

SDX Trading AG

Participant Requirements for Trader Examinations

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1 Responsibility for Conducting the Examinations at the Participant's Facilities

- The with the SDX Trading AG registered Compliance Officer is responsible for the compliant handling of the examinations (exams). In order to be able to perform exams in the absence of the Compliance Officer, a deputy must be registered with SDX Trading AG. Hereafter the Compliance Officer and his / her deputy are both referred to as Head Exam.
- The Head Exams are registered by filling and filing the Application Form for SDX Trading AG Participation. Changes of responsibilities must be communicated to SIX Digital Exchange, Client Support (support@sdx.com / +41 58 508 3333).

2 Proper Supervision of the Examinations

Participants' candidates may conduct the exams individually or in groups under supervision of the Head Exam. The timing of the exams is at the discretion of the participant.

The Head Exam has to verify and ensure the following:

- The identity of the candidate;
- The candidate has been provided with the login data;
- The login data is used only by the candidate who has registered for the exam;
- The trader has a SIX Swiss Exchange Trader Licence and is registered with SIX Swiss Exchange upon registering for the "Trader Examination";
- The use of aids is not permitted during the exam.

3 Registration Procedure Candidates

When applying for the exam, the candidate has to take the following into account:

- The candidate has to register for the exam by submitting the following documents to support@sdx.com:
 - Signed Trader Admission Form
 - Signed Trader Registration and Modification Form
 - A copy of the SIX Swiss Exchange Trader Licence
- Participants will be invoiced on behalf of their candidates for the trader exam on a quarterly basis by SDX Trading AG;
- The candidate will receive an email confirmation of his / her registration;
- The candidate will subsequently receive the login data for the exam from the participants' Head Exam.

Please note that traders of new participants will get a provisional registration status for 3 months after the first trading day of the new participant in order to do the trader exam and obtain the trading licence. Traders have to be registered for that exam before the first trading day of the new participant. If the candidates fail the exam, SDX Exchange will delete the provisional registration latest at the end of the three months and inform the participant accordingly.

4 Registration Procedure Head Exam

In terms of the registration procedure, the Head Exam has to verify the following:

- Subsequent to registration, the receipt of login data from SDX Client Support (please note: all registered Head Exam will receive the given login data);
- The login data is being forwarded to the candidates;
- The exam is being conducted in keeping with Point 2 above.

5 Conducting the Examination

The following points have to be taken into account by the Head Exams and the traders:

- The link to the website along with the login details are shown in the confirmation delivered to the candidate by the Head Exam.
- On completion of the exam the candidate's result will be displayed on the screen and it is recommended that traders print these results.
- If the exam is passed, the certificate is generated automatically and can be downloaded. The Head Exam sends the certificate to SDX Client Support via email (support@sdx.com).
- If a trader has to resit the exam, he / she must reapply and restart the process as outlined from the beginning.

6 Technical Requirements

- Operating System / System Software: Windows 7, Windows 8, Windows 8.1, Windows 10, Mac OSX
- Browser: Internet Explorer as of version 11, Microsoft Edge, Mozilla Firefox, Google Chrome, Safari
- Mobile: iOS 9 using Safari or Android
- Browser Settings: JavaScript activated; Popup-Blocker deactivated

An error-free use of the application cannot be guaranteed if the technical requirements are not fulfilled.

In case of doubt, please contact your system administrator (IT department).

7 Contact

For further information please feel free to contact our Client Support:

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