Stock Exchange Transactions Go OTC (SET-GO)
Registration migration reporting

Dear Sir or Madam,

During the execution of SET-GO ICSD Migration (Phase 1) and the CSD Migration (Phase 2), CBF can transmit a dedicated reporting for pending Stock Exchange instructions. On customer demand, the migration reporting can be requested using the attached form, which is only available in English.

The form provides customers the possibility to request the migration reporting for customer simulation and production for both phases. The report language will be according to customers' reporting pre-settings in the CBF account master – either English or German.

Please note the following due dates:

- Phase 1 (ICSD Migration)

    o **For a participation in simulation the form has to be returned by 27 August 2021.**
      The request for migration reporting can be sent via email (T2S-Support@clearstream.com).

    o **For production launch the form has to be returned by 8 October 2021.**
      A hard copy of the form with legally binding signature(s) must be sent via mail to Clearstream[1].

- Phase 2 (CSD Migration)

    o **For a participation in simulation the form has to be returned by 17 December 2021.**
      The request for migration reporting can be sent via email (T2S-Support@clearstream.com).

    o **For production launch the form has to be returned by 29 April 2022.**
      A hard copy of the form with legally binding signature(s) must be sent via mail to Clearstream[1].

If at least one migration report for the migration in production is ordered, the customers are obliged to provide a hard copy. Customers need to submit the filled form according to the due dates defined above. Registration forms received after the announced deadlines will be processed on best effort basis and Clearstream cannot guarantee a timely setup. The SET-GO Customer Readiness team will inform the customer via email once the production settings are enabled – no separate information for the simulation environment will be distributed.

The following table provides an overview of the SET-GO migration reports available in customer simulation and production for ICSD Migration (Phase 1) and CSD Migration (Phase 2):

System[2]	Report	Header English	Header German
LION	List of to be migrated trades	LIST OF TO BE MIGRATED TRADES THE CANCELLATION IS DONE BY CBF	LISTE DER ZU MIGRIERENDEN GESCHAEFTE DIE LOESCHUNG ERFOLGT DURCH CBF
LION	List of not migrated trades	LIST OF NOT MIGRATED TRADES DELETED BY BOTH COUNTERPARTIES OR CANCELLED	LISTE DER NICHT MIGRIERTEN GESCHAEFTE STORNIERT ODER VON BEIDEN KONTRAHENTEN GELOESCHT
LION / SETI	List of not successfully migrated trades	LIST OF NOT SUCCESSFULLY MIGRATED TRADES FINALLY REJECTED OR IN RECYCLING	LISTE DER NICHT ERFOLGREICH MIGRIERTEN GESCHAEFTE FINAL ABGELEHNT ODER IM RECYCLING

Additional information regarding the migration reporting will be provided in the SET-GO Customer Migration Guide.

Kind regards

SET-GO Customer Readiness team

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[1] Form shows the details of Clearstream's postal address.

[2] LION stands for Lieferfreigabe Online; SETI stands for Stock Exchange Transaction Interface.

SET-GO migration reporting
Registration form

Clearstream Banking AG
Customer Readiness
Project SET-GO (EA.08)
D - 60485 Frankfurt am Main
Germany

Email: T2S-Support@clearstream.com

Represented entity

_____
Represented entity*

_____
Functional contact (first name and surname)*

_____
Telephone   Fax

_____
Email*

_____
Technical contact (first name and surname)*

_____
Telephone   Fax

_____
Email*

CBF account master*   Further CBF accounts of represented entity

Account of CBF technical receiver*

Report   **Select reporting for respective SET-GO migration phase**

List of to be migrated trades (job name: J_26M000)
- ☐ **ICSD Migration (Phase 1) - Simulation**
- ☐ **ICSD Migration (Phase 1) - Production**
- ☐ **CSD Migration (Phase 2) - Simulation**
- ☐ **CSD Migration (Phase 2) - Production**

List of not migrated trades (job name: J_26M000)
- ☐ **ICSD Migration (Phase 1) - Simulation**
- ☐ **ICSD Migration (Phase 1) - Production**
- ☐ **CSD Migration (Phase 2) - Simulation**
- ☐ **CSD Migration (Phase 2) - Production**

List of not successfully migrated trades (job name: J_26P000)
- ☐ **ICSD Migration (Phase 1) - Simulation**
- ☐ **ICSD Migration (Phase 1) - Production**
- ☐ **CSD Migration (Phase 2) - Simulation**
- ☐ **CSD Migration (Phase 2) - Production**

Connectivity tool used*

☐Connect: Direct   ☐NJE   ☐CA-Spool

☐CBF-Fileservice (If not used yet, please attach form 22 "Registration for CBF Fileservice")

☐Host Fileservice (simulation only)

Destination address of technical receiver:

_____

Date   The company's signature policy stipulates whether one or two authorised signatures are required - names in plain text

* Mandatory fields. Registration without the mandatory information cannot be considered by Clearstream.