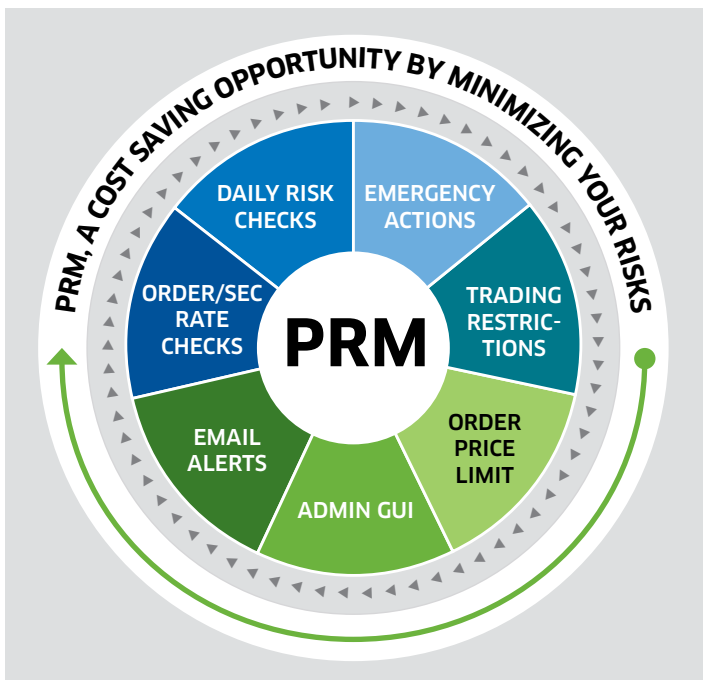


NLX ENHANCED PRE-TRADE RISK MANAGEMENT

PRE-TRADE RISK MANAGEMENT (PRM)

- ENSURE MARKET INTEGRITY
- MINIMAL LATENCY IMPACT WITH A MIX OF PRE- AND POST-TRADE CONTROLS
- COMPLIANCE WITH ESMA GUIDELINES
- FOCUS ON HIGHLY AUTOMATED TRADING FLOWS
- ALLOWS GCMS TO ALLOCATE APPROPRIATE RISK MANAGEMENT CONTROLS TO NCMS AND CLIENTS



PRM SUMMARY

NLX provides participants with the ability to facilitate pre-trade protection on Genium INET as an optional complimentary service. To find out how you can benefit from this complimentary service contact your NLX account manager now.

Available a number of **POST-TRADE AND PRE-TRADE CHECKS**

THE LIMITS CAN BE ADMINISTERED by the participant via an Administration User Interface

A PARTICIPANT SETS UP LIMITS FOR A CLIENT

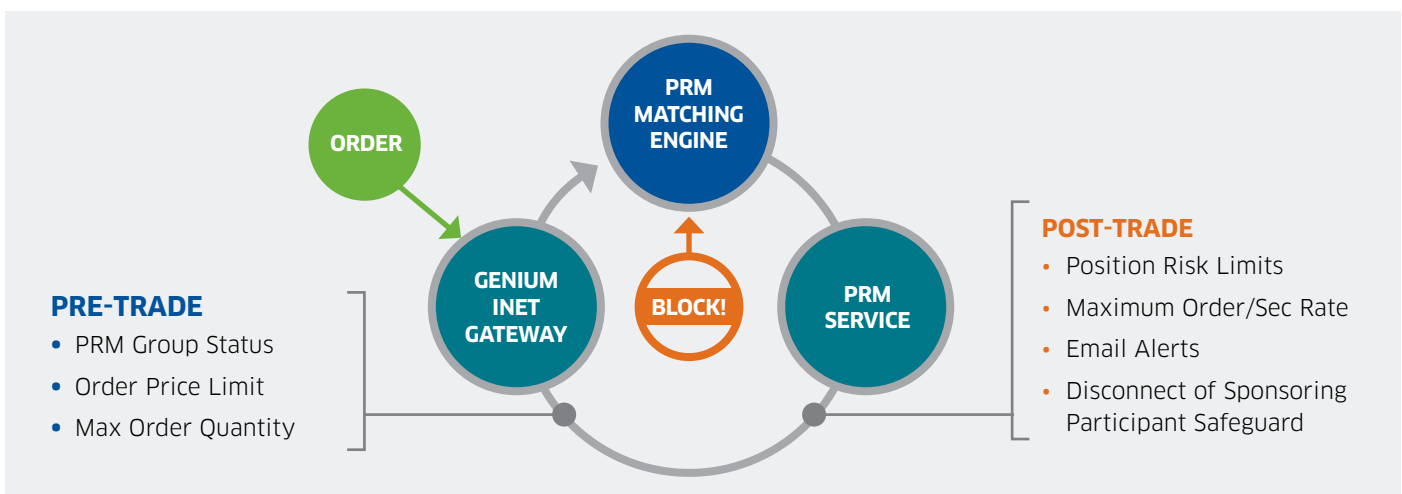
ALL CHECKS ARE USER BASED

The NLX market has the ability to administer **LIMITS ON BEHALF OF THE MEMBER VIA THE NLX INTERNAL GUI**

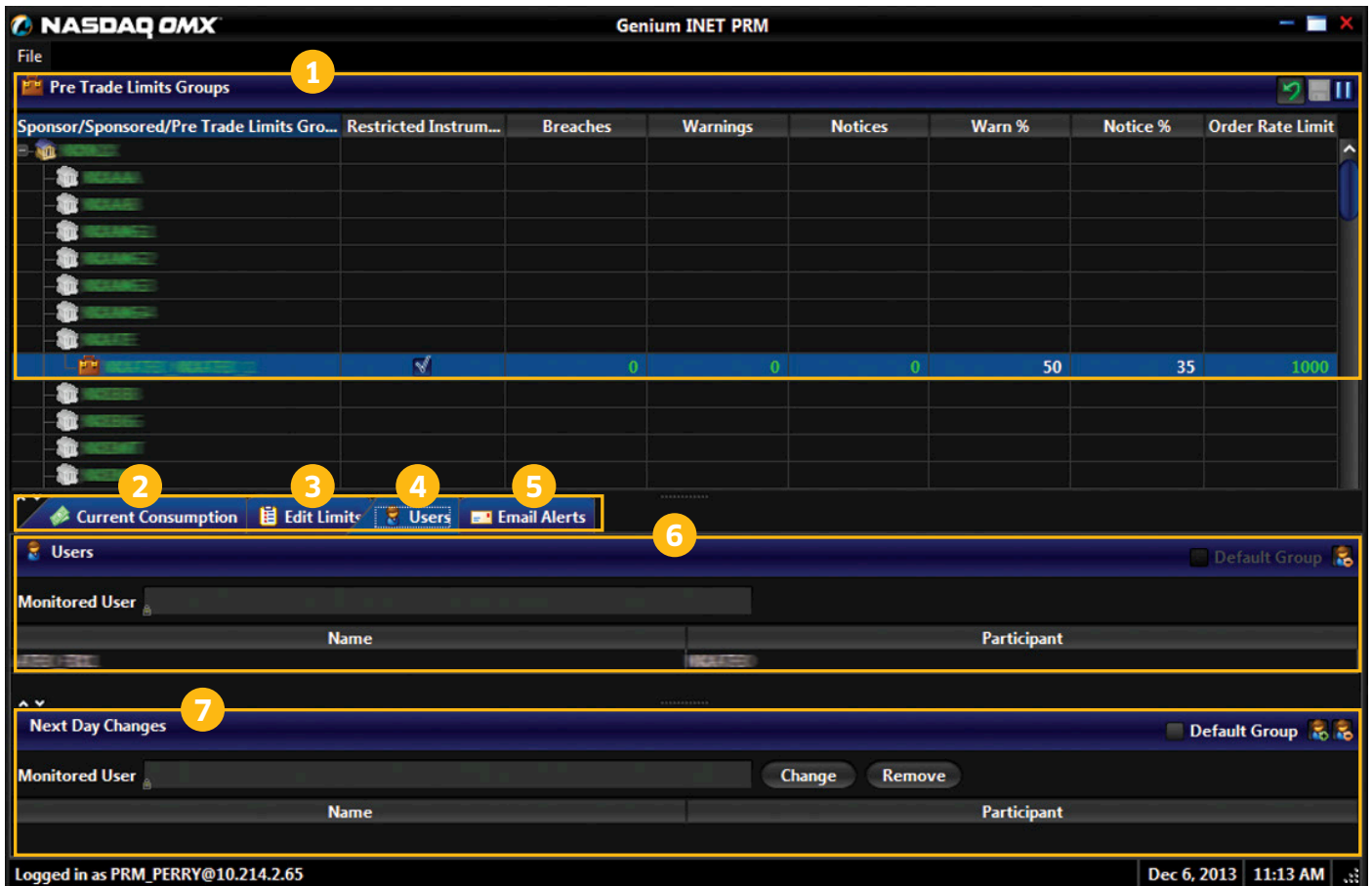
PRE-TRADE RISK SERVICE COVERAGE

- The PRM service covers on-exchange trading
- OTC trade reporting
- Any method of Order Entry; FIX, ISV, trading workstation

PRE-TRADE RISK MANAGEMENT ARCHITECTURE



SCREENSHOT OF ADMIN GUI



- 1 Trader panel displays hierarchy of GCM/NCM/PRM groups
- 2 Real-time consumption view
- 3 Edit limits view
- 4 List of users belonging to a PRM group
- 5 Email recipients view
- 6 Intra-day changes
- 7 Next day changes

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