Investors Portal

Format Specification

Excel and CSV

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Content

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1   Introduction

This document provides the definitions and requirements for files that can be transferred to Clearstream Banking AG via the Investors Portal.

1.1   Format specifications

Files to be uploaded must be in XLS, XLSX (Microsoft Excel©) or CSV (Comma Separated File) format, not exceed 10 MB and have a valid file name.

2 CSV – Format definition

2.1 CSV – General requirements

- Exactly one CSV file with not more than 1,000 lines is submitted per submission.
- The file contains data for one particular account only.
- The field limiter is a semicolon.
- Data is provided in the order of table 2.3 CSV – Field definition.
- No column shall be deleted even if no data is available.
- Empty rows and additional columns are not allowed.
- Decimals are defined in the following syntax: 999999999,000
- A comma delimits fractional digits.
- Date fields are in the following ISO format: YYYYMMDD
- Mutated vowels (ä, ö, ü) and special characters, for example ß or &, are not supported and must not be used.
- No header is allowed.
- No footer is allowed.

2.2 CSV – Data row

Example:

[Field 1]; [Field 2]; ...; [Field n]

The number of fields is defined by the instruction type; the number of characters per row is variable.

2.3 CSV – Field definition

Field	Field name	Allowed values	Syntax	Mandatory
A	Header	The given header is only meant to be used as help function. No headers may be delivered to CBF.		No
B	CBF account number	Fixed length of 7 digits, without leading zeroes All CBF account numbers in one file must be the same. **Note:** Sub-account numbers must be used, for example 7001000.	Numeric (7)	Yes
C	Transaction type	"1" Re-registration "5" Twin instruction "9" De-registration	Numeric (1)	Yes
D	ISIN	Fixed length of 12 characters. The check digit is evaluated.	Alphanumeric (12)	Yes
E	Number of shares	Must be more than 0	Numeric (10,3) Position transfer, (11,3) Re-registration	Yes
F	Settlement day	Fixed length of 8 digits If no data is filled, the current date will be automatically inserted into the instruction. Format: YYYYMMDD	Numeric (8)	No
G	Customer reference 1	Customer reference, part one, for example BLZ	Alphabetic (3)	No
H	Customer reference 2	Customer reference, part two, for example 50070010	Numeric (11)	No
I	Customer reference 3	Customer reference, part three, for example KTO	Alphabetic (3)	No
J	Customer reference 4	Customer reference, part four, for example account number	Alphanumeric (13)	Yes
K	Type of person: legal or natural	For sales and purchases and if the customer reference is not unique, this field is – together with name 1, name 2, additional identification and date of birth/foundation – an identification criteria of the correct holding at CBF. "J" Legal "N" Natural	Alphabetic (1)	Yes
L	Third-party hold	"J" Yes "N" No	Alphabetic (1)	Yes
M	Country code for third-party hold	Country code of the beneficial owner If third-party hold "J", this is a mandatory field, Example: DE for Germany	Alphabetic (2) ISO code	Yes (under conditions)

Field	Field name	Allowed values	Syntax	Mandatory
N	Shareholder number	When referring to existing holdings, the shareholding number is together with name 1, name 2, type of person legal/natural, date of birth/foundation and additional identification an identification criteria.	Numeric (10)	No
O	Name 1	Identification criteria together with name 2, type of person legal/natural, additional identification and date of birth/foundation For natural person: surname For legal entities: company name	Alphabetic (35)	Yes (for new shareholders) No (for existing shareholders or de-registrations)
P	Name 2	Identification criteria together with name 1, type of person legal/natural, additional identification and date of birth/foundation For natural person: first name For legal entities: optional	Alphabetic (35)	Yes (for natural persons) Yes (for new shareholders) No (for existing shareholders or de-registrations)
Q	Title	(1) Mr, (2) Ms, (8) group of persons, (9) Association	Alphabetic (1)	Yes (only for re-registrations for new shareholders)
R	Academic title	Example: Dr., Prof.	Alphabetic (35)	No
S	Additional identification	Free-format text field for further identification	Alphabetic (22)	No
T	Nationality	For legal entities: registered office For natural persons: place of birth	Alphabetic (2) ISO code	Yes (only for re-registrations for new shareholders)
U	Date of birth/ foundation	Identification criteria together with name 1, name 2, type of person legal/natural and additional identity Format: YYYYMMDD, for example 20120101	Numeric (8)	Yes (for natural persons) No (for de-registrations and re-registrations for existing shareholders)
V	Postal address: country code	Example: DE for Germany	Alphabetic (2) ISO code	Yes (only for re-registrations for new shareholders)
W	Address: street	Street and number	Alphanumeric (35)	No

Field	Field name	Allowed values	Syntax	Mandatory
X	Address: post code	Example: 65719 Also to be used for non-German addresses	Alphanumeric (10)	Yes (when street is used)
Y	Address: city		Alphabetic (35)	Yes (when street is used)
Z	Address: post code for P.O. box	Post code if using a P.O. box	Numeric (5)	Yes (when post code is used)
AA	Address: P.O. box	Only possible for German addresses: P.O. box	Numeric (10)	No
AB	Email address		Alphanumeric (70)	No
AC	Legal Entity Identifier	Legal Entity Identifier (LEI)	Alphanumeric (20)	No (only for legal entities)

3 Excel – Format definition

3.1 Excel – General requirements

- Exactly one Excel file is uploaded per submission.
- The Excel file version must be Microsoft Excel 97-2003 (XLS) or Excel Workbook (XLSX).
- The file size is not larger than 10 MB.
- The list contains no more than 1,000 entries. Additional entries are ignored.
- Instruction data starts in row 1.
- One instruction per row.
- Data is aligned with the requirements in table in section 2.3 CSV – Field definition. No column shall be deleted even if no data is available.
- No column shall be deleted even if no data is available.
- Empty rows are not allowed within the data set.
- Each file includes data for only one CBF account.
- Date fields are in the following ISO format: YYYYMMDD
- Mutated vowels (ä, ö, ü) and special characters, for example ß or &, are not supported and shall not be used.
- No header is allowed.
- No footer is allowed.

3.2 Excel – Header

The file starts without a header.

3.3 Excel – Data columns

File starts with instruction data in column 1, row 1.

Example:

[Field 1] [Field 2] … [Field n]

The number of fields is relates to the instruction data, the number of characters per row is variable.

3.4 Excel – Field definition

The definitions are the same as for CSV files (See 2.3 CSV - Field definition).

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