

# Instruction File Generator

## User Guide

May 2005



# Instruction File Generator

## User Guide

May 2005

Document number: 6325

This document is the property of Clearstream Banking S.A. ("Clearstream Banking"). No part of this manual may be reproduced or transmitted in any form or by any means, electronic or mechanical, including photocopying and recording, for any purpose without the express written consent of Clearstream Banking. Information in this document is subject to change without notice and does not represent a commitment on the part of Clearstream Banking or any other entity belonging to Clearstream International S.A.

This document does not constitute a Governing Document as defined in Clearstream Banking's General Terms and Conditions. This manual is only available in electronic format. Clearstream Banking allows customers to print the manual locally for their own use.

© Copyright Clearstream International S.A. (2005). All rights reserved.

Clearstream and CreationOnline are registered trademarks of Clearstream International S.A.

Clearstream International S.A. is a Deutsche Börse Group company.

Microsoft® is a registered trademark of Microsoft Corporation.

# Contents

Instruction File Generator .....	1
Introduction.....	1
Disclaimer.....	1
Installation .....	1
Registration as a user of CreationDirect via Internet .....	1
Testing.....	1
Generated instruction files .....	2
Accessing the Instruction File Generator.....	2
Setting Excel security preferences.....	2
Starting the Instruction File Generator .....	3
Regional settings and parameters .....	4
Creating securities instructions and instruction files.....	5
Entering cash instructions and cash instruction files.....	6
Generating the instruction files .....	7
Sending instruction files to Clearstream Banking .....	7
Viewing previously entered instructions using the browse function .....	8
Using the Navigation panel .....	9

This page has intentionally been left blank.

## Instruction File Generator

### Introduction

The Instruction File Generator provides a simple solution for creating securities or cash instructions. Its use is primarily in the unlikely event of CreationOnline being unavailable. It can also be used in circumstances where Clearstream Banking customers experience problems with instruction input using CreationOnline and wish to input simple instructions locally and send their instructions using CreationDirect. Clearstream Banking recommends CreationDirect via Internet for this purpose.

The Instruction File Generator is a Microsoft Excel spread-sheet solution incorporating an Excel macro. It can be used by any user who has access to Microsoft Excel 2002 or above. It can be used concurrently by an unlimited number of users.

### Disclaimer

The use of this software is bound by the provisions of the Clearstream Banking Connectivity Agreement and is intended for use in instances where CreationOnline is unsuitable for the submission of securities and cash instructions to Clearstream Banking for processing.

### Installation

The Instruction File Generator is available for downloading by all Clearstream Banking customers from the web site [www.clearstream.com](http://www.clearstream.com) (under Products and Services/ CreationConnect/ Product Documentation/ Contingency).

### Registration as a user of CreationDirect via Internet

Your CreationOnline OU Administrator can request the setup of a CreationDirect via Internet address and create a CreationDirect via Internet user and generate a user credential via CreationOnline.

If you have not subscribed to CreationOnline user, you can subscribe to CreationOnline and CreationDirect via Internet by completing the on-line application form which is available on the Clearstream Banking web site [www.clearstream.com](http://www.clearstream.com) (under Products & Services/ CreationConnect / CreationOnline Application Form).

### Testing

Clearstream Banking recommends that you test the Instruction File Generator prior to using it to send live instructions. In order to test the Instruction File Generator, you must request access to the CreationDirect via Internet Customer Test Environment (CTE). This will allow you to send test instruction files to Clearstream Banking for validation purposes only.

## Supported instruction types

The Instruction File Generator supports the following instruction types:

Cash instructions	Securities instructions
MT210 Notice to Receive. (Pre-Advice of Funds (10))	Receive Free (MT540)
MT202 General Institution transfer (Withdrawal of Funds (90))	Receive Against Payment (MT541)
MT202 General Institution transfer (Customer Transfer (9X))	Deliver Free (MT542)
	Deliver Against Payment (MT542)

The following types of settlement transactions are supported for securities instructions:

- Trade Settlement
- Internal Own Account Transfer
- External Own Account Transfer

## Generated instruction files

The securities and cash instruction files generated by the Instruction File Generator are fully ISO 15022 compliant. The details of the formats of these files are provided in the Clearstream Banking publication "Data Interchange Specifications: SWIFT ISO formats" on the Clearstream Banking web site ([www.clearstream.com](http://www.clearstream.com)).

## Accessing the Instruction File Generator

The Instruction File Generator is downloaded from the Clearstream Banking web site (from Products and Services/ CreationConnect/ Product Documentation/ Contingency). Save the downloaded file in a local workstation or local area network folder.

**Note:** The Instruction File Generator should not be run directly from the Clearstream Banking web site.

## Setting Excel security preferences

A simple macro in Excel is used to launch the Instruction File Generator. Consequently, macros must be enabled within Excel. Also, the macro security settings within Excel must be set to Medium or lower.

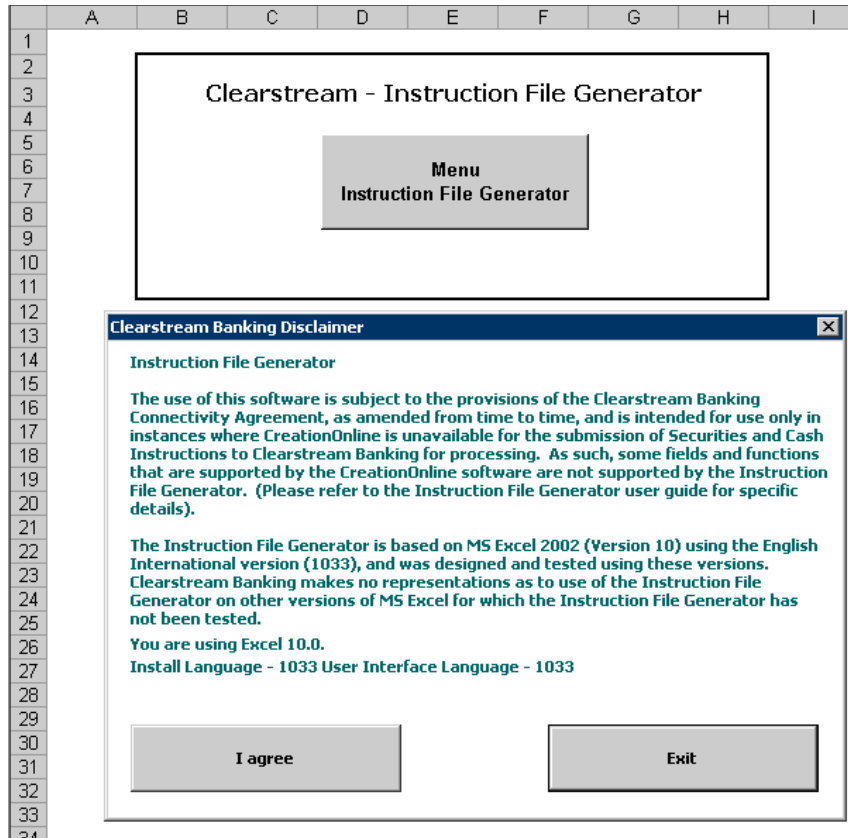
The security settings are accessed from the main Excel menu bar (under Tools/Macro/Security).

- Click **Medium** on the Security Level tab.

This level of security allows users to choose which macros can be run and prevents unsolicited Excel macros from being executed.)

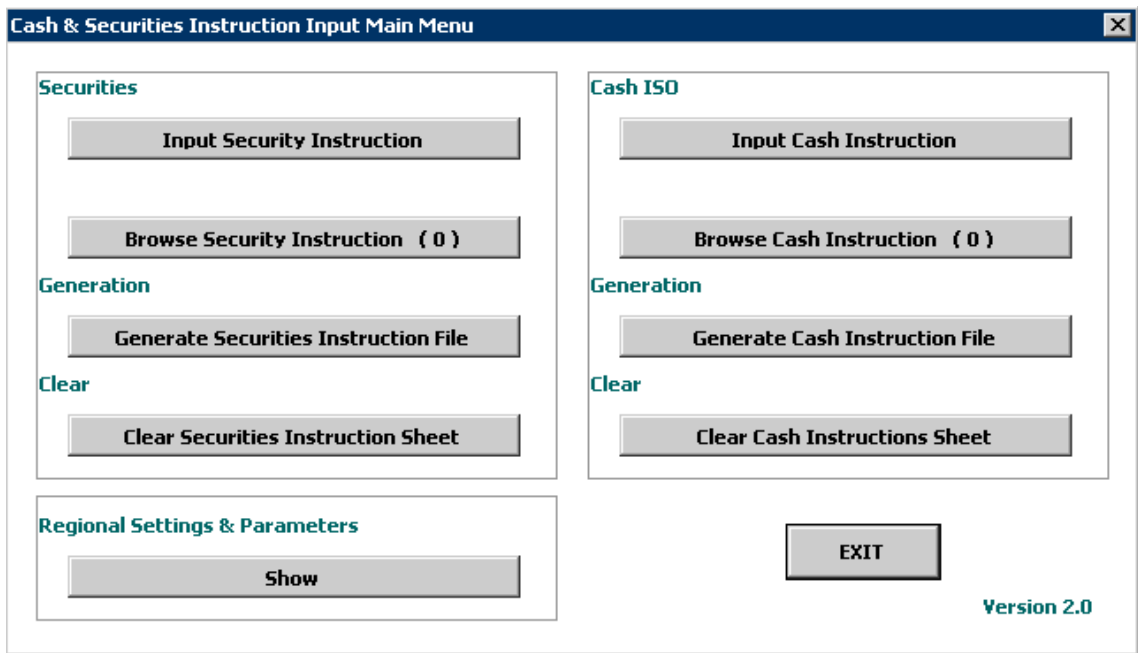
## Starting the Instruction File Generator

The Instruction File Generator is opened as a normal Excel worksheet. Double click on the file name (Instruction File GeneratorV2.xls) to start Excel and open the Disclaimer page of the Instruction File Generator automatically. The following window is displayed:



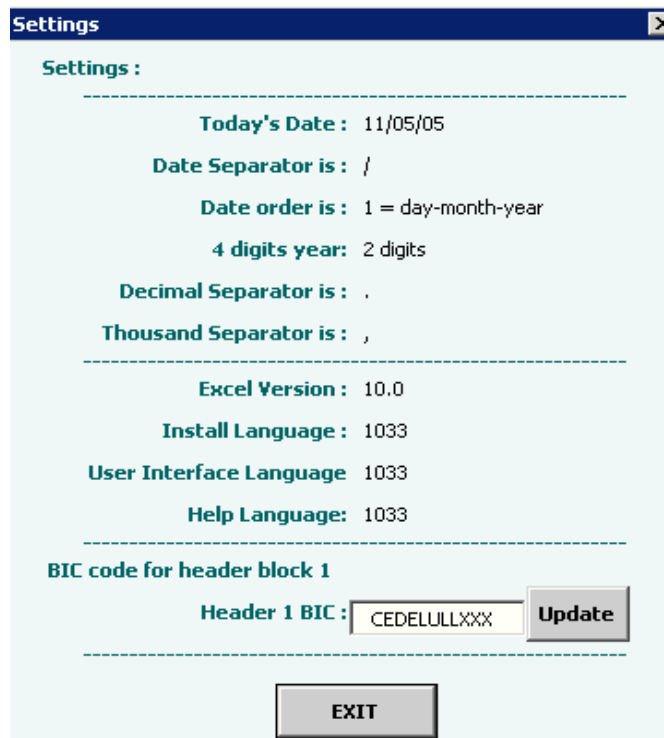
- Click the **I agree** button to accept the disclaimer for using the Instruction File Generator.

The “Cash and Securities Instruction Input Main Menu” window containing the main menu of the functions of this application is displayed:



## Regional settings and parameters

- Click the **Show** button for “Regional Settings and Parameters”. This opens the Settings window:





The Settings window shows the regional settings used by the workstation that will be used for specific field formats by the Instruction File Generator.

The field “BIC Code for header block 1” is used when creating the instruction file to be sent to Clearstream Banking for processing using CreationDirect.

The default for the Header 1 BIC is currently Clearstream Banking’s BIC (CEDELULLXXX). It can be changed to your institution’s BIC:

- Select the “Header 1 BIC” field and enter the eleven-digit BIC for your institution.
- Click the **Update** button.

## Creating securities instructions and instruction files

To create a securities instruction:

- Click the **Input Security** button in the Cash & Securities Input Instruction Main Menu window. The Trade Details window is displayed:

The screenshot shows the 'Clearstream - Instruction File Generator' application. A window titled 'Securities Input : Trade Details' is open, displaying a form with the following fields and controls:

- Type of Settlement Transaction \***: Trade Settlement (dropdown)
- Instruction Type \***: (dropdown)
- Financial Instrument \***: Common (dropdown) and (text field)
- Place of Safekeeping**: (dropdown) and (text field)
- Sender's Reference \***: (text field)
- Safekeeping Account \***: (text field)
- Quantity of Financial Instrument \***: (text field) and (dropdown)
- Settlement Amount**: (text field) and (dropdown)
- Requested Settlement Date \***: (text field) DD/MM/YY
- Trade Date**: (text field) DD/MM/YY
- Deal Price**: (text field) and (dropdown)
- Delivery without matching**:
- Previous Reference**: (text field)
- Function of Message \***: New Message (dropdown)
- Processing Indicator**: (dropdown)
- FX Currency**: (dropdown)
- Priority**: (dropdown)

At the bottom of the window, there are buttons for 'Settlement Parties', 'Additional Information', 'Instruction 1 of 1', 'Browse', 'Submit', 'Reset', and 'Return to Main Menu'.

- Select the type of settlement transaction from the **Type of Settlement Transaction** drop-down menu.
- Select the type of settlement instruction from the **Instruction Type** drop-down menu.
- Enter all other relevant trade details in the appropriate fields.

- Click the **Settlement Parties** button. The Settlement Parties window is displayed (not shown here). Enter all relevant details in this window.
- If there is any additional information to be included in the instruction, click the **Additional Details** button. The Additional Details window is displayed (not shown). Enter the additional information in this window.
- Click the **Submit** button to add the instruction to the securities instruction file.
- Click the **Reset** button to reset all fields to null values.
- When you have completed entering your instructions, click the **Return to Main Menu** button.

### Entering cash instructions and cash instruction files

- Click the **Input** button.
- Click the **Cash Instruction** button in the Cash & Securities Input Instruction Main Menu window. The Cash Input window is displayed:

**Cash Input ISO Format**

Instruction Type\*

Senders\* Reference

Account\*  Beneficiary Institution

Amount\*  Currency\*

Requested\* Value Date  DD/MM/YY Intermediary

	Format	Clearing Code	Acc / Clearing	BIC Code/Name
Intermediary	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Account with Institution	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Beneficiary Institution	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Details of Payments

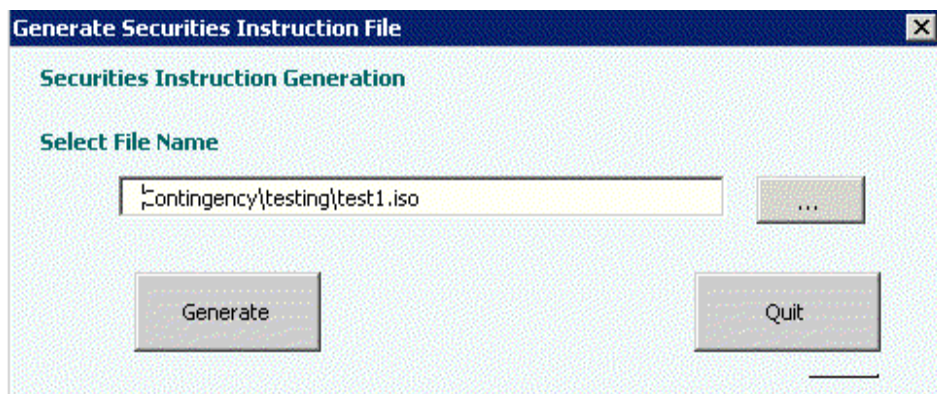
**Instruction 1 of 1**

- Select the type of cash instruction from the **Instruction Type** drop-down menu.
- Enter all relevant details for the instruction.
- Click the **Submit** button to add the instruction to the cash instruction file.
- Click the **Reset** button to reset all fields to null values.
- When you have completed entering your instructions, click the **Return to Main Menu** button.

## Generating the instruction files

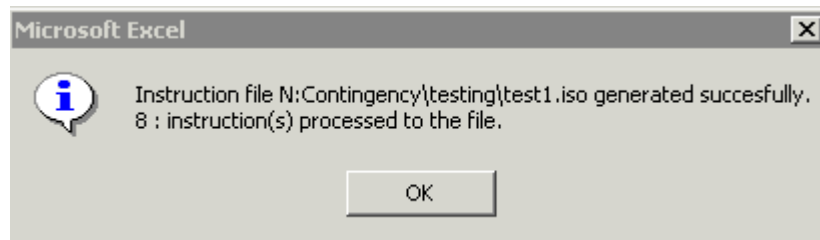
After completing instruction input, the instruction files can be generated. In the Cash & Securities Input Instruction Main Menu window:

- Either:
  - Click the **Generate Securities Instruction File** button to display the **Generate Securities Instruction File** window;
- or:
  - Click the **Generate Cash Instruction File** button to display the **Generate Cash Instruction File** window;



- Specify where the instruction file is to be saved in the **Select File Name** field.
- Click on the **Generate** button to generate a securities or cash instruction file.

After each file has been generated successfully, the following window is displayed showing the number of instructions contained in the file:



## Sending instruction files to Clearstream Banking

Instruction files can be sent to Clearstream Banking by any user who has access to a Clearstream Banking file transfer product such as CreationDirect via Internet. If CreationDirect via Internet is to be used for this purpose, the CreationDirect via Internet filestore must be enabled for sending instructions and receiving reports.

## Viewing previously entered instructions using the browse function

To view all previously entered securities instructions, either click on **Select Browse Security Instructions** in the Cash & Securities Input Instruction Main Menu window or select **Browse** from the Securities Input Trade Details window.

The **Securities Input: Trade Details** window is displayed, as below.

**Securities Input : Trade Details**

<p><b>Type of Settlement Transaction *</b> <input type="text" value="Trade Settlement"/></p> <p><b>Instruction Type *</b> <input type="text"/></p> <p><b>Financial Instrument *</b> <input type="text" value="Common"/> <input type="text"/></p> <p><b>Place of Safekeeping</b> <input type="text"/></p> <p><b>Sender's Reference *</b> <input type="text"/></p> <p><b>Safekeeping Account *</b> <input type="text"/></p> <p><b>Quantity of Financial Instrument *</b> <input type="text"/> <input type="text"/></p> <p><b>Settlement Amount</b> <input type="text"/> <input type="text"/></p> <p><b>Requested Settlement Date *</b> <input type="text"/> DD/MM/YY</p> <p><b>Trade Date</b> <input type="text"/> DD/MM/YY</p> <p><b>Deal Price</b> <input type="text"/> <input type="text"/> <input type="text"/></p>	<p><b>Delivery without matching</b> <input type="checkbox"/></p> <p><b>Previous Reference</b> <input type="text"/></p> <p><b>Function of Message *</b> <input type="text" value="New Message"/></p> <p><b>Processing Indicator</b> <input type="text"/></p> <p><b>FX Currency</b> <input type="text"/></p> <p><b>Priority</b> <input type="text"/></p>
---	--

**Settlement Parties**

**Additional Information**

**Instruction**  
7 of 7

**Browse**

**Submit**

**Reset**

**Return to Main Menu**

**Navigation**

Instruction Type	Financial Instrument	Sender Reference	Quantity of Financial instrument	Settlement Date
Deliver Against Payment	CH0012279920	example6	506000	05/05/05
Receive Free	000123331	example2	900040	02/02/06
Deliver Free	000123331	example4	100	02/02/05
Deliver Free	000123331	example5	3000	09/05/08
Receive Free	000000111	example3	40000	06/05/05
Receive Against Payment	000123331	example1	9876543210	10/05/05

Record:   7

of 7

Instruction Type	Financial Instrument	Sender Reference	From	Quantity of Financial instrument	Value Date
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	From <input type="text"/>	<input type="text"/>
			To <input type="text"/>	To <input type="text"/>	

You can also view the settlement parties (**Settlement Parties** button) and the additional information (**Additional Information** button) in your instructions.

To view all previously entered cash instructions, either click on **Browse Cash Instruction Files** in the Cash & Securities Input Instruction Main Menu window or click the **Browse** button in the Cash Input window.

This opens the Cash Input window:

**Cash Input ISO Format**

Instruction Type\*

Senders\* Reference

Account\*  Beneficiary Institution

Amount\*  Currency\*

Requested\* Value Date  DD/MM/YY Intermediary

Intermediary	Format	Clearing Code	Acc / Clearing	BIC Code/Name
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Account with Institution	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Beneficiary Institution	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Details of Payments

Instruction 4 of 4

**Navigation**

Sender Reference	Instruction Type	Currency	Value Date	Amount
cash3	10	AUD	23/05/05	100
cash1	90	AUD	23/05/05	1000000
cash2	9X	EUR	16/05/05	807000

Record: |< < 4 > >|  of 4

**Filter :**

Sender Reference	Instruction Type	Currency	From Value Date	From Amount
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
			To <input type="text"/>	To <input type="text"/>
			<input type="text"/>	<input type="text"/>

## Using the Navigation panel

Both the Securities Input and the Cash Input window include a **Navigation** panel which displays the instructions that have been entered into the Instruction File Generator.

Use the navigation panel buttons to move up or down the list of instructions:

- first instruction;
- preceding instruction;

- next instruction;
- last instruction.

### Filtering

The filter function allows you limit the instructions displayed in the navigation panel to the following specific categories (defined in the appropriate filter fields):

- by senders reference - wild cards and part-reference searching is supported
- by instruction type- choose from the Drop down list to filter on Instruction Type
- by currency - choose from the Drop down list to filter on Currency Type
- by value date - Specify a range of value dates.
- by amount - Specify a range of amounts.

Use the **Filter** and **Clear Filter** buttons with the appropriate filter fields to use the filter function.

### Using the Navigation panel buttons

The navigation panel buttons allow you to retrieve and select any of the instructions currently held in the application. The Navigation panel allows you to:

- input a new instruction - click the **New** button and enter values in each of the fields for the new instruction
- duplicate an existing instruction - select the instruction in the navigation panel and click the **Duplicate** button.
- modify a duplicated instruction - select the duplicated instruction in the navigation panel and change any of its fields. The sender's reference must be changed in all duplicated instructions.
- save the new or modified instruction - a modified instruction will not be saved unless its Senders Reference has been changed and is different from all the Senders Reference in all other instructions.)
- delete an existing instruction - select the instruction in the navigation panel and click the **Delete** button.

---

**Contact**

[marketing@clearstream.com](mailto:marketing@clearstream.com)

**E-mail:**

[connect@clearstream.com](mailto:connect@clearstream.com)

[www.clearstream.com](http://www.clearstream.com)

**Published by**

**Clearstream Banking Luxembourg**

**Registered address**

Clearstream Banking SA  
42 Avenue JF Kennedy  
L-1855 Luxembourg

**Postal address**

Clearstream Banking  
L-2967 Luxembourg

May 2005

Document number: 6325/05.2005

---