

# **Announcement**

## **of Frankfurter Wertpapierbörse (FWB)**

### **Sixth Amendment Ordinance**

#### **to the Conditions for Transactions on the Frankfurter Wertpapierbörse**

On 18 November 2020, the Exchange Council of the Frankfurter Wertpapierbörse approved the Sixth Amendment Ordinance to the Conditions for Transactions on the Frankfurter Wertpapierbörse.

The Amendment Ordinance shall take effect on 23 November 2020.

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A copy of the Ordinance has been deposited at the reception desk of the trading floor, Börsenplatz 4, 60313 Frankfurt/Main, Germany and is available for inspection during the general opening hours. The Ordinance specified above was laid down on 20 November 2020.

**Sixth Amendment Ordinance  
to the Conditions for Transactions on the Frankfurter  
Wertpapierbörse**

**Article 1 Amendment to the Conditions for Transactions on the Frankfurter Wertpapierbörse in  
the version dated 26 June 2017, last amended by the Amendment Ordinance dated  
07 November 2019**

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AMENDMENTS ARE MARKED AS FOLLOWS:

INSERTIONS ARE UNDERLINED

DELETIONS ARE CROSSED OUT

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[...]

## **I. Part Scope of Application, Accomplishment of Transactions, Non-Permissible Transactions for Trades in the Order Book**

[...]

### **§ 3 Pre-arranged Trades and Crossing**

[...]

- (2) A cross trade or a pre-arranged trade shall, during continuous trading in the trading model Continuous Trading with Intra-Day Auctions, be admissible if a participant in a cross trade or a pre-arranged trade, prior to entering its order or binding quote, has entered a tradeecross request with a volume equivalent to such order or binding quote into the order book in which the participant intends to execute such cross trade or pre-arranged trade. The order or binding quote giving rise to the cross trade or pre-arranged trade must be entered five seconds at the earliest and 35 seconds at the latest after having entered the tradeecross request. The purchasing exchange trader shall bear the responsibility for compliance with the content of the tradeecross request entry.
- (3) The company may provide the Trading Surveillance Office with a written statement giving details on the structure of its internal and external technical connection to the trading system; on the basis of such statement, it will be decided in each individual case whether the conditions of acting if a company or an exchange trader has acted knowingly pursuant to Paragraph 1 Clause 1 are met. The Trading Surveillance Office shall, in agreement with the Management Board, specify the details regarding the requirements of such written statement detailing the connection structure pursuant to Clause 1; such requirements are to be made public.

[...]

[...]

## **III. Part Cancellation of Transactions in the Order Book**

[...]

### **§ 31 Deletion of Orders**

The Management Board may officially delete orders

1. which, in case of their execution, would result in transactions which would have to be cancelled by the Management Board upon application or officially, and
2. if the ~~trading participant~~company entering ~~the~~ orders, is not available for feedback concerning the entered orders, or if orders were or were not confirmed in connection with an extended volatility interruption according to § 101 of the Exchange Rules.

[...]

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## **Article 2 Effectiveness**

The provisions specified in Article 1 shall become effective on 23 November 2020.

The Sixth Amendment Ordinance shall be announced by notice on the premises of the Frankfurter Wertpapierbörse and by electronic publication on the internet, available on the websites of the Frankfurter Wertpapierbörse (<https://www.xetra.com>).

Frankfurt/Main, 20 November 2020

Management Board of Frankfurter Wertpapierbörse

Dr. Cord Gebhardt

Michael Krogmann