

Corporate Actions Harmonisation - KADI DE Funds Migration to OneCAS

Client Simulation Registration Form

CAH KADI DE Funds Migration Client Simulation Registration Form

With this registration form, Clearstream Banking AG (CBF) intends to collect information for the preparation and setup of the Corporate Actions Harmonisation (CAH) Phase 2 - KADI DE Funds Migration to OneCAS client simulation, which will go into production on 1 July 2024.

The simulation will take place between 21 May 2024 and 7 June 2024 and consist of one test cycle where the below test scenarios will be tested. After successful registration, clients can execute dedicated test cases for the new corporate action processing of CBF-issued securities during simulation period. This allows clients to assess possible impacts on their functional and organisational procedures. General information on the impact of CAH KADI DE Migration to OneCAS Phase 2 can be found in the [CAH - KADI DE Migration - Detailed Functional Specifications \(clearstream.com\)](#).

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

- Dividend payment on a German ISIN;
- Dividend payment on a German ISIN paid in USD;
- Split forward;
- Merger event;
- Merger event resulting in fractions;
- Tender offer with interim line;
- Exchange offer.

Please be aware that this list is subject to further adjustments.

The following functionalities are supported during the client simulation:

- Event announcement and entitlement forecast;
- Event instruction via MT565;
- Payments and the corresponding reporting management;
- Reversal/repayment management;
- Transaction management, including market claims, transformations.

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

Please complete the following pages of the CAH KADI DE Funds Migration to OneCAS Client Simulation Registration Form. This form is intended for a limited number of accounts per client. If more than five accounts are needed for the simulation procedures, please contact the OneClearstream team. Completed forms must be returned by email to:

OneClearstream@clearstream.com

by Friday, 10 May 2024

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.

Note: Clients who have already participated in the previous simulation exercise for CAH Phase 1 are required to submit this registration form. Clients can retain the existing setup in the test environment.

Dedicated contact

CBF will use the "Single Point of Contact (SPOC)" concept. Therefore, clients are requested to define a coordinator for the client 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 Funds Migration to OneCAS Client Simulation Registration Form. The SPOC is asked to forward relevant information to the institution's test team responsible for KADI DE Funds Migration to OneCAS related simulation activities.

Test cases may require coordination between clients and counterparties for instruction management. For this purpose, CBF offers a "Disclosed Member List" with corresponding SPOC contact details. The CAH Client Readiness team will send the "Disclosed Member List" to participating clients via OneClearstream@clearstream.com in due time.

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

_____	<input type="checkbox"/> Yes <input type="checkbox"/> No
Represented legal entity	Participation in Disclosed Member List

First name and surname of SPOC	

Email SPOC	

Telephone SPOC	

First name and surname of deputy SPOC	

Email deputy SPOC	

Telephone deputy SPOC	

Place, date and signature of SPOC	

Participation in the client simulation

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

The static data for accounts from the previous simulation period stored in IMS23 and OCCT will be reused. Clients that have not registered for previous client simulations or require their account settings to be verified are requested to contact the OneClearstream@clearstream.com.

Clients wishing to participate in the end-to-end simulation of corporate actions can use the automated connectivity channels (Swift, MQ, File Transfer (FT)) or Xact Web Portal. Also, the T2S UTEST connectivity channels can be used by clients acting in DCP mode.

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

The corporate action reporting to the defined test BIC will be provided based on the setup specified below. 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 must be specified because SWIFT requires the use of test BICs within their simulation environment. If clients 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.

Please indicate in the below table the report types and delivery channels to be used for the CAH Client Simulation:

Category	Setup
Report types	<input type="checkbox"/> MT564 NOTIF <input type="checkbox"/> MT564 CRA (CLAIM AND REVERSAL ADVICE) <input type="checkbox"/> MT564 Income Pre-Advice Report (IPAR) <input type="checkbox"/> MT566 CONFIRMATIONS ENTITL. + CLAIMS <input type="checkbox"/> MT565 CLIENTS INSTRUCTIONS + MT567 FEEDBACKS TO CLIENTS (VOLU+ CHOS).
Frequency	Realtime
Delivery channel	<input type="checkbox"/> Swift <input type="checkbox"/> MQ <input type="checkbox"/> File Transfer
Event types	All
Mandatory/voluntary	All

Clients 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.

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	Production Swift address	Test Swift address	Xact Organisational Unit (OU)
	Choose an item.			
	Choose an item.			
	Choose an item.			
	Choose an item.			
	Choose an item.			

Table B – U2A connectivity

CBF account master	CASCADE-Host			CASCADE-PC			Access to Xact Web Portal in OCCT		
	4-digit account	Yes	No and needed	No and not needed	Yes	No and needed	No and not needed	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 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 the Client Xact Web Portal administrator
<hr/> Name
<hr/> Email
<hr/> Telephone

Trading and settlement account setup

Clients 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, clients must define on account level whether the account used in the client simulation is the settlement account of a member of a German stock exchange. If the account is flagged as a Reg-Über-Zentrale (head office) and/or the simulation shall be executed for a Reg-Über-Filiale (branch), these details must be specified. Clients being a branch are requested to liaise with the head office to agree on the simulation activities.

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

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
		Choose an item.	
		Choose an item.	
		Choose an item.	
		Choose an item.	
		Choose an item.	