

# Data Usage Declaration

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Version 2\_0

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## Introduction

This Data Usage Declaration is for the disclosure of data usage of Deutsche Börse AG (DBAG) Real-time Information according to sections 4.5 and 9.7 of the General Terms and Conditions to the Market Data Dissemination Agreement or section 3.4 of the General Terms and Conditions to the Non-Display Agreement.

The Data Usage Declaration is addressed to the Contracting Party as well as to its Subscribers. Contracting Party's declaration must comprise the usage by its Affiliated Companies and/or Banking Group Members notified to DBAG according to section 10 of the General Terms and Conditions to the Market Data Dissemination Agreement or section 2.5 of the General Terms and Conditions to the Non-Display Agreement, unless they declare their Data Usage independently

## Customer Details

### **Company details**

Company Name (legal entity)

Street

Floor

Zip Code

City

State (Region/County)

Country

URL

### **Contact(s) for registration process**

Title (Mr, Ms)

Last name

Pre name

Function

Phone

Fax

E-mail

Language you would like to receive Information

## A Access to DBAG Information

### How does your company receive DBAG Real-time Information?

- Do you receive DBAG Information via a Terminal or a Display Application/ Portal?
- Do you receive DBAG Information via a data feed for Non-Display purposes (e.g. for automated usage by applications, platforms or other systems)?
- Do you receive DBAG Information via an API for Non-Display purposes (e.g. for automated usage by applications, platforms or other systems)?
- Do you receive DBAG Information via other services?

## B Sources/ Distribution of Information

**Please list all sources of data with DBAG Real-time Information that are received either directly from DBAG, or indirectly via a Third-Party Information Supplier (including any Information received internally from other company offices/sites, Affiliated Companies etc.)**

- How many affiliates use DBAG Information?
- Do you distribute DBAG Real-time Information for the purpose of display usage internally?
- Do you distribute DBAG Real-time Information for the purpose of display usage externally?

**Please provide information about your usage of DBAG Real-time Information:**

- Is access to the information for display purposes controlled via a reliable entitlement system?
- Who is controlling access to the Information for display purposes?
- Please provide a brief description of your company's distribution framework for display-purposes.

**Do you distribute DBAG Real-time Information for the purpose of Non-Display Usage (e.g. for automated usage within applications) internally?**

**Do you distribute DBAG Real-time Information for the purpose of Non-Display Usage (e.g. for automated usage by applications, platforms or any other systems) externally (e.g. to customers or 3rd Parties)?**

- Is access to the information for non-display purposes controlled via a reliable entitlement system?
- Who is controlling access to the Information for Non-Display purposes?
- Please provide a brief description of your company's distribution framework for the purpose of Non-Display usage (e.g. for automated usage within applications)

## C CFD Information Usage

**Does your company use DBAG Real-time Information for CFD Information Usage?**

**Do you distribute CFD prices calculated with DBAG Information to your own end users?**

- What proportion of your CFD business do end users constitute? (Approximate proportion in %)
- Do you offer CFD business or distribute CFD prices calculated with DBAG Information to White Label partners?
- What proportion of your CFD business do White Labels constitute?
- Do you offer CFD business or distribute CFD prices calculated with DBAG Information to API partners?
- Please enter your API partners.
- What proportion of your CFD business do API partners constitute? (Approximate proportion in %)

## D Trading Participant

**Is your company a registered Trading Participant/ Member or a (Multi) Member Service Provider (MSP/MMSP) of Frankfurter Wertpapierbörse (FWB)? (In case of MSPs the questions apply when a Service Provider is providing services for the specific use-case)**

**Is your company a registered Trading Participant/ Member or a (Multi) Member Service Provider (MSP/MMSP) of Eurex Frankfurt? (In case of MSPs the questions apply when a Service Provider is providing services for the specific use-case)**

- Does your company use DBAG Information from the FWB Trading Connection for Display Purposes?
- Does your company use DBAG Information from the Eurex Trading Connection for Display Purposes?
- Which Display Applications/ GUIs do you use to display DBAG Information from Trading Connection?
- Does your company use DBAG Information from the FWB Trading Connection in any applications for Non-Display purposes?
- Does your company use DBAG Information from the Eurex Trading Connection in any applications for Non-Display purposes?
- Please specify the applications that use DBAG Information from the trading connection for Non-Display purposes.
- Does your company use DBAG Information from the Trading Connection (directly or via MSPs) to trade or quote on other exchanges/ trading platforms?
- Does your company use DBAG Information from the Trading Connection (directly or via MSPs) for the purpose of (Best) Execution on more than one marketplace?
- Does your company use DBAG Information from the Trading Connection for (smart) order routing to more than one marketplace?
- Does your company use DBAG Information from the Trading Connection for the purpose of proprietary trading?
- Does your company use DBAG Information from the Trading Connection for the purpose of executing client (non-member)-trades?
- Does your company connect to the Information and/or have access to the trading platforms via a service provider?
- Do you distribute DBAG Information from the Trading Connection internally to non-Registered Traders?
- Do you distribute DBAG Information from the Trading Connection internally to affiliates?
- Do you distribute DBAG Information from the Trading Connection externally to trading participants of Eurex or FWB respectively or do you allow these types of external parties to access DBAG Information via your systems?
- Do you distribute DBAG Information from the Trading Connection externally to parties that are not trading participants of Eurex or FWB respectively or do you allow these types of external parties to access DBAG Information via your systems?

## E NDIU - Trading Platforms

**Is your company registered as a Systematic Internaliser (SI)?**

- Please specify whether DBAG Information is used for Systematic Internalisation?
- Please provide a brief description of your company's SI business and the use of DBAG Information for this purpose.
- Please provide a list of your SI platforms

**Does your company operate a trading venue (including any trading facilities and platforms - e.g. MTFs, OTFs, regulated markets or other trading platforms not used for Systematic Internalisation)**

- Please specify which DBAG data is used for this.
- What kind of trading facilities/ platforms do you operate?
- For which of the following functions in the operation of a trading platform do you use DBAG Information?
- Please provide a list of your platforms.
- Please provide a brief description of your company's trading venue business and the use of DBAG Information.

## F NDIU - Principal Trading

**Does your company trade as Principal? (i.e. acting in one's own name and for one's own account)**

- Please specify which DBAG Information is used for this.
- Do you use DBAG Information for executing black-box-trading or automated trading (e.g. via trading algorithms)?
- Are you using DBAG Information for generating quotes or market making in any financial instruments in an automated manner?
- Is DBAG Information used to price/value, quote or trade other instruments like financial derivatives, ETFs, CFDs or others?
- Is DBAG Information used for trading activities at non-DBAG marketplaces?
- Please provide a brief description of your company's proprietary trading business.

## G NDIU - Brokerage

**Does your company act as a Broker or conduct any client facilitation? (i.e acting on behalf of another person's name and for another person's account or acting in one's own name and for another person's account)**

- Please specify which DBAG data is used for this.
- Do you offer DMA (Direct Market Access) for clients to Deutsche Börse Group exchanges??
- Do you offer DMA (Direct Market Access) for clients to other exchanges?
- Do you conduct "smart order routing" or Order Routing Systems for clients to Deutsche Börse Group exchanges??
- Do you conduct "smart order routing" or Order Routing Systems for clients to other exchanges and trading platforms (incl. SI, OTFs, MTFs, etc)?
- Do you offer clients proprietary platforms/ applications to order, quote or trade including Order Routing Systems (ORS), Execution Management Systems (EMS) or any other client facilitation business?
  - Please provide platform name and type (ORS, EMS, other):
- Do you use platforms/applications (DMA, ORS, EMS or any other client facilitation systems) from service providers?
  - Please provide service provider/ platform name and type.
- Do you onward disseminate (directly or indirectly via 3rd Party services) DBAG Information to your brokerage clients for the purpose of displaying Information??
- Do you onward disseminate (directly or indirectly via 3rd Party services) DBAG Information to your brokerage clients for the purpose of automated processing?
- Do you use DBAG Information for calibration/ development of algorithmic execution strategies?
- Do you use DBAG Information for executing black-box-trading or automated trading (e.g. via trading algorithms) on behalf of your clients?

- Do you offer your customers access/usage to existing trading algorithms?
- Do you offer your customers the possibility to define own trading algorithms or to execute their own trading algorithms?
- Please list all other services where DBAG Information is used for the purpose of client facilitation.
- Please provide a brief description of your company's client facilitation business.

## H NDIU - Financial Instruments

**Does your company offer and/or create/issue/ price/ quote or trade ETFs, structured products/ notes other ETPs or OTC financial derivatives? (incl. certificates and warrants)**

- Please specify which DBAG data is used for this?
- Which products do you offer based partially or wholly on DBAG Information?
- Are you an issuer of ETFs?
- Who calculates iNAVs/NAVs for your ETFs?
- On which marketplaces/ platforms are these products offered/ traded?

## I NDIU Index Creation

**Does your company create, offer, calculate, distribute, sponsor benchmark indices for own purposes or 3<sup>rd</sup> parties?**

- Please specify which DBAG Information is used for this.
- Do you calculate indices internally or use a 3rd Party calculation agent?
- Do you use/ distribute indices only internally or also externally?
- Are any of your indices used as a trading signal for "trading based activities"?
- Are any/ all of your indices registered as benchmark under ESMA?
- Are any of your indices used as an underlying instrument for an ETF or structured product?

## J NDIU Other Derived Data

**Does your company create, offer, calculate any other derived data/ original created works, etc.?**

- Please specify which DBAG Information is used for this.
- Do you use/ distribute derived data only internally or also externally?
- Please provide a list of the other derived data products that you create.
- Please provide a brief description of your company's derived data activities.

## K NDIU Other Application

**Does your company use DBAG Real-time Information for any other application usage?**

- Please specify which DBAG data is used for this.
- Please state for what purpose you use DBAG Information in Other Applications for Non-Display-Purposes?
- Do you conduct any Other Application Usage for 3rd Party companies, clients or affiliates?

## Contact Information

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