

# **Vestima Reporting Application Form for Report Receiver**

**Reporting Application Form**

This Vestima Reporting Application Form (hereafter "RAF") is entered into between:

who operates as Report Receiver (hereafter "RR");

and Clearstream Fund Centre S.A., a *société anonyme* incorporated under the laws of the Grand Duchy of Luxembourg, having its registered office at 42 Avenue J.F. Kennedy, L-1855 Luxembourg and registered with the Trade and Companies Register of Luxembourg under number B261691, who operates as Market Infrastructure Provider (hereafter "MIP"); individually referred to as a "Party" and together "the Parties".

Date

The purpose of this RAF is to define

New RR

Amendment to the RAF dated

**Vestima participant set-up**

The RR requests the MIP to set-up the following Vestima participants under the Governing Documents of the MIP:

Participant id 1

*(assigned by the MIP)*

Function/funds covered

Participant id 2

*(assigned by the MIP)*

Function/funds covered

Master participant<sup>1</sup> id

*(assigned by the MIP)*

MIP internal reference

*(assigned by the MIP)*

<sup>1</sup> This simplifies on-line access to multiple Vestima participants, and requires special arrangement with the MIP.

**File Transfer**

Type of File Transfer installation

New installation, information from the File Transfer application form<sup>2</sup>

Company name

Date of signature

Existing installation

File Transfer user id (ou or DN)

Variant            via Internet

                      via SwiftNet FileAct

**CFS Portal access via internet browser**

Type of Internet browser log-in

CFS Portal common access<sup>3</sup>

New installation, information from the CFS Portal application form<sup>2</sup>

Company name

Date of signature

Existing installation

Existing Organisational Unit (OU)

<sup>2</sup> For new installations of CFS Portal and/or File Transfer, application forms are available on the MIP's website.

<sup>3</sup> Please provide name and address of the CFS Portal Initial Administrators in the technology contacts section.

**Reporting**

Vestima participant id for reports *(assigned by the MIP)*

Report direct to appointed fund agent      Yes      No<sup>4</sup>

Preferred method of retrieval      Browser      File Transfer<sup>5</sup>

Swift address (BIC) for transparency of transactions report<sup>6</sup>

Include CEU accounts in reporting      Yes<sup>7</sup>      No

Report request(s), please note that some of the following services are specified in the MIP's fee schedule.

Transparency of holdings<sup>8</sup> for institution (Dep/TA) *(assigned by the MIP)*

Version      XML      Express (CSV)

To be generated on the      5<sup>th</sup>      10<sup>th</sup>      last business day(s) each month

Transparency of transactions<sup>9</sup>, select one or more transaction types

Secondary market

Primary market, transactions settled against the FIA

Corporate actions related

Fund management reporting service (FMRS)<sup>10</sup>, with daily and monthly frequencies and daily granularity

Standard package:

- Statement of holdings including Zero Position
- Statement of transactions including Euroclear Bank accounts

Statement of holdings

Statement of transactions

Statement of orders

Other subscription options as specified in attached documentation

<sup>4</sup> When selecting No, an officially appointed agent shall provide a Power of Attorney. Not relevant to the published fund list.

<sup>5</sup> Report retrieval using File Transfer is offered as a supplement and browser retrieval is always possible.

<sup>6</sup> The alternative retrieval method is File Transfer.

<sup>8</sup> Transparency of holdings reports may include information supplied by the MIP's clients and/or other third parties ("Subaccount Information"). The MIP shall ensure that any Subaccount Information is accurately reproduced. The MIP is otherwise not responsible for any Subaccount Information.

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<sup>9</sup> Requires CFF documentation.

<sup>10</sup> Requires either CFF documentation or FMRS contract.

**Billing**

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

Account number

Account owner<sup>11</sup>

VAT number

Billing address

Company

Name

Address 1

Address 2

Telephone

Use of the MIP's billing portal

Yes

No

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

**RR operational contacts**

First operational contact for day-to-day operations, enquiries on individual reports

Company, if not RR

Name

Telephone

Email

Second operational contact for day-to-day operations, enquiries on individual reports

Company, if not RR

Name

Telephone

Email

Operational management, first-level escalation

Company, if not RR

Name

Telephone

Email

<sup>11</sup> Please provide a Power of Attorney if the RR is not the owner of the account.

**RR technology contacts<sup>13</sup>**

## Business contact person

Name

Title

Email

## Technical contact person

Name

Title

Email

## CFS Portal Initial Administrator (1)

Name

Telephone

Email

## CFS Portal Initial Administrator (2)

Company, if not RR

Name

Telephone

Email

**RR management contacts**

## Relationship management

Company, if not RR

Name

Telephone

Email

## Project management

Company, if not RR

Name

Telephone

Email

<sup>13</sup> For information only. Please refer to the CFS Portal application form and to the File Transfer via Internet application form.

Signed for and on behalf of the RR.

Date

Authorised signature

Name

Title

CFCL Vestima RAF.docx