

Investors Portal

User Guide

Investors Portal

Clearstream Banking AG, Frankfurt Document number: F-RS02

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Foreword

This User Guide (the "guide") describes the "Investors Portal" service offered by Clearstream Banking AG, Frankfurt (CBF).

The Investors Portal is designed to upload investors' data of registered shares holders for processing within the CBF application CASCADE-RS. The Investors Portal is available via the following link:

<https://investors-portal.clearstream.com>.

For further information about this service, please refer to the Clearstream website under Products and Services / Settlement / Settlement-services / CSD registered shares / [Investors Portal](#).

Files to be uploaded must be in CSV, XLS or XLSX format. After the upload into the Investors Portal, the data is forwarded to be processed within CASCADE-RS. This functionality was developed to support CBF customers with being compliant to the requirements set out in §67 German Stock Corporation Act.

CBF reserves the right to revise and update this guide from time to time in order to document the availability of new products and other improved services. For specific questions about the information contained in this guide please contact the Registered Shares team.

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1. Overview

Instructions to be processed within CASCADE-RS can be submitted via CASCADE Online/CASCADE-PC, CASCADE File Transfer, CASCADE SWIFT network and MQSeries. Detailed information about CASCADE-RS instructions and processes is available in the CASCADE manual part 2 (Chapter 3 Services – “Namensaktien”) on the Clearstream website www.clearstream.com under Products and Services / Connectivity / CASCADE / [CASCADE Online](#).

The Investors Portal adds to the above-mentioned communication channels by providing shareholder data to CASCADE-RS. Customers must send their data in CSV, XLS or XLSX file format. Supported transaction types are re-registration, de-registration and twin instructions (combination of re-registration and de-registration). All supported transaction types can be included in one file. Feedback will be provided through the existing reports. Furthermore an additional feedback report is available for instructions transferred to CBF via the Investors Portal.

2. Investors Portal registration and login

2.1. Initial Access request

The customer completes and returns the “Order for access to the Investors Portal service” and the “Legitimation order for access to the “Investors Portal” service” form (see Chapter 10. “Related documents and format specification”) by email or fax.

To create an initial access account for the Investors Portal each individual user must register via “New Registration” on the welcome page of the Investors Portal.

Step 1:

The user accesses the welcome page of the Investors Portal via the following link:

<https://investors-portal.clearstream.com>

Step 2:

To create a new account, click on "New registration"

The screenshot shows the Clearstream Investors Portal homepage. The header includes the Clearstream logo and the text "Welcome to Clearstream. Part of the Deutsche Börse Group". The main heading is "Investors Portal of Clearstream Banking AG". A left navigation menu contains links for Home, Deutsch, Login, **New registration** (circled in orange), and Forgotten password. A right sidebar contains contact information for Clearstream Banking AG. The main content area includes a welcome message and contact details for the Registered Shares Team.

Step 3:

The following page appears and must be completed by the user. Mandatory entry fields are bold.

The screenshot shows the "New registration" form. The user is logged in as "Anonymous" with "No access". The form is titled "New registration" and includes a note that mandatory entry fields are bolded. The form is divided into two main sections: "Bank" and "Personal Information".

Bank Section:

- Email Address
- Organisation Name
- Clearstream Account No.
- BIC Code
- Street
- P.O.Box
- ZIP Code
- City
- Country

Personal Information Section:

- Preferred Language: English Deutsch
- Salutation
- Title
- First Name
- Last Name
- Department
- Phone
- Alternate Phone
- Fax
- Comments

At the bottom of the form, there is a checkbox for "Confirmation of Terms of Use", followed by "Register" and "Cancel" buttons.

If there is an error in the details provided in the registration form, the user is informed via a pop-up error message and must correct and re-enter the necessary details.

The image shows a registration form with two main sections: "Bank" and "Personal Information". The "Bank" section includes fields for Email Address, Organisation Name, Clearstream Account No., Street, ZIP Code, and Country. The "Personal Information" section includes a language selection (English is selected), Salutation, First Name, Department, and Alternate Phone. A "Confirmation of Terms of Use" checkbox is present below the form, along with "Register" and "Cancel" buttons. A pop-up window titled "Message from webpage" is displayed in the center, containing a warning icon and the following text: "It is not possible to register - error in these fields: - The email address is invalid - Please fill in Organisation Name - Please fill in Clearstream Banking AG Account No. - Please fill in either Street or PO Box - Please fill in ZIP Code - Please fill in City - Please fill in Country - Please fill in Preferred Language - Please fill in Salutation - Please fill in First Name - Please fill in Last Name - Please fill in Department - Please fill in Phone No. - Please confirm Terms of Use Please try again." The footer contains links for "Terms and conditions", "Imprint", "Disclaimer", and "Help".

Step 4:

The user ticks the "Confirmation of Terms of Use" box to confirm the Terms of Use.

The image shows the same registration form as above, but with the "Confirmation of Terms of Use" checkbox highlighted by an orange oval. The "Personal Information" section is more detailed, including fields for Title, Last Name, Phone, and Fax. The "Register" and "Cancel" buttons are still visible. The footer contains links for "Terms and conditions", "Imprint", "Disclaimer", and "Help".

Step 5:

To complete the registration the user clicks the "Register" button.

Personal Information

Preferred Language English Deutsch

Salutation Title

First Name Last Name

Department Phone

Alternate Phone Fax

Comments

Confirmation of Terms of Use

[Terms and conditions](#) [Imprint](#) [Disclaimer](#) [Help](#)

Step 6:

After successful registration, the following confirmation page is displayed.

The email address provided by the user to register in step 3 will be the user name. Any information or feedback from the Investors Portal will be sent to this email address.

clearstream | DEUTSCHE BÖRSE GROUP

Welcome to Clearstream. Part of the Deutsche Börse Group

Home
Deutsch

Login
Forgotten password

Investors Portal of Clearstream Banking AG

New registration

Thank you for registering to the Investors Portal of Clearstream Banking AG. We have received your information and are processing your registration.

Soon, you will receive an e-mail containing your login information.

[Terms and conditions](#) [Disclaimer](#) [Help](#)

Contact

Settlement / Registered Shares (ORS)
Clearstream Banking AG
Mergenthalerallee 61, D-65750 Eschborn

Phone: +49 (0) 69 211 11300
Fax: +49 (0) 69 211 611300
registeredshares@clearstream.com

Step 7:

Once the registration process is completed a feedback email is sent to the user's registered email address.

Step 8:

The registration is processed manually, and can take up to four hours and is only done during the regular hours of a business day¹. After the registration request has been validated and approved, the user receives a confirmation email, which contains the automatically generated password. If the registration request is refused, the user will receive a feedback email.

¹ CBF business days are in line with the Public Holiday Regulation for CASCADE.

2.2. Login

Step 1:

To "Login" the user goes to the welcome page <https://investors-portal.clearstream.com>, enters the "User name" (the registered email address) and "Password" (sent from Investors Portal by email) and clicks on "Login".

clearstream | DEUTSCHE BÖRSE GROUP | Welcome to Clearstream. Part of the Deutsche Börse Group

Home
Deutsch

New registration
Forgotten password

User: Anonymous
No access.

Login

Login to the electronic upload of investor data:

User name

Password

Login

Terms and conditions | Imprint | Disclaimer | Help

Contact

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Clearstream Banking AG
Mergenthalerallee 61
D-65760 Eschborn

Phone: +49 (0) 69 211 11300
Fax: +49 (0) 69 211 611300
registeredshares@clearstream.com

Step 2:

The user chooses the relevant activity on the following screen, for example "New file upload" or "Uploads by date".

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Home
Deutsch

Logout
Change registration

New file upload

Uploads by date
Uploads by status
Uploads by ID

User: Gabi Müller

Welcome to Investors Portal of Clearstream Banking AG.

Dear Sir or Madam,

Thank you for your interest in Investors Portal of Clearstream Banking AG. Investors Portal supports the electronic submission of investors' data by the respective custody bank. The Investors Portal is available for banks and institutions accredited with Clearstream Banking AG.

In case of any questions regarding the Investors Portal and the information provided therein, please contact Clearstream Banking, Team Registered Shares, either by phone (+49-(0)69-211-11300) or by e-mail (registeredshares@clearstream.com).

Kind regards,

Clearstream Banking AG

Terms and conditions | Imprint | Disclaimer | Help

Contact

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D-65760 Eschborn

Phone: +49 (0) 69 211 11300
Fax: +49 (0) 69 211 611300
registeredshares@clearstream.com

2.3 Change registration

Step 1:

After login, the user can request access to operate additional accounts by clicking “Change registration”.

Step 2:

The following page shows the user’s information including the organisation and the accounts that are currently operating.

Step 3:

By entering account numbers in the “Clearstream Account No.” field and clicking on “Change accounts” the user can request access for an unlimited number of accounts.

The screenshot displays the 'Change registration' page in the Clearstream Investors Portal. The page header includes the Clearstream logo and 'DEUTSCHE BÖRSE GROUP'. The main heading is 'Welcome to Clearstream. Part of the Deutsche Börse Group' and 'Investors Portal of Clearstream Banking AG'. A left sidebar contains navigation links: Home, Deutsch, Logout, Change registration, New file upload, Uploads by date, Uploads by status, Uploads by ID, and the user name 'User: Gabi Müller'. The main content area is titled 'Change registration' and includes the instruction 'Please enter additional Account Numbers to be requested'. Under the 'Bank' section, user details are shown: Email Address (UserE@test.com), Organisation Name (Müller Bank), and Already granted accounts (3099; 7178; 7202). The 'Clearstream Account No.' field is highlighted with an orange oval and contains the placeholder text 'Please enter multiple Account Numbers, separated by comma.'. Below this is a 'Comments' text area and two buttons: 'Change accounts' and 'Cancel'. A right sidebar contains 'Contact' information for Clearstream Banking AG, including the address, phone, fax, and email. The footer contains links for 'Terms and conditions', 'Imprint', 'Disclaimer', and 'Help'.

Step 4:

After approval and validation of the change validation request, the user receives a confirmation email that lists all accounts the user is granted to operate. The username and password remain unchanged.

2.4 Forgotten password

Step 1:

A password reset can be initiated by clicking the “Forgotten password” button on the welcome page.

The screenshot shows the 'Login' page of the Clearstream Investors Portal. The page header includes the Clearstream logo and 'DEUTSCHE BÖRSE GROUP'. The main heading is 'Welcome to Clearstream. Part of the Deutsche Börse Group' followed by 'Investors Portal of Clearstream Banking AG'. A 'Login' section contains a form with 'User name' and 'Password' fields and a 'Login' button. A 'Contact' box on the right provides company details. The left navigation menu includes 'Home', 'Deutsch', 'New registration', 'Forgotten password' (circled in orange), and 'User: Anonymous No access.'. At the bottom, there are links for 'Terms and conditions', 'Imprint', 'Disclaimer', and 'Help'.

Step 2:

On the following screen, the user enters the user name (the registered email address) and clicks the “Reset password” button.

The screenshot shows the 'Password forgotten' page. The header is identical to the previous page. The main heading is 'Investors Portal of Clearstream Banking AG'. A 'Password forgotten' section contains the text 'Please enter your E-Mail address!' and an 'Email Address' input field. Below the input field are two buttons: 'Reset password' and 'Cancel', both of which are circled in orange. The 'Contact' box and navigation links are also present.

Step 3:

The new password will be sent automatically by the Investors Portal to the user’s registered email address.

It may take up to four hours before the new password is replicated to the Investors Portal website.

3. Data upload

3.1. New file upload as draft

Step 1:

After successful login (see section 2.2. "Login") the following screen appears. To process a new file upload, the user clicks on "New file upload".

The screenshot shows the 'Investors Portal' interface. The left sidebar contains a menu with 'New file upload' circled in orange. The main content area displays a welcome message and a 'New File Upload' section with a 'Browse...' button circled in orange. The user is identified as 'Gabi Müller'.

Step 2:

To upload a new file, the user clicks on "Browse" in the following screen and selects the relevant file from the customer's file directory

The screenshot shows the 'New File Upload' screen. The 'Browse...' button is circled in orange. The interface includes a form for 'Upload ID', an 'Add attachment' section with a file selection area, and buttons for 'Save & Submit', 'Save as Draft', 'Cancel', and 'Delete'. The user is identified as 'Gabi Müller'.

Step 3:

To save the file as a draft the user clicks on the "OK" button of the following pop-up field.

Step 4:

The user saves the file as draft by clicking "Save as Draft".

The screenshot shows the Clearstream Investors Portal interface. A modal dialog box titled "Message from webpage" is displayed, containing a question mark icon and the text: "If you save as draft, your file will not be processed. You will be able to modify and submit it later. Please note that all draft documents will be automatically deleted after 15 days! Do you really want to save as draft?". The "OK" button in the dialog is circled in orange. Below the dialog, the "Save as Draft" button in the "Add attachment" section is also circled in orange. The page header includes the Clearstream logo and "Welcome to Clearstream. Part of the Deutsche Börse Group". The main heading is "Investors Portal of Clearstream Banking AG". The left sidebar contains navigation links like "Home", "Deutsch", "Logout", and "Change registration". The right sidebar contains contact information for Clearstream Banking AG. The footer includes "Terms and conditions", "Imprint", "Disclaimer", and "Help".

Step 5:

The upload is now saved as draft and provided with its Upload ID by the Investors Portal. Uploaded data in draft status is not automatically forwarded for processing. To process the upload the user has to submit it (see section 3.3 "[Submit drafted file upload](#)").

The screenshot shows the Clearstream Investors Portal interface. The main heading is "Investors Portal of Clearstream Banking AG". The left sidebar contains navigation links like "Home", "Deutsch", "Logout", and "Change registration". The right sidebar contains contact information for Clearstream Banking AG. The main content area shows the "File Upload in 'Draft' status" section. It displays the following information: "Upload ID: 140130BAT-0002GMÜL", "Account No.: 3099000", and "Attachment: ER R40903 Testcase 1 20130123.csv (0.3 kb)". Below this information, the "Save & Submit" button is circled in orange. The footer includes "Terms and conditions", "Imprint", "Disclaimer", and "Help".

Files in draft status can either be submitted or deleted. Files that are not submitted within 15 days after being saved as a draft will be deleted automatically.

To view the drafted upload the user can choose between the following view options: "Uploads by date", "Uploads by status" or "Uploads by ID". All three options display the same amount of uploads, but with different sort criteria.

3.2. Submit new file upload

Step 1:

After successful login (see section 2.2 “[Login](#)”) the following screen appears. To start a new file upload, the user clicks “New file upload”.



The screenshot shows the 'Investors Portal' interface. The left sidebar contains a menu with 'New file upload' circled in orange. The main content area displays a welcome message and a 'New File Upload' section with a 'Browse...' button.

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Welcome to Clearstream. Part of the Deutsche Börse Group

Investors Portal

of Clearstream Banking AG

Welcome to Investors Portal of Clearstream Banking AG.

Dear Sir or Madam,

Thank you for your interest in Investors Portal of Clearstream Banking AG. Investors Portal supports the electronic submission of investors' data by the respective custody bank. The Investors Portal is available for banks and institutions accredited with Clearstream Banking AG.

In case of any questions regarding the Investors Portal and the information provided therein, please contact Clearstream Banking, Team Registered Shares, either by phone (+49-(0)69-211-11300) or by e-mail (registeredshares@clearstream.com).

Kind regards,

Clearstream Banking AG

Terms and conditions | Imprint | Disclaimer | Help

Contact

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Clearstream Banking AG
Mergenthalerallee 61
D-65760 Eschborn

Phone: +49 (0) 69 211 11300
Fax: +49 (0) 69 211 611300
registeredshares@clearstream.com

Home
Deutsch

Logout
Change registration

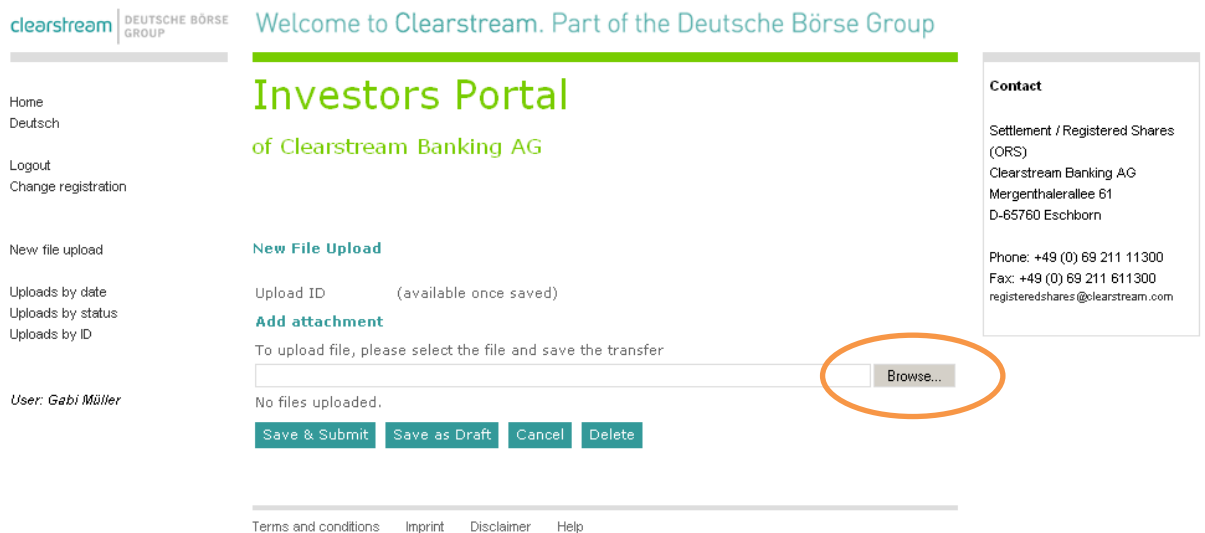
New file upload

Uploads by date
Uploads by status
Uploads by ID

User: *Gabi Müller*

Step 2:

On the following screen the user clicks “Browse” and selects the relevant file from the customer’s file directory.



The screenshot shows the 'New File Upload' section of the 'Investors Portal'. The 'Browse...' button is circled in orange. The page includes an 'Upload ID' field, an 'Add attachment' section with a file selection input, and buttons for 'Save & Submit', 'Save as Draft', 'Cancel', and 'Delete'.

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Welcome to Clearstream. Part of the Deutsche Börse Group

Investors Portal

of Clearstream Banking AG

New File Upload

Upload ID (available once saved)

Add attachment

To upload file, please select the file and save the transfer

Browse...

No files uploaded.

Save & Submit **Save as Draft** **Cancel** **Delete**

Terms and conditions | Imprint | Disclaimer | Help

Contact

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Phone: +49 (0) 69 211 11300
Fax: +49 (0) 69 211 611300
registeredshares@clearstream.com

Home
Deutsch

Logout
Change registration

New file upload

Uploads by date
Uploads by status
Uploads by ID

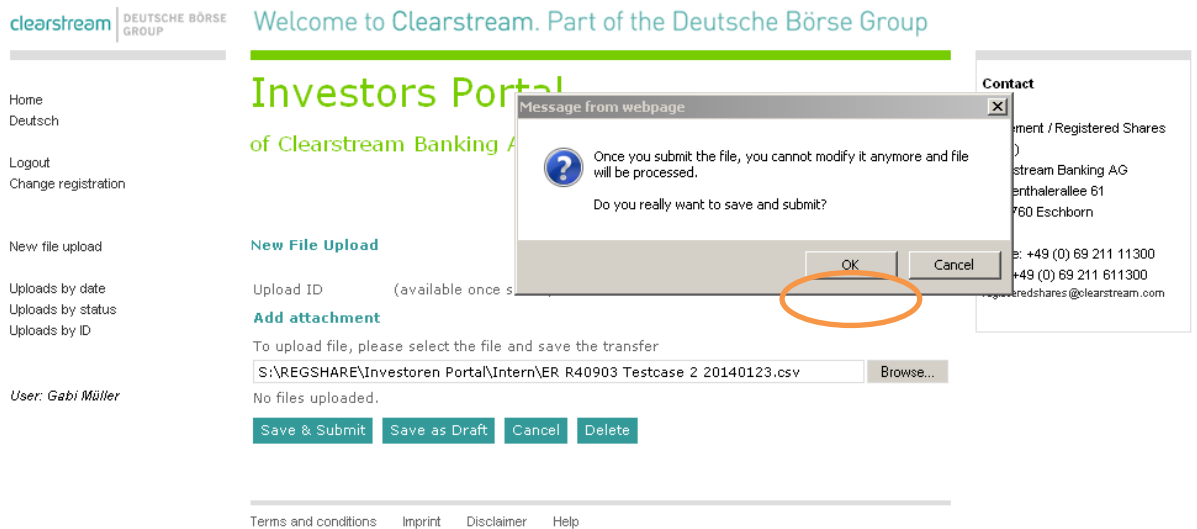
User: *Gabi Müller*

Step 3:

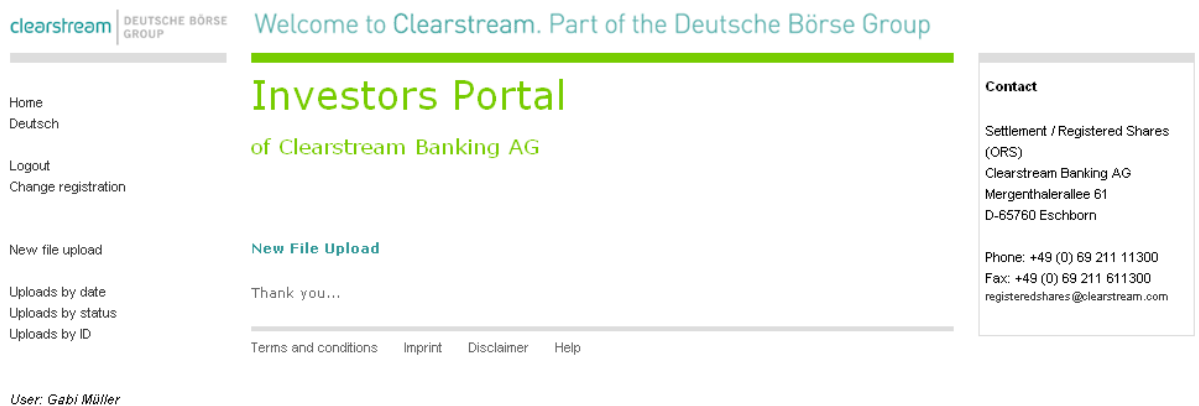
The file can be saved and submitted by clicking "Save & Submit".

Step 4:

The following pop-up field appears and by clicking "OK" the user confirms the submission of the file.



The following screen appears:



Once submitted, uploaded files cannot be edited or changed anymore.

Uploaded files are visible to the user who has submitted them and to all other users who have been granted access to operate the upload concerning account.

Step 5:

To follow-up the current status of an uploaded file, click on one of the “Uploads” view options (“Uploads by date”, “Uploads by status” and “Uploads by ID”) and refer to the “Status” column. For instructions that are in status “submitted” additional icons show the status of the processing in CASCADE-RS. For further descriptions of these icons, please refer to section 3.9 “First feedback information after submitted upload”.

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Welcome to Clearstream. Part of the Deutsche Börse Group

Investors Portal

of Clearstream Banking AG

Home
Deutsch

Logout
Change registration

New file upload

- Uploads by date
- Uploads by status
- Uploads by ID

User: User A

Contact

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Fax: +49 (0) 69 211 611300
registeredshares@clearstream.com

Search results: 17 documents found

Creation Date	Account	Upload ID	Status	Files
15.01.2014 10:51	3099000	140115BAT-0002BBOH	Submitted ✓	ER_319140_Testcase 2a 20140115.xlsx
17.01.2014 12:36	3099000	140117BAT-0003CJAC	Submitted ✓	ER_319140_Testcase 21b 20140117.xlsx
10.01.2014 13:41	3099000	140110BAT-0008UA	Submitted ✗	ER_319140_Testcase 3 20131218.xlsx
10.01.2014 13:41	3099000	140110BAT-0009UA	Submitted ✓	ER_319140_Testcase 3a 20131218.xlsx
30.01.2014 13:54	3099000	140130BAT-0003GMUL	Submitted ✗	ER_R40903_Testcase 2 20140123.csv
05.02.2014 12:44	3099000	140205BAT-0001BBOH	Draft	Test OK 3099 with header.xls
30.01.2014 13:35	3099000	140130BAT-0001GMUL	Submitted ✗	ER_R40903_Testcase 1 20130122.csv
30.01.2014 13:40	3099000	140130BAT-0002GMUL	Submitted ⚠	ER_R40903_Testcase 1 20130123.csv

3.3. Submit drafted file upload

Step 1:

After successful login (see section 2.2. "Login") the following screen appears and the user selects "Uploads by status".

The screenshot shows the Clearstream Investors Portal interface. The top left features the Clearstream logo and the Deutsche Börse Group logo. The main header reads "Welcome to Clearstream. Part of the Deutsche Börse Group". Below this, the page title is "Investors Portal of Clearstream Banking AG". A navigation menu on the left includes "Home", "Deutsch", "Logout", "Change registration", "New file upload", "Uploads by date", "Uploads by status" (circled in orange), and "Uploads by ID". The user's name, "User: Gabi Müller", is displayed below the menu. The main content area contains a welcome message: "Welcome to Investors Portal of Clearstream Banking AG. Dear Sir or Madam, Thank you for your interest in Investors Portal of Clearstream Banking AG. Investors Portal supports the electronic submission of investors' data by the respective custody bank. The Investors Portal is available for banks and institutions accredited with Clearstream Banking AG. In case of any questions regarding the Investors Portal and the information provided therein, please contact Clearstream Banking, Team Registered Shares, either by phone (+49-(0)69-211-11300) or by e-mail (registeredshares@clearstream.com). Kind regards, Clearstream Banking AG". A contact box on the right provides details for Settlement / Registered Shares (ORS) at Clearstream Banking AG, including the address, phone, fax, and email. The footer contains links for "Terms and conditions", "Imprint", "Disclaimer", and "Help".

Step 2:

To select a drafted file to be submitted, the user clicks on the respective file in the "Upload ID" column.

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Welcome to Clearstream. Part of the Deutsche Börse Group

Investors Portal

of Clearstream Banking AG

Home
Deutsch
Logout
Change registration

New file upload

Uploads by date
Uploads by status
Uploads by ID

User: *Gabi Müller*

CBF Account ISIN

Uploads by ID				
Creation Date	Account	Upload ID	Status	Files
08.01.2014 11:05	3099000	140108BAT-0001BBOH	Submitted	ER 319140 Testcase 1 20140108.xlsx
08.01.2014 11:15	3099000	140108BAT-0003BBOH	Submitted	ER 319140 Testcase 1a 511000 20140108.xlsx
08.01.2014 15:24	3099000	140108BAT-0005MZEL	Submitted	Test OK 3099 without header.xls
10.01.2014 09:15	3099000	140110BAT-0001UC	Submitted	ER 319140 Testcase 4a 20131218.xlsx
10.01.2014 09:21	3099000	140110BAT-0003UC	Submitted	ER 319140 Testcase 4a 20140110.xlsx
10.01.2014 09:49	3099000	140110BAT-0005BBOH	Submitted	ER 319140 Testcase 1a 511000 20140108.xlsx
10.01.2014 13:41	3099000	140110BAT-0008UA	Submitted	ER 319140 Testcase 3 20131218.xlsx
10.01.2014 13:41	3099000	140110BAT-0009UA	Submitted	ER 319140 Testcase 3a 20131218.xlsx
10.01.2014 13:42	7178000	140110BAT-0011UA	Submitted	ER 319140 Testcase 3c 20131218.xlsx
15.01.2014 10:28	7178000	140115BAT-0001BBOH	Submitted	ER 319140 Testcase 6 20131219.xlsx
15.01.2014 10:51	3099000	140115BAT-0002BBOH	Submitted	ER 319140 Testcase 2a 20140115.xlsx
15.01.2014 10:52	7178000	140115BAT-0004BBOH	Submitted	ER 319140 Testcase 2c 20140115.xlsx
15.01.2014 10:55	7202000	140115BAT-0006BBOH	Submitted	ER 319140 Testcase 2d1 20140115.xlsx
10.01.2014 11:25	3099000	140110BAT-0007BBOH	Submitted	ER 319140 Testcase 5 20131218.xlsx
15.01.2014 13:28	7202000	140115BAT-0012BBOH	Submitted	ER 319140 Testcase 7 20131219.xlsx
15.01.2014 13:29	7202000	140115BAT-0013BBOH	Submitted	ER 319140 Testcase 8 20131219.xlsx
17.01.2014 12:36	3099000	140117BAT-0003CJAC	Submitted	ER 319140 Testcase 21b 20140117.xlsx
30.01.2014 13:35	3099000	140130BAT-0001GMJL	Submitted	ER R40903 Testcase 1 20130122.csv
30.01.2014 13:54	3099000	140130BAT-0003GMJL	Submitted	ER R40903 Testcase 2 20140123.csv
30.01.2014 13:40	3099000	140130BAT-0002GMJL	Draft	ER R40903 Testcase 1 20130123.csv
15.01.2014 12:53	7178000	140115BAT-0010BBOH	Draft	ER 319140 Testcase 6 20131219.xlsx
09.01.2014 17:09	3099000	140109BAT-0001MZEL	Draft	Test OK 3099 with header.csv

Contact

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D-65760 Eschborn

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Fax: +49 (0) 69 211 611300
reg@clearstream.com

Note: The upload can be submitted by the user who has uploaded the draft and all other users who have been granted access to operate the upload concerning account

Step 3:

The following screen appears. To save and submit the relevant file the user clicks on the "Save & Submit" button.

The screenshot shows the 'Investors Portal' interface. On the left, there is a navigation menu with options like 'Home', 'Deutsch', 'Logout', 'Change registration', 'New file upload', and 'Uploads by date/status/ID'. The user is identified as 'Gabi Müller'. The main content area displays 'File Upload in "Draft" status' with details for Upload ID, Account No., and ISINs. Below this, there is an 'Attachment' section showing 'ER R40903 Testcase 1 20130123.csv (0.3 kb)'. At the bottom of this section, four buttons are visible: 'Save & Submit' (circled in orange), 'Save as Draft', 'Cancel', and 'Delete'. A footer contains links for 'Terms and conditions', 'Imprint', 'Disclaimer', and 'Help'.

Step 4:

To follow-up the current status of an uploaded file, click on one of the "Uploads" view options ("Uploads by date", "Uploads by status" and "Uploads by ID") and refer to the "Status" column. For instructions that are in status "submitted" additional icons show the status of the processing in CASCADE-RS. For further descriptions of these icons, please refer to section 3.9 "First feedback information after submitted upload".

The screenshot shows the 'Investors Portal' interface with the 'Uploads by date' view selected. The left navigation menu has 'Uploads by date' circled in orange. The main content area shows a search bar for 'CBF Account' and 'ISIN', and a table titled 'Uploads by date'. The table has columns for 'Creation Date', 'Account', 'Upload ID', 'Status', and 'Files'. The 'Status' column is circled in orange. The table contains several rows of upload data, including Draft and Submitted files with various icons indicating their status.

Creation Date	Account	Upload ID	Status	Files
07.02.2014 15:08	3099000	140207BAT-0002BBOH	Draft	Test OK 3099 without header.csv
05.02.2014 12:44	3099000	140205BAT-0001BBOH	Draft	Test OK 3099 with header.xls
30.01.2014 13:54	3099000	140130BAT-0003GMUL	Submitted	ER_R40903_Testcase_2_20140123.csv
30.01.2014 13:40	3099000	140130BAT-0002GMUL	Submitted	ER_R40903_Testcase_1_20130123.csv
30.01.2014 13:35	3099000	140130BAT-0001GMUL	Submitted	ER_R40903_Testcase_1_20130122.csv
17.01.2014 12:36	3099000	140117BAT-0003CJAC	Submitted	ER_319140_Testcase_21b_20140117.xlsx
15.01.2014 13:29	7202000	140115BAT-0013BBOH	Submitted	ER_319140_Testcase_8_20131219.xlsx
15.01.2014		140115BAT		ER_319140_Testcase_7

3.4. Delete drafted file upload

Step 1:

After successful login (see section 2.2. "Login") the following screen appears and the user selects "Uploads by status".

The screenshot displays the Clearstream Investors Portal interface. At the top left, the logo for 'clearstream DEUTSCHE BÖRSE GROUP' is visible. The main header reads 'Welcome to Clearstream. Part of the Deutsche Börse Group'. The central heading is 'Investors Portal of Clearstream Banking AG'. A navigation menu on the left includes 'Home', 'Deutsch', 'Logout', 'Change registration', 'New file upload', 'Uploads by date', 'Uploads by status' (circled in orange), and 'Uploads by ID'. Below the menu, the user is identified as 'User: Gabi Müller'. The main content area features a 'Welcome to Investors Portal of Clearstream Banking AG.' message, followed by a greeting 'Dear Sir or Madam,' and a thank-you note. It provides contact information for registered shares and a closing 'Kind regards,' from Clearstream Banking AG. A footer contains links for 'Terms and conditions', 'Imprint', 'Disclaimer', and 'Help'. A 'Contact' box on the right provides details for Settlement / Registered Shares (ORS), including the address, phone, fax, and email.

Step 2:

To select a drafted file for deletion, the user clicks on the respective file in the "Upload ID" column.

clearstream DEUTSCHE BORSE GROUP Welcome to Clearstream. Part of the Deutsche Börse Group

Home
Deutsch

Logout
Change registration

New file upload

Uploads by date
Uploads by status
Uploads by ID

User: Gabi Müller

CBF Account ISIN

Investors Portal

of Clearstream Banking AG BAT 2014

Contact

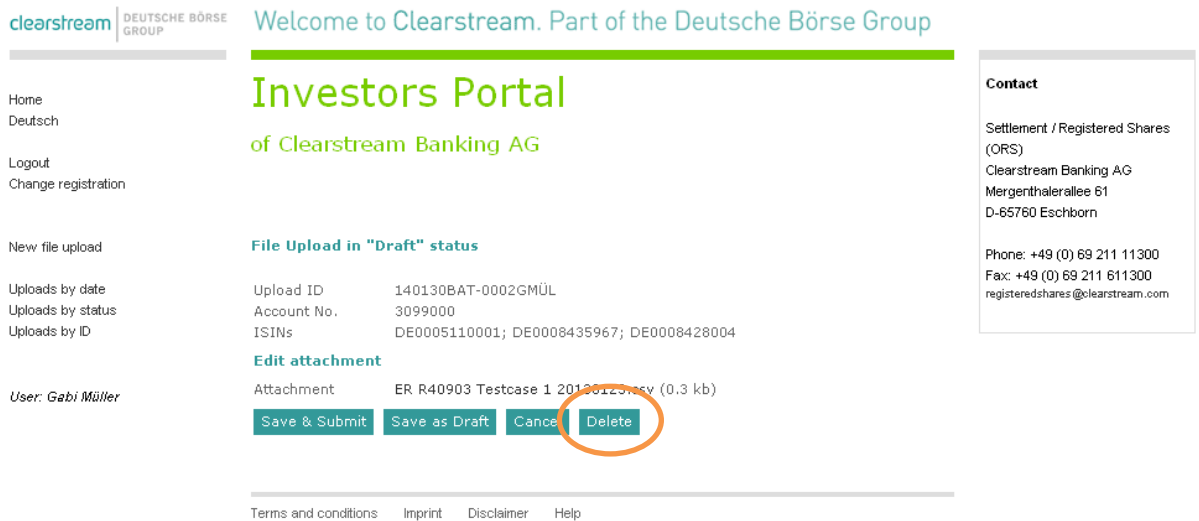
Settlement / Registered Shares (DRS)
Clearstream Banking AG
Mergenthalerallee 61
D-65760 Eschborn

Phone: +49 (0) 69 211 11300
Fax: +49 (0) 69 211 611300
reg.k@eds.kares@clearstream.com

Uploads by ID				
Creation Date	Account	Upload ID	Status	Files
08.01.2014 11:05	3099000	140108BAT-0001BBOH	Submitted ❌	ER 319140 Testcase 1 20140108.xlsx
08.01.2014 11:15	3099000	140108BAT-0003BBOH	Submitted ❌	ER 319140 Testcase 1a 511000 20140108.xlsx
08.01.2014 15:24	3099000	140108BAT-0005MZEL	Submitted ✅	Test OK 3099 without header.xls
10.01.2014 09:15	3099000	140110BAT-0001UC	Submitted ❌	ER 319140 Testcase 4a 20131218.xlsx
10.01.2014 09:21	3099000	140110BAT-0003UC	Submitted ❌	ER 319140 Testcase 4a 20140110.xlsx
10.01.2014 09:49	3099000	140110BAT-0005BBOH	Submitted ❌	ER 319140 Testcase 1a 511000 20140108.xlsx
10.01.2014 13:41	3099000	140110BAT-0008UA	Submitted ❌	ER 319140 Testcase 3 20131218.xlsx
10.01.2014 13:41	3099000	140110BAT-0009UA	Submitted ✅	ER 319140 Testcase 3a 20131218.xlsx
10.01.2014 13:42	7173000	140110BAT-0011UA	Submitted ✅	ER 319140 Testcase 3c 20131218.xlsx
15.01.2014 10:28	7173000	140115BAT-0001BBOH	Submitted ✅	ER 319140 Testcase 6 20131219.xlsx
15.01.2014 10:51	3099000	140115BAT-0002BBOH	Submitted ✅	ER 319140 Testcase 2a 20140115.xlsx
15.01.2014 10:52	7173000	140115BAT-0004BBOH	Submitted ✅	ER 319140 Testcase 2c 20140115.xlsx
15.01.2014 10:55	7202000	140115BAT-0006BBOH	Submitted ❌	ER 319140 Testcase 2d1 20140115.xlsx
10.01.2014 11:25	3099000	140110BAT-0007BBOH	Submitted ✅	ER 319140 Testcase 5 20131218.xlsx
15.01.2014 13:28	7202000	140115BAT-0012BBOH	Submitted ❌	ER 319140 Testcase 7 20131219.xlsx
15.01.2014 13:29	7202000	140115BAT-0013BBOH	Submitted ❌	ER 319140 Testcase 8 20131219.xlsx
17.01.2014 12:36	3099000	140117BAT-0003CJAC	Submitted ✅	ER 319140 Testcase 21b 20140117.xlsx
30.01.2014 13:35	3099000	140130BAT-0001GMUL	Submitted ❌	ER R40903 Testcase 1 20130122.csv
30.01.2014 13:54	3099000	140130BAT-0003GMUL	Submitted ❌	ER R40903 Testcase 2 20140123.csv
30.01.2014 13:40	3099000	140130BAT-0002GMUL	Draft	ER R40903 Testcase 1 20130123.csv
15.01.2014 12:53	7178000	140115BAT-0010BBOH	Draft	ER 319140 Testcase 6 20131219.xlsx
09.01.2014 17:09	3099000	140109BAT-0001MZEL	Draft	Test OK 3099 with header.csv

Step 3:

The following screen appears. By clicking the "Delete" button the relevant file it is irrevocably deleted and will not be displayed in "Uploads by..." any more.



The screenshot shows the Clearstream Investors Portal interface. The header includes the Clearstream logo and the text "Welcome to Clearstream. Part of the Deutsche Börse Group". The main heading is "Investors Portal of Clearstream Banking AG". On the left, there is a navigation menu with options like Home, Deutsch, Logout, Change registration, New file upload, Uploads by date, Uploads by status, and Uploads by ID. The user is identified as "User: Gabi Müller". The main content area is titled "File Upload in 'Draft' status" and displays the following information:

Upload ID	140130BAT-0002GMÜL
Account No.	3099000
ISINs	DE0005110001; DE0008435967; DE0008428004

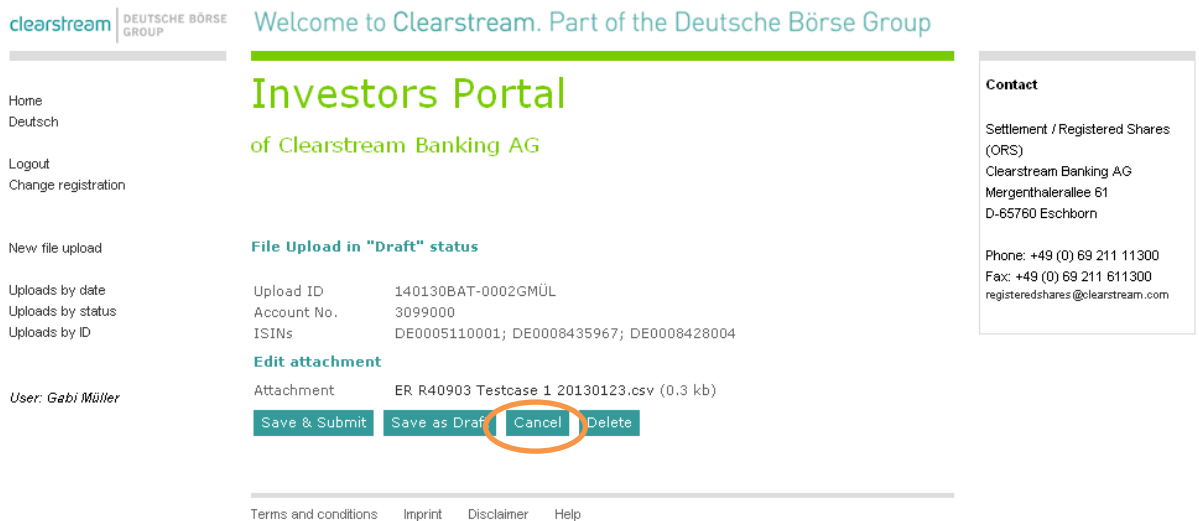
Below this information is the "Edit attachment" section, which shows the attachment name "ER R40903 Testcase 1 20130123.csv (0.3 kb)". At the bottom of this section are four buttons: "Save & Submit", "Save as Draft", "Cancel", and "Delete". The "Delete" button is circled in orange.

At the bottom of the page, there are links for "Terms and conditions", "Imprint", "Disclaimer", and "Help". On the right side, there is a "Contact" section with the following details:

Contact
Settlement / Registered Shares (ORS)
Clearstream Banking AG
Mergenthalerallee 61
D-65760 Eschborn
Phone: +49 (0) 69 211 11300
Fax: +49 (0) 69 211 611300
registeredshares@clearstream.com

3.5. Revoke drafted file upload

The user can revoke the current activity by clicking the "Cancel" button.



This screenshot is identical to the one above, showing the same file upload in draft status. However, in this version, the "Cancel" button is circled in orange instead of the "Delete" button.

Afterwards the user is returned to the previous screen as shown in section 3.5, step 2.

3.6. Format checks of uploaded files by the Investors Portal

The Investors Portal performs for each uploaded file the following format checks:

- Authorisation of the respective CBF account master to use the Investors Portal;
- Authorisation of the user to perform uploads for the relevant account;
- Data sets of one CBF account master only are listed within the file.

If one of the [above](#)-mentioned format checks fails, the user is informed by email about the failed upload. For a detailed description of the feedback information, please refer to section 4.2 "Negative feedback after Investors Portal plausibility checks (file rejected)".

3.7. Naming conventions for uploaded files

File titles must not contain special characters, for example ß or &.

3.8. File preparation

Data to be uploaded to the Investors Portal must be in XLS, XLSX or CSV format and in line with the predefined formats (see Chapter 10 "Related documents and format specification"). Otherwise the file is rejected.

Files can include the following CASCADE-RS instruction types: re-registration, de-registration or twin instruction. The format specification for each instruction type varies slightly. For detailed information please refer to Chapter 10 "Related documents and format specification".

3.9. First feedback information after submitted upload

The user obtains additional information of an uploaded file under the "Upload" view options ("Uploads by date", "Uploads by status" and "Uploads by ID").

The screenshot shows the Clearstream Investors Portal interface. The header includes the Clearstream logo and "DEUTSCHE BÖRSE GROUP". The main heading is "Welcome to Clearstream. Part of the Deutsche Börse Group" followed by "Investors Portal of Clearstream Banking AG". On the right, there is a "Contact" box with address and phone/fax information. The main content area has search fields for "CBF Account" and "ISIN" with a "Search" button. Below this is a table titled "Uploads by ID". The table has columns for "Creation Date", "Account", "Upload ID", "Status", and "Files". The "Status" column is circled in orange. The table lists several uploads, some with status icons (red X for failed, green checkmark for successful).

Creation Date	Account	Upload ID	Status	Files
08.01.2014 11:05	3099000	140108BAT-0001BBOH	Submitted	ER 319140 Testcase 1 20140108.xlsx
08.01.2014 11:15	3099000	140108BAT-0003BBOH	Submitted	ER 319140 Testcase 1a 511000 20140108.xlsx
08.01.2014 15:24	3099000	140108BAT-0005MZEL	Submitted	Test OK 3099 without header.xls
10.01.2014 09:15	3099000	140110BAT-0001UC	Submitted	ER 319140 Testcase 4a 20131218.xlsx
10.01.2014 09:21	3099000	140110BAT-0003UC	Submitted	ER 319140 Testcase 4a 20140110.xlsx
10.01.2014 09:49	3099000	140110BAT-0005BBOH	Submitted	ER 319140 Testcase 1a 511000 20140108.xlsx
10.01.2014 13:41	3099000	140110BAT-0008UA	Submitted	ER 319140 Testcase 3 20131218.xlsx
10.01.2014 13:41	3099000	140110BAT-0009UA	Submitted	ER 319140 Testcase 3a 20131218.xlsx

The "Status" column displays uploaded files that are still in status "draft" or "submitted". For instructions that are in status "submitted" an additional icon shows the status of the processing in CASCADE-RS.

Status icons for the processing in CASCADE-RS can be the following:



Error validation

The plausibility check of the uploaded file could not be successfully executed via the Investors Portal. The instructions could not be transmitted to CASCADE-RS. For information about the rejection reason please refer to section 3.6 "Format checks of uploaded files by the Investors Portal".

Once necessary corrections have been made, all of the instructions of this file must be resent for a successful processing.



Error CASCADE

The instructions of this uploaded file have been transferred to CASCADE-RS. The plausibility check in CASCADE-RS could not be successfully executed for one or more instructions. The individual error messages can be downloaded as a file via the CBF Fileservice.

Once necessary corrections have been made, the erroneous instructions of this file must be resent again for a successful processing.



Completed

The processing of this file in CASCADE RS was successfully executed.



Initiated

The instructions of this uploaded file have been submitted to CASCADE-RS. The plausibility check is currently running in CASCADE-RS.

As soon as the user moves the mouse pointer over one of the icons, an additional display appears showing the status of the upload until the processing in CASCADE-RS is complete.

4. Processing feedback from Investors Portal

4.1. Positive feedback

For successfully uploaded files, no confirmation email is provided.

4.2. Negative feedback after Investors Portal plausibility checks (file rejected)

The Investors Portal performs plausibility checks on all submitted files (see section 3.6 “Format checks of uploaded files by the Investors Portal”). If a file does not pass any of these Investors Portal plausibility checks, the complete file will be rejected. In this case the user is informed by email and needs, after a correction, to upload and resubmit the file.

4.3. Negative feedback after CASCADE-RS plausibility checks (instructions rejected)

After successful validation process within the Investors Portal, a second plausibility process is performed by CASCADE-RS. If a file fails the CASCADE-RS plausibility checks, a notification email is sent to the user shortly after.

As the plausibility checks by CASCADE-RS are performed on an instruction basis, only the rejected instructions have to be resent after a correction (see also section 6.1 “[CASCADE-RS upload](#)”).

5. Processing feedback from CASCADE-RS

After the uploaded instructions have passed both the plausibility checks of the Investors Portal and of CASCADE-RS the instructions can be monitored within CASCADE-RS via the existing online screens and reports. The instructions start their lifecycle with the status “K” (Kontrolliert/verified) and then run through all possible status changes the same way as instructions provided to CASCADE-RS via the other communication channels (CASCADE Online, CASCADE-PC, CASCADE File Transfer, CASCADE SWIFT network and MQSeries).

6. Reports of instructions uploaded via Investors Portal

6.1. CASCADE-RS upload

The “CASCADE-RS upload” report is available for instructions that have been uploaded via the Investors Portal. It contains all uploaded instructions that have been rejected during the CASCADE-RS plausibility checks. The data of the instructions and the relevant error message are displayed. Additionally the report shows all instructions that have been collected automatically by CASCADE-RS before a specific loading time. This can lead to the creation of up to ten reports per day for each account.

The “CASCADE-RS upload” report is created and made available via the CBF Fileservice shortly after the automated collection by CASCADE-RS took place and the CASCADE-RS plausibility checks have been performed (please see section 7.1 “[Automated IP transfer times to CASCADE](#)”).

6.2. CASCADE-RS upload feedback

The “CASCADE-RS upload feedback/CASCADE-RS upload Rückmeldung” report is available for instructions that have been uploaded /submitted via the Investors Portal. It contains all uploaded instructions for which a registry feedback has been received. The data of the instructions is displayed as well as the status based on the registry feedback, either “confirmed” or “rejected”. Confirmed instructions are complemented by the information of the shareholder number.

The “CASCADE-RS upload feedback” report is created immediately after the registry feedback has been received and processed within CASCADE-RS. The report will be created twice a day and made available via CBF File service at approximately 07:00 to 07:30 and 15:30.

7. Timelines

Users may upload files to the Investors Portal at any time. The data will be processed as follows:

7.1. Automated IP transfer times to CASCADE

CASCADE-RS collects instructions automatically and processes them within the system.

The data collection (resp. automated IP transfer times) takes place as per below schedule:

- 08:00
- 09:00
- 10:15
- 11:00
- 12:00
- 13:15
- 14:00
- 15:00
- 16:00
- 16:45
- 18:20

After these collection processes (automated IP transfers) have been completed the uploaded instructions are visible in CASCADE-RS and have the status "K" for "Kontrolliert" (verified).

8. CASCADE-RS allocation runs

The instructions imported into CASCADE-RS are processed within the regular allocation runs as per the following schedule:

- 10:15
- 13:15
- 17:00
- 21:00 (only after an instruction of the issuer)

After the completion of the allocation run instructions receive the status "W" for "Weitergeleitet" (forwarded to the share ledger).

For updates to this schedule please refer to the CASCADE transaction/function KVAV IS.

9. Contingency process

If the upload functionality via Investors Portal is temporarily unavailable, the user should contact the CBF's Operations Registered Shares (ORS) team (see Chapter 11. "[Contact details](#)"). Afterwards the user can send his data files to email address of the ORS team: registeredshares@clearstream.com.

10. Related documents and format specification

For further information about the Investors Portal please refer to the Investors Portal page available on the Clearstream website <https://clearstream.com/clearstream-en/products-and-services/settlement/settlement-services/csd-registered-shares/investors-portal> and the following documents that are available on this page:

- Legitimation order for access to the "Investors Portal" service
- Order for access to the "Investors Portal" service
- Investoren Portal - Formatspezifikation Excel und CSV
- Template Investors Portal

11. Contact details

For any further questions please contact:

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