

CBF Fileservice – Migration to ClearstreamXact – Update

Clearstream Banking AG, Frankfurt¹ informs customers about the upcoming migration of the CBF Fileservice to ClearstreamXact

for business day, Tuesday, 2 May 2023.

Background

Clearstream Banking has started to renew its systems landscape. The aim is to harmonise functionalities in both architecture and service design.

For the purpose of further consolidation, the CBF Fileservice currently offered via Deutsche Börse's platform will be integrated into the established Clearstream Banking services. The download functionality for CBF files from different custody services will be provided via Xact Web Portal. The existing structures and services of this online functionality can be used completely. This applies both to the design of the graphical interface and to its handling.

Implementation approach

As of 2 May 2023, CBF customers [until now](#) using the [CBF Fileservice via the Deutsche Börse Web Portal](#) will be able to retrieve and download the files via the [Xact Web Portal](#).

The previous formats:

- TXT, WRI, RTF (text formats);
- PDF (portable display format); and
- BIN (IBM EBCDIC code)

will continue to be available. The previous compression (ZIP format) will no longer be required in the future architecture. Therefore, the unzipping step can be omitted. The list of available files which can be retrieved [optionally](#) in Xact Web Portal can be found under the following services:

- CASCADE Reporting;
- CASCADE-RS;
- Kapitaldienste (KADI);
- Taxbox; and
- Vaults.

The usage of the Xact CBF File Service is mandatory for all customers currently accessing the reporting via the Deutsche Börse web portal, as in addition to the optional reporting mentioned above, the balance confirmations for CBF accounts and the year-end statements for CBF and CBF-i accounts are exclusively electronically available in Xact Web Portal.

Attached to this Announcement is a list of reports that will be available in the future via Xact Web Portal. The list indicates the "Report name"² and the "File name" as they will be displayed in Xact Web Portal. In addition, information on the system's retention period is shown. When the "Report name" is displayed several times, files are created at different points in time or exclusively for an account on customer's request. The time of creation remains unchanged by the migration activities. That is, the files are provided according to the current service offering.

Based on the present range of services, the files are prepared at the [4-digits] account master level of the defined technical receiver. In Xact Web Portal, the files are selected by specifying the CBF main account (xxxx 000).

CBF customers who would like to use the CBF File Service for the first time should take note that the service can only be provided if access to Xact Web Portal is granted, the CBF File Service has been ordered and the desired files have been selected for download in the application form. The

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² Report names are only provided in German language.

date on which the generation of the file was confirmed by CBF is relevant for the provisioning. The corresponding forms are available on the [Clearstream website](#). If the scope of files to be provided is to be extended, reduced or deleted, the same forms can be submitted.

Customer impact

CBF's implementation approach for the migration to ClearstreamXact will be done in three steps:

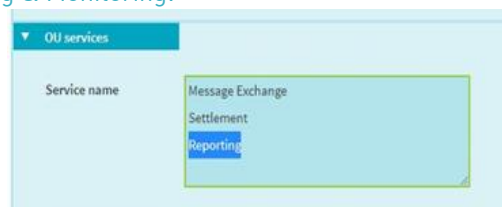
- Preparation
From the end of March 2023, the extended access management concept will be available via the Xact Web Portal functionality. As of April 2023, the system administrators of the customers can assign the rights to the CBF File Service to users on the one hand and set up predefined queries for the desired files on the other.
- Introduction
From 2 May 2023, the information provided by CBF systems will be provided in Xact Web Portal via a modified transmission method, provided that the customer has done the required report definition. Existing report definitions will be migrated to the system with the corresponding retention period. All files generated on or / after 1 May 2023 will only be available for download via Xact Web Portal. Files that are offered for download up to and including 28 April 2023 via the present CBF Fileservice will remain in this Internet portal until the end of the retention period, but for a maximum of 62 calendar days.
- Decommissioning
On 30 June 2023, the previous CBF Fileservice will be switched off. The corresponding website is blocked and data can no longer be retrieved. Files that have not been downloaded by the customer by this time can thereafter only be requested via a written order.

Customers who do not yet have access to the Xact Web Portal can already apply for it using the [ClearstreamXact Application Forms](#). Access to the Xact Web Portal is possible via certificates. Further details regarding the authentication process can be found in [Announcements C22028](#) and [C22038](#).

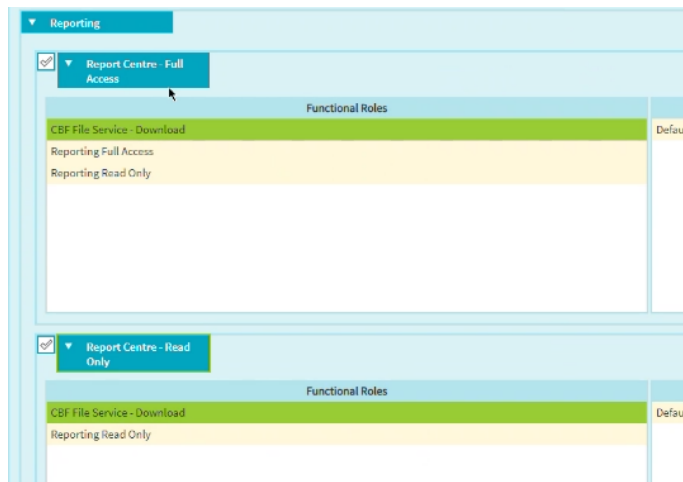
The administrators named by CBF customers in the application form define Xact Web Portal users with individual certificates. It may be necessary to set up new users who have previously used the CBF Fileservice, but are not yet set up in Xact Web Portal.

As soon as access is set up for the user, rights management can take place in Xact Web Portal. The rights are assigned to each individual user, the use of a user ID for a group of employees is not possible. If the customer has set up technical access to today's CBF Fileservice by a user ID in order to enable automation of the download of files, CBF asks that measures be taken in good time for the migration to Xact Web Portal.

With a request for the access to Xact Web Portal, the "Organisation Unit (OU)" that is the institution as a user of the Xact Web Portal, will receive by default the services for User Management and Reporting & Monitoring:



This will allow an administrator to assign the right "CBF File Service – Download" to retrieve files. All customers who use the CBF Fileservice and for whom an OU has already been set up in Xact Web Portal, but do not have the Reporting service assigned yet, will receive the necessary rights during the first migration phase until the end of March 2023. Administrators will have a new right "CBF File Service – Download" in the "Xact Report Center" for assignment to the user. With the introduction of the updated screens, it will be available in User Management and located underneath the existing "Report Center" access rights.



As before, administrators can set up a User Group with the functional role CBF File Service. Further details on setting up "User Groups" can be found in the [Xact Web Portal User Manual](#), page 1 – 5. This is particularly interesting for customers who would like to access only the reporting provided by Xact CBF File Service.

The table below provides an overview of potential actions to be considered before using the Xact CBF File Service:

If the CBF customer	Neither have access to CBF Fileservice nor to ClearstreamXact	Has access to CBF Fileservice but not to ClearstreamXact	Has no access to CBF Fileservice but to Xact Web Portal	Has access to CBF Fileservice and Xact Web Portal
Request CBF File Service access using the existing connectivity forms	Yes	Only, if further files are required	Yes	Only, if further files are required
Request ClearstreamXact access in close coordination with the Relationship Officer	Yes	Yes	No	No
Administrator sets up new user(s) in Xact Web Portal	Yes	Yes	Yes, if further user(s) need(s) access	Yes, if further user(s) need(s) access
Administrator creates / enables OU for Xact Reporting Service	Yes	Yes	Yes, if not set up	No, migration procedure applies
Starting in April 2023, administrator grants access to Xact CBF File Service to users in Xact Web Portal	Yes	Yes	Yes	Yes

Table 1 – Overview potential customer readiness activities

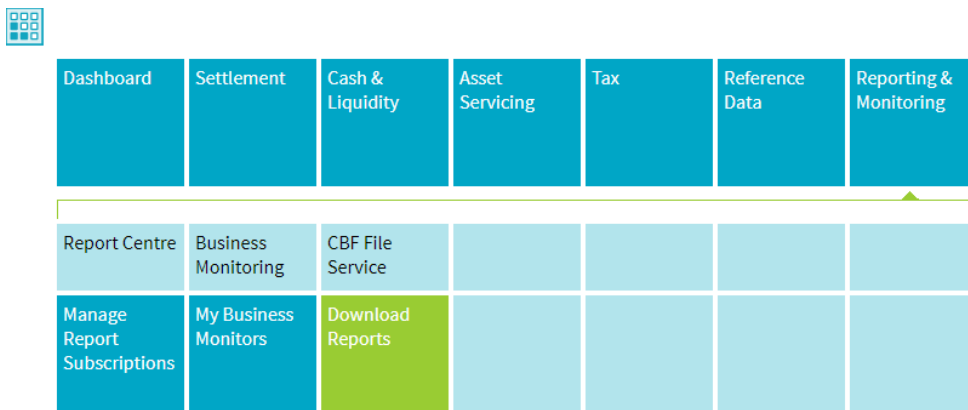
If a Power of Attorney (PoA) has been established for the CBF Fileservice in the past, these rights must be set up again in Xact Web Portal. This means that it is necessary that the proxy provider (PoA giver) grants the authorised institute (proxy holder, PoA taker) access rights to the relevant accounts and reporting in Xact Web Portal. [Deviating from the existing process for the distribution of reporting](#), files can only be delivered to third-party management head offices ("Reg-über Zentrale") after migration to Xact Web Portal. This means that reporting for branches can be made available in the Xact Web Portal via the head office ("Zentrale"). Therefore, the head offices

and branches are asked to check which reports should be obtained from the head office for the branches in the future. If necessary, new forms for the distribution of the reports must be sent by 24 February 2023. For more information, please contact the Connectivity Helpdesk or the responsible relationship manager.

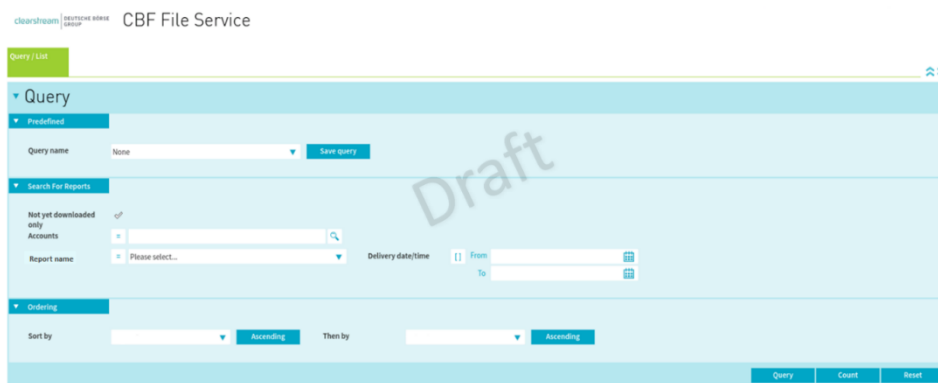
Year-end statements for CBF and CBF-i accounts are made available electronically in the Xact CBF File Service. The download is mandatory for customers using this service. Hence, administrators should assign the new right to CBF Fileservice – Download to at least one user for each affected account.

In Xact Web Portal, the routing table for Taxbox accounts can only be made available to the technical receiver account in the future. Therefore, in order to receive the reporting via the Xact CBF File Service, it may be necessary to have the receiver account set up in Xact Web Portal. The distribution of the routing table via the other CBF connectivity channels is not affected.

With the introduction of the new CBF File Service via Xact Web Portal, users can view the reports in the aforementioned file format in Xact Web Portal under "Reporting & Monitoring" – "CBF File Service" – "Download Reports":



In the following screen, an ad-hoc query criteria can be entered and executed. Or these query parameters for quick-selection can be saved for queries that are going to be executed often:



Entitled users can define and store a personal query. It can be executed on demand. These are the field definitions:

Section	Field	Operator	Entry	Comment
Predefined	Query Name	=	Custom Input	The definition is available for the creator of the query. This field provides the ability to give the query a custom name. Once saved, the desired query can be executed as needed.
Search for Reports	Not yet downloaded only	selected / not selected		It is possible to select files for which the download has (not yet) been executed.
	Accounts	= ≠	CBF account numbers (4 digits plus "000", i.e. 1234000), separated by semicolons	According to the access concept, all accounts of an organisational unit (OU) for which the user has received authorisation from the system administrator can be selected. With the operator not equal (≠), files are displayed for all accounts of the OU except the specified ones.
	Report name	= ≠	Selection of files	According to the selection given.
	Delivery date/time	[]	Limiting data in the format DD/MM/YYYY and HH:MM	The result includes only files for which the retention period is valid. An example of the selection result is shown below (Table 1)
Ordering	Sort by		According to selection menu	First sorting criterion
	Then by		According to selection menu	The following sorting criterion

Table 2 – Creation of queries

In the following sample, the result of the query is based on the specified retention period and the "Delivery Date" parameter. The results shown below are based on a file with a retention period of 20 calendar days and a query date of 1 April 2023.

Query period (Delivery Date)	Result				Comment
	JAN 2023	FEB 2023	MAR 2023	APR 2023	
15.03.2023 to 01.04.2023			From 15.03.2023	Until 01.04.2023	All files are listed
20.02.2023 to 01.04.2023	The period of 20 calendar days has been exceeded		From 13.03.2023	Until 01.04.2023	Only files from 13 March 2023 will be listed
01.03.2023 to 15.03.2023			From 13.03.2023 to 15.03.2023	Out of the query period	Only files from 13 March 2023 will be listed
01.02.2023 to 01.03.2023			No files will be listed		

Table 3 – Query results delivery period

The results of the selection will be displayed in a list:

List						Export	Print	Refresh	Configure
Report name	File name	Account	Downloaded	Delivery date/time	Expiry date/time				
Anforderungs Daten KCSL	KS:99990KCSL_IRG61126.L001.D220131.T194526.CSV	9999000	Yes	07/10/2022 19:26	06/11/2022 18:26				
Daily CASCADE lists	KS:999901ASCALST_JQ261000.D220216.T101017.RTF	9999000	Yes	27/09/2022 16:44	27/10/2022 16:44				
List of pending stock exchange transaction	KS:99990LIEFELST_JQ200441.D220125.T033840.RTF	9999000	Yes	01/10/2022 19:26	31/10/2022 18:26				
Receipt advices	KS:99990HVISLST_JQ200800.D220202.T184607.RTF	9999000	Yes	04/10/2022 19:26	03/11/2022 18:26				
Textbox Outbound Messages	KS:99990UR64XT71.L1.D22028.T080307.TXT	9999000	No	27/09/2022 19:26	29/10/2022 19:26				

In the list of available files, there will be the possibility to display the size of the file so that files without content are detected and not unnecessarily selected and downloaded. Reports already downloaded by a user of the OU are marked with "Yes" in the list under "downloaded".

Customer simulation

CBF will support customers' simulation activities during the period from 27 February 2023 to 24 March 2023. Customers wishing to participate in this guided simulation are asked to register. Registration is required so that the required configuration can be set up in the CBL test environment (OCCT). [On 10 February 2023, the form has been published with this Announcement.](#) The registration period for the participation in the simulation will end on 17 February 2023.

[From 20 February 2023, 07:00, to 21 February 2023, 06:00](#), to ensure a broad test scope, files created in production on that day will be copied and made available in the OCCT test environment for Xact Web. Deviating from the start in production, compressed files in ZIP format are also provided, as they are subject to the current setup. In addition, from 27 February 2023, all files offered in the scope of services of IMS23 will be transferred to OCCT. [If test files are already made available to customers in the HOST Fileservice, they can also be retrieved in the OCCT during the customer simulation.](#) When comparing the file names in the two test environments, it should be noted that the file names in the OCCT are identical to those of the future production and that the previously valid name is used in HOST Fileservice. This approach was chosen to ensure sufficient transparency of the migration process.

Over the course of further implementation activities, the customer simulation concept will be refined and made available as a supplement to this customer information. [During the preparation and the execution of the Customer Simulation period from 27 February to 24 March 2023, please contact the Connectivity Support team \(connect@clearstream.com\) for any questions regarding the settings of / for the Customer Simulation environment \(IMS23\) and the Connectivity Simulation team \(connect-test@clearstream.com\) regarding the settings of / for the test access to the Xact Web Portal via OCCT environment.](#)

Transition plan

CBF customers are asked to analyse which files will be further required after 2 May 2023 and to inform CBF in time if the creation of files is no longer requested.

At the same time, it should be investigated which users will need access to the Xact CBF File Service in the future and, if necessary, access to the Xact Web Portal should be requested in due time. Xact Web Portal can be installed at any time. Since access is set up individually, a sufficient lead time (approximately three weeks) should be planned.

After the migration, it will be possible during a transition period until 30 June 2023 to continue querying files using the present CBF Fileservice functionality. Reports whose retention period extends beyond 30 June 2023 (for example, the annual account statement with a retention period of 365 calendar days) can then only be requested via [Connectivity](#). The order must contain:

- CBF account number: XXXX 000;
- Report name as displayed in Xact Web Portal;
- File name as displayed in Xact Web Portal;
- Date / period DD.MM.YYYY to DD.MM.YYYY.

The processing of such a request may take up to ten business days.

The following are the preliminary milestones, which are subject to confirmation:

January 2023	31 January	Review of the existing file selection and deletion of existing configurations.
February 2023	17 February	End of registration period for customer simulation. Registration is required to provide the required configuration in OCCT.
	20 February	Preparation of the customer simulation with predefined productive data ("snapshot date").
	24 February	The new setup of access to the CBF File Service is not possible until 15 May 2023.
	27 February	Start of the guided customer simulation in OCCT and via the HOST Fileservice. The data from the snapshot date is ready.
March 2023	24 March	End of the guided customer simulation. From 27 March 2023, testing via the HOST Fileservice will no longer be supported.
April 2023	3 April	The extended access management concept for the Xact CBF File Service is available.
	28 April	In production, the files are provided for the last time in the present CBF Fileservice portal via the Deutsche Börse platform.
May 2023	1 May	All files from production are only available for download via the Xact Web Portal.
	2 May	Due to the public holiday, the Xact CBF File Service is actively available as of this day.
June 2023	30 June	Files that were offered for download via the CBF Fileservice up to and including 28 April 2023 are available on an interim basis.
July 2023	1 July	The previous CBF Fileservice will be switched off. Access to the associated website will be blocked.

In order to comply with legal requirements, CBF made the balance confirmations and [year-end statements](#) for the end of 2022 available for electronic retrieval in CBF Fileservice in February 2023. Since access to the CBF Fileservice via the Deutsche Börse AG web portal will no longer be possible from 30 June 2023, CBF recommends customers to retrieve the documentation for CBF and CBF-i accounts via today's CBF Fileservice by latest 15 June 2023. Between 15 and 30 June 2023, CBF prepares the removal of the CBF Fileservice from the current platform.

Contact

For further information, customers may contact [Clearstream Banking Client Services](#) or their Relationship Officer. Questions related to the technical connection can be addressed to [Connectivity Support](#). Particular questions related to the migration of the CBF Fileservice to ClearstreamXact will be routed to and answered by the responsible experts.