

CARAD User Manual

for Clients of Clearstream Europe AG

CARAD User Manual

Clearstream Europe AG

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Foreword

Introduction - The physical vault – Custody/management

This chapter provides a brief overview of the physical vault of Clearstream Europe AG (CEU). Functional aspects relating to the purpose of the vault and custody practices will be explained herein.

CEU in its role as the central depository

One of the responsibilities of CEU is its function as a custodian for domestic securities in the sense of the German Securities Deposit Act and the completion of all tasks related to this function.

Custodians for domestic securities are central depositories for the securities deposited and/or approved by their account holders. Collective safe custody (CSC) only entitles the depositor to a certain share of all collective positions of the central depository in a security (co-ownership share). The certificates are held separately in the vault according to their respective security. As a result, the client is entitled to a portion of the collective safe custody account. He is not the owner of specific certificates, but only a certain number of arbitrary certificates in a security. This type of custody is therefore referred to as collective safe custody.

CEU is a central depository meaning it holds all German securities for account holders in its security account, which are in collective safe custody as well as foreign securities, which are eligible in Germany and capable of being held in collective safe custody.

Securities, which can be physically (individual certificates, technical global certificates) or permanently securitised in global certificates, are either split into corpus and coupon sheet centrally in the CEU vaults depending on the security and deposit type, or held exclusively as certificates (if certificates without coupon sheets are permitted) or as single sheets (corpus and coupon sheet are firmly linked). Transactions with these securities are settled via CEU.

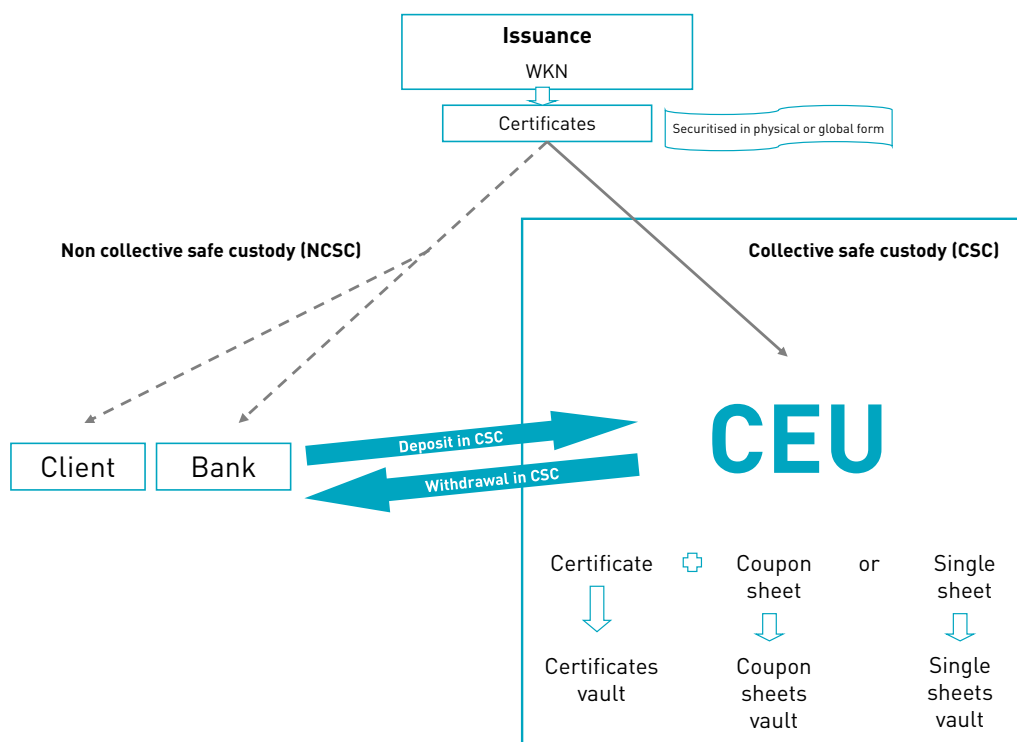


Figure: CEU as a central securities depository

The individual certificates in the respective vaults are held either in block package or working stock.

The working stock includes all unpackaged certificates, which are available for small-scale intra-day securities movements. The FIFO principle applies to movements. Global certificates (technical, interim, permanent global certificates and global certificates (up-to)) are generally held in the working stock as they cannot be used for forming blocks.

If the physical working stock for a security reaches a corresponding number, the corpus and coupon sheet are consolidated into blocks (500 or 1000 certificates are consolidated into 100 certificates each). On the other hand, blocks are dissolved in order to replenish excessively low working stock.

I

The option of keeping securities in individual safe custody with CEU as a depository has been offered as a new service since 18 November 2002. These securities are held in CARAD under the deposit type "20-Lagerstelle" (depository).

The instruction for the deposit/withdrawal of certificates in collective safe custody to CEU can be performed either via CASCADE terminal or via LIMA/Swift file transfer. Functionality is identical for both options.

As part of the Vaults Insourcing project, banks have had the option of outsourcing their vaults to CEU since November 2005. CEU holds their vault positions separate from CEU vaults as individual custody positions. The new service portfolio ranges from a basic "cellar function" to an all inclusive service including the settlement of corporate actions and coupon depository function. The insourcing-specific functions are described in a separate manual that is provided exclusively to insourcing clients.

As of 18 December 2006, clients of CEU also have the option of requesting certificate number indexes for their positions in CEU custody online, which are then generated overnight in batch processing and made available for download on a protected page on the website of Deutsche Börse AG.

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1. General section

1.1 Vaults

1.1.1 CARAD

Manual processing of securities transactions (deposits and withdrawals) and updating of the physical deposit journal and the number ledger as part of the book-entry system of Clearstream Europe AG, Frankfurt (CEU) were converted as part of project CARAD (Central Application for Registration and Admistration of Securities Document Numbers) to a contemporary computer-supported processing form.

Manual processing of vault management and the closely associated deposit and withdrawal order types were changed to an efficient and even more secure organisational form. The product meets the following need:

- Separate automatic vault positions management for collective safe custody block package and working stock.

In addition to the points above, the services include

- One-time entry of certificate numbers and/or automatic forwarding of the certificate numbers from electronic deposits;
- Online stop order check and stop order identification when checking the deposited positions in daily batch processing;
- Check for duplicate certificate numbers in the various databases;
- Lack and replacement certificate identification.

The individual certificates in the respective vaults are held either in block package or working stock.

The working stock includes all unpackaged certificates, which are available for small-scale daily securities movements. The FIFO principle applies to movements. Global certificates (technical, interim, permanent global certificates and scripts) are generally held in the working stock as they cannot be used for forming blocs.

If the physical working stock for a security reaches a corresponding number, the corpus and coupon sheet are consolidated into blocs (500 or 1000 certificates are consolidated into 100 certificates each). On the other hand, blocs are dissolved in order to replenish excessively low working stock.

1.1.2 Display of the WKN

The screen masks and list layouts were adjusted accordingly as part of the introduction of the ISIN on 1 January 2003. The ISIN is shown on the screen masks. The usual identification numbers may be entered. The term WKN is understood as a securities identification number irrespective of the form in which it is displayed (for example, ISIN, in German WKN etc.). Entry options are as follows:

Field on the screen	Meaning	Formal correct	Input	Explanation
WP-KENNUNG	Security identification	1-character alphanumerical	Preset to "I"	Entry options:
				B Stock exchange code
				C CUSIP NUMBER
				F CEDEL EURO NUMBER
				I ISIN
				W Alphanumerical WKN
WKN	Security identification number	See explanation	Required	The identification number corresponding to the WP-KENNUNG must be entered.

1.2 The security system

The introduction of the database software “IMS”, which also serves as the basis for CARAD, includes the installation of a security system that offers extensive protection for IMS online applications from abuse.

A security database (user database), in which users are saved with their unique user ID, password and transaction rights, is required for the installation of the security system. The client security officer assigns employees their respective transaction rights.

Two security officers must be appointed in each bank whose areas of responsibility are defined as follows:

- The security officer in charge of maintenance
Tasks: Maintenance of authorisation data in the security database, that is, function code rights can be entered, edited, deleted and displayed.
- The security officer in charge of release
Tasks: Control and release of application rights assigned by the client security officer.

The structure of the employee security data form, which you received from your security officer is explained below. In this respect you will be notified of the CARAD transactions and functions (or other IMS applications of DBS), for which you have been granted access rights.

The user ID, last name and first name and initial entry password for the authorised person is specified at the top of the form. When the user logs onto the Deutsche Börse Systems (DBS) for the first time, this password is changed to an individual password using the online password change service. The status “initial entry”, “edit” or “delete” is listed.

Three transaction codes may be assigned at the bottom of the form. Additional forms must be completed for additional transaction codes. A total of 100 positions are available for each transaction code:

- Position 1-4: 4-digit transaction code
- Position 9-10: here it can be stated whether the employee is approved for a function code (“=” → positive management) or not (“/=” and/or “=/” → negative management)
- Position 11-12: blank
- Position 13: Specification of the vault (CEU internal only)
- Position 14-100: Specification of the 2-digit function codes for a transaction code which must be separated from one another by a space.

Examples:

The following function codes exist for the transaction code “KCKI”: “IH” and “IS”.

The employee should receive the access authorisation for the function codes "IH", "IS" with respect to the transaction code "KCKI":

[illegible]

The employee receives access authorisation for all function codes with the exception of "IS" for the transaction code "KCKI".

[illegible]

The employee is granted access authorisation for all function codes with respect to the transaction code "KCKI".

[illegible]

1.3 Logging on and off the online system

1.3.1 Log on

Procedure for accessing CARAD

- Switch on the device
→ A welcome screen of the Deutsche Börse Systems is displayed:

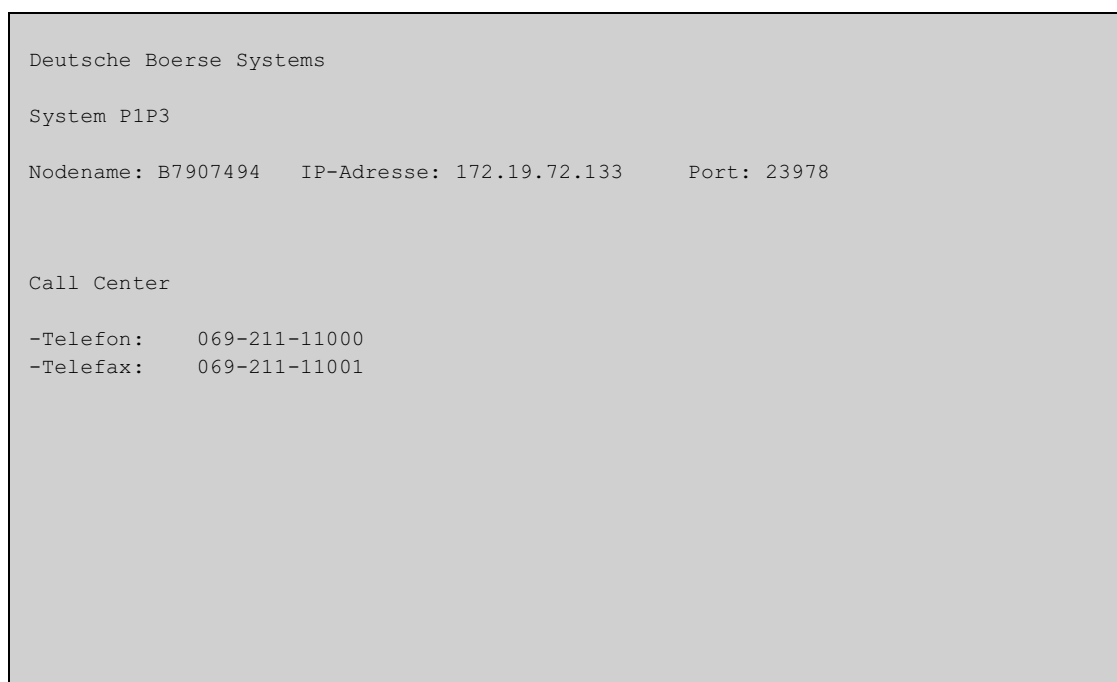


Figure 1.1: Welcome screen of the Deutsche Börse Systems

- Enter IMS1 and press the Enter key.

→ The initial menu for applications of the Deutsche Börse Group will then be superimposed:

```

TRAN: MENU FC: SB:

                               G r u p p e   D e u t s c h e   B o e r s e

Anwendungen stehen Ihnen aus folgenden Bereichen zur Verfuegung:

BI:  XONTRO                      KS:  Clearstream Banking AG, Frankfurt
                                     Domestic
WS:  Wertpapier - Service - System  EK:  Engagementkontrolle
SO:  Sonstige Dienstleistungen

Verlassen IMS: TRAN=/RCL + evtl. vorh. Daten in FC, SB, ID-KZ, PW loeschen
-- ID-KZ:          -- PW:          -----  -- 03/03/25 -- 08:10:19 --
SY0043A BITTE DATEN EINGEBEN
MA  A 01/008
  
```

Figure 1.2: : Initial menu for applications of the Deutsche Börse Group

- The abbreviation "KS" for applications of Clearstream Europe AG, Frankfurt is entered in the first line of the field "FC" (function code: further selection for the selected transaction).
- Enter the user ID (10 digit, numerical, user ID) and password in the penultimate line.
- Press the ENTER key.

→ The selection menu for Clearstream applications appears:

```

TRAN: MENU FC: SB:

                               C l e a r s t r e a m   B a n k i n g ,   F r a n k f u r t

Funktionsangebot fuer Clearstream Banking, Frankfurt - Domestic

CA:  CASCADE - Auftragsabwicklung      CE:  CARAD - Emissionsueberwachung
                                     CP:  CARAD - Pruefstellen
CK:  CASCADE - Dienste                  CD:  CARAD - Stueckenummernverwaltung
CR:  CASCADE - Dienste Namensaktien    KU:  Kundenstammdaten
KA:  Kapitaldienste                    EO:  Allgemeine Dienste
                                     TB:  Taxbox Abgeltungsteuer Service
-- ID-KZ: 7999230003 -- PW:          -----  B7907494 -- 03/03/25 -- 08:13:18 --
SY0096A BITTE WAEHLEN SIE AUS
MA  A 01/017
  
```

Figure 1.3: Selection menu of Clearstream Europe AG, Frankfurt

- From here you can access the different CEU functions of CARAD such as CARAD certificate number management, CARAD issue supervision or CARAD checkpoints. You can also access the CEU corporate actions from here. Accessing the CARAD checkpoints and CARAD certificate number management is possible for CEU clients. All other functions are blocked.
- Enter "CP" or "CD" for CARAD in the field "FC" on the first line.

- Data entry (ENTER)

The CARAD main menus will appear:

Order history

```

TRAN: MENU FC: SB:

CARAD                                PRUEFSTELLEN (NUR CBF)                WERTEBEREICH

EA  EFFEKTEN-ANNAHME                MT  MANTEL-/UNIKATETRESOR
EE  EFFEKTEN-EINGANG                BT  BOGENTRESOR
AK  GBC-GRUPPE                     EG  EFFEKTEN-AUSGANG
ZS  ZULASSUNGSSTELLE               ST  STUECKE-DISPOSITION

DEPOTREVISION CFS                  EMISSION
FS  KONTROLLSTELLE                 MQ  MESSAGE JOURNALE
DR  DEPOTREVISION                  ED  INFO TABELLEN

                                KUNDEN UND CBF

AUFTRAGSHISTORIE
HI  EIN-/AUSLIEFERUNG

-- ID-KZ: 7999230003 -- PW:          ----- B7907494 -- 03/03/25 -- 08:14:52 --
SY0096A BITTE WAEHLN SIE AUS

```

Figure 1.4: CARAD main selection menu - checkpoints

Clients of CEU can now enter the function code "HI" in order to access the order history. All other function codes are only accessible for select CEU employees and are blocked for clients.

Certificate number management

```

TRAN: MENU FC: SB:

CARAD                                AUSWAHL TRESORVERWALTUNG
                                STUECKENUMMERNVERWALTUNG

BLOCKBESTAND                      HANDBESTAND

ERFASSUNGSBESTAND                HE  ERFASSUNG
EE  ERFASSUNG                     HA  AUSTRAGUNG/BLOCKBILDUNG
EA  AENDERUNG/LOESCHUNG           HI  INFORMATION
EK  KONTROLLE
EI  INFORMATION

STUECKENUMMERNBESTAND            CUSTODY/KADI EVENT-INFO
SA  AENDERUNG/LOESCHUNG           AH  INFORMATION
SI  INFORMATION

PT  PHYSISCHER TRESORBESTAND       REPORTING
CV  KUPONVERWALTUNG               KI  INFORMATION
                                SL  ANFORDERUNG LISTEN (BATCH)

-- ID-KZ: 7999230003 -- PW:          ----- B7907494 -- 03/03/25 -- 08:16:59 --
SY0096A BITTE WAEHLN SIE AUS

```

Figure 1.5: CARAD main menu - Certificate number management

Clients of CEU can now enter the function code "HI" Enter "KI" to access the client certificate positions or "SL" to request a list. All other function codes are only accessible for select CEU employees and are blocked for clients.

1.3.2 Log off

To log off the application follow the steps below:

- Return from the CARAD main menu to the DBS start menu by pushing the PF11 key, which deletes the user ID and password.
- The DBS start menu will appear.
- Overwrite the transaction code "MENU" (see the field TRAN:.) with "/RCL" in the DBS start menu; the user ID and password must be deleted.
- Press enter.
→ Once you have successfully logged off the system the Deutsche Börse Systems welcome screen will appear.

A notice confirming the log off of the online system IMS is always provided on line 20 of the start menu of Deutsche Börse Systems.

1.4 Key setting

Key	Description
Enter	(1) Selection menu masks: Checking of entries; if the entries are correct, there is a branch to the next level. (2) Entry screen: Checking of entries. (3) Tabular display template: → Checking of entries → If KZ = "I" is entered, pressing enter will then return a full view of information for the block marked
Tabulator key	Move to the next/last field that can be edited
PF1	Help screen
PF2	Online print (not available everywhere) and/or print documents online
PF3	Processes data entered (Enter) and/or in the information to return to the next screen up.
PF4	PF4 aborts a dialogue without processing. The respective menu then appears.
PF5	- Only for tabular readouts if the database search had to be aborted due to a timeout; - PF5 therefore resumes the search for blocs and/or orders in the database.
PF6	Not assigned
PF7	- Moves back to the previous screen within a transaction. (save operation occurs in some cases) - The requirement is that subsequent screens exist within one screen type. - As a result PF7 only works after PF8 has been pressed to browse forward.
PF8	Enables browsing to the next screen within a transaction (see PF7 for prerequisites).
PF10	Not assigned
PF11	- As with PF4, the dialogue is aborted without processing; - also logs off of the CARAD system and returns to the Deutsche Börse Systems start menu.
PF12	Not assigned.

1.5 Contact vaults

1.5.1 Clearstream settlement/technical questions

1.5.1.1 Functional questions

Frank Kliemt	Senior Manager Vaults/Physical Deliveries	(0 69) 211 - 159 89
Thomas Weber	Head of Vaults Shares and Bonds	(0 69) 211 - 154 02
Manfred Lebeau	Vaults Shares and Bonds	(0 69) 211 - 147 11
Detlef Peter	Head of Vault Coupon-Sheets	(0 69) 211 - 148 15
Gerald Berge	Vault Coupon-Sheets	(0 69) 211 - 158 62
André Weißenseel	Certificates Number Ledger	(0 69) 211 - 152 55
Hans-Joachim Michel	Securities Withdrawal	(0 69) 211 - 156 23
Michael Brückel	Product Development	(0 69) 211 - 148 25
Achim Schmidt	Product Development	(0 69) 211 - 159 61

1.5.1.2 Technical questions

Client Services (0 69) 211 - 111 77

2. Certificate positions KCKI

The "KCKI CARAD Kundeninformation" (KCKI CARAD client information) transaction is located on the initial screen "Clearstream Europe AG Frankfurt Domestic" under "CD CARAD - Stückenummernverwaltung" (Certificate number management). Internal CEU functions are blocked for clients.

```
TRAN: MENU FC:      SB:
CARAD                AUSWAHL TRESORVERWALTUNG
                     STUECKENUMMERNVERWALTUNG

BLOCKBESTAND                                HANDBESTAND

ERFASSUNGSBESTAND                            HE ERFASSUNG
EE ERFASSUNG                                HA AUSTRAGUNG/BLOCKBILDUNG
EA AENDERUNG/LOESCHUNG                       HI INFORMATION
EK KONTROLLE
EI INFORMATION

STUECKENUMMERNBESTAND                        CUSTODY/KADI EVENT-INFO
SA AENDERUNG/LOESCHUNG                       AH INFORMATION
SI INFORMATION

PT PHYSISCHER TRESORBESTAND                  REPORTING
CV KUPONVERWALTUNG                           KI INFORMATION
                                              SL ANFORDERUNG LISTEN (BATCH)

-- ID-KZ: 7999230003 -- PW:                ----- B7907494 -- 03/03/25 -- 08:16:59 --
SY0096A BITTE WAEHLEN SIE AUS
```

Figure 2.1: CARAD Certificate number management menu screen

By entering the function code "KI", the client accesses the menu screen "Information Urkundenbestand" (Certificate positions information). All other functions are blocked for CEU clients.

The client is able to view information on his positions saved in CARAD. The transaction KCKI was created for this.

```
TRAN: KCKI FC:      SB: I#####
CARAD                I N F O R M A T I O N   U R K U N D E N B E S T A N D

IH INFORMATION URKUNDEN                      IS INFORMATION STUECKENUMMERNSUCHE

WKN      : I _____
HINTERLEGUNGSART: ____

STUECKELUNG : ____
STUECKENUMMERN : _____

SAMMELURKUNDE : _ (J/N)
ORD-/SAMMEL-NR : _____ / _____

BANK      : _____
KUNDENREFERENZ : _____ - _____ - _____

-- ID-KZ: 7999230003 -- PW:                ----- B7907494 -- 16/01/06 -- 09:01:55 --
KC0113F Feld muss einen der angezeigten Auswahlcodes enthalten
PF1:Hilfe PF3:Rücksprung PF4:Abbruch
```

Figure 2.2: Information certificate positions menu screen

Only banks and authorised Clearstream users are authorised for this transaction.

Data from the working stock, block package stock, ice block package stock and global certificates are displayed for the function "KCKI IH". The function "IS - Stückenummernsuche" (certificate number search) calculates the data from the working, block package stock and from deposit/withdrawal positions (recording and order balance). The data is only displayed if the user has access authorisation to the data.

The following entry options exist:

a) WKN

The WKN must be entered. The format of the WKN can be determined via the securities identifier "WP-Kennung". The securities identification is preset to I.

If only the WKN is entered, then securities from the CEU vault are displayed providing the user is authorised to access this data.

Securities identification	Meaning
B	Stock exchange code
C	CUSIP number
F	CEDEL EURO number
I	ISIN
W	Alphanumerical WKN

b) HINTERLEGUNGSART (DEPOSIT TYPE)

The selection of the data for display can be restricted with the deposit type. In the future, the "Bank" field must be specified for the deposit types, which are documented on the client level/third-party bank (vaults segment 2 and 3). With a data request, data can only be accessed by CEU for each client level/third-party bank. A comprehensive query concerning the deposit type is not possible.

c) STÜCKELUNG (DENOMINATION)

The selection can be restricted by entries in the two fields. If a literal value is entered in the field, then a denomination and the GLOBALURKUNDE (J/N) (GLOBAL CERTIFICATE (Y/N)) field must also be completed. Entering the character "/" only displays denominations without a literal. If the literal is entered with a space, then denominations with and without a literal are displayed.

d) STÜCKENUMMERN (CERTIFICATE NUMBER)

Entries in this field are only necessary for the certificate number search function.

e) GLOBALURKUNDE (J/N) (GLOBAL CERTIFICATE (Y/N))

If the field is completed with N(o), only individual certificates are displayed, if Y(es) is entered, then only global certificates are displayed.

If a certain denomination must be entered, then an entry must be made in this field.

If an organisation number or collective number is entered, then Y(es) must be entered in this field.

f) ORDN-/SAMMEL-NR. (ORG/COLLECTIVE NUMBER)

Entering an organisation or collective number leads directly to the full view of the certificate. The two numbers must identify the same certificate. The user must of course be authorised to access this certificate.

If the bank number and client reference is also entered for certificates in FTB, the input values must correspond to the values on the certificate. However, if the certificate is in the CEU positions, then the BANK and CLIENT REFERENCE fields may not be completed.

g) BANK

If the bank number is entered, then the user must be either a CEU user or a FTB owner. If the bank number is entered without a client reference, the positions in safe custody are also displayed in addition to all FTB positions.

h) KUNDENREFERENZ (CLIENT REFERENCE)

If the client reference is entered, then the bank number must be entered. If an organisation or collective number is also entered, then the certificate must have the collective and/or organisation number entered under this client reference and bank number.

This leads directly to the full view.

2.1 Authorisation checks

For information, only the certificates in the vault segments

- 2 = safe custody; and
- 3 = third party vault positions

are displayed, which belong to the positions of the CEU client entered in the "BANK" field.

If the co-issuing bank issues queries in this respect, only certificate positions are displayed which are not held in vault segments 2 and 3.

2.2 Information on certificates KCKI IH

2.2.1 General description

The following field is a required field on the selection screen:

- WKN

Selections can be made with the following fields:

- STUECKELUNG (DENOMINATION) (only for individual certificates) with and without literals
- HINTERLEGUNGSART (DEPOSIT TYPE)
- SAMMELURKUNDE (J/N) (GLOBAL CERTIFICATE)
- ORDN-NR. (ORGANISATION NUMBER)
- SAMMEL-NR (COLLECTIVE NUMBER)

The ORDN-NR. (ORGANISATION NUMBER) contains the internal organisation number of the issuer entered on the global certificate (technical global certificate, scrip, interim global certificate or permanent global certificate).

The system assigns a current SAMMEL-NR (COLLECTIVE NUMBER) to all global certificates which is unique within an WKN. Collective numbers that become free as a result of a removal are initially not reassigned.

```

TRAN: KCKI FC:    SB: I#####

CARAD              I N F O R M A T I O N   U R K U N D E N B E S T A N D

  IH INFORMATION URKUNDEN                IS INFORMATION STUECKENUMMERSUCHE

WKN                : I _____
HINTERLEGUNGSART  : _____

STUECKELUNG       : _____
STUECKENUMMERN    : _____

SAMMELURKUNDE     : _ (J/N)
ORD-/SAMMEL-NR    : _____ / _____

BANK              : _____
KUNDENREFERENZ    : _ _ _ _ - _ _ _ _ _ _ _ _ - _ _ _ _ _ _ _ _

-- ID-KZ: 7999230003 -- PW:          ----- B7907494 -- 16/01/06 -- 09:01:55 --
KC0113F Feld muss einen der angezeigten Auswahlcodes enthalten
PF1:Hilfe  PF3:Rücksprung  PF4:Abbruch
    
```

Figure 2.3: Certificate positions information menu screen

2.2.2 Basis of data for screens

Screens for global certificates are displayed based on current positions. Deposit/withdrawal orders which have been booked but which have not yet undergone final processing at CEU are taken into account.

The screens with respect to individual certificates have the status from the previous evening after all changes to positions. Nominals and certificate numbers from booked orders, which have not yet been received from the previous day, are not in the readout. Nominals and certificate numbers which have not yet been assigned to withdrawal orders that have undergone final processing are no longer displayed.

The database for these readouts may result in temporary discrepancies in the nominals versus the CASCADE account balance. They can be inspected in detail by viewing the order history under the transaction KPHI.

2.2.3 Presentation of the screen sequence

The following graphical structure results:

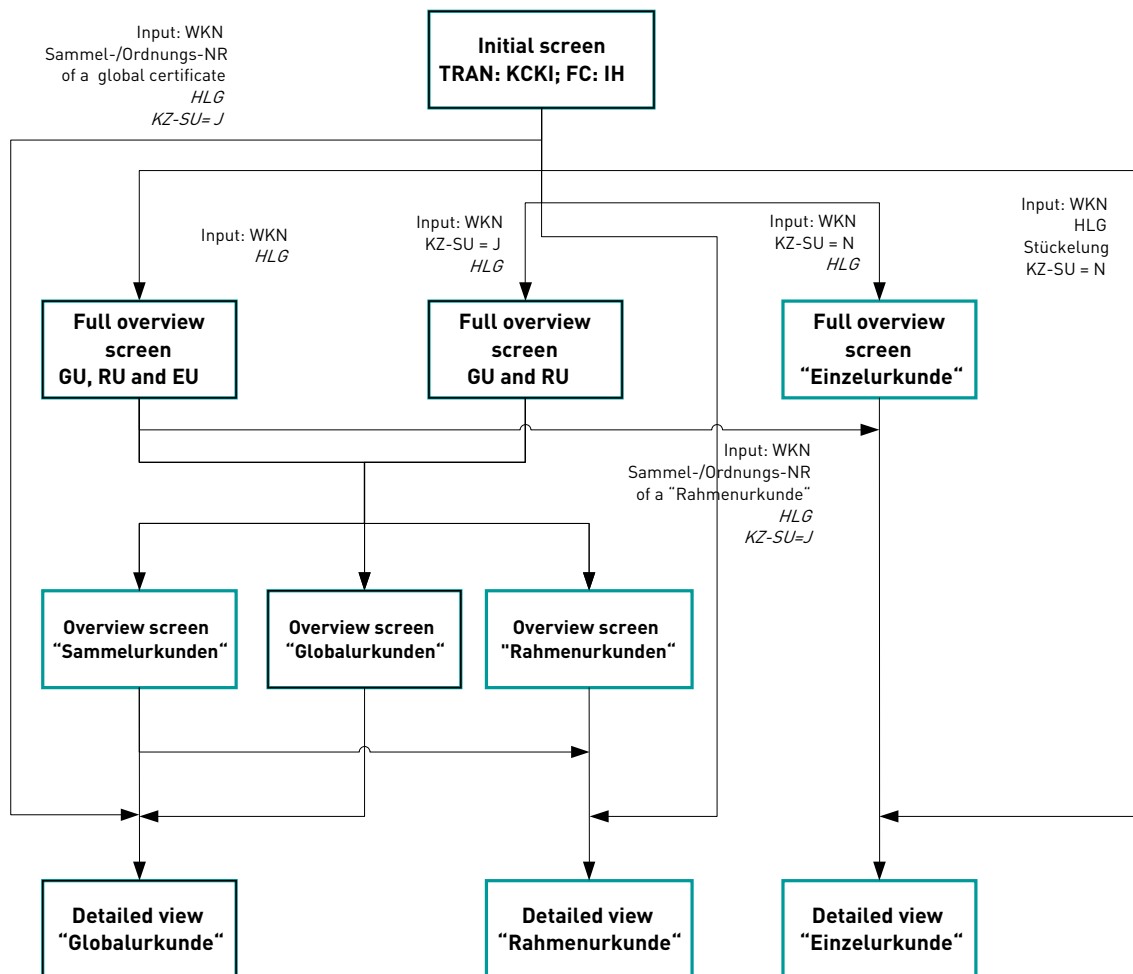


Figure 2.4: KCKI screen sequence

If not specified, selecting "I" and pressing enter accesses the next screen hierarchy down.

If one screen page is insufficient for displaying the data then the readout is continued on the following pages. PF8 is used to browse to the next pages. Pressing PF7 goes back one page.

Pushing PF3 skips back to the last screen level, PF4 aborts the transaction and returns to the initial screen.

Option entries appear in italics on the menu.

The following screens exist in the KCKI client information:

1. Initial screen

Only entry of the security is required. Different overviews are provided on the following screen if the selection is qualified further. If the selection is fully qualified, then a full view (detailed view at the certificate number level) results.

2. The full overview screen “Information Gesamtbestand” (information all positions)

All positions for a security are displayed in tabular format in this screen. The readout is divided into global certificates and individual certificates. The individual positions are cumulated, subtotals are calculated for each deposit type. An overall total is provided.

Depending on the selection, only global certificates or individual certificates are shown on the overview.

3. Overview screen “Sammelurkunden” (global certificate)

All global certificates are sorted and displayed according to the deposit type and collective number.

4. Overview screen “Globalurkunde” (permanent global certificates)

Fields are shown, which relate to global certificates: “deposit type”, “organisation number”, “collective number”, “collective nominal” and an identifier as to whether the certificate numbers are securitised in the certificate.

5. Overview screen “Rahmenurkunden” (global certificate (up-to))

The screen is similar to the overview “Globalurkunde”(permanent global certificates). The “dispositive nominal”, “pending nominal” and “up-to nominal” fields are also displayed on the screen.

6. Detailed view “Rahmenurkunden” (global certificate (up-to))

Fields relevant for global certificates (up-to) are displayed. The “dispositive nominal” and “up-to nominal” fields are also displayed on the screen.

7. Detailed view “Globalurkunde” (permanent global certificates)

This screen is similar to the full view “Globalurkunde”(permanent global certificates).

8. Detailed view “Einzelurkunde” (individual certificate)

The certificate numbers from the working, block package and ice block package stock are displayed in arithmetical order on this screen.

The following table describes how to access the screens from the initial screen:

Screen	Contents	Accessible via
Gesamtübersicht (GU, RU und EU) (Total overview GU, RU and EU)	Tabular display of all positions	Initial screen: Entry WKN
Gesamtübersicht Sammelurkunden (GU und RU) (Total overview global certificates (GU and RU))	Tabular view of the global certificates sorted according to the deposit type	Initial screen: Entry WKN, KZ-SU = J
Gesamtübersicht Einzelurkunden (Total overview individual certificates)	Tabular display of the individual certificates sorted according to the deposit type, literal and denomination	Initial screen: Entry WKN, KZ-SU = N
Übersicht Sammelurkunden (Overview global certificates)	Tabular view of the global certificates sorted according to the deposit type and collective number	- Complete overview (GU, RU and EU): Selection of the total line GU and RU - Complete overview (GU and RU): Selection of the total line GU and RU
Übersicht Globalurkunden (Overview permanent global certificates)	Tabular view of the global certificates sorted according to the deposit type and collective number	- Complete overview (GU, RU and EU): Selection of the total line of the permanent global certificates - Complete overview (GU and RU): Selection of the total line of the permanent global certificates
Übersicht Rahmenurkunden (Overview global certificates (up- to))	Tabular view of the global certificates (up-to) sorted according to the deposit type and collective number	- Complete overview (GU, RU and EU): Selection of the total line of the global certificates (up-to) - Complete overview (GU and RU): Selection of the total line of the global certificates (up-to)
Detailanzeige Global- oder Rahmenurkunde (Detailed view permanent global or global certificate (up-to))	Detailed display of permanent global or global certificate (up- to)	- Initial screen: Full specifications for the permanent global or global certificate (up-to) including WKN and collective or organisation number - Overview global certificate: Selection of a permanent global certificate/ global certificate (up-to) - Overview permanent global certificate or global certificate (up-to): Selection of a permanent global certificate/ global certificate (up-to)
Detailanzeige Einzelurkunden (Detailed view individual certificates)	Detailed view of the certificate numbers for a deposit type, literal and denomination	- Initial screen: Entry WKN, deposit type, literal, denomination and KZ Sammelurkunde = N - Complete overview: Selection of a deposit type, literal and denomination for an for an individual certificate - Complete view individual certificate: Selection of a deposit type, literal and denomination
Stücknummern-suche (certificate number search)	Certificate number information	Initial screen: KCKI/IS transaction with entries WKN, literal, denomination, certificate number

A selection is made by entering "I" and pressing enter.

2.2.4 Description of the screens

2.2.4.1 Initial screen of the transaction KCKI client information

The WKN is a required field.

```

TRAN: KCKI FC: IH SB: I#####

CARAD          I N F O R M A T I O N   U R K U N D E N B E S T A N D

IH  INFORMATION URKUNDEN          IS  INFORMATION STUECKENUMMERSUCHE


WKN          : I _____
HINTERLEGUNGSART: _____

STUECKELUNG   : _____
STUECKENUMMERN : _____

SAMMELURKUNDE : _ (J/N)
ORD-/SAMMEL-NR : _____ / _____

BANK          : _____
KUNDENREFERENZ : _ _ _ - _____ - _____

-- ID-KZ: 7999230003 -- PW:          ----- B7907494 -- 16/01/06 -- 09:16:42 --
KC0003F Bitte hell angezeigtes, leeres Feld ergänzen
PF1:Hilfe  PF3:Rücksprung PF4:Abbruch
    
```

Figure 2.5: KCKI Initial screen

Only valid and/or logical input options are listed on the table.

WKN	Deposit type	Literal	Denomination	KZ-SU	Collective/ Org Number	Screen
Input	-	-	-	-	-	Complete overview (GU, RU and EU)
Input	Input	-	-	-	-	Complete overview for a deposit type
Input	-	-	-	Yes	-	Complete overview permanent global and global certificates (up-to)
Input	-	-	-	No	-	Complete overview individual certificates
Input	Input	-	-	Yes	-	Complete overview permanent global and global certificates (up-to) for a deposit type
Input	Input	-	-	No	-	Complete overview individual certificates for a deposit type
Input	Input	-	Input	No	-	Complete overview individual certificates for a deposit type for a denomination (with/without literal)
Input	-	-	Input	No	-	Complete overview individual certificates for a denomination (with/without literal)
Input	-	Literal	Input	No	-	Complete overview individual certificates for the literal/denomination
Input	-	Input ="/"	Input	No	-	Complete overview individual certificates without literal for the denomination
Input	-	-	-	-	Input	Complete view GU or RU including the collective or organisation number entered
Input	Input	Input ="/"	Input	No	-	Complete view individual certificates without literal for the denomination
Input	Input	Literal	Input	No	-	Complete view individual certificates for a literal/denomination

The following points are important to understand this table:

- Input means the entry of a valid value.
- Combinations other than those listed in the table are pointless and/or not allowed.
- A literal can only be entered in combination with a denomination.
- If no literal is specified then all literals for a denomination are displayed. The character "/" must be entered in the literal selection field in order to select positions without a literal.
- The entry of a certificate number is only required for the certificate number search KCKI/IS.

A help screen with the possible deposit types can be accessed by pressing the PF1 key.

```

TRAN: KCKI FC:      SB: I#####

CARAD              I N F O R M A T I O N   U R K U N D E N B E S T A N D

Eingabemöglichkeiten

WP-Kennung                Hinterlegungsart

B - Börsenkürzel          01 - Girosammelverwahrung (GS)
C - CUSIP-Nummer          03 - GS Vorratslager Bank
F - CEDEL-EURO-Nummer     10 - Haussammelverwahrung
I - ISIN                  20 - Sonderverwahrung
W - Alphanummerische WKN  22 - Treuhand CEU
                           30 - Fremdtresor
                           40 - Edelmetall
                           92 - Dokumentenverwaltung

-- ID-KZ: 7999230003 -- PW:      ----- B7907494 -- 15/06/25 -- 09:03:33 --

PF3:Rücksprung PF4:Abbruch

```

Figure 2.6: Certificate positions information help screen

2.2.4.2 Definitions

Field	Term	Explanation
NOM-SAMMEL	Global certificate nominal	The NOM-SAMMEL indicates the nominals securitised by a global certificate. This is displayed without decimal places if the content is "zero". - For global certificates (up-to): The valued part of the Rahmen-Nominale for a global certificate (up-to) is entered in this field. The Rahmen-Nominale may not be exceeded in the process. - For all other global certificates: The nominal value which is recorded on the global certificate is entered in this field. The global certificate nominal of certificates documented in CARAD is increased following successful transfer to CARAD in order to update certificates as the result of a mark up with automatic booking release, a mark up without automatic booking release and new admission of a valued global certificate.
RAHMEN-NOMINALE (Up-to nominal)	Up-to nominal	The RAHMEN-NOMINALE (UP-TO NOMINAL) is the nominal of a global certificate (up-to) that represents the limit for the mark up of a global certificate (up-to). There may be multiple global certificates (up-to) within a security
NOMINALE-DISPOSITIV (Nominal anticipated)	Dispositive nominal	In order to ensure that the part of a global certificate (up-to) which was not marked up is sufficient for pending mark downs between release for booking and transfer to CARAD, the order nominal to be valued is entered in the NOMINALE-DISPOSITIV (NOMINAL ANTICIPATED) field. With booking authorisation (both manual and automatic), the dispositive nominal for the respective certificate is increased by the order nominal. The dispositive nominal is reduced by the order nominal with the successful transfer of an order to CARAD and the global certificate nominal is increased accordingly. If booking authorisation is withdrawn and/or if the order is deleted (manually or as a result of redenomination), the dispositive nominal is again reduced by the order nominal.

Field	Term	Explanation
NOMINALE-OFFEN (Pending nominal)	Total pending nominal	The NOMINALE-OFFEN (PENDING NOMINAL) is the difference of the up-to nominal less the certificate nominal less dispositive nominals.
GES-NOM-SAMMEL (total global certificate nominal)	Total global certificate nominal	This is displayed without decimal places if the content is "zero". - For global certificates (up-to): It contains the sum of the valuated parts of the up-to nominal for all Rahmenurkunden belonging to the security in the CARAD working stock for the selected CARAD custody type. - For all other global certificates: It contains the sum of the nominals for all global certificates (permanent global certificates) belonging to a security in the CARAD working stock for the selected CARAD custody type.
GES-RAHMEN-NOM (Total up-to nominal)	Total up-to nominal	The sum of the global certificates (up-to) for all global certificates in the CARAD working stock belonging to a security for the CARAD custody type is calculated and is entered in the GES-RAHMEN-NOM (TOTAL UP-TO NOMINAL) field.
GES-NOM-DISPOSITIV (Total dispositive nominal)	Total dispositive nominal	The GES-NOM-DISPOSITIV (TOTAL DISPOSITIVE NOMINAL) contains the sum of all dispositive nominals for a security.
GES-OFFENE-NOM (total pending nominal)	Total pending nominal	The difference between the up-to nominal GES-RAHMEN-NOM and the valuated nominal GES-NOM-SAMMEL. For the readout on the tabular overview, the difference is calculated from the sum of the up-to nominal less the sum of the nominal for all global certificates less the sum of the dispositive nominals less the assigned nominals.

2.2.4.3 Overview total positions

If only the WKN is entered on the initial screen, then the user receives a readout for all positions. From there the user can access detailed views and/or overview screens for global certificates. If the global certificate ID is set to "Ja" (Yes), then only the global certificates are displayed. If the global certificate ID is set to "Nein" (No), then only the individual certificates are displayed.

Entering a deposit type on the initial screen makes the readout more specific. Only the data for the requested deposit type is shown.

TRAN: KCKI FC: IH SB: W#847404#####				
CARAD	INFORMATION GESAMTBESTAND			SEITE: 1
WKN : I DE0008474040 DWS INTER-RENTA				
Globalurkunden				
HLG	Anz.	Urk.	Sammelnominale	
01	3		1.585.060.000	
—	Summe GU			
	3		1.585.060.000	
Rahmenurkunden				
HLG	Anz.	Urk.	Sammelnominale	Rahmennominale Disp. Nominale
01	4		96.596.829,693	1.663.000.000,500 0
—	Summe RU			
	4		96.596.829,693	1.663.000.000,500 0
—	Summe GU und RU			
	7		1.681.656.829,693	
-- ID-KZ: 7999230003 -- PW: ----- B7907494 -- 24/11/10 -- 13:48:18 --				
KC0015I Bitte Kennzeichen eingeben				
PF3:Rücksprung PF4:Abbruch PF8:Vor				

Figure 2.7: KCKI total positions overview

As the data from the total view does not fit on one screen, at least one subsequent page will be created. The separation in this example in front of the individual certificates is purely arbitrary. Delimitation can occur at any point, whereupon the respective column headings are repeated on the following page so that the data can be allocated.

TRAN: KCKI FC: IH SB: I# DE0008474040####					
CARAD		INFORMATION GESAMTBESTAND			SEITE: 2
WKN : I DE0008474040 DWS INTER-RENTA					
Einzelurkunden					Stand: 06.05.2005
HLG	Anz.	Urk.	Nominale	Litera	Stückelung
— 01		400	400		1
— 01		101	101	A	1
— 01		300	1.500	B	5
— 01	1.023		10.230		10
— 01		120	1.200	C	10
— 01		383	38.300		100
— 01		42	4.200	D	100
— 01		286	286.000		1.000
— 01		497	4.970.000		10.000
— 01	500.000		5.000.000.000	F	10.000
Summe HLG					
	503.152		5.005.311.931		
— 03		100	100		1
-- ID-KZ: 7907231003 -- PW: ----- B7907494 -- 09/05/05 -- 11:48:08 --					
KC0015I Bitte Kennzeichen eingeben					
PF3:Rücksprung PF4:Abbruch PF7:Zurück PF8:Vor					

Figure 2.8: KCKI total positions subsequent screen

TRAN: KCKI FC: IH SB: I# DE0008474040####					
CARAD		INFORMATION GESAMTBESTAND			SEITE: 2
WKN : I DE0008474040 DWS INTER-RENTA					
Einzelurkunden				Stand: 06.05.2005	
HLG	Anz.	Urk.	Nominale	Litera	Stückelung
— 03		100	100	A	1
— 03		100	500	B	5
— 03		100	1.000		10
— 03		180	1.800	C	10
— 03		260	26.000	D	100
Summe HLG					
		840	29.500		
— 20		76	76		1
— 20		300	300	A	1
— 20		100	500	B	5
— 20		271	2.710		10
— 20		700	7.000	C	10
-- ID-KZ: 7907231003 -- PW: ----- B7907494 -- 09/05/05 -- 11:48:37 --					
KC0015I Bitte Kennzeichen eingeben					
PF3:Rücksprung PF4:Abbruch PF7:Zurück PF8:Vor					

Figure 2.9: KCKI total positions subsequent screen

TRAN: KCKI FC: IH SB: I# DE0008474040####				
CARAD		INFORMATION GESAMTBESTAND		SEITE: 2
WKN : I DE0008474040 DWS INTER-RENTA				
Einzelurkunden				Stand: 06.05.2005
HLG	Anz. Urk.	Nominale	Litera	Stückelung
20	700	70.000	D	100
Summe HLG				
	2.147	80.586		
Summe EU				
	506.139	5.005.422.017		
Summe Gesamt				
	506.148	5.013.032.017		
-- ID-KZ: 7907231003 -- PW: ----- B7907494 -- 09/05/05 -- 11:48:53 --				
KC0024I Keine weiteren Daten vorhanden				
PF3:Rücksprung PF4:Abbruch PF7:Zurück				

Figure 2.10: KCKI total positions subsequent screens overview

The screen order is permanent global certificate, global certificate (up-to) and then individual certificates. Pressing PF8 browses forward and pushing PF7 browses back.

Totals are calculated for the respective permanent global certificates, global certificates (up-to) and individual certificates. A subtotal per deposit type is also calculated within the individual certificates. Finally, a total sum of all positions selected and displayed as a result of the selection is calculated.

If the user enters "I" in one of the total lines followed by ENTER, he accesses the corresponding overview. This is possible in the lines "Summe GU und RU" (Permanent global certificate, global certificate (up-to) total), "Summe RU" (Global certificate (up-to) total) and "Summe GU" (Permanent global certificate total).

If the user selects an individual certificate, then certificate numbers from the working, block package and ice block package stock are displayed in arithmetical order. (Entering "I" in the KZ field and ENTER.)

Positions from booked orders which have not been received are taken into account in the sums for the permanent global certificates and global certificates (up-to).

Only one line can be selected.

2.2.4.4 Overview global certificates

The user can reach this screen via the complete overview or the complete overview global certificates if he enters "I" in the total line GU and RU selects it by pressing ENTER. The permanent global certificates and global certificates (up-to) are displayed.

The permanent global certificates and global certificates (up-to) are displayed sorted according to the deposit type and collective number.

```

TRAN: KCKI FC: IH SB: W#847404#####

CARAD                                INFORMATION GESAMTBESTAND                                SEITE: 1

WKN : I DE0008474040 DWS INTER-RENTA

Globalurkunden
HLG  Anz. Urk.  Sammelnominale
01      3      1.585.060.000
Summe GU
      3      1.585.060.000

Rahmenurkunden
HLG  Anz. Urk.  Sammelnominale  Rahmennominale  Disp. Nominale
01      4      96.596.829,693    1.663.000.000,500      0
- Summe RU
      4      96.596.829,693    1.663.000.000,500      0
i Summe GU und RU
      7      1.681.656.829,693

-- ID-KZ: 7999230003 -- PW:          ----- B7907494 -- 24/11/10 -- 13:52:33 --
KC0105I Funktion beendet, bitte wählen Sie aus
PF3:Rücksprung PF4:Abbruch PF8:Vor

```

Figure 2.11: Complete overview global certificates

TRAN: KCKI FC: IH SB: W#847404####							
CARAD		INFORMATION SAMMELURKUNDEN				SEITE : 1	
TABELLARISCHE ANZEIGE							
WKN: I DE0008474040 DWS INTER-RENTA							
				Ges-Nom-Sammel	:	1.681.656.829,693	
				Ges-Rahmen-Nom	:	1.663.000.000,500	
				Ges-Nom-Dispositiv:		0	
				Ges-Nom-Offen	:	1.566.403.170,807	
KZ	HLG	Ord-	Sammel-	Nom-Sammel	Nom-Offen	Rahmen-Nom	Stk
		Nr	Nr	Nom-Dispositiv			Nr
_ 01	1111	244		0	60.000.000	60.000.000	N
				0			
_ 01	1112	245		30.000	2.970.000	3.000.000	N
				0			
_ 01	1113	246		60.000			N
_ 01	1110	243		5.000.000			N
-- ID-KZ: 7999230003 -- PW:				----- B7907494 -- 24/11/10 -- 13:52:02 --			
KC0015I Bitte Kennzeichen eingeben							
PF3:Rücksprung PF4:Abbruch PF8:Vor							

Figure 2.12: KCKI global certificates overview

The STKNR field (CERTIFICATE NUMBER) indicates whether there are certificate numbers on the global certificate.

Selecting a global certificate by entering "I" and pressing ENTER accesses the detailed view permanent global certificates or global certificates (up-to).

2.2.4.5 Overview permanent global certificate

The user can access this screen via the complete overview or the complete overview permanent global certificates or global certificates (up-to) if he enters "I" in the total line global certificate "SUMME GU" (TOTAL PERMANENT GLOBAL CERTIFICATE) and selects it by pressing ENTER. Only the permanent global certificates are displayed.

The global certificates are displayed sorted according to the Hinterlegungsart (deposit type) and NOM-SAMMEL (GLOBAL CERTIFICATE NOMINAL).

TRAN: KCKI FC: IH SB: W#847404#####					
CARAD		INFORMATION GESAMTBESTAND			SEITE: 1
WKN : I DE0008474040 DWS INTER-RENTA					
Globalurkunden					
HLG	Anz.	Urk.	Sammelnominale		
01	3		1.585.060.000		
i Summe GU					
	3		1.585.060.000		
Rahmenurkunden					
HLG	Anz.	Urk.	Sammelnominale	Rahmennominale	Disp. Nominale
01	4		96.596.829,693	1.663.000.000,500	0
_ Summe RU					
	4		96.596.829,693	1.663.000.000,500	0
_ Summe GU und RU					
	7		1.681.656.829,693		
-- ID-KZ: 7999230003 -- PW: ----- B7907494 -- 24/11/10 -- 13:54:11 --					
KC0105I Funktion beendet, bitte wählen Sie aus					
PF3:Rücksprung PF4:Abbruch PF8:Vor					

Figure 2.13: Complete overview global certificates

```
TRAN: KCKI FC: IH SB: W#847404#####
```

CARAD	INFORMATION GLOBALURKUNDEN	SEITE : 1
	TABELLARISCHE ANZEIGE	

WKN : I DE0008474040 DWS INTER-RENTA

Ges-Nom-Sammel: 1.585.060.000

KZ	HLG	Ord-Nr	Sammel-Nr	Nom-Sammel	Stknr
_ 01		1113	246	60.000	N
_ 01		1110	243	5.000.000	N
_ 01		18	247	1.580.000.000	N

-- ID-KZ: 7999230003 -- PW: ----- B7907494 -- 24/11/10 -- 13:54:25 --

KC0015I Bitte Kennzeichen eingeben

PF3:Rücksprung PF4:Abbruch

Figure 2.14: KCKI permanent global certificates overview

The STKNR field (CERTIFICATE NUMBER) indicates whether there are certificate numbers on the global certificate.

Selecting a global certificate by entering "I" and pressing ENTER accesses the detailed view global certificate.

2.2.4.6 Overview global certificates (up-to)

The user can access this screen via the complete overview or the complete overview permanent global certificates or global certificates (up-to) if he enters "I" in the total line global certificate (up-to) SUMME RU (TOTAL GLOBAL CERTIFICATE (UP-TO)) and selects it by pressing ENTER. Only the global certificates (up-to) are displayed.

The global certificates (up-to) are displayed sorted according to the Hinterlegungsart (deposit type) and NOM-SAMMEL (GLOBAL CERTIFICATE NOMINAL).

TRAN: KCKI FC: IH SB: W#847404#####				
CARAD	INFORMATION GESAMTBESTAND			SEITE: 1
WKN : I DE0008474040 DWS INTER-RENTA				
Globalurkunden				
HLG	Anz.	Urk.	Sammelnominale	
01	3		1.585.060.000	
—	Summe GU			
	3		1.585.060.000	
Rahmenurkunden				
HLG	Anz.	Urk.	Sammelnominale	Rahmennominale Disp. Nominale
01	4		96.596.829,693	1.663.000.000,500 0
i	Summe RU			
	4		96.596.829,693	1.663.000.000,500 0
	Summe GU und RU			
	7		1.681.656.829,693	
-- ID-KZ: 7999230003 -- PW: ----- B7907494 -- 24/11/10 -- 13:54:51 --				
KC0105I Funktion beendet, bitte wählen Sie aus				
PF3:Rücksprung PF4:Abbruch PF8:Vor				

Figure 2.15: Complete overview global certificate

TRAN: KCKI FC: IH SB: W#847404####							
CARAD		INFORMATION RAHMENURKUNDEN				SEITE : 1	
TABELLARISCHE ANZEIGE							
WKN: I DE0008474040 DWS INTER-RENTA							
				Ges-Nom-Sammel	:	96.596.829,693	
				Ges-Rahmen-Nom	:	1.663.000.000,500	
				Ges-Nom-Dispositiv:		0	
				Ges-Nom-Offen	:	1.566.403.170,807	
KZ	HLG	Ord-	Sammel-	Nom-Sammel	Nom-Offen	Rahmen-Nom	Stk
		Nr	Nr	Nom-Dispositiv			Nr
_ 01	1111	244		0	60.000.000	60.000.000	N
				0			
_ 01	1112	245		30.000	2.970.000	3.000.000	N
				0			
_ 01	276	242		17.860.686,798	782.139.313,702	800.000.000,500	N
				0			
_ 01	121	230		78.706.142,895	721.293.857,105	800.000.000	N
				0			
-- ID-KZ: 7999230003 -- PW: ----- B7907494 -- 24/11/10 -- 13:55:11 --							
KC0015I Bitte Kennzeichen eingeben							
PF3:Rücksprung PF4:Abbruch							

Figure 2.16: KCKI global certificates (up-to) overview

The STKNR field (CERTIFICATE NUMBER) indicates whether there are certificate numbers on the global certificates (up-to).

Selecting a global certificates (up-to) by entering "I" and pressing ENTER accesses the complete view global certificates (up-to).

2.2.4.7 Detailed view permanent global certificate

The user accesses this screen by

- Entering the exact collective or organisation number for a permanent global certificate in the initial screen;
- Selecting a permanent global certificate with "I" and by pressing "Enter" in the screen "Übersicht Globalurkunde" (Overview permanent global certificate); or
- Selecting a permanent global certificate with "I" and by pressing "Enter" in the screen "Übersicht Sammelurkunde" (Overview global certificate).

```
TRAN: KCKI FC: IH SB: W#847404####
```

CARAD	INFORMATION GLOBALURKUNDEN	SEITE : 1
	TABELLARISCHE ANZEIGE	

WKN : I DE0008474040 DWS INTER-RENTA

Ges-Nom-Sammel: 1.585.060.000

KZ	HLG	Ord-Nr	Sammel-Nr	Nom-Sammel	Stknr
i	01	1113	246	60.000	J
_	01	1110	243	5.000.000	N
_	01	18	247	1.580.000.000	N

-- ID-KZ: 7999230003 -- PW: ----- B7907494 -- 24/11/10 -- 13:55:58 --

KC0015I Bitte Kennzeichen eingeben

PF3:Rücksprung PF4:Abbruch

Figure 2.17: Overview permanent global certificate

TRAN: KCKI FC: IH SB: W#847404####			
CARAD	INFORMATION GLOBALURKUNDE		SEITE : 1
VOLLANZEIGE			
WKN : I DE0008474040 DWS INTER-RENTA			
HLG : 01 GS	Nom-Sammel :		60.000
Ord-/Sammel-Nr:	1113 /	246	
Einlief-Grund :	1	AUS EMISSION	
Status : 500 KONTROLLIERT			
Anzahl	Stückelung	Stückenummern (Verbriefte Urkunden)	
6	10.000	1-6	
-- ID-KZ: 7907231003 -- PW: ----- B7907494 -- 09/05/05 -- 11:52:52 --			
KC0024I Keine weiteren Daten vorhanden			
PF3:Rücksprung PF4:Abbruch			

Figure 2.18: KCKI permanent global certificate detailed view

2.2.4.8 Detailed view global certificate (up-to)

The user accesses this screen by

- entering the exact collective or organisation number for a global certificate (up-to) in the initial screen;
- selecting a global certificate (up-to) with "I" and by pressing "Enter" in the screen "Übersicht Rahmenurkunde" (Overview global certificate (up-to)); or
- selecting a global certificate (up-to) with "I" and by pressing "Enter" in the screen "Übersicht Sammelurkunde" (Overview global certificate).

TRAN: KCKI FC: IH SB: W#847404#####							
CARAD		INFORMATION RAHMENURKUNDEN				SEITE : 1	
TABELLARISCHE ANZEIGE							
WKN: I DE0008474040 DWS INTER-RENTA							
				Ges-Nom-Sammel	:	96.596.829,693	
				Ges-Rahmen-Nom	:	1.663.000.000,500	
				Ges-Nom-Dispositiv:		0	
				Ges-Nom-Offen	:	1.566.403.170,807	
KZ	HLG	Ord-	Sammel-	Nom-Sammel	Nom-Offen	Rahmen-Nom	Stk
		Nr	Nr	Nom-Dispositiv			Nr
_	01	1111	244	0	60.000.000	60.000.000	N
				0			
_	01	1112	245	30.000	2.970.000	3.000.000	N
				0			
i	01	276	242	17.860.686,798	782.139.313,702	800.000.000,500	N
				0			
_	01	121	230	78.706.142,895	721.293.857,105	800.000.000	N
				0			
-- ID-KZ: 7999230003 -- PW: ----- B7907494 -- 24/11/10 -- 13:57:52 --							
KC0015I Bitte Kennzeichen eingeben							
PF3:Rücksprung PF4:Abbruch							

Figure 2.19: Overview global certificate (up-to)

```

TRAN: ·KCKI ·FC: ·IH ·SB: ·W#847404#####

CARAD:                                INFORMATION ·RAHMENURKUNDE¶                SEITE: ·: → 1!
                                      VOLLANZEIGE¶

WKN: ·: ·I ·DE0008474040 ·DWS ·INTER-RENTA¶
HLG: ·: ·01 ·GS¶
Ord-/Sammel-Nr: → 276 ·/ → 242¶
Einlief-Grund: → 1 ·AUS ·EMISSION¶
Status: ·: ·500 ·KONTROLLIERT¶
Bes-Stk: ·: ·23 ·TECHN.GLOBALURK. ·O.BOG. ·(LIEFERBAR)¶
Anzahl!      Stückelung → Stückenummern ·(Verbriefte ·Urkunden)¶

Nom-Sammel → :¶ 17.860.686,798x
Rahmen-Nom → :¶ 800.000.000,500x
Nom-Disp → :¶ 0x
Nom-Offen → :¶ 782.139.313,702x

-- ID-KZ: ·7999230003 -- PW:¶          ----- ·B7907494 -- ·24/11/10 -- ·13:58:20 --¶
KC0024I ·Keine ·weiteren ·Daten ·vorhanden¶
PF3:Rücksprung ·PF4:Abbruch¶

```

Figure 2.20: KCKI global certificate (up-to) detailed view

2.2.4.9 Detailed view individual certificate

There are two ways to access this screen, via the initial screen by specifying the "HLG" (deposit type)/ "Litera" (literal)/ "Stückelung" (denomination) and via the complete overview by selecting a processing unit (deposit type/literal/denomination).

```

TRAN: KCKI FC: IH SB: W#847404#####

CARAD                                INFORMATION GESAMTBESTAND                SEITE:      2

WKN : I DE0008474040 DWS INTER-RENTA

Einzelurkunden                                Stand: 23.11.2010
HLG Anz. Urk.      Nominale      Litera      Stückelung
_  01      93.477      93.477              1
_  01     329.552     3.295.520             10
i  01          1           99,999           99,999
_  01     288.251     28.825.100            100
_  01       1.775       887.500             500
_  01          546       546.000             1.000
Summe HLG 01
      713.602     33.647.696,999
_  03     220.788       220.788              1
_  03       75.671       756.710             10
_  03     108.632     10.863.200            100
_  03      119.003      59.501.500            500

-- ID-KZ: 7999230003 -- PW:          ----- B7907494 -- 24/11/10 -- 13:59:50 --
KC0015I Bitte Kennzeichen eingeben
PF3:Rücksprung PF4:Abbruch PF7:Zurück PF8:Vor

```

Figure 2.21: Total overview individual certificates

TRAN: KCKI FC: IH SB: W#847404#####			
CARAD	INFORMATION EINZELURKUNDEN		SEITE: 1
	VOLLANZEIGE		Stand: 23.11.2010
WKN	: I DE0008474040 DWS INTER-RENTA		
HLG	: 01 GS	Nominale:	99,999
STCKL:	99,999	Anzahl Urkunden:	1
1/3,			

Figure 2.22: KCKI individual certificate detailed view

The certificate numbers are displayed in arithmetical order from the working, block package and ice block package stock. The advantage is that the readout is independent of the organisation of the positions at Clearstream Europe AG. All certificate numbers for a denomination and a literal are also available in one readout.

The readout of the certificate numbers is not created online. The positions are consolidated in a database the previous evening after all changes to positions have occurred. The data from this database is displayed. The date, on which the data was determined, is displayed in the "STAND" field (STATUS).

If present, the "abweichende Gattungsbezeichnung" field (Divergent security designation) is displayed.

2.3 Information certificate number search KCKI IS

```

TRAN: KCKI FC: IS SB: W#847404###1##

CARAD          I N F O R M A T I O N   U R K U N D E N B E S T A N D

IH  INFORMATION URKUNDEN          IS  INFORMATION STUECKENUMMERSUCHE

WKN              : W 847404
HINTERLEGUNGSART: ____

STUECKELUNG      : ____ 1
STUECKENUMMERN   : 21

SAMMELURKUNDE    : ____ (J/N)
ORD-/SAMMEL-NR   : ____ / ____

BANK              : ____
KUNDENREFERENZ   : ____ - ____ - ____

-- ID-KZ: 7999230003 -- PW:          ----- B7907495 -- 16/01/06 -- 09:28:15 --
KC0114I Bitte Daten eingeben
PF1:Hilfe  PF3:Rücksprung  PF4:Abbruch

```

Figure 2.23: CARAD certificate positions KCKI initial screen

The online certificate number search in the CARAD system includes the certificates from the current block package stock, the working stock and the CASCADE deposit/withdrawal balance.

The stock is differentiated on the screen in which the certificate is found.

The following fields are required fields on the selection screen:

- WKN;
- LITERA (if present in the master data);
- STUECKELUNG (DENOMINATION);
- STUECKENUMMER (CERTIFICATE NUMBER).

The certificate number is entered as continuous text. Only one certificate number may be entered, for example, 13802001.

Entry in the following fields will not be taken into account:

- Hinterlegungsart (DEPOSIT TYPE);
- SAMMELURKUNDE (J/N) (GLOBAL CERTIFICATE);
- ORD-/SAMMEL-NR.

2.3.1 Certificate in the search is located in the working stock

2.3.1.1 Individual certificate

The certificate number in the search is securitised as an individual certificate.

TRAN: KCKI FC: IS SB: W#847404###1##		
CARAD	INFORMATION STUECKENUMMERSUCHE	HANDBESTAND
WKN : I DE0008474040 DWS INTER-RENTA		
HINTERLEGUNGSART: 01		
STUECKELUNG	:	1
STUECKENUMMER	:	21
STUECKEART	:	1 M + B GETRENNT
VERWAHRMOEGL/ART:	:	9 GIROSAMMELVERW.
STATUS	:	500 KONTROLLIERT
MERKMAL	:	-
NACHWEISART : 1 EINLIEF. EFF. URK.		
-- ID-KZ: 7999230003 -- PW: ----- B7907495 -- 16/01/06 -- 09:29:20 --		
KC0024I Keine weiteren Daten vorhanden		
PF3:Rücksprung PF4:Abbruch		

Figure 2.24: Certificate number search individual certificate KCKI display screen

Pressing the PF3 or PF4 key returns the user to the selection menu for information.

2.3.1.2 Global certificate

The certificate number in the search is securitised as a global certificate.

TRAN: KCKI FC: IS SB: W#847404###10.000##		
CARAD	INFORMATION STUECKENUMMERSUCHE	HANDBESTAND
SAMMELURKUNDE		
WKN : I DE0008474040 DWS INTER-RENTA		
HINTERLEGUNGSART: 01		
STUECKELUNG	:	10.000
STUECKENUMMER	:	21122005001
STUECKEART	:	1 M + B GETRENNT
VERWAHRMOEGL/ART:	:	9 GIROSAMMELVERW.
STATUS	:	500 KONTROLLIERT
MERKMAL	:	-
ORD-/SAMMEL-NR : 1606 / 233		
RAHMEN-NOM :		
NOM-SAMMEL : 30.000		
-- ID-KZ: 7999230003 -- PW: ----- B7907495 -- 16/01/06 -- 09:30:49 --		
KC0024I Keine weiteren Daten vorhanden		
PF3:Rücksprung PF4:Abbruch		

Figure 2.25: Certificate number search global certificate KCKI information display screen

The “Merkmal” field (characteristic) provides information on the characteristics of the selected certificate number.

Pressing the PF3 or PF4 key returns the user to the selection menu for information.

Pressing the PF10 key displays existing characteristics for a certificate number (example screen on the following page).

2.3.2 Certificate in the search is located in the block package stock

```

TRAN: KCKI FC: IS SB: W#847404###100##

CARAD          INFORMATION STUECKENUMMERSUCHE          BLOCKBESTAND

WKN            : I DE0008474040 DWS INTER-RENTA

HINTERLEGUNGSART: 01
STUECKELUNG    :      100
STUECKENUMMER  : 5846328
STUECKEART     : 1 M + B GETRENNT
VERWAHRMOEGL/ART: 9 GIROSAMMELVERW.

STATUS         : 505 KONTR. EINGEG.
MERKMAL        :
BLOCKART       : B

-- ID-KZ: 7999230003 -- PW:          ----- B7907495 -- 17/01/06 -- 11:01:55 --
KC0024I Keine weiteren Daten vorhanden
PF3:Rücksprung PF4:Abbruch

```

Figure 2.26: Certificate number search block package stock KCKI display screen

If “B” is displayed in the “Blockart” field (block type) and in the event of a corresponding entry in the text on the top right, then the certificate in the search is located in the block package stock.

The lacks/characteristics displayed in the “Merkmal” field (characteristic) concern the selected certificate number (not the block where the certificate number is documented).

Pressing the PF3 or PF4 key returns the user to the selection menu for information.

2.3.3 Certificate in the search is located in the CASCADE deposit/ withdrawal balance

```

TRAN: KCKI FC: IS SB: W#847404###1##

CARAD          INFORMATION STUECKENUMMERSUCHE          EINLIEFERUNGSBESTAND

WKN            : I DE0008474040 DWS INTER-RENTA

HINTERLEGUNGSART:
STUECKELUNG    :      1
STUECKENUMMER  : 1
STUECKEART     :      1 M + B GETRENNT
VERWAHRMOEGL/ART: 9 GIROSAMMELVERW.

STATUS        : 500 KONTROLLIERT
MERKMAL       :

-- ID-KZ: 7999230003 -- PW:          ----- B7907495 -- 16/01/06 -- 10:03:04 --
KC0024I Keine weiteren Daten vorhanden
PF3:Rücksprung  PF4:Abbruch
    
```

Figure 2.27: Certificate number search deposit withdrawal balance KCKI display screen

3. List request certificate positions KCSL

See [KCLS Manual](#).

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4. Instruction history KPHI

This transaction provides information functions for the deposit and withdrawal history that enable monitoring of the exact processing status of an instruction for the instruction types AA16 and AA18 at the CEU checkpoints. Only own instructions (credit/debit account of the person inputting) are displayed.

The screen menu for the "Auftragshistorie" (instruction history) can be accessed via expert access "TRAN: KPHI".

The entry of a function code (FC) is always required.

By entering further selection criteria, the display can be limited additionally. The respective selection options for the individual function codes are described in detail below.

The KPHI H0 function code shows the submission history for new admissions of public bonds. As only certain clients are permitted to use this function, it will not be covered in more detail here.

4.1 Deposit history (HE)

Selecting the function HE accesses the short view of the deposit history.

The compact history view is sorted by Credit Bank, WKN, instruction number, deposit number or acceptance date depending on the prescribed selection criteria and in all cases according to date and time of the history entry. This ensures that all history entries for an instruction are displayed consecutively and in their processing sequence.

The compact history view can be restricted further with the fields TRESOR-SEGM, GUT-BANK WKN, AUFTRAGS-NR (INSTRUCTION NUMBER), EING-NR (DEPOSIT NUMBER), DATUM VON (DATE FROM) and DATUM-BIS (DATE TO).

The fields instruction number and EIN-/AUSG-NR may not be filled in combination.

If both the DATUM-VON (DATE FROM) and the DATUM-BIS (DATE TO) are entered, then all instructions are displayed, which were either manually accepted at the CEU checkpoint of securities (KPEA) or automatically accepted within the specified period. If only the field DATUM-VON (DATE FROM) is edited, then only the instructions are shown which were accepted on this day.

```
TRAN: KPHI FC: HE SB: ##I#####

CARAD                                AUFTRAGSHISTORIE                        WERTEBEREICH

                                     HE  HISTORIE EINLIEFERUNGEN
                                     HA  HISTORIE AUSLIEFERUNGEN

                                     TRESOR-SEGM      : . (1-GS/2-SVT/3-FTB/4-METALL)
                                     GUT-/LAST-BANK : ....
                                     WKN              : I .....
                                     AUFTRAGS-NR      : .....
                                     EING-/AUSG-NR    : .....
                                     DATUM-VON       : .....
                                     DATUM-BIS       : .....

-- ID-KZ: 7907230003 -- PW:          ----- B79073T0 -- 04/05/11 -- 14:26:36 --
EA0667F Es muss mindestens eines der markierten Felder gefüllt werden
PF1:HilfeEinl.  PF2:HilfeAusl.  PF3:Rücksprung  PF4:Abbruch
```

Figure 4.1: KPHI basic screen

Fields	Entry
TRESOR-SEGM	Optional entry
	"1" - GS
	"2" - SVT
	"3" - FTB
	"4" - METAL
GUT-/LAST-BANK	Optional entry
	for deposit: credit bank
	for withdrawal: debit bank
WKN	WKNOptional entry
	WP-Number
	"B" - Stock exchange symbol
	"C" - CUSIP-NR
	"F" - CEDEL-EURO-NR
	"I" - ISIN
EIN-/AUSG-NR DEPOSIT/ WITHDRAWAL NUMBER	"W" - German WKN
	Optional entry
	Deposit entry number for deposits
	Withdrawal entry number for withdrawals
AUFTRAGS-NR (INSTRUCTION NUMBER)	Optional entry
DATUM-VON (DATE FROM)	Optional entry
	for KPHI HE: Date of the securities acceptance
	for KPHI HA: Date of the book entry
DATUM-BIS (DATE TO)	Optional entry
	Refer to Date from
	(Entry only allowed in connection with DATE FROM)

The DATUM-BIS (DATE TO) can be entered only if the DATUM-VON (DATE-FROM) is filled.

All the other selection criterions can be combined.

4.1.1 Short view KPHI HE

After selection of KPHI HE criteria the list of relevant instruction will be displayed.

TRAN: KPHI FC: HE SB: ##I#####								
CARAD			HISTORIE EINLIEFERUNGEN				WERTEBEREICH	
								SEITE: 1
KZ	WKN	AUFTNR	EING-NUMMER	NOM-URK	BEARB-STATUS	IAA	AUSF-DATUM	
—	E	DE000LS0DSU8	1677	80	100	941	2	09.09.10
—		DE000LS0DSU8	16608	83	1	990	5	09.09.10
—		DE0008471061	410001	200002	100	500	1	21.09.10
—	E	DE000DB9C8G5	6201	15	100	150	2	30.08.10
</								

Figure 4.2: Short view deposit history

Every instruction is only shown once with current processing statuses (retroactive for 30 years).

Deposit instructions are sorted ascending by ISIN, instruction number, bank, year-book, deposit/withdrawal and booking number.

In addition to the KZ (mark) field, a 4-character field exists that provides the following information:

Field structure	
1. Certificate vault	blank = CEU vault F = Third Party Vault S = Individual safe custody M = Precious metal
2. Cert. origin	blank = Entry * = Lima ! = Deposits with evidence type=2 is (therefore generally returns) G = Automatically generated instruction (markup/markdown) U = EDT upload procedure
3. Cert. evidence type	only specific characteristics 6 /re-registration/locking up) or 7 (no assignment) E = EDT deposit
4. Certificate stop order	blank = no blocked certificates O= at least 1 certificate with a stop order

4.1.1.1 Help screens deposit processing status

The PF1 key can be used to access help screens to display all possible deposit processing statuses.

```

TRAN: KPHI FC: HA SB: #####
KONTROLLSTELLE      BEARBEITUNGS-STATUS EINLIEFERUNG      WERTEBEREICH
                                                                SEITE 1

KZ      STATUS
10      EINLIEFERUNG TEILERFASST - ZU WENIG STUECKE
30      EINL. Z. RUECKGABE GENERIERT, ZU WENIG STUECKE
50      EINLIEFERUNG TEILERFASST - ZU VIELE STUECKE
70      EINL. Z. RUECKGABE GENERIERT, ZU VIELE STUECKE
100     EINLIEFERUNG VOLLSTAENDIG ERFASST
150     EINLIEFERUNG ZUR RUECKGABE GENERIERT
200     EINLIEFERUNG ANGENOMMEN
410     EINLIEFERUNG GEAENDERT - ZU WENIGE STUECKE
450     EINLIEFERUNG GEAENDERT - ZU VIELE STUECKE
500     EINLIEFERUNG VOLLSTAENDIG GEAENDERT
522     BUCHUNGSFREIGABE ZURUECKGENOMMEN
523     BUCHUNGSFREIGABE ZURUECKGENOMMEN, INKONSISTENZEN MIT CARAD
550     TEXTINFORMATION ZUM AUFTRAG BEARBEITET
700     EINLIEFERUNG ZUR BUCHUNG FREIGEgeben

-- ID-KZ: 7907230003 -- PW:          ----- B7907494 -- 16/04/25 -- 08:06:45 --
PF2:IAA  PF3:Rücksprung  PF4:Abbruch  PF8:Vor
MA      A
01/017

```

Figure 4.3: Help screen deposit processing statuses - page 1

```

TRAN: KPHI FC: HA SB: #####
KONTROLLSTELLE      BEARBEITUNGS-STATUS EINLIEFERUNG      WERTEBEREICH
                                                                SEITE 2

KZ      STATUS
701     ZUSTIMMUNG ZUR EINLIEFERUNG ERTEILT
710     EINLIEFERUNG VON EXPERTEN FREIGEgeben
800     AUFTRAG ERFOLGREICH GEBUCHT - UM-/FESTSCHREIBUNG AUSSTEHEND
801     MANTEL-/UNIKATETRESOR HAT NICHT VEREINNAHMT, KEIN GEGENTRESOR
802     BOGENTRESOR HAT NICHT VEREINNAHMT, KEIN GEGENTRESOR
803     MANTEL-/UNIKATE- UND BOGENTRESOR HABEN NICHT VEREINNAHMT
811     MANTEL-/UNIKATETRESOR HAT VEREINNAHMT, BOGENTRESOR NICHT
812     BOGENTRESOR HAT VEREINNAHMT, MANTEL/UNIKATETRESOR NICHT
821     MANTEL-/UNIKATETRESOR HAT VEREINNAHMT, KEIN GEGENTRESOR
822     BOGENTRESOR HAT VEREINNAHMT, KEIN GEGENTRESOR
823     MANTEL-/UNIKATETRESOR UND BOGENTRESOR HABEN VEREINNAHMT
911     MANTEL-/UNIKATETRESOR HAT GELOESCHT, BOGENTRESOR NICHT
912     BOGENTRESOR HAT GELOESCHT, MANTEL-/UNIKATETRESOR NICHT
921     MANTEL-/UNIKATETRESOR HAT GELOESCHT, KEIN GEGENTRESOR

-- ID-KZ: 7907230003 -- PW:          ----- B7907494 -- 16/04/25 -- 08:07:21 --
PF2:IAA  PF3:Rücksprung  PF4:Abbruch  PF7:Zurück  PF8:Vor
MA      A
01/017

```

Figure 4.4: Help screen deposit processing statuses - page 2



Figure 4.5: Help screen deposit processing statuses - page 3

4.1.1.2 Help screen internal instruction type

From the help screen deposit processing statuses, PF2 can be used to access another help screen that displays the internal deposit instruction type.



Figure 4.6: Help screen internal deposit instruction types

4.1.1.3 Full view KPHI HE

By entering "I" in the KZ field further details of the selected deposit instruction will be displayed. The current processing status will be shown.

The following details will be displayed:

- Nominal Up-to and organisation number on the Page 1;
- Deposit booking number - 9 digits.

On the full screen the current processing status can vary in single cases from the one displayed on the short history screen. (That is, based on simultaneously ongoing instruction processing or based on the fact that not every change of processing statuses results in entry in "new" history).

TRAN: KPHI FC: HE SB: ##I#####			
CARAD		EINLIEFERUNG / INFORMATION	
		NEUZULASSUNG/VALUTIERUNG	
AUFTNR : 71748		HLG: 01 GS	
LAST-KTO : 7961 000		CEU TRESORBESTAND SVG	
GUT-KTO : 1045 000		DEXIA KOMMUNALBANK DEUTSCHLAND AG	
WKN : I DE000DXA1NE9		3,17 % DEX.KOMM.DEU.MTN.OPF 1621 25.02.G	
W DXA1NE			
NOMINALE : 10.000.000		EINHEIT: EO ST-ART:	
NOM-URK : 10.000.000		EINLIEF-ART : 2 NEUZULASSUNG GLOBAL	
RAHMEN-NOM: 0		ORD-NR :	
KUNDENREFERENZ : -		KZ-BST:	
EINLIEFERUNG-VON NAME:			
ADRESSE:			
EING-NR: 870322		EINLIEF-GRUND: 1 AUS EMISSION	
BEARB-STATUS: 990 UEBERLEITUNG NACH CARAD			
DISPO-STATUS: 2 STUECKE-DISPOSITION DURCHGEFUEHRT			
BUCH-VAL : 29.11.2010			
-- ID-KZ: 7999090704 -- PW: ----- B79075D3 -- 05/01/11 -- 13:58:03 --			
PF2:Druck PF3:Rücksprung PF4:Abbruch PF8:Vor			

Figure 4.7: Full view deposit instructions - page 1

PF8 can be used to branch to the "Folge-/Zessions" screen:

- Unless it is not a new registration application of a RS-type ("registered shares") instead of the KE-type fields, the agents boxes are displayed.
- On the Zessions screen of a RS-instruction, the shareholder number is displayed without the name fields. The shareholders' names are given on the share register.

```

TRAN: KPHI FC: HE SB: #####

CARAD                                EINLIEFERUNG / FOLGEINFORMATION          WERTEBEREICH
                                NEUZULASSUNG/VALUTIERUNG
AUFTNR:  4710122                WKN: I DE0008474040          HLG: 01 GS

VERWAHR-MOEGlichkeit      :    9 GIROSAMMELVERW.
BESONDERHEIT              :
ABWEICHENDE-BEZEICHNUNG   :    0 KEINE ABW. BEZEICHNUNG

NAECHSTER KUPON           :                                LETZT. KUPON   :

NACHWEISART:    1 EINLIEF. EFF. URK.

AGENT      : 1011 LANDESBANK BERLIN AG
BEARBEITUNG:  0 NUR EMISS. INSTITUT
REPORTING  :  0 NUR EMISS. INSTITUT

TEXT:

-- ID-KZ: 7999670001 -- PW:          ----- B79075D3 -- 15/12/10 -- 14:58:58 --

PF2:Druck  PF3:Rücksprung  PF4:Abbruch  PF7:Zurück  PF8:Vor

```

Figure 4.8: Full view deposit instructions - page 2

By selecting PF8 the certificate number/instrument screen will be displayed:

a) For the delivery of physical certificates, the screen looks like this:

```

TRAN: KPHI FC: HE SB: ##I#####

CARAD                                EINLIEFERUNG / STUECKINFORMATION          WERTEBEREICH
                                LFD. EINLIEFERUNG
AUFTNR      :    1600005                GES-NOM      :          100
WKN          : I DE0008474040          ANZ-URK:      100  SUMME-NOM:      100
STCKL        :                        1
KZ STUECKENUMMERN                                MAN MAN E
                                                GEL GEL

W.1-100, .*

-- ID-KZ: 7999670001 -- PW:          ----- B79075D3 -- 15/12/10 -- 15:03:40 --

PF2:Druck  PF3:Rücksprung  PF4:Abbruch  PF7:Zurück

```

Figure 4.9: Full view deposit instructions, certificates numbers for physical certificates - page 3

b) For the delivery of Global Notes, the screen looks like this:

```

TRAN: KPHI FC: HE SB: ##I#####

CARAD                      EINLIEFERUNG / STUECKINFORMATION          WERTEBEREICH
                        NEUZULASSUNG/VALUTIERUNG - SAMMELURKUNDE
AUFTNR      :      416123                      GES-NOM      :      100
WKN          : I DE0008404005                  SUMME-NOM:      100

      ANZAHL LIT      STUECKELUNG STUECKENUMMERN (VERBRIEFTE URKUNDEN)  E/O
      100              1      A.1-100, .<

-- ID-KZ: 7999670001 -- PW:          ----- B79075D3 -- 15/12/10 -- 15:05:17 --
PF2:Druck  PF3:Rücksprung  PF4:Abbruch  PF7:Zurück

```

Figure 4.10: Full view deposit instructions, certificates numbers for Global Notes - page 3

4.1.1.4 Online printing KPHI HE

PF2 can be used in the short view and full view to print out an instruction online.

The details are shown for a delivery date note.

```

EINLIEFERUNGSHISTORIE

ERFASSUNG      : 7907230003    04.04.2011    10:08                      HISTORIE
KONTROLLE      : 7907231003    04.04.2011    10:10
ANNAHME        : 7907231003    04.04.2011    10:11                      EING-NR: 425945
ZUSTIMMUNG     : 7907231003    04.04.2011    10:12
FREIGABE       : 7907230003    04.04.2011    10:12
MANTELTRESOR   : 7907999999    05.04.2011    15:38
BOGENTRESOR    : 7907999999    05.04.2011    15:38

CARAD                      EINLIEFERUNG / INFORMATION          WERTEBEREICH
                        LFD. EINLIEFERUNG
AUFTNR      :      653002                      HLG: 01 GS

LAST-KTO      : 7960 000          CEU TRESORBESTAND GS
GUT-KTO       : 2013 000          CACEIS BANK DEUTSCHLAND GMBH
WKN           : I DE0002100773 5 % UC-HVB PF26 01.J/J
                W 210077
NOMINALE      :      2.000          EINHEIT: DM      ST-ART: M + B GETRENNT
NOM-URK       :      2.000          EINLIEF-ART : 1      LFD. EINLIEFERUNG

```

Figure 4.11: Deposit instruction online printing - page 1

KUNDENREFERENZ	:	-		KZ-BST:
EINLIEFERUNG-VON-NAME:				
ADRESSE:				
WKN-STAMMRECHT:				
EING-NR:	425945	EINLIEF-GRUND:		
BEARB-STATUS:	990 UEBERLEITUNG NACH CARAD			
DISPO-STATUS:	2 STUECKE-DISPOSITION DURCHGEFUEHRT			
BUCH-VAL :	04.04.2011			
VERWAHR-MOEGlichkeit	:	9 GIROSAMMELVERW.		
BESONDERHEIT	:			
ABWEICHENDE-BEZEICHNUNG	:	0 KEINE ABW. BEZEICHNUNG		
NAECHSTER KUPON/LEG	:	01.07.2011	LETZTER KUP/LEG:	01.07.2013
UEBERF KUPON/LEG VON :			BIS :	
NACHWEISART:	1 EINLIEF. EFF. URK.		SAMMELURKUNDE :	N
TEXT:				
ONLINE-DRUCK ZU AUFTRAG-NR.:		653002		
GUT-KTO :	2013 000	EING-NR :	425945	WKN : I DE0002100773
SUMME-NOM:	2.000			
STUECKELUNG:	1.000	ANZ-URKUNDEN:	2	
STUECKENUMMERN				MAN MAN E GEL GEL
PM1001-2,				

Figure 4.12: Deposit instruction online printing - page 2

4.2 Withdrawal history (HA)

Selecting the function HA - Auslieferungshistorie accesses the short view of the withdrawal history.

The view can be restricted further with the fields LAST BANK (DEBIT BANK), AUFTR.-NR (INSTRUCTION NUMBER), AUSG-NR (WITHDRAWAL NUMBER), DATUM VON (DATE FROM) and WKN. The other selection fields are insignificant for this function.

Note that only the history entries for one instruction are displayed with a selection via the withdrawal ledger number which were created after the transfer for book entry, since the withdrawal ledger number is only assigned at this point.

4.2.1 Short view KPHI HA

The short view displays only the current status of the instructions. The number of displayed instructions could be restricted by entering date in the field DATUM-BIS.

Sorting depends on the entered selection criteria according to LAST-BANK and WKN, LAST-BANK and instruction number or LAST-BANK and withdrawal ledger number. Additionally, sorting in each case is according to date and time of the historical entry, so that all entries for an instruction follows directly after one another.

TRAN: KPHI FC: HA SB: #2013#I#####							
CARAD	HISTORIE AUSLIEFERUNGEN				WERTEBEREICH		
					SEITE: 1		
KZ	WKN	AUFTNR	AUSG-NUMMER	NOM-URK	IAA	SEND	AUSF-DATUM
—	DE000HBE0EA6	168866	137783	8.000.000	703 5	00/01	05.04.11
—	DE000ML0BGQ1	16666	137715	10.000	700 4	01/01	23.03.11
—	DE000PAH0038	160012	137724	4.583	700 1	01/01	24.03.11
—	DE0002101540	16902	137747	2.521.300	640 1	00/00	05.05.11
—	DE0008471061	161110	137785	2.322	650 1	00/00	05.04.11
—	DE0009782722	161803	137641	10	200 8	00/00	17.03.11
-- ID-KZ: 7907230003 -- PW: ----- B79073T0 -- 06/05/11 -- 10:12:11 --							
EA0016I Keine weiteren Daten vorhanden							
PF1:Hilfe PF2:Druck PF3:Rücksprung PF4:Abbruch							

Figure 4.13: Short view withdrawal history

In addition to the KZ (mark) field, a 4-character field exists that provides the following information:

Field structure	
1. Certificate vault	Blank = CEU vault F = Third party vaults S = Individual safe custody M = Precious metal
2. Cert. origin	Blank = Entry * = Lima # = Change with KADI date G = Automatically generated instruction (markup/markdown)
3. Cert. evidence type	Blank
4. Certificate stop order	Bank = no blocked certificates O = At least 1 certificate with a stop order

4.2.1.1 Help screens for withdrawal processing status

The PF1 key can be used to access help screens to display all possible withdrawal processing statuses.

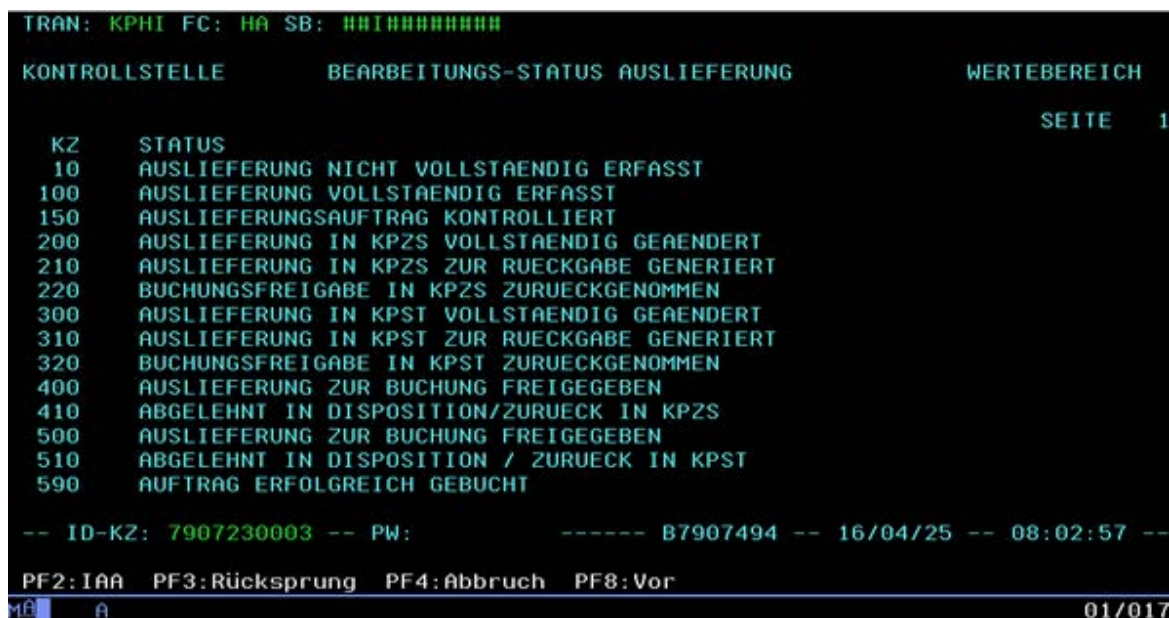


Figure 4.14: Help screen processing statuses withdrawal - page 1

```

TRAN: KPHI FC: HA SB: #####
KONTROLLSTELLE      BEARBEITUNGS-STATUS AUSLIEFERUNG      WERTEBEREICH
                                                                    SEITE  2

KZ   STATUS
610  AUSLIEFERUNG GELOESCHT
620  MANUELLE ZUWEISUNG UNVOLLSTAENDIG
630  MANUELLE ZUWEISUNG VOLLSTAENDIG
640  ABGELEHNT IN MASCHINELLER ZUWEISUNG
650  AUSLIEFERUNG STORNIERT
700  ALLE SENDUNGEN DURCH EFFEKTEN-AUSGANG AUSGELIEFERT
701  NOCH TEILSENDUNGEN OFFEN
702  ALLE SENDUNGEN AUSGELIEFERT, AUFTRAG IST ZU LOESCHEN
703  ZUWEISUNG ABGESCHLOSSEN
720  VOM E-AUSGANG ZURUECKGEN. - MASCH. ZUWEISUNG ZURUECKGENOM.
730  VOM E-AUSGANG ZURUECKGEN. - MAN. ZUWEISUNG NOCH VORHANDEN
750  KEINE AUSLIEFERUNG DURCH EFFEKTEN-AUSGANG ERFORDERLICH
790  AUSLIEFERUNG DURCH EFFEKTEN-AUSGANG GEÄNDERT
791  ENDBEARBEITETE AUSLIEFERUNG DURCH EFFEKTEN-AUSGANG GEÄNDERT

-- ID-KZ: 7907230003 -- PW:          ----- B7907494 -- 16/04/25 -- 08:04:33 --
PF2:IAA  PF3:Rücksprung  PF4:Abbruch  PF7:Zurück  PF8:Vor
MA  A 01/017

```

Figure 4.15: Help screen processing statuses withdrawal - page 2

```

TRAN: KPHI FC: HA SB: #####
KONTROLLSTELLE      BEARBEITUNGS-STATUS AUSLIEFERUNG      WERTEBEREICH
                                                                    SEITE  3

KZ   STATUS
792  HISTORISCHE AUSLIEFERUNG IN KPHI GEÄNDERT
992  GELOESCHT WG. T2S REJECTION
993  AUTOMATISCH ENDBEARBEITET
999  GELOESCHT DURCH SYSTEM ODER MANUELL

-- ID-KZ: 7907230003 -- PW:          ----- B7907494 -- 16/04/25 -- 08:04:52 --
PF2:IAA  PF3:Rücksprung  PF4:Abbruch  PF7:Zurück
MA  A 01/017

```

Figure 4.16: Help screen processing statuses withdrawal - page 3

4.2.1.2 Help screen for internal withdrawal instruction types

PF2 can be used to access another help screen that displays the internal withdrawal instruction types from the help screen for the processing status.

TRAN: KPHI FC: HA SB: ##I#####1#		
KONTROLLSTELLE	INTERNE AUFTRAGSARTEN AUSLIEFERUNG	WERTEBEREICH
		SEITE 1
KZ	INTERNE AUFTRAGSART (IAA)	
1	AUSLIEFERUNG EINZELURKUNDE	
2	REVALUTIERUNG	
3	AUSLIEFERUNG RAHMENURKUNDE	
4	REVALUTIERUNG MIT AUSLIEFERUNG RAHMENURKUNDE	
5	AUSLIEFERUNG STUECKELOSE GLOBALURKUNDE	
6	AUSLIEFERUNG TECHNISCHE GLOBALURKUNDE	
7	TEILREDUZIERUNG	
8	REVALUTIERUNG MIT AUTOM. BUCHUNGSFREIGABE	
9	REDUZIERUNG RAHMENNOMINALE	
-- ID-KZ: 7907232003 -- PW: ----- B7907494 -- 17/11/09 -- 13:06:41 --		
PF2: Bearb-Status PF3: Rücksprung PF4: Abbruch		

Figure 4.17: Help screen internal instruction types withdrawal - page 3

4.2.1.3 Full view KPHI HA

By entering "I" in the KZ field the further details of the selected withdrawal instruction will be displayed. The current processing status will be shown.

The following details will be displayed:

- Nominal Up-to and organisation number on page 1;
- Withdrawal ledger number - nine digits.

On the full view the current processing status can vary in single cases from the one displayed on the short view (that is, based on simultaneously ongoing instruction processing or based on the fact that not every change of processing statuses results in entry in "new" history).

```

TRAN: KPHI FC: HA SB: #2013#I#####

CARAD                                HISTORIE AUSLIEFERUNG                                WERTEBEREICH

AUFTNR      :      16666                                HLG: 01 GS

LAST-KTO : 2013 000                                CACEIS BANK DEUTSCHLAND GMBH
GUT-KTO  : 7961 200                                CEU TR. B. SVG BIS-ZU URK. GS
WKN       : I DE000ML0BGQ1 MERRILL LYNCH 07/11 FLR 19.03.G
           W ML0BGQ
NOMINALE  :      10.000                                EINHEIT: ST      ST-ART:
NOM-URK   :      10.000                                UMLEGUNG:
SET-DAY   : 22.03.2011  AUSLIEF-VERF: 01 PER BANKBOTE
KUNDENREFERENZ: -                                -                                AUSG-NR: 137715
NAECHSTER KUPON/LEG: 19.03.2010
SAMMELURKUNDE (J/N): J  AUSLIEF-VORG: 2 REVALUTIERUNG  AUSLIEFERUNG RU (J/N): J
                                           ABW-VERSANDADR (J/N): N

BEARB-STATUS: 700 ALLE SENDUNGEN DURCH EFFEKTEN-AUSGANG AUSGELIEFERT
DISPO-STATUS: 2 STUECKE-DISPOSITION DURCHGEFUEHRT

-- ID-KZ: 7907230003 -- PW:                ----- B7907494 -- 09/05/11 -- 08:16:15 --

PF2:Druck PF3:Rücksprung PF4:Abbruch PF8:Vor PF9:Gebühren

```

Figure 4.18: Full view withdrawal history - page 1

```

TRAN: KPHI FC: HA SB: #2013#I#####

CARAD                                HISTORIE AUSLIEFERUNG                                WERTEBEREICH
                                ADRESSDATEN
AUFTNR      :      16666                                WKN: I DE000ML0BGQ1                                HLG: 01 GS
NAME        :
STRASSE     :
LAND/PLZ/ORT:

AN ADRESS-NR:                                BIC-CODE:                                KTO-STAMM:
NAME        : CACEIS BANK DEUTSCHLAND GMBH                                PLZ/GROK: 80311

NAMENSZUSATZ:
STRASSE     : LILIENTHALALLEE 34-36
PLZ/POSTFACH:
LAND/PLZ/ORT: D      80939 MUENCHEN
HINWEISTEXT :

-- ID-KZ: 7907230003 -- PW:                ----- B7907494 -- 09/05/11 -- 08:16:35 --

PF2:Druck PF3:Rücksprung PF4:Abbruch PF7:Zurück PF8:Vor PF9:Gebühren

```

Figure 4.19: Full view withdrawal history, address data- page 2

TRAN: KPHI FC: HA SB: #2013#I#####					
CARAD		HISTORIE AUSLIEFERUNG		WERTEBEREICH	
		STUECKELUNGEN			
AUFTNR:	16666	WKN: I	DE000ML0BGQ1	HLG: 01	GS
ORD-NR:	/	SAMMEL-NR:	37	GES-NOM:	10.000
				SUM-NOM:	
ANZ-URKUNDEN	LIT	STUECKELUNG	ANZ-URKUNDEN	LIT	STUECKELUNG
TEXT:					
MASCHINELLE ZUWEISUNG (J/N): J					
-- ID-KZ: 7907230003 -- PW: ----- B7907494 -- 09/05/11 -- 08:16:58 --					
PF2:Druck PF3:Rücksprung PF4:Abbruch PF5:Info PF7:Zurück PF9:Gebühren					

Figure 4.20: Full view withdrawal history, denomination of physical certificates - page 3

This screen shows not only the requested denominations or nominals, but also already allocated or withdrawn certificate numbers (until status of final processing). This information can be accessed by pressing PF8 in case of current instructions or PF5 in case of historical instructions.

Note: In case of manual allocation of certificates numbers they will only be displayed if they are really entered into the instruction after deleting from working stock.

TRAN: KPHI FC: HA SB: #2013#I#####					
CARAD		HISTORIE AUSLIEFERUNG		WERTEBEREICH	
ZUGEWIESENE URKUNDEN					
AUFTNR : 16666		WKN: I DE000ML0BGQ1 HLG: 01 GS			
GES-NOM: 10.000,000					
SAMMEL-	ORD-	NOM-SAMMEL	RAHMEN-NOM	VERAEND-	VERAEND-
NR	NR	ALT	ALT	NOM-SAMMEL	RAHMEN-NOM
37	1	10.000	10.000	-10.000	
37	1		10.000		

Figure 4.21: Full screen withdrawal history, "Zugewiesene Urkunden" - page 4

For the display of global notes applies:

- The increased or decreased nominal will be shown with arithmetic sign.
- If necessary Global Notes, each with SAMMEL-NR, ORD-NR, RAHMEN-NOM ALT are shown. RAHMEN-NOM ALT complies with the value of the withdrawn securities.
- Transfers of Global Notes between vaults segments will be displayed. The entries for the use of automatic assignment (under certain circumstances) are not included.
- For partial reduction NOM-SAMMEL-ALT and VERAEND-NOM-SAMMEL are applied. VERAEND-NOM-SAMMEL shows the instructed nominal of the reduction of the certificate.
- When withdrawing of up-to certificate without mark down, SAMMEL-NR, ORD-NR and NOM-SAMMEL-ALT are displayed. In addition, even the UP-TO-NOM-ALT is filled. Since this is not a physical withdrawal VERAEND-NOM-SAMMEL will not be displayed.
- In mark down evaluation without withdrawing Up-to certificates the field NOM-SAMMEL-ALT contains the amount of the certificate before the mark down. The field RAHMEN-NOM-ALT contains UP-TO nominal of the certificate and the field VERAEND-NOM-SAMMEL will display the reducing nominal value.
- The process mark down with reductions of RAHMEN NOMINAL, the NOM-SAMMEL-ALT and RAHMEN-NOM-ALT will display the value of the certificate before the mark down. In the VERAEND-NOM and VERAEND-RAHMEN-NOM the changed face value is displayed, by which these have been changed. Both nominals have to be reduced by the same amount.
- The Frame Denomination Reduction operation outputs only the FRAME NOM-ALT with the value before the Frame Denomination Reduction. The VERAEND-FRAME-NOM field lists the denominations by which they have been changed.
- In the Reposting Framework Certificate operation, a certain amount is transferred from documents (with Entry Reason = 11) to documents of the same type with Entry Reason 12. In

order to be able to track the changes correctly, both the certificates of the revaluation (with a negative sign) and the certificates that have been valued (with a positive sign) are listed here.

- When withdrawing a up-to certificate with a markdown, two actions are carried out simultaneously within one order. To ensure both are comprehensible, not only is the withdrawing of the up-to certificate shown, but also the markdown of the certificate. For this purpose, both the NOMINALE-SAMMEL-ALT and the VERAEND-NOM-SAMMEL must be shown.

TRAN: KPHI FC: HA SB: #7201#I#####01.01.2011#01.03.2011#1#						
CARAD		HISTORIE AUSLIEFERUNG		WERTEBEREICH		
		ZUGEWIESENE STUECKENUMMERN				
AUFTNR	:	605154		GES-NOM	:	120.000
WKN	:	I DE0004775960	ANZ-URK:	12	SUMME-NOM:	120.000
STCKL	:	10.000		BLOCK-NR	:	999999
				MAN MAN E		
STUECKENUMMERN				GEL GEL		
5872-7,9075,9498-502,						

Figure 4.22: Full screen withdrawal history, assigned certificate numbers physical notes - page 4

Existing "defects of certificates" or replacement flags are shown in the fields MANGEL and E.

If the allocated certificates include certificates coming from block stock, than these certificates numbers will be shown at separate pages that show each block number. The numbers can be found in the field BLOCK-NR.

Note: Before withdrawal of certificates the necessary blocks have to be manually deleted in CARAD. To guarantee proper allocation of the blocks the booking year and withdrawal number of the instruction have to be entered at the deletion screen of CARAD.

TRAN: KPHI FC: HA SB: ##W#847102#####			
CARAD	HISTORIE AUSLIEFERUNG		WERTEBEREICH
	ZUGEWIESENE STUECKENUMMERN		
AUFTNR	: 653001	GES-NOM	: 255.000
WKN	: I DE0008471020	ANZ-URK:	500 SUMME-NOM:
STCKL	:	100	BLOCK-NR : 30060
			MAN MAN E
			GEL GEL
STUECKENUMMERN			
4007896-8395,			
-- ID-KZ: 7907230003 -- PW: ----- B7907494 -- 09/05/11 -- 08:20:59 --			
PF2:Druck PF3:Rücksprung PF4:Abbruch PF7:Zurück PF8:Vor			

Figure 4.23: Full screen withdrawal history, assigned certificate numbers of block stock - page 4

4.2.1.4 KPHI: Branch from short view into historical view

By entering "H" in the KZ field and pressing enter in the short view of selected instructions all processing statuses of the selected instruction will be shown.

TRAN: KPHI FC: HE SB: ##I#####			
CARAD	HISTORIE EINLIEFERUNGEN		WERTEBEREICH
Jahr : &&&&	BUCH-NR:	80	SEITE: 1
AUFTNR:	1677		
BEARB-STATUS		AUSF-DATUM	AUSF-UHRZEIT
200 EINLIEFERUNG ANGENOMMEN		08.09.2010	08:00
500 EINLIEFERUNG VOLLSTAENDIG GEAENDERT		08.09.2010	08:05
700 EINLIEFERUNG ZUR BUCHUNG FREIGEgeben		08.09.2010	09:00
801 MANTEL-/UNIKATETRESOR HAT NICHT VEREINNAHMT		08.09.2010	09:10
941 MANTEL-/UNIKATETRESOR HAT STORNIERT		09.09.2010	11:00
-- ID-KZ: 7999670001 -- PW: ----- B79075D4 -- 10/12/10 -- 14:59:25 --			
PF1:Hilfe PF3:Rücksprung PF4:Abbruch			

Figure 4.24: Processing status history

If necessary the text on the processing status will be cut. The full text can be determined using the PF1 help key.

If more processing steps in the history exist than can fit on one page, use PF8 and PF7 to scroll forward and backward.

With PF3 it is possible to get back to the short view. PF4 is the trigger to go back to the screen menu.

With PF1 a help screen with the possible processing status and the accompanying text are displayed.

4.2.1.5 KPHI HA online printing

The list corresponds to the structure of the already existing online printing for the withdrawal history and is illustrated by the example of a global certificate withdrawal.

AUSLIEFERUNGSHISTORIE					
ERFASSUNG	:	7999670002	22.03.2011	8:52	AUSGANG
KONTROLLE	:	7999670001	22.03.2011	8:53	7999670001 23.03.2011 8:59
STUECKDISPO:		7907999999	22.03.2011	15:55	
SENDUNG	:	7999670001	23.03.2011	8:59	
CARAD		AUSLIEFERUNG / INFORMATION			WERTEBEREICH
PRIMANOTE:		AUFTNR:	16666	HLG:	01 GS
LAST-KTO	:	2013 000	CACEIS BANK DEUTSCHLAND GMBH		
GUT-KTO	:	7961 200	CEU TR. B. SVG BIS-ZU URK. GS		
WKN	:	I DE00ML0BGQ1	MERRILL LYNCH 07/11 FLR 19.03.G		
		W ML0BGQ			
WKN-GLIED.:		AUSL. RENTEN			
NOMINALE	:	10.000	EINHEIT:	ST	ST-ART:
NOM-URK	:	10.000	UMLEGUNG:		
SET-DAY	:	22.03.2011	AUSLIEF-VERF:	1	PER BANKBOTE
KUNDENREFERENZ:		-			AUSG-NR : 137715
NAECHSTER KUPON/LEG:		19.03.2010			
SAMMELURKUNDE (J/N):		J	AUSLIEF-VORG:	2	REVALUTIERUNG AUSLIEFERUNG RU (J/N): J
					ABW-VERSANDADR (J/N): N
BEARB-STATUS:		700 ALLE SENDUNGEN DURCH EFFEKTEN-AUSGANG AUSGELIEFERT			
DISPO-STATUS:		2 STUECKE-DISPOSITION DURCHGEFUEHRT			
NAME	:				
STRASSE	:				
LAND/PLZ/ORT:					
AN ADRESS-NR:		BIC-CODE:	KTO-STAMM:		
NAME	:	CACEIS BANK DEUTSCHLAND GMBH	PLZ/GROK: 80311		
NAMENSZUSATZ:					
STRASSE	:	LILIENTHALALLEE 34-36			
PLZ/POSTFACH:					
LAND/PLZ/ORT:		D	80939 MUENCHEN		
HINWEISTEXT	:				
ORD-NR:		/ SAMMEL-NR:	37	GES-NOM	: 10.000

SUMME-NOM:					
ANZ-URKUNDEN	LIT	STUECKELUNG	ANZ-URKUNDEN	LIT	STUECKELUNG
TEXT:					
MASCHINELLE ZUWEISUNG (J/N): J					
VERSICHERUNGSWERT:		1.330.830,00	POST-WERTANGABE:		
ANZ-SENDUNG: 1		GEBUEHREN-BERECHNUNG: J			
SENDUNGS-GRUND :					
Figure 24:On-line printing withdrawal history Mark down Screen 1					
DRUCK ZU AUFTRAGS-NR:		16666	SEITE:		2
SU-NR	ORD-NR	NOM-SAMMEL	RAHMEN-NOMINALE	AEND-NOM-SAMMEL	AEND-RAHMEN-NOM
37	1	10.000	10.000	-10.000	
37	1	0	10.000		

Figure 4.25: Online printing withdrawal history mark down - page 2

4.2.1.6 Certificate number report automatic allocation

The certificate number report from automatic allocation shows the "Nachweisart" field for global and up-to certificates. The special certificates number reports for physical certificates, partial redemptions and third-party vaults/specialised depositories will not display the "Nachweisart" field.

First all instructions for CEU precious metals vaults will be listed. After that instructions for third-party vaults/specialised depositories will follow.

Within the CEU area (including metal) the sort is valid based on ISIN, HLG, SETTLEMENT-DAY-VORTRAG, AUSG-NR. In the third-party vault/specialised depositories area instructions are sorted by LAST-BANK, ISIN, KUNDEN-REF-LAST, SETTLEMENT-DAY-VORTRAG, AUSG-NR.

Up-to certificate

NUMMERNVERZEICHNIS AUS MASCHINELLER STUECKENUMMERNZUWEISUNG (GLOBALURKUNDEN)					
AUFTNR: 940002		AUSG-NR: 239012		BUCHUNGS-VALUTA: 04.05.2010	
PRIMANOTE: 555		AUFTNR: 940002		HLG: 01 GS	
LAST-KTO : 7004 000		COMMERZBANK AG			
GUT-KTO : 7960 001		CEU TR. B. GS -NUR MAENTEL-			
WKN : I DE0009807016		HAUSINVEST EUROPA			
W 980701					
WKN-GLIED.: INL. IMMOBILIENFONDS					
NOMINALE : 4.000.000		EINHEIT: ST		ST-ART: M + B GETRENNT	
NOM-URK : 4.000.000		UMLEGUNG:			
SET-DAY : 03.05.2010		AUSLIEF-VERF:			
KUNDENREFERENZ: -		-		AUSG-NR : 39012	
NAECHSTER KUPON : 37					
SAMMELURKUNDE (J/N): J		AUSLIEF-VORG: 1		AUSLIEFERUNG RU (J/N): N	
				ABW-VERSANDADR (J/N): N	
BEARB-STATUS: 703 ZUWEISUNG ABGESCHLOSSEN					
DISPO-STATUS: 2 STUECKE-DISPOSITION DURCHGEFUEHRT					
LAND/PLZ/ORT:					
AN ADRESS-NR:		BIC-CODE:			
NAME : COMMERZBANK AG W/FRANKFURT U. XET		PLZ/GROK: 60261			
ZTB S 2.11 KONTOABSTIMMUNG/DEVISE					
NAMENSZUSATZ:					
STRASSE : MAINZER LANDSTRASSE 277-293					
PLZ/POSTFACH: 60005 10 05 05					
LAND/PLZ/ORT: D 60326 FRANKFURT AM MAIN					
HINWEISTEXT :					
ANZ	NOM-URK	ANZ	NOM-URK	ANZ	NOM-URK
2	2.000.000				
TEXT:					
VERSICHERUNGSWERT:		233.334.000,00		POST-WERTANGABE:	
ANZ-SENDUNG: 1		GEBUEHREN-BERECHNUNG: J			
SENDUNGS-GRUND :					
DRUCK ZU AUFTRAGS-NR:		940002		SEITE: 1.....	
ORD-NR: /		SAMMEL-NR: 1065		NOMINALE-SAMMEL: 2.000.000	
NACHWEISART: 1		EINLIEF. EFF. URK.			
ORD-NR: /		SAMMEL-NR: 1066		NOMINALE-SAMMEL: 2.000.000	
NACHWEISART: 1		EINLIEF. EFF. URK.			

Figure 4.26: Certificate numbers automatic allocation - page 1

NUMMERNVERZEICHNIS AUS MASCHINELLER STUECKENUMMERNZUWEISUNG (GLOBALURKUNDEN)						
AUFTNR:		940002		AUSG-NR:		239012
BUCHUNGS-VALUTA: 04.05.2010						
EINGEBER	AUFTNR	LAST-KTO	WKN	DT.WKN		NOMINALE-URK
7004	940002	7004	000	DE0009807016 980701		4.000.000
ORD-NR:	/		SAMMEL-NR:	1065	NOMINALE-SAMMEL:	2.000.000
NACHWEISART:	1	EINLIEF. EFF. URK.				
ORD-NR:	/		SAMMEL-NR:	1066	NOMINALE-SAMMEL:	2.000.000
NACHWEISART:	1	EINLIEF. EFF. URK.				

Figure 4.27: Certificate numbers automatic allocation - page 2

Global certificate

NUMMERNVERZEICHNIS AUS MASCHINELLER STUECKENUMMERNZUWEISUNG (GLOBALURKUNDEN)					
AUFTNR: 940002		AUSG-NR: 239012		BUCHUNGS-VALUTA: 04.05.2010	
PRIMANOTE: 555		AUFTNR: 940002		HLG: 01 GS	
LAST-KTO : 7004 000		COMMERZBANK AG			
GUT-KTO : 7960 001		CEU TR. B. GS -NUR MAENTEL-			
WKN : I DE0009807016		HAUSINVEST EUROPA			
W 980701					
WKN-GLIED.: INL. IMMOBILIENFONDS					
NOMINALE : 4.000.000		EINHEIT: ST		ST-ART: M + B GETRENNT	
NOM-URK : 4.000.000		UMLEGUNG:			
SET-DAY : 03.05.2010		AUSLIEF-VERF:			
KUNDENREFERENZ: -		-		AUSG-NR : 39012	
NAECHSTER KUPON : 37					
SAMMELURKUNDE (J/N): J		AUSLIEF-VORG: 1		AUSLIEFERUNG RU (J/N): N	
				ABW-VERSANDADR (J/N): N	
BEARB-STATUS: 703 ZUWEISUNG ABGESCHLOSSEN					
DISPO-STATUS: 2 STUECKE-DISPOSITION DURCHGEFUEHRT					
NAME :					
STRASSE :					
LAND/PLZ/ORT:					
AN ADRESS-NR: BIC-CODE:					
NAME :		COMMERZBANK AG W/FRANKFURT U. XET		PLZ/GROK: 60261	
ZTB S 2.11 KONTOABSTIMMUNG/DEVISE					
NAMENSZUSATZ:					
STRASSE :		MAINZER LANDSTRASSE 277-293			
PLZ/POSTFACH: 60005 10 05 05					
LAND/PLZ/ORT: D		60326 FRANKFURT AM MAIN			
HINWEISTEXT :					
ANZ		NOM-URK		ANZ	
2		2.000.000		NOM-URK	
TEXT:					
VERSICHERUNGSWERT:		233.334.000,00		POST-WERTANGABE:	
ANZ-SENDUNG: 1		GEBUEHREN-BERECHNUNG: J			
SENDUNGS-GRUND :					
DRUCK ZU AUFTRAGS-NR:		940002		SEITE: 1.....	
ORD-NR: /		SAMMEL-NR: 1065		NOMINALE-SAMMEL: 2.000.000	
NACHWEISART: 1		EINLIEF. EFF. URK.			
ORD-NR: /		SAMMEL-NR: 1066		NOMINALE-SAMMEL: 2.000.000	
NACHWEISART: 1		EINLIEF. EFF. URK.			

Figure 4.28: Certificate numbers automatic allocation - page 1

NUMMERNVERZEICHNIS AUS MASCHINELLER STUECKENUMMERNZUWEISUNG				
(GLOBALURKUNDEN)				
AUFTNR: 940002 AUSG-NR: 239012 BUCHUNGS-VALUTA: 04.05.2010				
EINGEBER	AUFTNR	LAST-KTO	WKN	DT.WKN NOMINALE-URK
7004	940002	7004	000	DE0009807016 980701 4.000.000
ORD-NR: / SAMMEL-NR: 1065 NOMINALE-SAMMEL: 2.000.000				
NACHWEISART: 1 EINLIEF. EFF. URK.				
ORD-NR: / SAMMEL-NR: 1066 NOMINALE-SAMMEL: 2.000.000				
NACHWEISART: 1 EINLIEF. EFF. URK.				

Figure 4.29: Certificate numbers automatic allocation - page 1

4.3 Moment of historiography

4.3.1 Deposit

Any delivery processing step will be recorded in history.

4.3.1.1 Online

Processing step:	Processing status:
Control, provided that there is an automatic acceptance or approval of the instruction book.	700
Physical delivery	200
Changes by checkpoints	410, 450, 500
Return to client	30, 70, 150
Booking approval	700
Reversal of booking approval	522, 523
Booking for immediate processing	801, 802, 803, 821
Instruction successfully booked - re-registration locking up pending	800
Change of representation type/or text at the checkpoint	800 - 943
Full reversal	941, 942, 943
Full deletion	921, 922, 923
Full acceptance	821, 822, 823

4.3.1.2 Batch

Processing step:	Processing status:
Transition to CARAD	990
Automatic acceptance /approval/deletion RS	700
Automatic acceptance	821, 822, 823
Book by standard disposition	801, 802, 803, 821
Deletion on CARAD due to KADI	991
Deletion due to redenomination	999
Booking approval cancelled, inconsistencies with CARAD	523

4.3.2 Withdrawal

4.3.2.1 Online

Processing step:	Processing status:
Check (only individual withdrawal instructions and Mark down instructions with automatic release booking	400, 500
Change of booking	150, 200, 300
If no history entry for the instruction is available, both statuses before and after change are historicalised	
Release	400, 500
Booking for immediate processing	590
Control cancelation	220, 320
Return to client	210, 310
Manual allocation incomplete	620
Manual Allocation complete	630
Allocation complete	703
Retrieved from E withdrawal - automatic allocation recalled	720
Retrieved from E withdrawal - manual allocation still in place	730
Delivery by securities withdrawal changed	790

4.3.2.2 Batch

Processing step:	Processing status:
Booking by standard disposition	590
Automatic withdrawal release	410, 510
Rejection in automatic allocation	640
Reallocation automatically processed	993
Deletion of a controlled, but not yet booked instruction because of redenomination	999

4.4 Historical data

4.4.1 Deposit/Withdrawal

In addition to pure instruction data, information from the master data is entered in the deposit history if it is necessary for full views or online printouts. As a result, no current master data or captions have to be applied for displaying the historical instructions which may no longer exist or correspond to the respective instructions due to changes.

The instruction can instead be displayed exactly as it was at the point in time when it was recorded.

4.5 Availability of history/historiography

On the part of CFS was made a requirement that the historical data must be available online at least for 30 business days.

In addition, for reasons of consistency with the online availability of movements history entries, also the deposit records are stored at least for six months.

The experience in the delivery history has shown that this period is sufficient for the vast majority of questions/tests. For earlier research can be used on the digital number ledger "DNB" or microfiche.

Analogous to the withdrawal history are also historical records of deposits, which are older than six months, every six months (April/October) are historicised and deleted from the history and inventory.

The historiography occurs in both types of instructions in the format of the full instruction.

In addition, the data is also made available via file transfer for the Vaults department.

A. Appendix

A.1 Transactions/functions

TRAN	Code	Function
INFORMATION-URKUNDENBESTAND (INFORMATION CERTIFICATE POSITIONS)		
KCKI	IH	Information certificate positions
KCKI	IS	Certificate number search
AUFTRAGS-HISTORIE (ORDER HISTORY)		
KPHI	HE	Deposit history
KPHI	HA	Withdrawal history
KPHI	HO	Consignment history instrument without documents (for example, LSV/BSV)
REPORTING		
KCSL	AG	List request for all positions See KCLS Manual .
KCSL	AH	List request for working stock See KCLS Manual .
KCSL	AK	List request for client account See KCLS Manual .
KCSL	AE	List request for current single list See KCLS Manual .
KCSL	AC	List request for current CSV file including piece numbers See KCLS Manual .
KCSL	EM	List request for current Current Inventory Evaluation EBI; See KCLS Manual .
KCSL	AV	List request for current Changes Framework Certificates See KCLS Manual .
KCSL	ED	Enter Duration Requests See KCLS Manual .
KCSL	ID	Duration Request Information See KCLS Manual .
KCSL	AD	Duration Request Changes See KCLS Manual .

A.2 Certificate positions field description

Field on the screen	Meaning/explanation	Format	Input
BESONDERHEIT-STK or BES-STK	Certificate-specific characteristic • for individual certificates • for global certificates	3-digit numerical	- optional
Value range	The characteristic attributed to the deposit of individual or global certificates, which differs from securitisation of the entire security. A 35-character explanatory text is also displayed on the screen "Stücknummernsuche" (Certificate number search). See Table of certificate-specific characteristics [(CKC9T03)] on page A -8		
EINLIEF-GRUND (DEPOSIT REASON)	Deposit reason	1-character numerical	
	Deposit reason from the deposit order		
ERSATZSTUECK (REPLACEMENT CERTIFICATE) or E	Replacement certificate	1-character alphanumerical	-
Value range	This field provides information as to whether the certificate is a replacement or reprint certificate. Corresponding certification is enclosed with reprint certificates. If no mark is present, then the original certificate is concerned. "E" = Replacement certificate "Blank" = Not a replacement certificate - original certificate		
FC	Function code	2-character alphanumerical	required
	The function code for the desired activity must be entered here. The user can make a selection in the displayed menu or enter a known function code (expert access), see Transactions/functions on page A -1.		
GES-RAHMEN-NOM (TOTAL UP-TO NOMINAL)	Total up-to nominals	12-digit numerical	-
	The sum of the up-to nominals of all existing global certificates (up-to) of a security for the CARAD custody type in the existing CARAD positions is determined and displayed.		
GES-NOM-OFFENE (TOTAL PENDING NOMINAL)	Total pending nominal	12-digit numerical	-
	The difference between the up-to nominal and validated nominal (collective nominal) is shown on the tabular overview KCKI/IH and the detailed display. For the readout on the tabular overview, the difference is calculated from the sum of the Up-To nominal less the sum of the nominal for all global certificates less the sum of the dispositive nominals less the assigned nominals. On the screen of the individual certificates, the difference is calculated from the up-to nominals minus nominals of the certificates minus dispositive nominals.		
HINTERLEG.ART (deposit type) or HINTERLEGUNGS-ART	Deposit type		
	• Vault type	1-character alphanumerical	required
	• Custody type CARAD	2-digit numerical	required
Value range	• Text	35-character alphanumerical	-
	The first 1-character field contains the vault type. This defines whether it concerns a Mantel (corpus) vault, Bogen (coupon sheet) vault or Unikatetresor (single sheet vault). The CARAD custody type is in the 2nd field. This provides information on how the certificates are deposited with CEU. An explanatory text is displayed for the CARAD custody type. For reasons of space, there is only a 16-character display of this on some screens. See Table for deposit type/custody type [(CKC9T05)] on page A -9		

Field on the screen	Meaning/explanation	Format	Input
ID-KZ (ID)	Identification indicator	10-digit numerical	required
	When logging on in the dialogue, this field must be entered with the personal identification indicator.		
MERKMAL (CHARACTERISTIC)	Characteristic mark:		
	• Corpus/single sheet	1-character alphanumerical	-
MERKMAL SAMMELURKUNDE (CHARACTERISITC GLOBAL CERTIFICATE)	• Coupon sheet	1-character alphanumerical	-
	The KZ-MERKMAL (CHARACTERISTIC MARK) specifies whether certificates with characteristics exists for a processing unit or whether a global certificate has characteristics. The content of the first field concerns the corpus/single sheet vault (M/U). The content of the second field refers to the coupon-sheet vault (B). Characteristics, which apply to both vaults (replacement certificate, certificate-specific characteristic, divergent security designation and stop order) are displayed in both fields. The readout occurs based on a defined priority (see value range, "0" has the highest priority). This also means that certificate-specific characteristics may be contained which have a higher priority. If certificate numbers are only maintained in one of the vaults (M/U or B), then the field for the other vault is displayed as "blank". With the information: Both of these fields provide information on the characteristics of the certificates (individual or collective certificates).		
Value range for individual certificates	leer (blank)	No certificates present	
	-	No characteristics	
	0	Blocked certificate(s) (may also be M, E or N, B, G and K)	
	M	Lack certificate(s) (may also be E or N, B, G and K)	
	E	Replacement certificate(s) (may also be B, G and K)	
	B	Certificate-specific characteristic(s) (may also be G, K and N)	
	G	Divergent security designation (may also be K and N)	
	K	Coupon with divergent certificate number (may also be N). This indicator is only relevant for the coupon sheet vault.	
	N	Reprint certificate	
	Examples:		
	M/U B		
	0 0	Stop order in place.	
		Applies for corpus/single sheets and coupon sheet	
	M -	Lack certificate(s) present in the corpus/single sheet vault (may also be E, B, G and K). No characteristics in the coupon sheet vault	

Field on the screen	Meaning/explanation	Format	Input
	E M	Replacement certificate(s) present in the corpus/ single sheet vault (may also be B, G and K). Lack certificate(s) present in the coupon sheet vault. (may also be E, B, G and K).	
Value range for global certificates	leer blank	No certificates present	
	-	No characteristics	
	O	Blocked certificate(s) (may also be B and G)	
	B	Certificate-specific characteristic(s) (may also be G)	
	G	Divergent security designation	
	M/U B		
	B	Certificate-specific Characteristic present	
Examples:	O	stop order. (may also be B and G)	
LIT	Literal for the denomination	2-character alphanumerical	optional
	The literal for the denomination is entered and/or displayed in this field. (also see field characteristics)		
MANGEL (LACK) or Mangel	Lack	3-digit numerical	-
Value range	If a lack is entered or a stop order exists for a certificate number, the corresponding key is displayed here. An additional 35-character explanatory text is displayed during the certificate number search. See annex: Table for lack reason (stop order and lack) (CKC9T08) For all other global certificates: The nominal value of the global certificate is displayed in this field		
NOMINALE- DISPOSITIV (NOMINAL ANTICIPATED)	Dispositive nominal	12-digit numerical	
	Contains the order nominal for valuation as long as the order has not yet been transferred to CARAD.		
NOMINALE-OFFEN (PENDING NOMINAL)	Pending nominal yet to be valuated	12-digit numerical	
	The difference between the up-to nominal and validated nominal (collective nominal) is shown on the tabular overview KCKI/IH and the detailed display. For the readout on the tabular overview, the difference is calculated from the sum of the Up-To nominal less the sum of the nominal for all global certificates less the sum of the dispositive nominals less the assigned nominals. On the screen of the individual certificates, the difference is calculated from the up-to nominals minus nominals of the certificates minus dispositive nominals.		
NOM-SAMMEL (NOMINAL GLOBAL CERTIFICATE)	Global certificate nominal	12-digit numerical	
	The GLOBAL CERTIFICATE NOMINAL indicates the nominals securitised by a global certificate. This is displayed without decimal places if the content is "zero". For global certificates the valuated part of the Up-To nominal is entered in this field. For all other global certificates: The nominal value recorded on the global certificate is entered in this field.		
OPPO GRUND (STOP ORDER REASON)	Stop-order reason	3-digit numerical	-

Field on the screen	Meaning/explanation	Format	Input
Value range	If the certificate entered has a stop order, the corresponding key is displayed in this field. See Table for lack reason (stop order and lack) [CKC9T08] on page A -9.		
ORD-NR (ORG NUMBER)	Organisation number	6-digit numerical	optional
	[see ORD-/SAMMEL-NR]		
ORD-/SAMMEL-NR (ORG/COLLECTIVE NUMBER)	Organisation number	6-digit numerical	optional
	Global certificate number	6-digit numerical	-
	Organisation number: The internal number of the issuer that is contained in the collective certificate (technical collective certificate, scrip, interim global certificate or permanent global certificate) is to be entered in this field.		
	Collective number: All collective certificates are provided by the system with a consecutive number, which is unique within a WKN. Collective numbers that become free as a result of the removal are initially not reassigned.		
PW	Password	8-digit numerical	required
	The personal password must be entered in this field.		
RAHMEN-NOMINALE (UP-TO NOMINAL)	Up-To nominal	12-digit numerical	-
	The Up-To nominal is the nominal of a global certificate (up-to) that represents the limit for the mark up of a global certificate (up-to). There may be multiple global certificates (up-to) within a security. The total for the Up-To nominals in a security for one location mark and CARAD custody type is displayed in the field GES-RAHMEN-NOM.		
SAMMEL-NR (COLLECTIVE NUMBER)	Collective certificate number (see ORD-/SAMMEL-NR)	6-digit numerical	-
SAMMELURKUNDE (J/N) (GLOBAL CERTIFICATE)	Global certificate (yes/no)	1-character alphanumeric	required
	Value range The entry in this field is not taken into account for further processing for securities, which are only deposited at CEU as individual or only as global certificates. For securities, where individual and global certificates are possible, the entry in this field is decisive (global certificate group "Technical global certificates" and for a transitional period, also "scrips" and "IGL"). For entry: This field indicates whether the certificate is a global certificate. On the selection screens: The entry in this field determines whether only the global certificates are considered in the analysis ("Y") or whether the global certificates are excluded ("N"), meaning that only individual certificates are considered.		
Preset	No preset		
SB	Search term	56-character alphanumeric	optional
	The entries from the selection screen are displayed in this field, whereupon "#" is a delimiter for the individual fields. The content can be overwritten. The entries (for the selection) may be directly entered in this field (expert access).		
SEITE (PAGE)	Page	3-digit numerical	-
ST	Global certificate status	1-character alphanumeric	
	The status provides information on the current status of the global certificate		

Field on the screen	Meaning/explanation	Format	Input
	T K Z	Partially entered Verified Assigned	
STATUS	Status indicator: • Code • Text	3-digit numerical 15-character alphanumerical	optional -
Value range	The status provides information on the current status of the certificate number in the positions. It is updated by the computer. Currently all certificate numbers are entered as KONTROLLIERT (VERIFIED). Global certificates are marked as TEILERFASST (PARTIALLY ENTERED) until all certificate numbers have been entered. The certificates themselves are entered with the status KONTROLLIERT (VERIFIED). If the nominal of the entered securities corresponds to the entered nominal, the status of the global certificate is set to KONTROLLIERT (VERIFIED). Global certificates, for which certificate numbers are not mandatory, are first saved under the status KONTROLLIERT (VERIFIED). If certificate numbers are entered subsequently, the procedure is the same as above. The status can be entered in the selection screens in order to select the certificate numbers for a certain status. An explanatory text is displayed for the key in the information.		
	200	TEILERFASST (PARTIALLY ENTERED) Not all certificate numbers for the global certificate have been entered. (Only possible for global certificates)	
	500	KONTROLLIERT (VERIFIED) Verified certificate number	
	562	KONTR. W/MAN ZUWEISUNG GESP (VERIFIED WITH MAN ASSIGNMENT BLOCKED) Verified, blocked certificate number due to manual assignment to a withdrawal order	
	563	KONTR W/MASCH ZUWEISUNG GESP. (VERIFIED W/AUTOMATIC ASSIGNMENT BLOCKED) Verified, blocked certificate number due to automatic assignment	
	Only possible as entry in the selection screen:		
	leer (blank)	ALL All certificate numbers	
STUECKEART (SECURITIES TYPE)	Securities type: • Code • Text	3-digit numerical 20-character alphanumerical	- -
Value range	The type of certificate printout is indicated by this key. The key and text are determined from WSS (TAB-G20) and displayed. See WSS Table: Sonderheiten-Stückeart (characteristics certificate type) (TAB G20) on page A -20.		
STUECKELUNG (DENOMINATION)	Denomination • Literal • Denomination	2-character alphanumerical 12-digit numerical	optional required for entry

Field on the screen	Meaning/explanation	Format	Input
	The first two offset positions are for entering the literal (also see Feldbesonderheiten Stückenummern). The denomination must be entered in the second field (share of nominal amount of the issue). The nominal is entered in this field for certificates without certificate numbers.		
STUECKE- NUMMERN (CERTIFICATE NUMBERS)	Certificate numbers	79-character alphanumeric or 58-character alphanumeric	required
(VERBRIEFTE URKUNDEN) (SECURITISED CERTIFICATES)	- Individual certificates - Global certificates	52-character alphanumeric	
STUECKENUMMER (CERTIFICATE NUMBER)	Certificate number	30-character alphanumeric	required
	For the information: Display of the certificate numbers in the continuous text including delimiters (n times 72 positions); in the certificate characteristic screen (n times 58 positions) and for global certificates (n times 52 positions). In the selection screen: Information online: (30-character) The certificate number in the search is entered in this field (also global numbers, for example 1/20).		
VERWAHRMOEGL/ ART oder VERWAHR- MOEGL: (CUSTODY OPTION/ TYPE or CUSTODY OPTION)	Custody option/custody type	3-digit numerical 20-character alphanumeric	- -
	This field describes the certificate type deposited at CEU for the respective ISIN. There is a 3-character keyword and a 20-character explanatory text. Both values are obtained from WSS (table G16). The field is related to the field SECURITIES TYPE. In some screens, the explanatory text is shortened to 16 characters. See WSS Custody Option [TAB G16] on page A -17		
WKN	Securities identification number	1-character alphanumeric 12-character alphanumeric 35-character alphanumeric	required required -
	The WKN is specified in the first 1-character field. This is always an "I" (ISIN) with CARAD. The mark for the securities security is entered in the second field. The field in the screens comprises 12 characters in order to allow entry of the ISIN. The WKN-Bezeichnung (Securities description) is automatically obtained from WSS and displayed. This may not be displayed in some screens for space reasons.		

A.3 Code table specifications

A.3.1 CARAD code tables

A.3.1.1 Table of certificate-specific characteristics ((CKC9T03)

Code	Explanation
1	NORMALER BLOCK (Normal block package)
2	BOGENLOS (No coupon sheet)
3	NUR MANTEL, KEIN BOGENAUSDRUCK (Corpus only, no coupon sheet printout)
4	EINZELURKUNDE, MANTEL/GLOBALBOGEN (Individual certificate, corpus/global coupon sheet)
5	MANTEL, BOGEN, ZESSION (Corpus, coupon sheet, assignment)
6	MANTEL, TALON, ZESSION (Corpus, talon, assignment)
7	BLOCK MANUELL ERFASST (block package entered manually)
8	BLOCK AUS HANDBESTAND (Block package from working stock)
14	M + B GETRENNT (Corpus + coupon sheet separated)
15	NUR MANTEL (Corpus only)
16	UNIKAT (Single sheet)
17	UNITS
18	CF- UND K-STUKKEN (CF AND K CERTIFICATES)
19	CF-STUKKEN (CF certificates)
20	TECHN.GLOBALURK. M.BOG. (MAN.ERST.) (Technical global certificate with coupon sheet (manual initial entry))
21	TECHN.GLOBALURK. O.BOG. (MAN.ERST.) (Technical global certificate without coupon sheet (manual initial entry))
22	TECHN.GLOBALURK. M.BOG. (MAN.ERST.) (Technical global certificate with coupon sheet (manual initial entry))
23	TECHN.GLOBALURK. O.BOG. (LIEFERBAR) (Technical global certificate without coupon sheet (available))
24	MIT BOGEN (with coupon sheet)
25	OHNE BOGEN (without coupon sheet)
26	JGS OHNE BOGEN (Scrip without coupon sheet)
27	FESTSCHREIBUNG (Locking up)
28	NUR BOGEN (Coupon sheet only)
29	MANTEL,ZESSION (Corpus, assignment)
30	BOGEN, ZESSION (Coupon sheet, assignment)
31	MANTEL,BOGEN,ZESSION,ABTRETUNG(en) (Corpus, sheet coupon, assignment, assignment(s))
32	MANTEL,ZESSION,ABTRETUNG(EN) (Corpus, assignment, assignment(s))
33	BOGEN,ZESSION,ABTRETUNG(EN) (Coupon sheet, assignment, assignment(s))
34	ZESSION,ABTRETUNG(EN) (assignment, assignment(s))

Code	Explanation
35	ZESSION (ASSIGNMENT)
36	ABTRETUNG(EN) (Assignment(s))
37	MIT GEWINNANTEILSSCHEIN (With coupon)
38	MÖGLICHER BEZUG VON URKUNDEN (Possible subscription to certificates)
50	NICHT VALUTIERT (Not validated)
97	UMDEUTUNG GU/RU (REINTERPRETATION OF GC)
98	REINTERPRETATION DUE TO 670

A.3.1.2 Table for deposit type/custody type (CKC9T05)

*WORKING STOCK: VERWAHRART-CARAD (CARAD custody type)

Code	Explanation
1	GS (collective safe custody)
3	GS VORRATSL. BANK (collective safe custody specialised deposit bank)
10	HAUSSAMMELVERWAHRUNG (in-house collective custody; not used anymore)
20	LAGERSTELLE (depository)
22	TREUHAND CEU (trustee CEU)
30	FREMDTRESOR (Third party vault)
40	EDELMETALL (precious metal)
41	EDELMETALL VORRATSLAGER (precious metal storage)
92	DOKUMENTENVERWAHRUNG (document safe custody)

A.3.1.3 Table for lack reason (stop order and lack) (CKC9T08)

WSS code	WM code	Lack reason
OPPOSITION (stop order)		
0		Not specified
1	A	Public notice
2	B	Public notice, payment block
3	C	Cancellation public notice
4	D	Theft/burglary
5	F	from a foreign stopping list
6		From the international list of blocked securities
7	K	Cancellation Aktiengesellschaft (joint stock corporation)
8	L	Cancellation of notice of loss
9	M	Cancellation of a public notice
10	N	Cancellation of a payment block
11	O	Cancellation of a notice and a payment block
12	T	Complete forgery possible

WSS code	WM code	Lack reason
13	V	Loss, no information provided
14	X	Loss in the mail
15	Z	Payment block
16	W	Loss
17	U	Complete forgery possible
18	P	Public notice
19	Y	Payment block
20	Q	Public notice/payment block – exchange
21	R	Cancellation, public notice
22	S	Cancellation of a public notice and a payment block
23		From the international list of blocked securities
24	G	from a foreign stopping list
25	E	see text information
26	H	Cancellation according to foreign law
27	J	Cancellation according to foreign law (replacement certificates have been issued, certificate numbers remain blocked)(Ersatzurkunden sind ausgestellt, Stückenummern bleiben gesperrt)
28	I	Notice period expired, no exclusory judgement (certificate numbers remain blocked)
29	1	Inclusion in the new ISIN/WKN
LACK		
51		Old certificates with literal
52		Corruption of custody data
53		Damage to control or trustee signatures
54		Coupon damaged
55		Certificates, which cannot be delivered, with deposit benefiting foreign central depositories
56		Roll over with stamp
57		Sealed
58		Stapled
61		Coupon-sized punch outs
62		Tears such that the guilloches are damaged
63		Rips and cuts beyond the middle of the certificate
64		Registered certificates
70		deposit not reasonable
71		Certificate number deviating from the certificate
72		Certificate number deviating from the coupon sheet
81		Physical corpus/global coupon sheet

WSS code	WM code	Lack reason
82		Global corpus/physical coupon sheet
83		Liability statement of depositor
91		Liability statement of CEU

A.3.2 D/W code tables

A.3.2.1 Table: AUFTRAGSART (ORDER TYPE)

DESCRIPTION

Order type is a fixed form of instruction to the securities depository, for example, a withdrawal.

Screen	Text	Meaning
01	WP-UEBERTRAG/REPO-AUFTRAG (securities transfer/repo-order)	Securities transfer carried out free of and against payment / Repo-order against payment
02	MATCH-INSTR /REPO-INSTRUKTION (matching-instruction /repo-instruction)	Matching-instruction /Repo-instruction
03	SV-UEBERTRAG (SV TRANSFER)	BSV/LSV transfer
04	VERPFAENDUNG (PLEDGE)	Pledge
05	APPROVAL	Approval of pledges/collateral
07	UMTAUSCH (EXCHANGE)	GBC exchange
09	RUECKTAUSCH (RE-EXCHANGE)	GBC re-exchange
10	LIEFERBESTAND (DELIVERY BALANCE)	Delivery balance (stock exchange transactions)
11	WP-LEIHE (Securities assignment)	Securities assignment order
12	WPL-RUECKFUEH (Securities assignment repayment)	Securities assignment repayment
13	KADI-SONDPRO (Corporate actions special commission)	Proceeds from corporate actions special commission
14	STRIP-AUFTEILUNG (STRIP SPLIT)	Splitting of a bond with warrant (cum) into a corpus and individual interest coupons
15	STRIP-ZUSAMMENFUHRUNG (Strip merger)	Merger of a corpus and individual interest coupons into a bond with warrant (cum)
16	EINLIEFERUNG (Deposit)	Deposit
17	OPTIONSSCHEIN- TRENNUNG (Warrant split)	Splitting of bonds with warrants (cum) into a bond without warrant ex bond and a simple warrant
18	AUSLIEFERUNG (Withdrawal)	Withdrawal
19	OPTIONSSCHEIN- ZUSAMMENFUEHRUNG (Warrant merger)	Merger of bond without warrant (ex) and warrant into a bond with warrant (cum)
20	RUECK-AUFTRAG (return order)	REPO-return order

Screen	Text	Meaning
21	RUECK-INSTRUKTION (return instruction)	REPO-return instruction
99	STORNO-NACHB (Subsequent cancellation order)	Cancellation/follow-up booking securities account (only CEU allowed)

A.3.2.2 Table: Bearbeitungsstatus Auslieferung (processing status of withdrawal) (CEA9T07)

Code	Explanation
10	AUSLIEFERUNG NICHT VOLLSTAENDIG ERFASST (Withdrawal record incomplete)
100	AUSLIEFERUNG VOLLSTAENDIG ERFASST (Withdrawal record complete)
150	AUSLIEFERUNGSauftrag KONTROLLIERT (Withdrawal order verified)
200	AUSLIEFERUNG IN KPZS VOLLSTAENDIG GEAENDERT (Withdrawal in KPZS changed completely)
210	AUSLIEFERUNG IN KPZS ZUR RUECKGABE GENERIERT (Withdrawal generated in KPZS for return)
220	BUCHUNGSFREIGABE IN KPZS ZURUECKGENOMMEN (Booking release in KPZS withdrawn)
300	AUSLIEFERUNG IN KPZS VOLLSTAENDIG GEAENDERT (Withdrawal in KPZS changed completely)
310	AUSLIEFERUNG IN KPZS ZUR RUECKGABE GENERIERT (Withdrawal generated in KPZS for return)
320	BUCHUNGSFREIGABE IN KPZS ZURUECKGENOMMEN (Booking release in KPZS withdrawn)
400	AUSLIEFERUNG ZUR BUCHUNG FREIGEgeben (Withdrawal for booking released)
410	ABGELEHNT IN DISPOSITION/ZURUECK IN KPZS (Rejected in disposal /back to KPZS)
500	AUSLIEFERUNG ZUR BUCHUNG FREIGEgeben (Withdrawal for booking released)
510	ABGELEHNT IN DISPOSITION/ZURUECK IN KPZS (Rejected in disposal/back to KPZS)
590	AUFTRAG ERFOLGREICH GEBUCHT (Order successfully posted)
610	AUSLIEFERUNG GELOESCHT (Withdrawal deleted)
620	MANUELLE ZUWEISUNG UNVOLLSTAENDIG (Manual allocation incomplete)
630	MANUELLE ZUWEISUNG VOLLSTAENDIG (Manual allocation complete)
640	ABGELEHNT IN MASCHINELLER ZUWEISUNG (Rejected in automatic allocation)
650	AUSLIEFERUNG STORNIERT (Withdrawal cancelled)
700	ALLE SENDUNGEN DURCH EFFEKTEN-AUSGANG AUSGELIEFERT (All deliveries sent by means of a securities withdrawal)
701	NOCH TEILSENDUNGEN OFFEN (Partial deliveries still pending)
702	ALLE SENDUNGEN AUSGELIEFERT, AUFTRAG IST ZU LOESCHEN (All deliveries sent, order must be deleted)
703	ZUWEISUNG ABGESCHLOSSEN (Allocation complete)
720	VOM E-AUSGANG ZURUECKGEN. (Retrieved from securities withdrawal) - MASCH. ZUWEISUNG ZURUECKGENOM. (Automatic allocation recalled)
730	VOM E-AUSGANG ZURUECKGEN. (Retrieved from securities withdrawal) - MAN. ZUWEISUNG NOCH VORHANDEN (Manual allocation still in place)

Code	Explanation
750	KEINE AUSLIEFERUNG DURCH EFFEKTEN-AUSGANG ERFORDERLICH (No delivery by securities withdrawal necessary)
790	AUSLIEFERUNG DURCH EFFEKTEN-AUSGANG GEAENDERT (Delivery by securities withdrawal changed)
791	ENDBEARBEITETE AUSLIEFERUNG DURCH EFFEKTEN-AUSGANG GEAENDERT (completely processed delivery by securities withdrawal changed)
792	HISTORISCHE AUSLIEFERUNG IN KPHI GEAENDERT (Historical withdrawal in KPHI changed)
993	UMLEGUNG AUTOMATISCH ENDBEARBEITET (Reallocation automatically processed)
999	LOESCHUNG WG. REDENOMINATION (Deletion due to redenomination)

A.3.2.3 Table: Bearbeitungsstatus Einlieferung (processing status of deposit) (CEA9T04)

Code	Explanation
10	EINLIEFERUNG TEILERFASST - ZU WENIG STUECKE (deposit entered in part – insufficient certificates)
30	EINL. Z. RUECKGABE GENERIERT, ZU WENIG STUECKE (deposit for return generated, insufficient certificates)
50	EINLIEFERUNG TEILERFASST - ZU VIELE STUECKE (deposit entered in part – too many certificates)
70	EINL. Z. RUECKGABE GENERIERT, ZU VIELE STUECKE (deposit for return generated, too many certificates)
100	EINLIEFERUNG VOLLSTAENDIG ERFASST (deposit entry complete)
150	EINLIEFERUNG ZUR RUECKGABE GENERIERT (deposit for return generated)
200	EINLIEFERUNG ANGENOMMEN (deposit accepted)
410	EINLIEFERUNG GEAENDERT - ZU WENIG STUECKE (deposit changed - insufficient certificates)
450	EINLIEFERUNG GEAENDERT - ZU VIELE STUECKE (deposit changed - too many certificates)
500	EINLIEFERUNG VOLLSTAENDIG GEAENDERT (deposit changed completely)
522	BUCHUNGSFREIGABE ONLINE ZURUECKGENOMMEN (booking release recalled online)
523	BUCHUNGSFREIGABE ZURUECKGENOMMEN, INKONSISTENZEN MIT CARAD (booking release recalled, inconsistencies with CARAD)
550	TEXTINFORMATION ZUM AUFTRAG BEARBEITET (text information of order processed)
700	EINLIEFERUNG ZUR BUCHUNG FREIGEgeben (deposit released for booking)
701	ZUSTIMMUNG ZUR EINLIEFERUNG ERTEILT (consent granted for deposit)
710	EINLIEFERUNG VON EXPERTEN FREIGEgeben (deposit released from experts)
800	AUFTRAG ERFOLGREICH GEBUCHT – UM-/FESTSCHREIBUNG AUSSTEHEND (order successfully booked – re-registration/locking up pending)
801	MANTEL-/UNIKATETRESOR HAT NICHT VEREINNAHMT, KEIN GEGENTRESOR (not received by corpus/single sheet vault, no counter vault)
802	BOGENTRESOR HAT NICHT VEREINNAHMT, KEIN GEGENTRESOR (not received by coupon sheet vault, no counter vault)

Code	Explanation
803	MANTEL-/UNIKATE- UND BOGENTRESOR HABEN NICHT VEREINNAHMT (not received by corpus/sheet and coupon sheet vault)
811	MANTEL-/UNIKATETRESOR HAT VEREINNAHMT, BOGENTRESOR NICHT (received by corpus/single sheet vault, not received by coupon sheet vault)
812	BOGENTRESOR HAT VEREINNAHMT, MANTEL/UNIKATETRESOR NICHT (received by coupon sheet vault, not received by corpus/single sheet vault)
821	MANTEL-/UNIKATETRESOR HAT VEREINNAHMT, KEIN GEGENTRESOR (received by corpus/single sheet vault, no counter vault)
822	BOGENTRESOR HAT VEREINNAHMT, KEIN GEGENTRESOR (received by coupon sheet vault, no counter vault)
823	MANTEL-/UNIKATETRESOR UND BOGENTRESOR HABEN VEREINNAHMT (received by corpus/single sheet and coupon sheet vault)
911	MANTEL-/UNIKATETRESOR HAT VEREINNAHMT, BOGENTRESOR NICHT (received by corpus/single sheet vault, not received by coupon sheet vault)
912	BOGENTRESOR HAT GELOESCHT, MANTEL/UNIKATETRESOR NICHT (deleted by coupon sheet vault, not deleted by corpus/single sheet vault)
921	MANTEL-/UNIKATETRESOR HAT GELOESCHT, KEIN GEGENTRESOR (deleted by corpus/single sheet vault, no counter vault)
922	BOGENTRESOR HAT GELOESCHT, KEIN GEGENTRESOR (deleted by coupon sheet vault, no counter vault)
923	MANTEL-/UNIKATETRESOR UND BOGENTRESOR HABEN GELOESCHT (deleted by corpus/single sheet vault and coupon sheet vault)
931	MANTEL-/UNIKATETRESOR HAT STORNIERT, BOGENTRESOR NICHT (cancelled by corpus/single sheet vault, not cancelled by coupon sheet vault)
932	BOGENTRESOR HAT STORNIERT, MANTEL/UNIKATETRESOR NICHT (cancelled by coupon sheet vault, not cancelled by corpus/single sheet vault)
941	MANTEL-/UNIKATETRESOR HAT STORNIERT, KEIN GEGENTRESOR (cancelled by corpus/single sheet vault, no counter vault)
942	BOGENTRESOR HAT STORNIERT, KEIN GEGENTRESOR (cancelled by sheet vault, no counter vault)
943	MANTEL-/UNIKATETRESOR UND BOGENTRESOR HABEN STORNIERT (cancelled by corpus/single sheet vault and coupon sheet vault)
990	UEBERLEITUNG NACH CARAD (transfer to CARAD)
991	LOESCHUNG WG. KADI AUF CARAD (deletion on CARAD due to KADI)
992	GELOESCHT WG. T2S REJECTION (deletion due to T2S Rejection)
993	AUFTRAG OHNE CARAD ENDBEARBEITET (order finished without CARAD)
999	LOESCHUNG WG. REDENOMINATION (deletion due to redenomination)

A.3.2.4 Table: EINLIEF-ART (delivery type) (CEA9T01)

Code	Explanation
1	LFD. EINLIEFERUNG (current deposit)
2	NEUZULASSUNG GLOBAL (new admission global)
3	NEUZULASSUNG RU (new admission global certificate (up-to))
4	NEUZULASSUNG VAL. (new admission validated) RU (global certificate)
5	VALUTIERUNG (mark up)
6	NEUZULASSUNG SV (new admission SV)

A.3.2.5 Table: KZ-NACHWEISART (indicator evidence type) (CEA9T05)

Code	Explanation
1	EINLIEF. EFF. URK. (deposit of security certificates)
2	URK. LIEGEN VOR (present)
3	URK. VON DRUCK./EM. (certificate from printing press or issuer)
4	OHNE URKUNDEN (without certificates)
5	EFF. URK. U. ZESSION (security certificates and assignment)
6	UM-/FESTSCHREIBUNG (re-registration/locking up)
7	ZESSION FEHLT (assignment missing)
8	EINLIEF EDT (deposit EDT)
9	EDELMETALL (precious metal)
12	PUBLIC ISSUANCE
13	SCHALTERHALLE (counter hall)
14	SONSTIGES (other)

A.3.2.6 Table: EINLIEF-GRUND (deposit reason) (CEA9T02)

Code	Explanation
1	AUS EMISSION (from issue)
2	KE gegen Einlage (Increase in share capital in exchange for cash contributions)
3	KE-BEDINGT (depending on capital increase)
4	RU ERSTEINLIEF. VNA (GC (up-to) initial deposit)
5	URKUNDENUMTAUSCH (certificate exchange)
6	ERSTBELIEFERUNG (initial delivery)
7	GRATISAKTIEN KE-UNBE (bonus shares capital increase - unknown)
8	SPERRE, REVAL. MOEGL. (Lock, mark down possible)
9	AUS UMICORE
10	DIREKTLIEFERUNG (direct delivery)
11	SPERRE TEMP.URK. TD (Lock Temp.URK. TD)

Code	Explanation
12	SPERRE FINAL.URK TD (Lock Final_URK TD)
13	SHARES, KEINE RS (Shares, Non RS)

A.3.2.7 Table: AUSLIEFERUNGSVERFAHREN (withdrawal procedure) (CEA9T08)

Code	Explanation
1	PER BANKBOTE (via bank messenger)
2	PER CONTAINER (via container)
3	PER WERTPOST (via valuable-goods post)
4	DHL WERTTRANS (DHL transport of valuables)
5	BRINKS WERTTRANS (Brinks transport of valuables)
6	AUSL.WG. KADI (foreign currency KADI)
7	VERNICHTUNG (destruction)
8	STORNO (cancellation)
9	KEINE AUSLIEF. (no withdrawal)

A.3.2.8 Table: KZ-Umlegung (KZ transfer) (CEA9T09))

Code	Explanation
1	(not used anymore)
2	(not used anymore)
3	GS IN FTB
4	FTB IN GS
5	FTB IN FTB
6	UMBUCH. R

A.3.2.9 Table: KZ-AUSLIEF-VORG (WITHDRAWAL PROCESS ID) (CEA9T10)

Code	Explanation
1	AUSLIEFERUNG (Withdrawal)
2	REVALUTIERUNG (mark down)
3	TEILREDUZIER. (partial reduction)
4	AUSLIEFERUNG (Withdrawal)
5	REVAL.M.REDU
6	REDUZ. RAHMEN
7	AUSLIEFERUNG
8	REVALUTIERUNG (mark down)

A.3.2.10 Table: Interne Auftragsart Einlieferung (internal order type deposit) (CEA9T03)

Code	Internal order type (IAA)
1	LFD. EINLIEFERUNG (Current deposit)
2	NEUZULASSUNG GLOBALURKUNDE (securities admission global certificate)
3	NEUZULASSUNG RAHMENURKUNDE (new admission global certificate (up-to))
4	NEUZULASSUNG VALUTIERTE RAHMENURKUNDE (new admission valued global certificate (up-to))
5	VALUTIERUNG MIT AUTOM. BUCHUNGSFREIGABE (validation with automatic book entry approval)
6	VALUTIERUNG (Mark up)
7	NEUZULASSUNG OHNE URKUNDE (new admission without certificate)

A.3.2.11 Table: Interne Auftragsart Auslieferung (internal order type withdrawal) (CEA9T06)

KZ	Internal order type (IAA)
1	AUSLIEFERUNG EINZELURKUNDE (Withdrawal of individual certificate)
2	REVALUTIERUNG (revaluation)
3	AUSLIEFERUNG RAHMENURKUNDE (Withdrawal of global certificate (up-to))
4	REVALUTIERUNG MIT AUSLIEFERUNG RAHMENURKUNDE (markdown with withdrawal of global certificate (up-to))
5	AUSLIEFERUNG STUECKELOSE GLOBALURKUNDE (Withdrawal of global certificate without certificate numbers)
6	AUSLIEFERUNG TECHNISCHE GLOBALURKUNDE (Withdrawal of technical global certificate)
7	TEILREDUZIERUNG (partial reduction)
8	VALUTIERUNG MIT AUTOM. BUCHUNGSFREIGABE (Markup with automatic booking authorisation)
9	REDUZIERUNG RAHMENNOMINALE (Reduction of frame denominations)

A.3.3 WSS code tables

A.3.3.1 WSS Custody Option (TAB G16)

Codes 91 - 99 reserved for internal bank use; there is no assignment of WM implementation of custody possibility in custody type.

WSS/WM	Custody type	Custody type number	Display	Explanation
0				no field entry
1	GS (collective safe custody)	001	JGS BIS ERSCH. (scrip until appearance)	Scrip account until the appearance of the shares
2	GS	001	JGS BIS EINLIEF. (scrip until deposit)	Scrip account, without certificate numbers after deposit of the global certificate(s)

WSS/WM	Custody type	Custody type number	Display	Explanation
3	GS	001	SVG GS	A global certificate for the entire term
5	GS	001	IGL GS	Interim global certificate until the appearance of the shares
6	GS	001	STV	CSC debt ledger – collection of debt ledger outstanding amounts possible
7	GS	001	STV	CSC debt ledger – individual debt ledger debt not possible
8	GS	001	SVG INH.SAMMELZ.DBC (SVG BEARER GLOBAL CERTIFICATE.DBC)	Co-ownership share of bearer global certificate from Deutsche Börse Clearing AG
9	GS	001	GIROSAMMELVERW. (Collective safe custody)	
10	GS	001	NGS (Non collective safe custody)	
11	GS	001	GS, STUECKELOS (CSC, without certificates)	Collective safe custody, only available in the form of CF certificates
12	GS	001	TGL TECHN.GLOBALURK (technical global certificate)	CSC custody technical global certificate (individual certificates not eligible for CSC could be in circulation).
13	GS	001	GS-Verwahrung/direkt (Collective safe custody/ direct)	CSC, Central deposit, Direct deposit
14	GS	001	GS, RAHMENURK.BIS-ZU (Collective safe custody, global certificate (up-to))	Collective safe custody, global certificate (up-to) for the entire term
15	GS	001	GS,INT.RA.URK.BIS-ZU (Collective Safe Custody, International global certificate (up-to))	collective safe custody, interim global certificate (up-to), until the issue of the certificates
16	GS	001	GS, TECHN.GLOBALURK. (collective safe custody, technical global certificate)	(collective safe custody, technical global certificate (up-to))
19	GS	001	MITEIGENTUM SH.CERT (co-ownership share cert)	
20	STR	002	STREIFBANDVERWAHRUNG (jacket custody)	
21	STR	002	STR PER ERSCHEINEN (jacket custody via appearance)	Jacket custody via appearance
22	STR	002	STR, NUR GLOBALURK. (jacket custody, only global certificates)	In-house collective safe custody
23	STR	002	SCHULDBUCHEINTRAGUNG (debt register entry)	Debt register entry, no CSC custody

WSS/WM	Custody type	Custody type number	Display	Explanation
24	STR	002	NUR DEPOTM.EINBUCHG. (only deposit-related entry)	Only entry related to security account (no physical certificates, no global certificates)
40	WPR	003	WPR (LIEFERBAR) (trustee business (deliverable))	Trustee business (shares physically deliverable)
41	AKV	004	DBC-AUSLAND,LIEFERB. (DBC foreign, deliverable)	Security accepted by Deutsche Boerse Clearing AG (physically deliverable)
42	AKV	004	CBL (LIEFERBAR) (CBL (deliverable))	CBL has exchanged global certificate.(physically deliverable)
43	AKV	004	CBL INT.GLOBALUR. (CBL interim global certificates)	CBL in interim global certificates
44	AKV	004	DBC-AUSL,N.LIEFERB.(DBC foreign, not deliverable)	Title accepted in the foreign settlement of Deutsche Boerse Clearing AG (not physically deliverable)
45	AKV	004	CBL PERM.GLOBALUR. (CBL permanent global certificates)	CBL in permanent global certificates (certificates not physically deliverable)
46	AKV	004	DBC-AUSLAND, IGL (DBC foreign IGL)	Foreign settlement of the Deutsche Boerse Clearing AG in interim global certificates
47	AKV	004	DBC-AUSLAND, PGL (DBC foreign PGL)	Foreign settlement of Deutsche Boerse Clearing AG in permanent global certificates
48	AKV	004	DBC-AUSLAND,AUST.GLU (DBC foreign global certificates)	Foreign settlement of Deutsche Boerse Clearing AG, global certificates were exchanged
49	WPR	003	WPR (NICHT LIEFERBAR) (trustee business (not deliverable))	Wertpapierrechnung (Stücke n. effekt. lieferb.) Trustee business (shares not physically deliverable)
50	AKV	004	NEW LOOK GLOBAL NOTE	New look global note (NGN)
88	STR	002	SONSTIGE (miscellaneous)	(Indices, Derivate etc.) (indexes, derivatives etc.)
91	STR	002	HAUS-SAMMELVERWAHR. (internal collective safe custody)	for interim WKN
92	STR	002	STREIFBAND (jacket custody)	for interim WKN
93	WPR	003	WERTPAPIER-RECHNUNG (trustee business)	for interim WKN
96	GS	001	DBC-EING. GS-IGL- (DBC deposit collective safe custody IGL)	for interim WKN

WSS/WM	Custody type	Custody type number	Display	Explanation
97	GS	001	DBC-EING. GS (DBC deposit collective safe custody)	for interim WKN
98	GS	001	DBC-EING. GS-SVG (DBC deposit collective safe custody SVG)	for interim WKN
99	AKV	004	INTERNE WKN-AUSLAND (internal WKN foreign)	for interim WKN

A.3.3.2 WSS Table: Sonderheiten-Stückart (characteristics certificate type) (TAB G20)

Value	Display	Explanation
0		No field entry
1	M + B GETRENNT (M + B separated)	Certificate and coupon-sheet separate
2	NUR MANTEL (Certificate only)	Securities without coupon sheet (only certificate)
3	UNIKAT (Single sheet)	Certificate and coupon-sheet = 1 share
4	NUR ERTRAGSSCHEIN (only dividend coupon)	Only dividends or interest coupon
5	NUR BOGEN (Coupon sheet only)	Only coupon sheet
6	NUR TALON (only talon)	Only talon/renewal coupons
7	ZWISCHENSCHINE (temporary certificates)	Temporary certificates (authorisation coupons, scrips)
8	UNITS	Units
9	SONSTIGES (miscellaneous)	Miscellaneous
11	REG-KUP-O-REG-BUCH (Registered coupon or register)	Registered or coupon (bearer) shares, respectively, or registered or book-entry shares, respectively (positions-related = code) 1,2,3
12	BEARER/REGISTERED	Bearer/Registered as to Principal
13	BEARER/RECORDED	Bearer or recorded share
15	CF- UND K-STUKKEN (CF AND K CERTIFICATES)	CF and K certificates
16	CF-STUKKEN (CF certificates)	CF certificates (certificate deliverable, coupon-sheet in central custody)
17	REGISTERED/BEARER	Registered/Bearer

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