

Application for technical connection to the XITARO trading system - Company (Welcome Package Part 2)

1 Applicant

Trading Participant

Company Name

Legal Entity Identifier

Registered Office

Address

Trading Participant represented by the following agent (if applicable)

Company Name

Legal Entity Identifier

Registered Office

Address

the written power of the attorney is attached

2 Submitter of the Application

Contact Person Name

Company Name

E-Mail

Phone

3 Timeline

Date of the testing

Date of the production

Please note that the data provided is subject to the fulfilment of all regulatory and technical requirements and does not give any entitlement to actual testing or commissioning on the specified date.

4 Applied/ authorized activities within the scope of the technical connection

Trading in own name on own account

- Proprietary trading in accordance with section 1 (1a) sentence 2 no. 4 of the Gesetz über das Kreditwesen (KWG - German Banking Act)
- Proprietary business in accordance with section 1 (1a) sentence 3 of the Gesetz über das Kreditwesen (KWG - German Banking Act)

Trading in own name for third party account

- Financial commission business in accordance with section 1 (1) sentence 2 no. 4 of the Gesetz über das Kreditwesen (KWG - German Banking Act)

5 Set Up of the technical connection

- Set Up of the technical connection

6 Connection Models of the technical connection

- the use of the connection model direct technical connection without technical provision¹
- the use of the connection model indirect technical connection with technical provision¹

7 Technical trading platform 1 – MIC XSTU (if applicable)

Segment MIC STUA/ STUB

- the use of the trading model one auction in Euro (time driven)
- the use of the trading model continuous auctions in euro (order-driven)

8 Technical trading platform 2 – MIC XSTF (if applicable)

Segment MIC STUC/ STUD

- the use of the trading model one auction in Euro (time driven)²
- the use of the trading model one auction in foreign currency (time-driven)³
- the use of the trading model continuous auctions in foreign currency (order-driven)³

9 Order management for technical connection

- the use of manual order management⁴
- the use of automated order management⁴

¹ The provision of further data in Annex p. 4 f. is required

² The use of the trading model in one auction in Euro is excluded for the asset classes bonds and securitized derivatives

³ The provision of further data in Annex p. 6 f. is required

⁴ The provision of further data in Annex p. 7 f. is required

10 Information on the settlement model within the scope of the technical connection

- the use of the direct settlement model as Direct Clearing Member without a General Clearing Member⁵
- the use of the indirect settlement model as Non Clearing Member⁵

11 Confirmations

- The company will inform the Baden-Württembergische Wertpapierbörse without delay via membership@boerse-stuttgart.de if one or more requirements within the scope of the admission to trading on the Baden-Württembergische Wertpapierbörse will or can no longer be fulfilled
- The company has read, accepted and stored the rules and regulations of the Baden-Württembergische Wertpapierbörse as part of its admission to trading on the Baden-Württembergische Wertpapierbörse
- The company is informed about its obligations under Union law
- All information provided in this application as well as in the related attachments is complete and correct

12 Signatures

Trading Participant or representing agent

Place

Date

Name(s)

Position(s)

Signatures

Technical provider or deputy (if applicable)

Place

Date

Name(s)

Position(s)

Signatures

Please send the Welcome Package 2 to membership@boerse-stuttgart.de.

We highly appreciate your collaboration to meet regulatory requirements. Thank you!

⁵ The provision of further data in Annex p. 9 f. is required

Attachments

Application for technical connection to the Xitaro trading system - Company (Welcome Package Part 2)

Request for connection model direct technical connection without technical provision (if selected)

Connection type of the participant trading system

- via interface connection of the trading system XITARO
- via web frontend of the trading system XITARO

Location of the participant trading system

Address

Attachments

Application for technical connection to the Xitaro trading system - Company (Welcome Package Part 2)

Connection Model indirect technical connection with technical provision (if applicable)

Connection type of the participant trading system

- via interface connection of the trading system XITARO
- via web frontend of the trading system XITARO

Location of the participant trading system (trading participant)

Address

Location of the participant trading system (technical provider)

Address

Technical provision within the participant trading system

- Installation, connection and/or operation of the lines of the subscriber trading system by Technical Providers
- Installation, connection and/or operation of the interface connection of the subscriber trading system by Technical Providers
- Other technical provision

Technical provider

Company Name

Legal Entity Identifier

Registered Office

Address

Technical provider represented by the following deputy (if applicable)

Company Name

Legal Entity Identifier

Registered Office

Address

- the written power of the attorney is attached

Attachments

Application for technical connection to the Xituro trading system - Company (Welcome Package Part 2)

Application Foreign Currencies to Technical Trading Platform 2 - MIC XSTF - Foreign Currencies (if applicable)

We select the following foreign currencies for use in the course of participation in trading:

ISO-Code	Name of the foreign currency	Selection
AUD	Australian Dollar	<input type="checkbox"/>
CAD	Canadian Dollar	<input type="checkbox"/>
CHF	Swiss Franc	<input type="checkbox"/>
CNY	Chinese Yuan Renminbi	<input type="checkbox"/>
CZK	Czech Crown	<input type="checkbox"/>
DKK	Danish Krone	<input type="checkbox"/>
GBP	Pound Sterling	<input type="checkbox"/>
HKD	Hong Kong Dollar	<input type="checkbox"/>
HUF	Hungarian Forint	<input type="checkbox"/>
JPY	Japanese Yen	<input type="checkbox"/>
MXN	Mexican Peso	<input type="checkbox"/>
NOK	Norwegian Krone	<input type="checkbox"/>
NZD	New Zealand Dollar	<input type="checkbox"/>
PLN	Polish Zloty	<input type="checkbox"/>
RUB	Russian Ruble	<input type="checkbox"/>
SEK	Swedish Krona	<input type="checkbox"/>
SGD	Singapore Dollar	<input type="checkbox"/>
TRY	Turkish Lira	<input type="checkbox"/>
USD	US Dollar	<input type="checkbox"/>
ZAR	South African Rand	<input type="checkbox"/>
All	All currencies listed above	<input type="checkbox"/>

We will inform you of any changes to the aforementioned accounts in a timely manner or arrange for Clearstream Banking AG to inform you directly of any changes thereto in the future.

Attachments

Application for technical connection to the Xitaro trading system - Company (Welcome Package Part 2)

Application for the technical connection to the Trading System Xitaro – Natural Users (manual order management)

Last Name	First Name	National ID	Short Code	Technical Connection	Signature (Trader)
				<input type="checkbox"/> activation	
				<input type="checkbox"/> activation	
				<input type="checkbox"/> activation	
				<input type="checkbox"/> activation	
				<input type="checkbox"/> activation	
				<input type="checkbox"/> activation	
				<input type="checkbox"/> activation	
				<input type="checkbox"/> activation	
				<input type="checkbox"/> activation	
				<input type="checkbox"/> activation	
				<input type="checkbox"/> activation	

Attachments

Application for technical connection to the trading system XITARO - Company (Welcome Package Part 2)

Application for the technical connection to the Trading System XITARO – Technical Users (automatic order management) (if applicable)

Last Name	First Name	National ID	Algorithm ID	Technical connection	Signature (Trader)
				<input type="checkbox"/> activation	
				<input type="checkbox"/> activation	
				<input type="checkbox"/> activation	
				<input type="checkbox"/> activation	
				<input type="checkbox"/> activation	
				<input type="checkbox"/> activation	
				<input type="checkbox"/> activation	
				<input type="checkbox"/> activation	
				<input type="checkbox"/> activation	
				<input type="checkbox"/> activation	
				<input type="checkbox"/> activation	

Attachments

Application for technical connection to the trading system XITARO - Company (Welcome Package Part 2)

Application for the use of the settlement model

1 Direct settlement model (if applicable)

Direct Clearing Member (DCM)

We declare that all CBF Settlement Accounts of the CBF Account Holder (DCM) mentioned below may be used, if necessary, with the related CBF Creation Accounts (6-series accounts) for the settlement of securities in foreign currencies in the selected foreign currencies.

CBF- Settlement accounts (DCM)	CBF-Creation Accounts (6s accounts) (if required)

2 Indirect settlement model (if applicable)

General Clearing Member (GCM) / Non Clearing Member (NCM)

applicable

We declare that all CBF Settlement Accounts of the CBF Account Holder (GCM) for the CBF Identification Number Holder (NCM) mentioned below may be used, if necessary, for the settlement of securities in foreign currencies with the GCM's related CBF Creation Accounts (6-series accounts) in the selected foreign currencies.

CBF-Identifications-Numbers (NCM)	CBF- Settlement accounts (GCM)	CBF-Creation accounts (6s accounts) (if required)

Direct Clearing Member A / Direct Clearing Member B (sog. „Reg-Über“ Verfahren)

applicable

We declare that both the CBF Settlement Accounts of the CBF Account of the DCM A and the CBF Account of the DCM B ("Reg-Über" Accounts) mentioned below, with their respective associated CBF Creation Accounts (6-series accounts), may be used, if necessary, for the settlement of securities in foreign currencies in the selected foreign currencies.

CBF-settlement accounts (DCM A)	CBF-Creation accounts (6s accounts) (if required)	CBF-settlement accounts (DCM B) („Reg-Über“-Konten)	CBF-Creation accounts (6s accounts) (if required)

Atachements

Application for technical connection to the XITARO trading system - Company (Welcome Package Part 2)

Application for the implementation of the testing - Company

1 Reason for the testing

- First-time connection to the electronic trading system
- Introduction or comprehensive update of its participant trading system

2 Type of testing

- Conformity test
- Algorithm test

Attachments

Application for technical connection to the XITARO trading system - Company (Welcome Package Part 2)

-- Please submit this Testing Statement only at the time after the testing has been performed --

Testing Statement - Company

Statement

Conformity test

- Internal processes related to the participant trading system are ready
- Internal test procedures in connection with the participant trading system were successfully completed
- Systems of the technical provider are ready and compatible (if applicable)
- Ready for production

Algorithm test

- Algorithms of the participant trading system do not create or contribute market-disturbing trading conditions (if applicable)

Signatures

Trading Participant or representing agent

Place

Date

Name(s)

Position(s)

Signatures

Technical provider or deputy (if applicable)

Place

Date

Name(s)

Position(s)

Signatures

Please send the Explanation to membership@boerse-stuttgart.de.

We highly appreciate your collaboration to meet regulatory requirements. Thank you!