

Xact Web Portal

User Manual

Xact Web Portal User Manual

September 2023

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Introduction

Dynamic, streamlined and accessible connectivity becomes increasingly important. Clearstream's Xact Web Portal brings a new dimension to our connectivity framework as it provides a single window to all services offered by our international central securities depository (ICSD) as well as the German CSD and LuxCSD: [Settlement](#), [Cash & Liquidity](#), [Asset Servicing](#), [Tax](#), as well as [Collateral Management](#) services. Xact Web Portal is in full compliance with industry standards.

These services are being complemented by:

- [The Dashboard](#) - An interactive landing screen that you can customise according to your needs to allow you to manage your business activities at a glance;
- [Reference Data](#) - To visualise consolidated securities reference data;
- [Vestima](#) - To launch the Vestima order routing application for investment funds.
- [VestimaPrime](#) - To launch the VestimaPrime order routing application for alternative investment funds.
- [Reporting & Monitoring](#) - Allowing you to set up and trigger reports and alerts; report subscriptions can be done for all of ClearstreamXact connectivity channels (Xact Web Portal, Xact File Transfer and Xact via Swift); the Business Monitoring Centre allows you to trigger several times per day, custom queries in various services, in order to track specific business activities;
- [User Management](#) - Via which you can manage all users in your institution; and
- [Help & Resources](#) - To help you to intuitively find your way through the application.

Xact Web Portal also features a dedicated API (Application Programming Interface) platform. More information about Clearstream API services is also available in the [Clearstream API Developer Guide](#).

With the Xact Web Portal, you will enjoy a new state-of-the art graphical user interface (GUI) with a modern and intuitive design, while at the same time offering robust IT security features.

Dynamic, easily configurable Dashboard with calendar and real-time indicators.

The Xact Web Portal is accessible from anywhere in the world via internet with no mandatory installation costs. It reduces the need to install and manage different user-to-application (U2A) systems across the ICSD and CSD services that Clearstream offers.

Foreword

Xact Web Portal is a component of the ClearstreamXact connectivity framework.

Xact Web Portal is Clearstream Banking's web-browser based, integrated workstation connectivity solution that can be accessed via the internet, a DBAG managed network (for clients of Clearstream Banking Frankfurt) or Virtual Private Network (VPN).

A word about security

Access is restricted to authorised users only and is controlled by the use of multi-factor authentication (2FA/3FA). Security is further enhanced by the employment of strong cryptographic authentication and digital signatures and the encryption of all communication.

The 3-factor authentication (3FA) solution provides better security compared to traditional 2FA, and is strongly recommended especially for MAS regulated clients.

Detailed information about 3FA can be found in this guide under section "[ForgeRock Mobile Authenticator App activation](#)".

Note: Unchanged credentials expire naturally after two years but users can change their own credentials at any time.

Technical requirements

Software requirements

We recommend that all clients use Clearstream's fully tested configuration:

- Windows Server 2012R2;
- Google Chrome, Microsoft Edge or Firefox ESR (latest officially supported versions).

Clients with other configurations must, in order to receive technical support from us, ensure that they use the minimum (or later) software versions specified by Clearstream but full compatibility cannot be assured.

Other supported configurations are:

- Windows 10;
- Windows Server 2016;
- Windows Server 2019.

To safeguard processing in the event of system access problems, we strongly recommend that clients have in place a contingency solution that is suitable for the specific connectivity media.

Protocol requirements

TLS 1.2 must be enabled in the browser.

Supported network connectivity

Xact Web Portal is reachable via internet URL: xact.clearstream.com

DNS requirements

The client's workstation or proxy must be able to connect to the IP address below on port 443 (HTTPS).

Also, the URL/IP resolution must be working for the pair:

xact.clearstream.com 194.36.230.129

Where to get assistance

Help with the use of Xact Web Portal is directly available in two ways:

- from the integrated online help information system; and
- from Clearstream's Client Services and Connectivity Services units.

Online help

Xact Web Portal incorporates comprehensive online help information. On each page, you have access to two levels of help information, as follows:

- From the Menu, you can choose Help Centre from Help & Resources to obtain information on all aspects of Xact Web Portal.
- On each page or form, you can click on Help in the meta navigation to display specific help information for the current activity.

Contact details

For further information, or if you have specific questions regarding Xact Web Portal and/or communications with Clearstream, you can contact your Client Services Officer or the Clearstream Connectivity Services Help Desk.

Before contacting Clearstream, please ensure that you have the following information to hand:

- Your organisation name and Clearstream account number.
- Your name, telephone and fax numbers and your email address.
- The make and model of your PC.
- Details of the problem (please have full details available).
- If you receive an error message, full details of the error, with any error message number.

Contact details are as follows:

	Luxembourg	Frankfurt	London
Tel:	+352-243-38110	+49-(0) 69-2 11-1 15 90	+44 (0)20-7862-7100
Fax:	+352-243-638110	+49-(0) 69-2 11-6 1 15 90	+44 (0)20-7862-7254
Email:	connect@clearstream.com	connect@clearstream.com	connect@clearstream.com

Foreword

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1. Access and login

Access to Xact Web Portal is provided via your web browser. The use of the system is strictly controlled by security features that ensure that only licensed subscribers can connect to it.

This chapter describes the tasks and topics you will meet when you start to use Xact Web Portal, as follows:

- “Initial access request” below;
- “Xact Web Portal user login” on page 1-10;
- “Xact Web Portal functional overview” on page 1-24.

Initial access request

Your local system administrator must be the first to log on to Xact Web Portal in order to prepare the system for use at the location by following the procedures described below.

Setting up your Organisation Unit

The Organisation Unit (OU) stands for one or more users of Xact Web Portal within a client's organisation, grouped according to the sets of activities they can perform and the permissions they have (user credentials) to access and use the data and functions of the system.

Fill in the application form

To start working with the Xact Web Portal, you must first fill in the application form (please contact your Clearstream Relationship Officer). The application form includes the following sections:

- User Details (page 1): Please fill in your company name, address, telephone, company email and Swift address details on and enter your main Clearstream safekeeping account, this is required for billing purposes.
- Authorised Signatures (page 2): Please have the form signed by two authorised signatories from your organisation.
- Appendix 1. Contact information: In this section, you must appoint two security administrators (system security contact persons) who will receive the first access keys to access the Xact Web Portal. The two administrators will also be able to create and configure additional users within your organisation. You must also read the Xact Web Portal Frequently asked questions - Technical requirements document carefully and acknowledge compliance with the minimum technical requirements by ticking the designated box.

Access and login

- Appendix 2. Business services and accounts: You can choose the business services of Clearstream that you require in this section. Business services that have been chosen but are not yet available will be added automatically once they become available. You also need to list the accounts that are to be included in your Organisation Unit.
- Appendix 3. Connectivity agreements: Terms and Conditions of the Xact Web Portal for Clearstream are documented in Appendix 3.

Send application form to Clearstream

Once completed, the application form must be sent to your Clearstream Relationship Officer. If you are unsure who to contact, please send a request to the Connectivity helpdesk:

Frankfurt

phone: +49-(0) 69-2 11-1 15 90

fax: +49-(0) 69-2 11-61 15 90

email: connect@clearstream.com

London

phone: +44-(0)20 786 27100

fax: +44-(0)20 786 27254

email: connect@clearstream.com

Luxembourg

phone: +352-243-38110

fax: +352-243-638110

email: connect@clearstream.com

Processing of the application by Clearstream

Please allow a few days for Clearstream to process your application form. If your request is urgent please contact your Clearstream Relationship Officer.

Receipt of passwords and certificates

Once the application has been processed by Clearstream, each administrator that was designated on the application will receive:

- Two letters, one with the temporary user password (part 1 of “Appendix 1 - Letters and emails to administrators”) and another with the temporary certificate password (part 2 of “Appendix 1 - Letters and emails to administrators”).
- One email, with the certificate (P12 file) attached (part 3 of “Appendix 1 - Letters and emails to administrators”). Once received, the certificate should be saved to a drive that you have access to when you are using the Xact Web Portal.

Creating users

It is up to your organisation's best practice to set the appropriate number of users and level of security in order to maintain control and prevent fraud. The Xact Web Portal allows you to create users that have all rights and may input and release instructions without supervision.

Even though we offer this flexibility, we do not recommend it as it goes against best practice in order to maintain appropriate control and prevent fraud and money laundering.

Specifically, we do not recommend that:

- You deactivate the 4-eyes principle (especially for Administrators and Cash);
- You centralise all privileges under a single user;
- The same individuals perform Administrator and Business activities.

Clearstream cannot be held responsible in the event of malpractice by a user that has all rights.

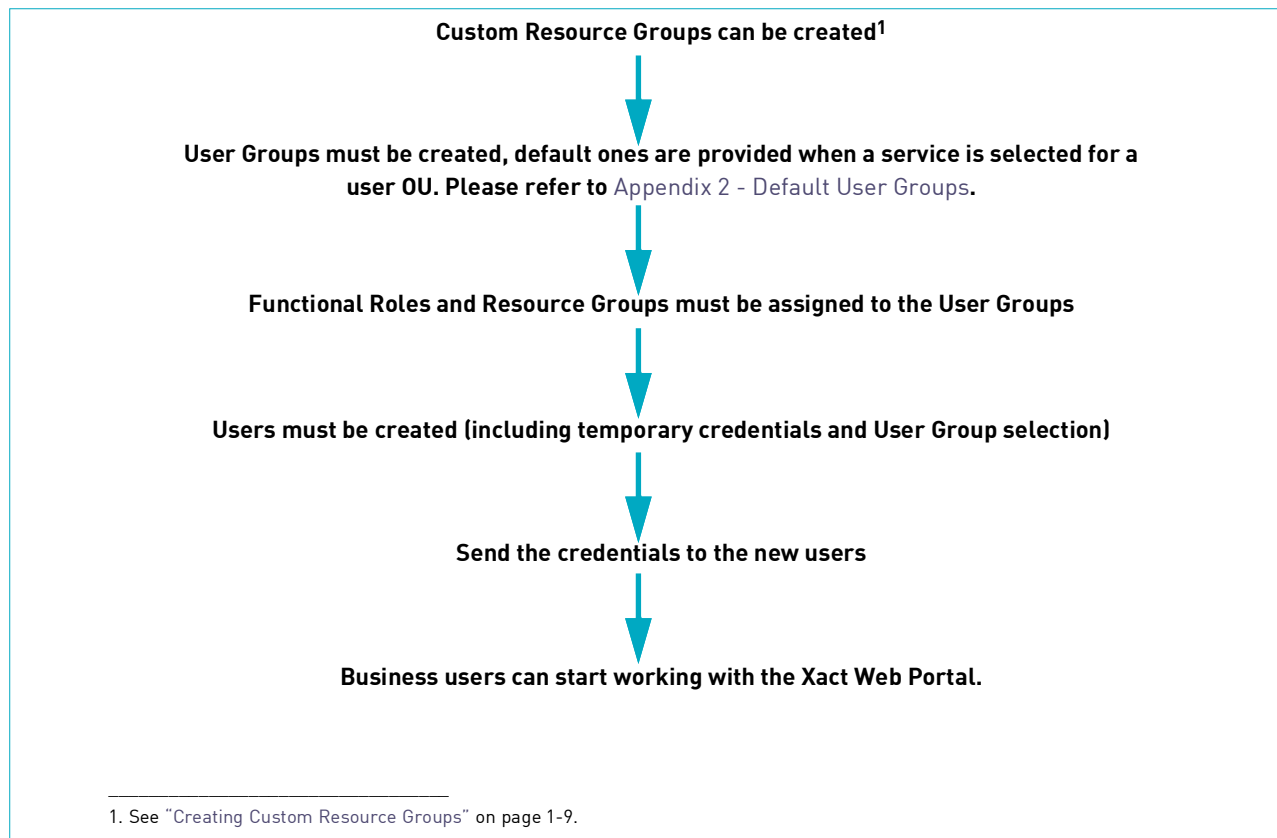
The process of creating users is multi-step.

1. User Groups must be created. Default ones are provided when a service is selected for a user OU. Please refer to [Appendix 2 - Default User Groups](#).
A User Group allows a common user profile shared by several users to be defined
2. Functional Roles must be assigned to the User Groups. The list of available Functional Roles is documented in [Appendix 3 - Default Functional Roles](#).
3. Resource Groups must be assigned to User Groups. Here again you have the choice between:
 - Default Resource Groups
These are groups defined by Clearstream that meet most needs. The list of available Default Resource Groups is documented in [Appendix 4 - Default Resource Groups](#).
 - Custom Resource Groups
These can be created in order to meet the specific needs of your organisation. Please refer to the advanced operations section at the end of this guide.
4. Users must be created and assigned to the User Groups via User Group.

Note: When new users are created, a set of temporary credentials is created. When a new user logs in to the Xact Web Portal, the user must first change their credentials. Please refer to section "1. Creating User groups" on page 1-5 for more details.

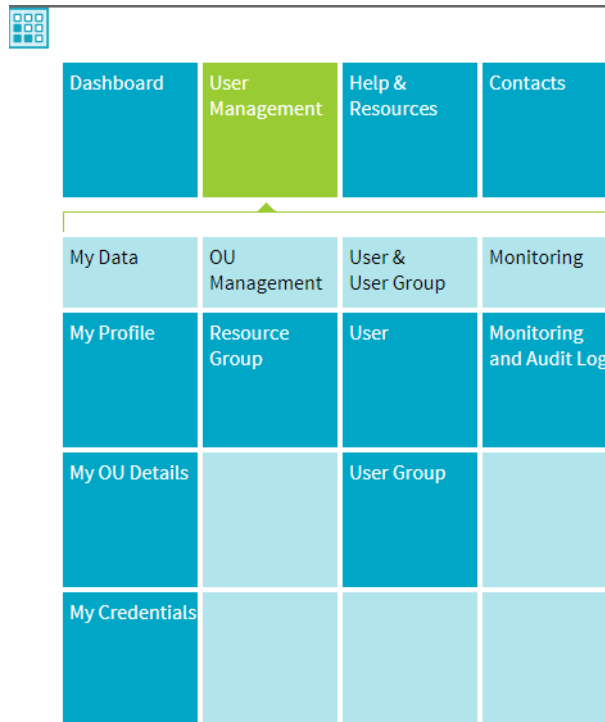
Access and login

Overview of the process



Creating User groups

1. Select the User Group option from the User & User Group menu:



2. Click on the "Create" tab, the User Group creation screen opens:

The screenshot shows the 'Create user group' form. It has a 'Query / List' tab and a 'Create' tab (highlighted in green). The form fields include: 'User group name*', 'Service name*' (with a dropdown menu showing 'User Management'), 'Description*', 'From POA' (with a dropdown menu), 'User group deputy' (with a dropdown menu), and 'User type*' (with a dropdown menu showing 'Admin'). Below these fields is a 'Grant Selection' section with a 'User Management' dropdown. This section contains three columns: 'Functional Roles' (with a list of roles: Audit Log, Resource Group Admin, User Admin, User Group Admin), 'Resource Groups' (with the text 'No Resource Groups available'), and 'Resources' (with the text 'Select a Resource Group to display its content here'). At the bottom right, there are 'Reset' and 'Submit' buttons.

Please follow the below steps:

- Enter the User group name, User group deputy, Service name, User type;
- As soon as the Service name and User type are filled, the Grant selection sub-section becomes available. Select the Functional Roles and related Resource Groups to create grants;
- Submit the changes and have them approved by a second administrator (for active 4-eye principle).

Access and login

Granting Functional Roles to User Groups

Clearstream has defined Functional Roles that fit most needs. Functional Roles are defined for each service.

Please refer to [Appendix 3 - Default Functional Roles](#) for a list of available Functional Roles for each service.

Granting default Resource Groups to User Groups

As for the Functional Roles, a set of standard resource groups has also been defined by Clearstream. As stated in the application form, it includes all the resources belonging to your Organisation Unit setup by Clearstream.

Resources for Triparty Collateral Management services are defined as all collateral accounts where the User (legal entity) is acting as collateral giver or collateral receiver.

In the system these resources are represented via

- BIC or Financial Institutions are Relationship types related to Account resources;
- The Collateral Management Short Codes allocated by Clearstream;
- The associated Contracts.

The corresponding default resource groups are named as follows:

- Participant Short Codes
- Contracts

Please refer to [Appendix 4 - Default Resource Groups](#) for a list of available Resource Groups for each service.

Creating users

Once User Groups have been created with their associated Functional Roles and Resource Groups, you can start creating users.

1. Select the User option from the User & User Group menu:
2. Click on the Create tab, the User creation screen opens:

The screenshot shows the 'Create user' interface. At the top, there are tabs for 'Query / List' and 'Create'. The 'Create user' section contains the following fields:

- First name *
- Middle name
- Last name *
- User deputy
- Email address *
- External user ID
- Telephone number *
- Mobile number
- Fax number
- User type * (Dropdown menu with 'Admin' selected)

Below these fields is the 'Grant Selection' section, which includes:

- Monitoring** (expandable section)
- User Management** (expandable section containing a checkbox for 'DU Super Admin')

At the bottom is the 'User properties' section, which contains a table with the following columns: Service name, Property name, Category, Updatable by, and Value.

Service name	Property name	Category	Updatable by	Value
User Management	Smart Card	Credentials Types	All Types of Admin Users	Allowed
User Management	Windows Key Store	Credentials Types	All Types of Admin Users	Allowed
User Management	User Mgt N-Eyes Principle	N-Eyes	All Types of Admin Users	2 eyes

Please follow the instructions as described in the Help (click on the help shortcut to activate the page level help):

- Enter the User details (name, email etc.);
- Verify the properties (it is recommended to leave everything as setup by default);
- As soon as a User Type is selected the Grant selection sub-section is displayed, allowing to select one or more User Groups;
- Submit the changes and have them approved by a second administrator (for active 4-eyes principle).

Access and login

Create the new Users credentials

During the User Creation process approval step, you must:

- Enter and confirm the new user's temporary password;
- Enter and confirm the new user's temporary password for the P12 file.

Query/List	Create	User Demo																																
▼ Details <table><tbody><tr><td>First name *</td><td>User</td><td>User ID</td><td>streamb11_01001452_00001</td></tr><tr><td>Last name *</td><td>Demo</td><td>External user ID</td><td></td></tr><tr><td>Middle name</td><td></td><td>User type *</td><td>Admin</td></tr><tr><td>User deputy</td><td></td><td>User status</td><td>Not Activated</td></tr><tr><td>Email address *</td><td>mail@mail.com</td><td>Pending action</td><td>Pending Creation</td></tr><tr><td>Telephone number *</td><td>+123456</td><td>Organisation unit</td><td>Support OU</td></tr><tr><td>Fax number</td><td></td><td>Mobile number</td><td></td></tr><tr><td>Last update timestamp</td><td>12/10/2015 11:47:14</td><td>Creation timestamp</td><td>12/10/2015 11:47:14</td></tr></tbody></table>			First name *	User	User ID	streamb11_01001452_00001	Last name *	Demo	External user ID		Middle name		User type *	Admin	User deputy		User status	Not Activated	Email address *	mail@mail.com	Pending action	Pending Creation	Telephone number *	+123456	Organisation unit	Support OU	Fax number		Mobile number		Last update timestamp	12/10/2015 11:47:14	Creation timestamp	12/10/2015 11:47:14
First name *	User	User ID	streamb11_01001452_00001																															
Last name *	Demo	External user ID																																
Middle name		User type *	Admin																															
User deputy		User status	Not Activated																															
Email address *	mail@mail.com	Pending action	Pending Creation																															
Telephone number *	+123456	Organisation unit	Support OU																															
Fax number		Mobile number																																
Last update timestamp	12/10/2015 11:47:14	Creation timestamp	12/10/2015 11:47:14																															
▼ Create password & certificates Manage password <table><tbody><tr><td>New user password</td><td></td><td>New user password confirmation</td><td></td></tr></tbody></table> Manage certificates <table><tbody><tr><td>P12 password</td><td></td><td>P12 password confirmation</td><td></td></tr></tbody></table>				New user password		New user password confirmation		P12 password		P12 password confirmation																								
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P12 password		P12 password confirmation																																
▼ Grant Summary ▼ User Management ► Support OU - 100 Customer Admin Users Group																																		
► User properties ► User history ▼ Approve/Reject <table><tbody><tr><td>User</td><td>Ultra Admin (streamb11_01001429_00001)</td><td>Description</td><td>Pending Creation</td></tr><tr><td>Last update timestamp</td><td>12/10/2015 11:47:14</td><td>Reason</td><td></td></tr></tbody></table>				User	Ultra Admin (streamb11_01001429_00001)	Description	Pending Creation	Last update timestamp	12/10/2015 11:47:14	Reason																								
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Last update timestamp	12/10/2015 11:47:14	Reason																																
Approve creation Reject creation Go to Refresh Close																																		

Sending the credentials to the new Users

In order to allow the newly created users to start working, the following data must be sent:

- Certificate (P12 file): please send this file using a secured media (secure email, password protected USB key).
- Temporary Certificate password. Please ensure privacy and confidentiality.
- Temporary User password. Please ensure privacy and confidentiality.

Once all the above is sent, your newly created users can start working with the Xact Web Portal!

Note: The steps for the new User to connect to the Xact Web Portal are described in the section “1. Creating User groups” on page 1-5. Please make sure you provide this section to your new business user to help them complete their registration and use the Xact Web Portal.

Creating Custom Resource Groups

The Xact Web Portal allows the creation of Custom Resource Groups, should you want to segregate the resources available to each User Group.

A Resource Group is composed of one or many individual resources from the same type (Account, BIC Participant, Xact Web Portal OU, CmaX Contract, CmaX Participant or Financial Institution).

To create a new Resource Group:

- Select the Resource Group option from the User management menu;
- Click on the Create tab;

The screenshot shows the 'Create' tab in the Xact Web Portal. At the top, there are tabs for 'Query/List' and 'Create'. Below this is a 'Query' section with a 'Predefined' dropdown and a 'Query name' field set to 'None', with a 'Save query' button. The main section is 'Search resource groups', which contains several search criteria: 'Resource group name', 'Resource type' (with a dropdown menu open showing options like 'Account', 'BIC Participant', 'COL OU', 'Cmax Contract', 'Cmax Participant', and 'Financial Institution'), 'Resource group type', 'Relationship name', 'Resource', 'Resource group status' (with a 'Please select...' dropdown), and 'Pending action' (also with a 'Please select...' dropdown). On the left side of the search criteria, there are links for 'Search on users', 'Search on user groups', 'Search on timestamps', and 'Ordering'. At the bottom right of the search section, there are buttons for 'Query', 'Count', and 'Reset'. Below the search section is a 'List' section.

- Type in a Resource Group Name, and a description (optional);
- Select a Resource type from the drop-down list, like Account or Financial Institution;
- In the resources, perform a look-up query and select the resources that you want to add to the new Resource Group;
- Select a Resource Group type from the drop-down list, like Default or Custom
- Submit the changes and have them approved by a second administrator (in case of active 4-eyes principle);
- The new Resource group will now be available for the new or existing user groups.

Access and login

Xact Web Portal user login

Logging on to Xact Web Portal

Your system administrator must be the first to log on and must perform various initial tasks to make the system available to you, “Initial access request” on page 1-1.

Before starting the login procedure, please ensure that you have received the following from your IT security administrator:

- Temporary certificate (P12 file);
- Temporary User password;
- Temporary certificate password.

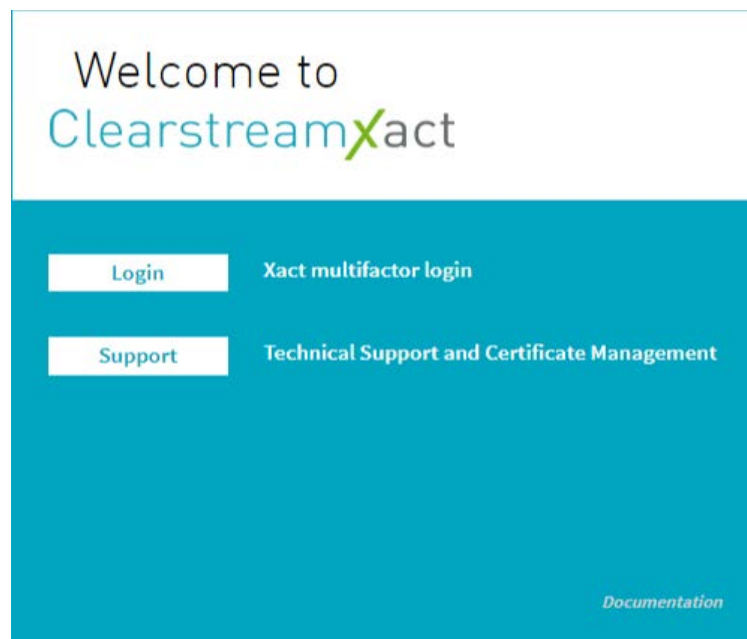
Importing temporary credentials (user and system administrator)

1. Access the Xact Web Portal

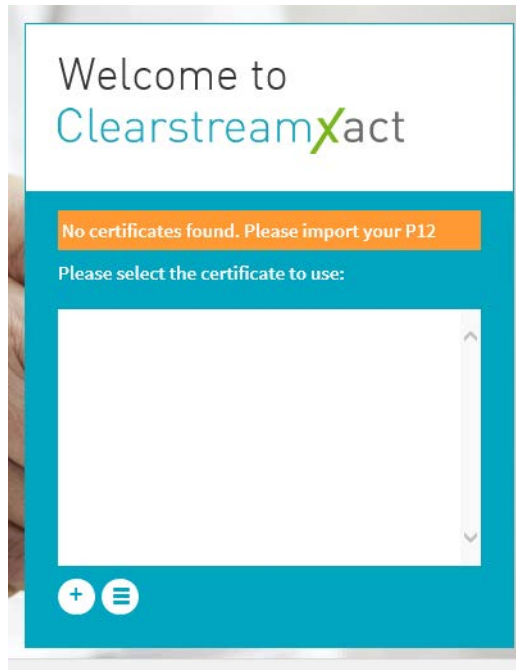
In your browser, type the following URL:

<https://xact.clearstream.com>

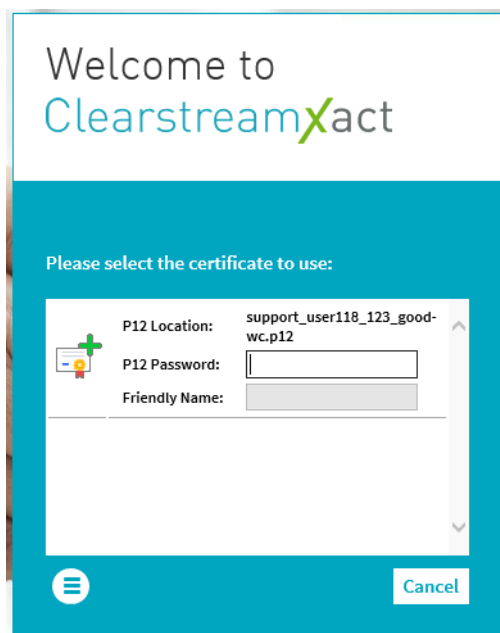
You will see the Login screen:



2. Click on the “Login” button



3. Click on the (+) symbol or drag and drop your P12 file from Windows Explorer into the white area. If you use the (+) you can browse to the P12 file on the file system and select 'Open'.
4. Enter the temporary P12 password received from your administrator or the P12 backup password you saved together with the P12.



Access and login

If you enter the P12 password incorrectly the following will be displayed:

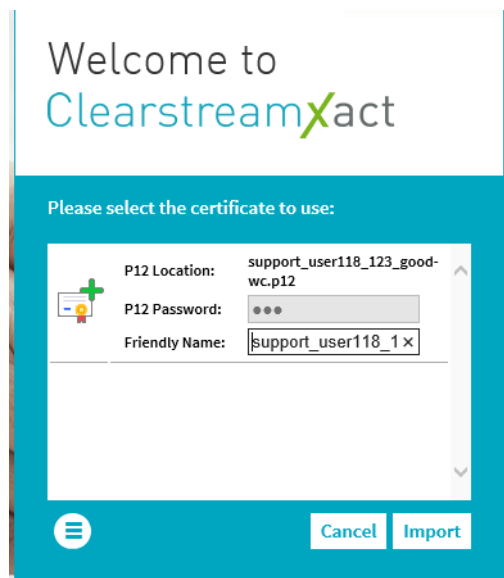


The P12 cannot be opened with this password.
Please verify your password.

Please select the certificate to use:

	P12 Location:	support_user118_123_good-wc.p12
	P12 Password:	•••
	Friendly Name:	

Re-enter your P12 password. Once you have entered your P12 password correctly, you will see this screen:



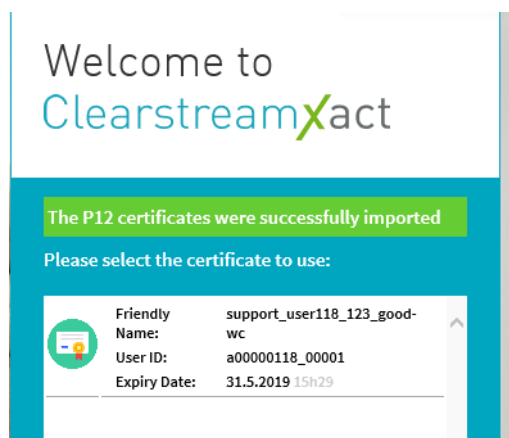
Welcome to
ClearstreamXact

Please select the certificate to use:

	P12 Location:	support_user118_123_good-wc.p12
	P12 Password:	•••
	Friendly Name:	support_user118_1 x

 Cancel Import

You can enter a Friendly Name that will be shown when you select your certificate to login or keep the proposed name and click on “Import”.



Welcome to
ClearstreamXact

The P12 certificates were successfully imported

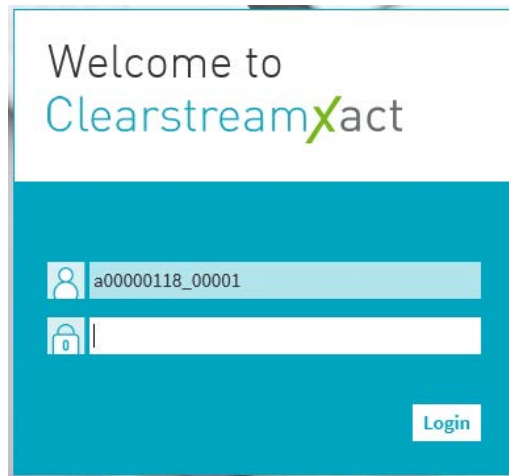
Please select the certificate to use:

	Friendly Name:	support_user118_123_good-wc
	User ID:	a00000118_00001
	Expiry Date:	31.5.2019 15h29

Your certificate has been imported into the browser.

First login (user and system administrator)

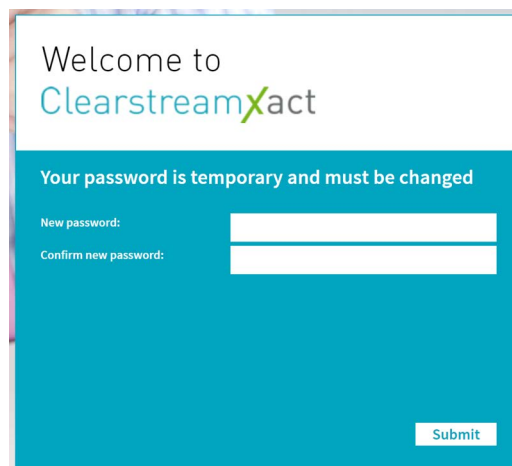
1. To proceed with the login click on Next and in the following screen enter your user password.

The image shows the first login screen of the Clearstreamxact system. It has a white header with the text "Welcome to Clearstreamxact" where "xact" is in green. Below the header is a blue section containing two input fields. The first field has a user icon and the text "a00000118_00001". The second field has a lock icon and is empty. A "Login" button is located in the bottom right corner of the blue section.

Welcome to
Clearstreamxact

Login

2. You will be prompted to enter a new permanent user password. This will at the same time invalidate the temporary password you have received from your system administrator.

The image shows the password change screen of the Clearstreamxact system. It has a white header with the text "Welcome to Clearstreamxact" where "xact" is in green. Below the header is a blue section with the text "Your password is temporary and must be changed". There are two input fields: "New password:" and "Confirm new password:". A "Submit" button is located in the bottom right corner of the blue section.

Welcome to
Clearstreamxact

Your password is temporary and must be changed

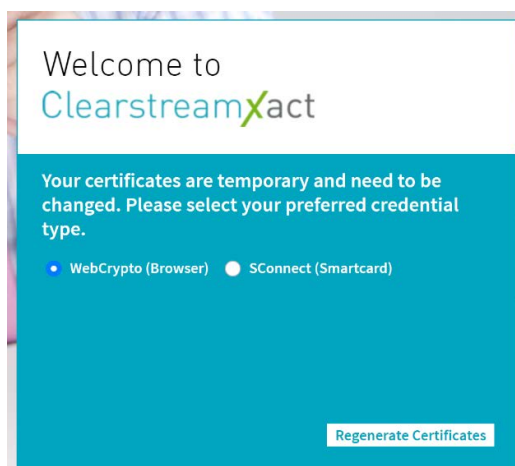
New password:

Confirm new password:

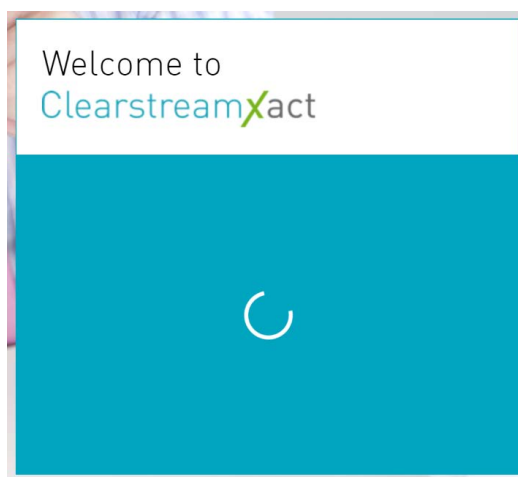
Submit

3. You will be prompted to generate a new permanent user certificate. This will at the same time invalidate the temporary P12 file you have received from your system administrator.

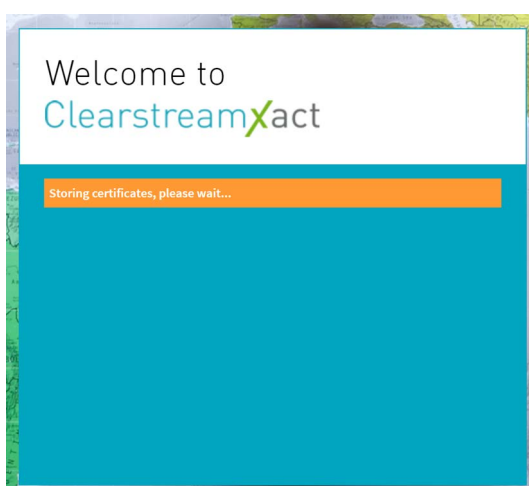
Access and login



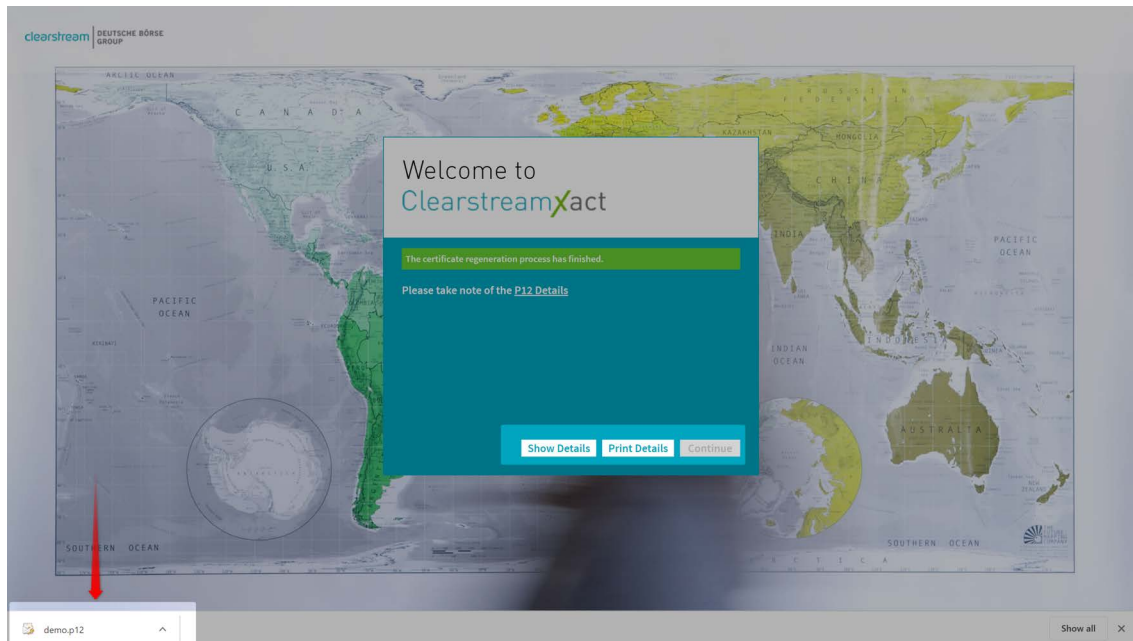
4. After submitting the regeneration request, please wait for generation the process to finish.



5. Please wait until the storage process is finished.

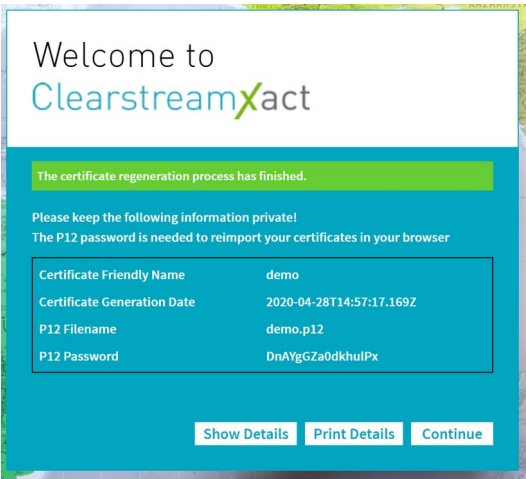


6. Once the storage process has finished, the automated backup P12 file download will start. Depending on your browser settings you may need to confirm the download. **Once the backup P12 has been stored in a safe location, you will need to safely store the backup P12 details containing a randomly generated protection password.** You can display these details by showing or printing them.



Access and login

- 7. Please keep the details, especially the backup P12 password secret. The backup P12 will be needed to import your certificates in the future, or if you want to use another browser. We recommend printing this information and keeping the printed version in a safe place.
- 8. Click on “Continue” to access Xact Web Portal.



Note: The next time you log in, your new permanent certificate will be selected by default and you will only need to enter your new permanent user password.

ForgeRock Mobile Authenticator App activation

Xact Web Portal supports 3-factor authentication (3FA):

Factor 1: Something you know → Password;

Factor 2: Something you have → Certificate (Xact Web Portal login);

Factor 3: Something you are → Biometric feature granting access to the ForgeRock Mobile Authenticator App.

The 3-factor authentication (3FA) solution provides better security compared to traditional 2FA and is strongly recommended especially for MAS regulated clients.

Activation steps

You must ensure that the ForgeRock Mobile Authenticator App is installed on your mobile Android or iOS device before continuing with the next steps. Please scan either of the two QR codes below:

Android



<https://play.google.com/store/apps/details?id=com.forgerock.authenticator>

iOS



<https://apps.apple.com/app/forgerock-authenticator/id1038442926>

If you have trouble installing the application please contact your OU administrator.

There are two setup scenarios:

- **Scenario 1.** You might be required by your OU administrator to use 3-factor authentication (3FA) in which case the 3FA screens appears automatically during a login to Xact Web Portal. If you are already encountering "**Please scan the QR code below [...]**" login screen with no option to skip, please ignore the steps described in Scenario 2)
- **Scenario 2.** You might be free to opt-in at your own choosing and 3FA is not enforced on you by your administrator. To voluntarily opt-in, please navigate to your profile from the Xact Web Portal menu.

Access and login



In your profile, click the **Modify properties** button at the bottom

In the "My properties" section switch the "Skip Mobile App Registration" user property from the default "Yes" to "No"

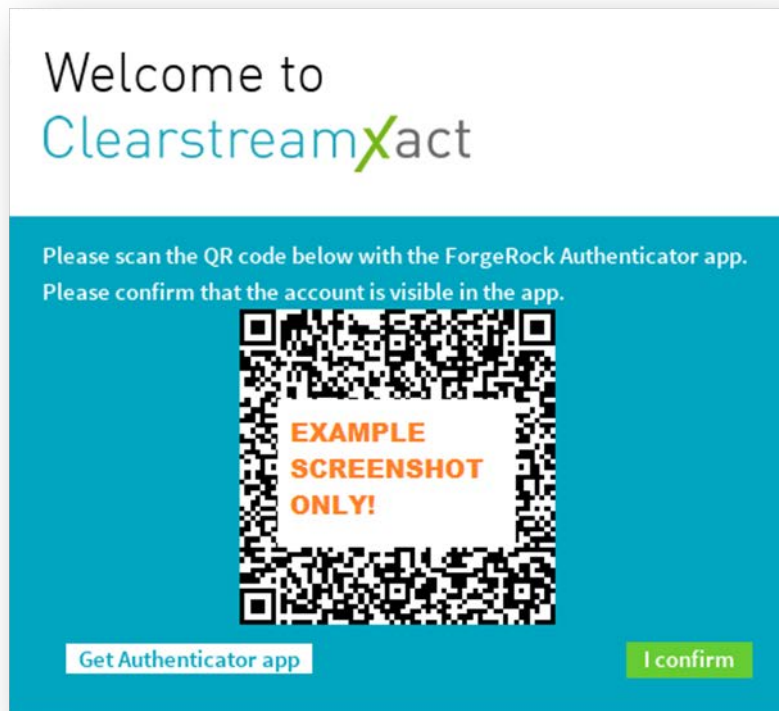
▼ My properties					
Service name	Property name	Category	Propagation	Updatable by	Value
User Management ▼	▼	▼	▼	▼	
User Management	Preferred Language	Session	User	All Types of Admin Users	English
User Management	Mobile App Registration	Credentials Types	User	All Types of Admin Users	Optional
User Management	Skip Mobile App Registration	Credentials Types	User	All Types of Users	No
41 Rows 10 Rows per page					1 2

Submit the change using the **Submit** button and log out from Xact Web Portal.

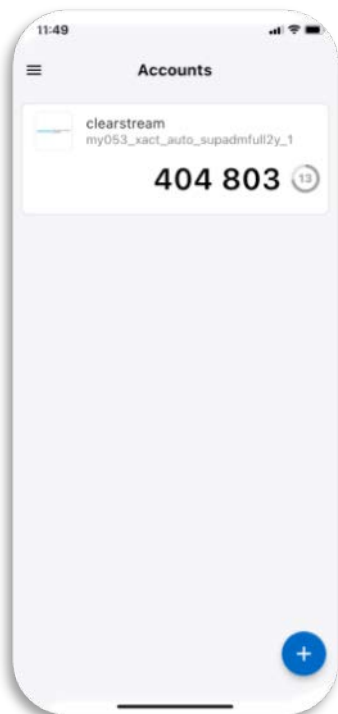
If the **"Mobile App Registration" is "Required"** or if the property is **"Optional"** but the **"Skip Mobile App Registration" is set to "No"** then an authenticator app registration will be required when logging into Xact. This registration happens by scanning the displayed QR code using the ForgeRock Mobile Authenticator App.

The screenshot below shows the registration step.¹ Please scan the code displayed during your login using the ForgeRock Mobile Authenticator App by clicking on the plus "+" button and scanning the QR code.

1. The "Get Authenticator app" button leads to the support page with similar information provided in the pre-requisites section of Scenario 2).



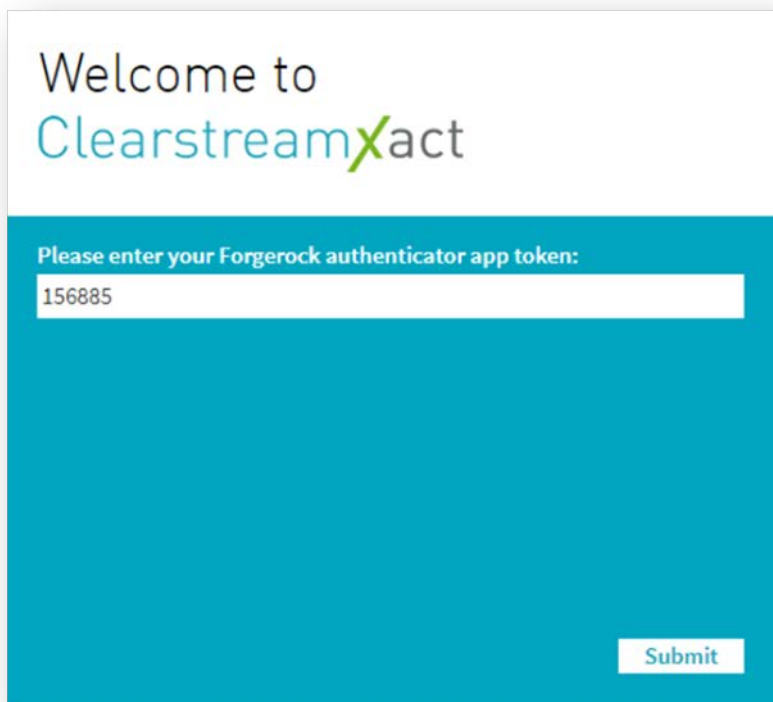
Make sure an entry for Xact Web Portal appears in the ForgeRock Mobile Authenticator App on your mobile device. Only once confirmed, click the “**I Confirm**” button to continue to the login screen.



After confirming the registration of the device to your Xact Web Portal profile, you will be prompted for the Forgerock Mobile Authenticator App token. This code also known as TOTP code changes every 30

Access and login

seconds in the application and needs to be entered for a valid login. You have 10 attempts to correctly enter the code.



Welcome to
ClearstreamXact

Please enter your Forgerock authenticator app token:

156885

Submit

The activation of the mobile authenticator app is finished:

- If clicking on the “**Submit**” button works successfully; and
- If ending up in Xact Web Portal or in any subsequent login screens (for example, change password, change certificates etc.).

OU Administrator ForgeRock Mobile Authenticator App Guide

OU Administrators have the possibility to configure two OU properties for their Xact Web Portal users

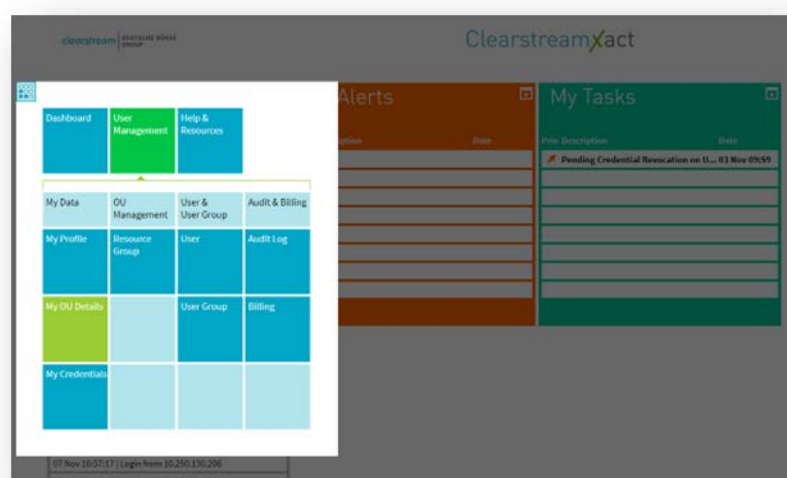
Mobile App Registration Property

Not Allowed	Disable Mobile Authenticator App usage for all users. Users cannot register the app to their Xact Web Portal profile. The registration screen is never shown.
Optional	This lets OU users decide individually to use / not use the mobile authenticator app. In this case the "Skip Mobile App Registration" on the user's profile is used as an opt-in / opt-out switch for the end-users.
Required	Requires OU users to use the mobile authenticator app. The registration screen is shown if not yet registered

Skip Mobile App Registration Property

Yes	If Mobile App Registration is 'Optional' the user will not be prompted to register a Mobile Authenticator app
No	If Mobile App Registration is 'Optional' the user will be prompted to register a Mobile Authenticator app
(this property is ignored if Mobile App Registration is Not Allowed or Required)	

To change the OU properties, navigate to the OU Properties (inside OU Details) using the Xact Web Portal menu:



Click on the **Modify OU properties** button at the bottom of the page

Set the "Mobile App Registration" property to the desired value. (See value table above for details.)

Access and login

OU properties					
Service name	Property name	Category	Propagation	Updatable by	Value
User Management					
User Management	Preferred Language	Session	User	All Types of Admin Users	English
User Management	Mobile App Registration	Credentials Types	User	All Types of Admin Users	Optional
User Management	Skip Mobile App Registration	Credentials Types	User	All Types of Users	Yes

40 Rows | 10 Rows per page

Submit the change using the **Submit** button. A confirmation of this action is required using the **Approve modification** available to a second administrator. Finally, all users must logout and login to have the change applied to them.

How to reset the ForgeRock Mobile Authenticator App

User reset

If the user still has access to their "old" device and can login to Xact Web Portal, then the user can go to "User Management/My Credentials" and click the "Reset Mobile App" button. This will remove the app registration on Xact Web Portal.

At the next login, the user will be prompted via a new QR code to register a new phone.

clearstream | DEUTSCHE BÖRSE GROUP

My Credentials

Help | My Profile | Contacts | Logout | OpsFull2y_1 XACT Auto Testing | 03 Feb 2023 14:56:17 CET
Classification: Confidential

User information

User IDmy053_xact_auto_supadmfull2y_1

First nameSuppAdm2y_1

Last nameXACT Auto Testing

User typeAdmin

Organisation unitSupport OU

Last updated20/10/2022 14:49:37

Change password

New password

Confirm new password

Change certificates

Keystore Type *

☒ Browser (WebCrypto)

☐ Smartcard (SConnect)

P12 password

P12 password confirmation

Change Certificates

Reset Mobile App

Change Password

Administrator reset

If the user does not have an old phone/device any more and cannot enter any valid TOTP code (Time-based One-Time Password, that is, the 6-digit code users need to enter when they have the mobile app authentication enabled) and login to Xact Web Portal, the user needs to block themselves by inputting 10 times and invalid TOTP code. This will block the mobile app access and the OU administrator will have the option to reset the registered mobile app on behalf of the user.

The screenshot shows the 'User' management interface in the Xact Web Portal. The 'Credentials information' section is expanded, displaying a table of user credentials. The 'Mobile App' row is highlighted with a red border, and the 'Reset Mobile App' button in the bottom action bar is also highlighted with a red border.

Credential type	Status	Pending action	Credential expiry timestamp	Serial number SSL	Serial number SIGN	Last update timestamp	Last update user id
Temporary Certificate	Expired	None	20/12/2022 09:05:32	1150478857	1150478869	21/10/2022 09:05:33	my053_xact_auto_supadmfull2y_1
Temporary Password	Expired	None	20/12/2022 09:05:30			21/10/2022 09:05:30	my053_xact_auto_supadmfull2y_1
Mobile App	Blocked	None				03/02/2023 15:00:58	my053_xact_auto_supadmfull2y_1

At the bottom of the interface, the 'Reset Mobile App' button is highlighted in red.

After resetting the Mobile App, the Mobile App Status and Pending action will display "None",

Credential type	Status	Pending action
Temporary Certificate	Expired	None
Temporary Password	Expired	None
Mobile App	None	None

The user will be asked to scan a QR code at the next login.

Access and login

Xact Web Portal functional overview

The Dashboard

After logging in to the Xact Web Portal you are taken directly to the Dashboard.

The Dashboard provides an overview of a user's activities and provides tools to help the user with their day-to day activities.

The following tools are provided:

- My Indicators;
- My Calendar (only available for users, not for administrators);
- My Alerts;
- My Tasks;
- My Security.

At the top of the screen, Clearstream's logo is displayed on the left.

On the top right, the header provides shortcuts to:

- Help: to activate the interactive help of the Portal;
- My profile: to view your user profile and preferences;
- Contacts: for a list of contacts if you need assistance;
- Logout: to securely end your session.

Your user name and the current date/time (CET)¹ are shown in the upper right corner.

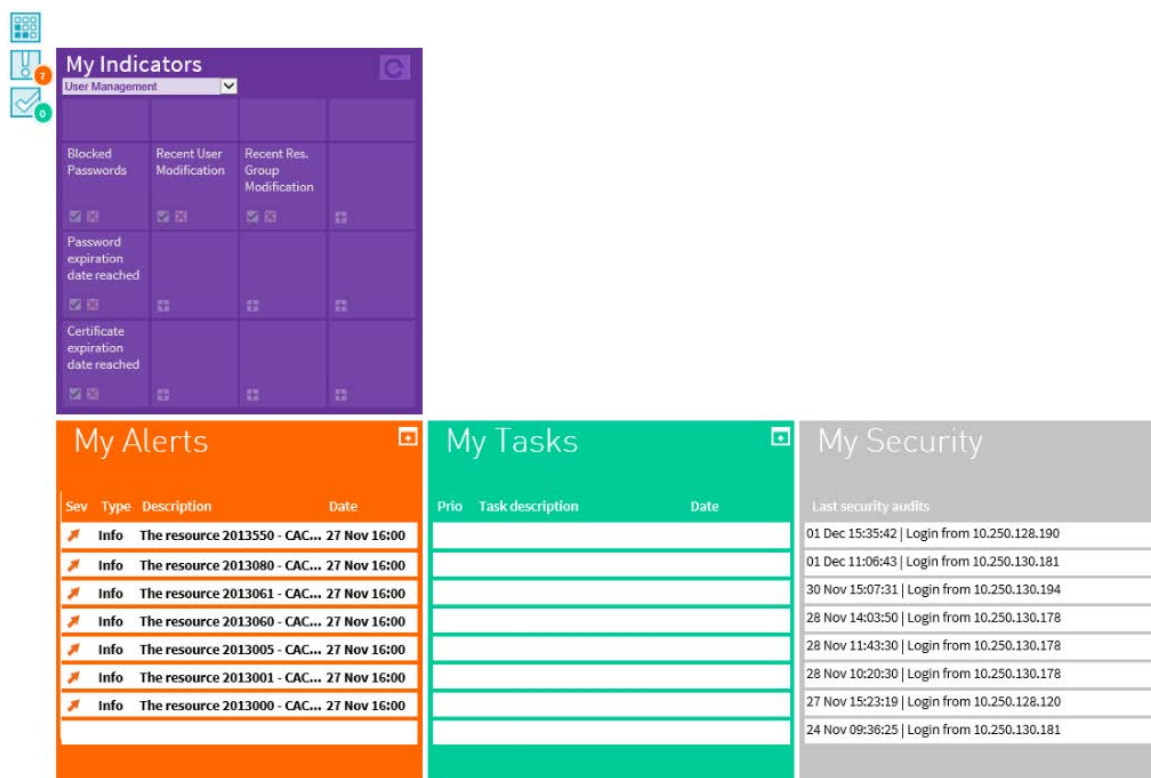
Icons on the top left correspond to the Menu, My Alerts and My Tasks

- Menu: allows navigation to any other screen of the Xact Web Portal;
- Alerts counter: number of unread alerts;
- Tasks counter: number of unread tasks.

1. Timestamp is only updated when the page is refreshed.

Dashboard overview

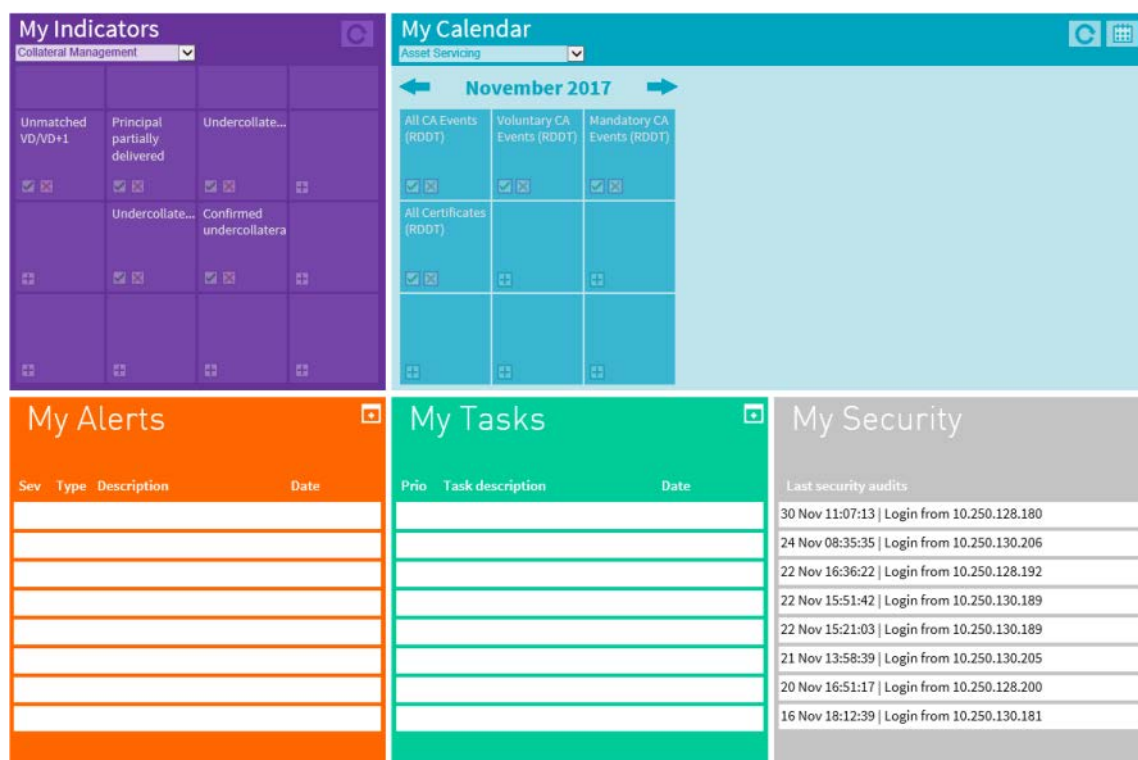
Administrator version:



The Administrator version dashboard features a top navigation bar with icons for a grid, a warning, and a checkmark. The main content area is divided into four panels:

- My Indicators (User Management):** A purple panel with a dropdown menu. It contains four sub-sections: Blocked Passwords, Recent User Modification, Recent Res. Group Modification, and Password expiration date reached. Each sub-section has a table with checkboxes and a refresh icon.
- My Alerts:** An orange panel with a table showing alerts. The table has columns for Sev, Type, Description, and Date. It lists several alerts related to resource CAC...
- My Tasks:** A green panel with a table showing tasks. The table has columns for Prio, Task description, and Date. It is currently empty.
- My Security:** A grey panel with a table showing last security audits. The table has columns for Time and Location. It lists several login events from 10.250.128.190 to 10.250.130.181.

User overview:



The User overview dashboard features a top navigation bar with icons for a grid, a warning, and a checkmark. The main content area is divided into four panels:

- My Indicators (Collateral Management):** A purple panel with a dropdown menu. It contains four sub-sections: Unmatched VD/VD+1, Principal partially delivered, Undercollate..., and Undercollate... Confirmed undercollatera. Each sub-section has a table with checkboxes and a refresh icon.
- My Calendar (Asset Servicing):** A blue panel with a calendar view for November 2017. It shows three columns: All CA Events (RDDT), Voluntary CA Events (RDDT), and Mandatory CA Events (RDDT). Each column has a table with checkboxes and a refresh icon.
- My Alerts:** An orange panel with a table showing alerts. The table has columns for Sev, Type, Description, and Date. It is currently empty.
- My Tasks:** A green panel with a table showing tasks. The table has columns for Prio, Task description, and Date. It is currently empty.
- My Security:** A grey panel with a table showing last security audits. The table has columns for Time and Location. It lists several login events from 10.250.128.180 to 10.250.130.181.

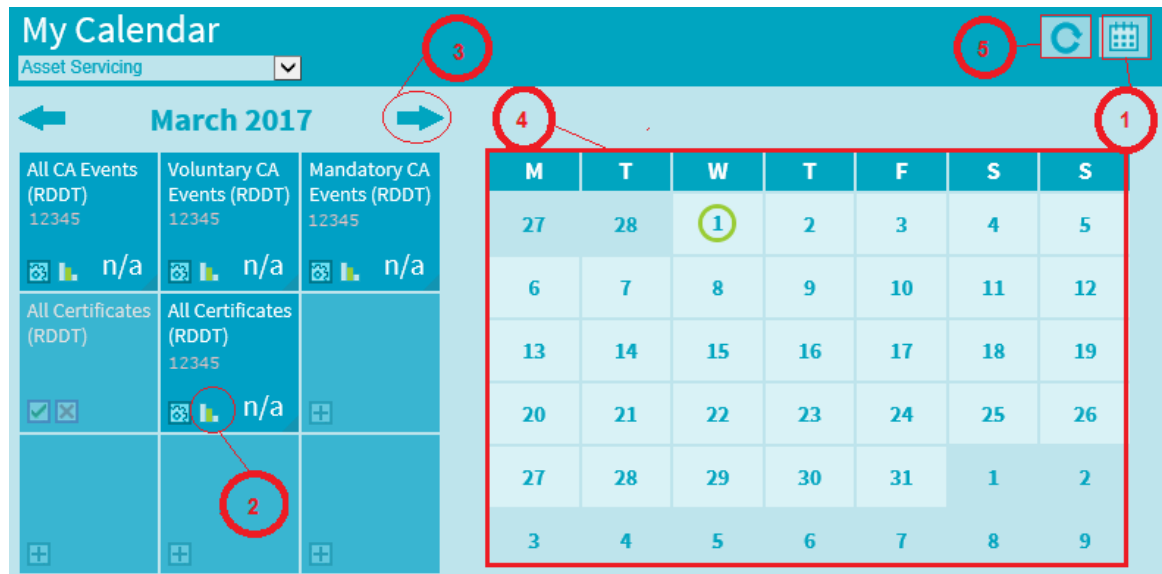
Access and login

Dashboard services

My Calendar (user view)

My Calendar allows the user to track the number of events and deadlines. The user is able to configure and setup his own queries. Currently only available for Asset Services.

Access to My Calendar is automatically granted as long as the user is granted access to Asset Servicing. It is not available for user type = "admin".



1. The calendar view button displays the calendar view, for the whole month.
2. The diagram view button displays the diagram view, for a particular monitor.
3. The month navigation allows you to move from one month to another.
4. There are two existing views in this area:
 - a) The calendar view displays the full month overview (to display this view, click on the calendar view button). The current day is highlighted with a green circle. For Asset Services when there are events to be reported on a specific day, a blue circle is displayed. If there are more events to be reported, there is a bigger circle.
 - b) The diagram view displays the full overview of a selected monitor (to display this view, use the diagram view button).
5. The refresh button must be used to perform an execution of all manual pinned monitors (of the selected service) and to restore the default monitor shortcuts of all available slots (of the selected monitor).

My Alerts

My Alerts contains all important information, for action or for information that were recently sent to the connected user. Alerts can be generated by the Business Monitoring Centre (please refer to "Business Monitoring" on page 8-8).

My Alerts allows two different display modes depending if My Alerts is in its "normal" window state mode or if it is "maximised".

My Alerts displays the first 8 alerts in the "created" status. When the user alerts are modified (new alert, alert dismissed, etc.), this list will be updated automatically (every 15 seconds).

Sev	Type	Description	Date
	Info	The resource 7991001 - TES...	24 Apr 08:19

The alerts that the user has not interacted with will be displayed in bold.

Each alert is displayed with the following values:

- **Severity** - The severity of an alert represents its importance compared to other alerts. This information is represented by an icon that can be one of the following:



Low



Medium



High

- **Type** - The type can be either Info or Action.
- **Description** - The title of the alert.
- **Date** - The time when the alert was created.

The details of an Alert can be viewed by clicking on the row item.

My Alerts can be maximised using the icon in the top right of the screen. By maximising My Alerts the user will have access to the full history and details of all published alerts.

Status	Type	Severity	Description	Creation Timestamp
Trash	Action		The Collateral basket - collateral giver report 1075488 is now available for consultation	03/12/2015 09:41:15
Trash	Action		The Collateral basket - overview report 1075489 is now available for consultation	03/12/2015 09:45:22
Dismissed	Info		Test : 2	13/12/2016 14:19:53

The user can refresh the list using the refresh button.

Access and login

The columns of the table are:

- **All:** This column is used to select some alerts in the list, or all the alerts of the list if clicked on the header.
- **Status** displays the current status of the alert (Inbox, Dismissed).
- **Type** displays the category of the alert (Info, Action).
- **Severity** displays the current severity if the alert (low, medium, high).
- **Description** displays the title of the alert.
- **Creation Timestamp** displays the creation time of the alert.

When the current alert list contains at least one alert at the Dismissed status, the Empty button will be visible. This button will delete all alerts at the Dismissed status from the current user list.

From the query view, the user can enter query conditions for each of the columns that are available in the list.

In the ordering section, the user can select the parameter that will be used to sort the elements of the list. The order applies on all the elements in the database, including those that are not displayed in the "List View" (if the list size limit has been reached).

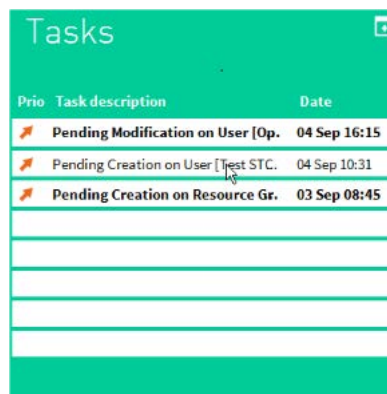
My Tasks

My Tasks includes pending actions on which the connected user can perform the next step (for example, an instruction to authorise under 4-eyes). There is no possibility for a user to create a task. Tasks can only be created by the Task management system.

At task creation time, tasks are assigned to users meeting the following criteria:

- Users are granted access to the business object or to all the business objects on which the task needs to be performed.
- Users have the necessary rights (Functional Role) to execute the task.

My Tasks is composed of a list of tasks. It allows two different display modes depending if it is in its "normal" window state mode or if it is "maximised".



Prio	Task description	Date
	Pending Modification on User [Op.	04 Sep 16:15
	Pending Creation on User [Test STC.	04 Sep 10:31
	Pending Creation on Resource Gr.	03 Sep 08:45

In normal mode, My Tasks only displays the active tasks of the connected user, ordered by due date.

The tasks that the user never interacted with will be displayed in bold.

A maximum of eight actions will be displayed. By clicking on a row item, the user will be able to perform the related task (for example, launch the authorisation page).

My Tasks can be maximised using the icon in the top right of the screen.

When in the maximised state, a list of the active tasks linked to the connected user, ordered by creation date is displayed. The list will be limited to the last 200 tasks matching the constraints.

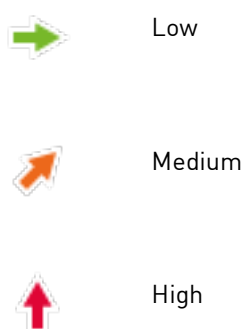
The user can refresh the list using the refresh button from this view.

Users are also able to see all the details of a specific task by selecting a task in the task list. The details of the selected task will be displayed in the task details area.



All: This column is used to select some tasks in the list, or all the tasks of the list if clicked on the header.

Priority: The priority of a task represents its importance compared to the other user's tasks. This information is represented by an icon that can be one of the following:



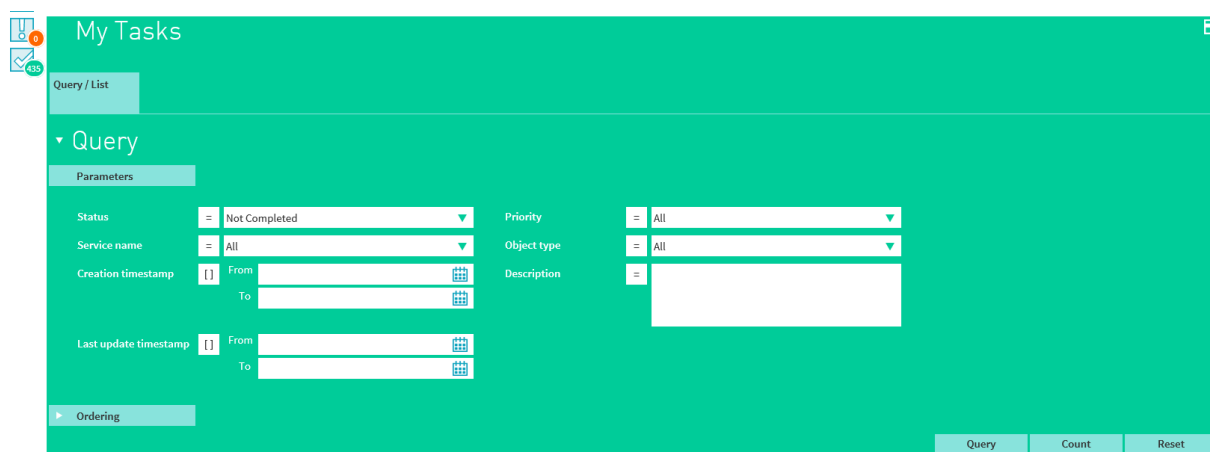
Description: The description of the task, defined by the business application that raised the task.

Status: The current status of the task can be: Raised, In Progress or Completed

Service Name: represents the functional area on which the task is to be performed

Creation Timestamp indicates the time when the business application created the task.

The user can perform advanced queries by extending the query section.



Access and login

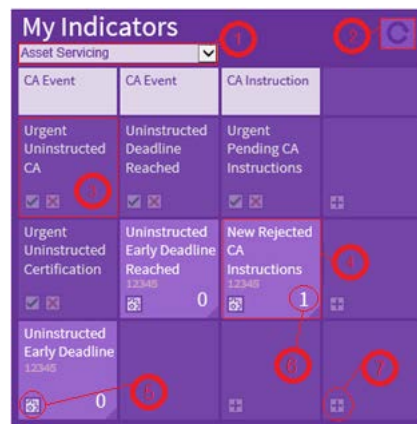
In the ordering section, the user can select the parameter that will be used to sort the elements of the list. The order applies on all the elements in the database, including those that are not displayed in the List View (if the list size limit of 200 tasks has been reached).

My Indicators

My Indicators gives real-time pre-defined metrics about statuses, balances, events, instructions and currencies queries contextually by selecting a specific business service. It is available for Settlement, Cash & Liquidity, Asset Services, Tax, Collateral Management and User Management.

Access to My Indicators is automatically granted to users. This access is limited to services the users have access to in the Xact Web Portal.

Administrators have access to My Indicator that is limited to the 'User Management' service.



1. The service selector displays the monitors of a particular service
2. The refresh button must be used to:
 - a) perform an execution of all manual pinned monitors (of the selected service).
 - b) restore the default monitor shortcuts of all available slot (of the selected monitor).
3. The default monitor shortcut is used to create a default monitor:
 - a) Click on  to create a default monitor.
 - b) Click on  to remove the shortcut.

Note: If no monitor is pinned in a slot, clicking on the refresh button will regenerate the shortcut

4. Pinned monitor:
 - a) If the monitor is enabled the menu icon is displayed as 
 - b) If the monitor is disabled the menu icon is displayed as 
5. The contextual menu allows to:
 - a) **Apply filter**, to restrict the monitor to only one account.
 - b) **Run Monitor**, to execute a monitor immediately.
 - c) **Show Monitor** (only available if the user is granted access to Business Monitoring Centre (please refer to “Business Monitoring” on page 8-8)).
 - d) **Hide Monitor**, to unpin a monitor but keep it alive.
 - e) **Delete Monitor**, to unpin a monitor and delete it.
6. The counter indicates the number of results after a monitor execution. When there is an error or no result is available, **N/A** is displayed.
7. The pin monitor button must be used to pin an existing monitor in a free slot.

It allows to:

 - a) **Add a default monitor** (based on default predefined query).
 - b) **Add a user monitor** (created by the user themselves).
 - c) **Create monitor** (only available if the user is granted access to Business Monitoring Centre (please refer to “Business Monitoring” on page 8-8)).

My Security

My Security displays the user’s eight most recent security audit events of the last three months.

These events are:

- Login;
- Login Failed;
- Signing Failed (indicates a failed signature validation on a message or transaction).

My Security	
Last security audits	
13.11.2017 05:33:10	Login from 123.123.123.123
13.11.2017 05:33:05	Login Failed from 123.123.123.123
13.11.2017 05:19:39	Login from 123.123.123.123
13.11.2017 05:13:02	Login from 123.123.123.123
13.11.2017 05:12:46	Signing Failed
13.11.2017 05:03:26	Login from 123.123.123.123
13.11.2017 03:27:44	Login from 123.123.123.123
13.11.2017 03:27:32	Signing Failed

The details shown are the date and time, the event and the IP address from which the request was received.

Access and login

Working with queries and list views

Query command that you can use, where appropriate, to define a set of filtering criteria in order to locate as closely as possible a particular target. You can save such a set of criteria as a saved query which you can re-use in other queries.

The results of your query are displayed in a List View and you can select one or more to view or action.

A note about queries

A query can yield very high numbers of results. The List View shows a maximum of 8 pages with 25 rows. If there are more than 200 rows from your query, you can access the remaining rows by clicking on More.

To view the details of a row, select the row(s) and click on 'Open details' button or click on the icon folder located at the beginning of the row. To select a row, click anywhere on the row.

To select multiple rows, click on each row that is required. You can click again to de-select.

To select all rows, click on All at the top of the column headers row. Results can be exported to an XLS file or printed as a PDF.

Selecting "Export all" or "Print all" exports or prints all retrieved rows, including those that are not displayed on the screen.

Selecting "Export list" or "Print list" exports or prints the retrieved rows that are available for display up to a maximum of 200 rows.

Selecting "Export selected" or "Print selected" exports or prints the rows that have been selected by the user.

Using wild card characters in queries

In some fields it is possible to use the wild card character "%".

The following examples illustrate the use of the wild card character in a field entry: ABC% includes all items in which this field contains a value beginning with ABC.

%ABC includes all items in which this field contains a value ending with ABC.

%ABC% includes all items in which this field contains a value that includes ABC anywhere between the first and last characters.

Customising displayed lists

When the list of results is displayed, you can customise the arrangement of its content in a general way as follows:

- To reposition a column, click and hold down the mouse button on the column header and drag it to left or right as required.
- To sort the displayed list (up to 25 entries) in descending order of values in a selected column, click on the column heading. Further clicks on the column heading will toggle the list between descending and ascending order of that column's values.

Hide/Show columns:

1. Click on "Configure" on the right-top of the List View.
2. Ensure that the columns that you want to hide in the List View are on the left and those that you want to show are on the right.
3. Select OK to save your column settings.

Default System Settings:

When you have specified the presence, position and width of columns in the List View but would like to return the List View to its original settings, click on Configure and then click on Reset.

Instruction input life cycle

All instruction types in Xact Web Portal have a life cycle from input to execution.

The instruction input life cycle describes the different steps that users have to follow in order to create and release an instruction.

In order to validate an instruction, different user validation configurations are possible and depend on:

- The number of steps required in the validation process:
 - 2 steps: Submit and Release
 - 3 steps: Submit, Authorise and Release
- The number of different approvers required (2, 4 or 6-eyes principle). In case of “2-eyes” validation, one single user can perform all steps if they own the needed Functional Roles. “4-eyes” means two users are required and “6-eyes” means three different users are required to release an instruction.

Possible user validation configurations:

- 2 Steps/2-Eyes: A single user can submit and release an instruction. To simplify the process, the user is able to release the instruction immediately after having submitted it, without needing to query on the instruction.
- 2 Steps/4-Eyes: A user first creates and submits an instruction. Then a second user selects this instruction via the Query View and releases it. For Collateral Management Services, the second user selects the instruction in the Pending items list of the Query View of the To Do Summary subdomain and releases it.
- 3 Steps/6-Eyes: A user creates and submits an instruction. Then a second user selects this instruction via the Query View and authorises the instruction. Finally, a third user releases the instruction. For Collateral Management Services, the second and third users select the instruction in the Pending items list of the Query View of the To Do Summary subdomain.

In order to proceed with the validation of an instruction, a user must own the necessary Functional Roles (Please refer to “[Appendix 3 - Default Functional Roles](#)” on page -9). In the scope of the above user validation configurations, three Functional Roles are needed:

- Input - allowing the user to create and submit instructions.
- Authorise - allowing the user to authorise submitted instructions.
- Release - allowing the user to release the instruction.

Users can own one or more roles. However, even if a user owns all above Functional Roles, they will not necessarily be allowed to perform the entire validation on their own as this is determined by the validation configuration.

Hence, the ability of users to act on the validation process will depend on the configuration and on the Functional Roles they actually own.

Access and login

Cancellation requests

For securities and cash instructions, users with the correct Functional Role can request to cancel instructions that are not yet released or instructions that are released, that is, instructions that are not cancelled, rejected or settled.

If the user selects one or more rows in the List View and selects "Cancellation Request" from the drop-down list of the "View Detail" button, the user must select one of the available options in the second level menu:

- Cancel from List View
- Cancel from Input View

If the user selects 'Cancellation Request' from the 'Action' Buttons in the Detailed view, the user must select one of the options available in the second level menu:

- Cancel from Detailed View
- Cancel from Input View

Main Menu

The menu has three levels:

- Dashboard and Services
- Domain
- Subdomain

The list of services appears when the user activates the Menu via the icon located on the top left of the screen.

Menu

Dashboard	Collateral Management - My Activities	Collateral Management - My Settings	Settlement	Cash & Liquidity	Asset Servicing	Tax	Reference Data	Reporting & Monitoring	User Management	Help & Resources
-----------	---------------------------------------	-------------------------------------	------------	------------------	-----------------	-----	----------------	------------------------	-----------------	------------------

Each option in the above service menu gives access to a specific domain:

- Dashboard: provides direct access to the home page of the Xact Web Portal;
- Collateral Management - My Activities: provides access to Exposures details and Collateral reporting;
- Collateral Management - My Settings: provides access to to Contracts setup and Reference data;
- Settlement: provides access to the securities and reporting service;
- Cash & Liquidity: provides access to the cash and reporting services;
- Asset Services: provides access to the whole lifecycle of corporate actions;
- Tax: provides access to the tax services;
- Reference Data: provides access to static data;
- Reporting & Monitoring: provides access to the subscription and management of reports;
- User Management: gives access to the User management service. Management of users, user groups, functional and business roles, resources;
- Help and Resources: provides access to online help and message exchange.

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Access and login

2. Collateral Management

My Activities

Dashboard	Collateral Management - My Activities	Collateral Management - My Settings	User Management	Help & Resources		
Actions	Contract Data	Collateral	Principal	Instructions	Reports	Simulation
To Do Summary	Contracts	Exposures	Principal Securities	Collateral Management	On Demand	Extended Simulation
		Collateral Cash		Settlement	Scheduled	Real Time
		Collateral Securities		Create File Upload	MIS	
		Eligibility Check		Allegation		
		Positions				

A user with the appropriate permissions can:

- Create, Upload and Query Collateral management instructions;
- Query and view positions on Source accounts;
- Simulate Collateral allocation based on selected Contract;
- View Collateral Management contract details including Eligibility, Haircut and Concentrations set up;
- Query and view Securities details in the context of Collateral Management;
- Retrieve Collateral Management reports including MIS report.

Collateral Management

Actions

To Do Summary

The subdomain To Do Summary shows collateral management instructions (CMIs) for which action must be taken.

In the Query name drop down menu, Pending items is set as the predefined query and the results are displayed once the user enters the subdomain. The user can retrieve and authorise, reject, modify or release all pending items as well as have an overview of the CMIs.

Contract Data

Contracts

The subdomain Contracts allows the user to:

- Query within a list of granted contracts; and
- View the detailed rules (Eligibility / Haircut / Concentrations).

From a selected contract the user can:

- Go to the related exposures, instructions and allocated pieces;
- Create a new exposure;
- Check the eligibility of ISIN(s) held on (a) source account or a list (external file);
- Simulate new exposures (Real time or Extended simulation tool);
- Generate the document, Collateral Basket overview that provides an overview of the collateral basket contents in a PDF format.

Collateral

Exposures

The user can view, in real-time, all transactions with counterparties. The user selects the subdomain Exposures that shows the list and the details of collateral exposures selected contracts.

The user can retrieve an exposure from a contract or by querying on specific criteria:

- Exposure reference;
- Counterparty;
- Contract specific info (for example, contract reference, status);
- Principal / collateral value (required / balance etc.).

From a selected exposure, the user can:

- Go to the related exposures, instructions and allocated pieces;
- Create all types of Collateral Management Instructions:
 - New exposure;
 - Change repo rate;
 - Change principal;
 - Change closing date;
 - Collateral movements (allocation / substitution / withdrawal).

Collateral Cash

The subdomain Collateral Cash provides the list of cash pieces allocated on selected exposures.

The user can retrieve collateral cash pieces from the contract, the exposure or a specific collateral management instruction.

The button “Total” in the List View, allows the user to aggregate the collateral value of the selected securities.

From a selected cash piece, the user can, depending on their profile (Receiver/Giver):

- Go to the linked Contracts and Operational profile,
- View specific Collateral Management and Settlement Instruction(s),
- Check positions on the Source account.

Collateral Securities

The user can view, in real-time, all securities collateral received from a counterparty or allocated to a specific transaction, the user selects the subdomain Collateral Securities to provides the list of securities allocated on the selected exposures.

The user can query on various criteria for example ISIN, Collateral Value.

The button “Total” in the List View, allows the user to aggregate the collateral value of the selected securities.

From a selected Collateral piece, the user can, depending on his/her profile (Receiver/Giver):

- Go to the linked Contracts and Operational profile;
- View Security Reference Data and Ineligibility calendar;
- View specific Collateral Management and Settlement Instruction(s);
- Check positions on Source account.

clearstream
DEUTSCHE BÖRSE GROUP

Collateral Securities

Help | My Profile | Contacts | Logout | 11 Jul 2016 17:24:

Query / List

Query

List

Please select a row to see available actions.

Export
Total
Print All
Refresh
Config

	Exp. ref.	Coll. Receiver	Coll. Giver	Coll. a/c	Bskt ref.	Exp. CCY	Serv. type	ISIN code	Common code	CCY cd.	Sec. name	Sec. Types	Bond Risk Profiles	Detailed Sec. types	Sec. Subtypes	Security rat
		425990 BANKB	BANKA	CBL/	PRTE	EUR	TRS	BE0000308172	000025550412	EUR	EUR 4 KINGDOM OF BELGIUM 06-2022	Bond	Sovereign	Straight Bonds		AA- LT
		425990 BANKB	BANKA	CBL/	PRTE	EUR	TRS	BE00000315243	000040912215	EUR	EUR 4,00 BELGIUM, KINGDOM 09-2019	Bond	Sovereign	Straight Bonds		AA- LT
		425990 BANKB	BANKA	CBL/	PRTE	EUR	TRS	BE00000321308	000058323098	EUR	EUR 4,25 BELGIUM, KINGDOM 11-2021	Bond	Sovereign	Straight Bonds		AA- LT
		425990 BANKB	BANKA	CBL/	PRTE	EUR	TRS	CA459058EY56	000138194191	CAD	CAD 1,25 IBRD-WORLD BANK 16-2021	Bond	Agency	Medium Term Notes		AAA LT
		425990 BANKB	BANKA	CBL/	PRTE	EUR	TRS	DE0001135309	000025318218	EUR	EUR 4,00 GERMANY, FED REP 06-2016	Bond	Sovereign	Straight Bonds		AAA LT

Collateral Management

Eligibility Check

The subdomain Eligibility Check enables Collateral Givers to determine collateral eligibility across one or more counterparties.

The eligibility check can be performed via following:

- Entering individual ISINs
- Using available source accounts only
- Using available source accounts and an external file
- Using an external file only

The user can check the eligibility of securities against the contracts selected. If the security does not respect the eligibility rules, the security is ineligible.

If the user chooses to run the eligibility check by another way than entering individual ISINs, the results will be delivered as a report (On Demand).

The uploaded file always has the same structure. The file must be a text file (.txt) with values separated by a comma. Each security to be checked must be on a different row and the two values to be indicated are the ISIN. The quantity is not mandatory, but if the value is entered then the collateral valuation will be performed and the concentrations limits are not checked.

Positions

The subdomain Positions provides the facility for users (depending on their profile and grants) to check securities positions and instructions for collateral and trading accounts for a selected business date.

The following positions are available:

- Held Free (refers to actual settled positions on an account);
- Pending Delivery.

Principal

Principal Securities

The subdomain displays, in real-time, the principal securities allocated to TSLS exposures.

Collateral Management

The user can create Collateral Management instructions manually or by uploading a file.

The entry point to create a Collateral Management instructions is:

- a selected contract; or
- a selected exposure

Depending on their rights, users can create all types of collateral management instructions.

- New exposure;
- Change repo rate;
- Change principal;
- Change closing date;
- Collateral movements (allocation, substitution, withdrawal).

Collateral Management Instructions - Release / Authorise

The user can authorise and release (4 or 6 eyes principle) collateral management instructions via Actions, To Do Summary.

Settlement

The subdomain Settlement shows the list of settlement instructions generated by CmaX.

Create File Upload

How to load Collateral Management instructions

The subdomain Create File Upload enables the user to upload a file (in xls or CSV format) containing participant instructions (1 to 200 rows).

Once loaded, the system will perform validation checks and display the rows containing errors.

By clicking on “Submit”, the user sends the file with ONLY the valid participant instructions, or the user can perform the appropriate updates and reload a new file.

PI File upload - Release / Authorise

The user can authorise and release (4 / 6 Eyes principle) the file via Actions, To Do Summary. The user will release/authorise the file as bulk and NOT each instruction individually. Once the file is released the system will automatically generate the individual participant instructions that will be visible under Collateral Management.

Allegement

The subdomain Allegement enables the user to view counterparty collateral management instructions for which no matching instruction can be found. A single action then allows a real-time matching instruction to be created, pre-filled with the counterparties' details for further processing.

Reports

The Reports subdomains enable the user to retrieve the result of the simulations on exposures or to generate a MIS report resulting from a request made within the application.

On Demand

Users are advised by the My Alerts portlet when the reports are ready.

When the user enters the subdomain the results of a predefined query "Reports date today" are automatically displayed.

Reports will remain available for seven (7) calendar days after generation, and then they will be archived.

Eligibility check report

Unless the user has opted to run the eligibility check by entering individual ISINs, the results of the check are delivered as a report in the subdomain On Demand. The report contains:

- Security information;
- Basket reference;
- Collateral value in the selected currency (if the portfolio includes both ISIN and quantity);
- Ineligibility reason (if there are multiple reasons for ineligibility, the report will only list the first rule that was not respected).

Real Time and Extended simulation reports

The Summary report summarises all key information. It is available in PDF format.

The Detailed report provides all available information for each security. It is available in CSV format and can be opened directly in Excel.

Collateral Basket Overview

Collateral baskets can only be seen by the Collateral Receiver. The Collateral Giver will receive an Appendix A to the CMSA, with the collateral basket from his sales representative for signature. Once accepted a contract can be created using the collateral basket as a basis. From a contract the contents of the collateral basket can be viewed by the Collateral Giver as a report Collateral Basket - overview. There are four tabs:

- General - Main characteristics of the basket
- Eligibility - Eligibility rules
- Haircuts - Haircut rules
- Concentrations - Concentration limits

Scheduled

Users can access the following scheduled collateral management reports:

- AS: Triparty collateral management daily agreement
- AS: Triparty collateral management daily agreement (BASEL II compliant)
- AGRE: Triparty collateral management daily agreement
- SSAG: Security against security agreement
- CS: Counterparties summary text
- CYDS: Collateral provider summary
- CSR: Collateral shortage report
- CPDS: Collateral taker summary

Collateral Management

MIS

MIS reports provide external clients with statistical information about their activities. The Business areas of the activities covered are:

- Outstandings
- Daily Collateral Outstandings
- Daily Outstandings per Counterparty
- Outstandings per counterparty
- Outstandings per Issuer Country
- Security details
- Daily Outstandings per Counterparty and Collateral Types
- Daily Outstandings per Collateral Types
- Outstandings per Structured Bond Subtypes
- Ratings
- Outstandings per Rating
- Daily Outstandings per Rating
- Haircuts
- Weighted average haircut per security type
- Average Haircut per Counterparty and Basket
- Principal
- Daily Principal Outstanding
- Daily Principal Value per Exposure currency
- Exposure
- Trade Size
- Trade Term

Simulation

Extended and Real Time

Simulation is not a forecast: it does not predict maximum trading potential. The user can source collateral from a mixture of existing accounts including one external portfolio.

The executed simulation will behave as if the action has been taken in production.

The following strategies are possible:

No file

This strategy will simulate allocations to the entered exposures using available collateral only;

File only

This strategy will simulate allocations to the entered exposures with collateral from the file only;

Merge File

This strategy will simulate allocations to the entered exposures with available held free and file collateral;

File upload - table of errors

This strategy will generate a result with all the valid file content.

My Settings

Menu

Dashboard	Collateral Management - My Activities	Collateral Management - My Settings	Reporting & Monitoring	User Management	Help & Resources
Contract Data	Securities	External Institutions	Groups		
Own Baskets	Securities	Issuers	Reporting Groups		
Collateral Giver Exclusion	Security Lists				
Operational Profiles	Security Lists Content				
	Ineligibility Calendar				

Contract Data

Own Baskets

The subdomain Own Baskets allows the Collateral Receiver to see Collateral Baskets that contain the Eligibility, Haircuts and Concentrations rules.

A user can go to the linked Contracts and Operational profile from a selected Collateral Basket.

Collateral Giver Exclusion

The subdomain Collateral Giver Exclusion allows the Giver to see Collateral Giver Profiles (CGP) that contain exclusion rules to restrict the pool of Eligible assets.

A user can go to the linked Contracts and Operational profile from a selected Collateral Giver profile.

Collateral Management

Operational Profiles

This subdomain allows the user to see a list of Collateral Givers and Receivers (based on their access rights).

The main identifier of a participant is the short code with a maximum of 8 characters. The user can query participants on their short codes, names, roles or status.

From a selected Operational profile, the user can click on the "Go to" button and view the linked:

- Contracts;
- CLBs;
- CGPs;
- Exposures;
- Allocated cash or securities;
- Collateral management instructions;
- Reports.

Securities

The Securities domain enables the user to see the details of a security, an issuer or the ineligibility calendar in the context of Collateral Management Services.

Securities

The subdomain Securities enables the user to see the details of a security in the context of Collateral Management Services.

From a selected security, the user can click on "Go To" and access:

- Security Lists which contain the selected security;
- Issuer details;
- Ineligibility calendar details;
- Collateral/Principal pieces (across all exposures);
- Accounts positions.

Security Lists

The Security Lists subdomain enables the user, depending on their grants, to view the Security List.

Security Lists Content

The Security Lists Content subdomain enables the user, depending on their grants, to view the detail list of a specific Security List.

Ineligibility Calendar

The Ineligibility Calendar subdomain enables the user, depending on their grants, to view the ineligibility reason for a selected security.

External Institutions

Issuers

Each security has an associated issuer. Details for the issuer can be found within the 'Issuers' subdomain.

Groups

Reporting Groups

Reporting Groups are created on behalf of clients wishing to combine multiple participant short codes into a single report. The Reporting Groups subdomain enables the user, depending on their grants to view the related groups setup.

Collateral Management

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3. Settlement

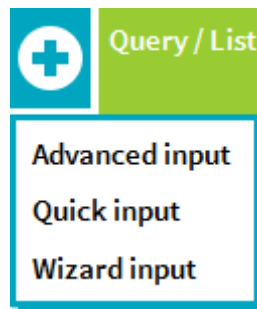
As a user with the appropriate permissions, you can use Xact Web Portal to:

- Create, release and query securities settlement instructions;
- Upload securities instruction files;
- Query and view securities positions;
- Query and view beneficial owner details for registered securities;
- Subscribe to and retrieve reports;
- Query and view daily penalties, monthly aggregates and appeals;
- Create appeals.

Security Instructions

To create a securities instruction:

1. Click on Settlement, Security Instructions in the main menu of Xact Web Portal. The screen opens with the Query view.
2. Click on "Create"  and a drop down list appears. (The "Create" button is different for securities instructions as there is a drop down list).



3. Choose either:

Advanced input - shows all possible fields for a settlement instruction (if you switch to Quick input, you receive a warning that any fields that are not supported by Quick input will be lost).

Quick input - shows the majority of fields required for a settlement instruction (you can switch to Advance view without losing your input).

Wizard input - aims at reducing the complexity of the creation of a new security instruction. The focus is set on the most important and relevant fields.

Settlement

a) Advanced input

The Instruction Advanced Input screen is divided into 8 sections:

- Settlement type & identification;
- Linkages;
- Trade details;
- Financial instrument, quantity & accounts;
- Settlement parameters;
- Settlement parties;
- Amounts;
- Additional physical or registration details.

	Query / List	New Securities Instruction
▶	Templates	
▶	Settlement type & identification	
▶	Linkages	
▶	Trade details	
▶	Financial instrument, quantity & accounts	
▶	Settlement parameters	
▶	Settlement parties	
▶	Amounts	
▶	Additional physical or registration details	

Click on Settlement type & identification.

▼ Settlement type & identification			
Transaction ID *	Test MM	Common ID	
Securities movement *	DELI - Delivery ▼	Corporate action event ID	
Payment *	FREE - Separate Settlement ▼		

Populate all mandatory fields, these are marked with an *:

- Transaction ID;
- Securities movement: Delivery or receive;
- Payment: Against payment settlement or separate settlement.

▼ Linkages				
Pool ID	123	Current instruction no.	001	
Pool owner		Total link instructions	002	
Add				
All	Processing position	Linking reference	Linking reference value	Reference owner
✓	AFTE - After	Securities settlement transaction ID	ABC	

The Processing position allows to the user to select from a domain of values.

AFTE - After
BEFO - Before
INFO - Information
WITH - With

The Linking reference allows the user to select an ID to link with.

Securities settlement transaction ID
Account Servicer Transaction Identification
Other Transaction Identification
Intra position movement ID
Intra balance movement ID
Account Owner Transaction Identification
Market infrastructure transaction ID

The Trade details section requests the input of:

- Settlement date;
- Deal Price format: Amount or Rate.

▼ Trade details			
Trade ID	MM001	Settlement instruction processing additional details	
Trade date	29/11/2016		
Settlement date *	30/11/2016	Place of trade type	
Deal price format *	Amount	P. of trade issuer	
Deal price	Par EUR - EURO	P. of trade identifier	
Trade transaction cond.	GTDL - Guaranteed delivery	☒ MIC ☐ Description	
Currency to buy	EUR - EURO	P. of trade identification	
Currency to sell		Place of clearing	
Already matched			

In the Financial instrument field, quantity and accounts section the settlement quantity has to be completed after having selected whether it is unit or amount.

▼ Financial instrument, quantity & accounts			
Financial instrument *	LU1460838466	Safekeeping account *	12345
Description	SHS DANSKE INVEST SWEDISH BOND	Safe. account name	BANK ABC
Safekeeping place		Account owner	DAKVDEFFXX
Settlement quantity *	Unit 1000	Cash account	
Denomination choice			

Settlement

After the financial instrument is selected, the “Market Rules” button will be visible. When the button is clicked:

- If the financial instrument is deposited in one market, a new browser tab will open the Clearstream website with the Xact Web Portal instruction specifications for that market.
- If the financial instrument is deposited in multiple markets, a pop-up window will open with a drop down list of the possible markets. After choosing the required market, a new browser tab will open the Clearstream website with the Xact Web Portal instruction specifications for that market.

In the Settlement parameters section the securities transaction type has to be completed.

For Partial Settlement, the “Party hold” indicator can be activated and the following “Partial settlement” values can be used:

- NPAR - Partial settlement is not allowed.
- PART - Partial settlement is allowed. The instruction will be taken into account for partial settlement.
- PARQ - Partial settlement is allowed but must satisfy a minimum quantity of securities.
- PARC - Partial settlement is allowed but must satisfy a cash value minimum. PARC is not allowed for free of payment instructions.

▼ Settlement parameters	
Party hold	✓
Priority	▼
Sett. transaction cond.	Please select... ▼
Partial settlement	▼
Beneficial ownership	✓
Registration	▼
Securities RTGS	✓
Settling capacity	▼
Sec. transaction type *	TRAD - Trade ▼
Eligible for collateral	✓
Sec. sub balance type	
Cash sub balance type	
Stamp duty tax basis	▼

The Settlement parties section is divided into Delivering settlement parties and Receiving settlement parties.

▼ Settlement parties

Delivering settlement parties

All	Party	Format	Issuer	Scheme	Identifier	Safekeeping account	Declaration details	Party contact details	Registration details	Party name
✓	Depository									
✓	Party 1									

More delivering settlement parties

Add

Party	Format	Issuer	Scheme	Identifier	Safekeeping account	Declaration details	Party contact details	Registration details	Party name
-------	--------	--------	--------	------------	---------------------	---------------------	-----------------------	----------------------	------------

Receiving settlement parties

All	Party	Format	Issuer	Scheme	Identifier	Safekeeping account	Declaration details	Party contact details	Registration details	Party name
✓	Depository									
✓	Party 1									

Settlement

b) Quick input

For quick input, the following fields indicated with an * have to be completed:

- Transaction ID;
- Financial Instrument contains the ISIN of the instrument input manually or selected via the lookup. The description of the selected financial instrument appears in the non-editable Description field;
- Safekeeping account;
- Security transaction Type;

- Securities movement: Delivery or Receive;
- Payment: Against payment settlement or separate settlement;
- Settlement Quantity;
- Settlement Date;
- Settlement Amount: Unit or Face amount;
- Credit debit Indicator;
- Depository refers to place of settlement of the trade: BIC or Country code can be selected;
- Party 1 Format: Choose the party format from delivering or receiving agent, BIC, Name or Proprietary.

For partial settlement, use the Advanced input, or the Wizard input.

The “Market Rules” button will be visible. When the button is clicked:

- If the financial instrument is deposited in one market, a new browser tab will open the Clearstream website with the Xact Web Portal instruction specifications for that market.
- If the financial instrument is deposited in multiple markets, a pop-up window will open with a drop down list of the possible markets. After choosing the required market, a new browser tab will open the Clearstream website with the Xact Web Portal instruction specifications for that market.

c) Wizard input

On the Start tab, the Safekeeping account must be completed in order to proceed.

Query / List		New Securities Instruction			
Start	1	2	3	4	End
Safekeeping account *	12345		Account owner		
Safe. account name	BANK ABC				

On the next tab, the following fields indicated with an * have to be completed:

- Transaction ID;
- Financial instrument;
- Sec. transaction type;
- Depository;
- Securities movement;
- Payment.

Start	1	2	3	4	End
Transaction ID *	TEST 123			Sec. transaction type *	TRAD - Trade
Safekeeping account	12345			Depository *	BIC ▼ LUXCLULLXXX × 🔍
Financial instrument *	LU1460838466 × 🔍			Delivery without matching	☒
Description	SHS DANSKE INVEST SWEDISH BOND			Securities movement *	DELI - Delivery
Safekeeping place	SINGLE-LCLCUST-FETALULLISV - RBC INVESTOR SE...			Payment *	APMT - Against payment settlement

Settlement

On the following tab, the following fields indicated with an * have to be completed:

- Settlement date;
- Settlement quantity;
- Settlement amount;
- Credit debit indicator.

For Partial Settlement, the “Party hold” indicator can be activated, and the following “Partial settlement” values can be used:

- NPAR - Partial settlement is not allowed;
- PART - Partial settlement is allowed. The instruction will be taken into account for partial settlement.
- PARQ - Partial settlement is allowed but must satisfy a minimum quantity of securities.
- PARC - Partial settlement is allowed but must satisfy a cash value minimum. PARC is not allowed for free of payment instructions.

Start	1	2	3	4	End
Trade date	27/09/2016		Market rules Multi listed View rules		
Settlement date *	27/09/2016		Common ID		
Settlement quantity *	Unit	10	Party hold ✓		
Settlement amount *	EUR - EURO	2000	Priority High		
Credit debit indicator *	CRDT - Credit		Partial settlement PART - Partial allowed		
Deal price format			Immediate release ✓		
Deal price			Securities RTGS ✓		
Settlement instruction processing additional details					

In the Settlement parties tab, complete the counterparty details and click on “Next”.

Start	1	2	3	4	End																					
▼ Receiving settlement parties Receiving settlement parties <table border="1"> <thead> <tr> <th>All </th> <th>Party</th> <th>Format</th> <th>Issuer</th> <th>Scheme</th> <th>Identifier</th> <th>Safekeeping account</th> </tr> </thead> <tbody> <tr> <td></td> <td>Party1</td> <td>Proprietary ▼</td> <td>LUXC ▼</td> <td></td> <td>12345 </td> <td></td> </tr> </tbody> </table> More receiving settlement parties <table border="1"> <thead> <tr> <th>Party</th> <th>Format</th> <th>Issuer</th> <th>Scheme</th> <th>Identifier</th> <th>Safekeeping account</th> <th>Party con</th> </tr> </thead> <tbody> </tbody> </table>						All	Party	Format	Issuer	Scheme	Identifier	Safekeeping account		Party1	Proprietary ▼	LUXC ▼		12345		Party	Format	Issuer	Scheme	Identifier	Safekeeping account	Party con
All	Party	Format	Issuer	Scheme	Identifier	Safekeeping account																				
	Party1	Proprietary ▼	LUXC ▼		12345																					
Party	Format	Issuer	Scheme	Identifier	Safekeeping account	Party con																				
► Delivering settlement parties																										
▼ Optional information Do you want to add other parties to this instruction?(e.g.,broker,triparty,cash party,...) Do you want to link this instruction? (e.g., pool ID, linking reference,...) Do you want to add other amounts to this instruction? (e.g., fees, taxes, commissions,..) Do you want to add other details to this instruction? (e.g., trade ID, transaction conditions,...)																										

The below screen appears.

Start	1	2	3	4	End
Query / List New Securities Instruction Your instruction is now valid and ready to be submitted for processing Previous Cancel Submit					

Click on “Submit” to submit the instruction.

Note: You can also create a securities instruction by duplicating an existing instruction (please refer to [“To duplicate an existing securities instruction”](#)), or by using a template (please refer to [“To create a template from a securities instruction”](#)).

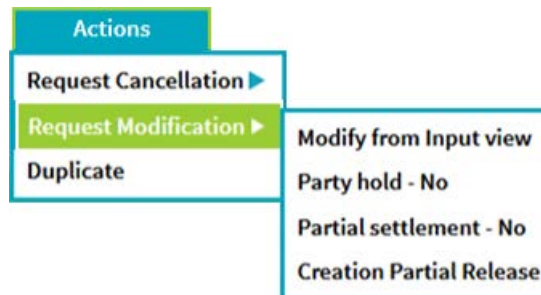
Created instructions (including modifications and cancellations requests) need to be released to Clearstream for processing. By clicking on “Submit”, the instruction is created, but not released, except if you have a two-eyes principle setup.

Settlement

To create a partial release request:

1. The following condition must be met: Party Hold is set to "True" in List view or "ticked" in the Detailed view.
2. When selecting "Actions", "Request Modifications", "Creation Partial Release", Party Hold must be unticked, and a settlement quantity has to be entered.

Note: A partial release request cannot be executed on multiple instructions (see section below).



To hold/release multiple instructions:

1. From the Security Instructions List view, it is possible to select multiple instructions by clicking on the action "Select from Page";
2. Two user actions are available:
 - "Request Modification", "Multi Hold/Release", "Party hold - No": this action allows the user to select multiple instructions to be released;
 - "Request Modification", "Multi Hold/Release", "Party hold - Yes": this action allows the user to select multiple instructions to be set on hold.
3. The selected instructions can be released or set on hold via the "Action" button.
4. A pop-up message will then prompt the user to confirm the modification of 25 instructions at a time by clicking "Yes" or "No".

Note: Multiple instructions release cannot be executed for partial release requests. Partial release requests can only be done on a single instruction basis, and the security quantity must be input for each instruction (see section above).

To query securities instructions:

1. Click on Settlement, Security Instructions in the main menu of Xact Web Portal.
2. Populate the fields with the required search criteria.

Note: For Stock Exchange Instructions, the Business Type can be selected, and Input Media Channel set to "SETI".
3. Click on "Count" to view the number of rows without seeing the List View. If you want to check how many results your query will yield as it is currently specified, use the "Count" button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.
4. Click on "Query" to see the List View.

To obtain settlement probability for securities instructions:

1. Perform a query as above.
2. Select the released instructions for which you wish to obtain the settlement probability from the List View or Detailed view (**maximum 1,000 instructions**), and click on the “Actions” button.
3. Click on “Request probability”. For selected instructions, the settlement probability will be displayed in the “Probability” column.
4. Sort the instructions according to the displayed settlement probability to identify instructions with the lowest probability to settle on time.

If more than 1,000 instructions are selected, or if an unreleased or domestic instruction is selected, the “Request probability” action will not be available.

Note: The probability **will not** be displayed as a percentage (that is, value = NaN) for instructions that are:

- Pending instructions whose Requested Settlement Date is more than 2 business days in the future.
- Lacking certain reference data (that is, market price of the security);
- Stock Exchange instructions (that is, have Input media equal to “SETI”);
- Collateral instructions generated by CmaX (that is, have Input media equal to “REPO-SECC”);
- Domestic instructions;
- Sent by a CBF-i account (6-series account).

Disclaimer: The Probability Prediction is for information purposes only and shall not be construed as any form of advice (legal or otherwise) by CBL - Please consult the client handbooks on Clearstream's web site.

To view the details of an existing securities instruction:

1. Perform a query as above.
2. To display the details of the instruction, select the row(s) from the list and click on “Open details”.
3. If more than one instruction is selected the details open in separate tabs.
4. Click on Go To to check cash balances or securities positions.
5. Click on the “Close” button to close the details.

Settlement

To view specific details of a Partial Release request:

1. Perform a query as above.
2. The Detailed view shows the following values:
 - Requested Partial Release quantity;
 - Quantity Remaining Released;
 - Quantity Remaining On Hold.

Deal price						☒ MIC	☐ Description
Trade transaction cond.				P. of trade identification			
Currency to buy				Place of clearing			
Currency to sell							
▼ Financial instrument, quantity and accounts							
Financial instrument ID	BE1234567890			Cash account			
Description	BELGIUM, KINGDOM			Coupon date	22/06/2015		
Safekeeping place	BNBEBEBB – BANQUE NATIONALE DE BELGIQUE			Settlement quantity	Face amount	2000	
Safekeeping account	12345			Denomination choice			
Safe, account name	DUMMY ACCOUNT NUMBER			Requested Partial Release quantity			
Account owner	DANRLULLXX			Quantity Remaining Released			
Account entity / type	CBL	STANDARD CUSTOMER		Quantity Remaining On Hold			
				Settled quantity			
				Previously settled qty.			
				Remaining sett. qty.			
Quantity breakdown table							
Lot number	Lot quantity	Lot date	Lot price type	Lot currency	Lot price value		
No rows available							
► Settlement parameters							
▼ Settlement parties							

To duplicate an existing securities instruction

1. Perform a query as above.
2. Duplicating an instruction from the List View:
 - Select the instruction in the List View and click on the Actions button and choose Duplicate.
 - A New Securities Instruction tab opens, this contains the details of the previous instruction.
 - Make any changes as necessary, and Click on "Submit".
3. Duplicating an instruction from the detail view:
 - Select the instruction in the List View and click on "Open details"
 - The detail view opens. Click on the Actions button and choose Duplicate.

To create a template from a securities instruction

1. Create a securities instruction as above.
2. Once all of the required fields have been completed, click on "Save" and give the template a name.
3. In the future, the template can be selected from the top of the New Securities Instruction tab.

To modify/edit a securities instruction:

1. Perform a query as above.
2. For instructions that have not been released:
 - Open the detail view of the instruction that you wish to modify and click on the Edit button.
 - Make the changes as required and click on "Submit" to modify/edit an instruction. The instruction needs to be released (please refer to ["Instruction input life cycle"](#)).
3. For instructions that have been released:
 - Select the instruction that you wish to modify from the List View, and click on the Actions button.
 - Click on "Request modification".
 - The Modification input view opens, only the fields that can be modified will be enabled.
 - Make the changes as required and Click on "Submit".The instruction needs to be released (please refer to ["Instruction input life cycle"](#)).

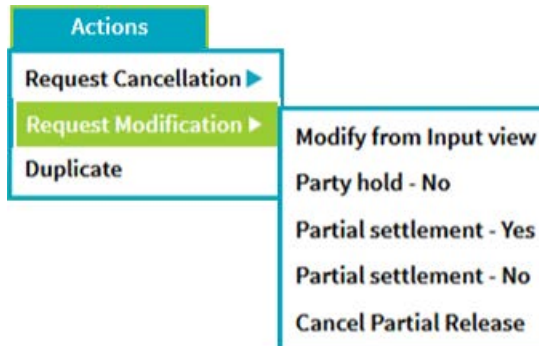
To delete/cancel a securities instruction

1. Perform a query as above.
2. For instructions that have not been released:
 - Select the instruction that you wish to cancel from the List View, and click on the Actions button.
 - Click on "Delete" and confirm.
3. For instructions that have been released:
 - Select the instruction that you wish to cancel from the List View, and click on the Actions button.
 - Click on "Cancellation Request".
 - The New Cancellation Request view opens.
 - Click on "Submit".The instruction needs to be released (please refer to ["Cancellation requests"](#)).

Settlement

To create a Partial Release cancellation request:

1. The following condition must be met, the requested partial release quantity is not zero.
2. Select “Actions”, “Request Modifications”, “Cancel Partial Release” to request the cancellation.



To verify/release a securities instruction:

1. Perform a query as above.
2. Select the instruction that you wish to release depending on access granted in user profile (N-eyes principles) from the List View, and click on the Actions button for an instruction that is pending release.

Security File Upload

This allows the user to upload a large volume of instructions in Excel format via Xact Web Portal.

To upload a securities instruction file:

Note: A list of up to 300 security instructions in ASCII file format can be uploaded. Please refer to the template for further format information.

1. Click on Settlement, Security File Upload in the main menu of Xact Web Portal.
2. The File Upload Input tab opens. When selecting File Content, an additional button appears on the bottom right-end side of the screen:  This button allows the user to download the latest template of the selected service.
3. Click on "Upload File" and browse for the instruction file and click on "Upload".
4. Once the upload is complete, the File Upload List View is displayed.
5. The progress of the validation of the file is shown.
6. If there are any errors in the uploaded file, the full file is rejected and errors need to be amended and uploaded again. The validation results indicate the error and the row in which the error occurred.
7. Once the file is successfully loaded, instructions are created but not released (user can query for them in the Securities Instructions query) or view them via the Go to → Process Data link in the File Upload screen.

To query a securities instruction file:

1. Click on "Settlement," "Security File Upload" in the main menu of Xact Web Portal.
2. Click on "Query/List" and the File Upload query screen opens.
3. Select the already loaded CSV file and click on "Query".

Settlement

Security Positions

As a business user with the appropriate permissions, you can use Xact Web Portal to query and view the position of a specified security. Users can view the security movements (for one account/security/position type) by selecting “View movements” from List View.

To query a security position:

1. Click on “Settlement”, “Security Positions” in the main menu of Xact Web Portal.
2. Populate the fields with the required search criteria.

Query / List

Query

Predefined

Query name: None [Save query]

Positions view

Calculation date: = Settlement date
Timeframe: = Current
Date: = 13/06/2017
Forecast calculation: =
Show all position updates: [X]

Parties

Safekeeping account: = 12345 [X] [Search]
Safe. account name: =
Show segregated positions: [X]

Securities positions

Position type: ☐ Individual positions ☒ Summary positions
Position type: = AGGR - Aggregate
Restriction reference: =
Include zero positions: [X]

Financial instrument

Financial instrument ID: = FR0011073113 [X] [Search]
Description: = TOTAL INFRA GAZ
Safekeeping place: = SICVFRPPXX - EUROCLEAR FRANCE PARIS
Financial instrument type: = Please select...

Ordering

Sort by: None [Ascending] Then by: None [Ascending]

[Query] [Count] [Reset]

3. Click on “Count” to view the number of rows without seeing the List View. If you want to check how many results your query will yield as it is currently specified, use the “Count” button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.
4. Click on “Query” to see the List View.

List

Please select a row to see available actions.

	Account	Account name	Entity	Fin. instrument	Fin. instr. description	Safekeeping place	Position type	Quantity	Current market value	Ccy	Business Date	Last movement
[+]	12345	BANK ABC	CBL	FR0011073113	EUR 5,375 TOTAL INFRA GAZ 11-2018	SICVFRPPXX	AGGR - Aggregate	50,000,000.00	50,000,000.00	EUR	11/05/2017	28/06/2014 09:09:43

1 Rows | 25 Rows per page | No selected rows | Query executed: 11/05/2017 16:37:40

Registered Securities: Beneficial Owner Details

To query Registered Securities: Beneficial Owner Details

1. Click on Settlement, Registered Securities: Beneficial Owner Details in the main menu of Xact Web Portal.
2. Populate the fields with the required search criteria.
3. Click on "Count" to view the number of rows without seeing the List View. If you want to check how many results your query will yield as it is currently specified, use the "Count" button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.
4. Click on "Query" to see the List View.

To view the details of Registered Securities: Beneficial Owner Details:

1. Perform a query as above.
2. To display the details, select any row from the list or a combination thereof by clicking on the "+" button to display the beneficial owner details.
3. Results can be exported or printed by selecting any row.

Settlement

Reporting

Manage Report Subscriptions

1. Click on Settlement, Reporting, Manage Report Subscriptions in the main menu of Xact Web Portal.
2. You are then automatically redirected to the Report Centre, Manage Report Subscriptions.

Create Query / List New report subscription

Start 1 2 End

Report details

Zero aggregate balances ☒

Zero sub-balances ☒

Amortised face amount ☒

Consolidated statement ☒

Exclude DE Securities ☒

Total account holding value EUR

Aggregate balance value EUR

Consolidated account name

Sorting by

Previous Cancel Submit

View Delivered Reports

In the main menu, select Settlement, Reporting, View Delivered Reports.

You are then automatically redirected to the Report Centre, View Delivered Reports.

For Settlement, the report types available are:

- Statement of holdings;
- Statement of transactions;
- Statement of pending transactions;
- Statement of allegements;
- Settlement confirmation;
- Settlement status and processing advice;
- Settlement allegements;
- Intra-Position advice;
- Statement of intra-position advice.

Penalties

As a user with the appropriate permissions, you can query penalties, with a choice of three different options:

- Query daily penalties;
- Query monthly aggregates;
- Query appeals;
- Create appeal requests.

Daily Penalties

To query daily penalties:

1. In the main menu, select "Settlement", "Penalties", "Daily Penalties";
2. You can search by cash penalty, by settlement instruction or both;
3. Input the desired search criteria;
4. Click on "Count" to view the number of rows without seeing the List View. If you want to check how many results your query will yield as it is currently specified, use the "Count" button to display the number in the "Count" field. If the count is high, you can refine your query to yield fewer results.
5. Click on "Query" to see the List View.

To view the details of daily penalties:

1. Perform a query as above.
2. To display the details of penalties, select the row(s) from the list and click on "Open details".
3. Results can be exported to an XLS file or printed as a PDF.
4. Click on the "Close" button to close the details.

To create an appeal:

1. Perform a query as above.
2. From the list view, select a row or a selection thereof, and click on "Create Appeal". Alternatively, from the detail view, click on "Create Appeal".

Note: Appeal requests can only be submitted until maximum the 10th business day of the next month, based on the penalty calculation date.

Settlement

Monthly aggregates

To query monthly aggregates:

1. In the main menu, select "Settlement", "Penalties", "Monthly Aggregates";
2. Input the desired search criteria in "Search Aggregated Amounts";
3. Click on "Count" to view the number of rows without seeing the List View. If you want to check how many results your query will yield as it is currently specified, use the "Count" button to display the number in the "Count" field. If the count is high, you can refine your query to yield fewer results.
4. Click on "Query" to see the List View.

To view the details monthly aggregates:

1. Perform a query as above.
2. From the list view, click on "+" to expand a row into a breakdown and display the entire list of individual amounts;
3. Results can be exported to an XLS file or printed as a PDF.

Appeals

To query appeals:

1. In the main menu, select "Settlement", "Penalties", "Appeals";
2. You can search by appeal, by cash penalty, or a combination thereof;
3. Click on "Count" to view the number of rows without seeing the List View. If you want to check how many results your query will yield as it is currently specified, use the "Count" button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.
4. Click on "Query" to see the List View.

To view the details of appeals:

1. Perform a query as above.
2. To display the details of an appeal, select the row(s) from the list and click on "Open details".
3. Results can be printed as a PDF.
4. Click on the "Close" button to close the details.

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Settlement

4. Cash & Liquidity

As a user with the appropriate permissions, you can use Xact Web Portal to create and process Pre-advice of Funds, Withdrawal of Funds, User Transfer and Foreign Exchange cash instructions and to query and view cash balances and credit and collateral usage.

Cash Instructions

To create a cash instruction:

1. Click on "Cash & Liquidity", "Cash Instructions" in the main menu of Xact Web Portal. The screen opens with the Query view.
2. Click on "Create"  and select .
3. A new tab opens.
4. Complete the fields as required. Fields with a * are mandatory.
5. Click on "Submit" to create an instruction.
6. The instruction needs to be released (please refer to ["Instruction input life cycle"](#)).

To query cash instructions:

1. Click on "Cash & Liquidity", "Cash Instructions" in the main menu of Xact Web Portal.
2. Populate the fields with the required search criteria.
3. Click on "Count" to view the number of rows without seeing the List View. If you want to check how many results your query will yield as it is currently specified, use the "Count" button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.
4. Click on "Query" to see the List View.

To view the details of an existing cash instruction:

1. Perform a query as above.
2. To display the details of the instruction, select the row(s) from the list and click on "Open details":
3. If more than one instruction is selected the details opens in separate tabs.
4. Click on the "Close" button to close the details.

To duplicate an existing cash instruction:

1. Perform a query as above.
2. Duplicating an instruction from the List View:
 - Select the instruction in the List View and click on the Actions button and choose Duplicate.
 - A New Cash Instructions tab opens, this contains the details of the previous instruction.
 - Make any changes as necessary, and Click on "Submit" to create an instruction.
 - The instruction needs to be released (please refer to ["Instruction input life cycle"](#)).
3. Duplicating an instruction from the detail view:
 - Select the instruction in the List View and click on Open details.
 - The detail view opens. Click on the Actions button and select Duplicate.

To create a template from a cash instruction:

1. Perform a cash instruction as above.
2. Once all of the required fields have been completed, click on "Save" and give the template a name.
3. In the future, the template can be selected from the top of the New Cash Instructions tab.

To delete/cancel a cash instruction:

1. Perform a query as above.
2. For instructions that have not been released:
 - Select the instruction that you wish to cancel from the List View, and click on the Actions button.
 - Click on "Delete".
3. Click on "Submit" to cancel the instruction.
4. The instruction needs to be released (please refer to ["Instruction input life cycle"](#)).

Cash File Upload

This allows the user to upload a large volume of instructions in Excel format via Xact Web Portal.

To upload a cash instruction file:

1. Click on "Cash & Liquidity", "Cash File Upload" in the main menu of Xact Web Portal.
2. The File Upload Input tab opens. After selecting the File Content, an additional button appears on the bottom right-end side of the screen:  This button allows the user to download the latest template of the selected service.
3. Browse for the instruction file and click on the Upload button.
4. Once the upload is complete, the File Upload List View is displayed.
5. The progress of the validation of the file is shown.
6. If there are any errors in the uploaded file, the full file is rejected and errors need to be amended and uploaded again. The validation results indicates the error and the row in which the error occurred.

To query a cash instruction file:

1. Click on "Cash & Liquidity", "Cash File Upload" in the main menu of Xact Web Portal.
2. Click on "Query"/List and the File Upload query screen opens.
3. Select the already loaded CSV file and click on "Query".

Cash & Liquidity

Cash Balances

As a user with the appropriate permissions, you can use Xact Web Portal to query and view the balance of a specified currency. Users can view the balances (for one account/position type).

To query cash balances:

1. Click on "Cash & Liquidity", "Cash Balances" in the main menu of Xact Web Portal
2. Populate the fields with the required search criteria.
3. Click on "Count" to view the number of rows without seeing the List View. If you want to check how many results your query will yield as it is currently specified, use the "Count" button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.
4. Click on "Query" to see the List View.

learstream | DEUTSCHE BÖRSE GROUP

Cash Balances

Search

Help | My Profile | Contacts | Logout | Operation Entity Full Access 2Y02 | 10 May 2017 17:12:11 CEST

Query / List

Query

List

Please select a row to see available actions.

	Account	Account name	Entity	Currency	Balance Type	Balance	Business date	Last movement
	12345	BANK ABC	CBL	EUR - EURO	Booked balance	3,953,768.50	10/05/2017	26/04/2017 10:33:54
				EUR - EURO	Available Cash Balance	3,943,206.70	10/05/2017	26/04/2017 10:33:54
				EUR - EURO	Blocked for Instruction	10,561.80	10/05/2017	13/10/2016 09:19:20

1 Rows | 25 Rows per page | No selected rows | Query executed: 10/05/2017 17:18:22

Reporting

Manage Report Subscriptions

1. In the main menu, select "Cash & Liquidity", "Reporting", "Manage Report Subscriptions".
2. You are then automatically redirected to the Report Centre "Manage Report Subscription".

Report Type

Business service = Cash & Liquidity

Report type =

Cash balance
Money statement
Money suspense report
Confirmation of Debit/Credit
T2S Cash Report for CB Clients

Account operator =

Organisation unit =

Subscription name =

Ownership = Please select...

Financial institution =

Resources

Resource type = Accounts

Accounts =

Dates & Status

Start date =

Last update =

Status = Please select...

Pending action = Please select...

Delivery

Channel = Please select...

Format = Please select...

Address =

Frequency = Please select...

View Delivered Reports

In the main menu, select "Cash & Liquidity", "Reporting", "View Delivered Reports".

You are then automatically redirected to the Report Centre "View Delivered Reports".

For Cash & Liquidity, the report types available are:

- Cash Balance
- Money statement
- Money suspense report
- Confirmation of Debit/Credit
- T2S Cash Report for CB Clients

Cash & Liquidity

Credit & Collateral Query

As a user with the appropriate permissions, you can query credit and collateral usage, the results of your query provide an overview of your account positions and general collateral usage.

To query credit and collateral:

1. In the main menu, select “Cash & Liquidity”, “Usage”, “Credit & Collateral Query”;
2. In Query/Account, input the account number.

The screenshot displays the 'Query / List' interface. On the left, there are three icons: a grid, a magnifying glass, and a checkmark. The main area is divided into two sections: 'Query' and 'List'. The 'Query' section is active and contains two sub-sections: 'Predefined' and 'Account'. In the 'Predefined' section, there is a 'Query name' dropdown menu set to 'None' and a 'Save query' button. In the 'Account' section, there are two input fields: 'Account' with the value '12345' and a search icon, and 'Account Name' with the value 'DUMMY ACCOUNT NR'. At the bottom of the 'Query' section, there are three buttons: 'Query' (highlighted in green), 'Count', and 'Reset'. The 'List' section is currently collapsed.

Query / List	
Query	
Predefined	
Query name	None
Save query	
Account	
Account	12345
Account Name	DUMMY ACCOUNT NR
Query Count Reset	
List	

Depending on the type of account, the following will be displayed:

Standalone account (that is, not part of an umbrella)

Query / List

12345

Credit & Collateral Usage

Account Id

12345

Account Name

DUMMY BANK ACCOUNT NAME

Business Date

11/06/2018

Total Credit Line Usage

0.00

USD

Used Collateral

0.00

USD

Available Collateral

3,111,111,111.99

USD

Total Collateral

3,111,111,111.99

USD

Total % Collateral Used

0.00

Forecast Usage Details

12345

Account

Instruction Type

Currency

Cash Impact

Securities Collateral Impact

RVP Internal

USD

89,123,456.99

7,999,999.99

RVP External

USD

-9,654,321.11

3,000,000.99

RF Internal

USD

-15,333,222.33

5,111,222.33

RF External

USD

0.00

117,711.70

DVP Internal

USD

0.00

8,521.26

DVP External

USD

55,000,000.01

-1,099,464.80

DF Internal

USD

7,815,643.07

-2,846,688.22

DF External

USD

0.00

-415,747.58

USD

0.00

-17,883.60

Print

Close

Credit & Collateral Usage summarises your activities, listing the following items:

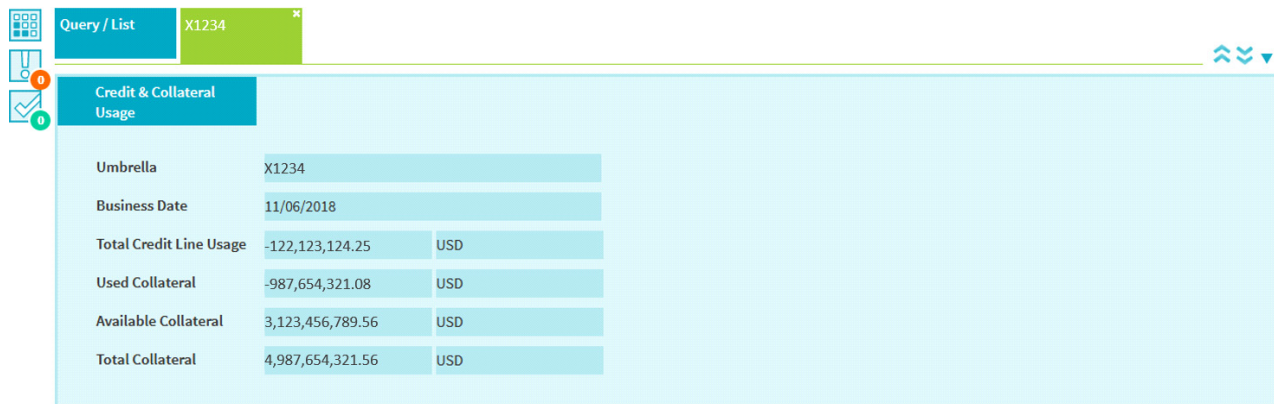
Account Id	Account number
Account Name	Account name associated with the queried account
Business Date	Business date of positions
Total Credit Line Usage	Total real-time credit line usage for the current processing day
Used Collateral	Real-time collateral that is not available for the current processing day
Available Collateral	Real-time collateral that is available for the current processing day
Total Collateral	Real-time collateral overview for the current processing day
Total % Collateral Used	Total % of available Used Collateral for the account

Forecast Usage Details shows, for next day value, for each standalone account, the instructions that will have a cash or securities collateral impact per instruction type and currency.

Cash & Liquidity

Umbrella account

By querying on an account that is part of an umbrella, all accounts falling under the umbrella will be displayed:



The screenshot shows a web interface with a top navigation bar containing a 'Query / List' button and a search field with 'X1234'. On the left, there are three icons: a grid, a warning sign with a red '0', and a checkmark with a green '0'. The main content area is titled 'Credit & Collateral Usage' and displays a summary table for umbrella X1234 as of 11/06/2018.

Umbrella	X1234	
Business Date	11/06/2018	
Total Credit Line Usage	-122,123,124.25	USD
Used Collateral	-987,654,321.08	USD
Available Collateral	3,123,456,789.56	USD
Total Collateral	4,987,654,321.56	USD

Credit & Collateral Usage summarises the positions at the umbrella level, listing the following items:

Umbrella	The umbrella account
Business Date	Business date of positions
Total Credit Line Usage	Total real-time credit line usage for the current processing day
Used Collateral	Real-time collateral that is not available for the current processing day
Available Collateral	Real-time collateral that is available for the current processing day
Total Collateral	Real-time collateral overview for the current processing day

▼ Current Usage Details							
Account	Currency	Credit Line Usage	Collateral Used	% Collateral Used	Shared Credit Line	Shared Collateral	Shared Contributor
11111	USD	0.00	0.00	0.00	N	Y	N
12111	USD	0.00	0.00	0.00	N	Y	N
13111	USD	0.00	0.00	0.00	N	Y	N
14111	USD	0.00	0.00	0.00	N	Y	N
15111	USD	-504,809,429.11	-504,809,429.11	29.54	Y	Y	Y
16111	USD	0.00	0.00	0.00	Y	Y	N
17111	USD	0.00	0.00	0.00	Y	Y	N
18111	USD	0.00	0.00	0.00	Y	Y	N
19111	USD	-94,073,925.62	-94,073,925.62	2.29	Y	Y	N
20111	USD	0.00	0.00	0.00	Y	Y	N

1 2 3

Current Usage Details lists all the accounts that are part of the umbrella, showing their respective position, usage and function in the umbrella:

Account	Account number
Currency	Currency
Account Name	Account name associated with the queried account
Business Date	Business date of positions
Credit Line Usage	Real-time credit line usage for the current processing day
Collateral Used	Real-time collateral that is not available for the current processing day
% Collateral Used	Percentage of used collateral compared to available collateral
Shared Credit Line	If Y, the credit line of the umbrella account is shared by the account
Shared Collateral	If Y, the collateral of the umbrella account is shared by the account
Shared Contributor	If Y, the account contributes collateral to the umbrella account

Cash & Liquidity

Forecast Usage Details								
	Account	Instruction Type	Currency	Cash Impact	Securities Collateral Impact	Shared Credit Line	Shared Collateral	Shared Contributor
+	11111		USD	9,466,823.39	5,999.74	N	Y	N
+	12111		USD	0.00	1,361,938,652.73			
-	13111		USD	3,504,809,429.63	-3,678,399,674.41	Y	Y	Y
		DF External	USD	0.00	-1,894,206,690.45			
		DF Internal	USD	0.00	-1,042,393,330.79			
		DVP Internal	USD	-8,987,654,321.95	-5,123,456,789.21			
		DVP External	USD	3,764,520,214.00	-2,967,031,909.09			
		IPAR	USD	17,025,297.93	0.00			
		Pre-Advice of Funds	USD	97,600.00	0.00			
		RF External	USD	0.00	429,188,807.43			
		RF Internal	USD	0.00	709,557,532.44			
		RVP Internal	USD	-8,123,778,526.95	7,675,886,837.33			
		RVP External	USD	-3,987,654,321.28	3,198,343,541.93			
		Withdrawal of Funds	USD	-156,753,568.20	0.00			
+	14111		USD	134,415,392.53	3,115,433.27	N	Y	N
+	15111		USD	0.00	-4,999,000.99	N	Y	N

1 2

Close

Forecast Usage Details shows, for next day value, for each account in the umbrella, the list of instructions that will have a cash or securities collateral impact by instruction type and currency:

Account	Account number
Instruction Type	Type of instruction
Currency	Currency
Cash Impact	Cash position per type of instruction resulting from various sources
Securities Collateral Impact	Collateral countervalue per security instruction type
Shared Credit Line	If Y, the account benefits from the credit line of the umbrella
Shared Collateral	If Y, the account benefits from the collateral of the umbrella
Shared Contributor	If Y, the account contributes collateral to the umbrella

Credit Usage & HLC Query

As a user with the appropriate permissions, you can query credit usage and HLC, the results of your query provide an overview of your account positions and general collateral usage.

To query credit usage and HLC:

1. In the main menu, select "Cash & Liquidity", "Usage", "Credit Usage & HLC Query";
2. In Query/Account, input the account number.
3. Click on "Count" to view the number of rows without seeing the List View. If you want to check how many results your query will yield as it is currently specified, use the "Count" button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.
4. Click on "Query" to see the List View.

To view the details of credit usage and HLC:

1. Perform a query as above.
2. To display the details of the instruction, select the row(s) from the list and click on "Open details".
3. Results can be exported to an XLS file or printed as a PDF.
4. Click on the "Close" button to close the details.

Cash & Liquidity

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5. Asset Servicing

As a user with the appropriate permissions, you can use Xact Web Portal to:

- Query corporate action events;
- Query corporate action confirmations;
- Query shareholder identification disclosure requests;
- Create and query corporate action instructions;
- Query forecast movements of cash or securities proceeds over the next 8 days;
- Subscribe to and receive reports.

Asset services is divided into 6 domains:

1. Event
2. Confirmation
3. Instruction
4. Movement
5. Shareholder Identification
6. Reporting

CA Event

The user can also query events and corporate actions (CA) without holdings and visualise the MT564 and MT568 messages, as well as IPAR (Income Pre Advice) details. Via CA Event you can access the query list and detailed views of a corporate action event.

To query corporate action events:

1. Click on Asset Servicing, CA Event in the main menu of Xact Web Portal.
2. In the Query View, the following details of the query can be selected:
 - In the Corporate Action ref. field, the user can input the reference of the related corporate action event.
 - The drop-down list of the Event Type contains all event type codes.
 - Action Status list used to query on a specific Action Status.
 - Processing Status.
 - CA type used to distinguish between corporate action event or certification event.
 - Market is used to filter the events based on country of financial underlying security.
 - Mandatory/voluntary is used to distinguish between three event categories mandatory, mandatory with choice and voluntary.
 - The financial instrument contains the ISIN of the instrument input manually or selected via the lookup. The description of the selected financial instrument appears in the non-editable Description field.
 - Safekeeping account contains the account ID. It can be input by the user or selected via the lookup. The Safekeeping Account Name shows the name of the selected account. This field is not eligible.
3. Populate the fields with the required search criteria.
4. By clicking on the Account magnifying glass, the user can filter by entity CBL, CBF and LuxCSD.
5. Click on "Count" to view the number of rows without seeing the List View. If you want to check how many results your query will yield as it is currently specified, use the "Count" button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.
6. Click on "Query" to see the List View.
7. Results in List View are aggregated by corporate action event. If multiple accounts are impacted by the event, the main row can be expanded to view all accounts.

Query / List

Query

Predefined

Query name: [Save query](#)

Quick filters

Urgent Uninstructed Event
 Urgent Uninstructed Certification
 Uninstructed Early Deadline
 Uninstructed Deadline Reached

Uninstructed Early Deadline Reached
 Tax Additional Information Only
 Display Events Without Holdings
 MT568 Received

Security In Default
 ICSD URF Procedure
 Pending CA Instructions
 Income Pre-advice

Search by CA Events

Corporate Action Ref. =	Event Type = Please select...
Action Status = Please select...	Processing Status = Please select...
CA Type = Please select...	Event Indicator =
Market = Please select...	Mandatory/Voluntary = Please select...
Account = Safekeeping	Account Name =
Financial Instrument =	Description =
Place of Safekeeping =	Date = PAYD - Payment Date
Notification Timestamp [] From	[] From
To	To
Set Current Calendar Date	Set Current Business Date

Ordering

[Query](#) [Count](#) [Reset](#)

To view the details of a corporate action event:

The Detail view can be opened for one account only or for the event for all accounts:

1. Perform a query as above.
2. To display the details of the event, select the row(s) from the list and click on "Open details":
3. If more than one instruction is selected the details open in separate tabs.

The detail view displays event details for all accounts (the user can choose to filter the details displayed for a particular subset of accounts) This is different from the other queries, where the information is always split by account.

The CA Event view is divided into:

- Summary view is composed of a timeline, key information, a quick navigation panel.
The view is based on ISO 15022. When present, Certification and MT568 details are added to the bottom of the Event detailed view and sub-divided into:
 - Account Specific filtered by account.
 - Event Summary which contains a graphical timeline with all important dates relevant to the event selected.
The colour orange indicates there remains an uninstructed balance.
The colour green indicates that the event has been fully instructed.
- The sub-sections of the CA Event Detail view are based on the Swift MT564 ISO 15022 format
The following sub-sections are supported:

- Sequence A - General Information
 - Sequence A1 - Linkages
 - Sequence B - Underlying Financial Instrument
 - Sequence B1 - Financial Instrument Attributes
 - Sequence B2 - Account Information
 - Sequence D - Corporate Action Details
 - Sequence E - Corporate Action Options
 - Sequence E1 - Security Movement
 - Sequence E2 - Cash Movement
 - Sequence F - Corporate Action Narratives
 - Additional Narratives
 - Certification Request
 - Related Corporate Action Instructions
 - Market Claim Messages
 - Transformation Messages
 - Payment reversal tab is only present if an MT564 ADDB flagged as a reversal has been sent out.
4. Click on the “Close” button to close the details.

To create a corporate action instruction from a corporate action event:

1. Perform a query as above.
2. To display the details of the instruction, select the row(s) from the list and click on “Open details”:
3. If more than one instruction is selected the details open in separate tabs.
4. Click on “Create” CA Instruction.
5. The Create CA Instruction window opens pre-filled with the information about the event and the securities.
6. Complete your corporate action instruction with the sender’s reference option number and quantity to instruct.
7. Click on “Submit” to send the instruction.
8. The instruction needs to be released (please refer to [“Instruction input life cycle”](#)).

CA Confirmations

To query corporate action confirmations:

1. Click on Asset Servicing, CA Confirmations in the main menu of Xact Web Portal
2. Populate the fields with the required search criteria.
3. Click on "Count" to view the number of rows without seeing the List View. If you want to check how many results your query will yield as it is currently specified, use the "Count" button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.
4. Click on "Query" to see the List View.

Results in List View are aggregated by event. If multiple confirmations have been received for one or more accounts, users can expand on the main row to view all received confirmations.

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CA Confirmation

Help | My Profile | Contacts | Logout | Operation Entity Full Access 2Y 02 | 04 Apr 2017 10:52:20 CEST

Search

Query / List AC5152995 - AC5152995 -

Summary Details Confirmation Narratives

Ca Confirmation Summary

Repurchase Offer CA Reference AC5152995 Financial Instrument US06739FHV67 - USD 3,75 BARCLAYS BK PLC 14-2024		Safekeeping Account 12345 BANK ABC	Option 001-CASH	Confirmation Timestamp 15/01/2016 10:43
Function of the Message New Message	Confirmed Balance FAMT 6,500,000	Security Movement Debit ISIN US06739FHV67 FAMT 6,500,000	Cash Movement Credit Cash Account 99999 USD 6,809,530	

Go to Refresh Close

To view the details of a corporate action confirmation:

1. Perform a query as above.
2. To display the details of the confirmation, select the row(s) from the list and click on "Open details":

clearstream | SYSTEM ADMIN | ADMIN | CA Confirmation

Search

Help | My Profile | Contacts | Logout | Operation Entity Full Access 2/02 | 04 Apr 2017 10:32:20 CEST

Query / List | AC313285 | AC313285

Summary | Details | Confirmation | Narratives

General Information

Corporate Action ref.	AC313285	Clearstream Reference	00000131304311Z
Function of Message	New Message	Event type	BIDS - Repurchase Offer
Safekeeping Account	12345 Bank ABC	Proceeds type	Income
Last Update Timestamp	15/01/2016 10:43:11		

Linkages

Previous Reference	00000131304096Z - 565	Related Message Reference	17294 - 565
--------------------	-----------------------	---------------------------	-------------

Underlying Financial Instrument

Common Code	10649395	Single	Description	USD 3,75 BARCLAYS BK PLC 14-2024
ISIN	US067391H967		Place of Safekeeping	DTYUS3300X - DEPOSITORY TRUST COMPANY, TH...
Type	Bond			

Attributes

Currency of Denomination	USD	Minimum Nominal Quantity	FAMT 1,000
--------------------------	-----	--------------------------	------------

Balances

Balance As Of	15/01/2016 10:43:09	Confirmed Balance	FAMT 6,500,000
---------------	---------------------	-------------------	----------------

Details

Announcement Date	04/01/2016
-------------------	------------

Go to | Refresh | Close

3. If more than one instruction is selected the details will open in separate tabs.
4. Click on the Go To button to view the related corporate action event, related corporate action instructions, related MT566 Reports, related Security Instructions and related Cash Instructions
5. Click on the "Close" button to close the details.

CA Instructions

To create a corporate action instruction:

1. A corporate action instruction should always be created from the corporate action event, so it is linked to this event.
2. A corporate action instruction created separately results in an unsolicited instruction (an instruction not linked to an event).
3. Click on "Asset Servicing", "CA Instruction" in the main menu of Xact Web Portal. The screen opens with the Query view.
4. Click on "Create".
5. A new tab opens.
6. Complete the fields as required. Sender's reference, Event Type, ISIN, Safekeeping Account, Option Number, Quantity.
7. Click on "Submit".
8. The instruction needs to be released (please refer to ["Instruction input life cycle"](#)).

To query corporate action instructions:

1. Click on "Asset Servicing", "CA Instruction" in the main menu of Xact Web Portal.
2. Populate the fields with the required search criteria.
3. Click on "Count" to view the number of rows without seeing the List View. If you want to check how many results your query will yield as it is currently specified, use the "Count" button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.
4. Click on "Query" to see the List View.

To view the details of an existing corporate action instruction:

1. Perform a query as above.
2. To display the details of the instruction, select the row(s) from the list and click on "Open details".
3. If more than one instruction is selected the details open in separate tabs.
4. Click on the "Close" button to close the details.

To duplicate an existing corporate action instruction

1. Perform a query as above.
2. Duplicating an instruction from the List View:
 - Select the instruction in the List View and click on the Actions button and select "Duplicate".
 - A New corporate action instruction tab opens, this contains the details of the previous instruction.
 - Make any changes as necessary, and Click on "Submit".
3. Duplicating an instruction from the detail view:
 - Select the instruction in the List View and click on "Open details".
 - The detail view opens. Click on the Actions button and choose Duplicate.

To edit/modify a corporate action instruction:

1. Perform a query as above.
2. For instructions that have not been released:
 - Open the detail view of the instruction that you wish to modify and click on the Edit button.
 - Make the changes as required and Click on "Submit" to modify the instruction.
3. The instruction needs to be released (please refer to ["Instruction input life cycle"](#)).

To delete/cancel a corporate action instruction:

1. Perform a query as above.
2. For instructions that have not been released:
 - Select the instruction that you wish to cancel from the List View, and click on the Actions button.
 - Click on "Delete" and confirm.

CA Instruction File Upload

This allows the user to upload a large volume of instructions in Excel format via Xact Web Portal.

To upload a corporate action instruction file:

Note: A list of up to 300 security instructions in ASCII file format can be uploaded. Please refer to the template for further format information.

1. Click on Instruction, CA Instruction File Upload in the main menu of Xact Web Portal.
2. The CA Instruction File Upload Input tab opens. When selecting a file content, an additional button appears on the bottom right-end side of the screen:

Download...

This button allows the user to download the latest template of the selected service.

3. Browse for the instruction file and click on the Upload button.
4. Once the upload is complete, the CA Instruction File Upload List View is displayed.
5. The progress of the validation of the file is shown.
6. If there are any errors in the uploaded file, the full file is rejected and errors need to be amended and uploaded again. The validation results will indicate the error and the row in which the error occurred.
7. Once the file is successfully loaded, instructions are created but not released (user can query for them in the Securities Instructions query) or view them via the Go to → Process Data link in the File Upload screen.

To query a corporate action instruction file:

1. Click on "Instruction", "CA Instruction File Upload" in the main menu of Xact Web Portal.
2. Click on "Query"/List and the CA Instruction File Upload query screen opens.
3. Select the already loaded CSV file and click on "Query".

Forecast Movements

The Movement domain allows the user to view forecast events and historical movements. It provides a simplified view of the cash and securities to be received.

The Corporate Action Forecast Movements Query Manager allows the user to view his unconfirmed and confirmed cash and/or security proceeds over a period of 31 days in the future, and up to 13 months in the past by tranches of 31 days or less. The Payment Date query range is 31 calendar days.

To query forecast movements:

1. Click on Asset Servicing, Forecast Movements in the main menu of Xact Web Portal.

Query

Predefined

Query name: None Save query

Movements

Corporate Action Ref. =

Movement Type = Please select...

Currency = Please select...

Account = Multiple types

Financial Instrument =

Place of Safekeeping =

Date = PAYD - Payment Date

Event Type = Please select...

Pre-Advice Status = Please select...

Account Name =

Description =

From To

Set Current Business Date

Query Count Reset

2. Populate the fields with the required search criteria:
 - Movement type: All cash movements, all securities movements;
 - Event type;
 - Pre-advice status: Confirmed, unconfirmed;
 - Currency;
 - Account;
 - Financial Instrument;
 - Place of safekeeping;
 - Dates
3. Click on "Count" to view the number of rows without seeing the List View. If you want to check how many results your query will yield as it is currently specified, use the "Count" button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.
4. Click on "Query" to see the List View.

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Forecast Movements

Search

Help | My Profile | Contacts | Logout | Business Full Access 2Y 01 | 13 Dec 2016 14:52:15 CET

Query / List

Query

List

Export Print Refresh

Securities

Go to	Financial Instrument	Quantity	Quantity Type	Pre-Advice Status	Security Movement	Payment Date	Earliest Payment Date	Event Type	Corp. Action Ref.	Movement Reference	Safekeeping Account
☒	US054303AU62	50,000	FAMT	Unconfirmed	DEBIT	15/08/2016		BIDS	ACS628783	0000001995985815	
☒	US054303AW29	100,000	FAMT	Unconfirmed	DEBIT	15/08/2016		BIDS	ACS627147	0000001998622845	
☒	US054303AX02	100,000	FAMT	Unconfirmed	DEBIT	15/08/2016		BIDS	ACS628785	0000002001162055	
☒	US18683KAF84	50,000	FAMT	Unconfirmed	DEBIT	17/08/2016		BIDS	ACS659505	0000002004188025	
☒	USC4535AA81	15,000	FAMT	Unconfirmed	DEBIT	22/08/2016		BIDS	ACS644175	0000002004818035	
☒	USP4173SAE48	800,000	FAMT	Unconfirmed	DEBIT	12/08/2016		BIDS	ACS580283	0000001995098145	
☒	XS1032974609	100,000	FAMT	Unconfirmed	DEBIT	17/08/2016		BIDS	ACS583478	0000001995994445	
☒	XS1059619012	100,000	FAMT	Unconfirmed	DEBIT			BIDS	ACS496014	0000001929201395	
☒	XS1200439009	200,000	FAMT	Unconfirmed	DEBIT			BIDS	ACS180073	0000001800857795	

9 Rows | 25 Rows per page | 1 selected row | Query executed: 13/12/2016 15:01:58

Cash

Export Print Refresh

To view the details of the related corporate action event or corporate action instruction linked to a forecast movement:

1. Perform a query as above.
2. Select the requested row from the list. If more than one instruction is selected the details open in separate tabs.
3. Click on the Go To Menu in List View to view the related corporate action event or related corporate action instruction details.

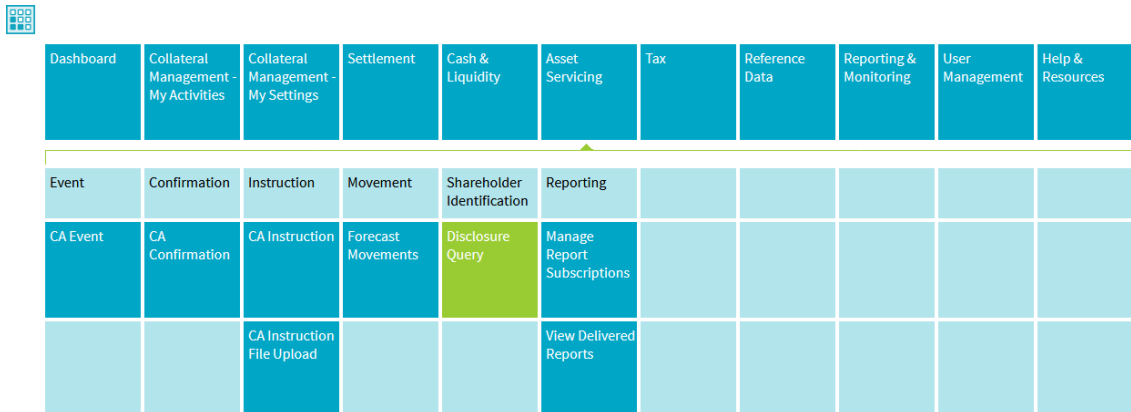
Shareholder Identification

In line with the SRD II European Directive, the Xact Web Portal allows a business user to query on a Shareholder Disclosure Request in order to be able to answer a specific recipient.

Note: Subscription to the Shareholder Identification Disclosure report in ISO 20022 format via Swift FINplus can be scheduled via Reporting & Monitoring, Reporting, Manage Report Subscriptions (see chapter 8. Reporting & Monitoring).

To query disclosures:

1. In the main menu, select Asset Servicing, Shareholder Identification, Disclosure Query.



2. On the query screen, select one of the search fields, as described below, then click “Query”.

Query view

Disclosure search

This section allows the client to query on the following parameters:

- Disclosure Request ID
Free-text field.

Unique identification assigned to a shareholder identification disclosure request sent by the issuer

- Sender
Drop-down multiple choice:
 - CBL
 - CBF
 - LuxCSD
- Request status
Drop-down multiple choice:
 - Received
If a Disclosure Request has been received from CBL, CBF or LuxCSD.
 - Replaced
If a Replacement Disclosure request (seev.045.001 REPL) has been received afterwards.
 - Cancelled
If a Disclosure Request Cancellation Advice (seev.046.001) has been received afterwards.
- ISIN
Look up with autocomplete.
- Safekeeping Account
Look up with autocomplete.
Allows to search requests by impacted account.
- Receipt Timestamp
Timestamp applies to the last (current) version received for a request. The allowed date range is maximum 31 calendar days.
- Record Date
Shareholders Disclosure Record Date. The allowed Date range is maximum 31 calendar days.

List view

Query / List

- Institution Sht Cd: BIC of the institution
- Subscription Name: Name of the subscription that has been setup in BRC (Business Report Centre) to receive the SID requests via the Swift FINplus channel, if any.
- Financial Instrument: ISIN code present in the SID request.
- Record Date: Record Date present in the SID request.
- Threshold Qty: Threshold quantity present in the SID request.
- Request Status: (Received, replaced or cancelled)
- Receipt Tmstmp: Timestamp when the SID request has been received.
- Receiver: Receiver of the SID request

Detailed view

From the list view, select one or multiple items and click either on the folder icon or the “Open Detail” button to display the details of the disclosure query:

Query / List

SIDBATSK4000015475 (4235)

Disclosure

Disclosure

Disclosure Request ID

SIDBATSK4000015475

Request Status

Replaced

Record Date

23/06/2020

Entity

Other

Financial Instrument

SK4000015475

Request

Request Type

NEWM

Receipt Tmstmp

22/09/2020 11:53:25

Open Message

Issuer Deadline

15/07/2020 15:00:00

Fwd Req. Ind.

Yes

Resp. Through Chain Ind.

No

Recipient Name

WM

Threshold Qty

Recipient LEI

15475400001SIDBATSK47

Impacted Accounts

Account ID	Entity	Institution Sht Cd	Institution Name	Subscription Name	Subscription Address
12345	OTHER			RAVI-DUP-Seev45	ou=dmmylulu,o=cedelull,o=swift

Replacement request

Request Status

Replaced

Receipt Tmstmp

28/08/2020 12:02:47

Open Request

Issuer Deadline

2020-07-15 10:00:00.0

Print

Refresh

Close

Request Cancellation

Canc. Reason

WITH

Receipt Tmstmp

22/09/2020 13:42:52

Open Message

Print

Refresh

Close

The Disclosure screen displays the following sections:

- Disclosure (Mandatory)
- Request (Mandatory)
- Impacted Accounts (Mandatory)
- Replacement Request (Optional)
- Request Cancellation (Optional)

Note: Each optional section is displayed only if it is not empty.

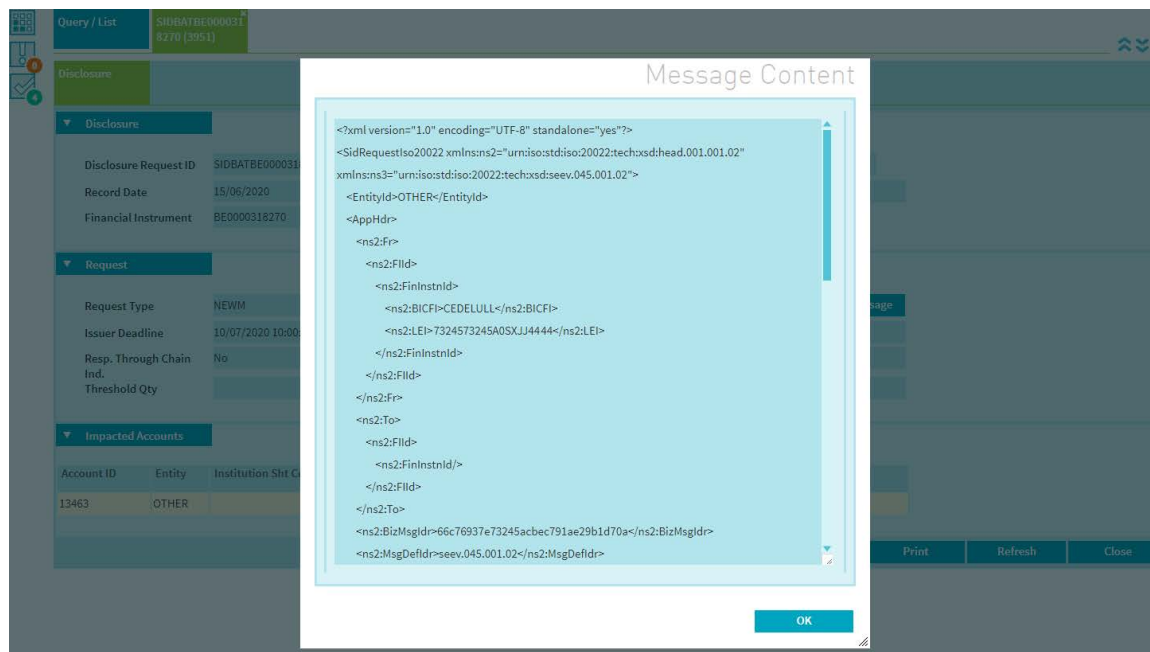
Each section shows an “Open Message” or “Open Request” button that may be used to show additional messages and content in XML format.

List of fields displayed by section:

- Disclosure:
 - Disclosure Request Id: Unique ID for the SID request
 - Record Date: Shareholders disclosure record date
 - Entity: Entity that forwarded the SID request
 - Financial Instrument: ISIN
 - Request Status: Status of the message
- Request:
 - Request type: Type of message (new, replacement or cancellation)
 - Received timestamp: Received time stamp of the message
 - Issuer Deadline: Issuer deadline from the SID request message received
 - Fwd Req. Ind.: Forward indicator from the SID request message received
 - Resp. Through Chain Ind: Response through chain indicator from the SID request message received
 - Recipient Name: SID request message recipient name
 - Threshold Quantity: Threshold mentioned in the SID request message
 - Recipient LEI: LEI of the recipient of the SID request message
- Impacted accounts
 - Account ID: Account ID, which has positions on recorded date
 - Entity: Entity that holds the account
 - Institution Name: Institution name
 - Institution Shd Cd: Receiver institution BIC
 - Subscription Name: Name of the subscription setup in BRC to receive the SID requests via Swift FINplus channel
 - Subscription Address: Address setup in BRC to receive the SID requests via Swift FINplus channel
- Replacement request
 - Request Status: Status of the message
 - Received Tmstmp: Received time stamp of the message
 - Issuer Deadline: Issuer deadline from the SID request message received
- Request cancellation
 - Cancellation reason: Reason of the cancellation of the message
 - Receipt Tmstmp: Received time stamp of the message

Message view

Click on “Open Message” or “Open Request” in one section to display the related XML message.



Reporting

The Reporting allows the user to retrieve or to schedule specific reports. It provides a simplified view of the cash and securities to be received.

Manage Report Subscriptions

1. Select Asset Servicing, Reporting, Manage Report Subscriptions, in the main menu of Xact Web Portal.
2. You are then automatically redirected to the Report Centre, Manage Report Subscription.

Query

Predefined

Query name: None Save query

Report Type

Business service: Asset Servicing

Report type: Income Pre Advice Report

Account operator:

Organisation unit:

Subscription name:

Ownership: Please select...

Financial institution:

Resources

Resource type:

Accounts:

Dates & Status

Start date:

Last update:

Status: Please select...

Pending action: Please select...

Delivery

Channel: Please select...

Format: Please select...

Address:

Frequency: Please select...

Ordering

View Delivered Reports

1. In the main menu, select Asset Servicing, Reporting, View Delivered Reports.
You are then automatically redirected to the Report Centre, View Delivered Reports
For Asset Servicing, the report types available are:
 - MT564 Income Pre-Advice Report (IPAR);
 - MT564 Claim and Reversal Advice;
 - MT566/568 Corporate Action Notifications;
 - MT566 Corporate Action Confirmations;
 - Urgent Uninstructed Notifications;
 - MT567 Corporate Action Instruction Status and Processing Advice;
 - Custody Market Claims;
 - Corporate Actions Reference Data reporting;
 - MT564 for Paying Agents
 - MT566 for Paying Agents
 - Main Paying Agent/Lead Manager Report.

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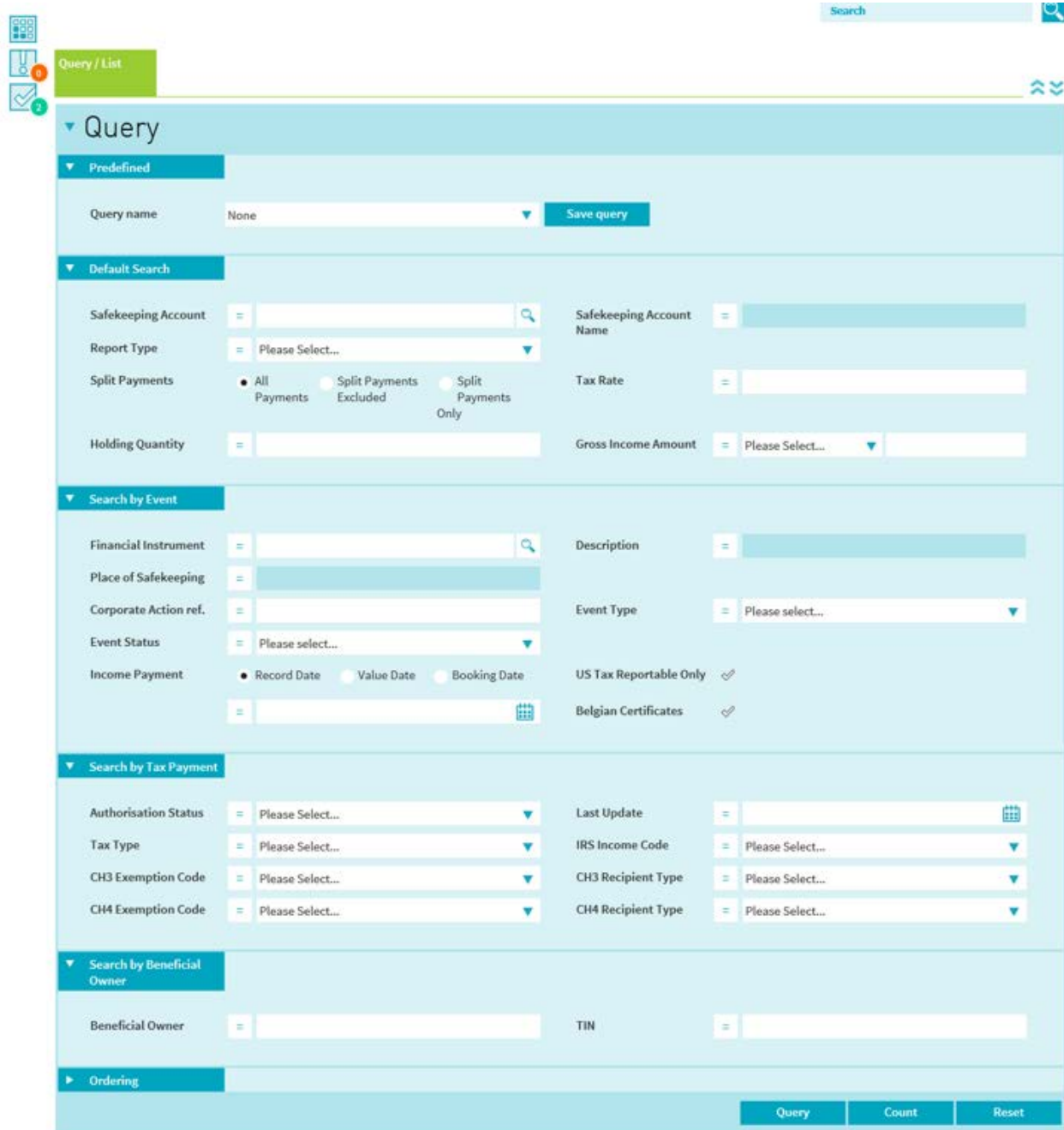
6. Tax

As a business user with the appropriate permissions, you can use Xact Web Portal:

- To query and view the following information:
 - **US Tax** - Information includes all payment and tax details both in the original currency and in USD. Forex rates are provided for each payment and split. Payment and split statuses have been simplified and you can easily associate a beneficial owner, Tax Identification Number (TIN) and/or IRS income and exemption codes with a payment split.
 - **Tax Refund** - You can retrieve a list of refunds by account, market, tax refund attributes, dates, event type and beneficial owner. You can use the expanded refund statuses, comments and refund type to track refunds submitted to Clearstream.
 - **Tax certificate** - The results of your queries provide tax certificate inventory and expiry information. You can define your query by account, market, document, event and/or certificate validity dates, beneficial owner and event type. You can also use both Clearstream and the user's own reference numbers.
 - **FTT/Sales tax** - The results of your queries provide the Declaration Validation Status of Financial Transaction Tax (FTT) / Sales tax files uploaded via Xact Web Portal and Xact File Transfer.
- To access the FTT/Sales tax Upload service and directly upload an FTT or Sales Tax file;
- To be redirected to the Beneficial Owner Upload website;
- To be redirected to the Report Centre within the Tax context;
- FTT refers to the French Financial Transaction Tax and the Spanish Financial Transaction Tax;
- Sales Tax refers to the Greek Sales Tax.

US Tax Query

To query US Tax:



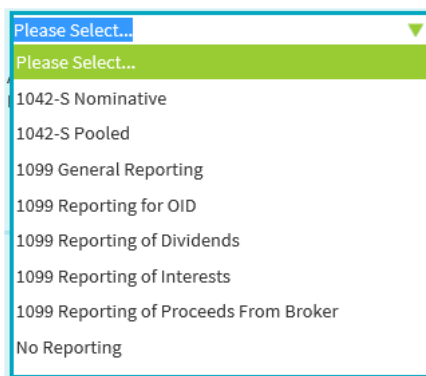
The screenshot displays the 'Query / List' interface for US Tax. It features a sidebar with icons for a calendar, a list, and a checkmark. The main area is titled 'Query' and contains several sections for filtering results:

- Predefined:** A dropdown menu for 'Query name' set to 'None' and a 'Save query' button.
- Default Search:** Fields for 'Safekeeping Account' (with a lookup icon), 'Report Type' (dropdown), 'Split Payments' (radio buttons for 'All Payments', 'Split Payments Excluded', and 'Split Payments Only'), 'Holding Quantity', 'Safekeeping Account Name', 'Tax Rate', and 'Gross Income Amount' (dropdown).
- Search by Event:** Fields for 'Financial Instrument' (with a lookup icon), 'Place of Safekeeping', 'Corporate Action ref.', 'Event Status' (dropdown), 'Income Payment' (radio buttons for 'Record Date', 'Value Date', and 'Booking Date'), 'Description', 'Event Type' (dropdown), 'US Tax Reportable Only' (checkbox), and 'Belgian Certificates' (checkbox).
- Search by Tax Payment:** Fields for 'Authorisation Status', 'Tax Type', 'CH3 Exemption Code', 'CH4 Exemption Code', 'Last Update' (with a calendar icon), 'IRS Income Code', 'CH3 Recipient Type', and 'CH4 Recipient Type'.
- Search by Beneficial Owner:** Fields for 'Beneficial Owner' and 'TIN'.

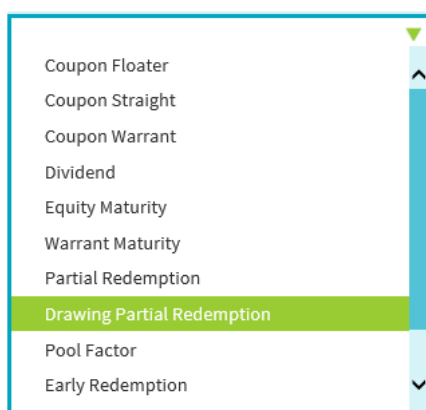
At the bottom, there is an 'Ordering' section and three buttons: 'Query', 'Count', and 'Reset'.

1. In the main menu, select Tax, US Tax Query.
2. In the Query view, the following details of the query can be selected:
 - The Safekeeping Account contains the account ID. It can be input by the user or selected via the lookup. The Safekeeping Account Name shows the name of the selected account. This field is not eligible.

- In the Report Type field, you can select one of the following Report Types:



- The Split Payments allows you to select one of the three following buttons (only one button can be selected at any one time):
 - All Payments.
 - Split Payments Excluded (those ones where there has been no split between different beneficial owners).
 - Split Payments Only (only those ones where there have been splits on more than one beneficiary).
- You can select a Tax Rate. It is limited from 0 to 100.
- The Holding Quantity refers to the user's holding or the Beneficial Owner(s) holding in the underlying securities.
- In the Gross Income Amount field, the user can input the income amount before tax or the Beneficial Owner(s) tax amount before tax in the underlying securities in any valid currencies.
- The financial instrument contains the ISIN of the instrument input manually or selected via the lookup. The description of the selected financial instrument appears in the non-editable Description field.
- The Place of Safekeeping shows the place of safekeeping of the selected financial instrument.
- In the Corporate Action ref. field, the user can input the reference of the related corporate action event.
- The drop-down list of the Event Type contains the event type codes that are valid for the US Tax Report:



- The Event Status indicates the current payment processing status of a taxable or reportable income event. From the drop-down list, the user can select one of the three following statuses:

PAID: A taxable or reportable income payment has been processed.

REVERSED: A previously paid taxable or reportable income payment has been reversed. That is, an income payment has been reversed because, for example, funds have not been received from a depository or the price or currency is different from the one originally indicated by the depository at the time of payment)

REPAID: A previously reversed taxable or reportable income payment has been re-issued with the repaid functionality for the corrected details.

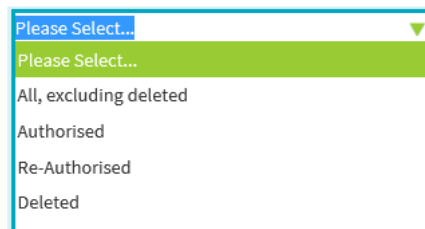
- In the Income Payment section, the user can select one of the following three options:

Record Date = Date at which, after the daytime processing, Clearstream records holdings in the security as being an entitled position.

Value Date = Value date applied to the proceeds

Booking Date = Processing Date - Date when the income proceeds are posted on the account.

- US Tax Reportable Only filters US Tax reportable only securities (not taxable).
- Belgian Certificates filters Belgian certificates of US securities.
- The Authorisation Status refers to the status of a taxable or reportable payment.



- The drop-down list shows the reportable status codes in US Tax Application:

Authorised: The taxable or reportable payment has been split to the underlying beneficial owners and the appropriate withholding tax rate and report type have been assigned per beneficial owner, according to user certification.

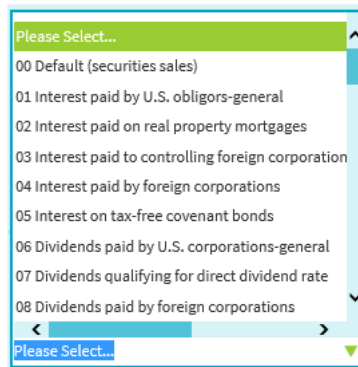
Re-authorised: A payment has been authorised more than once and has been adjusted during the authorisations.

Deleted: A previously authorised or re-authorised payment has been removed from the US tax reporting database.

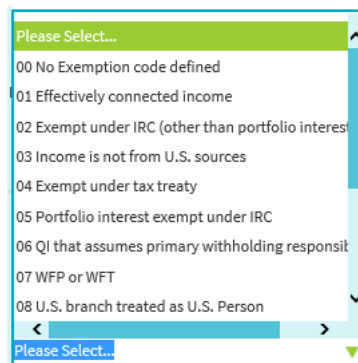
All, excluding deleted: All the valid not deleted payments.

- The Last Update field allows the user to query US Tax payments that have had their status changed within the requested date interval. The Last Update parameter is related to the Payment, that is, the reported payment is the one with the last update payment and with latest splits and beneficial owner.
- The Tax Type allows the user to enter the query based on the coding defined by the Internal Revenue Service (IRS): FATCA, QI.

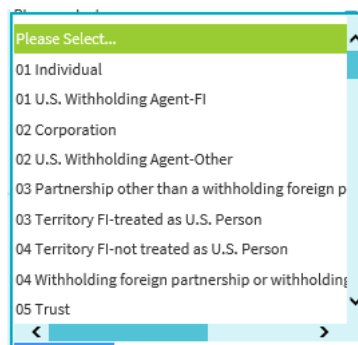
- The IRS Income Code allows the user to specify the IRS (Internal Revenue Service) income code:



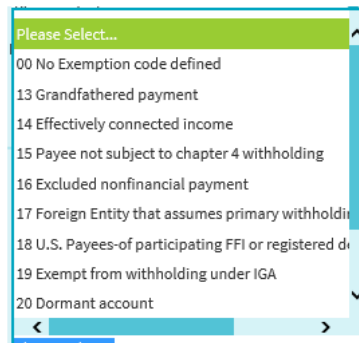
- The CH3 Exemption Code allows the user to specify the CH3 Exemption code:



- The CH3 Recipient Type allows the user to enter the query based on the classification of the recipient of a specific income payment:



- The CH4 Exemption Code allows the user to specify the CH4 Exemption code:



- The CH4 Recipient Type allows the user to specify the CH4 Recipient code.



- In the Beneficial Owner field, the search of the beneficial owner must be limited to the beneficial owners linked to the Account(s) selected.
 - The TIN refers to the US Taxpayer Identification Number. This number can be a social security number assigned to individuals by the Social Security Administration or an Employer Identification Number assigned to businesses and other entities by the Internal Revenue Service.
3. Before submitting your query:
 - If you decide to change it, use the "Reset" button to return all the specifications to their default values so that you can start the query again.
 - If you want to check how many results your query will yield as it is currently specified, use the "Count" button to display the number.
 4. Select the "Query" button to perform the query.

The results that match your set of criteria are displayed in a List View. If there are no matches, the Count field indicates 0 rows and the List View does not expand.

To view the details of the US Tax Query:

1. In the main menu, select Tax, US Tax Query.
2. Perform a suitable query (see [“To query US Tax:”](#) above).
3. In the resulting List View, highlight the requested row in the list and click on the folder on the first column of the List View:

clearstream DEUTSCHE ZIRB GROUP

US Tax Query

Search

Help | My Profile | Contacts | Logout | Igor Goyzueta | 12 Apr 2017 15:02:17 CEST

Query / List

Query

List

Open Detail	Payment ID	Split Payment ID	Safekeeping Account	Financial Instrument	Corporate Action Ref.	Event Type	Event Status	Compensation Flag	Gross Income (orig. CCY)	Original Currency	Gross Income (USD)	Tax Rate (%)	Total Tax Withheld (orig. CCY)	Total Tax Withheld (USD)	Exch. Rate	Record Date
	18039424	5947773		US9841390109		DIVIDEND	PAID	No	295.66	USD	295.66	0	0	0	1	16/02/2017
	18041264	5965571		US8715031089		DIVIDEND	PAID	No	604.05	USD	604.05	0	0	0	1	20/02/2017
	18037959	5939402		US4001481035		DIVIDEND	PAID	No	1,542.9	USD	1,542.9	0	0	0	1	15/02/2017
	18037955	5939458		US2635341090		DIVIDEND	PAID	No	12,488.7	USD	12,488.7	0	0	0	1	15/02/2017
	18042718	5967016		US03094831020		DIVIDEND	PAID	No	8,342.72	USD	8,342.72	0	0	0	1	21/02/2017
	18041014	5965306		US8857991010		DIVIDEND	PAID	No	22,548.25	USD	22,548.25	0	0	0	1	17/02/2017
	18016552	5961832		US6558441084		DIVIDEND	PAID	No	176.29	USD	176.29	0	0	0	1	09/02/2017
	18042722	5967020		US7729031091		DIVIDEND	PAID	No	74.48	USD	74.48	0	0	0	1	21/02/2017
	18041015	5965307		US9130171096		DIVIDEND	PAID	No	15,560.16	USD	15,560.16	0	0	0	1	17/02/2017
	18041265	5965572		US9130171096		DIVIDEND	PAID	No	-11.22	USD	-11.22	0	0	0	1	17/02/2017
	18037963	5939466		US9314271084		DIVIDEND	PAID	No	451.5	USD	451.5	0	0	0	1	15/02/2017
	18037962	5939465		US8761211064		DIVIDEND	PAID	No	379.8	USD	379.8	0	0	0	1	15/02/2017
	18037961	5939464		US5324371083		DIVIDEND	PAID	No	18,970.64	USD	18,970.64	0	0	0	1	15/02/2017
	18037956	5939459		US3016191019		DIVIDEND	PAID	No	112.66	USD	112.66	0	0	0	1	15/02/2017
	18038267	5997907		US0302310102		DIVIDEND	PAID	No	297.75	USD	297.75	0	0	0	1	10/02/2017
	18039423	5947772		US8761211064		DIVIDEND	PAID	No	15	USD	15	0	0	0	1	15/02/2017
	18039421	5947770		US1687641005		DIVIDEND	PAID	No	44,304.84	USD	44,304.84	0	0	0	1	16/02/2017
	18021293	5896354		US6806652052		DIVIDEND	PAID	No	41.6	USD	41.6	0	0	0	1	10/02/2017
	18021292	5896353		US4592001014		DIVIDEND	PAID	No	381,351.6	USD	381,351.6	0	0	0	1	10/02/2017
	18021291	5896352		US3021310102		DIVIDEND	PAID	No	135,273.75	USD	135,273.75	0	0	0	1	10/02/2017
	18021288	5896349		US0253710107		DIVIDEND	PAID	No	1,015.98	USD	1,015.98	0	0	0	1	10/02/2017
	18039422	5947771		US5949181045		DIVIDEND	PAID	No	169,610.22	USD	169,610.22	0	0	0	1	16/02/2017
	18041013	5965305		US5949181045		DIVIDEND	PAID	No	-115.05	USD	-115.05	0	0	0	1	16/02/2017
	18041263	5965570		US5949181045		DIVIDEND	PAID	No	-15.21	USD	-15.21	0	0	0	1	16/02/2017
	18037954	5939457		US031621009		DIVIDEND	PAID	No	88,336.1	USD	88,336.1	0	0	0	1	15/02/2017

200 Rows out of [Show total](#) | 25 Rows per page | 1 selected row | Query executed: 12/04/2017 15:26:59

1 2 3 4 5 of 6 more... Go to 1 OK

4. View the details as required:

Query / List
5947773

Tax Payment

Account Management

Safekeeping Account	12345 - BANK ABC	Holding Quantity	1587
Compensation Flag	No		

Beneficial Owner

Split Payment ID	5947773		
Name	BANK ABC	Address	
Country		Holding Quantity	1587
QI T.I.N.		QI Type	Qualified Intermediary WITH withholding responsab...
FATCA T.I.N.		FATCA Type	Registered Deemed-Compliant FFI Reporting Model...

Report

Report Type	1042-S Nominative
-------------	-------------------

Tax Payment

Authorisation Status	AUTHO	Last Update	18/02/2017
Payment ID	18039424		
Tax Type	QI	IRS Income Code	08 - Dividends paid by U.S. corporations-general
CH3 Exemption Code	06 - QI that assumes primary withholding responsab...	CH3 Recipient Type	12 - Qualified intermediary
CH4 Exemption Code	17 - Foreign Entity that assumes primary withhold...	CH4 Recipient Type	07 - Registered Deemed-Compliant FFI-Reporting M...
Qualified Dividend	Yes	US Tax Reportable Only	No
Belgian Certificate	No		

Market Information

Corporate Action Ref.			
Event Type	DIVIDEND	Event Status	PAID
ISIN Code	US98419M1008	Description	SHS XYLEM INC W/I ORD REG
Common Code	069982380 SINGLE	Place of Safekeeping	DTCYUS33XXX
Instrument Type	ORDSHR	Currency	USD
Record Date	18/02/2017	Value Date	15/03/2017
Booking Date	15/03/2017		

	Original Currency	Currency USD	Exchange Rate	Tax Rate
Gross Income Amount	285.68	285.68	1.	
Federal Tax Withheld by CS	0	0		
Withheld by other Agents	0	0		
Total Tax Withheld	0	0		0
Net Income	285.68	285.68		

5. When finished, select the "Close" button to return to the List View.

Tax Refund Query

To query Tax Refund:

The screenshot displays the 'Tax Refund Query' interface. At the top left, the 'clearstream' logo and 'DEUTSCHE BÖRSE GROUP' are visible. The main title 'Tax Refund Query' is centered at the top. On the left side, there is a sidebar with a 'Query / List' tab. The 'Query' section is expanded, showing several search criteria:

- Predefined:** A dropdown for 'Query name' set to 'None' and a 'Save query' button.
- Default Search:** Fields for 'Safekeeping Account' (with a lookup icon) and 'Market' (a dropdown set to 'Please select...').
- Search by Event:** Fields for 'Financial Instrument' (with a lookup icon), 'Place of Safekeeping', 'Corporate Action ref.', and 'Income Payment' (with radio buttons for 'Record Date' and 'Value Date').
- Search by Tax Refund:** Fields for 'Refund Procedure Type', 'Tax Refund Status', 'Tax Refund Payment Date', and 'Tax Refund Amount'. It also includes a 'Reference' section with radio buttons for 'Customer' and 'Clearstream', and a 'Last Update' field with a calendar icon.
- Search by Beneficial Owner:** Fields for 'Beneficial Owner' and 'TIN'.

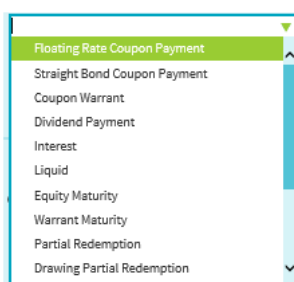
At the bottom of the 'Query' section is an 'Ordering' tab. Below the 'Query' section is a 'List' section.

1. In the main menu, select Tax, Tax Refund Query.
2. In the Query view, the following details of the query can be selected:
 - The Safekeeping Account contains the account ID. It can be input by the user or selected via the lookup. The Safekeeping Account Name shows the name of the selected account. This field is not eligible.

- The Market list contains the markets (countries names) activated in Tax Application:



- The financial instrument contains the ISIN of the instrument input manually or selected via the lookup. The description of the selected financial instrument appears in the non-editable Description field.
- The Place of Safekeeping shows the place of safekeeping of the selected financial instrument.
- In the Corporate Action ref. field, the user can input the reference of the related corporate action event associated to this refund.
- The drop-down list of the Event Type contains the event type codes that are valid for the Tax Refunds:

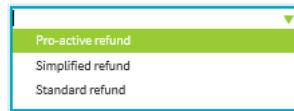


- The Instrument Type displays a breakdown of instruments categories:

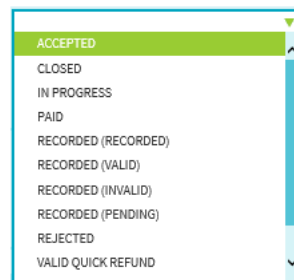


- In the Income Payment section, the user can select one of the following two options:
 Record Date = Date at which, after the daytime processing, Clearstream records holdings in the security as being an entitled position.
 Value Date = Value date applied to the proceeds

- The drop-down list of the Refund Procedure Type lists the types of refund procedures:



- In the Reference area, the user can choose whether they want to use Clearstream reference or their own reference to query. This field supports only the exact reference.
- In the Tax Refund Status drop-down list, the user can select the relevant status:



- The Last Update field allows the user to query Tax Refunds that have had their status changed within the requested date interval.
 - The Tax Refund Payment Date indicates the value date of the Tax Refund.
 - The Tax Refund Amount refers to the calculated amount in any valid currencies.
 - In the Beneficial Owner field, the search of the beneficial owner must be limited to the beneficial owners linked to the Account(s) and Market(s) selected.
 - The TIN refers to the Taxpayer Identification Number. This number can be a social security number assigned to individuals by the Social Security Administration or an Employer Identification Number assigned to businesses and other entities by local fiscal authorities. An exact value must be input.
3. Before submitting your query, do one and/or other of the following if required:
 - If you decide to change it, use the "Reset" button to return all the specifications to their default values so that you can start the query again.
 - If you want to check how many results your query will yield as it is currently specified, use the "Count" button to display the number.
 4. Select the "Query" button to perform the query.

The results that match your set of criteria are displayed in a List View. If there are no matches, the Count field indicates 0 rows and the List View does not expand.

To view the details of the Tax Refund query:

1. In the main menu, select Tax, Tax Refund Query.
2. Perform a suitable query (see [“To query Tax Refund:”](#) above).
3. In the resulting List View, highlight the requested row in the list and click on the folder on the first column of the List View:

clearstream | DEUTSCHE BÖRSE GROUP Tax Refund Query

Search

Help | My Profile | Contacts | Logout | Igor Gayzuta | 12 Apr 2017 16:21:15 CEST

Query / List

Query

List

Open Detail	Clearstream's Reference	Market	Refund Procedure Type	Safekeeping Account	Fin. Instrument	Corporate Action Ref.	Event Type	Value Date	Status	Gross Amount	Refund Currency	Tax Refund Payment Date	Export	Print	Refresh	Configure
1	58725	CZECH REPUBLIC	Standard refund	12345	CZ0001000723		CPNSTR	17/03/2002	ACCEPTED	1040,266.72	CZK					
2	58725	ITALY	Standard refund	12345	IS0179490298		REVCPNS	18/04/2012	ACCEPTED	1041.88	EUR					

3 Rows | 25 Rows per page | 1 selected row | Query executed: 12/04/2017 16:46:59

4. View the details as required:

clearstream | DEUTSCHE BÖRSE GROUP Tax Refund Query

Query / List 58725 - 17/03/2002

Main

Refund Details

Account Management

Safekeeping Account 12345 Safekeeping Account Name BANK ABC

Contact Reference

Beneficial Owner

Name Address

Country AUSTRIA T.I.N.

Refund Details

Customer Reference Clearstream Reference 58725

Description LETTER OF REQUEST Status ACCEPTED

Last Update 25/11/2002 Reason

Refund Procedure Type Standard refund Payment Date

Tax Rate 15.00

	Current Currency CZK	Original Currency
Requested Amount		
Calculated Amount	156,040.01	

Market Information

Market CZECH REPUBLIC

Corporate Action Ref. CZ0001000723

ISIN Code 000011969526 SINGLE

Common Code DEBT

Instrument Type 18600000

Reclaim Holding 17/03/2002

Value Date

Event Type CPNSTR

Description CZK 6,30 CZECH, REPUBLIC OF 00-07

Place of Safekeeping UNICYZFPXXX

Currency CZK

Record Date

	Current Currency CZK	Original Currency
Gross Amount	1,040,266.72	
Tax Withheld	156,040.01	
Net Amount	884,226.71	

- The Contact Reference displays the name of the contact person for this Refund.
- The Tax Rate corresponds to the applicable reclaim rate of the refund, which is function of the applicable double tax treaty.
- The table in the Refund Details section indicates:

Current Currency XXX: XXX refers to the Currency of the refunded amount and the requested amount.

Original Currency YYY: YYY refers to the Currency of the original amount and the original requested amount. If populated, that means the Refund Details Amount Currency is EUR.

The Requested Amount - Current Currency is the amount that the user estimates to be credited with.

The Requested Amount - Original Currency is the amount that the user estimates to be credited with in the original currency (if it is an ex-EURO currency).

The Calculated Amount - Current Currency refers to the amount effectively credited, net of fees charged by the market but does not include Clearstream fees.

The Calculated Amount - Original Currency refers to the amount effectively credited, net of fees charged by the market but does not include Clearstream fees. It is credited in original currency (if it is an ex-EURO currency)

- The Reclaim Holding shows the Holding Quantity of the beneficial Owner or of the Account if no beneficial owner specified.
- The table in the Market Information section indicates:

The Current Currency XXX where XXX is always the currency of the security.

The Original Currency YYY where YYY is the currency of the original amount if ex-EURO.

The Gross Amount - Current Currency is Holding Quantity * Income amount/Rate

The Gross Amount - Original Currency is Holding Quantity * Income amount/Rate. In ex-EURO Currency

The Tax Withheld - Current Currency is Gross Amount * Tax Rate

The Tax Withheld - Original Currency is Gross Amount * Tax Rate in ex-EURO Currency

The Net Amount - Current Currency is Gross Amount - Tax

The Net Amount - Original Currency is Gross Amount - Tax in ex-EURO Currency

5. When finished, select the "Close" button to return to the List View.

Tax Certificate Query

To query Tax Certificate^a:

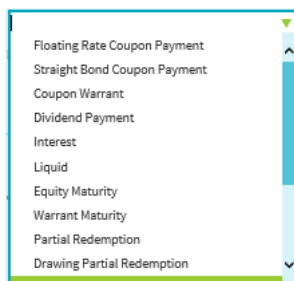
a. The status of "Tax Certificates" will be updated every 15 minutes.

1. In the main menu, select Tax, Tax Certificate Query.
2. In the Query view, the following details of the query can be selected:
 - The Safekeeping Account contains the account ID. It can be input by the user or selected via the lookup. The Safekeeping Account Name shows the name of the selected account. This field is not eligible.
 - The Market list contains the markets (countries names) activated in Tax Application:

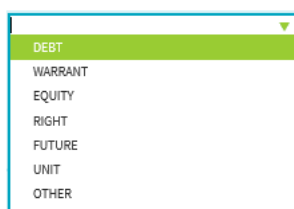
The financial instrument contains the ISIN of the instrument input manually or selected via the lookup. The description of the selected financial instrument appear in the non-editable Description field.

The Place of Safekeeping shows the place of safekeeping of the selected financial instrument.

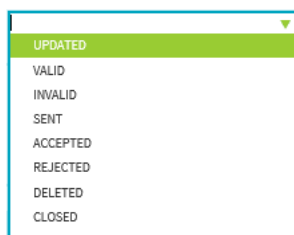
The drop-down list of the Event Type contains the event type codes that are valid for the Tax Certificate:



- The Instrument Type displays a breakdown of instruments categories:



- In the Income Payment section, the user can select one of the following two options:
 Record Date = Date at which, after the daytime processing, Clearstream records holdings in the security as being an entitled position.
 Value Date = Value date applied to the proceeds
- In the Reference area, the user can choose whether they want to use Clearstream reference or their own reference to query. This field supports only the exact reference.
- The drop-down list of the Document Description contains the description of the documents that are associated to the account(s) and Market selected.
- In the Document Type, the user can select one of the following three options: All; Standing and Per Payment
- In the Document Status, the user can select Valid or Invalid.
- The Expiry Date indicates the expiry date of the document
- If the Until Revoked option is selected then the Expiry Date field is disabled.
- The drop-down list in the Italian Fiscal Status contains the list of the Italian Fiscal Status:



- In the Beneficial Owner field, the search of the beneficial owner must be limited to the beneficial owners linked to the Account(s) and Market(s) selected.
 - The TIN refers to the Taxpayer Identification Number. This number can be a social security number assigned to individuals by the Social Security Administration or an Employer Identification Number assigned to businesses and other entities by local fiscal authorities.
3. Before submitting your query, do one and/or other of the following if required:
 - If you decide to change it, use the "Reset" button to return all the specifications to their default values so that you can start the query again.
 - If you want to check how many results your query will yield as it is currently specified, use the "Count" button to display the number.
 4. Select the "Query" button to perform the query.

The results that match your set of criteria are displayed in a List View. If there are no matches, the Count field indicates 0 rows and the List View does not expand.

To view the details of the Tax Certificate^a:

- a. The status of "Tax Certificates" will be updated every 15 minutes.

1. In the main menu, select Tax, Tax Certificate Query.
2. Perform a suitable query (see ["To query Tax Certificate:"](#) above).
3. In the resulting List View, highlight the requested row in the list and click on the folder on the first column of the List View:

clearstream | clearstream admin group | Tax Certificate Query | Search | Help | My Profile | Contacts | Logout | Igor Goyzueta | 12 Apr 2017 17:00:29 CEST

Query / List | 1735

Query

List

Please select a row to see available actions.

	Clearstream's Reference	Market	Safekeeping Account	Fin. Instrument	Clearstream's Depository BIC	Clearstream's Depository Name	Document Description	Type	Status	Valid From	Expiry Date	Italian Fiscal Status	Beneficial Owner	TIN	Customer Reference
	406771	ITALY	12345				SHS ONE TIME CERTIFICATE	Standing	Valid	27/03/2006					
	504782	ITALY	12345				SHS ONE TIME CERTIFICATE	Standing	Valid	30/03/2011					
	509590	ITALY	12345				SHS ONE TIME CERTIFICATE	Standing	Valid	03/03/2014					
	583230	ITALY	12345				BDS AUTOCERTIFICAZIONE	Standing	Valid	26/02/2006					
	583230	ITALY	12345				BDS AUTOCERTIFICAZIONE	Standing	Valid	26/02/2006					
	1055522	ITALY	12345				BDS AUTOCERTIFICAZIONE	Standing	Valid	03/02/2015					
	72358	ITALY	12345				BDS MODULARIO 116	Standing	Valid	06/03/2001					

7 Rows | 25 Rows per page | No selected rows | Query executed: 12/04/2017 13:00:06

4. View the details as required:

clearstream | DEUTSCHE BÖRSE GROUP Tax Certificate Query

Query / List 1735 393220

Main

▼ Certificate Details

Account Management

Safekeeping Account	12345	Safekeeping Account Name	BANK ABC
Holding Quantity			

Beneficial Owner

Name		Type	
Classification		TIN	
TIN Type	Unknown	Holding Quantity	
TWR	NA	Address	...
Country	UNITED KINGDOM		

Document Details

Clearstream Reference	393220	Customer Reference	
Type	Standing	Status	Valid
Description	BDS AUTOCERTIFICAZIONE	Italian Fiscal Status	
Valid Date From	28/02/2008	Valid Date To	
Category	BDS AUTOCERTIF.		

▼ Market Information

Market	ITALY	Event Type	
ISIN Code		Description	
Common Code		Common Code Type	
Place of Safekeeping		Instrument Type	
Clearstream Depository		Clearstream Depository Name	
BIC		Value Date	
Record Date			

- The Classification corresponds to the Beneficial Owner classification to which the Beneficiary type belongs.
- The Type refers to the Beneficial Owner type: One BO can have multiple BO types, for example one FATCA BO type and one QI BO type, that is, all the BO types must be displayed".
- The TIN Type shows the Tax Identification Number Type of the Beneficial Owner (may have more than 1).
- The TIN shows the Tax Identification Number of the Beneficial Owner (1 for each TIN Type).
- The TWR field indicates the Beneficial Owner's Transfer of Withholding Responsibility status. The field is only meaningful for US Certificates.
- The Description of the financial instrument is "Unpublished" for unpublished securities.
- The Instrument Type might be "Null" if the document is related to all Securities of the specified account/Beneficial Owner
- The Record Date in the Market Information section can be "Unknown" if the security reference data does not provide the depository information.

5. When finished, select the "Close" button to return to the List View.

Tax Attestation Query

The tax attestation query is used to query German Tax Vouchers (will be extended to further markets in the future).

To query Tax Attestation:

1. In the main menu, select Tax, Tax Attestation, Tax Attestation Query.
2. In the Query view, the following details can be selected:
 - File Upload ID;
 - Attestation ID;
 - Status;
 - Attestation Type;
 - Corporate Action Ref.;
 - BO Identification ID;
 - Safekeeping Account;
 - Financial Instrument;
 - Quantity;
 - Date;
 - Source;
 - Last Update Timestamp.
3. Before submitting your query, do one and/or other of the following if required:
 - If you decide to change it, use the "Reset" button to return all the specifications to their default values so that you can start the query again.
 - If you want to check how many results your query will yield as it is currently specified, use the "Count" button to display the number.
4. Select the "Query" button to perform the query.

The results that match your set of criteria are displayed in a List View. If there are no matches, the Count field indicates 0 rows and the List View does not expand.

Tax Attestation Request Upload

Tax Attestation Request Upload is used to request German Tax Vouchers (will be extended to further markets in the future)

To create a Tax Attestation Request:

1. In the main menu, select Tax, Tax Attestation, Tax Attestation Request Upload;
2. The Create tab opens. Under File Content, select "German Tax Voucher Request (CSV)" from the drop-down list.
3. The button "Download..." in the bottom right corner of the screen allows you to download the template [.xls] for the German Tax Voucher Request which you can fill out with the necessary details;
4. Once the template has been completed, click on the "Create CSV request file" button to generate a corresponding CSV file which will be stored in the same folder as where the template was downloaded (procedure explained in the template itself);
5. From the Tax Attestation Request Upload/Create screen in Xact Web Portal, click on "Upload File" and browse for the CSV file to be uploaded;
6. Click on "Submit" to upload and send the file.

Note: Clients having access to Xact File Transfer can upload their Tax Attestation Requests, using the German Tax Voucher Request template that can be downloaded from Xact Web Portal - see points 1 to 6 above.

To query Tax Attestation Request Upload:

1. In the main menu, select Tax, Tax Attestation, Tax Attestation Request Upload. Click on the Query/List tab.
2. In the Query view, the following details can be selected:
 - File content (German Tax Voucher Request (CSV);
 - File upload ID;
 - User ID;
 - File name;
 - File status;
 - Date uploaded;
 - Source;
 - STP mode.
3. Before submitting your query, do one and/or other of the following if required:
 - If you decide to change it, use the "Reset" button to return all the specifications to their default values so that you can start the query again.
 - If you want to check how many results your query will yield as it is currently specified, use the "Count" button to display the number.
4. Select the "Query" button to perform the query.

The results that match your set of criteria are displayed in a List View. If there are no matches, the Count field indicates 0 rows and the List View does not expand.

FTT Query

FTT Query is used to query French and Spanish Financial Transaction Tax files and Greek Sales Tax files.

To query FTT:

The screenshot shows the 'Query / List' interface. The 'Query' tab is active. Under 'Predefined', the 'Query name' is set to 'None' with a 'Save query' button. The 'Query Parameters' section includes:

- 'Declaration Validation Status' with a dropdown menu showing 'Please select...'.
- 'Declaration File Name' with an empty text field.
- 'Declaration Reference' with an empty text field.
- 'Last Update Timestamp' with a date range selector set from '19/06/2018 00:00:00' to '26/06/2018 23:59:59'.

 At the bottom, there are 'Query', 'Count', and 'Reset' buttons. The 'List' tab is also visible below the query parameters.

1. In the main menu, select Tax, FTT Query.
2. In the Query view, the following details of the query can be selected:
 - Declaration Validation Status;
 - Declaration File Name;
 - Declaration Reference;
 - Last Update Timestamp
3. Before submitting your query, do one and/or other of the following if required:
 - If you decide to change it, use the "Reset" button to return all the specifications to their default values so that you can start the query again.
 - If you want to check how many results your query will yield as it is currently specified, use the "Count" button to display the number.
4. Select the "Query" button to perform the query.

The results that match your set of criteria are displayed in a List View. If there are no matches, the Count field indicates 0 rows and the List View does not expand.

To download FTT files:

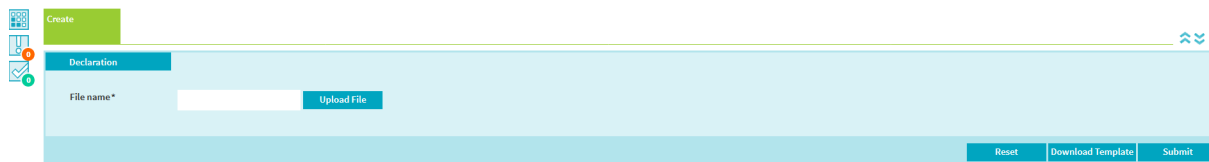
1. Perform a query as above.
2. To download the Validation Status File or the Declaration File, select the row from the list and click on "Download".

A green 'Download' button is shown above a box containing two options: 'Validation Status File' and 'Declaration File'.

FTT Upload

FTT Upload is used to upload French and Spanish Financial Transaction Tax files and Greek Sales Tax files.

To upload FTT files:

The screenshot shows a web interface for uploading FTT files. On the left, there is a sidebar with a 'Create' button and a 'Declaration' tab. The 'Declaration' tab is active, showing a 'File name*' input field and an 'Upload File' button. At the bottom right, there are three buttons: 'Reset', 'Download Template', and 'Submit'.

1. In the main menu, select Tax, FTT Upload.
2. The Create tab opens. The button "Download Template" allows you to download the CSV template for the FTT file.
3. Click on "Upload File" and browse for the file to upload.
4. Click on "Submit" to upload the file.

Note: The above information applies for both FTT and Sales tax.

Instruction (Beneficial Owner Upload)

BO Allocation Upload

BO Allocation Upload is used to provide Clearstream Banking with Beneficial Ownership information.

To create a BO Allocation Upload

1. In the main menu, select Tax, Instruction and BO Allocation Upload.
2. The "Create" tab opens. Under "File Content", select "Corporate action instructions (CSV)" from the drop-down list.
3. The "Download..." button allows you to download the CSV template for corporate action instructions.
4. The CSV template contains a dedicated "Tax Instructions Data" tab, which you can complete with the necessary data.
5. Input a file name under "File name".
6. Click on "Upload File" and browse for the file to upload.
7. Click on "Submit" to upload the file.

BO List Web Upload

By clicking on "BO List Web Upload" users can access the upload functionality on Clearstream Banking's website.

Reporting

Manage Report Subscriptions

1. In the main menu, select Tax, Manage Report Subscriptions.
2. You are then automatically redirected to the Report Centre, Manage Report Subscription.

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Manage Report Subscriptions

Create

Query / List

▼ Query

▼ Predefined

Query nameNoneSave query

▼ Report Type

Business serviceTax

Report typePlease select...

Account operatorPlease select...

Organisation unit

Subscription name

OwnershipPlease select...

Financial institution

▼ Resources

Resource typePlease select...

▼ Dates & Status

Start date

Last update

StatusPlease select...

Pending actionPlease select...

▼ Delivery

ChannelPlease select...

FormatPlease select...

Address

FrequencyPlease select...

► Ordering

View Delivered Reports

1. In the main menu, select Tax, View Delivered Reports.
2. You are then automatically redirected to the Report Centre "View Delivered Reports"

For the Business Service Tax, the Report types available are:

- US Withholding Tax Report (CBL, CBF-T2S only);
- CU127 - Short Position Report (CBF-T2S only);
- Tax Credit Report.



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View Delivered Reports

Query / List

▼ Query

▼ Predefined

Query name

None ▼

Save query

▼ Report Type

Business service = Tax ▼ Report type = Please select... ▼ Accounts = Please select... US Withholding Tax Report CBF short entitlement CBF tax credit	Not yet downloaded only  Bundled report only  Participants = 
--	--

▼ Report attributes

Subscription name = Channel = Please select... ▼ Delivery date/time =  Intraday time = Please select....	Format = Please select... ▼ Address = Frequency = Please select... ▼
--	--

▼ Ordering

Sort by

Delivery date/time ▼

Descending

Then by

Report type ▼

Ascending

► List

7. Reference Data

Menu

Dashboard	Collateral Management - My Activities	Collateral Management - My Settings	Settlement	Cash & Liquidity	Asset Servicing	Tax	Reference Data	Reporting & Monitoring	User Management	Help & Resources
Cash Correspondents	Currencies	Financial Instruments	Places of Safekeeping	Settlement Parties						
Cash Correspondents Query	Currencies Query	Financial Instruments Query	Places of Safekeeping Query	Settlement Parties Query						

As a Business User or Business Supervisor, you can use the Xact Web Portal to query and view details of the following types of reference data:

- Cash Correspondents
- Currencies
- Financial Instruments
- Places of Safekeeping
- Settlement Parties

Reference data is maintained by Clearstream and each area has specific query criteria that the user can select in order to obtain the exact information that they are looking for.

Note: OU Administrators cannot work with reference data. Only business users can perform the tasks described in this chapter.

This chapter describes the features of Xact Web Portal for working with reference data:

- [“Working with cash correspondents”](#) on page 7-2
- [“Working with currencies”](#) on page 7-3
- [“Working with financial instruments”](#) on page 7-4
- [“Working with places of safekeeping”](#) on page 7-5
- [“Working with settlement parties”](#) on page 7-7.

Reference Data

To refresh the list of reference data:

In the List View of the particular reference data page, do one of the following:

1. Click the refresh button at the top.
2. Right-click anywhere on the list and select refresh from the popup menu.

You can also customise the displayed list (see [“Customising displayed lists”](#) on page 1-32).

Note: When you refresh the displayed list, the system executes the last query that you set up on the Query view, even if that view is not visible. Therefore, you are advised to click on the reset and query buttons in the Query view to ensure that the most recent list is used.

Working with cash correspondents

You can list Cash Correspondents, in currency order, for all or a selected currency.

You can refine your query by specifying a CCB name and optionally a Bank Identification Code (BIC) or Country Code.

By default, the returned List View is presented in ascending order.

The resulting List View contains the CCB Name, the CCB BIC, the CCB Account, the Country code, the City and the Currency of CCB.

You can select a row to see available actions.

To query cash correspondents:

Query / List

Query

Predefined

Query name: None [Save query]

Cash Correspondent search

Currency of CCB: = Please select... [v]

CCB Name: = Please select... [v]

CCB BIC: = Please select... [v]

Country code: = Please select... [v]

Ordering

Query Count Reset

1. In the main menu, select "Reference Data", "Cash Correspondents Query".
2. In the Query view, specify the details of the query as required:
 - You can define a set of filtering criteria in order to locate as closely as possible a particular target. You can save such a set of criteria as a saved query in the Predefined section which you can re-use in other queries.
 - You can include cash correspondents of specific Currency, Name, BIC and/or Country Code.
 - You can sort the cash correspondents in ascending or descending order of Currency in the Ordering panel.
3. Before submitting your query, do one and/or other of the following if required:

- If you decide to change it, use the "Reset" button to return all the specifications to their default values so that you can start the query again.
- If you want to check how many results your query will yield as it is currently specified, use the "Count" button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.

4. Select the "Query" button to perform the query.

The cash correspondents that match your set of criteria are displayed in a List View. If there are no matches, the Count field indicates 0 rows and the List View does not expand.

Working with currencies

If a user chooses to perform a query without selecting any currency there are no mandatory fields to run the query. The query can be further refined by selecting a particular value in one or more of the dropdown lists.

By default, the returned List View is presented in ascending order.

The resulting List View contains the currency code. The currency name in full is also listed as well as the currency role, decimal places allowed, CCB BIC and name and the Clearstream account at the CCB.

The detailed view of an individual list entry displays the cash deadlines and shows again the details listed in the resulting List View.

To query currencies:

1. In the main menu, select Reference Data, Currencies Query to display the Currencies page.
2. In the Query view, specify the details of the query as required:
 - You can define a set of filtering criteria in order to locate as closely as possible a particular target. You can save such a set of criteria as a saved query in the Predefined section which you can re-use in other queries.
 - You can query all currencies (in that case, do not select any currency from the dropdown list) or include those of a specific Currency, Cash Correspondent Bank BIC and Name and/or Currency Role.
 - You can sort the currencies in ascending or descending order of ISO currency code or currency role (denomination or settlement).
3. Before submitting your query, do one and/or other of the following if required:
 - If you decide to change it, use the "Reset" button to return all the specifications to their default values so that you can start the query again.

Reference Data

- If you want to check how many results your query will yield as it is currently specified, use the "Count" button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.

4. Select the "Query" button to perform the query.

The currencies that match your set of criteria are displayed in a List View. If there are no matches, the Count field indicates 0 rows and the List View does not expand.

To view the cash deadlines of a currency:

1. In the main menu, select Reference Data, Currencies.
2. Perform a suitable query to list the required currency (see ["To query currencies:"](#) above).
3. In the resulting List View, highlight the appropriate currency in the list and click on the folder on the first column of the List View.
4. View the details of the currency as required and, when finished, select the "Close" button to return to the List View.

Working with financial instruments

For most of the query functions, at least one of Instrument Identifier, Instrument Description and Currency of Denomination must be entered from the query criteria available. The Belgian certificate and CFF eligible queries require other fields because of their specific characteristics.

The sort criteria are:

- The user can then specify Common Code or ISIN.
- You can input a partial entry as a wildcard in the Instrument Description.

To query financial instruments:

The screenshot shows the 'Query' tab in the Xact Web Portal. The 'Financial Instruments Search' section is active. The form is divided into two columns. The left column contains fields for Instrument Identifier (Common Code), Instrument Description, Place of Safekeeping, Clearstream Depository, Instrument Group, Interest Type, Subject to Tax (checked), Tax Country, Current Event Date Selection, Current Event Date, Internal Instruction Restriction Flag, and External Instruction Restriction Flag. The right column contains fields for T2S Eligible (checked), CFF Qualified (checked), Belgian Certificate (checked), Instrument Category, Interest Rate, Currency of Denomination, Tax Specificity, Maturity Date (From/To), Actual Closing Date (From/To), Back-valuation Flag, and Collateral Percentage. Each field has a dropdown menu or a text input field.

1. In the main menu, select Reference Data, Financial Instruments Query.
2. On the Query tab, specify the details of the query as required:

- You can define a set of filtering criteria in order to locate as closely as possible a particular target. You can save such a set of criteria as a saved query in the Predefined section which you can re-use in other queries.
 - You can include financial instruments of specific identification, Description, Maturity Date,
 - Actual Closing Date, Place of Safekeeping, Interest Rate/Type, Tax Country/Specificity, Current Event Date, Internal Instruction Restriction Flag, Instrument Category, Currency of Denomination, Back-valuation Flag and/or Collateral Percentage.
 - You can sort the financial instruments in ascending or descending order of Financial Instrument Description, Clearstream Depository BIC, Country Code, Financial Instrument Type or Place of Safekeeping BIC.
3. Before submitting your query, do one and/or other of the following if required:
 - If you decide to change it, use the "Reset" button to return all the specifications to their default values so that you can start the query again.
 - If you want to check how many results your query will yield as it is currently specified, use the "Count" button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.
 4. Select the "Query" button to perform the query.

The financial instruments that match your set of criteria are displayed in a List View. If there are no matches, the Count field indicates 0 rows and the List View does not expand.

To view the details of a financial instrument:

1. In the main menu, select Reference Data, Financial Instrument Query.
2. Perform a suitable query to list the required financial instrument (see ["To query financial instruments:"](#) above).
3. In the resulting List View, highlight the appropriate financial instrument in the list and click on the folder on the first column of the List View.
4. View the details of the financial instrument as required and, when finished, select the "Close" button to return to the List View.

Working with places of safekeeping

You can list all or (by Party Name) individual safekeeping banks to which the user has access.

You can refine your query further by optionally specifying the Clearstream Depository Code, country, a Bank Identification Code (BIC) and/or the Entity.

The resulting List View contains the Entity Name, the Clearstream Depository Internal Code, Name, Abbreviation and BIC; the Place of Safekeeping Name, BIC and Country Code for each entry.

The details of an individual list entry can be displayed in a separate tab.

Reference Data

To query places of safekeeping:

▼ Query

▼ Predefined

Query name: None Save query

Place of Safekeeping search

Clearstream Depository Code =

Clearstream Depository BIC = Please select... ▼

Clearstream Depository Name = Please select... ▼

Place of Safekeeping Country Code = Please select... ▼

Place of Safekeeping BIC = Please select... ▼

Place of Safekeeping Name = Please select... ▼

Entity = Please select... ▼

► Ordering

Query Count Reset

1. In the main menu, select "Reference Data", "Place of Safekeeping".
2. In the Query view, specify the details of the query as required:
 - You can define a set of filtering criteria in order to locate as closely as possible a particular target. You can save such a set of criteria as a saved query in the Predefined section which you can re-use in other queries.
 - You can include places of safekeeping of specific Clearstream Internal Code, Name, BIC, Country Code and/or Entity.
 - You can sort the places of safekeeping in ascending or descending order of Clearstream Internal Code, Name, Abbreviation, BIC; Place of Safekeeping Name, BIC or Country Code.
3. Before submitting your query, do one and/or other of the following if required:
 - If you decide to change it, use the "Reset" button to return all the specifications to their default values so that you can start the query again.
 - If you want to check how many results your query will yield as it is currently specified, use the "Count" button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.
4. Select the "Query" button to perform the query.

The places of safekeeping that match your set of criteria are displayed in a List View. If there are no matches, the Count field indicates 0 rows and the List View does not expand.

To view the details of a place of safekeeping in a separate tab:

1. In the main menu, select "Reference Data", "Place of Safekeeping Query".
2. Perform a suitable query to list the required place of safekeeping (see ["To query places of safekeeping:"](#) above).
3. In the Place of Safekeeping view, highlight the appropriate place of safekeeping in the list and click on the folder on the first column of the List View.
4. View the details of the place of safekeeping as required and, when finished, select the "Close" button to return to the List View.

Working with settlement parties

You can input a partial entry as a "wildcard" in the Name field to list all results that contain your entry.

By default, the returned List View is presented in ascending order. The resulting List View contains ICSD/CSD Identification, Party identifier, Name, Country, City and BIC.

The details of an individual list entry can be displayed in a separate tab.

To query settlement parties:

1. In the main menu, select "Reference Data", "Settlement Parties Query".
2. In the Query view, specify the details of the query as required:
 - You can define a set of filtering criteria in order to locate as closely as possible a particular target. You can save such a set of criteria as a saved query in the Predefined section which you can re-use in other queries.
 - You can include settlement parties of specific Party Identifier, Name in the format appropriate to the ICSD/CSD (Clearstream, CrestCo, Euroclear, Necigef, etc.), Country and/or City.
 - You can sort the settlement parties in ascending or descending order of ICSD/CSD Identification, Party Identifier, Name, Country or City.
3. Before submitting your query, do one and/or other of the following if required:
 - If you decide to change it, use the "Reset" button to return all the specifications to their default values so that you can start the query again.
 - If you want to check how many results your query will yield as it is currently specified, use the "Count" button to display the number. If you want to check how many results your query will yield as it is currently specified, use the "Count" button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.
4. Select the "Query" button to perform the query.

The settlement parties that match your set of criteria are displayed in a List View. If there are no matches, the Count field indicates 0 rows and the List View does not expand.

Reference Data

To view the details of a settlement party in a separate tab:

1. In the main menu, select "Reference Data", "Settlement Parties Query".
2. Perform a suitable query to list the required settlement party (see ["To query settlement parties:"](#) above).
3. In the Settlement Parties view, highlight the appropriate settlement party in the list and click on the folder on the first column of the List View.
4. View the details of the settlement party as required and, when finished, select the "Close" button to return to the List View.

8. Reporting & Monitoring

Report Centre

The Report Centre allows users to create and query report subscriptions for ICSD and CSD.

As a user with the appropriate permissions you can subscribe to the following reports in Xact Web Portal for retrieval via Xact Web Portal, or Xact File Transfer in different formats depending on the report (ISO, PDF, XLS, or XML):

Settlement reports:

- Intra-Position Advice via Swift MT508

The MT508 Intra-Position Advice contains movements related to securities lending, collateral and blocking/unblocking of securities.

- Statement of Holdings report via Swift MT535

Clearstream uses the MT535 Statement of Holdings to report on the holdings that it services for the user. The Complete report contains all holding information. The Delta report contains only changes since the previously sent statement.

- Statement of Transactions report via Swift MT536

The MT536 Statement of Transactions contains settled transactions according to the impact on user's positions of movements generated by the clearing and settlement system from instructions or corporate events.

Reporting & Monitoring

- Statement of Pending Transactions report via Swift MT537

Clearstream Banking uses the MT537 Statement of Pending Transactions to report on instructions that are not booked and do not include booked securities instructions on a user account. Either all or the most relevant status can be reported.

- Statement of Intra-Position Advices report via Swift MT538

The MT538 Statement of Intra-Position Advices contains movements related to securities lending, collateral and blocking/unblocking of securities.

- Settlement confirmations via Swift via MT54x

Clearstream uses the MT544, MT545, MT546, MT547 Settlement confirmations to report list all receive and deliver securities transactions, free of and against payment, that have settled on the date of the report.

- Settlement Status and Processing Advice via Swift MT548

The MT548 Status and Processing Advice contains the rejection status(es) of a previously received instruction or cancellation request.

- Settlement Allegement report via Swift MT578

The MT578 Settlement Allegement report contains allegements from Clearstream or Euroclear participants.

- Statement of Settlement Allegements report via Swift MT586

The MT586 Statement of Settlement Allegements reports on allegements from Clearstream, Euroclear, and domestic market participants.

Cash reports:

- Confirmation of Debit/Credit (MT900/MT910)

The MT900 and MT910 Confirmation of Debit/Credit reports debits and credits for pre-selected type(s) of Transactions for all or specified currencies open for the account.

- Money Suspense report via Swift MT940

The MT940 Money Suspense report contains all pending cash instructions as well as all cash countervalues of against payment securities instructions that are reported in the Statement of Pending Transactions report via Swift MT537. It includes the opening and closing balance of booked funds; all pending cash transactions; all unconfirmed funds; anticipated net balances; cancelled funds (which are reported but not included in the balances).

The Money Suspense report is sent only when there are transactions in Suspense. One report is sent per currency, per account.

- Interim Money Suspense report via Swift MT942

The MT942 Interim Money Suspense report contains new transactions and those transactions that are already in Suspense and whose status has changed since the last Money Suspense or Interim Money Suspense report.

The Interim Money Suspense report includes pure cash transactions and cash countervalues of against payment securities transactions. It reports the matching status of every transaction listed and, where appropriate, the processing status based on the previous processing cycle.

- Cash Balances report via Swift MT950

Users can choose to report all or specified currencies open on the account.

For complete reports, there is the additional option to exclude currencies for which the balance is zero. A zero balance is nevertheless reported if it became zero since the last report.

For Delta reports, a zero balance is not reported unless it became zero since the last Complete or Delta report.

- Money Statement via Swift MT950

Users can choose to report all or specified currencies open on the account.

For complete reports, there is the additional option to exclude currencies for which the balance is zero (unless the balance was impacted by movements since the last report). The complete report also includes non-zero balances in currencies for which there have been no movements since the last report.

For Delta reports, a zero balance is not reported unless it became zero since the last Complete or Delta report. Currencies with non-zero balances are only reported if there have been movements since the last Complete or Delta report.

Asset servicing reports:

- Corporate Action Notification (MT564)

The MT564 Corporate Action Notification reports details of a corporate action event along with the possible elections or choices available to the user. It can be initially sent as a preliminary advice and subsequently replaced by another MT564 with complete or confirmed information.

- Income Pre-Advice Report (IPAR) via MT564

Users can use the IPAR to forecast cash and securities flows generated by their portfolios during the period of up to five days after production of the report. The projected cash and securities flows are based on the situation of the user's account at the time the report is produced.

- Claim and Reversal Advice (CRA) via MT564

The CRA includes details of detected market claims, and reverse market claims. In addition, CBF OneClearstream clients receive reversal notifications. Cancellations of a reported market claim or reverse market claim will also be reported.

- Urgent Uninstructed Notifications (MT564)

The MT564 Urgent Uninstructed Notifications Report provides a regularly updated breakdown of instructed and uninstructed securities Balances related to Corporate Action and Tax breakdowns.

- Corporate Action Confirmation via MT566

The corporate action confirmation reports securities and cash proceeds from income and non-income events that are credited to a user's account. Each credit (and debit) is reported separately and details are included of the security to which the interest or redemption proceeds are attributable.

- Corporate Action Status and Processing Advice (MT567)

The MT567 indicates whether a corporate action instruction or cancellation is accepted for processing, rejected or denied. It is also sent to users whose corporate action instruction is Pending due to insufficient holding.

- Corporate Action Narrative (MT568)

The MT568 Corporate Action Narrative reports extraordinary or general meetings details and resolutions.

- Market Claims Report

The Market Claims Report provides a complete overview by account of potential market claims that are created when the actual Settlement of a security trade takes place after the entitlement date of an associated income or non-income distribution.

In addition, the report offers information about CBL's compensation activities for market claims by providing the current processing status of a claim, together with a related reason code, throughout its lifecycle.

Reporting & Monitoring

- The Corporate Action Reference Data Report

The Corporate Action Reference Data Report provides detailed information about corporate actions for any security held in Clearstream, even if users do not hold the underlying securities.

Users must submit a list of financial instruments to Clearstream via Xact File Transfer and receive a report with all Corporate Actions Notifications associated with the securities. The report is sent to their Xact File Transfer FileStore or can be downloaded via Xact Web Portal.

Additionally, Triparty Collateral Management Services users can receive Corporate Actions Notifications and Income Pre-advice for securities blocked in Triparty Repo Transactions.

- seev.045/046 Shareholder Identification Disclosure Request

In order to be able to receive the disclosure request in ISO 20022 via Swift FINplus, the user can create a forward subscription via the Report Centre.

Under the Business service, the new report type "seev.045/046 Shareholder Identification Disclosure" is available for CBL, CBF and LuxCSD entities.

When creating the subscription, the following parameters must be set:

- Account Operator: Account operator (CBL, CBF or LuxCSD)
- Business Service: Asset servicing
- Report Type: seev.045/046 Shareholder Identification Disclosure Request
- Subscription Name: Name of the subscription
- Start date: From when the report has to be activated for the forward
- Accounts: List of accounts that have to be part of the forward.

Note: It is not allowed to mix accounts coming from different entities.

- Frequency: How frequent the report should be sent (Real Time Frequency)
- Channel: Swift FINplus (as the only possible option)
- Address: DN address of the receiver

Note: If at least one of the accounts present in the subscription is impacted by the Shareholder Identification Disclosure, then the Shareholder Identification Disclosure will be forwarded.

If several accounts present in the subscription are impacted by the Shareholder Identification Disclosure, then only one Shareholder Identification Disclosure will be forwarded.

- MT564 for Paying Agents

The MT564 Corporate Action Notification reports details of a corporate action event for Paying Agents

- MT566 for Paying Agents

The MT566 Corporate Action Confirmation reports securities and cash proceeds/collections from income and non-income events for Paying Agents

- Main Paying Agent/Lead Manager Report

This report for Paying Agents contains information on events with payment dates five business days in the past and in the future,

Tax reports:

- US Withholding Tax Report via MT568

The MT568 US Withholding Tax Report provides a monthly report of U.S. taxable income events including withholding tax rates applied per beneficial owner.

- CU127 - Short Position Report (CBF-T2S only)

The report is provided to non-German CBF clients so that they can detect any short positions immediately

- Tax Credit Report

When a bulk tax credit is generated at the end of the day the system will generate a Tax Credit Market Claim Report. This report will provide the client with the list of market claims considered by the system for the computation of the bulk tax credit.

Triparty Collateral Management Reports (to ISO15022 standards):

- Triparty Collateral Status and Processing Advice via MT558

The Triparty Collateral Status and Processing Advice provides the status of instructions, matching and cancellations.

- Triparty Collateral and Exposure Statement for Collateral Giver via MT569

- Triparty Collateral and Exposure Statement for Collateral Receiver via MT569

- CU144 Event information for Xemac collateral report (CBF-T2S only)

It reports positions on 550 sub-accounts that are subject to upcoming redemption events.

Note: Clients need to make sure that the relevant sub-account -550 is included in the subscription. A subscription solely on main account level (-000) will not provide any data.

Report frequencies

You can schedule the generation of a report according to your selection of the available report frequency options. There are various types of reporting frequency available depending on the type of report. Full details of the scheduling possibilities can be found in the Report Timings Matrix.

- **Continuous**

- **Intraday**

A range of times within the current business day are available depending on the report type in either Complete or Delta format.

- Complete format reports include all positions that are open on a user's account and movements that have occurred since the last processing.
- Delta format reports show all positions that have been affected by movements that have occurred since the last generation of the report.

- **Real-time**

- **End of day**

Daily, weekly, monthly, quarterly and yearly. Reports include all data from the start of the first business day of the respective period to the end of the last business day of the respective period. Normally the reports are generated at 21:15.

Note: Intraday reports can only report data based upon what has occurred within the current business day. There is no report available that can span multiple business days.

Reporting & Monitoring

Manage report subscriptions

To create a report subscription:

1. Click on Reporting & Monitoring, Manage Report Subscriptions in the main menu of Xact Web Portal. The screen will open with the Query view.
2. Click on "Create".
3. The report wizard will open.
4. Complete the fields as required. Fields with an * are mandatory.
5. Click on "Submit".

To query report subscriptions:

1. Click on Reporting & Monitoring, Manage Report Subscriptions in the main menu of Xact Web Portal.
2. Populate the fields with the required search criteria.
3. Click on "Count" to view the number of rows without seeing the List View. If you want to check how many results your query will yield as it is currently specified, use the "Count" button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.
4. Click on "Query" to see the List View.

To view the details of a report subscription:

1. Perform a query as above.
2. To display the details of the subscription, select the row(s) from the list and click on "Open details":
3. If more than one subscription is selected the details open in separate tabs.
4. Click on the "Close" button to close the details.

To modify a report subscription:

1. Perform a query as above.
2. You can modify the subscription from the List View or the detail view.
3. In List View, click on the "Action" button, and select Edit, the detail view of the subscription(s) opens.
4. In detail view, click on the "Action" button, and select Edit. The detail view is no longer read-only.
5. Make the changes as required.
6. Select Submit to perform the modification.

To delete a report subscription:

1. Perform a query as above.
2. You can delete subscriptions from the List View or the detail view.
3. In List View, click on the "Action" button, and select Delete, the selected report subscription(s) is deleted.
4. In detail view, click on the "Action" button, and select Delete. The report subscription is deleted.

View delivered reports

Delivered reports can be viewed, either by using the Go To button in the Managing Report Subscriptions or by querying the delivered reports. The copies of the reports can be sent by any means of communication. There is no extra charge for downloading a copy.

To query delivered reports:

1. Click on Reporting & Monitoring, View Delivered Reports in the main menu of Xact Web Portal.
2. Populate the fields with the required search criteria.
3. Click on "Count" to view the number of rows without seeing the List View. If you want to check how many results your query will yield as it is currently specified, use the "Count" button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.
4. Click on "Query" to see the List View.

To download delivered reports:

1. Perform a query as above.
2. To download the reports, select the row(s) from the list and click on Download. The file starts to download.
3. If you have chosen more than one report, the reports are downloaded in a .zip file.

Reporting & Monitoring

Business Monitoring

The Business Monitoring Centre allows users to set up a schedule to automatically execute pre-defined queries that are saved under My Indicators and define the conditions under which business alerts will be generated back to the user via My Alerts, My Calendar or My Indicators.

This allows users to:

- Schedule Alerts;
- Schedule Indicators;
- Schedule Monitors (for the calendar);
- Make queries on scheduled alerts/indicators and modify them; and
- To consult the history of already triggered monitors and the respective results.

To create a Business Monitor:

1. Click on Reporting & Monitoring, My Business Monitors in the main menu of Xact Web Portal.
2. Click on "Create".
3. Give your new business monitor a name.
4. Set the frequency of your business monitor.
5. Choose the service that your business monitor is for.
6. Then choose the service type.
7. A list of available queries can be chosen from the Monitored item drop down box. Choose the query that you want to run.
8. Choose when you want the alert to be triggered in the Trigger alert drop down box.

CBF File Service¹

As a user with the appropriate permissions, you can access the CBF File Service via the main menu of Xact Web Portal, perform queries and download reports.

CBF clients can apply for the appropriate permissions by subscribing to CBF print reports/file via "Order form 22 - Registration for CBF Fileservice via ClearstreamXact" that can be found on the website under Securities Services / Connectivity and Data solutions / CASCADE/T2S / CASCADE forms / Information Reports.

The user is requested to define a technical receiver account. This account has to be T2S-eligible.

Moreover, a client can define for which accounts the download functionality shall be enabled:

- If the user selects one CBF account master and one technical receiver account, the files are displayed 1:1 in Xact Web Portal.
- If several CBF account masters are assigned to one technical receiver account, one file containing all reports about the assigned accounts are available in Xact Web Portal.

To query reports

1. Click on Reporting & Monitoring, CBF File Service, Download Reports, in the main menu of Xact Web Portal;
2. In the Query view, select any of the search fields as necessary. The Query screen is composed of three sections.

Predefined

The Predefined section allows the user to define a set of filtering criteria that can be saved and re-used later in other searches.

Search For Reports

Populate the fields with the required search criteria:

- Not yet downloaded only (Default value is unticked): Files for which the Download has not been executed yet;
- Accounts: CBF main account (xxxx-000) which is defined as technical receiver account;
- Report Name. A report can belong to the following CBF services:
 - CASCADE Reporting;
 - CASCADE-RS;
 - Kapitaldienste (KADI);
 - Taxbox;
 - Vaults;
 - Xemac;

Note: The choice list shows the actual report/file names and it is not sorted by service.

- Delivery Date/Time;
Results include only files with a valid retention period. When defining the Delivery dates from/to, the user must consider the individual retention periods, which can be checked on the website in Announcement D22076 under attachment "Report and file names - version 2.0".

1. Available for CBF accounts only.

Reporting & Monitoring

Ordering

The ordering section allows the user to sort the query results using two of the available search criteria, in ascending or descending order.

3. Click on "Count" to view the number of rows without seeing the List View. If you want to check how many results your query will yield as it is currently specified, use the "Count" button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.

Note: Some reports need to be authorised by Clearstream prior to being made available to the user. In this case, the "Delivery Date" is not the day the report is generated, but the day of publication, which is the start of the retention period.

4. Click on "Query" to see the List View.

Note: To obtain a report where the retention period is exceeded, clients must send a request to restore the report from tape so that it is available in the database again.

To download reports

1. Perform a query as above;
2. From the List View, select one or several rows;
3. Click on the Download button to save the report(s) to a location of your choice (the downloaded report(s) are flagged with "Yes").
List View results can be printed as PDF or exported in CSV format.

Reports available are listed below:

- Advise
- CASCADE Geldtagesauszug
- CASCADE Tageslisten
- Depotbuch (Monatskontoblatt)
- Depottagesauszüge Inland
- Geldsaldenbestätigung (CASCADE)
- Gesamt-Regulierungsliste
- Jahresdepotauszug CBF (CASCADE)
- Jahresdepotauszug CBF-i (Creation)
- Outbound Messages
- Pre-Advice
- Regulierungsliste
- Secu Listen JJ820011
- CASCADE-RS Upload
- CASCADE-RS Upload Rückmeldung
- Emergency WM-Daten
- KADI Listen täglich
- Taxbox Outbound Messages
- Taxbox Routing Tabelle (Friday) Anforderungsdaten KCSL
- CARAD-EBI-Reconciliation
- Kuponverwaltung

- Rechnung für Effektenlieferung
- Rückvergütungsdatei
- Vaults Abrechnungen
- Vaults Digitales Nummernbuch
- Vaults Dotation
- Vaults Dotation
- Vaults Dotationen Anforderung Geld
- Vaults Dotationen Anforderung Stücke
- Vaults Stücke zur Sammelurkunde
- Vaults Stückeliste
- Vaults Ultimo Aufstellung
- Vaults Vernichtungsprotokoll
- Xemac Reports (10., 20. and Ultimo)

AdHoc Reporting, Manage Adhoc Reporting

To query Statement of holdings (Securities/Cash)

1. Click on Reporting & Monitoring, AdHoc Reporting, Manage Adhoc Reporting in the main menu of Xact Web Portal;
2. Select Statement of holdings (Securities/Cash) from the drop-down menu;
3. Populate the fields with the required search criteria;
4. Click on "Count" if you want to check how many results your query will yield as it is currently specified, use the "Count" button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results;
5. Click on "Query" to see the List View.
6. To display the details of the report, select the row(s) from the list and click on "Open details", alternatively, click on the folder icon. If more than one row is selected the reports details open in separate tabs.

To query Statement of holdings (Securities/Cash)

1. Click on Reporting & Monitoring, AdHoc Reporting, Manage Adhoc Reporting in the main menu of Xact Web Portal. The screen will open with the Query view;
2. Click on the "+" button to create a new report subscription; The report wizard will open;
3. Complete the fields as required;
4. Click on "Submit";
5. The Details window will open: Click on Refresh to see the new report subscription under the List of Requests, and click on Acknowledge to validate the request;
6. Your report(s) will appear in the List of Responses;
7. Select the row(s) you wish to download; Click on Download;
8. Unzip/Extract/Save the file to the location of your choice and open the PDF.

Reporting & Monitoring

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9. Vestima

As a Business User or Business Supervisor with the relevant permissions, you can launch the Vestima order routing for investment funds application.

Click on Vestima in the navigation menu and then on the desired Service to launch the Vestima application in a new web browser window.

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10. VestimaPrime

As a Business User with the relevant permissions, you can launch the VestimaPrime order routing for alternative investment funds application.

Click on VestimaPrime in the navigation menu, to launch the VestimaPrime application in a new browser window.

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11. User Management

Administrator view



Dashboard	User Management	Help & Resources		
My Data	OU Management	User & User Group	File Transfer Management	Audit & Billing
My Profile	Resource Group	User	Address	Audit Log
My OU Details		User Group	User	Billing Item
My Credentials				

My Data

- The My Profile subdomain displays the user profile.
- The My OU Details subdomain provides the detail view of the OU that the user belongs to.
- The My Credentials subdomain allows the user to reset their own password and certificates.

OU Management

The Resource Group subdomain provides all actions to create, query or modify a Resource Group.

User Management

User and User Group

- The User subdomain provides all actions to create, query or modify a User.
- The User Group subdomain provides all actions to create, query or modify a User Group.

For the creation of Users and User Groups, please refer to [“Creating users”](#) on page 1-3.

File Transfer Management

- The Address subdomain allows Admin users to query and create addresses, and request the activation of an Xact File Transfer delivery address and filestore from CBL.
- The User subdomain enables Admin users to query and create users, and release a request to CBL for setting up a new user linked to the new filestore. Admin users are also able to create user credentials to allow users to access the filestore.

Address

To query an address:

1. In the main menu of Xact Web Portal, select User Management, File Transfer Management, Address. The screen opens with the Query View.
2. Click on “Query/List”
3. Select any of the search fields as necessary, as described below, and then click “Query”

The Query screen is composed of four sections:

Predefined

Address details

Resources

Ordering

4. The results of your query are displayed in the list view.

To view the details of an address:

In the List view, the following actions are possible:

1. Click on “+” to expand a row into a breakdown and display information on which account(s) is (are) assigned to the address
2. To view all details linked to the address:
 - Click directly on a line;
 - Select a line or multiple lines in the list and click on the Open Detail button.

The details will be displayed showing Address Details, Instruction Input and Reporting information as configured.

To create an address:

1. In the main menu of Xact Web Portal, select User Management, File Transfer Management, Address. The screen opens with the Query/List view.
2. Click on the Create tab. The Address Details window opens.
3. Populate all mandatory fields marked with an *:
 - Financial Institution (select the correct OU if multiple OUs exist);
 - Address Type (Both, Reporting or Instruction Input)
4. Click on Submit.

The window expands to allow the Administrator to configure the Reporting or Instruction Input details per account(s), depending on OU privileges.

5. Click on Submit again.

Once submitted by the Administrator, the request to create a new address is processed by Clearstream which activates the Xact File Transfer delivery address and filestore within 3 business days.

User

To query a user:

1. In the main menu of Xact Web Portal, select User Management, File Transfer Management, User. The screen opens with the Query View.
2. Click on "Query/List"
3. Select any of the search fields as necessary, as described below, and then click "Query"

The Query screen is composed of three sections

 - Predefined**
 - User details**
 - Ordering**
4. The results of your query are displayed in the list view.

To view the details of a user:

In the list view, the following actions are possible:

1. Click on a single line to view user details;
2. Select multiple lines in the list and click on the Open Detail button.

User Management

To create a user:

1. In the main menu of Xact Web Portal, select User Management, File Transfer Management, User. The screen opens with the Query/List view.
2. Click on the Create tab. The User details window opens.
3. Populate all mandatory fields marked with an *:

- User First Name
- User Id
- User Surname

Note: Select an existing File Transfer delivery address in the Address field if one or more addresses have been set up already for the OU. If no address exists, select New Address. You then need to ensure that you create a new address to be linked to the new user.

4. Click on Submit. The User Status is "Pending New".
5. Once submitted, the new user request needs to be approved as follows:

2-eyes principle:

- Once submitted, the User Details window expands down.
- In the Approve/Reject window, click on Confirm.
- The User Status changes from "Pending New" to "Confirmed Profile"
- Click on Release to send the request to Clearstream.
- You can query the status of your request under Query, User details, User Status.

4-eyes principle:

Admin user 1

- Once submitted, the User Details window expands down.
- In the Approve/Reject window, click on Confirm.
- The User Status changes from "Pending New" to "Confirmed Profile".

Admin user 2

- Go to the Query view and search for the newly created user with status "Confirmed Profile".
- Select the new user and click on Release to send the request to Clearstream.
- You can query the status of your request under Query, User details, User Status. Once released by the Administrator, the new user request is processed by Clearstream that will link the new user to the Xact File Transfer delivery address and filestore within one (1) business day.

To create user credentials:

Once the user has been validated by CBL, the Administrator(s) have to create the user certificates:

1. Query users and select the new user with status "Pending Credential Creation"
2. In the user detailed view, under "Create certificates", fill in the "P12 password" and "P12 password confirmation" fields with a password of your choice.
3. Click on "Create Credentials". You are prompted to input your application log in password to validate the request.
4. A pop-up window appears prompting you to save the new certificate file.
5. Save the file to a location of your choice. Share the certificate with the end user.

For further information about end user tasks, please refer to the Xact File Transfer via Internet User Guide under section Setting up Xact File Transfer via Internet - end user tasks, Installing user credentials.

Audit & Billing

- The Audit Log subdomain provides access to the audit log of the Portal.
- The Billing Item subdomain provides access to billed events on the OU. Billing items are posted daily at 01:00.

To query billing items

1. Click on User Management, Audit & Billing, Billing Item in the main menu of Xact Web Portal.
2. Populate the fields with the required search criteria.
3. Click on “Count” to view the number of rows without seeing the List View. If you want to check how many results your query will yield as it is currently specified, use the “Count” button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.
4. Click on “Query” to see the List View.

User Management

Business User view



Dashboard	Collateral Management - My Activities	Collateral Management - My Settings	Settlement	Cash & Liquidity	Asset Servicing	Tax	Reference Data	Reporting & Monitoring	User Management	Help & Resources
My Data										
My Profile										
My OU Details										
My Credentials										

My Data

- The My Profile subdomain displays the user profile.
- The My OU Details subdomain provides the detail view of the OU that the user belongs to.
- The My Credentials subdomain allows the user to reset their own password and certificates.

12. Data Analytics

Settlement Dashboard

This allows the user to monitor their settlement efficiency and to prevent settlement failure and therefore penalties under the Settlement Discipline Regime.

To use the Settlement Dashboard

1. Click on Settlement, Monitoring, Settlement Dashboard in the main menu of Xact Web Portal.
2. A Privacy Notice window will pop up. Click on the "Consent & Continue" button to open the dashboard.
3. The Settlement Discipline Regime Dashboard will open. Follow the intuitive navigation to monitor your settlement penalties activity.

Collateral Mapper

The Collateral Mapper Dashboard provides the user with a historical view of collateral exposures held against each collateral receiver. It shows the following:

- The amount of collateral, the amount of allocated equities and potential amount of residual equity capacity along with equity related concentration limits linked to each corresponding collateral account and basket.
- The equity holding on relevant source accounts by breaking down it into allocated and available amounts.
- The graphs of historical evolution of residual equity capacity, equity utilization rate and the evolution of collateral value by decomposition it into different asset classes.
- The dashboard is based on EOD data from CmaX and from Swift messages.

To use the Collateral Mapper Dashboard

1. Click on Data Analytics, Dashboards, Collateral Mapper Dashboard in the main menu of Xact Web Portal.
2. A Privacy Notice window will pop up. Click on the "Consent & Continue" button to open the dashboard.
3. The Collateral Mapper Dashboard will open. Follow the intuitive navigation to view your historical collateral exposures.

Disclaimer:

The Collateral Mapper seeks to provide the client with a view on their past collateral exposure against each of the client's collateral receivers. The information provided with the dashboard is based on end of day data from CmaX and MT535 messages generated for clients. The dashboard is a consolidation of information related to collateral exposures that can be found on the Xact Web Portal. We may not have all information available or may (inadvertently) not take all available information into account. The data on which the dashboard is based may be incomplete for any reason, hence CBL takes no responsibility for or liability related to the accuracy of the information provided with the dashboard.

The dashboard is for the client's information purposes only and shall not be construed as any form of advice (legal or otherwise). The client shall be solely responsible for any use of the information provided and any decision taken on the basis of it. CBL shall not take responsibility for any use by the client, including for regulatory reporting. CBL will not be liable for any damage, liability, loss, cost or expense that the client may incur as a direct or indirect consequence of the client's action – or failure to take action – on the basis of the information provided through the dashboard.

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Data Analytics

13. Help & Resources

Overview of Help and Resources

The Help and Resources service provides access to:

- the Help Centre that contains help information on the services available in the Xact Web Portal;
- Message Exchange.



Dashboard	Collateral Management - My Activities	Collateral Management - My Settings	Settlement	Cash & Liquidity	Asset Servicing	Tax	Reference Data	Reporting & Monitoring	User Management	Help & Resources
Help & News	Message Exchange									
Help Centre	Messages									

Help Centre

The Help Centre integrates all the help content included in the Xact Web Portal.

Message Exchange

As a user with appropriate permissions, you can use Message Exchange in Xact Web Portal to create free-format messages to send to Clearstream Banking and to query sent and received messages.

Message exchange life cycle

All message types in Xact Web Portal have a life cycle from creation to release.

The message exchange life cycle describes the different steps that users have to follow in order to create and release a message.

In order to validate an instruction, different user validation configurations are possible and depend on:

- The number of steps required in the validation process:
 - 2 steps: Submit and Release
- The number of different approvers required (2 or 4-eyes principle). In case of “2-eyes” validation, one single user can perform all steps if they own the needed Functional Roles. “4-eyes” means two users are required to release a message.

Possible user validation configurations:

- 2 Steps/2-Eyes: A single user can submit and release a message. To simplify the process, the user is able to release the instruction immediately after having submitted it, without needing to query the instruction.
- 2 Steps/4-Eyes: A user first creates and submits a message. Then a second user selects this instruction via the Query View and releases it.

In order to proceed with the validation of an instruction, a user must own the necessary Functional Roles (Please refer to [“Appendix 3 - Default Functional Roles”](#) on page -9). In the scope of the above user validation configurations, one Functional Role is needed:

- Create - allowing the user to create, submit and release a message.

However, even if a user owns the above Functional Role, they will not necessarily be allowed to perform the entire validation on their own as this is determined by the validation configuration.

Hence, the ability of users to act on the validation process will depend on the configuration and on the Functional Roles they actually own.

To query messages:

Query / List Create

Query

Predefined

Query name: None Save query

Message Parameters

Message Direction = Received

Sender Ref. = Received

Message Status = Sent

Account = Please select...

Financial Instrument =

Place of Safekeeping =

Last Updated by =

Last Update Timestamp [] From To

Attachment

Related Ref. =

Business Process =

Account Name =

Description =

Folder = New

Narrative =

Received Timestamp [] From To

Query Count Reset

1. Click on Help & Resources, Messages in the main menu of Xact Web Portal.
2. First choose the Message Direction, Received or Sent and populate the fields with the required search criteria.
3. Click on "Count" to view the number of rows without seeing the List View. If you want to check how many results your query will yield as it is currently specified, use the "Count" button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.
4. Click on "Query" to see the List View.

To view the details of a message:

1. Perform a query as above.
2. To display the details of the event, select the row(s) from the list and click on "Open Detail":
3. If more than one message is selected the details open in separate tabs.
4. The content of the message is shown
 - for received messages, the user can respond to the message or change the folder;
 - for sent messages, the user can cancel, modify or release the message as long as it has not been previously released.

Help & Resources

To create a message:

1. Click on Help & Resources, Messages in the main menu of Xact Web Portal. The screen opens with the Query View.
2. Click on the Create tab.
3. Populate all mandatory fields, these are marked with an *:
 - Sender Ref.;
 - Account;
 - Business process;
 - Text.
4. Click on "Submit" to submit the instruction.

The message needs to be released (please refer to ["Message exchange life cycle"](#)).

The screenshot shows the 'Create' tab in the Xact Web Portal. The interface has a top navigation bar with 'Query / List' and 'Create' tabs. Below this is a 'Message Details' section with a teal header. The form contains several fields: 'Sender Ref.*', 'Related Ref.', 'Account*', 'Financial Instrument', 'Text*', 'Business Process*', 'Account Name', 'Description', and 'Place of Safekeeping'. The 'Text*' field is a large text area. At the bottom right, there are 'Reset' and 'Submit' buttons. On the left side of the form, there are three small icons: a grid, a document with a checkmark, and a document with a plus sign.

To release a message:

1. Perform a query as above.
2. Either:
 - Select the message in the List View and click on "Release"; or
 - Open the detail view of the instruction that you wish to release and click on "Release".

To modify a message:

1. Perform a query as above.
2. Either:
 - Select the message in the List View and click on "Modify", the Detail View will open; or
 - Open the detail view of the instruction that you wish to modify and click on "Modify".
3. Make the changes as required and click on "Submit" to modify the message. The instruction needs to be released (please refer to ["Message exchange life cycle"](#)).

To cancel a message

1. Perform a query as above.
 2. Either:
 - Select the message in the List View and click on “Cancel”; or
 - Open the detail view of the instruction that you wish to modify and click on “Cancel”.
- The message is cancelled immediately.

Help & Resources

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Appendices

Appendix 1 - Letters and emails to administrators

Xact Web Portal Access part 1 of 3

User password

Dear _____,

This is the user password to access the Xact Web Portal.

User ID: _____

User password: _____

Please confirm the receipt of this letter immediately to the Xact Web Portal by either:

- Swift authenticated message;
- Fax with 2 authorised signatories; or
- Secure email

You will then receive via email Part 3 of 3 of your access in the form of a P12 file.

If for any reason you require further information, please contact our connectivity support teams on Luxembourg

+352 243 38 110, Frankfurt +49 69 211 11 580, London +44 20 7862 7100 or via email
connect@clearstream.com

Xact Web Portal Access part 2 of 3

P12 File Password

Dear _____,

This is the P12 file password to access the Xact Web Portal.

User ID: _____

User password: _____

Please confirm the receipt of this letter immediately to the Xact Web Portal by either:

- Swift authenticated message;
- Fax with 2 authorised signatories; or
- Secure email

You will then receive via email Part 3 of 3 of your access in the form of a P12 file.

If for any reason you require further information, please contact our connectivity support teams in Luxembourg:

+352 243 38 110, Frankfurt +49 69 211 11 580, London +44 20 7862 7100 or via email
connect@clearstream.com

Email part 3 of 3

Dear _____,

This is part 3 of 3 of your access to the Xact Web Portal. You will find attached your temporary certificates to access the portal. Before accessing the portal, please import the certificates into your key store, you will be prompted for the P12 file password.

The certificates will be marked with your User ID _____ in your key store.

Your temporary certificates are valid until _____.

If you have any questions please contact the Xact Web Portal client helpdesk:

Luxembourg

phone: +352-243-38110

fax: +352-243-638110

email: connectlux@clearstream.com

Frankfurt

phone: +49-(0) 69-2 11-1 15 80

fax: +49-(0) 69-2 11-61 15 80

email: connectfrankfurt@clearstream.com

London

phone: +44-(0)20 786 27100

fax: +44-(0)20 786 27254

email: connectlondon@clearstream.com

Appendix 2 - Default User Groups

The following Default User Groups are available:

Service	User Group	Description
Asset Servicing	Business User - Full Access	Has the functional roles: • Asset Servicing Query • CA Event Change Folder Owner for Business • CA Instruction Authorisation • CA Instruction Input • CA Instruction Release
Asset Servicing	Business User - Proxy Voting	Has the functional roles: • Proxy Voting Input • Proxy Voting Authorisation • Proxy Voting Release • Query
Asset Servicing	Business User - Read Only	Has the functional role: • Query
Asset Servicing	Shareholder Identification Disclosure Query	Query Shareholder Identification Disclosures
Business Monitoring	Business Monitoring - Full Access	Has the functional roles: • Manage Business Monitors • Query Business Monitors
Cash & Liquidity	Business Cash User	Has the functional roles: • Query Cash Balances • Query Cash Instructions • Credit & Collateral Usage Query • Credit Usage & HLC Query
Cash & Liquidity	Business Cash Supervisor	Has the functional roles: • Authorise Cash Instructions • Input Cash Instructions • Query Cash Balances • Query Cash Instructions • Release Cash Instructions • Credit & Collateral Usage Query • Credit Usage & HLC Query

Appendices

Service	User Group	Description
Collateral Management	Collateral Management - Full Access	Has the functional roles: • Allegement • Create File Upload • Default • Domain Collateral Cash • Domain Eligibility Check Contract • Domain MIS • Domain Position Check • Domain Principal Securities • Domain Reference data • Domain Settlement • Domain To Do - Summary • Participant Instructions - Allocate Collateral • Participant Instructions - Authorise • Participant Instructions - Cancel • Participant Instructions - Change Closing Date • Participant Instructions - Change Principal • Participant Instructions - Change Rate • Participant Instructions - Opening • Participant Instructions - Submit • Participant Instructions - Substitute Collateral • Participant Instructions - Withdraw Collateral • PI Upload - Authorise • Scheduled Report • Simulation
Collateral management	Collateral Management - Read Only	Has the functional roles: • Allegement • Default • Domain Collateral Cash • Domain Eligibility Check Contract • Domain MIS • Domain Position Check • Domain Principal Securities • Domain Reference data • Domain Settlement • Domain To Do - Summary • Scheduled Report • Simulation

Service	User Group	Description
Message Exchange	Message Exchange - Full Access	Has the functional roles: • Create Message Exchange - Clearing & Settlement • Create Message Exchange - Corporate Action • Create Message Exchange - Customer Services • Create Message Exchange - Forex • Create Message Exchange - Income • Create Message Exchange - Investment Funds • Create Message Exchange - New Issues • Create Message Exchange - Nostro • Create Message Exchange - Payments • Create Message Exchange - Tax • Create Message Exchange - Treasury • Query Message Exchange - Clearing & Settlement • Query Message Exchange - Corporate Action • Query Message Exchange - Customer Services • Query Message Exchange - Forex • Query Message Exchange - Income • Query Message Exchange - Investment Funds • Query Message Exchange - New Issues • Query Message Exchange - Nostro • Query Message Exchange - Payments • Query Message Exchange - Tax • Query Message Exchange - Treasury
Message Exchange	Message Exchange - Read Only	Has the functional roles: • Query Message Exchange - Clearing & Settlement • Query Message Exchange - Corporate Action • Query Message Exchange - Customer Services • Query Message Exchange - Forex • Query Message Exchange - Income • Query Message Exchange - Investment Funds • Query Message Exchange - New Issues • Query Message Exchange - Nostro • Query Message Exchange - Payments • Query Message Exchange - Tax • Query Message Exchange - Treasury
Reference Data	Reference Data Access	Has the functional role: • Query Reference Data
Reporting	Report Centre - Full Access	Has the functional role: • Reporting Full Access • CBF File Service – Download¹
Reporting	Report Centre - Read Only	Has the functional role: • Reporting Read Only • CBF File Service – Download¹
Settlement	Business Securities Supervisor	Has the functional roles: • Authorise Securities Instructions • Input Securities Instructions • Query Appeals • Query Penalties • Query Securities Instructions • Query Securities Positions • Release Penalty Appeal • Release Securities Instructions • Submit - Penalty Appeal (Create Appeal)

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Service	User Group	Description
Settlement	Business Securities User	Has the functional roles: • Query Securities Instructions • Query Securities Positions • Query Daily Penalties • Query Monthly Aggregates • Query Appeals
Settlement	FRS Query	Has the functional role: • Query FRS Beneficial Owner²
Tax	FTT Business User - Read Only	Has the functional role: • Query Please note that this applies to both FTT and Sales tax.
Tax	Tax Business User - Read Only	Has the functional role: • Query
Tax	Tax Attestation - Read Only	Has the functional role: • Tax Attestation Query
Tax	Tax Attestation - Full Access	Has the functional role: • Tax Attestation Query • Tax Attestation Input³
User Management	OU Super Admin	Has the functional roles: • Audit & Billing • File Transfer Management • Resource Group Admin • User admin • User Group Admin
Vestima Master Participant	Business Archive Permissions	Has the functional roles: • Archived Orders Access • Archived Reports Access
Vestima Master Participant	Common Permissions	Has the functional roles: - Authorise / Fail Authorise - Verify / Fail Verify
Vestima Master Participant	Data File Uploads Permissions	Has the functional role: - Data File Uploads Permissions
Vestima Master Participant	Depository Permissions	Has the functional roles: - Confirm Entry of Units / Confirm Delivery of Units / Modify - Delete
Vestima Master Participant	OHA Permissions	Has the functional roles: - Accept Cancellation Request - Acknowledge / Reject - Cancel Confirmation - Fill / Modify / Replace Confirmation

Service	User Group	Description
Vestima Master Participant	OI Permissions	Has the functional roles: - Cancel Order - Create Order / Modify / Copy - Force Trading Limit Failed Orders - Modify Trading Limits
Vestima Master Participant	Reports Permissions	Has the functional roles: - Reports Access
Vestima Master Participant	VSR Permissions	Has the functional roles: - Authorise / Revoke - Create / Update
Vestima Order Handling Agent	Business Archive Permissions	Has the functional roles: - Archived Orders Access - Archived Reports Access
Vestima Order Handling Agent	Data File Uploads Permissions	Has the functional role: - Data File Uploads Permissions
Vestima Order Handling Agent	OHA Permissions	Has the functional roles: - Accept Cancellation Request - Acknowledge / Reject - Authorise / Fail Authorise - Cancel Confirmation - Fill / Modify / Replace Confirmation - Verify / Fail Verify
Vestima Order Handling Agent	Reports Permissions	Has the functional role: - Reports Access
Vestima Order Handling Agent	VSR Permissions	Has the functional roles: - Authorise / Revoke - Create / Update
Vestima Order Issuer	Business Archive Permissions	Has the functional roles: - Archived Orders Access - Archived Reports Access
Vestima Order Issuer	Data File Uploads Permissions	Has the functional role: - Data File Uploads Permissions
Vestima Order Issuer	OI Permissions	Has the functional roles: - Authorise / Fail Authorise - Cancel Order - Create Order / Modify / Copy - Modify Trading Limits - Verify / Fail Verify
Vestima Order Issuer	Reports Permissions	Has the functional role: - Reports Access

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Service	User Group	Description
Vestima Order Issuer	Supervisor Permissions	Has the functional role: - External OI Supervisor
Vestima Order Issuer	VSR Permissions	Has the functional roles: - Authorise / Revoke - Create / Update
Vestima Report Receiver	Business Archive Permissions	Has the functional role: - Archived Reports Access
Vestima Report Receiver	Data File Uploads Permissions	Has the functional role: - Data File Uploads Permissions
Vestima Report Receiver	Reports Permissions	Has the functional role: - Reports Access
Vestima Report Receiver	Supervisor Permissions	Has the functional role: - External RR Supervisor
Vestima Report Receiver	VSR Permissions	Has the functional roles: - Authorise / Revoke - Create / Update

1. Available to CBF accounts only.
2. FRS Beneficial Owner refers to Registered Shares: Beneficial Owner Details.
3. Tax Attestation Request Upload.

Appendix 3 - Default Functional Roles

The following Default Functional Roles are available:

Service	Functional Role ID	Description
Asset Servicing	Query	Gives access permission to query on events
Asset Servicing	CA Instruction Input	Gives access permission to input corporate action instructions for all events except: • MEET • BMET • CMET • XMET
Asset Servicing	CA Instruction Release	Gives access permission to release corporate action instructions for all events except: • MEET • BMET • CMET • XMET
Asset Servicing	CA Instruction Authorisation	Gives access permission to authorise corporate action instructions for all events except: • MEET • BMET • CMET • XMET
Asset Servicing	Proxy Voting Input	Gives access permission to input corporate action instructions for the following events: • MEET • BMET • CMET • XMET
Asset Servicing	Proxy Voting Release	Gives access permission to release corporate action instructions for the following events: • MEET • BMET • CMET • XMET
Asset Servicing	Proxy Voting Authorisation	Gives access permission to authorise corporate action instructions for the following events: • MEET • BMET • CMET • XMET
Asset Servicing	Shareholder Identification Disclosure Query	Gives access permission to the Shareholder Identification Disclosure module
Business Monitoring	Query Business Monitors	Gives access permission to query Business Monitors
Business Monitoring	Manage Business Monitors	Gives access permission to manage Business Monitors
Cash & Liquidity	Query Cash Instructions	Gives access permission to query cash instructions
Cash & Liquidity	Query Cash Balances	Gives access permission to query cash balances
Cash & Liquidity	Input Cash Instructions	Gives access permission to input cash instructions
Cash & Liquidity	Authorise Cash Instructions	Gives access permission to authorise cash instructions

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Service	Functional Role ID	Description
Cash & Liquidity	Release Cash Instructions	Gives access permission to release cash instructions
Cash & Liquidity	Credit & Collateral Usage Query	Gives access permission to query Credit & Collateral Usage
Cash & Liquidity	Credit Usage & HLC Query	Gives access permission to query Credit Usage & HLC
Cash & Security	Business Cash Supervisor	Gives access permission to the following: 1. authorise and input cash instructions 2. query cash balances and cash instructions 3. release cash instructions 4. query Credit and Collateral usage
Cash & Security	Business Cash user	Gives access permission to query cash balances and cash instructions and allows to query Credit and Collateral usage.
Collateral Management	Domain To Do - Summary	Gives access permission to Summary
Collateral Management	Default	Gives access permission to the following: 1. Operational Profile and the Contract(s) set up including own Baskets/Collateral Givers exclusion details 2. Security lists and contents 3. Collateral Management activities domains (Exposures/Collateral Securities/Collateral Management/On Demand Report)
Collateral Management	Domain Position Check	Gives access permission to Position Check
Collateral Management	Domain Principal Securities	Gives access permission to Principal Securities
Collateral Management	Domain Collateral Cash	Gives access permission to Collateral Cash
Collateral Management	Domain Eligibility Check (Contract)	Gives access permission to Eligibility Check
Collateral Management	Domain Settlement	Gives access permission to Settlement
Collateral Management	Scheduled Report	Gives access permission to the following: 1. Scheduled 2. Reporting Groups and allows to open scheduled reports
Collateral Management	Domain MIS	Gives access permission to MIS
Collateral Management	Simulation	Gives access permission to the following: 1. Real Time Simulation 2. Extended Simulation
Collateral Management	Domain Reference Data	Gives access permission to the following: 1. Securities 2. Ineligibility Calendar 3. Issuers
Collateral Management	Participant Instructions - Opening	Allows creation of an opening instruction
Collateral Management	Participant Instructions - Allocate Collateral	Allows creation of an allocate/top up instruction
Collateral Management	Participant Instructions - Withdraw Collateral	Allows creation of a withdraw instruction
Collateral Management	Participant Instructions - Substitute Collateral	Allows creation of a substitute instruction

Service	Functional Role ID	Description
Collateral Management	Participant Instructions - Change Rate	Allows the rate of an instruction to be changed
Collateral Management	Participant Instructions - Change Closing Date	Allows the closing date of an instruction to be changed
Collateral Management	Participant Instructions - Cancel	Allows cancellation of an instruction
Collateral Management	Participant Instructions - Change Principal	Allows the Principal to be changed
Collateral Management	Participant Instructions - Submit	Allows submission of an instruction
Collateral Management	Participant Instructions - Authorise	Allows authorisation of an instruction
Collateral Management	Create File Upload	Gives access permission to Create File Upload and allows to upload an instruction file
Collateral Management	PI Upload - Authorise	Allows authorisation of an instruction file
Collateral Management	Allegation	Gives access permission to Allegement (in order to match pending Collateral Management instructions)
Settlement	Collateral Mapper	Gives access permission to use the Collateral Mapper Dashboard
Message Exchange	Create Message Exchange	Allows creation of a message
Message Exchange	Query Message Exchange	Gives access permission to query messages
Reference Data	Query Reference Data	Gives access permission to query on Reference Data
Reporting	Reporting Full Access (including Bulk)	Gives access permission to manage reports
Reporting	Reporting Read Only	Gives access permission to view the reports defined
Reporting	CBF File Service - Download ¹	Gives access permission to query and download reports.
Reporting	Adhoc Reporting - Manage Statement of holdings (Securities/Cash)	Gives access permission to query and download reports.
Settlement	Authorise Securities Instructions	Gives access permission to authorise securities instructions
Settlement	FRS Beneficial Owner Query	Gives access permission to query Registered Shares: Beneficial Owner Details
Settlement	Input Securities Instructions	Gives access permission to input securities instructions
Settlement	Query Securities Instructions	Gives access permission to query securities instructions
Settlement	Query Securities Positions	Gives access permission to query securities positions
Settlement	Query Daily Penalties	Gives access permission to query
Settlement	Query Monthly Aggregates	Gives access permission to query Monthly Aggregates
Settlement	Query Appeals	Gives access permission to query Appeals
Settlement	Create Appeals	Gives access permission to create Appeals

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Service	Functional Role ID	Description
Settlement	Release Securities Instructions	Gives access permission to release securities instructions
Settlement	Settlement Dashboard	Gives access permission to use the settlement dashboard
Settlement	Settlement Prediction Access	Gives access permission to use the settlement probability prediction
Tax	Financial Transaction Tax - Query	Gives access permission to query on Financial Transaction Tax
Tax	Financial Transaction Tax - Upload	Gives access permission to upload a Financial Transaction Tax file
Tax	Query	Gives access permission to query on Tax excluding Financial Transaction Tax
Tax	Tax Attestation Input	Gives access permission to the following: • Create a tax attestation request upload; • Query tax attestation request uploads.
Tax	Tax Attestation Query	Gives access permission to query Tax Attestations
User Management	Audit & Billing	Gives access permission to query the audit log and billed events
User Management	Audit Log	Gives access permission to the audit log including all actions performed by all users of the user Organisation Unit
User Management	Default	Default role for all users allowing to view your Organisation Unit and your user properties (settings and credentials)
User Management	File Transfer Management - Create Address	Permission to create a new Xact File Transfer address and request activation and assignment by CBL to client OU.
User Management	File Transfer Management - Create User	Permission to create a new Xact File Transfer user, request activation by CBL and issue user credentials
User Management	File Transfer Management - Query Address	Allows to query addresses
User Management	File Transfer Management - Query User	Allows to query users
User Management	Resource Group Admin	Gives access permission to Resource Group in which it is possible to create, edit, and delete Resource Groups that are not defined as "default"
User Management	User Admin	Gives access permission to User, in which it is possible to add, edit and delete users belonging to own Organisation Unit
User Management	User Group Admin	Gives access permission to User Group, in which it is possible to create, edit, and delete User Groups that are not defined as "default"

Service	Functional Role ID	Description
Vestima Master Participant	Business Archive Permissions	Has the functional roles: - Archived Orders Access - Archived Reports Access
Vestima Master Participant	Common Permissions	Has the functional roles: - Authorise / Fail Authorise - Verify / Fail Verify
Vestima Master Participant	Data File Uploads Permissions	Has the functional role: - Data File Uploads Permissions
Vestima Master Participant	Depository Permissions	Has the functional roles: - Confirm Entry of Units / Confirm Delivery of Units / Modify - Delete
Vestima Master Participant	OHA Permissions	Has the functional roles: - Accept Cancellation Request - Acknowledge / Reject - Cancel Confirmation - Fill / Modify / Replace Confirmation
Vestima Master Participant	OI Permissions	Has the functional roles: - Cancel Order - Create Order / Modify / Copy - Force Trading Limit Failed Orders - Modify Trading Limits
Vestima Master Participant	Reports Permissions	Has the functional roles: - Reports Access
Vestima Master Participant	VSR Permissions	Has the functional roles: - Authorise / Revoke - Create / Update
Vestima Order Handling Agent	Business Archive Permissions	Has the functional roles: - Archived Orders Access - Archived Reports Access
Vestima Order Handling Agent	Data File Uploads Permissions	Has the functional role: - Data File Uploads Permissions

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Service	Functional Role ID	Description
Vestima Order Handling Agent	OHA Permissions	Has the functional roles: - Accept Cancellation Request - Acknowledge / Reject - Authorise / Fail Authorise - Cancel Confirmation - Fill / Modify / Replace Confirmation - Verify / Fail Verify
Vestima Order Handling Agent	Reports Permissions	Has the functional role: - Reports Access
Vestima Order Handling Agent	VSR Permissions	Has the functional roles: - Authorise / Revoke - Create / Update
Vestima Order Issuer	Business Archive Permissions	Has the functional roles: - Archived Orders Access - Archived Reports Access
Vestima Order Issuer	Data File Uploads Permissions	Has the functional role: - Data File Uploads Permissions
Vestima Order Issuer	OI Permissions	Has the functional roles: - Authorise / Fail Authorise - Cancel Order - Create Order / Modify / Copy - Modify Trading Limits - Verify / Fail Verify
Vestima Order Issuer	Reports Permissions	Has the functional role: - Reports Access
Vestima Order Issuer	Supervisor Permissions	Has the functional role: - External OI Supervisor
Vestima Order Issuer	VSR Permissions	Has the functional roles: - Authorise / Revoke - Create / Update
Vestima Report Receiver	Business Archive Permissions	Has the functional role: - Archived Reports Access
Vestima Report Receiver	Data File Uploads Permissions	Has the functional role: - Data File Uploads Permissions
Vestima Report Receiver	Reports Permissions	Has the functional role: - Reports Access
Vestima Report Receiver	Supervisor Permissions	Has the functional role: - External RR Supervisor
Vestima Report Receiver	VSR Permissions	Has the functional roles: - Authorise / Revoke - Create / Update

Service	Functional Role ID	Description
Vestima Master Participant	Accept Cancellation Request	Give access permission to Accept Cancellation Request
Vestima Master Participant	Acknowledge / Reject	Give access permission to Acknowledge Order / Reject Order
Vestima Master Participant	Archived Orders Access	Give access permission to Archived Orders
Vestima Master Participant	Archived Reports Access	Give access permission to Archived Reports
Vestima Master Participant	Authorise / Fail Authorise	Give access permission to Authorise Order / Fail Authorise Order
Vestima Master Participant	Authorise / Revoke	Give access permission to Authorise / Revoke Service Requests
Vestima Master Participant	Cancel Confirmation	Give access permission to Cancel Confirmation
Vestima Master Participant	Cancel Order	Give access permission to Cancel Order
Vestima Master Participant	Confirm Entry of Units / Confirm Delivery of Units / Modify	Give access permission to Confirm Entry of Units / Confirm Delivery of Units / Modify
Vestima Master Participant	Create / Update	Give access permission to Create / Update Service Requests
Vestima Master Participant	Create Order / Modify / Copy	Give access permission to Create Order / Modify Order / Copy Order
Vestima Master Participant	Data File Uploads Permissions	Give access permission to upload CSV Data Files
Vestima Master Participant	Delete	Give access permission to Delete
Vestima Master Participant	Fill / Modify / Replace Confirmation	Give access permission to Fill Confirmation / Modify Confirmation / Replace Confirmation

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Service	Functional Role ID	Description
Vestima Master Participant	Force Trading Limit Failed Orders	Give access permission to Force Trading Limit Failed Orders
Vestima Master Participant	Modify Trading Limits	Give access permission to Modify Trading Limits
Vestima Master Participant	Reports Access	Give access permission to Reports
Vestima Master Participant	Verify / Fail Verify	Give access permission to Verify Order / Fail Verify Order
Vestima Order Handling Agent	Accept Cancellation Request	Give access permission to Accept Cancellation Request
Vestima Order Handling Agent	Acknowledge / Reject	Give access permission to Acknowledge Order / Reject Order
Vestima Order Handling Agent	Archived Orders Access	Give access permission to Archived Orders
Vestima Order Handling Agent	Archived Reports Access	Give access permission to Archived Reports
Vestima Order Handling Agent	Authorise / Fail Authorise	Give access permission to Authorise Order / Fail Authorise Order
Vestima Order Handling Agent	Authorise / Revoke	Give access permission to Authorise / Revoke Service Requests
Vestima Order Handling Agent	Cancel Confirmation	Give access permission to Cancel Confirmation
Vestima Order Handling Agent	Create / Update	Give access permission to Create / Update Service Requests
Vestima Order Handling Agent	Data File Uploads Permissions	Give access permission to upload CSV Data Files
Vestima Order Handling Agent	Fill / Modify / Replace Confirmation	Give access permission to Fill Confirmation / Modify Confirmation / Replace Confirmation

Service	Functional Role ID	Description
Vestima Order Handling Agent	Reports Access	Give access permission to Reports
Vestima Order Handling Agent	Verify / Fail Verify	Give access permission to Verify Order / Fail Verify Order
Vestima Order Issuer	Archived Orders Access	Give access permission to Archived Orders
Vestima Order Issuer	Archived Reports Access	Give access permission to Archived Reports
Vestima Order Issuer	Authorise / Fail Authorise	Give access permission to Authorise Order / Fail Authorise Order
Vestima Order Issuer	Authorise / Revoke	Give access permission to Authorise / Revoke Service Requests
Vestima Order Issuer	Cancel Order	Give access permission to Cancel Order
Vestima Order Issuer	Create / Update	Give access permission to Create / Update Service Requests
Vestima Order Issuer	Create Order / Modify / Copy	Give access permission to Create Order / Modify Order / Copy Order
Vestima Order Issuer	Data File Uploads Permissions	Give access permission to upload CSV Data Files
Vestima Order Issuer	External OI Supervisor	Give access permission to External OI Supervisor
Vestima Order Issuer	Modify Trading Limits	Give access permission to Modify Trading Limits
Vestima Order Issuer	Reports Access	Give access permission to Reports
Vestima Order Issuer	Verify / Fail Verify	Give access permission to Verify Order / Fail Verify Order

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Service	Functional Role ID	Description
Vestima Report Receiver	Archived Reports Access	Give access permission to Archived Reports
Vestima Report Receiver	Authorise / Revoke	Give access permission to Authorise / Revoke Service Requests
Vestima Report Receiver	Create / Update	Give access permission to Create / Update Service Requests
Vestima Report Receiver	Data File Uploads Permissions	Give access permission to upload CSV Data Files
Vestima Report Receiver	External RR Supervisor	Give access permission to External RR Supervisor
Vestima Report Receiver	Reports Access	Give access permission to Reports

1. Available to CBF accounts only.

Appendix 4 - Default Resource Groups

The following Default Resource Groups are available:

Service	Resource Group ID	Description
Asset Servicing	Default Accounts	Includes all accounts linked to the Financial Institutions or BIC Participants granted to your Organisation Unit
Asset Servicing	Default BIC participants	Includes all BIC participants granted to your Organisation Unit as a relationship
Asset Servicing	Default Financial Institutions	Includes all Financial Institutions granted to your Organisation Unit as a relationship
Asset Servicing	Default Services for Upload	Includes all Services allowed in the File Upload Manager
Asset Servicing	Shareholder Identification Disclosure Query	Gives a user access permission, whereby it is possible to add, edit, delete and revoke users belonging to the own Organisation Unit
Cash & Liquidity	Default Accounts	Includes all accounts linked to the Financial Institutions or BIC Participants granted to your Organisation Unit
Cash & Liquidity	Default BIC participants	Includes all BIC participants granted to your Organisation Unit as a relationship
Cash & Liquidity	Default Financial Institutions	Includes all Financial Institutions granted to your Organisation Unit as a relationship
Cash & Liquidity	Default Services for Upload	Includes all Services allowed in the Cash File Upload
Collateral Management	Default CmaX PSC	Includes all Collateral Management Short Codes allocated or your Organisation Unit
Collateral Management	Default CmaX Contract	Includes all Collateral Management contracts related to your Collateral Management accounts (as collateral taker or provider)
Reporting	Default COL OU	All OUs defined in CreationOnline for which it is possible to import existing report subscriptions (but not the generated reports) in Xact Web Portal.
Settlement	Default Accounts	Includes all accounts linked to the Financial Institutions or BIC Participants granted to your Organisation Unit
Settlement	Default BIC participants	Includes all BIC participants granted to your Organisation Unit as a relationship
Settlement	Default Financial Institutions	Includes all Financial Institutions granted to your Organisation Unit as a relationship
Settlement	Default Services for Upload	Includes all Services allowed in the Security File Upload
Tax	Default Accounts	Includes all accounts linked to the Financial Institutions or BIC Participants granted to your Organisation Unit
Tax	Default BIC participants	Includes all BIC participants granted to your Organisation Unit as a relationship
Tax	Default Financial Institutions	Includes all Financial Institutions granted to your Organisation Unit as a relationship
Tax	Default Services for Upload	Includes all Services allowed in the File Upload Manager
User Management	Audit Log	Audit log including all actions performed by all users of the user Organisation Unit

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Service	Resource Group ID	Description
User Management	Default	Default role for all users allowing to view your Organisation Unit and your user properties (settings and credentials)
User Management	File Transfer Management	Gives access permission to User, in which it is possible to add, edit, delete and revoke users belonging to own Organisation Unit
User Management	Resource Group	Admin Gives access permission to Resource Group in which it is possible to create, edit, and delete Resource Groups that are not defined as "default"
User Management	User Admin	Gives access permission to User, in which it is possible to add, edit and delete users belonging to own Organisation Unit
User Management	User Group	Admin Gives access permission to User Group, in which it is possible to create, edit, and delete User Groups that are not defined as "default"

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Appendices

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