

Electronic Exchange Admission Service (eXAS)

# Application for personal Admission/Registration User Manual

Version 4.0

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## Table of Content

1	Introduction .....	1
2	Preconditions .....	1
3	Admission as Exchange Trader (incl. Registration as Specialist with Access to the Trading Hall) .....	4
3.1	Navigation .....	4
3.2	Selection of Market .....	4
3.3	Confirmation about Legal Requirements.....	5
3.4	Personal Data .....	5
3.5	Curriculum Vitae/Resume .....	8
3.5.1	Specifics regarding Curriculum Vitae/Resume.....	9
3.6	Professional Qualification .....	10
3.6.1	Training Portal .....	12
3.6.2	Specifics regarding Professional Qualification.....	13
3.7	Application Finalisation.....	14
3.8	The Admission .....	15
3.8.1	Specifics regarding the Admission .....	15
4	Registration as Qualified Back Office Staff Member .....	16
4.1	Navigation .....	16
4.2	Confirmation about Legal Requirements.....	16
4.3	Personal Data .....	17
4.4	Professional Qualification .....	17
4.5	Training Portal .....	19
4.6	Application Finalisation.....	19
5	Special Features .....	21
5.1	Application Overview .....	21
5.2	Application Reporting .....	21
6	Hotlines and Support .....	22

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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, personal admissions, registrations and de-registrations as Exchange Traders and Qualified Backoffice Staff member can be requested online in an web based way.

The present document describes the procedure for the following application types:

- Application for Exchange Trader admission at Frankfurter Wertpapierbörse (FWB<sup>®</sup>, the Frankfurt Stock Exchange) (Xetra<sup>®</sup>) and at the Eurex Exchanges.
- Application for registration as Specialist at Frankfurter Wertpapierbörse (FWB<sup>®</sup>, the Frankfurt Stock Exchange) (Xetra<sup>®</sup>).
- Application for registration as Qualified Back Office Staff member at the Eurex Exchanges.
- Procedure for termination of above mentioned admissions/registrations.

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

- Overview of all personal and current applications for Frankfurter Wertpapierbörse (FWB<sup>®</sup>, the Frankfurt Stock Exchange) (Xetra<sup>®</sup>) and for Eurex Exchanges.
- Overview of all historical eXAS applications.

## 2 Preconditions

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).

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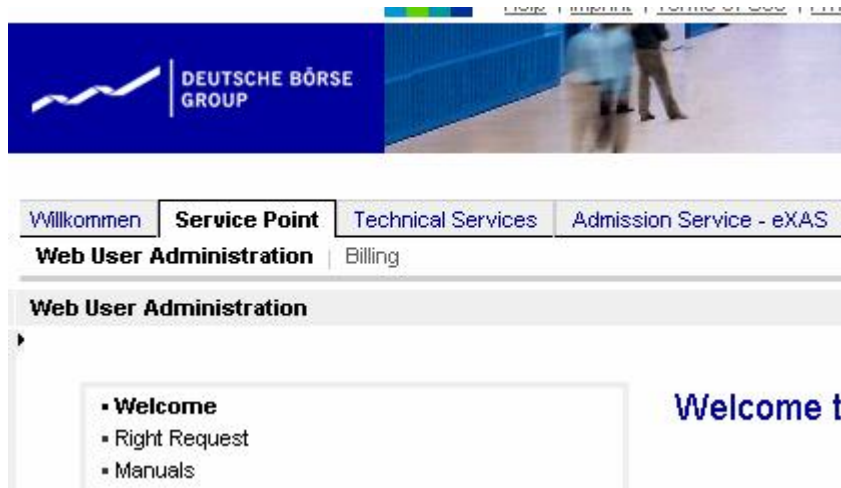


Figure 1: Prerequisites for usage

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<sup>1</sup> of the Member Section under "Register" (see figure 2: New registration).

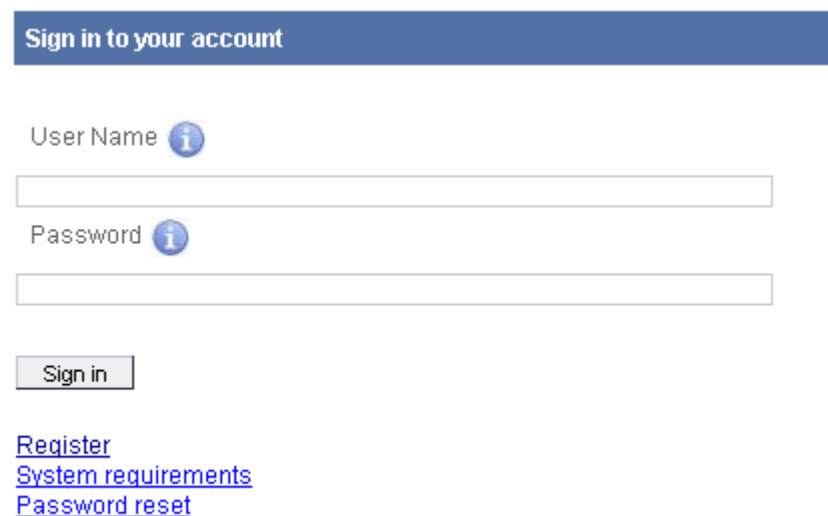


Figure 2: New registration

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

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<sup>1</sup> The log-in page is only available in english.

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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".

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### 3 Admission as Exchange Trader (incl. Registration as Specialist with Access to the Trading Hall)

#### 3.1 Navigation

To request an Exchange Trader admission within the closed members sections Eurex Member Section or Members only Xetra/Hall area the following path needs to be followed (see figure 3: Navigation eXAS – My Admission):

Admission Service – eXAS -> My Admissions

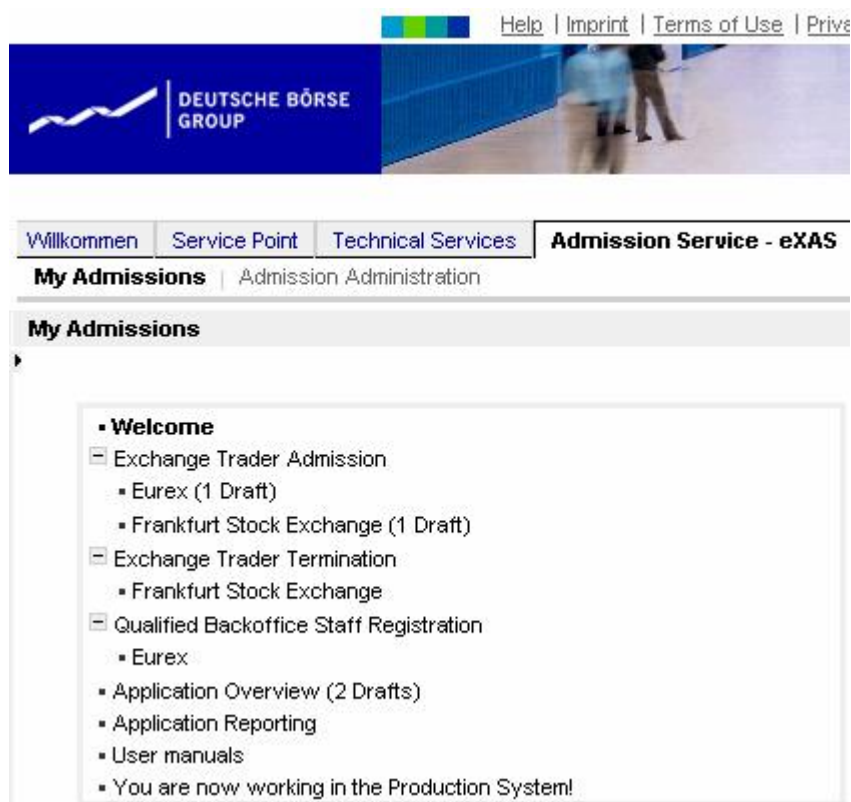


Figure 3: Navigation eXAS – My Admissions

#### 3.2 Selection of Market

The user name for the closed members sections Eurex Member Section or Members only Xetra/Hall area is already linked with the associated company of the applicant and the menu is customized to the user's available options.

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Due to the customization of the menu structure/navigation, the menu points are pre-selected based upon the admission status of the company and the applicant (see figure 3: Navigation eXAS – My Admission).

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

Example 2: If the current user is already admitted as an Exchange Trader for Eurex, he/she will find Eurex only under the menu point "Exchange Trader Termination".

### 3.3 Confirmation about Legal Requirements

After selection of the desired application the confirmation page will open.

All three check boxes are mandatory and must be ticked (see figure 4: Confirmation about Legal Requirements).

Confirmation → Application → CV → Professional Qualification → Admission Administrator → End

**Confirmation**

I hereby confirm that I am the owner of this user account.

I hereby declare that I have read and acknowledged the [Information Memorandum](#) and the [Terms of Use](#) .  
Any information provided in your application will be used for user requested services only.

I confirm my personal reliability.

a) I hereby assure that no legal proceedings or monetary fine proceedings on charges of crime or offence against sections 261, 263a, 264a, 265b - 271, 274, 283 - 283d, 299 or 300 of the German Penal Code ("Strafgesetzbuch") or violation of the German Banking Act ("Kreditwesengesetz"), the German Securities Trading Act ("Wertpapierhandelsgesetz"), the German Stock Exchange Act ("Börsengesetz"), the German Safe Custody Act ("Depotgesetz"), the German Money Laundering Act ("Geldwäschegesetz") or the German Investment Act ("Investmentgesetz") in their respectively valid versions are underway against me.

b) I hereby assure that I have not been finally convicted of such actions nor has a final administrative order imposing a fine been issued against me.

c) I hereby assure that I (or a company managed by me) am not and have not been involved as debtor in insolvency proceedings or in proceedings to obtain the filing of an affidavit or comparable proceedings.

Cancel Save Continue ▶ [Print as PDF](#)

Figure 4: Confirmation about Legal Requirements

A click on "Information Memorandum" or "Terms of User" delivers details about legal admission requirements and informs about the usage of the online portal "eXAS".

### 3.4 Personal Data

The applicant's personal contact information is available in the system from the registration process the closed members sections Eurex Member Section or Members only Xetra/Hall area. In case the data are not current anymore, the correct information needs to be forwarded to the Markets Tools & Processes team. You can change the Applicant Data details (not the private address data) yourself in

"My Profile" on the welcome page of the Member Sections. Nevertheless you can continue with your application and change the data afterwards.

Due to regulatory requirements, applicants must provide their private contact information in case their Exchange Trader admission will be cancelled by the company. Because of that Deutsche Börse is obliged to send a revocation e-mail to the private contact data (see figure 5: Personal Data).

**Private Address Data:**

Street *	Helgo Street	House Number *	45
Street Supl.		Country *	USA
Post Code	99874	City *	George Town
Phone *	United Kingdom	44	45123456 Ext. 21
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 \* Lana.Admin@web.de

Figure 5: Personal Data

If an applicant applies for admission as an Exchange Trader at the Frankfurt Stock Exchange, for a registration to access to the trading hall or allowance to practice specialist tasks and the applicant's habitual residence is outside of Germany, the applicant can accept that all documents are regarded as being delivered on the 7<sup>th</sup>/3<sup>rd</sup> (by post/by electronic communication) day after dispatch (see figure 6: Mail Authority – Acceptance) or the applicant appoints a Mail Agent (see figure 7: 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/hers 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 6: 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 *	<input type="text" value="Billy"/>	Last Name *	<input type="text" value="George"/>
Street *	<input type="text" value="Test Street"/>	Number *	<input type="text" value="12"/>
Street Supl.	<input type="text"/>	Country *	<input type="text" value="Germany"/>
Post Code	<input type="text" value="98546"/>	City *	<input type="text" value="George Town"/>
Email	<input type="text" value="billy.george@web.de"/>		

Figure 7: Mail Authority – Appointment

Also the mail authority data of the company can be used within the drop down. But in any case a natural person needs to be appointed as a Mail Agent.

When applying for admission as an Exchange Trader at the Frankfurt Stock Exchange, Exchange Trader can select additionally a registration for access the trading hall and/or a registration to become a specialist (see figure 8: Frankfurt Stock Exchange – Application). Here Exchange Traders can only see application types for which the associated company has an admission and for which the Exchange Traders is not admitted/registered, yet.

**Admission Data**

I herewith apply for

admission as FWB exchange trader with the authorization to conclude trades FWB Frankfurter Wertpapierbörse (already applied for / registered)

access to the trading hall

allowance for specialist tasks

on behalf of the following company:

Figure 8: Frankfurt Stock Exchange – Application

If the applicant is already admitted as an Exchange Trader or registered for an access to the trading hall and/or as a specialist the boxes are already ticked automatically by the system and the advice "already applied for / registered" is given behind the application type (see figure 8: Frankfurt Stock Exchange – Application). When the Exchange Trader is still registered for another company the applicant will be informed during the current application procedure and will be asked to terminate this registration. The actual application can be continued. But a final admission for this company will place as soon as the other registration is finally terminated.

### 3.5 Curriculum Vitae/Resume

The Curriculum Vitae/Resume is a confirmation about the personal reliability pursuant to the Admission Regulations for Exchange Trader. A feature of the Curriculum Vitae (CV) page is that all information entered by the applicant is saved and stored for future use, so that an applicant will only have to complete the CV page once. Additionally, applicants may add, change and delete data in their CV (see figure 8: Curriculum Vitae/Resume; Personal Data).



Note: According to the admission regulations for Exchange Trader at the Frankfurter Wertpapierbörse and at the Eurex Deutschland paragraph 2a states that applicants must fill in their Curriculum Vitae / Personal Resume information **without any gaps** on a monthly basis (e.g. Secondary School from August 2006 to August 2007, Higher School Education from September 2007 to ...). Your Curriculum Vitae / Personal Resume data will be permanently stored for future use and further applications.

**Applicant Data**

First Name	<input type="text" value="Iana"/>	Last Name	<input type="text" value="admin"/>
City of Birth: *	<input type="text" value="Helgo City"/>	Nationality: *	<input type="text" value="Algeria"/>
Date of Birth (Day/Month/Year): *	<input type="text" value="2"/> <input type="text" value="March"/> <input type="text" value="1987"/>		

Figure 9: Curriculum Vitae/Resume; Personal Data

The system checks automatically if the CV is filled without any gaps and informs if there are gaps. In this case the applicant is asked to fill in the missing data (see figure 10: Curriculum Vitae/Resume; Details).

The fill in at least one entry regarding "Secondary School Education/Higher School Education" and "Employment History" is absolutely mandatory. It is secured automatically that your CV starts not later than of the age of 12 years (up to your date of birth).

Overlapping of time is allowed.

<b>Secondary School Education / Higher School Education*</b>					
<b>Please start your CV/Resumé latest with the age of 12 years.</b>					
Add Row		Delete Selected Row			
Type and Name of School	City of School	From	To		
Secondary School	George Town	03	1999	05	2005
<b>Studies</b>					
Add Row		Delete Selected Row			
Type and Name of University	City of University	From	To		
<b>Employment History*</b>					
Add Row		Delete Selected Row			
Employer	From	To			
Deutsche Börse AG	05	2005	Till	now	
<b>Other (if Others please add here. For example: Unemployment, Sabbatical)</b>					
Add Row		Delete Selected Row			
Other	From	To			

Figure 10: Curriculum Vitae/Resume; Details

### 3.5.1 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 applicant 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.

### 3.6 Professional Qualification

According to the admission history and examinations already passed and system trainings attended by the applicant, the following data is filled automatically (see figure 11: 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
**System Data**

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

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 11: Existing Qualification – Exchange Trader only

Once data about professional qualification are available, they are displayed. The greyed out checkboxes 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 potential Exchange Trader knowingly has been admitted before or has attended trainings, the following questions, in logical order, have to be replied to (see figure 12: Qualification / Questions – Exchange Trader only).

**Expertise**

Refresh Data System Data

I have successfully passed a Eurex Exchange Trader Examination within the last 2 years!

Yes  No

I was already admitted as an exchange trader for at least 12 months within the last 2 years at Eurex!

Yes  No

Pursuant to §3 of the Admission Regulations for Exchange Trader an evidence about your expertise is required. Please register for a Eurex Exchange Trader Examination under the following link to fulfil the requirement to get an admission as an exchange trader.  
[Market related link to the Trainingsportal of Capital Markets Academy](#)

The Capital Markets Academy offers in-house exams in locations other than the regular exam locations. Please note that there will be additional costs incurred for individual exams. For more information please contact Capital Markets Academy.

**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

Pursuant to §3 of the Admission Regulations for Exchange Trader an evidence about your practical experience is required. Please register for a Eurex System Training under the following link to fulfil the requirements to get an admission as an exchange trader.  
[Market related link to the Trainingsportal of Capital Markets Academy](#)

The Capital Markets Academy offers in-house system trainings in locations other than the regular training locations. Please note that there will be additional costs incurred for individual trainings. For more information please contact Capital Markets Academy.

Figure 12: Qualification / Questions – Exchange Trader only

If no qualifications are displayed automatically, the applicant has the opportunity to illustrate the professional qualification 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 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 must be made. Without the booking of the necessary examination and/or system training no Exchange Trader admission is possible.

### 3.6.1 Training Portal

For the access to the training portal a further log-in is necessary.

[https://deutsche-boerse.com/dbag/dispatch/en/kir/gdb\\_navigation/cma](https://deutsche-boerse.com/dbag/dispatch/en/kir/gdb_navigation/cma)

If any examination or system training was already booked online over the training portal and the log-in is still available, this can be used for further registrations as well. If this is not the case the user name and password for the log-in to the Member Section can be used.

Please be informed that finally processed booking won't be displayed directly in the application. The facts will be transported afterwards and will be integrated into the electronic application.

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.

### 3.6.2 Specifics regarding Professional Qualification

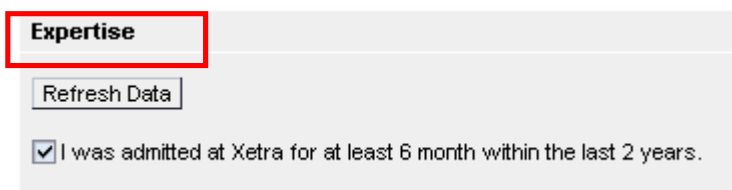
The following specifics only concern applications for admission to the Frankfurt Stock Exchange:

The scope of professional qualification as described in chapter 3.6 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 13: Qualification – Specialist). Prerequisite for registration as Specialist is admission to Xetra (Frankfurt Stock Exchange) for at least six months during the last two years.



**Expertise**

Refresh Data

I was admitted at Xetra for at least 6 month within the last 2 years.

Figure 13: Qualification – Specialist

If this pre-requisite is fulfilled, the applicant can tick the checkbox displayed in figure 13. In some cases, the system identifies fulfilment of this pre-requisite independently. In this case, the checkbox is ticked automatically by the system.

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### 3.7 Application Finalisation

In the next step the applicant needs to select an responsible Admission Administrator. Therefore a list with all registered Admission Administrators related to the company will be shown. The applicant has here the possibility to leave a note in the field marked with "Comment" (see figure 14: Selection of Admission Administrator).

**Please choose your responsible Admission Administrator\***

	First Name	Last Name	Approve	Sign Off
<input type="checkbox"/>	lana	admin	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/>	ruben	admin	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/>	rita	admin	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/>	felix	admin	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

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 14: Selection of Admission Administrator

Once the applicant has clicked the button "Send", the application is forwarded to the selected Admission Administrator for approval. The Admission Administrator can also reject or resend the application to the applicant. In both cases, the applicant would be informed by e-mail.

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 applicant is informed by e-mail should the application contain errors or be incomplete according to Deutsche Börse AG. In this situation, the applicant 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 > My Admissions > 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.

### 3.8 The 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.

#### 3.8.1 Specifics regarding the Admission

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

The process of activation as described under 3.8 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.

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## 4 Registration as Qualified Back Office Staff Member

### 4.1 Navigation

The registration to become a Qualified Back Office Staff member (QBO) at Eurex Exchanges begins within the log-in to the closed members sections Eurex Member Section or Members only Xetra/Hall area. The respective application type can be found under the following path after successful log-in (see figure 15: eXAS Navigation – QBO):

Admission Service – eXAS -> My Admissions -> Qualified Backoffice Staff Registration -> Eurex

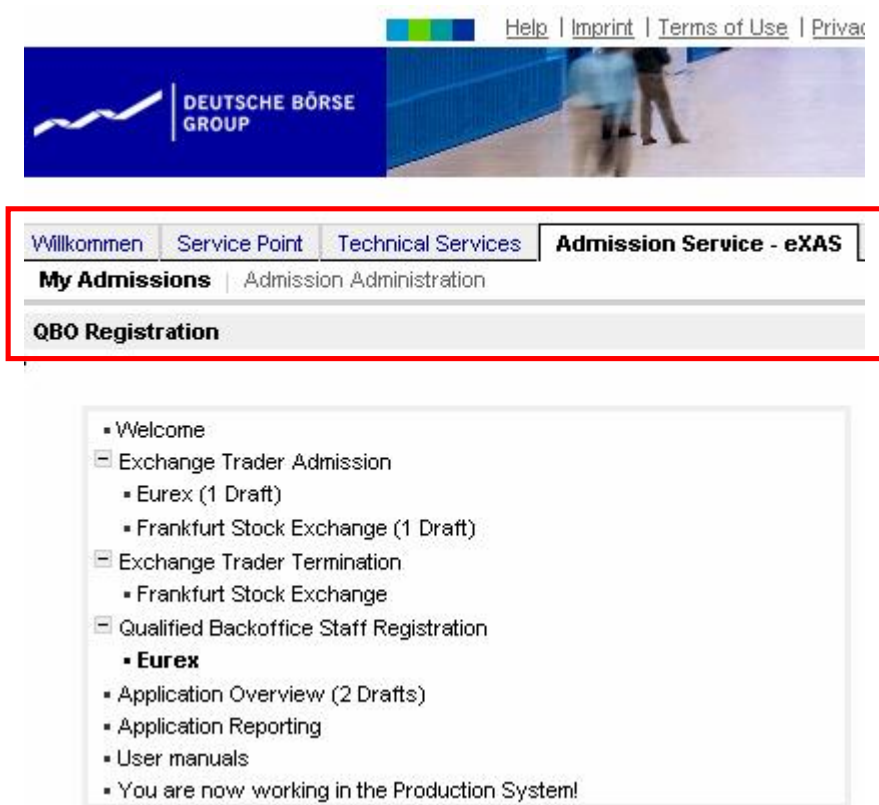


Figure 15: eXAS Navigation - QBO

### 4.2 Confirmation about Legal Requirements

After selection of the desired application the confirmation page for legal requirements will open.

Both checkboxes are mandatory and must be ticked (see figure 16: Confirmation about Legal Requirements - QBO).

Confirmation	
<input checked="" type="checkbox"/>	I hereby confirm that I am the owner of this user account.
<input checked="" type="checkbox"/>	I hereby declare that I have read and acknowledged the <a href="#">Information Memorandum</a> and the <a href="#">Terms of Use</a> . Any information provided in your application will be used for user requested services only.

Figure 16: Confirmation about Legal Requirements - QBO

A click on "Information Memorandum" or "Terms of User" delivers details about legal admission requirements and informs about the usage of the online portal "eXAS".

### 4.3 Personal Data

The applicant's personal contact information is available in the system from the registration process the closed members sections Eurex Member Section or Members only Xetra/Hall area. In case the data are not current anymore, the correct information needs to be forwarded to the Markets Tools & Processes team. You can change the Applicant Data details (not the private address data) yourself in "My Profile" on the welcome page of the Member Sections. Nevertheless you can continue with your application and change the data afterwards.

Applicant Data			
First Name	<input type="text" value="Iana"/>	Last Name	<input type="text" value="admin"/>
Phone	<input type="text"/>	<input type="text"/>	Ext. <input type="text"/>
Fax	<input type="text"/>	<input type="text"/>	Ext. <input type="text"/>
Email	<input type="text" value="Iana.adad@googlemail.com"/>		

Figure 17: Applicant Data – QBO

### 4.4 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 18: Existing 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

Expertise								
Refresh Data								
<input checked="" type="checkbox"/> Your last deregistration as Qualified Back-Office staff is not older than 3 years.	<b>System Data</b> <table border="1"> <thead> <tr> <th>Market</th> <th>From</th> <th>To</th> </tr> </thead> <tbody> <tr> <td>QBO</td> <td>5/8/2006</td> <td>4/22/2009</td> </tr> </tbody> </table>		Market	From	To	QBO	5/8/2006	4/22/2009
Market	From	To						
QBO	5/8/2006	4/22/2009						
<input checked="" type="checkbox"/> You had passed the Eurex Clearer Test within the last 3 years.	<table border="1"> <thead> <tr> <th>Name of Qualification</th> <th>Status</th> <th>Date</th> </tr> </thead> <tbody> <tr> <td>Eurex-Clearer Test</td> <td>Passed</td> <td>3/17/2009</td> </tr> </tbody> </table>		Name of Qualification	Status	Date	Eurex-Clearer Test	Passed	3/17/2009
Name of Qualification	Status	Date						
Eurex-Clearer Test	Passed	3/17/2009						

Figure 18: Existing 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 (see figure 19: Eurex Clearer Test).

Expertise								
Refresh Data								
<input checked="" type="checkbox"/> You are registered for the Eurex Clearer Test.	<b>System Data</b> <table border="1"> <thead> <tr> <th>Name of Qualification</th> <th>Status</th> <th>Date</th> </tr> </thead> <tbody> <tr> <td>Eurex-Clearer Test</td> <td>Confirmation</td> <td>5/19/2009</td> </tr> </tbody> </table>		Name of Qualification	Status	Date	Eurex-Clearer Test	Confirmation	5/19/2009
Name of Qualification	Status	Date						
Eurex-Clearer Test	Confirmation	5/19/2009						

Figure 19: 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 20: Qualification / Questions – QBO).

Expertise	
Refresh Data	
<b>System Data</b>	
I have successfully passed an Eurex Clearer Test within the last 3 years! <input type="radio"/> Yes <input checked="" type="radio"/> No	
I was already registered as a qualified back-office within the last 3 years! <input type="radio"/> Yes <input checked="" type="radio"/> No	
To be registered as qualified back-office staff an evidence about your professional qualification is required. Please register for an Eurex Clearer Test under the following link to fulfil the requirement to get a registration as a qualified back-office staff.	
<a href="http://deutsche-boerse.com/dbag/dispatch/en/kir/gdb_navigation/cma/40_Trader_QBO/10_Eurex_Clearer/t_/product.do?productId=50002583EN">http://deutsche-boerse.com/dbag/dispatch/en/kir/gdb_navigation/cma/40_Trader_QBO/10_Eurex_Clearer/t_/product.do?productId=50002583EN</a>	

Figure 20: Qualification / Questions – QBO

If no qualifications are displayed automatically, the applicant has the opportunity to illustrate the professional qualification 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.

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.

#### 4.5 Training Portal

For the access to the training portal a further log-in is necessary.

[https://deutsche-boerse.com/dbag/dispatch/en/kir/gdb\\_navigation/cma](https://deutsche-boerse.com/dbag/dispatch/en/kir/gdb_navigation/cma)

If any examination or system training was already booked online over the training portal and the log-in is still available, this can be used for further registrations as well. If this is not the case the user name and password for the log-in to the Member Section can be used.

Please be informed that finally processed booking won't be displayed directly in the application. The facts will be transported afterwards and will be integrated into the electronic application.

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.

#### 4.6 Application Finalisation

In the next step the applicant needs to select an responsible Admission Administrator. Therefore a list with all registered Admission Administrators related to the company will be shown. The applicant has here the possibility to leave a note in the field marked with "Comment" (see figure 21: Selection of Admission Administrator).

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Please choose your responsible Admission Administrator*				
	First Name	Last Name	Approve	Sign Off
<input type="checkbox"/>	lana	admin	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/>	ruben	admin	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/>	rita	admin	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/>	felix	admin	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

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 21: Selection of Admission Administrator

Once the applicant has clicked the button "Send", the application is forwarded to the selected Admission Administrator for approval. The Admission Administrator can also reject or resend the application to the applicant. In both cases, the applicant would be informed by e-mail.

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 applicant is informed by e-mail should the application contain errors or be incomplete according to Deutsche Börse AG. In this situation, the applicant 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 > My Admissions > 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 Eurex Clearer Test are excluded from this rule.

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

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## 5 Special Features

### 5.1 Application Overview

The "Application Overview" shows all current applications which have been drafted or which need to be processed (completion, correctness) (see figure 22: Application Overview).

**Application History**

All  Draft only  Resend Only

	Reference ID	Name	Description	Status		Created on		OK
	20110516-000002	iana admin	Registration - Specialist, Access Trading Hall	Draft by Exchange Trader/QBO		16/05/2011	Select action...	<input type="button" value="OK"/>
	20110512-000035	iana admin	Registration - Eurex	Draft by Exchange Trader/QBO		12/05/2011	Select action...	<input type="button" value="OK"/>
	20110509-000011	iana admin	Registration - QBO	Admitted		09/05/2011	Select action...	<input type="button" value="OK"/>
	20110509-000004	iana admin	Termination - Xetra	Terminated		09/05/2011	Select action...	<input type="button" value="OK"/>
	20110509-000003	iana admin	Termination - Eurex	Terminated		09/05/2011	Select action...	<input type="button" value="OK"/>

Figure 22: Application Overview

Within working on the drop down "Select action" the next step can be triggered.

### 5.2 Application Reporting

By means of the feature "Application Reporting", all applications of the user 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 23: Application Reporting).

**Search**

Process Type: eXAS Trader

Reference ID:

Application Type:

Date From: 5/1/2011

To: 5/31/2011

**Found Items**

Ticket #	Reference ID	Application Type	Market	Status	Applicant		
695033	20110516-000002	Admission/Registration	FWB	Draft by Exchange Trader/QBO	iana admin	<input type="button" value="Print"/>	<input type="button" value="View"/>
695014	20110512-000035	Admission/Registration	Eurex	Draft by Exchange Trader/QBO	iana admin	<input type="button" value="Print"/>	<input type="button" value="View"/>
694865	20110509-000004	Termination	FWB	Terminated	iana admin	<input type="button" value="Print"/>	<input type="button" value="View"/>
694864	20110509-000003	Termination	Eurex	Terminated	iana admin	<input type="button" value="Print"/>	<input type="button" value="View"/>
694791	20110506-000022	Admission/Registration	FWB	Cancelled by Admission Administrator	iana admin	<input type="button" value="Print"/>	<input type="button" value="View"/>

Figure 23: Application Reporting

## 6 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](mailto: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	<a href="mailto:eurexzuerichag@eurexexchange.com">eurexzuerichag@eurexexchange.com</a>
Paris	+ 33 (0) 155- 27-67 67	<a href="mailto:natacha.alliaume@deutsche-boerse.com">natacha.alliaume@deutsche-boerse.com</a>
London	+ 44 (0) 207-8 62-71 65	<a href="mailto:uktraderadmission@deutsche-boerse.com">uktraderadmission@deutsche-boerse.com</a>
Chicago	+ 1-312-5 44-11 50	<a href="mailto:customer.support.chicago@deutsche-boerse.com">customer.support.chicago@deutsche-boerse.com</a>
Frankfurt	+ 49 (0) 69-2 11-1 16 40	<a href="mailto:person.admission@deutsche-boerse.com">person.admission@deutsche-boerse.com</a>

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](mailto: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](mailto:clearingdata@deutsche-boerse.com).

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