

Seturion AG Participant Audit - Audit Examination Points

#	Subject	Details
1	Compliance with market conduct rules	It must be examined how the trading participant ensures its compliance with the applicable market conduct rules.
2	Trader access to the BXD DLT trading facility system	It must be examined whether the trading participant's registered traders only have access to the DLT trading facility system using their personal identification number and how this is ensured.
3	Substitution of registered traders	It must be examined whether the trading participant has registered traders acting as substitutes for other registered traders and how this can be traced or whether and how a substitution is documented.
4	Transaction Reporting	It must be examined whether reportable trades are reported completely, correctly and in time by means of transaction reports.
5	Trade Reporting	It must be examined whether reportable trades are reported completely, correctly and in time by means of trade reports.
6	Time of execution	It must be examined whether off-order book trades are documented with the accurate execution time and whether this time is equally used for those trades' transaction reports.
7	Designation of orders & trades	It must be examined whether orders and trades are correctly designated as own account/proprietary or as customer transactions.