

Vestima^{TRACK}

Investment Funds Services

Output Express Specifications

CSV files sent from Clearstream

Vestima^{TRACK} – Output Express Specifications: CSV files sent from Clearstream

July 2013

Document number: 6694

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Foreword

Vestima^{TRACK} is Clearstream's¹ service for providing transparency of holdings in investment funds. The Vestima^{TRACK} system accepts inbound statements of holdings from distributors and investors and, after validation and enrichment, distributes the data to the respective Transfer Agents (TAs) or their representatives.

These specifications cover the layout and use of the output Comma Separated Value (CSV) file. Vestima^{TRACK} is also available in an XML version to meet more enhanced reporting needs. For further information, please contact Vestima^{TRACK} support (see below).

Contact details

To receive sample Vestima^{TRACK} CSV data files, any other information you may require, or if you have specific questions regarding the Vestima system and/or communications with Clearstream Banking, you can contact Customer Service in Luxembourg as follows:

Telephone:	+352-243-38110	Connectivity Support for access/configuration issues
	+352-243-32833	Vestima Help Desk for business queries
	+352-243-32555	Vestima Product information
Fax:	+352-243-638110	Connectivity Support
Email:	csvestima@clearstream.com	Vestima Help Desk for business queries
	connectlux@clearstream.com	Connectivity Support
Website:	www.clearstream.com	Clearstream Banking website
	www.vestima.com	Clearstream Banking Investment Funds Services

Participants should note that, as is normal practice within financial organisations, Clearstream Banking has implemented telephone line recording to ensure that the interests of Clearstream Banking and of its participants are protected against misunderstandings or miscommunications.

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

1. Clearstream Banking (or Clearstream) refers collectively to Clearstream Banking AG, registered office at 61, Mergenthalerallee, 65760 Eschborn, Germany and registered in the Register B of the Amtsgericht Frankfurt am Main, Germany under number HRB 7500 (CBF) and Clearstream Banking S.A., registered office at 42, avenue John F. Kennedy, L-1855 Luxembourg, and registered with the Luxembourg Register of Commerce and Companies under number B-9248 (CBL),

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Introduction

Vestima^{TRACK} is Clearstream's service for providing transparency of holdings in investment funds. The Vestima^{TRACK} system accepts inbound statements of holdings from distributors and investors and, after validation and enrichment, distributes the data to the respective Transfer Agents (TAs) or their representatives.

The statements of holdings are provided in files, each one covering all the calendar days (7/7) of an entire month. Zero positions are normally not reported, except for the day (once only) when a complete withdrawal of an ISIN has settled.

Note: Vestima^{TRACK} reports may include information supplied by Clearstream customers and/or their agents ("Subaccount Information"). Clearstream shall ensure that any Subaccount Information is accurately reproduced. Clearstream is otherwise not responsible for Subaccount Information.

Connectivity

There are two choices for retrieving Vestima^{TRACK} reporting:

- Reports can be downloaded through the Vestima web-browser interface; and
- Reports are available through CreationDirect via Internet.

For further information about accessing and using these applications, please see ["Contact details"](#) on page i.

File names

The name of the Vestima^{TRACK} report depends on how it is retrieved.

- If the report is downloaded from Vestima, it must be given a unique file name.
- Each report retrieved through CreationDirect via Internet already has a unique file name.

File content records and fields

The following specifications are adhered to:

- Each line in the data file is a record comprising a fixed number of fields (values).
- There are individual record "types" for data file header, body and trailer.
- A data file can include one header record, multiple body records and one trailer record.
- All records of a particular "type" contain the respective fixed number of fields.
- Fields in all records are separated by comma (,) characters.
- All fields are represented in the record, regardless of content. Two adjacent commas or double quotation (") characters (with nothing between them) denote an empty field.
- Each line in a data file is terminated by a line feed (LF 0x0a).

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Format codes

The following codes and symbols are used to describe the formats that are used in the respective fields:

0 to 9	The length of a field (not counting field separators, decimal separators or any double quotation characters used as delimiters or "escape" characters)
!	The length of the field is fixed
n	Numeric (which may have a negative sign), integer portion
u	Unsigned numeric, integer portion
d	Numeric, decimal portion
a	Upper-case alphabetic (A to Z)
c	Alphanumeric (upper-case A to Z and 0 to 9)
x	Any character
date	Date, date and time, or year and month
[]	Used to designate conditional content

Numerical data

The decimal separator is a period (.) character (0x2e) and there is no thousands separator.

The maximum length of a numerical field specifies the total number of integer and decimal digits without counting any decimal separator or negative sign.

Positive numeric values are always unsigned.

Text data

Double quotation (") characters (0x22) are used as delimiters for all fields except those containing numerals or dates. An embedded double quotation character within a field is "escaped" using an adjacent double quotation character.

The maximum length of a text field refers to the total number of characters without counting any double quotation characters used as delimiters or "escape" characters.

Reported holdings

The report is based on the Clearstream records. When available, the report will also quote relevant statements of holdings received from Clearstream participants. If there is a discrepancy between a Clearstream record and a Clearstream participant's statement, an additional record is reported in the body (record type "B") of the report. This record will contain the following data:

"Subaccount servicer BIC (column C):	"CEDELULLXXX"
"Subaccount ID (column Q):	"HOLDINGS"
"Subaccount name (column R):	"DIFFERENCE"

In such a record, the Subaccount settled position (column U) and/or Subaccount traded position (column V) will report the difference(s) between the account and (the sum of) the subaccount position(s).

Standards

The following international standards are applicable:

- ISO 4217 defines the currency code.
- ISO 6166 defines the International Securities Identifying Number (ISIN).
- ISO 8601 defines the contents of date and date-time information.
- ISO 9362 defines the Business Identifier Code (BIC).
- ISO/IEC 8859-1 (also known as Latin-1) defines the character set for fields that have "x" as the format code.

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File specifications

The content of the outbound Vestima^{TRACK} CSV file is in three parts:

- Header;
- Body; and
- Trailer.

The layouts of these parts are shown in specifications tables, whose columns have the meanings indicated:

Column	The column reference letter in the file opened in common spreadsheet software.
Field Name	The name of the field, determining the meaning of the associated value in the Content column.
Format	The format of the field content (see “Format codes” on page 2).
M/C	<p>The usage of the field, where M = mandatory and C = conditional.</p> <p>For conditional fields, the specific condition is defined in the “Content” column.</p>
Content	<p>This may be:</p> <ul style="list-style-type: none"> • A definition of what constitutes a valid value; or • A specific value, delimited by double quotation (") characters, that the associated field contains if filled.

Please refer also to [“File content records and fields”](#) on page 1.

N.B.: Spreadsheet software may entail formatting issues, in particular with field separators and date values.

File specifications

Header

Three header records are used per file.

Column	Field Name	Format	M/C	Content
A	Record type	1!a	M	"H"
B	Record number	9u	M	Sequential record number, starting with 1. Only the fields of record 1 contain data as per the header specifications. Header record 2 (columns C to N) contains the field names of header record 1. Header record 3 (columns C to AC) contains the field names of the body records.
C	Report name	35x	M	"VT-Out Express v1.0"
D	Report sender	35x	M	"Clearstream Banking S.A."
E	Report reference	35x	M	Clearstream's unambiguous reference of the report.
F	Report receiver ID	20x	M	Clearstream's ID of the report receiver.
G	Report receiver name	35x	M	Name of the report receiver.
H	Place of safekeeping BIC	11!c	C	BIC of Clearstream's place of safekeeping, if available.
I	Place of safekeeping name	35x	M	Name of Clearstream's place of safekeeping.
J	Safekeeping account ID	35x	C	Account designation at Clearstream's place of safekeeping, if available.
K	Safekeeping account owner BIC	11!c	M	Owner of the safekeeping account: CEDELULLXXX (for Clearstream); or LUXCLULLXXX (for LuxCSD).
L	Transfer Agent name	35x	M	Name of the Transfer Agent (or the ultimate record keeper, when applicable).
M	Preparation date time	date	M	Date and time in extended format with the time zone, for example: YYYY-MM-DDThh:mm:ss+0100 YYYY-MM-DDThh:mm:ss+0200
N	Statement period	date	M	Month covered by the statement. Format is YYYY-MM.

Body

Multiple body records can be used per file and are sorted in ascending order using the following fields:

1. Fund class ISIN (column E);
2. Statement date (column AE);
3. Account ID (column I);
4. Subaccount ID (column Q).

Column	Field Name	Format	M/C	Content
A	Record type	1!a	M	"B"
B	Record number	9u	M	Sequential record number, continued from 4 (the last record number of the header being 3).
C	Subaccount servicer BIC	8!c[3!c]	C	BIC of the subaccount servicer or their agent, that is, the entity reporting the position. When column Q is filled, either one or both of columns C and D will be filled.
D	Subaccount servicer name	35x	C	Name of the subaccount servicer or their agent, that is, the entity reporting the position. When column Q is filled, either one or both of columns C and D will be filled.
E	Fund class ISIN	12!c	M	ISIN of the holding's fund class.
F	Fund class name	40x	M	Descriptive name of the fund class.
G	Fund class currency	3!c	M	Currency code of the fund class.
H	AIDO	3n[1d]	C	Average Input Deadline Offset (filled when available): Number of days between the FIA's input timestamp of settlement instructions and the deadline for requesting settlement on the statement date. A negative offset indicates that input was made before the deadline.
I	Account ID	5!c	M	Clearstream account designation.
J	Account name	35x	M	Descriptive name of the Clearstream account.
K	Account owner BIC	11!c	C	BIC of the Clearstream account owner, when available.
L	Account owner name	35x	M	Institution name of the Clearstream account owner.
M	Account settled position	16n[6d]	M	Account's settled position. Note: Account 19500 (EB Transit) may have a negative settled position.
N	Account net pending	16n[6d]	C	Net of pending settlement instructions entered by the FIA, with trade date on or before statement date, due to settle after statement date, if applicable.
O	Account net overdue	16n[6d]	C	Net of pending settlement instructions entered by the FIA, with trade date on or before statement date, due to have settled on or before statement date, if applicable.
P	Account traded position	16n[6d]	M	Sum of columns M, N and O.
Q	Subaccount ID	35x	C	Account held at the account servicer (columns C and/or D) for their client or for themselves. Filled when a relevant Vestima ^{TRACK} input statement is available. Note: A Clearstream account can be associated with more than one subaccount.
R	Subaccount name	35x	C	Descriptive name associated with the subaccount. Filled when column Q is filled.

File specifications

Column	Field Name	Format	M/C	Content
S	Subaccount owner BIC	8!c[3!c]	C	BIC of the subaccount owner. When column Q is filled, either one or both of columns S and T will be filled.
T	Subaccount owner name	35x	C	Institution name of the subaccount owner. When column Q is filled, either one or both of columns S and T will be filled.
U	Subaccount settled position	16n[6d]	C	That part of the account settled position (column M) that is reported for the subaccount. When column Q is filled, either one or both of columns U and V will be filled.
V	Subaccount traded position	16n[6d]	C	That part of the account traded position (column P) that is reported for the subaccount. When column Q is filled, either one or both of columns U and V will be filled.
W	Investment account ID	35x	C	Agent code data. Filled if available.
X	Commercial agreement reference	35x	C	Agent code data. Filled if available.
Y	Intermediary account ID	35x	C	Agent code data. Filled if available.
Z	Intermediary BIC	11!c	C	Agent code data. Filled if available.
AA	Intermediary name	350x	C	Agent code data. Filled if available.
AB	Underlying client account ID	35x	C	Agent code data. Filled if available.
AC	Underlying client BIC	11!c	C	Agent code data. Filled if available.
AD	Underlying client name	350x	C	Agent code data. Filled if available.
AE	Statement date	date	M	Calendar date on which the positions are recorded. Format is YYYY-MM-DD.

Trailer

Only one trailer record is used per file.

Column	Field Name	Format	M/C	Content
A	Record type	1!a	M	"T"
B	Record number	9u	M	Sequential record number, continued from the last record number of the body.
C	Total count of records	9u	M	Total count of records of the statement.
D	End of report marker	19!x	M	****END OF REPORT****

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July 2013

Document number: 6694
