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Xact File Transfer via Internet

User Guide for New Global Note Agents

February 2017

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Document number: 6271

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User Guide for New Global Note Agents

Foreword

Xact File Transfer via Internet allows customers to:

- send batches of instructions (instruction files) to Clearstream Banking for clearing and settlement processing,
- receive report files from Clearstream Banking that can be automatically scheduled and delivered to pre-determined folders.

from their desktop via the public internet.

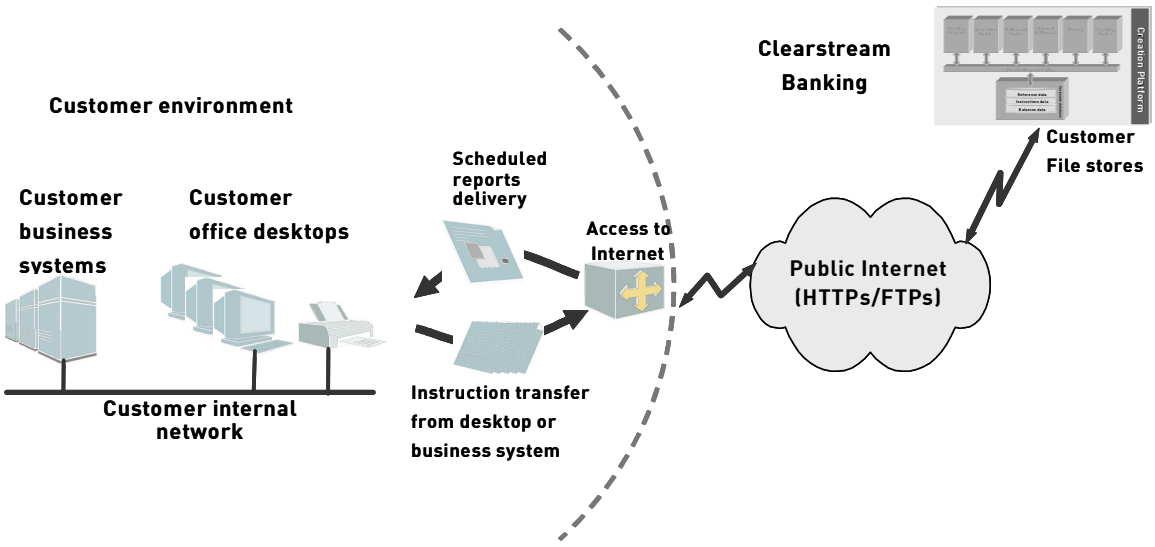
Summary of Xact File Transfer via Internet

Xact File Transfer via Internet is a workstation-based file transfer service that provides you with an easy to use and efficient means of sending instructions and retrieving reports.

Instruction files and Agent New Global Notes documentation are sent via the dedicated web site https://www.cdinternet.com to Clearstream Banking where they are stored in a customer-specific area (the "filestore"). Instruction files are then immediately transferred to the Creation platform for clearing and settlement and Agent New Global Notes and its mandatory documentation as part of the NGN structure, are immediately transferred to the Clearstream vaults. Reports generated by the Creation platform are stored in the filestore from where you can browse them or save them locally.

Xact File Transfer via Internet is an efficient, secure and reliable file transfer connectivity solution. When used with Xact Web Portal or CreationOnline, it gives you the benefits of enhanced instruction life cycle monitoring, on-line queries, exception handling and large-volume reporting providing accurate, real-time information on the status of any instruction at any time.

The diagram below shows a typical network design associated with the Xact File Transfer via Internet service:



Xact File Transfer via Internet technology

The key objective of the Xact File Transfer via Internet service is to provide a file transfer service to your desktop. By using the Secure Sockets Layer (SSL) over the secure HyperText Transfer Protocol (HTTPs), Xact File Transfer via Internet is a highly secure service that is accessible from your desktop, provided that you have access to the public internet from a web browser.

Xact File Transfer via Internet filestores

Each Xact File Transfer via Internet customer requires at least one filestore. A filestore is a customer folder on the Xact File Transfer via Internet system which contains three sub-folders. The three sub-folders are used to:

- upload and send instruction files to Clearstream for processing;
- view or download previously sent instruction files;
- view or download generated customer scheduled reports.

Each filestore is assigned a unique Xact File Transfer via Internet delivery address. Additional filestores can be set up for reports or for instructions, or for both.

Filestores are created either by:

- A CreationOnline OU Administrator completing a request with the details of the address screen: this is accessed from the CreationOnline navigation panel, under "CreationDirect Management/Settlings", or
- When the first Xact File Transfer via Internet user for a customer is created: if the CreationOnline OU Administrator does not specifically request a filestore, a default filestore will be generated and configured with the pre-set values when the customer's initial Xact File Transfer user is generated.

Note: Filestores and users cannot currently be created in Xact Web Portal.

The pre-set values for filestores are:

- Enabled for both instructions and reports;
- Compression is disabled;
- ISO Reporting File Header/Trailer - ON;
- All Clearstream Banking customer accounts are available for instruction processing;
- All OU and financial institution accounts are available for selection when creating reporting schedules.

Scheduling reports via Xact Web Portal and CreationOnline

All reports available through Xact File Transfer via Internet can be scheduled using Xact Web Portal or CreationOnline. For details of report scheduling via CreationOnline, please refer to the Clearstream Banking CreationOnline User Manual and the on-line help provided within the CreationOnline application.

Instruction and report formats supported by Xact File Transfer via Internet

You can send non-compressed ISO 15022 formatted instruction files with the filename extension .iso to Clearsteam Banking using Xact File Transfer via Internet.

You can also send compressed instruction files. Compressed files must have the filename extension .gz.

The following report formats are supported by Xact File Transfer via Internet.

- PDF (Portable Document Format) allows you to receive business information in a printable report format. PDF reports can be viewed, printed, and archived.
- XML (eXtensible Mark-up Language) format that allows you to integrate your reports into internal business applications for reconciliation and other purposes. For instance, in Microsoft Excel (version 2002 or later), it is possible to develop a macro to analyse and use the content of reports.
- ISO format is also used in Xact via SWIFT. Xact via SWIFT is the Clearstream connectivity solution that is based on the underlying SWIFTNet FIN service.
- TXT format is supported for Triparty Repo reports.

Using Xact File Transfer via Internet

This section details the steps and procedures that OU administrators and end users must follow in order to use the Xact File Transfer via Internet service.

The main steps for OU administrators are:

- requesting the setting up of Xact File Transfer via Internet delivery address(es) and filestore(s);
- creating a Xact File Transfer via Internet user;
- releasing a user's set-up request;
- generating a user's Xact File Transfer via Internet certificate;

The main steps for end users are:

- installing a Xact File Transfer via Internet user certificate in order to access the service;
- accessing Xact File Transfer via Internet;
- sending instruction files;
- retrieving reports.

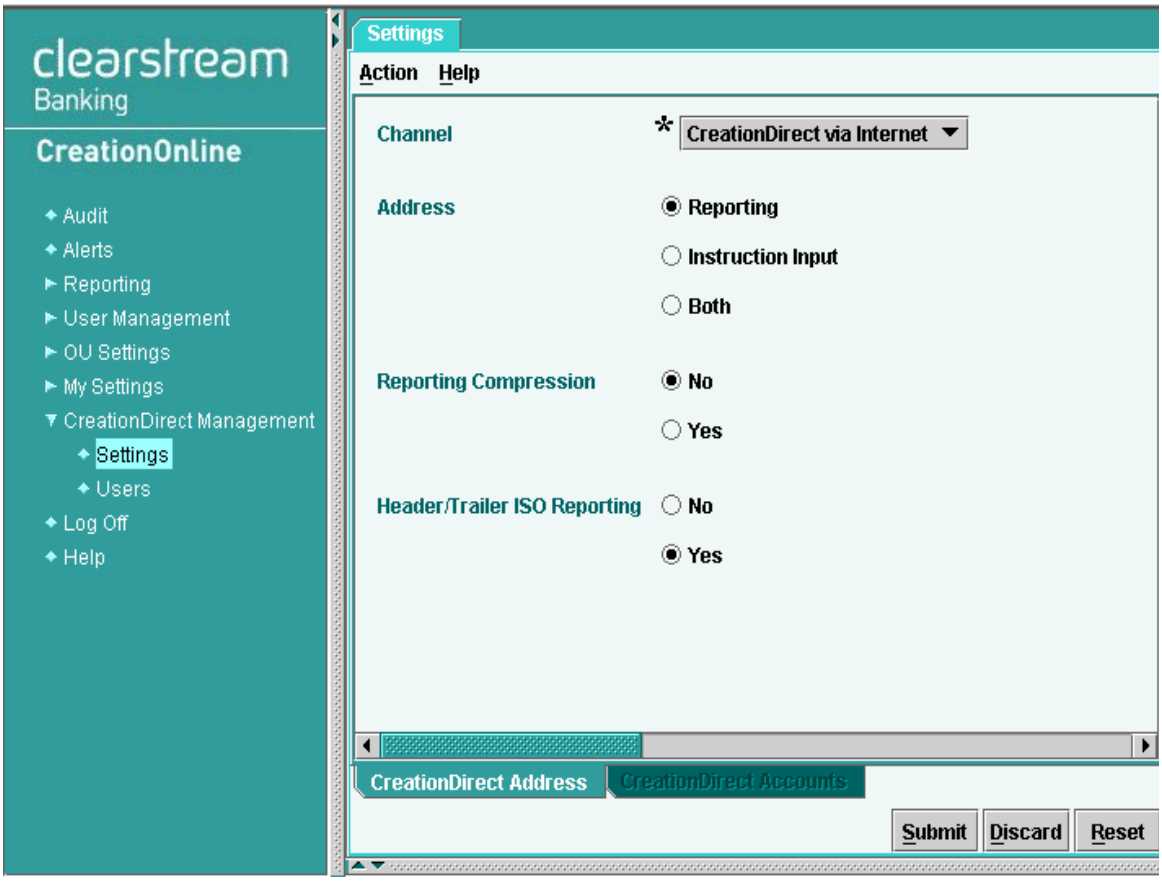
Setting up Xact File Transfer via Internet - OU administrator tasks

Requesting a Xact File Transfer delivery address and filestore

At least one delivery address and filestore is required via which instruction files can be sent to Clearstream Banking for processing and scheduled reports can be accessed and downloaded when they become available.

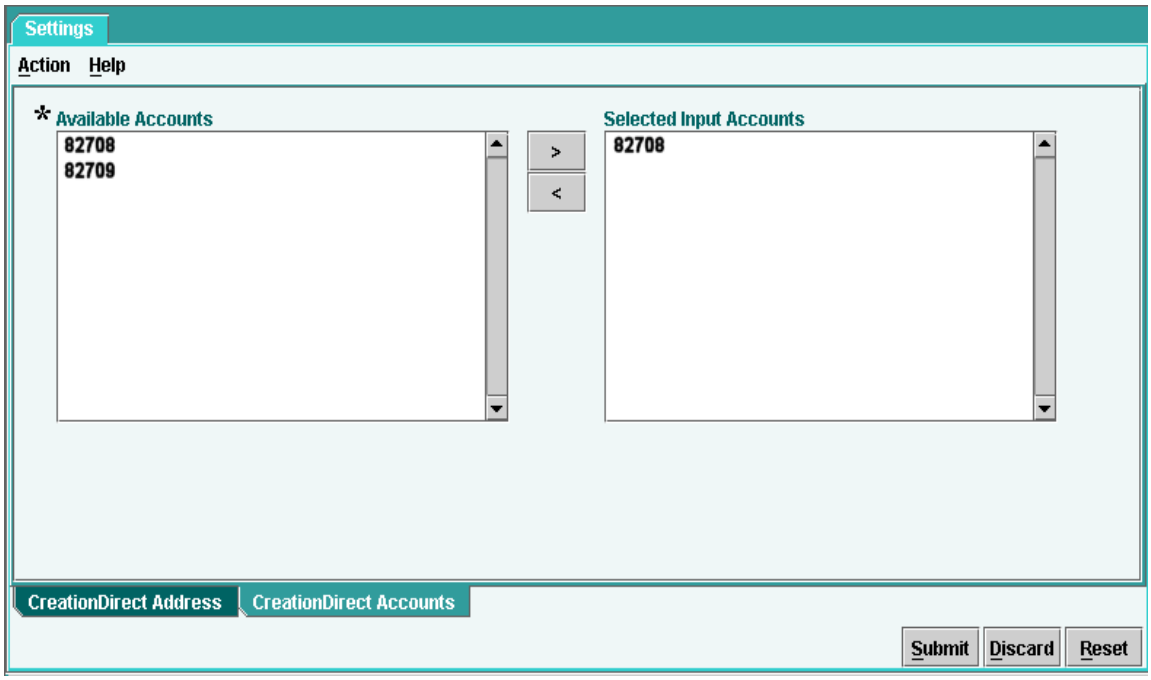
To request a delivery address, the OU Administrator must:

- Select **Settings** from the CreationDirect Management menu from the navigator of CreationOnline. The following window is displayed:

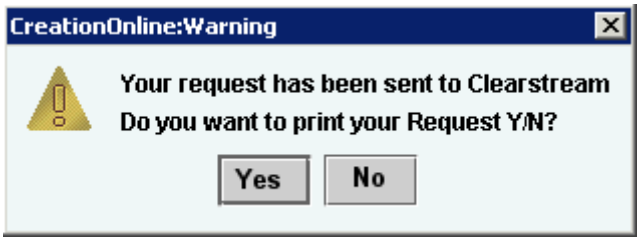


- Complete the required address configuration.

To use Xact File Transfer via Internet for instruction input (by setting on either the radio button **Instruction input** or **Both**), you must specify which accounts are to be authorised for the instructions. To select these accounts, click on the **CreationDirect Accounts** tab. The following is displayed:



- Select and highlight each account in the list of available accounts that are to be made available for instruction input.
- Click the arrow button to copy the selected accounts to the list of selected input accounts.
- Click on **Submit** to send the request for the Xact File Transfer delivery address and input account authorisation to Clearstream Banking.
- The following is displayed:



- Select **Yes** to print the request. Select **No** if no printed record is required.

  The requested delivery address and filestore will be created and configured within one or two days, on average.

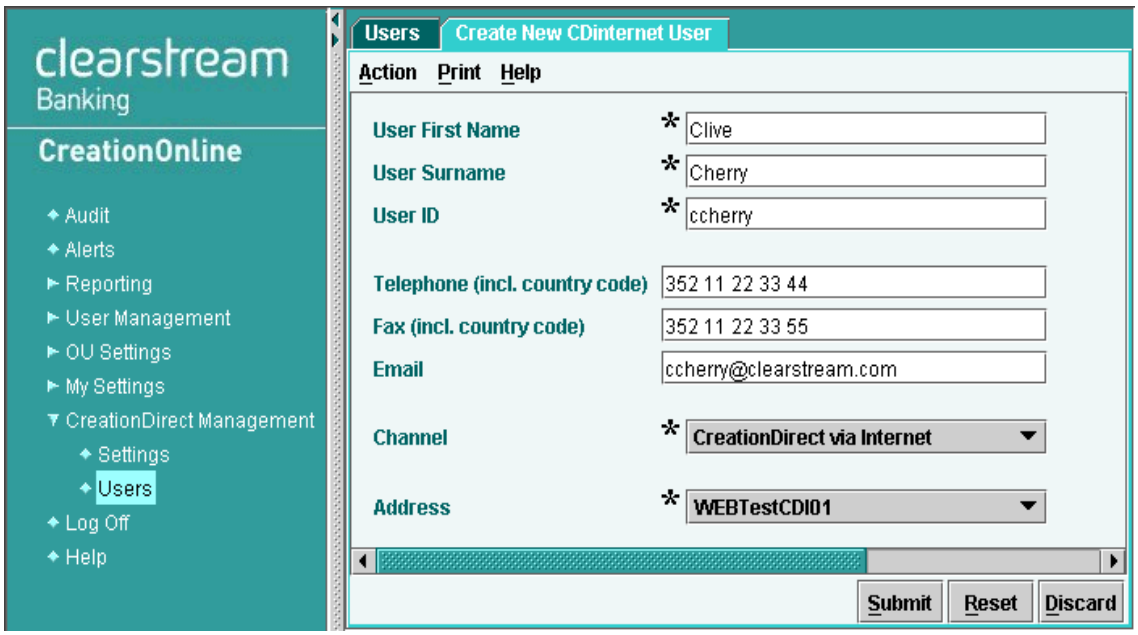
Note: If the requested filestore is either for reports only or for both reports and instructions, a WEB-prefixed delivery address is setup for it in the Report Scheduling area of CreationOnline.

If the requested delivery address is for instructions or NGN document set files See "Sending NGN documentation set - Documentation", it will be completed when the first user's credentials for Xact File Transfer via Internet are created.

Creating Xact File Transfer via Internet users

All Xact File Transfer via Internet users are created by means of CreationOnline by the OU administrator.

- Select **Users** in the CreationOnline navigation panel, under **CreationDirect Management**.
- Select **Create** from the **Action** menu. The Create New CDinternet User tab is displayed:



- Complete all relevant details in the fields on the Create New CDinternet User tab and click **Submit**.
- Now release the request for the new user to Clearstream Banking as described below

Note: For each separate Xact File Transfer via Internet user:

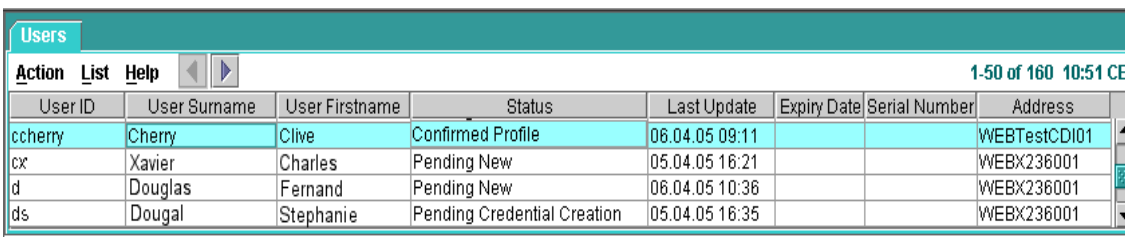
- Select an existing Xact File Transfer delivery address in the **Address** field if one or more Xact File Transfer delivery addresses have been set up for an OU; or

  If no Xact File Transfer delivery address exists, a default Xact File Transfer delivery address will be created and assigned to the new user. **Default** is shown is the **Address** field.

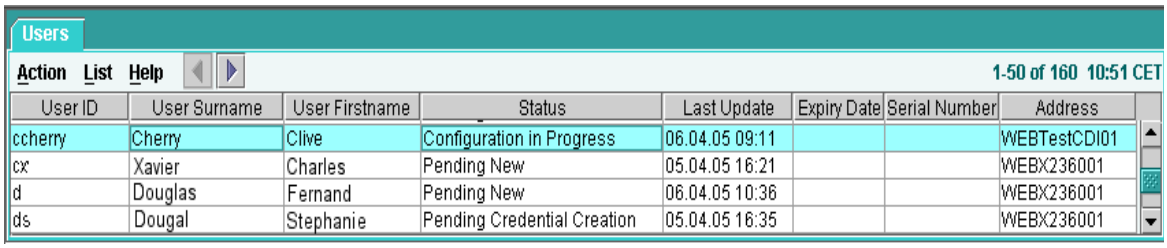
Releasing a request for setting up a new user

To release a request for setting up a new user to Clearstream Banking:

- Select **Refresh** from the **Action** menu to view the newly created user.
- Highlight the newly created user. The user will have the status **Confirmed Profile**.



- Select **Release** from the **Action** menu.
- Click **Yes** to release the user's details to Clearstream Banking.
- Select **Refresh** from the **Action** menu to view the newly created user. The user will now have the status **Configuration in Progress** (see below).



User ID	User Surname	User Firstname	Status	Last Update	Expiry Date	Serial Number	Address
ccherry	Cherry	Clive	Configuration in Progress	06.04.05 09:11			WEBTestCDI01
cx	Xavier	Charles	Pending New	05.04.05 16:21			WEBX236001
d	Douglas	Fernand	Pending New	06.04.05 10:36			WEBX236001
ds	Dougal	Stephanie	Pending Credential Creation	05.04.05 16:35			WEBX236001

Note: If the 4-eyes principle is enabled, a second OU Administrator must also perform the above release process for each new user.

When each request for setting up a new user is released, an internal user configuration process is run in Clearstream Banking.

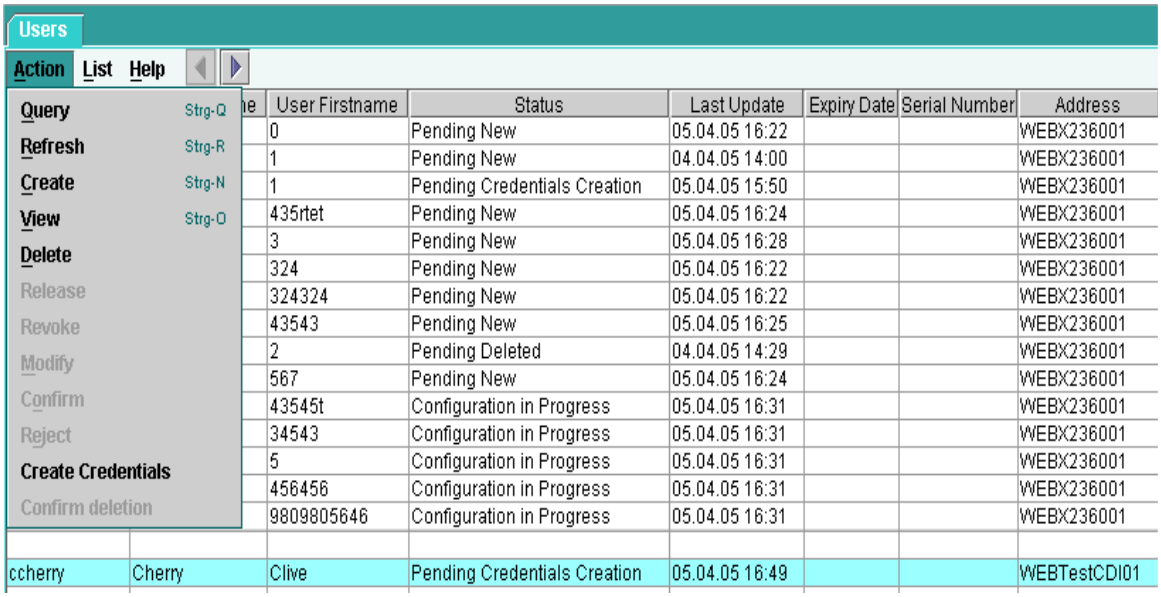
Creating Xact File Transfer via Internet user credentials

When the internal setup process in Clearstream Banking is complete, normally within one or two days, a CreationOnline alert is sent to the customer and displayed in the CreationOnline alert panel, as below:

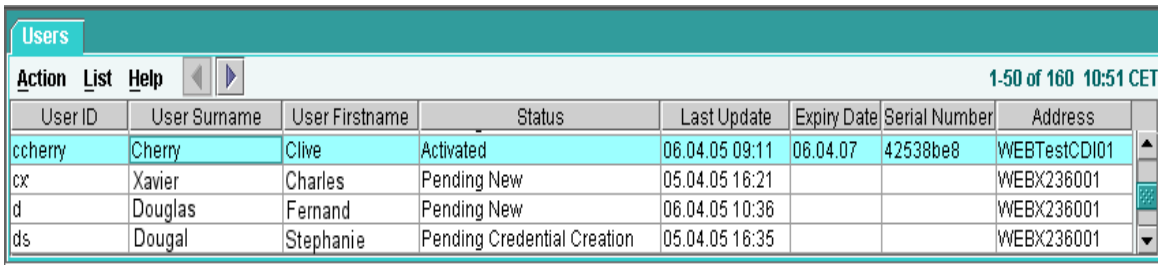
Alert Level	Creation Time	Link	Description	Category	User ID	Narrative	Acc
YAR	05.04.05 16:49	*User: ccherry*	CDi User configuration completed	CD via Internet Credentials	TISuser01	Please Create User Credentials	
YAR	05.04.05 16:35	*User: e*	CDi User configuration completed	CD via Internet Credentials	TISuser01	Please Create User Credentials	
YAR	05.04.05 16:35	*User: dsf*	CDi User configuration completed	CD via Internet Credentials	TISuser01	Please Create User Credentials	
YAR	05.04.05 16:35	*User: ew*	CDi User configuration completed	CD via Internet Credentials	TISuser01	Please Create User Credentials	

This message informs the OU Administrator that the user's Xact File Transfer via Internet credentials can now be created. To create user credentials:

- Select **Users** in the CreationOnline navigation panel, under **CreationDirect Management**.
- Select **Refresh** from the **Action** menu to show a list of the created users in the Users list view.
- Highlight the newly created user in the Users list view. The user will have a status of Pending Credential Creation.
- Select **Create Credentials**.



- Select **Yes** to the prompt "Are you sure you want to create credentials for selected user(s)?".
- On the **Users** tab, sweep your mouse pointer in any/all directions at random across the open entropy area until the associated progress bar reaches 100%.
- Enter your own OU Administrator password and then the new password for the user whose credentials you are creating and confirm this by entering the same password in the next field.
- Select **Submit** to establish the user's credentials and password.
- Specify a unique file name and location for the credentials that you have created.
- Click **OK** to confirm creation of the Credential file.
- Select **Refresh** from the **Action** menu.



- Highlight the created user. The user will have a status of Activated.

  The user credentials can now be used with Xact File Transfer via Internet.
- Make the newly created user credentials file and password available to the user concerned.

  This can be via e-mail or by saving the credential file to a file location on a local network that is accessible to the user. The method chosen should be secure.

Setting up CreationOnline via Internet - end user tasks

Installing user credentials

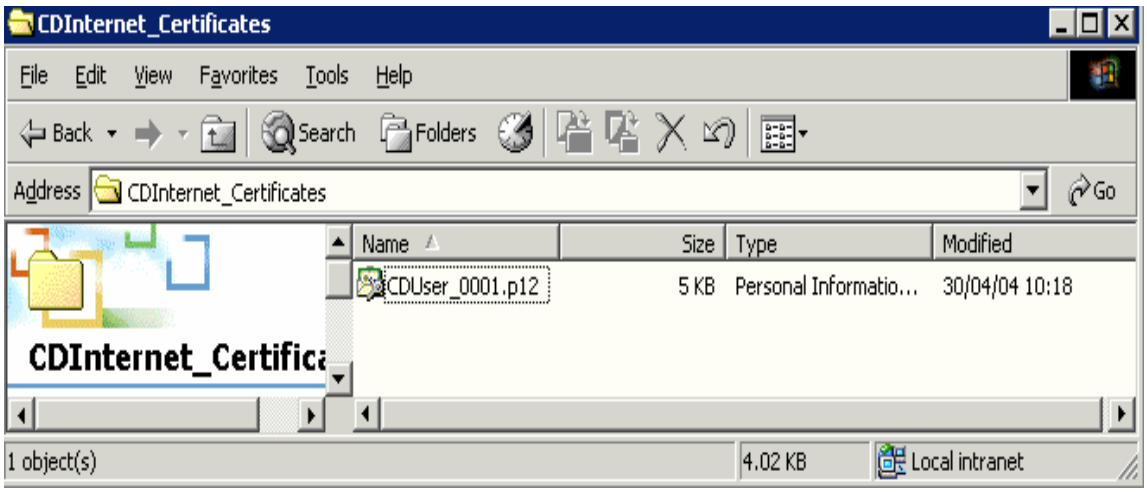
Each user of Xact File Transfer via Internet must install his (or her) user credentials in his (or her) browser in order to be able to use Xact File Transfer via Internet.

Each user's authentication certificate will have been generated by one of the CreationOnline OU administrators.

To install your certificate, you must have access to your Xact File Transfer via Internet credentials file.

The following steps guide you in installing your certificate in your browser.

- Open the file browser and locate the credential file or open your e-mail with the attached credentials.



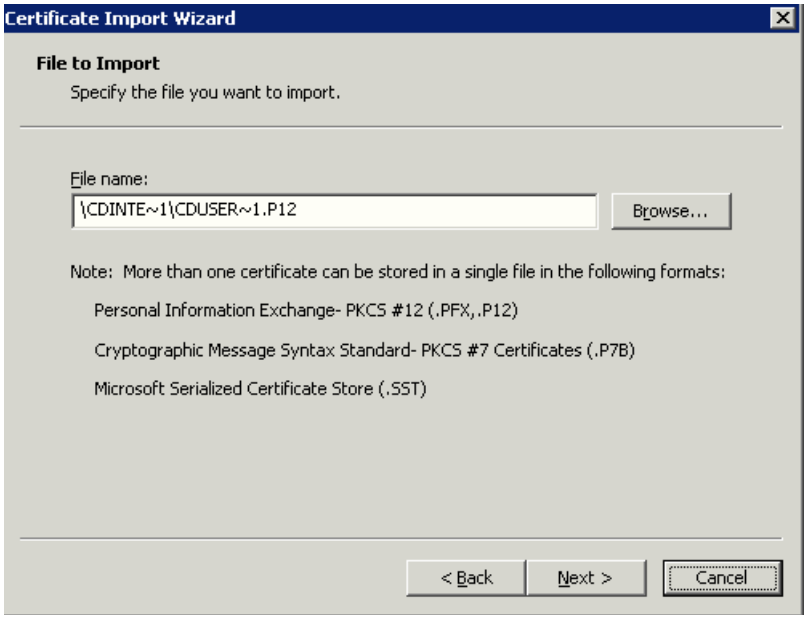
- Select and double click on the credentials file. This opens the relevant Windows folder either from the Windows file directory in which the OU Administrator has saved the certificate or from where you have access to the credentials file. (e.g. in an e-mail attachment).

The Welcome to the Certificate Import Wizard window is displayed:

- Click on **Next**.

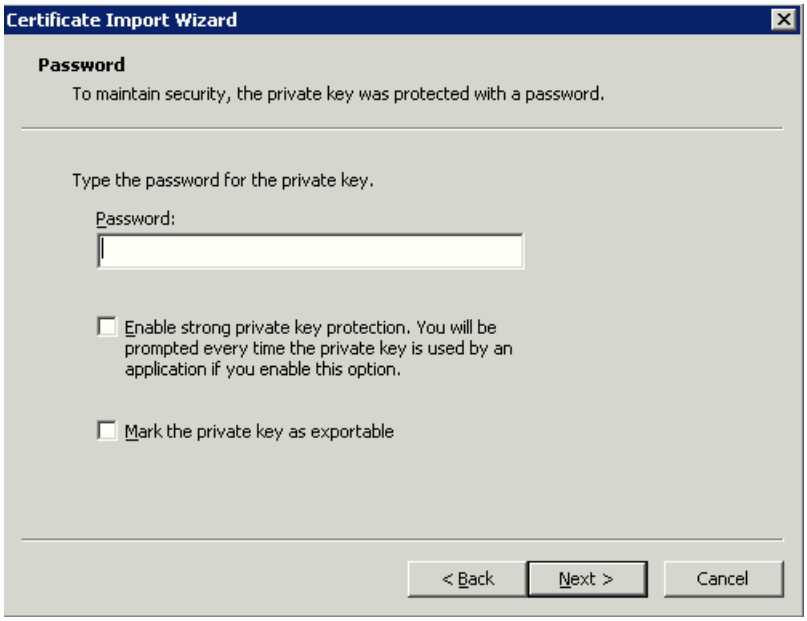
  The File to Import window is displayed.

  Select the name and path of the certificate file you wish to import. By default, this window shows the path of the certificate you selected in the previous step.



- Select file name and click on **Next.**

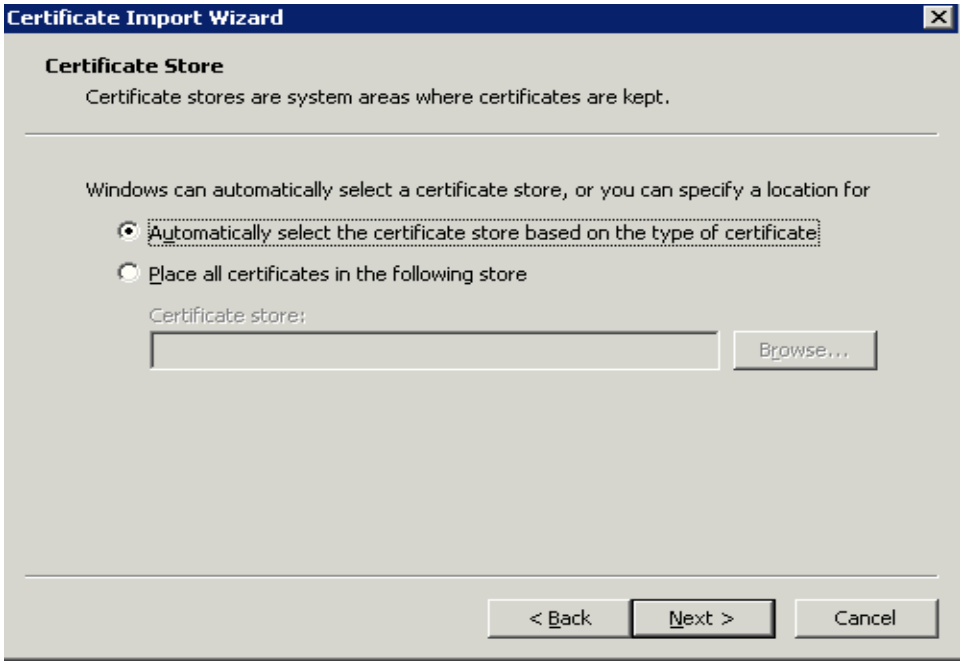
  The Password window is displayed. Enter the password for your credentials (issued by your OU administrator).



- Click on **Next**.

Note: If you check **Enable strong private key protection**, you will be prompted to select a certificate each time you attempt to access Xact File Transfer via Internet, even if you have only one certificate. The option **Mark the private key as exportable** should only be selected if this certificate will be exported from the browser. Both options can be left blank.

The Certificate Store window is displayed:



- Select where you wish to save the certificate.

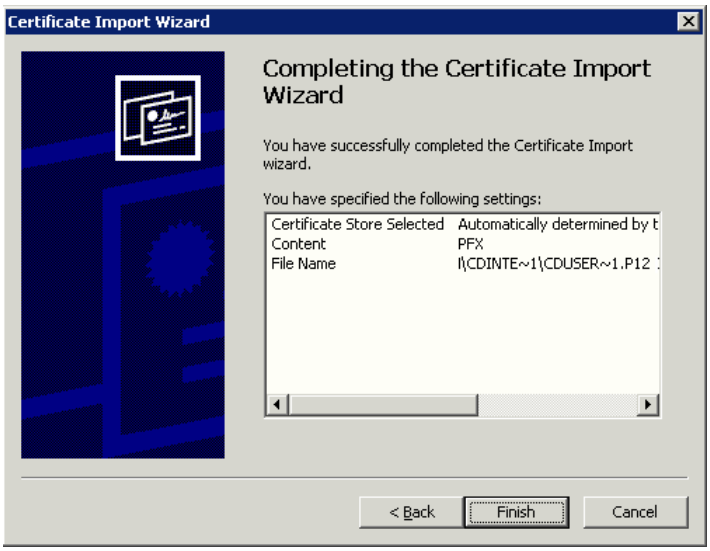
  Automatically select the certificate store based on the type of certificate: this option will store your certificate with the browser's default file system. This is the usual option selected for Xact File Transfer via Internet Certificates.

Place all certificates in the following store: this option allows you to choose where your certificate will be stored within the Windows file structure or Local Area network.

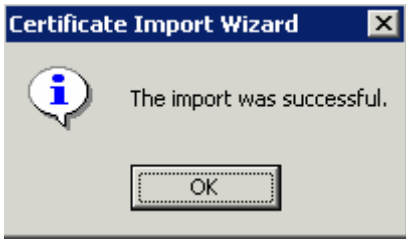
- Select desired location, and click on **Next**.

  The Completing the Import Certificate Wizard window now appears.

  This indicates that the import has been successful and shows the certificate settings you selected.



- Select **Finish** to complete the certificate import process.



- Click on **OK** on the "Import was successful" window, when it appears.

You have installed the Xact File Transfer via Internet certificate successfully and you can now access and use Xact File Transfer via Internet.

Accessing Xact File Transfer via Internet

To access the Xact File Transfer via Internet web site, enter:

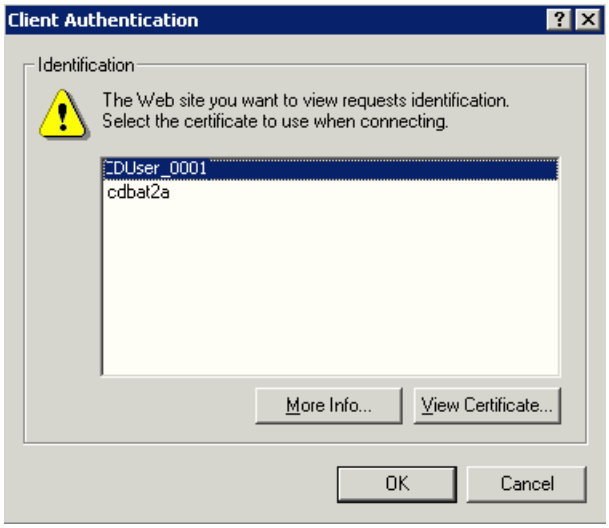
https://www.cdinternet.com

in the web browser address field.

You are authenticated automatically for using the Xact File Transfer via Internet certificate within your browser; no user-id or password is required.

If only one certificate is present in your browser, or if you selected during the import process to be prompted every time a key is used for an application, the browser will automatically use this certificate to authenticate your access to the Xact File Transfer via Internet service. Upon successful authentication, the Xact File Transfer via Internet main window is displayed.

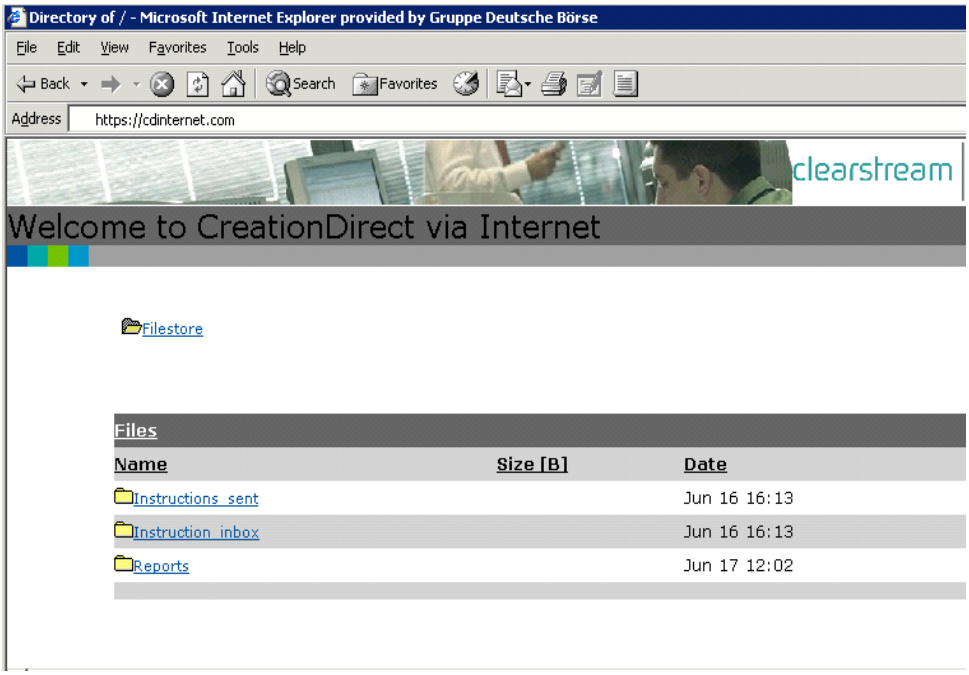
If more than one certificate is stored in your browser, the following window requiring you to select a Xact File Transfer via Internet certificate is displayed:



- Select the appropriate authentication certificate. The name of the certificate is the user ID set by the CreationOnline Organisational Unit (OU) Administrator when submitting the request for the Xact File Transfer via Internet certificate.
- Click on **OK**

The browser will use the selected certificate to authenticate your access to the Xact File Transfer via Internet service. Upon successful authentication, the Xact File Transfer via Internet main window is displayed.

Xact File Transfer via Internet main window



The Xact File Transfer via Internet main window shows the filestore that is available to you. The folder **Filestore** indicates the root level of the filestore.

The filestore contains three sub-folders:

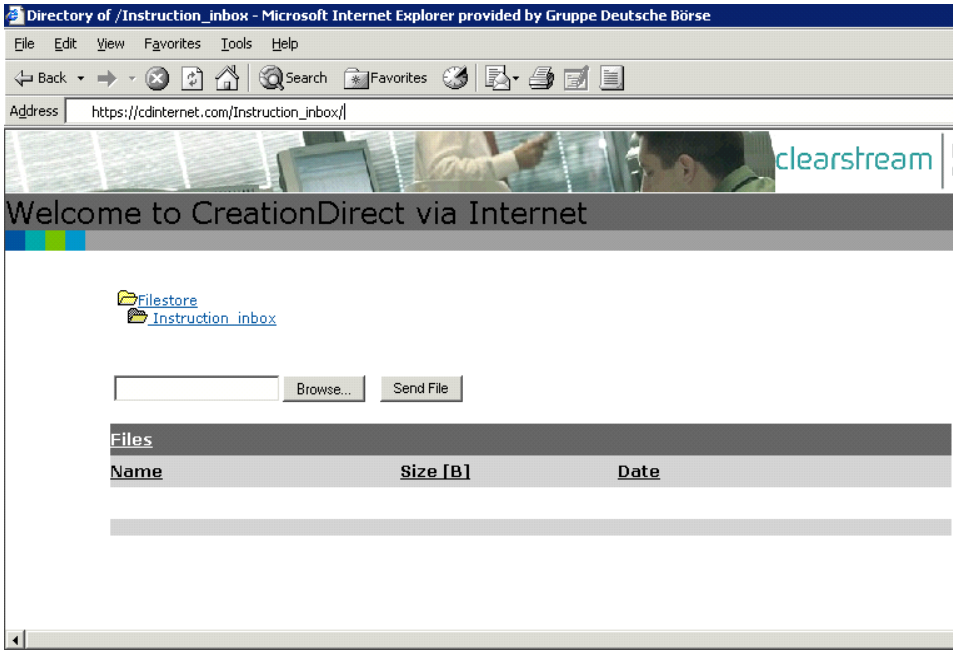
- Instruction_inbox; instruction files to be sent to Clearstream Banking;
- Instructions_sent; instruction files sent to Clearstream Banking for processing;
- Reports - reports that have been received from Clearstream Banking.

Sending instruction files

To send an instruction file or NGN document set (See "Sending NGN documentation set - Documentation") to Clearstream Banking for processing:

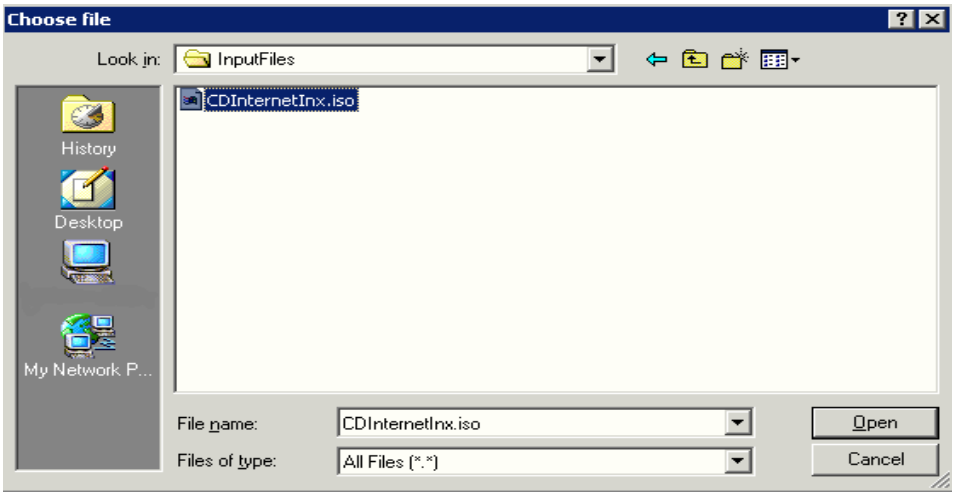
- Click on the Instruction_inbox folder.

The Instruction_inbox window is displayed.



- Click on the **Browse** button.

The Windows file panel appears:

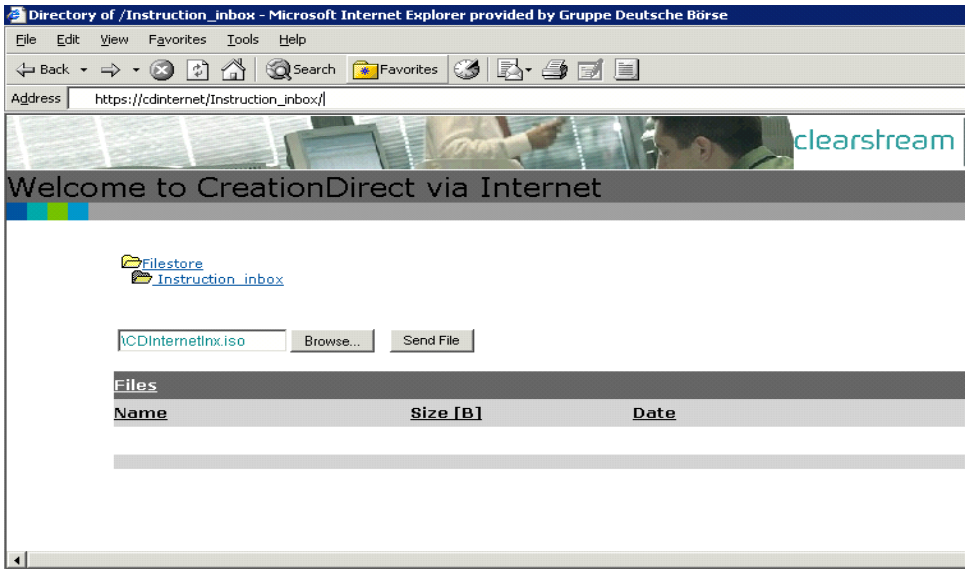


- Select the instruction file to be sent to Clearstream Banking for processing.

  (Only files with .iso, .gz and .csk (for NGN document set) file extensions will be accepted by Clearstream Banking for processing.)

- Click on **Open**

The **Instruction_inbox** folder appears with the instruction file name and path in the browser window.



- Click on **Send File**.

This will initiate the file transfer process and immediately send the instruction file to Clearstream Banking for processing. The internet explorer task bar will display the progress of the file transfer.

File size

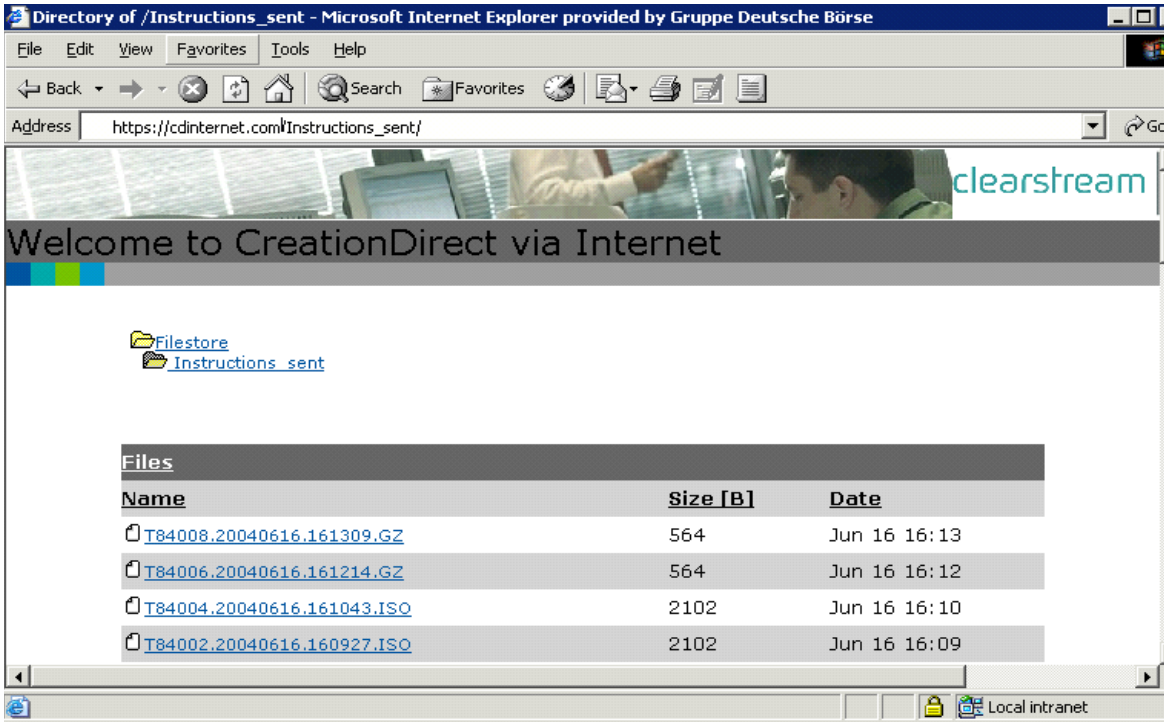
Instruction file sizes of up to one megabyte (approximately 1000 instructions) will be processed almost immediately.

- Files in excess of one megabyte may experience short delays in being delivered to Clearstream Banking.
- Files greater than 10 megabytes in size are not supported and may not be received correctly by Clearstream Banking.

After the file transfer process, the Xact File Transfer via Internet main window is again displayed.

Verifying instruction files have been sent for processing

Instruction and NGN document set files (see "Sending NGN documentation set - Documentation") sent to Clearstream Banking from the Instruction_inbox for processing are copied in to the Instructions_sent folder.



The instruction and NGN document set files are renamed to a Clearstream processing standard. You can verify that your file has been sent by using the standard text viewing applications associated with the internet browser.

- Double click on the relevant file.

  The file will open and the contents will be displayed. After viewing them:

- Close the file. (This will close your browser and end your Xact File Transfer via Internet session); or
- Click on **Back** on the browser to return to your Xact File Transfer via Internet session.

Instruction and NGN document set files remain in the Instructions_sent folder for five days after which they are archived by Clearstream Banking.

Technical feedback file

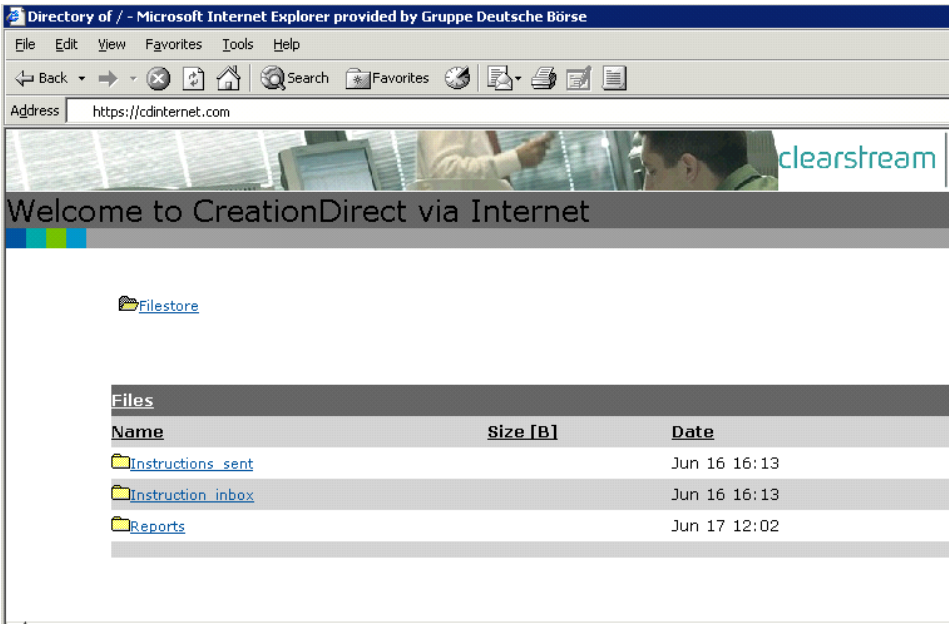
A technical feedback file is created by the Creation platform for each instruction file sent for processing, indicating whether the instructions are syntactically correct and acceptable for processing. This file is available for retrieval in the Reports folder.

The format of the technical feedback file will be the same as the sent instruction file.

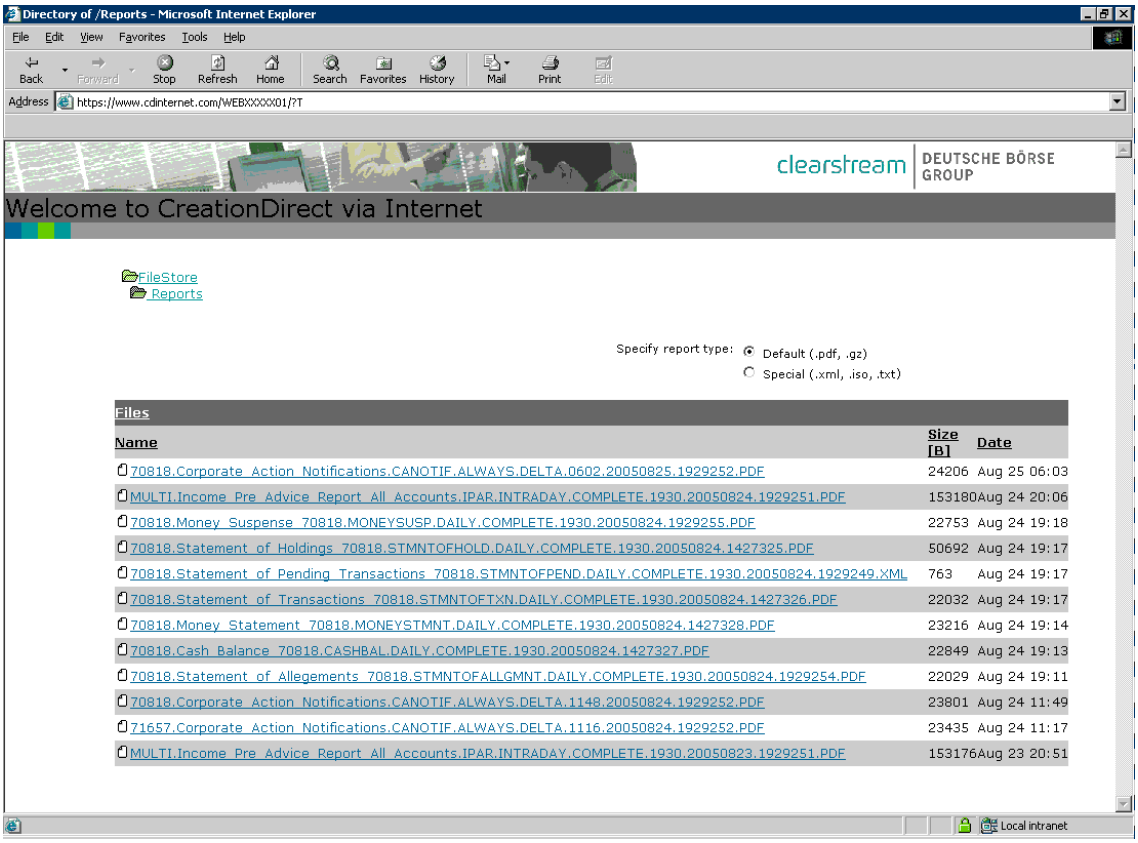
The structure of the technical feedback file is described in the publication "Xact File Transfer Data Interchange Specifications: SWIFT ISO Formats - for CBL Release 1 (May 2005)". This publication is available on the Clearstream Banking web site.

Reporting

Generated reports are placed in the Reports folder in date and time order and can be selected, viewed and saved locally. Reports remain in the Reports folder for five business days after initial generation. Such reports are then archived by Clearstream Banking and are available upon request.



- Click on the Reports folder to display the reports that have been created and are available for viewing or down loading.



Before attempting to view or download a report, you must specify the correct transfer mode for the specified report format by using **Specify report type.**

For viewing or downloading PDF reports or reporting files that have been compressed (.gz file extension),

- Select **Default.**

  This sets the file transfer mode to Binary. PDF reports will not be able to be viewed or down loaded if the default setting is not selected.

For viewing .xml, .txt, or .iso files,

- Select **Special**.

  Although not critical for viewing only, for down loading .xml, .txt, and .iso reports, the 'Special' option should be selected, as it will preserve the file trailer information, essential for some systems, if the file is to be downloaded and processed by customer reconciliation systems.

Viewing a report on-screen

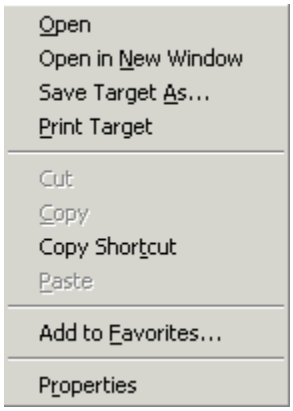
Select the report format for viewing or downloading.

- Click on the relevant file.
  - PDF files; Adobe Acrobat reader should be initiated and the selected PDF report displayed. PDF reports can then be saved directly to your Windows file directory by selecting save and saving the report file in the normal way using the Windows file system.
  - XML files will be displayed within the browser. XML files can also be saved directly to your Windows file directory by selecting save and saving the report file in the normal way using the Windows system process.
  - ISO files will be displayed within the browser. ISO reports can also be saved directly to a customer's Windows file directory by selecting save and saving the report file in the usual Windows system process.
  - TXT files will be displayed. TXT reports can also be saved directly to a customer's Windows file directory by selecting save and saving the report file in the usual Windows system process.

Note: If .pdf, .xml, .txt, or .iso report files are viewed, they are opened within the browser. Closing the report will also close your Xact File Transfer via Internet session.

If you wish to view reports and keep your Xact File Transfer via Internet session open, two easy options are available:

1. After viewing the report:
   - Click on the Backwards icon on the browser; or
   - Open the report from Xact File Transfer via Internet Reporting in a separate browser window:
2. Right click on the required report to be viewed on the Xact File Transfer via Internet Report folder

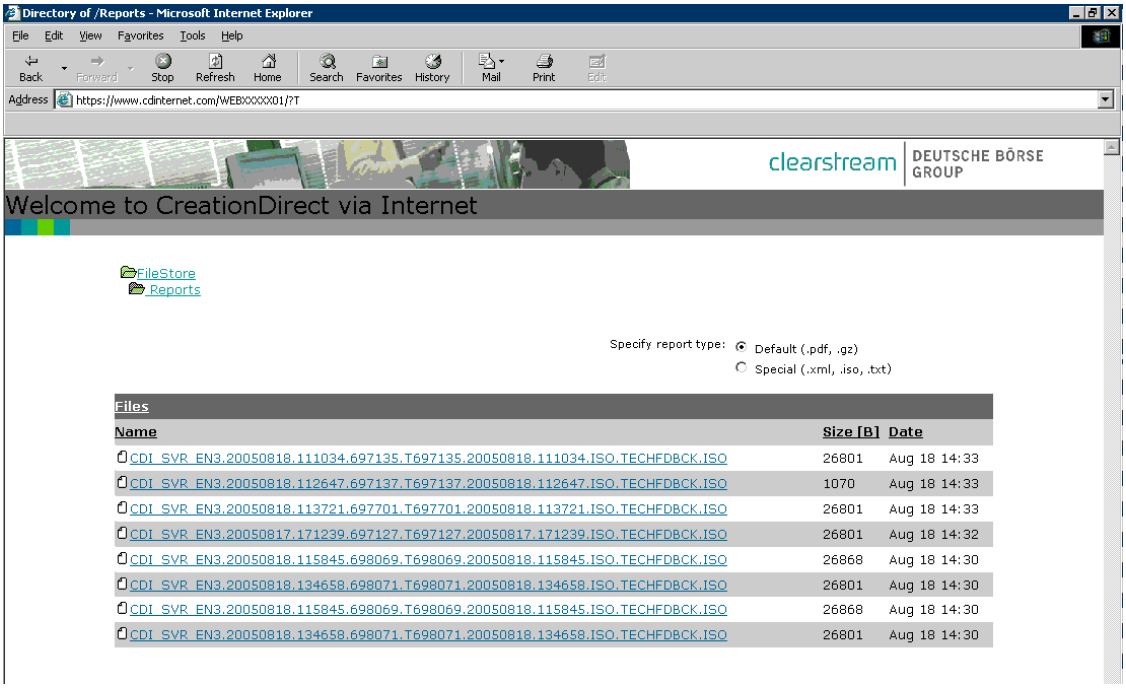


- Click on **Open in New Window**

  Your report is displayed in a new browser window. This allows you to close your report and keep your Xact File Transfer via Internet session active in the initial browser window.

Note: GZ (compressed) files cannot be viewed on-screen. They must first be saved and then decompressed using a decompression application. E.g. WinZip, GNUZIP.

Technical feedback files are displayed in the browser and are in the same format as the original instruction file (either .iso, .gz. or .csk).



The naming convention for technical feedback files has been designed to help you match each instruction with its corresponding technical feedback file.

In the above example, the original instruction file is:

- INT SVR SAR - the name of the server at Clearstream Banking.
- 20040624 - the date when the instruction file was sent to Clearstream Banking.

- 112036 - the time when the instruction file was sent to Clearstream Banking.

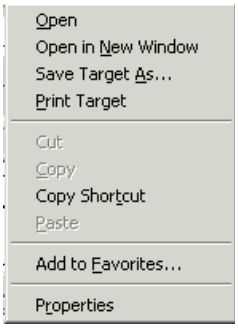
The remaining entries in the above list show the following information:

- 99885 - the task number.
- T99885 - the task ID.
- 20040624 - the date when the instruction file was sent to Clearstream Banking.
- 112036 - the time it was sent to Clearstream Banking.
- ISO - the format of the instruction file when sent to Clearstream.Banking.
- TECHFDBCK.ISO - the report type and file extension.
- 2316 - the size in bytes of the technical feedback file
- Jun 24 11:24 - the date and time when the technical feedback file was created.

Downloading reports or saving reports locally

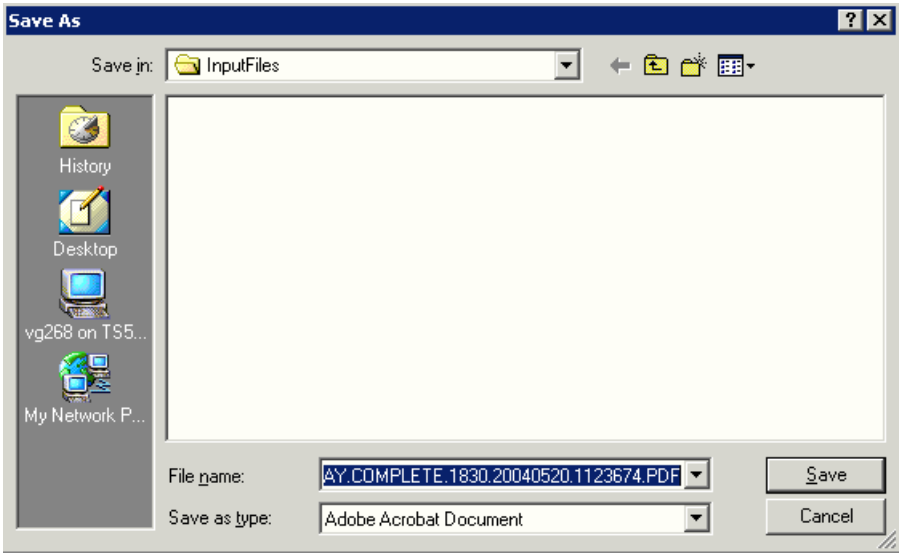
In order to download reports and save reports locally to your local Windows file system or local area network, a number of standard Windows desktop options are possible:

- Right click on the relevant file.



- Select Save Target As...

  The Windows standard file system should appear allowing you to save the report to a Windows system file directory.



- Click on **Save** to save the report in the displayed Windows folder.
  - PDF files will be saved as Adobe Acrobat documents.
  - XML files will be saved as an XML document.
  - ISO files will be saved as a text document.

Report files can also be saved to your local Windows file directory or your local area network folders, directly after viewing them on-screen by selecting the save option as per a normal desktop application.

Clearstream Banking recommends that report files be made available locally to all users so that users can view them if the internet is not available.

NGN Agents

Sending NGN documentation set

New Global Note or NGN is mandatory for newly issued international debt securities to be recognised as potentially eligible collateral for Eurosystem monetary policy and intra-day credit operations. It co-exists with the Classic Global Note (CGN) structure serviced by Common Depositories.

As part of the NGN structure the Common Safekeeper is required to receive the security and its associated documentation for safekeeping. The Issuer or Issuer's Agent is required to deliver the New Global Notes and its documentation set via secured means, physical transport or secure electronic means (Xact File Transfer via Internet).

Documentation

The documentation comprises of:

- Effectuation Authorisation and the Disposal Instruction
- Effectuation Instruction
- NGN's
- Terms and Conditions (this is for EMTNS only being the pricing supplement)

File Specification

File Types

Only PDF format documents are supported.

Delivery

It is important to note that the agent/lead manager is obligated to ensure that the documents are delivered in a timely and correct manner, to avoid a potential delay on closing, so that the Common Safekeeper may undertake its activities. Therefore, the agreed file naming convention requires the Issuer or Issuer Agent to **send each file separately**.

File naming conventions

To ensure correct identification of the purpose of the files and correct routing to the vaults an additional extension ("**.CSK** ") has been appended to the Creation Direct via Internet file naming convention.

Structured File Name

SENDERSBIC.SENDINGDATE.ISIN.SEQ.VERS.EXT**.CSK**

Where:

Field name	Description	Format
SENDERSBIC	BIC of the sender's DN	8!x
SENDINGDATE	date of sending	YYMMDD
ISIN	identification of the security	12!c
SEQ	file sequence number and total number of files of a given transmission	2!n.2!n
VERS	version of the transmission • version number: incremented by 1 for a given ISIN at each transmission • version code: 'N' for new version, • version code: 'A' for added file, • version code: 'R' for replacement	1!n1!c
EXT	file extension (PDF)	3c
CSK	Used only for CBL alternate solution to identify purpose of received document and routing to the CBL Vault.	3c

Additional specifications for the version

The version number should be incremented by 1 for a given ISIN at each new complete transmission. The version code should be 'N' for a new version (in this case the receiver must control that the total number of files are well received), 'A' for a file to be added to a previously sent version (in this case the receiver must control that the total number of files are well received), 'R' for the replacement of a previously sent version (in this case the receiver handles the file on its own, no dependency with other files to be received). See examples below.

Structured file name examples

New sending:

BANKBEBE.060116.XS1234567890.01.02.1N.PDF.CSK

BANKBEBE.060116.XS1234567890.02.02.1N.PDF.CSK

For resending a new complete set of files:

BANKBEBE.060116.XS1234567890.01.02.2N.PDF.CSK

BANKBEBE.060116.XS1234567890.02.02.2N.PDF.CSK

=→ version 2 must be used instead of version 1

For adding new files:

BANKBEBE.060116.XS1234567890.03.05.1A.PDF.CSK

=→ a 3rd file is added to the two files received in version 1

BANKBEBE.060116.XS1234567890.04.05.1A.PDF.CSK

=→ a 4th file is added to the two files received in version 1

BANKBEBE.060116.XS1234567890.05.05.1A.PDF.CSK

=→ a 5th file is added to the two files received in version 1

For the replacement of previously sent file:

BANKBEBE.060116.XS1234567890.02.02.1R.PDF.CSK

replaces the 2nd file received in version 1

Note: as in the above example there are now 5 files in version 1, BANKBEBE.060116.XS1234567890.02.05.1R.PDF.CSK is also accepted.

How to send NGN documentation sets

Participant has CreationOnline and Xact File Transfer via Internet

1. In this situation, the participant has an account with Clearstream and uses both Xact File Transfer via Internet and CreationOnline.
2. If not already set up as a user, authentication certificates must be requested for each user of Xact File Transfer via Internet by the participant's CreationOnline OU Administrator. See Creating Xact File Transfer via Internet user credentials
3. To send the mandatory documentation, the sender is required to send each file, adhering to the filenaming convention specified, see File naming conventions.
4. To access the Xact File Transfer via Internet website to send NGN documentation sets, see Accessing Xact File Transfer via Internet
5. To transfer the NGN document set to the Common Safekeeper see Sending instruction files

Participant has CreationOnline and no Xact File Transfer via Internet

1. The participant's CreationOnline OU Administrator must request a Xact File Transfer Internet (CDI) delivery address and filestore, see Setting up Xact File Transfer via Internet - OU administrator tasks.
2. Authentication certificates must be requested for each user of Xact File Transfer via Internet by the participants's CreationOnline OU Administrator, see Creating Xact File Transfer via Internet user credentials.
3. To send the mandatory documentation, the sender is required to send each file, adhering to the file naming convention specified, see File naming conventions.
4. To access the Xact File Transfer via Internet website to send NGN documentation set, see Accessing Xact File Transfer via Internet.
5. To transfer the NGN document set to the Common Safekeeper see Sending instruction files

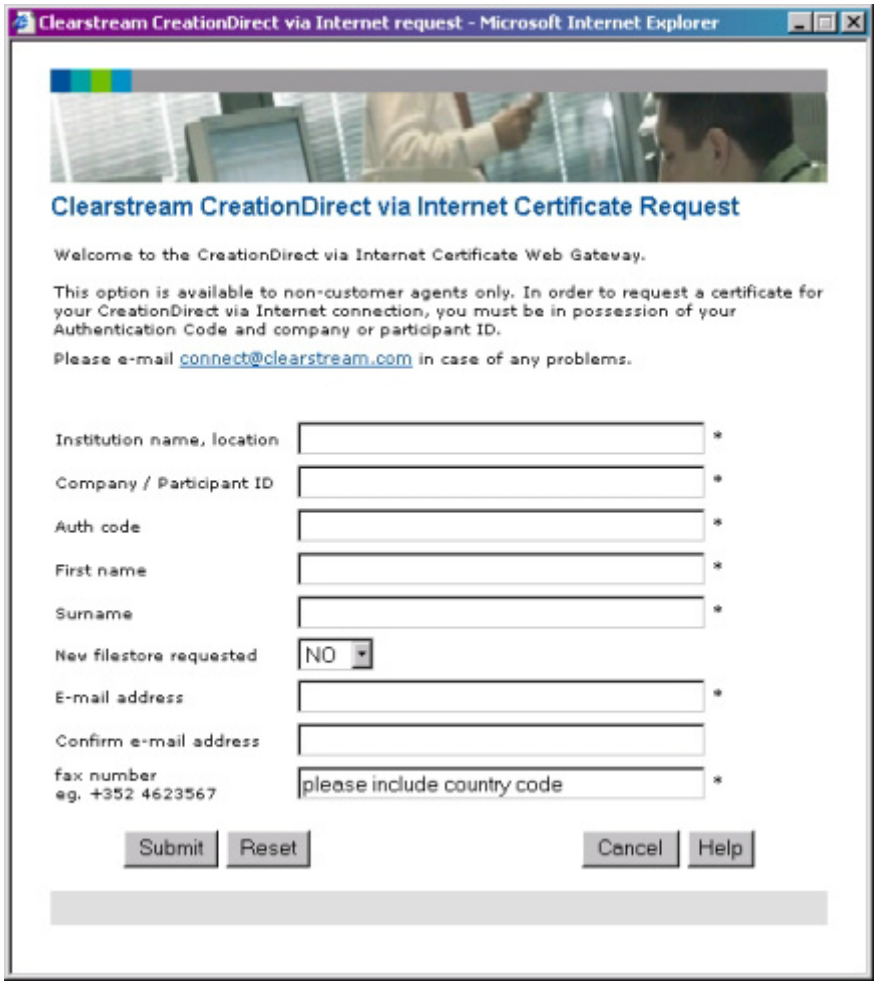
Participant has neither CreationOnline nor Xact File Transfer via Internet

1. Participant must subscribe to Xact File Transfer via Internet.
2. To become a user of CDI the participant must contact the Network Management department within Clearstream Banking to obtain the contract documentation to use Xact File Transfer via Internet.

   E-mail: primarymarket_relations@clearstream.com
   Telephone: +352-243-32007 or +352-243-32119
3. The participant must send the contract completed and signed by email and the original must follow by registered post or express mail. Once the contract is approved Clearstream Banking will then authorise the security administration for Xact File Transfer via Internet.
4. Clearstream Banking will send the participant a Company Identifier and an Authentication Code explaining how to request Xact File Transfer via Internet access. The identifier and code will be sent to the participant in a letter signed by the Clearstream Banking Security Manager.
5. The participant will connect and authenticate with the code on the gateway with IP address: https://194.36.239.107/

Authentication certificates must be requested for each user of Xact File Transfer via Internet

The participant will select the 'CreationDirect' button to access the Xact File Transfer via Internet Certificate Request.



Each Xact File Transfer via Internet participant requires at least one filestore. A filestore is a participant folder on the Xact File Transfer via Internet system which is used to upload and send the NGN document set files to Clearstream for processing.

Clearstream Banking will assign a filestore with a unique Xact File Transfer via Internet delivery address.

Implied timing

The timing for this procedure will be up to 2 working days.

D: The participant must send a request on day D before 15:00 CET. If the participant sends the request after 15:00 CET it will be treated as next day.

D+1: Clearstream Banking will centralise request, create filestores and requested Xact File Transfer via Internet users.

D+2: Clearstream Banking will generate the credentials and send the certificate plus password to the participants.

Reset process

If credentials are lost or have expired the participant must send an authenticated request for a reset. The timing for this process is half a day.

Request

The participant must request via the Clearstream Certificate Gateway when they need an existing user to be reset. The request must be authenticated by the authentication code.

Authentication certificates must be requested for each user of Xact File Transfer via Internet. To send the mandatory documentation, the sender is required to send each file, adhering to the file naming convention specified, see File naming conventions.

To access the Xact File Transfer via Internet website to send NGN documentation set see Accessing Xact File Transfer via Internet.

Reset

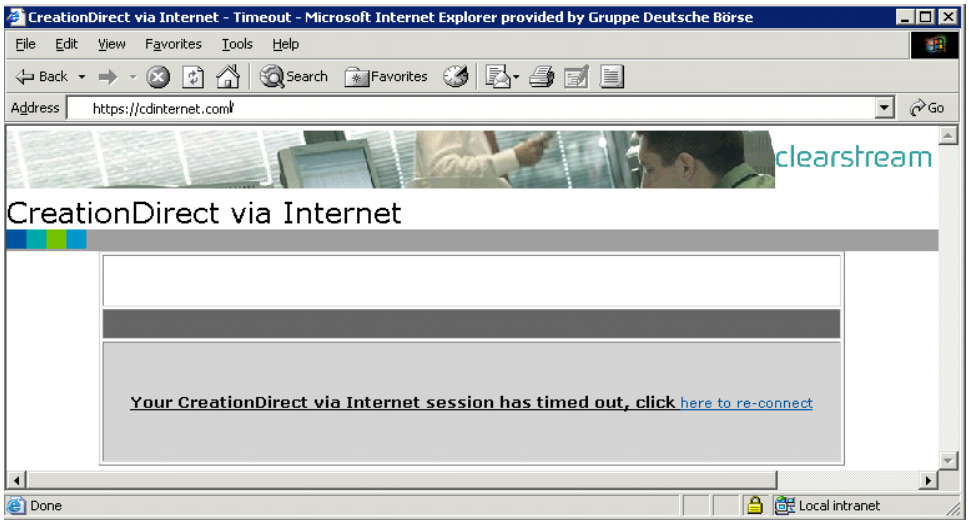
When CBL receives the authenticated message, a new certificate is generated for the user and sent to the participant via a secure two stage process:

- Certificate by e-mail
- Password by Fax.

Miscellaneous information

Session time-out

If you leave your Xact File Transfer via Internet session idle or unattended for five minutes, the session will time out. When you return to your last session, the window will change and the Xact File Transfer via Internet time-out window will be displayed.

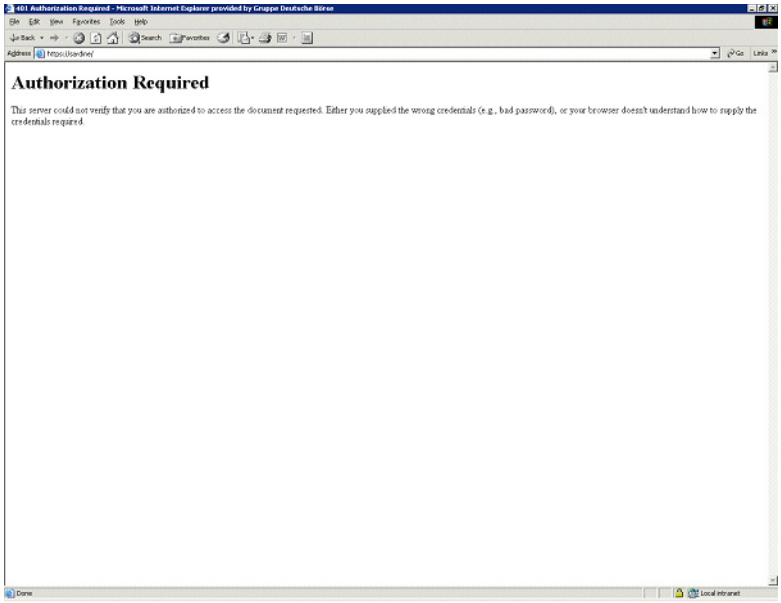


- Click on **here to re-connect**

This will return you to your Xact File Transfer via Internet session.

Attempting to access Xact File Transfer via Internet with an invalid certificate

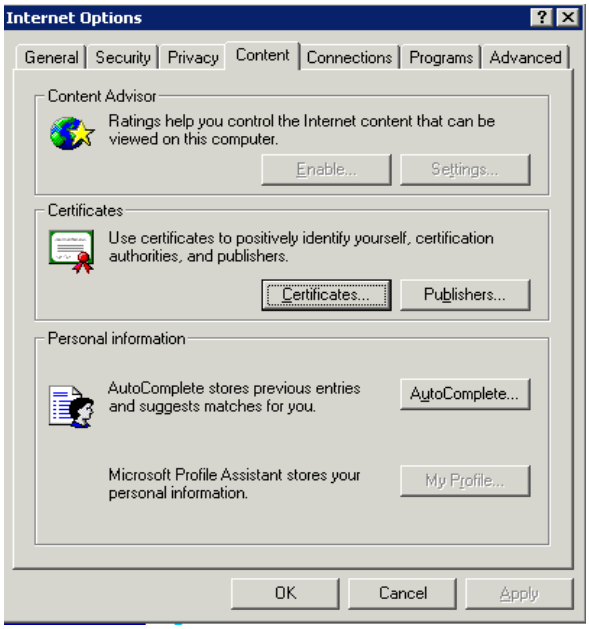
If you attempt to access the Xact File Transfer via Internet service with a certificate that was not specifically generated for the Xact File Transfer via Internet service, the following window will appear indicating you cannot access Xact File Transfer via Internet.



Please check the Certificate you are using to access Xact File Transfer via Internet.

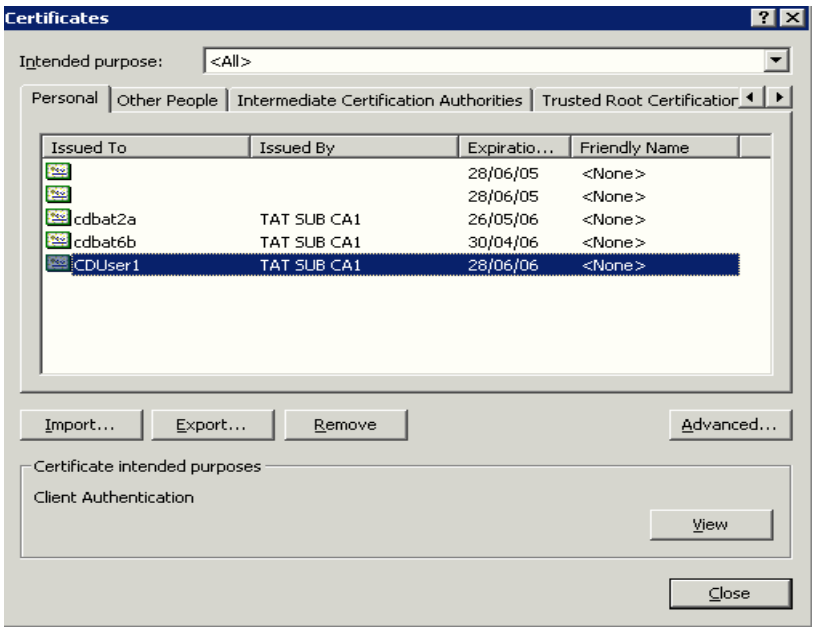
To view the details of your certificate please follow the proceeding steps.

- Start Internet Explorer and select **Tools - Internet Options**.

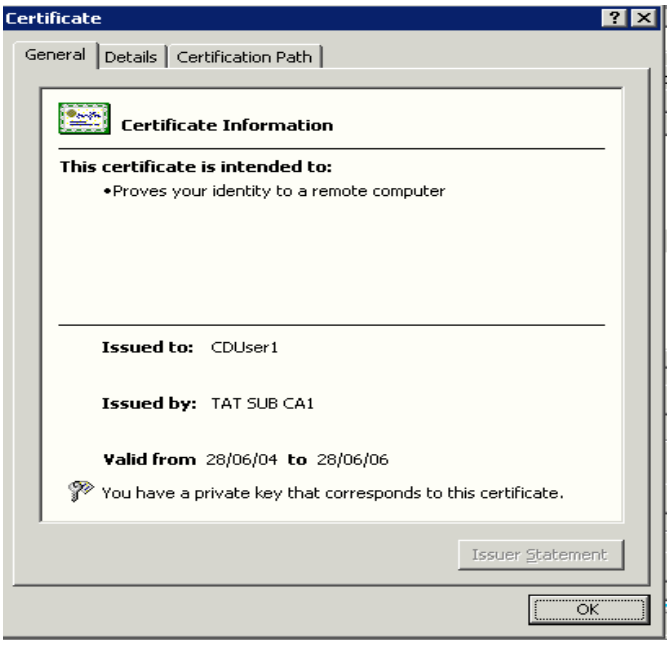


- Click on **Certificates** in the **Content** tab.

The following window will appear showing you the certificates installed in your browser.



- Select the relevant certificate and click on **View**.



The Certificate Information window will be displayed.

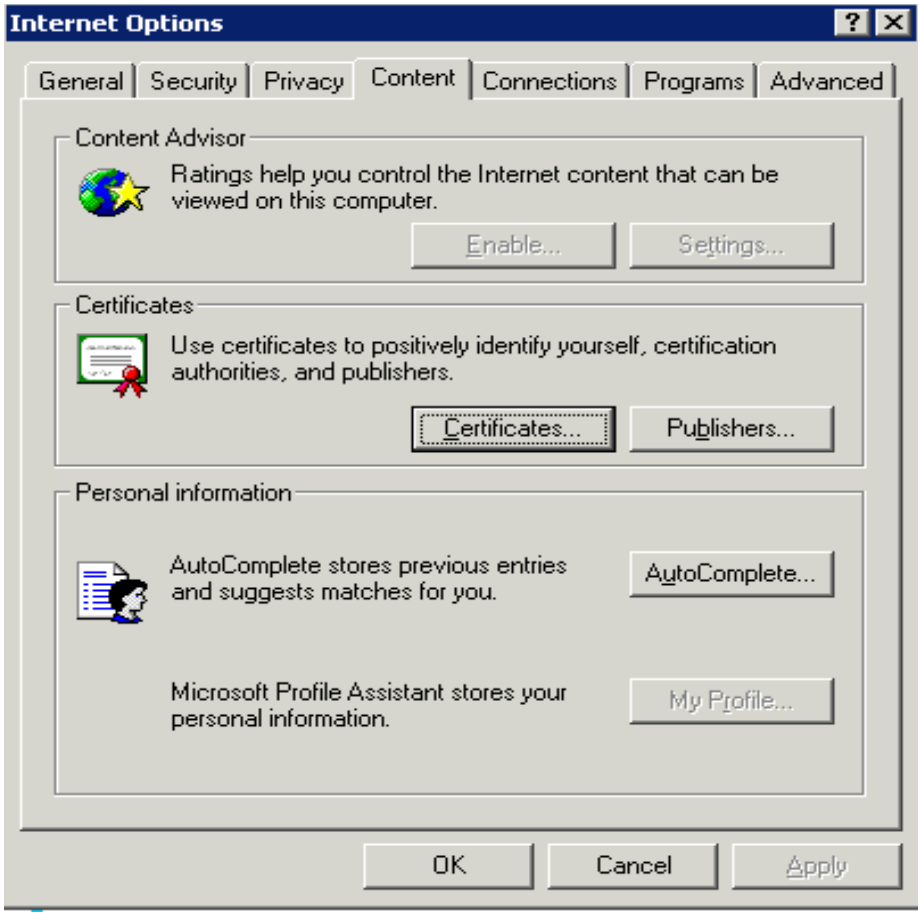
For a Xact File Transfer via Internet certificate the details are the following:

- **Issued to**: the user ID.
- **Issued by**: the issuing Certificate Authority. Xact File Transfer via Internet certificates are issued by Clearstream Banking.
- **Valid from**: the validity dates of the certificate. Xact File Transfer via Internet certificates are valid for two years from the issue date.

Exporting a certificate for use by a Xact File Transfer via Internet user

The following steps explain how an OU Administrator who has imported a Xact File Transfer via Internet user's authentication certificate into his browser exports the certificate for use by a specific Xact File Transfer via Internet user:

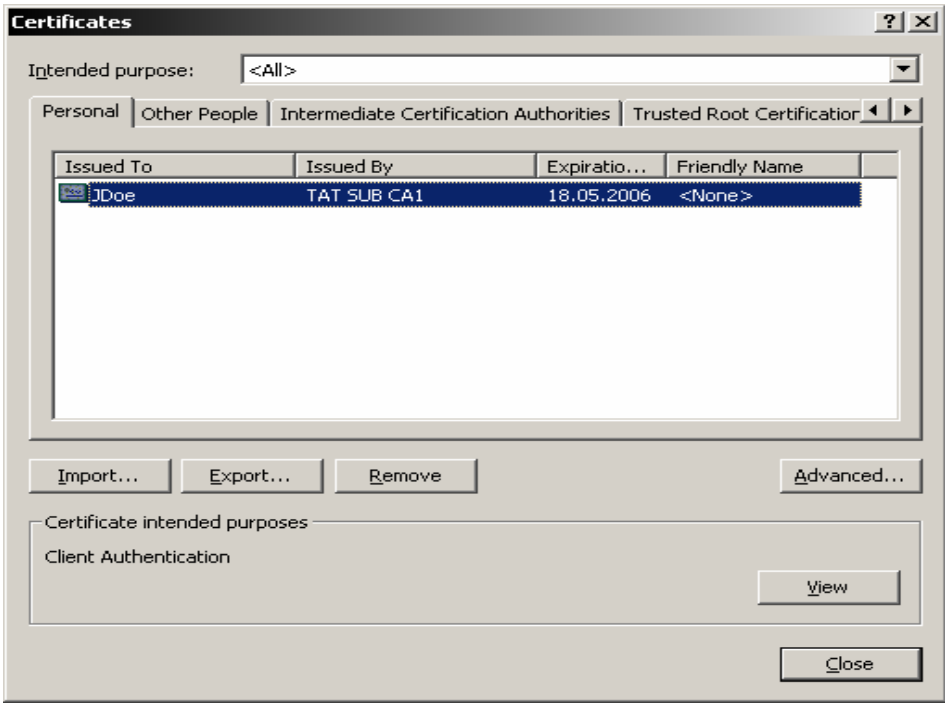
- Start Internet Explorer and select **Tools →Internet Options**.



- Click on the **Content** Tab.
- Click on the **Certificates** Button.

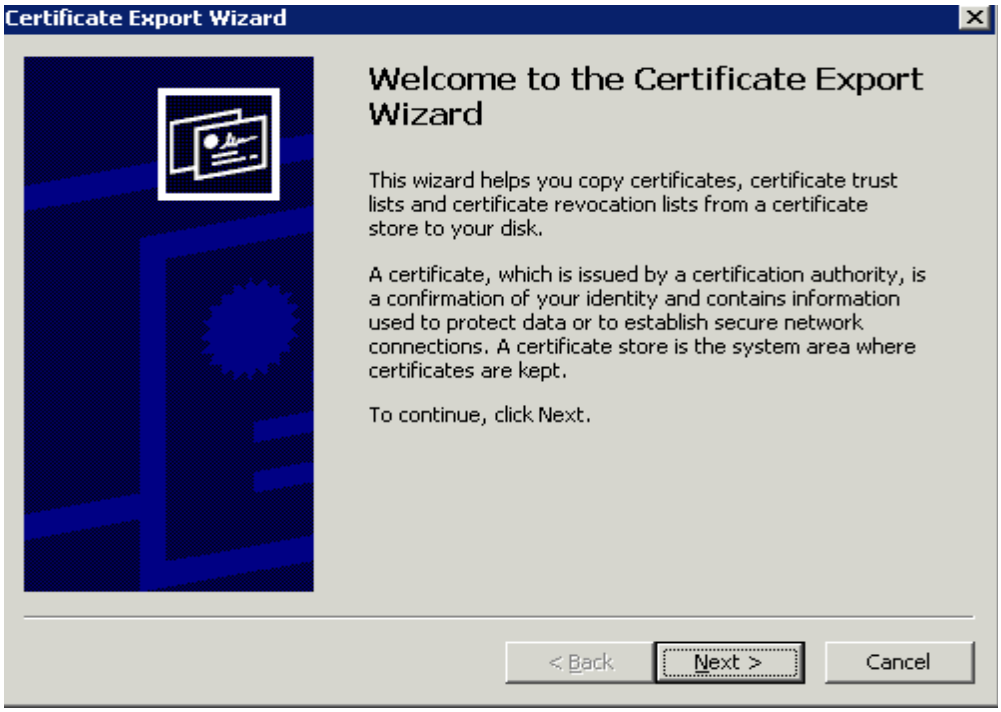
A screen is displayed showing all the certificates installed in your browser. Note that it may contain more than one certificate. Other certificates shown may include those you have requested for other Xact File Transfer via Internet users, and may be certificates for other applications.

Authentication certificates for Xact File Transfer via Internet users will have the user ID that was entered in the initial request for the certificate under the heading **Issued To**.



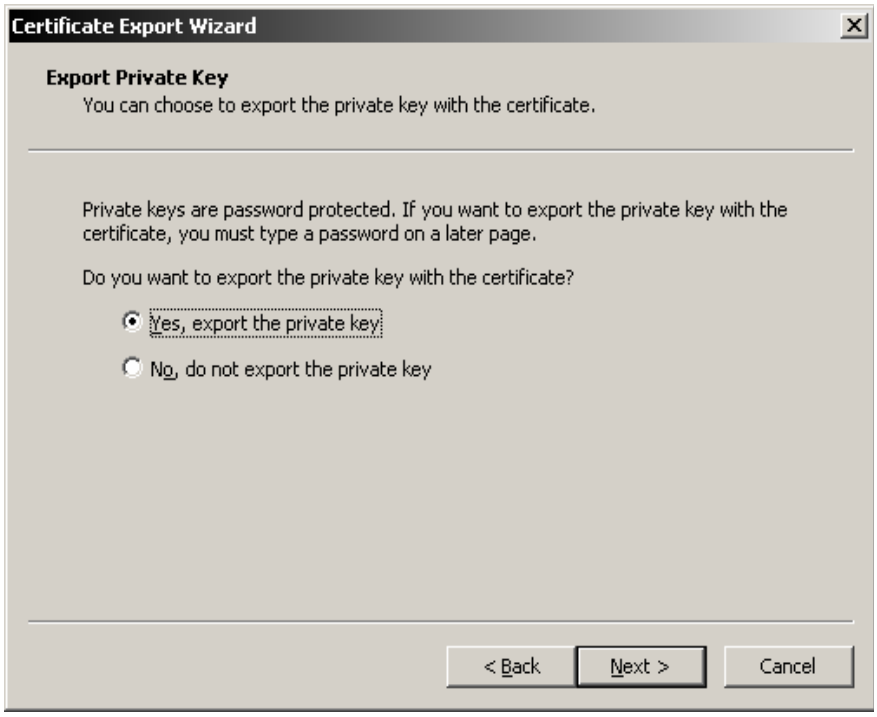
- Select a certificate that relates to one of your Xact File Transfer via Internet users.
- Click on **Export**.

The following screen will appear.



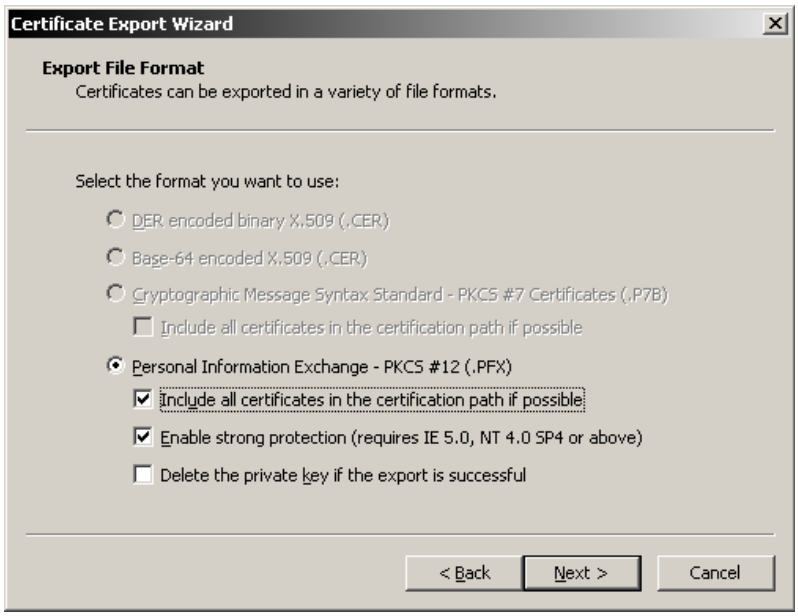
- Click on **Next.**

You will now be requested to export the private key and certificate.



- Select the option **Yes, export the private key**
- Click on **Next**.

You are now requested to specify the format of the exported certificate:

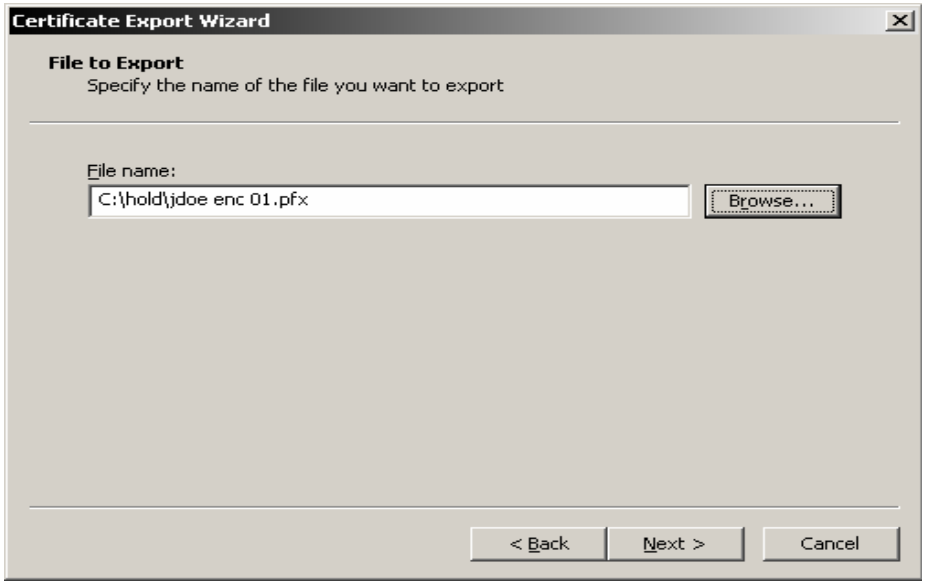


- Select **Include all certificates in the certification path if possible**, and **Enable strong protection**.
- Click on **Next**.

A window will now appear that allows you to set the password for the certificate being exported. This password will be required when the Xact File Transfer via Internet user imports this certificate into his Internet browser.

- Enter the password twice. This password can be any that you choose.
- Click on **Next**.

In the next window to be displayed, use the Browse button to select the folder for the certificate. It can be stored either locally or in a local area network. Ideally, the path selected should be accessible by the user who can now import the certificate into his browser.



- Click on **Browse** to select the location where you want to save the certificate. The file type should be ".pfx".
- Click on **Next**.
- Click on **Finish**.

The following window should appear.

This window is displayed if the export is successful.

- Click on **OK**.

The process of exporting the authentication certificate is now completed.

The steps described above must be repeated for each additional Xact File Transfer via Internet user.

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June 2006

www.clearstream.com

Document number: 6271/06.2006