Order form lists
25A Registration KCSL

Clearstream | DEUTSCHE BÖRSE GROUP

Please send the completed form to
connect@clearstream.com

Phone: +49–(0)69–211-11590

Customer (account holder)

_____
Company name

_____
Functional contact person (first name and surname)

_____
Phone

_____
Email

_____
Technical contact person (first name and surname)

_____
Phone

_____
Email

Customer's CBF account no.   Customer's additional CBF account numbers

Technical receiver's CBF account no.

For detailed information about this subscription service, please refer to the following pages.

Date

Two signatures of the customer and names in printed characters

Subscription to lists of securities held in collective safe custody

Requesting securities lists via the KCSL application in CARAD

Customers may subscribe to lists of their securities holdings via CARAD, CBF's main system for the administration of securities numbers. The lists will be provided the next day for processing. Customers can download the requested lists on Deutsche Börse's website (www.deutscheboerse.com) under CBF Fileservice / Clearstream Data / Vaults List.
To download a list please follow the steps below:

– Go to www.deutsche-boerse.com;

– In the Login section select CBF Fileservice and then Login;

– Select Vaults from CBF Lists.

This service is also available to customers with customer vault accounts, or acting as issuing banks or paying agents.

Available lists

The online KCSL transaction can be used to request the following lists.

List of all certificate numbers (function code AG)

This list contains the current vault positions of all individual certificates, all global certificates and all summary certificates of one ISIN. The securities numbers of the individual certificates are sorted numerically by securities identification number (ISIN), by custody type, by deviating security description and by denomination. Global certificates are displayed in ascending order of collection number.
The following may be selected:

– **Vaults**
J/N = Identification whether customer is CBF vaults account holder (mandatory field)

– **WKN**
ISIN = Securities Identification Number (mandatory field)

– **HLG**
Custody type at CBF

– **Securities** (mandatory field)
I = Inventory list of all certificates deposited with CBF.
O = Opposition and special features list.
M = List of defects and replacements.
T = Securities or global certificates for which text information is available (only for customer vault accounts) will   be issued.

Current list containing "only collective safe custody certificate holdings" (function code AE)

This list contains the current vault positions for all individual certificates, all global certificates or all "up to" global certificates. The securities numbers of the individual certificates are sorted numerically by securities identification number (ISIN), by custody type, by deviating security description and by denomination. Global certificates are displayed in ascending order of collection number.
These specifications must be limited to one security class and individual/global certificates.
The following may be selected:

– **WKN**
ISIN = Securities Identification Number (mandatory field)

– **Denomination**
You may limit your request to one denomination.

– **HLG**
Custody type at CBF

– **Securities selection** (mandatory field)
I = Inventory list of all certificates deposited with CBF
O = Opposition and special features list
M = List of defects and replacements

– **Type of certificate** (mandatory field)
E/S = Request for individual or global certificates

List of current customer safe custody accounts "only for CBF customer vault accounts" (function code AK)

This list provides an inventory of all individual and global certificates for one client reference.

The following may be selected:

- **Client reference**
  identifies the ultimate customer safe custody account (mandatory field)

- **Denomination**
  You may limit your request to one denomination.

- **Securities selection** (mandatory field)
  I = Inventory list of all certificates deposited with CBF
  O = Opposition and special features list
  M = List of defects and replacements

- **Arithmetic**
  J = List is sorted arithmetically by securities number
  N = List shows securities in vault in order of deposit
  The field is filled with "J" (for yes) by default

Current holdings evaluation of issuing bank (function code EM)

This function enables customers to request a current evaluation of their securities holdings for which they act as issuing bank. All securities classes which have a corresponding reference in the issuing bank field in WSS on the day of the printout will be included. The evaluation for each list requested is issued in a CSV file.
The request cannot be specified further here.

Online information via CARAD

CARAD provides customers with the option of retrieving online information on current certificate holdings for securities and on the instruction history relating to their capacity as issuing bank or paying agent. Customers may use the KCKI and KPHI transactions for this.

Certificate holdings – KCKI

Information on certificate holdings (function code IH)

The KCKI IH function displays all position details in CARAD for one securities identification number. The displays are generated on the basis of the global and "up to" global certificates in the current holdings, taking into account posted deposit and delivery instructions which have not yet been finalised at CBF. In addition, the current "anticipated nominal value", "open nominal value" and "up to nominal value" are also listed for "up to" global certificates. The displays for individual certificates reflect the situation as at the previous evening after all position changes.

Information securities number query (function code IS)

The KCKI IS function for querying securities numbers determines the query data based on the holdings in CARAD and on CASCADE's deposits and withdrawals. Issuing banks may only query collective safe custody positions (not individual safe custody positions). Customers with vault accounts may only query current vault positions. This means that the query makes a current statement of holdings possible as long as the queried securities number is available at CBF.

Instruction history – KPHI

This transaction provides the information functions for both deposit and withdrawal history which allow customers to follow the processing of an instruction of type AA16 or AA18 in the review boards of CBF. Only the customer's own instructions will be displayed.

CARAD User Manual

The CARAD User Manual provides customers with a detailed description of new and existing sources of information. The manual is available on our website www.clearstream.com under Products and Services / Issuance / Safekeeping and vaults / User Manuals Vault Services.