Electronic Exchange Admission Service (eXAS)

Admission Administration

User Manual

Version 4.0

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1. Introduction

Through the Electronic Exchange Admission Service (eXAS), available in the closed members sections Eurex Member Section or Members only Xetra/Hall area, admissions, registrations and de-registrations of Exchange Traders and Qualified Backoffice Staff members can be made. In sub-menu "Admission Administration", all admissions and registrations can be maintained and applications for registration on behalf of third parties can be submitted. In addition, User IDs can be set up, changed or deleted.

The present document describes the procedure for applications on behalf of third parties for the following admission types:

- Application for Exchange Trader admission at Frankfurter Wertpapierbörse (FWB®, the Frankfurt Stock Exchange) (Xetra®) and at the Eurex Exchanges for persons assigned to the applying company (application on behalf of third parties).

- Application for registration as Specialist at Frankfurter Wertpapierbörse (FWB®, the Frankfurt Stock Exchange) (Xetra®) for persons assigned to the applying company (application on behalf of third parties).

- Application for registration as Qualified Backoffice Staff member at the Eurex Exchanges for persons assigned to the applying company (application on behalf of third parties).

- Procedure for termination of abovementioned admissions/registrations.

Furthermore, the following features for administration and maintenance of admissions/registrations are described:

- Overview of all admitted/registered persons at Frankfurter Wertpapierbörse (FWB®, the Frankfurt Stock Exchange) (Xetra®) and at the Eurex Exchanges of the respective company.

- Overview of all eXAS applications of the company.

2. Prerequisites for usage

In order to use eXAS, access to the Eurex Member Section or Members only Xetra/Hall area is required. General information about usage of the Eurex Member Section or the Members only Xetra/Hall area is available under tag "Service Point", Web User Administration (see figure 1: Prerequisites for usage).
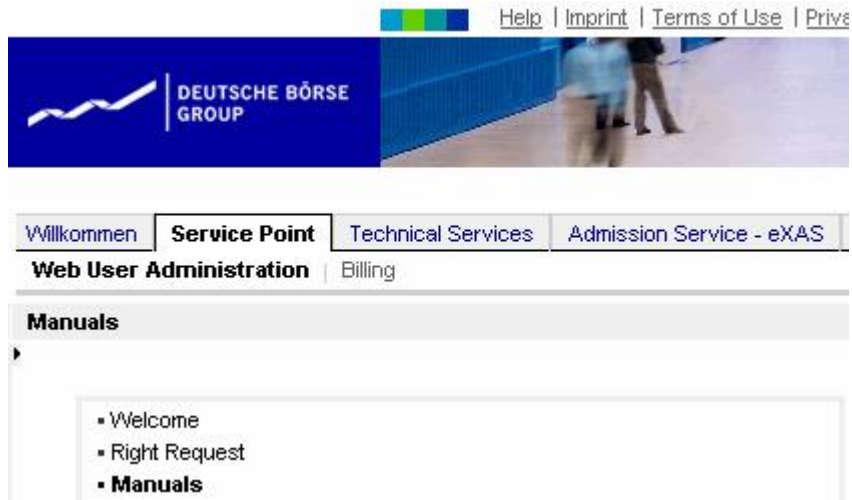
Figure 1: Prerequisites for usage

Staff members who do not yet have a login for the Eurex Member Section or Members only Xetra/Hall area, can apply for it on the log-in pages of the Member Section under "Register" (see figure 2: New registration).
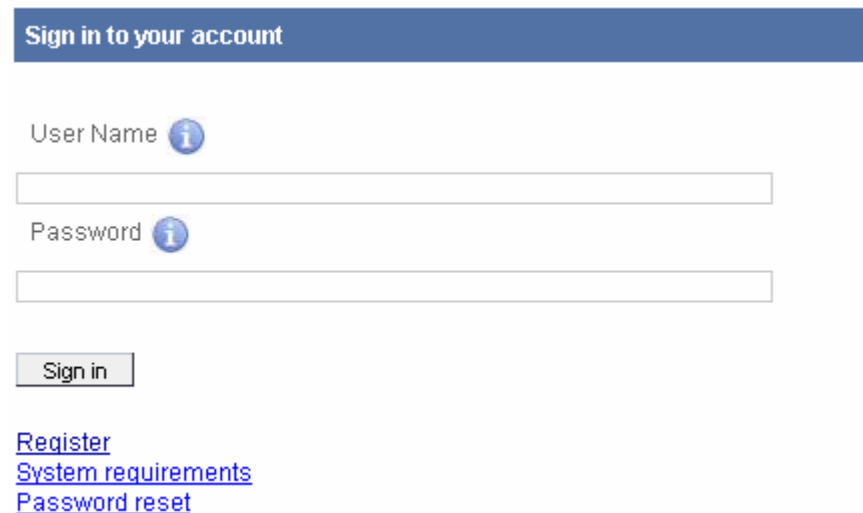

Figure 2: New registration

The system guides users through the registration process by means of automated information and comments. For registration, the Member ID of your company and an authorised e-mail domain, determined by your company, is required. If you don't know the Member ID or authorised e-mail domains of your company please contact your company's Central Coordinator (CC). Service "My Admissions", which is part of eXAS, does not require specific rights. i.e. all users have access to the "My Admissions" menu which is located under tag "Admission Service – eXAS".

The right to use the service as Admission Administrator has to be applied for with a CC or CC's deputy.

3. Navigation Structure

The personal portal user ID for the Eurex Member Section or Members only Xetra/Hall area is already linked to company the applicant is associated with. On this basis, retrieving all person-related data as well as company-related data is possible.

Due to individual customization of the menu structure/navigation, the menus are preselected based on the admissions of the company and the admissions of the applicant (see figure 2: Menu Structure eXAS Admission Administration).

Example 1: If the company is only a Member of Eurex, the Admission Administrator does not see menu point "Frankfurt Stock Exchange".

Example 2: If the user is Admission Administrator only for the Frankfurt Stock Exchange but the company is a Member of both Eurex and the Frankfurt Stock Exchange, he/she can only see applications for the Frankfurt Stock Exchange.
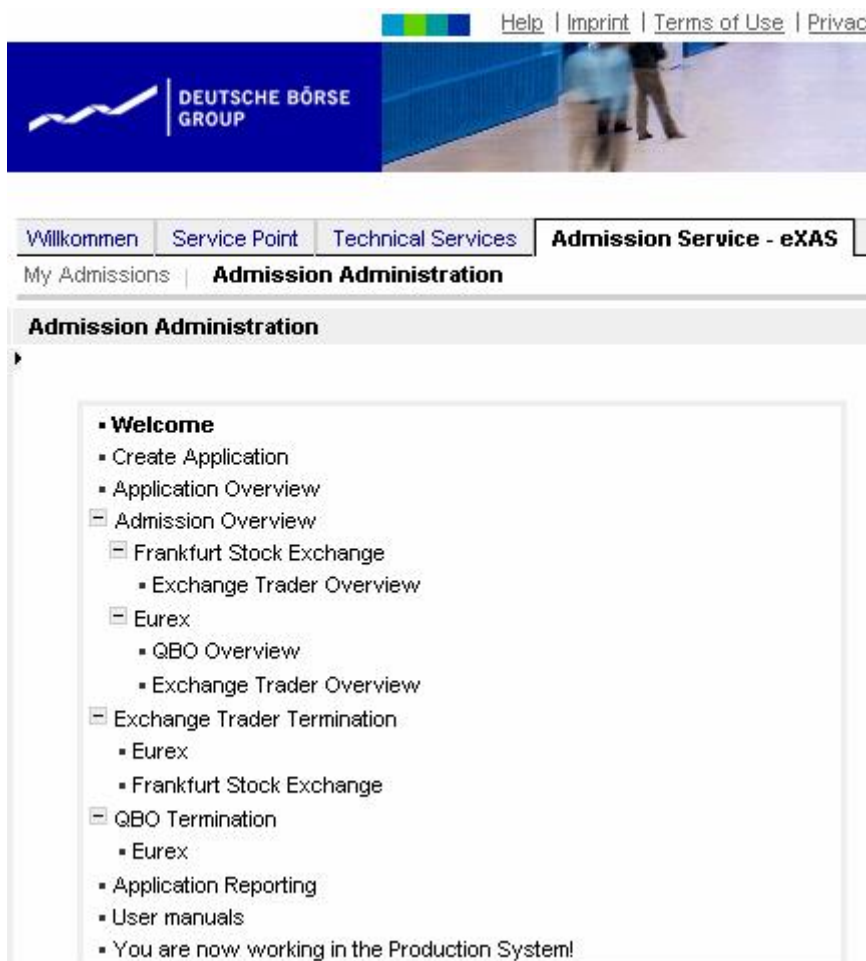

Figure 3: Navigation eXAS – Admission Administration

4. Application for Admission/Registration on Behalf

4.1. Selection of Person and Application Type

When selecting "Create Application" (see figure 3: Navigation eXAS – Admission Administration), a list of all persons assigned to the Admission Administrator's company is displayed (see figure 4: List of available Persons – Access to the Member Section).

Figure 4: List of available Persons – Access to the Member Section

In order to apply for admission as Exchange Trader or registration as Qualified Backoffice staff member for one of the persons displayed in this list via eXAS, the person must have an active log-in to the Eurex Member Section or Members only Xetra/Hall area. In the list, such persons are flagged with a green checkmark.

Persons without green checkmark must first be registered in the Member Section before an application may be created on their behalf. By clicking on the respective person the necessary process steps for registration are displayed automatically and are carried out by the system. The application process can only be continued after final activation of the Member Section user account by person himself/herself.

If a person's name does not appear in the list, then also a Member Section user account has to be created. For this purpose, click on "Create New Person" (see figure 4: List of available Persons – Access to the Member Section) and proceed as described above.

For questions about creating a user account for the Member Section please contact the Service Point Team at tel. +49-(0) 69-2 11-1 78 88 or via e-mail to servicepoint@deutsche-boerse.com.

After a person has been selected and a check has been made if access to the Member Section exists, all application types that are possible for the selected person are displayed. This display, too, is created dynamically according to the admissions of the company and person. Select the desired application type (see
figure 5: Selection of Application Type):

Figure 5: Selection of Application Type

4.2. Application for Exchange Trader on Behalf

In the entire process of applying on behalf of third parties, no mandatory fields are defined. Mandatory fields are activated only when the future Exchange Trader reviews and completes the application. Hence it is up to the Admission Administrator to decide which data he/she initially wants to enter. In the following step, the potential Exchange Trader has the opportunity to modify or delete data initially entered by the Admission Administrator.

In case admission type "Registration – Eurex" or "Registration – Frankfurt Stock Exchange" is selected, the following steps have to be observed:

4.2.1. Personal Data

The personal contact information of the potential Exchange Trader is already available in the system from the registration process for the Eurex Member Section respectively Members only Xetra/Hall area.

Due to regulatory requirements, also private contact information of the potential Exchange Trader has to be specified. If the selected person has used eXAS before, private address details are automatically displayed to the Admission Administrator. They can be edited, if necessary.

If the company revokes the admission of the potential Exchange Trader, Deutsche Börse AG is obliged to send the notice of revocation to the private e-mail address of the Exchange Trader (see figure 6: Personal Data).

Figure 6: Personal Data

If admission as Exchange Trader, access to the trading hall or registration as Specialist is applied for and the applicant's habitual residence is outside of Germany, it can be agreed that an electronically transmitted document is deemed to have been received on the third day and that a document dispatched by post is deemed to have been received on the seventh day after dispatch (see figure 7: Mail Authority – Acceptance), otherwise a Mail Agent can be appointed (see figure 8: Mail Authority – Appointment).

Mail Authority Data

Pursuant § 12 paragraph 4 of the exchange rules of the Frankfurter Wertpapierbörse (FWB) an exchange trader neither domiciled nor resident in Germany must provide the Management Board with details of a mail agent in Germany when applying for admission. If he/she fails to do so any document addressed to him/her shall be deemed to have been received on the seventh day after submission in the post and an electronically submitted document shall be deemed to have been received on the third day after sending.

◉ I accept that all documents are regarded as being delivered on the 7th/3rd (by post/by electronic communication) day after dispatch.
○ I designate an authorized receiving agent.

Figure 7: Mail Authority - Acceptance

Mail Authority Data

Pursuant § 12 paragraph 4 of the exchange rules of the Frankfurter Wertpapierbörse (FWB) an exchange trader neither domiciled nor resident in Germany must provide the Management Board with details of a mail agent in Germany when applying for admission. If he/she fails to do so any document addressed to him/her shall be deemed to have been received on the seventh day after submission in the post and an electronically submitted document shall be deemed to have been received on the third day after sending.

○ I accept that all documents are regarded as being delivered on the 7th/3rd (by post/by electronic communication) day after dispatch.
◉ I designate an authorized receiving agent.

Please choose between the Mail Authority Data of your Company or fill in your own data! If you choose the data of your company please insert a name and surname of a natural person.

eXAS Bank Corp. / / US- ▾			
First Name *	Billy	Last Name *	George
Street *	Test Street	Number *	12
Street Supl.		Country *	Germany ▾
Post Code	98546	City *	George Town
Email	billy.george@web.de		

Figure 8: Mail Authority – Appointment

Only natural persons can be appointed Mail Agents, even though a company address is specified as service address for the receipt of mail.

If admission/registration at Frankfurt Stock Exchange is applied for, also admission to the trading hall or registration as Specialist can be applied for in the same process (see figure 9: Frankfurt Stock Exchange – Application). Here, only those registrations are offered for selection which the company is admitted for and the potential Exchange Trader does not yet have a registration for.

Figure 9: Frankfurt Stock Exchange – Application

If the potential Exchange Trader already has access to the trading hall and/or is already registered as Specialist, these options are automatically checked and greyed out (disabled) with the mention "already applied for/registered for". If the potential Exchange Trader is also admitted as Exchange Trader or Specialist for another company, he/she is informed about this during the new application process by means of a particular notice and requested to return the earlier admission first. Even so, the new application process can be continued. However, final admission is not granted before admission for the other company was revoked.

4.2.2. Curriculum Vitae/Resume

The curriculum vitae (CV) is required in order to guarantee personal reliability of an Exchange Trader in accordance with the Exchange Rules for the Frankfurter Wertpapierbörse. Also for the CV, personal data of the future Exchange Trader are already displayed if the person has used eXAS before (see figure 10: Curriculum Vitae/Resume – Personal Data). The data are stored automatically and are made available for all future applications of that person. Thereby, the CV page has to be filled in completely only once. Data can be added, modified or deleted anytime (see figure 11: Curriculum Vitae/Resume – Details).

Figure 10: Curriculum Vitae/Resume – Personal Data

Secondary School Education / Higher School Education*

Please start your CV/Resumé latest with the age of 12 years.

| Add Row | Delete Selected Row |

	Type and Name of School	City of School	From		To	
	Secondary School	George Town	03 ▼	1999 ▼	05 ▼	2005 ▼

Studies

| Add Row | Delete Selected Row |

Type and Name of University	City of University	From	To

Employment History*

| Add Row | Delete Selected Row |

	Employer	From		To	
	Deutsche Börse AG	05 ▼	2005 ▼	Till ▼	now ▼

Other (If Others please add here. For example: Unemployment, Sabbatical)

| Add Row | Delete Selected Row |

Other	From	To

Figure 11: Curriculum Vitae/Resume – Details

4.2.2.1. Specifics regarding Curriculum Vitae/Resume

The following specifics only concern applications for admission to the Frankfurt Stock Exchange:

A CV is only required if the Admission Administrator applies for admission as Exchange Trader for the selected person, i.e. the following scenarios are concerned:

- Application for admission as Exchange Trader with access to the trading hall and registration as Specialist

- Application for admission as Exchange Trader with access to the trading hall

- Application for admission as Exchange Trader

If extension of an existing admission to either registration as a Specialist (including access to the trading hall), or to registration as a Specialist only, or to access to the trading hall only is applied for (i.e. if at least admission as Exchange Trader at the Frankfurt Stock Exchange exists), the CV page is skipped automatically, as it is no pre-requisite for extension of the admission.

4.2.3. Professional Qualification

According to the admission history and examinations already passed and system trainings attended by the potential Exchange Trader, the following data is filled automatically (see figure 12: Existing Qualification – Exchange Trader only):

- Admission for a market (Eurex or Xetra) of at least twelve months during the last two years

- Exchange Trader examinations by status:

- registered

- passed

- failed

-

- System trainings by status:

- registered

- attended

- not attended

Expertise

Refresh Data

☑ You were admitted for at least 12 month within the last 2 years.

System Data

Market	From	To
Eurex	5/10/2010	5/11/2011

The final submission of your application is done when the admission administrator, who you will select within the next step, has approve the ticket and forwarded it to Deutsche Börse AG. In case the appropriate time-limit mentioned above isn´t anymore given at the final submission date you need to register for an exchange trader examination. In this case we will contact you automatically.

Practical Experiences

Refresh Data   **System Data**

I have already participated in a Eurex System Training!
○ Yes ◉ No

I have already traded actively at an exchange and/or a multilateral trading system within the last 2 years for at least 6 months.
◉ Yes ○ No

Exchanges

Add Row Delete Selected Row

	Exchange	From		To	
	Frankfurt Stock Exchange	04	2010	04	2011
	Frankfurt Stock Exchange	05	2010	05	2011

Figure 12: Existing Qualification – Exchange Trader only

Once data about professional qualification are available, they are displayed. The greyed out check-boxes with a checkmark show that the pre-requisites have been fulfilled.

Dependent on the status of an Exchange Trader examination or system training, a note is shown left of the table.

Should no data about Exchange Trader examinations or system training be displayed although the po-tential Exchange Trader knowingly has been admitted before or has attended trainings, the following

questions, in logical order, have to be replied to (see figure 13: Qualification / Questions – Exchange Trader only".

Figure 13: Qualification / Questions – Exchange Trader only

If no qualifications are displayed automatically, the Admission Administrator has the opportunity to illustrate the professional qualification of the potential Exchange Trader by means of the following questions. Replying to the questions is optional. It is important to enter the reply to the first question first, as the following screens are generated dynamically dependent on the reply to the first question.

If the first question is replied to with "yes", proof of professional qualification is tentatively deemed to have been provided. Information given here is evaluated by Member Services & Admission after final submission of the application.

If this question is replied to with "no", the next questions opens for which the same rules apply.

If both questions are replied to with "no", a link is displayed which leads directly to the Training Portal of Deutsche Börse AG. There, registrations for the required examinations and/or system trainings can be made, either by the Admission Administrator or, in the next step, by the potential Exchange Trader himself/herself.

The Capital Markets Academy is available on tel. +49-(0) 69-2 11-1 37 67 for any questions you may have about registration for examinations and trainings on behalf.

4.2.3.1. Specifics regarding Professional Qualification

The following specifics only concern applications for admission to the Frankfurt Stock Exchange:

The scope of professional qualification as described in chapter 4.2.3 is only required if the new application is for admission as Exchange Trader, i.e. the following scenarios are concerned:

- Application for admission as Exchange Trader with access to the trading hall and registration as Specialist

- Application for admission as Exchange Trader with access to the trading hall

- Application for admission as Exchange Trader

If extension of an existing admission only concerns access to the trading hall (i.e. if at least admission as Exchange Trader at the Frankfurt Stock Exchange exists) the CV page and the page about professional qualification are both skipped, as there are no professional pre-requisites are required for access to the trading hall.

If extension of an existing admission to registration as a Specialist (including access to the trading hall), or to registration as a Specialist only is applied for (i.e. if at least admission as Exchange Trader at the Frankfurt Stock Exchange exists), the questions on the page about professional qualification are reduced (see figure 14: Qualification – Specialist). Prerequisite for admission of the potential Exchange Trader as Specialist is admission to Xetra (Frankfurt Stock Exchange) for at least six months during the last two years.

Figure 14: Qualification – Specialist

If this pre-requisite is fulfilled, the Admission Administrator can tick the checkbox displayed in figure 14. In some cases, the system identifies fulfilment of this pre-requisite independently. In this case, the checkbox is ticked automatically by the system.

4.2.4. Application Finalisation

In the next step, the Admission Administrator has to select a person who should finally approve the application. To simplify this, a list of all registered Admission Administrators for the company is displayed. The Admission Administrator currently logged in can also select him/herself. Moreover, the Admission Administrator can enter a message in field "Comment" to the potential Exchange Trader or

to the next Admission Administrator who will be in charge of the application (see figure 15: Selection of Admission Administrator).

Please choose your responsible Admission Administrator*

	First Name	Last Name	Approve	Sign Off
	lana	admin	☑	☑
	ruben	admin	☑	☑
	rita	admin	☑	☑
	felix	admin	☑	☑

Please be aware that every involved person in this process can see all inserted comments.

Comment:

Dear Felix Admin,
please approve my application.
Thank you,
Lana

Figure 15: Selection of Admission Administrator

Once the Admission Administrator has clicked the button "Send", the application is forwarded to the relevant person, the potential Exchange Trader, for review and completion. At the same moment, he/she is informed by e-mail that processing of the application is required. However, the person could delete the application. In this case, the Admission Administrator would be informed of the deletion, also by e-mail.

When the potential Exchange Trader has reviewed and completed the application, the Application Administrator mentioned above is also informed by e-mail of the application to be processed.

If the responsible Admission Administrator approves the application, it will be forwarded to Deutsche Börse AG for further processing. Deutsche Börse AG checks the personal data and admission pre-requisites. The potential Exchange Trader is informed by e-mail should the application contain errors or be incomplete according to Deutsche Börse AG. In this situation, the potential Exchange Trader has to correct or complete immediately the data in the application. All applications are available under the following path in the closed member sections of Deutsche Börse Group:

Admission Service – eXAS > Admission Administration > Application Overview

In general, all admissions returned to Deutsche Börse AG, which were not completed or corrected, are automatically rejected within four weeks from the date of submission. Applications containing a future date for an Exchange Trader examination and/or system training are excluded from this rule.

If applications are rejected due to erroneous or missing data the potential Exchange Trader can submit a new application anytime. In this case, all involved persons are informed by e-mail.

4.2.5. The final Admission

When the application has been found to be correct and all admission pre-requisites have been fulfilled, the potential Exchange Trader receives a confirmation e-mail with an "activation link". The Exchange Trader has to click the activation link in order to confirm receipt of the electronic confirmation of admission, whereby admission as Exchange Trader is finally activated. If the click is not clicked within three calendar days, admission as Exchange Trader will take effect automatically after the three calendar days have lapsed.

Please note: If the company, for which the potential Exchange Trader should be admitted, is not yet admitted as Exchange Participant (company level), the person will be admitted with suspensive effect, i.e. until the condition (admission of the company respectively revocation of existing admission) is fulfilled.

4.2.5.1. Specifics regarding the final Admission

The following specifics only concern applications for admission to the Frankfurt Stock Exchange:

The process of activation as described under 4.2.4 is only required if the new application is for admission as Exchange Trader, i.e. the following scenarios are concerned:

- Application for admission as Exchange Trader with access to the trading hall and registration as Specialist

- Application for admission as Exchange Trader with access to the trading hall

- Application for admission as Exchange Trader

If extension of an existing admission to registration as a Specialist (including access to the trading hall), or to access to the trading hall only or to registration as a Specialist only is applied for (i.e. if at least admission as Exchange Trader at the Frankfurt Stock Exchange exists), admission is granted immediately (without clicking of the activation link) or with a possibly existing secondary condition (suspensive effect). Also in these processes, notifications by e-mail are distributed.

4.3. Application for Registration as Qualified Back Office Staff on Behalf

In the entire electronic process of applying on behalf of third parties, no mandatory fields are defined. Mandatory fields are activated only when the future Qualified Back Office Staff member reviews and completes the application. Hence it is up to the Admission Administrator to decide which data he/she

initially wants to enter. In the following step, the potential Qualified Back Office Staff member has the opportunity to modify or delete data initially entered by the Admission Administrator.

In case admission type "Qualified Backoffice Staff Registration – Eurex" (see figure 5: Selection of Application Type) is selected, the following steps have to be observed:

4.3.1. Personal Data

The personal contact information of the potential Qualified Back Office Staff member is already available in the system from the registration process for the Eurex Member Section (see figure 16: Applicant Data – QBO).

Figure 16: Applicant Data – QBO

In connection with an application for registration of a Qualified Back Office Staff member, further personal data or a CV do not have to be provided.

4.3.2. Professional Qualification

According to a possibly existing registration history of the potential Qualified Back Office Staff member and his/her Eurex Clearer Tests possibly already passed, the following data is prefilled automatically (see figure 17: Professional Qualification – QBO):

• Last de-registration as Qualified Back Office Staff member during the last three years.

• Already existing registrations as Qualified Back Office Staff member for other companies in connection with in-/outsourcing relation on company level

• Eurex Clearer Tests by status:

- registered

- passed

- failed

Figure 17: Professional Qualification - QBO

Once data about professional qualification are available, they are displayed. The greyed out checkbox with a checkmark shows that the pre-requisites are fulfilled.

Dependent on the status of the Eurex Clearer Test, a note is shown left of the table.

Figure 18: Eurex Clearer Test

Should no data about previous or current registrations or Eurex Clearer Tests be played although the potential Qualified Back Office Staff member has been registered before or has taken an Eurex Clearer Test, the following questions, in logical order, have to be replied to (see figure 19: Qualification / Questions – QBO. These do not have to be imperatively replied to by the logged in Admission Administrator when creating the application.

Figure 19: Qualification / Questions – QBO

If no qualifications are displayed automatically, the Admission Administrator has the opportunity to illustrate the professional qualification of the potential Back Office Staff member by means of the following questions. It is important to enter the reply to the first question first, as the following screens are generated dynamically dependent on the reply to the first question.

If the first question is replied to with "yes", proof of professional qualification is deemed to have been provided. Information given here is evaluated by Member Services & Admission after final submission of the application.

If this question is replied to with "no", the next question opens for which the same rules apply.

If both questions are replied to with "no", a link is displayed which leads directly to the Training Portal of Deutsche Börse AG. There, registrations for the required Eurex Clearer Test can be made, either by the Admission Administrator or in the next step by the potential Qualified Back Office Staff member himself/herself.

The Capital Markets Academy is available on tel. +49-(0) 69-2 11-1 37 67 for any questions you may have about registration for examinations and trainings on behalf.

4.3.3. Application Finalisation

In the next step, the Admission Administrator has to select a person who should finally approve the application. To simplify this, a list of all registered Admission Administrators for the company is displayed. The Admission Administrator currently logged in can also select him/herself. Moreover, the Admission Administrator can enter a message in field "Comment" to the potential Qualified Backoffice Staff member or to the next Admission Administrator who will be in charge of the application (see figure 20: Selection of Admission Administrator).

Please choose your responsible Admission Administrator*

	First Name	Last Name	Approve	Sign Off
	lana	admin	☑	☑
	ruben	admin	☑	☑
	rita	admin	☑	☑
	felix	admin	☑	☑

Please be aware that every involved person in this process can see all inserted comments.

Comment:

Dear Felix Admin,
please approve my application.
Thank you,
Lana

Figure 20: Selection of Admission Administrator

Once the Admission Administrator has clicked the button "Send", the application is forwarded to the relevant person, the potential Qualified Backoffice Staff member, for review and completion. At the same moment, he/she is informed by e-mail that processing of the application is required. However, the person could delete the application. In this case, the Admission Administrator would be informed of the deletion, also by e-mail.

When the potential Qualified Backoffice Staff member has reviewed and completed the application, the Application Administrator mentioned above is also informed by e-mail of the application to be processed.

If the responsible Admission Administrator approves the application, it will be forwarded to Deutsche Börse AG for further processing. Deutsche Börse AG checks the personal data and admission prerequisites. The potential Qualified Backoffice Staff member is informed by e-mail should the application contain errors or be incomplete according to Deutsche Börse AG. In this case, the potential Qualified Backoffice Staff member has to correct or complete immediately the data in the application. All applications are available under the following path in the closed member sections of Deutsche Börse Group:

Admission Service – eXAS > Admission Administration > Application Overview

In general, all admissions returned to Deutsche Börse AG, which were not completed or corrected, are automatically rejected within four weeks from the date of submission. Applications containing a future date for Eurex Clearer Test are excluded from this rule.

If applications are rejected due to erroneous or missing data the potential Qualified Backoffice Staff member can submit a new application anytime. In this case, all involved persons are informed by e-mail.

5. Application for Termination of admitted/registered Persons

The Admission Administrator is authorised to enter independently applications for the following termination of person admissions:

- Termination of admission of Exchange Traders (including Specialists with access to the trading hall)

- Termination of admission of Qualified Backoffice Staff members

The navigation structure enables selection of persons whose applications should be terminated by admission type (see figure 21: Navigation – Termination).
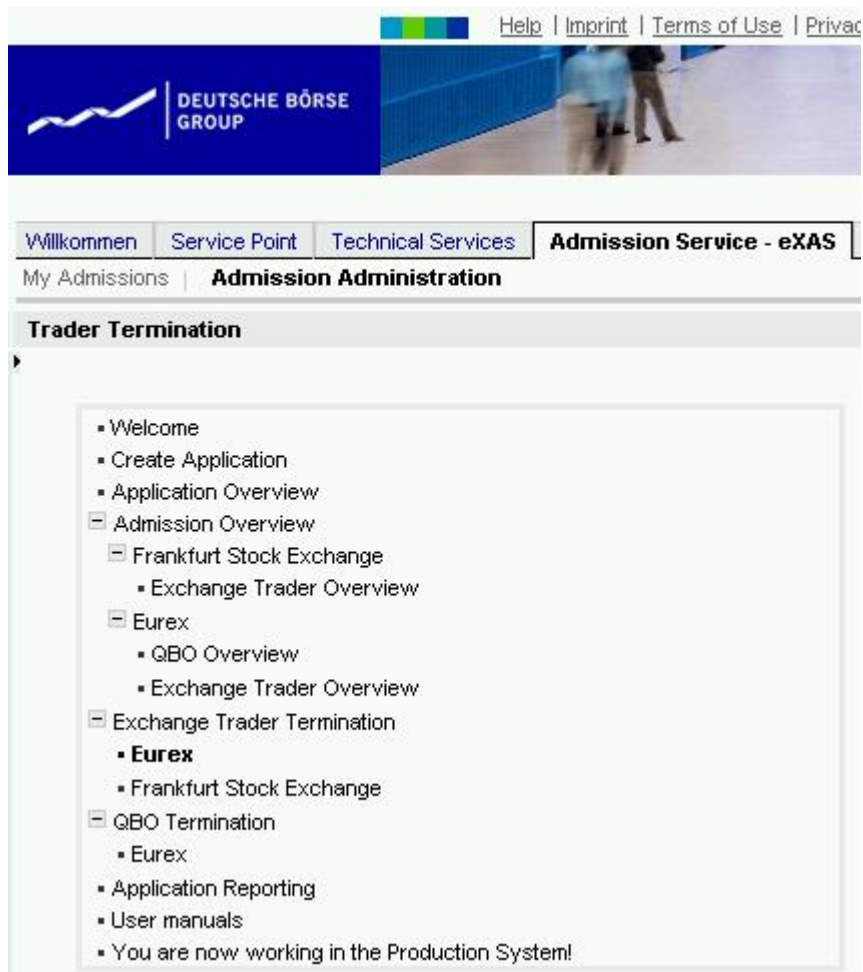
Figure 21: Navigation – Termination

The Admission Administrator has to confirm his/her authorisation before he/she can submit the application for termination of an admission (see figure 22: Confirmation about Authorisation).
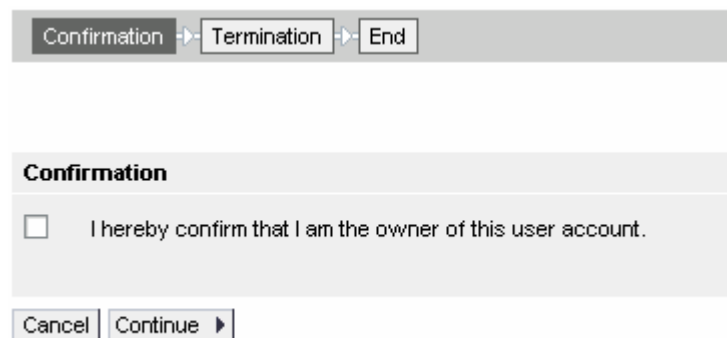

Figure 22: Confirmation about Authorisation

After confirmation has been given, the Admission Administrator can select the person whose admission or registration should be terminated. To do so, an effective date has to be entered and button "Transmit" has to be pressed (see figure 23: Termination of Person).

Available User

	First Name	Last Name	Email
	Billy	Trader	
	abigail	trader	

Termination Information

☑ I want to terminate this admission as Eurex Trader.

The termination will be effective immediately in case no specific date is chosen.

Effective Date of Termination: _____

Figure 23: Termination of Person

6. Application Overview

The "Application Overview" shows all applications currently in process in which the logged in Admission Administrator has been involved (see figure 24: Application Overview).

In the application overview all applications in draft status as well as applications which require further processing (e.g. approval, review).

Application Overview

◉ My Admissions   ○ All Admissions

	Reference ID	Name	Description	Status		Created on			OK
	20110511-000024	Hubert Trader	Registration - Specialist	Correction required by Exchange Trader/QBO	ℹ	11/05/2011	Select action...	▼	OK
	20110511-000022	Ilka Trader	Registration - Eurex	In Process at Exchange	ℹ	11/05/2011	Select action...	▼	OK
	20110511-000021	Ilka Trader	Registration - Xetra, Access Trading Hall	In Process at Exchange	ℹ	11/05/2011	Select action...	▼	OK
	20110511-000020	Marco Trader	Registration - Specialist, Access Trading Hall	Correction required by Exchange Trader/QBO	ℹ	11/05/2011	Select action...	▼	OK
	20110511-000017	Manon Trader	Registration - Specialist	Application received by Exchange	ℹ	11/05/2011	Select action...	▼	OK
	20110511-000009	Ethan Trader	Registration - Specialist	Draft by Exchange Trader/QBO	ℹ	11/05/2011	Select action...	▼	OK
	20110511-000003	alessandro trader	Registration - Eurex	Application received by Exchange	ℹ	11/05/2011	Select action...	▼	OK

Figure 24: Application Overview

By opening drop down menu "Select action" the desired next action can be selected:

- View: The complete application is displayed, but cannot be edited.

- Print: The application is printed in PDF format without changes.

- Review: The application is reviewed, followed by decision on approval or rejection (status: "Processing required by Admission Administrator")

Upon selection of "Review" the Admission Administrator can choose among the following actions, dependent on his/her rights:

- Reject: The application disappears from the "Application Overview", the applicant is informed about the rejection by e-mail.

- Approve: The application is submitted to Deutsche Börse AG. (Only if the Admission Administrator has the necessary right!)

- Forward: The application is forwarded to another Admission Administrator for further Reviewing

- Resend: The application is returned to the potential Exchange Trader or Qualified Backoffice Staff member. In these cases, we strongly recommend adding a comment.

In addition, the Admission Administrator can select between the views "My Applications" and "All Applications" (see figure 21: Application Overview) in order to get a full overview of all applications of the company. Under "All Applications", it is also possible for the Admission Administrator to forward an application to him-/herself. This feature can be used in case the assigned Admission Administrator cannot proceed with the processing of applications because of absence (holiday, illness).

7. Application Reporting

By means of the feature "Application Reporting", all applications of the company that have ever been processed can be retrieved without time limitation, viewed and printed. For this purpose, various selection criteria can be applied (see figure 25: Application Reporting).

Search						
Process Type	eXAS Trader					
Reference ID			Application Type			
First Name	Al*		Last Name			
Date From	5/1/2011		To	5/31/2011		
Search						

Found Items

Ticket #	Reference ID	Application Type	Market	Status	Applicant	
694959	20110511-000003	Admission/Registration	Eurex	Application received by Exchange	alessandro trader	Print
694862	20110509-000001	Admission/Registration	Eurex	Correction required by Exchange Trader/QBO	alessia trader	Print
694773	20110506-000004	Admission/Registration	FWB	Admitted	alessia trader	Print
694771	20110506-000002	Admission/Registration	Eurex	Admitted	alessandro trader	Print
694770	20110506-000001	Admission/Registration	FWB	Admitted	alessandro trader	Print
694755	20110505-000018	Admission/Registration	Eurex	Cancelled by Exchange Trader/QBO	alessandro trader	Print
694708	20110504-000011	Admission/Registration	FWB	Admitted	alessandro trader	Print
694951	20110510-000034	Termination	Eurex	Terminated	alessandro trader	Print

Figure 25: Application Reporting

8. Admission Overview

Admission Administrators can download daily updated Excel lists of the following persons (see figure 26: Admission Overview):

- admitted Exchange Traders

- registered Specialists (including access to the trading hall)

- registered Qualified Backoffice Staff members

Trader Overview for FWB				
Firstname	Lastname	Email	Admission	Admission Date
Hubert	Trader		Trader, Access Trading Hall	5/11/2011
Mala	Trader		Trader, Access Trading Hall	5/11/2011
Manon	Trader		Trader	5/3/2011
Manon	Trader		Access Trading Hall, Specialist	5/11/2011
Marco	Trader		Trader	5/10/2011
lana	admin		Trader	5/10/2011

Download Excel

Figure: 26: Admission Overview

In the lists, searching/selecting by first name and last name is possible. The market (Eurex or Frankfurt Stock Exchange) and the person type (Exchange Trader or Qualified Backoffice Staff member) can be preselected in the menu structure.

9. Change of User Account

In case one Admission Administrator should be in charge of admissions and registrations of various legal entities (Exchange Participants or Member IDs), various log-ins per entity can be combined, enabling the Admission Administrator to switch between them (see figures 27 and 28: Change of user account).

Should various log-ins for one person be required, please contact the Service Point team (contact details see chapter 10: Hotlines and Support. The Service Point team will create the log-ins.

Figure 27: Change of User Account I

Connect Account

I have further account(s) at Deutsche Börse Group and i like to connect it with the current account.

User Name / Password: [   ] [   ] [Connect]

Connected Accounts

	Portal ID	First Name	Last Name	Email	
☐	2259246A	Arhan	Nam	Arhan.Nam@exafr.de	[Start with this context]
☐	2259246B	Arhan	Nam	arhan.nam@barcap.com	[Start with this context]
☐	2259259A	Arhan	Nam	Arhan.Nam@pakfr.de	[Start with this context]

[Cancel]

Figure 28: Change of User Account II

10. Hotlines and Support

For questions about access to the Eurex Member Section or Members only Xetra/Hall area, please contact the Service Point Team at +49-(0) 69-2 11-1 78 88 or by e-mail to servicepoint@deutsche-boerse.com.

For any questions regarding the features of eXAS, please call the following Member Services & Admission teams:

Location	Phone	E-Mail
Zurich	+41-(0) 58-8 54-29 42	eurexzuerichag@eurexchange.com
Paris	+33 (0) 155- 27-67 67	natacha.alliaume@deutsche-boerse.com
London	+44 (0) 207-8 62-71 65	uktraderadmission@deutsche-boerse.com
Chicago	+1-312-5 44-11 50	customer.support.chicago@deutsche-boerse.com
Frankfurt	+49 (0) 69-2 11-1 16 40	person.admission@deutsche-boerse.com

For any questions about the Training Portal of Deutsche Börse Group, please call the Capital Markets Academy on tel. +49-(0) 69-2 11-1 37 67 or by e-mail to academy@deutsche-boerse.com.

For any questions about User ID Maintenance, please contact the Clearing Data Control team at tel. +49-(0) 69-2 11-1 24 53 or by e-mail to clearingdata@deutsche-boerse.com.