

Electronic Exchange Admission Service (eXAS)

Admission Administration

User Manual

Version 2.1

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1 Introduction

The Electronic Exchange Admission Service (eXAS), which can be accessed via the Eurex Member Section or the Xetra/Floor Members Only area is a service for online applications, modifications and terminations of Exchange Trader admissions and Qualified Back Office Staff registrations. This service also includes the User ID Maintenance in which the setup, modification, and deletion of User IDs can be requested electronically. All involved persons will receive an update of each request via e-mail.

This document describes the administration of all processes regarding admissions of Exchange Traders at the Frankfurt Stock Exchange (Floor, XONTRO and Xetra) and the Eurex Exchanges, and processes regarding registrations of Qualified Back Office Staff.

2 Admission Administration

2.1 Terms of Use

In order to use eXAS, access to the Eurex Member Section or Xetra/Floor Members Only area is required.

Those who do not yet have a login for the Eurex Member Section or Xetra/Floor Members Only area, should contact their company's Central Coordinator. The Central Coordinator (or a deputy) will be able to provide the Company Login data with which a new user can begin the personal registration for a Member Section username and password and request rights for the services that the new user desires. The "My Admissions" service, part of eXAS, does not require specific rights (i.e. all users can access the "My Admissions" menu).

The right to use the new service as an Admission Administrator must be granted by the Central Coordinator or a Deputy.

All mandatory fields are marked with an (*).

2.2 Creation of a New User Account

As Admission Administrator, you are able to create a new user account for members of your company who do not yet have access to the Eurex Member Section or the Xetra/Floor Members Only area. To begin, navigate to the "Create Application" menu and proceed as follows: (see Pics.: 1a Create new User Account and 1b Create new Person):

Application on Behalf

1.) Please select an Exchange Trader*

Create New Person

	First Name	Last Name	E-Mail Address
<input type="checkbox"/>	Matthias	Daub	
<input checked="" type="checkbox"/>	Alexandra	Morelle	
<input type="checkbox"/>	Ilyas	Atas	
<input checked="" type="checkbox"/>	Arhan	Nam	
<input checked="" type="checkbox"/>	Claude	Bouchet	

Row 1 of 120

Persons with an existing registration for the Member Section are represented with a green tick. Persons without a green tick must first be registered in the Member Section for security reasons before an application may be created on their behalf. To start registrations for these users, simply click on the box on the left of their name, then select the option below "Create Portal Login" and follow the registration process. Once the person has verified the registration which you have initiated, the green tick will appear next to their name. Should a person's name not appear in the list, you may select the "Create New User" button at the top of the table and follow the same registration process described above for a new user.

2.) Create Portal Login for selected Trader

Create Portal Login

Pic. 1a: Create new User Account

Willkommen | **Service Point** | Eurex Information | Xetra Information

Web User Administration | Internet Subscription Service (ISS) | Technical Services | My Admissions | **Admission Administration**

User Setup → Right Request → User Activation → User Validation → Submit

Information

[Conditions for Utilization of the Member Section](#)

Existing Account

If an account already exists, relevant data can be preloaded. Please fill the username and password or please fill the last name and PID of an existing user

Username:

Password:

Last Name:

PID:

The Personal Identification Number is important to identify the user with the user name. It is a reference number and is useful for migrating information and/or preferences from an existing user to the user name you are creating e.g. in case of the user's change of company.

Load Data

Organisation Data

Organisation:

Personal Data

Title: Date of Birth:

First Name: *

Last Name: *

E-Mail Address: *

This e-mail address will serve as user name for the personal login to the Servicepoint.

Pic. 1b: Create new Person

1. Only persons with an existing registration for the Member Section or the Xetra/Floor Members Only area are marked by a green tick.
First, select the person you wish to register for the Member Section (see Pic 1a).
 2. Select the option "Create Portal Login" below.
 3. This will show you an entry page requesting the personal data (name, e-mail address, initial password) of the person you wish to register. Mandatory fields are marked with an asterisk (*).
When finished, click „Next“.
 4. After defining the personal data, pre-selected rights are presented. You as the Admission Administrator can only give basic rights to access the Member Section and to use eXAS.
Once the person is registered, he/she can request additional rights by going to "Service Point", "Web User Administration". Additional rights must be approved by the Central Coordinator.
 5. When finished, press „Submit“. The new user will be informed via e-mail containing a link for e-mail verification. By activating the link the registration process is successfully completed.
-

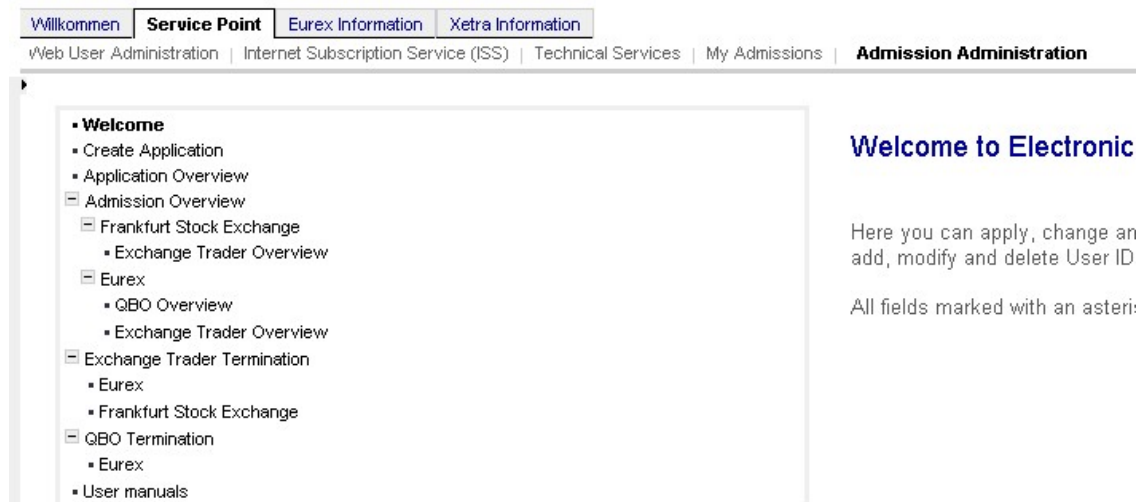
2.3 Structure of Navigation

The personal login data for the Eurex Member Section/ Xetra/Floor Members Only area is already linked with the associated company of the applicant. This allows us to retrieve all person-related data as well as company-related data.

Due to the customization of the menu structure/navigation, the menu points have been pre-selected based upon the admission status of the company and the applicant (see Pic. 2: Menu Structure eXAS Admission Administration).

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

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



Pic. 2: Menu Structure eXAS Admission Administration

2.4 Admission Overview

The Admission Administrator is authorized to process on behalf the following applications within the menu point "Create Application":

- Application for Admission as an Exchange Trader at the Frankfurt Stock Exchange and the Eurex Exchanges
- Application for Registration as a Qualified Back Office Staff at the Eurex Exchanges
- Termination of Trader Admission
- Termination of Registration of Qualified Back Office Staff

Selecting "Create Application" uploads a table of persons within the company:

The screenshot shows a web interface for "Application on Behalf". Below this is a section titled "1.) Please select an Exchange Trader*" with a "Create New Person" button. A table lists five persons with columns for First Name, Last Name, and E-Mail Address. The first person, Matthias Daub, has a selection box on the left. The other four persons (Alexandra Morelle, Ilyas Atas, Arhan Nam, and Claude Bouchet) have green checkmarks in the selection boxes. Below the table is a "Row 1 of 120" indicator. A detailed instruction block explains that green ticks indicate existing registrations and that users without ticks must be registered first. Below this is section "2.) Create Portal Login for selected Trader" with a "Create Portal Login" button.

	First Name	Last Name	E-Mail Address
<input type="checkbox"/>	Matthias	Daub	
<input checked="" type="checkbox"/>	Alexandra	Morelle	
<input type="checkbox"/>	Ilyas	Atas	
<input checked="" type="checkbox"/>	Arhan	Nam	
<input checked="" type="checkbox"/>	Claude	Bouchet	

Pic. 3: Navigation Structure eXAS – Admission Administration for Exchange Traders

Persons with an existing registration for the Member Section are marked with a green tick. Persons without a green tick must first be registered in the Member Section before an application may be created on their behalf. To start registrations for these users, click on the box on the left of their name, then select the below option "Create Portal Login" and follow the registration process. Once the person has verified the registration which you have initiated, the green tick will appear next to his/her name. If a person's name does not appear in the list, click on the "Create New User" button at the top of the table and follow the registration process for a new user as described above (see chapter 2.2)

After selecting a person from the list all possible application types are shown. Select your application type and click on "Start Application" (see Pic.: 4 Application Forms):

2.) Please select an application*

<input type="checkbox"/>	Qualified Backoffice Staff Registration - Eurex
<input checked="" type="checkbox"/>	Exchange Trader Admission - Eurex
<input type="checkbox"/>	Exchange Trader Admission - Frankfurt Stock Exchange

3.) Start selected application for the selected Exchange Trader

Start Application ▶

Pic. 4: Application Forms

During the application process on behalf no mandatory data are required. Once the future Exchange Trader or the Qualified Back Office Staff edit their application, he/she will be prompted to fill in mandatory fields to complete the application.

Depending on which application the Admission Administrator chooses the application process and required personal data differs.

2.4.1 Exchange Trader Admission on Behalf

The personal contact information is already available in the system if the person has already used eXAS; however, the personal data may be edited if necessary (see Pic.: 5 Personal Data of Future Exchange Trader).

Applicant Data

First Name	de01	Last Name	eu1_EXAFR
Phone	Germany	49	69 Ext. 12345
Fax			Ext.
Email	de01.eu1_EXAFR@exasbank.de		

If any of the information included on this page is incorrect, please contact a Deutsche Börse Group Representative Office.

Private Address Data:

Street *	Mainzer Landstr.	House Number *	14
Street Supl.		Country *	Germany
Post Code	52147	City *	Mainz
Phone *	Germany	49	123 Ext.
Fax			Ext.

Please fill in your private email address to ensure you can be informed in the event of a termination of your admission.

Email * de01.eu_EXAFR@private.de

Pic. 5: Personal Data of Future Exchange Trader

If the future Exchange Trader's habitual residence is outside of Germany, a Mail Agent is required. Please select the Mail Authority Data of your Company or fill in your own data. If you select the data of your company, please insert a name and surname of a natural person.

Mail Authority Data

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.

First Name *	<input type="text"/>	Last Name *	<input type="text"/>
Street *	<input type="text"/>	Number *	<input type="text"/>
Street Supl.	<input type="text"/>	Country *	Germany <input type="text"/>
Post Code	<input type="text"/>	City *	<input type="text"/>
Email	<input type="text"/>		

I accept that without a designation of a authorized receiving agent all documents that are targeted to me will be held as delivered the 7th day, and all electrical delivered documents the 3rd day, after their dispatch.

Pic..6: Mail Authority

After completing entering the personal data, the Admission Administrator needs to enter Curriculum Vitae/resume data of the future Exchange Trader (see Pic. 7 CV/Resumé).

Applicant Data

First Name: Last Name:

City of Birth: * Nationality: *

Date of Birth (Day/Month/Year): *

Secondary School Education / Higher School Education*

School Name	From	To
<input type="checkbox"/> Kensington Prep	06 1990	06 1994

Studies


Name of University	From	To
<input type="checkbox"/> Cambridge University	07 1994	08 1998

Employment History*

Employer	From	To
<input type="checkbox"/> Dunder Mifflin Inc.	04 2000	06 2006
<input checked="" type="checkbox"/> Commercial Worldwide LLC	06 2006	Till now

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

Other	From	To
<input checked="" type="checkbox"/> Unemployed	09 1998	03 2000

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Pic. 7: CV/Resumé

Once the future Exchange Trader fulfils the terms and conditions for professional qualification, eXAS will display some data automatically (see Pic. 8):

- n Admission within the last 2 years for at least 12 months
- n Exchange Trader Examination
- n System Training

Note: The following information are required for the admission of Exchange Traders, according to paragraph 3 of the Admission Regulations for Exchange Traders at the Frankfurter Wertpapierbörse and at the Eurex Deutschland.

Expertise

You are registered for the examination.

Please click [here](#) to register for an examination.

System Data

Name of Qualification	Status	Date
FWB Exchange Trader Examination	Confirmation	6/24/2009

Practical Experiences

I confirm that I have been actively trading for 6 month within the last 2 years.

You are registered for the System Training.

If selected, please specify below.

Name of Qualification	Status	Date
Xetra - Funktionales Member-Training	Confirmation	6/30/2009

If you do not have trading experience like those mentioned above, please click [here](#) to register for system training.

Pic. 8: Requirements fulfilled

In case the future Exchange Trader does not fulfil the requirements for professional qualification, the Admission Administrator has three possibilities to take a next step (see Pic. 9 Requirements not fulfilled):

1. Register the Exchange Trader for an examination and/or system training in the Training Portal of Deutsche Börse AG. The link will lead you directly to the Training Portal. Admission Administrators can book on behalf.
2. Apply for an In-house Exchange Trader Examination. Regarding the final organisation Capital Markets Academy will contact you as soon as possible.
3. Enter data on practical experience of the applicant who actively traded for 6 months within the last 2 years. Then select the relevant exchange from among a list of all accepted Exchanges world-wide and all accepted multilateral trading systems.

Log-In Process for Capital Markets Academy Data

In case there are no examinations and system trainings displayed but you have participated these and you have a username and password for the trainingsportal of the Capital Markets Academy, please log-in to retrieve all your data.

Login with another Username ▶

Expertise

Refresh Data System Data

Please click [here](#) to register for an examination.

I apply for an Inhouse Exchange Trader Examination.

Here you have the possibility to apply for an InhouseTraining/Examination. Regarding the final organisation Capital Markets Academy will contact you as soon as possible.

I confirm that I have previously passed the Exchange Trader Examination within the last 2 years.

Practical Experiences

Refresh Data System Data


I confirm that I have been actively trading for 6 month within the last 2 years. If selected, please specify below.

I apply for an Inhouse System Training.

Here you have the possibility to apply for an InhouseTraining/Examination. Regarding the final organisation Capital Markets Academy will contact you as soon as possible.

I confirm that I have previously attended the System Training Course.

If you do not have trading experience like those mentioned above, please click [here](#) to register for system training.

◀ Back Cancel Save Continue ▶  Print as PDF

Pic. 9: Requirements not fulfilled

These different options will not always apply to everyone. Applicants must select the option that best describes their situation. Should the options that are provided require further explanation, the applicant can provide additional comments on the following page prior to submission.

Then one responsible Admission Administrator must be selected from the list of all Admission Administrators within the company. Here the applicant can add any further information if necessary and send an e-mail (see Pic. 10 Selection of the Admission Administrator):


Please choose your responsible Admission Administrator*

	First Name	Last Name	Approve	Sign Off
<input type="checkbox"/>	Magda	Admin	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/>	Markus1111	Buschky	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/>	Markus	Buschkya	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	DE01	Admin	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/>	DE02	Admin	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/>	DE01	Maintainer	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/>	Melanie	Admin	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/>	Kay	Admin	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Comment:

Dear Ms Admin,
Please provide your authorization for this trader to apply for admission. He is a new employee and requires admission for this market.

Thank you,
Mr Maintainer

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Pic. 10: Selection of the Admission Administrator

When the Admission Administrator clicks "Submit", the application will be forwarded to the future Exchange Trader for review and completion of the application.

2.4.2 Qualified Back Office Staff Admission on Behalf

For Qualified Back Office Staff Admission on Behalf personal data and Curriculum Vitae/Resume data are not required.

Once data about the professional qualification of the Qualified Back Office Staff are available in the system, eXAS will display some data automatically.

- n The last de-registration as a Qualified Back Office Staff is not longer than 3 years ago.

Market	From	To
QBO	6/16/2009	6/19/2009

Pic. 11a: Expertise

- n Already existing registration as a Qualified Back Office Staff for other companies which has an In/Out-Sourcing relation with the company of the Admission Administrator.
- n Eurex Clearer Examination

Name of Qualification	Status	Date
Eurex-Clearer Test	Passed	4/23/2009

Pic. 11b: Expertise

In case the future Qualified Back Office Staff does not fulfil the terms and conditions for professional qualification, the Admission Administrator has the following possibility:

- n Apply for a Eurex Clearer Examination within the Training Portal of Deutsche Börse AG. The link will lead you directly to the Training Portal. Admission Administrators can book on behalf.

Please click [here](#) to make a registration for an Eurex Clearer Test. Persons designated to be registered as qualified back-office staff of an admitted company, have to prove appropriate qualification pursuant to subsection 3.3.1. of the Exchange Rules for Eurex Deutschland and Eurex Zürich (Eurex Exchange Rules).

I assure that I already have passed an Eurex Clearer Test within the last 3 years.

Pic. 11c: Expertise

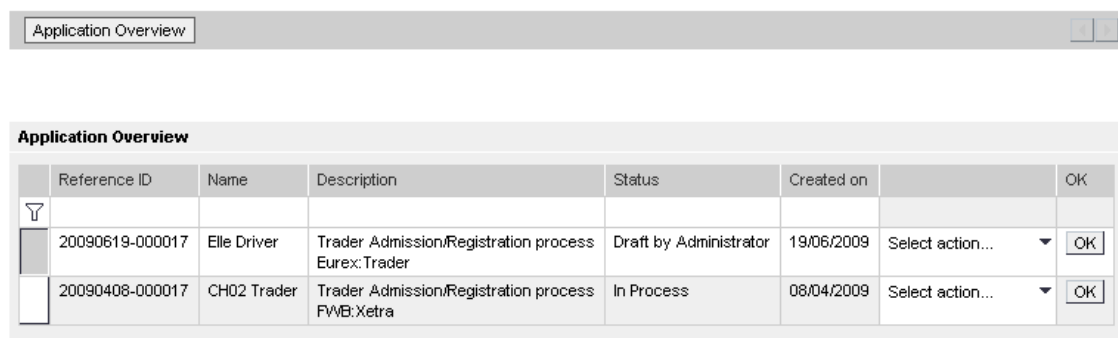
These different options will not always apply to everyone. Applicants must select the option that best describes their situation. Should the options that are provided require further explanation, the applicant can provide additional comments on the following page prior to submission.

Then one responsible Admission Administrator must be selected from the list of all Admission Administrators within the company. Here the applicant can add any further information if necessary.

When the Admission Administrator clicks "Submit", the application is forwarded to the future Qualified Back Office Staff for review and completion.

2.5 Application Overview

Within the menu point "Application Overview" the Admission Administrator has the possibility to see the status of the following applications (see Pic. 12: Application Overview):



	Reference ID	Name	Description	Status	Created on		OK
⌵							
	20090619-000017	Elle Driver	Trader Admission/Registration process Eurex: Trader	Draft by Administrator	19/06/2009	Select action... ▼	OK
	20090408-000017	CH02 Trader	Trader Admission/Registration process FWB:Xetra	In Process	08/04/2009	Select action... ▼	OK

Pic. 12: Application Overview

- Application for Admission as Exchange Trader
- Application for Registration as Qualified Back Office Staff

The following actions can be done with an application:

- **Reject:** The application disappears from the "Application Overview" and the applicant will be informed about the rejection via e-mail.
 - **View:** The complete application is reviewable without making changes.
 - **Approve:** The application will be submitted to Deutsche Börse AG. (Only when the Admission Administrator has the necessary permission!)
 - **Forward:** The application will be forwarded to another Admission Administrator for reviewing. (Only when the Admission Administrator has the necessary permission!)
 - **Print:** The application will be printed in pdf-format without making changes.
-

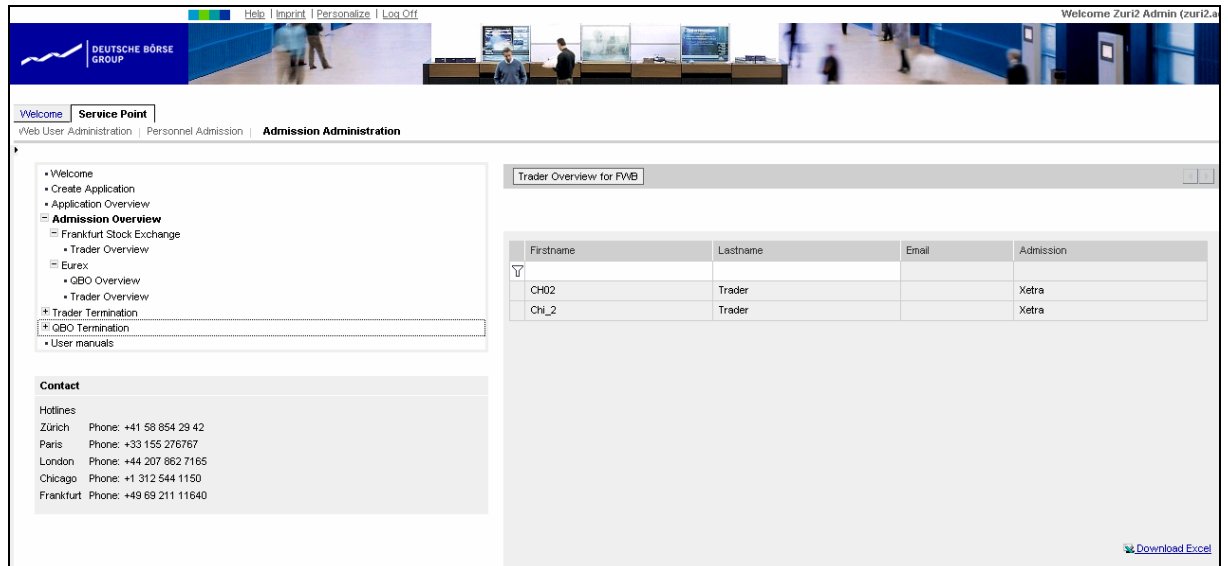
2.6 Admission Overview

The Admission Administrator can upload daily updated excel lists of the following groups of persons:

- Admitted Exchange Traders
- Registered Qualified Back Office Staff

(see Pic. 13: Admission Overview).

Within the lists, you may search/select for first names and last names. Within the menu structure the Admission Administrator can make a pre-selection of the market (Eurex or Frankfurt Stock Exchange) and the type of person (Exchange Trader or Qualified Back Office Staff).



Pic. 13: Admission Overview

2.7 Termination of Admission of Admitted/Registered Persons

The Admission Administrator may apply on behalf for the following termination requests:

- n Termination of Admission as Exchange Trader
- n Termination of Registration as Qualified Back Office Staff

Admission Administrators must first confirm their authorization before applying for a termination (mandatory field, see Pic. 14 Confirmation About Authorization).

The screenshot shows a dialog box with a title bar containing three buttons: "Confirmation" (highlighted), "Termination", and "End". Below the title bar, the text "Currently Logged In User" is displayed, followed by the user details: "Lois Admin" and "lois.admin@exasbank.com". A section titled "Confirmation" contains a checked checkbox and the text "I hereby confirm that I am the owner of this user account." At the bottom, there are three buttons: "Cancel", "Save", and "Continue" (with a right-pointing arrow).

Pic.14: Confirmation About Authorization

After confirmation, the Admission Administrators will be able to select from a complete list the person for whom they would like to terminate the admission or registration (see Pic. 15: Termination of Admission of an Exchange Trader).

The screenshot shows a table titled "Available User" with a search icon on the left. The table has four columns: "First Name", "Last Name", "Email", and "Markets". The data rows are:

First Name	Last Name	Email	Markets
CH02	Trader		Xetra
Chi_2	Trader		Xetra

The screenshot shows a form titled "Applicant Data" with the following fields:

First Name	CH02	Last Name	Trader
Street	Haus	Number	1
Street Supl.		Country	Switzerland
Post Code	2343	City	Zürich
Phone			Ext.
Fax			Ext.
Email *			

Termination Data

Cancel admission at:

Floor Xontro Xetra

 [Print as PDF](#)

Pic. 15: Termination of Admission of an Exchange Trader

3 Hotlines and Support

For questions about the Login ID for the Eurex Member Section or Xetra/Floor Members Only area, please contact the Service Point Team at +49-(0) 69-2 11-1 78 88 or via e-mail at servicepoint@deutsche-boerse.com.

For any questions regarding eXAS, please call the following Member Services & Admission Teams:

Location	Telephone	E-mail
Zurich	+ 41-(0) 58-8 54-29 42	
Paris	+ 33 (0) 155- 27-67 67	paris.admission@deutsche-boerse.com
London	+ 44 (0) 207-8 62-71 65	uktraderadmission@deutsche-boerse.com
Chicago	+ 1-312-5 44-10 00	customer.support.chicago@deutsche-boerse.com
Frankfurt	+ 49 (0) 69-2 11-1 16 40	person.admission@deutsche-boerse.com

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