Instruction Manual on using the web based FMA tool for reporting Net Short Positions according to

Regulation EU No. 236/2012 of the European Parliament and the Council of 14 March 2012 on short selling and certain aspects of Credit Default Swaps (SSR)

Oct. 2012

Index

1. Introduction

Due to the Regulation EU No. 236/2012 of the European Parliament and the Council of 14 March 2012 on short selling and certain aspects of Credit Default Swaps (in the following text called "SSR") the Austrian Financial Market Authority ("FMA") implemented a web based tool for registering and reporting net short positions on Austrian shares, sovereign debts and CDS on Austrian sovereigns.

You can access this tool under the following link or through our official website: https://webhost.fma.gv.at/ShortSelling

2. Registration process

First you have to register an account either as a natural person reporting for yourself or as a contact person responsible for reporting on behalf of a third party.

Depending on which option you choose you will get a different set of data fields. Fields with an asterisk (*) are mandatory.

Note:
The phone number has to be entered in the following way:
- The + (plus sign) followed by the country code
- A single space character as separator
- The area code
- A single space character as separator
- The phone number

Example of a valid phone number: +43 1 249590

Register for a new account ...

Please fill in all the mandatory fields. You will be contacted as soon as possible.

Your Capacity

⦿ I am registering as a natural person
In this case, you must not supply any company data.

○ I am a contact person of a company
In this case, you have to supply your company data.

Your Personal Details
Note that if you apply for more than one account, a different email address is required for each account.

Enter your email address (*)	
Your prefix (*)	(Empty) ▾
Your first name (*)	
Your surname (*)	
Your passport number (*)	
Your phone number (*)	
Your fax number	
Your street (*)	
Your postal code (*)	
Your city (*)	
Your province code	
Select the country (*)	(Empty) ▾

Entity Subject to Notification
Please, enter the data of the natural or legal person subject to notification. If you are going to provide notifications for more than one third party, you will have the opportunity to add more natural and legal persons once you are registered.

⦿ Notifications will be submitted for myself or for my company.

○ The entity subject to notification is a natural person
In this case, you have to supply the details of the natural person subject to notification.

○ The entity subject to notification is a legal person
In this case, you have to supply the details of the legal person subject to notification.

Register for a new account ...

Please fill in all the mandatory fields. You will be contacted as soon as possible.

Your Capacity

○ I am registering as a natural person
In this case, you must not supply any company data.

⦿ I am a contact person of a company
In this case, you have to supply your company data.

Your Personal Details
Note that if you apply for more than one account, a different email address is required for each account.

Enter your email address (*)	
Your prefix (*)	(Empty) ▾
Your first name (*)	
Your surname (*)	
Your passport number (*)	
Your phone number (*)	
Your fax number	
Your street (*)	
Your postal code (*)	
Your city (*)	
Your province code	
Select the country (*)	(Empty) ▾

Your Company
If you are a contact person of a company, you have to enter the company name here.

Company name (*)	
BIC (Bank Identifier Code)	
BLZ	
LEI	

After you filled in all the mandatory data fields and checking the "Terms of Use" you can push the button "Register" at the bottom of the page.

If all the data are correct you will receive an email with a confirmation link. If there are some inconsistencies, e.g. in format, you will receive an error shown up on the right side next to the erroneous data field.

Following the confirmation link (active for just 10 minutes) you will be able to check the data you filled in during the registration process (not shown in the screenshot beneath) again. After your confirmation the registration process is paused until your account gets activated by the Austrian FMA.

You will receive an email notification when the status of your account changed.

Note: The confirmation link in the email sent is active for just 10 minutes!

After the confirmation link has been deactivated you have to send a new registration form.

The next step will be to request a password. Therefore you follow the link in the transmitted email and push the menu button "Request password" on the left side.

After you pushed the button, a field for entering your email address will come up.

If the entered email address is correct you will receive an email notification including a link to change your password.

Following criteria have to be considered creating a new password:

- It must consist of at least 8 characters
- It must contain at least one lower or upper case letter
- It must contain at least one digit

After this last step, the registration process is finished. Now you can login with your Username (email address) and Password.

3. Login

You can login with the following link or through the official website of the Austrian FMA:

https://webhost.fma.gv.at/ShortSelling

After entering your Username (email address) and Password and confirming with "Login", you will see a new field requesting a PIN code.

A generated PIN code will be sent to you by email every time you wish to login. The transmitted PIN code is valid for just 10 minutes. After that period you have to fill in the login form again for requesting a new PIN code.

The "Home" Menu welcomes you after you logged in.

4. Menu

At the left side you see the menu buttons.

4.1 Home

This is the home screen with the basic information on the IT tool and where you can address any queries. In future you will also find this instruction manual provided there.

4.2 Notifying Entities

Here you can add new entities you are responsible for reporting net short positions according to SSR. If you added such entities they will be shown up here.

Add new entity:

If you hit the button "Add new Entity" you have to fill in the needed data about that entity. First you select if this new entity is a natural person or a legal person (firm). Depending on your selection you will get a different set of data fields.

If the firm is a financial institution you shall enter a BIC (Bank Identifier Code), BLZ ("Bankleitzahl", only for Austrian Financial Institutions having one) or LEI (Legal Entity Identifier, when available).

After you submitted your request for adding a new entity this request is checked by the Austrian FMA. If your request has been accepted you will be informed by email that the status of your entity subject to notification has been changed.

Additionally the new entity is shown in your list of "Notifying Entities" on the left hand side menu button.

Now you can submit notifications for the requested entity.

4.3 List Notifications

Here you can see all your notifications that have already been submitted to the Austrian FMA.

The default setting shows all notifications, but you can set the filter to the following criteria:

- Type of notification: shares, sovereign debts or CDS
- Notifying entity: all entities you requested (see menu "Notifying Entities")
- ISIN Code: here you can fill in the ISIN code
- Position date: please provide the date in format YYYY-MM-DD

If you do not select any criteria you will be shown a list of all notifications sent (content removed in the screenshot beneath).
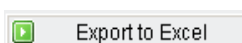

In this instance you can review your submitted notification by clicking "View" or if you submitted a notification by mistake, you can cancel it here.

> **Note: Please be advised that you cannot amend a notification once submitted!**
> **You can only cancel it and send a new one. If you push the button "Cancel" you won't be asked again whether you are sure you would like to cancel it. It will be cancelled immediately!**

If you would like to save your submitted notifications you can export them to Excel by hitting the provided button.

4.4 Submit Notification

This menu button is to submit notifications for net short positions according to SSR on shares, sovereign debts or CDS.

In default the "Entity subject to notification" data field is set to your default account value (not shown in the screenshot above).

The shown set of data fields varies slightly according to the kind of financial instrument selected through the radio button.

> **Note: Please be advised that you cannot amend a notification once submitted! You can only cancel it (see "List Notifications" section) and send a new one. If you push the button "Cancel" you won't be asked again whether you are sure you would like to cancel it. It will be cancelled immediately!**

Shares:

Please fill in the ISIN of the share and hit the button "Check ISIN Code" to automatically provide the "Name of issuer".

The "Country" field is always set to "Austria" and can't be changed as long as you only have to report shares for which the Austrian FMA is Relevant Competent Authority (RCA).

Further fill in the date of the position held in the format YYYY-MM-DD (otherwise you will receive an error message when submitting the notification).

The "Net short position size in percentage" field has to be filled only with the numeric value (no % sign) and please indicate a comma with "." instead of ",".

Note: According to Article 6 (2) a notification will be publicly disclosed if it reaches or exceeds a threshold of 0,5% of the issued share capital of the company concerned and each 0,1% above that.

If there has already been a notification for the same entity subject to notification and the same ISIN, the field "date of previous notification" will automatically be indicating that date when hitting the button "Check ISIN Code".

If you would like to write a short comment for that notification, you can do so in the according data field.

Sovereign Debts:

If the sovereign debt was issued by a province of Austria please select it in the provided drop-down menu. Otherwise you can leave it set to "none".

The "name of issuer" will automatically be set to the according issuer if you selected a province other than "none".

Please fill in the date of the position held in the format YYYY-MM-DD (otherwise you will receive an error message when submitting the notification).
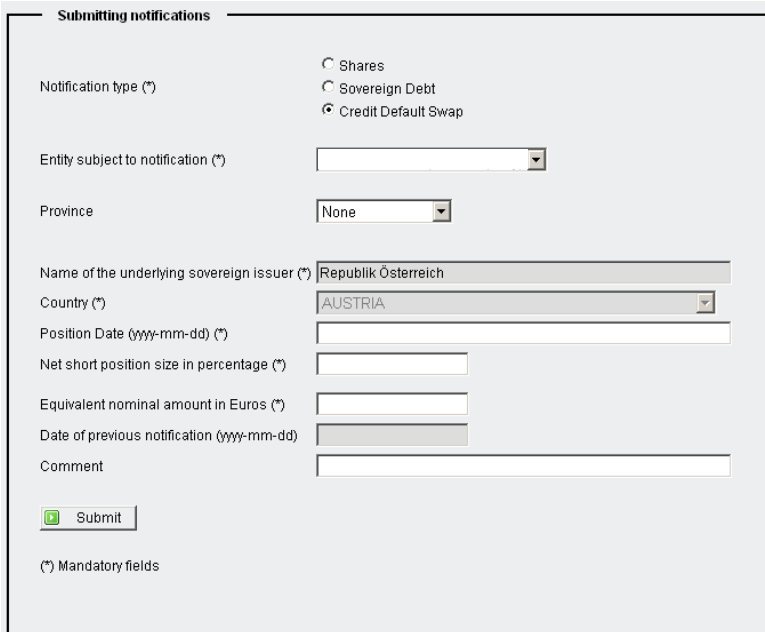
The "Net short position size in percentage" field has to be filled only with the numeric value (no % sign) and please indicate a comma with "." instead of ",".

Additionally insert the equivalent nominal amount in EUR without any thousand separators. If you wish to indicate a comma please use the "." instead of ",".

If there has already been a notification for the same entity subject to notification and the same ISIN, the field "date of previous notification" will automatically be indicating that date when hitting the button "Check ISIN Code".

If you would like to write a short comment for that notification, you can do so in the according data field.

Credit Default Swaps:

If the sovereign debt was issued by a province of Austria please select it in the provided drop-down menu. Otherwise you can leave it set to "none".

The "name of issuer" will automatically be set to the according issuer if you selected a province other than "none".

Please fill in the date of the position held in the format YYYY-MM-DD (otherwise you will receive an error message when submitting the notification).

The "Net short position size in percentage" field has to be filled only with the numeric value (no % sign) and please indicate a comma with "." instead of ",".

Additionally insert the equivalent nominal amount in EUR without any thousand separators. If you wish to indicate a comma please use the "." instead of ",".

If there has already been a notification for the same entity subject to notification and the same ISIN, the field "date of previous notification" will automatically be indicating that date when hitting the button "Check ISIN Code".

If you would like to write a short comment for that notification, you can do so in the according data field.