

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

By virtue of the provisions of article 7 of Commission Delegated Regulation (EU) 2017/584 of 14 July 2016, which supplements Directive 2014/65/EU of the European Parliament and of the Council, with regard to regulatory technical standards specifying organizational requirements of trading venues, SENAF MTF requires you as a Member of our venue to complete the following questionnaire.

Please, once complete send it to the following email address:
supervisionsenaf@grupobme.es

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

Do you apply pre-trade controls according to Article 15 Delegated Regulation (EU) 2017/589 about:

- Usage of the System YES NO
- Price YES NO
- Volume YES NO
- Value of orders YES NO

Do you apply post-trade 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 EN PUESTOS

- Number of traders in the venue
- Number of traders in another venue of...
- Number and identification of employees in key positions that are duly empowered to act on behalf of the Member before the venue and have the necessary qualification, in accordance 2017/589.

TECHNICAL AND FUNCTIONAL CONFORMANCE TESTING PRIOR TO THE DEPLOYMENT OF A SUBSTANTIAL UPDATE OF THE MEMBER'S TRADING SYSTEM

- Have you undertaken technical and functional conformance testing of your system prior to the deployment of a substantial update YES NO
- Have you sent the certificates of your testing according to Article 10.1 of Delegated Regulation (EU) 2017/584? YES NO

KILL FUNCTIONALITY

- Could 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 (Non-applicable to SENAF)

- Confirm if you offer your customers direct electronic access to the market (DMA) and in case that you offer it, confirm that you offer it under the terms provided in Delegated Regulation (EU) 2017/589 YES NO
- In case of affirmative answer 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 ARE STILL REGISTERED AS A BANK OR INVESTMENT SERVICES COMPANYYES NO

In case of negative response, indicate the reason

Name and Surname:

Post:

Date and signature: