

INSTRUCTION: For each question below please indicate your response by placing X next to applicable response

Survey

I. Client specific information

Response:

* - mandatory	Company name :	
* - mandatory	Type of client :	
	Exchange Member	_____
	Exchange Member (Sponsoring)	_____
	Sponsored client	_____
	Market Data Distributor/Vendor	_____
	HFT	_____
* - mandatory	Does the Exchange Member plan to provide clients with Sponsored Access services?	
	Yes	_____
	No	_____
* - mandatory	Connectivity solutions/technologies deployed for WSE WATS :	
	WAN - foreign telco	_____
	Leased lines	_____
	Equinix Fabric	_____
	HFT Colocation	_____
	Equinix colocation	_____
	VPN for WATSon	_____
	Internet for WATSon	_____
	VPN for RMA	_____
	Internet for iRMA	_____
	Access through ASP	_____
* - mandatory	WSE WATS Services:	
	Order Gateway (FIX)	_____
	Order Gateway (BIN)	_____
	Drop Copy Gateway	_____
	Post Trade Gateway	_____
	ARM reporting via WSE	_____
	Market Data Gateway	_____
	WATSon	_____
	RMA - API	_____
	RMA - GUI	_____
	iRMA - GUI	_____
	SLM	_____
	iDDS	_____
	Reference Data File	_____
	Value Added Data Products	_____

II. Status of preparation tasks completed for migration - LEGAL AND COMPLIANCE

Response:

Remarks:

* - mandatory

II.1. Did you signed the new Agreement on Access to the WSE WATS System ?

Yes	_____
No	_____

* - mandatory

II.2. Did you order Client-selected WSE WATS Services through eZamówienia ?

Yes	_____
No	_____

* - mandatory

II.3. Do you facilitate algorithmic trading?

Yes	_____
No	_____

* - mandatory

II.3.1. Has the Exchange Member informed WSE of the intention to facilitate algorithmic trading?

Yes	_____
No	_____
Not applicable	_____

* - mandatory

II.3.2. Has the Exchange Member reported to WSE facilitated algorithms?

Yes	_____
No	_____
Not applicable	_____

* - mandatory

II.4. Does the Exchange Member confirm that the algorithms used by them have been subject to the tests referred to in Article 10(1) of Delegated Regulation (EU) 2017/589 in WSE WATS test environment?

Yes	_____
No	_____
Not applicable	_____

* - mandatory

II.5. Has the exchange member fulfilled the conditions referred to in the WSE Rules and Articles 19-23 of Delegated Regulation (EU) 2017/589 regarding providing client(s) with sponsored access services?

Yes	_____
No	_____
Not applicable	_____

Comments section:

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III. Status of preparation tasks completed for migration - OPERATIONAL REQUIREMENTS

Response:

Remarks:

* - mandatory

III.1. Internal procedures of the Client were prepared to operate in the WSE WATS system.

Yes	_____
No	_____
In rogress	_____
Not applicable	_____

* - mandatory

III.2. Internal procedures of the Client were prepared to enable the implementation of migration process from UTP to WSE WATS.

Yes	_____
No	_____
In rogress	_____
Not applicable	_____

* - mandatory

III.3. Internal procedures were prepared by the Client, allowing the initiation of the RollBack procedure.

Yes	_____
No	_____
In rogress	_____
Not applicable	_____

* - mandatory

III.4. Access to SLM service has been obtained and Short Code - Long Code mapping has been completed.

Yes	_____
No	_____
Not applicable	_____

* - mandatory

III.5. Access to WSE Service Desk has been acquired and user accounts have been activated.

Yes	_____
No	_____
Not applicable	_____

Comments section:

IV. Status of preparation tasks completed for migration - TECHNICAL REQUIREMENTS

Response:

Remarks

* - mandatory

IV.1. Has the connectivity infrastructure necessary for the Client to use WSE services been built?

Yes	_____
No	_____
Not applicable	_____

* - mandatory	IV.2. Has software for direct access to WSE WATS Services been provided by an internal or external supplier?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable	<hr/> <hr/> <hr/>	<hr/>
	IV.2.1. Please provide the name of the software supplier and software used for direct access to WSE WATS services.			<hr/>
* - mandatory	IV.3. Does the software used for direct access to WSE WATS Services have been certified with WSE?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable	<hr/> <hr/> <hr/>	<hr/>
* - mandatory	IV.4. Have the clearing and settlement processes been successfully carried out?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<hr/> <hr/>	<hr/>
* - mandatory	IV.5. Has connectivity infrastructure been built for clients using Sponsored Access service?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable	<hr/> <hr/> <hr/>	<hr/>
* - mandatory	IV.5.1. Has the software for direct access by a Sponsored client to WSE WATS Services been provided by the supplier?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable	<hr/> <hr/> <hr/>	<hr/>
	IV.5.2. Please specify the names of the provider and software used for Sponsored client access to WSE WATS Services.			<hr/>
	Comments section:			<hr/>

V. STATUS OF PERFORMED TESTS	<i>Response:</i>	<i>Remarks:</i>
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* - mandatory	V.1. Please confirm if tests of software directly used to connect the Client to WSE WATS Services have been successfully completed.	<input type="checkbox"/> Yes <input type="checkbox"/> No	<hr/> <hr/>	
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	Not applicable	_____	_____
* - mandatory	V.3. Please confirm if tests of software using algorithms have been successfully completed.		
	Yes	_____	
	No	_____	
	Not applicable	_____	_____
* - mandatory	V.4. Please confirm if tests of software used to monitor the activities of Sponsored clients (GUI RMA and/or API RMA) have been successfully completed.		
	Yes	_____	
	No	_____	
	Not applicable	_____	_____
* - mandatory	V.5. Please confirm if software tests for adding a Sponsored client to WSE WATS Services have been successfully completed.		
	Yes	_____	
	No	_____	
	Not applicable	_____	_____
* - mandatory	V.7. Please confirm if tests related to participation in daily trading sessions on the WSE WATS have been successfully completed.		
	Yes	_____	
	No	_____	
* - mandatory	V.9. Please confirm if performance and capacity tests in WSE WATS have been successfully completed.		
	Yes	_____	
	No	_____	_____
* - mandatory	V.10. Please confirm if PCN tests for WSE WATS have been successfully completed.		
	Yes	_____	
	No	_____	_____
* - mandatory	V.11. Please confirm if migration tests from UTP to WSE WATS have been successfully completed.		
	Yes	_____	
	No	_____	_____
* - mandatory	V.12. Please confirm if RollBack tests from WSE WATS back to UTP have been successfully completed.		
	Yes	_____	
	No	_____	_____
* - mandatory	V.13. Please confirm if Dress Rehearsal tests in WSE WATS have been successfully completed.		
	Yes	_____	

No

Comments section:

VI. SUMMARY

Response:

Remarks

* - mandatory

VI.1. Survey summary:

Please give a percentage indication of your readiness to start the
Implementation Process

[assuming that the Implementation Process will be 2 months long]

Comment: