eurex *circular 173/09*

Date: Frankfurt, September 18, 2009

Recipients: All Trading Members of Eurex Deutschland and Eurex Zürich

Authorized by: Thomas Lenz

⚠ **Action required**   ⚠ **High priority**

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eXAS - Electronic eXchange Admission Service

Related Eurex Circulars: 298/08

Contact: Member Services & Admission, tel. +49-(0) 69-2 11-1 16 40

Content may be most important for:	Attachments:
➲ All departments	1. Electronic Exchange Admission Service (eXAS) - Admission of Exchange Trader, User Manual 2. Electronic Exchange Admission Service (eXAS) - Admission Administration, User Manual

Summary:

Since December 15, 2008, Eurex has offered the Electronic eXchange Admission Service (eXAS) in the closed member group, the Members Section on its website www.eurexchange.com. By means of this service, users can apply for and process admissions, registrations and de-registrations of exchange traders and Qualified Back Office staff in an easy and efficient way.

As of December 1, 2009, admission, registration and de-registration of exchange traders and Qualified Back Office Staff will only be possible electronically via eXAS.

eXAS - Electronic eXchange Admission Service

Since December 15, 2008, Eurex has offered the Electronic eXchange Admission Service (eXAS) in the closed member group, the Member Section on its website www.eurexchange.com. By means of this service, users can apply for and process admissions, registrations and de-registrations of exchange traders and Qualified Back Office staff in an easy and efficient way.

The Electronic eXchange Admission Service gives you the opportunity to initiate and process all relevant steps for admission of individuals from any location worldwide and at any time and track the current status. Processing is made electronically, thus varying time zones or locations do not matter.

We are convinced that we will be able to offer you a significantly improved service from December 1, 2009.

As of December 1, 2009, admissions, registrations and de-registrations of exchange traders and Qualified Back Office Staff will only be possible electronically via eXAS.

Please make sure that as of this date at least one Admission Administrator and a deputy will be set up for your company. We will no longer process applications in paper form.

All necessary information, instructions and guidance for using eXAS is contained in the attached manuals. If you have any further questions or require assistance, please contact the following support teams:

For questions about the Web User Administration in the Member Section, please contact the Service Point team at tel. +49-(0)69-211-1 78 88 or send an e-mail to servicepoint@eurexchange.com.

For questions with reference to the functionality of eXAS or for additional information, please call the Member Services & Admission team at tel. +49-(0) 69-2 11-1 16 40.

Frankfurt, September 18, 2009

Electronic Exchange Admission Service (eXAS)

Application for Personal Admissions/Registrations User Manual

Version 2.0

Deutsche Börse AG

Electronic Exchange Admission Service (eXAS)

Application for personal Admissions/Registrations

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05.08.2009

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1 Introduction

The Electronic Exchange Admission Service (eXAS) is a service for online application, modification and termination of personal admissions and registrations. It is accessible via the Eurex Member Section or the Xetra/Floor Members Only area.

This document describes the application process for Exchange Traders at the Frankfurt Stock Exchange (Floor, XONTRO and Xetra) and at the Eurex Exchanges, the registration process for Qualified Back Office Staff at the Eurex Exchanges and all termination processes.

2 Preconditions

To be able to use eXAS, access to the Eurex Member Section or Xetra/Floor Members Only area is required. General explanations of the use of the Eurex Member Section or Xetra/Floor Members Only area can be found under "Service Point", "Web User Administration".

Users, who do not yet have a login for the Eurex Member Section or Xetra/Floor Members Only area, should contact their company's Central Coordinator. The Central Coordinator (or a deputy) will be able to provide the Company Login data with which a new user can begin the personal registration for a Member Section user name and password and request rights for the services that the new user desires. The personal admission service, part of eXAS, does not require specific rights (i.e. all users can access the personal admission menu).

Exchange Trader applicants must apply for their own admission.

## 3 Electronical Application Process: Admission of Exchange Traders

3.1 Selection of Markets

The user name for the Eurex Member Section or Xetra/Floor Members Only area is already linked with the associated company of the applicant and the menu is customized to the user's available options.

Due to the customization of the menu structure/navigation, the menu points are pre-selected based upon the admission status of the company and the applicant (see Pic. 1: Menu Structure/Navigation eXAS).

Example 1: If the company is only a member of Eurex, the applicant will not see the menu point "Frankfurt Stock Exchange".

Example 2: If the current user is already admitted as an Exchange Trader for Eurex, he/she will find Eurex only under the menu point "Exchange Trader Termination".
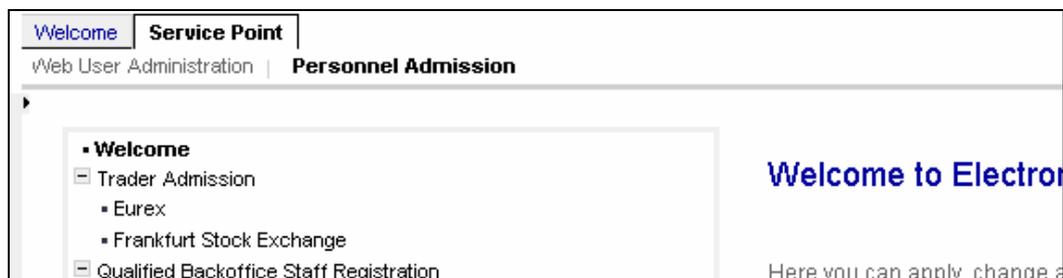
Pic. 1: Menu Structure/Navigation eXAS

At any page of the electronic application it is possible to go back, save all data or print the application. Saved applications will be available for six months after the date of creation under the menu point „Application Overview" (see Pic. 2: Application Overview).

Pic. 2: Application Overview

3.2 Confirmation of Legal Requirements

After selection of the desired application the confirmation page will open.

All three check boxes are mandatory and must be ticked (see Pic. 3: Confirmation of Legal Requirements).

Pic. 3: Confirmation of Legal Requirements

3.3 Personal Data

The applicant's personal contact information is available in the system from the registration process for the Eurex Member Section or Xetra/Floor Members Only area. In case the data are not current anymore, the correct information needs to be forwarded to one of the Member Services & Admission teams (see page 16). You can change the Applicant Data details (not the private address data) yourself in "My Profile" on the welcome page of the Member Section. Nevertheless you can continue with your application and change the data afterwards.

Due to regulatory requirements, applicants must provide their private contact information in case their Exchange Trader admission will be cancelled by the company. Because of that Deutsche Börse is obliged to send a revocation e-mail to the private contact data (see Pic. 4: Private Contact Information (Mail Authority).

Pic. 4: Private Contact Information (Mail Authority)

If an applicant applies for admission as an Exchange Trader at the Frankfurt Stock Exchange and the applicant's habitual residence is outside of Germany, a Mail Agent is required. In case the applicant does not have a Mail Agent he/she needs to tick the checkbox (see Pic. 5: Mail Authority Data). This requirement does not apply to Eurex applicants.

Mail Authority Data

Please choose between the Mail Authority Data of your Company or fill in your own data! If you choose the data of your company please insert a name and surname of a natural person.

eXAS Bank Inc / 1 Metrotech Ctr N / US- 11201-3870 Brooklyn ▼

First Name *	John	Last Name *	Smith
Street *	Metrotech Ctr N	Number *	
Street Supl.		Country *	USA ▼
Post Code	11201-3870	City *	Brooklyn
Email			

☑ I accept that the admission notification will be assumed as received 3 days after being sent via email or 7 days after being sent via post, in case I haven´t notify a mail agent above.

Pic. 5: Mail Authority Data

When applying for admission as an Exchange Trader at the Frankfurt Stock Exchange, traders can select the trading platform they wish to use for trading (see Pic. 6: Selection of Trading Platforms at the Frankfurt Stock Exchange). Here Exchange Traders can only see the trading platforms their associated company has an admission for and for which the Exchange Traders is not admitted, yet.

Admission Data

I intend to trade through:

☐ Floor   ☐ Xontro   ☐ Xetra

I hereby apply for admission as an Exchange Trader with the authorization to conclude trades at FWB Frankfurter Wertpapierbörse on behalf of the following company:

eXAS Bank AG

◄ Back | Cancel | Save | Continue ►

Pic. 6: Selection of Trading Platforms at the Frankfurt Stock Exchange

3.4 Curriculum Vitae / Resume

A feature of the Curriculum Vitae (CV) page is that all information entered by the applicant is saved and stored for future use, so that an applicant will only have to complete the CV page once. Additionally, Exchange Traders may add, change and delete data in their CV (see Pic. 7: Curriculum Vitae; Personal Data).

Pic. 7: Curriculum Vitae; Personal Data

The system checks automatically if the CV has been completed without any gaps. When errors exist within the CV information, the system will identify the specific missing information and prompt which fields must be adjusted before moving to the following page/screen (see Pic. 8: Curriculum Vitae; Details).The minimum required information is "Secondary School Education/Higher School Education" and "Employment History". Each area requires at least one data record. Data crossovers are allowed.

Pic. 8: Curriculum Vitae; Details

3.5 Professional Qualification

In line with the applicant's admission history of previously completed examinations and system training (if applicable), eXAS will automatically fill in some of the following data (see Pic. 9: Available Qualification):

n Admission within the last 2 years for at least 12 months

n Exchange Trader Examination with status:

– Registered

– Passed

– Failed

n System Training with status:

– Registered

– Participated

– Not Participated

Pic. 9: Available Qualifications

Once data about professional qualifications are available they will be displayed. Grayed-out checkboxes with a check mark indicate that the requirements are fulfilled.

According to the status of the Exchange Trader examination or the system training an instruction will be shown at the left side of the table (see Pic. 10: Eurex Exchange Trader Examination; Failed).

Expertise

Refresh Data

Regarding the Admission Regulations for Exchange Trader we can not accept your examination because the date is longer ago than 2 years or you do not have passed it. Please register for a new examination. Thank you very much!

Please click here to register for an examination.

System Data

Name of Qualification	Status	Date
Eurex-Börsenhändlerprüfung	Failed	3/9/2009

Pic. 10: Eurex Exchange Trader Examination; Failed

In case no data is shown regarding Exchange Trader examinations and/or system training of the applicant despite the applicant's participation, there are two possibilities to retrieve this data:

1. If the Exchange Trader examination and/or system training was booked through the Training Portal of Deutsche Börse AG (https://deutsche-boerse.com/dbag/dispatch/en/kir/gdb_navigation/trainingscenter/10_Trainingscenter_Portal_Home) the applicant must enter his/her Training Portal login and password to log into the Training Portal (see Pic. 11: Training Portal):

Log-In Process for Capital Markets Academy Data

In case there are no examinations and system trainings displayed but you have participated these and you have a username and password for the trainingsportal of the Capital Markets Academy, please log-in to retrieve all your data.

Login with another Username ▶

Login with your training portal username and password to retrieve your expertise and practical experience data.

Pic. 11: Training Portal

2. If the Exchange Trader examination and/or system training was not booked through the Training Portal of Deutsche Börse AG, or the applicant does no longer know the user name and password he/she can tick the following checkboxes to retrieve the data at a later point in time (see Pic. 12: Professional Qualification; Belated Data Recall).

Expertise

Refresh Data

Please click here to register for an examination.

☐ confirm that I have previously passed the Exchange Trader Examination within the last 2 years.

System Data

Practical Experiences

Refresh Data   **System Data**

☐ I confirm that I have previously attended the System Training Course.

If you do not have trading experience like those mentioned above, please click here to register for system training.

Pic. 12: Professional Qualification; Belated Data Recall

Please note: While using this option, it is not possible to show the Exchange Trader Exam or System Training course data during the application process. The data will be retrieved and integrated in the electronic application at a later point in time.

Data regarding practical experience can be entered at any time. You may choose from lists of all accepted Exchanges worldwide and all accepted multilateral trading systems and enter the time trading experience was gathered (see Pic. 13: Practical Experience). The system will check automatically whether or not the time period of active trading was at least 6 months within the last 2 years.

Practical Experiences

Refresh Data   **System Data**

☑ I confirm that I have been actively trading for 6 month within the last   If selected, please specify below.
2 years.

☐ I confirm that I have previously attended the System Training Course.

If you do not have trading experience like those mentioned above, please click here to register for system training.

Exchanges

Add Row | Delete Selected Row

	Exchange	Other Exchange	From		To	
	Frankfurt Stock Exchange		10	2007	04	2009

Multilateral Trading System

Add Row | Delete Selected Row

	Multilateral Trading System	Other Multilateral Trading System	From		To	
			MONTH	YEAR	MONTH	YEAR

◀ Back | Cancel | Continue ▶   Print as PDF

Pic. 13: Practical Experience

Once the checkbox „I confirm that I have been actively trading for 6 months within the last 2 years" has been ticked, the lists of all Exchanges and multilateral trading system opens automatically.

3.6 Submission of the Application

At the next step the applicant needs to choose one responsible Admission Administrator. For this purpose, all Admission Administrators that are already registered are listed. The applicant may also write a message in the "Comments" field, if required (see Pic. 14: Selection of Admission Administrator).
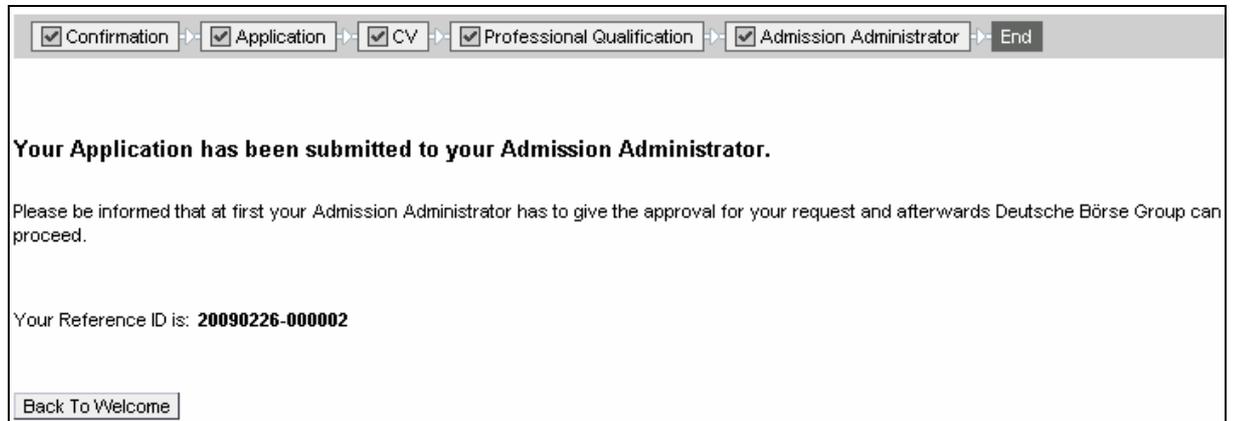

Pic. 14: Selection of Admission Administrator

As soon as the applicant clicks "Submit", the application will be forwarded to the selected Admission Administrator for approval (see Pic. 15: Confirmation of Submission).

Pic. 15: Confirmation of Submission

Once the application has been approved/released by the Admission Administrator, it is forwarded to Deutsche Börse AG for further processing.

4 Electronical Application Process: Registration of Qualified Back Office Staff

4.1 Confirmation of Legal Requirements

After selection of the desired application the confirmation page for legal requirements will open.

All checkboxes are mandatory and must be ticked (see Pic. 16: Confirmation of Legal Requirements).
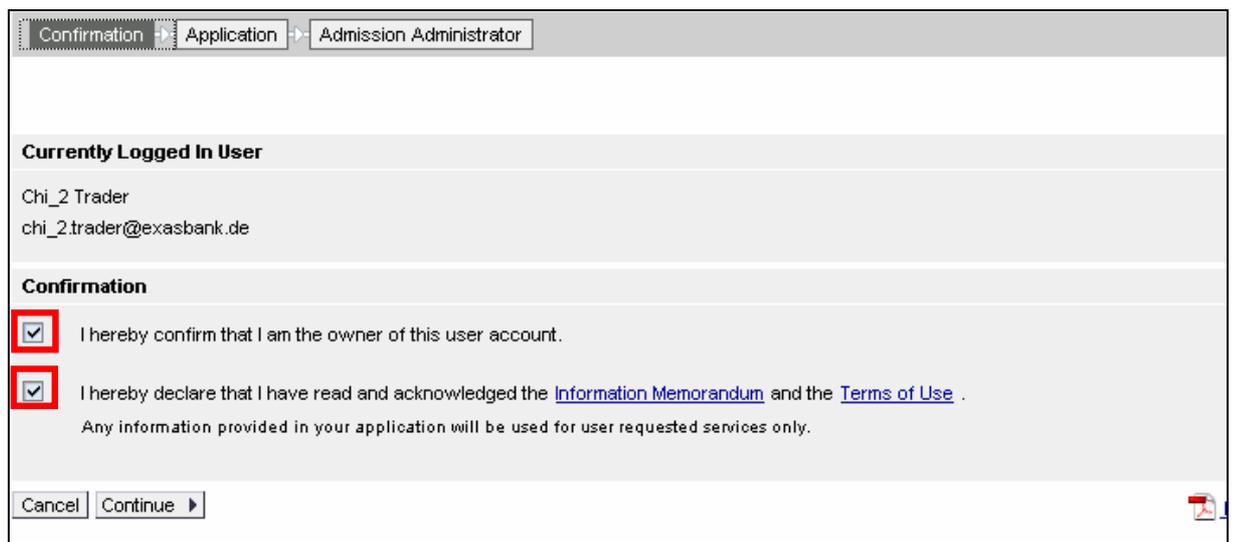
Pic. 16: Confirmation of Legal Requirements

4.2 Personal Data

The applicant's personal contact information is already available in the system from the registration process for the Eurex Member Section. In case the data are not current any longer, contact one of Deutsche Börse AG's representative offices (see page 16). The applicant can change the Applicant Data details (not the private address data) himself in "My Profile" on the welcome page of the Member Section. Nevertheless, you may continue with your application and change the data afterwards.

Due to regulatory requirements, applicants must provide their private contact information (see Pic. 17: Private Contact Information).

Pic. 17: Private Contact Information

4.3   Professional Qualification

Based upon the registration history as a Qualified Back Office Staff and previously completed Eurex Clearer Examinations (if applicable), eXAS will display the following data automatically (see Pic. 18: Available Qualification):

n The last de-registration as a Qualified Back Office Staff is not longer ago than 3 years

n Already existing registration as a Qualified Back Office Staff for other companies

n Eurex Clearer Examination with Status:

  – Registered

  – Passed

  – Failed

Pic. 18: Available Qualification

Once data about the professional qualification are available in the system, they will be displayed accordingly. Grayed-out checkboxes with a check mark indicate that the requirements are fulfilled.

According to the status of the Eurex Clearer Examination an instruction will be shown at the left side of the table (see Pic. 19: Eurex Clearer Examination, Registered).

Pic. 19: Eurex Clearer Examination, Registered

In case no data is shown regarding the Eurex Clearer Examinations of the applicant despite the applicant's participation, there are two possibilities to retrieve this data:

1. In case the Eurex Clearer Examination was booked through the Training Portal of Deutsche Börse AG (https://deutsche-boerse.com/dbag/dispatch/en/kir/gdb_navigation/trainingscenter/10_ Trainingscenter_Portal_Home) the applicant must enter the Training Portal login and password (see Pic. 11: Training Portal, page 8).

2. If this is not the case or the applicant does no longer know the user name and password he/she can also tick the following checkbox to retrieve the data at a later point in time (see Pic. 20: Professional Qualification; Data Recall):

Pic. 20: Professional Qualification; Data Recall at a later point in time

Please note: unfortunately, it is not possible to show the data during the application process. The data will be retrieved later and integrated in the electronic application.

4.4   Submission of the Application

At the next step, the applicant needs to select one responsible Admission Administrator. For this purpose, all Admission Administrators that are already registered are listed. In the "Comments" field, the applicant may also write a message addressed to the Admission Administrator , if required (see Pic. 21: Selection of Admission Administrator).

Pic. 21: Selection of Admission Administrator

As soon as the applicant clicks "Submit", the application will be forwarded to the selected Admission Administrator for approval (see Pic. 22: Confirmation of Submission).
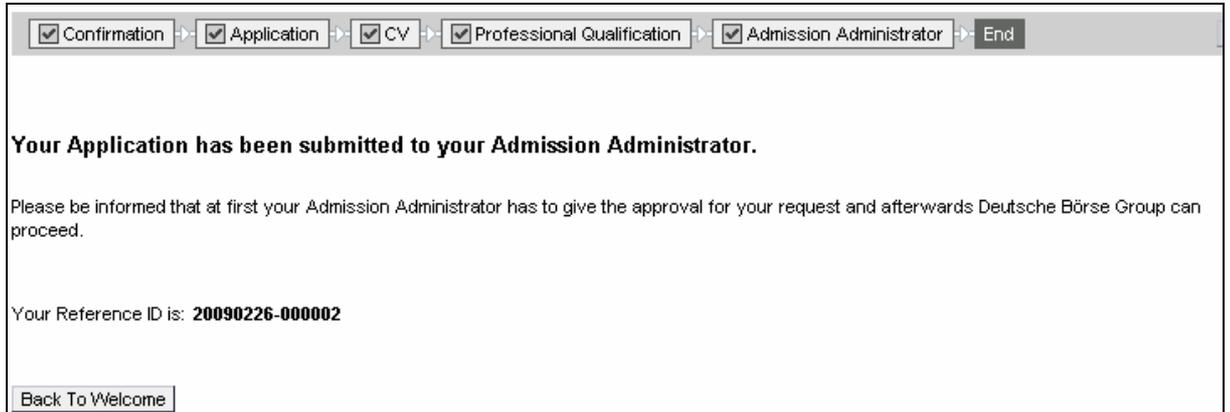
Pic. 22: Confirmation of Submission

Once the application has been approved/released by the Admission Administrator, it is forwarded to Deutsche Börse AG for further processing.

5 Hotlines and Support

For any questions about the login data to the Eurex Member Section or Xetra/Floor Members Only area, please call the Service Point team at +49-(0) 69-2 11-1 78 88 or e-mail to: servicepoint@deutsche-boerse.com

For further questions regarding the functionality of eXAS, please contact one of the following Member Services & Admission Teams:

Location	Telephone	E-mail
Zurich	+41-(0) 58-8 54-29 42	
Paris	+33 (0) 155- 27-67 67	paris.admission@deutsche-boerse.com
London	+44 (0) 207-8 62-71 65	uktraderadmission@deutsche-boerse.com
Chicago	+1-312-5 44-10 00	customer.support.chicago@deutsche-boerse.com
Frankfurt	+49 (0) 69-2 11-1 16 40	person.admission@deutsche-boerse.com

For any questions on the eXAS User ID Maintenance, please call Market Supervision Clearing Data Control at +49-(0) 69-2 11-1 24 53 or e-mail to: clearingdata@deutsche-boerse.com.

Electronic Exchange Admission Service (eXAS)

Admission Administration

User Manual

Version 2.1

Deutsche Börse AG

Electronic Exchange Admission Service (eXAS)
Admission Administration
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04 August 2009

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1 Introduction

The Electronic Exchange Admission Service (eXAS), which can be accessed via the Eurex Member Section or the Xetra/Floor Members Only area is a service for online applications, modifications and terminations of Exchange Trader admissions and Qualified Back Office Staff registrations. This service also includes the User ID Maintenance in which the setup, modification, and deletion of User IDs can be requested electronically. All involved persons will receive an update of each request via e-mail.

This document describes the administration of all processes regarding admissions of Exchange Traders at the Frankfurt Stock Exchange (Floor, XONTRO and Xetra) and the Eurex Exchanges, and processes regarding registrations of Qualified Back Office Staff.

2 Admission Administration

2.1 Terms of Use

In order to use eXAS, access to the Eurex Member Section or Xetra/Floor Members Only area is required.

Those who do not yet have a login for the Eurex Member Section or Xetra/Floor Members Only area, should contact their company's Central Coordinator. The Central Coordinator (or a deputy) will be able to provide the Company Login data with which a new user can begin the personal registration for a Member Section username and password and request rights for the services that the new user desires. The "My Admissions" service, part of eXAS, does not require specific rights (i.e. all users can access the "My Admissions" menu).

The right to use the new service as an Admission Administrator must be granted by the Central Coordinator or a Deputy.

All mandatory fields are marked with an (*).

2.2 Creation of a New User Account

As Admission Administrator, you are able to create a new user account for members of your company who do not yet have access to the Eurex Member Section or the Xetra/Floor Members Only area. To begin, navigate to the "Create Application" menu and proceed as follows: (see Pics.: 1a Create new User Account and 1b Create new Person):

Application on Behalf

1.) Please select an Exchange Trader*

Create New Person

		First Name	⇕	Last Name	⇕	E-Mail Address
▽						
		Matthias		Daub		
	✔	Alexandra		Morelle		
		Ilyas		Atas		
	✔	Arhan		Nam		
	✔	Claude		Bouchet		

Row 1 of 120 ▼ ⛛ ⛛

Persons with an existing registration for the Member Section are represented with a green tick. Persons without a green tick must first be registered in the Member Section for security reasons before an application may be created on their behalf. To start registrations for these users, simply click on the box on the left of their name, then select the option below "Create Portal Login" and follow the registration process. Once the person has verified the registration which you have initiated, the green tick will appear next to their name. Should a person's name not appear in the list, you may select the "Create New User" button at the top of the table and follow the same registration process described above for a new user.

2.) Create Portal Login for selected Trader

Create Portal Login ▶

Pic. 1a: Create new User Account

Willkommen | **Service Point** | Eurex Information | Xetra Information

Web User Administration | Internet Subscription Service (ISS) | Technical Services | My Admissions | **Admission Administration**

▸

User Setup ▷ Right Request ▷ User Activation ▷ User Validation ▷ Submit

Information

Conditions for Utilization of the Member Section

Existing Account

If an account already exists, relevant data can be preloaded. Please fill the username and password or please fill the last name and PID of an existing user

Username:

Password:

Last Name:

PID:

The Personal Identification Number is important to identify the user with the user name. It is a reference number and is useful for migrating information and/or preferences from an existing user to the user name you are creating e.g. in case of the user's change of company.

Load Data

Organisation Data

Organisation: eXAS Bank Schweiz AG

Personal Data

Title: Date of Birth:

First Name: *

Last Name: *

E-Mail Address: *

This e-mail address will serve as user name for the personal login to the Servicepoint.

Pic. 1b: Create new Person

1. Only persons with an existing registration for the Member Section or the Xetra/Floor Members Only area are marked by a green tick.
   First, select the person you wish to register for the Member Section (see Pic 1a).

2. Select the option "Create Portal Login" below.

3. This will show you an entry page requesting the personal data (name, e-mail address, initial password) of the person you wish to register. Mandatory fields are marked with an asterisk (*).
   When finished, click „Next".

4. After defining the personal data, pre-selected rights are presented. You as the Admission Administrator can only give basic rights to access the Member Section and to use eXAS.
   Once the person is registered, he/she can request additional rights by going to "Service Point", "Web User Administration". Additional rights must be approved by the Central Coordinator.

5. When finished, press „Submit". The new user will be informed via e-mail containing a link for e-mail verification. By activating the link the registration process is successfully completed.

2.3 Structure of Navigation

The personal login data for the Eurex Member Section/ Xetra/Floor Members Only area is already linked with the associated company of the applicant. This allows us to retrieve all person-related data as well as company-related data.

Due to the customization of the menu structure/navigation, the menu points have been pre-selected based upon the admission status of the company and the applicant (see Pic. 2: Menu Structure eXAS Admission Administration).

Example 1: If the company is only a member of Eurex, the Admission Administrator does not see the menu point "Frankfurt Stock Exchange".

Example 2: If the user is only an Admission Administrator for the Frankfurt Stock Exchange but the company is a member of both Eurex and the Frankfurt Stock Exchange, he/she can only see requests for the Frankfurt Stock Exchange.

Pic. 2: Menu Structure eXAS Admission Administration

2.4 Admission Overview

The Admission Administrator is authorized to process on behalf the following applications within the menu point "Create Application":

- Application for Admission as an Exchange Trader at the Frankfurt Stock Exchange and the Eurex Exchanges
- Application for Registration as a Qualified Back Office Staff at the Eurex Exchanges
- Termination of Trader Admission
- Termination of Registration of Qualified Back Office Staff

Selecting "Create Application" uploads a table of persons within the company:

Pic. 3: Navigation Structure eXAS – Admission Administration for Exchange Traders

Persons with an existing registration for the Member Section are marked with a green tick. Persons without a green tick must first be registered in the Member Section before an application may be created on their behalf. To start registrations for these users, click on the box on the left of their name, then select the below option "Create Portal Login" and follow the registration process. Once the person has verified the registration which you have initiated, the green tick will appear next to his/her name. If a person's name does not appear in the list, click on the "Create New User" button at the top of the table and follow the registration process for a new user as described above (see chapter 2.2)

After selecting a person from the list all possible application types are shown. Select your application type and click on "Start Application" (see Pic.: 4 Application Forms):

Pic. 4: Application Forms

During the application process on behalf no mandatory data are required. Once the future Exchange Trader or the Qualified Back Office Staff edit their application, he/she will be prompted to fill in mandatory fields to complete the application.

Depending on which application the Admission Administrator chooses the application process and required personal data differs.

2.4.1   Exchange Trader Admission on Behalf

The personal contact information is already available in the system if the person has already used eXAS; however, the personal data may be edited if necessary (see Pic.: 5 Personal Data of Future Exchange Trader).

Pic. 5: Personal Data of Future Exchange Trader

If the future Exchange Trader's habitual residence is outside of Germany, a Mail Agent is required. Please select the Mail Authority Data of your Company or fill in your own data. If you select the data of your company, please insert a name and surname of a natural person.

Pic..6: Mail Authority

After completing entering the personal data, the Admission Administrator needs to enter Curriculum Vitae/resume data of the future Exchange Trader (see Pic. 7 CV/Resumé).

Pic. 7: CV/Resumé

Once the future Exchange Trader fulfils the terms and conditions for professional qualification, eXAS will display some data automatically (see Pic. 8):

n Admission within the last 2 years for at least 12 months

n Exchange Trader Examination

n System Training

Note: The following information are required for the admission of Exchange Traders, according to paragraph 3 of the Admission Regulations for Exchange Traders at the Frankfurter Wertpapierbörse and at the Eurex Deutschland.

Expertise

Refresh Data

☑ You are registered for the examination.

Please click here to register for an examination.

System Data

Name of Qualification	Status	Date
FWB Exchange Trader Examination	Confirmation	6/24/2009

Practical Experiences

Refresh Data

☑ I confirm that I have been actively trading for 6 month within the last 2 years.

☑ You are registered for the System Training.

System Data

If selected, please specify below.

Name of Qualification	Status	Date
Xetra - Funktionales Member-Training	Confirmation	6/30/2009

If you do not have trading experience like those mentioned above, please click here to register for system training.

Pic. 8: Requirements fulfilled

In case the future Exchange Trader does not fulfil the requirements for professional qualification, the Admission Administrator has three possibilities to take a next step (see Pic. 9 Requirements not fulfilled):

1. Register the Exchange Trader for an examination and/or system training in the Training Portal of Deutsche Börse AG. The link will lead you directly to the Training Portal. Admission Administrators can book on behalf.

2. Apply for an In-house Exchange Trader Examination. Regarding the final organisation Capital Markets Academy will contact you as soon as possible.

3. Enter data on practical experience of the applicant who actively traded for 6 months within the last 2 years. Then select the relevant exchange from among a list of all accepted Exchanges world-wide and all accepted multilateral trading systems.

Log-In Process for Capital Markets Academy Data

In case there are no examinations and system trainings displayed but you have participated these and you have a username and password for the trainingsportal of the Capital Markets Academy, please log-in to retrieve all your data.

Login with another Username ▶

Expertise

Refresh Data   **System Data**

Please click here to register for an examination.

☐ I apply for an Inhouse Exchange Trader Examination.

Here you have the possibility to apply for an InhouseTraining/Examination. Regarding the final organisation Capital Markets Academy will contact you as soon as possible.

☐ I confirm that I have previously passed the Exchange Trader Examination within the last 2 years.

Practical Experiences

Refresh Data   **System Data**

☐ I confirm that I have been actively trading for 6 month within the last   If selected, please specify below.
   2 years.

☐ I apply for an Inhouse System Training.

Here you have the possibility to apply for an InhouseTraining/Examination. Regarding the final organisation Capital Markets Academy will contact you as soon as possible.

☐ I confirm that I have previously attended the System Training Course.

If you do not have trading experience like those mentioned above, please click here to register for system training.

◀ Back | Cancel | Save | Continue ▶   🗎 Print as PDF

Pic. 9: Requirements not fulfilled

These different options will not always apply to everyone. Applicants must select the option that best describes their situation. Should the options that are provided require further explanation, the applicant can provide additional comments on the following page prior to submission.

Then one responsible Admission Administrator must be selected from the list of all Admission Administrators within the company. Here the applicant can add any further information if necessary and send an e-mail (see Pic. 10 Selection of the Admission Administrator):

Pic. 10: Selection of the Admission Administrator

When the Admission Administrator clicks "Submit", the application will be forwarded to the future Exchange Trader for review and completion of the application.

2.4.2   Qualified Back Office Staff Admission on Behalf

For Qualified Back Office Staff Admission on Behalf personal data and Curriculum Vitae/Resume data are not required.

Once data about the professional qualification of the Qualified Back Office Staff are available in the system, eXAS will display some data automatically.

n The last de-registration as a Qualified Back Office Staff is not longer than 3 years ago.

Pic. 11a: Expertise

n Already existing registration as a Qualified Back Office Staff for other companies which has an In/Out-Sourcing relation with the company of the Admission Administrator.

n Eurex Clearer Examination

Pic. 11b: Expertise

In case the future Qualified Back Office Staff does not fulfil the terms and conditions for professional qualification, the Admission Administrator has the following possibility:

n Apply for a Eurex Clearer Examination within the Training Portal of Deutsche Börse AG. The link will lead you directly to the Training Portal. Admission Administrators can book on behalf.

Pic. 11c: Expertiise

These different options will not always apply to everyone. Applicants must select the option that best describes their situation. Should the options that are provided require further explanation, the applicant can provide additional comments on the following page prior to submission.

Then one responsible Admission Administrator must be selected from the list of all Admission Administrators within the company. Here the applicant can add any further information if necessary.

When the Admission Administrator clicks "Submit", the application is forwarded to the future Qualified Back Office Staff for review and completion.

2.5 Application Overview

Within the menu point "Application Overview" the Admission Administrator has the possibility to see the status of the following applications (see Pic. 12: Application Overview):

	Reference ID	Name	Description	Status	Created on		OK
▽							
	20090619-000017	Elle Driver	Trader Admission/Registration process Eurex:Trader	Draft by Administrator	19/06/2009	Select action... ▼	OK
	20090408-000017	CH02 Trader	Trader Admission/Registration process FWB:Xetra	In Process	08/04/2009	Select action... ▼	OK

Application Overview

Pic. 12: Application Overview

- Application for Admission as Exchange Trader

- Application for Registration as Qualified Back Office Staff

The following actions can be done with an application:

- Reject: The application disappears from the "Application Overview" and the applicant will be informed about the rejection via e-mail.

- View: The complete application is reviewable without making changes.

- Approve: The application will be submitted to Deutsche Börse AG.
              (Only when the Admission Administrator has the necessary permission!)

- Forward: The application will be forwarded to another Admission Administrator for reviewing. (Only when the Admission Administrator has the necessary permission!)

- Print: The application will be printed in pdf-format without making changes.
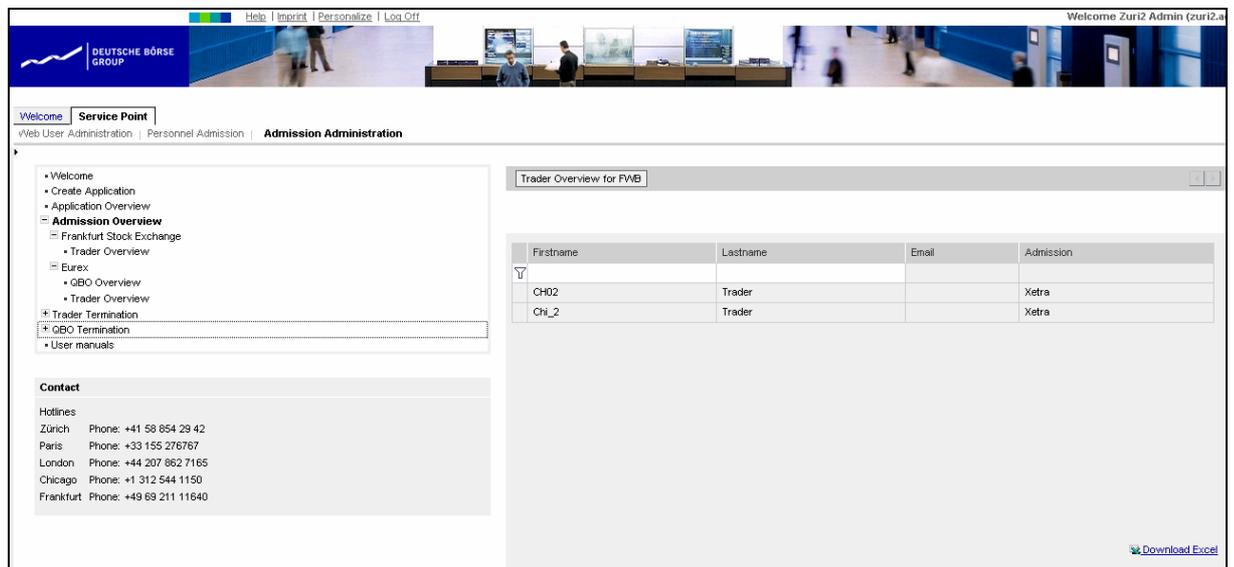
2.6 Admission Overview

The Admission Administrator can upload daily updated excel lists of the following groups of persons:

- Admitted Exchange Traders

- Registered Qualified Back Office Staff

(see Pic. 13: Admission Overview).

Within the lists, you may search/select for first names and last names. Within the menu structure the Admission Administrator can make a pre-selection of the market (Eurex or Frankfurt Stock Exchange) and the type of person (Exchange Trader or Qualified Back Office Staff).

Pic. 13: Admission Overview

2.7 Termination of Admission of Admitted/Registered Persons

The Admission Administrator may apply on behalf for the following termination requests:

n Termination of Admission as Exchange Trader

n Termination of Registration as Qualified Back Office Staff

Admission Administrators must first confirm their authorization before applying for a termination (mandatory field, see Pic.14 Confirmation About Authorization).

Pic.14: Confirmation About Authorization

After confirmation, the Admission Administrators will be able to select from a complete list the person for whom they would like to terminate the admission or registration (see Pic. 15: Termination of Admission of an Exchange Trader).

Termination Data

Cancel admission at:

☐ Floor ☐ Xontro ☑ Xetra

◄ Back │ Cancel │ Submit ►

🔻 Print as PDF

Pic.15: Termination of Admission of an Exchange Trader

3 Hotlines and Support

For questions about the Login ID for the Eurex Member Section or Xetra/Floor Members Only area, please contact the Service Point Team at +49-(0) 69-2 11-1 78 88 or via e-mail at servicepoint@deutsche-boerse.com.

For any questions regarding eXAS, please call the following Member Services & Admission Teams:

Location	Telephone	E-mail
Zurich	+41-(0) 58-8 54-29 42	
Paris	+33 (0) 155- 27-67 67	paris.admission@deutsche-boerse.com
London	+44 (0) 207-8 62-71 65	uktraderadmission@deutsche-boerse.com
Chicago	+1-312-5 44-10 00	customer.support.chicago@deutsche-boerse.com
Frankfurt	+49 (0) 69-2 11-1 16 40	person.admission@deutsche-boerse.com

For any questions on the eXAS User ID Maintenance, please contact Market Supervision Clearing Data Control at tel. +49-(0) 69-2 11-1 24 53 or via e-mail at clearingdata@deutsche-boerse.com.