

CHECKLIST CUSTOMER LINK CCP AUSTRIA							
Documents to be submitted for membership as:		DCM	GCM	NCM	CA	DCM/CA	GCM/CA
1.	Clearing agreement	X	X			X	X
2.	General clearing member agreement		X				X
3.	Non-clearing member agreement			X			
4.	Clearing agent agreement				X		
5.	Agent declaration				X	X	X
6.	Sheet with signature samples	X	X		X	X	X
7.	Credit assessment - Audited financial statements including notes and management report for the past three years - Excerpt from the companies register or commercial register, - If available, documents on rating by one of the following internationally recognized rating agencies: Standard&Poor's, Moody's or Fitch	X	X			X	X
8.	Clearing accounts and securities account (one cash account for each clearing currency for clearing cash amounts <u>and</u> one securities account for clearing securities transactions at the central securities depository)	X	X		(X)	(X)	(X)
9.	Collateral cash and securities accounts (one collateral account for cash deposited as security <u>and/or</u> one collateral account for the safekeeping of the securities deposited as collateral)* and depositing of required collateral	X	X		(X)	(X)	(X)
10.	Clearing fund account <u>and</u> deposit of the required amount in the clearing fund	X	X		(X)	(X)	(X)
11.	Bank guarantee (guarantee declaration) **	X	X		(X)	(X)	(X)
12.	Instruction for automatic debit	X	X		(X)	(X)	(X)
13.	Instruction for pledge declaration	X	X		(X)	(X)	(X)
14.	Required technical installations for each type of clearing membership	X	X		X		
15.	Proof that participant has properly trained personnel	X	X		X		

* When depositing a **bank guarantee**, it is not necessary to set up collateral cash and securities accounts.

** Is not necessary if collateral cash and securities accounts have been opened.

(X) Must be set up either by the agent on behalf of the customer or by the customer.

CHECKLIST CUSTOMER LINK OeKB

Opening of clearing account and securities account; optional collateral account	
1.	<p>Application for the opening of a securities account with the central securities depository Please enclose:</p> <ul style="list-style-type: none"> - Current excerpt from the Companies Register <u>or</u> equivalent foreign securities register (certified) - Current articles of association <u>or</u> similar document (certified) - Annual report of last business year - Sheet with signature samples - List of contact persons
2.	Completed direct settlement data sheet
Opening of an account for cash collateral	
1.	<p>Application for the opening of an account with OeKB Please enclose:</p> <ul style="list-style-type: none"> - List of contact persons - Sheet with signature samples
Technical link	
1.	Technical link form for new customers
2.	Order form for RSA SecurID Key Fob
3.	Customer must appoint one administrator responsible for the administration of the Key Fobs and who shall serve as contact person for OeKB.