Document title

RISKGUARD ACCESS USER GUIDE

Document type or subject

Riskguard Access User Guide

Version number

6.0

CONTENTS

PREFACE

ABOUT THIS DOCUMENT

This document describes how to use the Connect platform in order to get access to the Riskguard tool as well as how to obtain access to the platform itself

TARGET AUDIENCE

This document should be read by any user who is already acquainted with Connect tool and its features and has to deal with the following processes :

- Key Contact Management
- Membership requests for Members
- Access the tool for General Clearing members and Non-clearing members

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GLOSSARY

Authorised Signatory (AS): has the legal authority to sign on behalf of the company.

Authorised Representative (AR): designated by the AS to act and sign documents on their behalf, the AR is the main contact between the Member and Euronext's Membership Team, and is authorised to appoint the RPs, MCAs RAs and additional ARs.

Member Connectivity Administrator (MCA): in charge of the user management in Euronext's Application and authorised to appoint RAs.

Member delegate (MD): This is an administrative role only, which allows the MD to complete and submit a Membership form on behalf of their AS or AR. The MD is not permitted to sign a webform on behalf of their company; the AS or AR will still need to sign the forms that have been completed by the MD.

Responsible person (RP): Responsible for the day to day trading activities and first point of contact for all trading related topics.

Riskguard Agent (RA): role in Connect that gives access to Riskguard application in MyEuronext platform. Widget will appear in Connect for the users with the role RA.

Riskguard Applicative Roles (RAR): user roles managed in the Riskguard application to give access to screens/commands.

1. KEY CONTACT MANAGEMENT

1.1 ROLES REGISTRATION

REMINDER

If a Member Firm has multiple Member IDs, registered key contacts should be the same across Member IDs and on both Cash and Derivatives Markets, where appropriate. Key Contacts registered for different entities should have the same roles for all relevant entities.

Contacts required

We require the following number of key contacts for each Member firm:

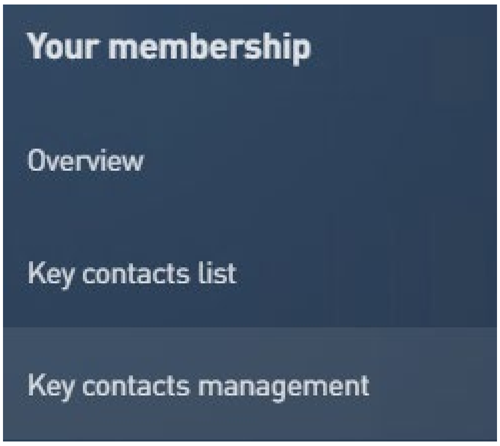
- At least 2 Authorised Representatives, but no more than 5;
- At least 2 Responsible Persons per market (Cash/Derivatives);
- At least 2 Authorised Signatories (identified by an Authorised Signatory list or Power of Attorney).

1.1.1 RA Approval by MCA or AR

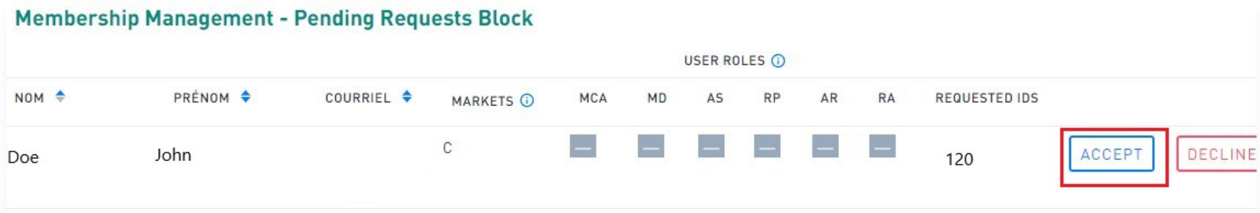
Authorised Representatives (AR) and **Member Connectivity Administrators (MCA)** will both be able to appoint the **Riskguard Agents (RA).** In order to be appointed as **RA** a user should create a Connect account first and must request an association of the latter to their member firm if not done so already.

When this is done, one of their MCA or AR need to log in to Connect and go to the Menu called "Your Membership":

Then select “Key Contact Management” :



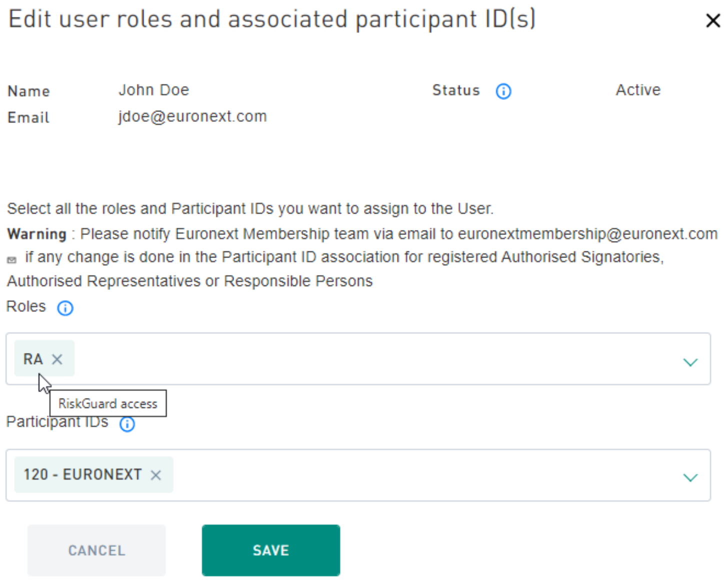
The MCA or AR will have to accept the requested link to the Participant ID :



And then he will be able to add/delete the RA role to the User as shown below :

Click on the “Edit” button :

Delete or Add the RA role then Save :

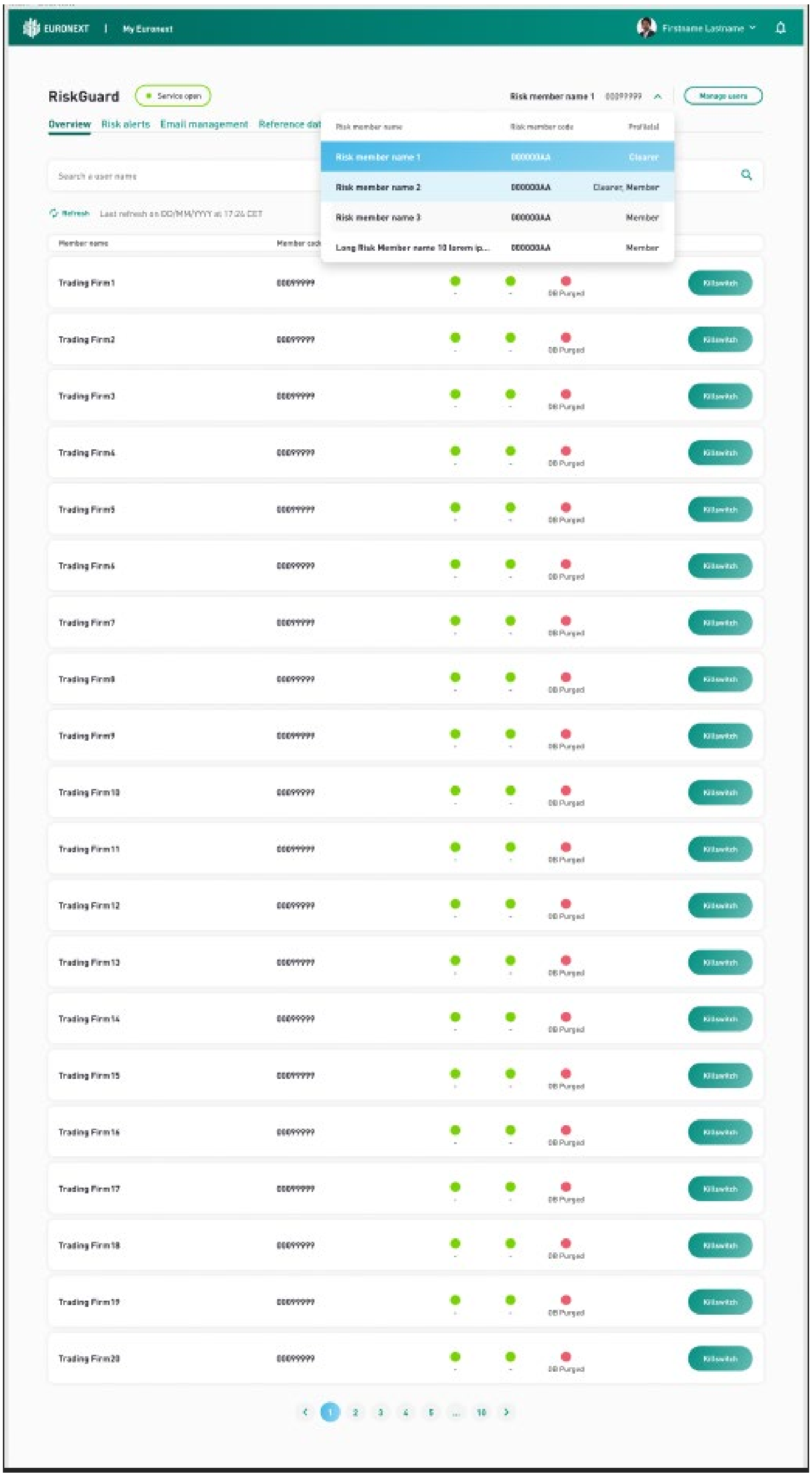


The user is now RA for the indicated Member ID.

1.2 ACCOUNT MANAGEMENT

1.2.1 Riskguard Agent Management by MCAs

As shown below, in MyEuronext, it is possible to give Riskguard Agents (RA) role for one specific member firms . One has to click on the “Manage users” button located on the top right corner in order to manage type of roles.


EURONEXT
My Euronext
Firstname Lastname
RiskGuard
Service open
Risk member name 1
Manage users
Overview
Risk alerts
Email management
Risk member name
Risk member code
Profile(s)
Risk member name 1
000000AA
Clearer
Risk member name 2
000000AA
Clearer, Member
Risk member name 3
000000AA
Member
000000AA
Member
Refresh
Trading Firm1
Trading Firm2
Trading Firm3
Trading Firm4
Trading Firm5
Trading Firm6
Trading Firm7
Trading Firm8
Trading Firm9
Trading Firm10
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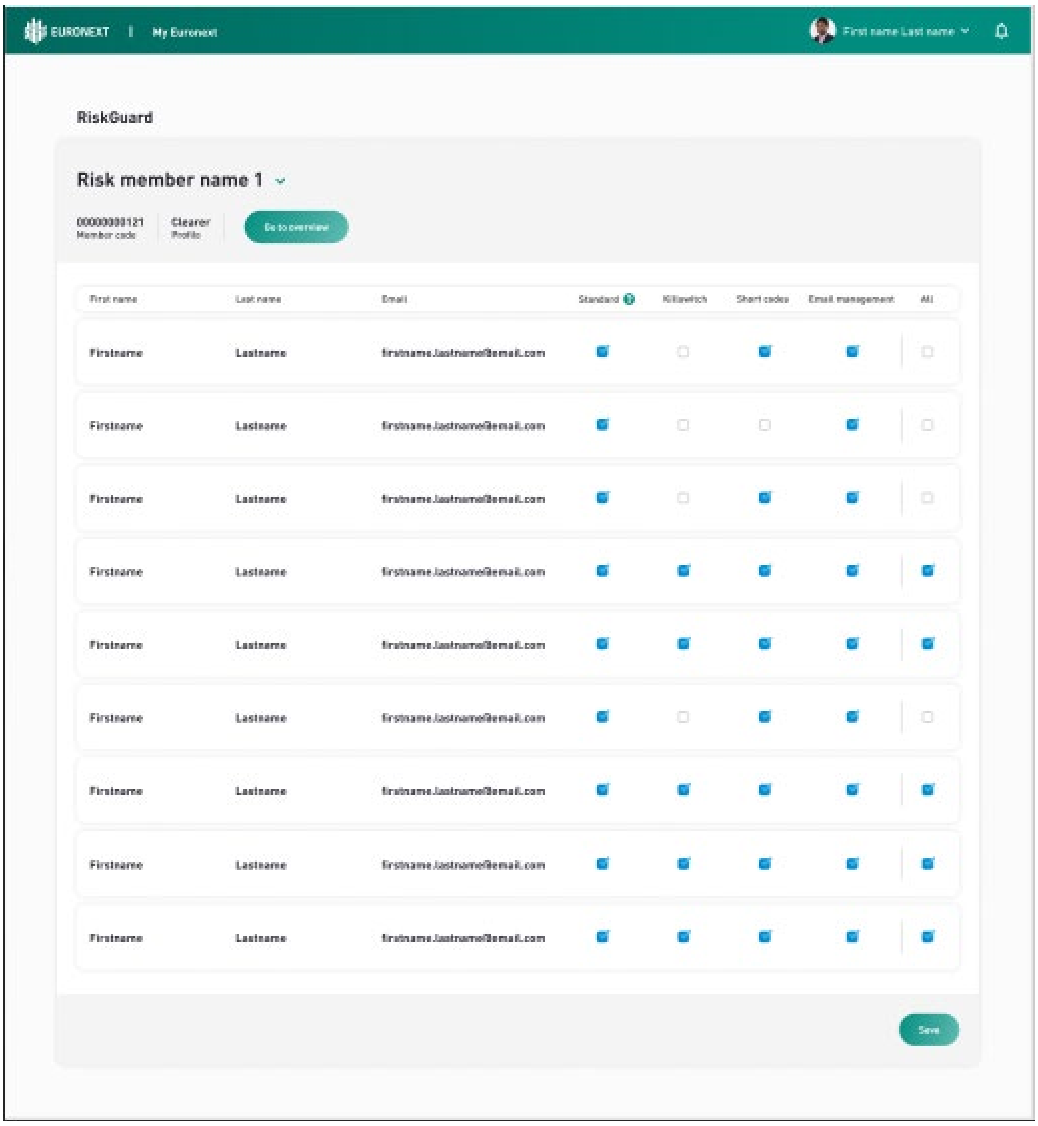
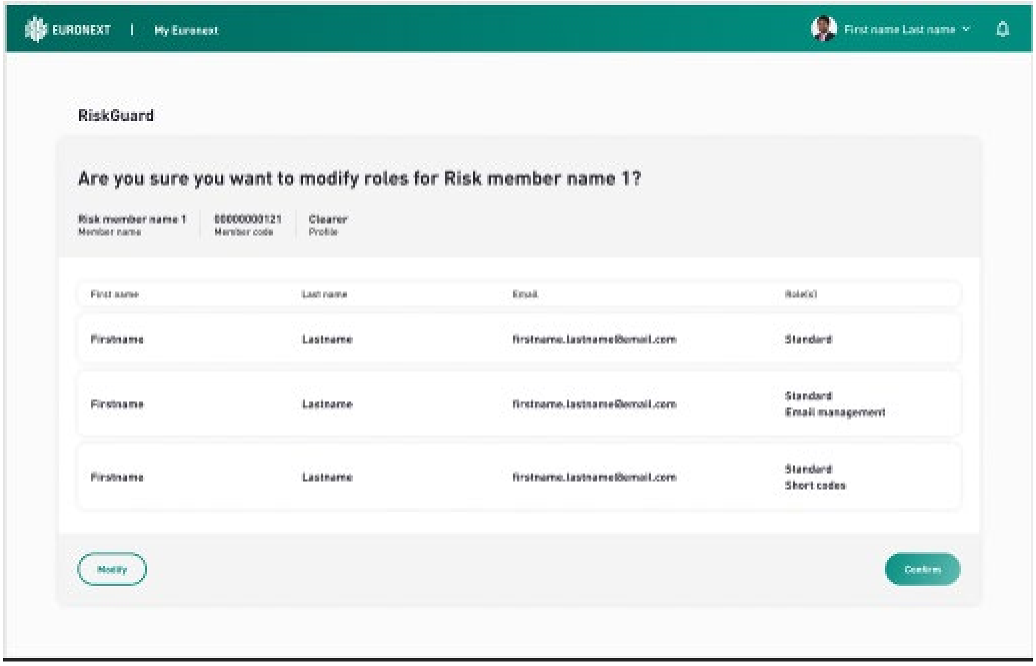
Trading Firm19
Trading Firm20



The screen above displays the screen once the "managed users" button is clicked upon by a MCA. This screen shows the list of the users to whom the Riskguard Agent can be given in order for them to be able to access and send commands from the tool.



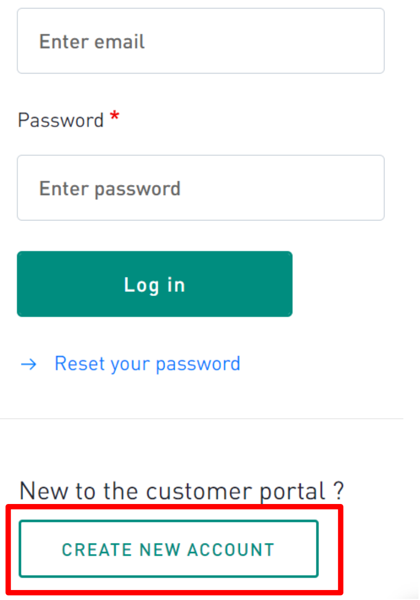
Once the proper role has been given to the correct person, the MCA can click on the “Save” button at the bottom of the screen. The screen above will then be displayed. The only remaining step is to click on “Confirm” at the bottom right corner of the last screen shown above.

2. CONNECTION TO RISKGUARD VIA CONNECT PLATFORM

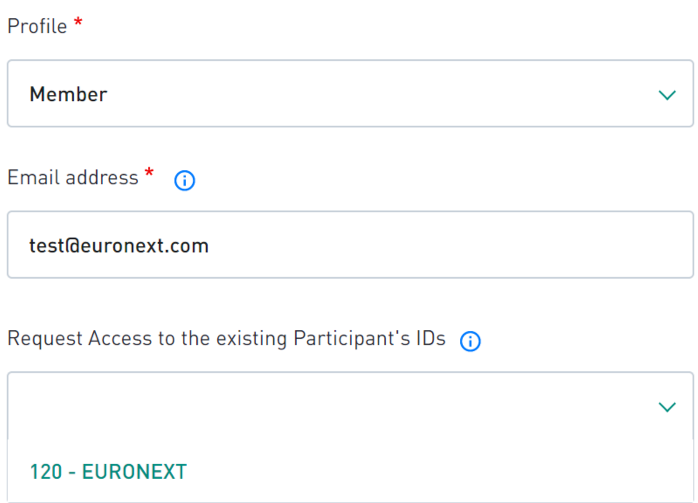
2.1 ACCESS TO RISKGUARD APPLICATION FOR A RISKGUARD AGENT

2.1.1 Connect account creation (first connection)

In case a given user does not already have a Connect account and is willing to create one, this can be easily done by following the steps on the webpage reached by clicking on this link. The process is triggered by clicking on “Create New account” button on the provided link above.



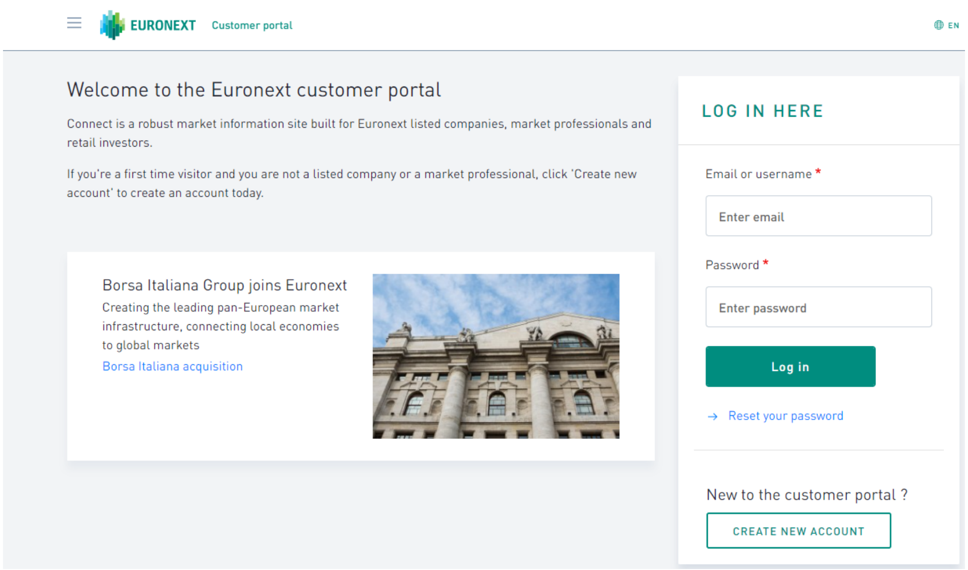
In order to be able to access the Riskguard application through connect portal, the user has to obtain a “Riskguard Agent” (RA) role specifically created for that purpose. Only MCAs and ARs can give this applicative role to the user in connect. When the MCA or AR set up an account in connect, the access will be activated on the following day (D+1 basis).



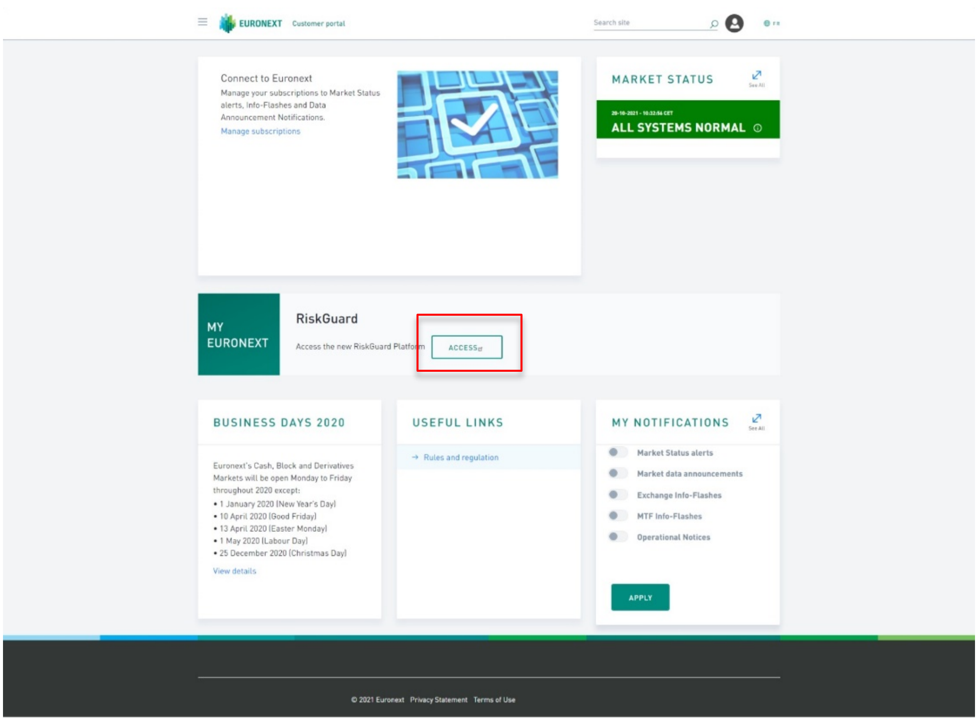
2.1.2 Existing Connect account

First of all, go to the Euronext Customer Portal page by clicking on the following [link](#):

You will then access this page:



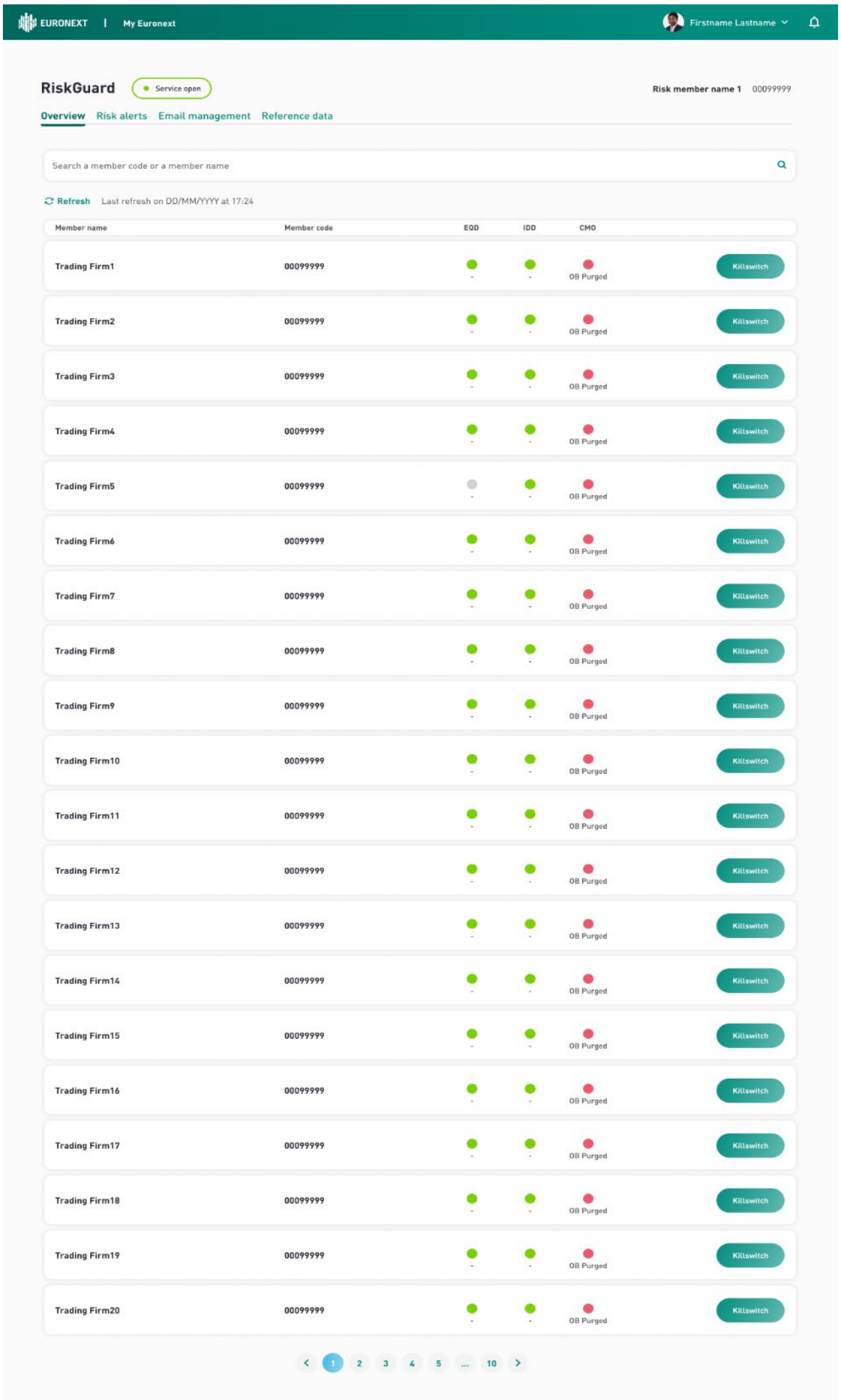
- Once the credential have been entered successfully, you will reach the following page:



- On this page and in order to access Riskguard tool, click on the "Access" button circled in red on the previous image.

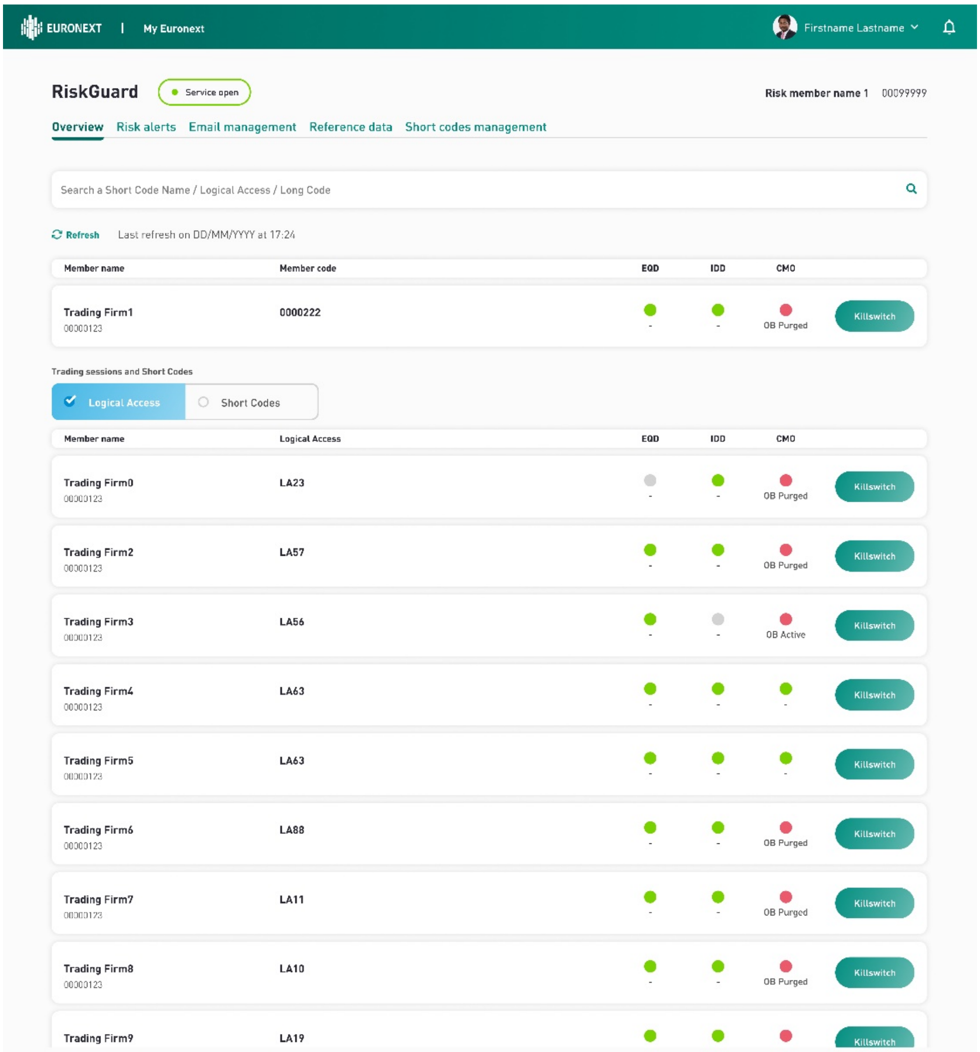
- Then depending on the type of account, the following screen will be displayed:

<u>For Global clearing member:</u>



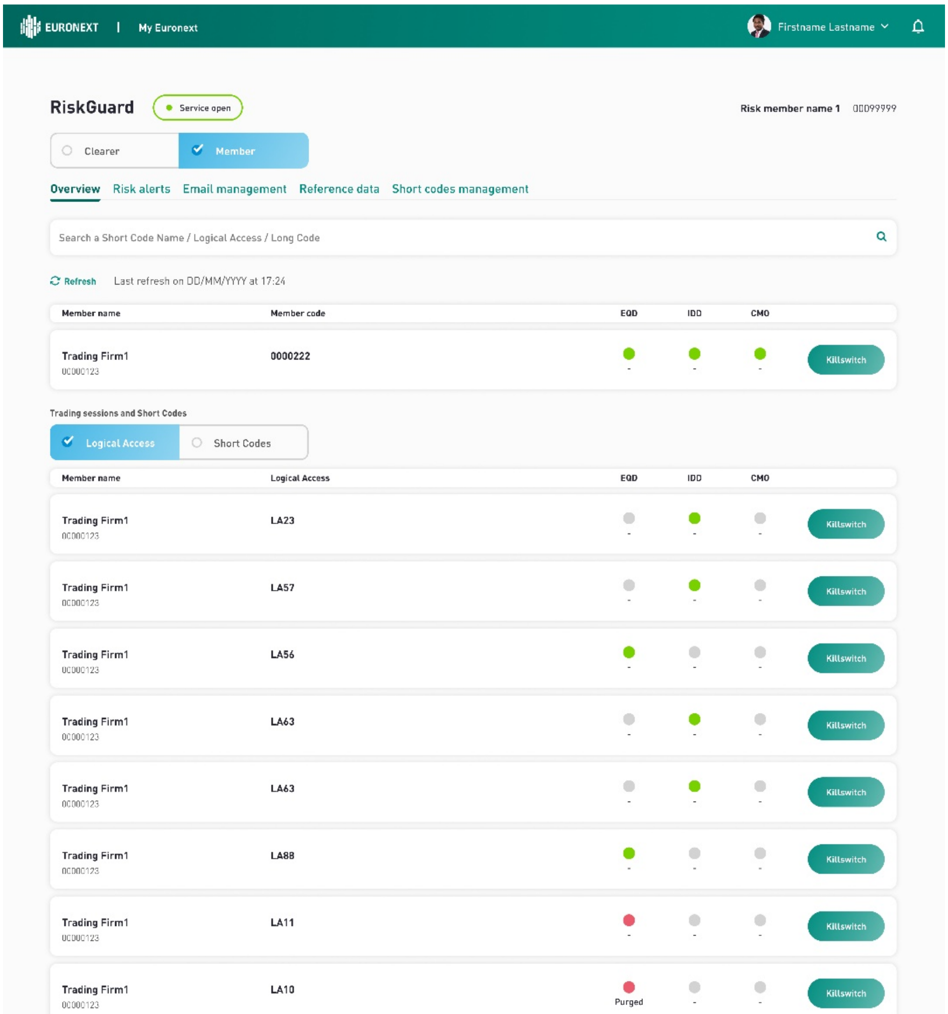
The overview screen displayed above gives the possibility to clearing member to send kill switch actions at FIRM Level side. One can suspend a specific FIRM if risk is deemed high enough to justify this action.

For Non Clearing Member :



In this case, for Non Clearing member, we have an additional level. Indeed, member can act upon short codes as well as logical access for the same member code or firm ID.

<u>For switch clearers and members:</u>



The screen above highlights the possibility to switch from NCM to GCM for members who possesses both statuses.