X-pand into the Future

e u r e x *circular 074/00*

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Recipients: All Eurex members and vendors
Authorised by: Jürg Spillmann

Updated Application Forms for the Admission of Additional Traders

Contact: Hartmut Schmidt (Eurex Membership Unit): Tel. +49 (0)69 -2101-4888 or 7348

Content may be most important for:	**Attachments:**
➲ Front Office / Trading ➲ Auditing / Security Administration	1. Information Memorandum on Application for Admission 2. Application for Admission of Additional Exchange Traders 3. Reference Data Sheet for Traders 4. Request for Setting up User-IDs at Eurex

The application forms for admission of additional Exchange Traders at the Eurex Exchanges have been reviewed and updated. This should facilitate the application process for persons applying for authorisation to trade on behalf of your institution on the respective Eurex Exchange.

As a result of the revision, the Application for Admission as an Exchange Trader at the Eurex Exchanges no longer requires the submission of a “signed CV ” nor a “copy of a valid identity card ”.

You will find a set of the three new forms attached (Attachments 2 to 4). These forms have to be submitted for every new application for admission as an Exchange Trader at Eurex. This includes both the initial admission as well as re-admission of a trader (e.g. on change of employer).

A short summary of the required forms necessary for admission as an Exchange Trader at the Eurex Exchange can be found in the Information Memorandum (Attachment 1).

The admission timetable for new Exchange Traders at Eurex remains unaffected as follows:

The admission process for traders takes place on the 1st and 15th of each month, or the first business day thereafter. Completed documents need to be submitted 8 days before the desired admission date.

The documents should be sent by fax to :

Eurex Membership Unit: Fax: + 49 (0)69 -2101-3802

Please be advised that only application forms which are complete and received in time can be taken into consideration. Delayed or incomplete application forms will be presented to the Management Boards of the Eurex Exchanges, after completion, at a subsequent admission process.

Information Memorandum regarding the Application for Exchange Trader Admission at Eurex

Persons designated to be authorized to enter into options and futures transactions at the Eurex exchanges on behalf of an admitted company (Subsection 3.2 of the Eurex Exchange Rules) will be admitted by the respective Eurex Exchange upon application, provided that such persons are reliable and have the necessary professional qualification for options and futures exchange trading.

For the purpose of proof of the admission requirements pursuant to Subsection 3.2 of the Eurex Exchange Rules, the following documents and evidence must be enclosed with the application for admission:

- **In the case of *initial application* for admission as an Exchange Trader at the respective Eurex Exchanges:**

1. Application for Exchange Trader Admission

2. Trader Reference Data Sheet (Enclosure 1 to the Application form) containing:

A: Proof of the professional qualification required for trading pursuant to Subsection 3.2 of the Eurex Exchange Rules and

B: Declarations regarding personal reliability required for trading.

3. Evidence of Success in the Eurex Exchange Trader Examination

Copy of the Eurex Examination Certificate documenting success in passing the Trader Examination to prove the professional qualification and experience in exchange trading of options and futures.

4. Application for a personal user-id

Form “Application for Setting up User IDs in the Eurex System“

- **In the case of an application *for re-admission* as an Exchange Trader**, evidence No. 3. is not required, but evidence of the cancellation of admission by your former employer is necessary.

Application for Additional Exchange Trader Admission at Eurex

Eurex
Membership Unit

D-60284 Frankfurt am Main

Applicant

Name of company for which the person is to be admitted

Address

Name of contact

Phone No. Fax No.

E-mail address

Application for Admission as Exchange Trader pursuant to Subsection 3.2 of the Eurex Exchange Rules

I. We herewith apply for the admission of the person stated below as Exchange Trader, pursuant to Subsection 3.2 of the Eurex Exchange Rules, with the authorization to enter into options and futures transactions at Eurex Deutschland on behalf of our company.

Provided that the applying company is admitted as an exchange participant at Eurex Zürich, this application also applies to Eurex Zürich.

II. As Exchange Trader, the following person shall be admitted:

Last Name:

First Name: *Date of birth*

III. We declare that,

- the person to be admitted has been informed about all relevant legal provisions for trading at the Eurex Exchanges;
- the aforementioned person has been already registered as an Assistant Trader at the respective Eurex Exchange, has been trained in-house on the electronic trading system Eurex or participated in a functional system course given by Eurex;
- the person to be admitted has the reliability and professional qualification required for exchange trading. In particular, we do not know of any circumstances which, during his/her activities with our company or in earlier times, have given rise to suspicions about the personal reliability and professional qualification, or which may lead to the conclusion of such suspicions. In the case of such circumstances occurring and/or becoming known after the admission has taken place, we will notify Eurex immediately, returning the admission.

Place and Date Company Stamp and authorized Signature

Trader Reference Data Sheet
(Enclosure I to the application form)

Eurex
Membership Unit

D-60284 Frankfurt am Main

Person to be admitted

Name

Private address

E-mail Address

Phone No. Fax No.

History of employment:

Year/Employer/Position

Year/Employer/Position

Year/Employer/Position

Declaration Regarding Personal Reliability

I. I declare that there are no pending criminal inquiries or trials against me whatsoever regarding any property, tax or other offences relevant to my previous professional activities or for participation in exchange trading.

II. I declare that, during the last five years, no such criminal proceedings have been brought against me. (Details regarding criminal proceedings which have resulted in an acquittal with legal force or in a discontinuance of proceedings pursuant to Section 170 StPO [”Strafprozessordnung” - German Code of Criminal Procedure] are not required.)

III. I declare that, during the last three years, I have not been in breach of the Rules for Traders and Advisors, the Guiding Principles for Staff Transactions of bank employees, or comparable internal regulations, provisions of the Securities Trading Act, in particular the Insider Regulations and the Code of Conduct, the Exchange Act or the Exchange Rules and that there are no relevant proceedings pending against me whatsoever.

IV. I herewith authorize the company by which I have been employed most recently to provide information, beyond a professional appraisal, regarding facts pursuant to declarations I. through III. which are relevant for the judgement of my reliability, to the Executive Board of Eurex.

Note with regard to I. - III.: If any of the declarations cannot be given or can only be given in a restricted manner, they must be marked accordingly and supplemented with a related statement on a separate sheet.

Place and Date Signature

Request for the Setting up/Modification/Deletion of User ID's in the Eurex trading system

Eurex
Membership Unit

D-60284 Frankfurt

Name of Exchange Participant: _____

☐ Setting up
with effect from _____

☐ Change of the Owner of a User ID

☐ Deletion
with effect from _____

☐ Copy from this existing User ID:

Name of former Owner:

☐ Trader Admission remains

☐ Trader Admission cancelled

USER ID	*Name, First Name*	*Function(s)**	*Product(s)*	*Phone No.*	*Signature of User*

** Functions: Trader (HD), Trader Assistant (HDA), Market Maker (MM), Qualified Backoffice Staff (QBO), Backoffice Employee (BO), Security Official (SB)*

Place and Date

Company Stamp and authorized Signature