

CHECKLIST ONBOARDING

Procedure for participation in the Securities Market as a:		DCM	GCM	NCM	CA	RC
1.	Requirement of equity capital (§ 12 para. 3, § 14 para. 3 and § 14 para. 4b GTC)	x	x		x	
2.	Submission of documents for the credit assessment (§ 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.	Signed clearing agreement and annexes (§ 14 para. 2 GTC)	x	x		x	
	Beilage 2 Account setup	x	x	x*	(x)	x*
	Beilage 2a Notification of securities accounts (OeKB CSD)	x	x	x*	(x)	x*
	Beilage 2b Notification of DCA account (central bank)	x	x	x*	(x)	x*
	Beilage 2c Notification of cash accounts (OeKB)	x	x	x*	(x)	x*
	Beilage 3 SEPA B2B mandate	x	x	x*	(x)	x*
	Beilage 4 Pledge declaration for cash collateral	x	x	x*	(x)	x*
	Beilage 4a Pledge declaration for securities collateral	x	x	x*	(x)	x*
	Beilage 5 Authorisation of withdrawals by direct debit (<i>optional</i>)	x	x	x*	(x)	x*
4.	Signed GCM/NCM declaration (§ 15 para. 1 GTC)		x	x		
5.	Signed CM/RC declaration (§ 15 para. 3 GTC)	x	x	x		x
6.	Signed CM/CA declaration (§ 17 para. 4 GTC)	x	x		x	
7.	Signed payment agent declaration (if required; § 17 para. 6 GTC)	x	x			
8.	Submission of signature directory (§ 14 para. 2d GTC)	x	x	x	x	x
9.	Submission of contact form	x	x	o	x	o
10.	Successful completion of clearing training (§ 14 para. 2c GTC)	x	x	o	x	o
11.	Technical installations (Connection to the clearing system; § 4 para. 1 GTC)					
	a) Signed user registration	x	x	o	(x)	o
	b) Successful completion of test phases	x	x	x*	(x)	x*
12.	Deposit of default fund contribution (§ 14 para. 2 GTC)	x	x		(x)	
13.	Payment of membership fee (§1 Schedule of Fees)	x	x		(x)	
14.	Disclosure of other clearing memberships (§ 14 para. 2 GTC)	x	x			
15.	Clearing member to accommodate (§ 46 para. 2 GTC)	o	o	o		o

(x) To be set up either by the clearing agent on behalf of the agent client or by the agent client (GCM/DCM) themselves.

x* To be set up by the clearing member.

o Optional.