BRAINTRADE
Gesellschaft für Börsensysteme mbH

TRAN: BRMI
FC: LM

XONTRO Financial Institutes and Intermediaries

February 2018

User Legitimation Maintenance – English Version

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Function description

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Any XONTRO user who wishes to enter, modify or delete orders from January 3rd 2018 on, is committed to deposit his or her legitimation within the newly created authorisation dialog "BRMI LM". The legitimation deposit must also be done for the system interface users (SAKI-FIX, SAKI-SWIFT, and SAM). Within this context, each user is by one's own responsible for the correct deposit of his or her data.

The user legitimation entry has to be done according to the national requirements of MiFID II. Thus, for example, German citizens have to authorize themselves using the so called CONCAT, whereas, for example, Spanish citizens will have to use their tax identification number.

User legitimation maintenance:

```
 TRAN: BRMI FC: LM SB:

 MIFID II - LEGITIMATION TEILNEHMER
 ==============================================================================

  Daten bitte aus länderspezifischem Ausweisdokument übernehmen:

     Vorname                  ==> MAX
     Nachname                 ==> MUSTERMANN
     Geburtstag (TT.MM.JHJJ)  ==> 30.05.1955
     Nationalität             ==> DE - Deutschland
     Legitimation über CONCAT
     J=JA   N=NEIN            ==> J   (siehe www.xontro.de - MiFID)

     CONCAT                   ==> DE19550530MAX##MUSTE
                                  DE19550530MAX##MUSTE




  -- ID-KZ: 4001199999 -- PW:          ------ B9998162 -- 03/10/17 -- 18:03:14 --
  F1 HILFE F3 VERARB F4 ABBR F11 ABMELD
  BC0460I DURCHFUEHRUNG DER VERARBEITUNG: PF3
```

Hints for recall and display

"Daten bitte aus länderspezifischem Ausweisdokument übernehmen." translates to: „Please insert data as taken from the country-specific identification document."

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Legitimation via „CONCAT":

Along with a legitimation via CONCAT, the user has to enter his or her first name and surname, as well as the date of birth and the nationality, in the first place. The nationality keys have to be entered using the format ISO3166-1 (char-2); they may be retrieved from the internet. – Thereafter, the "legitimation via CONCAT" has to be confirmed with a "J" (yes).

Then the system creates a CONCAT proposal that should be verified by the user, and, if the proposal is displayed correctly, should be entered into the CONCAT entry field. In case the proposed CONCAT is not correct, then the correct – and ESMA-compliant – CONCAT should be entered.

The processing of the entries may be concluded by hitting the PF3 function key. Thereafter, the data deposited may be modified at any time.

Legitimation via country-specific piece of identification:

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TRAN: BRMI FC: LM SB:

 MIFID II - LEGITIMATION TEILNEHMER
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  Daten bitte aus länderspezifischem Ausweisdokument übernehmen:

     Vorname                  ==> MAX
     Nachname                 ==> MUSTERMANN
     Geburtstag (TT.MM.JHJJ)  ==> 30.05.1955
     Nationalität             ==> ES - Spanien
     Legitimation über CONCAT
     J=JA   N=NEIN            ==> N   (siehe www.xontro.de - MiFID)


     Dokumentnummer           ==> ES123456789

     Dokumentart              ==> 1        1 = NIDN (National Identifier)
                                           2 = CCPT (Passport Number)



 -- ID-KZ: 4001199999 -- PW:          ------ B9998162 -- 03/10/17 -- 18:25:47 --
 F1 HILFE F3 VERARB F4 ABBR F11 ABMELD
 BC0460I DURCHFUEHRUNG DER VERARBEITUNG: PF3
```

Along with the legitimation by means of a country-specific piece of identification, likewise at first the user has to enter his or her first name and surname, as well as the date of birth and the nationality. The nationality keys have to be entered using the format ISO3166-1 (char-2); they may be retrieved from the internet. – Thereafter, the "legitimation via CONCAT" has to be confirmed with a "N" (no).

Next the document number of the identification document may be recorded. After this, the user has to indicate whether a passport number ("2") or another national identifier ("1"), such as the Spanish tax identification number, had been entered.

The processing of the entries may be concluded by hitting the PF3 function key. Thereafter, the data deposited may likewise be modified at any time.

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Search items

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User ID of participant to be registered

Entries

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Vorname	First name of user to be registered
Nachname	Surname of user to be registered
Geburtstag	Birthday of user to be registered, using format „DD.MM.YYYY".
Nationalität	Nationality of user to be registered, using format ISO3166-1 (alpha2), e.g. „DE" for Germany, or „ES" for Spain.
Legitimation über CONCAT	„J" (Yes) oder „N" (No)
CONCAT	The proposal offered may either be accepted or modified. With regards to the CONCAT syntax, the MiFID guidelines are referred to.
Dokument-nummer	Here the number of the corresponding national identification document may be entered.
Dokumentart	„1" : Other country-specific document; „2" : Passport number

Verification checks

ü

None

Processing

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F1	Invocation of a help screen, in which the structure of the CONCAT, as well as of other country specific documents, are illustrated
F3	Execution of processing of entries
F4	Abortion of entries
F11	Abortion of entries and system logoff

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Application notes

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Further information regarding the participant legitimation codes to be used may be taken from the respectively current ESMA documentation for the RTS 22 (2016-1064_rts_22:annex_ii.pdf).

PARTICIPANTS'
LEGITIMATION

Output

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None