Eurex Deutschland
c/o Eurex Frankfurt AG
Group Client Key Account Management Trading
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Germany

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Name of the trading member

Address 1 Street No

Address 2

Zip Code City

Country

Contact Person
First name / Last name

Telephone Fax

E-Mail

Member-ID

This questionnaire encompasses the regulatory requirements of Commission Delegated Regulation 2017/584 of 14.7.2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council with regard to regulatory technical standards specifying organizational requirements of trading venues, Article 7 Due Diligence of members of trading venues.

Herewith, Eurex requires you as trading participant to complete the questionnaire on an annual basis.

1. Do you use pre-trade controls in order to check particular price, volume and value of orders and the usage of the system according to Commission Delegated Regulation 2017/589 Article 15? Do you use post-trade controls on your trading activities? (all boxes have to be ticked due to the Commission Delegated Regulation (EU) 2017/589 and §§29, 31 of the Eurex exchange rules.)

☐ Price collars, which automatically block or cancel orders that do not meet set price parameters

☐ Maximum Order Values, which prevent orders with an uncommonly large order value from entering the order book

☐ Maximum Order Volumes, which prevent orders with an uncommonly large order size from entering the order book

☐ Maximum messages limits, which prevent sending an excessive number of messages to order books pertaining to the submission, modification or cancellation of an order

☐ Post-Trade Controls as defined in Commission Delegated Regulation 2017/589, Art.17

2. Please confirm that one of your staff in a key position is registered as a nominated person.

☐ Yes

☐ No

If yes, please enter at least one relevant registered nominated person

Name of nominated person Eurex

1) _____

2) _____

3) _____

3. Please confirm that you have performed the technical and functional conformance testing before every major IT release.

☐ Yes

☐ No

4. Please confirm that at any time you are able to use your kill functionality to cancel any or all unexecuted orders submitted to our trading venue according to Commission Delegated Regulation 2017/589, Article 12.

☐ Yes

☐ No

5. Please confirm that you are registered as an authorized investment firm as defined in Art. 4(1) of Directive 2014/65/EU.

☐ Yes

☐ No

If no, please enter the reason how you are exempted or not in scope of MiFID

6. Please inform us whether you provide your clients with direct electronic access (DEA) to our systems. Please, confirm compliance with Commission Delegation Regulation 2017/589, Article 22.

☐ Yes

☐ No

	22-Oct-2018	
Place	Date	Company stamp and signature (company name in capitals)