

# Corporate Actions Harmonisation - KADI DE Migration to OneCAS

Customer Simulation Registration Form

## CAH KADI DE Migration Customer Simulation Registration Form

With this registration form, CBF intends to collect information for the preparation and setup of the Corporate Actions Harmonisation (CAH) - KADI DE Migration to OneCAS customer simulation. The simulation will take place between 22 August 2022 and 22 September 2022 and consist of two test cycles where the below test scenarios will be tested. After successful registration, customers can execute dedicated test cases for the new corporate action processing of CBF-issued securities during simulation period. This allows customers to assess possible impacts on their functional and organisational procedures. General information about CAH KADI DE Migration to OneCAS impacts can be found in the [CAH - KADI DE Migration - Detailed Functional Specifications \(clearstream.com\)](#).

Support will be offered by Clearstream for test cases related to:

A	Automatic cash exercise of warrants (EXWA)
B	Redemption into shares (REDM)
C	Redemption into cash (REDM)
D	Partial redemption event (PCAL)
E	Interest payment (INTR)
F	Dividend payment (DVCA) - with payment suspension
G	DVOP CHOS event
H	Event with multiple security proceeds
I	Voluntary event with interim line (TEND)
J	Voluntary event to be reversed later (TEND)
K	Non-Income event to be reversed later and reversal to be cancelled (CONV)
L	Non-income event resulting in fractions (SOFF)
M	Merger event (MRGR)
N	Bonus Issue (BONU)
O	Interest payment event for LMP ISIN (INTR)
P	Interest payment event for US ISIN (INTR)

The following functionalities are supported during the customer simulation:

- Event notification
- Event instruction via MT565 or settlement functionality
- Payments and the corresponding reporting
- Transaction management
- Tax
- Deduction
- Reversal / repayment
- Specific Vaults and Registered shares instruction types

Please return to [OneClearstream@clearstream.com](mailto:OneClearstream@clearstream.com) by 1 July 2022 at the latest

## CAH KADI DE Migration Customer Simulation Registration Form

CBF will create holdings for all ISINs linked to the above test cases on all accounts specified by customers in this form. More detailed information on the test cases will be found in the Customer Simulation Guideline, which will be published in due time.

Please complete the following pages of the CAH - KADI DE Migration to OneCAS Customer Simulation Registration Form. This form is intended for a limited amount of accounts per customer. If more than five accounts are needed for the simulation procedures, please contact the OneClearstream team. Completed forms need to be returned via email to:

[OneClearstream@clearstream.com](mailto:OneClearstream@clearstream.com)

**latest by Friday, 1 July 2022**

**Registration forms received by CBF after this date can be processed on a best effort basis only.** In this case, CBF cannot guarantee that all submitted data will be reflected in the simulation environments at the beginning of the simulation period.

Should you have further questions please do not hesitate to contact us.

Thank you very much in advance for your replies.

Kind regards,

CAH KADI DE Migration Customer Readiness team

# 1. Dedicated contact

CBF will use the “Single Point of Contact (SPOC)” concept. Therefore, customers are requested to define a coordinator for the customer simulation who will receive all relevant information and updates. CBF will contact the SPOC for all simulation related activities and if there are any questions regarding the KADI DE Migration to OneCAS Customer Simulation Registration Form. The SPOC is kindly asked to forward relevant information to the institution’s test team responsible for KADI DE Migration to OneCAS related simulation activities.

Test cases may require coordination between customers and counterparties for instruction management. For this purpose, CBF offers a “Disclosed Member List” with corresponding SPOC contact details. The KADI DE Migration to OneCAS Customer Readiness team will send the “Disclosed Member List” to participating customers via [OneClearstream@clearstream.com](mailto:OneClearstream@clearstream.com) in due time.

Please provide below a SPOC for the customer simulation of KADI DE Migration to OneCAS.

<hr/>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Represented legal entity	Participation in Disclosed Member List
<hr/>	
First name and surname of SPOC	
<hr/>	
Email SPOC	
<hr/>	
Telephone SPOC	
<hr/>	
First name and surname of deputy SPOC	
<hr/>	
Email deputy SPOC	
<hr/>	
Telephone deputy SPOC	
<hr/>	
Place, date and signature of SPOC	

## 2. Participation in customer simulation

For a successful participation in the customer simulation, account settings must be available in T2S Pre-Production environment (UTEST), CBF customer simulation environment (IMS23) and CBL test environment (OCCT). Based on the information provided below, Clearstream will create necessary account settings in IMS23 and OCCT, if customers require an update of the static data for CBF and / or CBF-i account.

The static data for accounts from the previous simulation period stored in IMS23 and OCCT will be reused. Customers that have not registered for previous customer simulations or require their account settings to be verified are requested to contact the [OneClearstream](#) mailbox.

Customers wishing to participate in the end-to-end simulation of corporate actions can use the automated connectivity channels (SWIFT, MQ, File Transfer (FT)) or the Xact Web Portal or CASCADE Online (HOST / PC) functionality. Also, the T2S UTEST connectivity channels can be used by customers acting in DCP mode.

In general, the connectivity setup can differ between production and simulation environment. If settings should be modified, please contact the Clearstream connectivity team via [connect@clearstream.com](mailto:connect@clearstream.com).

The corporate action reporting to the defined Test BIC will be provided based on a default setup determined by Clearstream. Existing connectivity settings for corporate action reporting will be replaced. For settlement messages, the existing setup remains in place. For the message exchange via the SWIFT network a dedicated test BIC as technical sender / receiver address needs to be specified because SWIFT requires the use of test BICs within their simulation environment. If customers wish to participate via a Test BIC for the first time, additional time for the preparation of the technical setup by SWIFT, RMA key exchange and connectivity tests are required.

The default connectivity setup for corporate action reporting entails the following aspects:

Category	Default value
Report types	<ul style="list-style-type: none"> <li>- MT564 Income Pre-Advice Report (IPAR);</li> <li>- MT564 Claim and Reversal Advice;</li> <li>- MT566/568 Corporate Action Notifications;</li> <li>- MT566 Corporate Action Confirmations;</li> <li>- MT567 Corporate Action Instruction Status and Processing Advice.</li> </ul>
Subscription Name	"Report type" + "_" + "Account number(s)"
Subscription start date	22 August 2022
Frequency	Realtime
Delivery channel	SWIFT
Sending address	DAKVDEFFONE
Event types	All
Mandatory/voluntary	All
Forecast in days	5
Currencies	EUR

## CAH KADI DE Migration Customer Simulation Registration Form

A customer requiring a change to the default setup (for example, a different delivery channel or different report types) needs to indicate this well in advance allowing the modification in due time. The option “Modification request” needs to be ticked in table A. The required changes need to be communicated to CBF separately via the established channels (for example, Xact Web Portal). Sufficient lead time allowing the preparation of the technical setup needs to be considered.

Customers can additionally use the online functionalities via a frontend.

- Xact Web Portal is a graphical user interface, available in English language.
- CASCADE-HOST is an online mainframe interface, in German language.
- CASCADE-PC is a graphical user interface, available in English and German.

## 2.1 Connectivity

Please define the participating accounts and the according connectivity settings in the below tables.

**Table A – A2A setup:**

4-digit CBF account number	Account type	5-digit CBF-i account number	Production SWIFT Address	Test SWIFT Address	Xact Organisational Unit (OU)	A2A reports

**Table B – U2A connectivity:**

CBF account master 4-digit account	CASCADE-HOST		CASCADE-PC		User ID and password		Access to Xact Web Portal in OCCT	
	Yes	No	Yes	No	Yes	No	Yes, certificate expiry date (dd.mm.yyyy)	No
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> , _____	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> , _____	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> , _____	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> , _____	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> , _____	<input type="checkbox"/>

Please return to [OneClearstream@clearstream.com](mailto:OneClearstream@clearstream.com) by 1 July 2022 at the latest

## CAH KADI DE Migration Customer Simulation Registration Form

Please define if access to CASCADE-HOST and/or CASCADE-PC is established ("Yes"). "No" indicates that the setup is not in place and needs to be established. If no setup is required, please leave this field empty.

Please define if access to Xact Web Portal is established ("Yes") and provide details on the certificate expiry date. "No" indicates that the setup is not in place and needs to be established. Please also provide the contact details of the Xact Web Portal administrator in your company below.

Contact details of Client Xact Web Portal administrator
<b>Name:</b> _____
<b>Email:</b> _____
<b>Telephone:</b> _____



## 2.2 Trading and settlement account setup

Customers wanting to test corporate actions on flows are advised to insert trades or instructions on their own behalf. The Disclosed Member List may be used in order to find a fitting counterparty.

For the simulation via T7, customers need to define on account level whether the account used in customer simulation is the settlement account of a member of a German stock exchange. If the account is flagged as a third party management head office and / or the simulation shall be executed for a third party management branch, these details need to be specified. Customers being a Branch are requested to liaise with the Head Office to agree on simulation activities.

CBF will create holdings for respective SE settlement accounts specified in this form on predefined ISINs outlined in the CAH Customer Simulation Guide, which will be published in due time.

**Table C – Additional account information**

5-character T7 member ID	4-digit CBF account master for T7 trading	Account type	4-digit CBF account master for SE settlement	5-digit CBF-i account for SE settlement

We would like to thank you for your support – CAH KADI DE Migration Customer Readiness team