

CHECKLIST PARTICIPANT LINK CCP AUSTRIA

Procedure for participation as a:			GCM	NCM	СА	RC
1. Requirement of equity capital (§ 12 para. 3 and § 14 para. 4b GTC)		х	х		х	
Submission of documents for the credit assessment (§ 14 para. 2 GTC)		Х	х		х	
a)	Certified commercial register excerpt	Х	Х		Х	
b)	Certified annual accounts of the last three fiscal years	Х	Х		Х	
c)	Internationally accepted ratings (if existing)	Х	Х		Х	
Signed Clearing Agreement and Annexes (§ 14 para. 2 GTC)		х	х		х	
Annex 2	Account set up	Х	Х	X*	(X)	X*
Annex 2a	Notification of securities accounts (OeKB CSD)	Х	Х	X*	(X)	Х*
Annex 2b	Notification of DCA account (Central Bank)	Х	Х	X*	(X)	Х*
Annex 2c	Notification of cash accounts (OeKB)	Х	Х	X*	(X)	Х*
Annex 3	SEPA – B2B – mandate	Х	Х	X*	(X)	Х*
Annex 4	Pledge declaration for cash collateral	Х	Х	X*	(X)	Х*
Annex 4a	Pledge declaration for securities collateral	Х	Х	X*	(X)	Х*
Annex 5	Authorization of withdrawals by direct debit order (optional)	Х	Х	X*	(X)	X*
4. Signed GCM/NCM Declaration (§ 15 para. 1 GTC)			х	х		
5. Signed CM/RC Declaration (§ 15 para. 2 GTC)		х	х	х		х
6. Signed CM/CA Declaration (§ 17 para. 4 GTC)		х	х		х	
7. Signed Payment Agent Declaration (if required; § 17 para. 6 GTC)		Х	Х			
8. Submission of signature directory		х	х	х	х	х
Successful completion of Clearing Training (§ 14 para. 2 GTC)		х	х	0	х	0
a)	Signed User Registration	Х	Х	0	(X)	0
b)	Successful test phases	Х	Х	X*	(X)	X*
11. Contribution to default fund and membership fee (§ 14 para. 2 GTC)		Х	Х		(X)	
12. Disclosure of other Clearing Memberships (§ 14 para. 2 GTC)		Х	Х			
3. Clearing Member to accommodate (§ 46 para. 2 GTC)		0	0	0		0
	Requirement o Submission of a) b) c) Signed Clearin Annex 2 Annex 2 Annex 2 Annex 2 Annex 2 Annex 3 Annex 4 Annex 4 Annex 4 Annex 5 Signed GCM/N Signed CM/RC Signed CM/RC Signed CM/CA Signed CM/CA	Requirement of equity capital (§ 12 para. 3 and § 14 para. 4b GTC) Submission of documents for the credit assessment (§ 14 para. 2 GTC) a) Certified annual accounts of the last three fiscal years c) Internationally accepted ratings (if existing) Signed Clearing Agreement and Annexes (§ 14 para. 2 GTC) Annex 2 Account set up Annex 2a Notification of securities accounts (OeKB CSD) Annex 2b Notification of Cash account (Central Bank) Annex 3 SEPA – B2B – mandate Annex 4 Pledge declaration for cash collateral Annex 5 Authorization of withdrawals by direct debit order (<i>optional</i>) Signed CM/RC Declaration (§ 15 para. 1 GTC) Signed CM/RC Declaration (§ 15 para. 2 GTC) Signed CM/CA Declaration (§ 17 para. 4 GTC) Signed Payment Agent Declaration Signed Payment Agent Declaration § 14 para. 2 GTC) Submission of signature directory Submission of signed User Registration b) Successful test phases Contribution to default fund and membership fee Signed cup a) Signed User Registration b) Successful test phases	Requirement of equity capital (§ 12 para. 3 and § 14 para. 4b GTC) X Submission of documents for the credit assessment (§ 14 para. 2 GTC) X a) Certified commercial register excerpt X b) Certified annual accounts of the last three fiscal years X c) Internationally accepted ratings (if existing) X Signed Clearing Agreement and Annexes (§ 14 para. 2 GTC) X Annex 2 Account set up X Annex 2a Notification of securities accounts (OeKB CSD) X Annex 2b Notification of CA account (Central Bank) X Annex 3 SEPA – B2B – mandate X Annex 4 Pledge declaration for cash collateral X Annex 4 Pledge declaration for securities collateral X Annex 5 Authorization of withdrawals by direct debit order X Signed CM/RC Declaration (§ 15 para. 1 GTC) X X Signed CM/RC Declaration (§ 15 para. 2 GTC) X X 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15 para. 2 GTC)XXXSigned CM/RC DeclarationXXXXOn Signed User Registration<	Requirement of equity capital (§ 12 para. 3 and § 14 para. 4b GTC)XXXSubmission of ocuments for the credit assessment (§ 14 para. 2 GTC)XXXa)Certified commercial register excerptXXXXb)Certified annual accounts of the last three fiscal yearsXXXXc)Internationally accepted ratings (if existing)XXXXXSigned Clearing Agreement and Annexes (§ 14 para. 2 GTC)XXXXXAnnex 2Account set upXXXX*(X)Annex 2aNotification of securities accounts (OeKB CSD)XXX*(X)Annex 2bNotification of cash accounts (OeKB)XXX*(X)Annex 3SEPA – B2B – mandateXXX*(X)Annex 4Pledge declaration for cash collateralXXX*(X)Annex 5Authorization of withdrawals by direct debit orderXXX*(X)Signed CM/NCM Declaration (§ 15 para. 2 GTC)XXXXXSigned CM/RC Declaration (§ 15 para. 2 GTC)XXXXXSigned CM/RC Declaration of Clearing Training (§ 14 para. 2 GTC)XXXXSigned CM/RC Declaration (§ 15 para. 2 GTC)XXXXXSigned CM/RC Declaration (§ 15 para. 2 GTC)XXXXXSigned CM/RC Declaration (§ 15 para. 2 GTC)XXX </td

(X) X* O Is to be set up either by the Clearing Agent on behalf of the Agent Client or by the Agent Client (GCM/DCM) himself Is to be set up by the CM Is optional

DCM = Direct Clearing Member = Non-Clearing Member = Clearing Member NCM CM

GCM = General Clearing Member СА RC

= Clearing Agent = Registered Client

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Participant Link to CCP Austria