**Notification pursuant to section 77 (2) sentence 1 of the Securities Trading Act (*Wertpapierhandelsgesetz* – WpHG)**

**(third subparagraph of Article 17(5) of Directive 2014/65/EU)**

regarding offering **direct electronic access** pursuant to section 2 (30) of the WpHG

(All requested details are mandatory unless otherwise stated.)

Received on:

(to be completed by BaFin)

**Details of the party subject to the notification requirement**

|  |  |
| --- | --- |
| Name of the party subject to the notification requirement  |  |
| Business address |  |
| LEI |  |
| Contact person for queries  | Surname, first name  |
| E-mail, telephone number  |

**Notification**

Notification is given that direct electronic access pursuant to section 2 (30) of the WpHG

(1) [ ]  is being offered to the trading venues listed below.

(2) [ ]  is no longer being offered.

Sub-delegation within the meaning of Article 21(4) of Delegated Regulation 2017/589/EU (optional)

(3) [ ]  is being provided.

(4) [ ]  is no longer being provided.

**Details of the trading venues**

|  |  |
| --- | --- |
| Trading venue (MIC) | Competent supervisory authority  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |

**Notices:**

**1) Completing the form**

Details of the party subject to the notification requirement:

These details must be given in full for each notification.

Notification:

Initial notification that a party is offering direct electronic access to trading venues should be given under (1). If a party completely withdraws its offer of direct electronic access, notification of this should be given under (2). Notifications under (1) and (2) are compulsory. Notifications under (3) and (4) regarding sub-delegation, which allows clients of the investment services enterprises concerned to provide direct electronic access to their own customers, and notifications regarding the withdrawal of such sub-delegation, are optional.

Details of trading venues:

When submitting a notification under (1), all trading venues to which the notification relates must be listed in full (including the competent authorities for these trading venues). In the event of subsequent changes relating to trading venues for which a notification has already been submitted, e.g. if a party offers direct electronic access to different or additional trading venues, notification under (1) must be given again. In such cases, all trading venues included in the notification given must be listed again. This also applies if notification regarding the trading venues has already been submitted as part of the previous notification. If there is not enough space on the notification form, additional trading venues can be listed on a separate sheet of paper.

**2) Submitting the notification**

The completed notification must be sent by e-mail to: deaanzeige@bafin.de

**3) BaFin's powers**

BaFin may obtain further information from the investment services enterprises concerned without regard to the notification concerning direct electronic access to trading venues. For instance, pursuant to section 77 (2) sentence 2 of the WpHG, BaFin may request that an investment services enterprise offering direct electronic access provide, regularly or at any time upon request, a description of the systems and controls specified in section 77 (1) of the WpHG as well as evidence of their implementation.