

XONTRO[®]

XONTRO Newsletter

Financial Institutes

No. 30

English Version

Within XONTRO, the following modification will be introduced:

as of October 22, 2007: Adaptations with regard to the new fees and pricing model of the Deutsche Börse Group, which will be introduced as of November 1, 2007

New pricing model of Deutsche Börse Group

1. Introduction

As you have been informed via the Deutsche Börse Group circular dated July 6, 2007, their fees and pricing model will be modified as of November 1, 2007. In connection with this change, there will also be some modifications to be introduced in XONTRO, which will be described below.

2. Allocation of „Manual Trade References“ and delivery in the contract notes data carrier

Along with trades not being based upon electronic orders having been sent, the fees calculation is done on the basis of the nominal trade amount as having been entered by the intermediary.

This trade entry will be enriched with a number – similar to the so called “DWZ Order Number” – in the future.

If desired by the financial institute, these numbers may be included in the contract note data carrier as a reference. The trade reference will then – similar to the DWZ Order Number – be transmitted in Label 21 (in the MT512) resp. in Label 79, 2nd ... 35th line (in the MT599). With respect to this measure, the reference numbers will then bear two new prefixes:

- MAN for manual trade entries, or
- ZWA for „forced“ closures of „Aufgaben“ (pending trades) in CCP instruments

In order to be able to obtain this new „Manual Trade Reference“ within the contract notes data carrier, the financial institute will have to apply for this service using one of the application form sheets attached below.

3. Fee Reports

Within the framework of the new pricing model, Deutsche Börse Group will offer additional daily and monthly fee reports. If desired by the financial institute, these reports may be delivered onto the customer as a list or as a .csv file, too, via the XONTRO back end resp. the BrainTrade Internet File Service. For this aim, the financial institute must apply for the desired report(s), including the indication of the desired transmission path, at BrainTrade. The appropriate application form sheets will be adapted in time and then uploaded onto the BrainTrade home page, www.xontro.de, from where they may be downloaded by the customers.

TRANSFER FOR PRODUCTION ENVIRONMENT (IMS1)



Please fax back to:

BrainTrade Gesellschaft fuer Boersensysteme mbH
D - 60487 Frankfurt
Germany
Fax +49 (0) 69 / 211 6 08052
Phone +49 (0)69 58 99 78 110

Setup

Change

Deletion

For CBF-No(s) Main branch Local branch(es)

Desired rate of transfer (please check one if setup or change):

- every 15 minutes starting at 09:00 a.m. (only possible for XONTRO / Floor trades)
hourly starting at 10:00 a.m. (only possible for XONTRO / Floor trades)
daily

Including order references (please check one if setup or change):

- including DWZ resp. Xetra order references
including member internal order references (in case m.i. reference is not available, delivery of DWZ order reference)
no order references

Including manual trade references (please check one if setup or change):

- including manual trade references
no manual trade references

Trading contract notes for Xetra trades (please check one):

- including trading contract notes for Xetra trades (delivery in a separate file)
no trading contract notes for Xetra trades

Order contract notes from Xetra trades using order level netting (please check one):

- including order contract notes from Xetra trades (delivery in a separate file)
no order contract notes from Xetra trades

Remote / Node name: e.g. RMTyyy (y = consecutive number)

S.W.I.F.T.-Adress:

Transmission parameters

Requested date for start of file transfer :

The following person may be contacted in case of additional requests and for consolidation purposes:

Company Name

Person's Name

Street Adress / POB

Zip Code / City

Country

Phone / Fax

E-Mail Adress

Location / Date

Signature(s)

TRANSFER TO INTERNET SITE FOR SIMULATION AND TEST



Please fax back to:

BrainTrade Gesellschaft fuer Boersensysteme mbH
60487 Frankfurt
Germany
Fax +49 (0)69 / 211 6 08052
Phone +49 (0)69 58 99 78 110

Setup

Change

Deletion

For CBF-No(s) _____
Main branch Local branch(es)

Character set desired (please check one if setup or change):

- ASCII
- EBCDIC

Note: The parameter settings for the internet file upload will be taken 1:1 from the settings in the production environment (IMS1). This covers the following parameters:

Trading contract notes for Xetra® trades:

- including trading contract notes for Xetra® trades (delivery in a separate file), or
- no trading contract notes for Xetra® trades

Order contract notes from Xetra® trades using order level netting:

- including order contract notes from Xetra® trades (delivery in a separate file), or
- no order contract notes from Xetra® trades

Including order references:

- including DWZ resp. Xetra® order references, or
- including member internal order references (in case member internal reference is not available, delivery of DWZ order reference), or
- no order reference

Including manual trade references (please check one if setup or change):

- including manual trade references
- no manual trade references

Including contract notes for local branches:

- only for main branch, or
- including local branches

Requested date for start of file transfer : _____

The following person may be contacted in case of additional requests and for consolidation purposes:

Company Name _____
Person's Name _____
Street Address / POB _____
Zip Code / City _____
Country _____
Phone / Fax _____
E-Mail Address _____

Location / Date

Signature(s)

**Application form sheet for XONTRO Trade contract notes file transfer
(S.W.I.F.T.) – Delivery to Clearer – only if different from Settlement Institute
Please fax back to:**



BrainTrade Gesellschaft fuer Boersensysteme mbH
60487 Frankfurt
Germany
Fax +49 (0)69 211 6 08052
Phone +49 (0)69 58 99 78 110

Setup

Change

Deletion

CBF-Nr. of Clearer: Name of Clearer: _____

File transfer is requested for the following banks (please indicate all desired CBF-Account-No's. for bank(s)):

Hereby desired type of transfer (please check one if setup or change):

- including clearer's own contract notes together in a common file
 - only for those CBF accounts indicated above, for which we are the clearer
- (Note: The separate transfer of clearer's own contract notes should be applied for in a separate application sheet, if appropriate.)

Desired scope of transfer (please check one if setup or change):

- only contract notes for CCP trades
- including contract notes for Non-CCP trades

Desired rate of transfer (please check one if setup or change):

- hourly (only possible for XONTRO / Floor trades)
- daily

Including order references (please check one if setup or change):

- including DWZ resp. Xetra[®] order references
- including member internal order references (in case m.i. reference is not available, delivery of DWZ order reference)
- no order reference

Including manual trade references (please check one if setup or change):

- including manual trade references
- no manual trade references

Trading contract notes for Xetra[®] trades (please check one):

- including trading contract notes for Xetra[®] trades (delivery in a separate file)
- no trading contract notes for Xetra[®] trades

Order contract notes from Xetra[®] trades using order level netting (please check one):

- including order contract notes from Xetra[®] trades (delivery in a separate file)
- no order contract notes from Xetra[®] trades

Remote / Node name: _____ e.g. RMTyyy (y = consecutive number)

Transmission parameters _____

S.W.I.F.T.-Adress: _____

Requested date for start of file transfer : _____

The following person may be contacted in case of additional requests and for consolidation purposes:

Company Name _____

Person's Name _____

Street Adress / POB _____

Zip Code / City _____

Phone / Fax _____

E-Mail Adress _____

Location / Date

Signature(s)