Announcement of Outsourcing of Clearing Functions of Clearing Members of Eurex Clearing AG

Eurex Clearing AG
c/o Eurex Frankfurt AG
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Applicant

Company name

Address

Street No Address 1

Address 2

Zip Code City

Country

Contact person

First Name

Last Name

Phone Fax

E-mail

Clearing Member ID

Announcement of outsourcing of clearing functions

Pursuant to chapter 1 Section 1 Number 15.2 of the Clearing Conditions for Eurex Clearing AG, we hereby announce the outsourcing of clearing functions relating to our following Clearing license(s):

- ☐ at the Eurex Deutschland and the Eurex Zürich (Eurex Exchanges)
- ☐ at Eurex Bonds GmbH (Eurex Bonds)
- ☐ at Eurex Repo GmbH (Eurex Repo)
- ☐ at the Frankfurt Stock Exchange (FWB)
- ☐ at the Xetra International Market (FWB)
- ☐ at the Irish Stock Exchange (ISE)
- ☐ at the European Energy Exchange (EEX)
- ☐ at OTC Derivatives
- ☐ at Securities Lending

The outsourcing shall take effect on _____ (ddmmyyyy). The outsourcing arrangement is

- ☐ limited to the following date _____.
- ☐ unlimited.

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One or more of the following clearing functions shall be outsourced relating to the respective Clearing license(s):

Give-up / Take-up

Position Transfers

Exercises & Assignments

Trade & Position Management

Notification & Allocation

Cash, Delivery & Collateral Management

Risk Management

The following company will insource our clearing functions:

Insourcer

Company Name

Street | No. | Zipcode | City

Country | registered location

The following staff members of the outsourcer and the insourcer will be available during regular business hours relating to the outsourced functions and have sufficient German and/or English language skills:

Contact person (Insourcer):

First Name

Last Name

Phone | Fax

E-mail

Contact person (Outsourcer):

First Name

Last Name

Phone | Fax

E-mail

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Additionally, we confirm the following in connection with the outsourcing:

☐ Notwithstanding the operational outsourcing of the clearing functions, we will remain fully responsible for the orderly conduct of the outsourced functions towards Eurex Clearing AG at any time.

☐ The outsourcing is in compliance with the laws and regulations applicable to the outsourcer as well to the insourcer and the relevant Clearing Agreement.

☐ The orderly conduct of the outsourced functions is ensured.The insourcer has adequate resources and expertise. Concerning this matter, we have obliged the insourcer in particular to:

- ☐ keep customer-related data confidential and protected and to use such customer-related data only for the purposes of fulfilling the outsourced functions.
- ☐ appoint a qualified back-office staff member (QBO), who will be registered via eXAS.

☐ The outsourcing is supervised by appropriate procedures documented in writing including audits on a regular basis at the insoucer.

☐ The access to the outsourced functions is ensured at any time and guidelines for each outsourced function are established that the insourcer must follow in performing such outsourced functions.

☐ An internal qualified back-office staff member (QBO) is registered.

☐ The limitations on self-contracting pursuant to section 181 of the German Civil Code (Bürgerliches Gesetzbuch) or similar provisions in other applicable laws are complied with in respect of the outsourced functions, in particular with respect to the establishment of Transactions.

☐ In the case of a direct technical connection of the insourcer to the systems of Eurex Clearing AG, procure that all consents and authorisations that are necessary for the transfer of personal data from Eurex Clearing AG to the insourcer and for any other processing or use of personal data, in connection with the outsourced functions, are in place. The Connection Agreement of Eurex Clearing AG is in place.

In case of a sub-outsourcing pursuant to Chapter 1, Section 1 Number 15.2.2 of the Clearing Conditions for Eurex Clearing AG:

The outsourcer agrees herewith to the announced outsourcing of his insourcer.

_____
Signature (Name in capital letters)

Date	Place	Company Stamp and signature of the Compliance Officer of the Clearing Member (Name in capital letters)