

## CHECKLIST PARTICIPANT LINK CCP AUSTRIA

Procedure for participation as a:		DCM	GCM	NCM	CA	RC
1.	<b>Requirement of equity capital</b> (§ 12 para. 3 and § 14 para. 4b GTC)	X	X		X	
2.	<b>Submission of documents for the credit assessment</b> (§ 14 para. 2 GTC)	X	X		X	
	a) Certified commercial register excerpt	X	X		X	
	b) Certified annual accounts of the last three fiscal years	X	X		X	
	c) Internationally accepted ratings (if existing)	X	X		X	
3.	<b>Signed Clearing Agreement and Annexes</b> (§ 14 para. 2 GTC)	X	X		X	
	Annex 2 Account set up	X	X	X*	(X)	X*
	Annex 2a Notification of securities accounts (OeKB CSD)	X	X	X*	(X)	X*
	Annex 2b Notification of DCA account (Central Bank)	X	X	X*	(X)	X*
	Annex 2c Notification of cash accounts (OeKB)	X	X	X*	(X)	X*
	Annex 3 SEPA – B2B – mandate	X	X	X*	(X)	X*
	Annex 4 Pledge declaration for cash collateral	X	X	X*	(X)	X*
	Annex 4a Pledge declaration for securities collateral	X	X	X*	(X)	X*
Annex 5 Authorization of withdrawals by direct debit order <i>(optional)</i>	X	X	X*	(X)	X*	
4.	<b>Signed GCM/NCM Declaration</b> (§ 15 para. 1 GTC)		X	X		
5.	<b>Signed CM/RC Declaration</b> (§ 15 para. 2 GTC)	X	X	X		X
6.	<b>Signed CM/CA Declaration</b> (§ 17 para. 4 GTC)	X	X		X	
7.	<b>Signed Payment Agent Declaration</b> (if required; § 17 para. 6 GTC)	X	X			
8.	<b>Submission of signature directory</b>	X	X	X	X	X
9.	<b>Successful completion of Clearing Training</b> (§ 14 para. 2 GTC)	X	X	O	X	O
10.	<b>Technical installations</b> (Connection to the clearing system; § 14 para. 2 GTC)					
	a) Signed User Registration	X	X	O	(X)	O
	b) Successful test phases	X	X	X*	(X)	X*
11.	<b>Contribution to default fund and membership fee</b> (§ 14 para. 2 GTC)	X	X		(X)	
12.	<b>Disclosure of other Clearing Memberships</b> (§ 14 para. 2 GTC)	X	X			
13.	<b>Clearing Member to accommodate</b> (§ 46 para. 2 GTC)	O	O	O		O

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

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

GCM = General Clearing Member  
CA = Clearing Agent  
RC = Registered Client