

Order form lists

25 Registration and delivery KCSL

Please send the completed form to
connect@clearstream.com

Phone: +49-(0)69-211-11590

Please choose:

Please choose:

Client (account holder)

Company name

Functional contact person (first name and surname)

Phone

Email

Technical contact person (first name and surname)

Phone

Email

Client's CEU account no.

Client's additional CEU account numbers

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Technical receiver's CEU account no.

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

Connectivity channel for the delivery of the KCSL lists via CEU File Service

{internJ%66%51}

Connectivity tool used

☐

Connect: Direct

☐

NJE

☐

WebzOS

Address of the technical receiver:

Date

Two signatures of the client and names in printed characters

Subscription to lists of securities held in collective safe custody

Requesting securities lists via the KCSL application in CARAD

Clients may subscribe to lists of their securities holdings via CARAD, CEU's main system for the administration of securities numbers. The lists will be provided the next day for processing. Clients can download the requested lists in [Xact Web Portal](#) in the menu Reporting & Monitoring / CEU File Service / Download Reports under the name "Anforderungs Daten KCSL".

This service is also available to clients with client vault accounts or acting as issuing banks or paying agents.

Prerequisites for the delivery of the lists chosen in this form are:

- **Access to Xact Web Portal**

Application forms for this access are available on the Clearstream website under [ClearstreamXact Application Forms](#).

- **Access to CEU File Service**

This access can be requested using form [22](#).

In the table on the second page, file "Anforderungsdaten KCSL" (file name *01.KCSL.JR66*) is to be chosen under Business Area "Vaults".

Available lists

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

One-time lists

List of all certificate numbers (function code AG)

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

The following may be selected:

- **Tresor-Segment (Vaults)**

1 = GS ("Girosammelverwahrung": collective safe custody)

2 = SVT ("Bundesanleihen": federal government bonds)

3 = FTB („Fremdtresorbestand": client vaults account)

4 = METALL („Edelmetallbestände": positions in precious metals)

6 = SONST („übrige Tresorbestände": other vaults positions)

- **Kundenreferenz (Client Reference)** (mandatory field)

Identifies the final beneficiary's account number.

- **WKN** (mandatory field)

ISIN = Securities Identification Number

- **HLG**

Custody type at CEU

- **Stückauswahl (Securities)** (mandatory field)

I = Inventory list of all certificates deposited with CEU. O = Opposition and special features list.

M = List of defects and replacements.

T = Securities or global certificates for which text information is available (only for client vault accounts) will be issued.

— **Referenziert**

J = list sorted by client reference

N = list not sorted by client reference

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

This list contains the current vault positions for all individual certificates, all global certificates or all “up to” global certificates. The securities numbers of the individual certificates are sorted numerically by securities identification number (ISIN), by custody type, by deviating security description and by denomination. Global certificates are displayed in ascending order of collection number.

These specifications must be limited to one security class and individual/global certificates. The following may be selected:

— **WKN** (mandatory field)

ISIN = Securities Identification Number

— **Stückelung (Denomination)**

You may limit your request to one denomination.

— **HLG**

Custody type at CEU

— **Stückauswahl (Securities selection)** (mandatory field)

I = Inventory list of all certificates deposited with CEU

O = Opposition and special features list

M = List of defects and replacements

— **Arithmetisiert (Arithmetic)**

J = List is sorted arithmetically by securities number

N = List shows securities in vault in order of deposit

The field is filled with “J” (for yes) by default

— **Urkundenart (Type of certificate)** (mandatory field)

E/S = Request for individual or global certificates

List of current client safe custody accounts “only for CEU client vault accounts” (function code AK)

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

The following may be selected:

— **Kundenreferenz (Client reference)** (mandatory field)

Identifies the final client safe custody account

— **Stückelung (Denomination)**

You may limit your request to one denomination.

— **Stückauswahl (Securities selection)** (mandatory field)

I = Inventory list of all certificates deposited with CEU

O = Opposition and special features list

M = List of defects and replacements

— **Arithmetisiert (Arithmetic)**

J = List is sorted arithmetically by securities number

N = List shows securities in vault in order of deposit The field is filled with “J” (for yes) by default.

Current overall list with securities numbers (function code AC)

This overall list in CSV format contains the current vault positions of all individual certificates, all global certificates and all "up to" global certificates of one ISIN.

The following may be selected:

- **Tresor-Segment (Vaults)**
 - 1 = GS ("Girosammelverwahrung": collective safe custody)
 - 2 = SVT ("Bundesanleihen": federal government bonds)
 - 3 = FTB („Fremdtresorbestand": client vaults account)
 - 4 = METALL („Edelmetallbestände": positions in precious metals)
 - 6 = SONST („übrige Tresorbestände": other vaults positions)
- **WKN** (mandatory field)
ISIN = Securities Identification Number (mandatory field)
- **HLG**
Custody type at CEU
- **Referenziert**
 - J = list sorted by client reference
 - N = list not sorted by client reference

Current changes in summary certificates (function code AV)

This overall list in CSV format delivers the current changes in "up to" global certificates.

The following may be selected:

- **WKN** (mandatory field)
ISIN = Securities Identification Number (mandatory field)
- **HLG**
Custody type at CEU
- **Ord-/Sammel-Nr.**
The choice can be restricted to one summary certificate defined by the order or summary reference.

Current holdings evaluation of issuing bank (function code EM)

This function enables clients to request a current evaluation of their securities holdings for which they act as issuing bank. All securities classes which have a corresponding reference in the issuing bank field in WSS on the day of the printout will be included. The evaluation for each list requested is issued in a CSV file.

The request cannot be specified further here.

Standing orders

The standing orders are defined by the following criteria:

- **BANK** (mandatory field)
Identifies the CASCADE account concerned. Pre-filled with the first four digits of the CASCADE user ID.
- **FREQUENZ** (mandatory field)
 - 01 = daily
 - 02 = monthly
 - 03 = quarterly
- **GUELTIG VON** (valid as of, mandatory field)
Must be a T2S business day. Pre-filled with the next T2S business day.

Standing order request (ED – „Eintragen“)

In this menu, a standing order according to the following criteria is requested:

- **BANK** (mandatory field)
Identifies the CASCADE account concerned. Pre-filled with the first four digits of the CASCADE user ID.
- **LISTE** (mandatory field)
The following lists can be chosen (see one-time list definitions above):
AG = Current overall list
EM = Current holdings evaluation of issuing bank
AV = Current changes in summary certificates
- **FREQUENZ** (mandatory field)
01 = daily
02 = monthly
03 = quarterly
- **GUELTIG VON** (valid as of, mandatory field)
Must be a T2S business day. Pre-filled with the next T2S business day.
- **GUELTIG BIS** (valid until, mandatory field)
Must be a T2S business day or can be left blank.

Standing order list (ID – Information)

This menu lists all set up standing orders. In the right column, the status is shown:

- **T** = only part of the mandatory fields filled;
- **E** = all mandatory fields filled.

The choice I entered left to the order line opens the detail screen of the standing order.

Change of standing order (AD - Aenderung)

Just as the menu ID (see above), the menu AD lists all standing orders set up. In the left column, an X entered in the order line opens the standing order to change or complete the order criteria.

If the date in the field

- **Gültig von** (valid from) has not yet been reached, all fields of the request can be changed;
- **Gültig von** (valid from) has been reached, only the field **Gültig bis:** (valid until) can be changed;
- **Gültig bis** (valid until) is filled and the date has not yet been reached, it can be changed;
- **Gültig bis** (valid until) has been reached, no more changes are possible.

Online information via CARAD

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

Certificate holdings - KCKI

Information on certificate holdings (function code IH)

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

Information securities number query (function code IS)

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

Instruction history - KPHI

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

CARAD User Manual

The CARAD User Manual provides clients with a detailed description of new and existing sources of information. The manual is available on the Clearstream website under [User Manuals Vault Services](#).