



DEUTSCHE BÖRSE
SYSTEMS

ComXerv EUA Primary Auction Service

Bidder Handbook

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Term	Explanation
Auctioneer	The Member that is offering the allowances
Broker	User trading as an agent for companies, which are not registered at the system
Call Phase	Phase, during which bids can be submitted, i.e. while the auction is in state "Running"
DBAG	Deutsche Börse AG
EEX	European Energy Exchange
EUA	European Unit Allowances, which represent CO2 emission certificates
EUAA	European Unit Aviation Allowances
Finished Auction	Auction that is in "Finished", "Rejected" or "Cancelled" state
Freeze Phase	Phase, during which bids can no longer be submitted but the auction is not finished yet, i.e. while the auction is in state "Closed"
Live Auction	Auction that is in "Published", "Running" or "Closed" state

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1 Introduction

1.1 ComXerv EUA Primary Auction Service

Currently the EUA Spot Market of EEX is operated with two different Market Models:

- Auction: Single side auction on the primary market with a dedicated amount of EU Emission and Aviations Allowances to sell on behalf of the EU and different states of Europe. Continuous Trading: Trading of EU Emission Allowances on the secondary market from 08:00 to 18:00 from Monday to Friday.

This document provides the Bidder user with a functional overview of the ComXerv EUA Primary Auction Service, which is the platform where the primary market auction for the EU Emission and Aviations Allowances is conducted. The ComXerv EUA Primary Auction Service is technically operated and hosted by DBAG.

The Service is a web-based solution accessible via the internet with a standard internet browser. It is also accessible directly through the ComTrader platform.

1.2 Document Content

This document contains the description of the:

ComXerv EUA Primary Auction Service Trader GUI	chapters 2 - 4
ComXerv EUA Primary Auction Service Trader Reports	chapters 5

2 Overview of GUI and User Roles

2.1 Functional Overview

The ComXerv EUA Primary Auction Service provides the Bidders with trading functionality via a Graphical User Interface (GUI).

Only authorized ComXerv EUA Primary Auction Service Bidder users have access to this functionality.

The document describes the business requirements for user roles, GUI and reports:

- The ComXerv EUA Primary Auction Service supports different user roles each of which has a set of rights and privileges. After successful login, the user is only given access to the functionality as defined by the user roles. The ComXerv EUA Primary Auction Service supports the following users:
 - The **Market Supervision user** has the rights to manage and regulate Members, Users, Auction and Bids.
 - The **Market Surveillance user** has the rights to view all Administration items, Auctions and Bids.
 - The **Auctioneer user** had access to the own auctions and auction details
 - The **Bidder user** has access to the features described in this document. This user can be amended to trade as a broker by adding the user role "Bid as Broker".
- The GUI provides the user with the necessary interface to the ComXerv EUA Primary Auction Service and allows the user to interact with the ComXerv EUA Primary Auction Services.
- The Reporting Engine provides the ComXerv EUA Primary Auction Service user with a reporting tool. The reporting engine generates reports based on the information available in the data store, e.g. trades from the auction.

2.2 Graphical User Interface (GUI)

The GUI provides the user with an interface to the ComXerv EUA Primary Auction Service and allows the user to interact with the ComXerv EUA Primary Auction Service.

The ComXerv EUA Primary Auction Service front-end consists of workstations hosted on the user's site with a connection to the Internet using HTTPS protocol with a standard internet browser, e.g. Microsoft Internet Explorer 9.0 or Mozilla Firefox 16.0. For optimal display a resolution of 1280x800 or bigger should be used.

The users are not required to install any additional software on their workstations and also do not need any detailed IT know-how. The ComXerv EUA Primary Auction Service GUI is simple and easy to use.

2.3 Menu Structure of ComXerv EUA Primary Auction Service GUI

Upon successful login, the ComXerv EUA Primary Auction Service GUI is displayed. The menu bar is in the upper left corner with items Auctions, Imprint, and About.

2.4 Login

In order to start the ComXerv EUA Primary Auction Service GUI, the user must first connect to the website which links to the Login Dialog:

<https://spotauction.eex.com> – Production Environment

<https://spotauction-simu.eex.com> – Simulation Environment

To access the system the ComXerv EUA Primary Auction Service user must enter a valid user name and password in the “Login” popup window.

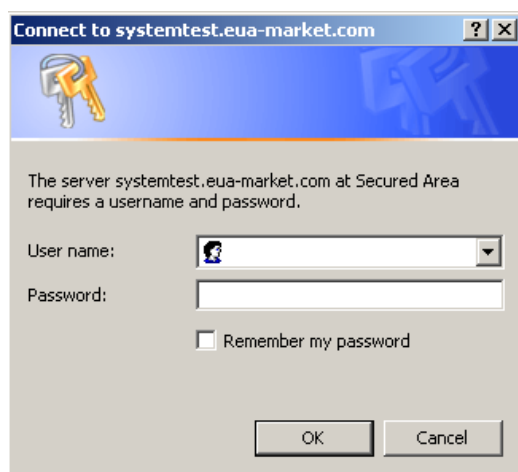


Figure 1 Login Screen

The user name must be 8 characters in length and the password must be at least 6 to 8 characters long. Valid characters are 'a'-'z', 'A'-'Z', '1'-'9'. Special characters are not allowed.

2.4.1 Browser Settings

The ComXerv EUA Primary Auction Service URL should be added as a “trusted site” in the Internet browser’s setting of the user. In order to do this:

- Open the Internet browser window,
- in the menu bar, select Tools > Internet Options > Security,
- Click on “Trusted Sites”, then “Sites”. Add the exchange’s internet address as a trusted site. Click “OK”.

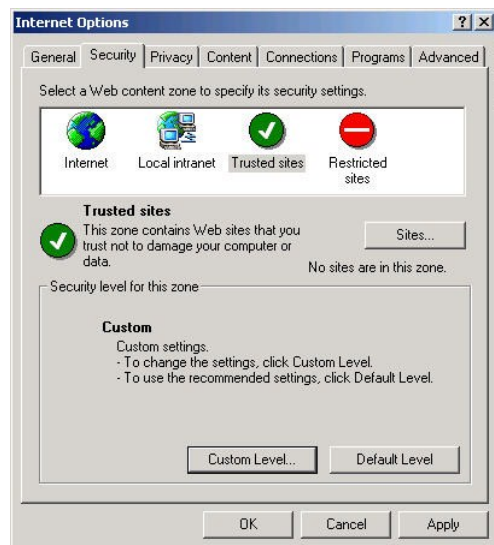


Figure 2 Internet Options

In the same dialogue window, the Custom Settings should be set up by clicking the “Custom Level” button. In the “Security Settings” window the ComXerv EUA Primary Auction Service user should enable the following settings:

- Download signed ActiveX controls
- Download unsigned ActiveX controls
- Run ActiveX controls and plug-ins
- Script ActiveX controls marked safe for scripting
- File download
- Active Scripting

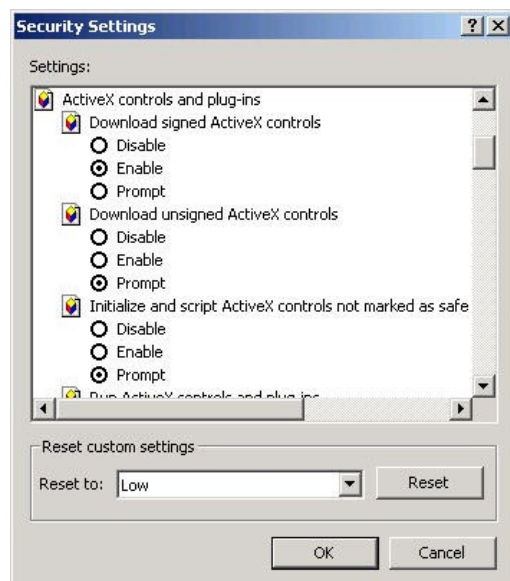


Figure 3 Security Settings

2.5 Single Login

Single login allows each authorized user to login to the ComXerv EUA Primary Auction Service one time per RACF Login ID. If a user is already logged into the system with the same RACF Login ID, a second login attempt will be only be successful once the first login session has been terminated.

If the user tries to login twice with the same RACF Login ID, the following screen is displayed:

We are really sorry but there can be only one session per user.
If you proceed, the other session will be deactivated.



Figure 4 Single Login

The user then has two options, either to 'Proceed Anyway' or to 'Logout'. If the button 'Logout' is pressed the user will be redirected to the ComXerv EUA Primary Auction Service Logout page. If the button 'Proceed Anyway' is pressed the user will be logged in to the ComXerv EUA Primary Auction Service. In this case the first login of this user will be terminated.

2.6 Change Password

The menu item "Change Password", placed on the upper right side of the page, allows the user to change their password at any time.

After the initial login the user is forced to change the assigned password and is directed to the "Change Password" screen. For security reasons, previous passwords may not be reused.

The password is changed via the "Change Password" screen.

To change your password please fill in all input fields. Your password expires after 30 days.

user name	<input type="text"/>
old password	<input type="password"/>
new password	<input type="password"/>
repeat new password	<input type="password"/>

For security reasons, you have to login again with your new password.

[Please click here to return to the application](#)

Figure 5 Change Password

2.7 Logout

The Sign out menu item allows the user to log out from the ComXerv EUA Primary Auction Service system. It is placed on the upper right corner of the page.

[Bidder4EEX](#) [Change Password](#) [Sign Out](#)

Figure 6 Logout

Upon successful logout the following page is displayed:



Figure 7 Logout Page

2.8 Messages

On the right-hand side of the window the "Messages" Panel is displayed. The messages depict all status changes of the auctions and all Auction Detail updates, as well as important updates from Market Supervision. All messages from the last 3 months can be viewed in the Messages Panel.



Figure 8 Messages

2.9 Refresh of GUI Page

The GUI page is automatically updated when a new message is displayed in the Messages Panel. If the user is viewing an auction the page will also be automatically updated every time the details of the auction are changed or a new bid has been submitted for this auction.

A refresh button is displayed on top of the message bar. Pressing this button updates the content of the entire page manually– status updates of the action, submitted bids, messages, etc. This button will appear in blue color when a view is invoked and is loading.



Figure 9 Refresh button in a passive status (white) and while loading an update (blue)

The GUI page can also be updated by pressing one of the open tabs:



Figure 10 Open tabs

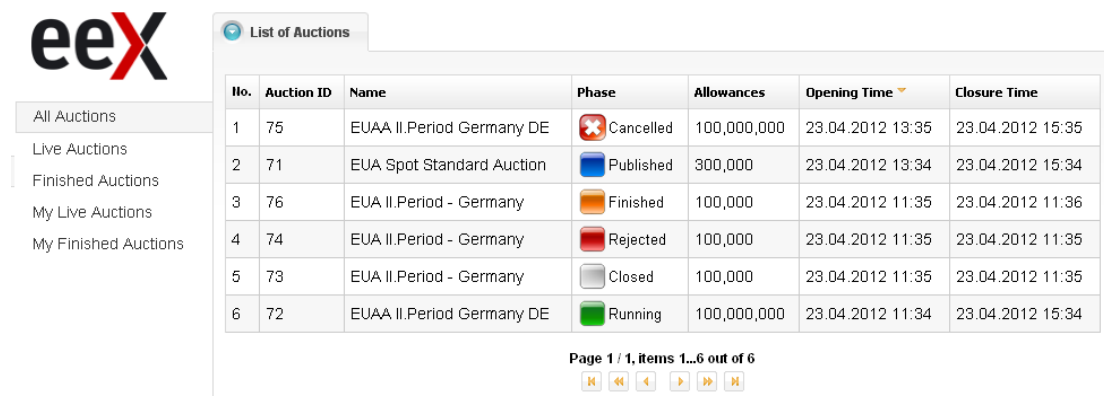
3 Auctions

The menu item "Auction" gives the ComXerv EUA Primary Auction Service Bidder an overview of the auctions.

3.1 Auction Overview

The Auctions section allows the Bidder to view the auctions. The user can choose whether to view

- All Auctions
- All Live Auctions - with state "Published", "Running" or "Closed"
- All Finished Auctions - with state "Finished", "Rejected" or "Cancelled"
- All My Live Auctions - with state "Running" or "Closed" for which the Bidder has submitted a bid
- All My Finished Auctions - with state "Finished", "Rejected" or "Cancelled" for which the Bidder has submitted a bid.



No.	Auction ID	Name	Phase	Allowances	Opening Time	Closure Time
1	75	EUAA II.Period Germany DE	Cancelled	100,000,000	23.04.2012 13:35	23.04.2012 15:35
2	71	EUA Spot Standard Auction	Published	300,000	23.04.2012 13:34	23.04.2012 15:34
3	76	EUA II.Period - Germany	Finished	100,000	23.04.2012 11:35	23.04.2012 11:36
4	74	EUA II.Period - Germany	Rejected	100,000	23.04.2012 11:35	23.04.2012 11:35
5	73	EUA II.Period - Germany	Closed	100,000	23.04.2012 11:35	23.04.2012 11:35
6	72	EUAA II.Period Germany DE	Running	100,000,000	23.04.2012 11:34	23.04.2012 15:34

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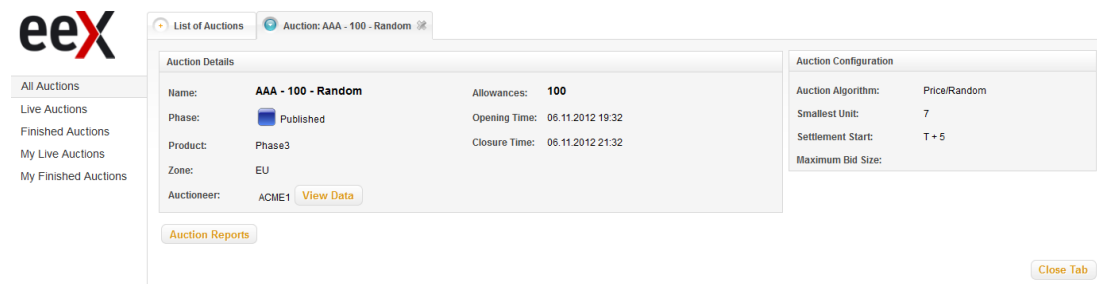
Figure 11 List of Auctions

3.2 Auction States

An auction can go through several stages:

- Published
- Running
- Closed
- Finished
- Rejected
- Cancelled

As soon as an auction is "Published" it is visible for all users. During the "Published" state the Bidder can view the available information for the auction: Name, Product, Auctioneer, Allowances, Opening Time, Closure Time, Auction Algorithm, Smallest Unit, Settlement Start and Maximum Bid Size.



The screenshot shows the eex interface for a published auction. The main content area is divided into two panels: "Auction Details" and "Auction Configuration".

Auction Details:

- Name: AAA - 100 - Random
- Phase: Published
- Product: Phase3
- Zone: EU
- Auctioneer: ACME1 (with a "View Data" button)
- Allowances: 100
- Opening Time: 06.11.2012 19:32
- Closure Time: 06.11.2012 21:32

Auction Configuration:

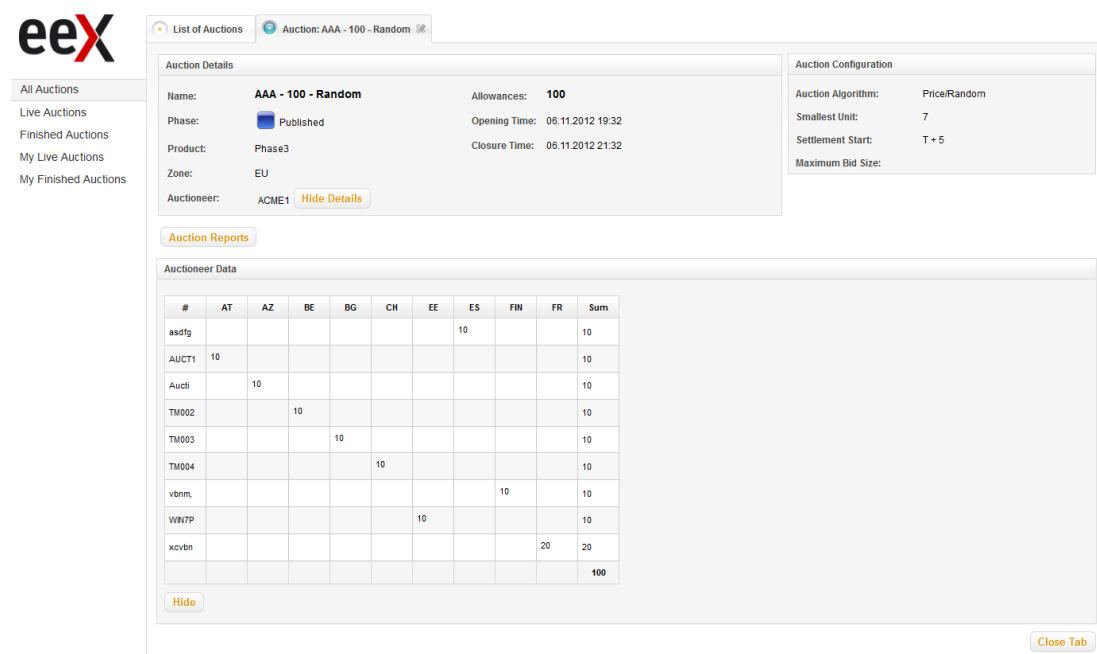
- Auction Algorithm: Price/Random
- Smallest Unit: 7
- Settlement Start: T + 5
- Maximum Bid Size: (blank)

Additional elements include a left sidebar with navigation options (All Auctions, Live Auctions, Finished Auctions, My Live Auctions, My Finished Auctions), a top navigation bar with "List of Auctions" and "Auction: AAA - 100 - Random", and buttons for "Auction Reports" and "Close Tab".

Figure 12 Published Auction

The field "Product" specifies the product which is traded in the auction. The field "Zone" specifies the zone for which the allowances of the product are being auctioned. The field "Auctioneer" specifies the member offering the allowances. The Maximum Bid Size determines the upper limit for each submitted bid for this auction. If no value is specified for it there will be no upper limit for the bids. The Smallest Unit specifies the smallest tradable unit that is allowed for this auction, i.e. a bid can only be submitted if it is a multiple of the Smallest Unit.

If there are multiple auctioneers for the auction the Auctioneer-Country matrix, which represents the auctioneer and country allocations of the offered allowances, can be viewed by pressing the button "View Data" displayed on the side of the auctioneer.



The screenshot shows the eex interface with the "View Data" button for the auctioneer ACME1. This opens the "Auctioneer Data" section, which contains a table showing the distribution of allowances across different countries.

Auctioneer Data Table:

#	AT	AZ	BE	BG	CH	EE	ES	FIN	FR	Sum
asdfg							10			10
AUCT1	10									10
Auctl		10								10
TM002			10							10
TM003				10						10
TM004					10					10
vbnm								10		10
WN7P						10				10
xcvbn									20	20
										100

The table includes a "Hide" button and a "Close Tab" button at the bottom right.

Figure 13 Auctioneer Country Matrix

The results of the auction are calculated based on the "Auction Algorithm". Currently, two auction algorithms are defined – Price/Time and Price/Random. For the Price/Time algorithm the following rules apply:

1. The bids with the highest price are executed first
2. If there are bids with the same price the bids that are submitted earlier are executed first.

For the Price/Random algorithm the following rules apply:

1. The bids with the highest price are executed first
2. If there are bids with the same price the bids which should be executed are randomly selected.

The field "Settlement Start" determines when the settlement of the trade should happen. There are five possible values for the field "Settlement Start" – T+1, T+2, T+3, T+4, T+5. This means that the settlement should be done that amount of days after the trading day. Since weekends are not trading days they must be skipped when calculating the settlement day.

The start of the "Running" state denotes also the start of the auction (also known as the "Call Phase"). During the "Call Phase" the users can submit, modify or cancel bids. All bids that were submitted for an own member, regardless by which user, are visible for the Bidder and can be modified or cancelled.

The screenshot shows the eexx auction interface. On the left is a navigation menu with options: All Auctions, Live Auctions, Finished Auctions, My Live Auctions, and My Finished Auctions. The main content area is titled "Auction: AAA - 100 - Random". It is divided into several sections:

- Auction Details:** Name: AAA - 100 - Random; Allowances: 100; Phase: Running; Product: Phase3; Zone: EU; Auctioneer: ACME1 (with a "View Data" link). Opening Time: 06.11.2012 17:38; Closure Time: 06.11.2012 21:32; Ends in: 03:49:05.
- Auction Configuration:** Auction Algorithm: Price/Random; Smallest Unit: 7; Settlement Start: T + 5; Maximum Bid Size: (blank).
- Auction Reports:** (Section header)
- Bids:** Includes buttons for "Submit New Bid", "Upload Bids", and "Cancel All Displayed". A filter dropdown is set to "ALOT1". Below is a table of bids:

ID	Member	User	Last Modified	Broker Ref	Allow.	Price(EUR)		
25650175	ALOT1	BD033	06.11.2012 17:42:43.296		14	7.50 €	M	C
2011126747	ALOT1	BD033	06.11.2012 17:42:50.804		21	7.00 €	M	C
24417022	ALOT1	BD033	06.11.2012 17:42:38.428		14	6.50 €	M	C
246859493	ALOT1	BD033	06.11.2012 17:42:31.298	KFTEX	14	6.00 €	M	C

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Close Tab

Figure 14 Running Auction – Call Phase

When the specified time of the auction is over the auction goes to state "Closed" and thus the "Freeze Phase" starts. During this time the bidder can view the bids for the own member(s) but cannot modify or cancel them. During the "Freeze Phase" Market Supervision can decide whether the auction should be reopened, accepted or rejected. If an auction is reopened it goes back to state "Running", if it is accepted it goes to state "Finished" and if it is rejected to state "Rejected".

If the auction is accepted the fully executed bids are marked green and the partially executed bids yellow. Depending on the Auction Algorithm some bids might get a "Randomly Selected" flag, see chapter [Executed Bids](#). As soon as the auction is accepted in the section "Auction Results" the Final Price, Total Volume and Total Bids Quantities are displayed:

Auction Results	
Final Price:	1.00 €
Total Volume:	1,555.00 €
Total Bids Quantities:	20000

Figure 15 Auction Results

If the auction is rejected no bids are executed.

An auction can also be "Cancelled" at any time by Market Supervision.

4 Bids

The section "Bids" of the auction allows the ComXerv EUA Primary Auction Service Bidder to view, submit, modify and cancel bids.

The screenshot displays the eex.com interface for an auction. The main content area is divided into several sections:

- Auction Details:**
 - Name: AAA - 100 - Random
 - Phase: Running
 - Product: Phase3
 - Zone: EU
 - Auctioneer: ACME1
 - Allowances: 100
 - Opening Time: 06.11.2012 17:38
 - Closure Time: 06.11.2012 21:32
 - Ends in: 03:49:05
- Auction Configuration:**
 - Auction Algorithm: Price/Random
 - Smallest Unit: 7
 - Settlement Start: T + 5
 - Maximum Bid Size:
- Bids:**
 - Buttons: Submit New Bid, Upload Bids, Cancel All Displayed
 - Filter: ALOT1
 - Table:

ID	Member	User	Last Modified	Broker Ref	Allow.	Price(EUR)		
25650175	ALOT1	BD033	06.11.2012 17:42:43.296		14	7.50 €	M	C
201126747	ALOT1	BD033	06.11.2012 17:42:50.804		21	7.00 €	M	C
24417022	ALOT1	BD033	06.11.2012 17:42:38.428		14	6.50 €	M	C
246659493	ALOT1	BD033	06.11.2012 17:42:31.298	KFTEX	14	6.00 €	M	C

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Figure 16 Bids for one Member

4.1 Submitting Bids

The Bidder can only submit bids for the offered allowances during the Call Phase. In order to submit a new bid the Bidder must press the button "Submit New Bid" and submit values for the required fields:

- Member from a drop-down menu
- Bid as Broker (optional)
- Client Reference (optional)
- Allowances
- Price (EUR)

The 'Submit New Bid' form contains the following fields and controls:

- Member: ACME1 (dropdown menu)
- Bid as Broker:
- Broker Reference:
- Allowances:
- Price (EUR):
- Buttons: Apply, OK, Cancel

Figure 17 Submit a New Bid

From the drop-down menu "Member" only members that are already set up in the system and assigned to the Bidder can be chosen. The check box "Bid as Broker" is displayed only if the user has the respective broker

rights and must only be checked if the Bidder actually wants to bid as a broker. If the box is checked the Bidder must also submit a "Client Reference".

The number of allowances that are submitted in the bid must be a multiple of the Smallest Unit. They must be less than the maximum bid size; otherwise an error message will be displayed. The sum of all allowances per auction for a member must not exceed the Auction Limit, which is the maximum number of allowances that can be submitted per member and per auction for a specific product. It is displayed next to the name of the member in the drop-down menu "Member".

After specifying the required information the Bidder must press either the button "Apply" or the button "OK" in order to submit the bid. If "Apply" is pressed the bid is submitted and the "Submit New Bid" section remains open with all the information specified above. If "OK" is pressed the bid is submitted and the section "Submit New Bid" is closed. In order to cancel the submission the Bidder must press the button "Cancel".

Alternatively, the Bidder can upload an Excel file with bids by pressing the button "Upload Bids" next to the button "Submit New Bid". When the button is pressed a pop-up window "Bids Upload" is displayed. To upload bids with a broker reference the Market Supervision user must submit a file where the Broker field is "Yes". In order to make the process of creating the file easier a sample file can be downloaded from the pop-up window "Bids Upload", see chapter [Sample Bid File](#).

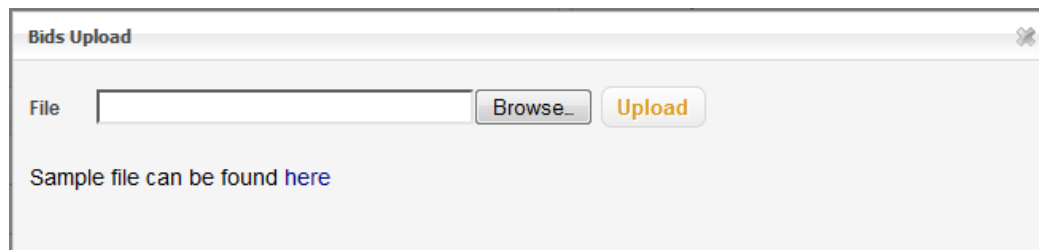


Figure 18 Pop-up Window "Bids Upload"

In order to choose the file that should be uploaded the user must press the button "Browse", navigate to and choose the respective Excel file and press the button "Upload". Once the file is chosen all bids are displayed and must be accepted by the user:

Uploaded Bids

This file contains 26 bids.

No.	Member Id	Price	Quantity	Broker?	Broker Reference	User
1	ALOT1	1,230.00 €	7	<input type="checkbox"/>		BEU001
2	ALOT1	1,050.00 €	7	<input checked="" type="checkbox"/>		BEU001
3	ALOT1	1,100.00 €	7	<input checked="" type="checkbox"/>	11	BEU001
4	ALOT1	1,150.00 €	7	<input type="checkbox"/>		BEU001
5	ALOT1	1,200.00 €	7	<input type="checkbox"/>		BEU001
6	ALOT1	1,250.00 €	7	<input type="checkbox"/>		BEU001
7	ALOT1	1,300.00 €	7	<input type="checkbox"/>		BEU001
8	ALOT1	1,350.00 €	7	<input type="checkbox"/>		BEU001
9	ALOT1	1,400.00 €	7	<input type="checkbox"/>		BEU001
10	ALOT1	1,450.00 €	7	<input type="checkbox"/>		BEU001
11	ALOT1	1,451.00 €	7	<input type="checkbox"/>		BEU001
12	ALOT1	1,452.00 €	7	<input type="checkbox"/>		BEU001
13	ALOT1	1,453.00 €	7	<input type="checkbox"/>		BEU001
14	ALOT1	1,450.00 €	7	<input type="checkbox"/>		BEU001
15	ALOT1	1,450.00 €	7	<input type="checkbox"/>		BEU001
16	ALOT1	1,450.00 €	7	<input type="checkbox"/>		BEU001
17	ALOT1	1,450.00 €	7	<input type="checkbox"/>		BEU001
18	ALOT1	1,450.00 €	7	<input type="checkbox"/>		BEU001
19	ALOT1	1,450.00 €	7	<input type="checkbox"/>		BEU001
20	ALOT1	1,450.00 €	7	<input type="checkbox"/>		BEU001

Upload bids Close panel

Figure 19 Uploading Bids

It is only after the button "Upload Bids" at the bottom of the pop-up window is pressed, and thus all bids are accepted by the user, that the bids are really uploaded to the system.

All regulations when submitting a bid manually are also valid when uploading the bids. If a value is incorrect an error message, marked in red, will be displayed directly in the pop-up window. If there are already bids for the member they will be replaced by the uploaded bids and the message "There are existing bids that will be cancelled" will be displayed.

The system assigns a random globally unique Bid ID with maximum 10 digits and a Last Modified timestamp to every submitted bid.

4.2 Modifying Bids

The ComXerv EUA Primary Auction Service Bidder can modify the existing bids for the own member(s) any time during the Call Phase. In order to modify a bid the Bidder must first press the button "M" displayed on the side of the bid.

ID	Member	User	Last Modified	Broker Ref	Allow.	Price(EUR)	
805138142	REGEX	BID033	26.09.2012 13:23:33.386		6,000	10.00 €	M C

Figure 20 Button Modify Bid

The Bidder can afterwards modify the price and the quantity of the bid. If the Bidder has broker rights the checkbox "Bid as Broker" and the field "Client Reference" are also available for modification.

If the number of allowances is changed they must still be less than the maximum bid size; otherwise an error message will be displayed. The sum of all allowances per auction for a member must not exceed the Auction Limit, which is displayed next to the name of the member in the drop-down menu "Member". The allowances must still be a multiple of the Smallest Unit.

After a modification the Bid ID remains the same, however the Last Modified timestamp is updated.

Modify Bid 805138142

Member:

Bid as Broker:

Broker Reference:

Allowances:

Price (EUR):

Bids

Filter:

ID	Member	User	Last Modified	Broker Ref	Allow.	Price(EUR)	
805138142	REGEX	BID033	26.09.2012 13:23:33.386		6,000	10.00 €	M C
1273545208	REGEX	BID033	26.09.2012 13:18:38.619		1,000	9.00 €	M C
1951380638	REGEX	BID70	26.09.2012 13:17:12.483		1,000	7.00 €	M C

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Figure 21 Modify a Bid

4.3 Cancelling Bids

The ComXerv EUA Primary Auction Service Bidder can cancel the existing bids for the own member(s) any time during the Call Phase. In order to cancel a bid the Bidder must first press the button "C" displayed on the side of the bid.

ID	Member	User	Last Modified	Broker Ref	Allow.	Price(EUR)	
805138142	REGEX	BID033	26.09.2012 13:23:33.386		6,000	10.00 €	M C

Figure 22 Cancel a Bid

For convenience the Bidder can also cancel all displayed bids by pressing the button "Cancel All Displayed".

Bids

Submit New Bid Cancel All Displayed Filter: <all members>

ID	Member	User	Last Modified	Broker Ref	Allow.	Price(EUR)	
805138142	REGEX	BID033	26.09.2012 13:23:33.386		6,000	10.00 €	M C
1273545208	REGEX	BID033	26.09.2012 13:18:38.619		1,000	9.00 €	M C
1951380638	REGEX	BID70	26.09.2012 13:17:12.483		1,000	7.00 €	M C

Page 1 / 1, items 1...3 out of 3

Figure 23 Cancel All Displayed

4.4 Executed Bids

If an auction is accepted the Bidder can see all fully executed bids for the own member(s) marked green and all partially executed bids marked yellow. If the Auction Algorithm is Price/Random the bids that have been selected based on the random principle will get a "Randomly Selected" flag, as shown in the figure below.

As soon as the auction is accepted the Bidder can view all executed bids for the own member, as well as the fields "Allocated on this Member" and "Volume on this Member".

Bids

Allocated on this Member: 95000.00 Filter: <all members>

Value of Accepted Bids: 950,000.00 €

ID	Member	User	Last Modified	Broker Ref	Allow.	Price(EUR)	Allocated	Volume
181615418	REGEX	BEU001	26.09.2012 13:32:32.082	123	90,000	10.80 €	90,000	900,000.00 €
805138142	REGEX	BID033	26.09.2012 13:23:33.386		6,000	10.00 €	5,000	50,000.00 €
1273545208	REGEX	BID033	26.09.2012 13:18:38.619		1,000	9.00 €		
1951380638	REGEX	BID70	26.09.2012 13:17:12.483		1,000	7.00 €		

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Fully Executed Bid || Partially Executed Bid || Bid Not Executed

Figure 24 Accepted Auction and Randomly Selected Flag

5 Reports

The ComXerv EUA Primary Auction Service Bidder has access to the following reports:

- Order Report
- Trade Capture Report

5.1 Download a Report

The Bidder can download a report by first choosing the auction for which the reports should be downloaded and then pressing the button "Auction Reports" displayed under the Auction Details:

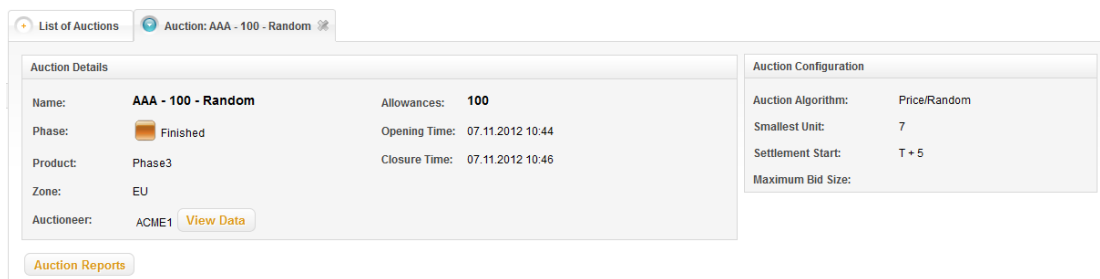


Figure 25 Download Report

As soon as the button is pressed a pop-up window appears, where the Bidder can specify which report type should be downloaded and in which format. The reports are available in xml and csv format.

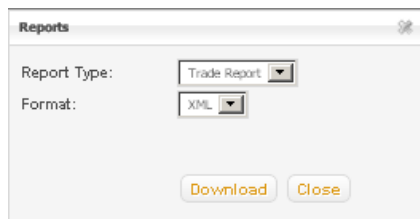


Figure 26 Reports Pop-up Window

5.2 Report Types

The ComXerv EUA Primary Auction Service generates two types of reports for the Bidders.

5.2.1 Order Report

The Order Report contains information about all bids that were placed for the own member(s). It also includes information about the Last Modified Time, Member and User for which the bid was submitted, as well as quantity and price of the bid. The report can be downloaded any time during the auction cycle and includes up-to-date information for the submitted bids for the own member(s). It is available in xml and csv format.

5.2.2 Trade Capture Report

The Trade Capture Reports contains information about all trades for the own member(s) for a specific auction. The report can be downloaded any time during the auction cycle; however information about the trades will only be available after the auction has been accepted. It is available in xml and csv format.

6 Appendix

6.1 Order Report

XML Tag	Type	m/o	No.	Data Type	Short description
OrderRprt	SE	m	1	Structure	
auctionId	A	m		Integer	Auction ID of the Auction
OrderAuctionList	SE	m	1	Structure	
Order	SE	m	0..n	Structure	
ordId	A	m		Integer	Order Id as returned by the Trading Service.
actionType	A	m		Char(4)	Type of the action. Valid values are: UADD -> Order was added by a Trader AADD -> Order was added by an Admin (Market Operations) UDEL -> Order was deleted by a Trader ADEL -> Order was deleted by an Admin (Market Operations), order was deleted because the member was suspended NEXE -> Order was not executed PEXE -> Order was partially executed (traded) FEXE -> Order was fully executed (traded) UMOD -> Order was modified by a Trader AMOD -> Order was modified by an Admin (Market Operations) SCNL -> Order was cancelled because the auction was cancelled SREJ -> Order was rejected because auction was rejected
mbrId	A	m		Char(5)	Member Id for the submitted order
usrCode	A	o		Char(6)	User code of the user who entered the order
clearingAcctType	A	m		Char (1)	Specifies whether the order is entered on own account or as an agent. Valid values: "P": Proprietary, i.e. order is entered on own account "A": Agent, i.e. order is entered on customer account
acctRef	A	o		Char(20)	The free text written by the user if the value of the field above is "AGENT"
px	A	m		Long	Limit price of the order in Eurocent
qty	A	m		Integer	Quantity of the order
timeStamp	A	m		DateTime	Timestamp of the action in UTC as determined by the backend in the following format: YYYY-MM-DDThh:mm:ss[Z]
processed	A	m		Boolean	Indicates whether an order was considered in the matching process. Valid values are: "1": If the order was processed "0": If the order was not processed

Figure 27 Order Report

6.1.1 Sample Order Report in XML Format

```
<OrderRprt xmlns="http://www.deutsche-boerse.com/eua-auction/orderReport/v1.0"
created="2012-04-20T08:05:01.819Z" auctionId="133">
<OrderActionList>
<Order processed="1" timeStamp="2012-04-19T08:17:39.895Z" px="256" qty="10"
clearingAcctType="P" usrCode="BEU013" mbrId="FOOB1" actionType="AADD"
ordId="2036980231"/>
<Order processed="1" timeStamp="2012-04-19T08:17:43.660Z" px="256" qty="10"
clearingAcctType="P" usrCode="BEU062" mbrId="FOOB1" actionType="AADD"
ordId="423089891"/>
```

```

<Order processed="1" timeStamp="2012-04-19T08:17:48.763Z" px="256" qty="10"
clearingAcctType="P" usrCode="BEU061" mbrId="ACME1" actionType="AADD"
ordId="1776276034"/>
<Order processed="1" timeStamp="2012-04-19T08:19:11.831Z" px="420" qty="10"
clearingAcctType="P" usrCode="BEU042" mbrId="FOOB1" actionType="AADD"
ordId="343245312"/>
<Order processed="1" timeStamp="2012-04-19T08:19:16.617Z" px="420" qty="10"
clearingAcctType="P" usrCode="BEU092" mbrId="FOOB1" actionType="AADD"
ordId="1454462321"/>
<Order processed="1" timeStamp="2012-04-19T13:53:11.945Z" px="256" qty="10"
clearingAcctType="P" usrCode="BEU013" mbrId="FOOB1" actionType="FEXE"
ordId="2036980231"/>
<Order processed="1" timeStamp="2012-04-19T13:53:11.945Z" px="256" qty="10"
clearingAcctType="P" usrCode="BEU062" mbrId="FOOB1" actionType="FEXE" ordId="423089891"/>
<Order processed="1" timeStamp="2012-04-19T13:53:11.945Z" px="256" qty="10"
clearingAcctType="P" usrCode="BEU061" mbrId="ACME1" actionType="FEXE"
ordId="1776276034"/>
<Order processed="1" timeStamp="2012-04-19T13:53:11.945Z" px="420" qty="10"
clearingAcctType="P" usrCode="BEU042" mbrId="FOOB1" actionType="FEXE" ordId="343245312"/>
<Order processed="1" timeStamp="2012-04-19T13:53:11.945Z" px="420" qty="10"
clearingAcctType="P" usrCode="BEU092" mbrId="FOOB1" actionType="FEXE"
ordId="1454462321"/>
</OrderActionList>
</OrderRprt>

```

6.1.2 Sample Order Report in CSV Format

```

Header;2012-04-20-08:04:16.695;,,,,;
2036980231;133;AADD;2012-04-19-08:17:39.895;FOOB1;BEU013;P;;2.56;10;1
423089891;133;AADD;2012-04-19-08:17:43.660;FOOB1;BEU062;P;;2.56;10;1
1776276034;133;AADD;2012-04-19-08:17:48.763;ACME1;BEU061;P;;2.56;10;1
343245312;133;AADD;2012-04-19-08:19:11.831;FOOB1;BEU042;P;;4.20;10;1
1454462321;133;AADD;2012-04-19-08:19:16.617;FOOB1;BEU092;P;;4.20;10;1
2036980231;133;FEXE;2012-04-19-13:53:11.945;FOOB1;BEU013;P;;2.56;10;1
423089891;133;FEXE;2012-04-19-13:53:11.945;FOOB1;BEU062;P;;2.56;10;1
1776276034;133;FEXE;2012-04-19-13:53:11.945;ACME1;BEU061;P;;2.56;10;1
343245312;133;FEXE;2012-04-19-13:53:11.945;FOOB1;BEU042;P;;4.20;10;1
1454462321;133;FEXE;2012-04-19-13:53:11.945;FOOB1;BEU092;P;;4.20;10;1
Footer;10;,,,,;

```

6.2 Trade Capture Report

XML Tag	Type	m/o	No.	Data Type	Short description
TradeCaptureRprt	SE	m	1	Structure	
auctionId	A	m		Integer	Auction ID of the Auction
TradeList	SE	m	1	Structure	
Trade	SE	m	0..n	Structure	
tradeId	A	m		Integer	Globally unique Trade ID of the Trade

qty	A	m		Integer	Executed quantity
px	A	m		Long	Execution price in Eurocent
tradeExecTime	A	m		DateTime	Date and Time the trade was executed in UTC in the following format: YYYY-MM-DDThh:mm:ss[Z]
settlementDate	A	m		Date	Date the trade should be settled
buyOrdId	A	o		Integer	Order Id of the buy side order
buyMbrId	A	o		Char(5)	Member ID of the user who entered the buy side order
buyUsrCode	A	o		Char(6)	User code of the user who entered the buy side order
sellMbrId	A	o		Char(5)	Member ID of the auctioneer
sellUsrCode	A	o		Char(6)	User code of the user who published the auction
random	A	m		Boolean	Indicates whether the trade was done based on a random selection. Valid values are: "1": If the order was randomly selected "0": If the order wasn't randomly selected
currencyXchgRate	A	o		Long	Exchange Rate from Euro to the respective currency of the member
currencyCode	A	o		Char(3)	Settlement currency chosen by the member

Figure 28 Trade Capture Report

6.2.1 Sample Trade Capture Report in XML Format

```
<?xml version="1.0" encoding="UTF-8" standalone="yes"?>
<TradeCaptureRprt auctionId="399" created="2012-09-26T11:54:39.396Z"
xmlns="http://www.deutsche-boerse.com/eua-auction/tradeReport/v1.0">
  <TradeList>
    <Trade tradId="5417" qty="90000.00" px="10.00" currencyCode="EUR"
currencyXchgRate="1.0000" tradeExecTime="2012-09-26T11:35:33.220Z" settlementDate="2012-
10-03" buyOrdId="181615418" buyMbrId="REGEX" buyUsrCode="BEU001" sellMbrId="BOR3D"
sellUsrCode="MA0006" random="0"/>
    <Trade tradId="5419" qty="5000.00" px="10.00" currencyCode="EUR"
currencyXchgRate="1.0000" tradeExecTime="2012-09-26T11:35:33.220Z" settlementDate="2012-
10-03" buyOrdId="805138142" buyMbrId="REGEX" buyUsrCode="BID033" sellMbrId="BOR3D"
sellUsrCode="MA0006" random="1"/>
  </TradeList>
</TradeCaptureRprt>
```

6.2.2 Sample Trade Capture Report in CSV Format

```
Header;2012-09-26-11:57:28.743;,,,,,;
5417;399;90000.00;10.00;2012-09-26-11:35:33.220;2012-10-
03;181615418;REGEX;BEU001;BOR3D;MA0006;0;EUR;1.0000
5419;399;5000.00;10.00;2012-09-26-11:35:33.220;2012-10-
03;805138142;REGEX;BID033;BOR3D;MA0006;1;EUR;1.0000
Footer;2;,,,,,;
```

6.3 Sample Bid File

Member Id	Price	Quantity	Broker?	Broker Reference	User
Member		12.34	222		User

Member

12.35

444 Yes

BrokerRef1

User