



Eurex/ISE Link Member Readiness Guide

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Abstract

This document intends to provide an overview on the steps and processes that need to be taken to get technically connected to the ISE and legally ready to participate in the Eurex/ISE Link.

This document is dedicated to all Eurex members that are planning to participate in the Eurex/ISE Link.

Keywords

Eurex, ECAG, International Securities Exchange, ISE, Eurex/ISE Link, Member Readiness, Connectivity, Connection Alternatives, Vendor, Market Data

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1 Introduction

Eurex Release 12.0 introduces a transatlantic trading and clearing link between Eurex, the International Securities Exchange (ISE) and the Options Clearing Corporation (OCC) that will allow Eurex Members to access the world's largest equity options market through their existing Eurex membership. Due to U.S. regulations however, participation in the Eurex/ISE Link is only available to non-US Eurex members.*

The Eurex/ISE Link will provide Eurex Members with full and seamless access to the ISE's options market, making approximately 430 of the following U.S. products available:

- ┆ Equity Options
- Equity Index Options
- ┆ Options on Exchange Traded Funds (ETFs)
- ┆ Foreign Exchange (FX) Options

Eurex Members will not have to become members of the ISE nor open accounts at OCC to participate in the Eurex/ISE Link - they will simply need to sign an agreement between Eurex Clearing AG and, if they are not a Eurex Clearing Member themselves, their Eurex Clearing Member.

* Subject to all necessary regulatory approvals

1.1 Interfaces for Trading at the ISE¹

Eurex Members that want to trade ISE products via the Eurex/ISE Link have to access the ISE system under the name of ECAG ("sponsored access")² via the PrecISE front-end, via FIX protocol or over the proprietary Options Open Interface API access.

PrecISE

PrecISE is a fast and innovative front-end application for trading options and equity-option combinations. PrecISE provides traders with the ability to submit, monitor, alter and cancel orders; display the BBO + NBBO + underlying + market depth of options. PrecISE is installed on the traders PC and connects to servers at ISE via the Internet using SSL security, or through a dedicated line.

FIX

The Financial Information Exchange (FIX) protocol is an open message standard that supports the real-time electronic transmission of securities transactions. ISE offers a FIX 4.2-compliant order routing interface over TCP/IP.

¹ Taken from ISE website:

<http://www.ise.com/WebForm/viewPage.aspx?categoryId=159&header4=true&menu4=true>

² In this context the term "Sponsored access" is used to describe the direct access a Eurex member gets to trade at the ISE without becoming a member of the ISE. This status in principle is comparable to Eurex's offering of making Eurex trading screens available at a member's branch office outside the country of the exchange participant's admission.

Proprietary API - Low Latency Connectivity

The ISE Options Open Interface API allows members to reduce transaction processing times by connecting directly to the core processing engines of the ISE Options exchanges, thereby eliminating the FIX message translation processing step.

All applications developed to interact with ISE's Options Open Interface API must be certified by ISE. A number of third-party API developers have developed customized applications to ISE's Options Open Interface API for use by ISE Options Exchange participants. Members can also develop their own proprietary API interfaces.

Please Note: this API has a limited lifetime since it will no longer be supported once a new ISE trading system is in place, which is targeted for a November 2010 launch.

2 Access to the ISE

Eurex members who want to participate in the Eurex/ISE Link require a technical connection to the ISE system for order entry as trading access to ISE will not be incorporated in the current Eurex trading environment. Eurex members will have to trigger the connectivity process to ISE from their end.

The diagram below provides an overview of the available Front Ends and the corresponding available technical connection and interface alternatives:

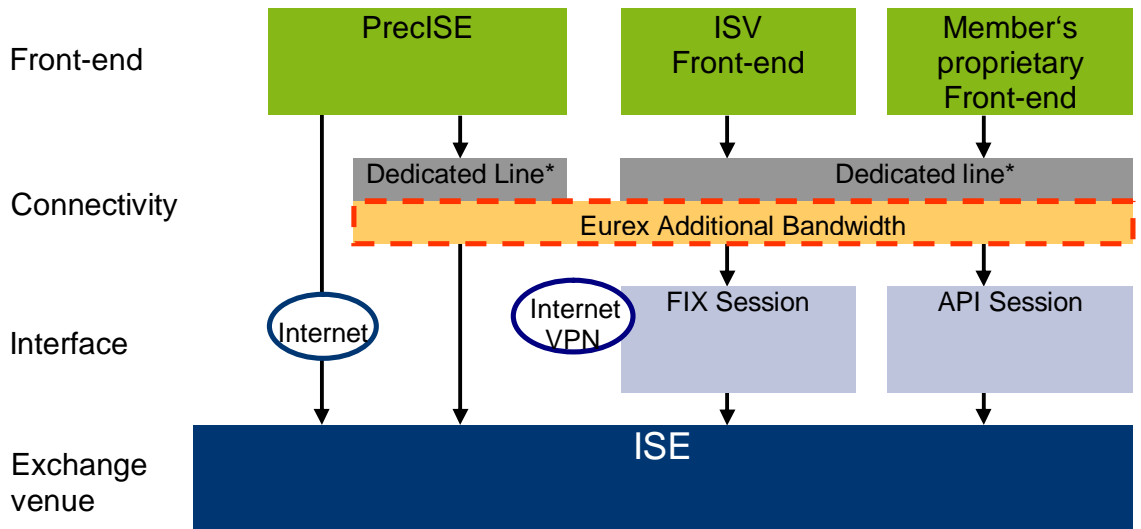


Figure I: Connectivity and Line Connection Alternatives

In general and prior to being connected to ISE, Eurex members will have to decide in terms of what sort of connectivity (and related performance) they require for Eurex/ISE Link trading.

Depending on their individual preferences, Eurex members may choose from three different kinds of connectivity:

- ISE's PreclSE Trade®:
Proprietary ISE front-end application for trading options and equity option combinations

- Vendor (ISV) Solutions:
ISV solutions support trading at ISE with front-end and/or connectivity solutions based on ISE's FIX Interface or Options Open Interface (API).
- Proprietary Trading Solutions:
Member-owned trading solutions connecting to ISE's FIX Interface or Options Open Interface (API).

In terms of line connection, Eurex members can also choose from three different alternatives:

- Internet Connectivity:
Via internet it is possible to make use of ISE's proprietary front-end trading application PrecISE Trade[®] that is directly connected to ISE's order book server architecture. Please note that access to ISE via the FIX interface requires to have set up a Virtual Private Network (VPN) connection.
- Connectivity via Dedicated Line:
Via a dedicated line it is possible to make either use of PrecISE, an independent software vendor solution programmed against the ISE order book interface or a member-owned front-end application also being programmed against the ISE order book interface.
- Connectivity via Additional Bandwidth on Eurex Network:
Via additional bandwidth on Eurex network it is possible to use either PrecISE, an independent software vendor solution programmed against the ISE order book interface or a member-owned front-end application also being programmed against the ISE order book interface. Using additional bandwidth on Eurex network means that Eurex trading members can use the headroom of existing Eurex connections to get connected to ISE.

2.1 Connectivity

Eurex members can connect to ISE using either a FIX or API interface, or ISE's PrecISE Trade[®] front end. The first two alternatives allow firms to customize their trading applications to fit their own risk-management and order-flow systems.

Either members use a dedicated circuit to ISE or a telecommunications carrier of choice, thereby getting seamlessly connected. Whether connectivity should be ordered from several point-to-point service providers, each of them offering connectivity from one access point to the next, depends on the Eurex members' individual preferences and related internal setup. Once their connection to ISE is established, members enjoy full access to ISE technical support.

2.2 Additional Bandwidth on Eurex Network

Eurex will offer a 128 kbit/s additional bandwidth on existing Eurex connections based on the TCP/IP protocol, however, prerequisite is sufficient headroom. This additional bandwidth can be used for PrecISE, ISE FIX Interface and ISE native Interface (API) connections.

Due to the bandwidth limitation only order traffic will be possible for FIX and API connections. Therefore, market data will NOT be provided and has to be ordered, if necessary, by a third party market data provider³.

Please note: This Additional Bandwidth on Eurex Network offering will be available in all European trading locations (except for Vienna and Gibraltar). In case you want to verify whether your existing Eurex connectivity already fulfils the prerequisites for additional bandwidth, please contact your technical account manager at +49-69-211-11200

2.3 ISE Connection, Market Data, Setup and Bandwidth Requirements

The following table presents an overview about the different ISE connectivity interfaces and the related line connections:

Connectivity Alternative	Line Connection Alternative	Market Data Available	Bandwidth Requirement
<i>PrecISE</i>	Internet Connection (SSL-secured)	yes	25k per user
	Additional Bandwidth on Eurex Network	yes	25k per user
	Proprietary Line to ISE	yes	25k per user
<i>Fix</i>	Internet Connection (VPN)	no*	64k minimum per session
	Additional Bandwidth on Eurex Network	no*	64k minimum per session
	Proprietary Line to ISE	no*	64k minimum per session
	Independent Service Provide Connection	no*	64k minimum per session
<i>API</i>	Additional Bandwidth on Eurex Network	no*	64k minimum per session
	Proprietary Line to ISE	yes	20 MB (min) full access
	Independent Service Provide Connection	yes	20 MB (min) full access

*Market Data will NOT be provided and has to be ordered, if necessary, by a market data provider

Figure II: Overview of ISE Interfaces and Line Connections

Several Eurex Front Office and Back Office Vendors are supporting the Eurex/ISE Link. Vendor Relations is happy to assist in case of any questions (please find contacts in chapter 5).

ISE Vendors: www.ise.com/vendors and www.ise.com/isv

³ Link to Market Data Providers as listed on the ISE website:
<http://www.ise.com/WebForm/homeDefault.aspx?categoryId=103&header2=true>

Service Times

Estimated service times for network connectivity of European members.
(Does not include Membership or third party service times)

1. PreclSE or FIX over internet (FIX requires VPN) from Europe:
3 days lead time (does not include service times of the internet provider)
2. PreclSE, FIX or API over existing lines via Eurex network
~ 6 weeks lead time in total to get both exchanges, DBAG and ISE, linked
3. New 64K direct connections to ISE for FIX:
International lines take about 90 days lead time⁴
4. New 256K direct line from Europe to access ISE Gateway using API:
About 90 days lead time⁴
5. New connection in ISE Co-location: on request.
6. Gateway at member site in Europe for API access:
Engineering design required for each site, plus 90 days for line setup plus additional 30 days or more to set up gateways etc.

3 Next Steps to Participate

Existing Eurex Trading Members planning to participate in the Eurex/ISE Link would need to get in contact with their respective Member Services & Admission Account Manager (contact details are provided in chapter 5). The respective account manager will provide all required forms for the Eurex/ISE Link admission (except for ISE connectivity forms and can guide through the registration process. As soon as all required forms have been provided, a setup confirmation will be provided.

Please note Eurex members participating in the Eurex/ISE Link will need to provide dedicated member setup up forms for a legal and a technical stream.

Please further note If a Eurex member wants a direct ISE connection, it has to request the ISE form at ISE directly. It is ISE rather than ECAG (Member Services & Admission Account Manager) that eventually confirms connectivity to the Eurex member.

3.1 Legal Framework

Independent from the final choice of connectivity, the following forms are mandatory for signature prior to legal activation of member access to the ISE trading platform:

- IORS Agreement (PreclSE Simulation Software Agreement⁵)

⁴ Lead time depends on service provider of choice

⁵ Since Eurex/ISE Link Member simulation starts on September 21st 2009, members may not have an already signed IORS Agreement until then. In order to nonetheless participate in the simulation, the member will have to sign a Simulation Software Agreement, enabling them to actively log on to PreclSE trade application in order to test general connectivity as well as order entry functionalities.

In addition, the following conditions need to be met by the participating Eurex Clearing Member in order to actively take part in ISE Clearing:

- Provide a signed New Clearing Member Clearing Agreement
- Clearing Member must have a Local Custodian Account at DTCC
- Clearing Member must have an Account at US Payment Bank

The above listed forms will be available for download on the Eurex website under the following path:
www.eurexchange.com > documents > forms > **Eurex/ISE Link**

Please note: Market participants that are not Eurex members (NCM/ GCM/ DCM) until today but who plan to become a Eurex member with regard to the Eurex/ISE Link will need to follow the usual Eurex member admission processes to either obtain a Eurex non-clearing membership or a Eurex clearing license.

For further details on the Eurex memberships and the related prerequisites, please contact the Eurex Member Services & Admission Helpdesk at +49-69-211-11700 or visit the following links from the Eurex website:

For Non Clearing Membership:

http://www.eurexchange.com/trading/exchange_membership/non_clearing_en.html

For Clearing Licenses:

http://www.eurexchange.com/trading/exchange_membership/clearing_licenses_en.html

3.2 Technical Framework (Additional Bandwidth on Eurex Network)

The following forms are mandatory for signature prior to technical activation of member access to the ISE trading platform:

- Eurex Additional Bandwidth Order Form
-> covers technical order and setup details for Additional Bandwidth on Eurex Network offer
- ISE connectivity via Service Provider
-> depending on choice of connectivity

All above listed forms will be available on the Eurex website under the following path:

www.eurexchange.com > documents > forms > trading_derivatives > single forms > technical > connection

3.3 Access to the Simulation

Generally, turnaround time for the simulation environment access setup (excluding network connectivity) shall be a maximum of 2-3 days. Members that are interested in participating in the Eurex/ISE Link simulation will be asked to provide setup documentation as outlined in the MSG010 - Member Simulation Guide.

Independent from final choice of connectivity and line connection, participation in the member simulation will require a signed IORS-Agreement and/or a Simulation Software Agreement (which will be provided by ISE). After having received the member setup request, the ISE Member Service Department will in return provide the following details:

PrecISE	FIX connection	API
User name:	SenderCompID:	User name:
Password:	TargetCompID:	Password:
Host IP address	Port:	Gateway IP Address:
	Host IP address:	Port:
		Member access web site user name and password to download API specification.

Further details on the Eurex/ISE Link member simulation could be obtained from the member simulation guide, which will be downloadable from the "Members Only" area under the following path: www.eurexchange.com > members only > Releases > Eurex 12.0

In order to provide interested members with the opportunity to run tests within the new link setup, a subset of ISE products will be available in the Eurex Release Simulation environment from September 21, 2009 onwards⁶. The full range of Eurex/ISE Link-eligible US instruments will be available with the activation of the Eurex/ISE Link in production.

4 Contacts at ISE

International Securities Exchange
60 Broad Street
New York, NY 10004
USA

Below listed is an overview of ISE contact details for dedicated Eurex/ISE Link support

Department	Services Provided	Phone Number/ Email
Connectivity	Network connections	+1 (212) 897-0244 connect@ise.com
Technology Member Services	FIX, API and Precise support	+1 (212) 897-0244 tms@ise.com
Market Operations	Trading Support PrecISE User Setup Additional FIX/API users	+1 (877) 473-9989 helpdesk@ise.com
Computer Operations	Technical production support	+1 (212)897-0284 computeroperations@ise.com
Legal	Legal	+1 (212) 897-8152

Figure III: ISE Contacts by Function

⁶ For a complete list of simulation products, please refer to the MSG010 – Eurex Member Simulation Guide which is available for download via http://www.eurexchange.com/index_de.html

ISE Contacts for General Inquiries

ISE Main
mail@ise.com
+1 (212) 943-2400

Membership Inquiries
bizdev@ise.com
+1 (212) 897-0357

Customer Service
customerservice@ise.com

Trade Support

Market Operations
helpdesk@ise.com
*toll free international
number planned*

PrecISE Training & Inquiries
precise@ise.com
+1 (212) 897-8171

General Trading Questions
Jeanine Hightower
jhightower@ise.com
+1 (212) 897-0357

Technical Support

Connectivity & FIX/API Support
Technology Member Services
tms@ise.com
+1 (212) 897-0244

Equipment Installations
Technology Member Services
tms@ise.com
+1 (212) 897-0244

Issues Management
Tom Kennelly
tkennelly@ise.com
+1 (212) 897-0262

5 Contacts at Eurex

Eurex Member Services & Admission
Ruth Klaus, +49.69.211.14888, ruth.klaus@deutsche-boerse.com
Hotline: +49.69.211.11700

Eurex Sales
Christoph Helm, +49.69.211.18757, christoph.helm@eurexchange.com

Eurex Vendor Relations & Markets Readiness
Front Office ISVs and Connectivity Providers:
Frank Horneff, +49.69.211.15751, frank.horneff@deutsche-boerse.com

Middle- and Back Office ISVs:
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Eurex Technical Helpdesk
+49.69.211.11200, cts@deutsche-boerse.com

Eurex Clearing Helpdesk
+49.69.211.11250, clearing@eurexchange.com

6 ISVs supporting the Eurex/ISE Link

Several Eurex Front Office and Back Office Vendors are supporting the Eurex/ISE Link.

Vendor Relations is happy to assist in case of any questions (please find contacts in chapter 5).

ISE Vendors: www.ise.com/vendors and www.ise.com/isv

7 Training Courses

In order to provide members the opportunity to familiarize themselves with the ISE system prior to simulation respectively production start, related training courses will be offered by ISE. Eurex Clearing AG recommends participation of related Eurex Clearing Members and Service Implementation related staff in respective training courses.

On request, individual training courses can be organized. The course can be conducted in the "Capital Markets Academy" of Deutsche Börse or, if required, on the members' premises. The fees per in-house training will be calculated individually.

8 Supporting Documentation

All documents published in connection with the introduction of Eurex Release 12.0 and Eurex/ISE Link will be available via Internet on the Eurex website www.eurexchange.com. The Central Circular Management will give notification of each publication by means of an Eurex circular. We strongly recommend downloading all documents from the internet.

Please find below an excerpt of the documents which have been published or will be published

Release Announcement

(Part of Eurex Circular 048/09)

Contents: Overview of the features and essential functionalities of new standard Eurex Release 12.0

Target Group(s): General, Clearing Contacts, Back Office, System Administrator

Functional and Technical Release Notes⁷

(Attached as preliminary notes to Eurex circular 105/09)

Contents: Description of member relevant technical and functional changes in connection with the introduction of Eurex Release 12.0

Target Group(s): Project Coordinators, System Administrators, Clearing Contacts and Back Office

VALUES API Modification Announcement

(Part of Eurex Circular 048/09; attached as planning version to 105/09)

Contents: Modification of the VALUES API which comes into effect with Eurex Release 12.0

Target Group(s): System Administrators, System Developers

Description of Report Raw Data

(described in Preliminary Technical Release Notes within Eurex circular 105/09)

Contents: Description and content of Raw Data Reports

Target Group(s): System Administrators, System Developers

⁷ The final Eurex Release Notes for Eurex Release 12.0 will be available for download from 17 August 2009 under http://www.eurexchange.com/documents/publications/int_en.html

9

Appendix

Checklist Step	Member Action required prior to Simulation Setup	Checkbox
1	Indicate willingness to participate in the Eurex/ISE Link towards Eurex Member Readiness & Admission	<input type="checkbox"/>
2	Verify that your Clearer is able to provide Clearing services for the Link	<input type="checkbox"/>
3	Check and decide for the appropriate way of connectivity/ line connection to ISE (together with Eurex Member Services & Admission)	<input type="checkbox"/>
4	Check and decide about your market data solution	<input type="checkbox"/>
5	Reconcile preferred connectivity and line connection solution with related service implementation lead times as mentioned in chapter 2.3 - <i>ISE Connection, Market Data, Setup and Bandwidth Requirements 0</i>	<input type="checkbox"/>
6	In case participation in the Eurex/ISE Link is planned without being an existing 1) Eurex Trading Member 2) Eurex General Member 3) Direct Clearing Member please contact Eurex Member Services & Ad-mission for ordinary membership setup procedures	<input type="checkbox"/>
7	In case participation in the Eurex/ISE Link Member simulation is planned and in case a signed IORS-Agreement is not available before start of the simulation, please request the PreClSE Software Agreement from ISE	<input type="checkbox"/>
8	Provide setup forms for legal framework to Eurex Member Services & Admission: 1) IORS-Agreement	<input type="checkbox"/>
	Provide setup forms for technical framework to Eurex Member Services & Admission:	

9	1) Eurex Additional Bandwidth Order Form (in case of Additional Bandwidth on Eurex Network) Provide setup forms for technical framework to ISE: 1) ISE connectivity via Service Provider (if applicable)	<input type="checkbox"/>
10	Coordinate with Eurex Member Readiness & Admission for timing and location in case participation in a pre-launch training session is required	<input type="checkbox"/>
11	Assign traders and products	<input type="checkbox"/>

Figure IV: Member Setup Checklist for Eurex/ISE Link
