

NNA Portal Investment Fund Services

User Guide

June 2026
Clearstream

Document number: 7326

June 2026

Information in this document is subject to change without prior notice.

This document is the property of Clearstream Banking S.A. ("Clearstream Banking" or "CBL") and may not be altered without the prior express written consent of Clearstream Banking. Information in this document is subject to change without notice and does not represent a commitment on the part of Clearstream Banking, or any other subsidiary or affiliate of Clearstream International, S.A. This document does not constitute a Governing Document as defined in Clearstream Banking's General Terms and Conditions. The sole purpose of this document is to provide Clearstream Banking's clients and service beneficiaries with information about the services described herein, and Clearstream Banking does not permit this document to be used for any other purpose without the prior express written consent of Clearstream Banking. This document is available in electronic format and may be provided in other formats at the discretion of Clearstream Banking. Clearstream Banking grants its clients and service beneficiaries permission to reproduce, store and print this document to the extent deemed reasonable and necessary for receiving from Clearstream Banking the services described herein. Any software provided, as set out in the present document, shall be provided under the applicable license terms.

Unless otherwise stated, all times are given in Central European Time (CET).

© Clearstream (2026). All rights reserved.

Clearstream, CFF and Vestima are registered trademarks of Clearstream Services S.A.

Foreword

Clearstream Banking, as National Numbering Agency for Luxembourg, issues ISIN, CFI and FISN codes for any Luxembourg-domiciled securities, according to [ANNA guidelines](#) and more specifically for Luxembourg-incorporated investment funds and companies.

Definitions:

- ISIN: International Securities Identification Number being a twelve-digit alphanumeric code which uniquely identifies specific security as per ISO 6166
- CFI: Classification of Financial Instruments being a security description code defining the instrument characteristics as per ISO 10962:2015 when the concerned financial instrument is issued.
- FISN: Financial Instrument Short Name code developed to provide a consistent and uniform approach (as per ISO 18774:2015) to standardise short descriptions for financial instruments.

The NNA Portal is a dedicated web-based application covering the NNA services linked to Clearstream Banking's role as NNA simplifying the LU ISIN issuance process for Luxembourg domiciled investments funds by providing an integrated request workflow management to ISIN requestors, as well as providing further services, such as an optional Clearstream Banking eligibility assessments (for settlement and custody) on the beforementioned issued LU ISIN codes.

Contact details

For further information or if you have specific questions about the NNA Portal and/or communication with Clearstream Banking, you can contact Clearstream Banking as follows:

Telephone:	+352-243-38110	Connectivity Support for access/configuration issues
	+352-243-32833	Investment Funds Services - Client Services
	+353 21 2372 393	Funds Services – ISIN Issuance
Email:	connectlux@clearstream.com	
	cvestima@clearstream.com	
	ISINIssuance@clearstream.com	
Website:	www.clearstream.com	Clearstream website
	https://www.clearstream.com/clearstream-en/funds-services	Clearstream Fund Services

If you need assistance with the NNA Portal, please have the following information to hand in before contacting Clearstream Banking:

- Your organisation name and NNA Participant Identity (ID);
- Your name, telephone number and Clearstream Banking numbers and your email address;
- The make and model of your PC;
- The type and version of your operating system and web browser software;
- Details of the enquiry (please have full details available);
- If you receive an error message, the full details of the error, with any error message number.

Contents

1.	Getting started	6
1.1	NNA Portal login	6
1.2	NNA Portal structure	6
1.2.1	Header section	7
1.2.2	Content section	8
2.	General features	9
2.1	Main controls	9
2.2	Notifications and emails	10
2.3	Comments	14
2.4	Four-eyes approval	15
2.5	Request / maintenance ticket status	16
3.	Request creation	17
3.1	Request type selection	17
3.2	New ISIN issuance request	18
3.3	New ISIN issuance request with CBL eligibility assessment	37
3.4	New CBL eligibility assessment request on existing ISINs	40
3.5	New maintenance ticket	44
4.	ISINs and eligibility requests dashboard	53
4.1	Purpose	53
4.2	Controls	54
4.3	List of results	55
4.4	Data export	57
4.5	Miscellaneous	57
5.	Maintenance Ticket Handling Dashboard	58
5.1	Purpose	58
5.2	Controls	59
5.3	Data export	60
6.	ISIN Status Search	61
6.1	Purpose	61
6.2	Search description	61
6.3	Filters	62
6.4	List of results	64
6.5	Search by upload	64
6.6	ISIN status detail	65

1. Getting started

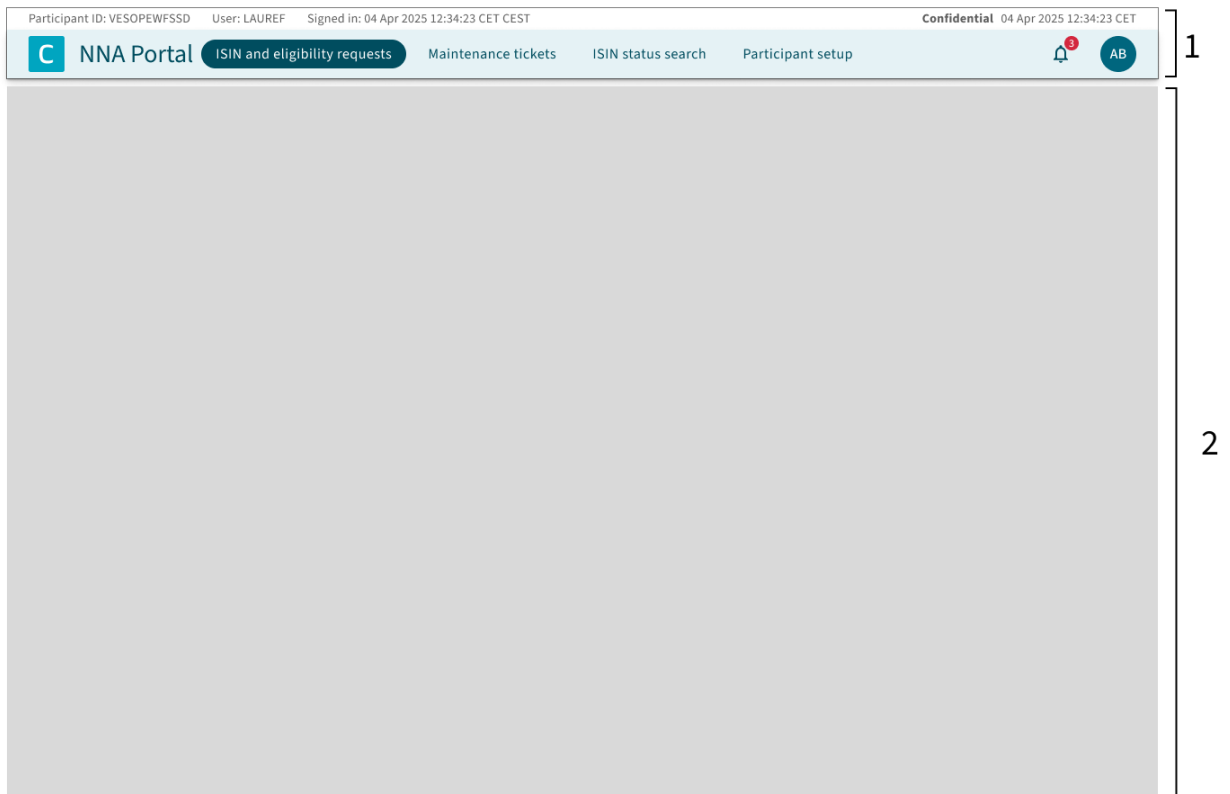
1.1 NNA Portal login

The NNA Portal is available via the Xact Web Portal once set up at the NNA Participant level. For further details on the Xact Web Portal, please refer to the Clearstream website:

- Xact Web Portal.
- Xact Web Portal documentation.

After successfully logging in, the user is directed to the **NNA Portal homepage**.

1.2 NNA Portal structure



1 – header section

2 – content section

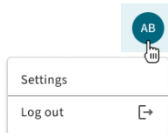
1.2.1 Header section

At the top, above the navigation header, a status bar displays the participant code, the username, whether 4-eyes approval is required for the current participant (yes or no), and the date and time the user signed in. On the right side of the status bar, the label "Confidential" and the current date and time are displayed.

Located at the top of the screen, the header section (1 on the figure above) provides access to notifications and profile settings.



Notifications Displays notifications and alerts to the user when an action has been performed or is required for a request or a maintenance ticket. For additional information, please refer to the [Notifications and Emails](#) section.



Requestor Profile Gives access to the User Settings page and the Logout button. Via the User Setting page, the user can:

- View the NNA Participant ID and Name associated with the user.
- Check whether the NNA Participant is subject to the four-eyes principle.
- Enable email notifications (for additional information, please refer to the [Email notifications section](#)).

Navigation part of a header

ISIN and eligibility requests

ISIN and eligibility requests dashboard

Provides access to all ISIN allocation and/or CBL eligibility assessment requests for the NNA Participant. While the Homepage resets all filters, this dashboard retains applied filters for the duration of the session. For additional information, please refer to the [ISIN and eligibility requests dashboard](#). From this page the user also can create a new request for ISIN issuance and/or CBL eligibility assessment.

Maintenance tickets

Maintenance ticket handling dashboard

Provides access to all maintenance tickets for your NNA Participant. Maintenance tickets relate to specific events such as ISIN cancellation, ISIN maturity, Fund name change, ISIN archiving, Decimal Change, Issue Price Change, Confidentiality Status Change and Currency Change. For additional information, please refer to the [Maintenance Ticket Handlings Dashboard](#) section. From this page, the user can also create a new maintenance ticket.

ISIN status search

ISIN Status search.

Allows a user to, for example, search for the current ISIN status and/or CBL eligibility status in a list of ISINs as well as retrieve the latest CBL eligibility assessment confirmation in a list of ISINs (as applicable). For additional information, please refer to the [ISIN status search](#) section.

1.2.2 Content section

In the centre of the screen, the content section (3 on the figure above) displays details related to the selected dashboard. In this area, depending on the page displayed, the user will be able to view information, apply filters to narrow down results, download reference data as applicable

2. General features

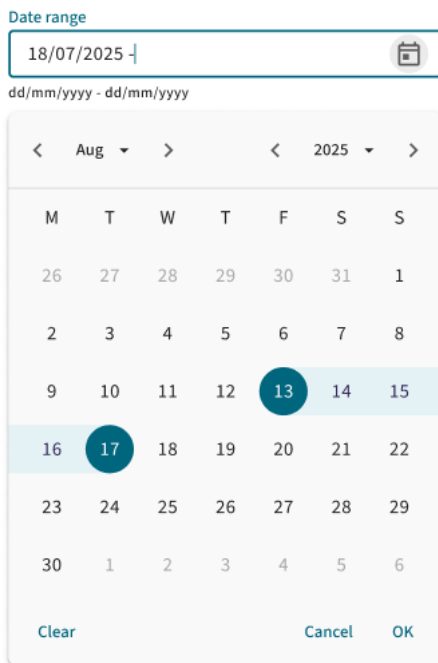
2.1 Main controls

Table pagination



Allows the user to navigate through a list of results displayed over multiple pages.

Calendar date range picker



Allows the user to specify a date range to filter the results displayed in the table.

Check box



Allows the user to select /deselect an item by ticking the check box and vice-versa.

Input field



Allows the user to enter free-text input within the permitted range of alphanumeric characters. Mandatory fields are marked with an asterisk (*).

Dropdown field

Request status

Select/unselect all
 Draft
 Submitted
 In progress
 Clarification required
 Fully completed
 Rejected
 Partially completed
 Canceled

Allows the user to select one or multiple values within a predefined list. The field can be expanded by clicking on the dropdown icon ▼. Where multiple values are selectable, check boxes are available.

2.2 Notifications and emails

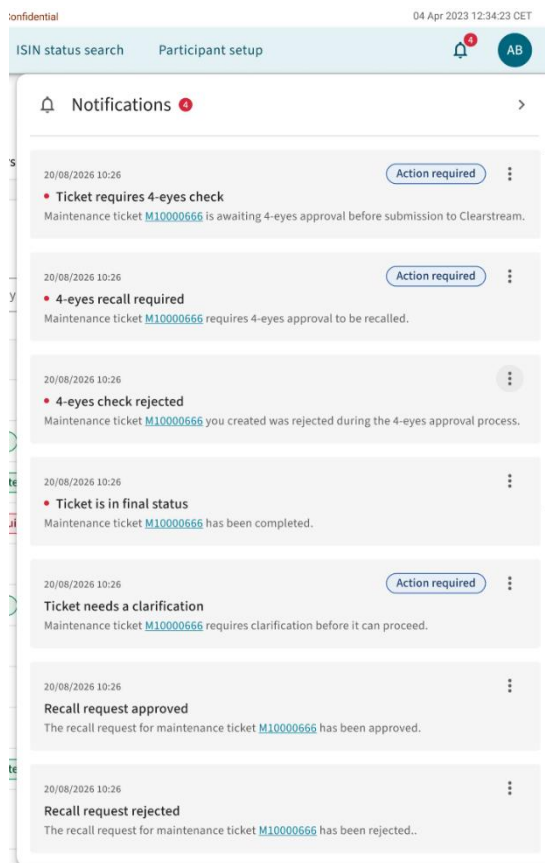
NNA Portal notifications

The NNA includes a notification system that alert users when an action has been performed or is required for a request or maintenance tickets.

To access the notifications panel, click on the following icon in the header section at the top right of the screen.



Below is an example of a notification drawer:



The notification panel displays alerts for all requests and maintenance tickets with a description of the action required.

The following events trigger notifications:

1. **4-eyes approval required to submit a request or ticket**
A notification is sent when a 4-eyes approval is required. The user must approve or reject the 4-eyes check. Only users with the required authorisation will receive this notification.
2. **4-eyes approval required to recall a request or ticket**
A notification is sent when approval is required to recall a request or a maintenance ticket. The user must approve or reject the recall. Only users with the required authorization will receive this notification.
3. **4-eyes approval rejected**
A notification is sent only to the user who requested the 4-eyes approval.
4. **Request/Ticket status changed to “Completed”, “Partially completed” or “Rejected”**
A notification is sent to all users of the participant.
5. **Clarification required for a request or ticket**
A notification is sent to all users of the participant.
6. **Recall request approved or rejected**
A notification is sent when the recall of a request or ticket is approved or rejected by Clearstream.

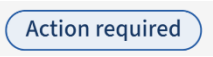
7. **External comment received**

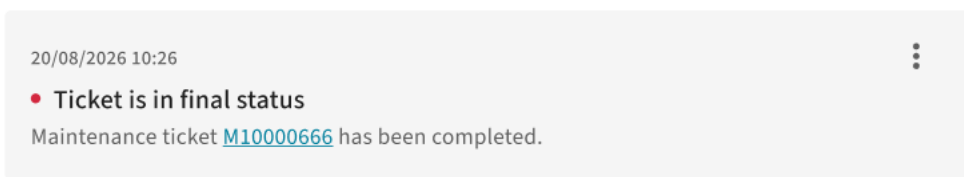
A notification is sent when the user receives an external comment from Clearstream within a request or ticket.

8. **Request/Ticket status changed to “In progress”**

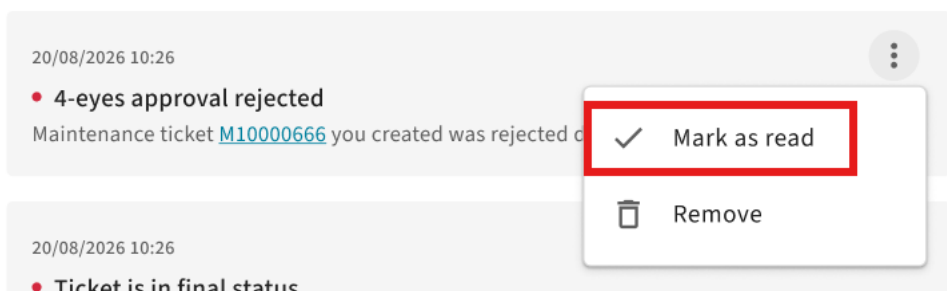
A notification is sent to the requestor when its status of the request or maintenance ticket changes to “In progress”.

Notification behaviour

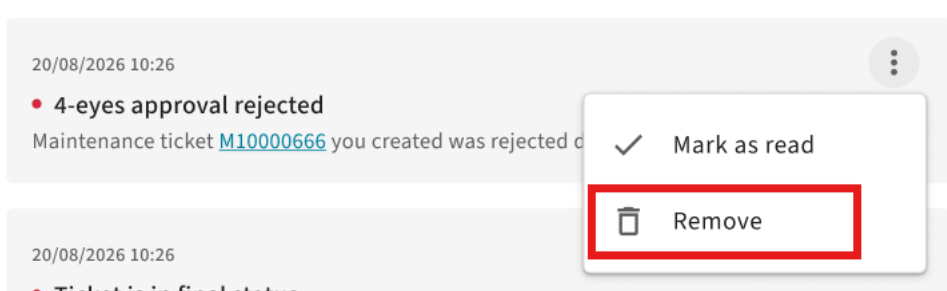
- When clicking a notification link, the user is automatically redirected to the relevant page where action is required or where additional information is available.
- If a specific action is required, an **“Action required”** indicator is displayed. The indicator disappears once the required action has been completed. 
- Notifications have **read** and **unread** statuses. Unread notifications are marked with a red badge at the beginning of the title.



- Users can manually mark a notification as read. They also can mark them as unread.

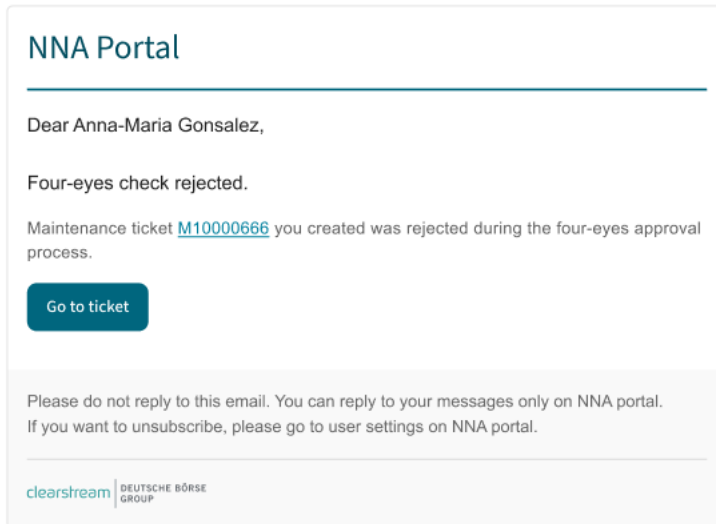


- A notification is automatically marked as read when the user navigates to the related ticket or request detail page, regardless of whether the navigation occurs via:
 - the notification link,
 - email,
 - dashboard,
 - or any other entry point.
- For **“External comment received”** notifications, the notification is marked as read only after the user opens the **External comments** drawer.
- Notifications are displayed for **one month** from the date they are generated.
- The user can delete a notification by opening the menu in the top-right corner and selecting **Delete**.



Email notifications

The NNA Portal gives you the option to receive notifications via email if enabled. This functionality allows users to receive notifications without needing to be connected to the NNA Portal.



Email notifications can be enabled or disabled via **Preferences** in the **User profile** menu, accessible from the header at the top-right corner of the screen. To open the menu, click the user avatar. When enabled, an email is sent to the address defined under **My Profile** in the Xact Web Portal.

Participant: NNA.PART1 Institut - NNA.PART1 User: NNAUser1 Requires 4 eyes: Yes Signed in: 30/04/2026 16:04:57 CET Confidential 30/04/2026 14:11:00 CET

NNA Portal ISINs and eligibility requests Maintenance tickets ISIN status search

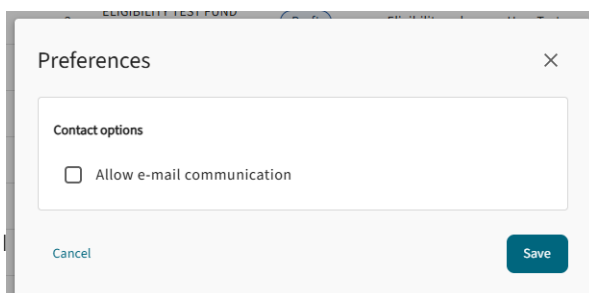
ISIN and eligibility requests dashboard

This dashboard displays all request types for ISIN issuance and eligibility checks. Use filters and search to find specific requests.

Download xls Pending (42) Clarification required (9) Closed (8040)

Creation date Request status Request type Search request ID, umbrella, ISIN Clear all Search


Req ID ↓	Creation date	#ISINs	Umbrella/Fund name	Request status	Request type	Modified by	4 Eyes	Details
R125704	30/04/2026 14:03:43 CET	2	ELIGIBILITY TEST FUND 260430140346	Draft	Eligibility only	User Test	---	
R125700	30/04/2026 13:58:01 CET	1	FUND NAME 260430135802	Draft	Issuance and Eligibility	User Test	---	
R125699	30/04/2026 13:57:34 CET	2	FUND NAME 260430135735	Draft	Issuance only	User Test	---	
R125698	30/04/2026 11:41:12 CET	2	ELIGIBILITY TEST FUND 260430114114	Draft	Eligibility only	User Test	Required	
R125697	30/04/2026 11:40:53 CET	1	FUND NAME 260430114054	Draft	Issuance and Eligibility	User Test	Required	
R125696	30/04/2026 11:40:36 CET	2	FUND NAME 260430114036	Draft	Issuance only	User Test	Required	
R125695	30/04/2026	2	ELIGIBILITY TEST FUND	Draft	Eligibility only	User Test	Required	




2.3 Comments

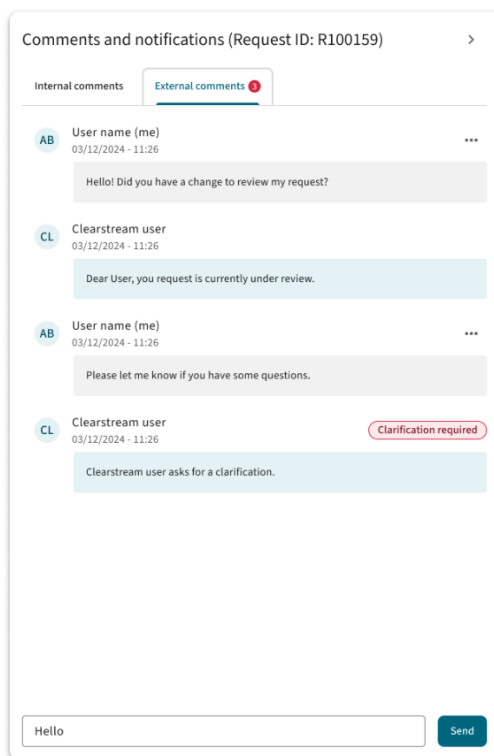


When navigating across the NNA portal, the user can observe following icons and in the different dashboards and in the detailed sections of the requests and maintenance tickets.

 refers to comments and is only visible to, and usable by users linked to the same NNA Participant of an organisation. Clearstream Banking users do not have access to this area. It enables users within the same participant to communicate with each other.

 refers to external comments and is visible to, and usable by both NNA Participant users and Clearstream Banking users.

When the user selects either of these icons, a panel slides in from the right side of the screen.



Within this panel, the user will see two tabs at the top: internal comments and external comments. If the user selects the external comments icon, the external comments tab opens by default. A badge next to each tab indicates the number of unread messages.

In the external comments section, users can exchange messages with Clearstream. In the internal comments section, users can exchange messages with other users associated with the same NNA Participant.

2.4 Four-eyes approval

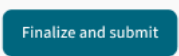
If four-eyes approval is enabled at the NNA Participant level, certain actions related to requests or maintenance tickets (for example, submission, recall) will require validation and approval by a second user.

Step User 1 (Request Submission)

User 2 (Request Approval)

An example of a request submission is provided below:

- 1 User 1 completes a request and submits it for four-eyes approval by clicking on the following action button.

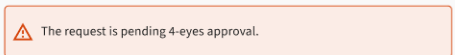


Finalize and submit

- 2 Once the request is submitted, user 1 is informed that the request is awaiting four-eyes' approval:

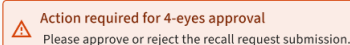


The request you created is pending 4-eyes approval.



The request is pending 4-eyes approval.

User 2 is informed via notification that a request is awaiting four-eyes' approval. By clicking on the notification, user 2 is redirected to the relevant page with following warning:




Action required for 4-eyes approval
Please approve or reject the recall request submission.

- 3 User 2 verifies the information provided and approves or rejects the request using following buttons:



Reject request



Approve request

If rejected, user 2 is requested to add an internal comment describing the rejection reason.


- 4 If rejected, user 1 applies the required changes and resubmits the request following steps 1-3.

- 5 If approved, the request is completed and submitted to Clearstream Banking for further processing.

If the 4-eyes approval is enabled at the NNA Participant level, both the Request Handling Dashboard and the Maintenance Ticket Handling Dashboard will display a sortable "4-eyes" column. This column facilitates the review process by providing various statuses, such as +4-eyes Required, Approved, Rejected or not applicable ("---").

2.5 Request / maintenance ticket status

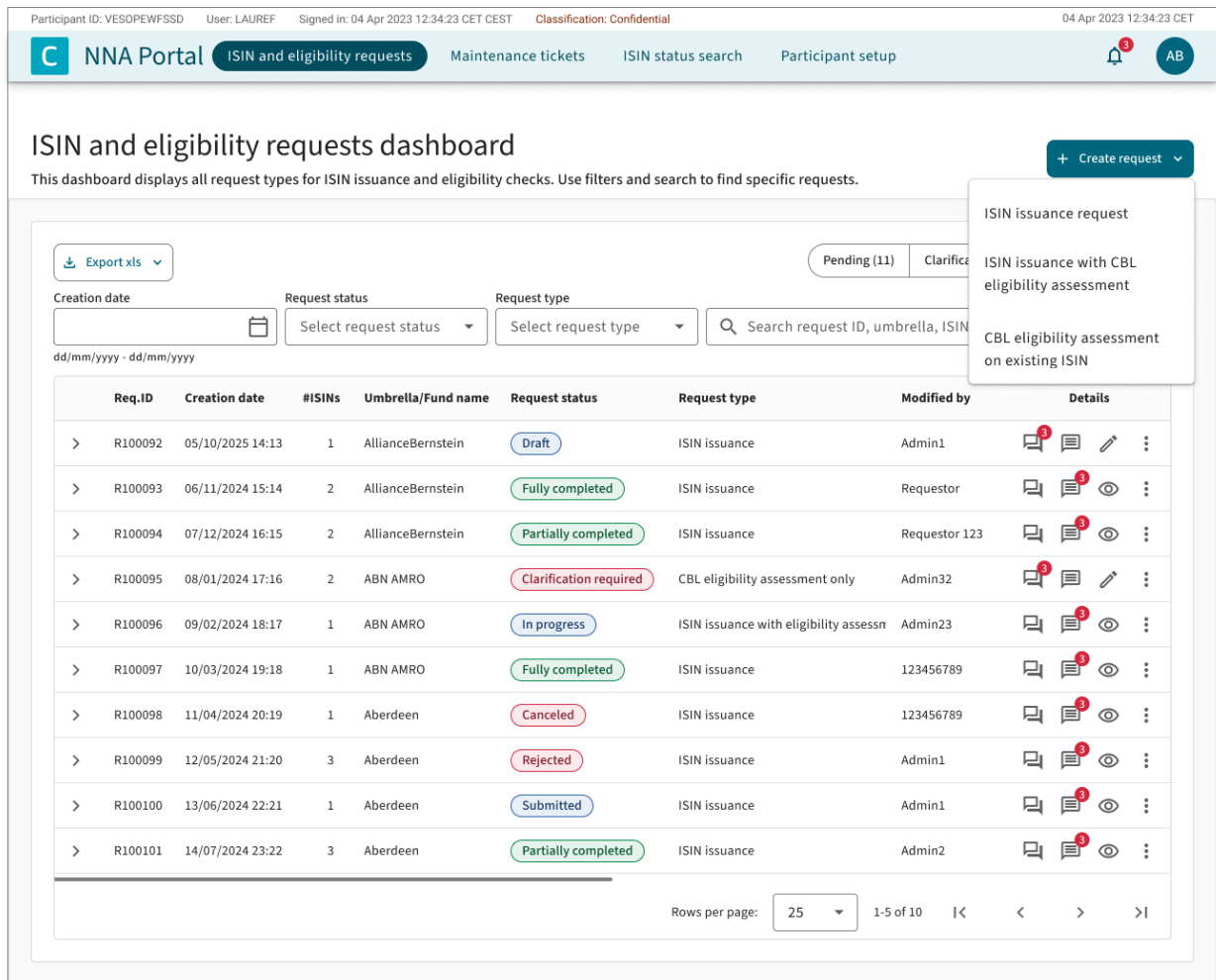
Requests and maintenance tickets may have one of the following statuses:

Status	Description
New	Temporary status when the request/maintenance ticket creation started. Users can save the request/ticket as "Draft" or Submit to Clearstream for processing. The requests/tickets in status "New" are not listed in dashboards.
Draft	The request/maintenance ticket creation is in progress and has not been submitted to Clearstream Banking for processing yet.
Submitted	The request/maintenance ticket has been submitted successfully to Clearstream Banking and is awaiting review.
In Progress	The request/maintenance ticket is being reviewed by Clearstream Banking.
Clarification Required	Clearstream Banking requires further information or clarification to proceed with the request. Details on Clearstream Banking's clarification demand are made available via the external comments dialogue box  .
Fully Completed	The request/maintenance ticket has been fully processed by Clearstream Banking and is now closed.
Rejected	The request/maintenance ticket has been fully rejected by Clearstream Banking and is now closed. The request rejection reasons are made available to the user.
Partially Completed	The request/maintenance ticket has been fully processed by Clearstream Banking with certain items being rejected and is now closed. The rejection reasons per item are made available to the users.
Cancelled	The request/maintenance ticket has been cancelled by the user. A cancellation is only possible with a previous status being "Draft" or "Submitted".

3. Request creation

3.1 Request type selection

By clicking the “Create request” button, the user can select one of three request types: ISIN issuance request, ISIN issuance request with CBL eligibility assessment, or CBL eligibility assessment request on existing ISINs.



ISIN issuance request

Allows the user to create a request for ISIN issuance only. Once selected, the user is redirected to a new page where they are prompted to upload the fund prospectus (draft or final version) and to fill out fund details using the designated fields. This request type does not include any CBL eligibility assessment. For additional information, please refer to the [New ISIN issuance request](#) section.

ISIN issuance request with CBL eligibility assessment

Allows the user to create a request for ISIN issuance with a CBL eligibility assessment for a given fund. Once selected, the user is redirected to a new page where they are prompted to upload the fund prospectus (final version only) and to

fill out fund details in the designated fields. For additional information, please refer to the [New ISIN issuance request with CBL eligibility assessment](#) section.

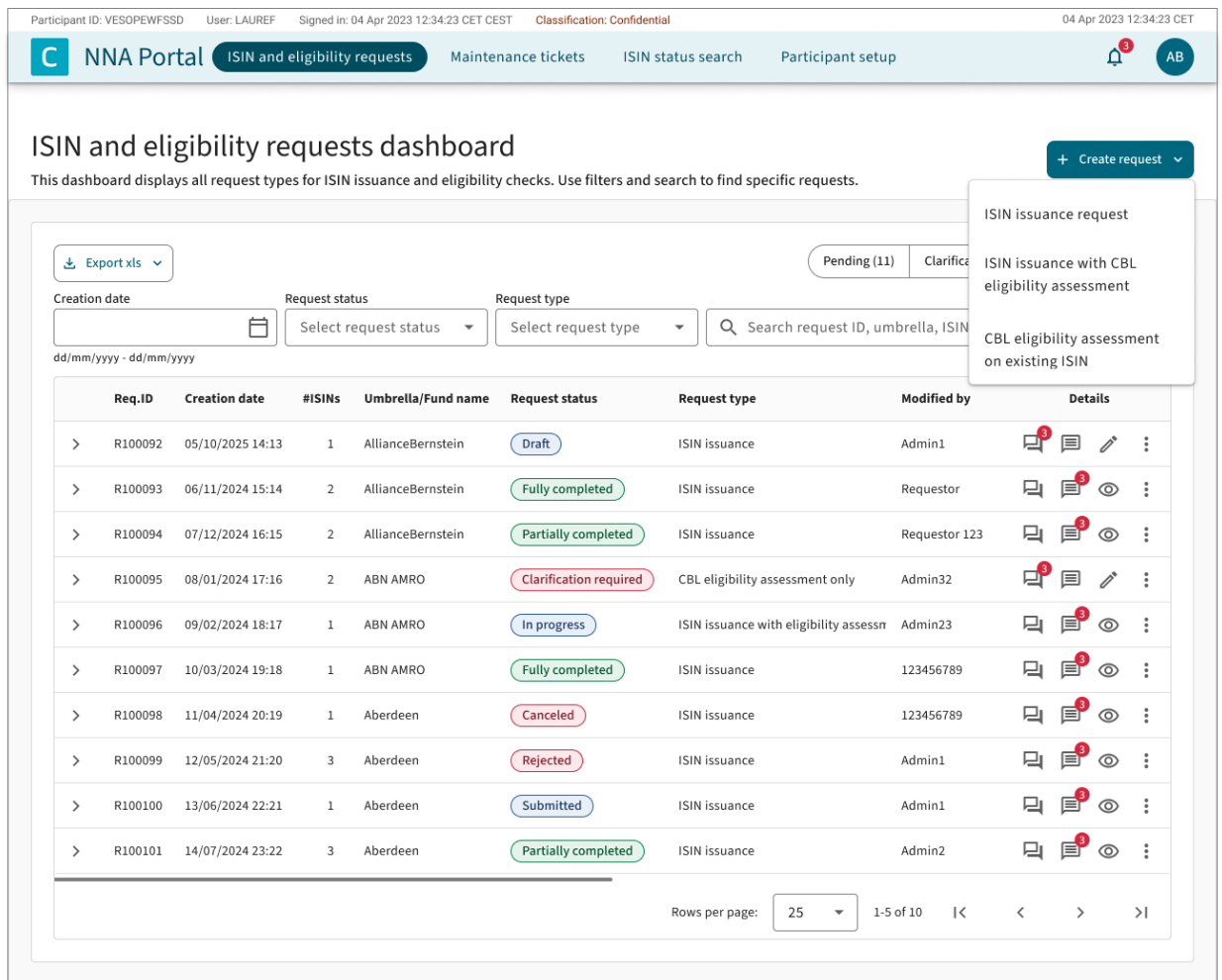
CBL eligibility assessment request on existing ISINs

Allows the user to create a request for a CBL eligibility assessment on a fund having an ISIN already issued. The issuance of this ISIN may have occurred via the NNA Portal or before the inception of the portal. For additional information, please refer to the [New CBL eligibility assessment request on existing ISINs](#) section.

3.2 New ISIN issuance request

Request Initiation

To create a new ISIN issuance request, the user should click on the “Create request” button on the ISINs and eligibility requests dashboard, on the right top side of the screen. From the menu, user then selects “ISIN issuance request”.



Once redirected, the user is presented with the following page structure:

Participant ID: VES0PEWFSSD User: LAUREF Signed in: 04 Apr 2025 12:34:23 CET CEST Confidential 04 Apr 2025 12:34:23 CET

NNA Portal ISIN and eligibility requests Maintenance tickets ISIN status search Participant setup

← New ISIN issuance request

1

Funds details — Attach documents — Finalize and submit

Please add one or multiple funds to this request. You have the possibility to add one fund at a time or to make a Bulk Upload. Please be aware all funds need to have the same Umbrella/Fund Name.

2 *Mandatory field

Umbrella/Fund name*

Sub-fund name*

LEI of sub-fund or standalone fund (as applicable)

Is the fund confidential*

Please be aware if you choose to set the Confidential Flag to 'No', the Prospectus you attach will be available for all Clearstream Participants. If you wish your Prospectus and ISIN to remain private, please set the confidential flag to 'Yes'.

Yes No

Share class extension*

Share class currency*

Share class launch price*

No decimals

Share class decimal places*

Distribution policy*

Assets*

Additional information (optional)

4000 characters left

Show item audit trail Save fund details

3

Current funds in request Bulk funds upload

#	Item name	Status	Details
1		Editing	

+ Add another fund

4 + Add comments to request

Request ID: R00001 Status: Temporary
Created: 05/11/2024 14:10:12 Type: ISIN Issuance
Processed time: Pending Show audit trail

5

Cancel Save as draft Save and continue

1. The stepper section allows the user to navigate through the different steps required to create the request.
2. The content section displays the information related to the selected step in the stepper, namely Fund Details, Attach documents, and Finalize and Submit (or Overview for the users with read only rights and for the statuses) .
3. The “Current funds in the request” section is visible only on the Fund Details step and displays the list of funds included in the request. It allows the user to navigate between fund details by selecting a specific fund. This section also includes a Bulk Funds upload option, enabling multiple fund details to be uploaded using a single spreadsheet.
4. The details section provides request-related information such as the request ID, creation date, processing status, request status, request type, and request audit trail. From this section, the user can also access or initiate internal and external comments. For more information, refer to the [Comments](#) section for internal and external comments, as well as the [Request / maintenance ticket status](#) section for details on request statuses. This section is accessible from all steps.
5. The action button section enables the user to perform context-specific actions, depending on the page selected in the navigation menu.

The following chapters will cover each content section.

Fund Details

The user can add one or more fund classes belonging to the same umbrella to the request. This can be done either by adding fund classes individually or by using the bulk upload functionality.

Please note that the maximum number of classes supported with a single request is 500 items.

Participant: NNA.PART1 Institut · NNA.PART1 User: NNAUser1 Requires 4 eyes: Yes Signed in: 21/04/2026 17:07:44 CET Confidential 21/04/2026 15:49:23 CET

C NNA Portal ISINs and eligibility requests Maintenance tickets ISIN status search UT

← New ISIN issuance request

1 Funds details 2 Attach documents 3 Finalize and submit

Please add one or multiple funds to this request. You have to possibility to add one fund at a time or to make a Bulk Upload. Please be aware all funds need to have the same Umbrella/Fund name. ×

*Mandatory field

Umbrella/Fund name*

Sub-fund name

LEI of sub-fund or standalone fund (as applicable)

Is the fund confidential

Current funds in request ↓ Bulk funds upload

#	Item name	Status	Details
1	---	Adding	📄 ✎ 🗑

Add another fund

+ Add comments to request

Request ID: R112774 Status: New
Created: 21/04/2026 15:07:55 CET Type: Issuance only
Processed time: Pending [Show audit trail](#)

In this section, each fund class requires specific reference data, where the mandatory ones are flagged with an asterisk (*). This reference data includes umbrella, sub-fund (if applicable), LEI, share class extension, share class currency,

Manual input of data

To save the entered fund class details, the user must select “Save Fund Details” at the bottom of the screen. A warning is displayed in case of incorrect or missing data.

Once all mandatory fields are completed correctly, the fund class is added to the “Current Funds in the Request” section on the right-hand side of the screen. The “Save Fund Details” button becomes available only after all mandatory data has been entered.

Participant ID: VESOPEWFSSD User: LAUREF Signed in: 04 Apr 2025 12:34:23 CET CEST Confidential 04 Apr 2025 12:34:23 CET

NNA Portal ISIN and eligibility requests Maintenance tickets ISIN status search Participant setup

← New ISIN issuance request

1 Funds details — 2 Attach documents — 3 Finalize and submit

Please add one or multiple funds to this request. You have the possibility to add one fund at a time or to make a Bulk Upload. Please be aware all funds need to have the same Umbrella/Fund Name. ✕

*Mandatory field

Umbrella/Fund name*
Abante

Sub-fund name*
ABANTE DISTRIBUCION A V SA

LEI of sub-fund or standalone fund (as applicable)

Is the fund confidential*

⚠ Please be aware if you choose to set the Confidential Flag to 'No', the Prospectus you attach will be available for all Clearstream Participants. If you wish your Prospectus and ISIN to remain private, please set the confidential flag to 'Yes'. ✕

Yes No

Share class extension*
B

Share class currency*
USD

Share class launch price*
130
No decimals

Share class decimal places*
4

Distribution policy*
Accumulation funds

Assets*
Balanced Fund (BLF)

Additional information

Show item audit trail

Save fund details

Current funds in request Bulk funds upload

#	Item name	Status	Details
1	ABANTE ASESORE	Saved	
2		Editing	

+ Add another fund

+ Add comments to request

Request ID: R00001 Status: Temporary

Created: 05/11/2024 14:10:12 Type: ISIN Issuance

Processed time: Pending [Show audit trail](#)

Cancel Save as draft Save and continue

To add a new fund class to the request:

- Click on “+ Add another fund” in the above-shown “Current funds in request” section to start from a blank template for this new class; or
- To use an already populated fund class as template, click on its icon to create a new fund class with the same reference data points. Please remember where relevant the data points are specific to this new fund class.


Current funds in request Bulk funds upload


#	Item name	Status	Details
1	Test	Saved	

+ Add another fund

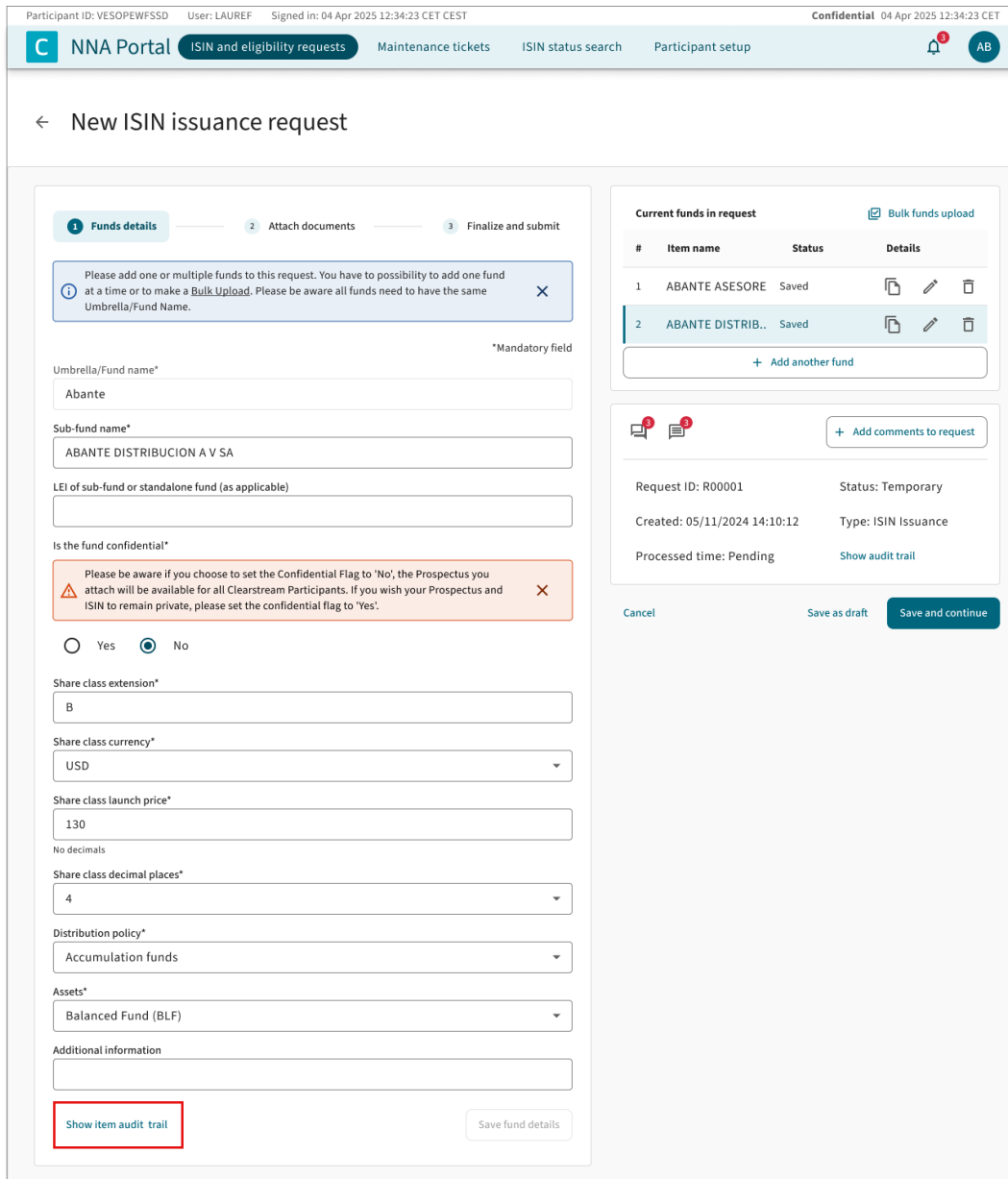
In any case, please click on “Save Fund Details” at the bottom of the screen to submit the reference data of

the new fund class in the request.

To edit a particular fund class already added to the request, the user must select on the icon  next to the applicable class located in the above-shown "Current funds in request" section. Once the modifications are processed, please click on "Save fund details" at the bottom of the screen to submit the updated reference data in the request.

To delete a particular class, the user must click on the icon  located next to the applicable class in the above-shown "Current funds in request" section.

The link "Show data audit" available at the bottom of the page allows the user to view the data modification history for a particular fund class.



Participant ID: VESOPEWFSSD User: LAUREF Signed in: 04 Apr 2025 12:34:23 CET CEST Confidential 04 Apr 2025 12:34:23 CET

NNA Portal ISIN and eligibility requests Maintenance tickets ISIN status search Participant setup

← New ISIN issuance request

1 Funds details | 2 Attach documents | 3 Finalize and submit

Please add one or multiple funds to this request. You have the possibility to add one fund at a time or to make a [Bulk Upload](#). Please be aware all funds need to have the same Umbrella/Fund Name. ✕

Umbrella/Fund name* *Mandatory field
Abante

Sub-fund name*
ABANTE DISTRIBUCION A V SA

LEI of sub-fund or standalone fund (as applicable)

Is the fund confidential*

Please be aware if you choose to set the Confidential Flag to 'No', the Prospectus you attach will be available for all Clearstream Participants. If you wish your Prospectus and ISIN to remain private, please set the confidential flag to 'Yes'. ✕

Yes No

Share class extension*
B

Share class currency*
USD

Share class launch price*
130
No decimals

Share class decimal places*
4







Distribution policy*
Accumulation funds

Assets*
Balanced Fund (BLF)

Additional information

[Show item audit trail](#) Save fund details

Current funds in request Bulk funds upload

#	Item name	Status	Details
1	ABANTE ASESORE	Saved	  
2	ABANTE DISTRIB..	Saved	  

[+ Add another fund](#)

✎ ✎ + Add comments to request

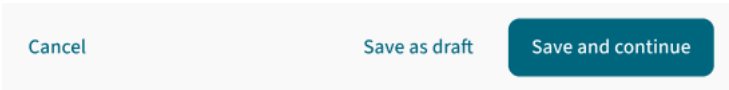
Request ID: R00001 Status: Temporary
Created: 05/11/2024 14:10:12 Type: ISIN Issuance
Processed time: Pending [Show audit trail](#)

Cancel Save as draft Save and continue

Item audit trail >

Field	Previous value	New value	Update by	Date of change
ISIN	-	LU1234567896	Michael Scott Smith	10/11/2025 10:26:00
Common code	-	012112360	Alice Johnson	30/10/2025 16:32:12
FISN	-	UKWN/EUR	Emma Brown	30/10/2025 16:40:12
Umbrella/Fund name	-	Amundi mutual funds	James Wilson	29/10/2025 14:32:12
Sub-fund name	-	SUB-fund Test	James Wilson	29/10/2025 14:32:12
Share class extension	-	B	James Wilson	29/10/2025 14:32:12
Share class launch date	-	01/01/2025 00:00:00	James Wilson	29/10/2025 14:32:12
Share class decimal places	-	2	James Wilson	29/10/2025 14:32:12
Distribution policy	-	Accumulation funds	James Wilson	29/10/2025 14:32:12
Fund structure	-	Hedge funds	James Wilson	29/10/2025 14:32:12

At any time during the reference data input, the user can save the request as a draft and continue editing it at a later stage. To do so, the user must select “Save as Draft” in the bottom right action button sections (section 5).



Bulk upload of data (optional function)

Alternatively, to manual input, the user can download a blank template, or the data already input manually, complete the reference data via an Excel file (XLS/XLSX) and upload it into the NNA Portal. This functionality is particularly useful when submitting a large number of items.

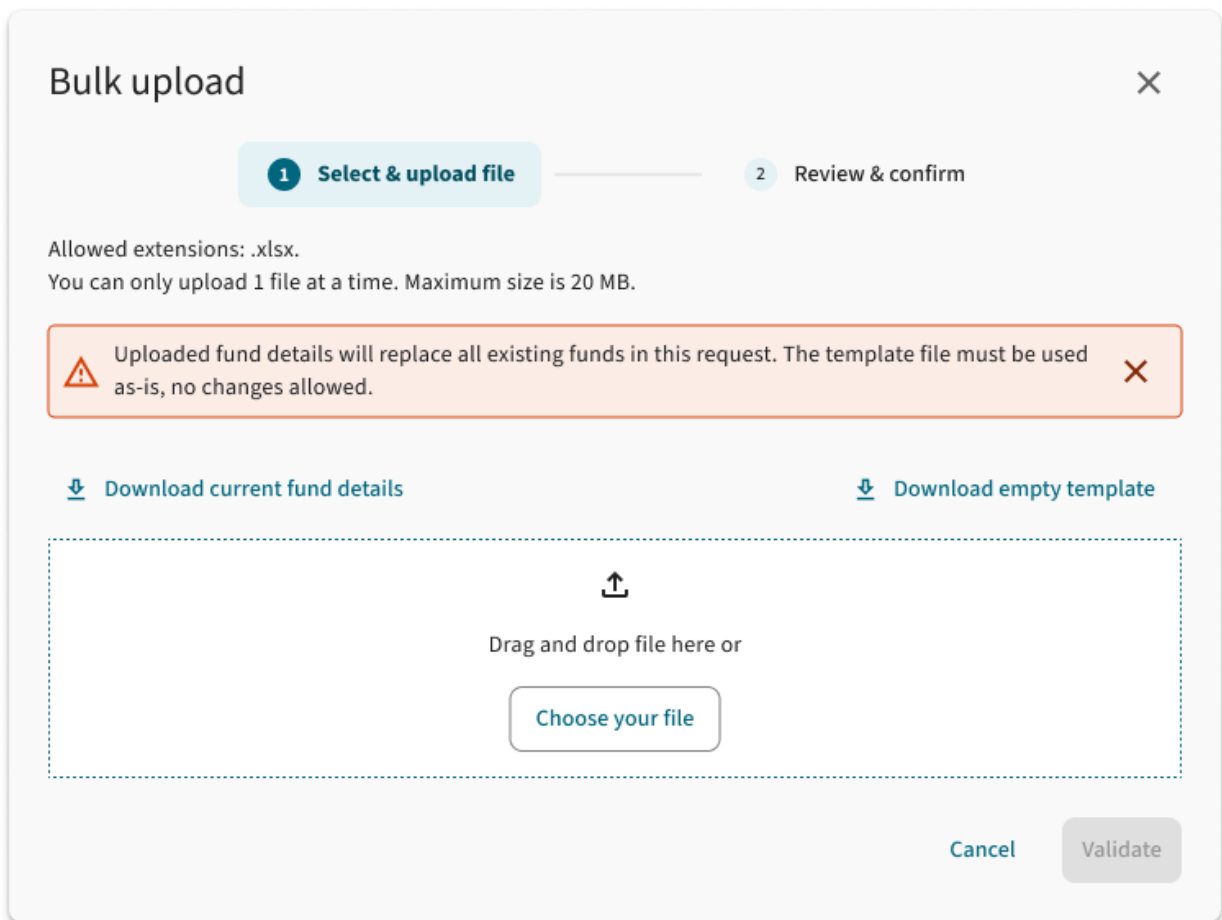
To use this feature, the user must select the “Bulk Funds upload” link in the “Current funds in the request” section located on the right-hand side of the screen.

Current funds in request Bulk funds upload

#	Item name	Status	Details
1	Test	Saved	

+ Add another fund

The user can either download the Excel file template (by clicking on “Download empty template”) or download already populated reference data (by clicking on “Download current fund details”).



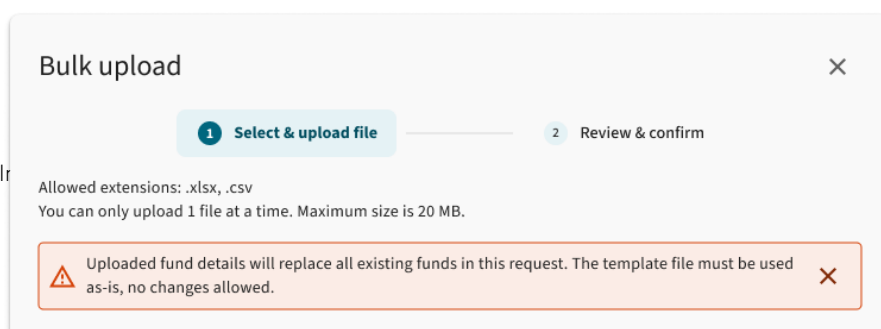
Principles on the Excel file:

- The file is a standard template applicable to all types of requests, and the user must complete only the fields relevant to their request type. For ISIN issuance, fields covering CBL reference data are ignored, such as ISIN, common code and CBL eligibility.
- The user must input the mandatory fields (flagged with an asterisk (*) in the “Fund details”) content section and the optional ones respecting the same field format as if these fields would be input manually via the “Fund details” screen. Drop-down fields have drop-down values in the file as well.

To upload the completed file, the user must select the “Bulk funds upload” link in the “Current funds in request” section available on the right side of your screen, then choose “Choose your file” and upload the file.

Principles on the file upload:

- Uploading the file overwrites all the fund classes and data with the new fund details available in the upload file.
- The user is responsible for ensuring that the downloaded file is used only for its intended purpose and is not altered beyond the required data input. Any unauthorised modifications (such as adding external links, embedded files, or unsupported content) may lead to processing issues. The user must also ensure that the file is free from viruses, malware, and external content before uploading.



In the event of data issues during the upload, after pressing the button “Validate”, the user will receive relevant information to fix the error, such as impacted rows and fields, before retrying a new file upload.

The screenshot shows a 'Bulk upload' dialog box with a progress indicator at the top showing '2 Review & confirm' as the active step. A red error banner at the top states 'Validation has return errors'. Below this is a table with four rows of validation errors. At the bottom, there is an 'Upload new file' button and 'Back', 'Cancel', and 'Upload' buttons.

Result	Row #	Column(s) title	Validation message
❗	1	Investment strategy (Standard Investment funds, Exchanged traded funds)	Should be empty
❗	1	Investment strategy (Fund of funds)	Is required
❗	4	Investment strategy (Standard Investment funds, Exchanged traded funds)	Should be empty
❗	4	Investment strategy (Fund of funds)	Is required

If the uploaded file contains has no errors, a success message is displayed after the user selects the “Validate” button.

The screenshot shows the same 'Bulk upload' dialog box, but the error banner has been replaced by a green success banner that reads 'Validation is successful'. The 'Review & confirm' step remains active in the progress indicator.

Documents

The user must upload the fund prospectus (mandatory) and any supplementary documents such as prospectus supplements. This documentation must cover the share classes for which an ISIN is requested, and be free from viruses, malware, external links or embedded files.

To upload the prospectus, the user needs to click on the button "Upload prospectus". This section is mandatory. The request cannot be finalised unless a prospectus has been successfully attached.

Participant ID: VESOPEWFSSD User: LAUREF Signed in: 04 Apr 2025 12:34:23 CET CEST Confidential 04 Apr 2025 12:34:23 CET

NNA Portal ISIN and eligibility requests Maintenance tickets ISIN status search Participant setup

← New ISIN issuance request

✓ Funds details 1 Attach documents 3 Finalize and submit

All requested funds must be referenced in the provided documentation. X

Prospectus*
*Mandatory document [Upload prospectus](#)

Supplementary documents
Prospectus supplements, application form, other documents) [Upload supplementary documents](#)

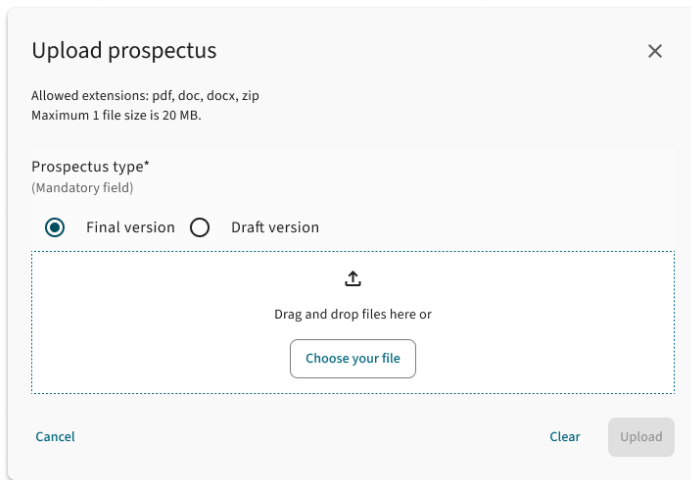
#	Name	Type	Uploaded
No documents uploaded yet			

Cancel Back Save as draft **Save and continue**

+ Add comments to request

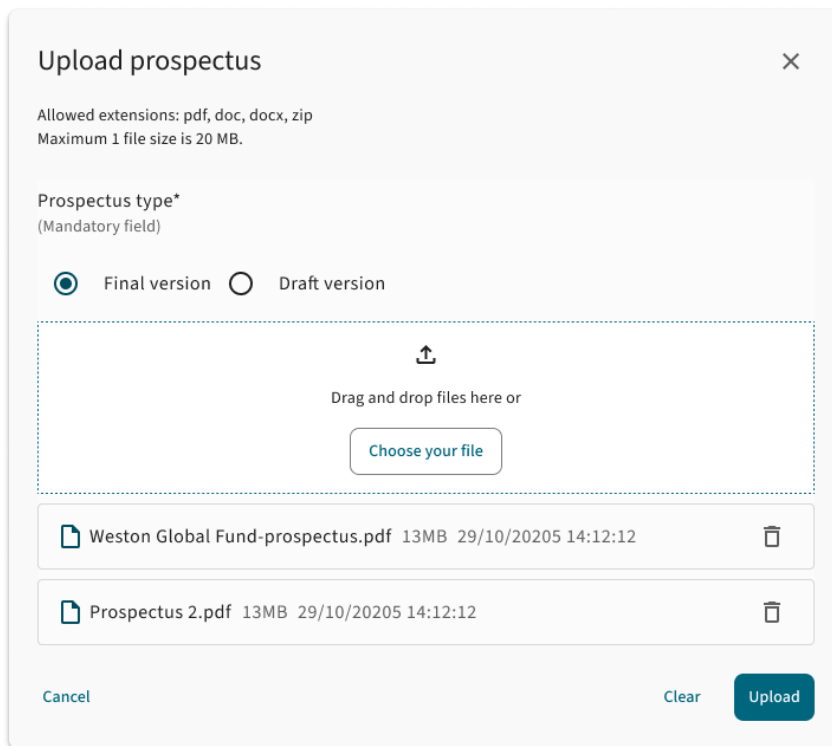
Request ID: R00001 Status: Temporary
Created: 05/11/2024 14:10:12 Type: ISIN Issuance
Processed time: Pending Show audit trail

A modal window is displayed, where the user must indicate whether the prospectus is a draft or final version.



By clicking the button “Choose your file,” the user can upload one or more files. They all will be marked as same prospectus type (final or draft). The maximum size for each file is 20MB. Supported formats are pdf, doc, docx, zip.

Once the files are selected, the user will be able to see them attached in the dialog.



If any errors are detected in the uploaded files, they will be highlighted in red. The user must fix the error or delete the files, to be able to attach the files to the request.

Upload prospectus

Allowed extensions: pdf, doc, docx, zip
Maximum 1 file size is 20 MB.

Prospectus type*
(Mandatory field)

Final version Draft version

↑

Drag and drop files here or

[Choose your file](#)

	Weston Global Fund-prospectus.pdf	13MB	29/10/20205 14:12:12	
	Prospectus 2.pdf	13MB	29/10/20205 14:12:12	
	Prospectus 2.jpg	13MB	29/10/20205 14:12:12	

[Cancel](#)
[Clear](#)
[Upload](#)

Once no errors are detected, the user can press "Upload" button to attach the prospectus file(s) to the request. The uploaded documents are displayed in the table within the "Attach documents" section.

Participant ID: VES0PEWFSSD User: LAUREF Signed in: 04 Apr 2025 12:34:23 CET CEST Confidential 04 Apr 2025 12:34:23 CET

NNA Portal [ISIN and eligibility requests](#) [Maintenance tickets](#) [ISIN status search](#) [Participant setup](#)

← New ISIN issuance request

Funds details | **1 Attach documents** | 3 Finalize and submit

All requested funds must be referenced in the provided documentation.

Prospectus*
*Mandatory document [Upload prospectus](#)

Supplementary documents
Prospectus supplements, application form, other documents) [Upload supplementary documents](#)

#	Name	Type	Uploaded	
1	Weston Global Fund-Prospectus...pdf	Prospectus (final)	29/10/2025 14:32:12	
1	Prospectus 2.pdf	Prospectus (final)	29/10/2025 14:32:12	

[+ Add comments to request](#)

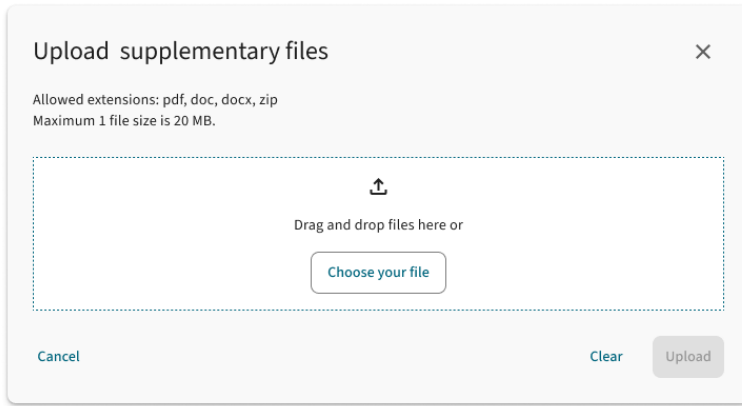
Request ID: R00001 Status: Temporary

Created: 05/11/2024 14:10:12 Type: ISIN Issuance

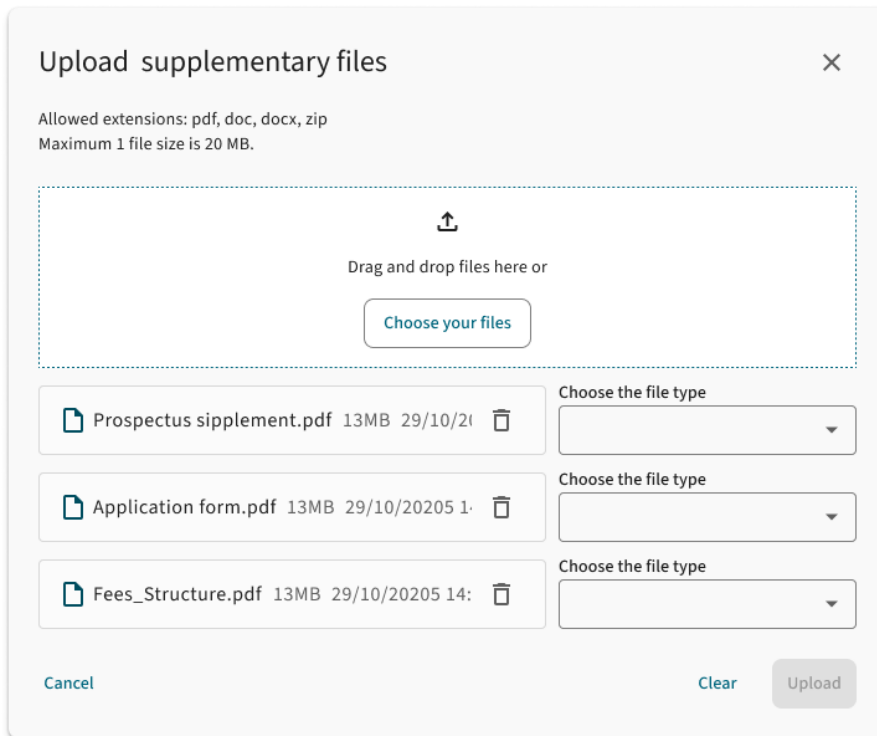
Processed time: Pending [Show audit trail](#)

[Cancel](#) [Back](#) [Save as draft](#) [Save and continue](#)

To add supplementary documents (optional), the user must select the button "Upload supplementary documents". A modal window will appear, allowing the user to upload multiple files by clicking "Choose your file" or by dragging and dropping files into the designated area.



Once the files are selected, the user needs to select the document type. This step is mandatory to complete the upload.



Upload supplementary files ✕

Allowed extensions: pdf, doc, docx, zip
Maximum 1 file size is 20 MB.

↑

Drag and drop files here or

[Choose your files](#)

Prospectus sipplement.pdf 13MB 29/10/20	Choose the file type Prospectus supplement ▾
Application form.pdf 13MB 29/10/20205 14	Choose the file type Application form ▾
Fees_Structure.pdf 13MB 29/10/20205 14:1	Choose the file type Other ▾

Cancel
Clear
Upload

If any errors are detected in the selected files, this will be highlighted in red. The user must fix the error or delete the files, to be able to attach the files to the request.

Upload supplementary files ✕

Allowed extensions: pdf, doc, docx, zip
Maximum 1 file size is 20 MB.

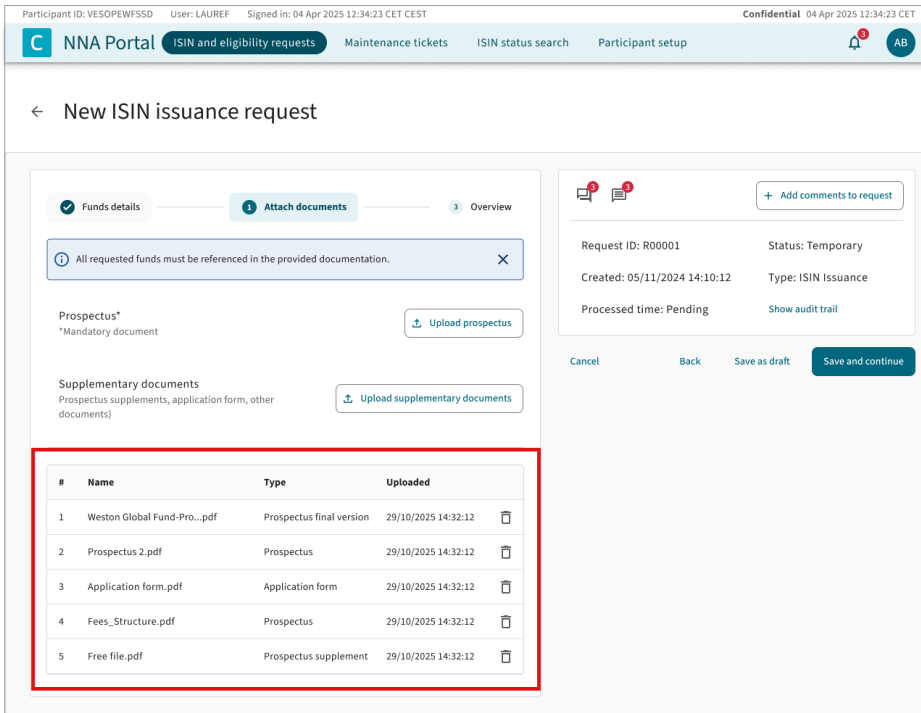
↑

Drag and drop files here or

[Choose your files](#)

Prospectus sipplement.pdf 13MB 29/10/20	Choose the file type Prospectus supplement ▾
Application form.pdf 13MB 29/10/20205 14 <small>Size limit is exceeded</small>	Choose the file type Application form ▾
Fees_Structure.pdf 13MB 29/10/20205 14:1	Choose the file type Other ▾

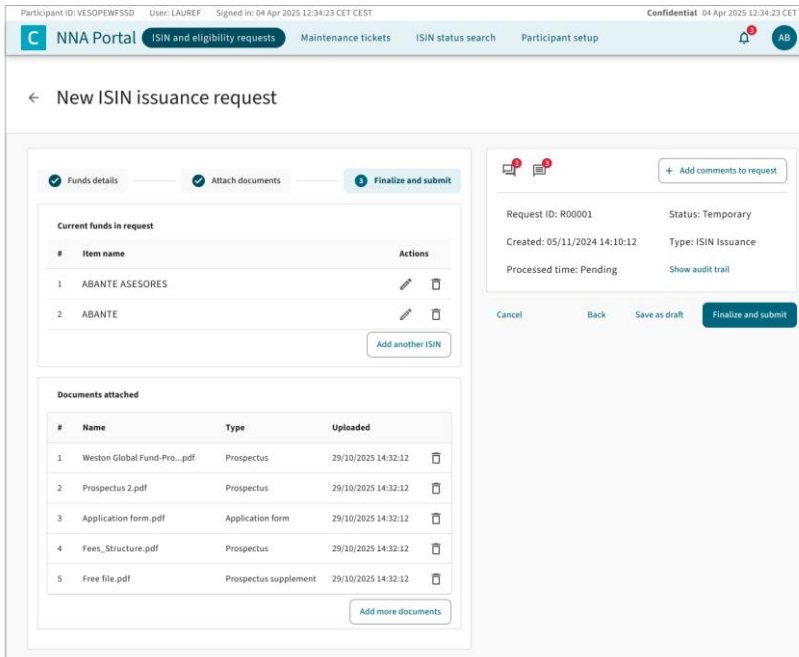
Cancel
Clear
Upload



After uploading all required files, the user can finalise the request by clicking the “Save and continue” button at the bottom right of the screen. This action allows the user to proceed to the final step, “Finalize and submit”.

Finalize and submit

Before submitting the request, the user must ensure that the required fund classes and supporting documentation have been added.



If required, the user can amend the current list of fund classes or documentation by selecting the relevant icons to add, edit or remove an item. When adding or editing an item, the user will be redirected to the "Attach documents" or "Fund details" content section (as applicable).

The user may also enhance the request by adding an internal or an external comment as well. For additional details, please refer to the [Comments](#) section.

If the four-eyes principle is enabled at NNA Participant level, a second user will need to validate and approve the request before being submitted to Clearstream Banking. For further information, please refer to the [Four-eyes approval](#) section.

When the request will change the status to Submitted, In progress, Fully completed, Rejected, Partially completed or Cancelled, the title of the third step will change from "Finalize and submit" to "Overview".

Request processing

Audit trail

The request follows a defined life cycle for which additional information is available in the [Request/maintenance ticket status](#) section.

Information on both the current and previous statuses of the request is available in the request audit trail, located in the details section on the right-hand side of the screen at each step.

Participant ID: VESOPEWFSSD User: LAUREF Signed in: 04 Apr 2025 12:34:23 CET CEST Confidential 04 Apr 2025 12:34:23 CET

NNA Portal ISIN and eligibility requests Maintenance tickets ISIN status search Participant setup

← New ISIN issuance request

✓ Funds details — ✓ Attach documents — 3 Finalize and submit

Current funds in request

#	Item name	Actions
1	ABANTE ASESORES	
2	ABANTE	

[Add another ISIN](#)

Documents attached

#	Name	Type	Uploaded	Actions
1	Weston Global Fund-Pro...pdf	Prospectus	29/10/2025 14:32:12	
2	Prospectus 2.pdf	Prospectus	29/10/2025 14:32:12	
3	Application form.pdf	Application form	29/10/2025 14:32:12	
4	Fees_Structure.pdf	Prospectus	29/10/2025 14:32:12	
5	Free file.pdf	Prospectus supplement	29/10/2025 14:32:12	

[Add more documents](#)

Request details:

Request ID: R00001 Status: Temporary
Created: 05/11/2024 14:10:12 Type: ISIN Issuance
Processed time: Pending [Show audit trail](#)

[Cancel](#) [Back](#) [Save as draft](#) [Finalize and submit](#)

Recall Request

If the user needs to recall a request (for example, if the request is no longer needed), they can do so by selecting “Recall Request” in the bottom right of the screen. If the four-eyes principle is enabled at NNA Participant level, a second user must validate and approve the recall demand.

Participant: NNA.PART1 Institut - NNA.PART1 User: NNAUser1 Requires 4 eyes: Yes Signed in: 22/04/2026 15:43:13 CET Confidential 22/04/2026 13:43:57 CET

C NNA Portal ISINs and eligibility requests Maintenance tickets ISIN status search UT

← ISIN issuance request

✓ Funds details — ✓ Attach documents — **3 Overview**

Current funds in request

#	ISIN	Item name	Clearstream Security Name	CBL Eligibility	Actions
1	---	---	---	---	

Documents attached

#	Name	Type	Uploaded	Size
1	NNA Upload Test.docx	Prospectus (final)	22/04/2026 11:00:49 CET	1.00 KB

Request ID: R112775 Status: Submitted
Created: 22/04/2026 11:00:14 CET Type: Issuance only
Processed time: Pending Show audit trail

Back Recall request

The following scenarios apply:

- **Status: “Submitted”**

The recall is processed immediately, and the request status is updated to “Draft”. The user can then amend the request, resubmit it to **Clearstream Banking**, or cancel it.

- **Status: “In Progress”**

Clearstream Banking is notified of the recall request. The recall is subject to Clearstream Banking’s discretion and may be accepted or rejected.

- **Pending recall requests**

Pending recall demands are flagged in the Request Handling Dashboard with the icon next to the required ID as follows:

Participant ID: VES0PEWFSSD User: LAUREF Signed in: 04 Apr 2023 12:34:23 CET CEST Classification: Confidential 04 Apr 2023 12:34:23 CET

C NNA Portal ISIN and eligibility requests Maintenance tickets ISIN status search Participant setup 3 AB

ISIN and eligibility requests dashboard

This dashboard displays all request types for ISIN issuance and eligibility checks. Use filters and search to find specific requests. + Create request

Export xls Pending (11) Clarification required (1) Closed (16)

Creation date Request status Request type

Select status Select request type Search request ID, umbrella, ISIN Clear all Search

dd/mm/yyyy - dd/mm/yyyy

Req.ID	Creation date	#ISINs	Umbrella/Fund name	Request status	Request type	4 Eyes	Modified by	Details
> R100092	05/10/2025 14:13	1	AllianceBernstein	Draft	ISIN issuance	-	Admin1	3
> R100093	07/12/2024 15:14	2	AllianceBernstein	Fully completed	ISIN issuance	Rejected	Requestor	3
> R100094	07/12/2024 16:15	2	AllianceBernstein	Partially completed	ISIN issuance	-	Requestor 123	3

- Further information on the Requested Handling Dashboard can be found in the [Request Handling Dashboard](#) section.
- Clearstream's response is provided via dedicated notifications and external comments. Further information, please refer to [Notifications and emails](#) and [Comments](#) sections.
- If the recall is rejected by Clearstream, the request status remains as "In Progress".
- If it is approved, the request status is updated to "Draft". In this case, the user can choose to amend the request before re-submitting it to Clearstream Banking or to cancel it.

Once completed by Clearstream Banking, the request will have one of the following processing statuses:

- "Fully Completed".
- "Partially Completed".
- "Rejected".

For additional information, please refer to [Request / maintenance ticket status](#) section.

In the case of ISIN issuance, the following reference data is in the content "Overview" section:

- ISIN.
- Item name.
- Clearstream Security name.

← ISIN issuance request

✓ Funds details
✓ Attach documents
3 Overview

⚠ This request is now closed and cannot be edited

Current funds in request

#	ISIN	Item name	Clearstream Security Name	CBL Eligibility	Actions
1	LUQUENTGP6R0	SADASD	INE SDSSD	Not requested	👁

Documents attached

#	Name	Type	Uploaded	Size	
1	HYDRO-8358.docx	Prospectus (final)	14/04/2026 13:34:06 CET	1.00 KB	↓

Request ID: R112687

Created: 14/04/2026 13:33:14 CET

Processed time: 14/04/2026 15:20:51 CET

Status: Fully Completed

Type: Issuance only

[Show audit trail](#)

[+ Add comments to request](#)

[Back](#)

Clone request

Full details remain available in the “Fund Details” section, where the complete CBL reference data (including FISN and CFI) is provided at ISIN level the full:

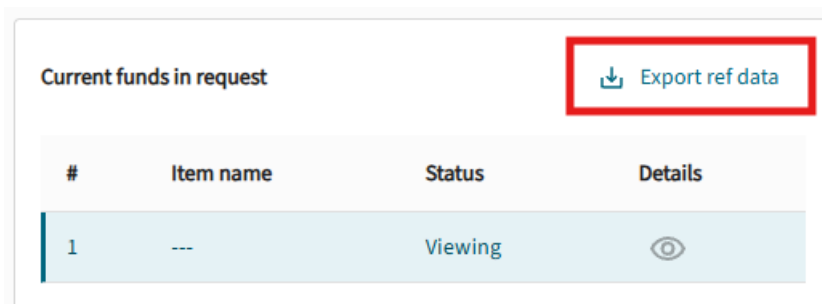
1 Funds details

2 Attach documents

3 Overview

ISIN:	LU1122336785
Common Code:	156817627
FISN:	UKNWN/EUR
CFI:	CHSXXX
Clearstream Security Name:	SHS RWS DYNAMIK 4
Item status:	Rejected
ISIN rejection reason:	Lorem Ipsum dolor sit amet...
CBL eligibility status:	N/A
CBL settlement/Ineligibility restrictions:	---
CBL eligibility Assessment rejection reason:	Lorem Ipsum dolor sit amet...
Internal instructions account flag:	Instruction restricted
External instruction account flag:	Instruction restricted
Restricted account:	89766
Clearstream depository code:	7H
Clearstream depository name:	CLEARSTREAM BANKING S.A. AFS

This information is exportable by clicking on “Export ref data” on the right side of the screen in the “Current funds in request” section:



Important Note: The information provided is based on the data available at the time the request was processed.

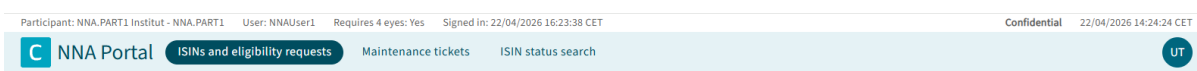
The information provided is based on the data available at the time the request was processed. If the most recent Clearstream Banking reference data, including the CBL eligibility assessment confirmation, is required, the requestor must consult the [ISIN Status Dashboard](#). For further details, refer to the [ISIN Status Search](#) section. Further details are available in the [ISIN Status search](#) section.

If no ISIN issuance has occurred, the user can consult the rejection reasons provided in the “Overview” content section.

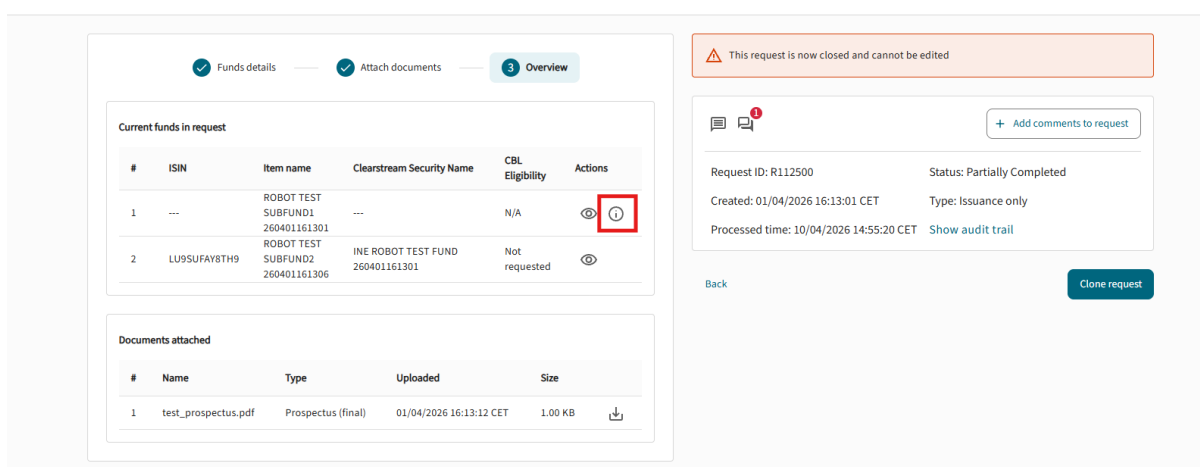
The rejection reason will be available at the request level when the request status is “Rejected” and displayed as follows:

There are two types of rejection reasons:

1. If entire request is rejected, the rejection reason is displayed on the main screen.
2. If request is “Partially Completed”, rejection reasons are provided at the item level and can be accessed via the via information icon



← ISIN issuance request



As described above for issued ISINs, full details for rejected classes remain available in the “Fund Details” section. This information can be exported by selected “Export reference data” in the “Current funds in request” section on the right side of the screen.

3.3 New ISIN issuance request with CBL eligibility assessment

This request type covers the issuance of ISINs combined with a CBL eligibility assessment. The user can create this request by clicking the “Create new” button in the top right corner of the ISIN and eligibility request dashboard, and then select the option “ISIN issuance with CBL eligibility request”.

The screenshot shows the 'ISIN and eligibility requests dashboard' in the NNA Portal. The dashboard includes a header with user information and navigation tabs. Below the header, there's a 'Create request' button with a dropdown menu. The main area features a table of requests with the following columns: Req.ID, Creation date, #ISINs, Umbrella/Fund name, Request status, Request type, Modified by, and Details. The table lists 10 requests with various statuses and request types. A dropdown menu is open over the 'Create request' button, showing three options: 'ISIN issuance request', 'ISIN issuance with CBL eligibility assessment', and 'CBL eligibility assessment on existing ISIN'.

Req.ID	Creation date	#ISINs	Umbrella/Fund name	Request status	Request type	Modified by	Details
R100092	05/10/2025 14:13	1	AllianceBernstein	Draft	ISIN issuance	Admin1	[Icons]
R100093	06/11/2024 15:14	2	AllianceBernstein	Fully completed	ISIN issuance	Requestor	[Icons]
R100094	07/12/2024 16:15	2	AllianceBernstein	Partially completed	ISIN issuance	Requestor 123	[Icons]
R100095	08/01/2024 17:16	2	ABN AMRO	Clarification required	CBL eligibility assessment only	Admin32	[Icons]
R100096	09/02/2024 18:17	1	ABN AMRO	In progress	ISIN issuance with eligibility assessm	Admin23	[Icons]
R100097	10/03/2024 19:18	1	ABN AMRO	Fully completed	ISIN issuance	123456789	[Icons]
R100098	11/04/2024 20:19	1	Aberdeen	Canceled	ISIN issuance	123456789	[Icons]
R100099	12/05/2024 21:20	3	Aberdeen	Rejected	ISIN issuance	Admin1	[Icons]
R100100	13/06/2024 22:21	1	Aberdeen	Submitted	ISIN issuance	Admin1	[Icons]
R100101	14/07/2024 23:22	3	Aberdeen	Partially completed	ISIN issuance	Admin2	[Icons]

The request creation workflow follows the same principle as for the ISIN issuance request (for additional information, please refer to the [New ISIN issuance request](#) section) with the following differences:

- [Fund Details](#): “Share Class Launch Date” is a mandatory field for this request type.
- [Documents](#): Only final versions of the prospectus are accepted. for this type of request.
- [Request processing](#): In addition to ISIN issuance, a CBL eligibility assessment is processed as well for this type of request. As a result, the following reference data is provided in the “Overview” content section:

- ISIN;
- Item name;
- Clearstream security name;
- CBL Eligibility.

Participant ID: VESOPWFSSD User: LAUREF Signed in: 04 Apr 2023 12:34:23 CET CEST Classification: Confidential 04 Apr 2023 12:34:23 CET

NNA Portal ISIN and eligibility requests Maintenance tickets ISIN status search Participant setup

← New ISIN issuance request

This request is now closed and cannot be edited.

Closure status: Fully completed. ISINs: 2 of 2. CBL eligible ISINs: 2 of 2

+ Add comments to request

Request ID: R00001 Status: Temporary
 Created: 05/11/2024 14:10:12 Type: ISIN Issuance
 Processed time: Completed Show audit trail

Clone request

Current funds in request

#	ISIN	Item name	CBL eligibility	Actions
1	LU1234567896	ABANTE ASESORES	Eligible	👁️ 🗑️
2	LU1234567895	ABANTE ASESORES	Ineligible	👁️ ⓘ

Documents attached

#	Name	Type	Uploaded	Actions
1	Weston Global Fund-Pro...	Prospectus	29/10/2025 14:32:12	📄 🗑️
2	Prospectus 2.pdf	Prospectus	29/10/2025 14:32:12	📄 🗑️
3	Application form.pdf	Application form	29/10/2025 14:32:12	📄 🗑️
4	Fees_Structure.pdf	Prospectus	29/10/2025 14:32:12	📄 🗑️
5	Free file.pdf	Prospectus supplement	29/10/2025 14:32:12	📄 🗑️

The CBL eligibility status on investment funds shares is based on CBL’s governing documents and policies (subject to change at CBL’s discretion), and may have one of the following statuses:

- “Eligible”: The investment fund share is freely transferable within CBL.
- “Eligible Restricted”: The investment fund share is subject to transfer restrictions within CBL. This may require the involvement of the investment fund or its agents to control transfers between clients. In certain cases, internal transfers between clients may be fully restricted requiring re-registration of the investment funds holdings via the fund shareholders or unitholders register (at the investment fund’s discretion).
- “Ineligible”: The investment fund share is not available for settlement, custody, and order routing.

The restriction reasons for applying a CBL eligibility status as “Eligible Restricted” or “Ineligible” are available when clicking on the icon ⓘ .

Example of the second ISIN:



Full details remain available in the “Fund Details” section, where the complete the full CBL reference data (including FISN, CFI and CBL eligibility status) is provided at ISIN level.

1 Funds details		2 Attach documents	3 Overview
ISIN:	LU1122336785		
Common Code:	156817627		
FISN:	UKNWN/EUR		
CFI:	CHSXXX		
Clearstream Security Name:	SHS RWS DYNAMIK 4		
Item status:	Issued		
ISIN rejection reason:	-		
CBL eligibility status:	Eligibility restricted		
CBL settlement/Ineligibility restrictions:	CDSC		
CBL eligibility Assessment rejection reason:	-		
Internal instructions account flag:	Instruction restricted		
External instruction account flag:	Instruction restricted		
Restricted account:	12345		
Clearstream depository code:	7H		
Clearstream depository name:	CLEARSTREAM BANKING S.A. AFS		

The **reasons for restrictions** associated with the “**Eligible Restricted**” or “**Ineligible**” CBL eligibility statuses can be viewed by selecting the **information icon** ⓘ in the **Overview** section. These details are also available in the “**CBL Settlement / Ineligibility Restrictions**” field within this section.

The internal and external instruction account flag may have following values:

- “No Restriction”;
- “Instruction Restricted”; or
- “No Instructions Allowed”.

For the latter two cases, refer to the above description of “Eligible Restricted”. Where “Instruction Restricted” applies, the “Restricted Account” field indicates the account used by the investment fund or its agent to control transfers between clients.

This information can be exported by selecting “Export reference data” in the “Current Funds in Request” section on the right side of the screen.

Current funds in request			Export reference data
#	Item name	Status	Details
1	ABANTE ASESORE	Saved	
2	ABANTE DISTRIB..	Viewing	
3	ABANTE ASESORE	Saved	

Add another ISIN

Important Note:



The information provided is based on the data available at the time the request was processed. If the most recent **Clearstream Banking reference data**, including the **CBL eligibility assessment confirmation**, is required, the **requestor** must consult the **ISIN Status Search**.

Further details are available in the [ISIN status search](#) section.

If no ISIN issuance has occurred, the same principles apply as for the ISIN issuance request. For additional information, refer to the see [Request processing](#) in the [New ISIN issuance request](#) section).

3.4 New CBL eligibility assessment request on existing ISINs

This request allows users to initiate a CBL eligibility assessment for an ISIN that has already been issued. The issuance of this ISIN may have occurred via the NNA Portal or before the inception of the portal. Users can initiate this request through the following options:

1. On the "ISIN and eligibility requests" dashboard → Button "Create request" → "CBL eligibility assessment on existing ISINs"
2. In the "ISIN status search" screen, after search if performed → icon button  → In the menu select option "Request CBL eligibility assessment", if the ISIN has CBL Eligibility status Ineligible.
3. From the ISIN status details page. If the ISIN has CBL Eligibility status Ineligible, the button "Request CBL eligibility assessment" on the right side of the screen will be enabled.
4. From the ISIN and eligibility requests dashboard, select the row with ISIN Issuance request → icon button . In the menu select option "Request CBL eligibility Assessment". Will be possible only for previously processed requests to have ISINs available.

The request creation workflow follows the same principles as the ISIN issuance process (for additional information, please refer to the [New ISIN issuance request](#) section), with the following differences:

An additional step is included at the beginning of the process.

Step 1 is "Add ISINs"

Users can input one or more ISIN(s) to check their eligibility status. If the status of the ISIN is Ineligible, the user can proceed with CBL eligibility assessment. The ISINs that can be used for CBL eligibility assessment will be selected automatically after pressing the button. If the ISINs in the search results cannot be used for eligibility assessment, the corresponding checkboxes will be disabled.

Users can input one or multiple ISINs in the search fields and press the button "Search eligibility status", alternatively they can use the button "Add by upload".

If users press the button "Add by upload", a modal window will open, where they can download the empty template for the list of ISINs, or they can directly upload the file if they have the right format. Once the file is uploaded, the ISINs will be displayed in Step 1. As with manual entry, only the ISINs eligible for further processing will be automatically selected.

Step 2 Fund details

- “Share Class Launch Date” is added as a mandatory field.

Once an ISIN is selected, the corresponding Fund details are automatically populated from the system. If fund has a status Confidential, and the user does not belong to the owner participant, the visible data may be limited.

The user may amend the editable fields as required.

The “Save and Continue” button will become available once at least one valid item has been saved in the request. Clicking this button will redirects the user to step 3 “Attach documents”.

Step 3 “Attach documents”

Users can attach the prospectus (mandatory) and any supplementary documents. Only final versions² of the prospectus, are accepted for this type of request.

Documentation from a previously processed request is automatically carried forward to this next request. The user may amend as required.

Step 4 “Finalize and submit”

After verifying the information, users may proceed to finalize and submit the request.

Participant: NNA.PART1 Institut - NNA.PART1 User: NNAUser1 Requires 4 eyes: Yes Signed in: 23/04/2026 16:00:18 CET Confidential 23/04/2026 14:23:09 CET

NNA Portal ISINs and eligibility requests Maintenance tickets ISIN status search UT

← CBL eligibility assessment only request

✓ Add ISINs — ✓ Funds details — ✓ Attach documents — 4 Finalize and submit

Request ID: R112808 Status: New
Created: 23/04/2026 14:22:16 Type: Eligibility only CET
Processed time: Pending Show audit trail

Back Save as Draft Finalize and submit

Current funds in request

#	ISIN	Item name	Clearstream Security Name	CBL Eligibility	Actions
1	LUQUENTGP6RO	SADASD	INE SDSSD	---	

[Add another ISIN](#)

Documents attached

#	Name	Type	Uploaded	Size	Actions
1	PR_DE_en_LU2386 528470_20250901_ ABN AMRO Funds.pdf	Prospectus (final)	23/04/2026 14:22:56 CET	1.00 KB	

[Add more documents](#)

[Request processing](#): If a CBL eligibility assessment is processed, the outcome will include the relevant reference data displayed in the “Overview” section as follows:

- ISIN;
- Item name;
- Clearstream security name;
- CBL eligibility status.

Participant ID: VESOPWFSSD User: LAUREF Signed in: 04 Apr 2023 12:34:23 CET CEST Classification: Confidential 04 Apr 2023 12:34:23 CET

NNA Portal ISIN and eligibility requests Maintenance tickets ISIN status search Participant setup

← New ISIN issuance request

Funds details
 Attach documents
 Overview

Current funds in request

#	ISIN	Item name	CBL eligibility	Actions
1	LU1234567896	ABANTE ASESORES	Eligible	
2	LU1234567895	ABANTE ASESORES	Ineligible	

Documents attached

#	Name	Type	Uploaded	
1	Weston Global Fund-Pro...	Prospectus	29/10/2025 14:32:12	
2	Prospectus 2.pdf	Prospectus	29/10/2025 14:32:12	
3	Application form.pdf	Application form	29/10/2025 14:32:12	
4	Fees_Structure.pdf	Prospectus	29/10/2025 14:32:12	
5	Free file.pdf	Prospectus supplement	29/10/2025 14:32:12	

This request is now closed and cannot be edited.

Closure status: Fully completed. ISINs: 2 of 2. CBL eligible ISINs: 2 of 2

Request ID: R00001 Status: Temporary
 Created: 05/11/2024 14:10:12 Type: ISIN Issuance
 Processed time: Completed Show audit trail

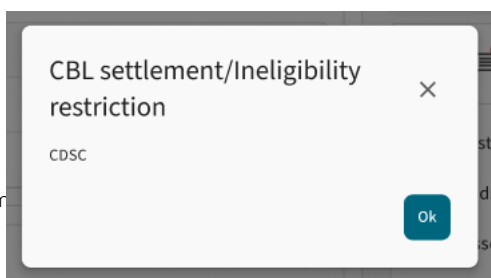
Clone request

The CBL eligibility status for investment funds shares is determined in accordance with CBL's governing documents and policies (subject to change at CBL's discretion.). Each investment fund share may be assigned one of the following statuses: and may have one of the following status:

- "Eligible": The investment fund share is freely transferable within CBL.
- "Eligible Restricted": The investment fund share has restricted transferability r within CBL. This may require the involvement of the investment fund or its agents to control transfers between clients. In some cases, internal transfers within CBL may be fully restricted, meaning that transfers can only be completed through re-registration of holdings in the fund's shareholder/unitholder register (at the discretion of the investment fund).
- "Ineligible": The investment fund share is not available for settlement, custody and order routing within CBL.

The restriction reasons for applying a CBL eligibility status as "Eligible Restricted" or "Ineligible" are available when clicking on icon .

Example of the second ISIN



Full details remain available in the “Fund Details” content section. At ISIN level, this includes the full CBL reference data (including FISN, CFI and CBL eligibility status) such as:

1 Funds details		2 Attach documents		3 Overview	
ISIN:	LU1122336785				
Common Code:	156817627				
FISN:	UKNWN/EUR				
CFI:	CHSXXX				
Clearstream Security Name:	SHS RWS DYNAMIK 4				
Item status:	Issued				
ISIN rejection reason:	-				
CBL eligibility status:	Eligibility restricted				
CBL settlement/Ineligibility restrictions:	CDSC				
CBL eligibility Assessment rejection reason:	-				
Internal instructions account flag:	Instruction restricted				
External instruction account flag:	Instruction restricted				
Restricted account:	89766				
Clearstream depository code:	7H				
Clearstream depository name:	PLACEHOLDER				

The restriction reasons associated with a CBL eligibility status of “Eligible Restricted” or “Ineligible” available when clicking on icon ⓘ in the “Overview” content section, are available in the “CBL Settlement / Ineligibility Restrictions” field in this section.

The internal and external instruction account flag may have one of the following values:

- “No Restriction”;
- “Instruction Restricted”; or
- “No Instructions Allowed”.

For the last two values, please refer to the explanation provided under “Eligible Restricted”. Additionally, when “Instruction Restricted” applies, the “Restricted Account” field will indicate the account used by the investment fund or its agent to control transfers between clients.

This information can be exported by clicking on “Export Ref Data”, located on the right side of the screen in the “Current Funds in Request” section.

Current funds in request			Export reference data
#	Item name	Status	Details
1	ABANTE ASESORE	Saved	
2	ABANTE DISTRIB..	Viewing	
3	ABANTE ASESORE	Saved	

[Add another ISIN](#)

Important Note: The information provided is based on the data available at the time the request was processed. If the latest Clearstream Banking-related reference data, including Clearstream eligibility assessment confirmation, is required, the requestor is required to access the [ISIN Status Dashboard](#) for this purpose. Further details are available in the [ISIN Status Dashboard](#) section.

If no CBL eligibility assessment occurred, the same principles as for the ISIN issuance request apply (for additional information, see [Request processing](#) in the [New ISIN issuance request](#) section).

3.5 New maintenance ticket

Maintenance tickets may cover one of the following topics:

Type	Description
ISIN cancellation	Covers the demand to cancel a previously issued ISIN code that was never launched on the market and that is no longer part of the fund documentation.
ISIN maturity	Covers the demand to close a previously issued ISIN within the Clearstream Banking system. The maturity in this demand needs to be understood as the maturity or final liquidation date of the ISIN. Note: This ticket does not replace existing corporate action processes (including shareholder notification) outside of the NNA Portal.
Fund name change	Covers the demand to amend/change the fund name of a previously issued ISIN. Note: This ticket does not replace existing corporate action processes (including shareholder notification) outside of the NNA Portal.


Decimal Change	Covers the demand to amend/change the decimals of a previously issued ISIN.
Issue Price Change	Covers the demand to amend/change the issue price of a previously issued ISIN.
Confidentiality Status Change	<p>Covers the demand to amend/change the confidentiality status of a previously issued ISIN.</p> <p>Note: Confidentiality Status Yes indicates that the prospectus and ISIN will become private. Confidentiality Status No indicates that the prospectus and ISIN will be available for all Clearstream participants.</p>
Currency Change	Covers the demand to amend/change the currency of a previously issued ISIN.

Maintenance ticket creation

Users have several options to initiate a maintenance ticket:

- From the top navigation menu, select Maintenance tickets. This opens the Maintenance ticket handling dashboard where users can view and manage existing tickets. To create a new ticket, click the “Create ticket” button located in the top right of the page. Users will then be able to select the maintenance ticket type and will be redirected to the maintenance ticket creation page.

The screenshot shows the 'Maintenance tickets handling dashboard' in the NNA Portal. At the top, there's a navigation bar with 'NNA Portal' and several menu items: 'ISIN and eligibility requests', 'Maintenance tickets' (which is active), 'ISIN status search', and 'Participant setup'. There are also notification icons and a user profile icon labeled 'AB'. Below the navigation bar, the dashboard title 'Maintenance tickets handling dashboard' is displayed, along with a '+ Create ticket' button. The main content area features a table of tickets with the following columns: Ticket ID, Creation date, Effective/Maturity date, #ISINs, Umbrella/Fund name, Ticket status, Ticket type, Modified by, 4-eyes, and Details. Two tickets are visible: R100092 (Currency change) and R100093 (ISIN maturity). Above the table, there are filters for Creation date, Effective/Maturity date, Ticket status, and Ticket type, along with a keyword search bar and an 'Export data' button. The dashboard also shows summary statistics: Pending (11), Clarification required (3), and Closed (16).

- From the top navigation menu select “ISIN status search”. Users will be redirected to the page where they can perform the ISIN search. Please use [ISIN status search](#) page for more details.
 - After performing a search users will see a list of ISINs displayed in a table. After selecting one or multiple ISINs in the table using the checkboxes in the first column of the table, users can click the “Create a maintenance ticket” button located above the table on the right-hand side. After clicking this button, a menu will appear displaying the available maintenance ticket types. Once the desired type is selected, users will be redirected to the maintenance ticket creation page.
 - Alternatively, users can click on the icon button  and select an option “Create maintenance ticket” from the menu.

Participant ID: VESOPEWFSSD User: LAUREF Signed in: 04 Apr 2025 12:34:23 CET CEST Confidential 04 Apr 2025 12:34:23 CET

C NNA Portal [ISIN and eligibility requests](#) [Maintenance tickets](#) [ISIN status search](#) [Participant setup](#) 🔔³ **AB**

ISIN status search

On this dashboard you can find all funds and request their ISIN eligibility check. Use filters and search to find specific funds.

📄 Add by upload

ISIN status

CBL eligibility

Is fund confidential

ISIN requested in NNA portal

All individual ISINs

📄 Download CBL eligibility confirmation
📄 Download CBL reference data

<input type="checkbox"/>	ISIN	Umbrella/Fund name	Crearstream security name	ISIN status	CBL Eligibility	Is confidential	Requested in NNA	Details
<input checked="" type="checkbox"/>	LU1325142486	AllianceBernstein	SHS RWS-DYNAMIK-1	Cancelled	-	Yes	Yes	👁️ ⋮
<input checked="" type="checkbox"/>	LU2541312487	AllianceBernstein	SHS RWS-DYNAMIK-2	Issued	Eligible	No	No	👁️ ⋮
<input checked="" type="checkbox"/>	LU4311252488	AllianceBernstein	SHS RWS-DYNAMIK-3	Issued	Ineligible	No	No	👁️ ⋮
<input checked="" type="checkbox"/>	LU5124312489	ABN AMRO	SHS RWS-DYNAMIK-4	Issued	Eligible restricted	No	No	👁️ ⋮
<input type="checkbox"/>	LU2413512490	ABN AMRO	SHS RWS-DYNAMIK-5	Matured	-	No	No	👁️ ⋮
<input type="checkbox"/>	LU1254312491	ABN AMRO	SHS RWS-DYNAMIK-6	Issued	Eligible	No	No	👁️ ⋮
<input type="checkbox"/>	LU3412152492	Aberdeen	SHS RWS-DYNAMIK-7	Matured	-	No	No	👁️ ⋮
<input type="checkbox"/>	LU2143512493	Aberdeen	SHS RWS-DYNAMIK-8	Archived	-	No	No	👁️ ⋮
<input type="checkbox"/>	LU4211352494	Aberdeen	SHS RWS-DYNAMIK-9	Issued	Ineligible	No	No	👁️ ⋮
<input type="checkbox"/>	LU3152412495	Aberdeen	SHS RWS-DYNAMIK-10	Issued	Ineligible	Yes	Yes	👁️ ⋮

Rows per page: 1-5 of 10 |< < > >|

- On the ISIN status details page, users will find a “Create a maintenance ticket”. Button on the right side of the screen.

Participant ID: VESOPEWFSSD User: LAUREF Signed in: 04 Apr 2025 12:34:23 CET CEST Confidential 04 Apr 2025 12:34:23 CET

C NNA Portal [ISIN and eligibility requests](#) [Maintenance tickets](#) [ISIN status search](#) [Participant setup](#) 🔔³ **AB**

← ISIN status details

ISIN:	LU1122336785
Common Code:	156817627
FISN:	UKNWN/EUR
CFI:	CHSXXX
Clearstream Security Name:	SHS RWS DYNAMIK 4
ISIN Status:	Issued

Actions:

📄 Download CBL eligibility confirmation

📄 Download CBL reference data

Once redirected, the user will be presented with following page structure:

The screenshot shows the 'Maintenance ticket' page in the NNA Portal. The page is divided into three numbered sections:

- Section 1:** Ticket details including Ticket ID (R00001), Processed time (Pending), Type (Maintenance), Created (05/11/2024 14:10:12), Status (Temporary), and Show audit trail.
- Section 2:** Form for creating or editing a ticket. It includes a 'Ticket type*' dropdown, 'Umbrella/Fund name*' field, and 'ISIN(s)*' field with a search function. A table below shows impacted ISINs with columns for ISIN, Clearstream security name, FISN, CFI, ISIN status, CBL eligibility, and Actions. The table currently shows 'No results. Please search for ISIN'.
- Section 3:** Action buttons including 'Save as draft' and 'Submit ticket'.

1. The details section provides maintenance ticket related details such as the ticket ID, creation date, processing status, ticket status and ticket type. Users can also view notifications, and access or initiate internal and external comments. Please refer to the [Comments](#) section for additional information on internal and external comments, to the [Notifications and emails](#) section on notifications, as well as to the [Request / maintenance ticket status](#) section on ticket statuses. The section also provides access to the audit trail.
2. The content of this section varies depending on the ticket type. It contains documentation and information linked to the maintenance ticket itself, such as ticket type, umbrella/fund name, list of impacted ISINs, maturity/liquidation date (if applicable) and effective date (if applicable).
3. The action buttons section provides the actions depending on the status of the maintenance ticket (for example, four-eyes approval / rejection, submit, save as a draft).

The following chapters describe each maintenance ticket type in detail. Please ensure that the correct ticket type is selected before proceeding as the ticket type cannot be changed once the ticket has been created. To use a different type, the user must create a new ticket.

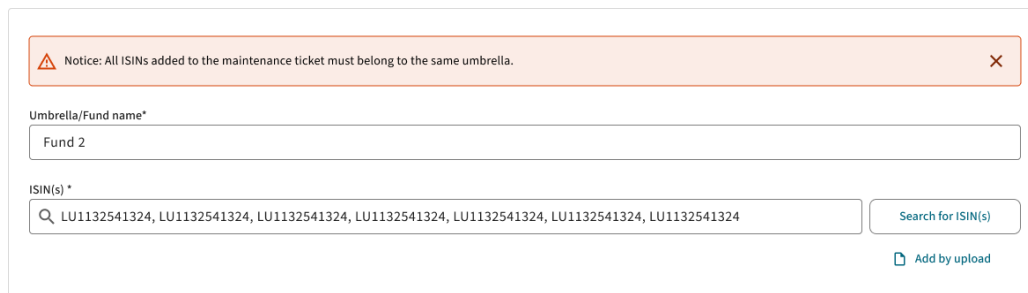
ISIN cancellation

To submit an ISIN cancellation request, select as maintenance ticket type “ISIN Cancellation”.



The screenshot shows a form field labeled "Ticket type*" with a dropdown menu. The selected option is "ISIN cancellation". Below the field, there is a note: "*Mandatory field".

The umbrella/fund name is required. ISINs (belonging to the specified umbrella) can be added manually (separated by comma) by completing the “Insert ISIN(s)” field and clicking on “Add ISIN(s) to Request”. If the ISIN is invalid, the user will receive relevant information to fix the error.

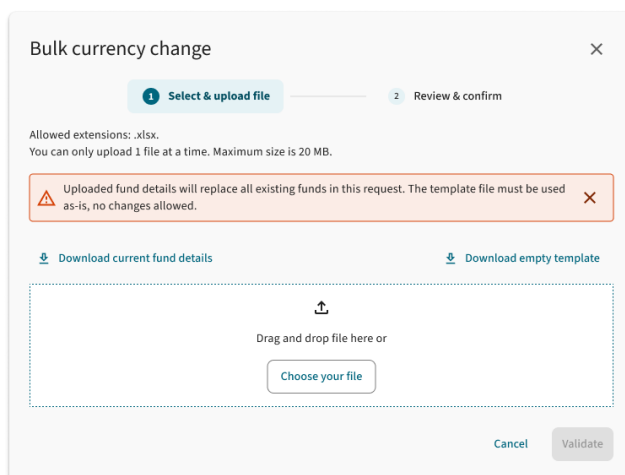


The screenshot shows a form with a red notice bar at the top: "Notice: All ISINs added to the maintenance ticket must belong to the same umbrella." Below the notice, there is a field for "Umbrella/Fund name*" containing "Fund 2". Below that is a field for "ISIN(s) *" containing a list of ISINs: "LU1132541324, LU1132541324, LU1132541324, LU1132541324, LU1132541324, LU1132541324, LU1132541324". To the right of the ISIN field is a "Search for ISIN(s)" button. Below the ISIN field is an "Add by upload" button.

Alternatively, the user may use a file upload to search for a list of ISINs. In either case, the maintenance ticket supports a maximum number of 500 ISINs.

To use the file upload functionality:

- Click on Add by upload.
- Download the empty template, add the ISINs, save and close the file. If users already searched for some ISINs in the maintenance ticket, they could download the current fund details, update it and reuse it.
- Upload your file via the “Add by Upload” pop-up window.




The screenshot shows a pop-up window titled "Bulk currency change" with a close button (X) in the top right. The window has two steps: "1 Select & upload file" and "2 Review & confirm". Below the steps, it says "Allowed extensions: .xlsx. You can only upload 1 file at a time. Maximum size is 20 MB." There is a red notice bar: "Uploaded fund details will replace all existing funds in this request. The template file must be used as-is, no changes allowed." Below the notice, there are two links: "Download current fund details" and "Download empty template". In the center, there is a dashed box with an upload icon and the text "Drag and drop file here or" and a "Choose your file" button. At the bottom right, there are "Cancel" and "Validate" buttons.

If there are issues with the uploaded data, the system will display error messages to help users correct them. If the upload is successful, the ISIN list will be automatically populated on the maintenance ticket.

Principles on file upload:


- The user acknowledges that the downloaded file to be used for reference data upload will only be used for its original purpose.
- No alteration, deletion or add-on is permitted as otherwise originally intended.
- It is the responsibility of the user to ensure that the file used for uploading is free from viruses, malware, external links or embedded files.


Inputting new ISINs via upload or manually via the “Insert ISIN(s)”, will add them to the list of ISINs already included in the ticket. The complete list of inserted ISINs is displayed below, along with the related CBL reference data is available at the time of the ticket creation. If required, the user may delete irrelevant ISINs by selecting the corresponding icon .



⚠ Notice: All ISINs added to the maintenance ticket must belong to the same umbrella. ✕

Umbrella/Fund name*

ISIN(s) *

 Add by upload

[View on ISIN status dashboard](#)  Delete all

ISIN	Clearstream security name	FISN	CFI	ISIN status	CBL eligibility	Actions
LU1132541324	SHS RWS-DYNAMIK-4	UKWN/EUR	DEGXXX	Issued	Eligible restricted	
LU1132541325	SHS RWS-DYNAMIK-5	UKWN/EUR	DEGXXX	Issued	Eligible	

Users may provide additional information (as the case may be) in the designated section:

Additional information

If the four-eyes principle is enabled at NNA Participant level, a second user must validate and approve the maintenance ticket before it can be submitted to Clearstream Banking. For further information, please refer to the [Four-eyes approval](#) section.

ISIN maturity

The ISIN maturity ticket workflow follows the same principle as the ISIN cancellation process (for additional information, please refer to the [ISIN cancellation](#) section) with the following differences.

- The maturity / final liquidation date is a mandatory field and must be provided.

Required information

Maturity/Final liquidation date*

- Users may optionally attach a shareholder notification as a supplementary document under the “Other documents” category.

Upload supplementary files ✕

Allowed extensions: pdf, doc, docx, zip
Maximum 1 file size is 20 MB.

Drag and drop files here or

Choose your files

<div style="border: 1px solid #ccc; padding: 5px; display: flex; align-items: center;"> Prospectus supplement.pdf 13MB 29/10/2025 14:12:14 </div>	<p style="font-size: 0.8em; margin: 0;">Choose the file type</p> <div style="border: 1px solid #ccc; padding: 2px;"> Prospectus supplement ▼ </div>
<div style="border: 1px solid #ccc; padding: 5px; display: flex; align-items: center;"> Application form.pdf 13MB 29/10/20205 14:12:14 </div>	<p style="font-size: 0.8em; margin: 0;">Choose the file type</p> <div style="border: 1px solid #ccc; padding: 2px;"> Application form ▼ </div>
<div style="border: 1px solid #ccc; padding: 5px; display: flex; align-items: center;"> Notification.pdf 13MB 29/10/20205 14:12:14 </div>	<p style="font-size: 0.8em; margin: 0;">Choose the file type</p> <div style="border: 1px solid #ccc; padding: 2px;"> Other ▼ </div>

Cancel
Clear
Upload

Fund name change

The fund name change ticket workflow follows the same principle as the ISIN cancellation process (for additional information, please refer to the [ISIN cancellation](#) section), with the following differences:

- The fund name change effective date is mandatory.

Required information

Effective date*

12/09/2026

Users may optionally attach a shareholder notification as a supplementary document as other documents type.

Decimal Change

The Decimal Change ticket workflow follows the same principle as the ISIN cancellation process (for additional information, please refer to the [ISIN cancellation](#) section) with the following differences.

- As an optional supplementary document, only “Other Document” can be uploaded.

Issue Price Change

The Issue Price Change ticket workflow follows the same principle as the ISIN cancellation process (for additional information, please refer to the [ISIN cancellation](#) section).

Confidentiality Status Change

The Confidentiality Status Change ticket workflow follows the same principle as the ISIN cancellation process (for additional information, please refer to the [ISIN cancellation](#) section).

The “New confidential status” field is mandatory.

Currency Change

The Currency Change ticket workflow follows the same principle as the ISIN cancellation process (for additional information, please refer to the [ISIN cancellation](#) section).

The “Target Currency” is mandatory for each inputted ISIN in the ticket

Maintenance ticket processing

Maintenance tickets follow a defined life cycle for which additional information is available in the [Request / maintenance ticket status](#) section.

Users can view both past and current status updates of the maintenance ticket in the maintenance ticket audit trail located in the first section at the top of the maintenance ticket page.

Participant ID: VESONWES02 User: LAUREF Signed in: 04 Apr 2023 12:34:23 CEST Classifier: Confidential 04 Apr 2023 12:34:23 CEST

NNA Portal ISIN and eligibility requests Maintenance tickets ISIN status search Participant setup

← Maintenance ticket

+ Add comments to ticket

Ticket ID: R00001 Processed time: Pending Type: Maturity
Created: 05/11/2024 14:10:12 Status: In progress Show audit trail

Ticket type*
Maturity
*Mandatory field

Umbrella/Fund name*

ISIN(s) *
Enter ISIN codes (Separated by ";") Search for ISIN(s)
Add by upload

View on ISIN status dashboard Download ISIN list

ISIN	Clearstream security name	FSN	CFI	ISIN status	CBL eligibility
LU1132541324	SHS RWS-DYNAMIK-4	UKWN\EUR	DEGXXX	Issued	Eligible restricted
LU1132541324	SHS RWS-DYNAMIK-4	UKWN\EUR	DEGXXX	Matured	Eligible restricted
LU1132541326	SHS RWS-DYNAMIK-4	UKWN\EUR	DEGXXX	Cancelled	Ineligible
LU1132541326	SHS RWS-DYNAMIK-4	UKWN\EUR	DEGXXX	Issued	Ineligible
LU1132541328	SHS RWS-DYNAMIK-4	UKWN\EUR	DEGXXX	Issued	Not requested
LU1132541328	SHS RWS-DYNAMIK-4	UKWN\EUR	DEGXXX	Issued	Not requested
LU1132541329	SHS RWS-DYNAMIK-4	UKWN\EUR	DEGXXX	Issued	Ineligible
LU1132541329	SHS RWS-DYNAMIK-4	UKWN\EUR	DEGXXX	Issued	Ineligible

Required information
Maturity/Final liquidation date*
12/09/2026

Supporting documents

#	Name	Type	Uploaded
1	Weston Global Fund-Prospectus...pdf	Prospectus (final)	29/10/2025 14:32:12
1	Prospectus 2.pdf	Prospectus (final)	29/10/2025 14:32:12

Additional information

Recall the ticket

Should the user need to recall the maintenance ticket (for example, if the ticket is no longer required), this can be done by selecting “Recall the ticket” at the bottom right of the action buttons section. If the four-eyes principle is enabled at the NNA Participant level, a second user must validate and approve the cancellation request. Once authorised, the cancellation will be automatically processed in the NNA Portal.

Once processed by Clearstream Banking, the maintenance ticket will have one of the following processing statuses:

- “Fully Completed”;
- “Partially Completed”; or
- “Rejected”.

For additional information, please refer to the [Request / maintenance ticket status](#) section.

Processed ISINs will display an updated status reflecting the revised CBL reference data (where applicable). For example, in the case of a maintenance ticket submitted for ISIN cancellation, the status of the impacted ISIN(s) will appear as “Cancelled” in the “Clearstream Updated Status” field.

Umbrella/Fund name*
FUND 2

ISIN(s) *

[View on ISIN status dashboard](#)
[Download ISIN list](#)

ISIN	Clearstream security name	FISN	CFI	ISIN status	CBL eligibility
LU1132541324	SHS RWS-DYNAMIK-4	UKWN/EUR	DEGXXX	Canceled	Eligible restricted
LU1132541324	SHS RWS-DYNAMIK-4	UKWN/EUR	DEGXXX	Matured	Eligible restricted
LU1132541326	SHS RWS-DYNAMIK-4	UKWN/EUR	DEGXXX	Cancelled	Ineligible
LU1132541326	SHS RWS-DYNAMIK-4	UKWN/EUR	DEGXXX	Issued	Ineligible
LU1132541328	SHS RWS-DYNAMIK-4	UKWN/EUR	DEGXXX	Issued	Not requested
LU1132541328	SHS RWS-DYNAMIK-4	UKWN/EUR	DEGXXX	Issued	Not requested
LU1132541329	SHS RWS-DYNAMIK-4	UKWN/EUR	DEGXXX	Issued	Ineligible
LU1132541329	SHS RWS-DYNAMIK-4	UKWN/EUR	DEGXXX	Issued	Ineligible

Users can download the displayed list by clicking on “Download ISIN list”. The downloaded file includes both the previous and updated values for each ISIN.

Please note that this button is **disabled** when the ticket is in **New**, **Draft**, or **Cancelled** status

Important Note: The information provided is based on the data available at the time the maintenance ticket was processed. If the latest Clearstream Banking-related reference data, including Clearstream Banking eligibility assessment confirmation, is required, the requester is required to access the [ISIN Status search](#) for this purpose. Further details are available in the [ISIN Status search](#) section.

If an ISIN is not processed in a maintenance ticket, the user will be able to consult the rejection reasons in the closure status.

4. ISINs and eligibility requests dashboard

4.1 Purpose

The Request Handling Dashboard is accessible by clicking on the "ISINs and eligibility request" option at the top of the screen. It provides a comprehensive overview of all previously submitted and ongoing ISIN issuance and CBL eligibility assessments requests. It enables users to track the progress of their requests and to apply filters to search for specific information.

Participant ID: VESOPEWFSSD User: LAUREF Signed in: 04 Apr 2025 12:34:23 CET CEST Confidential 04 Apr 2025 12:34:23 CET

NNA Portal ISINs and eligibility requests Maintenance tickets ISIN status search Participant setup

ISINs and eligibility requests dashboard

This dashboard displays all request types for ISIN issuance and eligibility checks. Use filters and search to find specific requests. [+ Create request](#)

[Export xls](#) Pending (11) Clarification required (1) Closed (16)

Creation date: Request status: Request type: Search request ID, umbrella, ISIN

Req.ID	Creation date	#ISINs	Umbrella/Fund name	Request status	Request type	Modified by	Details
> R100092	05/10/2025 14:13	1	AllianceBernstein	Draft	ISIN issuance	Admin1	
> R100093	06/11/2024 15:14	2	AllianceBernstein	Fully completed	ISIN issuance	Requestor	
> R100094	07/12/2024 16:15	2	AllianceBernstein	Partially completed	ISIN issuance	Requestor 123	
> R100095	08/01/2024 17:16	2	ABN AMRO	Clarification required	CBL eligibility assessment only	Admin32	
> R100096	09/02/2024 18:17	1	ABN AMRO	In progress	ISIN issuance with eligibility assessm	Admin23	
> R100097	10/03/2024 19:18	1	ABN AMRO	Fully completed	ISIN issuance	123456789	
> R100098	11/04/2024 20:19	1	Aberdeen	Canceled	ISIN issuance	123456789	
> R100099	12/05/2024 21:20	3	Aberdeen	Rejected	ISIN issuance	Admin1	
> R100100	13/06/2024 22:21	1	Aberdeen	Submitted	ISIN issuance	Admin1	
> R100101	14/07/2024 23:22	3	Aberdeen	Partially completed	ISIN issuance	Admin2	

Rows per page: 25 1-5 of 10 |< < > >|

The dashboard displays key information such as request ID, creation date, number of ISINs impacted, umbrella/fund name, request status, request type, the four-eyes status (if feature activated at NNA Participant level) and the last requesting user who updated the request.

The dashboard also enables additional actions such as creating a new request by selecting [+ Create request](#) (the user is directed to the [Request type selection](#) section), or export dashboard data using the export function [Export xls](#).

For additional information in this chapter, please refer to the [Data export](#) subsection.

4.2 Controls

Quick filters



Pending

Displays all requests with status “Submitted” and “In Progress”.



Clarification Required

Displays requests for which Clearstream Banking requires further clarification.



Closed

Displays requests with status “Fully Completed”, “Partially Completed” or “Rejected”.

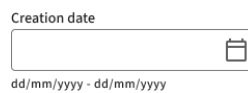
Further details on request statuses can be found in the [Request / maintenance ticket status](#) section.

Advanced filters



Reset filters

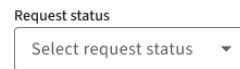
Resets all filters to default values.



Create date

Allows users to search for requests submitted within a specific time.

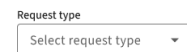
. For additional information on calendar functionality, please refer to the [General features](#) section.



Request Status

Displays a dropdown menu allowing the user to multi-select following request statuses:

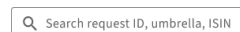
- “Draft”;
- “Submitted”;
- “In Progress”;
- “Clarification Required”;
- “Fully Completed”;
- “Rejected”;
- “Partially Completed”;
- “Cancelled”.



Request Type

Displays a dropdown menu allowing the user to multi-select following request types:

- “ISIN Issuance”;
- “ISIN Issuance with CBL Eligibility Assessment”;
- “CBL Eligibility Assessment Only”.



Search bar

Allows users to search for a specific request ID, umbrella/fund name or ISIN.



Search button

Allows to (re)run the search using selected filters.

4.3 List of results

The dashboard displays a list of results based on selected filters. The list includes up to nine columns which can be sorted in ascending or descending order by clicking on the respective column headers

The dashboard provides key information such as request ID, submission date, number of ISINs impacted and umbrella/fund name. Additionally, it displays the request status, request type, the four-eyes status (if feature activated at NNA Participant level) and the last requesting or user having updated a request.

Req.ID	Creation date	#ISINs	Umbrella/Fund name	Request status	Request type	Modified by	Details
> R100092	05/10/2025 14:13	1	AllianceBernstein	Draft	ISIN issuance	Admin1	
> R100093	06/11/2024 15:14	2	AllianceBernstein	Fully completed	ISIN issuance	Requestor	
> R100094	07/12/2024 16:15	2	AllianceBernstein	Partially completed	ISIN issuance	Requestor 123	
> R100095	08/01/2024 17:16	2	ABN AMRO	Clarification required	CBL eligibility assessment only	Admin32	
> R100096	09/02/2024 18:17	1	ABN AMRO	In progress	ISIN issuance with eligibility assessm	Admin23	
> R100097	10/03/2024 19:18	1	ABN AMRO	Fully completed	ISIN issuance	123456789	
> R100098	11/04/2024 20:19	1	Aberdeen	Canceled	ISIN issuance	123456789	
> R100099	12/05/2024 21:20	3	Aberdeen	Rejected	ISIN issuance	Admin1	
> R100100	13/06/2024 22:21	1	Aberdeen	Submitted	ISIN issuance	Admin1	
> R100101	14/07/2024 23:22	3	Aberdeen	Partially completed	ISIN issuance	Admin2	

For each item in the list, the following icons are displayed in the column “Details” allowing users to view both external and internal comments and to access additional menus. Please refer to the [Comments](#) section for external and internal comments.

In addition, the “Details” column allows the user to:

- edit requests with the status “Draft” or “Clarification Required” by clicking on , or
- view the details of finalised requests by clicking on .

When a specific request is selected in the Request Handling Dashboard, the corresponding row expands to display additional information about the classes included in the request.

Participant ID: VESOPEWFSSD User: LAUREF Signed in: 04 Apr 2025 12:34:23 CET CEST Confidential 04 Apr 2025 12:34:23 CET

C NNA Portal ISIN and eligibility requests Maintenance tickets ISIN status search Participant setup AB

ISIN and eligibility requests dashboard

This dashboard displays all request types for ISIN issuance and eligibility checks. Use filters and search to find specific requests. + Create request

Export xls Pending (11) Clarification required (1) Closed (16)

Creation date
Request status
Request type

Req. ID	Creation date	#ISINs	Umbrella/Fund name	Request status	Request type	Modified by	Details
> R100092	05/10/2025 14:13	1	AllianceBernstein	Draft	ISIN issuance	Admin 1	
∨ R100092	05/10/2025 14:13	2	AllianceBernstein	Submitted	ISIN issuance	Admin 1	
#	ISIN	Item name	ISIN status	CBL eligibility	Actions		
1	LU1132541346	AllianceBernstein Accum B	Issued	Eligible			
2	LU1132541346	AllianceBernstein Accum C	Issued	Not requested			
∨ R100092	05/10/2025 14:13	2	AllianceBernstein	In progress	ISIN issuance	Admin 1	
#	ISIN	Item name	ISIN status	CBL eligibility	Actions		
1	LU1132541346	AllianceBernstein Accum B	Issued	Eligible			
2	LU1132541346	AllianceBernstein Accum C	Issued	Not requested			
> R100092	05/10/2025 14:13	1	ABN AMRO	Clarification required	ISIN issuance	Admin 1	
> R100092	05/10/25 14:13	1	ABN AMRO	Fully completed	ISIN issuance	Admin 1	
> R100092	05/10/25 14:13	1	ABN AMRO	Rejected	ISIN issuance	Admin 1	
> R100092	05/10/25 14:13	1	Aberdeen	Partially completed	ISIN issuance	Admin 1	
> R100092	05/10/25 14:13	1	Aberdeen	Canceled	ISIN issuance	Admin 1	
> R100092	05/10/25 14:13	1	Aberdeen	In progress	ISIN issuance	Admin 1	
> R100092	05/10/25 14:13	1	Aberdeen	In progress	ISIN issuance	Admin 1	

Rows per page: 1-10 of 125 < > 🔍

Each row provides further additional details, such as ISIN (once issued), item name, ISIN status and CBL eligibility status. The displayed data becomes static once the request is finalised.

Furthermore, additional actions can be performed using the menu button :


**Clone Request
(only available on
completed requests)**

Allows users to clone selected classes of a completed request into a new request of the same type. All documentation and reference data associated with the selected classes are copied to the new request. For further details on request creation and processing, please refer to the [Request creation](#) section.

**Request CBL
Eligibility (only
available on completed
requests)**


Allows users to create a CBL eligibility assessment request on a selected list of ISINs. For further details on request creation and processing, please refer to the [New CBL eligibility assessment request on existing ISINs](#) section.

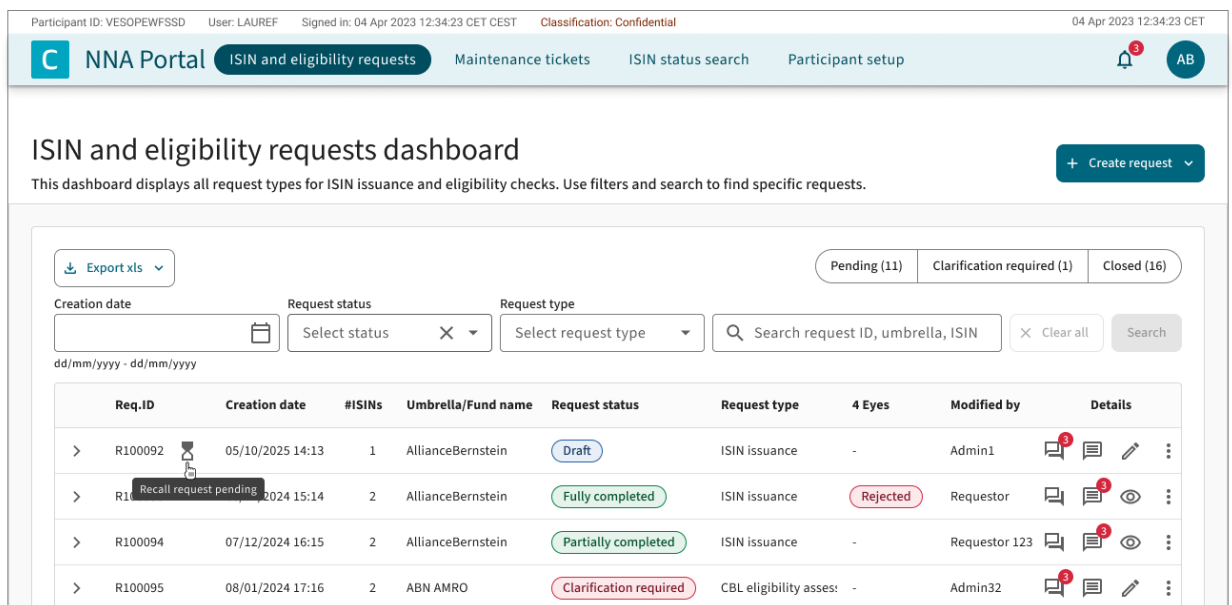
4.4 Data export

The Request Handling Dashboard allows users to export the list of results (based on the selected filters) into an Excel file (XLSX). To perform the export, please select  located at the top left of the dashboard above the list of results.





Important Note: The information provided is based on the data available at the time the request was processed. If the latest Clearstream Banking-related reference data, including Clearstream eligibility assessment confirmation, is required, the requestor is required to access the ISIN Status search for this purpose. Further details are available in the [ISIN status search](#) section.

4.5 Miscellaneous

Requests with a pending “Recall Request” are identified in the dashboard by a dedicated icon  next to the request ID, providing clear visibility of their status.



The screenshot displays the 'ISIN and eligibility requests dashboard' in the NNA Portal. The dashboard includes a navigation bar with 'ISIN and eligibility requests' selected, and a 'Create request' button. Below the navigation bar, there are filters for 'Request status' (Pending (11), Clarification required (1), Closed (16)) and 'Request type'. A search bar is also present. The main table lists requests with the following data:

Req.ID	Creation date	#ISINs	Umbrella/Fund name	Request status	Request type	4 Eyes	Modified by	Details
R100092	05/10/2025 14:13	1	AllianceBernstein	Draft	ISIN issuance	-	Admin1	
R100091	07/12/2024 15:14	2	AllianceBernstein	Fully completed	ISIN issuance	Rejected	Requestor	
R100094	07/12/2024 16:15	2	AllianceBernstein	Partially completed	ISIN issuance	-	Requestor 123	
R100095	08/01/2024 17:16	2	ABN AMRO	Clarification required	CBL eligibility asses:	-	Admin32	

For full details on recall demands, please refer to the [Request processing](#) subsection within the [New ISIN issuance request](#) section.

5. Maintenance Ticket Handling Dashboard

5.1 Purpose

The Maintenance Ticket Handling Dashboard is accessible via the relevant option in the top menu. It provides an overview on all previously submitted and ongoing maintenance tickets related to ISIN cancellation, ISIN maturity, fund name changes and ISIN archiving/unarchiving. It enables users to track the progress of their maintenance tickets and to apply filters to search for specific information.

Maintenance ticket handling dashboard + Create ticket ▾

This dashboard displays all ticket types for ISIN maintenance. A specific ticket could be found using filters and search.

Export xls ▾ Pending (11) Clarification required (3) Closed (16)

Creation date: Effective/Maturity date: Ticket status: Ticket type:

DD/MM/YYYY DD/MM/YYYY

Keyword search:

Ticket ID	Creation date	Effective/ Maturity date	#ISINs	Umbrella/Fund name	Ticket status	Ticket type	Modified by	Details
R100092	05/10/25 14:13	---	1	AllianceBernstein	In progress	ISIN cancellation	Admin1	
R100093	06/11/24 15:14	08/11/2020	2	AllianceBernstein	Submitted	ISIN maturity	Requestor	
R100094	07/12/24 16:15	---	1	AllianceBernstein	In progress	ISIN maturity	Requestor 123	
R100095	08/01/24 17:16	31/8/2025	2	ABN AMRO	In progress	Decimal changes	Admin32	
R100096	09/02/24 18:17	1/1/2025	1	ABN AMRO	Fully completed	Decimal changes	Admin23	
R100097	10/03/24 19:18	---	1	ABN AMRO	Rejected	ISIN maturity	123456789	
R100098	11/04/24 20:19	---	1	Aberdeen	Partially completed	ISIN cancellation	123456789	
R100099	12/05/24 21:20	---	3	Aberdeen	Canceled	ISIN maturity	Admin1	
R100100	13/06/24 22:21	1/6/2023	1	Aberdeen	Clarification required	ISIN maturity	Admin1	
R100101	14/07/24 23:22	---	3	Aberdeen	In progress	ISIN cancellation	Admin2	

Rows per page: 1-15 of 70

The dashboard displays information such as the ticket ID, creation date, effective or maturity date, number of ISINs impacted and umbrella/fund name. It also includes the ticket status, the ticket type, the four-eyes status (if feature activated at NNA Participant level) and the last requesting user who updated a maintenance ticket.

The dashboard also enables additional actions such as creating a new ticket by selecting the relevant option (the user is directed to the [new maintenance ticket](#) section), or to export dashboard data using the export function (for full details on recall demands, please refer to the Data export subsection).

5.2 Controls

Quick filters

Pending (11) Clarification required (3) Closed (16)

Pending: Displays all maintenance tickets with status “Submitted” and “In Progress”.

Clarification required: Displays maintenance tickets in status “Clarification required”

Closed: Displays maintenance tickets with status “Fully Completed”, “Partially Completed” or “Rejected”.

Advance filters

✕ Clear all

Creation date

DD/MM/YYYY

Effective/Maturity date

DD/MM/YYYY

Ticket status

Ticket type

Clear all - Resets all filters to default values.

Creation date - Allows users to search for maintenance tickets submitted within a specific time.

Effective/Maturity date - Allows users to search for maintenance tickets based on their **effective or maturity date** within a specified time.

Ticket status - Displays a dropdown menu enabling users to select multiple ticket statuses:

- Draft
- Submitted
- In Progress
- Fully Completed
- Rejected
- Partially Completed
- Cancelled

Ticket type - Displays a dropdown menu enabling users to select multiple ticket types:

- ISIN Cancellation
- ISIN Maturity
- Fund Name Change
- Archive ISIN
- Unarchive ISIN
- Decimal Change
- Issue Price Change
- Confidentiality Status Change

Search bar – Allows users to search for a specific ticket ID, umbrella/fund name or ISIN



Search button - Allows users to (re)run the search based on the selected filters.

The dashboard displays a list of results based on selected filters. The list comprises up to 9 columns plus an additional **action column** and can be sorted in ascending or descending order by clicking on the respective column headers. It provides key information such as ticket ID, the creation date, the effective or maturity date number of ISINs impacted, and umbrella/fund name. It also includes the ticket status, ticket type, the last requesting user who updated a maintenance ticket and the four-eyes status (if feature activated at NNA Participant level).

Ticket ID	Creation date	Effective/ Maturity date	#ISINs	Umbrella/Fund name	Ticket status	Ticket type	Modified by	4-eyes	Details
R100092	05/10/25 14:13	---	1	AllianceBernstein	In progress	ISIN cancellation	Admin1	Required	
R100093	06/11/24 15:14	08/11/2020	2	AllianceBernstein	Submitted	ISIN maturity	Requestor	Required	
R100094	07/12/24 16:15	---	1	AllianceBernstein	In progress	ISIN maturity	Requestor 123	---	
R100095	08/01/24 17:16	31/8/2025	2	ABN AMRO	In progress	Decimal changes	Admin32	Required	
R100096	09/02/24 18:17	1/1/2025	1	ABN AMRO	Fully completed	Decimal changes	Admin23	Required	

For each item in the list, the “Details” column provides icons that allow users to view notifications, as well as internal and external comments. Please refer to the section [Notifications and emails](#) for additional information on notifications and to section [Comments](#) for internal and external comments.

In addition, the “Details” column enables users to edit maintenance tickets under status “Draft” by selecting or to view the detail of finalized maintenance tickets by clicking on .

5.3 Data export

The Maintenance Handling Dashboard allows users to export the list of results (based on the selected filters) into an Excel file (XLSX).

To perform the export, select the **export option** located at the top left corner of the page.



Important Note: The information provided is based on the data available at the time the maintenance ticket was processed. If the latest Clearstream Banking-related reference data, including Clearstream Banking eligibility assessment confirmation is required, the requestor is requested to access the [ISIN Status Dashboard](#) for this purpose. Further details are available in the [ISIN Status Dashboard](#) section.

6. ISIN Status Search

6.1 Purpose

The ISIN Status Search is accessible via the corresponding option in the top menu. This page enables users to:

- view and export current CBL reference data (including ISIN status and CBL eligibility assessment status).
- initiate CBL eligibility assessment requests or maintenance tickets for retrieved ISINs.
- download the CBL eligibility assessment confirmation (in PDF format) for selected ISINs.

6.2 Search description

Participant ID: VESOPEWFSDD User: LAUREF Signed in: 04 Apr 2025 12:34:23 CET CEST Confidential 04 Apr 2025 12:34:23 CET

NNA Portal ISIN and eligibility requests Maintenance tickets ISIN status search Participant setup

ISIN status search

On this dashboard you can find all funds and request their ISIN eligibility check. Use filters and search to find specific funds.

Search: LU1325142484,LU2541312487,LU4311252488,LU5124312489,LU2413512490,LU1254312491,LU2541312484,LU3412152492 X Add by upload Search

ISIN status: Issued, Canceled CBL eligibility: Eligible Is fund confidential: Select ISIN requested in NNA portal: Select Clear all

All individual ISINs

Download CBL eligibility confirmation Download CBL reference data Request CBL eligibility assessment Create maintenance ticket

<input type="checkbox"/>	ISIN	Umbrella/Fund name	Crearstream security name	ISIN status	CBL Eligibility	Is confidential	Requested in NNA	Details
<input checked="" type="checkbox"/>	LU1325142486	AllianceBernstein	SHS RWS-DYNAMIK-1	Cancelled	-	Yes	Yes	
<input checked="" type="checkbox"/>	LU2541312487	AllianceBernstein	SHS RWS-DYNAMIK-2	Issued	Eligible	No	No	
<input checked="" type="checkbox"/>	LU4311252488	AllianceBernstein	SHS RWS-DYNAMIK-3	Issued	Ineligible	No	No	
<input checked="" type="checkbox"/>	LU5124312489	ABN AMRO	SHS RWS-DYNAMIK-4	Issued	Eligible restricted	No	No	
<input type="checkbox"/>	LU2413512490	ABN AMRO	SHS RWS-DYNAMIK-5	Matured	-	No	No	
<input type="checkbox"/>	LU1254312491	ABN AMRO	SHS RWS-DYNAMIK-6	Issued	Eligible	No	No	
<input type="checkbox"/>	LU3412152492	Aberdeen	SHS RWS-DYNAMIK-7	Matured	-	No	No	
<input type="checkbox"/>	LU2143512493	Aberdeen	SHS RWS-DYNAMIK-8	Archived	-	No	No	
<input type="checkbox"/>	LU4211352494	Aberdeen	SHS RWS-DYNAMIK-9	Issued	Ineligible	No	No	
<input type="checkbox"/>	LU3152412495	Aberdeen	SHS RWS-DYNAMIK-10	Issued	Ineligible	Yes	Yes	

Rows per page: 25 1-5 of 10 |< < > >|

The **Search page** operates in a standard manner and allows users to retrieve funds using one or more ISINs. Users may enter a single ISIN or multiple ISINs, separated by commas. In addition to ISIN input, various filters can be applied to refine the search results based on specific criteria.

To perform a search, select the **Search** button.

Alternatively, users may perform a **Search by Upload**, which allows searches to be initiated by uploading an XML file containing the relevant data.

Search Results and Table Actions

Search results are displayed in a table format. Within the table, users can:

- Select multiple funds to perform **bulk actions**
- Execute actions on individual **fund**
- Download **CBL Eligibility Confirmation**
- Download **CBL Reference Data**

These features enable efficient handling of multiple funds while also supporting detailed handling of individual records.

6.3 Filters

The **Search page** provides several filters that allow users to refine and narrow down search results:

- **ISIN Status**
Allows users to filter funds by their status. Available options include:
Issued, Cancelled, Matured, Archived.
- **CBL Eligibility**
Allows users to filter funds based on their CBL eligibility status. Available options include:
Eligible, Ineligible, Eligible (Restricted).
- **Is Fund Confidential?**
Allows users to filter funds based on confidentiality status. Available options include:
Yes, No.
- **ISIN Requested in NNA Portal**
Allows users to filter funds based on whether the ISIN was requested in the NNA portal. Available options include:
Yes, No.
- **Clear All**
The **Clear All** button resets all applied filters and restores the default search view.

Search Bar

Allows users to search for specific ISIN codes (separated by a comma).

✕ Clear all

Reset filters

Resets all filters to default values.

ISIN status

ISIN Status

Allow users to filter funds by their status. Available options include:

- Issued,
- Cancelled,
- Matured,
- Archived.

CBL eligibility

CBL Eligibility

Allow users to filter funds based on their CBL eligibility status. Available options include:

- Eligible,
- Ineligible,
- Eligible (Restricted).

Is fund confidential

IS fund confidential

Allows users to filter funds based on confidentiality status. Available options include:

- Yes,
- No.

ISIN requested in NNA portal

ISIN Requested in NNA Portal

Allow users to filter funds based on whether the ISIN was requested in the NNA portal. Available options include:

- Yes,
- No.

🔍 Search

Search button

Allows users to (re)run the search using selected filters.

📄 Add by upload

Search by Upload

Displays a pop-up window to allow users to upload a list of ISINs. Please refer to the below additional information.







The ISIN status search supports as a maximum a search on 500 ISINs.

6.4 List of results

The ISIN Status Dashboard allows users to perform the following actions on a list of ISINs.

All individual ISINs

[Download CBL eligibility confirmation](#) [Download CBL reference data](#) [Request CBL eligibility assessment](#) [Create maintenance ticket](#)

<input type="checkbox"/>	ISIN	Umbrella/Fund name	Crearstream security name	ISIN status	CBL Eligibility	Is confidential	Requested in NNA	Details
<input checked="" type="checkbox"/>	LU1325142486	AllianceBernstein	SHS RWS-DYNAMIK-1	Cancelled	Eligible	Yes	Yes	 
<input type="checkbox"/>	LU2541312487	AllianceBernstein	SHS RWS-DYNAMIK-2	Issued	-	No	No	 
<input type="checkbox"/>	LU4311252488	AllianceBernstein	SHS RWS-DYNAMIK-3	Issued	Ineligible	No	No	 

Actions for Eligible Funds:

- Create Maintenance Ticket
- Download CBL Eligibility Confirmation
- Download CBL Reference Data

Actions for Ineligible Funds:

- Request CBL Eligibility
- Create Maintenance Ticket
- Download CBL Eligibility Confirmation
- Download CBL Reference Data

Note: For funds that are cancelled, matured or achieved, it is not possible to request CBL eligibility.

6.5 Search by upload

Funds can also be searched by selecting the Add by Upload option. Upon selecting this button, a modal window opens.



Within the modal, users can:

Search by upload

Allowed extensions: .xlsx/.csv file.
Maximum 1 file size is 20 MB.

Select the file with the list of ISINS. [Download empty template](#)

Drag and drop file here or
[Choose your file](#)

Cancel Clear [Upload and search](#)




Download an empty **.xlsx template** or upload an .xlsx/.csv file containing the required data.

After selecting a file and clicking **Upload and Search**, the system processes the uploaded data and displays the corresponding funds in the results table. Users can then proceed with the standard workflow and perform further actions on the funds displayed.

6.6 ISIN status detail

All individual ISINs

[Download CBL eligibility confirmation](#) [Download CBL reference data](#) [Request CBL eligibility assessment](#) [Create maintenance ticket](#)

<input type="checkbox"/>	ISIN	Umbrella/Fund name	Clearstream security name	ISIN status	CBL Eligibility	Is confidential	Requested in NNA	Details
<input checked="" type="checkbox"/>	LU1325142486	AllianceBernstein	SHS RWS-DYNAMIK-1	Cancelled	Eligible	Yes	Yes	 ⋮
<input type="checkbox"/>	LU2541312487	AllianceBernstein	SHS RWS-DYNAMIK-2	Issued	-	No	No	 ⋮
<input type="checkbox"/>	LU4311252488	AllianceBernstein	SHS RWS-DYNAMIK-3	Issued	Ineligible	No	No	 ⋮

Users can view the details of a specific ISIN by selecting the corresponding row or the dedicated icon in the ISIN Status Dashboard. This redirects the user to the ISIN Status Details page.

This view provides detailed CBL reference data for selected fund, including:

- ISIN;
- Common code;
- FISN;
- CFI;
- Clearstream security name;
- ISIN status, if the ISIN was requested by the NNA Participant in the NNA Portal;
- CBL eligibility status;
- CBL settlement / ineligibility restrictions;
- Internal and external instruction account flag;
- Restricted account;

– Clearstream depository code and name.

Participant ID: VESQPEWFSSD User: LAUREF Signed in: 04 Apr 2025 12:34:23 CET CEST Confidential 04 Apr 2025 12:34:23 CET

NNA Portal ISIN and eligibility requests Maintenance tickets ISIN status search Participant setup

← ISIN status details

ISIN:	LU1122336785
Common Code:	156817627
FISN:	UKNWN/EUR
CFI:	CHSXXX
Clearstream Security Name:	SHS RWS DYNAMIK 4
ISIN Status:	Issued
ISIN Requested in NNA Portal:	Lorem ipsum dolor sit amet...
CBL eligibility status:	Ineligible
CBL settlement/Ineligibility restrictions:	---
Internal instructions account flag:	Instruction restricted
External instruction account flag:	Instruction restricted
Restricted account:	89766
Clearstream depository code:	7H
Clearstream depository name:	CLEARSTREAM BANKING S.A. AFS

Actions:

- [Download CBL eligibility confirmation](#)
- [Download CBL reference data](#)
- [Request CBL eligibility assessment](#)
- [Create maintenance ticket](#)

Appears in requests/tickets

#	Req./Ticket ID	Completed	Type	Actions
1	R100092	05/10/2025	CBL eligibility assessment only	🔍
2	M100093	05/10/2025	ISIN issuance	🔍
3	R100094	05/10/2025	ISIN issuance	🔍
4	M100095	05/10/2025	ISIN issuance	🔍
5	R100096	05/10/2025	ISIN issuance with CBL eligibility assessment	🔍
6	M100097	05/10/2025	ISIN issuance with CBL eligibility assessment	🔍
7	R100098	05/10/2025	CBL eligibility assessment only	🔍
8	R100099	05/10/2025	ISIN issuance	🔍
9	R100100	05/10/2025	CBL eligibility assessment only	🔍

The CBL eligibility status for investment funds shares is determined in accordance with CBL’s governing documents and policies (subject to change at CBL’s discretion), and has one of the following statuses:

- “Eligible”: The investment fund share is freely transferable within CBL.
- “Eligible Restricted”:

 - The investment fund share is subject to transfer restrictions within CBL. This may require the involvement of the investment fund or its agents to control transfers between clients. In certain cases, internal transfers between clients may be fully restricted, requiring re-registration of holdings through the fund’s shareholder or unitholder register, at the discretion of the investment fund.

- “Ineligible”: The investment fund share is not available for settlement, custody and order routing within CBL.

The internal and external instruction account flag can have the following values:

- “No Restriction”;
- “Instruction Restricted”; or
- “No Instructions Allowed”.

To complement the latter two cases, please refer to note above on “Eligible Restricted”. In addition, when “Instruction Restricted” applies, the “Restricted Account” field will display the account used by the investment fund or its agent to control transfers between clients.

If the given ISIN has been processed in a previous request or maintenance ticket, the NNA Participant is considered the owner of the ISIN, and all the reference data fields will be displayed (where applicable).

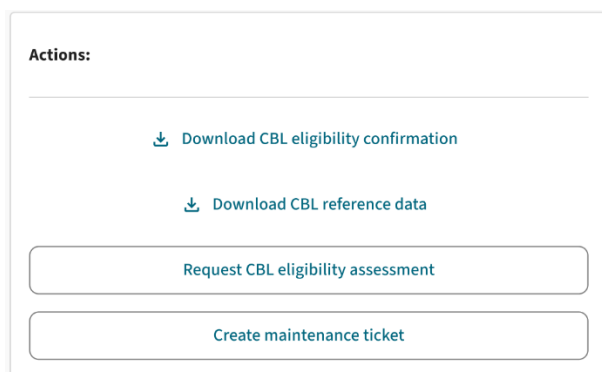
Conversely, if the NNA Participant is not the owner and the ISIN is classified as confidential, certain information may not be available.

The ISIN Status Detail page also provides information to the user (at the bottom of the screen) of whether the ISIN has been processed in a previous request or maintenance ticket. Users will be redirected to the relevant request or maintenance ticket by selecting the corresponding entry.

The ISIN Status Details page also enables the following actions for a selected fund to:

- Download the CBL eligibility assessment confirmation.
- Download the related CBL reference data.
- Proceed with a CBL eligibility assessment request or a new maintenance ticket. (“Create maintenance ticket” or “Request CBL Eligibility assessment” button).

To enable these actions, the ISIN Status Details page embeds following buttons on the right-hand side of the screen:



CBL eligibility assessment confirmation download

By clicking the “Download CBL eligibility assessment confirmation” button available in the ISIN Status Dashboard or the ISIN Status Details page, users can download a CBL eligibility assessment confirmation for a specific ISIN or a selected list of ISINs.

This confirmation contains the same information displayed on the ISIN Status Details page for a given fund including its CBL eligibility status (for additional information, please refer to the [ISIN Status Details](#) section). If the ISIN has been processed as part of a previous request or maintenance ticket, the NNA Participant is considered the owner of the ISIN. In such cases, all available reference data points will be included in the confirmation (where applicable).

If the NNA Participant is not the ISIN owner, or if the ISIN is marked as, confidential, certain information restricted and therefore not displayed. The same restriction applies to ISINs that were previously handled via the NNA Portal but subsequently archived through a maintenance ticket by the NNA Participant (for further details on the archiving process, please refer to the [new maintenance ticket](#) section).

The CBL eligibility assessment confirmation reflects the status at the time of its issuance and download. If confirmation is required at a later stage, the NNA Participant must revisit the ISIN Status Dashboard to

obtain an updated assessment of the CBL eligibility status. If the NNA Participant uses the CBL eligibility confirmation to apply for a third-party service (for example, listing application), the NNA Participant Partner remains responsible for notifying the relevant third-party of any subsequent changes to the CBL eligibility status of the investment fund shares.

CBL reference data download

Download CBL reference data

By clicking the “CBL reference data download” button in the ISIN Status Dashboard or on the ISIN Status Details page, users can download the CBL reference data for a specific ISIN or for a selected list of ISINs.

This download includes the same information displayed on the ISIN Status Details page for a given fund, including ISIN, ISIN status and CBL eligibility status (for additional information, please refer to the [ISIN Status Details](#) section).

If the ISIN has been processed as part of a previous request or maintenance ticket, the NNA Participant is considered the owner of the ISIN. In such cases, all applicable reference data points will be included in the download.

If the NNA Participant is not the ISIN owner, or if the ISIN is marked as confidential, certain information may be restricted and therefore not displayed. The same restrictions apply to ISINs that were previously handled via the NNA Portal but subsequently archived through a maintenance ticket initiated by the NNA Participant (for further details on the archiving process, please refer to the [New maintenance ticket](#) section).

The CBL reference data reflects the status of the ISIN at the time of download. If the data is required again at a later stage, the NNA Participant must revisit the ISIN Status Dashboard to obtain the most up-to-date reference data for the investment fund shares.

Request for CBL Eligibility Assessment

[Request CBL eligibility assessment](#)

By clicking **Request CBL Eligibility Assessment**, the user initiates the process of submitting a **CBL Eligibility Assessment request**. This process is described in detail in **Chapter 3.4** of this document.

Create Maintenance Ticket

[Create maintenance ticket](#)

By clicking **Create Maintenance Ticket**, the user initiates the **Maintenance Ticket** process. During this process, the user can select the specific type of operation they wish to perform. Further details are provided in **Chapter 5.0** of this document.

Published by

[Clearstream](#)

www.clearstream.com

Registered addresses
Clearstream Banking S.A.
42 Avenue JF Kennedy
L-1855 Luxembourg

Clearstream Banking AG
Mergenthalerallee 61
65760 Eschborn
Germany

Document number: 7326