

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:

--	-------

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>
-------------------------------------	------------------	-----------------

* - 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/>
---------------	---	---	----------------

	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	_____	_____
	Please provide, based on testing, the estimated time in hours required to complete the migration process from UTP to WATS (calculated from the time the Warsaw Stock Exchange confirms the start of the migration)	_____	_____
* - 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 (0%-100%)** indication of your readiness to start the Implementation Process
[assuming that the Implementation Process will be 2 months long]

Comment: