (EU) No 389/2013. (See end of Document for details)

5. The following documents in case of a legal person requesting the account opening:
 - (a) a copy of the instruments establishing the legal entity and a copy of a document proving the registration of the legal entity;
 - (b) bank account details;
 - (c) a confirmation of VAT registration;
 - (d) information on the legal entity's beneficial owner as defined in Directive 2005/60/EC including the type of ownership or control they are exercising;
 - (e) list of directors;
 - (f) a copy of the annual report or of the latest audited financial statements, or if no audited financial statements available, a copy of the financial statements stamped by the tax office or the financial director.
6. Evidence to support the registered address of the legal person account holder, if this is not clear from the document submitted in accordance with point 5.
7. The criminal record of the natural person requesting the account opening or if it is a legal person, of its directors.
8. Any copy of a document submitted as evidence under this annex must be certified as a true copy by a notary public or other similar person specified by the national administrator. Regarding documents issued outside the Member State requesting a copy, the copy must be legalised. The date of the certification or legalisation must not be more than three months prior to the date of application.
9. The administrator of the account may require that the documents submitted are accompanied with a certified translation into a language specified by the administrator.
10. Instead of obtaining paper documents, the administrator of the account may use electronic mechanisms to check the evidence to be submitted in accordance with this Annex.

ANNEX V

Additional information to be provided for opening a verifier account (Article 21)

1. A document proving that the person requesting the account opening is accredited as a verifier in accordance with Article 15 of Directive 2003/87/EC.

ANNEX VI

Information to be provided for opening an operator holding account (Article 16)

1. The information set out in Table III-I of Annex III.
2. Under the data provided in accordance with Table III-I of Annex III, the operator of the installation shall be named the account holder. The name provided for the account

Status: Point in time view as at 31/01/2020.

Changes to legislation: There are currently no known outstanding effects for the Commission Regulation (EU) No 389/2013. (See end of Document for details)

holder should be identical to name of the natural or legal person that is the holder of the relevant greenhouse gas permit.

3. The information set out in Table VI-I and VI-II of this Annex.

Table VI-I

Account details for operator holding accounts

Item No.	A Account detail item	B Mandatory or Optional?	C Type	D Can be updated?	E Update requires the approval of the administrator?	F Displayed on the EUTL public website?
1	Installation ID	M	Preset	No	—	Yes
2	Permit ID	M	Free	Yes	Yes	Yes
3	Permit entry into force date	M	Free	No	—	Yes
4	Permit expiry date	O	Free	Yes	Yes	Yes
5	Installation name	M	Free	Yes	Yes	Yes
6	Installation activity type	M	Choice	Yes	Yes	Yes
7	Installation address – country	M	Preset	Yes	Yes	Yes
8	Installation address - region or state	O	Free	Yes	Yes	Yes
9	Installation address – city	M	Free	Yes	Yes	Yes
10	Installation address – postcode	M	Free	Yes	Yes	Yes
11	Installation address – line 1	M	Free	Yes	Yes	Yes

Status: Point in time view as at 31/01/2020.

Changes to legislation: There are currently no known outstanding effects for the Commission Regulation (EU) No 389/2013. (See end of Document for details)

Table VI-I

Account details for operator holding accounts

12	Installation address – line 2	O	Free	Yes	Yes	Yes
13	Installation telephone 1	M	Free	Yes	No	No
14	Installation telephone 2	M	Free	Yes	No	No
15	Installation email address	M	Free	Yes	No	No
16	Parent company	O	Free	Yes	No	Yes
17	Subsidiary company	O	Free	Yes	No	Yes
18	EPRTTR identification number	M where assigned	Free	Yes	No	Yes
19	Latitude	O	Free	Yes	No	Yes
20	Longitude	O	Free	Yes	No	Yes

Table VI-II

Details of the installation contact person

Item No.	A Account detail item	B Mandatory or Optional?	C Type	D Can be updated?	E Update requires the approval of the administrator?	F Displayed on the EUTL public website?
1	Verifier	O	Choice	Yes	No	No
	Company name	O	Free	Yes	No	No
	Company department	O	Free	Yes	No	No
2	Contact person within Member State first name	O	Free	Yes	No	No

Status: Point in time view as at 31/01/2020.

Changes to legislation: There are currently no known outstanding effects for the Commission Regulation (EU) No 389/2013. (See end of Document for details)

Table VI-II

Details of the installation contact person

3	Contact person within Member State last name	O	Free	Yes	No	No
4	Contact person address – country	O	Preset	Yes	No	No
5	Contact person address - region or state	O	Free	Yes	No	No
6	Contact person address – city	O	Free	Yes	No	No
7	Contact person address – postcode	O	Free	Yes	No	No
8	Contact person address – line 1	O	Free	Yes	No	No
9	Contact person address – line 2	O	Free	Yes	No	No
10	Contact person telephone 1	O	Free	Yes	No	No
11	Contact person telephone 2	O	Free	Yes	No	No
12	Contact person email address	O	Free	Yes	No	No

Status: Point in time view as at 31/01/2020.

Changes to legislation: There are currently no known outstanding effects for the Commission Regulation (EU) No 389/2013. (See end of Document for details)

ANNEX VII

Information to be provided for opening an aircraft operator holding account (Article 17)

1. The information set out in Table III-I of Annex III and VII-I of Annex VII.
2. Under the data provided in accordance with Table III-I, the aircraft operator shall be named as the account holder. The name recorded for the account holder shall be identical to the name in the Monitoring Plan. In case the name in the Monitoring Plan is obsolete, the name in the trading registry or the name used by Eurocontrol shall be used.

Table VII-I

Account details for aircraft operator holding accounts

Item No.	A Account detail item	B Mandatory or Optional?	C Type	D Can be updated?	E Update requires the approval of the administrator?	F Displayed on the EUTL public website?
1	Aircraft operator ID (assigned by Union Registry)	M	Free	No	—	Yes
2	Unique code under Commission Regulation 748/2009	M	Free	Yes	Yes	Yes
3	Call sign (ICAO designator)	O	Free	Yes	Yes	Yes
4	Monitoring plan ID	M	Free	Yes	Yes	Yes
5	Monitoring plan – first year of applicability	M	Free	No	—	Yes
6	Monitoring plan – year of expiry	O	Free	Yes	Yes	Yes

3. The call sign is International Civil Aviation Organisation (ICAO) designator in box 7 of the flight plan or, if not available, the registration marking of the aircraft.

Status: Point in time view as at 31/01/2020.

Changes to legislation: There are currently no known outstanding effects for the Commission Regulation (EU) No 389/2013. (See end of Document for details)

ANNEX VIII

Information concerning authorised representatives and additional authorised representatives to be provided to the administrator of the account (Article 24)

- The information set out in Table VIII-I of Annex VIII.

Table VIII-I

Authorised representative details

Item No.	A Account detail item	B Mandatory or Optional?	C Type	D Can be updated?	E Update requires the approval of the administrator?	F Displayed on the EUTL public website?
1	Person ID	M	Free	No	n.a.	No
2	Type of account representative	M	Choice	Yes	No	No
3	First name	M	Free	Yes	Yes	No
4	Last name	M	Free	Yes	Yes	No
5	Title	O	Free	Yes	No	No
6	Job title	O	Free	Yes	No	No
	Company name	O	Free	Yes	No	No
	Company department	O	Free	Yes	No	No
7	Country	M	Preset	No	n.a.	No
8	Region or state	O	Free	Yes	Yes	No
9	City	M	Free	Yes	Yes	No
10	Postcode	M	Free	Yes	Yes	No
11	Address – line 1	M	Free	Yes	Yes	No
12	Address – line 2	O	Free	Yes	Yes	No
13	Telephone 1	M	Free	Yes	No	No
14	Mobile phone	M	Free	Yes	Yes	No
15	E-mail address	M	Free	Yes	Yes	No

Status: Point in time view as at 31/01/2020.

Changes to legislation: There are currently no known outstanding effects for the Commission Regulation (EU) No 389/2013. (See end of Document for details)

Table VIII-I

Authorised representative details

16	Date of birth	M	Free	No	n.a.	No
17	Place of birth – city	M	Free	No	n.a.	No
18	Place of birth – country	M	Free	No	n.a.	No
19	Type of document supporting identity	M	Choice	Yes	Yes	No
20	Identity document number	M	Free	Yes	Yes	No
21	Identity document expiry date	O	Free	Yes	Yes	No
22	Preferred language	O	Choice	Yes	No	No
23	Confidentiality level	O	Choice	Yes	No	No
24	Rights as additional account representative	M	Multiple Choice	Yes	Yes	No

2. A signed statement from the account holder indicating that it wishes to nominate a particular person as authorised representative or additional authorised representative, confirming that the authorised representative has the right to initiate or that additional authorised representative has the right to approve transactions on behalf of the account holder and indicating any limitations to that right.
3. Evidence to support the identity of the nominee, which may be a copy of one of the following:
 - (a) an identity card issued by a state that is a member of the European Economic Area or the Organisation for Economic Cooperation and Development;
 - (b) a passport.
4. Evidence to support the address of the permanent residence of the nominee, which may be a copy of one of the following:
 - (a) the identity document submitted under point 3., if it contains the address of the permanent residence;

Status: Point in time view as at 31/01/2020.

Changes to legislation: There are currently no known outstanding effects for the Commission Regulation (EU) No 389/2013. (See end of Document for details)

- (b) any other government-issued identity document that contains the address of permanent residence;
- (c) if the country of permanent residence does not issue identity documents that contain the address of permanent residence, a statement from the local authorities confirming the nominee's permanent residence;
- (d) any other document that is customarily accepted in the Member State of the administrator of the account as evidence of the permanent residence of the nominee;
5. Criminal record of the nominee.
6. Any copy of a document submitted as evidence under this annex must be certified as a true copy by a notary public or other similar person specified by the national administrator. Regarding documents issued outside the Member State requesting a copy, the copy must be legalised. The date of the certification or legalisation must not be more than three months prior to the date of application.
7. The administrator of the account may require that the documents submitted are accompanied with a certified translation into a language specified by the national administrator.
8. Instead of obtaining paper documents, the administrator of the account may use electronic mechanisms to check the evidence to be submitted in accordance with this Annex.

ANNEX IX

Formats for submitting annual emissions data (Article 35)

1. Emissions data for operators shall contain the information set out in Table IX-I, having regard to the electronic format for submitting emissions data described in the data exchange and technical specifications provided for in Article 105.

Table IX-I

Emissions data for operators			
1	Installation ID or aircraft operator ID:		
2	Reporting year		
Greenhouse Gas Emissions			
		in tons	in tons of CO ₂ eq
3	CO ₂ emissions		
4	N ₂ O emissions		
5	PFC emissions		
6	Total emissions	—	Σ(C2 + C3 + C4)

Status: Point in time view as at 31/01/2020.

Changes to legislation: There are currently no known outstanding effects for the Commission Regulation (EU) No 389/2013. (See end of Document for details)

ANNEX X

National allocation table for the 2013-2020 period (Article 51)

Row No				Quantity of general allowances allocated free of charge				
				Pursuant to Art. 10a(7) of Directive 2003/87/EC	Pursuant to Art. 10c of Directive 2003/87/EC (transferred)	Pursuant to another provision of Directive 2003/87/EC	Total	
1	Country code of Member State							Manual input
2		Installation ID						Manual input
3		Quantity to be allocated:						
4			in year 2013					Manual input
5			in year 2014					Manual input
6			in year 2015					Manual input
7			in year 2016					Manual input
8			in year 2017					Manual input
9			in year 2018					Manual input
10			in year 2019					Manual input
11			in year 2020					Manual input

Rows No 2 to 11 shall be repeated for each installation.

Status: Point in time view as at 31/01/2020.

Changes to legislation: There are currently no known outstanding effects for the Commission Regulation (EU) No 389/2013. (See end of Document for details)

ANNEX XI

National aviation allocation table for the 2013-2020 period (Article 54)

Row No			Quantity of aviation allowances allocated free of charge			
			Pursuant to Art. 3e of Directive 2003/87/EC	Pursuant to Art. 3f of Directive 2003/87/EC	In Total	
1	Country code of Member State					Manual input
2		Aircraft operator ID				Manual input
3		Quantity to be allocated				
4			in year 2013			Manual input
5			in year 2014			Manual input
6			in year 2015			Manual input
7			in year 2016			Manual input
8			in year 2017			Manual input
9			in year 2018			Manual input
10			in year 2019			Manual input
11			in year 2020			Manual input

Rows No 2 to 11 shall be repeated for each aircraft operator.

ANNEX XII

National international credit entitlement table for the 2008-2020 period (Article 59)

Row No		International credit entitlement	
--------	--	----------------------------------	--

Status: Point in time view as at 31/01/2020.

Changes to legislation: There are currently no known outstanding effects for the Commission Regulation (EU) No 389/2013. (See end of Document for details)

			Pursuant to third subparagraph Article 11a(8) of Directive 2003/87/EC	Pursuant to another provision of Article 11a(8) of Directive 2003/87/EC	Total	
1	Country code of Member State					Manual input
2		Installation ID				Manual input
3		Initial international credit entitlement				Manual input
4		Aircraft operator ID				Manual input
5		Initial international credit entitlement				Manual input

Rows 2 to 3 shall be repeated for each installation.

Rows 4 to 5 shall be repeated for each aircraft operator.

ANNEX XIII

AUCTION TABLE (ARTICLE 63)

Row No	Information on the auction platform			
1	Identification code of the auction platform			
2	Identity of the auction monitor			
3	The Auction Delivery Account number			
4	Information on individual auctions of (general allowances / aviation allowances)			
5	Individual volume of the auction	Date and time of delivery to the Auction Delivery Account	Identity of the auctioneer(s) connected to each auction	Manual input
6				Manual input

Status: Point in time view as at 31/01/2020.

Changes to legislation: There are currently no known outstanding effects for the Commission Regulation (EU) No 389/2013. (See end of Document for details)

7			Manual input
8			Manual input
9			Manual input
10			Manual input
11			Manual input
12			Manual input
13			Manual input
14			Manual input
15			Manual input
16			Manual input
17			Manual input
18			Manual input
19			Manual input

ANNEX XIV

Reporting requirements of the central administrator (Article 109)

I. UNION REGISTRY INFORMATION RELATED TO THE UNION EMISSIONS TRADING SCHEME

Information available to the public

1. The EUTL shall display on the public website of the EUTL the following information for each account:
 - (a) all information indicated as to be ‘displayed on the EUTL public website’ in Tables III-I of Annex III, Table VI-I of Annex VI, and Table VII-I of Annex VII. This information shall be updated every 24 hours;
 - (b) allowances allocated to individual account holders pursuant to Article 43 and Article 44. This information shall be updated every 24 hours;
 - (c) the status of the account in accordance with Article 10(1). This information shall be updated every 24 hours;
 - (d) the number of allowances surrendered in accordance with Article 67.
 - (e) the verified emissions figure, along with its corrections for the installation related to the operator holding account for year X shall be displayed from 1 April onwards of year (X+1);
 - (f) a symbol and a statement indicating whether the installation or aircraft operator related to the operator holding account surrendered a number of allowances by 30 April that is at least equal to all its emissions in all past years. The symbols and the statements to be displayed are set out in Table XIV-I. The symbol shall be updated on 1 May and, except for the addition of a * in cases described under row 5 of Table XIV-I, it shall not change until the next 1 May.

Status: Point in time view as at 31/01/2020.

Changes to legislation: There are currently no known outstanding effects for the Commission Regulation (EU) No 389/2013. (See end of Document for details)

Table XIV-I

Compliance statements

Row No.	Compliance status figure according to Article 34	Verified emissions are recorded for last complete year?	Symbol	Statement
			to be displayed on the EUTL public website	
1	0 or any positive number	Yes	A	The number of allowances surrendered by 30 April is greater than or equal to verified emissions
2	any negative number	Yes	B	The number of allowances surrendered by 30 April is lower than verified emissions
3	any number	No	C	Verified emissions for preceding year were not entered until 30 April
4	any number	No (because the allowance surrender process and/or verified emissions update process being suspended for the Member State's registry)	X	Entering verified emissions and/or surrendering was impossible until 30 April due to the allowance surrender process and/or verified emissions

Status: Point in time view as at 31/01/2020.

Changes to legislation: There are currently no known outstanding effects for the Commission Regulation (EU) No 389/2013. (See end of Document for details)

Table XIV-I

Compliance statements

				update process being suspended for the Member State's registry
5	any number	Yes or No (but subsequently updated by the competent authority)	* <i>[added to the initial symbol]</i>	Verified emissions were estimated or corrected by the competent authority.

2. The EUTL shall display on the public website of the EUTL the following general information, and shall update it every 24 hours:
 - (a) the national allocation table of each Member State, including indications of any changes made to the table in accordance with Article 52;
 - (b) the national aviation allocation table of each Member State, including indications of any changes made to the table in accordance with Article 55;
 - (c) the international credit entitlement table of each Member State;
 - (d) the total number of allowances, ERUs and CERs held in the Union Registry in all user accounts on the previous day;
 - (e) a listing of the types of Kyoto units other than CERs and ERUs that can be held in user accounts in KP registries administered by a particular national administrator in accordance with Annex I;
 - (f) up-to-date information regarding the eligibility of international credits pursuant to Articles 11a and 11b of Directive 2003/87/EC, Article 58 of this Regulation and any measure adopted pursuant to Article 11a(9) of Directive 2003/87/EC;
 - (g) the fees charged by national administrators in accordance with Article 111.
3. The EUTL shall display on its public website the following general information, on 30 April of each year:
 - (a) the sum of verified emissions by Member State entered for the preceding calendar year as a percentage of the sum of verified emissions of the year before that year;
 - (b) the percentage share belonging to accounts administered by a particular Member State in the number and volume of all allowance and Kyoto unit transfer transactions in the preceding calendar year;

Status: Point in time view as at 31/01/2020.

Changes to legislation: There are currently no known outstanding effects for the Commission Regulation (EU) No 389/2013. (See end of Document for details)

- (c) the percentage share belonging to accounts administered by a particular Member State in the number and volume of all allowance and Kyoto unit transfer transactions in the preceding calendar year between accounts administered by different Member States.
4. The EUTL shall display on the public website of the EUTL the following information about each completed transaction recorded by the EUTL by 30 April of a given year on 1 May three years later.
- (a) account holder name and Account identifier of the transferring account;
- (b) account holder name and Account identifier of the acquiring account;
- (c) [^{F1}the amount of allowances or Kyoto units involved in the transaction, including the country code but without unique unit identification code of the allowances and the unique numeric value of the unit serial number of the Kyoto units;]
- (d) transaction identification code;
- (e) date and time at which the transaction was completed (in Central European Time);
- (f) type of the transaction.

Textual Amendments

- F1** Substituted by [Commission Regulation \(EU\) 2018/208 of 12 February 2018 amending Regulation \(EU\) No 389/2013 establishing a Union Registry \(Text with EEA relevance\)](#).

- [^{F2}4a. On 1 May each year, the following information shall be published on agreements which are in force pursuant to Article 25 of Directive 2003/87/EC recorded by the EUTL by 30 April:
- (a) holdings of allowances issued in the linked emissions trading system on all accounts in the Union Registry;
- (b) number of allowances issued in the linked emissions trading system used for compliance in the EU ETS;
- (c) sum of allowances issued in the linked emissions trading system that were transferred to accounts in the Union Registry in the preceding calendar year;
- (d) sum of allowances that were transferred to accounts in the linked emissions trading system in the preceding calendar year.]

Textual Amendments

- F2** Inserted by [Commission Delegated Regulation \(EU\) 2019/1122 of 12 March 2019 supplementing Directive 2003/87/EC of the European Parliament and of the Council as regards the functioning of the Union Registry \(Text with EEA relevance\)](#).

Information available to account holders

5. The Union Registry shall display on the part of the Union Registry's website only accessible to the account holder the following information, and shall update it in real time:

Status: Point in time view as at 31/01/2020.

Changes to legislation: There are currently no known outstanding effects for the Commission Regulation (EU) No 389/2013. (See end of Document for details)

- (a) [^{F1}current holdings of allowances and Kyoto units, including the country code but without the unique unit identification code of the allowances and the unique numeric value of the unit serial number of the Kyoto units;]
- (b) list of proposed transactions initiated by that account holder, detailing for each proposed transaction
 - (i) the elements in point 4 of this Annex;
 - (ii) the date and time at which the transaction was proposed (in Central European Time);
 - (iii) the current status of that proposed transaction;
 - (iv) any response codes returned consequent to the checks made by the registry and the EUTL;
- (c) a list of allowances or Kyoto units acquired by that account as a result of completed transactions, detailing for each transaction the elements in point 4;
- (d) list of allowances or Kyoto units transferred out of that account as a result of completed transactions, detailing for each transaction the elements in point 4 of this Annex.

Information available to national administrators

- 6. The Union Registry shall display on the part of the Union Registry's website only accessible to national administrators: account holders and authorised representatives whose access to any account in the Union Registry was suspended by any national administrator in accordance with Article 34.

II. INFORMATION RELATED TO ACCOUNTING OF TRANSACTIONS UNDER DECISION No 406/2009/EC

Information available to the public

- 7. The central administrator shall make publicly available the following information for each account and update it within 24 hours when relevant:
 - (a) all information indicated as to be 'displayed on the EUTL public website' in Table III-I of Annex III;
 - (b) Annual Emission Allocations as determined pursuant to Article 3(2) of Decision No 406/2009/EC and any further adjustment pursuant to Article 10 of Decision No 406/2009/EC;
 - (c) the status of each ESD Compliance Account in accordance with Article 10;
 - (d) the total number of ERUs, CERs, tCERs and lCERs used pursuant to Article 81;
 - (e) the relevant greenhouse gas emissions data pursuant to Article 77;
 - (f) the compliance status figure pursuant to Article 79 for each ESD Compliance Account as follows:
 - (i) A for compliance,
 - (ii) I for noncompliance;
 - (g) the quantity of greenhouse gas emissions introduced pursuant to Article 80;
 - (h) the following information about each completed transaction recorded by the EUTL:

Status: Point in time view as at 31/01/2020.

Changes to legislation: There are currently no known outstanding effects for the Commission Regulation (EU) No 389/2013. (See end of Document for details)

- (i) account holder name and account holder ID of the transferring account;
- (ii) account holder name and account holder ID of the acquiring account;
- (iii) the amount of AEAs or credit entitlement involved in the transaction, without unique unit identification code of the AEA;
- (iv) transaction identification code;
- (v) date and time at which the transaction was completed (in Central European Time);
- (vi) type of the transaction.

Information available to account holders

8. The Union Registry shall display on the part of the Union Registry's website only accessible to the account holder the following information, and shall update it in real time:
- (a) current holdings of AEAs, credit entitlement and Kyoto units, without the unique unit identification code of the AEAs and the unique numeric value of the unit serial number of the Kyoto units;
 - (b) list of proposed transactions initiated by that account holder, detailing for each proposed transaction:
 - (i) the elements in point 7(f)(i) of this Annex;
 - (ii) the date and time at which the transaction was proposed (in central European time);
 - (iii) the current status of that proposed transaction;
 - (iv) any response codes returned consequent to the checks made by the registry and the EUTL;
 - (c) a list of AEAs, Kyoto units and credit entitlement acquired by that account as a result of completed transactions, detailing for each transaction the elements in point 7(f) (i) of this Annex;
 - (d) a list of AEAs and credit entitlement transferred out of that account as a result of completed transactions, detailing for each transaction the elements in point 7(f)(i) of this Annex.

Status:

Point in time view as at 31/01/2020.

Changes to legislation:

There are currently no known outstanding effects for the Commission Regulation (EU) No 389/2013.