

KUSTA Data Carrier User Manual

For clients of Clearstream Europe AG

KUSTA Data Carrier User Manual

Clearstream Europe AG

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Foreword

Clearstream Europe AG (CEU) introduces the KUSTA Data Carrier for CEU clients which can be transmitted via File Transfer procedure and is also available for download from the Clearstream website. This KUSTA Data Carrier User Manual is intended to inform clients about the content of the file. It provides the individual field and format descriptions.

CEU reserves the right to revise and update this User Manual at any time to document the availability of new products and other improvements to the existing communication services. Clients who have specific inquiries about the information in this User Manual should contact Clearstream Client Services teams for questions regarding the functionality. Questions related to the technical connection can be addressed to Client Connectivity Services.

The applicable version is always the latest version available on our website www.clearstream.com.

The structure of this handbook

The KUSTA Data Carrier User Manual:

- Introduces the scope of the KUSTA Data Carrier;
- Shows the layout of the file provided via File Transfer and in XLS format; and
- Provides for each field a functional description.

Important note

Only Clearstream clients can request an automated transmission of the KUSTA Data Carrier [designed](#) for CEU Clients. Clients who wish to participate in this service are requested to provide order form “46 KUSTA Data Carrier” that is available on the Clearstream website under www.clearstream.com under Resource Library / Connectivity / CASCADE / TARGET2-Securities (T2S) / CASCADE forms / [Information Reports](#).

To retrieve the related file from the Clearstream website Premium user access is required. If support is needed, Clearstream Client Services can be contacted.

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1. Description of the KUSTA Data Carrier

The [master account data \(Kundenstammdatensystem \(KUSTA\)\)](#) contains basic information, so that all CEU clients can enter business instructions according to the service descriptions provided by CEU. These instructions will be provided either in Indirectly Connected Participant (ICP) mode, that is, to the CASCADE system, or in Direct Connected Participant (DCP) mode in T2S.

The KUSTA Data Carrier contains the account information of CEU clients that are required for entering the counterparty when submitting instructions and information on exchange participants.

The client data delivered in the file is determined by the consent to publication. The data that is agreed to be published is defined with the flag "Publication Level".

Clients can select one of the following options. The data will be published as defined below:

- A All data;
Provides all fields defined for the KUSTA Data Carrier "CEU Clients".
- B Extended basic data;
Provides the number of the [master account](#), T2S Party BIC (BIC11), Legal Entity Identifier (LEI) , 6-series account, [Underlying Client Segregated Account \(UCSA\) identifier](#) and name supplied in the legal address of the client.
- C Basic data;
Provides the number of [master account](#), T2S Party BIC (BIC11) , 6-series account, Legal Entity Identifier (LEI) and [Underlying Client Segregated Account \(UCSA\) identifier](#) . If no selection is made or a client opts for an "unpublished account", this market relevant data will be published. That is that in any other field no data can be disclosed.

Upon request of the client, the data to be published can be changed at any time.

Clients ordering the KUSTA Data Carrier "CEU Clients" can receive the file in total and in update mode. The file in:

- Total mode can be provided daily, monthly (Ultimo) and quarterly.
Also, if required the file can be provided once at a specific date.
- Update mode will be provided on a daily basis.

On the Clearstream website, under Key Documents / CSD Legacy / Reference data / [Client listing](#) the KUSTA Data Carrier is provided as an XLSX file. The structure of this file is aligned with the data provided via File Transfer. Hence, the description in the following sections is also valid for the XLSX file.

1.1 File structure

This section describes the layout and structure of the KUSTA Data Carrier [designed](#) for CEU clients.

The format descriptions define:

- Numerical values = N
 - If data is not allowed to be disclosed the value “0” will be shown.
 - If the field length exceeds the size of the value defined, leading zeros are added.
- Characters / alphanumeric values = A
 - If no data is available the field will be empty (blank).

The file that is provided via File Transfer Procedure (FTP) has been set up to support 350 characters. [The data fields are each separated by a semicolon](#). Currently, there is space available. These remaining characters are defined as filler.

The table below shows the format description for the file provided via FTP and as XLSX file. This overview can be read as follows.

The column:

- “No.” is used exclusively for documentation purposes.
- “Field name” is used in the XLSX file as header, whereas the file transmitted in FTP has no header row.
- “Description” is a quick reference for the data delivered. More details are available in chapter 2.
- “Format” provides the structure of a field.

1. Description of the KUSTA Data Carrier

No.	Field name	Description	Format
1	Status	Indicator	A(1)
2	Bank	CEU master account	N(4)
3	T2S Party BIC	T2S Party BIC	A(11)
4	LEI	LEI – Legal Entity Identifier	A(20)
5	Name	Name; as given in legal address of the master account	A(71)
6	Strasse	Street	A(30)
7	Land	Country Code	A(3)
8	Postleitzahl	Postal Code	A(10)
9	Ort	City	A(30)
10	Börsenplatz	Place of Stock Exchange	N(1)
11	AWV-Gebiet	German foreign trade regulations – Area	N(1)
12	AWV-Land	German foreign trade regulations – Country	N(3)
13	Kontengruppe	Master account type	N(2)
14	Börsen-Teilnehmer	Stock Exchange Participant	N(1)
15	Auslandsteilnehmer	Client of CEU international (6-series accounts) - if associated account is available	N(1)
16	EUREX-Teilnehmer	Eurex Participant	N(1)
17	Reg-Über	CEU master account used for settlement of Stock Exchange trades	N(4)
18	Teilnahme DvP	Indicator, for settlement against payment	A(1)
19	Bestandsart	Ownership rights of the positions	N(1)
20	6-series account	Alphanumeric five-digit Creation account identification used for the settlement of non-CCP stock exchange instructions in non-collective safe custody securities	A(5)
21	UCSA-Identifizier	Alphanumeric five-digit identifier to be used by CEU counterparties to simplify settlement against CEU clients' settlement account	A(5)

End of table / description

2. Field description

This chapter provides the description for the fields defined in section 1.1 File structure. The fields are ordered by the field number shown in the related table.

Besides the fields that are defined as “market relevant data” all other fields can remain empty.

2.1 Field 1 – Status

Definition:	Indicator defines whether this data set provides information on entry, modification or deletion.
Format:	A(1)
Values:	A Data set modified (Änderung) L Data set deleted (Löschung) Z Data set added (Zugang)
Special note:	For any data set provided in the “complete” mode, the value “Z” will be presented.

2.2 Field 2 – Bank

Definition:	CEU master account number
Format:	N(4)
Values:	No further definition
Special note:	The account number belongs to the market relevant data and is available, even though the client owing this master account opts for an “unpublished participant setup”.

2.3 Field 3 – T2S Party BIC

Definition:	T2S Party BIC This BIC has a 1:1 relationship to the CEU master account and is established on TARGET2-Securities (T2S) as the related T2S Party.
Format:	A(11)
Values:	According to the Swift definition and publication level
Special note:	The T2S Party BIC belongs to the market relevant data and is available, even though the client opts for an “unpublished participant setup”. TARGET2-Securities (T2S) uses this BIC as identifier for a T2S Party. This BIC serves as matching criteria in settlement instructions processed by the platform.

2. Field description

2.4 Field 4 – LEI

Definition:	Legal Entity Identifier (LEI) This code identifies distinct legal identities that engage in financial transactions.
Format:	A(20)
Values:	No further definition
Special note:	The LEI belongs to the market relevant data and is available, even though the client owing the master account opts for an “unpublished participant setup”. In line with the Markets in Financial Instruments Directive (MiFID II), CEU is obliged to store the LEI as this code facilitates greater transparency for all CEU clients.

2.5 Field 5 – Name

Definition:	Name of CEU client as given in the legal address of the master account
Format:	A(71)
Values:	No further definition
Special note:	If the client owing the master account opts for an “unpublished participant setup” or has only permitted the publication of “Basic Data” , “UNPUBLISHED PARTICIPANT” is shown.

2.6 Field 6 – Strasse

Definition:	Street as given in the legal address of the master account
Format:	A(30)
Values:	No further definition
Special note:	Only displayed if the client has permitted the disclosure of all data.

2.7 Field 7 – Land

Definition:	Country will be provided as ISO country code
Format:	A(3)
Values:	CEU uses ISO3166 alpha-2
Special note:	Only displayed if the client has permitted the disclosure of all data. The field is defined with 3 characters, the content is alpha-2, only.

2.8 Field 8 – Postleitzahl

Definition:	Postal code that belongs to field 6 – Strasse (street)
Format:	A(10)
Values:	No further definition
Special note:	Only displayed if the client has permitted the disclosure of all data.

2.9 Field 9 – Ort

Definition:	City as given in legal address of the master account
Format:	A(30)
Values:	No further definition
Special note:	Only displayed if the client has permitted the disclosure of all data.

2.10 Field 10 – Börsenplatz

Definition:	Place of Stock Exchange indicated by CEU-ID
Format:	N(1)
Values:	Definition according to KUSTA database 0 Initial value 1 Berlin 2 München 3 Hamburg 4 Düsseldorf 5 No stock exchange location defined. 6 Stuttgart 7 Frankfurt 8 Hannover 9 No stock exchange location defined.
Special note:	The initial value “0” serves as the default value. Other values are displayed only if the client has permitted disclosure of all data.

2. Field description

2.11 Field 11 – AWV-Gebiet

Definition:	German foreign trade regulations – Area This flag defines whether the CEU client is resident and non-resident.
Format:	N(1)
Values:	Definition according to KUSTA database 0 Initial value 1 Resident (gebietsansässig) 2 Non-resident (gebietsfremd)
Special note:	The initial value “0” serves as the default value. Other values are displayed only if the client has permitted disclosure of all data.

2.12 Field 12 – AWV-Land

Definition:	German foreign trade regulations – Country of origin
Format:	N(3)
Values:	Definition according to WSS Table 09/03
Special note:	Only displayed if the client has permitted the disclosure of all data.

2.13 Field 13 – Kontengruppe

Definition:	Master account type
Format:	N(2)
Values:	Definition according to KUSTA database 00 initial value 01 Client account, account requires a (positive) holding 06 Broker (Makler) 15 Foreign depository 17 Client account, account with positive and negative holding 20 No CEU client (XETRA Member) 36 Counterparty CSD Account
Special note:	The initial value “00” serves as the default value. Other values are displayed only if the client has permitted disclosure of all data.

2.14 Field 14 – Börsen-Teilnehmer

Definition:	Stock Exchange participant This flag defines if the CEU client is a registered member.
Format:	N(1)
Values:	0 initial value 1 No stock exchange member 2 Stock exchange member, Platz and Fern (PUEV Teilnehmer) 3 Stock exchange member, Platz only 4 EUREX participant, only
Special note:	The initial value "0" serves as the default value. Other values are displayed only if the client has permitted disclosure of all data.

2.15 Field 15 – Auslandsteilnehmer

Definition:	Foreign participant This flag defines whether for a CEU account a 6-series account has been appointed for the settlement on the CBL Creation platform. If the 6-series account is populated, the value "2" will be set, else value "0" will be presented.
Format:	N(1)
Values:	0 initial value 2 Settlement via Creation enabled (CEU-AUSL-TEILNEHM)
Special note:	The initial value "0" serves as the default value. Other values are displayed only if the client has permitted disclosure of all data.

2.16 Field 16 – EUREX-Teilnehmer

Definition:	EUREX participant This flag defines if the CEU client is a registered member.
Format:	N(1)
Values:	0 initial value 1 No EUREX member 2 General Clearing member 3 Direct Clearing member 4 Non-Clearing member
Special note:	The initial value "0" serves as the default value. Other values are displayed only if the client has permitted disclosure of all data.

2. Field description

2.17 Field 17 – Reg-Ueber

Definition:	Third Party Relationship The related Head Office (Reg-Über Zentrale) is shown with the respective CEU master account (4 digits).
Format:	N(4)
Values:	No further definition
Special note:	The Head Office (Reg-Über Zentrale) can opt for an “unpublished participant setup”.

Field 18 – Teilnahme DvP

Definition:	Indicator defines if against payment transactions will be possible.
Format:	A(1)
Values:	J Ja (yes); client participates in DvP settlement. N Nein (no); setting for DvP settlement not defined.
Special note:	Although a third-party relationship exists and the Head Office is set up for a participation in DvP settlement, it must be considered that this flag indicates the participation in DvP settlement for the client (Field 2 – Bank). The values “Y” or “N” are displayed only if the client has permitted the disclosure of all data.

2.19 Field 19 – Bestandsart

Definition:	Ownership rights of the positions held in a CEU master account
Format:	N(1)
Values:	0 No information available 1 Not applicable 2 Own assets 3 Not applicable 4 Not applicable 5 Client omnibus 6 Client segregated 7 Not applicable
Special note:	The initial value “0” serves as the default value. Other values are displayed only if the client has permitted disclosure of all data.

2.20 Field 20 – 6-series account

Definition:	Shows the five-digit Creation account used for the settlement of the client's stock exchange trades in NCSC securities. With the finalisation of the project Unified for New Opportunities the 6-series account will be decommissioned.
Format:	A(5)
Values:	No further definition
Special note:	<p>The field "6-series account" is published exclusively in relation to trading on the stock exchanges.</p> <p>It shows the alphanumeric five-digit 6-series account be filled, if:</p> <ul style="list-style-type: none">• The CEU client is admitted to trading on a German stock exchange (field 14 "Börsen-Teilnehmer" contains the value 2 (Stock Exchange member, being a PUEV participant) or 3 (Stock Exchange member, only)); and• The master account serves as head office. <p>The field will be empty, if:</p> <ul style="list-style-type: none">• The CEU client is not admitted to trading on a German stock exchange (field 14 "Börsen-Teilnehmer" filled with value 1 (no Stock Exchange member)); or• The master account is set up for a branch.

2.21 Field 21 – UCSA-Identifier

Definition:	Alphanumeric five-digit identifier to be used by CEU counterparties to simplify settlement against CEU clients' settlement account
Format:	A(5)
Values:	No further definition
Special note:	<p>The field is published if the CEU client has subscribed to the UCSA-Identifier Service.</p> <p>It shows the alphanumeric five-digit identifier so that a client's counterpart can use a simplified instruction format.</p> <p>The identifier be filled, if the CEU client registered for the service</p> <p>The field will be empty, if the CEU client did not apply for the service.</p>

2.22 Filler

Definition:	This field does not contain any information. Consequently, this field is defined by its lengths, only. The length is represented by the values available for enhancements
Format:	Characters; the length depends on the remaining space to complete the size of 350 characters.
Values:	Not applicable
Special note:	CEU continues to enhance its services. Modifications are announced in due time on the Clearstream website .

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