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NNA Portal
Investment Fund Services
User Guide

Investment Fund Services – NNA Portal User Guide

October 2023
Document number: 7326

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Foreword

Clearstream Banking, as National Numbering Agency for Luxembourg, issues ISIN, CFI and FISN codes for any Luxembourg-domiciled securities, according to ANNA guidelines and more specifically for Luxembourg-incorporated investment funds and companies.

Definitions:

- ISIN: International Securities Identification Number being a twelve-digit alphanumeric code which uniquely identifies a specific security as per ISO 6166
- CFI: Classification of Financial Instruments being a security description code defining the instrument characteristics as per ISO 10962:2015 when the concerned financial instrument is issued.
- FISN: Financial Instrument Short Name code developed to provide a consistent and uniform approach (as per ISO 18774:2015) to standardise short descriptions for financial instruments.

The NNA Portal is a dedicated web-based application covering the NNA services linked to Clearstream Banking's role as NNA simplifying the LU ISIN issuance process for Luxembourg domiciled investments funds by providing an integrated request workflow management to ISIN requestors, as well as providing further services, such as an optional Clearstream Banking eligibility assessments (for settlement and custody) on the beforementioned issued LU ISIN codes.

Contact details

For further information or if you have specific questions about the NNA Portal and/or communication with Clearstream Banking, you can contact Clearstream Banking as follows:

Telephone:	+352-243-38110	Connectivity Support for access/configuration issues
	+352-243-32833	Investment Funds Services - Client Services
	+353 21432 23393	Funds Services – ISIN Issuance
Email:	connectlux@clearstream.com	Connectivity Support
	csvestima@clearstream.com	Investment Funds Services - Client Services
	ISINIssuance@clearstream.com	Investment Funds Services - Fund Acceptance
Website:	www.clearstream.com	Clearstream website
	www.clearstream.com/ifs	Clearstream Banking Investment Funds Services

If you need assistance with the NNA Portal, please have the following information to hand before contacting Clearstream Banking:

- Your organisation name and NNA Participant Identity (ID);
- Your name, telephone and Clearstream Banking numbers and your email address;
- The make and model of your PC;
- The type and version of your operating system and web browser software;
- Details of the enquiry (please have full details available);
- If you receive an error message, the full details of the error, with any error message number.

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1. Getting started

1.1. NNA Portal login

The NNA Portal is available via the Xact Web Portal once setup at NNA Participant level.

For further details on the Xact Web Portal, please refer to the Clearstream website:

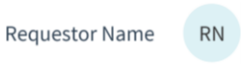
- Xact Web Portal;
- Xact Web Portal documentation.

Once successfully logged in, the user will be presented with the NNA Portal homepage.

1.2. NNA Portal structure

Header section

Situated at the top of the screen, the header section (1 on the figure above) gives you access to announcements, notifications and profile settings.

	Active Announcements	Displays the active announcements window. For additional information, please refer to the System Announcements section.
	Notifications	Displays notifications and alerts to the user when an action has been conducted/is required for a request or a maintenance ticket. For additional information, please refer to the Notifications and Emails section.
	**Requestor Profile**	Gives access to the User Settings page and the Logout button. Via the User Setting page, the user can: • Consult the NNA Participant ID and Name the user is linked to. • See if this NNA Participant is subject to the four-eyes principle. • Enable email notifications (for additional information, please refer to the Email notifications section).

Menu section

On the left side of the screen, the menu section (2 on the figure above) gives access to the different dashboards available within the NNA Portal.

	Homepage	Gives access to the homepage which corresponds to the Request Handling Dashboard page with a reset to default of all previously applied filters.
	Request Handling Dashboard	Provides access to all ISIN allocation and/or CBL eligibility assessment requests for your NNA Participant. While the Homepage resets all filters, this dashboard saves the applied filters for the duration of the session. For additional information, please refer to the Request Handling Dashboard section.
	Maintenance Ticket Handling Dashboard	Gives access to all maintenance tickets for your NNA Participant. Maintenance tickets relate to specific events such as ISIN cancellation, ISIN maturity, fund name change, ISIN archiving and ISIN unarchiving. For additional information, please refer to the Maintenance Ticket Handlings Dashboard section.
	Request Type Selection	Allows a user to create a new request for ISIN issuance and/or CBL eligibility assessment, as well as to create a new maintenance ticket. For additional information, please refer to the Request creation section.
	ISIN Status Dashboard	Allows a user to, for example, search for the current ISIN status and/or CBL eligibility status in a list of ISINs as well as retrieve the latest CBL eligibility assessment confirmation in a list of ISINs (as applicable). For additional information, please refer to the ISIN Status Dashboard section.

Content section

On the centre of the screen, the content section (3 on the figure above) displays the detail related to your selected dashboard. In this area, depending on the page displayed, you will be able to view information, apply filters to narrow down results, download reference data etc.

2. General features

The NNA Portal contains tools, processes and features that may be used equally in various sections. The purpose of this chapter is to describe these general features centrally for reference.

2.1. Main controls

Page navigation

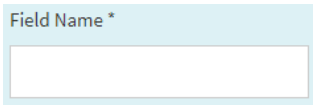
Allows to navigate through a list of results if displayed over multiple pages.

Calendar

Allows to specify a date range using a predefined or customised time period. In the context of system announcements, time (hours, minutes) can be defined as well.

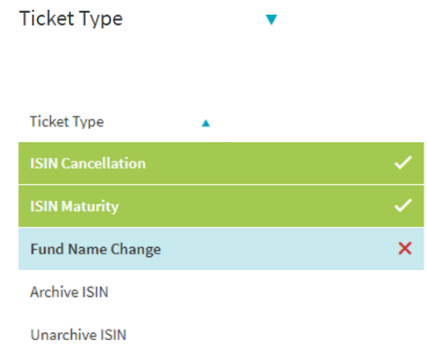
Check box

Allows to activate / select an item by ticking the check box and vice-versa.



Input field

Allows free-text input within the range of allowed alphanumeric characters. Mandatory fields are marked with an asterisk (*).



Dropdown field

Allows the selection of one or multiple values within a predefined list. The field can be expanded by clicking on ▼. Where multiple values are selectable, selections will be highlighted in green and ✕ must be used to unselect a value.

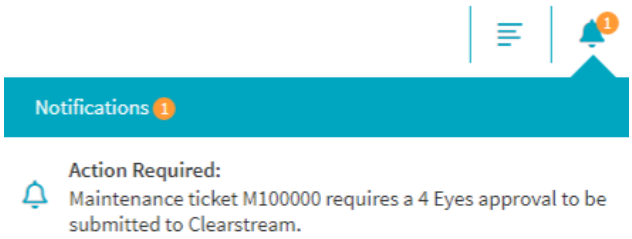
2.2. Notifications and emails

NNA Portal notifications

The NNA Portal comprises a notification system to alert users when an action has been conducted/is required towards one of your requests or maintenance tickets.

To access the notifications panel, click on the following icon in the header section at the top right of the screen. The panel displays notifications for all requests and maintenance tickets with a description of the action required.

Below is an example:



When clicking on the notification, the user is automatically redirected to the relevant page where the action is required, or further information is available (as the case may be).

Besides providing a notification panel for actions related to all your requests/maintenance tickets, the NNA Portal also displays notifications (if applicable) within each single request/maintenance ticket. When navigating across the NNA Portal and its different dashboards, the following clickable notification icons are available:

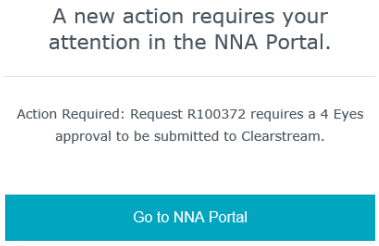
- : No notification available.
- : A notification is available for further action or information (as previously described above).

If a specific action is required, the notification disappears once the required action has been conducted or after 24 hours following the required action (depending on the type of the action).

If no action is required, the notification remains displayed for 24 hours.

Email notifications

The NNA Portal gives you the possibility to receive notifications via email if enabled. This functionality allows users to receive notifications without necessarily being connected to the NNA Portal.



Email notifications can be enabled/disabled via Settings within the Requestor Profile section available in the header section at the top right corner of the screen.

If selected, an email will be sent to your email address as defined under My Profile in Xact Web Portal.

2.3. Comments

When navigating across the NNA portal, you can observe following icons and in the different dashboards and detailed sections of the requests and maintenance tickets.

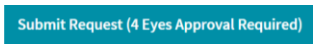
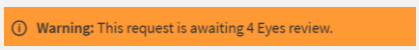
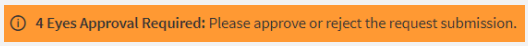
refers to internal comments and is only visible to / usable by internal users linked to the same NNA Participant of an organisation.

refers to external comments and is visible to / usable by the above-mentioned internal users and Clearstream Banking.

2.4. Four-eyes approval

If the four-eyes principle is enabled at NNA Participant level, specific requests or maintenance tickets relation actions (for example, submission, recall, cancellation) will require a validation and approval from a second user.

Please find below an example of a request submission:

Step	User 1 (Request Submission)	User 2 (Request Approval)
1	User 1 completes a request and submits it for four-eyes approval by clicking on the following action button. 	
2	Once the request is submitted, user 1 is informed that the request is awaiting four-eyes approval: 	User 2 is informed via notification that a request is awaiting four-eyes approval. By clicking on the notification, user 2 is redirected to the relevant page with following warning: 
3		User 2 verifies the information provided and approves or rejects the request using following buttons: If rejected, user 2 is requested to add an internal comment describing the rejection reason.
4	If rejected, user 1 applies the required changes and resubmits the request following steps 1 – 3.	
5	If approved, the request is completed and submitted to Clearstream Banking for further processing.	

If the four-eyes principle is enabled at NNA Participant level, both the Request Handling Dashboard and the Maintenance Ticket Handling Dashboard will include a sortable "4-Eyes" column to ease the four-eyes process review by providing various statuses, for example, four-eyes required, passed, rejected or not applicable ("-").

2.5. Request / maintenance ticket status

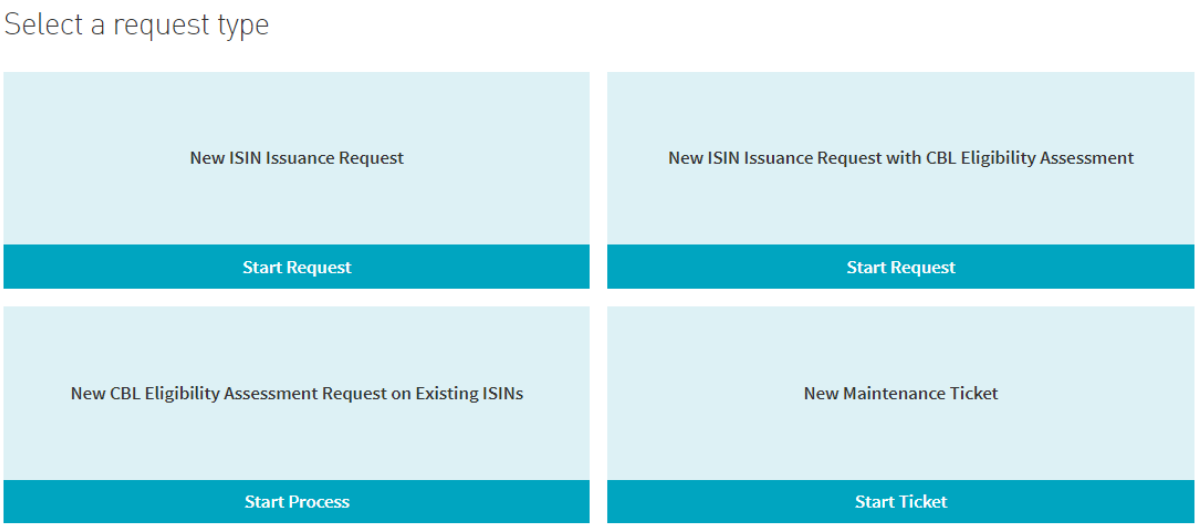
Requests and maintenance tickets may have one of the following status:

Status	Description
Draft	The request/maintenance ticket creation is in progress and has not been submitted to Clearstream Banking for processing yet.
Submitted	The request/maintenance ticket has been submitted successfully to Clearstream Banking and is awaiting review.
In Progress	The request/maintenance ticket is being reviewed by Clearstream Banking.
Clarification Required	Clearstream Banking requires further information or clarification in order to proceed with the request. Details on Clearstream Banking's clarification demand are made available via the external comments dialogue box . **Note:** This status is not available to maintenance tickets.
Fully Completed	The request/maintenance ticket has been fully processed by Clearstream Banking and is now closed.
Rejected	The request/maintenance ticket has been fully rejected by Clearstream Banking and is now closed. The request rejection reasons are made available to the user.
Partially Completed	The request/maintenance ticket has been fully processed by Clearstream Banking with certain items being rejected and is now closed. The rejection reasons per item are made available to the users.
Cancelled	The request/maintenance ticket has been cancelled by the user. A cancellation is only possible with a previous status being "Draft" or "Submitted".

3. Request creation

3.1. Request type selection

To create a new request or maintenance ticket, please select in the menu section on the left side of the screen to be redirected to the Request Type Selection page. Four possibilities are available as the request or maintenance ticket type:



New ISIN Issuance Request	Allows to generate a request for ISIN issuance only. Once selected, the user is redirected to a new page and invited to upload the fund prospectus (draft or final version) and to fill out fund details via designated fields. This request does not include any CBL eligibility assessment. For additional information, please refer to the New ISIN issuance request section.
New ISIN Issuance Request with CBL Eligibility Assessment	Allows to generate a request for ISIN issuance with a CBL eligibility assessment on a given fund. Once selected, the user is redirected to a new page and is invited to upload the fund prospectus (final version only) and to fill out fund details in the designated fields. For additional information, please refer to the New ISIN issuance request with CBL eligibility assessment section.
New CBL Eligibility Assessment Request on Existing ISINs	Allows to generate a request for a CBL eligibility assessment on a fund having an ISIN already issued. The issuance of this ISIN may have occurred via the NNA Portal or before the inception of the portal. For additional information, please refer to the New CBL eligibility assessment request on existing ISINs section.
New Maintenance Ticket	Allows to generate a maintenance ticket covering one of the following topics: • Fund name change; • ISIN cancellation; • ISIN maturity; • ISIN archiving; • ISIN unarchiving. Once selected, the user is redirected to a new page and is invited to specify the maintenance ticket type and impacted ISINs, and to upload the relevant documentation. For additional information, please refer to the New maintenance ticket section.

3.2. New ISIN issuance request

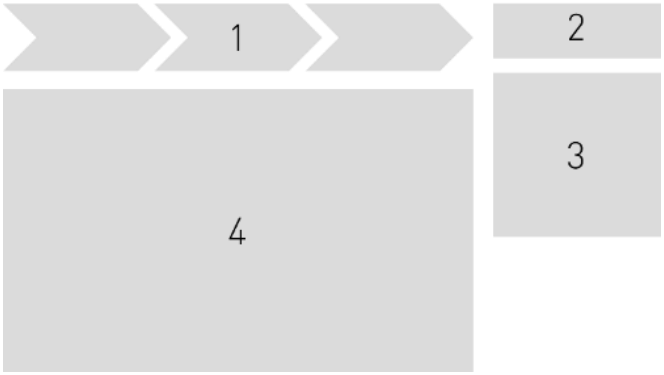
Request initiation

This request type covers exclusively the issuance of ISINs. The user has various possibilities to initiate such a request:

- by selecting in the menu section on the left side of the screen to be redirected to the Request Type Selection page (for further details, please refer to the Request type selection section);
- by clicking on

on the Request Handling Dashboard to be redirected to the above Request Type Selection page (for further details please refer to the Request Handling Dashboard section).

Once redirected, the user will be presented with following page structure:

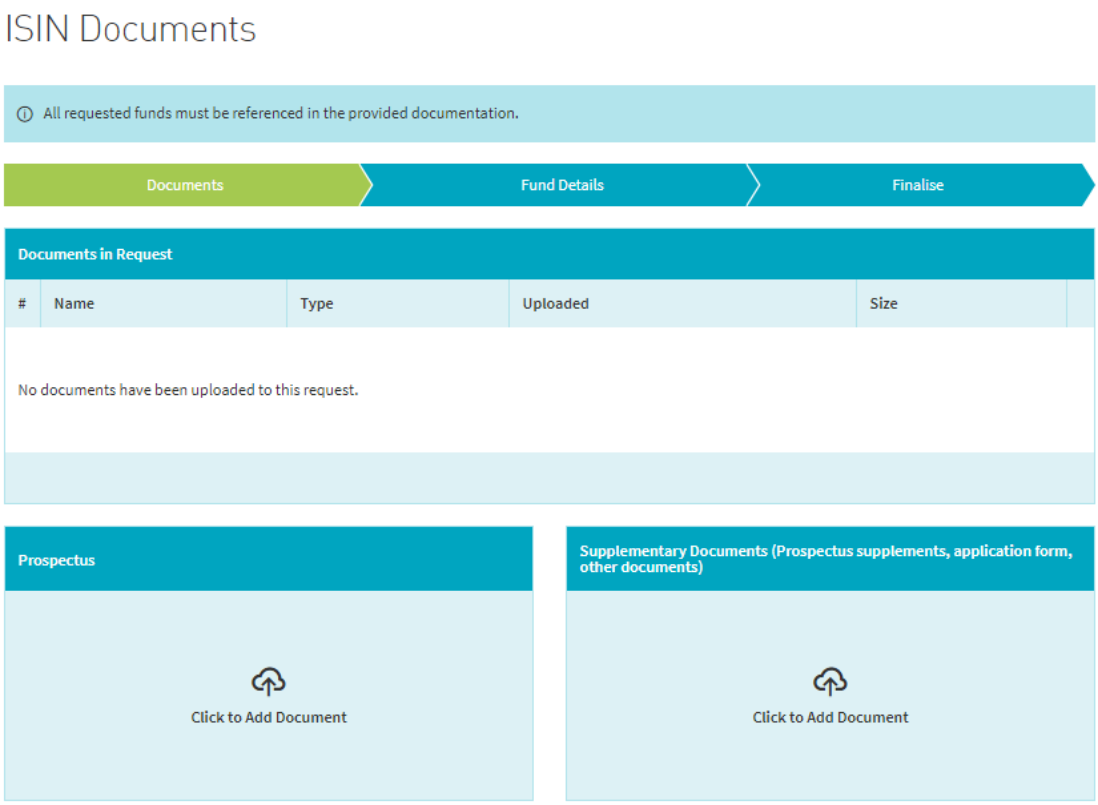


1. The navigation menu allows you to navigate through the different pages in order to create the request.
2. The action button allows you to follow specific actions depending on the page displayed from the navigation menu.
3. The details section provides request related details such as request ID, creation date, processing status, request status, request type and request audit trail. You will be able as well to view notifications, and access or initiate internal and external comments. Please refer to the section Comments for additional information on internal and external comments, to section Notifications and emails on notifications, as well as to section Request / maintenance ticket status on request statuses.
4. The content section displays the content related to the selected page under the navigation menu, that is, "Documents", "Fund Details" or "Finalise"/ "Overview".

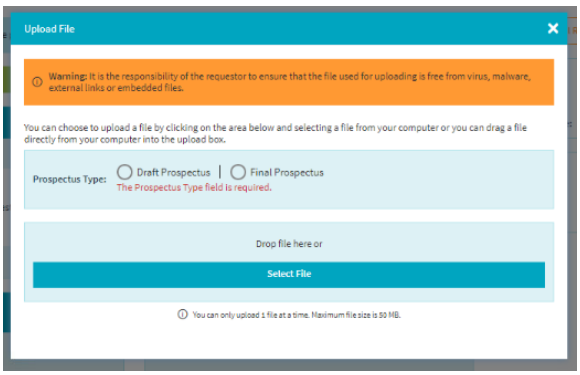
The following chapters will cover each content section.

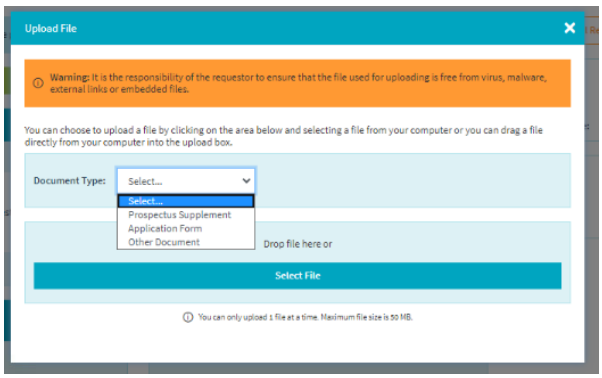
Documents

The user is invited to upload the fund prospectus (mandatory) and supplementary documents such as prospectus supplements. This documentation must cover the share classes for which an ISIN is requested, and be free from virus, malware, external links or embedded files.



To upload documentation, please click in the relevant section depending on whether you wish to upload a prospectus or a supplementary document, and then select the type of document.





The supported document extensions (for example .pdf, .doc, .docx) will be referenced at the bottom of the above pop-up messages when selecting the documentation type. Once successfully uploaded, the documentation type will be referenced in the "Documents in Request" section as follows:

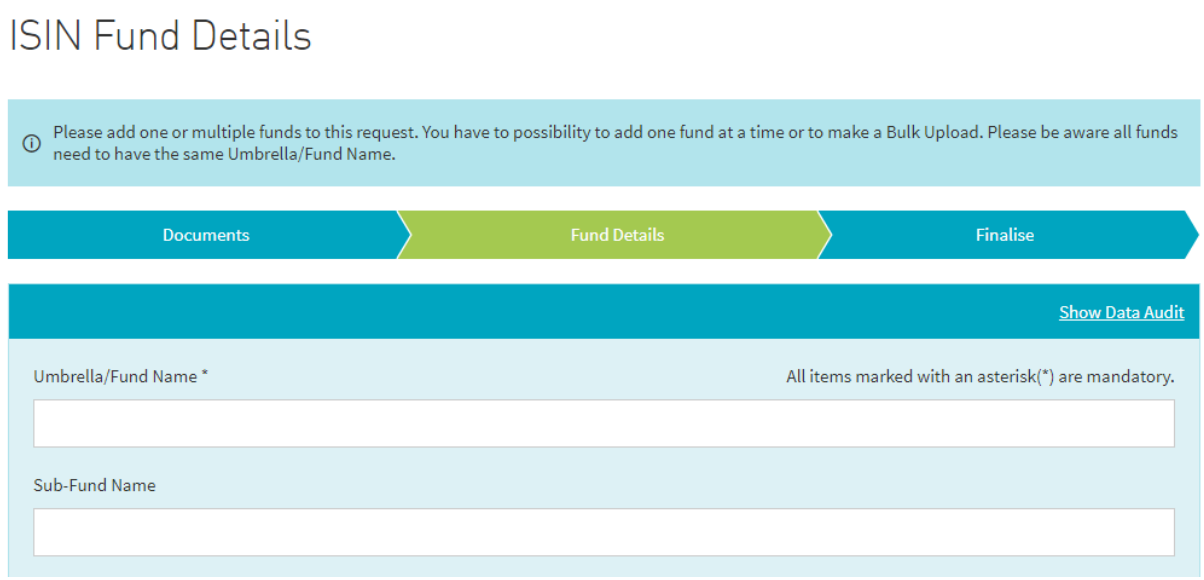
If required, the user may:

- Access the uploaded documentation by clicking on the document name; or
- Delete the uploaded documentation by clicking on the icon (as the case may be).

Once done, please click on the "Next" action button on the upper right of your screen or on "Fund Details" in the navigation menu to move to the "Fund Details" content section.

Fund Details

The user is invited to add one or multiple fund classes of a same umbrella to the request. For this, the user has the possibility to add one fund class at a time or to use the bulk upload functionality. Please note that the maximum number of classes supported in a single request is 500 lines.



In this section, each fund class requires specific reference data, where the mandatory ones are flagged with an asterisk (*). This reference data includes umbrella, sub-fund (if applicable), LEI, share class extension, share class currency, fund structure etc. Some fields are conditional mandatory if other fields are selected (for example, the investment strategy fields are dependent on the value selected as the fund structure).

Manual input of data

Please click on "Save Fund Details" at the bottom of the screen to submit the reference data of the completed fund share class in the request. A warning is displayed in the case of incorrect or missing data. Otherwise, the fund class is added to the "Current Funds in Request" section on the right side of your screen.

To add a new fund class to the request:

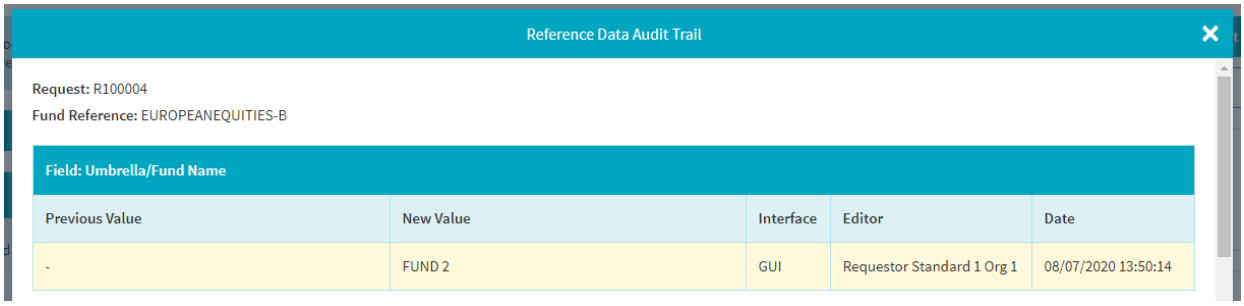
- Click on "+ Add Another ISIN" in the above-shown "Current Funds in Request" section to start from a blank template for this new class; or
- if you wish to use an already populated fund class as template, click on its icon to create a new fund class with the same reference data points. Please amend where relevant the data points specific to this new fund class.

In any case, please click on "Save Fund Details" at the bottom of the screen to submit the reference data of the new fund class in the request.

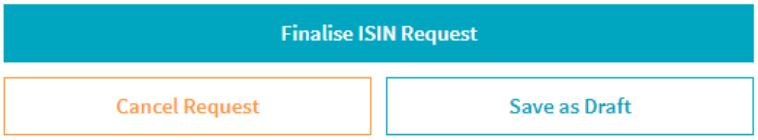
To edit a particular fund class already added to the request, please click on the icon next to the applicable class located in the above-shown "Current Funds in Request" section. Once the modifications are processed, please click on "Save Fund Details" at the bottom of the screen to submit the updated reference data in the request.

To delete a particular class, please click on the icon located next to the applicable class in the above-shown "Current Funds in Request" section.

The link "Show Data Audit" available at the top of the page allows the user to view the data modification history for a particular fund class.



At any time during the reference data input, the request can be saved as a draft and continued to be edited at a later time. To do so, please select "Save as Draft" in the upper right action button sections.

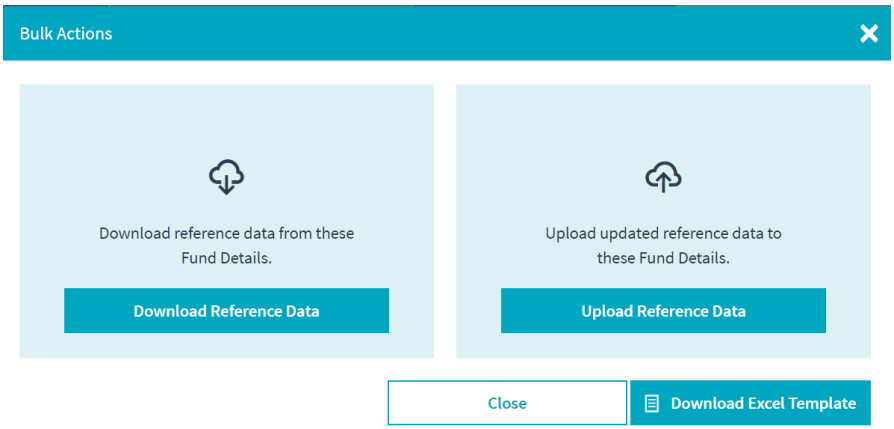


Once all fund classes and relevant reference data are input, please click on the "Finalise ISIN Request" action button on the upper right of your screen or on "Finalise" in the navigation menu to move to the "Finalise" content section.

Bulk upload of data

Alternatively, to a manual input, the user may download a blank template, or the data already input manually, and complete the reference data via an Excel file (XLS/XLSX) to be uploaded into the NNA Portal. Please click on the "Bulk Actions" link in "Current Funds in Request" section available on the right side of your screen.

A user may now either download the Excel file template (by clicking on "Download Excel Template") or download already populated reference data (by clicking on "Download Reference Data").



Principles on the Excel file:

- The file is a unique standard for any type of requests and the user needs to only fill in the fields relevant to their request type. For ISIN issuance, fields covering CBL reference data are ignored, such as ISIN, common code and CBL eligibility.
- The user needs to input the mandatory fields (being flagged with an asterisk (*) in the "Fund Details") content section and the optional ones respecting the same field format as if these fields would be input manually via the "Fund Details" screen. Drop-down fields have drop-down values in the file as well.

To upload the completed file, please click on the "Bulk Actions" link in the "Current Funds in Request" section available on the right side of your screen, then choose "Upload Reference Data" and finally select your file.

Principles on the file upload:

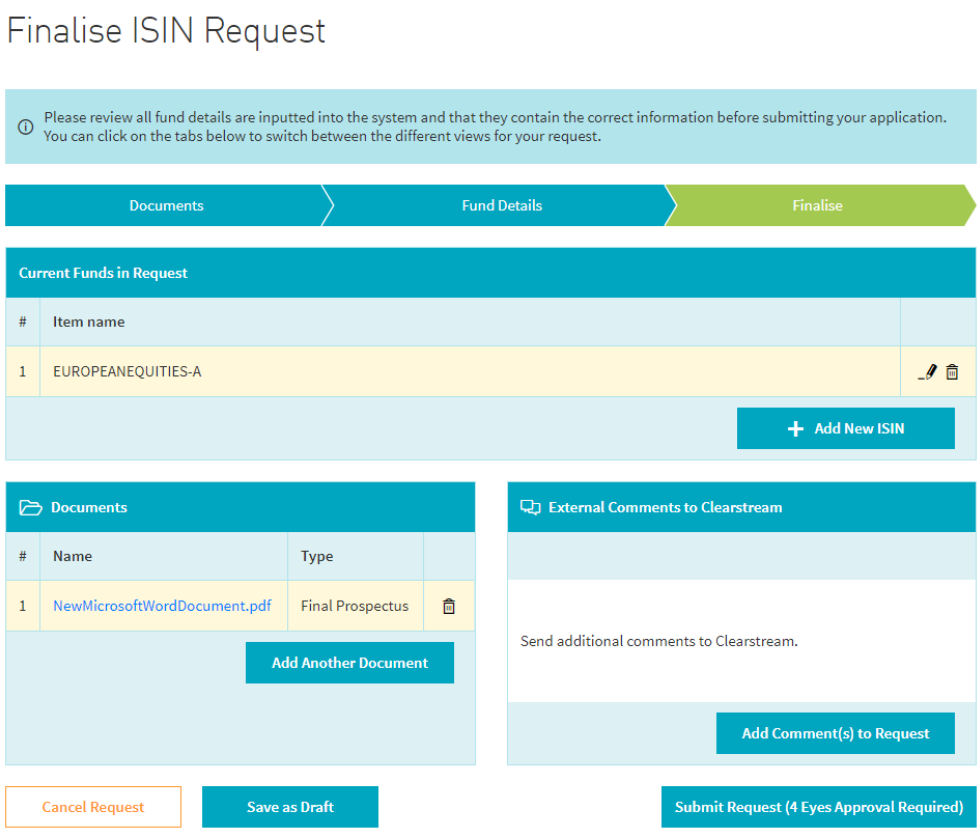
- Uploading the file overwrites all the fund classes and data with the new fund details available in the upload file.
- The user acknowledges that the downloaded file to be used for reference data upload will only be used for its original purpose. No alteration, deletion or add-on is permitted as otherwise originally intended. It is the responsibility of the user to ensure that the file used for uploading is free from virus, malware, external links or embedded files.

In the case of data issues during the upload, the user will receive relevant information to fix the error, such as impacted rows and fields, before retrying a new file upload.

Otherwise, if the file is successfully uploaded, the "Fund Details" content section will be updated with the new set of reference data and the user may proceed with the finalisation of the request by clicking on the "Finalise ISIN Request" action button on the upper right of your screen or on "Finalise" in the navigation menu to move to the "Finalise" content section.

Finalise / Overview

The user is invited to ensure that the fund classes and documentation are added to the request before submitting the request.



If required so, the user can amend the current list of fund classes or documentation by clicking on the relevant icons to add, edit or remove an item. The user will be redirected to the "Documents" or "Fund Details" content section (as applicable), if an item needs to be added or edited.

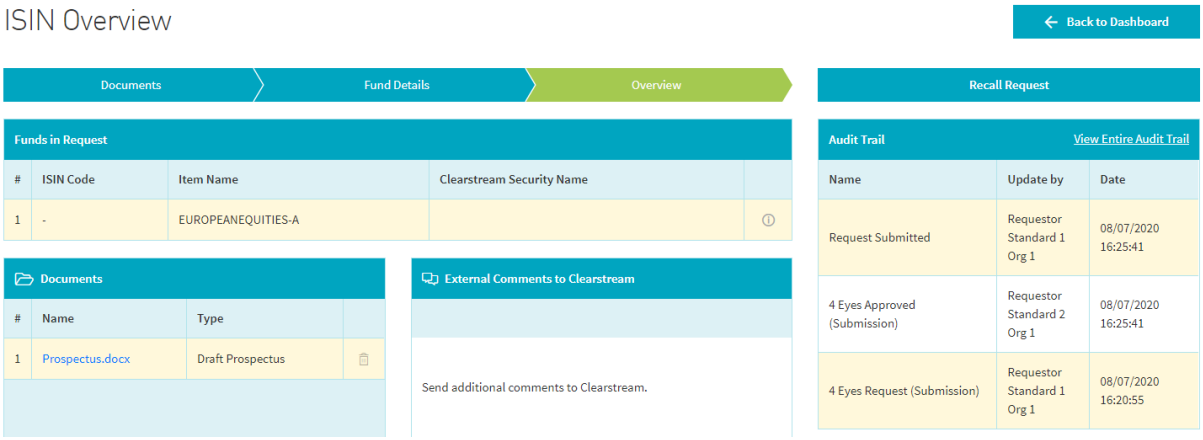
The user can complement the request by adding an internal or an external comment as well. For additional details, please refer to the Comments section.

If the four-eyes principle is enabled at NNA Participant level, a second user will need to validate and approve the request before being submitted to Clearstream Banking. For further information, please refer to the Four-eyes approval section.

Request processing

The request follows a specific life cycle for which additional information is available in the Request / maintenance ticket status section.

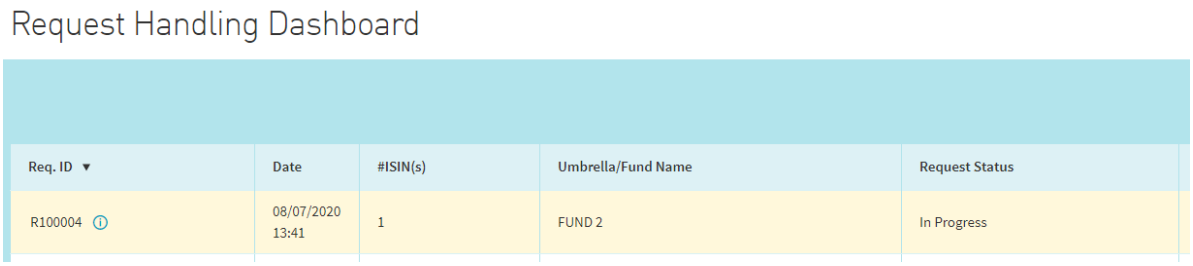
The details of the past and current status of the request is available to the user in the request audit trail located in the detail section (on the right of the screen) under the "Overview" content section.



Should you require to recall the request (for example, if the request is no longer needed), you may do so by selecting "Recall Request" in the upper right of the "Overview" content section. If the four-eyes principle is enabled at NNA Participant level, a second user must validate and approve the recall demand.

The following situations are possible:

- The request has the status "Submitted": The recall is processed immediately and the request updated to "Draft". The user can choose to amend the request before resubmitting it to Clearstream Banking or to cancel it.
- The request has the status "In Progress": Clearstream Banking is informed that you wish to recall the request. The recall is subject to Clearstream Banking's discretion to accept or reject your recall demand.
- Pending recall demands are flagged in the Request Handling Dashboard with the icon ⓘ next to the required ID as follows:



- Further information on the Requested Handling Dashboard can be found in Request Handling Dashboard section.
- Clearstream Banking's response is provided via dedicated notifications and external comments. Further information, please refer to Notifications and emails and Comments sections.
- If the recall is rejected, the request status remains as "In Progress".
  If it is approved, the request status is updated to "Draft". In this case, the user can choose to amend the request before resubmitting it to Clearstream Banking or to cancel it.

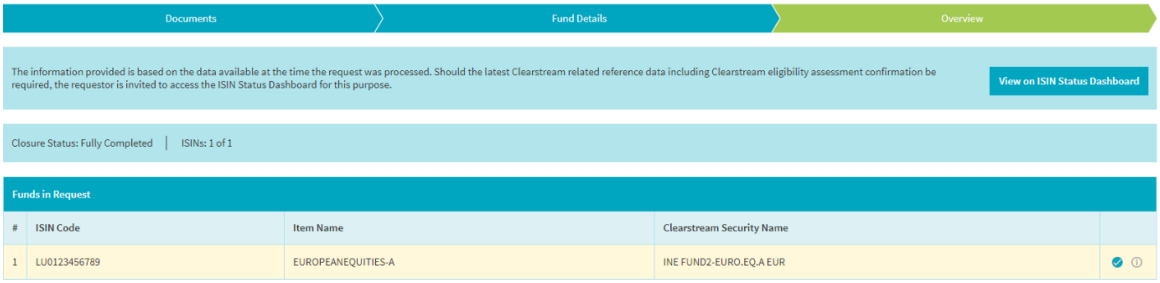
Otherwise once completed by Clearstream Banking, the request will have one of the following processing statuses:

- "Fully Completed";
- "Partially Completed"; or
- "Rejected".

For additional information, please refer to Request / maintenance ticket status section.

In the case of ISIN issuance, the following reference data is provided in the content "Overview" section:

- ISIN;
- Item name;
- Clearstream security name; and
- Processing flags.



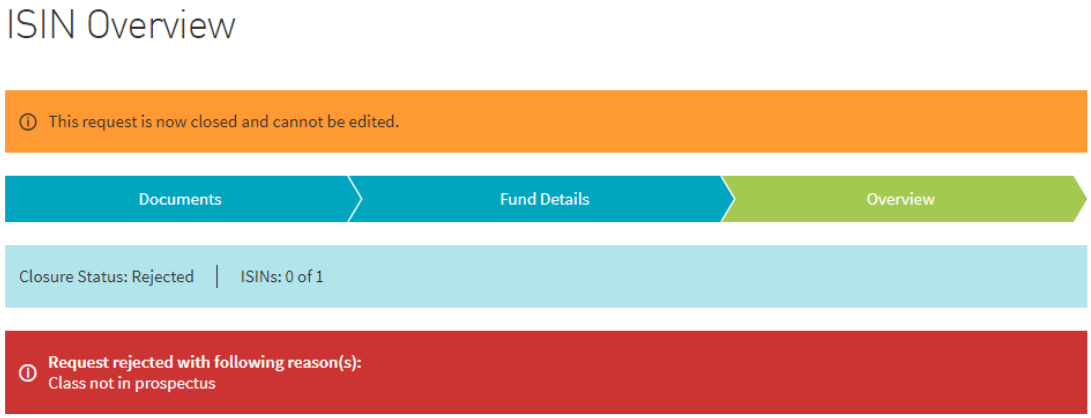
Full details remain available in the content "Fund Details" section, where at ISIN level the full CBL reference data (including FISN and CFI) is provided:

This information is exportable by clicking on "Export Ref Data" on the right side of the screen in the "Current Funds in Request" section:

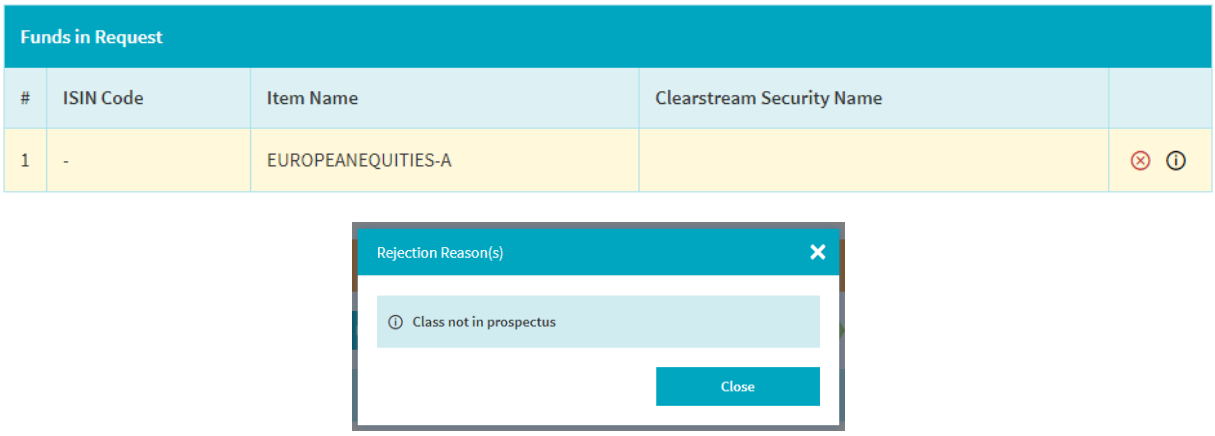
Important note: The information provided is based on the data available at the time the request was processed. Should the latest Clearstream Banking related reference data including Clearstream Banking eligibility assessment confirmation be required, the requestor is invited to access the ISIN Status Dashboard for this purpose. Further details are available in the ISIN Status Dashboard section.

If no ISIN issuance occurred, the user will be able to consult the rejection reasons provided in the "Overview" content section.

The rejection reason will be available at request level if the request status is "Rejected" and displayed as follows:



The rejection reason will be available at ISIN level (if the request status is "Partially Completed" or "Rejected") and made available when clicking on icon ⓘ in the line of the relevant rejected class:



As described above for issued ISINs, full details on rejected classes remain available as well in the "Fund Details" content section and are exportable by clicking on "Export Ref Data" on the right side of the screen in the "Current Funds in Request" section.

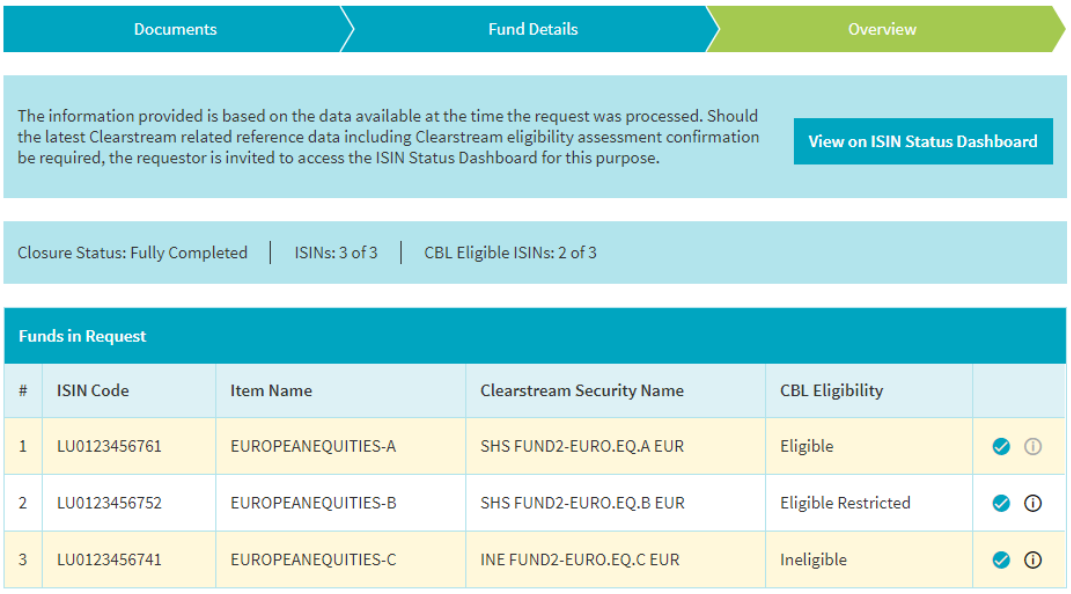
3.3. New ISIN issuance request with CBL eligibility assessment

This request type covers the issuance of ISINs with a CBL eligibility assessment. The user has various possibilities to initiate such a request:

- by selecting in the menu section on the left side of the screen to be redirected to the Request Type Selection page (for further details, please refer to the Request type selection section).
- by clicking on + New Request on the Request Handling Dashboard to be redirected to the above Request Type Selection page (for further details, please refer to the Request Handling Dashboard section).

The request creation workflow follows the same principle as the one for the ISIN issuance only (for additional information, please refer to the New ISIN issuance request section) with the following differences:

- Documents: As prospectus, only final versions[1] are allowed for this type of request.
- Fund Details: "Share Class Launch Date" is added as a mandatory field.
- Request processing: In the case of ISIN issuance, a CBL eligibility assessment is processed as well for this type of request. As an outcome the following reference data is provided in the "Overview" content section:
    - ISIN;
    - Item name;
    - Clearstream security name;
    - CBL eligibility status and processing flags.



The CBL eligibility status on investment funds shares are based on CBL's governing documents and policies (subject to change at CBL's discretion), and may have one of the following status:

- "Eligible": The investment fund share is freely transferable within CBL.
- "Eligible Restricted": The investment fund share has the transferability restricted within CBL, which implies the involvement of the investment fund or its agents to control transfers between customers. Internal transfers between customers may in certain cases be fully restricted within

[1] - Final prospectus for regulated funds: stamped by the Commission de Surveillance du Secteur Financier (CSSF)
- Final prospectus for unregulated funds: a final (non-editable) version free from editing marks and placeholders

CBL which implies for a transfer a re-registration of the investment funds holdings via the fund shareholders/unitholders register (at the investment fund's discretion).

- "Ineligible": The investment fund share is not available for settlement, custody and order routing.

The restriction reasons for applying a CBL eligibility status as "Eligible Restricted" or "Ineligible" are available when clicking on the icon ⓘ .

Example of the second ISIN:

Full details remain available in the "Fund Details" content section, where at ISIN level the full CBL reference data (including FISN, CFI and CBL eligibility status) is provided.

ISIN:	LU0123456752
Common Code:	012345675
FISN:	FUND2-EUR.EQ.B/EUR
CFI:	CIOGES
Clearstream Security Name:	SHS FUND2-EURO.EQ.B EUR
ISIN Status:	Issued
ISIN Rejection Reason:	-
CBL Eligibility Status:	Eligible Restricted
CBL Settlement / Ineligibility Restrictions:	CDSC
CBL Eligibility Assessment Rejection Reason:	-
Internal Instruction Account Flag:	Instruction Restricted
External Instruction Account Flag:	Instruction Restricted
Restricted Account:	12345
Clearstream Depository Code:	XY
Clearstream Depository Name:	PLACEHOLDER

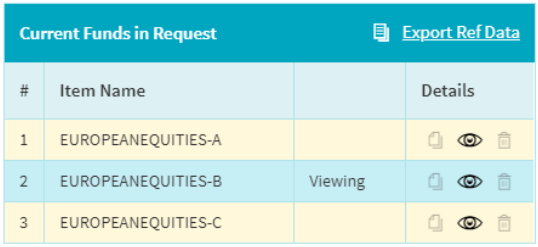
The restriction reasons for applying a CBL eligibility status as "Eligible Restricted" or "Ineligible" available when clicking on icon ⓘ in the "Overview" content section can be found in the "CBL Settlement / Ineligibility Restrictions" field in this section.

The internal and external instruction account flag may have following values:

- "No Restriction";
- "Instruction Restricted"; or
- "No Instructions Allowed".

To complement the two latter cases, please refer to the above note on "Eligible Restricted". In addition, if "Instruction Restricted" applies, the "Restricted Account" field will show the account used by the investment fund or its agent to control transfers between customers.

This information is exportable by clicking on "Export Ref Data" on the right side of the screen in the "Current Funds in Request" section:



.

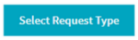
Important note: The information provided is based on the data available at the time the request was processed. Should the latest Clearstream Banking-related reference data, including Clearstream Banking eligibility assessment confirmation, be required, the requestor is invited to access the ISIN Status Dashboard. Further details are available in the ISIN Status Dashboard section.

If no ISIN issuance occurred, the same principles apply as for the ISIN issuance request (for additional information, see Request processing in the New ISIN issuance request section).

3.4. New CBL eligibility assessment request on existing ISINs

This request type covers a CBL eligibility assessment request on an already issued ISIN. The issuance of this ISIN may have occurred via the NNA Portal or before the inception of the portal. The user has various possibilities to initiate such a request:

- Case 1: via the ISIN Status Dashboard or ISIN Status Details page. To access this section, the user may:
  - select in the menu section on the left side of the screen to be redirected to the Request Type Selection page (for further details, please refer to the Request type selection section). By further selecting "New CBL Eligibility Assessment Request on Existing ISINs", the user will be directed to the ISIN Status Dashboard.
  - click on

on the Request Handling Dashboard to be redirected to the above-mentioned Request Type Selection page (for further details, please refer to the Request Handling Dashboard section). By further selecting "New CBL Eligibility Assessment Request on Existing ISINs", the user will be directed to the ISIN Status Dashboard.
  - click on 

directly in the ISIN Status Dashboard or in the ISIN Status Details page after having selected the impacted ISINs (for further details, please refer to section ISIN Status Dashboard or more specifically to its subsection Downloads and new requests selection).
- Case 2: via the Request Handling Dashboard when clicking on

in the expanded view of a previously processed request having ISINs available. Further details are available in the section Request Handling Dashboard or more specifically in its subsection List of results).

The request creation workflow follows the same principle as the one for the ISIN issuance only (for additional information, please refer to the New ISIN issuance request section), with the following differences:

- Documents: As prospectus, only final versions[2] are allowed for this type of request.
  - For case 2: The documentation of the previously processed request is taken over to this next request. The user may amend as required.
- Fund Details: "Share Class Launch Date" is added as a mandatory field.
  - For case 1: The following reference data are pre-populated to the user:
    - ISIN;
    - Common code;
    - FISN;
    - CFI;
    - Umbrella/fund name (if available);
    - Sub-fund name (if available);
    - LEI (if available).

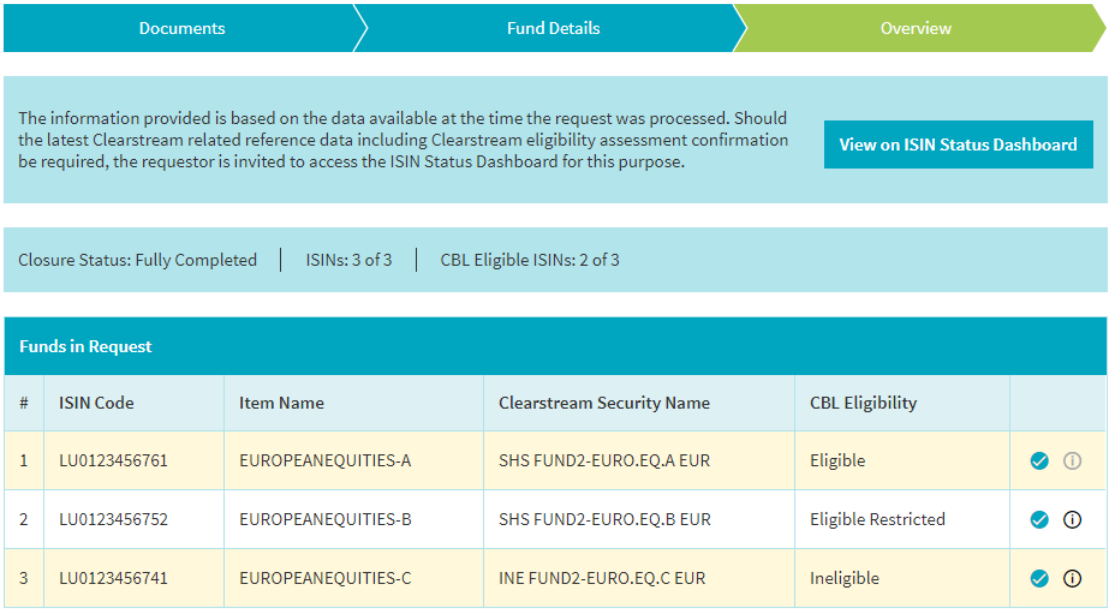
    The user may amend the editable fields as required.
  - For case 2: The following reference data is pre-populated to the user:
    - ISIN;
    - Common code;
    - FISN;
    - CFI;

[2] - Final prospectus for regulated funds: stamped by the Commission de Surveillance du Secteur Financier (CSSF)
- Final prospectus for unregulated funds: a final (non-editable) version free from editing marks and placeholders

- Other reference data available in the previously processed request.

The user may amend the editable fields as required.

- Request processing: If a CBL eligibility assessment is processed, the following reference data will be provided as outcome in the "Overview" content section:
  - ISIN;
  - Item name;
  - Clearstream security name;
  - CBL eligibility status and processing flags.



The CBL eligibility status on investment funds shares are based on CBL's governing documents and policies (subject to change at CBL's discretion), and may have one of the following status:

- "Eligible": The investment fund share is freely transferable within CBL.
- "Eligible Restricted": The investment fund share has the transferability restricted within CBL, which implies the involvement of the investment fund or its agents to control transfers between customers. Internal transfers between customers may in certain cases be fully restricted within CBL which implies for a transfer a re-registration of the investment funds holdings via the fund shareholders/unitholders register (at the investment fund's discretion).
- "Ineligible": The investment fund share is not available for settlement, custody and order routing.

The restriction reasons for applying a CBL eligibility status as "Eligible Restricted" or "Ineligible" are available when clicking on icon ⓘ.

Example of the second ISIN:

Full details remain available in the "Fund Details" content section, where at ISIN level the full CBL reference data (including FISN, CFI and CBL eligibility status) is provided:

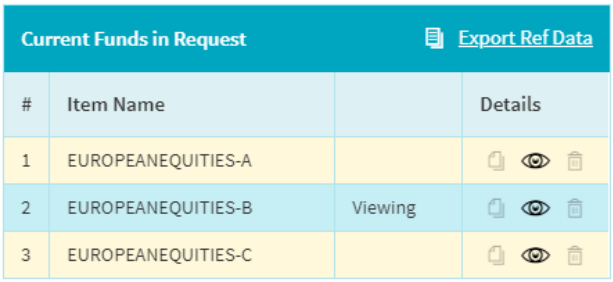
The restriction reasons for applying a CBL eligibility status as "Eligible Restricted" or "Ineligible" available when clicking on icon ⓘ in the "Overview" content section can be found in the "CBL Settlement / Ineligibility Restrictions" field in this section.

The internal and external instruction account flag may have the following values:

- "No Restriction";
- "Instruction Restricted"; or
- "No Instructions Allowed".

To complement the two latter cases, please refer to the above note on "Eligible Restricted". In addition, if "Instruction Restricted" applies, the field "Restricted Account" will show the account used by the investment fund or its agent to control transfers between customers.

This information is exportable by clicking on "Export Ref Data" on the right side of the screen in the "Current Funds in Request" section:



Important note: The information provided is based on the data available at the time the request was processed. Should the latest Clearstream Banking-related reference data, including Clearstream eligibility assessment confirmation, be required, the requestor is invited to access the ISIN Status Dashboard for this purpose. Further details are available in the ISIN Status Dashboard section.

If no CBL eligibility assessment occurred, the same principles as for the ISIN issuance request apply (for additional information, see Request processing in the New ISIN issuance request section).

3.5. New maintenance ticket

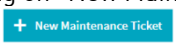
Maintenance ticket types

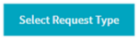
Maintenance tickets may cover one of the following topics:

Type	Description
ISIN cancellation	Covers the demand to cancel a previously issued ISIN code that was never launched on the market and that is no longer part of the fund documentation.
ISIN maturity	Covers the demand to close a previously issued ISIN within the Clearstream Banking system. The maturity in this demand needs to be understood as the maturity or final liquidation date of the ISIN. **Note:** This ticket does not replace existing corporate action processes (including shareholder notification) outside of the NNA Portal.
Fund name change	Covers the demand to amend/change the fund name of a previously issued ISIN. **Note:** This ticket does not replace existing corporate action processes (including shareholder notification) outside of the NNA Portal.
ISIN archive	Covers the demand to archive an ISIN within the NNA Portal. **Note:** If the particular ISIN was processed in a previous request or maintenance ticket, the NNA Participant will be considered as the owner of the ISIN and all reference data points will be shown (if applicable). If the NNA Participant is no longer mandated as per the investment fund shares documentation, by the investment fund itself or by its management company, the impacted ISIN codes previously processed within the NNA Portal must be archived. Public reference data (if any) related to these ISIN codes remain available to the NNA Participant via the ISIN Status Dashboard of the NNA Portal. CBL does not monitor the mandate entitlement of an NNA Participant on a continuous basis. This responsibility remains solely with the NNA Participant.
ISIN unarchive	Covers the demand to unarchive an ISIN within the NNA Portal. **Note:** If the NNA Participant is mandated again as per the investment fund shares documentation, by the investment fund itself or by its management company, then previously archived ISIN codes can be unarchived within the NNA Portal. CBL does not monitor the mandate entitlement of an NNA Participant on a continuous basis. This responsibility remains solely with the NNA Participant.

Maintenance ticket creation

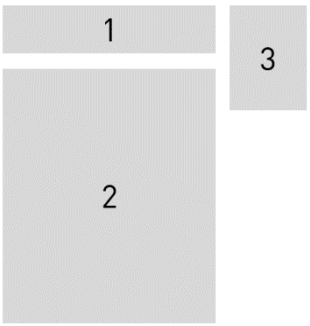
The user has various possibilities to initiate a maintenance ticket:

- by selecting in the menu section on the left side of the screen to be redirected to the Request Type Selection page (for further details, please refer to the Request type selection section), and by further clicking on "New Maintenance Ticket".
- by clicking on 

on the Maintenance Handling Dashboard (for further information, please refer to the Maintenance Ticket Handling Dashboard section).
- by clicking on 

directly in the ISIN Status Dashboard or in the ISIN Status Details page after having selected the impacted ISINs (for further details, please refer to the section ISIN Status Dashboard or more specifically to its subsection Downloads and new requests selection).

Once redirected, the user will be presented with following page structure:

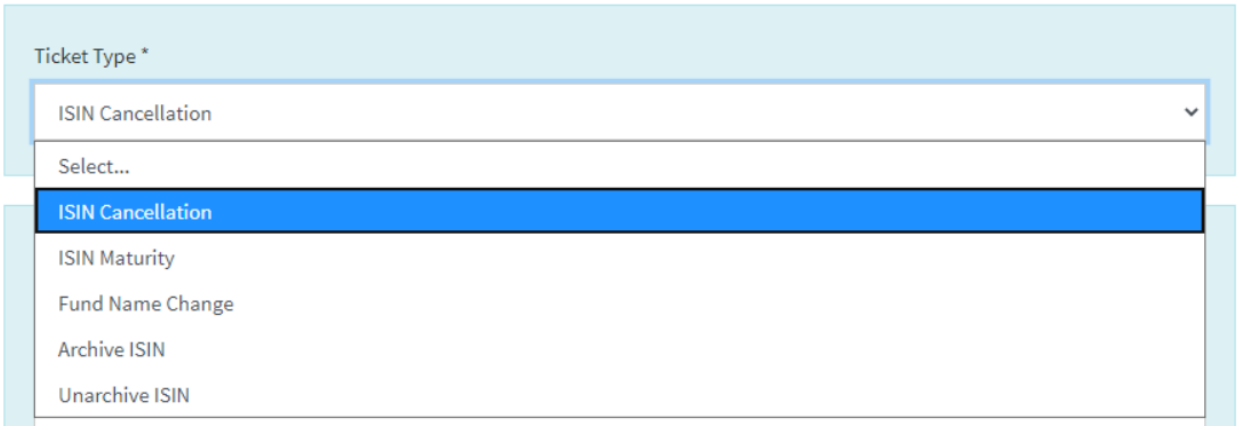


1. The details section provides maintenance ticket related details such as the ticket ID, creation date, processing status, ticket status and ticket type. You will be able as well to view notifications, and access or initiate internal and external comments. Please refer to the Comments section for additional information on internal and external comments, to the Notifications and emails section on notifications, as well as to the Request / maintenance ticket status section on ticket statuses.
2. The content section covers the documentation and information linked to the maintenance ticket itself, such as ticket type, umbrella/fund name, list of impacted ISINs, maturity/liquidation date (if applicable) and effective date (if applicable).
3. The miscellaneous section provides depending on the status of the maintenance ticket either action buttons (for example, four-eyes approval / rejection) and access to the maintenance ticket audit trail.

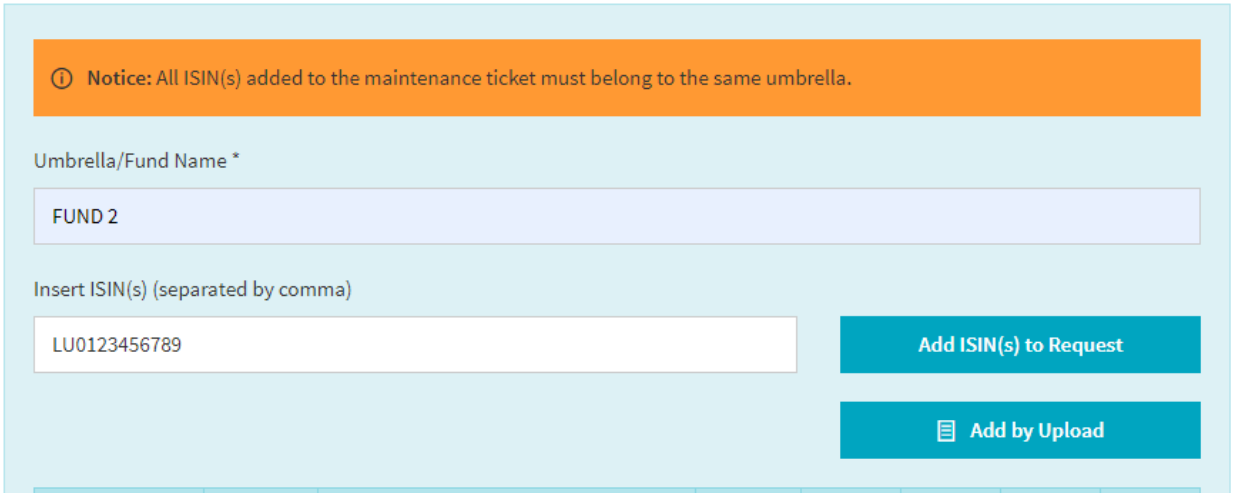
The following chapters focus on each maintenance ticket type. Please ensure that the correct ticket type is selected before proceeding. Changing the maintenance ticket type during the ticket creation process will remove all inserted ISINs and documents (a pop-up warning will be presented to the user before proceeding with the ticket type change).

ISIN cancellation

Please select as maintenance ticket type "ISIN Cancellation".



The umbrella/fund name is required. ISINs (belonging to the specified umbrella) can be added manually (separated by comma) by completing the "Insert ISIN(s)" field and clicking on "Add ISIN(s) to Request". if the ISIN is invalid, the user will receive relevant information to fix the error.

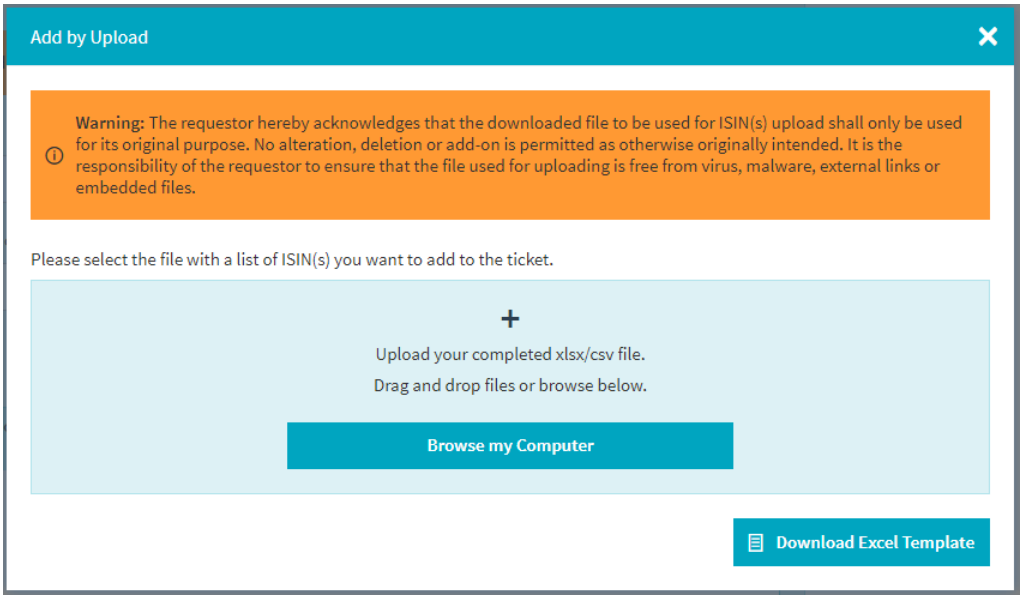


Alternatively, to a manual input, the user may use a file upload to search for a list of ISINs. In either case, the maintenance ticket supports as a maximum number of 500 ISINs.

To use the file upload functionality, please:

- Click on

.
- Download the Excel file template, add the ISINs, save and close the file.
- Upload your file via the "Add by Upload" pop-up window.

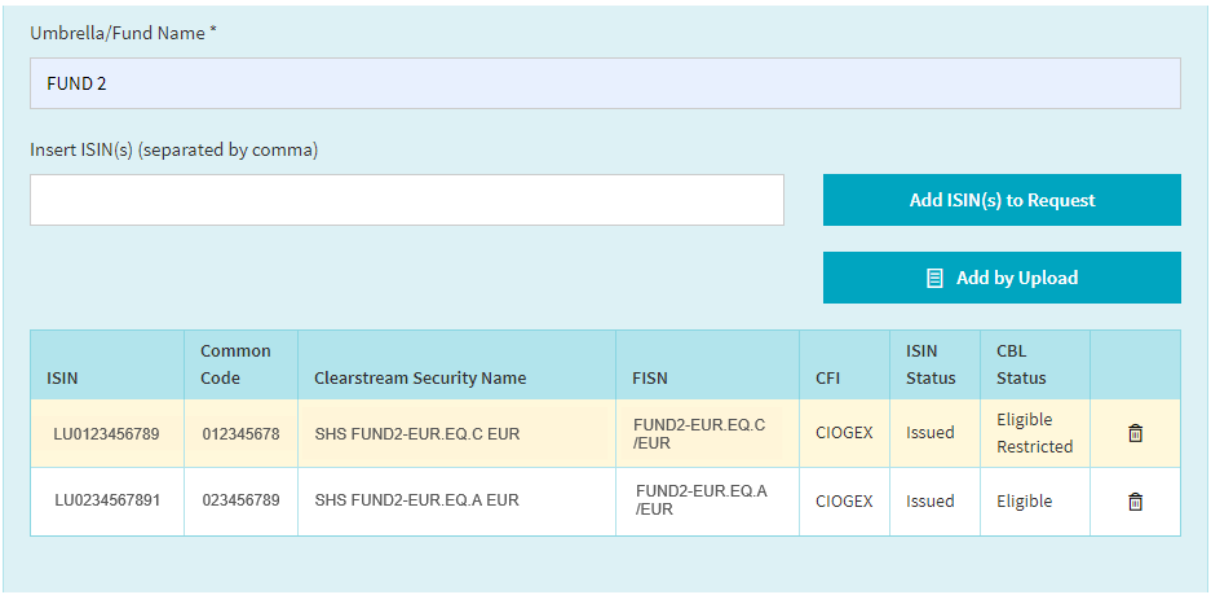


In the case of data issues during the upload, the user receive the relevant information to fix the error. Otherwise, if the file is successfully uploaded, the list of ISINs will be populated automatically to the maintenance ticket.

Principles on the file upload:

- The user acknowledges that the downloaded file to be used for reference data upload will only be used for its original purpose.
- No alteration, deletion or add-on is permitted as otherwise originally intended.
- It is the responsibility of the user to ensure that the file used for uploading is free from virus, malware, external links or embedded files.

Inputting new ISINs via upload or manually via the "Insert ISIN(s)", will add these new ISINs to the already inserted ISINs of the ticket. The full list of inserted ISINs is available underneath (including related CBL reference data as available at the time of the ticket creation). If required, the user may delete irrelevant ISINs by selecting the icon 🗑 .



The user may add some additional information (as the case may be) in the following section:

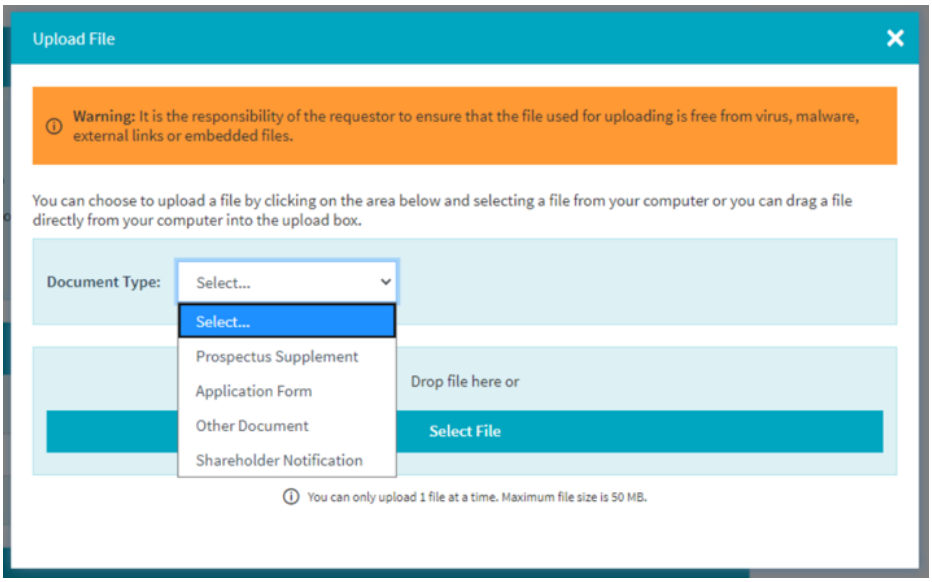
If the four-eyes principle is enabled at NNA Participant level, a second user will need to validate and approve the maintenance ticket before being submitted to Clearstream Banking. For further information, please refer to the Four-eyes approval section.

ISIN maturity

The ISIN maturity ticket workflow follows the same principle as the one for the ISIN cancellation (for additional information, please refer to the ISIN cancellation section) with the following differences.

- The maturity / final liquidation date is mandatory.

- Optionally, a shareholder notification may be added as supplementary document.

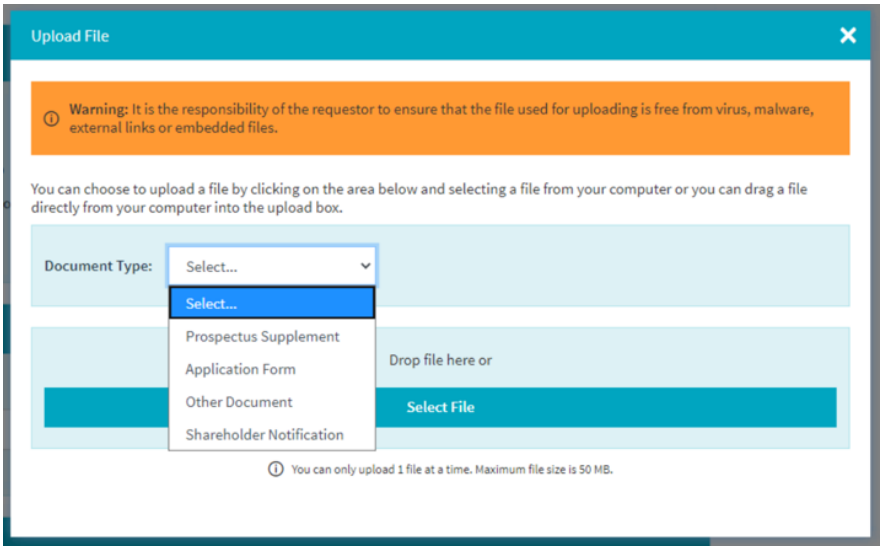


Fund name change

The fund name change ticket workflow follows the same principle as the one for the ISIN cancellation (for additional information, please refer to the ISIN cancellation section), with the following differences:

- The fund name change effective date is mandatory.

- Optionally, a shareholder notification may be added as supplementary document.

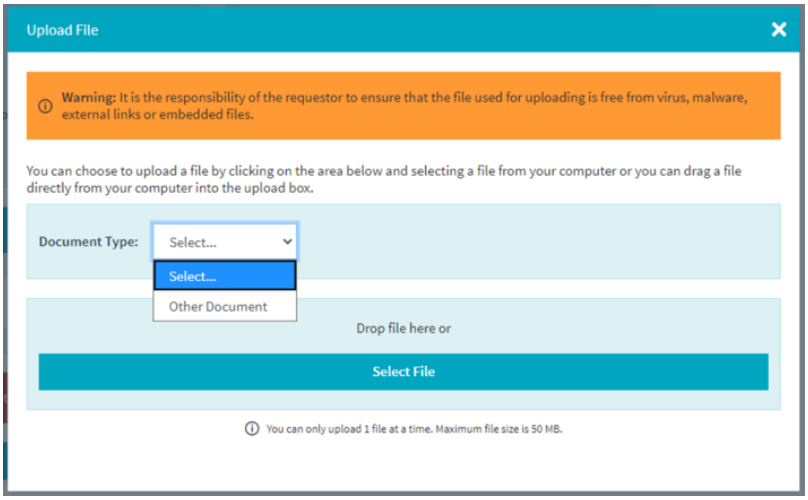


ISIN archive

The ISIN archive ticket workflow follows the same principle as the one for the ISIN cancellation (for additional information, please refer to the ISIN cancellation section), with the following differences:

- Only ISINs that were processed in a previous request or maintenance ticket in the NNA Portal by the NNA Participant can be added to this maintenance ticket type.
- The archiving reason is mandatory.

- As an optional supplementary document, only "Other Document" is available.

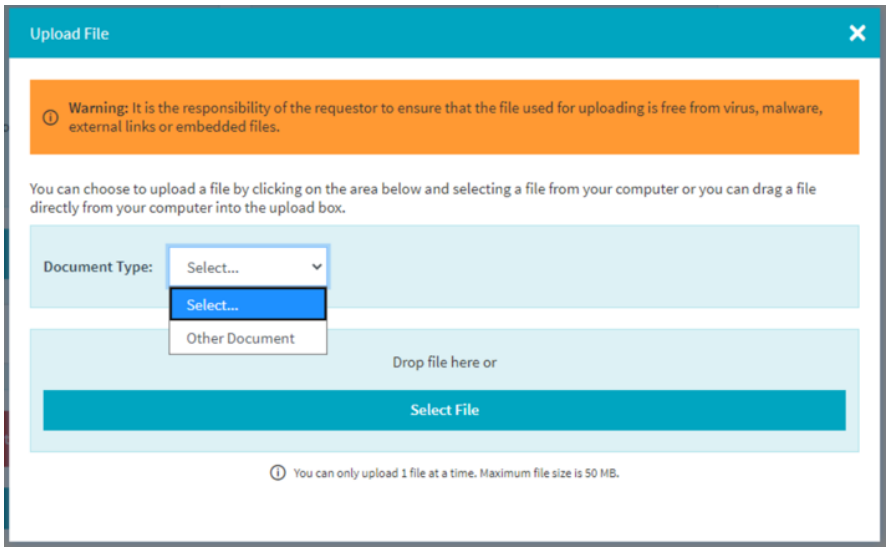


ISIN unarchive

The ISIN unarchive ticket workflow follows the same principle as the one for the ISIN cancellation (for additional information, please refer to the ISIN cancellation section), with the following differences:

- Only ISINs that were previously archived by the NNA Participant can be added to this maintenance ticket type.
- The unarchiving reason is mandatory.

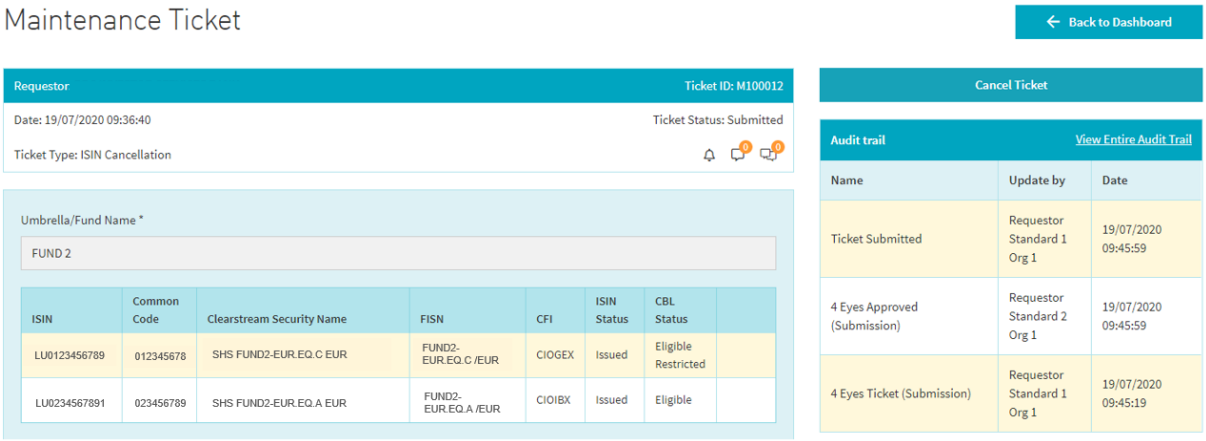
- As an optional supplementary document, only "Other Document" is available.



Maintenance ticket processing

The maintenance ticket follows a specific life cycle for which additional information is available in the Request / maintenance ticket status section.

The detail of past and current status of the maintenance ticket is available to the user in the maintenance ticket audit trail located in the miscellaneous section (on the right of the screen).



Should you require to cancel the maintenance ticket (for example, the ticket is no longer needed), you may do so by selecting "Cancel Ticket" in the upper right of the miscellaneous section. If the four-eyes principle is enabled at NNA Participant level, a second user will need to validate and approve the cancellation demand. Once authorised, the cancellation will be automatically processed in the NNA Portal.

Otherwise, once completed by Clearstream Banking, the maintenance ticket will have one of the following processing statuses:

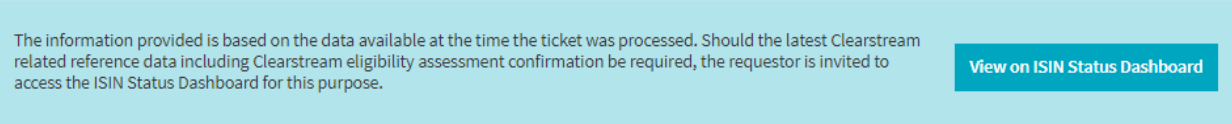
- "Fully Completed";
- "Partially Completed"; or
- "Rejected".

For additional information, please refer to the Request / maintenance ticket status section.

Processed ISINs have an updated status showing the new CBL reference data (where applicable). In the below case, the maintenance ticket covering an ISIN cancellation, the ISIN status in the "Clearstream Updated Status" line of the impacted ISINs is showing "Cancelled":

The user may download the above-shown list by clicking on "Download ISIN List", where the old and new values per ISINs are available.

Important note: The information provided is based on the data available at the time the maintenance ticket was processed. Should the latest Clearstream Banking-related reference data, including Clearstream Banking eligibility assessment confirmation, be required, the requestor is invited to access the ISIN Status Dashboard for this purpose. Further details are available in the ISIN Status Dashboard section.



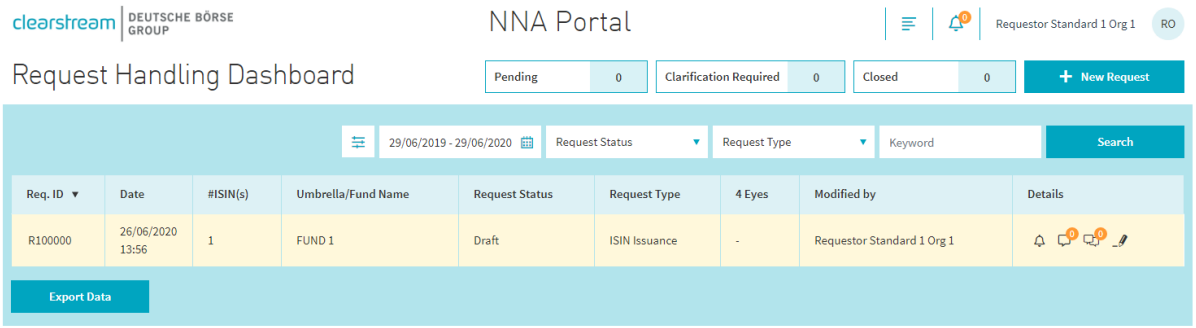
If an ISIN is not processed in a maintenance ticket, the user will be able to consult the rejection reasons in the closure status. In the below case, the maintenance ticket covering a fund name change was rejected as the fund classes are not covered in the prospectus.

For completeness, please note that ISIN archive and ISIN unarchive does not require CBL's manual intervention. As mentioned in the Maintenance ticket types section, CBL does not monitor the mandate entitlement of an NNA Participant on a continuous basis. This responsibility remains solely with the NNA Participant.

4. Request Handling Dashboard

4.1. Purpose

The Request Handling Dashboard is available by clicking on in the menu section on the left side of the screen and provides a view on all previously submitted and ongoing ISIN issuance and CBL eligibility assessments requests. It allows to track the progress of your requests and to apply selected filters to search for specific information.



The dashboard includes information such as request ID, the creation date, the number of ISINs impacted, the umbrella/fund name, the request status, the request type, the four-eyes status (if feature activated at NNA Participant level) and the last requestor user having updated a request.

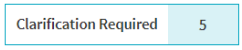
The dashboard allows further actions such as creating a new request by selecting

(the user is directed to the Request type selection section), or to export dashboard data using

(for additional information in this chapter, please refer to the Data export subsection).

4.2. Controls

Quick filters

	Pending	Displays all requests with status "Submitted" and "In Progress".
	**Clarification Required**	Displays requests for which Clearstream Banking requires further clarification.
	Closed	Displays requests with status "Fully Completed", "Partially Completed" or "Rejected".

Further details on the request statuses can be found in the Request / maintenance ticket status section.

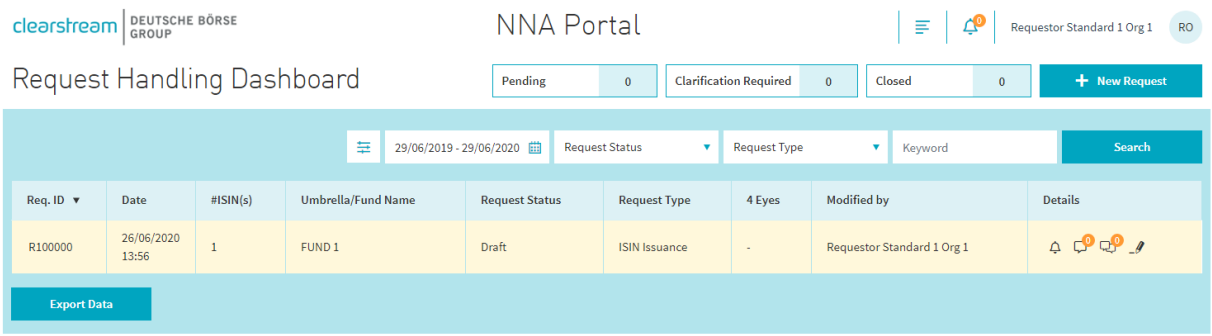
Advanced filters

	Reset filters	Resets all filters to default values.
Create Date	**Create date**	Allows to search for a specific time period when a request has been submitted. For additional information on calendars, please refer to the General features section.
Request Status	**Request Status**	Displays a dropdown menu allowing the user to multi-select following request statuses: • "Draft"; • "Submitted"; • "In Progress", • "Clarification Required"; • "Fully Completed"; • "Rejected"; • "Partially Completed"; • "Cancelled".
Request Type	**Request Type**	Displays a dropdown menu allowing the user to multi-select following request types: • "ISIN Issuance"; • "ISIN Issuance with CBL Eligibility Assessment"; • "CBL Eligibility Assessment Only".
Keyword	**Search bar**	Allows to search for a specific request ID, umbrella/fund name or ISIN.
Search	**Search button**	Allows to (re)run the search using selected filters.

4.3. List of results

The dashboard displays a list of results based on selected filters. Overall, the list comprises up to nine columns sortable in ascending or descending order by clicking on the column title.

The dashboard provides information such as request ID, the submission date, the number of ISINs impacted, the umbrella/fund name, the request status, the request type, the four-eyes status (if feature activated at NNA Participant level) and the last requestor user having updated a request.



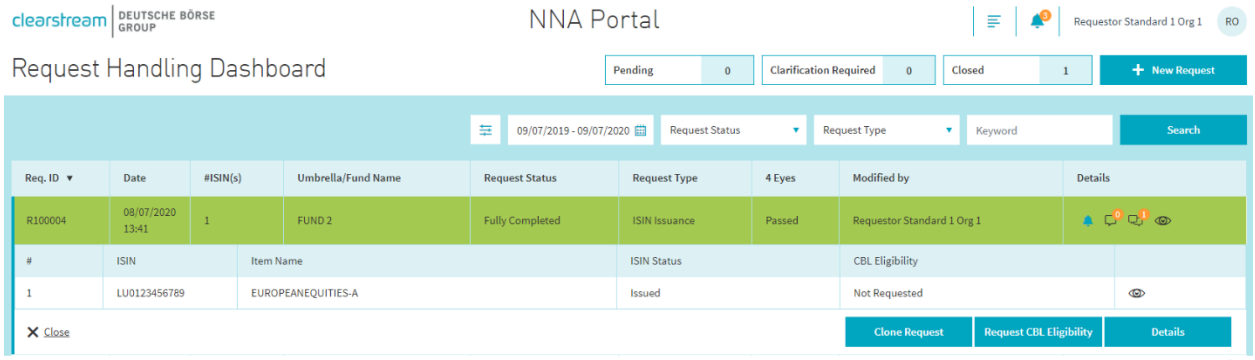
For each item in the list, the following icons are available in the column "Details" allowing to view respectively notifications, internal and external comments. Please refer to the section Notifications

and emails for additional information on notifications and to section Comments for internal and external comments.

In addition, the same column "Details" allows you:

- to edit requests under status "Draft" and "Clarification Required" by clicking on , or
- to view the detail of finalised requests by clicking on .

When clicking on a specific request in the Request Handling Dashboard, its row will be expanded displaying additional information on classes included in the request.



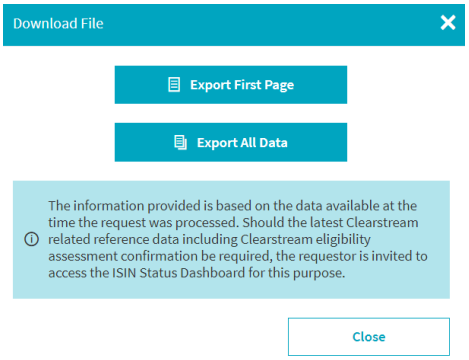
Each row provides further details such as ISIN (once issued), item name, ISIN status and CBL eligibility status. The data will become static once the request is finalised.

In addition, further actions are possible using following buttons:

Clone Request	**Clone Request (only available on completed requests)**	Allows to clone selected classes of a completed request into a new identical request type. The entire documentation and reference data set of the selected classes is copied to the new request. For further details on how requests are created and processed, please refer to the Request creation section.
Request CBL Eligibility	**Request CBL Eligibility (only available on completed requests)**	Allows to create a CBL eligibility assessment request on a selected list of ISINs. For further details on request creation and processing, please refer to the New CBL eligibility assessment request on existing ISINs section.
Details	**Details**	Allows to view the details of a request. The look and feel are similar as to the request creation. Please refer to the Request creation section.

4.4. Data export

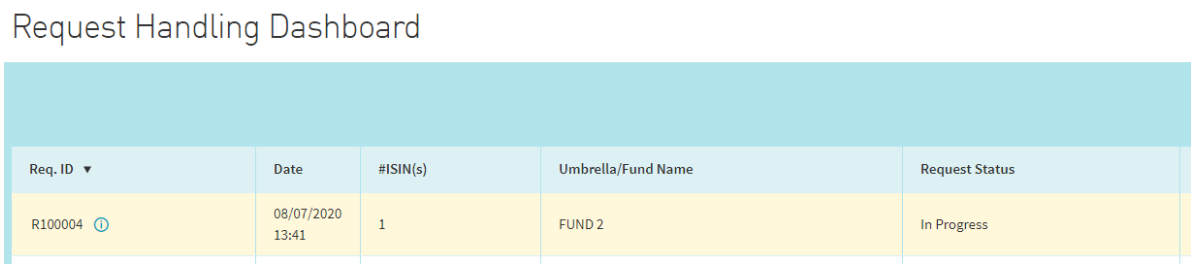
The Request Handling Dashboard allows the user to export the list of results (resulting from the selected filters) in an Excel file (XLS/XLSX). To do so, please select Export Data situated at the bottom of the dashboard below the list of results and choose whether you wish to download only the first page of the list or the full list.



Important note: The information provided is based on the data available at the time the request was processed. Should the latest Clearstream Banking-related reference data, including Clearstream eligibility assessment confirmation, be required, the requestor is invited to access the ISIN Status Dashboard for this purpose. Further details are available in the ISIN Status Dashboard section.

4.5. Miscellaneous

Requests having a pending "Recall Request" are flagged with a dedicated icon ⓘ next to the request ID in the dashboard:

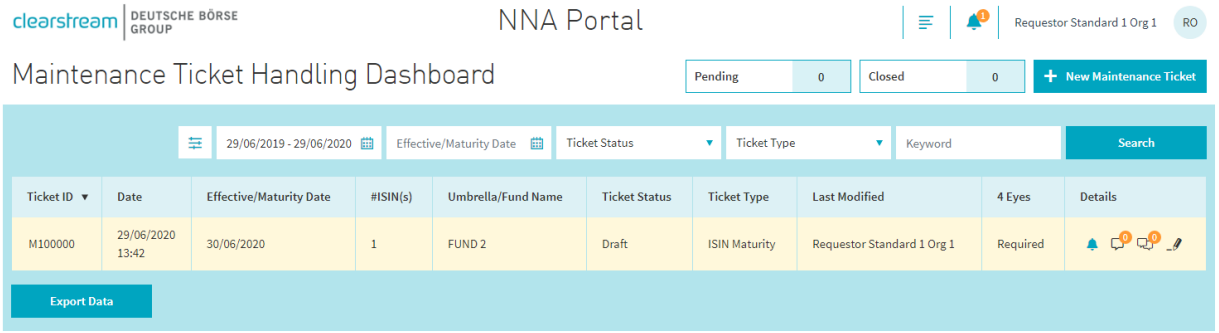


For full details on recall demands, please refer to the Request processing subsection within the New ISIN issuance request section.

5. Maintenance Ticket Handling Dashboard

5.1. Purpose

The Maintenance Ticket Handling Dashboard is available by clicking on in the menu section on the left side of the screen and provides a view on all previously submitted and ongoing maintenance tickets in the context of an ISIN cancellation, an ISIN maturity, a fund name change or an ISIN archiving/unarchiving. It allows you to track the progress of your maintenance tickets and to apply selected filters to search for specific information.



The dashboard includes information such as ticket ID, the creation date, the effective or maturity date, the number of ISINs impacted, the umbrella/fund name, the ticket status, the ticket type, the four-eyes status (if feature activated at NNA Participant level) and the last requestor user having updated a maintenance ticket.

The dashboard allows further actions such as creating a new ticket by selecting (the user is directed to the New maintenance ticket section), or to export dashboard data using (for full details on recall demands, please refer to the Data export subsection).

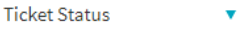
5.2. Controls

Quick filters

	Pending	Displays all maintenance tickets with status "Submitted" and "In Progress".
	Closed	Displays maintenance tickets with status "Fully Completed", "Partially Completed" or "Rejected".

Further details on the maintenance ticket statuses can be found in the Request / maintenance ticket status section.

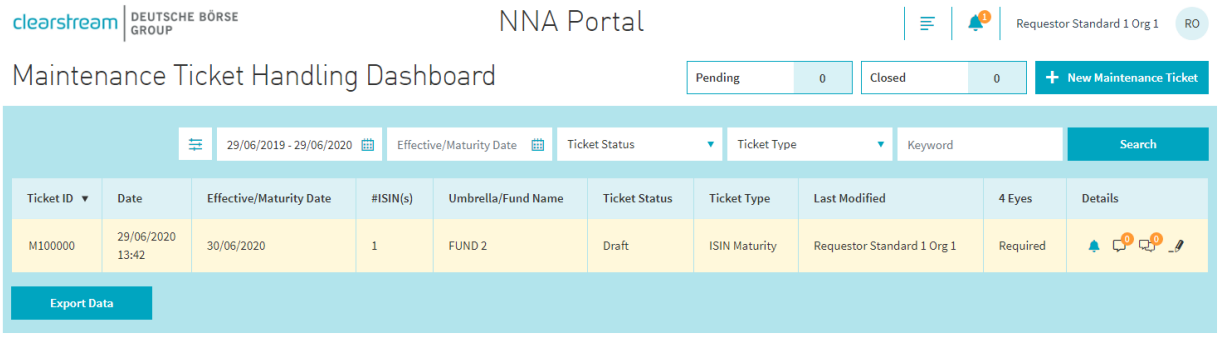
Advanced filters

	Reset filters	Resets all filters to default values.
	Create date	Allows to search for a specific time period when a maintenance ticket has been submitted. For additional information on calendars, please refer to the General features section.
	**Ticket Status**	Displays a dropdown menu allowing the user to multi-select following ticket statuses: • "Draft"; • "Submitted"; • "In Progress"; • "Fully Completed"; • "Rejected"; • "Partially Completed"; • "Cancelled".
	Ticket Type	Displays a dropdown menu allowing the user to multi-select following ticket types: • "ISIN Cancellation"; • "ISIN Maturity"; • "Fund Name Change"; • "Archive ISIN"; • "Unarchive ISIN".
	Search bar	Allows to search for a specific ticket ID, umbrella/fund name or ISIN.
	Search button	Allows to (re)run the search using selected filters.

5.3. List of results

The dashboard displays a list of results based on selected filters. Overall, the list comprises up to nine columns sortable in ascending or descending order by clicking on the column title.

The dashboard includes information such as ticket ID, the creation date, the effective or maturity date, the number of ISINs impacted, the umbrella/fund name, the ticket status, the ticket type, the four-eyes status (if feature activated at NNA Participant level) and the last requestor user having updated a maintenance ticket.



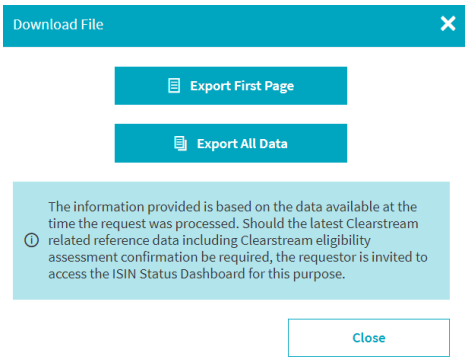
For each item in the list, the following icons are available in the column "Details" allowing to view respectively notifications, internal and external comments. Please refer to the section Notifications and emails for additional information on notifications and to section Comments for internal and external comments.

In addition, the same column "Details" allows you:

- to edit maintenance tickets under status "Draft" by clicking on , or
- to view the detail of finalised maintenance tickets by clicking on .

5.4. Data export

The Maintenance Handling Dashboard allows the user to export the list of results (resulting from the selected filters) in an Excel file (XLS/XLSX). To do so, please select Export Data situated at the bottom of the dashboard below the list of results and choose whether you wish to download only the first page of the list or the full list.



Important note: The information provided is based on the data available at the time the maintenance ticket was processed. Should the latest Clearstream Banking-related reference data, including Clearstream Banking eligibility assessment confirmation be required, the requestor is invited to access the ISIN Status Dashboard for this purpose. Further details are available in the ISIN Status Dashboard section.

6. ISIN Status Dashboard

6.1. Purpose

The ISIN Status Dashboard is available by clicking on in the menu section on the left side of the screen.

This dashboard enables the user:

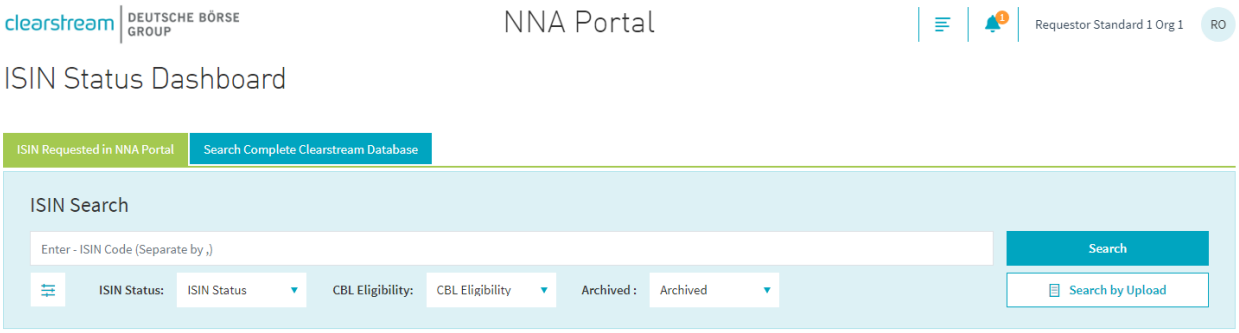
- to view and export current CBL reference data on their LU ISINs (including ISIN status and CBL eligibility assessment status).
- to initiate CBL eligibility assessment requests or maintenance tickets on retrieved ISINs.
- to download the CBL eligibility assessment confirmation (in PDF format) on viewed ISINs.

6.2. Dashboard description

Two entry points

The ISIN Status Dashboard provides two different tabs with similar functionality as entry point, the main difference between both being as follows:

- "ISIN Requested in NNA Portal" allows to search for ISINs previously processed in a request or in a maintenance ticket; and
- "Search Complete Clearstream Database" allows to search for ISINs as in the "ISIN Requested in NNA Portal" tab as well as ISINs issued before the inception of the NNA Portal.

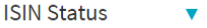
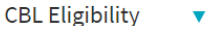
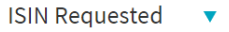
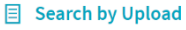


A warning will be prompted to the user:

- if an ISIN entered is invalid;
- if an ISIN entered in the "ISIN Requested in NNA Portal" tab was never processed via the NNA Portal.

In the latter case, the user is invited to re-do the search via the "Search Complete Clearstream Database".

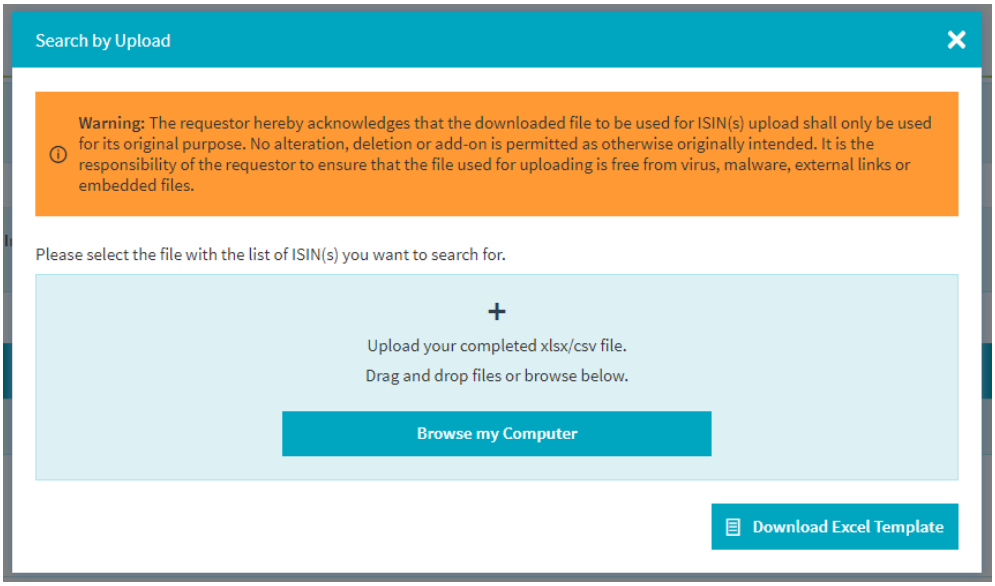
Filters

	Search Bar	Allows to search for specific ISIN codes (separated by a comma).
	Reset filters	Resets all filters to default values.
	**ISIN Status**	Displays a dropdown menu allowing the user to multi-select following ISIN statuses: • "Issued"; • "Cancelled"; • "Matured".
	**CBL Eligibility**	Displays a dropdown menu allowing the user to multi-select following CBL eligibility statuses: • "-" (blank); • "Not Requested"; • "Eligible"; • "Eligible Restricted"; • "Ineligible".
	Archived	Displays a dropdown menu allowing the user to multi-select following statuses: • "Yes"; • "No". **Note:** This field is only available in the "ISIN Requested in NNA Portal" tab.
	**ISIN Requested in NNA Portal**	Displays a dropdown menu allowing the user to multi-select following statuses: • "Yes"; • "No"; • "Archived". **Note:** This field is only available in the "Search Complete Clearstream Database" tab.
	Search button	Allows to (re)run the search using selected filters.
	**Search by Upload**	Displays a pop-up window to upload a list of ISINs. Please refer to the below additional information.

Alternatively, to a manual input, the user may use a file upload to search for a list of ISINs. In either case, the ISIN Status Dashboard supports as a maximum a search on 500 ISINs.

To use the file upload functionality, please:

- Click on Search by Upload .
- Download the Excel file template, add the ISINs, save and close the file.
- Upload your file via the "Search by Upload" pop-up window.



In the case of data issues during the upload, the user receives the relevant information to fix the error. Otherwise, if the file is successfully uploaded, the list of ISINs will be populated to the field "ISIN Search".

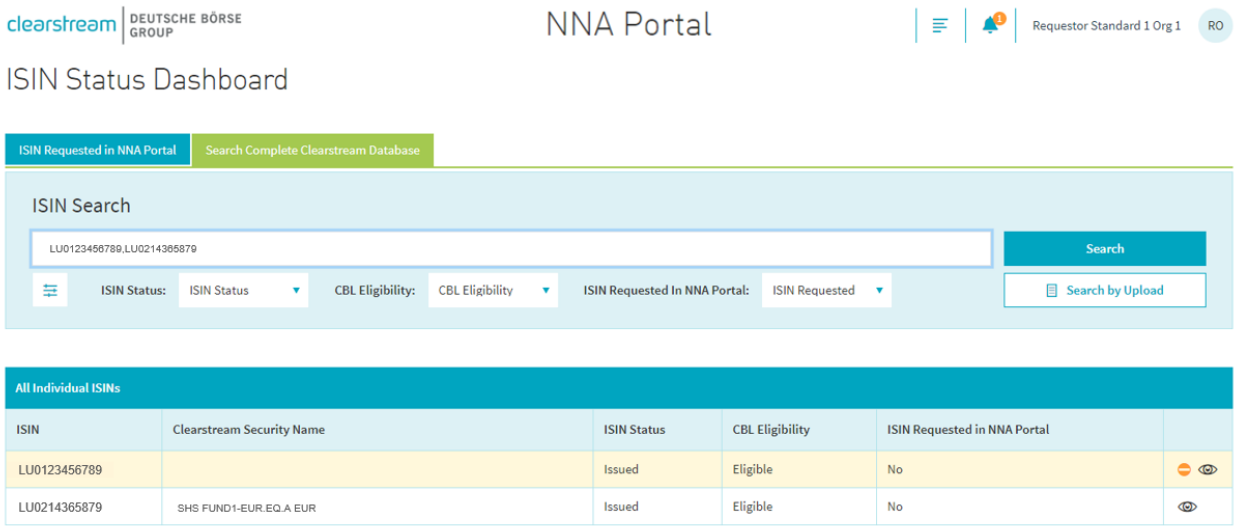
Principles on the file upload:

- Uploading the file overwrites any ISIN already input in the field "ISIN Search".
- The user acknowledges that the downloaded file to be used for reference data upload will only be used for its original purpose. No alteration, deletion or add-on is permitted as otherwise originally intended. It is the responsibility of the user to ensure that the file used for uploading is free from virus, malware, external links or embedded files.

List of results

The dashboard displays a list of results based on selected filters. Overall, the list comprises nine columns sortable in ascending or descending order by clicking on the column title.

This dashboard includes information such as ISIN, the Clearstream security name, the ISIN status, the CBL eligibility assessment status, the ISIN archive status (only available in the "ISIN Requested in NNA Portal" tab) and whether the ISIN was requested in NNA Portal or not (only available in the "Search Complete Clearstream Database" tab).



The "Search Complete Clearstream Database" tab enables to search for a fund universe (on LU ISINs) going beyond the ISINs processed within the NNA Portal by a dedicated NNA Participant. If a fund is confidential (flagged with the icon ⛔), certain CBL reference data will not be made available to the user (for example, the Clearstream security name). The same restriction applies to archived ISINs within the "ISIN Requested in NNA Portal" tab (for further details on the archiving process, please refer to the New maintenance ticket section).

The ISIN Status Dashboard allows the following actions for a list of ISINs to:

- View the detail of a specific ISIN by clicking on the relevant line or on the icon 👁 . In either case, you will be redirected to the ISIN Status Details page (for additional information, please refer to the ISIN Status Details section).
- Download the CBL eligibility assessment confirmation.
- Download the related CBL reference data.
- Proceed with a CBL eligibility assessment request or a new maintenance ticket.

To access the three latter actions, the ISIN Status Dashboard imbeds the following buttons at the very bottom of the page:

For further details, please refer to the chapter Downloads and new requests selection.

6.3. ISIN Status Details

The user can view the detail of a specific ISIN by clicking on the relevant line or on the icon in the ISIN Status Dashboard and will be redirected to the ISIN Status Details page.

This view covers following CBL reference data for a particular fund:

- ISIN;
- Common code;
- FISN;
- CFI;
- Clearstream security name;
- ISIN status, if the ISIN was requested by the NNA Participant in the NNA Portal;
- CBL eligibility status;
- CBL settlement / ineligibility restrictions;
- Internal and external instruction account flag;
- Restricted account;
- Clearstream depository code and name.

clearstream | DEUTSCHE BÖRSE GROUP NNA Portal

ISIN Status Details

ISIN:	LU0214365879
Common Code:	021436587
FISN :	FUND1-EUR.EQ.A/EUR
CFI:	CIOIBX
Clearstream Security Name:	SHS FUND1-EUR.EQ.A EUR
ISIN Status:	Issued
ISIN Requested in NNA Portal:	No
CBL Eligibility Status	Eligible
CBL Settlement / Ineligibility Restrictions:	-
Internal Instruction Account Flag:	No Restriction
External Instruction Account Flag:	No Restriction
Restricted Account:	-
Clearstream Depository Code:	XY
Clearstream Depository Name:	PLACEHOLDER

The CBL eligibility status on investment funds shares are based on CBL's governing documents and policies (subject to change at CBL's discretion), and have one of the following status:

- "Eligible": The investment fund share is freely transferable within CBL.
- "Eligible Restricted": The investment fund share has the transferability restricted within CBL, which implies the involvement of the investment fund or its agents to control transfers between customers. Internal transfers between customers may in certain cases be fully restricted within CBL which implies for a transfer a re-registration of the investment funds holdings via the fund shareholders/unitholders register (at the investment fund's discretion).
- "Ineligible": The investment fund share is not available for settlement, custody and order routing.

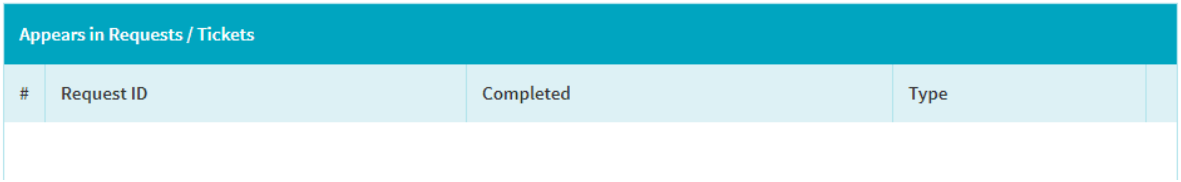
The internal and external instruction account flag have following values:

- "No Restriction";
- "Instruction Restricted"; or
- "No Instructions Allowed".

To complement the two latter cases, please refer to above note on "Eligible Restricted". In addition, if "Instruction Restricted" applies, the field "Restricted Account" will show the account used by the investment fund or its agent to control transfers between customers.

If the particular ISIN was processed in a previous request or maintenance ticket, the NNA Participant will be considered as owner of the ISIN and all the reference data points will be shown (if applicable). Otherwise, if for example the NNA Participant is not owner and the ISIN is confidential, certain information will not be available. The same restriction applies to ISINs previously handled via the NNA Portal but archived via maintenance ticket by the NNA Participant (for further details on the archiving process, please refer to the New maintenance ticket section).

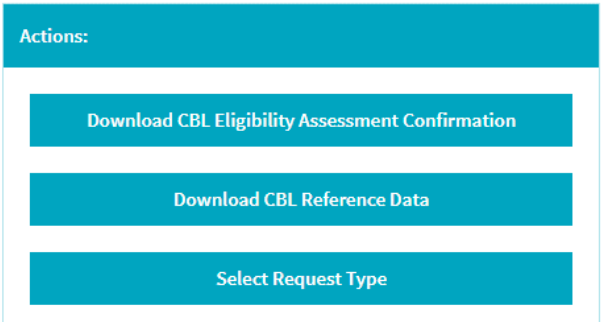
The ISIN Status Detail page provides information to the user at the bottom of the screen on whether the particular ISIN was processed in a previous request or maintenance ticket. The user will be redirected by to the relevant request or maintenance ticket by clicking on the specific line.



The ISIN Status Details page allows in addition following actions on a fund to:

- Download the CBL eligibility assessment confirmation.
- Download the related CBL reference data.
- Proceed with a CBL eligibility assessment request or a new maintenance ticket.

To enable these actions, the ISIN Status Details page imbeds following buttons on the right of the screen:



For further details, please refer to chapter Downloads and new requests selection.

6.4. Downloads and new requests selection

The ISIN Status Dashboard as well as the ISIN Status Details page allow users for a selected list of ISINs or for a particular fund to:

- Download a CBL eligibility assessment confirmation.
- Download the related CBL reference data.
- Proceed with a CBL eligibility assessment request or a new maintenance ticket.

In the following chapters, each of the above points is described in more detail.

CBL eligibility assessment confirmation download

By clicking on Download CBL Eligibility Assessment Confirmation in the ISIN Status Dashboard or in the ISIN Status Details page, a user will be able to download a CBL eligibility assessment confirmation for a given ISIN or a selected list of ISINs.

This confirmation states the same information as available on the ISIN Status Details page for a particular fund including its CBL eligibility status (for additional information, please refer to the ISIN Status Details section).

If the particular ISIN was processed in a previous request or maintenance ticket, the NNA Participant will be considered as the owner of the ISIN and all reference data points will be shown (if applicable). Otherwise, if for example the NNA Participant is not the owner and the ISIN is confidential, certain information will not be available. The same restriction applies to ISINs previously handled via the NNA Portal but archived via maintenance ticket by the NNA Participant (for further details on the archiving process, please refer to the New maintenance ticket section).

The CBL eligibility assessment confirmation is valid at the time of its issuance and download. Should the confirmation be required again in future, the NNA Participant must access the ISIN Status Dashboard to re-validate the CBL eligibility status of the investment fund shares. If the NNA Participant uses the CBL eligibility assessment confirmation to apply for a third-party service (for example, listing application), the NNA Participant Partner remains responsible to inform the third-party if the CBL eligibility status of its investment fund shares changes.

CBL reference data download

By clicking on Download CBL Reference Data in the ISIN Status Dashboard or in the ISIN Status Details page, a user will be able to download the CBL reference data for a given ISIN or a selected list of ISINs.

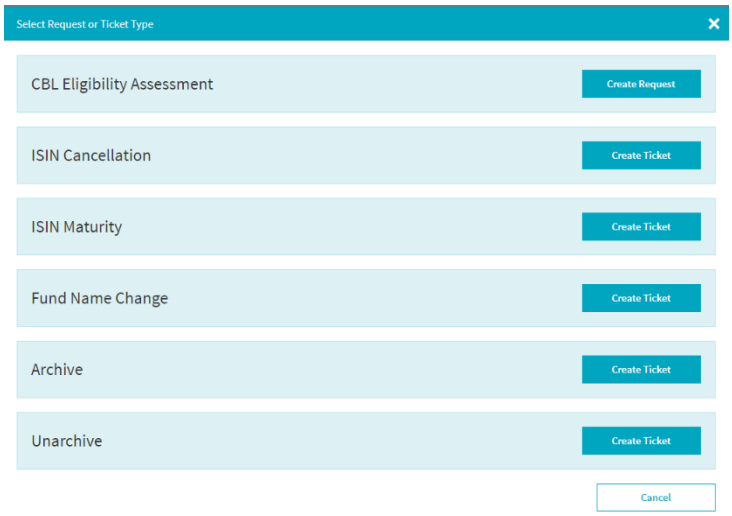
This download includes the same information as available on the ISIN Status Details page for a particular fund including ISIN, ISIN status and CBL eligibility status (for additional information, please refer to the ISIN Status Details section).

If the particular ISIN was processed in a previous request or maintenance ticket, the NNA Participant will be considered as owner of the ISIN and all the reference data points will be shown (if applicable). Otherwise, if for example the NNA Participant is not owner and the ISIN is confidential, certain information will not be available. The same restriction applies to ISINs previously handled via the NNA Portal but archived via maintenance ticket by the NNA Participant (for further details on the archiving process, please refer to the New maintenance ticket section).

The CBL reference data is valid at the time of its download. Should the CBL reference data be required again in future, the NNA Participant must access the ISIN Status Dashboard to re-validate the CBL reference data of the investment fund shares.

CBL eligibility assessment requests / maintenance tickets selection

By clicking on Select Request Type in the ISIN Status Dashboard or in the ISIN Status Details page, a user will be redirected to a CBL eligibility assessment request or a maintenance ticket for a given ISIN or a defined list of ISINs.



For complete information (including definitions and processing details), please refer to:

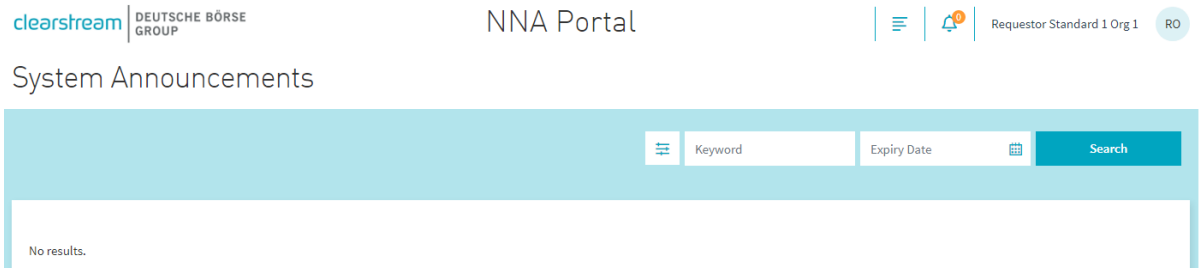
- New CBL eligibility assessment request on existing ISINs; or
- New maintenance ticket.

7. System announcements

When a new announcement is available, the following alert

is displayed in the header section in the upper right of the screen. Click on the alert to expand the Active Announcements panel for further details on the announcement. An active announcement can be dismissed by clicking on the icon ✕ or by clicking on "Dismiss All". In the latter case, all active announcements are dismissed.

All active and past announcements remain available on the System Announcements page by clicking on the icon ☰ situated in the header section at the top right of the screen and by further selecting View Full History.



On the System Announcements page, you have the possibility to apply some filters in order to ease the search for specific announcements.

	Reset filters	Resets all filters to default values.
	Expiry date	Allows to search for a specific time period on the announcements' expiry date. Date and time can be selected. For additional information on calendars, please refer to the General features section.
	Search bar	Allows to search for specific announcements using keywords.
	Search button	Allows to (re)run the search using selected filters.

The System Announcements panel comprises an intuitive colour code depending on the importance of the announcements:

- ☰ a notice announcement
- ☰ a warning announcement
- ☰ an alert announcement

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October 2023

Document number: 7326