

Vestima Service Application Form

Please complete all sections of the form. Please complete Appendix I and Appendix IA if “One Account” service was selected.

Service Application Form

Company Name:

Address: _____

Postal code _____ Country: _____

Commercial registration _____

Who operates as order Issuer (hereafter “OI”);

and Clearstream Banking S.A., a société anonyme incorporated under the laws of the Grand Duchy of Luxembourg, having its registered office at 42 Avenue J.F. Kennedy, L-1855 Luxembourg and registered with the Trade and Companies Register of Luxembourg under number B 9248, who operates as Market Infrastructure Provider (hereafter “MIP”); individually referred to as a “Party” and together “the Parties”.

Date: _____

The purpose of this SAF is to define ☐ New OI ☐ Amendment to the SAF

Vestima participant setup

Who operates as order Issuer (hereafter “OI”);

Participant ID¹ _____

Master Participant¹ ☐ _____

Subscribe participant to

“One Account” service² ☐ _____

Portfolios

Portfolio ID ³ _____	Holding type: <input type="checkbox"/> All <input type="checkbox"/> Simple <input type="checkbox"/> Complex
_____	Holding type: <input type="checkbox"/> All <input type="checkbox"/> Simple <input type="checkbox"/> Complex
_____	Holding type: <input type="checkbox"/> All <input type="checkbox"/> Simple <input type="checkbox"/> Complex
_____	Holding type: <input type="checkbox"/> All <input type="checkbox"/> Simple <input type="checkbox"/> Complex
_____	Holding type: <input type="checkbox"/> All <input type="checkbox"/> Simple <input type="checkbox"/> Complex

Specify securities account number at the MIP _____

Cash account at the MIP⁴ _____

Automated Settlement⁵ ☐ Yes ☐ No

Immediate rejection for provision failure⁶ ☐ Yes ☐ No

Trading limits (This section is only applicable to the mutual funds available via Vestima+)

Enable trading limits service	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Single order calculation basis	<input type="checkbox"/> None	<input type="checkbox"/> Subscriptions only
	<input type="checkbox"/> Any order	
Total orders calculation period	<input type="checkbox"/> None	<input type="checkbox"/> Subscriptions only
	<input type="checkbox"/> Subscriptions + Redemptions	<input type="checkbox"/> Subscriptions minus redemptions
Total orders calculation period	<input type="checkbox"/> Until end of day	<input type="checkbox"/> Until confirmation <input type="checkbox"/> Until settlement
Reject Browser Orders After Trading Limit Failed	<input type="checkbox"/> Yes	
Reject Swift Orders After Trading Limit Failed	<input type="checkbox"/> Yes	
Only Consider Browser Orders	<input type="checkbox"/> Yes	

Connectivity

Regular connectivity (select only one)⁷

Swift ISO 20022 ☐

Swift ISO 15022⁸ ☐

Fix Connectivity ☐

Browser only ☐

Replies of positive validation is required ☐ Yes ☐ No

In addition, internet browser access is always provided. In the event that a participant is one account participant two points of Internet Browser entry is in place.

Swift

Swift address (BIC or DN) for messages exchanged with the MIP Participant 1 _____

Participant 2 _____

Xact File Transfer

Xact File Transfer user ID (OU or DN) _____

Variant ☐ via Internet

☐ via Swiftnet FileAct

Xact Web Portal Service

VestimaPRIME ☐ Yes

Internet browser access

Xact Web Portal (OU) _____
Xact Web Portal organisational unit (OU)

Please note that additional reporting, covering both Vestima and Vestima Prime is available via Xact Web Portal. Please submit the Xact Web Portal service application form to access Xact Web Portal reporting.

Internet browser usage (This section is only applicable to the mutual funds available via Vestima+)

Authorisation levels for order processing

Order entry ☐ 2 eyes ☐ 4 eyes

Cancellation request entry ☐ 2 eyes ☐ 4 eyes

Report subscriptions⁹

Preferred method of retrieval ☐ Browser ☐ Xact File Transfer¹⁰

Multiple choice, please note that some of these services are specified in the MIP's Fee Schedule.

Published Fund List

☐ Daily report

☐ Daily report with delta indicators

VestimaTRACK¹¹

The OI will provide sub-account holdings input.

☐ Sub-accounts match the portfolio IDs.

☐ Sub-accounts do not match the portfolio IDs¹².

☐ Automated input¹³

Boomerang report, for the ☐ 5th ☐ 10th ☐ Last business day(s)

Registrar Monitoring Report^{14, 11} ☐ PDF ☐ CSV

OI statement of holdings¹⁵ ☐ Daily ☐ Monthly ☐ Separate¹⁶ ☐ Aggregate¹⁷

OI statement of orders¹⁶ ☐ Daily ☐ Monthly ☐ Separate¹⁵ ☐ Aggregate¹⁶

OI statement of transactions¹⁶ ☐ Daily ☐ Monthly ☐ Separate¹⁵ ☐ Aggregate¹⁶

Transfer Tracer report ☐ Daily ☐ Monthly [available as of December 2021]

Include CEU accounts in reporting ☐ Yes¹⁸ ☐ No

Billing (This section is only applicable to the mutual funds available via Vestima+)

The OI authorises the MIP to collect fees and charges
by debiting the following account held at the MIP

Account number _____

Account owner¹⁹ _____

VAT number _____

Billing address

Company _____

Name _____

Address 1 _____

Address 2 _____

Telephone _____

Use of the MIP's Billing Portal ☐ Yes ☐ No

Printing and mailing of invoices: The OI is informed that the printing and mailing of invoices will be outsourced by the MIP and the OI hereby gives power of attorney to the service provider appointed by the MIP to collect from the MIP the number of instructions and all other information that is needed for the invoicing, together with our name, address and account number. This power of attorney is granted for the duration of the contractual relationship.

Main contact and mailing address

Contact name _____

Address _____ Fax _____

City _____ Post code _____ Country _____

Telephone _____ Fax _____

Swift _____

Corporate actions contact

Contact name _____

Email _____ Fax _____

Trading contact

Contact name

Email

Fax

Transfers contact

Contact name

Email

Fax

Technology contact

Contact name

Email

Fax

Authorised signature(s)

Signature

Signature

Name

Name

Title

Title

Place

Place

Date

Date

1. This simplifies on-line access to multiple Vestima participants, and requires special arrangement with the MIP.
2. One Account service allows clients to trade Vestima Prime (alternative) funds in addition to Vestima+ (mutual) funds.
3. Maximum 35 characters.
4. Only to be specified if different to the securities account.
5. Choose whether Vestima shall generate settlement instructions.
6. Choose whether Vestima shall immediately reject a redemption or switch-from if it fails provision checking, if not then such an order will be placed in a queue and retested for a period of one week (five Business Days).
7. Please provide additional documentation if the regular connectivity option does not apply to all OI participants.
8. If you selected yes for Swift ISO 15022 please request access to Clearstream Closed user group Xact File Transfer ISO 15022.
9. Any reports provided by MIP are for the OI's exclusive use and the OI shall keep such reports confidential. The OI may disclose the reports if required by law or regulation provided that the OI will notify MIP as soon as possible and practicable of such disclosure. The OI may only transfer the reports to its employees, advisers, affiliates, agents and/or service providers when such transfer is required for the OI's benefit on a need to know basis to the extent the transferee is bound by law, regulation or contract to keep such reports confidential. Disclosure of the reports, other than as permitted herein, may only be made with the express written permission of the respective MIP.
10. Report retrieval using Xact File Transfer is offered as a supplement and internet browser retrieval is always possible.
11. Please see the MIP's Client Handbook regarding disclosure conditions for VestimaTRACK as well as the VestimaTRACK User Guide.
12. Mapping between the reported sub-accounts and the OI's portfolio IDs is to be provided in additional documentation. A portfolio id can be shared across multiple sub-accounts.
13. Only applicable when no account breakdown is required, and each securities account is referenced by a single OI portfolio id.
14. By default, the registrar monitoring reporting covers the TAs related to holdings on the OI's securities account at the MIP (as identified in the Portfolio section of this SAF). For other requirements, please provide additional documentation.
15. Reports cover settled holdings respectively transactions at the close of business of the last day of the period, with a daily granularity.
16. Includes only one type of funds (Vestima+).
17. Aggregates Vestima and VestimaPRIME funds in one report.
18. Include Clearstream Europe AG (CEU) positions held on CEU's CASCADE settlement platform.
19. Please provide a Power of Attorney if the OI is not the owner of the account.

Vestima Service Application Form - Appendix I

Services applicable only for Vestima Prime funds
Please complete all sections of the form. The following clauses only apply for funds with Fund Processing Group = Vestima Prime. Please refer to the Published Fund List report on Clearstream website.

This Appendix is mandatory only for One Vestima Service Applicants.

Application

Registered Company name

We, the undersigned, representing, hereby request Clearstream Banking S.A. ("Clearstream") to designate the following accounts previously opened or currently being opened in our name as eligible for VestimaPrime Service.

Account location

Account numbers (if already opened)

Suffix to the name of the registered account at the fund admin/transfer agent¹

(default is your account number, if customised 50 characters is the maximum).
For compliance reasons, further documents will have to be provided, even for existing accounts.

Dividend

☐ Cash

☐ Reinvest

Communication methods

(please select one option per activity)

Trading (Front office):

- Cancellation ack. to Client
- Cancellation rejection to Client
- Cancellation acceptance
- Order received to Client (RECE)
- Order to client (STNP)
- Order to client (Intra)*
- * only applies to clients instructing via Swift
- Rejection to Client

Swift
15022

Swift
20022

Fax

Email

☐
☐
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	Swift 15022	Swift 20022	Fax	Email
Corporate Actions:				
– Corp. action cancellation	<input type="checkbox"/>			
– Corp. action confirmation	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
– Corp. action entitlement	<input type="checkbox"/>			
– Corp. action preliminary confirmation	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
– Corp. action notification (ISIN change)	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
– Corp. action notification	<input type="checkbox"/>			
– Corp. action notification (voluntary)			<input type="checkbox"/>	<input type="checkbox"/>
– Corp. action notification (IS1.0)	<input type="checkbox"/>			<input type="checkbox"/>
Transfers:				
– Transfer ack.1 to Client (immediate)	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
– Transfer ack.2 to Client (after sent to the market)	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
– Transfer cancellation to Client	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
– Transfer confirmation to Client	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
– Transfer info from Client			<input type="checkbox"/>	<input type="checkbox"/>
– Transfer order rejection to Client	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
– Transfer tracer to Client	<input type="checkbox"/>			
– Transfer IFC rejection to Client			<input type="checkbox"/>	<input type="checkbox"/>
Middle/Back office:				
– Information from Client				<input type="checkbox"/>
– Advise confirmation to Client	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
– Estimate Confirmation to Client	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
– Final Confirmation to Client	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
– Order acceptance to Client (PACK)		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
– Payment advice to Client (CPST/SETT)		<input type="checkbox"/>		
Statement of Holdings:				
– Statement of Holdings	<input type="checkbox"/>		<input type="checkbox"/>	
– Statement of Pending Transactions	<input type="checkbox"/>		<input type="checkbox"/>	
– Statement of Transactions	<input type="checkbox"/>		<input type="checkbox"/>	

Please return this form and the following documents (as relevant) to your Relationship Officer:

- Backup withholding tax documentation
- Income tax documentation

1. Default is Clearstream Banking S.A AFS Ref (new account number to be assigned).

Vestima Service

Application Form - Appendix IA

Services applicable only for Vestima Prime funds

Please complete all sections of the form. The following clauses only apply for funds with Fund Processing Group = Vestima Prime. Please refer to the Published Fund List report on Clearstream website.

This Appendix is mandatory only for One Vestima Service Applicants.

Special conditions		Elective ¹	Yes	No
(please select one condition per event)				
	New issue eligibility	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Benefit plan investor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Subject to ERISA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Political exposed person	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Disclosure of client identity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Authorised signature(s)

Signature	Signature
Name	Name
Title	Title

1. If "Elective" is selected, Clearstream will contact you to obtain your instruction for each individual event.