Xetra Circular 193/08

BÖRSE FRANKFURT

Action required!

To all Xetra® Members and Vendors

Recipients: Technical Contacts, Traders, Project Coordinators, System Administrators

Management Board

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November 10, 2008

Xetra Release 9.1:
Production Start and Members' Preparatory Activities, Publication of Xetra J-Trader User Manual (Final Version)

Dear Sir or Madam,

For preparation of the production start of Xetra Release 9.1 on November 24, 2008, we would like to inform you about necessary activities prior to and during the release introduction. This circular contains the following information:

1) Distribution of Xetra Release 9.1 Front-End Software Kits
2) Installation of Xetra Release 9.1 Front-End Software Kits
3) Distribution of @Xetra Release 9.1 Production Software via Java Web Start
4) Time Schedule prior to Xetra Release 9.1 Introduction
5) Fallback Procedure for Xetra Release 9.1 Production Launch
6) Trading on Behalf
7) Availability of Simulation Environment
8) Introduction of Funds

Also, we would like to inform you that the final version of the Xetra J-Trader User Manual for Xetra Release 9.1 is now available on the Deutsche Börse Group website www.deutsche-boerse.com under the path

Trading & Clearing > Members Only > Xetra/Floor > Xetra Information > Xetra Documentation > Xetra 9.1 > Functional

The Xetra Release 9.1 Xetra Trader User Manual is aimed at Xetra traders and serves as detailed reference guide to the Xetra J-Trader GUI and its features. It also describes available reports.

1) Distribution of Xetra Release 9.1 Front-End Software Kits

On Friday, **November 14, 2008**, after close of trading, you will receive the Xetra Release 9.1 production software kits. Transmission to your report nodes will take

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place via file transfer (FTP) over the Xetra network.

Xetra Release 9.1 is not backwards compatible. Installation of the Xetra Release 9.1 kits is therefore mandatory. Applications currently used have to be adjusted. With Xetra Release 9.1 the GATE software will not change, i.e. installation of GATE 3.5 is a prerequisite. Optionally, GATE update version 2 can be used.

In conjunction with the introduction of Xetra Release 9.1, no new USIM files for Windows and SUN-Solaris MISSes are required.

The target transfer directories on the Xetra Release 9.1 production MISSes are:

For Xetra Frankfurt:
SUN Solaris 10: **/opt/gate/transferdir/release51**
Windows Server 2003: **<ftp-root directory>\release51**

For Xetra Frankfurt 2:
SUN Solaris 10: **/opt/gate/transferdir/release61**
Windows Server 2003: **<ftp-root directory>\release61**

Each member will receive both production kits, one for SUN Solaris 10 and one for Microsoft Windows Server 2003/Windows XP.

To ensure smooth distribution of the kits, please note the following:

- At least **120 MB** disk space has to be available in the transfer directory on each of your production MISSes.
- To enable the file transfer, please make sure that your Xetra production MISSes are reachable via the Xetra network without interruption from Friday evening, **November 14, 2008** until Tuesday morning, **November 18, 2008**.
- Please check that the necessary read and write permissions for files and folders are set correctly.

Deutsche Börse AG will monitor the successful distribution of the Xetra Release 9.1 front-end software kits. In case of any transfer problems, another transfer will be initiated for the next day. In addition, the software will be available for down-load from the website of Deutsche Börse Group www.deutsche-boerse.com as of **November 17, 2008** under the following path:

Trading & Clearing > Members Only > Xetra/Floor > Xetra Information > Xetra Software > Xetra 9.1

2) Installation of Xetra Release 9.1 Front-End Software Kits

To ensure a smooth release start, kindly consider and perform the following activities in due time:

- Installation of the Xetra Release 9.1 production software is mandatory for all Members.
- The last trading day of Xetra Release 9.0 will close on Friday, November 21, 2008 at around 8.30 p.m. CET, after the post-trading period. On this trading day, installation of Xetra Release 9.1 production kits may only be performed after the end of the batch run and the dispatch of reports.

For further details please refer to the "Xetra Release 9.1 Front End Installation Guide" (published with Xetra Circular 174/08). Members should make themselves familiar with all installation steps in good time and allow enough time for the installations. Additional information can be found in the "Installation Notes" (readme file) distributed together with the kits.

For those Members, who intend to carry out an operating system upgrade together with the installation of the production software, we strongly recommend to perform a full back-up of the release software installed (Xetra Release 9.0) including the operating system prior to the new installation. This allows a quick rollback to the previous version in case of an emergency.

3) Distribution of @Xetra Release 9.1 Production Software via Java Web Start

For trading members using @Xetra, the Xetra Release 9.1 production software will be available via the Java Web Start technology as of **November 22, 2008, 2.00 p.m. CET**.

To the @Xetra customers, all front-end software components for Xetra Release 9.1 will be distributed by the Web Start servers managed by Deutsche Börse Systems AG.

By logging in on page

http://atxetra.deutsche-boerse.com/xetra/prod/

@Xetra members can start installation automatically. Connection tests can be run starting November 22, 2008, 2.00 p.m. CET.

Please note that downloading the @Xetra software may take up to 20 minutes, depending on the bandwidth of your internet connection. Therefore, we highly recommend downloading the software on Saturday, November 22, 2008. @Xetra customers will be able to log in to the Xetra production back-end on **November 24, 2008**.

For @Xetra Release 9.1, it is compulsory to install Java version **jre1.6.0_05**. Also, it is mandatory that they

- clean the Java cache and the browser cache and
- delete the desktop icons

on Friday, November 21, 2008 (after end of trading) and before the start of the Xetra Release 9.1 connection test on November 22, 2008 (start: 2.00 p.m. CET).

For a detailed description of this procedure please refer to the "@Xetra Front End Installation & Operations Guide".

4) Time Schedule prior to the Introduction of Xetra Release 9.1

Saturday, November 22, 2008 – Connectivity Test

Installation of the Xetra Release 9.1 production kits should be carried out on Saturday, November 22, 2008. The Xetra and Eurex® back-ends (for testing of MultiMarket MISSes) will be available on Saturday afternoon between 2.00 p.m. and 5.00 p.m. CET for the connectivity test. To avoid any risks or delays in connecting to Xetra on the first production day, we highly recommend that you use this period for connectivity testing.

The connectivity test can be regarded as successful when the Xetra message "**Xetra Release 9.1**" appears in the MessageLog window. Please make sure that an authorized staff member is available who may log in to the Xetra trading system.

Customer Technical Support Xetra will be available to answer your questions regarding connectivity testing on November 22, 2008 between 2.00 p.m. and 5.00 p.m. CET under

telephone: +49-(0) 69-2 11-1 84 00
fax: +49-(0) 69-2 11-1 84 01
e-mail: xetra-help@deutsche-boerse.com.

Test of automatic Reconnect Mechanism

On Saturday, November 22, 2008, after completion of the Xetra Release 9.1 connection test, Deutsche Börse will simulate disruption of the MISS-to-communication server (CS) connection in order to test the automatic reconnect mechanism. The test will be performed between 5.00 p.m. and 5.30 p.m. CET.

In order to enable Deutsche Börse to perform this test, we urge all Members participating in the Xetra Release 9.1 connection test to keep their MISS architecture up and running until 5.30 p.m. CET. Otherwise, testing will be impossible.

Under no circumstances should the MISS architecture be manually restarted while the test is in progress.

Important:
An automatic reconnect can only be executed successfully by Deutsche Börse, if the network ports 15107 (Xetra), 16107 (Xetra Frankfurt 2) and 16807 (Xetra-Vienna) on the production MISS group are accessible. Thus, it is essential **NOT** to block these ports by firewall and/or router settings.

Supplementary information
Network port 1@@07 is a listening port available on the MISS. This port is used after disruption of the MISS-to-communication server connection and when the MISS has entered into "reconnect-wait" state. In such cases, the communication server can transmit the reconnect request to the MISS via this port. **If the network port 1@@07 on the MISS is not accessible for the connection attempt of the communication server, the MISS can not be reconnected to Xetra and the MISS downtime may be unnecessarily extended.** Therefore, we would like to remind all Members to consider the accessibility of this port in the context of router and firewall configurations.

As described in member document "Network Access to Exchange Applications" the network connection between the member-side MISS and the exchange-side communication server (CS) requires several network ports on the MISS to be accessible.

The document "Network Access to Exchange Applications" is available on the website of Deutsche Börse Group www.deutsche-boerse.com under the path:

Trading & Clearing > Members Only > Xetra/Floor > Xetra Information > Xetra Documentation > Xetra 9.1 > Technical

In detail, these ports are:

Port	Usage	Direction
1@@03	Listen Port on CS	bi-directional CS <==> MISS
1@@05	Listen Port on CS	bi-directional CS <==> MISS
1@@06	Listen Port on CS	bi-directional CS <==> MISS
1@@07	Listen Port on MISS	uni-directional CS ==> MISS

The network protocol used is TCP/IP and the wildcard "@@" has to be replaced by the Xetra environment numbers, e.g. with "51" for Xetra production, "61" for Xetra Frankfurt 2 production, "68" for Xetra Vienna production.

Monday, November 24, 2008 – Production Start

On Monday, November 24, 2008, Xetra back-ends Frankfurt and Frankfurt 2 will be started at 2.30 a.m. CET. The trading day with Xetra Release 9.1 will start at 7.30 a.m. CET, as usual. Trading parameters will not be modified at the production start of Xetra Release 9.1 with the following exception:

- Minimum Midpoint Order Value:
  For equities in Continuous Trading (Xetra Frankfurt), this parameter will be set to 25,000 € for instruments in the DAX1 instrument group (i.e. constituents of the DAX® index including preference shares and ADRs) and to 10.000 € for non-DAX instruments.

Orders entered until November 21, 2008 (end of trading) in Xetra Frankfurt or Xetra Frankfurt 2 but not executed, will still be available on November 24, 2008, unless another validity restrictions were set.

As part of the migration, trader profiles used under Xetra Release 9.0 were copied. Please check your trader profiles and make adjustments where necessary.

Access to historical trades in the Back Office Information window will not be possible due to the introduction of the new release. Historical Xetra Release 9.0 reports have to be requested with Customer Technical Support Xetra.

A list of items which are important prior to the production launch of Xetra Release 9.1 and should therefore not escape your attention will be published on November 20, 2008.This "Points of Interest" list will be available together with the existing and continually updated FAQ list on the Deutsche Börse Group website www.deutsche-boerse.com under the path

Trading & Clearing > Members Only > Xetra/Floor > Xetra Information > Xetra Documentation > Xetra 9.1 > Functional

5) Fallback Procedure for Xetra Release 9.1 Production Launch

In the event of trading not being possible with Xetra Release 9.1 after its introduction on November 24, 2008, preparations have been made to continue electronic trading with Xetra Release 9.0. Should such a fallback become necessary intraday on November 24, 2008, Deutsche Börse will inform your designated emergency contacts and provide further information.

For this purpose, please ensure that your emergency contacts will be available on Monday, November 24, 2008 between 7.00 a.m. and 8.30 p.m. CET. In case a fallback becomes necessary during the connection weekend, please make sure your emergency contacts will be available on Saturday, November 22, 2008 between 2.00 p.m. and 7.30 p.m. CET and, if necessary, on Sunday, November 23, 2008 between 9.00 a.m. and 2.30 p.m. CET. The relevant member impact in the event of a fallback is described below:

- Members will be able to switch back to Xetra Release 9.0 without installing additional software. The necessary activities are described in detail in the Installation Notes, which will be distributed together with the Xetra Release 9.1 production kit. The same information can also be found in the "Xetra Release 9.1 Front End Installation Guide". These activities do not have to be performed if the Xetra Release 9.1 production kit was not yet installed.

- The settings of the last trading day (November 21, 2008) of the Xetra Release 9.0 production will be restored. Therefore, modifications made by members in Xetra Release 9.1 production regarding, for example, access authorizations or definition of window settings, have to be re-entered after the re-opening of Xetra Release 9.0.
- Trades already concluded in Xetra Release 9.1 will be transmitted to XONTRO Trade. Due to the necessary fallback, such trades will not be included in the Xetra XML and text reports, but will only be reported in the XONTRO Trade contract notes. No fees will be charged for these trades.
- Orders and stop orders, which were not executed before termination of Xetra Release 9.1 production as well as non-confirmed OTC trades have to be re-entered.
- Important information relevant for trading will be provided to the Members on the Xetra Newsboard from which they can be retrieved.

6) Trading on Behalf

Should a technical problem occur which prevents a Trading Member from participating in trading of fund shares on Xetra Frankfurt 2, the Management Board of Frankfurt Stock Exchange offers the opportunity of "trading on behalf" (trading on behalf of the exchange participant). A trader may forward orders from his company to Market Supervision Xetra Frankfurt 2 by telephone (tel. +49-(0) 69-
2 11-1 93 33). Staff members of Market Supervision Xetra Frankfurt 2 will then be able to make entries in the system on behalf and in the name of the Trading Member concerned until the Trading Member's own trading systems are available again. The procedure described below will be applied.

Please note that the following system entries cannot be made "on behalf":

- Entry or modification of stop orders
- Entry or modification of quotes
- Orders in connection with L accounts (Xetra account type "L")

"Trading on behalf" procedure

The "trading on behalf" procedure is initiated through a Trading Member's application by telephone. The "trading on behalf" service is only available as long as a sufficient number of staff members at Market Supervision Xetra Frankfurt 2 is available for processing the orders.

The applicant nominates a trader including the assigned active trader ID. The trader ID will be checked by Market Supervision Xetra Frankfurt 2 for validity. After validation was successfully completed, the applicant may commission orders (e.g. order entry, order deletion, order/quote mass deletion).

The orders will be entered immediately by Market Supervision Xetra Frankfurt 2 after they were commissioned. Each entry/deletion will be confirmed by telephone. Transactions will be documented and telephone conversations recorded.

7) Availability of Simulation Environment

After the end of the release simulation on November 14, 2008, the simulation environment for Xetra Frankfurt and Xetra Frankfurt 2 will continue to be available, although no more focus days will be offered as of November 15, 2008. Also the CEF® environment will continue to be available with the exception of the period November 24 until November 28, 2008.

8) Introduction of Funds

Introduction of funds instruments will not take place before December 1, 2008. Please refer to document "Migration Description Funds" for details about the migration procedure. This document was published on August 25, 2008 and is available on the Deutsche Börse Group website www.deutsche-boerse.com under the path

Trading & Clearing > Members Only > Xetra/Floor > Xetra Information > Xetra Documentation > Xetra 9.1 > Functional

Orders in instruments to be migrated that are still pending on Friday evening, November 28, 2008 will be deleted by the XONTRO system during the night batch. Deleted orders have to be re-entered in Xetra Frankfurt 2 on Monday morning, December 1, 2008, where required.

Special preparations for a possible fallback of the product introduction are not required. We will inform you in due time about activities that might become necessary in case of a fallback.

For questions with technical background please contact Customer Technical Support Xetra on tel. +49-(0) 69-2 11-1 84 00. Inquiries about functionality can be addressed to the Xetra Frankfurt Trading Helpline on tel. +49-(0) 69-2 11-1 14 00 or the Xetra Frankfurt 2 Trading Helpline on tel. +49-(0) 69-2 11-1 93 33. For any other questions you may have, please call Member Services & Admission on +49-(0) 69-2 11-1 16 40.

Yours faithfully,
On behalf of the Management Board

Axel Birk

Holger Patt