

## **202109 – XONTRO Circular – Financial Institutes – XONTRO CBF SET-GO Member Simulation**

Dear Ladies and Gentlemen,

this XONTRO circular for financial institutes (banks) is about to inform you about the planned CBF SET-GO member simulation, as viewed from the XONTRO application perspective.

### **Introduction**

At the request of the XONTRO member banks, BrainTrade will participate in the Clearstream SET-GO member simulation scheduled to take place between October 25<sup>th</sup> and November 5<sup>th</sup>, 2021.

The organizational details of the SET-GO member simulation have been fixed by the Clearstream Banking AG; a summary of these guidelines may be found in the Clearstream Document “Stock Exchange Transactions GO OTC ICSD Migration (Phase 1) - Customer Simulation Guideline”.

This document may be viewed at the Clearstream Homepage using the following link:

<https://www.clearstream.com/resource/blob/2687858/bf752c69a5fe64cd712198a934f0691d/cbf-customer-simulation-guide-setgo-data.pdf>

Those trades having been created by the price fixing procedures for participating simulation member banks registered with Clearstream during the simulation period, using the ISINs having been listed below, will be transferred for further CBF processing from the XONTRO Simulation Environment IMS27 onto the Clearstream Simulation Environment IMS23 once during each simulation day. Member simulation participants are kindly advised not to enter OTC trades for the simulation ISINs noted.

As the XONTRO Simulation Environment may be viewed as a permanent and production-like simulation environment, it may be safe to assume that all banks willing to participate in the simulation will already own a valid access path (either via the 3270 dialogue or via SAKI-FIX) towards the XONTRO Simulation Environment IMS27.

### **XONTRO General Frame Conditions**

Simulation Environment XONTRO :  
IMS27 – production-like procedure (as is)

Simulation Environment Clearstream :  
IMS23

Simulation period :  
October 25<sup>th</sup> .. November 5<sup>th</sup> 2021

Price fixing procedure schedule :  
Daily 04:00 h p.m.

Simulation ISINs :  
AU000000NCM7  
Price fixings in Berlin (BER), Duesseldorf (DUS), Hamburg (HAM)  
DK0060094928  
Price fixings in Berlin (BER), Duesseldorf (DUS), Hannover (HAN)

Depository banks of price fixing intermediaries :  
AU000000NCM7 :

BER - 1063 - Caceis  
DUS - 4046 - Caceis  
HAM - 3146 - Flatex

DK0060094928 :  
BER - 1063 - Caceis  
DUS - 4046 - Caceis  
HAN - 8084 - Flatex

Member communication in advance of the simulation period :

XONTRO Competence Center  
+49 – (0)69 – 589978 – 120  
[trade@xontro.de](mailto:trade@xontro.de)

Member communication during the simulation period :

XONTRO Competence Center  
[trade@xontro.de](mailto:trade@xontro.de)  
Please kindly ask for callbacks via e-mail

### **Simulation Procedure Schedule**

Test Week 1 – 10-25-2021 ... 10-29-2021 :

Members should send orders using the ISIN **AU000000NCM7** :

- Buy orders only (market / limit)
- Maximum nominal amount allowed (per order) : 100 shares
- Deviating orders will be deleted prior to the price fixing routine
- Orders having been entered at the previous day will be deleted prior to the price fixing routine
- Price fixings will be done beginning at 04:00 h p.m. by BrainTrade (in Berlin, Duesseldorf and Hamburg)
- Surplus amounts will be executed against the pricing intermediaries' depository banks

Members should send orders using the ISIN **DK0060094928** :

- Sell orders only (market / limit)
- Maximum nominal amount allowed (per order) : 100 shares
- Deviating orders will be deleted prior to the price fixing routine
- Orders having been entered at the previous day will be deleted prior to the price fixing routine
- Price fixings will be done beginning at 04:00 h p.m. by BrainTrade (in Berlin, Duesseldorf and Hannover)
- Surplus amounts will be executed against the pricing intermediaries' depository banks

Test Week 2 – 11-01-2021 ... 11-05-2021 :

Members should send orders using the ISIN **AU000000NCM7** :

- Any arbitrary number of buy and/or sell orders (market / limit)
- Maximum nominal amount allowed (per order) : 100 shares
- Deviating orders will be deleted prior to the price fixing routine
- Orders having been entered at the previous day will be deleted prior to the price fixing routine
- Price fixings will be done beginning at 04:00 h p.m. by BrainTrade (in Berlin, Duesseldorf and Hamburg)
- Surplus amounts will be executed against the pricing intermediaries' depository banks

Members should send orders using the ISIN **DK0060094928** :

- Any arbitrary number of buy and/or sell orders (market / limit)
- Maximum nominal amount allowed (per order) : 100 shares
- Deviating orders will be deleted prior to the price fixing routine
- Orders having been entered at the previous day will be deleted prior to the price fixing routine
- Price fixings will be done beginning at 04:00 h p.m. by BrainTrade (in Berlin, Duesseldorf and Hannover)
- Surplus amounts will be executed against the pricing intermediaries' depository banks

The XONTRO Competence Center staff will readily be available on the occasion of specific queries, demands and options with regards to the XONTRO environments; queries regarding the remaining simulation-relevant issues should kindly be directed directly towards the Clearstream SET-GO simulation customer supervision team.

We kindly wish you good luck and a good health

Markus W. Sperzel

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Legally required information for business correspondence:

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