

CHECKLIST PARTICIPATION TERMINATION CCP AUSTRIA

Procedure for termination as a:		DCM	GCM	NCM	CA	RC
1.	Written notification to CCP Austria (§ 18 para. 1 & § 19 GTC / § 4 para. 1 Clearing Agent Agreement)	X	X		X	
2.	Notification to Clearing Clients (§ 18 para. 3 in conjunction with § 5 GTC)		X			
3.	Notification to GCM (§ 18 para. 4 in conjunction with § 5 GTC)			X		X
4.	One-month notice period¹ (§ 4 para. 1 Clearing Agent Agreement)				X	
5.	Notification to Agent Clients (§ 4 para. 1 Clearing Agent Agreement)				X	
6.	Submission of signature directory	X	X	X	X	X
7.	Suspension in the clearing system after expiry of the notice period:	X	X	X	X	X
	a) Assessment of the termination date	X	X	X	X	X
8.	Repayment of contributions to the default fund: (§ 53 para. 2 as well as § 18 para. 8 GTC)	X	X	X*	X	X*
	a) Fulfillment of all open transactions (§ 24 para. 1 GTC)	X	X	X*	X	X*
	b) Repayment of contributions to the default fund	X	X	X*	X	X*
9.	Securities settlement / securities collateral account:	X	X	X*	X	X*
	a) Fulfillment of all open transactions (§ 24 para. 1 GTC)	X	X	X*	X	X*
	b) Order by participants to OeKB CSD for closure ²	X	X	X*	X	X*
	c) Approval by CCP Austria	X	X	X*	X	X*
10.	Cash collateral account:					
	a) Fulfillment of all open transactions	X	X	X*	X	X*
	b) Order by participants to OeKB for closure ²	X	X	X*	X	X*
	c) Approval by CCP Austria (§ 47 para. 4 GTC)	X	X	X*	X	X*
11.	Cash settlement account (fees):					
	a) Settlement of all open invoices (§ 27 para. 5 as well as § 55 GTC)	X	X	X*	X	X*
	b) Order by participants to OeKB for closure ²	X	X	X*	X	X*
	c) Approval by CCP Austria	X	X	X*	X	X*

X* Is to be set up by the CM

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

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

¹ CCP Austria, with exception regarding the Clearing Agent, has no scheduled notice periods. However, the notice periods of Wiener Börse AG are to be observed.

² Order is to be submitted by the owner of the cash / securities account.