

EVALUATION QUESTIONNAIRE TO MEMBERS OF NEGOTIATING CENTERS

Member code:
Member name:
City:
Country:
Contact person:
Telephone:
E-mail:

By virtue of compliance with the provisions of article 7 of Commission Delegated Regulation (EU) 2017/584 of the Commission of July 14, 2016, which completes Directive 2014/65 / EU of the European Parliament and of the Council, regarding the technical norms of regulation that specify the organizational requirements of the trading centers, BME Renta Fija (hereinafter Exchange) requires you as a Market Member to complete the following questionnaire.

Please, return to the following email address: supervisionrentafija@grupobme.es

PRE TRADE CONTROLS (Delegated Regulation (UE) 2017/589)

Do you apply pre-trade controls according to Article 15 Delegated Regulation (EU) 017/589 about:

- | | | |
|---------------------------|------------------------------|-----------------------------|
| • Usage of the System | YES ☐ | NO ☐ |
| • Price | YES ☐ | NO ☐ |
| • Maximum Volume | YES ☐ | NO ☐ |
| • Maximum Value of Orders | YES ☐ | NO ☐ |

Do you apply post-negotiation controls on your trading activities in accordance with the provisions of Delegated Regulation Art.17 (EU) 2017/589? YES ☐ NO ☐

QUALIFICATION OF STAFF IN KEY POSITIONS

- Number of traders with BME Renta Fija license.
- Number of traders licensed in another fixed income exchange.
- Number and identification of employees in key positions that are duly empowered to act on behalf of the Member before the Market and have the necessary qualification, in accordance with the provisions of Delegated Regulation (EU) 2017/589.

TECHNICAL AND FUNCTIONAL CONFORMITY TESTS BEFORE THE IMPLEMENTATION OF A SUBSTANTIVE MODIFICATION IN YOUR SYSTEMS

- Have you submitted technical and functional compliance tests to your systems before the implementation of a substantive modification in them? YES ☐ NO ☐

- Have you sent the algorithmic certificates of your tests according to Article 10.1 of Delegated Regulation (EU) 2017/584? YES ☐ NO ☐

KILL BUTTON FUNCTIONALITY

- Can you activate at any time the total or partial cancellation of orders in accordance with Regulation (EU) 2017/589 art 12 of the Regulation? YES ☐ NO ☐

DIRECT ELECTRONIC ACCESS (DEA)

- Confirm if you offer direct access to the market (DMA) to your customers, and if you offer it, confirm that you offer it under the terms provided in Delegated Regulation (EU) 2017/589. YES ☐ NO ☐
- If you answer yes in the previous section, confirm that you have carried out the due diligence evaluation under the terms of Article 22 of Delegated Regulation (EU) 2017/589. YES ☐ NO ☐

CONFIRM THAT YOU STILL REGISTERED AS A BANK OR INVESTMENT SERVICES COMPANY

- ☐ YES
☐ NO

In the case of negative response explain the reason

DATE:

SIGNATURE: