

c/o Deutsche Börse AG
Client Services, Trading & Clearing and Cash Market
60485 Frankfurt am Main Germany

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This questionnaire applies to
Frankfurt Stock Exchange

Member-ID

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Name of the trading member

Address 1

Street No

Address 2

Zip Code

City

Country

Contact Person

First name / Last name

Telephone

Fax

E-Mail

This questionnaire encompasses the regulatory requirements of Commission Delegated Regulation 2017/584 of 14.7.2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council with regard to regulatory technical standards specifying organizational requirements of trading venues, Article 7 Due Diligence of members of trading venues.

Herewith, Frankfurt Stock Exchange requires you as trading participant to complete the questionnaire on an annual basis.

1. Do you use pre-trade controls in order to check particular price, volume and value of orders and the usage of the system according to §122 Exchange Rules for the Frankfurter Wertpapierbörse (FWB exchange rules)? Do you use post-trade controls on your trading activities according to §122 FWB exchange rules?

- Price collars, which automatically block or cancel orders that do not meet set price parameters
- Maximum Order Values, which prevent orders with an uncommonly large order value from entering the order book
- Maximum Order Volumes, which prevent orders with an uncommonly large order size from entering the order book
- Maximum messages limits, which prevent sending an excessive number of messages to order books pertaining to the submission, modification or cancellation of an order
- Post-Trade Controls

2. Please confirm that one of your staff in a key position is registered as a nominated person, according to §14 (1) FWB exchange rules.

Yes

No

If yes, please enter at least one relevant registered nominated person

Name of nominated person Xetra

1) _____

2) _____

3) _____

3. Please confirm that you have performed the technical and functional conformance testing before every major IT release, but at least on an annual basis according to §40 FWB exchange rules.

Yes

No

4. Please confirm that at any time you are able to use the kill functionality to cancel any or all unexecuted orders submitted to our trading venue according to §39 FWB exchange rules, paragraph 2, number 3.

Yes

No

5. Please confirm that you are registered as an authorized investment firm as defined in Article 4(1) of Directive 2014/65/EU.

Yes

No

If no, please enter the reason how you are exempted or not in scope of MiFID

6. Please inform us whether you provide your clients with direct electronic access (DEA) through our systems. Please confirm compliance with §38 FWB exchange rules.

Yes

No

Place

Date

Company stamp and signature
(company name in capitals)