XETRA Circular 105/04

Deutsche Börse

To the Xetra® Members and Vendors

Recipients: General, Traders, Technical Contacts,
Project Coordinators,
System Administrators – all platforms

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Xetra Release 7.1
Member Information and VALUES API Documentation July 30, 2004

Dear Sir or Madam,

With this circular we are providing you with the third member information package in connection with the introduction of Xetra Release 7.1 scheduled for December 6, 2004.

The following documents are included in this package:

Xetra Release 7.1 Member Activity Plan
This document provides recommendations for activities on the Members' side, which allow a successful simulation course and a smooth release introduction. This document, attached to this circular, is available only in English. As of today, it is also available on our website for downloading.

(Internet path: www.deutsche-boerse.com/Trading & Clearing/Trading Members/Members Only/Xetra/Xetra Release 7.1).

VALUES API Member Front End Development Guide / Programming Version
This document contains the preliminary version of the Xetra-specific part of the VALUES API (application requests, subscriptions and responses).
As of today, this document and the corresponding header files are available exclusively in English for downloading on our website.

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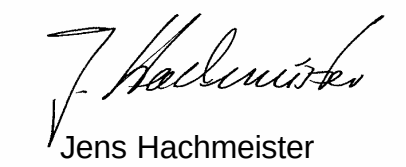
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(Internet path: www.deutsche-boerse.com/Technology Services/Access Products/VALUES API/Xetra Downloads/Xetra Release 7.1).

Should you have any further questions or need additional information please do not hesitate to contact the Customer Support Team at

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Yours faithfully



Jens Hachmeister



Axel Birk

Enclosure

Deutsche Börse



Xetra® Release 7.1

Member Activity Plan

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1 Introduction

1.1 Xetra Release 7.1

The introduction of Xetra Release 7.1 is planned for December 6, 2004.

A Xetra Release 7.1 simulation phase will be provided from October 18, 2004 until November 24, 2004.

Xetra Release 7.1 is characterized by the introduction of subscription rights trading on Xetra, which is scheduled for January 2005. In addition an Online Times and Sales Sheet is provided that allows members to inquire all prices of an instrument of the current business day and the last four business days.

Xetra Release 7.1 is a mandatory release and not backwards compatible. The members have to install the newest version of the GATE 3.3. Existing in-house and third party applications have to be adapted to changes in the VALUES API interface.

However, with Xetra Release 7.1 a new trading model for the European Energy Exchange will be introduced. This new functionality concerns only members of the European Energy Exchange and therefore is not in scope of this document.

The Xetra Release 7.1 does not including any changes of the Market Model and functionalities of the following exchanges: Eurex Bonds, Eurex Repo, Irish Stock Exchange (ISE) and the Wiener Börse.

This document is subject to change.

1.2 Purpose of this Document

The document is designed to

- provide Xetra participants with a scheduled guideline for their activities associated with the introduction of Xetra Release 7.1.
- outline important milestones before and during the launch of the new release.
- provide recommendations supporting participants' own planning.

1.3 Modifications Xetra Release 7.0 vs. Xetra Release 7.1

With the introduction of Xetra Release 7.1, a number of both functional and technical modifications are going to take effect. The following chapters contain an overview of the functional and technical modifications of Xetra Release 7.1.

For details, please refer to the Release Description Xetra Release 7.1.

1.3.1 Subscription Rights Trading on Xetra

With Xetra Release 7.1, the subscription rights trading will be offered. The trading of subscription rights follows own trading rules, therefore the current Xetra functionalities have to be modified to comply with the needs of subscription rights trading.

From the first trading day until the second last trading day subscription rights will be traded in the continuous trading model. The first trading day begins with an IPO (Initial Public Offering) auction simultaneously to the FWB floor auction. After the first price determination, a regular intraday auction is triggered to uncross the order book. The trading schedule of the remaining first trading day is then analogous to the trading schedule of the underlying equity. However, the closing auction is scheduled a few minutes earlier for the subscription rights.

Starting on the second trading day until the second last trading day the trading schedule equals the trading schedule of the underlying equity, with the exception of closing auction times, which will be scheduled a few minutes earlier for the subscription rights.

All remaining open orders are deleted during the batch of the second last trading day.

On the last trading day the trading model is changed to one auction only. The auction will be performed as an IPO auction and will take place at the same time as the FWB floor auction.

In order to define the ability to participate in continuous trading of subscription rights a minimum order size is introduced on Xetra. The minimum order size is defined as a minimum quantity in shares accepted by the Xetra system. Price limit changes are possible for all orders entered into and accepted by the Xetra System. Restrictions merely exist for order size modifications. Any reduction of the order size of an entered order below the minimum order size will be rejected and the original order will remain in the orderbook. A deletion of the original order is still possible.

In case of order size changes to partially executed orders with a remaining order size below the minimum order size, changes further reducing the number of shares will be rejected. Increasing the remaining quantity is accepted by the Xetra system.

For iceberg orders, the total quantity of the order entered is used to compare it with the minimum order size. In case the total quantity is less than the minimum order size, the iceberg order is rejected.

The minimum order size does not apply for Xetra OTC trades.

For detailed information and examples, please refer to the documents “Release Description R7.1” and “Member Information Package R7.1”.

1.3.2 Online Times and Sales Sheet

With Xetra Release 7.1 a new Online Times and Sales Sheet window will be introduce on the Xetra J-Trader. The information for this window will be provided via a new VALUES request.

The Online Times and Sales Sheet window allows members to request all prices for the current business day and the previous four business days. Trades can be selected for an instrument, a profile or an instrument group.

An additional filter window will be introduced to allow members to restrict the selection with the filter criteria date, time, price and trade type.

1.3.3 Adaptation of the VALUES API Interface

Xetra Release 7.1 updates the VALUES API interface, which is the basis for all introduced functionality. For detailed information please refer to the document “VALUES API Modification Announcement Xetra Releae 7.1” and “VALUES API ProgrVer Vol5”.

1.3.4 Introduction of Gate 3.3

Gate 3.3 will be introduced together with Xetra Release 7.1. It is mandatory for:

- Members using a Multi Market MISS (Xetra / Eurex/ CCP) infrastructure
- Members who intend to use the Java trading GUI.

Otherwise, the usage of GATE 3.3 is optional but highly recommended.

2 Introduction of Xetra Release 7.1

2.1 Key Activities in Connection with the Introduction of Xetra Release 7.1

2.1.1 Installation of the Xetra Release 7.1 Simulation Software

2.1.1.1 Xetra J-Trader – Gate

The distribution of the Xetra Release 7.1 Simulation Kit and GATE 3.3 Simulation Kit will take place via file transfer over the network following the trading day of October 8, 2004. MISS(es) and Xetra routers have to be up and accessible until the Xetra Release 7.1 Simulation Kit was transferred successfully. Sufficient disk space for the kit transfer to the "transferdir" must be available (approx. 60 MB for MS Windows and 80MB for SUN Solaris). Checking of the transfer has to be carried out from the morning of October 8, 2004 onwards. The installation of the Xetra Release 7.1 Simulation Kit will have to take place from October 11, 2004 onwards. Therefore, installation support for the participants is provided by Deutsche Börse on October 11 until 14, 2004.

2.1.1.2 Xetra J-Trader – Internet (@Xetra)

The publication of the Xetra Release 7.1 simulation software and the documentation for installation and operation on the Xetra website www.xetra.de (Members only area) is planned for October 8, 2004. The installation of the Xetra simulation software needs to be performed on the participants side starting on October 11, 2004. Therefore, installation support for the participants is provided by Deutsche Börse from October 11 to 14, 2004. The installation of the simulation software is described in the "Front End installation Guide" which will be published together with the simulation software.

2.1.2 Installation of the Xetra Release 7.1 Production Software

2.1.2.1 Xetra J-Trader - Gate

The Xetra Release 7.1 Production Kit and GATE 3.3 Production Kit will be delivered to the participants via file transfer over the network. MISS(es) and Xetra routers should be up and accessible after the end of the trading day on November 26, 2004 until the Xetra Release 7.1 Production Kit was transferred successfully.

Sufficient disk space for the Kit transfer to the "transferdir" must be available (approx. 60 MB for MS Windows and 80 MB for SUN Solaris). The transfer check has to be carried out from November 26, 2004 until November 30, 2004. The installation of the Xetra Release 7.1 Production Kit has to be carried out after the last trading day of Xetra Release 7.0 from December 03, 2004 onwards. It will not be possible to operate the new installation in parallel with the current Xetra Release 7.0 production installation. Therefore, connectivity tests will be possible during normal trading hours.

2.1.2.2 Xetra J-Trader – Internet (@Xetra)

The publication of the Xetra Release 7.1 production software is planned for November 26, 2004 on the Xetra website www.xetra.de (Members Only area). The installation of the Xetra Release 7.1 production software has to be carried out after the close of the last trading day of Xetra Release 7.0 from December 3, 2004. It will not be possible to operate the new installation in parallel with the current @Xetra Release 7.0 production installation. Connectivity tests will be possible during normal trading hours.

2.1.3 VALUES API

Since the VALUES API is not backwards compatible with the start of production of Xetra Release 7.1, only those applications which have been successfully upgraded to the new version of VALUES API can be operated. For this reason, participants have to install the latest version of the Xetra J-Trader. Any VALUES API-based applications not provided by Deutsche Börse (customers' own applications and third-party applications) have to be adapted to the new version of VALUES API.

2.1.4 Participation in the Xetra Simulation

Prior to the launch of XetraRelease 7.1 on December 6, 2004, Deutsche Börse has planned a 6 week simulation phase between October 18, 2004 and November 24, 2004.
The simulation plan shown below illustrates the simulation activities in combination with the introduction of Xetra Release 7.1.

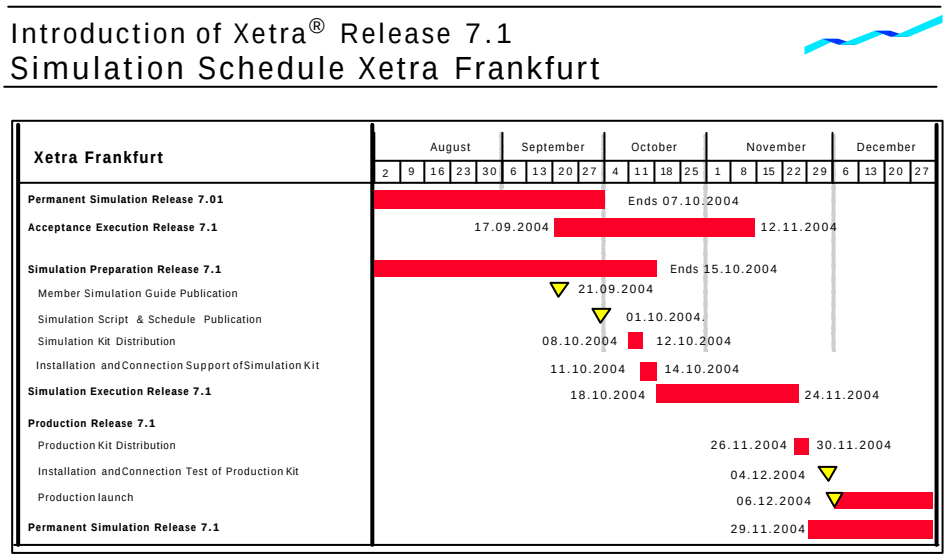


Figure 1: Simulation Plan Xetra Release 7.1

The time of the simulation should be used actively for checking the new technical infrastructure, possible additional applications and interfaces, as well as modifications regarding internal organization. Active participation in the simulation is strongly recommended. For the time of the simulation, the permanent simulation environment will not be provided for the Xetra Release 7.1 Simulation.

For a detailed description of the simulation course, please refer to the documents “Member Simulation Guide Xetra Release 7.1“ and “Member Simulation Scripts & Schedule Xetra Release 7.1”.

3 Supporting Documentation

All documents published in connection with the introduction of the new release will be made available over the Internet on the Deutsche Börse website **www.xetra.de** (Members only area). To enter this area, the Member ID and password is needed. The Xetra Central Circular Management will give notification of each publication by means of a Xetra circular. We strongly recommend downloading all documents from the Internet on the corresponding dates. Please refer to the communication plan below for the publications in question.

All documents will be available in the English language. In addition, the “Release Description”, the “Functional Description”, “Member Information Package”, “Market Model” and the “Exchange Trading System User Guide” will also be available in the German language.

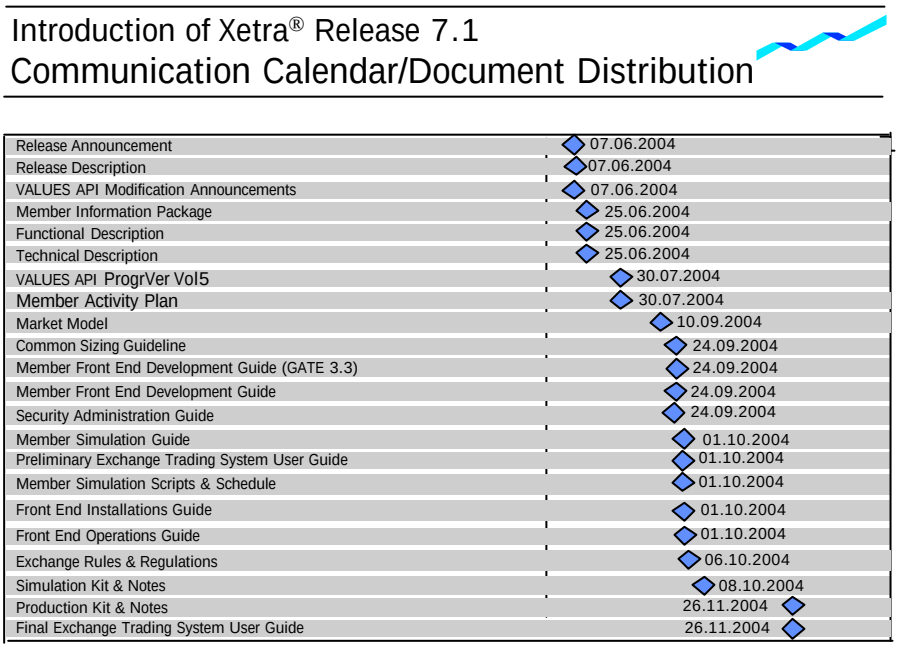


Figure 2: Communication plan for the introduction of Xetra Release 7.1

Please find listed below the documents which will be published for Xetra Release 7.1

Xetra Release 7.1 – Release Description
Contents: summary of the functional and technical modifications of Xetra Release 7.1
Target group(s): project coordinators, traders and system administrators

Xetra Release 7.1 – Member Information Package R7.1
Contents: summary of the necessary basis for trading of subscription rights on Release 7.1
Target group(s): project coordinators and traders

Xetra Release 7.1 - VALUES API Modification Announcement Xetra R7.1
Contents: modification of the VALUES API which come into effect with Release 7.1
Target group(s): system administrators

Xetra Release 7.1 – Functional Description Xetra R7.1
Contents: functional scope of Xetra Release 7.1
Target group(s): project coordinators and traders

Xetra Release 7.1 – Technical Description Xetra R7.1
Contents: technical scope of Xetra Release 7.1 (hardware and software components, network requirements)
Target group(s): system administrators

Xetra Release 7.1 - VALUES API ProgVer Vol5
Contents: VALUES API interface specification for Xetra Release 7.1.
Target group(s): system administrators

Xetra Release 7.1 – Member Activity Plan
Contents: background information on the simulation and introduction of Xetra Release 7.0: schedule, necessary activities on participant's side during the various phases of the introduction (preparation, simulation, start of production)
Target group(s): project coordinators, traders and system administrators

Xetra Release 7.1 – Market Model
Contents: principles of Subscription Rights trading on Xetra 7.1
Target group(s): project coordinators, traders and system administrators

Xetra Release 7.1 – Common Sizing Guidline Xetra R7.1
Contents: description of required IT infrastructure for Xetra Release 7.1
Target group(s): system administrators

Xetra Release 7.1 – Member Frontend Development Guide Xetra R7.1
Contents: final version of the VALUES API interface specification for Xetra Release 7.1
Target group(s): system administrators

Xetra Release 7.1 - Security Administrator Guide Update Xetra R7.1

Contents: authorization concept of Xetra Release 7.1 (details on maintenance of user access rights, assignments of accounts and instruments / instrument groups to individual users / user groups, as well as the special treatment of senior traders and trading assistants)
Target group(s): security administrators

Xetra Release 7.1 – Member Simulation Guide Xetra R7.1

Contents: key dates for the preparation of and participation in Xetra Release 7.1 Simulation
Target group(s): project coordinators, traders and system administrators

Xetra Release 7.1 – Exchange Trading System User Guide Xetra R7.1

Contents: user manual for the Xetra trading application
Target group(s): traders

Xetra Release 7.1 – Member Simulation Scripts & Schedule Xetra R7.1

Contents: scripts and schedule for Xetra Release 7.1 (overview of the course and structure of the simulation)
Target group(s): project coordinators, traders and system administrators

Xetra Release 7.1 - Frontend Installation Guide Xetra R7.1

Contents: manual for the installation of the Xetra Software
Target group(s): system administrators

Xetra Release 7.1 - Front End Operations Guide Xetra R7.1

Contents: manual for operating the Xetra Front End Software
Target group(s): system administrators

Xetra Release 7.1 – Exchange Rules & Regulations

Contents: Rules and Regulations concerning the new functionality of Xetra Release 7.1
Target group(s): project coordinators

Xetra Release 7.1 - Simulation Kit and Notes Xetra R7.1

Contents: software kit for the installation of the Xetra Release 7.1 Front End Simulation Software for the front end platforms SUN Solaris and MS Windows, installation notes
Target group(s): system administrators

Xetra Release 7.1 - Production Kit and Notes Xetra R7.1

Contents: Software for the installation of the Xetra Release 7.1 Front End Production Software for the front end platforms SUN Solaris and MS Windows; installations notes
Target group(s): system administrators

4 Recommended Actions

4.1 Checklist

The following section contains recommendations for activities, which have to be taken into consideration with regard to participants' in-house planning for the upgrade to Xetra Release 7.1. Scrutinizing so-called "check points" related to key activities with regard to the simulation and introduction of Xetra Release 7.1 ensures a smooth and efficient upgrade, as well as members' participation in the new release environment. Any such activities are specified in the following lists.

No. / Activity	Description	Target group	Dead-line	Chkpt
Set-up of the internal organizational structure	• Designate one person responsible for Xetra Release 7.1 and a replacement • Establish internal and external feedback reporting and internal distribution of information • Set up an in-house project	Project Coordinator	End of August 2004	
Plan the migration	Design an introduction plan with reference to the following: • plan the technical infrastructure • plan the resources • define all necessary tasks in all departments involved, assign responsibilities, define interfaces to other teams	Project Coordinator	End of August 2004	
Define the migration processes	Identify current flows; document the flows as they should be. Modify the structural organization accordingly.	Project Coordinator	End of August 2004	

No. / Activity	Description	Target group	Dead-line	Chkpt
Inform Deutsche Börse about any problems during the preparation phase	In case of any questions, please refer to one of the Deutsche Börse support teams (see chapt. 4.2 Deutsche Börse Support)	Project Coordinator	On-going	
Set up technical infrastructure for Xetra Release 7.1	• Check, analyze and evaluate the existing technical infrastructure against the "Front End Sizing Guideline" • Extend and operate the system infrastructure necessary for Xetra Release 7.1 • Check necessity to change the operating system and modify if necessary • Integrate in-house applications	Project Coordinator/ System administrators	End of August to October 8, 2004	
Plan and carry out simulation	This plan should focus on the schedule described in this document. The main aspects are: • Planning of resources • Installation of the Xetra Release 7.1 Simulation Kit • Planning the implementation of connectivity test • Participation of traders and system administrators in the Xetra Release 7.1 Simulation	Traders/System administrators	October 18, 2004 to Novem-ber 24, 2004	
Appoint responsible staff	Designate a person responsible for coordination of the VALUES API changes carried out by internal groups or third parties, if necessary.	All participants	August 2004	
Contact Deutsche Börse in case of problems	In case of problems related to the VALUES – API change, contact the Technical Helpdesk	System administrators	On-going	

No. / Activity	Description	Target group	Dead-line	Chkpt
	Xetra.			
Provide infrastructure for a smooth transfer of the Xetra Release 7.1 Simulation Kit and GATE 3.3 Simulation Kit	MISS(es) and Xetra Routers should be running and accessible during the night of October 7, 2004 to October 8, 2004 Sufficient disk space (approx. 60 MB for MS Windows and 80 MB for SUN Solaris) for the transfer of the kit to the "transferdir" via network must be available.	System administrators	October 8, 2004 to October 12, 2004	
Check delivery of Xetra Release 7.1 Simulation Kit and GATE 3.3 Simulation Kit	Check whether the Xetra Release 7.1 Simulation Kit and GATE 3.3 Simulation Kit was successfully transferred. In case of any problems with the transfer, please contact the Technical Helpdesk Xetra immediately (see chapt. 4.2 Deutsche Börse Support).	System administrators	October 9, 2004	
Install the Xetra Release 7.1 – Simulation Kit and GATE 3.3 Kit	Detailed installation and checkpoints are described in the document "Xetra Front End Installation Guide" and are completed with the Installation Notes, provided with the kit.	System administrators	October 10, 2004	
Download and install the @Xetra Release 7.1 simulation software	Download and Install the @Xetra Release 7.1 simulation software. The download is possible from the Xetra website (Members only area. To enter this area, the MemberID and password is needed).	System administrators	October 8, 2004 onwards	
Connection Test for Xetra Release 7.1 Simulation	Connection test will be provided from October 11 to 14, 2004.	System administrators	October 11 to 14, 2004	
Install customer or third-party applications in the Xetra Release 7.1	Customer or third-party applications, which were adapted to the VALUES API	System administrators	October 18, 2004 to	

No. / Activity	Description	Target group	Dead-line	Chkpt
Simulation environment	version Xetra Release 7.1, have to be installed. **Note:** During the adjustment of the order routing system the minimum order size for the subscription right trade should be considered, because entered orders with a quantity below the minimum order size will be rejected with an error message.		November 15, 2004	
Test the adapted VALUES API-based application(s) in the Xetra Release 7.1 Simulation environment	Check if the adaptation can be carried out during the Xetra Release 7.1 Simulation. This is highly recommended.	System administrators	October 18, 2004 to November 15, 2004	
Participate in the Xetra Release 7.1 Simulation	For the simulation schedule of Xetra Release 7.1 Simulation, please refer to the • "Member Simulation Guide Xetra Release 7.1" • "Member Simulation Scripts & Schedule"	Project Coordination, Traders	October 18, 2004 to November 24, 2004	
Communicate any problems which may occur during Xetra Release 7.1 Simulation	In case of any questions, please refer to one of the Deutsche Börse support teams (see chapt. 4.2 Support).	Project Coordinators, Traders, System Administrators	October 18, 2004 to November 24, 2004	
Xetra Release 7.1 – Readiness Statement	Members send the Readiness Statement to Customer Support Team (see chap. 4.2 Deutsche Börse Support). The Readiness Statement will be sent to the members in due time.	Project Coordinators	November 24, 2004	
Provide infrastructure for a smooth transfer of the Xetra Release 7.1 Production Kit and GATE 3.3 Production Kit	MISS(es) and Xetra Routers have to be running and accessible in the nights of November 25, 2004 to November 26, 2004. Sufficient disk space (approx. 60 MB for MS Windows and 80 MB for SUN Solaris) for the	System administrators	November 26, 2004 to November 30, 2004	

No. / Activity	Description	Target group	Dead-line	Chkpt
	transfer of the kit to the "transferdir" via network must be available.			
Check delivery of Xetra Release 7.1 Production Kit and GATE 3.3	Check whether the Xetra Release 7.1 Production Kit and the GATE 3.3 Production Kit was transferred successfully. In case of any problems related to the transfer, please contact the Xetra Technical Helpdesk immediately (see chapt. 4.2 Deutsche Börse Support).	System administrators	November 27, 2004 to November 30, 2004	
Install the Xetra Release 7.1 Production Kit, and GATE 3.3 Production Kit	Detailed installation and checkpoints are described in the document "Xetra Front End Installation Guide" and are completed with the Installation Notes, delivered with the kit.	System administrators	December 4, 2004	
Download and install the @Xetra Release 7.1 production software	Download and Install the @Xetra Release 7.1 production software. The download is possible from the Xetra website (Members only area. To enter this area, the MemberID and password is needed).	System administrators	December 4, 2004	
Inform Deutsche Börse about any problems during the installation of the Xetra Release 7.1 Production Kit	In case of any problems, please contact the Technical Helpdesk Xetra (see chapt. 4.2 Support).	Project Coordinator/ Traders	December 4, 2004	

4.2 Deutsche Börse Support

Deutsche Börse will provide intensive support for participants' preparations during the introduction of Xetra Release 7.1. The following teams may be contacted concerning any questions related to the preparation of and participation in the Xetra Release 7.1 simulation and introduction:

4.2.1 Deutsche Börse Trading Helpline Xetra

Tasks: Functional Support regarding questions about trading during simulation and production

Phone: ++49 (69) 211 – 1 14 00

Fax: ++49 (69) 211 – 1 14 01

Availability: 07:00 a.m. - 08:30 p.m. CET (on exchange trading days)

4.2.2 Deutsche Börse Technical Helpdesk Xetra

Tasks: Support during delivery and installation of the software kits, support in case of technical problems during the simulation and production

Phone: ++49 (69) 211 – 1 84 00

Fax: ++49 (69) 211 – 1 84 01

Availability: 06:00 a.m. - 10:00 p.m. CET (on exchange trading days)

4.2.3 Deutsche Börse Customer Support

Tasks: Member support before and during the simulation and at production start: contact in case of questions related to the Xetra functionalities.

Phone: ++49 (69) 211 – 1 16 40

Fax: ++49 (69) 211 – 1 16 41

Availability: 09:00 a.m. - 06:00 p.m. CET (on exchange trading days)

4.2.4 Deutsche Börse Technical Member Readiness Xetra

Tasks: Coordination and support for the connection of the participants

Phone: ++49 (69) 211 – 1 17 10

Fax: ++49 (69) 211 – 1 17 11

Availability: 08:00 a.m. - 06:00 p.m. CET (on exchange trading days)