Xact Web Portal

User Manual
Xact Web Portal User Manual

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Introduction

Dynamic, streamlined and accessible connectivity becomes increasingly important. Clearstream’s Xact Web Portal brings a new dimension to our connectivity framework as it provides a single window to all services offered by our international central securities depository (ICSD) as well as the German CSD and LuxCSD: Settlement, Cash & Liquidity, Asset Servicing, Tax, as well as Collateral Management services. Xact Web Portal is in full compliance with industry standards.

These services are being complemented by:

- **The Dashboard** - An interactive landing screen that you can customise according to your needs to allow you to manage your business activities at a glance;
- **Reference Data** - To visualise consolidated securities reference data;
- **Reporting & Monitoring** - Allowing you to set up and trigger reports and alerts; report subscriptions can be done for all of ClearstreamXact connectivity channels (Xact Web Portal, Xact File Transfer and Xact via SWIFT); the Business Monitoring Centre allows you to trigger several times per day, custom queries in various services, in order to track specific business activities;
- **User Management** - Via which you can manage all users in your institution; and
- **Help & Resources** - To help you to intuitively find your way through the application.

With the Xact Web Portal, you will enjoy a new state-of-the art graphical user interface (GUI) with a modern and intuitive design, while at the same time offering robust IT security features.

Dynamic, easily configurable Dashboard with calendar and real-time indicators.

The Xact Web Portal is accessible from anywhere in the world via internet or VPN with no mandatory installation costs. It reduces the need to install and manage different user-to-application (U2A) systems across the ICSD and CSD services that Clearstream offers.
Foreword

Xact Web Portal is a component of the ClearstreamXact connectivity framework.
Xact Web Portal is Clearstream Banking’s web-browser based, integrated workstation connectivity solution that can be accessed via the internet, a DBAG managed network (for customers of Clearstream Banking Frankfurt) or Virtual Private Network (VPN).

A word about security

Access is restricted to authorised users only and is controlled by the use of cryptographic smart cards or P12 credential files. Security is further enhanced by the employment of strong cryptographic authentication and digital signatures and the encryption of all communication.

Full instructions for the installation of the smart card reader and the use of personal identification number [PIN] and passwords are delivered with the smart card[s] and card reader.

For security reasons, you are recommended to use smart card access as the primary access method. The P12 option is provided in case, for technical reasons, smart card access cannot be used.

Note: Unchanged credentials expire naturally after two years but users can change their own credentials at any time.

Technical requirements

Software requirements

We recommend that all customers use Clearstream’s fully tested configuration:

Windows Server 2012R2;
Chrome v70 or Firefox ESR60
SafeNet Authentication Client 10.2 (if using smartcard).

Customers with other configurations must, in order to receive technical support from us, ensure that they use the minimum (or later) software versions specified by Clearstream but full compatibility cannot be assured.

The current minimum requirements are:

- Windows 7;
- Java SE 7 or 8 (JRE) with any update (if using applet logon);
- Internet Explorer 11;
- SafeNet Authentication Client 10.2 (if using smartcard).

To safeguard processing in the event of system access problems, we strongly recommend that customers have in place a contingency solution that is suitable for the specific connectivity media.
Protocol requirements

TLS 1.1 or TLS 1.2 must be enabled in the browser.

Supported network connectivity

Clearstream proposes 3 different ways to access the Xact Web Portal:

- Internet;
- DBAG managed network (for customers of Clearstream Banking Frankfurt);
- Orange private dial-in (VPN) network.

DNS requirements

The customer’s workstation or proxy must be able to connect to either the URL or IP address below, for the network used. Also the URL/IP resolution must be working for the pair:

Internet: xact.clearstream.com 194.36.230.129
DBAG network/Orange VPN: xact.clearstream.banking 194.36.230.161

Where to get assistance

Help with the use of Xact Web Portal is directly available in two ways:

- from the integrated online help information system; and
- from Clearstream’s Client Services and Connectivity Services units.

Online help

Xact Web Portal incorporates comprehensive online help information. On each page, you have access to two levels of help information, as follows:

- From the Menu, you can choose Help Centre from Help & Resources to obtain information on all aspects of Xact Web Portal.
- On each page or form, you can click on Help in the meta navigation to display specific help information for the current activity.

Contact details

For further information, or if you have specific questions regarding Xact Web Portal and/or communications with Clearstream, you can contact your Client Services Officer or the Clearstream Connectivity Services Help Desk.

Before contacting Clearstream, please ensure that you have the following information to hand:

- Your organisation name and Clearstream account number.
- Your name, telephone and fax numbers and your email address.
- The make and model of your PC.
- Details of the problem (please have full details available).
- If you receive an error message, full details of the error, with any error message number.

Contact details are as follows:
Customers should note that, as is normal practice within financial organisations, Clearstream has implemented telephone line recording to ensure that the interests of Clearstream and of its customers are protected against misunderstandings or miscommunications.

Areas subject to telephone line recording include Client Services, the Treasury Dealing Room and back office operations. The recorded lines are the subject of an ongoing formal maintenance and quality control programme to ensure their continued effective and appropriate deployment and operation.
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1. Access and login

Access to Xact Web Portal is provided via your web browser. The use of the system is strictly controlled by security features that ensure that only licensed subscribers can connect to it.

This chapter describes the tasks and topics you will meet when you start to use Xact Web Portal, as follows:

- "Initial access request" below;
- "WebCrypto user login" on page 1-10;
- "Legacy applet user login" on page 1-16

Initial access request

Your local system administrator must be the first to log on to Xact Web Portal in order to prepare the system for use at the location by following the procedures described below.

Setting up your Organisation Unit

The Organisation Unit (OU) stands for one or more users of Xact Web Portal within a customer’s organisation, grouped according to the sets of activities they can perform and the permissions they have (user credentials) to access and use the data and functions of the system.

Fill in the application form

To start working with the Xact Web Portal, you must first fill in the application form (please contact your Clearstream Relationship Officer). The application form includes the following sections:

- User Details (page 1): Please fill in your company name, address, telephone, company email and SWIFT address details on and enter your main Clearstream safekeeping account, this is required for billing purposes.
- Authorised Signatures (page 2): Please have the form signed by two authorised signatories from your organisation.
- Appendix 1. Contact information: In this section, you must appoint two security administrators (system security contact persons) who will receive the first access keys to access the Xact Web Portal. The two administrators will also be able to create and configure additional users within your organisation. You must also read the Xact Web Portal Frequently asked questions - Technical requirements document carefully and acknowledge compliance with the minimum technical requirements by ticking the designated box.
Access and login

- Appendix 2. Business services and accounts: You can choose the business services of Clearstream that you require in this section. Business services that have been chosen but are not yet available will be added automatically once they become available. You also need to list the accounts that are to be included in your Organisational Unit.

- Appendix 3. Connectivity agreements: Terms and Conditions of the Xact Web Portal for Clearstream are documented in Appendix 3.

Send application form to Clearstream

Once completed, the application form must be sent to your Clearstream Relationship Officer. If you are unsure who to contact, please send a request to the Connectivity helpdesk:

Frankfurt
phone: +49-(0) 69-2 11-1 15 90
fax: +49-(0) 69-2 11-61 15 90
email: connectfrankfurt@clearstream.com

London
phone: +44-(0)20 786 27100
fax: +44-(0)20 786 27254
email: connectlondon@clearstream.com

Luxembourg
phone: +352-243-38110
fax: +352-243-638110
email: connectlux@clearstream.com

Processing of the application by Clearstream

Please allow a few days for Clearstream to process your application form. If your request is urgent please contact your Clearstream Relationship Officer.

Receipt of passwords and certificates

Once the application has been processed by Clearstream, each administrator that was designated on the application will receive:

- Two letters, one with the temporary user password [part 1 of “Appendix 1 - Letters and emails to administrators”] and another with the temporary certificate password [part 2 of “Appendix 1 - Letters and emails to administrators”].
- One email, with the certificate (P12 file) attached [part 3 of “Appendix 1 - Letters and emails to administrators”]. Once received, the certificate should be saved to a drive that you have access to when you are using the Xact Web Portal.
Creating users

It is up to your organisation’s best practice to set the appropriate number of users and level of security in order to maintain control and prevent fraud. The Xact Web Portal allows you to create users that have all rights and may input and release instructions without supervision.

Even though we offer this flexibility, we do not recommend it as it goes against best practice in order to maintain appropriate control and prevent fraud and money laundering.

Specifically, we do not recommend that:

• You deactivate the 4-eyes principle (especially for Administrators and Cash);
• You centralise all privileges under a single user;
• The same individuals perform Administrator and Business activities.

Clearstream cannot be held responsible in the event of malpractice by a user that has all rights.

The process of creating users is multi-step.

1. User Groups must be created. Default ones are provided when a service is selected for a user OU. Please refer to Appendix 2 - Default User Groups.
   A User Group allows a common user profile shared by several users to be defined
2. Functional Roles must be assigned to the User Groups. The list of available Functional Roles is documented in Appendix 3 - Default Functional Roles.
3. Resource Groups must be assigned to User Groups. Here again you have the choice between:
   - Default Resource Groups
     These are groups defined by Clearstream that meet most needs. The list of available Default Resource Groups is documented in Appendix 4 - Default Resource Groups.
   - Custom Resource Groups
     These can be created in order to meet the specific needs of your organisation. Please refer to the advanced operations section at the end of this guide.
4. Users must be created and assigned to the User Groups via User Group.

Note: When new users are created, a set of temporary credentials is created. When a new user logs in to the Xact Web Portal, the user must first change their credentials. Please refer to section “1. Creating User groups” on page 1-5 for more details.
Overview of the process

Custom Resource Groups can be created

User Groups must be created, default ones are provided when a service is selected for a user OU. Please refer to Appendix 2 - Default User Groups.

Functional Roles and Resource Groups must be assigned to the User Groups

Users must be created (including temporary credentials and User Group selection)

Send the credentials to the new users

Business users can start working with the Xact Web Portal.

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Creating User groups

1. Select the User Group option from the User & User Group menu:

2. Click on the "Create" tab, the User Group creation screen opens:

Please follow the below steps:

- Enter the User group name, User group deputy, Service name, User type;
- As soon as the Service name and User type are filled, the Grant selection sub-section becomes available. Select the Functional Roles and related Resource Groups to create grants;
- Submit the changes and have them approved by a second administrator (for active 4-eye principle).
Access and login

Granting Functional Roles to User Groups
Clearstream has defined Functional Roles that fit most needs. Functional Roles are defined for each service.

Please refer to Appendix 3 - Default Functional Roles for a list of available Functional Roles for each service.

Granting default Resource Groups to User Groups
As for the Functional Roles, a set of standard resource groups has also been defined by Clearstream. As stated in the application form, it includes all the resources belonging to your Organisational Unit setup by Clearstream.

Resources for Triparty Collateral Management services are defined as all collateral accounts where the User (legal entity) is acting as collateral giver or collateral receiver.

In the system these resources are represented via

- BIC or Financial Institutions are Relationship types related to Account resources;
- The Collateral Management Short Codes allocated by Clearstream;
- The associated Contracts.

The corresponding default resource groups are named as follows:

- Participant Short Codes
- Contracts

Please refer to Appendix 4 - Default Resource Groups for a list of available Resource Groups for each service.
Creating users

Once User Groups have been created with their associated Functional Roles and Resource Groups, you can start creating users.

1. Select the User option from the User & User Group menu:

2. Click on the Create tab, the User creation screen opens:

Please follow the instructions as described in the Help (click on the help shortcut to activate the page level help):

- Enter the User details [name, email, etc.];
- Verify the properties [it is recommended to leave everything as setup by default];
- As soon as a User Type is selected the Grant selection sub-section is displayed, allowing to select one or more User Groups;
- Submit the changes and have them approved by a second administrator [for active 4-eyes principle].
Create the new Users credentials

During the User Creation process approval step, you must:

- Enter and confirm the new user’s temporary password;
- Select a destination drive for the temporary certificate (P12 file);
- Enter and confirm the new user’s temporary password for the P12 file.
**Sending the credentials to the new Users**

In order to allow the newly created users to start working, the following data must be sent:

- Certificate (P12 file): please send this file using a secured media (secure email, password protected USB key).
- Temporary Certificate password. Please ensure privacy and confidentiality.
- Temporary User password. Please ensure privacy and confidentiality.

Once all the above is sent, your newly created users can start working with the Xact Web Portal!

**Note:** The steps for the new User to connect to the Xact Web Portal are described in the section “1. Creating User groups” on page 1-5. Please make sure you provide this section to your new business user to help them complete their registration and use the Xact Web Portal.

**Creating Custom Resource Groups**

The Xact Web Portal allows the creation of Custom Resource Groups, should you want to segregate the resources available to each User Group.

A Resource Group is composed of one or many individual resources from the same type (Account, BIC Participant, COL OU, CmaX Contract, CmaX Participant or Financial Institution).

To create a new Resource Group:

- Select the Resource Group option from the User management menu;
- Click on the Create tab;
- Type in a Resource Group Name, and a description (optional);
- Select a Resource type from the drop-down list, like Account or Financial Institution;
- In the resources, perform a look-up query and select the resources that you want to add to the new Resource Group;
- Select a Resource Group type from the drop-down list, like Default or Custom;
- Submit the changes and have them approved by a second administrator (in case of active 4-eyes principle);
- The new Resource group will now be available for the new or existing user groups.
Access and login

WebCrypto user login

Users of VestimaPrime and Smartcards must use the Legacy Applet user login (see "Legacy applet user login"), all other users are strongly encouraged to use the WebCrypto user login.

Logging on to Xact Web Portal

Your system administrator must be the first to log on and must perform various initial tasks to make the system available to you, “Initial access request” on page 1-1.

Before starting the login procedure, please ensure that you have received the following from your IT security administrator:

- Temporary certificate (P12 file);
- Temporary User password;
- Temporary certificate password.

Importing temporary credentials (user and system administrator)

1. Access the Xact Web Portal

In your browser, type the following URL:
https://xact.clearstream.com

You will see the Login screen:
2. Click on the "WebCrypto Login" button

3. Click on the (+) symbol or drag and drop your P12 file from Windows Explorer into the white area. If you use the (+) you can browse to the P12 file on the file system and select 'Open'.

4. Enter the temporary P12 password received from your administrator or the P12 backup password you saved together with the P12.
Access and login

If you enter the P12 password incorrectly the following will be displayed:

Re-enter your P12 password. Once you have entered your P12 password correctly, you will see this screen:

You can enter a Friendly Name that will be shown when you select your certificate to login or keep the proposed name and click on “Import”.

Your certificate has been imported into the browser.
First login (user and system administrator)

1. To proceed with the login click on Next and in the following screen enter your user password.

2. You will be prompted to generate a new permanent user certificate. This will at the same time invalidate the temporary P12 file you have received from your system administrator. You can keep the friendly name or enter a new one. It will later help you to identify your certificates if you have multiple certificates.

3. After submitting the regeneration request, please wait for generation the process to finish.

4. Once the generation process has finished, please wait for the storage process to finish.
Access and login

5. Once the storage process has finished, the automated WebCrypto backup P12 download will start. Depending on your browser settings you may need to confirm the download. Once the backup P12 has been stored in a safe location, you will need to safely store the backup P12 details containing a randomly generated protection password. You can display these details by showing or printing them.
6. Please keep the details, especially the backup P12 password secret. The backup P12 will be needed to import your certificates in the future, or if you want to use another browser. We recommend printing this information and keeping the printed version in a safe place.

7. Click on “Login with WebCrypto” to access Xact Web Portal.

8. Your certificate will be selected by default. Click on “Next” to go to the login screen.
Access and login

Legacy applet user login

Your system administrator must be the first to log on and must perform various initial tasks to make the system available to you, “Initial access request” on page 1-1.

Before starting the login procedure, please ensure that you have received the following from your IT security administrator:

- Temporary certificate (P12 file);
- Temporary User password;
- Temporary certificate password.

Importing temporary credentials (user and system administrator)

There are two ways to import your certificate, we recommend using the import facility provided by Clearstream.

Using the import facility provided by Clearstream

Clearstream has developed an import facility that allows you to overwrite existing certificates linked to your User ID, in order to have a clean browser keystore. Importing certificates via the built in browser import facility will leave old certificates in the keystore, although they are no longer usable.

1. Access the Xact Web Portal

   In your browser, type the following URL:
   https://xact.clearstream.com

   You will see the Login screen:

   ![](image)

2. Click on "Applet Certificate Import".

   This launches an applet download. Please wait a few seconds for the applet to load.
3. The import action installs the certificates to the current browser. Clicking on “Return to Welcome Page” allows the newly created user to log in with the new certificate once it is installed.

4. Once the applet has successfully loaded (this is confirmed by the message “Applet loaded”), please click “Browse”.

**User:** Using the open dialogue box, find the P12 file that was provided to you by your IT security administrator and click “Open”, or drag and drop the P12 file into the field.
Access and login

**System administrator:** Using the open dialogue box, find the P12 file that was sent to you by email [see "Receipt of passwords and certificates" on page 1-2] and click "Open", or drag and drop the P12 file into the field.

5. **User:** Enter the temporary password, as provided by your IT security administrator and click on "Import". You can optionally complete the Friendly Name, this will be the name of your P12 file when you login to the Portal in the future.

**System administrator:** Enter the temporary password you received in the second letter [see "Receipt of passwords and certificates" on page 1-2] and click on "Import". You can optionally complete the Friendly Name, this will be the name of your P12 file when you login to the Portal in the future.
The temporary certificate import is complete.
Access and login

First login (user and system administrator)

The Xact Web Portal URL is:

https://xact.clearstream.com

- Click "Java Applet Login".
  
  A list of imported certificates appears in a popup window. If you have provided a Friendly Name this will appear in the certificates list.

- Select your Xact Web Portal SSL certificate from the list. The certificate must be the one you just imported into your browser keystore, as described in the previous section.

- **User:** Type in your temporary user password as provided by your IT security administrator.

  **System administrator:** Type in your temporary user password as provided in the second letter (see “Receipt of passwords and certificates” on page 1-2).

- Click "Login".
As your password and certificate are temporary, you must change them immediately in order to continue working with the Xact Web Portal.
Access and login

Enter the following data:

- New password.
  By default the password must have the following characteristics:
  - Minimum password length is 8 characters
  - Must contain a combination of upper and lower characters and at least one numeric or special character
  The new password has a validity of 3 months.
- Confirm the new password by entering it again.
- Click on “Submit”

Your password has been changed.
You can now login with your new password.
You are then prompted to change your certificate.

- Select the Key Store Type:
  - Windows key store if you want to import your certificate directly into your browser.
  - Smart card if you are using an external device (smart card reader) to store your certificate (the smart card reader and drivers must be installed first, and you must have rights to access the device in update mode).
- Update the P12 Friendly Name if required.
- Click on “Submit”.

Now you have the possibility to store a copy of your certificate locally.

- Select "Yes" to store a certificate back up. If you choose "No", the credential installation process is complete.
Access and login

- Click on “Browse” to specify the folder that you want to save your certificate to.
- P12 Password: Enter a password that has a minimum length of 6 characters.
- Click on Continue.

Please wait for the process to complete.
You are now ready to start working.
Please login via File > New Session.
Access and login

Saving your new certificates

If you are using the Xact Web Portal in a shared environment, it is strongly recommended to keep a backup (Export) of your certificates in a private and secure storage area (personal drive or USB key). You can save your certificate whenever you want.

Export with Internet Explorer

Go to the Tools menu, choose Internet Options, then Content tab, Certificates. Select the two certificates related to your Xact Web Portal User ID and click on “Export”.

The Certificate Export Wizard opens:

Click on “Next”.
Choose the option “Yes”, to export the private key.

Click on “Next”.

Choose the option Personal Information Exchange - PKCS #12 (.PFX):

Click on “Next”.

Access and login
Access and login

Type and confirm your certificates password.

Click on "Next".
Browse for the secured directory where you want to store the certificates:

Click on "Next".
Click on “Finish”.
You successfully completed the export of your certificates.
Access and login

Export via Firefox

Go to the Tools menu, Options, Advanced, Certificates, View Certificates, Your Certificates. Select the two certificates related to your Xact Web Portal User ID.

Click on "Backup", and browse for the secure directory where you want to store the certificates. Next, provide and confirm the backup certificates password. Please record the password, or you will not be able to restore this backup.
The Dashboard

After logging in to the Xact Web Portal you are taken directly to the Dashboard.
The Dashboard provides an overview of a user’s activities and provides tools to help the user with their day-to-day activities.
The following tools are provided:

- My Indicators;
- My Calendar (only available for users, not for administrators);
- My Alerts;
- My Tasks;
- My Security.

At the top of the screen, Clearstream’s logo is displayed on the left.
On the top right, the header provides shortcuts to:

- Help: to activate the interactive help of the Portal;
- My profile: to view your user profile and preferences;
- Contacts: for a list of contacts if you need assistance;
- Logout: to securely end your session.

Your user name and the current date/time (CET)\(^1\) are shown in the upper right corner.
Icons on the top left correspond to the Menu, My Alerts and My Tasks:

- Menu: allows navigation to any other screen of the Xact Web Portal;
- Alerts counter: number of unread alerts;
- Tasks counter: number of unread tasks.

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\(^1\) Timestamp is only updated when the page is refreshed.
Access and login

Dashboard overview

Administrator version:

User overview:
Dashboard services

My Calendar (user view)

My Calendar allows the user to track the number of events and deadlines. The user is able to configure and setup his own queries. Currently only available for Asset Services.

Access to My Calendar is automatically granted as long as the user is granted access to Asset Servicing. It is not available for user type = "admin".

1. The calendar view button displays the calendar view, for the whole month.
Access and login

2. The diagram view button displays the diagram view, for a particular monitor.

3. The month navigation allows you to move from one month to another.

4. There are two existing views in this area:
   a) The calendar view displays the full month overview (to display this view, click on the calendar view button). The current day is highlighted with a green circle. For Asset Services when there are events to be reported on a specific day, a blue circle is displayed. If there are more events to be reported, there is a bigger circle.
   b) The diagram view displays the full overview of a selected monitor (to display this view, use the diagram view button).

5. The refresh button must be used to perform an execution of all manual pinned monitors (of the selected service) and to restore the default monitor shortcuts of all available slots (of the selected monitor).

**My Alerts**

My Alerts contains all important information, for action or for information that were recently sent to the connected user. Alerts can be generated by the Business Monitoring Centre (please refer to “Business Monitoring” on page 8-7).

My Alerts allows two different display modes depending if My Alerts is in its “normal” window state mode or if it is “maximised”.

My Alerts displays the first 8 alerts in the “created” status. When the user alerts are modified (new alert, alert dismissed, etc.), this list will be updated automatically every 15 seconds.

The alerts that the user has not interacted with will be displayed in bold.

Each alert is displayed with the following values:

- **Severity** - The severity of an alert represents its importance compared to other alerts. This information is represented by an icon that can be one of the following:
  - Low
  - Medium
  - High
- **Type** - The type can be either Info or Action.
- **Description** - The title of the alert.
- **Date** - The time when the alert was created.

The details of an Alert can be viewed by clicking on the row item. My Alerts can be maximised using the icon in the top right of the screen. By maximising My Alerts the user will have access to the full history and details of all published alerts.

![My Alerts](image)

The user can refresh the list using the refresh button.
Access and login

The columns of the table are:

- **All**: This column is used to select some alerts in the list, or all the alerts of the list if clicked on the header.
- **Status** displays the current status of the alert (Inbox, Dismissed).
- **Type** displays the category of the alert (Info, Action).
- **Severity** displays the current severity if the alert (low, medium, high).
- **Description** displays the title of the alert.
- **Creation Timestamp** displays the creation time of the alert.

When the current alert list contains at least one alert at the Dismissed status, the Empty button will be visible. This button will delete all alerts at the Dismissed status from the current user list.

From the query view, the user can enter query conditions for each of the columns that are available in the list.

In the ordering section, the user can select the parameter that will be used to sort the elements of the list. The order applies on all the elements in the database, including those that are not displayed in the “List View” [if the list size limit has been reached].

**My Tasks**

My Tasks includes pending actions on which the connected user can perform the next step (for example, an instruction to authorise under 4-eyes). There is no possibility for a user to create a task. Tasks can only be created by the Task management system.

At task creation time, tasks are assigned to users meeting the following criteria:

- Users are granted access to the business object or to all the business objects on which the task needs to be performed.
- Users have the necessary rights (Functional Role) to execute the task.

My Tasks is composed of a list of tasks. It allows two different display modes depending if it is in its “normal” window state mode or if it is “maximised”.

In normal mode, My Tasks only displays the active tasks of the connected user, ordered by due date. The tasks that the user never interacted with will be displayed in bold.

A maximum of eight actions will be displayed. By clicking on a row item, the user will be able to perform the related task (for example, launch the authorisation page).

My Tasks can be maximised using the icon in the top right of the screen.

When in the maximised state, a list of the active tasks linked to the connected user, ordered by creation date is displayed. The list will be limited to the last 200 tasks matching the constraints.

The user can refresh the list using the refresh button from this view.
Users are also able to see all the details of a specific task by selecting a task in the task list. The details of the selected task will be displayed in the task details area.

**All**: This column is used to select some tasks in the list, or all the tasks of the list if clicked on the header.

**Priority**: The priority of a task represents its importance compared to the other user’s tasks. This information is represented by an icon that can be one of the following:

- Low
- Medium
- High

**Description**: The description of the task, defined by the business application that raised the task.

**Status**: The current status of the task can be: Raised, In Progress or Completed

**Service Name**: represents the functional area on which the task is to be performed

**Creation Timestamp** indicates the time when the business application created the task.

The user can perform advanced queries by extending the query section.
In the ordering section, the user can select the parameter that will be used to sort the elements of the list. The order applies on all the elements in the database, including those that are not displayed in the List View (if the list size limit of 200 tasks has been reached).

My Indicators

My Indicators gives real-time pre-defined metrics about balances, events, instructions and currencies queries contextually by selecting a specific business service. It is available for Settlement, Cash & Liquidity, Asset Services, Collateral Management and User Management.

Access to My Indicators is automatically granted to users. This access is limited to services the users have access to in the Xact Web Portal.

Administrators have access to My Indicator that is limited to the ‘User Management’ service.

1. The service selector displays the monitors of a particular service
2. The refresh button must be used to:
   a) perform an execution of all manual pinned monitors (of the selected service).
   b) restore the default monitor shortcuts of all available slot (of the selected monitor).
3. The default monitor shortcut is used to create a default monitor:
   a) Click on to create a default monitor.
   b) Click on to remove the shortcut.

Note: If no monitor is pinned in a slot, clicking on the refresh button will regenerate the shortcut
4. Pin monitor:
   a) If the monitor is enabled the menu icon is displayed as ☰
   b) If the monitor is disabled the menu icon is displayed as ☰

5. The contextual menu allows to:
   a) **Apply filter**, to restrict the monitor to only one account.
   b) **Run Monitor**, to execute a monitor immediately.
   c) **Show Monitor** [only available if the user is granted access to Business Monitoring Centre
      [please refer to "Business Monitoring" on page 8-7]].
   d) **Hide Monitor**, to unpin a monitor but keep it alive.
   e) **Delete Monitor**, to unpin a monitor and delete it.

6. The counter indicates the number of results after a monitor execution. When there is an error or
   no result is available, **N/A** is displayed.

7. The pin monitor button must be used to pin an existing monitor in a free slot.
   It allows to:
   a) **Add a default monitor** [based on default predefined query].
   b) **Add a user monitor** [created by the user themselves].
   c) **Create monitor** [only available if the user is granted access to Business Monitoring Centre
      [please refer to "Business Monitoring" on page 8-7]].

---

**My Security**

My Security displays the user’s eight most recent security audit events of the last three months.

These events are:
- Login;
- Login Failed;
- Signing Failed (indicates a failed signature validation on a message or transaction).

![My Security](image)

The details shown are the date and time, the event and the IP address from which the request was received.
Working with queries and list views

Query command that you can use, where appropriate, to define a set of filtering criteria in order to locate as closely as possible a particular target. You can save such a set of criteria as a saved query which you can re-use in other queries.

The results of your query are displayed in a List View and you can select one or more to view or action.

A note about queries

A query can yield very high numbers of results. The List View shows a maximum of 8 pages with 25 rows. If there are more than 200 rows from your query, you can access the remaining rows by clicking on More.

To view the details of a row, select the row(s) and click on ‘Open details’ button or click on the icon folder located at the beginning of the row. To select a row, click anywhere on the row.

To select multiple rows, click on each row that is required. You can click again to de-select.

To select all rows, click on All at the top of the column headers row. Results can be exported to an XLS file or printed as a PDF.

Selecting “Export all” or “Print all” exports or prints all retrieved rows, including those that are not displayed on the screen.

Selecting “Export list” or “Print list” exports or prints the retrieved rows that are available for display up to a maximum of 200 rows.

Selecting “Export selected” or “Print selected” exports or prints the rows that have been selected by the user.

Using wild card characters in queries

In some fields it is possible to use the wild card character “%”.

The following examples illustrate the use of the wild card character in a field entry: ABC% includes all items in which this field contains a value beginning with ABC.

%ABC includes all items in which this field contains a value ending with ABC.

%ABC% includes all items in which this field contains a value that includes ABC anywhere between the first and last characters.

Customising displayed lists

When the list of results is displayed, you can customise the arrangement of its content in a general way as follows:

- To reposition a column, click and hold down the mouse button on the column header and drag it to left or right as required.

- To sort the displayed list (up to 25 entries) in descending order of values in a selected column, click on the column heading. Further clicks on the column heading will toggle the list between descending and ascending order of that column’s values.

Hide/Show columns:

1. Click on “Configure” on the right-top of the List View.

2. Ensure that the columns that you want to hide in the List View are on the left and those that you want to show are on the right.

3. Select OK to save your column settings.
Default System Settings:

When you have specified the presence, position and width of columns in the List View but would like to return the List View to its original settings, click on Configure and then click on Reset.

Instruction input life cycle

All instruction types in Xact Web Portal have a life cycle from input to execution.

The instruction input life cycle describes the different steps that users have to follow in order to create and release an instruction.

In order to validate an instruction, different user validation configurations are possible and depend on:

- The number of steps required in the validation process:
  - 2 steps: Submit and Release
  - 3 steps: Submit, Authorise and Release

- The number of different approvers required [2, 4 or 6-eyes principle]. In case of “2-eyes” validation, one single user can perform all steps if they own the needed Functional Roles. “4-eyes” means two users are required and “6-eyes” means three different users are required to release an instruction.

Possible user validation configurations:

- 2 Steps/2-Eyes: A single user can submit and release an instruction. To simplify the process, the user is able to release the instruction immediately after having submitted it, without needing to query on the instruction.

- 2 Steps/4-Eyes: A user first creates and submits an instruction. Then a second user selects this instruction via the Query View and releases it. For Collateral Management Services, the second user selects the instruction in the Pending items list of the Query View of the To Do Summary subdomain and releases it.

- 3 Steps/6-Eyes: A user creates and submits an instruction. Then a second user selects this instruction via the Query View and authorises the instruction. Finally, a third user releases the instruction. For Collateral Management Services, the second and third users select the instruction in the Pending items list of the Query View of the To Do Summary subdomain.

In order to proceed with the validation of an instruction, a user must own the necessary Functional Roles [Please refer to “Appendix 3 - Default Functional Roles” on page -6]. In the scope of the above user validation configurations, three Functional Roles are needed:

- Input - allowing the user to create and submit instructions.
- Authorise - allowing the user to authorise submitted instructions.
- Release - allowing the user to release the instruction.

Users can own one or more roles. However, even if a user owns all above Functional Roles, they will not necessarily be allowed to perform the entire validation on their own as this is determined by the validation configuration.

Hence, the ability of users to act on the validation process will depend on the configuration and on the Functional Roles they actually own.
Access and login

Cancellation requests

For securities and cash instructions, users with the correct Functional Role can request to cancel instructions that are not yet released or instructions that are released, that is, instructions that are not cancelled, rejected or settled.

If the user selects one or more rows in the List View and selects "Cancellation Request" from the drop-down list of the "View Detail" button, the user must select one of the available options in the second level menu:

- Cancel from List View
- Cancel from Input View

If the user selects 'Cancellation Request' from the 'Action' Buttons in the Detailed view, the user must select one of the options available in the second level menu:

- Cancel from Detailed View
- Cancel from Input View

Main Menu

The menu has three levels:

- Dashboard and Services
- Domain
- Subdomain

The list of services appears when the user activates the Menu via the icon located on the top left of the screen.

Menu

Each option in the above service menu gives access to a specific domain:

- Dashboard: provides direct access to the home page of the Xact Web Portal;
- Collateral Management - My Activities: provides access to Exposures details and Collateral reporting;
- Collateral Management - My Settings: provides access to Contracts setup and Reference data;
- Settlement: provides access to the securities and reporting service;
- Cash & Liquidity: provides access to the cash and reporting services;
- Asset Services: provides access to the whole lifecycle of corporate actions;
- Tax: provides access to the tax services;
- Reference Data: provides access to static data;
- Reporting & Monitoring: provides access to the subscription and management of reports;
- User Management: gives access to the User management service. Management of users, user groups, functional and business roles, resources;
- Help and Resources: provides access to online help and message exchange.
2. Collateral Management

My Activities

A user with the appropriate permissions can:

- Create, Upload and Query Collateral management instructions;
- Query and view positions on Source accounts;
- Simulate Collateral allocation based on selected Contract;
- View Collateral Management contract details including Eligibility, Haircut and Concentrations set up;
- Query and view Securities details in the context of Collateral Management;
- Retrieve Collateral Management reports including MIS report.
Collateral Management

Actions

To Do Summary

The subdomain To Do Summary shows collateral management instructions (CMIs) for which action must be taken.

In the Query name drop down menu, Pending items is set as the predefined query and the results are displayed once the user enters the subdomain. The user can retrieve and authorise, reject, modify or release all pending items as well as have an overview of the CMIs.

Contract Data

Contracts

The subdomain Contracts allows the user to:

- Query within a list of granted contracts; and
- View the detailed rules (Eligibility / Haircut / Concentrations).

From a selected contract the user can:

- Go to the related exposures, instructions and allocated pieces;
- Create a new exposure;
- Check the eligibility of ISIN[s] held on [a] source account or a list [external file];
- Simulate new exposures [Real time or Extended simulation tool];
- Generate the document, Collateral Basket overview that provides an overview of the collateral basket contents in a PDF format.

Collateral

Exposures

The user can view, in real-time, all transactions with counterparties. The user selects the subdomain Exposures that shows the list and the details of collateral exposures selected contracts.

The user can retrieve an exposure from a contract or by querying on specific criteria:

- Exposure reference;
- Counterparty;
- Contract specific info [for example, contract reference, status];
- Principal / collateral value [required / balance etc.].

From a selected exposure, the user can:

- Go to the related exposures, instructions and allocated pieces;
- Create all types of Collateral Management Instructions:
  - New exposure;
  - Change repo rate;
  - Change principal;
  - Change closing date;
  - Collateral movements [allocation / substitution / withdrawal].
Collateral Cash

The subdomain Collateral Cash provides the list of cash pieces allocated on selected exposures. The user can retrieve collateral cash pieces from the contract, the exposure or a specific collateral management instruction.

The button “Total” in the List View, allows the user to aggregate the collateral value of the selected securities.

From a selected cash piece, the user can, depending on their profile (Receiver/Giver):

- Go to the linked Contracts and Operational profile,
- View specific Collateral Management and Settlement Instruction(s),
- Check positions on the Source account.

Collateral Securities

The user can view, in real-time, all securities collateral received from a counterparty or allocated to a specific transaction, the user selects the subdomain Collateral Securities to provides the list of securities allocated on the selected exposures.

The user can query on various criteria for example ISIN, Collateral Value.

The button “Total” in the List View, allows the user to aggregate the collateral value of the selected securities.

From a selected Collateral piece, the user can, depending on his/her profile (Receiver/Giver):

- Go to the linked Contracts and Operational profile;
- View Security Reference Data and Ineligibility calendar;
- View specific Collateral Management and Settlement Instruction(s);
- Check positions on Source account.
Collateral Management

Eligibility Check

The subdomain Eligibility Check enables Collateral Givers to determine collateral eligibility across one or more counterparties.

The eligibility check can be performed via following:

- Entering individual ISINs
- Using available source accounts only
- Using available source accounts and an external file
- Using an external file only

The user can check the eligibility of securities against the contracts selected. If the security does not respect the eligibility rules, the security is ineligible.

If the user chooses to run the eligibility check by another way than entering individual ISINs, the results will be delivered as a report (On Demand).

The uploaded file always has the same structure. The file must be a text file (.txt) with values separated by a comma. Each security to be checked must be on a different row and the two values to be indicated are the ISIN. The quantity is not mandatory, but if the value is entered then the collateral valuation will be performed and the concentrations limits are not checked.

Positions

The subdomain Positions provides the facility for users (depending on their profile and grants) to check securities positions and instructions for collateral and trading accounts for a selected business date.

The following positions are available:

- Held Free (refers to actual settled positions on an account);
- Pending Delivery.

Principal

Principal Securities

The subdomain displays, in real-time, the principal securities allocated to TSLS exposures.
Instructions

Collateral Management

Collateral Management Instructions - View

The subdomain Collateral Management enables the user to view the collateral management instructions (CMI) created by any input media as well as their details (instruction ID, instruction type, instruction party, counterparty, value date, etc.).

Collateral Management Instructions - Create

The Input of a Collateral Management Instructions (for example, allocation/top up, change of Principal, ....) must be initiated from one of the following subdomains:

- Contracts;
- Exposures.
Collateral Management

The user can create Collateral Management instructions manually or by uploading a file. The entry point to create a Collateral Management instructions is:

- a selected contract; or
- a selected exposure

Depending on their rights, users can create all types of collateral management instructions.

- New exposure;
- Change repo rate;
- Change principal;
- Change closing date;
- Collateral movements (allocation, substitution, withdrawal).

**Collateral Management Instructions - Release / Authorise**

The user can authorise and release [4 or 6 eyes principle] collateral management instructions via Actions, To Do Summary.

**Settlement**

The subdomain Settlement shows the list of settlement instructions generated by CmaX.

**Create File Upload**

**How to load Collateral Management instructions**

The subdomain Create File Upload enables the user to upload a file (in xls or CSV format) containing participant instructions (1 to 200 rows).

Once loaded, the system will perform validation checks and display the rows containing errors.

By clicking on "Submit", the user sends the file with ONLY the valid participant instructions, or the user can perform the appropriate updates and reload a new file.

**PI File upload - Release / Authorise**

The user can authorise and release (4 / 6 Eyes principle) the file via Actions, To Do Summary. The user will release/authorise the file as bulk and NOT each instruction individually. Once the file is released the system will automatically generate the individual participant instructions that will be visible under Collateral Management.

**Allegation**

The subdomain Allegement enables the user to view counterparty collateral management instructions for which no matching instruction can be found. A single action then allows a real-time matching instruction to be created, pre-filled with the counterparties’ details for further processing.
Reports

The Reports subdomains enable the user to retrieve the result of the simulations on exposures or to generate a MIS report resulting from a request made within the application.

On Demand

Users are advised by the My Alerts portlet when the reports are ready.

When the user enters the subdomain the results of a predefined query "Reports date today" are automatically displayed.

Reports will remain available for seven (7) calendar days after generation, and then they will be archived.

Eligibility check report

Unless the user has opted to run the eligibility check by entering individual ISINs, the results of the check are delivered as a report in the subdomain On Demand. The report contains:

- Security information;
- Basket reference;
- Collateral value in the selected currency (if the portfolio includes both ISIN and quantity);
- Ineligibility reason (if there are multiple reasons for ineligibility, the report will only list the first rule that was not respected).

Real Time and Extended simulation reports

The Summary report summarises all key information. It is available in PDF format.

The Detailed report provides all available information for each security. It is available in CSV format and can be opened directly in Excel.

Collateral Basket Overview

Collateral baskets can only be seen by the Collateral Receiver. The Collateral Giver will receive an Appendix A to the CMSA, with the collateral basket from his sales representative for signature. Once accepted a contract can be created using the collateral basket as a basis. From a contract the contents of the collateral basket can be viewed by the Collateral Giver as a report Collateral Basket - overview.

There are four tabs:

- General - Main characteristics of the basket
- Eligibility - Eligibility rules
- Haircuts - Haircut rules
- Concentrations - Concentration limits

Scheduled

Users can access the following scheduled collateral management reports:

- AS: Triparty collateral management daily agreement
- AS: Triparty collateral management daily agreement (BASEL II compliant)
- AGRE: Triparty collateral management daily agreement
- SSAG: Security against security agreement
- CS: Counterparties summary text
- CYDS: Collateral provider summary
- CSR: Collateral shortage report
- CPDS: Collateral taker summary
MIS

MIS reports provide external customers with statistical information about their activities. The Business areas of the activities covered are:

- Outstandings
- Daily Collateral Outstandings
- Daily Outstandings per Counterparty
- Outstandings per counterparty
- Outstandings per Issuer Country
- Security details
- Daily Outstandings per Counterparty and Collateral Types
- Daily Outstandings per Collateral Types
- Outstandings per Structured Bond Subtypes
- Ratings
- Outstandings per Rating
- Daily Outstandings per Rating
- Haircuts
- Weighted average haircut per security type
- Average Haircut per Counterparty and Basket
- Principal
- Daily Principal Outstanding
- Daily Principal Value per Exposure currency
- Exposure
- Trade Size
- Trade Term

Simulation

Extended and Real Time

Simulation is not a forecast: it does not predict maximum trading potential. The user can source collateral from a mixture of existing accounts including one external portfolio.

The executed simulation will behave as if the action has been taken in production.

The following strategies are possible:

- No file
  This strategy will simulate allocations to the entered exposures using available collateral only;
- File only
  This strategy will simulate allocations to the entered exposures with collateral from the file only;
- Merge File
  This strategy will simulate allocations to the entered exposures with available held free and file collateral;
- File upload - table of errors
  This strategy will generate a result with all the valid file content.
### My Settings

#### Menu

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<th>Collateral Management - My Activities</th>
<th>Collateral Management - My Settings</th>
<th>Reporting &amp; Monitoring</th>
<th>User Management</th>
<th>Help &amp; Resources</th>
</tr>
</thead>
</table>

#### Contract Data

**Own Baskets**

The subdomain Own Baskets allows the Collateral Receiver to see Collateral Baskets that contain the Eligibility, Haircuts and Concentrations rules.

A user can go to the linked Contracts and Operational profile from a selected Collateral Basket.

**Collateral Giver Exclusion**

The subdomain Collateral Giver Exclusion allows the Giver to see Collateral Giver Profiles (CGP) that contain exclusion rules to restrict the pool of Eligible assets.

A user can go to the linked Contracts and Operational profile from a selected Collateral Giver profile.
Operational Profiles
This subdomain allows the user to see a list of Collateral Givers and Receivers [based on their access rights].
The main identifier of a participant is the short code with a maximum of 8 characters. The user can query participants on their short codes, names, roles or status.
From a selected Operational profile, the user can click on the “Go to” button and view the linked:
- Contracts;
- CLBs;
- CGPs;
- Exposures;
- Allocated cash or securities;
- Collateral management instructions;
- Reports.

Securities
The Securities domain enables the user to see the details of a security, an issuer or the ineligibility calendar in the context of Collateral Management Services.

Security Lists
The Security Lists subdomain enables the user, depending on their grants, to view the Security List.

Security Lists Content
The Security Lists Content subdomain enables the user, depending on their grants, to view the detail list of a specific Security List.

Ineligibility Calendar
The Ineligibility Calendar subdomain enables the user, depending on their grants, to view the ineligibility reason for a selected security.
External Institutions

Issuers

Each security has an associated issuer. Details for the issuer can be found within the ‘Issuers’ subdomain.

Groups

Reporting Groups

Reporting Groups are created on behalf of customers wishing to combine multiple participant short codes into a single report. The Reporting Groups subdomain enables the user, depending on their grants to view the related groups setup.
3. Settlement

As a user with the appropriate permissions, you can use Xact Web Portal to:

- Create, release and query securities settlement instructions;
- Upload securities instruction files;
- Query and view securities positions;
- Subscribe to and retrieve reports.
Security Instructions

To create a securities instruction:

1. Click on Settlement, Security Instructions in the main menu of Xact Web Portal. The screen opens with the Query view.

2. Click on “Create” and a drop down list appears. (The “Create” button is different for securities instructions as there is a drop down list).

3. Choose either:

   Advanced input - shows all possible fields for a settlement instruction [if you switch to Quick input, you receive a warning that any fields that are not supported by Quick input will be lost].

   Quick input - shows the majority of fields required for a settlement instruction [you can switch to Advance view without losing your input].

   Wizard input - aims at reducing the complexity of the creation of a new security instruction. The focus is set on the most important and relevant fields.

   a) Advanced input

      The Instruction Advanced Input screen is divided into 8 sections:

      - Settlement type & identification;
      - Linkages;
      - Trade details;
      - Financial instrument, quantity & accounts;
      - Settlement parameters;
      - Settlement parties;
      - Amounts;
      - Additional physical or registration details.

      Click on Settlement type & identification.
Settlement

Populate all mandatory fields, these are marked with an *:

- Transaction ID;
- Securities movement: Delivery or receive;
- Payment: Against payment settlement or separate settlement.

The Processing position allows to the user to select from a domain of values.

The Linking reference allows the user to select an ID to link with.

The Trade details section requests the input of:

- Settlement date;
- Deal Price format: Amount or Rate.
In the Financial instrument field, quantity and accounts section the settlement quantity has to be completed after having selected whether it is unit or amount.

After the financial instrument is selected, the “Market Rules” button will be visible. When the button is clicked:

- If the financial instrument is deposited in one market, a new browser tab will open the Clearstream website with the Xact Web Portal instruction specifications for that market.
- If the financial instrument is deposited in multiple markets, a pop-up window will open with a drop down list of the possible markets. After choosing the required market, a new browser tab will open the Clearstream website with the Xact Web Portal instruction specifications for that market.
In the Settlement parameters section the securities transaction type has to be completed.

The Settlement parties section is divided into Delivering settlement parties and Receiving settlement parties.
b) Quick input

For quick input, the following fields indicated with an * have to be completed:

- Transaction ID;
- Financial Instrument contains the ISIN of the instrument input manually or selected via the lookup. The description of the selected financial instrument appears in the non-editable Description field;
- Safekeeping account;
- Security transaction Type;
- Securities movement: Delivery or Receive;
- Payment: Against payment settlement or separate settlement;
- Settlement Quantity;
- Settlement Date;
- Settlement Amount: Unit or Face amount;
- Credit debit Indicator;
- Depository refers to place of settlement of the trade: BIC or Country code can be selected;
- Party 1 Format: Choose the party format from delivering or receiving agent, BIC, Name or Proprietary.

The “Market Rules” button will be visible. When the button is clicked:

- If the financial instrument is deposited in one market, a new browser tab will open the Clearstream website with the Xact Web Portal instruction specifications for that market.
- If the financial instrument is deposited in multiple markets, a pop-up window will open with a drop down list of the possible markets. After choosing the required market, a new browser tab will open the Clearstream website with the Xact Web Portal instruction specifications for that market.
c) Wizard input

On the Start tab, the Safekeeping account must be completed in order to proceed.

On the next tab, the following fields indicated with an * have to be completed:
- Transaction ID;
- Financial instrument;
- Sec. transaction type;
- Depository;
- Securities movement;
- Payment.
On the following tab, the following fields indicated with an * have to be completed:

- Settlement date;
- Settlement quantity;
- Settlement amount;
- Credit debit indicator.

In the Settlement parties tab, complete the counterparty details and click on "Next".
The below screen appears.

Click on “Submit” to submit the instruction.

**Note:** You can also create a securities instruction by duplicating an existing instruction (please refer to “To duplicate an existing securities instruction”), or by using a template (please refer to “To create a template from a securities instruction”).

Created instructions [including modifications and cancellations requests] need to be released to Clearstream for processing. By clicking on “Submit”, the instruction is created, but not released, except if you have a 2-eyes principle set-up.

**To query securities instructions:**

1. Click on Settlement, Security Instructions in the main menu of Xact Web Portal.
2. Populate the fields with the required search criteria.
3. Click on “Count” to view the number of rows without seeing the List View. If you want to check how many results your query will yield as it is currently specified, use the “Count” button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.
4. Click on “Query” to see the List View.

**To view the details of an existing securities instruction:**

1. Perform a query as above.
2. To display the details of the instruction, select the row[s] from the list and click on “Open details”.
3. If more than one instruction is selected the details opens in separate tabs.
4. Click on Go To to check cash balances or securities positions.
5. Click on the “Close” button to close the details.
Settlement

To duplicate an existing securities instruction

1. Perform a query as above.
2. Duplicating an instruction from the List View:
   - Select the instruction in the List View and click on the Actions button and choose Duplicate.
   - A New Securities Instruction tab opens, this contains the details of the previous instruction.
   - Make any changes as necessary, and Click on “Submit”.
3. Duplicating an instruction from the detail view:
   - Select the instruction in the List View and click on “Open details”
   - The detail view opens. Click on the Actions button and choose Duplicate.

To create a template from a securities instruction

1. Create a securities instruction as above.
2. Once all of the required fields have been completed, click on “Save” and give the template a name.
3. In the future, the template can be selected from the top of the New Securities Instruction tab.

To modify/edit a securities instruction:

1. Perform a query as above.
2. For instructions that have not been released:
   - Open the detail view of the instruction that you wish to modify and click on the Edit button.
   - Make the changes as required and click on “Submit” to modify/edit an instruction. The instruction needs to be released (please refer to "Instruction input life cycle").
3. For instructions that have been released:
   - Select the instruction that you wish to modify from the List View, and click on the Actions button.
   - Click on “Request modification”.
   - The Modification input view opens, only the fields that can be modified will be enabled.
   - Make the changes as required and Click on “Submit”.
   The instruction needs to be released (please refer to "Instruction input life cycle").
To delete/cancel a securities instruction

1. Perform a query as above.
2. For instructions that have not been released:
   - Select the instruction that you wish to cancel from the List View, and click on the Actions button.
   - Click on “Delete” and confirm.
3. For instructions that have been released:
   - Select the instruction that you wish to cancel from the List View, and click on the Actions button.
   - Click on “Cancellation Request”.
   - The New Cancellation Request view opens.
   - Click on “Submit”.

The instruction needs to be released (please refer to "Cancellation requests").

To verify/release a securities instruction:

1. Perform a query as above.
2. Select the instruction that you wish to release depending on access granted in user profile (N-eyes principles) from the List View, and click on the Actions button for an instruction that is pending release.
Security File Upload

This allows the user to upload a large volume of instructions in Excel format via Xact Web Portal.

To upload a securities instruction file:

Note: A list of up to 300 security instructions in ASCII file format can be uploaded. Please refer to "Appendix 5 - CSV file upload specifications" for further format information.

2. The File Upload Input tab opens. When selecting File Content, an additional button appears on the bottom right-end side of the screen: [Download...].
   This button allows the user to download the latest template of the selected service.
3. Click on "Upload File" and browse for the instruction file and click on "Upload".
4. Once the upload is complete, the File Upload List View is displayed.
5. The progress of the validation of the file is shown.
6. If there are any errors in the uploaded file, the full file is rejected and errors need to be amended and uploaded again. The validation results indicate the error and the row in which the error occurred.
7. Once the file is successfully loaded, instructions are created but not released (user can query for them in the Securities Instructions query) or view them via the Go to → Process Data link in the File Upload screen.

To query a securities instruction file:

2. Click on “Query/List” and the File Upload query screen opens.
3. Select the already loaded CSV file and click on "Query".
Security Positions

As a business user with the appropriate permissions, you can use Xact Web Portal to query and view the position of a specified security. Users can view the security movements (for one account/security/position type) by selecting “View movements” from List View.

To query a security position:

2. Populate the fields with the required search criteria.

3. Click on “Count” to view the number of rows without seeing the List View. If you want to check how many results your query will yield as it is currently specified, use the “Count” button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.

4. Click on “Query” to see the List View.
Settlement

Reporting

Manage Report Subscriptions

1. In the main menu, select Settlement, Reporting, Manage Report Subscriptions.
2. You are then automatically redirected to the Report Centre, Manage Report Subscriptions.

View Delivered Reports

In the main menu, select Settlement, Reporting, View Delivered Reports.

You are then automatically redirected to the Report Centre, View Delivered Reports.

For Settlement, the report types available are:

- Statement of holdings;
- Statement of transactions;
- Statement of pending transactions;
- Statement of allegements;
- Settlement confirmation;
- Settlement status and processing advice;
- Settlement allegements;
- Intra-Position advice;
- Statement of intra-position advice.
4. Cash & Liquidity

As a user with the appropriate permissions, you can use Xact Web Portal to create and process Pre-advice of Funds, Withdrawal of Funds, User Transfer and Foreign Exchange cash instructions and to query and view cash balances and credit and collateral usage.
Cash Instructions

To create a cash instruction:
1. Click on “Cash & Liquidity”, “Cash Instructions” in the main menu of Xact Web Portal. The screen opens with the Query view.
2. Click on “Create” and select Create Cash Instruction.
3. A new tab opens.
4. Complete the fields as required. Fields with a * are mandatory.
5. Click on “Submit” to create an instruction.
6. The instruction needs to be released (please refer to “Instruction input life cycle”).

To query cash instructions:
1. Click on “Cash & Liquidity”, “Cash Instructions” in the main menu of Xact Web Portal.
2. Populate the fields with the required search criteria.
3. Click on “Count” to view the number of rows without seeing the List View. If you want to check how many results your query will yield as it is currently specified, use the “Count” button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.
4. Click on “Query” to see the List View.

To view the details of an existing cash instruction:
1. Perform a query as above.
2. To display the details of the instruction, select the row[s] from the list and click on “Open details”:
   3. If more than one instruction is selected the details opens in separate tabs.
4. Click on the “Close” button to close the details.

To duplicate an existing cash instruction:
1. Perform a query as above.
2. Duplicating an instruction from the List View:
   - Select the instruction in the List View and click on the Actions button and choose Duplicate.
   - A New Cash Instructions tab opens, this contains the details of the previous instruction.
   - Make any changes as necessary, and Click on “Submit” to create an instruction.
   - The instruction needs to be released (please refer to “Instruction input life cycle”).
3. Duplicating an instruction from the detail view:
   - Select the instruction in the List View and click on Open details.
   - The detail view opens. Click on the Actions button and select Duplicate.

To create a template from a cash instruction:
1. Perform a cash instruction as above.
2. Once all of the required fields have been completed, click on “Save” and give the template a name.
3. In the future, the template can be selected from the top of the New Cash Instructions tab.

**To delete/cancel a cash instruction:**

1. Perform a query as above.
2. For instructions that have not been released:
   - Select the instruction that you wish to cancel from the List View, and click on the Actions button.
   - Click on “Delete”.
3. Click on “Submit” to cancel the instruction.
4. The instruction needs to be released (please refer to “Instruction input life cycle”).

---

**Cash File Upload**

This allows the user to upload a large volume of instructions in Excel format via Xact Web Portal.

**To upload a cash instruction file:**

2. The File Upload Input tab opens. After selecting the File Content, an additional button appears on the bottom right-end side of the screen: Download...
   - This button allows the user to download the latest template of the selected service.
3. Browse for the instruction file and click on the Upload button.
4. Once the upload is complete, the File Upload List View is displayed.
5. The progress of the validation of the file is shown.
6. If there are any errors in the uploaded file, the full file is rejected and errors need to be amended and uploaded again. The validation results indicates the error and the row in which the error occurred.

**To query a cash instruction file:**

2. Click on “Query”/List and the File Upload query screen opens.
3. Select the already loaded CSV file and click on “Query”.
Cash & Liquidity

Cash Balances

As a user with the appropriate permissions, you can use Xact Web Portal to query and view the balance of a specified currency. Users can view the balances (for one account/position type).

To query cash balances:

1. Click on “Cash & Liquidity”, “Cash Balances” in the main menu of Xact Web Portal
2. Populate the fields with the required search criteria.
3. Click on “Count” to view the number of rows without seeing the List View. If you want to check how many results your query will yield as it is currently specified, use the “Count” button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.
4. Click on “Query” to see the List View.

Cash Balances
CBF Cash Forecast

The CBF Cash Forecast supports customers in determining how much cash needs to be reserved for the night-time settlement (NTS) of the following T2S Business Day. The CBF Cash Forecast is based on reports received from T2S and is enriched with CCP and Bund payments information.

To query CBF Cash Forecast:

1. Click on Cash & Liquidity, Cash Balances in the main menu of Xact Web Portal.
2. Select “Query” from already saved ones:
   - Drop down list contains all saved queries.
   - Saving can be done via clicking on the Save button and stating a unique name.
3. Define the balance view section:
   - Select business day for which data is required. This field is, by default, set to the most recent business day.
   - Define currency ("EUR" currently available).
4. Define the parties sections:
   - Enter DCA number (multiple entries are allowed) or;
   - Click on the lookup button for searching based on the Account ID or DCA number or opening date (multiple selection is allowed).
5. Define Ordering section.
6. Click on “Count” to view the number of rows without seeing the’ List View’. If you want to check how many results your query will yield as it is currently specified, use the ‘Count Only’ button or Action menu command to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.
7. Click ‘Query’ to view results.
Cash & Liquidity

To Export/Print data

1. Once data is displayed in the List section, the system allows to export or print the data set.
2. Click on "Export":
   - All - without expandable sections;
   - List - like the All and if section expanded then the data from that section;
   - Selection - selected rows.

Reporting

Manage Report Subscriptions

1. In the main menu, select “Cash & Liquidity”, “Reporting”, “Manage Report Subscriptions”.
2. You are then automatically redirected to the Report Centre “Manage Report Subscription”.
View Delivered Reports

In the main menu, select "Cash & Liquidity", "Reporting", "View Delivered Reports".

You are then automatically redirected to the Report Centre "View Delivered Reports".

For Cash & Liquidity, the report types available are:

- Cash Balance
- Money statement
- Money suspense report
- Confirmation of Debit/Credit
- T2S Cash Report for CB Clients
Credit & Collateral Query

As a user with the appropriate permissions, you can query credit and collateral usage, the results of your query provide an overview of your account positions and general collateral usage.

To query credit and collateral:

1. In the main menu, select “Cash & Liquidity”, “Usage”, “Credit & Collateral Query”;
2. In Query/Account, input the account number.
Depending on the type of account, the following will be displayed:

**Standalone account** (that is, not part of an umbrella)

Credit & Collateral Usage summarises your activities, listing the following items:

<table>
<thead>
<tr>
<th><strong>Account Id</strong></th>
<th>Account number</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Account Name</strong></td>
<td>Account name associated with the queried account</td>
</tr>
<tr>
<td><strong>Business Date</strong></td>
<td>Business date of positions</td>
</tr>
<tr>
<td><strong>Total Credit Line Usage</strong></td>
<td>Total real-time credit line usage for the current processing day</td>
</tr>
<tr>
<td><strong>Used Collateral</strong></td>
<td>Real-time collateral that is not available for the current processing day</td>
</tr>
<tr>
<td><strong>Available Collateral</strong></td>
<td>Real-time collateral that is available for the current processing day</td>
</tr>
<tr>
<td><strong>Total Collateral</strong></td>
<td>Real-time collateral overview for the current processing day</td>
</tr>
<tr>
<td><strong>Total % CollateralUsed</strong></td>
<td>Total % of available Used Collateral for the account</td>
</tr>
</tbody>
</table>

Forecast Usage Details shows, for next day value, for each standalone account, the instructions that will have a cash or securities collateral impact per instruction type and currency.
Umbrella account
By querying on an account that is part of an umbrella, all accounts falling under the umbrella will be displayed:

Credit & Collateral Usage summarises the positions at the umbrella level, listing the following items:

<table>
<thead>
<tr>
<th></th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Umbrella</strong></td>
<td>The umbrella account</td>
</tr>
<tr>
<td><strong>Business Date</strong></td>
<td>Business date of positions</td>
</tr>
<tr>
<td><strong>Total Credit Line Usage</strong></td>
<td>Total real-time credit line usage for the current processing day</td>
</tr>
<tr>
<td><strong>Used Collateral</strong></td>
<td>Real-time collateral that is not available for the current processing day</td>
</tr>
<tr>
<td><strong>Available Collateral</strong></td>
<td>Real-time collateral that is available for the current processing day</td>
</tr>
<tr>
<td><strong>Total Collateral</strong></td>
<td>Real-time collateral overview for the current processing day</td>
</tr>
</tbody>
</table>
Current Usage Details lists all the accounts that are part of the umbrella, showing their respective position, usage and function in the umbrella:

<table>
<thead>
<tr>
<th>Account</th>
<th>Currency</th>
<th>Credit Line Usage</th>
<th>Collateral Used</th>
<th>% Collateral Used</th>
<th>Shared Credit Line</th>
<th>Shared Collateral</th>
<th>Shared Contributor</th>
</tr>
</thead>
<tbody>
<tr>
<td>11111</td>
<td>USD</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>N</td>
<td>Y</td>
<td>N</td>
</tr>
<tr>
<td>12111</td>
<td>USD</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>N</td>
<td>Y</td>
<td>N</td>
</tr>
<tr>
<td>13111</td>
<td>USD</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>N</td>
<td>Y</td>
<td>N</td>
</tr>
<tr>
<td>14111</td>
<td>USD</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>N</td>
<td>Y</td>
<td>N</td>
</tr>
<tr>
<td>15111</td>
<td>USD</td>
<td>-504,809,429.11</td>
<td>-504,809,429.11</td>
<td>29.54</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>16111</td>
<td>USD</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>Y</td>
<td>Y</td>
<td>N</td>
</tr>
<tr>
<td>17111</td>
<td>USD</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>Y</td>
<td>Y</td>
<td>N</td>
</tr>
<tr>
<td>18111</td>
<td>USD</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>Y</td>
<td>Y</td>
<td>N</td>
</tr>
<tr>
<td>19111</td>
<td>USD</td>
<td>-94,073,925.62</td>
<td>-94,073,925.62</td>
<td>2.29</td>
<td>Y</td>
<td>Y</td>
<td>N</td>
</tr>
<tr>
<td>20111</td>
<td>USD</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>Y</td>
<td>Y</td>
<td>N</td>
</tr>
</tbody>
</table>

**Account**
Account number

**Currency**
Currency

**Account Name**
Account name associated with the queried account

**Business Date**
Business date of positions

**Credit Line Usage**
Real-time credit line usage for the current processing day

**Collateral Used**
Real-time collateral that is not available for the current processing day

**% Collateral Used**
Percentage of used collateral compared to available collateral

**Shared Credit Line**
If Y, the credit line of the umbrella account is shared by the account

**Shared Collateral**
If Y, the collateral of the umbrella account is shared by the account

**Shared Contributor**
If Y, the account contributes collateral to the umbrella account
Forecast Usage Details shows, for next day value, for each account in the umbrella, the list of instructions that will have a cash or securities collateral impact by instruction type and currency:

<table>
<thead>
<tr>
<th>Account</th>
<th>Instruction Type</th>
<th>Currency</th>
<th>Cash Impact</th>
<th>Securities Collateral Impact</th>
<th>Shared Credit Line</th>
<th>Shared Collateral</th>
<th>Shared Contributor</th>
</tr>
</thead>
<tbody>
<tr>
<td>11111</td>
<td>DF External</td>
<td>USD</td>
<td>5,086,823.29</td>
<td>5,999.08</td>
<td>N</td>
<td>Y</td>
<td>N</td>
</tr>
<tr>
<td>12111</td>
<td>DF Internal</td>
<td>USD</td>
<td>0.00</td>
<td>-1,984,200.46</td>
<td>Y</td>
<td>Y</td>
<td>N</td>
</tr>
<tr>
<td>13111</td>
<td>DVP Internal</td>
<td>USD</td>
<td>-8,087,054.321.55</td>
<td>-5,123,456.699.21</td>
<td>Y</td>
<td>Y</td>
<td>N</td>
</tr>
<tr>
<td></td>
<td>DVP External</td>
<td>USD</td>
<td>3,764,320,214.80</td>
<td>2,967,031,909.09</td>
<td>N</td>
<td>Y</td>
<td>N</td>
</tr>
<tr>
<td></td>
<td>IPK</td>
<td>USD</td>
<td>17,025,227.93</td>
<td>0.00</td>
<td>N</td>
<td>Y</td>
<td>N</td>
</tr>
<tr>
<td></td>
<td>Pre-Advice of Funds</td>
<td>USD</td>
<td>97,600.00</td>
<td>0.00</td>
<td>Y</td>
<td>Y</td>
<td>N</td>
</tr>
<tr>
<td></td>
<td>RF External</td>
<td>USD</td>
<td>0.00</td>
<td>429,188,807.43</td>
<td>Y</td>
<td>Y</td>
<td>N</td>
</tr>
<tr>
<td></td>
<td>RF Internal</td>
<td>USD</td>
<td>0.00</td>
<td>709,507,332.84</td>
<td>Y</td>
<td>Y</td>
<td>N</td>
</tr>
<tr>
<td></td>
<td>RVP Internal</td>
<td>USD</td>
<td>-8,123,728,526.95</td>
<td>7,675,886,837.55</td>
<td>Y</td>
<td>Y</td>
<td>N</td>
</tr>
<tr>
<td></td>
<td>RVP External</td>
<td>USD</td>
<td>-3,087,054,321,28</td>
<td>3,986,439,541.93</td>
<td>N</td>
<td>Y</td>
<td>N</td>
</tr>
<tr>
<td></td>
<td>Withdrawal of Funds</td>
<td>USD</td>
<td>156,753,568.20</td>
<td>0.00</td>
<td>N</td>
<td>Y</td>
<td>N</td>
</tr>
<tr>
<td>14111</td>
<td>USD</td>
<td>134,416,390.53</td>
<td>3,115,433.27</td>
<td>N</td>
<td>Y</td>
<td>N</td>
<td></td>
</tr>
<tr>
<td>15111</td>
<td>USD</td>
<td>0.00</td>
<td>-4,999,000.99</td>
<td>N</td>
<td>Y</td>
<td>N</td>
<td></td>
</tr>
</tbody>
</table>
5. Asset Servicing

As a user with the appropriate permissions, you can use Xact Web Portal to:

- Query corporate action events;
- Query corporate action confirmations;
- Create and query corporate action instructions;
- Query forecast movements of cash or securities proceeds over the next 8 days;
- Subscribe to and receive reports.

Asset services is divided in 5 domains:

1. Event
2. Confirmation
3. Instruction
4. Movement
5. Reporting

![Asset Servicing Diagram]
CA Event

The user can also query events and corporate actions (CA) without holdings and visualise the MT564 and MT568 messages, as well as IPAR (Income Pre Advice) details. Via CA Event you can access the query list and detailed views of a corporate action event.

**To query corporate action events:**

1. Click on Asset Servicing, CA Event in the main menu of Xact Web Portal.
2. In the Query View, the following details of the query can be selected:
   - In the Corporate Action ref. field, the user can input the reference of the related corporate action event.
   - The drop-down list of the Event Type contains all event type codes.
   - Action Status list used to query on a specific Action Status.
   - Processing Status.
   - CA type used to distinguish between corporate action event or certification event.
   - Market is used to filter the events based on country of financial underlying security.
   - Mandatory/voluntary is used to distinguish between three event categories mandatory, mandatory with choice and voluntary.
   - The financial instrument contains the ISIN of the instrument input manually or selected via the lookup. The description of the selected financial instrument appears in the non-editable Description field.
   - Safekeeping account contains the account ID. It can be input by the user or selected via the lookup. The Safekeeping Account Name shows the name of the selected account. This field is not eligible.
3. Populate the fields with the required search criteria.
4. By clicking on the Account magnifying glass, the user can filter by entity CBL, CBF and LuxCSD.
5. Click on “Count” to view the number of rows without seeing the List View. If you want to check how many results your query will yield as it is currently specified, use the “Count” button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.
6. Click on “Query” to see the List View.
7. Results in List View are aggregated by corporate action event. If multiple accounts are impacted by the event, the main row can be expanded to view all accounts.
To view the details of a corporate action event:

The Detail view can be opened for one account only or for the event for all accounts:
1. Perform a query as above.
2. To display the details of the event, select the row[s] from the list and click on "Open details":
3. If more than one instruction is selected the details open in separate tabs.

CA Event

The detail view displays event details for all accounts (the user can choose to filter the details displayed for a particular subset of accounts) This is different from the other queries, where the information is always split by account.

The CA Event view is divided into:

- Summary view is composed of a timeline, key information, a quick navigation panel.

The view is based on ISO 15022. When present, Certification and MT568 details are added to the bottom of the Event detailed view and sub-divided into:
  - Account Specific filtered by account.
  - Event Summary which contains a graphical timeline with all important dates relevant to the event selected.

The colour orange indicates there remains an uninstructed balance.
The colour green indicates that the event has been fully instructed.

- The sub-sections of the CA Event Detail view are based on the SWIFT MT564 ISO 15022 format

The following sub-sections are supported:
To create a corporate action instruction from a corporate action event:

1. Perform a query as above.
2. To display the details of the instruction, select the row(s) from the list and click on “Open details”:
3. If more than one instruction is selected the details open in separate tabs.
4. Click on “Create” CA Instruction.
5. The Create CA Instruction window opens pre-filled with the information about the event and the securities.
6. Complete your corporate action instruction with the sender’s reference option number and quantity to instruct.
7. Click on “Submit” to send the instruction.
8. The instruction needs to be released (please refer to “Instruction input life cycle”).
CA Confirmations

To query corporate action confirmations:

1. Click on Asset Servicing, CA Confirmations in the main menu of Xact Web Portal.
2. Populate the fields with the required search criteria.
3. Click on “Count” to view the number of rows without seeing the List View. If you want to check how many results your query will yield as it is currently specified, use the “Count” button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.
4. Click on “Query” to see the List View.

Results in List View are aggregated by event. If multiple confirmations have been received for one or more accounts, users can expand on the main row to view all received confirmations.

To view the details of a corporate action confirmation:

1. Perform a query as above.
2. To display the details of the confirmation, select the row[s] from the list and click on “Open details”: 

[Image of CA Confirmation page]
3. If more than one instruction is selected the details will open in separate tabs.
4. Click on the Go To button to view the related corporate action event, related corporate action instructions, related MT566 Reports, related Security Instructions and related Cash Instructions
5. Click on the “Close” button to close the details.

CA Instructions

To create a corporate action instruction:

1. A corporate action instruction should always be created from the corporate action event, so it is linked to this event.
2. A corporate action instruction created separately results in an unsolicited instruction (an instruction not linked to an event).
3. Click on “Asset Servicing”, “CA Instruction” in the main menu of Xact Web Portal. The screen opens with the Query view.
4. Click on “Create”.
5. A new tab opens.
6. Complete the fields as required. Sender’s reference, Event Type, ISIN, Safekeeping Account, Option Number, Quantity.
7. Click on “Submit”.
8. The instruction needs to be released [please refer to “Instruction input life cycle”].
To query corporate action instructions:

1. Click on “Asset Servicing”, “CA Instruction” in the main menu of Xact Web Portal.
2. Populate the fields with the required search criteria.
3. Click on “Count” to view the number of rows without seeing the List View. If you want to check how many results your query will yield as it is currently specified, use the “Count” button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.
4. Click on “Query” to see the List View.

To view the details of an existing corporate action instruction:

1. Perform a query as above.
2. To display the details of the instruction, select the row[s] from the list and click on “Open details”.
3. If more than one instruction is selected the details open in separate tabs.
4. Click on the “Close” button to close the details.

To duplicate an existing corporate action instruction

1. Perform a query as above.
2. Duplicating an instruction from the List View:
   - Select the instruction in the List View and click on the Actions button and select “Duplicate”.
   - A New corporate action instruction tab opens, this contains the details of the previous instruction.
   - Make any changes as necessary, and Click on “Submit”.
3. Duplicating an instruction from the detail view:
   - Select the instruction in the List View and click on “Open details”.
   - The detail view opens. Click on the Actions button and choose Duplicate.

To edit/modify a corporate action instruction:

1. Perform a query as above.
2. For instructions that have not been released:
   - Open the detail view of the instruction that you wish to modify and click on the Edit button.
   - Make the changes as required and Click on “Submit” to modify the instruction.
3. The instruction needs to be released (please refer to “Instruction input life cycle”).

To delete/cancel a corporate action instruction:

1. Perform a query as above.
2. For instructions that have not been released:
   - Select the instruction that you wish to cancel from the List View, and click on the Actions button.
   - Click on “Delete” and confirm.
CA Instruction File Upload

This allows the user to upload a large volume of instructions in Excel format via Xact Web Portal.

To upload a corporate action instruction file:

Note: A list of up to 300 security instructions in ASCII file format can be uploaded. Please refer to "Appendix 5 - CSV file upload specifications" for further format information.

1. Click on Instruction, CA Instruction File Upload in the main menu of Xact Web Portal.
2. The CA Instruction File Upload Input tab opens. When selecting a file content, an additional button appears on the bottom right-end side of the screen:

   ![Download button](download_icon.png)

   This button allows the user to download the latest template of the selected service.
3. Browse for the instruction file and click on the Upload button.
4. Once the upload is complete, the CA Instruction File Upload List View is displayed.
5. The progress of the validation of the file is shown.
6. If there are any errors in the uploaded file, the full file is rejected and errors need to be amended and uploaded again. The validation results will indicate the error and the row in which the error occurred.
7. Once the file is successfully loaded, instructions are created but not released (user can query for them in the Securities Instructions query) or view them via the Go to → Process Data link in the File Upload screen.

To query a corporate action instruction file:

1. Click on “Instruction”, “CA Instruction File Upload” in the main menu of Xact Web Portal.
2. Click on “Query”/List and the CA Instruction File Upload query screen opens.
3. Select the already loaded CSV file and click on “Query”.

Forecast Movements

The Movement domain allows the user to view forecast events. It provides a simplified view of the cash and securities to be received.

The Corporate Action Forecast Movements Query Manager allows the user to view his unconfirmed (MT564 IPAR) and confirmed (MT566) cash and/or security movements over the forthcoming 5 days.

To query forecast movements:

1. Click on Asset Servicing, Forecast Movements in the main menu of Xact Web Portal.
2. Populate the fields with the required search criteria:
   - Movement type: All cash movements, all securities movements;
   - Event type;
   - Pre-advice status: Confirmed, unconfirmed;
   - Currency;
   - Account;
   - Financial Instrument;
   - Place of safekeeping;
   - Dates

3. Click on “Count” to view the number of rows without seeing the List View. If you want to check how many results your query will yield as it is currently specified, use the “Count” button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.

4. Click on “Query” to see the List View.
To view the details of the related corporate action event or corporate action instruction linked to a forecast movement:

1. Perform a query as above.
2. Select the requested row from the list. If more than one instruction is selected the details open in separate tabs.
3. Click on the Go To Menu in List View to view the related corporate action event or related corporate action instruction details.
Reporting

The Reporting allows the user to retrieve or to schedule specific reports. It provides a simplified view of the cash and securities to be received.

Manage Report Subscriptions

1. In the main menu, select Asset Servicing, Reporting, Manage Report Subscriptions.
2. You are then automatically redirected to the Report Centre, Manage Report Subscription.

View Delivered Reports

1. In the main menu, select Asset Servicing, Reporting, View Delivered Reports.
   You are then automatically redirected to the Report Centre, View Delivered Reports

For Asset Servicing, the report types available are:
- MT564 Income Pre-Advice Report (IPAR);
- MT564 Claim and Reversal Advice;
- MT566/568 Corporate Action Notifications;
- MT566 Corporate Action Confirmations;
- Urgent Uninstructed Notifications;
- MT567 Corporate Action Instruction Status and Processing Advice;
- Custody Market Claims;
- Corporate Actions Reference Data reporting.
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6. Tax

As a business user with the appropriate permissions, you can use Xact Web Portal:

- **US Tax** - Information includes all payment and tax details both in the original currency and in USD. Forex rates are provided for each payment and split. Payment and split statuses have been simplified and you can easily associate a beneficial owner, Tax Identification Number (TIN) and/or IRS income and exemption codes with a payment split.

- **Tax Refund** - You can retrieve a list of refunds by account, market, tax refund attributes, dates, event type and beneficial owner. You can use the expanded refund statuses, comments and refund type to track refunds submitted to Clearstream.

- **Tax certificate** - The results of your queries provide tax certificate inventory and expiry information. You can define your query by account, market, document, event and/or certificate validity dates, beneficial owner and event type. You can also use both Clearstream and the user’s own reference numbers.

- **FTT** - The results of your queries provide the Declaration Validation Status of Financial Transaction Tax (FTT) files uploaded via Xact Web Portal, CreationOnline and Xact File Transfer.

- To access the FTT Upload service and directly upload an FTT file;
- To be redirected to the Beneficial Owner Upload website;
- To be redirected to the Report Centre within the Tax context;
US Tax Query

To query US Tax:

1. In the main menu, select Tax, US Tax Query.
2. In the Query view, the following details of the query can be selected:
   - The Safekeeping Account contains the account ID. It can be input by the user or selected via the lookup. The Safekeeping Account Name shows the name of the selected account. This field is not eligible.
- In the Report Type field, you can select one of the following Report Types:

- The Split Payments allows you to select one of the three following buttons (only one button can be selected at any one time:
  - All Payments.
  - Split Payments Excluded (those ones where there has been no split between different beneficial owners).
  - Split Payments Only (only those ones where there have been splits on more than one beneficiary).
- You can select a Tax Rate. It is limited from 0 to 100.
- The Holding Quantity refers to the user’s holding or the Beneficial Owner(s) holding in the underlying securities.
- In the Gross Income Amount field, the user can input the income amount before tax or the Beneficial Owner(s) tax amount before tax in the underlying securities in any valid currencies.
- The financial instrument contains the ISIN of the instrument input manually or selected via the lookup. The description of the selected financial instrument appears in the non-editable Description field.
- The Place of Safekeeping shows the place of safekeeping of the selected financial instrument.
- In the Corporate Action ref. field, the user can input the reference of the related corporate action event.
- The drop-down list of the Event Type contains the event type codes that are valid for the US Tax Report:
The Event Status indicates the current payment processing status of a taxable or reportable income event. From the drop-down list, the user can select one of the three following statuses:

- **PAID**: A taxable or reportable income payment has been processed.
- **REVERSED**: A previously paid taxable or reportable income payment has been reversed. That is, an income payment has been reversed because, for example, funds have not been received from a depository or the price or currency is different from the one originally indicated by the depository at the time of payment.
- **REPAID**: A previously reversed taxable or reportable income payment has been re-issued with the repaid functionality for the corrected details.

In the Income Payment section, the user can select one of the following three options:

- **Record Date**: Date at which, after the daytime processing, Clearstream records holdings in the security as being an entitled position.
- **Value Date**: Value date applied to the proceeds.
- **Booking Date**: Processing Date - Date when the income proceeds are posted on the account.

US Tax Reportable Only filters US Tax reportable only securities (not taxable).

Belgian Certificates filters Belgian certificates of US securities.

The Authorisation Status refers to the status of a taxable or reportable payment.

The drop-down list shows the reportable status codes in US Tax Application:

- **Authorised**: The taxable or reportable payment has been split to the underlying beneficial owners and the appropriate withholding tax rate and report type have been assigned per beneficial owner, according to user certification.
- **Re-authorised**: A payment has been authorised more than once and has been adjusted during the authorisations.
- **Deleted**: A previously authorised or re-authorised payment has been removed from the US tax reporting database.
- **All, excluding deleted**: All the valid not deleted payments.

The Last Update field allows the user to query US Tax payments that have had their status changed within the requested date interval. The Last Update parameter is related to the Payment, that is, the reported payment is the one with the last update payment and with latest splits and beneficial owner.

The Tax Type allows the user to enter the query based on the coding defined by the Internal Revenue Service (IRS): FATCA, QI.
- The IRS Income Code allows the user to specify the IRS (Internal Revenue Service) income code:

- The CH3 Exemption Code allows the user to specify the CH3 Exemption code:

- The CH3 Recipient Type allows the user to enter the query based on the classification of the recipient of a specific income payment:
- The CH4 Exemption Code allows the user to specify the CH4 Exemption code:

- The CH4 Recipient Type allows the user to specify the CH4 Recipient code.

- In the Beneficial Owner field, the search of the beneficial owner must be limited to the beneficial owners linked to the Account[s] selected.

- The TIN refers to the US Taxpayer Identification Number. This number can be a social security number assigned to individuals by the Social Security Administration or an Employer Identification Number assigned to businesses and other entities by the Internal Revenue Service.

3. Before submitting your query:

- If you decide to change it, use the “Reset” button to return all the specifications to their default values so that you can start the query again.

- If you want to check how many results your query will yield as it is currently specified, use the “Count” button to display the number.

4. Select the “Query” button to perform the query.

   The results that match your set of criteria are displayed in a List View. If there are no matches, the Count field indicates 0 rows and the List View does not expand.
To view the details of the US Tax Query:

1. In the main menu, select Tax, US Tax Query.
2. Perform a suitable query (see “To query US Tax:” above).
3. In the resulting List View, highlight the requested row in the list and click on the folder on the first column of the List View.
4. View the details as required:

5. When finished, select the “Close” button to return to the List View.
Tax Refund Query

To query Tax Refund:

1. In the main menu, select Tax, Tax Refund Query.
2. In the Query view, the following details of the query can be selected:
   - The Safekeeping Account contains the account ID. It can be input by the user or selected via the lookup. The Safekeeping Account Name shows the name of the selected account. This field is not eligible.

The following fields are available for selection in the Query view:
- **Safekeeping Account**: Contains the account ID. Can be input by the user or selected via the lookup.
- **Safekeeping Account Name**: Shows the name of the selected account. Not eligible.
- **Financial Instrument**:
- **Place of Safekeeping**:
- **Corporate Action ref.**:
- **Invoicer Payment Date**
- **Invoice Due Date**
- **Value Date**
- **Refund Procedure Type**:
- **Tax Refund Status**:
- **Tax Refund Payment Date**:
- **Tax Refund Amount**:
- **Beneficial Owner**:
- **Reference**: Customer, Clearing
- **Last Update**:
- **TN**:

List

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- The Market list contains the markets [countries names] activated in Tax Application:

- The financial instrument contains the ISIN of the instrument input manually or selected via the lookup. The description of the selected financial instrument appears in the non-editable Description field.
- The Place of Safekeeping shows the place of safekeeping of the selected financial instrument.
- In the Corporate Action ref. field, the user can input the reference of the related corporate action event associated to this refund.
- The drop-down list of the Event Type contains the event type codes that are valid for the Tax Refunds:

- The Instrument Type displays a breakdown of instruments categories:

- In the Income Payment section, the user can select one of the following two options:
  - Record Date = Date at which, after the daytime processing, Clearstream records holdings in the security as being an entitled position.
  - Value Date = Value date applied to the proceeds
- The drop-down list of the Refund Procedure Type lists the types of refund procedures:

![Refund Procedure Type](image)

- In the Reference area, the user can choose whether they want to use Clearstream reference or their own reference to query. This field supports only the exact reference.

- In the Tax Refund Status drop-down list, the user can select the relevant status:

![Tax Refund Status](image)

- The Last Update field allows the user to query Tax Refunds that have had their status changed within the requested date interval.

- The Tax Refund Payment Date indicates the value date of the Tax Refund.

- The Tax Refund Amount refers to the calculated amount in any valid currencies.

- In the Beneficial Owner field, the search of the beneficial owner must be limited to the beneficial owners linked to the Account(s) and Market(s) selected.

- The TIN refers to the Taxpayer Identification Number. This number can be a social security number assigned to individuals by the Social Security Administration or an Employer Identification Number assigned to businesses and other entities by local fiscal authorities. An exact value must be input.

3. Before submitting your query, do one and/or other of the following if required:

- If you decide to change it, use the “Reset” button to return all the specifications to their default values so that you can start the query again.

- If you want to check how many results your query will yield as it is currently specified, use the “Count” button to display the number.

4. Select the “Query” button to perform the query.

   The results that match your set of criteria are displayed in a List View. If there are no matches, the Count field indicates 0 rows and the List View does not expand.
To view the details of the Tax Refund query:

1. In the main menu, select Tax, Tax Refund Query.
2. Perform a suitable query (see "To query Tax Refund:" above).
3. In the resulting List View, highlight the requested row in the list and click on the folder on the first column of the List View:

4. View the details as required:
- The Contact Reference displays the name of the contact person for this Refund.
- The Tax Rate corresponds to the applicable reclaim rate of the refund, which is function of the applicable double tax treaty.
- The table in the Refund Details section indicates:
  - Current Currency XXX: XXX refers to the Currency of the refunded amount and the requested amount.
  - Original Currency YYY: YYY refers to the Currency of the original amount and the original requested amount. If populated, that means the Refund Details Amount Currency is EUR.
  - The Requested Amount - Current Currency is the amount that the user estimates to be credited with.
  - The Requested Amount - Original Currency is the amount that the user estimates to be credited with in the original currency (if it is an ex-EURO currency).
  - The Calculated Amount - Current Currency refers to the amount effectively credited, net of fees charged by the market but does not include Clearstream fees.
  - The Calculated Amount - Original Currency refers to the amount effectively credited, net of fees charged by the market but does not include Clearstream fees. It is credited in original currency (if it is an ex-EURO currency).
- The Reclaim Holding shows the Holding Quantity of the beneficial Owner or of the Account if no beneficial owner specified.
- The table in the Market Information section indicates:
  - The Current Currency XXX where XXX is always the currency of the security.
  - The Original Currency YYY where YYY is the currency of the original amount if ex-EURO.
  - The Gross Amount - Current Currency is Holding Quantity * Income amount/Rate
  - The Gross Amount - Original Currency is Holding Quantity * Income amount/Rate. In ex-EURO Currency
  - The Tax Withheld - Current Currency is Gross Amount * Tax Rate
  - The Tax Withheld - Original Currency is Gross Amount * Tax Rate in ex-EURO Currency
  - The Net Amount - Current Currency is Gross Amount - Tax
  - The Net Amount - Original Currency is Gross Amount - Tax in ex-EURO Currency

5. When finished, select the “Close” button to return to the List View.
Tax Certificate Query

To query Tax Certificate:

1. In the Query view, select Tax, Tax Certificate Query.

2. In the Query view, the following details of the query can be selected:
   - The Safekeeping Account contains the account ID. It can be input by the user or selected via the lookup. The Safekeeping Account Name shows the name of the selected account. This field is not eligible.
   - The Market list contains the markets (countries names) activated in Tax Application:
     - The financial instrument contains the ISIN of the instrument input manually or selected via the lookup. The description of the selected financial instrument appear in the non-editable Description field.
- The Place of Safekeeping shows the place of safekeeping of the selected financial instrument.
- The drop-down list of the Event Type contains the event type codes that are valid for the Tax Certificate:

![Event Type Drop-Down List]

- The Instrument Type displays a breakdown of instruments categories:

![Instrument Type Drop-Down List]

- In the Income Payment section, the user can select one of the following two options:
  - Record Date = Date at which, after the daytime processing, Clearstream records holdings in the security as being an entitled position.
  - Value Date = Value date applied to the proceeds
- In the Reference area, the user can choose whether they want to use Clearstream reference or their own reference to query. This field supports only the exact reference.
- The drop-down list of the Document Description contains the description of the documents that are associated to the account(s) and Market selected.
- In the Document Type, the user can select one of the following three options: All; Standing and Per Payment
- In the Document Status, the user can select Valid or Invalid.
- The Expiry Date indicates the expiry date of the document
- If the Until Revoked option is selected then the Expiry Date field is disabled.
- The drop-down list in the Italian Fiscal Status contains the list of the Italian Fiscal Status:

![Italian Fiscal Status Drop-Down List]
- In the Beneficial Owner field, the search of the beneficial owner must be limited to the beneficial owners linked to the Account[s] and Market[s] selected.

- The TIN refers to the Taxpayer Identification Number. This number can be a social security number assigned to individuals by the Social Security Administration or an Employer Identification Number assigned to businesses and other entities by local fiscal authorities.

3. Before submitting your query, do one and/or other of the following if required:

- If you decide to change it, use the “Reset” button to return all the specifications to their default values so that you can start the query again.

- If you want to check how many results your query will yield as it is currently specified, use the “Count” button to display the number.

4. Select the “Query” button to perform the query.

The results that match your set of criteria are displayed in a List View. If there are no matches, the Count field indicates 0 rows and the List View does not expand.

To view the details of the Tax Certificate:

1. In the main menu, select Tax, Tax Certificate Query.

2. Perform a suitable query (see “To query Tax Certificate:” above).

3. In the resulting List View, highlight the requested row in the list and click on the folder on the first column of the List View:
### 4. View the details as required:

<table>
<thead>
<tr>
<th>Account Management</th>
<th>Beneficial Owner</th>
<th>Document Details</th>
<th>Market Information</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Safekeeping Account</strong></td>
<td><strong>Name</strong></td>
<td><strong>Clearstream Reference</strong></td>
<td><strong>Market</strong></td>
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<td>12345</td>
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<td>991220</td>
<td>ITALY</td>
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<td><strong>Holding Quantity</strong></td>
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<td>Unknown</td>
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<td><strong>Beneficial Owner</strong></td>
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1. In the main menu, select Tax, FTT Query.
2. In the Query view, the following details of the query can be selected:
   - Declaration Validation Status;
   - Declaration File Name;
   - Declaration Reference;
   - Last Update Timestamp
3. Before submitting your query, do one and/or other of the following if required:
   - If you decide to change it, use the "Reset" button to return all the specifications to their default values so that you can start the query again.
   - If you want to check how many results your query will yield as it is currently specified, use the "Count" button to display the number.
4. Select the "Query" button to perform the query.
   The results that match your set of criteria are displayed in a List View. If there are no matches, the Count field indicates 0 rows and the List View does not expand.

To download FTT files:
1. Perform a query as above.
2. To download the Validation Status File or the Declaration File, select the row from the list and click on "Download".
FTT Upload

To upload FTT files:

1. In the main menu, select Tax, FTT Upload.
2. The Create tab opens. The button “Download Template” allows you to download the CSV template for the FTT file.
3. Click on “Upload File” and browse for the file to upload.
4. Click on “Submit” to upload the file.
1. In the main menu, select Tax, Upload.

2. You are then automatically redirected to the Beneficial Owner Upload website. Premium User login is required to access the service.
Reporting

Manage Report Subscriptions

1. In the main menu, select Tax, Manage Report Subscriptions.
2. You are then automatically redirected to the Report Centre, Manage Report Subscription.

Manage Report Subscriptions

Query

- Query name: None

Report Type

- Business service: Tax
- Report type: Please select...
- Account opener: Please select...
- Organization unit: Please select...

Resources

- Resource type: Please select...

Status & Status

- Start date: Please select...
- Last update: Please select...
- Status: Please select...
- Funding action: Please select...

Delivery

- Channel: Please select...
- Format: Please select...
- Address:
- Frequency: Please select...
**View Delivered Reports**

1. In the main menu, select Tax, View Delivered Reports.
2. You are then automatically redirected to the Report Centre “View Delivered Reports”

For the Business Service Tax, the Report types available are:
- US Withholding Tax Report
- CBF short entitlement
- CBF tax credit
7. Reference Data

As a Business User or Business Supervisor, you can use the Xact Web Portal to query and view details of the following types of reference data:

- Cash Correspondents
- Currencies
- Financial Instruments
- Places of Safekeeping
- Settlement Parties

Reference data is maintained by Clearstream and each area has specific query criteria that the user can select in order to obtain the exact information that they are looking for.

**Note:** OU Administrators cannot work with reference data. Only business users can perform the tasks described in this chapter.

This chapter describes the features of Xact Web Portal for working with reference data:

- "Working with cash correspondents" on page 7-2
- "Working with currencies" on page 7-3
- "Working with financial instruments" on page 7-4
- "Working with places of safekeeping" on page 7-5
- "Working with settlement parties" on page 7-7.
Reference Data

To refresh the list of reference data:

In the List View of the particular reference data page, do one of the following:

1. Click the refresh button at the top.
2. Right-click anywhere on the list and select refresh from the popup menu.

You can also customise the displayed list [see “Customising displayed lists” on page 1-40].

Note: When you refresh the displayed list, the system executes the last query that you set up on the Query view, even if that view is not visible. Therefore, you are advised to click on the reset and query buttons in the Query view to ensure that the most recent list is used.

Working with cash correspondents

You can list Cash Correspondents, in currency order, for all or a selected currency.

You can refine your query by specifying a CCB name and optionally a Bank Identification Code (BIC) or Country Code.

By default, the returned List View is presented in ascending order.

The resulting List View contains the CCB Name, the CCB BIC, the CCB Account, the Country code, the City and the Currency of CCB.

You can select a row to see available actions.

To query cash correspondents:

1. In the main menu, select “Reference Data”, “Cash Correspondents Query”.
2. In the Query view, specify the details of the query as required:
   - You can define a set of filtering criteria in order to locate as closely as possible a particular target. You can save such a set of criteria as a saved query in the Predefined section which you can re-use in other queries.
   - You can include cash correspondents of specific Currency, Name, BIC and/or Country Code.
   - You can sort the cash correspondents in ascending or descending order of Currency in the Ordering panel.
3. Before submitting your query, do one and/or other of the following if required:
If you decide to change it, use the “Reset” button to return all the specifications to their default values so that you can start the query again.

- If you want to check how many results your query will yield as it is currently specified, use the “Count” button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.

4. Select the “Query” button to perform the query.

The cash correspondents that match your set of criteria are displayed in a List View. If there are no matches, the Count field indicates 0 rows and the List View does not expand.

**Working with currencies**

If a user chooses to perform a query without selecting any currency there are no mandatory fields to run the query. The query can be further refined by selecting a particular value in one or more of the dropdown lists.

By default, the returned List View is presented in ascending order.

The resulting List View contains the currency code. The currency name in full is also listed as well as the currency role, decimal places allowed, CCB BIC and name and the Clearstream account at the CCB.

The detailed view of an individual list entry displays the cash deadlines and shows again the details listed in the resulting List View.

**To query currencies:**

1. In the main menu, select Reference Data, Currencies Query to display the Currencies page.

2. In the Query view, specify the details of the query as required:
   - You can define a set of filtering criteria in order to locate as closely as possible a particular target. You can save such a set of criteria as a saved query in the Predefined section which you can re-use in other queries.
   - You can query all currencies (in that case, do not select any currency from the dropdown list) or include those of a specific Currency, Cash Correspondent Bank BIC and Name and/or Currency Role.
   - You can sort the currencies in ascending or descending order of ISO currency code or currency role (denomination or settlement).

3. Before submitting your query, do one and/or other of the following if required:
   - If you decide to change it, use the “Reset” button to return all the specifications to their default values so that you can start the query again.
Reference Data

- If you want to check how many results your query will yield as it is currently specified, use the "Count" button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.

4. Select the "Query" button to perform the query.

The currencies that match your set of criteria are displayed in a List View. If there are no matches, the Count field indicates 0 rows and the List View does not expand.

**To view the cash deadlines of a currency:**

1. In the main menu, select Reference Data, Currencies.
2. Perform a suitable query to list the required currency (see "To query currencies:" above).
3. In the resulting List View, highlight the appropriate currency in the list and click on the folder on the first column of the List View.
4. View the details of the currency as required and, when finished, select the "Close" button to return to the List View.

**Working with financial instruments**

For most of the query functions, at least one of Instrument Identifier, Instrument Description and Currency of Denomination must be entered from the query criteria available. The Belgian certificate and CFF eligible queries require other fields because of their specific characteristics.

The sort criteria are:

- The user can then specify Common Code or ISIN.
- You can input a partial entry as a wildcard in the Instrument Description.

**To query financial instruments:**

1. In the main menu, select Reference Data, Financial Instruments Query.
2. On the Query tab, specify the details of the query as required:
- You can define a set of filtering criteria in order to locate as closely as possible a particular target. You can save such a set of criteria as a saved query in the Predefined section which you can re-use in other queries.

- You can include financial instruments of specific identification, Description, Maturity Date,
- Actual Closing Date, Place of Safekeeping, Interest Rate/Type, Tax Country/Specificity,
- Current Event Date, Internal Instruction Restriction Flag, Instrument Category, Currency of Denomination, Back-valuation Flag and/or Collateral Percentage.

- You can sort the financial instruments in ascending or descending order of Financial Instrument Description, Clearstream Depository BIC, Country Code, Financial Instrument Type or Place of Safekeeping BIC.

3. Before submitting your query, do one and/or other of the following if required:

- If you decide to change it, use the “Reset” button to return all the specifications to their default values so that you can start the query again.

- If you want to check how many results your query will yield as it is currently specified, use the “Count” button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.

4. Select the “Query” button to perform the query.

The financial instruments that match your set of criteria are displayed in a List View. If there are no matches, the Count field indicates 0 rows and the List View does not expand.

To view the details of a financial instrument:

1. In the main menu, select Reference Data, Financial Instrument Query.

2. Perform a suitable query to list the required financial instrument (see “To query financial instruments:” above).

3. In the resulting List View, highlight the appropriate financial instrument in the list and click on the folder on the first column of the List View.

4. View the details of the financial instrument as required and, when finished, select the “Close” button to return to the List View.

Working with places of safekeeping

You can list all or [by Party Name] individual safekeeping banks to which the user has access.

You can refine your query further by optionally specifying the Clearstream Depository Code, country, a Bank Identification Code (BIC) and/or the Entity.

The resulting List View contains the Entity Name, the Clearstream Depository Internal Code, Name, Abbreviation and BIC; the Place of Safekeeping Name, BIC and Country Code for each entry.

The details of an individual list entry can be displayed in a separate tab.
Reference Data

To query places of safekeeping:

1. In the main menu, select “Reference Data”, “Place of Safekeeping”.
2. In the Query view, specify the details of the query as required:
   - You can define a set of filtering criteria in order to locate as closely as possible a particular target. You can save such a set of criteria as a saved query in the Predefined section which you can re-use in other queries.
   - You can include places of safekeeping of specific Clearstream Internal Code, Name, BIC, Country Code and/or Entity.
   - You can sort the places of safekeeping in ascending or descending order of Clearstream Internal Code, Name, Abbreviation, BIC; Place of Safekeeping Name, BIC or Country Code.
3. Before submitting your query, do one and/or other of the following if required:
   - If you decide to change it, use the “Reset” button to return all the specifications to their default values so that you can start the query again.
   - If you want to check how many results your query will yield as it is currently specified, use the “Count” button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.
4. Select the “Query” button to perform the query.
   The places of safekeeping that match your set of criteria are displayed in a List View. If there are no matches, the Count field indicates 0 rows and the List View does not expand.

To view the details of a place of safekeeping in a separate tab:

1. In the main menu, select “Reference Data”, “Place of Safekeeping Query”.
2. Perform a suitable query to list the required place of safekeeping (see “To query places of safekeeping” above).
3. In the Place of Safekeeping view, highlight the appropriate place of safekeeping in the list and click on the folder on the first column of the List View.
4. View the details of the place of safekeeping as required and, when finished, select the “Close” button to return to the List View.
Working with settlement parties

You can input a partial entry as a “wildcard” in the Name field to list all results that contain your entry. By default, the returned List View is presented in ascending order. The resulting List View contains ICSD/CSD Identification, Party identifier, Name, Country, City and BIC.

The details of an individual list entry can be displayed in a separate tab.

**To query settlement parties:**

1. In the main menu, select “Reference Data”, “Settlement Parties Query”.
2. In the Query view, specify the details of the query as required:
   - You can define a set of filtering criteria in order to locate as closely as possible a particular target. You can save such a set of criteria as a saved query in the Predefined section which you can re-use in other queries.
   - You can include settlement parties of specific Party Identifier, Name in the format appropriate to the ICSD/CSD (Clearstream, CrestCo, Euroclear, Necigef, etc.), Country and/or City.
   - You can sort the settlement parties in ascending or descending order of ICSD/CSD Identification, Party Identifier, Name, Country or City.
3. Before submitting your query, do one and/or other of the following if required:
   - If you decide to change it, use the “Reset” button to return all the specifications to their default values so that you can start the query again.
   - If you want to check how many results your query will yield as it is currently specified, use the “Count” button to display the number. If you want to check how many results your query will yield as it is currently specified, use the “Count” button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.
4. Select the “Query” button to perform the query.

The settlement parties that match your set of criteria are displayed in a List View. If there are no matches, the Count field indicates 0 rows and the List View does not expand.
Reference Data

To view the details of a settlement party in a separate tab:

1. In the main menu, select “Reference Data”, “Settlement Parties Query”.

2. Perform a suitable query to list the required settlement party (see “To query settlement parties:” above).

3. In the Settlement Parties view, highlight the appropriate settlement party in the list and click on the folder on the first column of the List View.

4. View the details of the settlement party as required and, when finished, select the “Close” button to return to the List View.
8. Reporting & Monitoring

Menu

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Report Centre

The Report Centre allows users to create and query report subscriptions for ICSD and CSD.

As a user with the appropriate permissions you can subscribe to the following reports in Xact Web Portal for retrieval via Xact Web Portal, or file transfer in different formats depending on the report (ISO, PDF, XLS, or XML):

**Settlement reports:**

- **Intra-Position Advice via SWIFT MT508**
  The MT508 Intra-Position Advice contains movements related to securities lending, collateral and blocking/unblocking of securities.

- **Statement of Holdings report via SWIFT MT535**
  Clearstream uses the MT535 Statement of Holdings to report on the holdings that it services for the user. The Complete report contains all holding information. The Delta report contains only changes since the previously sent statement.

- **Statement of Transactions report via SWIFT MT536**
  The MT536 Statement of Transactions contains settled transactions according to the impact on user’s positions of movements generated by the clearing and settlement system from instructions or corporate events.
• Statement of Pending Transactions report via SWIFT MT537
Clearstream Banking uses the MT537 Statement of Pending Transactions to report on instructions that are not booked and do not include booked securities instructions on a user account. Either all or the most relevant status can be reported.

• Statement of Intra-Position Advices report via SWIFT MT538
The MT538 Statement of Intra-Position Advices contains movements related to securities lending, collateral and blocking/unblocking of securities.

• Settlement confirmations via SWIFT via MT54x
Clearstream uses the MT544, MT545, MT546, MT547 Settlement confirmations to report list all receive and deliver securities transactions, free of and against payment, that have settled on the date of the report.

• Settlement Status and Processing Advice via SWIFT MT548
The MT548 Status and Processing Advice contains the rejection status(es) of a previously received instruction or cancellation request.

• Settlement Allegement report via SWIFT MT578
The MT578 Settlement Allegement report contains allegements from Clearstream or Euroclear participants.

• Statement of Settlement Allegements report via SWIFT MT586
The MT586 Statement of Settlement Allegements reports on allegements from Clearstream, Euroclear, and domestic market participants.

Cash reports:
• Confirmation of Debit/Credit (MT900/MT910)
The MT900 and MT910 Confirmation of Debit/Credit reports debits and credits for pre-selected type(s) of Transactions for all or specified currencies open for the account.

• Money Suspense report via SWIFT MT940
The MT940 Money Suspense report contains all pending cash instructions as well as all cash countervalues of against payment securities instructions that are reported in the Statement of Pending Transactions report via SWIFT MT537. It includes the opening and closing balance of booked funds; all pending cash transactions; all unconfirmed funds; anticipated net balances; cancelled funds (which are reported but not included in the balances).

The Money Suspense report is sent only when there are transactions in Suspense. One report is sent per currency, per account.

• Interim Money Suspense report via SWIFT MT942
The MT942 Interim Money Suspense report contains new transactions and those transactions that are already in Suspense and whose status has changed since the last Money Suspense or Interim Money Suspense report.

The Interim Money Suspense report includes pure cash transactions and cash countervalues of against payment securities transactions. It reports the matching status of every transaction listed and, where appropriate, the processing status based on the previous processing cycle.

• Cash Balances report via SWIFT MT950
Users can choose to report all or specified currencies open on the account.

For complete reports, there is the additional option to exclude currencies for which the balance is zero. A zero balance is nevertheless reported if it became zero since the last report.

For Delta reports, a zero balance is not reported unless it became zero since the last Complete or Delta report.
• Money Statement via SWIFT MT950
Users can choose to report all or specified currencies open on the account.
For complete reports, there is the additional option to exclude currencies for which the balance is zero (unless the balance was impacted by movements since the last report). The complete report also includes non-zero balances in currencies for which there have been no movements since the last report.
For Delta reports, a zero balance is not reported unless it became zero since the last Complete or Delta report. Currencies with non-zero balances are only reported if there have been movements since the last Complete or Delta report.

Asset servicing reports:
• Corporate Action Notification [MT564]
The MT564 Corporate Action Notification reports details of a corporate action event along with the possible elections or choices available to the user. It can be initially sent as a preliminary advice and subsequently replaced by another MT564 with complete or confirmed information.
• Income Pre-Advice Report (IPAR) via MT564
Users can use the IPAR to forecast cash and securities flows generated by their portfolios during the period of up to five days after production of the report. The projected cash and securities flows are based on the situation of the user’s account at the time the report is produced.
• Claim and Reversal Advice (CRA) via MT564
The CRA includes details of detected market claims and reverse market claims. Cancellations of a reported market claim or reverse market claim will also be reported.
• Urgent Uninstructed Notifications [MT564]
The MT564 Urgent Uninstructed Notifications Report provides a regularly updated breakdown of instructed and uninstructed securities Balances related to Corporate Action and Tax breakdowns.
• Corporate Action Confirmation via MT566
The corporate action confirmation reports securities and cash proceeds from income and non-income events that are credited to a user’s account. Each credit (and debit) is reported separately and details are included of the security to which the interest or redemption proceeds are attributable.
• Corporate Action Status and Processing Advice [MT567]
The MT567 indicates whether a corporate action instruction or cancellation is accepted for processing, rejected or denied. It is also sent to users whose corporate action instruction is Pending due to insufficient holding.
• Corporate Action Narrative (MT568)
The MT568 Corporate Action Narrative reports extraordinary or general meetings details and resolutions.
• Market Claims Report
The Market Claims Report provides a complete overview by account of potential market claims that are created when the actual Settlement of a security trade takes place after the entitlement date of an associated income or non-income distribution.
In addition, the report offers information about CBL’s compensation activities for market claims by providing the current processing status of a claim, together with a related reason code, throughout its lifecycle.
The Corporate Action Reference Data Report

The Corporate Action Reference Data Report provides detailed information about corporate actions for any security held in Clearstream, even if users do not hold the underlying securities. Users must submit a list of financial instruments to Clearstream via Xact File Transfer and receive a report with all Corporate Actions Notifications associated with the securities. The report is sent to their Xact File Transfer FileStore or can be downloaded via Xact Web Portal. Additionally, Triparty Collateral Management Services users can receive Corporate Actions Notifications and Income Pre-advices for securities blocked in Triparty Repo Transactions.

Tax reports:

- US Withholding Tax Report via MT568
  The MT568 US Withholding Tax Report provides a monthly report of U.S. taxable income events including withholding tax rates applied per beneficial owner.
- CBF Short Entitlement
  The report is provided to non-German CBF customers so that they can detect any short positions immediately
- CBF Tax Credit via MT564 REPE and via MT566
  These messages are sent to a foreign resident, to announce or confirm the cash settlement of a tax credit. The tax credit results from a daily tax adjustment processed by CBF and relating to the implementation of the UCITS IV Directive, effective from 1 January 2012. The tax credit is a payment from CBF to foreign customers.

Triparty Collateral Management Reports (to ISO15022 standards):

- Triparty Collateral Status and Processing Advice via MT558
  The Triparty Collateral Status and Processing Advice provides the status of instructions, matching and cancellations.
- Triparty Collateral and Exposure Statement for Collateral Giver via MT569
- Triparty Collateral and Exposure Statement for Collateral Receiver via MT569

Report frequencies

You can schedule the generation of a report according to your selection of the available report frequency options. There are various types of reporting frequency available depending on the type of report. Full details of the scheduling possibilities can be found in the Report Timings Matrix.

- Continuous
- Intraday
  A range of times within the current business day are available depending on the report type in either Complete or Delta format.
  - Complete format reports include all positions that are open on a user’s account and movements that have occurred since the last processing.
  - Delta format reports show all positions that have been affected by movements that have occurred since the last generation of the report.
- Real-time
- End of day
  Daily, weekly, monthly, quarterly and yearly. Reports include all data from the start of the first business day of the respective period to the end of the last business day of the respective period. Normally the reports are generated at 21:15.

  Note: Intraday reports can only report data based upon what has occurred within the current business day. There is no report available that can span multiple business days.
# Manage report subscriptions

## To create a report subscription:

1. Click on Reporting & Monitoring, Manage Report Subscriptions in the main menu of Xact Web Portal. The screen will open with the Query view.
2. Click on “Create”.
3. The report wizard will open.
4. Complete the fields as required. Fields with an * are mandatory.
5. Click on “Submit”.

## To query report subscriptions:

1. Click on Reporting & Monitoring, Manage Report Subscriptions in the main menu of Xact Web Portal.
2. Populate the fields with the required search criteria.
3. Click on “Count” to view the number of rows without seeing the List View. If you want to check how many results your query will yield as it is currently specified, use the “Count” button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.
4. Click on “Query” to see the List View.

## To view the details of a report subscription:

1. Perform a query as above.
2. To display the details of the subscription, select the row[s] from the list and click on “Open details”.
3. If more than one subscription is selected the details open in separate tabs.
4. Click on the “Close” button to close the details.

## To modify a report subscription:

1. Perform a query as above.
2. You can modify the subscription from the List View or the detail view.
3. In List View, click on the “Action” button, and select Edit, the detail view of the subscription[s] opens.
4. In detail view, click on the “Action” button, and select Edit. The detail view is no longer read-only.
5. Make the changes as required.
6. Select Submit to perform the modification.

## To delete a report subscription:

1. Perform a query as above.
2. You can delete subscriptions from the List View or the detail view.
3. In List View, click on the “Action” button, and select Delete, the selected report subscription[s] is deleted.
4. In detail view, click on the “Action” button, and select Delete. The report subscription is deleted.
View delivered reports

Delivered reports can be viewed, either by using the Go To button in the Managing Report Subscriptions or by querying the delivered reports. The copies of the reports can be sent by any means of communication. There is no extra charge for downloading a copy.

To query delivered reports:

1. Click on Reporting & Monitoring, View Delivered Reports in the main menu of Xact Web Portal.
2. Populate the fields with the required search criteria.
3. Click on “Count” to view the number of rows without seeing the List View. If you want to check how many results your query will yield as it is currently specified, use the “Count” button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.
4. Click on “Query” to see the List View.

To download delivered reports:

1. Perform a query as above.
2. To download the reports, select the row(s) from the list and click on Download. The file starts to download.
3. If you have chosen more than one report, the reports are downloaded in a .zip file.
Business Monitoring

The Business Monitoring Centre allows users to set up a schedule to automatically execute pre-defined queries that are saved under My Indicators and define the conditions under which business alerts will be generated back to the user via My Alerts, My Calendar or My Indicators.

This allows users to:

- Schedule Alerts;
- Schedule Indicators;
- Schedule Monitors [for the calendar];
- Make queries on scheduled alerts/indicators and modify them; and
- To consult the history of already triggered monitors and the respective results.

To create a Business Monitor:

1. Click on Reporting & Monitoring, My Business Monitors in the main menu of Xact Web Portal.
2. Click on “Create”.
3. Give your new business monitor a name.
4. Set the frequency of your business monitor.
5. Choose the service that your business monitor is for.
6. Then choose the service type.
7. A list of available queries can be chosen from the Monitored item drop down box. Choose the query that you want to run.
8. Choose when you want the alert to be triggered in the Trigger alert drop down box.
This page has intentionally been left blank.
9. User Management

 Administrator view

My Data

- My Profile subdomain displays the user profile.
- My OU Details subdomain provides the detail view of the OU that the user belongs to.
- My Credentials allows the user to reset their own password and certificates.

OU Management

The Resource Group subdomain provides all actions to create, query or modify a Resource Group.
User Management

User and User Group

The User subdomain provides all actions to create, query or modify a User.
The User Group subdomain provides all actions to create, query or modify a User Group.
For the creation of Users and User Groups, please refer to "Creating users" on page 1-3.

Monitoring

The Monitoring and Audit Log subdomain provides an access to the audit log of the Portal.

Business User view

My Data

- My Profile subdomain displays the user profile.
- My OU Details subdomain provides the detail view of the OU that the user belongs to.
- My Credentials allows the user to reset their own password and certificates.
10. Help & Resources

Overview of Help and Resources

The Help and Resources service provides access to:

- the Help Centre that contains help information on the services available in the Xact Web Portal;
- Message Exchange.

Help Centre

The Help Centre integrates all the help content included in the Xact Web Portal.
Message Exchange

As a user with appropriate permissions, you can use Message Exchange in Xact Web Portal to create free-format messages to send to Clearstream Banking and to query sent and received messages.

Message exchange life cycle

All message types in Xact Web Portal have a life cycle from creation to release.

The message exchange life cycle describes the different steps that users have to follow in order to create and release a message.

In order to validate an instruction, different user validation configurations are possible and depend on:

- The number of steps required in the validation process:
  - 2 steps: Submit and Release

- The number of different approvers required [2 or 4-eyes principle]. In case of “2-eyes” validation, one single user can perform all steps if they own the needed Functional Roles. “4-eyes” means two users are required to release a message.

Possible user validation configurations:

- 2 Steps/2-Eyes: A single user can submit and release a message. To simplify the process, the user is able to release the instruction immediately after having submitted it, without needing to query the instruction.

- 2 Steps/4-Eyes: A user first creates and submits a message. Then a second user selects this instruction via the Query View and releases it.

In order to proceed with the validation of an instruction, a user must own the necessary Functional Roles [Please refer to “Appendix 3 - Default Functional Roles” on page -6]. In the scope of the above user validation configurations, one Functional Role is needed:

- Create - allowing the user to create, submit and release a message.

However, even if a user owns the above Functional Role, they will not necessarily be allowed to perform the entire validation on their own as this is determined by the validation configuration.

Hence, the ability of users to act on the validation process will depend on the configuration and on the Functional Roles they actually own.
To query messages:

1. Click on Help & Resources, Messages in the main menu of Xact Web Portal.
2. First choose the Message Direction, Received or Sent and populate the fields with the required search criteria.
3. Click on “Count” to view the number of rows without seeing the List View. If you want to check how many results your query will yield as it is currently specified, use the “Count” button to display the number in the Count field. If the count is high, you can refine your query to yield fewer results.
4. Click on “Query” to see the List View.

To view the details of a message:

1. Perform a query as above.
2. To display the details of the event, select the row(s) from the list and click on “Open Detail”:
3. If more than one message is selected the details open in separate tabs.
4. The content of the message is shown
   - for received messages, the user can respond to the message or change the folder;
   - for sent messages, the user can cancel, modify or release the message as long as it has not been previously released.
**Help & Resources**

---

**To create a message:**

1. Click on Help & Resources, Messages in the main menu of Xact Web Portal. The screen opens with the Query View.
2. Click on the Create tab.
3. Populate all mandatory fields, these are marked with an *:
   - Sender Ref.;
   - Account;
   - Business process;
   - Text.
4. Click on "Submit" to submit the instruction. The message needs to be released (please refer to "Message exchange life cycle").

---

**To release a message:**

1. Perform a query as above.
2. Either:
   - Select the message in the List View and click on "Release"; or
   - Open the detail view of the instruction that you wish to release and click on "Release".

---

**To modify a message:**

1. Perform a query as above.
2. Either:
   - Select the message in the List View and click on "Modify", the Detail View will open; or
   - Open the detail view of the instruction that you wish to modify and click on "Modify".
3. Make the changes as required and click on "Submit" to modify the message. The instruction needs to be released (please refer to "Message exchange life cycle").
To cancel a message

1. Perform a query as above.
2. Either:
   - Select the message in the List View and click on “Cancel”; or
   - Open the detail view of the instruction that you wish to modify and click on “Cancel”.

The message is cancelled immediately.
Appendices

Appendix 1 - Letters and emails to administrators

Dear ______________________,

This is the user password to access the Xact Web Portal.

User ID: ________________
User password: ________________

Please confirm the receipt of this letter immediately to the Xact Web Portal by either:

• SWIFT authenticated message;
• Fax with 2 authorised signatories; or
• Secure email

You will then receive via email Part 3 of 3 of your access in the form of a P12 file.

If for any reason you require further information, please contact our connectivity support teams on Luxembourg

+352 243 38 110, Frankfurt +49 69 211 11 580, London +44 20 7862 7100 or via email connect@clearstream.com
### Xact Web Portal Access part 2 of 3

**P12 File Password**

Dear ______________________,

This is the P12 file password to access the Xact Web Portal.

User ID: __________________

User password: __________________

Please confirm the receipt of this letter immediately to the Xact Web Portal by either:
- SWIFT authenticated message;
- Fax with 2 authorised signatories; or
- Secure email

You will then receive via email part 3 of 3 of your access in the form of a P12 file.

If for any reason you require further information, please contact our connectivity support teams in Luxembourg:

+352 243 38 110, Frankfurt +49 69 211 11 580, London +44 20 7862 7100 or via email connect@clearstream.com

---

### Email part 3 of 3

Dear ______________________,

This is part 3 of 3 of your access to the Xact Web Portal. You will find attached your temporary certificates to access the portal. Before accessing the portal, please import the certificates into your key store, you will be prompted for the P12 file password.

The certificates will be marked with your User ID __________________ in your key store.

Your temporary certificates are valid until ________________.

If you have any questions please contact the Xact Web Portal customer helpdesk:

**Luxembourg**

phone: +352-243-38110  
fax: +352-243-638110  
email: connectlux@clearstream.com

**Frankfurt**

phone: +49-(0) 69-2 11-1 15 80  
fax: +49-(0) 69-2 11-61 15 80  
email: connectfrankfurt@clearstream.com

**London**

phone: +44-(0)20 786 27100  
fax: +44-(0)20 786 27254  
email: connectlondon@clearstream.com
## Appendix 2 - Default User Groups

The following Default User Groups are available:

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<td>Has the functional roles:</td>
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<td></td>
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<tr>
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<td>• CA Instruction Input</td>
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<td></td>
<td>• Proxy Voting Input</td>
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<tr>
<td></td>
<td></td>
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<td></td>
<td>• Proxy Voting Release</td>
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<td></td>
<td></td>
<td>• Query</td>
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<tr>
<td>Asset Servicing</td>
<td>Business User - Read Only</td>
<td>Has the functional role:</td>
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<td></td>
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<td>Business Cash User</td>
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<td>• Query Cash Balances</td>
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<td>• Query Cash Instructions</td>
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<td>• Release Cash Instructions</td>
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<td>• Default</td>
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<td></td>
<td></td>
<td>• Domain To Do - Summary</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Scheduled Report</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Simulation</td>
</tr>
<tr>
<td>Message Exchange</td>
<td>Message Exchange - Full Access</td>
<td>Has the functional roles:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Create Message Exchange - Clearing &amp; Settlement</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Create Message Exchange - Corporate Action</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Create Message Exchange - Customer Services</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Create Message Exchange - Forex</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Create Message Exchange - Income</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Create Message Exchange - Investment Funds</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Create Message Exchange - New Issues</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Create Message Exchange - Nostro</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Create Message Exchange - Payments</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Create Message Exchange - Tax</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Create Message Exchange - Treasury</td>
</tr>
<tr>
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<td></td>
<td>• Query Message Exchange - Clearing &amp; Settlement</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Query Message Exchange - Corporate Action</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Query Message Exchange - Customer Services</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Query Message Exchange - Forex</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Query Message Exchange - Income</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Query Message Exchange - Investment Funds</td>
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<tr>
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<td></td>
<td>• Query Message Exchange - New Issues</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Query Message Exchange - Nostro</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Query Message Exchange - Payments</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Query Message Exchange - Tax</td>
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<td></td>
<td></td>
<td>• Query Message Exchange - Treasury</td>
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<td></td>
<td>• Query Reference Data</td>
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<td>Report Centre - Full Access</td>
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</tr>
<tr>
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<td></td>
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</tr>
<tr>
<td>Reporting</td>
<td>Report Centre - Read Only</td>
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<tr>
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<td></td>
<td>• Reporting Read Only</td>
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<tr>
<td>Service</td>
<td>User Group</td>
<td>Description</td>
</tr>
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<tr>
<td>Settlement</td>
<td>Business Securities Supervisor</td>
<td>Has the functional roles: • Authorise Securities Instructions • Input Securities Instructions • Query Securities Instructions • Query Securities Positions • Release Securities Instructions</td>
</tr>
<tr>
<td>Settlement</td>
<td>Business Securities User</td>
<td>Has the functional roles: • Query Securities Instructions • Query Securities Positions</td>
</tr>
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<td>FTT Business User - Read Only</td>
<td>Has the functional role: • Query</td>
</tr>
<tr>
<td>Tax</td>
<td>Tax Business User - Read Only</td>
<td>Has the functional role: • Query</td>
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<td>User Management</td>
<td>OU Super Admin</td>
<td>Has the functional roles: • Audit Log • Resource Group Admin • User admin • User Group Admin</td>
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### Appendix 3 - Default Functional Roles

The following Default Functional Roles are available:

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<tr>
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<th>Description</th>
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<tr>
<td>Asset Servicing</td>
<td>Query</td>
<td>Gives access permission to query on events</td>
</tr>
<tr>
<td>Asset Servicing</td>
<td>CA Instruction Input</td>
<td>Gives access permission to input corporate action instructions for all events except:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• MEET</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• BMET</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• CMET</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• XMET</td>
</tr>
<tr>
<td>Asset Servicing</td>
<td>CA Instruction Release</td>
<td>Gives access permission to release corporate action instructions for all events except:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• MEET</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• BMET</td>
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<td>• CMET</td>
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<td></td>
<td></td>
<td>• XMET</td>
</tr>
<tr>
<td>Asset Servicing</td>
<td>CA Instruction Authorisation</td>
<td>Gives access permission to authorise corporate action instructions for all events except:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• MEET</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• BMET</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• CMET</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• XMET</td>
</tr>
<tr>
<td>Asset Servicing</td>
<td>Proxy Voting Input</td>
<td>Gives access permission to input corporate action instructions for the following events:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• MEET</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• BMET</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• CMET</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• XMET</td>
</tr>
<tr>
<td>Asset Servicing</td>
<td>Proxy Voting Release</td>
<td>Gives access permission to release corporate action instructions for the following events:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• MEET</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• BMET</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• CMET</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• XMET</td>
</tr>
<tr>
<td>Asset Servicing</td>
<td>Proxy Voting Authorisation</td>
<td>Gives access permission to authorise corporate action instructions for the following events:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• MEET</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• BMET</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• CMET</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• XMET</td>
</tr>
<tr>
<td>Business Monitoring</td>
<td>Query Business Monitors</td>
<td>Gives access permission to query Business Monitors</td>
</tr>
<tr>
<td>Business Monitoring</td>
<td>Manage Business Monitors</td>
<td>Gives access permission to manage Business Monitors</td>
</tr>
<tr>
<td>Cash &amp; Liquidity</td>
<td>Query Cash Instructions</td>
<td>Gives access permission to query cash instructions</td>
</tr>
<tr>
<td>Cash &amp; Liquidity</td>
<td>Query Cash Balances</td>
<td>Gives access permission to query cash balances</td>
</tr>
<tr>
<td>Cash &amp; Liquidity</td>
<td>Input Cash Instructions</td>
<td>Gives access permission to input cash instructions</td>
</tr>
<tr>
<td>Cash &amp; Liquidity</td>
<td>Authorise Cash Instructions</td>
<td>Gives access permission to authorise cash instructions</td>
</tr>
<tr>
<td>Cash &amp; Liquidity</td>
<td>Release Cash Instructions</td>
<td>Gives access permission to release cash instructions</td>
</tr>
<tr>
<td>Service</td>
<td>Functional Role ID</td>
<td>Description</td>
</tr>
<tr>
<td>-------------------------------------</td>
<td>----------------------------------</td>
<td>---------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Cash &amp; Liquidity</td>
<td>CBF Cash Forecast</td>
<td>Gives access permission to access CBF Cash Forecast and allows to query on CBF Cash Forecast screen in the Xact Web Portal for DCA accounts in Central Bank Money.</td>
</tr>
<tr>
<td>Cash &amp; Liquidity</td>
<td>Credit &amp; Collateral Usage Query</td>
<td>Gives access permission to query Credit &amp; Collateral Usage</td>
</tr>
<tr>
<td>Collateral Management</td>
<td>Domain To Do - Summary</td>
<td>Gives access permission to Summary</td>
</tr>
<tr>
<td>Collateral Management</td>
<td>Default</td>
<td>Gives access permission to the following: 1. Operational Profile and the Contract(s) set up including own Baskets/Collateral Givers exclusion details 2. Security lists and contents 3. Collateral Management activities domains (Exposures/CollateralSecurities/CollateralManagement/On Demand Report)</td>
</tr>
<tr>
<td>Collateral Management</td>
<td>Domain Position Check</td>
<td>Gives access permission to Position Check</td>
</tr>
<tr>
<td>Collateral Management</td>
<td>Domain Principal Securities</td>
<td>Gives access permission to Principal Securities</td>
</tr>
<tr>
<td>Collateral Management</td>
<td>Domain Collateral Cash</td>
<td>Gives access permission to Collateral Cash</td>
</tr>
<tr>
<td>Collateral Management</td>
<td>Domain Eligibility Check (Contract)</td>
<td>Gives access permission to Eligibility Check</td>
</tr>
<tr>
<td>Collateral Management</td>
<td>Domain Settlement</td>
<td>Gives access permission to Settlement</td>
</tr>
<tr>
<td>Collateral Management</td>
<td>Scheduled Report</td>
<td>Gives access permission to the following: 1. Scheduled 2. Reporting Groups and allows to open scheduled reports</td>
</tr>
<tr>
<td>Collateral Management</td>
<td>Domain MIS</td>
<td>Gives access permission to MIS</td>
</tr>
<tr>
<td>Collateral Management</td>
<td>Simulation</td>
<td>Gives access permission to the following: 1. Real Time Simulation 2. Extended Simulation</td>
</tr>
<tr>
<td>Collateral Management</td>
<td>Domain Reference Data</td>
<td>Gives access permission to the following: 1. Securities 2. Ineligibility Calendar 3. Issuers</td>
</tr>
<tr>
<td>Collateral Management</td>
<td>Participant Instructions - Opening</td>
<td>Allows creation of an opening instruction</td>
</tr>
<tr>
<td>Collateral Management</td>
<td>Participant Instructions - Allocate Collateral</td>
<td>Allows creation of an allocate/top up instruction</td>
</tr>
<tr>
<td>Collateral Management</td>
<td>Participant Instructions - Withdraw Collateral</td>
<td>Allows creation of a withdraw instruction</td>
</tr>
<tr>
<td>Collateral Management</td>
<td>Participant Instructions - Substitute Collateral</td>
<td>Allows creation of a substitute instruction</td>
</tr>
<tr>
<td>Collateral Management</td>
<td>Participant Instructions - Change Rate</td>
<td>Allows the rate of an instruction to be changed</td>
</tr>
<tr>
<td>Collateral Management</td>
<td>Participant Instructions - Change Closing Date</td>
<td>Allows the closing date of an instruction to be changed</td>
</tr>
<tr>
<td>Collateral Management</td>
<td>Participant Instructions - Cancel</td>
<td>Allows cancellation of an instruction</td>
</tr>
<tr>
<td>Collateral Management</td>
<td>Participant Instructions - Change Principal</td>
<td>Allows the Principal to be changed</td>
</tr>
<tr>
<td>Collateral Management</td>
<td>Participant Instructions - Submit</td>
<td>Allows submission of an instruction</td>
</tr>
</tbody>
</table>
## Collateral Management
- Participant Instructions - Authorise: Allows authorisation of an instruction
- Create File Upload: Gives access permission to Create File Upload and allows to upload an instruction file
- PI Upload - Authorise: Allows authorisation of an instruction file
- Allegement: Gives access permission to Allegement (in order to match pending Collateral Management instructions)

## Message Exchange
- Create Message Exchange: Allows creation of a message
- Query Message Exchange: Gives access permission to query messages

## Reference Data
- Query Reference Data: Gives access permission to query on Reference Data

## Reporting
- Reporting Full Access [including Bulk]: Gives access permission to manage reports
- Reporting Read Only: Gives access permission to view the reports defined

## Settlement
- Query Securities Instructions: Gives access permission to query securities instructions
- Query Securities Positions: Gives access permission to query securities positions
- Input Securities Instructions: Gives access permission to input securities instructions
- Authorise Securities Instructions: Gives access permission to authorise securities instructions
- Release Securities Instructions: Gives access permission to release securities instructions

## Tax
- Financial Transaction Tax - Query: Gives access permission to query on Financial Transaction Tax
- Financial Transaction Tax - Upload: Gives access permission to upload a Financial Transaction Tax file
- Query: Gives access permission to query on Tax excluding Financial Transaction Tax

## User Management
- Audit Log: Audit log including all actions performed by all users of the user Organisation Unit
- Default: Default role for all users allowing to view your Organisation Unit and your user properties [settings and credentials]
- User Admin: Gives access permission to User, in which it is possible to add, edit and delete users belonging to own Organisation Unit
- Resource Group Admin: Gives access permission to Resource Group in which it is possible to create, edit, and delete Resource Groups that are not defined as “default”
- User Group Admin: Gives access permission to User Group, in which it is possible to create, edit, and delete User Groups that are not defined as “default”
# Appendix 4 - Default Resource Groups

The following Default Resource Groups are available:

<table>
<thead>
<tr>
<th>Service</th>
<th>Resource Group ID</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Asset Servicing</td>
<td>Default Accounts</td>
<td>Includes all accounts linked to the Financial Institutions or BIC Participants granted to your Organisation Unit</td>
</tr>
<tr>
<td>Asset Servicing</td>
<td>Default BIC participants</td>
<td>Includes all BIC participants granted to your Organisation Unit as a relationship</td>
</tr>
<tr>
<td>Asset Servicing</td>
<td>Default Financial Institutions</td>
<td>Includes all Financial Institutions granted to your Organisation Unit as a relationship</td>
</tr>
<tr>
<td>Asset Servicing</td>
<td>Default Services for Upload</td>
<td>Includes all Services allowed in the File Upload Manager</td>
</tr>
<tr>
<td>Cash &amp; Liquidity</td>
<td>Default Accounts</td>
<td>Includes all accounts linked to the Financial Institutions or BIC Participants granted to your Organisation Unit</td>
</tr>
<tr>
<td>Cash &amp; Liquidity</td>
<td>Default BIC participants</td>
<td>Includes all BIC participants granted to your Organisation Unit as a relationship</td>
</tr>
<tr>
<td>Cash &amp; Liquidity</td>
<td>Default Financial Institutions</td>
<td>Includes all Financial Institutions granted to your Organisation Unit as a relationship</td>
</tr>
<tr>
<td>Cash &amp; Liquidity</td>
<td>Default Services for Upload</td>
<td>Includes all Services allowed in the Cash File Upload</td>
</tr>
<tr>
<td>Collateral Management</td>
<td>Default CMAX PSC</td>
<td>Includes all Collateral Management Short Codes allocated or your Organisation Unit</td>
</tr>
<tr>
<td>Collateral Management</td>
<td>Default CMAX Contract</td>
<td>Includes all Collateral Management contracts related to your Collateral Management accounts (as collateral taker or provider)</td>
</tr>
<tr>
<td>Reporting</td>
<td>Default COL OU</td>
<td>All OUs defined in CreationOnline for which it is possible to import existing report subscriptions (but not the generated reports) in Xact Web Portal.</td>
</tr>
<tr>
<td>Settlement</td>
<td>Default Accounts</td>
<td>Includes all accounts linked to the Financial Institutions or BIC Participants granted to your Organisation Unit</td>
</tr>
<tr>
<td>Settlement</td>
<td>Default BIC participants</td>
<td>Includes all BIC participants granted to your Organisation Unit as a relationship</td>
</tr>
<tr>
<td>Settlement</td>
<td>Default Financial Institutions</td>
<td>Includes all Financial Institutions granted to your Organisation Unit as a relationship</td>
</tr>
<tr>
<td>Settlement</td>
<td>Default Services for Upload</td>
<td>Includes all Services allowed in the Security File Upload</td>
</tr>
<tr>
<td>Tax</td>
<td>Default Accounts</td>
<td>Includes all accounts linked to the Financial Institutions or BIC Participants granted to your Organisation Unit</td>
</tr>
<tr>
<td>Tax</td>
<td>Default BIC participants</td>
<td>Includes all BIC participants granted to your Organisation Unit as a relationship</td>
</tr>
<tr>
<td>Tax</td>
<td>Default Financial Institutions</td>
<td>Includes all Financial Institutions granted to your Organisation Unit as a relationship</td>
</tr>
<tr>
<td>Tax</td>
<td>Default Services for Upload</td>
<td>Includes all Services allowed in the File Upload Manager</td>
</tr>
</tbody>
</table>
Appendices

Appendix 5 - CSV file upload specifications

This Appendix lists, in separate tables, the following categories of CSV file upload specifications:

- Securities instructions Create Upload file;
- Cash instructions;
- Corporate action instructions;
- FTT

**Securities instructions create upload file**

*Note:* In the following table, Field Status is indicated as: M=Mandatory; O=Optional; CM=Conditional Mandatory.

For individual market requirements, please refer to the respective Market Guide available at [www.clearstream.com](http://www.clearstream.com), under Information Centre/Market Reference.

<table>
<thead>
<tr>
<th>Position in CSV</th>
<th>Field description</th>
<th>Field Name to copy as a table header in “Instructions Data” sheet</th>
<th>Format/Content</th>
<th>Field Status</th>
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<td>Security_Movement_Type</td>
<td>DELI, RECE</td>
<td>M</td>
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<tr>
<td>3</td>
<td>Payment</td>
<td>Payment</td>
<td>APMT,FREE</td>
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<tr>
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<td>Common ID</td>
<td>Common_ID</td>
<td>RestrictedFINXMax16Text</td>
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<td>Corporate action event ID</td>
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<td>Processing_position</td>
<td>AFTE, BEFO, WITH, INFO</td>
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<tr>
<td>Position in CSV</td>
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<td>Format/Content</td>
<td>Field Status</td>
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<td>Trade_ID</td>
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<td>Place_of_trade_type</td>
<td>Code, Proprietary</td>
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</tr>
<tr>
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<td>Place of trade issuer</td>
<td>Place_of_tradeIssuer</td>
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</tr>
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<td>Place of trade identifier</td>
<td>Place_of_trade_identifier</td>
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<td>CM</td>
</tr>
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<td>Place_of_trade_identification_format</td>
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<td>Place_of_trade_identification</td>
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<td>O</td>
</tr>
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### Field Description Table

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<td>34</td>
<td>Quantity type</td>
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<td>Unit, FaceAmount</td>
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| 73             | Delivering party 2 Identifier | Delivering_party_2_Identifier | If party format is BIC then pattern is: AnyBICIdentifier  
If party format is Name then pattern is: RestrictedFINXMax140Text  
If party format is Proprietary then pattern is: RestrictedFINX2Max34Text | CM            |
| 74             | Delivering party 2 Safekeeping account | Delivering_party_2_Safekeeping_account | RestrictedFINXMax35Text | O             |
| 75             | Delivering party 2 Declaration details | Delivering_party_2_Declaration_details | RestrictedFINXMax350Text | O             |
| 76             | Delivering party 2 Party contact details | Delivering_party_2_Party_contact_details | RestrictedFINXMax140Text | O             |
| 77             | Delivering party 2 Registration details | Delivering_party_2_Registration_details | RestrictedFINXMax350Text | O             |
| 78             | Delivering party 3 Format | Delivering_party_3_Format | BIC, Name, Proprietary | CM            |
| 79             | Delivering party 3 Issuer | Delivering_party_3_Issuer | See list of allowed DSS codes | CM            |
| 80             | Delivering party 3 Scheme | Delivering_party_3_Scheme | Exact4AlphaNumericText | CM            |
| 81             | Delivering party 3 Identifier | Delivering_party_3_Identifier | If party format is BIC then pattern is: AnyBICIdentifier  
If party format is Name then pattern is: RestrictedFINXMax140Text  
If party format is Proprietary then pattern is: RestrictedFINX2Max34Text | CM            |
| 82             | Delivering party 3 Safekeeping account | Delivering_party_3_Safekeeping_account | RestrictedFINXMax35Text | O             |
| 83             | Delivering party 3 Declaration details | Delivering_party_3_Declaration_details | RestrictedFINXMax350Text | O             |
| 84             | Delivering party 3 Party contact details | Delivering_party_3_Party_contact_details | RestrictedFINXMax140Text | O             |
| 85             | Delivering party 3 Registration details | Delivering_party_3_Registration_details | RestrictedFINXMax350Text | O             |
| 86             | Delivering party 4 Format | Delivering_party_4_Format | BIC, Name, Proprietary | CM            |
| 87             | Delivering party 4 Issuer | Delivering_party_4_Issuer | See list of allowed DSS codes | O             |
| 88             | Delivering party 4 Scheme | Delivering_party_4_Scheme | Exact4AlphaNumericText | CM            |
| 89             | Delivering party 4 Identifier | Delivering_party_4_Identifier | If party format is BIC then pattern is: AnyBICIdentifier  
If party format is Name then pattern is: RestrictedFINXMax140Text  
If party format is Proprietary then pattern is: RestrictedFINX2Max34Text | CM            |
<p>| 90             | Delivering party 4 Safekeeping account | Delivering_party_4_Safekeeping_account | RestrictedFINXMax35Text | O             |</p>
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| 97             | Delivering party 5 Identifier       | Delivering_party_5_Identifier                                 | If party format is BIC then pattern is: AnyBICIdentifier  
If party format is Name then pattern is: RestrictedFINXMax140Text  
If party format is Proprietary then pattern is: RestrictedFINXMax350Text | CM           |
| 98             | Delivering party 5 Safekeeping account | Delivering_party_5_Safekeeping_account                       | RestrictedFINXMax350Text                          | O            |
| 99             | Delivering party 5 Declaration details | Delivering_party_5_Declaration_details                      | RestrictedFINXMax350Text                          | O            |
| 100            | Delivering party 5 Party contact details | Delivering_party_5_Party_contact_details                      | RestrictedFINXMax140Text                          | O            |
| 101            | Delivering party 5 Registration details | Delivering_party_5_Registration_details                      | RestrictedFINXMax350Text                          | O            |
| 102            | Receiving party Depository Format   | Receiving_party_Depository_Format                             | BIC, CountryCode                                  | CM           |
| 103            | Receiving party Depository Identifier | Receiving_party_Depository_Identifier                       | If party format is BIC then pattern is: AnyBICIdentifier  
If party format is Name then pattern is: RestrictedFINXMax140Text  
If party format is Proprietary then pattern is: RestrictedFINXMax350Text | CM           |
| 104            | Receiving party 1 Format            | Receiving_party_1_Format                                     | BIC, Name, Proprietary                           | CM           |
| 105            | Receiving party 1 Issuer            | Receiving_party_1_Issuer                                     | See list of allowed DSS codes                      | CM           |
| 106            | Receiving party 1 Scheme            | Receiving_party_1.Scheme                                     | Exact4AlphaNumericText                           | CM           |
| 107            | Receiving party 1 Identifier        | Receiving_party_1_Identifier                                 | If party format is BIC then pattern is: AnyBICIdentifier  
If party format is Name then pattern is: RestrictedFINXMax140Text  
If party format is Proprietary then pattern is: RestrictedFINXMax350Text | CM           |
<p>| 108            | Receiving party 1 Safekeeping account | Receiving_party_1_Safekeeping_account                       | RestrictedFINXMax350Text                          | O            |
| 109            | Receiving party 1 Declaration details | Receiving_party_1_Declaration_details                      | RestrictedFINXMax350Text                          | O            |</p>
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| 115            | Receiving party 2 Identifier | Receiving_party_2_Identifier                                 | If party format is BIC then pattern is: AnyBICIdentifier  
If party format is Name then pattern is: RestrictedFINXMax140Text  
If party format is Proprietary then pattern is: RestrictedFINX2Max34Text | CM           |
| 116            | Receiving party 2 Safekeeping account | Receiving_party_2_Safekeeping_account                      | RestrictedFINXMax35Text            | O            |
| 117            | Receiving party 2 Declaration details | Receiving_party_2_Declaration_details                      | RestrictedFINXMax350Text            | O            |
| 118            | Receiving party 2 Party contact details | Receiving_party_2_Party_contact_details                      | RestrictedFINXMax140Text            | O            |
| 119            | Receiving party 2 Registration details | Receiving_party_2_Registration_details                      | RestrictedFINXMax350Text            | O            |
| 120            | Receiving party 3 Format     | Receiving_party_3_Format                                     | BIC, Name, Proprietary             | CM           |
| 121            | Receiving party 3 Issuer     | Receiving_party_3_Issuer                                     | See list of allowed DSS codes       | CM           |
| 122            | Receiving party 3 Scheme     | Receiving_party_3_Scheme                                     | Exact4AlphaNumericText             | CM           |
| 123            | Receiving party 3 Identifier | Receiving_party_3_Identifier                                 | If party format is BIC then pattern is: AnyBICIdentifier  
If party format is Name then pattern is: RestrictedFINXMax140Text  
If party format is Proprietary then pattern is: RestrictedFINX2Max34Text | CM           |
<p>| 124            | Receiving party 3 Safekeeping account | Receiving_party_3_Safekeeping_account                      | RestrictedFINXMax35Text            | CM           |
| 125            | Receiving party 3 Declaration details | Receiving_party_3_Declaration_details                      | RestrictedFINXMax350Text            | O            |
| 126            | Receiving party 3 Party contact details | Receiving_party_3_Party_contact_details                      | RestrictedFINXMax140Text            | O            |
| 127            | Receiving party 3 Registration details | Receiving_party_3_Registration_details                      | RestrictedFINXMax350Text            | O            |
| 128            | Receiving party 4 Format     | Receiving_party_4_Format                                     | BIC, Name, Proprietary             | CM           |
| 129            | Receiving party 4 Issuer     | Receiving_party_4_Issuer                                     | See list of allowed DSS codes       | CM           |
| 130            | Receiving party 4 Scheme     | Receiving_party_4_Scheme                                     | Exact4AlphaNumericText             | CM           |</p>
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| 172            | Other business party Identifier                     | Other_business_party_Identifier                                    | If party format is BIC then pattern is: AnyBICIdentifier  
If party format is Name then pattern is: RestrictedFINXMax140Text  
If party format is Proprietary then pattern is: RestrictedFINX2Max34Text | CM           |
| 173            | Other business party Safekeeping account            | Other_business_party_Safekeeping_account                           | RestrictedFINXMax35Text                       | 0            |
| 174            | Other business party Declaration details            | Other_business_party_Declaration_details                           | RestrictedFINXMax35Text                       | 0            |
| 175            | Other business party Party contact details          | Other_business_party_Party_contact_details                         | RestrictedFINXMax35Text                       | 0            |
| 176            | Other business Registration details                 | Other_business_Registration_details                                | RestrictedFINXMax350Text                      | 0            |
| 177            | Accrued interest indicator                         | Accrued_interest_indicator                                         | YesNoIndicator                                | 0            |
| 178            | Stamp duty indicator                               | Stamp_duty_indicator                                               | YesNoIndicator                                | 0            |
| 179            | Settlement amount Currency                         | Settlement_amount_Currency                                          | See list of allowed currencies                | CM           |
| 180            | Settlement amount                                  | Settlement_amount                                                  | RestrictedFINImpliedCurrencyAndAmount         | CM           |
| 181            | Credit debit indicator                              | Credit_debit_indicator                                             | CRDT, DBIT                                   | CM           |
| 182            | Other amount Type                                  | Other_amount_Type                                                  | See list of values in “Field content” worksheet table “Other Amounts Types” | 0            |
| 183            | Other amount Currency                              | Other_amount_Currency                                              | See list of allowed currencies                | CM           |
| 184            | Other amount Amount                                | Other_amount_Amount                                                | Amount                                        | CM           |
| 185            | Other amount Credit debit indicator                 | Other_amount_Credit_debit_indicator                                 | CRDT, DBIT                                   | CM           |
| 186            | Certification ID                                  | Certification_ID                                                   | RestrictedFINXMax16Text                       | 0            |
| 187            | Certification date                                 | Certification_date                                                | Date (dd/mm/yyyy)                             | 0            |
| 188            | Registrar account                                 | Registrar_account                                                 | RestrictedFINXMax35Text                       | 0            |
| 189            | Certificate number                                 | Certificate_number                                                | RestrictedFINXMax30Text                       | 0            |
**Cash instructions create upload file**

**Note:** In the following table, Field Status is indicated as: M=Mandatory; O=Optional; CM=Conditional Mandatory.

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Corporate action instructions create upload file

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<td>Option Number</td>
<td>Option_Number</td>
<td>Exact3AlphaNumericText</td>
<td>M</td>
</tr>
<tr>
<td>16</td>
<td>Option Type</td>
<td>Option_Type</td>
<td>Exact4AlphaText</td>
<td>M</td>
</tr>
<tr>
<td>17</td>
<td>Disposition of Fractions</td>
<td>Disposition_of_Fractions</td>
<td>See Field Content - Disposition of Fractions (DISF) code</td>
<td>O</td>
</tr>
<tr>
<td>18</td>
<td>Quantity Type</td>
<td>Quantity_Type</td>
<td>See Field content - Quantity Type code</td>
<td>M</td>
</tr>
<tr>
<td>19</td>
<td>Quantity Instructed</td>
<td>Quantity_Instructed</td>
<td>RestrictedFINDecimalNumber</td>
<td>M</td>
</tr>
<tr>
<td>20</td>
<td>Requested_Tax_Rate_Type</td>
<td>Requested_Tax_Rate_Type</td>
<td>See Field Content - Requested Tax Rate Type code</td>
<td>O</td>
</tr>
<tr>
<td>21</td>
<td>Requested Tax Rate (%)</td>
<td>Requested_Tax_Rate</td>
<td>RestrictedFINDecimalNumberPercent</td>
<td>CM on Requested_Tax_Rate_Type</td>
</tr>
<tr>
<td>22</td>
<td>Offered_Price_Type</td>
<td>Offered_Price_Type</td>
<td>See Field Content - Offered Price Type code</td>
<td>O</td>
</tr>
<tr>
<td>23</td>
<td>Offered_Price_Amount</td>
<td>Offered_Price_Amount</td>
<td>RestrictedFINDecimalNumber</td>
<td>O</td>
</tr>
<tr>
<td>24</td>
<td>Offered_Price_Currency</td>
<td>Offered_Price_Currency</td>
<td>See list of allowed currencies</td>
<td>O</td>
</tr>
<tr>
<td>25</td>
<td>Narrative Information to be complied with</td>
<td>Narrative_Information_to_be_complied_with</td>
<td>RestrictedFINXMax350Text</td>
<td>O</td>
</tr>
<tr>
<td>26</td>
<td>Narrative Delivery Details</td>
<td>Narrative_Delivery_Details</td>
<td>RestrictedFINXMax350Text</td>
<td>O</td>
</tr>
<tr>
<td>27</td>
<td>Corporate Action Instructions Narrative1</td>
<td>Corporate_ACTION_Instructions_Narrative1</td>
<td>RestrictedFINXMax350Text</td>
<td>O</td>
</tr>
<tr>
<td>28</td>
<td>Corporate Action Instructions Narrative2</td>
<td>Corporate_ACTION_Instructions_Narrative2</td>
<td>RestrictedFINXMax350Text</td>
<td>O</td>
</tr>
<tr>
<td>29</td>
<td>Corporate Action Instructions Narrative3</td>
<td>Corporate_ACTION_Instructions_Narrative3</td>
<td>RestrictedFINXMax350Text</td>
<td>O</td>
</tr>
<tr>
<td>30</td>
<td>Certification Breakdown Narrative</td>
<td>Certification_Breakdown_Narrative</td>
<td>RestrictedFINXMax350Text</td>
<td>O</td>
</tr>
<tr>
<td>31</td>
<td>Narrative Party Contact</td>
<td>Narrative_Party_Contact</td>
<td>RestrictedFINXMax350Text</td>
<td>O</td>
</tr>
<tr>
<td>32</td>
<td>Narrative Registration Details</td>
<td>Narrative_Registration_Details</td>
<td>RestrictedFINXMax350Text</td>
<td>O</td>
</tr>
</tbody>
</table>

1. Only one financial instrument identification should be used between ISIN and Common Code.
### French FTT declaration

In the following table, Field Status is indicated as: M=Mandatory; O=Optional.

**Note:** The customer declaration file must contain an ASCII text file formatted as a CSV were each element in the file must be separated by a colon (;

<table>
<thead>
<tr>
<th>Position in CSV</th>
<th>Field description</th>
<th>Format/Content</th>
<th>Field Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Euroclear France member code</td>
<td>Up to 8 figures leading zeroes not mandatory - 607 if the transaction is settled via one of your CBF accounts - 641 if the transaction is settled via one of your CBL accounts</td>
<td>M</td>
</tr>
<tr>
<td>2</td>
<td>Credit / Debit Code</td>
<td>C: If the total tax amount results in a negative amount [refund requested to the French tax authorities] D: If the total tax amount results in a positive amount [tax to be paid to the French tax authorities] If total tax amount = '0', code 'D' should be entered</td>
<td>M</td>
</tr>
<tr>
<td>3</td>
<td>Total tax amount</td>
<td>18 figures maximum plus a comma [maximum two decimals] Example: 1234567890123456,78 leading zeroes not mandatory Total amount of the tax to be paid on the underlying transactions in the declaration Total tax amount = Sum of all tax amounts [field 25] of all transactions where transaction type [field 15] = S and R minus all tax amounts [field 25] of all transactions where transaction type [field 15] = C</td>
<td>M</td>
</tr>
<tr>
<td>4</td>
<td>Number of records</td>
<td>Up to 9 figures leading zeroes not mandatory Number of transactions reported in the declaration</td>
<td>M</td>
</tr>
<tr>
<td>5</td>
<td>Sending date</td>
<td>YYYYMMDD Date on which Clearstream customer sends the declaration to Clearstream Banking</td>
<td>M</td>
</tr>
</tbody>
</table>
## Reference of the declaration

- **Position in CSV:** 7
- **Field description:** Reference of the declaration
- **Format/Content:** Up to 50 alpha numeric characters

Month on which the cash is to be debited for the total amount

For all transactions with transaction type = S (field 15), the settlement date of a particular transaction must always be in the month that immediately precedes the payment month indicated by the customer in field 6. The same declaration cannot mix transactions for which the tax is due for the next payment month and late declarations for which the tax was due on a former payment month.

For all transactions with transaction type = R or C or A (field 15), no validation rule on the settlement date.

### Reference attributed by the Euroclear France Member

- **Position in CSV:** 7
- **Field description:** Reference attributed by the Euroclear France Member
- **Format/Content:** Up to 50 alpha numeric characters

Reference attributed by the Euroclear France Member. Clearstream Banking requests its customer to complete as follows:

```
/xxxxx/followed by the customer reference (must be unique)
```

Where `xxxxx` = Customer account number in Clearstream Banking Luxembourg from which the total tax amount has to be debited.

Where `xxxxx` = Customer account number that must belong to the same business structure to which belongs the COL user.

In the Declaration sheet, this field has been split in 2 parts: Account number and Reference, in order to simplify the input of the information.

Recommended structure to ensure that the reference is unique:

```
/xxxxx/payment month followed by an incremental number or reference
```

### BIC of the Accountable Party

- **Position in CSV:** 8
- **Field description:** BIC of the Accountable Party
- **Format/Content:** Up to 11 alpha numeric characters

If the Accountable Party has no BIC, ‘NONE’ must be indicated.

### Name of the Accountable Party

- **Position in CSV:** 9
- **Field description:** Name of the Accountable Party
- **Format/Content:** Up to 50 alpha numeric characters

### Address of the Accountable Party

- **Position in CSV:** 10
- **Field description:** Address of the Accountable Party
- **Format/Content:** Up to 50 alpha numeric characters

### Position in CSV

- **Field description:**

<table>
<thead>
<tr>
<th>Position in CSV</th>
<th>Field description</th>
<th>Format/Content</th>
<th>Field Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>6</td>
<td>Payment month</td>
<td>YYYYMM</td>
<td>M</td>
</tr>
<tr>
<td>7</td>
<td>Reference of the declaration</td>
<td>Up to 50 alpha numeric characters</td>
<td>M</td>
</tr>
<tr>
<td>8</td>
<td>BIC of the Accountable Party</td>
<td>Up to 11 alpha numeric characters</td>
<td>M</td>
</tr>
<tr>
<td>9</td>
<td>Name of the Accountable Party</td>
<td>Up to 50 alpha numeric characters</td>
<td>M</td>
</tr>
<tr>
<td>10</td>
<td>Address of the Accountable Party</td>
<td>Up to 50 alpha numeric characters</td>
<td>M</td>
</tr>
</tbody>
</table>
### Repetitive fields

<table>
<thead>
<tr>
<th>Position in CSV</th>
<th>Field description</th>
<th>Format/Content</th>
<th>Field Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Transaction external number</td>
<td>Incremental reference number of the declared transaction</td>
<td>M</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Up to 9 figures, leading zeroes not mandatory</td>
<td>M</td>
</tr>
<tr>
<td>2</td>
<td>Reference of the transaction</td>
<td>“Up to 16 alpha numeric characters”</td>
<td>M</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Reference of the declared transaction attributed by the Accountable Party</td>
<td>M</td>
</tr>
<tr>
<td>3</td>
<td>Type of transaction</td>
<td>1 alpha numeric character mandatory</td>
<td>M</td>
</tr>
<tr>
<td></td>
<td></td>
<td>S = Standard</td>
<td>M</td>
</tr>
<tr>
<td></td>
<td></td>
<td>R = Regularisation. Update of a previous declared transaction, resulting in an additional tax amount</td>
<td>M</td>
</tr>
<tr>
<td></td>
<td></td>
<td>C = Refund claim. Update of a previous declared transaction, resulting in a refund of an overpaid tax amount</td>
<td>M</td>
</tr>
<tr>
<td></td>
<td></td>
<td>A = Amendment. Update of a previous declared transaction, without impact on the tax amount</td>
<td>M</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Note: R, C and A types must have the same reference as the original transaction</td>
<td>M</td>
</tr>
<tr>
<td>4</td>
<td>Netted transaction flag</td>
<td>Y or N</td>
<td>M</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Y applies if the transaction is the result of a netting [e.g. intra-day]</td>
<td>M</td>
</tr>
<tr>
<td>5</td>
<td>ISIN code</td>
<td>12 alpha numeric characters mandatory</td>
<td>M</td>
</tr>
<tr>
<td></td>
<td></td>
<td>ISIN of the security</td>
<td>M</td>
</tr>
<tr>
<td></td>
<td></td>
<td>If the declared transaction relates to a corporate action, ISIN of the distributed proceeds</td>
<td>M</td>
</tr>
<tr>
<td>Position in CSV</td>
<td>Field description</td>
<td>Format/Content</td>
<td>Field Status</td>
</tr>
<tr>
<td>----------------</td>
<td>------------------</td>
<td>----------------</td>
<td>--------------</td>
</tr>
<tr>
<td>6</td>
<td>Trade date</td>
<td>YYYYMMDD</td>
<td>M</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Must be (\geq 01/08/2012)</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Payment date if the declared transaction relates to a corporate action</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Settlement date</td>
<td>YYYYMMDD</td>
<td>M</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Must be (\geq 01/08/2012)</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Payment date if the declared transaction relates to a corporate action</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>If transaction type = S, the settlement date must always be in the month that immediately precedes the payment month indicated in field 6</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Quantity</td>
<td>Quantity of settled securities</td>
<td>M</td>
</tr>
<tr>
<td></td>
<td></td>
<td>31 figures maximum plus a comma [maximum twelve decimals]</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Example: 1234567890123456789,123456789012</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>leading zeroes not mandatory</td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>Unit of quantity</td>
<td>UNT or FMT of settled securities</td>
<td>M</td>
</tr>
<tr>
<td>10</td>
<td>Cash amount</td>
<td>Cash amount of the transaction in Euros</td>
<td>M</td>
</tr>
<tr>
<td></td>
<td></td>
<td>If the declared transaction relates to a corporate action, =Unit price of the proceeds * quantity</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>18 figures maximum plus a comma [maximum two decimals]</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Example: 1234567890123456,78</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>leading zeroes not mandatory</td>
<td></td>
</tr>
<tr>
<td>11</td>
<td>Taxable Flag</td>
<td>Indicates whether the transaction is taxable or not</td>
<td>M</td>
</tr>
<tr>
<td></td>
<td></td>
<td>If N (\rightarrow) Exoneration code must contain values 1 to 9 and Tax amount must be equal to 0</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>If Y (\rightarrow) Exoneration code must contain ‘space’ and Tax amount must be different from 0</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>1 alpha numeric character mandatory</td>
<td></td>
</tr>
<tr>
<td>Position in CSV</td>
<td>Field description</td>
<td>Format/Content</td>
<td></td>
</tr>
<tr>
<td>----------------</td>
<td>--------------------------------------------------------</td>
<td>--------------------------------------------------------------------------------</td>
<td></td>
</tr>
<tr>
<td>12</td>
<td>Exoneration code</td>
<td>For a taxable transaction: space (&quot; &quot;)&lt;br&gt;For a non-taxable transaction:&lt;br&gt;1: Purchases linked to an issue of securities (primary market)&lt;br&gt;2: Transactions processed by a clearing house or central securities depository&lt;br&gt;3: Purchases linked to market making activities&lt;br&gt;4: Purchases linked to a liquidity contract&lt;br&gt;5: Intra-group transactions&lt;br&gt;6: Securities lending and repos&lt;br&gt;7: Acquisitions by employee mutual funds, employee open-ended investment funds or by employees directly&lt;br&gt;8: Acquisitions (including purchase of company shares) for employee saving schemes&lt;br&gt;9: Acquisitions of convertible bonds/bonds convertible into shares&lt;br&gt;1 alpha numeric character mandatory</td>
<td></td>
</tr>
<tr>
<td>13</td>
<td>Tax amount</td>
<td>18 figures maximum plus a comma [maximum two decimals]&lt;br&gt;0 for an exonerated transaction&lt;br&gt;No negative sign authorised&lt;br&gt;Example: 1234567890123456,78&lt;br&gt;Amount to be paid for this transaction in Euro.&lt;br&gt;0 for exonerated transaction&lt;br&gt;This field will be considered as a negative amount if the Type of transaction [field 15] = C [no negative sign authorised]</td>
<td></td>
</tr>
</tbody>
</table>
### Appendices - 30 Xact Web Portal User Manual

<table>
<thead>
<tr>
<th>Position in CSV</th>
<th>Field description</th>
<th>Format/Content</th>
<th>Field Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>14</td>
<td>Place of trade</td>
<td>4 alpha numeric characters mandatory&lt;br&gt;MIC code of the place of trade&lt;br&gt;MULT if multiple places of trading&lt;br&gt;OTC if transaction dealt on the OTC market&lt;br&gt;INT if transaction executed by internalisation&lt;br&gt;CORP if the declared transaction relates to a corporate action&lt;br&gt;Other MIC code can be found in international standard ISO10383</td>
<td>M</td>
</tr>
<tr>
<td>15</td>
<td>Narrative</td>
<td>Up to 50 alpha numeric characters.&lt;br&gt;If no narrative, a blank must be input.&lt;br&gt;Free text that can be used to provide more details for regularisation, refund claim or amendment</td>
<td>M</td>
</tr>
</tbody>
</table>