

# Vestima Service Application Form for Order Issuer

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

## Service Application Form

This Vestima Service Application Form (hereafter “SAF”) is entered into between:

Company name:

Address:

Postal code:

Country

Commercial registration:

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

and Clearstream Europe AG, an Aktiengesellschaft incorporated under the laws of the Federal Republic of Germany, having its registered office at Mergenthalerallee 61, D-65760 Eschborn Germany, and registered with the District Court in Frankfurt am Main, Germany, under number HRB 7500, who operates as Market Infrastructure Provider (hereafter “MIP”); individually referred to as a “Party” and together “the Parties”.

Date:

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

## Vestima participant setup

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

Participant ID<sup>1</sup>

Master Participant<sup>1</sup>

☐

Subscribe participant to “One Account” service<sup>2</sup>

☐

## Portfolios

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

Specify securities account number at the MIP

Default account registered with Transfer Agent

Cash account at the MIP<sup>4</sup>

Automated Settlement<sup>5</sup> ☐ Yes ☐ No

Immediate rejection for provision failure<sup>6</sup> ☐ Yes ☐ No

## Trading limits

|                                                  |                                                         |                                                          |
|--------------------------------------------------|---------------------------------------------------------|----------------------------------------------------------|
| Enable trading limits service                    | <input type="checkbox"/> Yes                            | <input type="checkbox"/> No                              |
| Single order calculation basis                   | <input type="checkbox"/> None                           | <input type="checkbox"/> Subscriptions only              |
|                                                  | <input type="checkbox"/> Any order                      |                                                          |
| Total orders calculation period <sup>7</sup>     | <input type="checkbox"/> None                           | <input type="checkbox"/> Subscriptions only              |
|                                                  | <input type="checkbox"/> Subscriptions plus redemptions | <input type="checkbox"/> Subscriptions minus redemptions |
| Total orders calculation period                  | <input type="checkbox"/> Until end of day               | <input type="checkbox"/> Until confirmation              |
|                                                  |                                                         | <input type="checkbox"/> Until settlement                |
| Reject Browser Orders After Trading Limit Failed | <input type="checkbox"/> Yes                            |                                                          |
| Reject Swift Orders After Trading Limit Failed   | <input type="checkbox"/> Yes                            |                                                          |
| Only Consider Browser Orders                     | <input type="checkbox"/> Yes                            |                                                          |

## Connectivity

Regular connectivity (select only one)<sup>8</sup>

Swift ISO 20022 ☐

Swift ISO 15022<sup>9</sup> ☐

Fix Connectivity ☐

Browser only ☐

Replies of positive validation is required ☐ Yes ☐ No

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

## Swift

Swift address (BIC or DN) for messages exchanged with the MIP Participant 1 \_\_\_\_\_  
Participant 2 \_\_\_\_\_

## Xact File Transfer

Xact File Transfer user ID (OU or DN): \_\_\_\_\_  
Xact File Transfer user ID (OU or DN)

Variant: ☐ via Internet ☐ via Swiftnet FileAct

## Xact Web Portal Service

VestimaPRIME: ☐ Yes

## Internet browser access

Xact Web Portal (OU): \_\_\_\_\_  
Xact Web Portal organisational unit (OU)

## Web-based connectivity

Authorisation levels for order processing

Order entry: ☐ 2 eyes ☐ 4 eyes

Cancellation request entry: ☐ 2 eyes ☐ 4 eyes

## Report subscriptions<sup>10</sup>

Preferred method of retrieval:

☐ Browser ☐ Xact File Transfer<sup>11</sup>

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

Published Fund List

- ☐ Daily report
- ☐ Daily report with delta indicators

VestimaTRACK<sup>12</sup>

The OI will provide sub-account holdings input.

- ☐ Sub-accounts match the portfolio IDs.
- ☐ Sub-accounts do not match the portfolio IDs<sup>13</sup>
- ☐ Automated input<sup>14</sup>

Boomerang report, for the

- ☐ 5th      ☐ 10th      ☐ Last business day(s)

Registrar Monitoring Report<sup>15, 12</sup>

- ☐ PDF      ☐ CSV

OI statement of holdings<sup>16</sup>

- ☐ Daily      ☐ Monthly      ☐ Separate<sup>17</sup>      ☐ Aggregate<sup>18</sup>

OI statement of orders<sup>17</sup>

- ☐ Daily      ☐ Monthly      ☐ Separate<sup>16</sup>      ☐ Aggregate<sup>17</sup>

OI statement of transactions<sup>17</sup>

- ☐ Daily      ☐ Monthly      ☐ Separate<sup>16</sup>      ☐ Aggregate<sup>17</sup>

Transfer Tracer report

- ☐ Daily      ☐ Monthly

Include CEU accounts in reporting

- ☐ Yes<sup>19</sup>      ☐ No

Please note that additional reporting, covering both funds processed under Vestima and VestimaPrime is available via Xact Web Portal.

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

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

Account number: \_\_\_\_\_

Account owner:<sup>20</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 OI is informed that the printing and mailing of invoices will be outsourced by the MIP and the OI hereby gives power of attorney to the service provider appointed by the MIP to collect from the MIP the number of instructions and all other information that is needed for the invoicing, together with our name, address and account number. This power of attorney is granted for the duration of the contractual relationship.

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### Main contact and mailing address

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Contact name

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Address

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City

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Post code

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Country

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Telephone

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Fax

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Swift

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### Corporate actions contact

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Contact name

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Email

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Fax

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### Trading contact

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Contact name

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Email

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Fax

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### Transfers contact

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Contact name

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Email

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Fax

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### Technology contact

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Contact name

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Email

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Fax

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### Acceptance of Special Conditions of Investment Fund Services of Clearstream Europe AG

We have taken notice of Special Conditions of Investment Fund Services of Clearstream Europe AG and acknowledge their validity (as amended from time to time) for our ongoing investment funds business relations with CEU and hereby confirm our acceptance to be bound by its terms and conditions.

## Authorised signature(s)

|           |           |
|-----------|-----------|
| Signature | Signature |
| Name      | Name      |
| Title     | Title     |
| Place     | Place     |
| Date      | Date      |

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

# Vestima Service Application Form - Appendix I

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

*This Appendix is mandatory only for One Vestima Service Applicants.*

## Application

Registered Company name

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

Account location

Account numbers (if already opened)

Suffix to the name of the registered account at the fund admin/transfer agent<sup>1</sup>

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

## Dividend

☐ Cash

☐ Reinvest

## Communication methods

(please select one option per activity)

### Trading (Front office):

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

Swift  
15022

Swift  
20022

Fax

Email

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



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

- Backup withholding tax documentation
- Income tax documentation

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

# Vestima Service Application Form - Appendix IA

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

*This Appendix is mandatory only for One Vestima Service Applicants.*

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

## Authorised signature(s)

|           |           |
|-----------|-----------|
| Signature | Signature |
| Name      | Name      |
| Title     | Title     |

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