ACTIVATION / DEACTIVATION OF DIRECT ELECTRONIC ACCESS FOR CLIENTS (Form 07/MT)

> Please note that we can only accept duly completed and legible forms with the signature of the responsible person.

To

Ljubljana Stock Exchange
Slovenska cesta 56
1000 Ljubljana
Slovenia

Member
(name and address)

_____

_____

		Xetra T7® Member ID:	1	2	3	4	5
☐ Appointment / Activation	☐ Cancellation / Deactivation						

Appointment / Activation	**Cancellation / Deactivation**
We hereby submit an application for the approval of direct electronic access to trading system Xetra T7® for our client (connection to all Ljubljana Stock Exchange markets): • electronic interface to manage orders, • electronic interface to receive market data. Direct electronic access for our client to Xetra T7® for all Ljubljana Stock Exchange markets will be established via: • CEESEG FIX, • ETS, • other _____.	We hereby submit an application for the direct electronic access for our client to trading system Xetra T7® to be terminated (termination of connection to all Ljubljana Stock Exchange markets).

With this application for the activation of direct electronic access for our client we assume full responsibility to abide by the legislation, the Exchange Rules and Instructions, and we ensure:

- that all control mechanisms defined by the Rules and Instructions are set up for our electronic interface;
- that the electronic interface was tested as to its operations and its technical and functional compliance, in accordance with Article 15 of these Instructions;
- that we have a »kill« functionality policy in place;
- that in the event of an upgrade of our information system or an upgrade of the Exchange's trading system, we will test the operations of the electronic interface again, in accordance with Rules and Instructions;
- that we will, in accordance with Article 12 (1) of these Instructions, apply great scrutiny in treating the respective client with direct electronic access, that we will implement the relevant controls, and that the respective client meets the minimum standards and criteria of eligibility;
- that we have set up procedures and internal controls for providing direct electronic access to our client;
- that we remain fully responsible for orders and trading via direct electronic access of our client to Ljubljana Stock Exchange markets;
- that we have set up a procedure for deleting client orders in the event of inappropriate order management via direct electronic access.

6	7	8	9	10	11				
USER - ID						SIGNATURE OF MEMBER'S RESPONSIBLE PERSON			

All changes have to be communicated to the Ljubljana Stock Exchange without delay!

1. **MANDATORY COMPLETION, if you have an activated trader supervisor:**

☐ The above listed user ID was entered / deleted **(circle)** from the Xetra T7® trading system by trader supervisor and we ask the Exchange to appropriately activate / deactivate it.

2. **MANDATORY COMPLETION, if you do not have an activated trader supervisor:**

☐ We hereby authorise the Exchange to enter /delete **(CIRCLE)** from the Xetra T7® trading system the above listed user ID and we ask the Exchange to appropriately activate / deactivate it. In case of entry of user ID, **MARKING** of non-default rights to be assigned to the user ID(s) by the Exchange is **MANDATORY**:

User level (default setting)	
Head trader/user	Can monitor, change, delete his/her orders and orders of member firm's other users
Securities Groups (default setting)	
Trading with securities from all groups is allowed	
Block trading (default setting)	
Trading with securities from all groups is allowed	
Accounts (označite:)	
☐ **A**	Agent account
☐ **P**	Proprietary account
☐ **M**	Liquidity provider account
Maximum order value (complete):	
Maximum order quantity (complete):	

Date as of which this form becomes valid: _____

Place, date   **Signature of member's responsible person**
EFFECTIVE UNTIL TERMINATED