

# Xact Web Portal

## **Application form for clients of Clearstream Banking S.A.**

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This Xact Web Portal Application<sup>1</sup>, between

**Company name**

**Registered address**

**City**

**Postcode**

**Country**

**Telephone**

**Fax**

**Email**

**Swift**

**Main account number  
at Clearstream Banking S.A.<sup>a</sup>**

a. This account may be used for billing.

herein referred to as the "**client**"; and

**Clearstream Banking S.A.** registered at 42 Avenue JF Kennedy, L-1855 Luxembourg, RCS Luxembourg B 9248

herein referred to as **Clearstream Banking**;

whereby the client subscribes to Clearstream Banking's connectivity services, herein referred to as "**ClearstreamXact**", in part or in full by completing this application form and the respective sections for the attached forms for the individual service(s) to which the client wants to subscribe.

We hereby acknowledge receipt of the Terms and Conditions of the ClearstreamXact Connectivity Agreement ([Appendix 3](#)) and expressly confirm our acceptance to be bound by its terms and conditions.

**For and on behalf of:**

**Name:**

**Title:**

**Name:**

**Title:**

**Date and signature:**

**Date and signature:**

**Please complete appendices 1 and 2, and return this application form to your Relationship Officer.**

1. Excluding any order routing services on investment funds.

## Appendix 1. Contact information

### Business contact person

Name

Title

Email

### Technical contact person

Name

Title

Email

### Initial Administrators to be set up in Xact Web Portal (mandatory):

#### Initial Administrator (1)

Name

Title

Address

City

Postcode

Country

Phone

Email

#### Initial Administrator (2)

Name

Title

Address

City

Postcode

Country

Phone

Email

Please ensure that the contact details are correct as they will be used to deliver the initial access letters.

Please tick this checkbox to acknowledge that your computer installation meets the minimum technical requirements as stated in [Xact Web Portal User Manual](#).

## Appendix 2. Business services and accounts

Xact Web Portal allows access to the business services of Clearstream Banking and LuxCSD. Such access will be continuously expanded as additional business services are made available.

Resources belonging to the client will be linked to the client's Organisational Unit set up by Clearstream Banking and/or LuxCSD and to which this application relates.

Subscription to the following services is enabled by default:

<b>User Management</b>	Management of users, users groups and users permissions as described in the <a href="#">Xact Web Portal User Manual</a> .
<b>Dashboard services</b>	Standard queries enabling you to monitor your business activities, preferred queries, pending tasks, alerts, news etc., as described in <a href="#">Xact Web Portal User Manual</a> .
<b>Reporting &amp; Monitoring</b>	Centrally manage all report scheduling with many combinations of formats (ISO, PDF, XLS and XML) and channels (File Transfer and Swift).  Manage saved queries to run at set times and receive alerts about critical business issues in the Business Monitoring Centre.
<b>Reference Data</b>	Query and view details of Cash Correspondents, Currencies, Financial Instruments, Places of Safekeeping and Settlement Parties.

The following elective services are also available; please tick all that are relevant to this application:

- |                          |                                       |  |
|--------------------------|---------------------------------------|--|
| <input type="checkbox"/> | <b>VestimaPRIME (CFN)<sup>a</sup></b> | VestimaPRIME services relating to custody and any other CBL services for investment funds as described in the <a href="#">Client Handbook</a> .        |
| <input type="checkbox"/> | <b>Settlement</b>                     | Create and process all types of securities settlement instructions.<br>Query and view securities positions.  |
| <input type="checkbox"/> | <b>Asset Servicing</b>                | Graphical overview of Income, Corporate Action and General Meeting life cycle events with detailed information about your instruction options.         |
| <input type="checkbox"/> | <b>Tax</b>                            | Query and view Tax details.  |
| <input type="checkbox"/> | <b>Cash &amp; Liquidity</b>           | Create and process Pre-advice of Funds, Withdrawal of Funds, client Transfers and Foreign Exchange Cash Instructions.<br>Query and view cash balances. |

a. The relevant application form must be completed and signed as a pre-requisite for access to VestimaPRIME. User Management for VestimaPRIME users is not yet possible on Xact Web Portal.

**Accounts to be included in the Client Organisational Unit:**

New Organisational Unit (OU)

Update to existing OU - Name:

**Vestima<sup>a</sup>** Vestima services for investment funds as described in the [Client Handbook](#). This application form covers reporting services on holdings and transactions and does not cover any order routing services on investment funds.

Vestima Master Participant

Vestima Order Handling Agent

Vestima Order Issuer

Vestima Report Receiver

- a. The relevant application form must be completed and signed as a pre-requisite for access to Vestima (Vestima Set Up Form, Vestima Service Application Form or Reporting Application Form).

**Vestima Participant IDs<sup>1</sup> to be included in the Client Organisational Unit:**

New Organisational Unit (OU)

Update to existing OU - Name:

Master Participant

Order Handling Agent

Order Issuer

Report Receiver

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1. For any support regarding the Vestima Participant ID(s) to specify, please contact your Relationship Manager.

**Distribution services**

**Fund Compass**

Access to Fund Compass web-based application.

**Compass**

Access to Compass web-based application.

**Quantalys Easypack**

Access to Quantalys web-based application for clients domiciled in France, Italy, Luxembourg and Switzerland.



**NNA Portal<sup>a</sup>**

NNA Services linked to Clearstream Banking's role as NNA covering the issuance and maintenance of ISIN, CFI and FISN codes on Luxembourg-domiciled investment funds and companies, as further described in the Appendix 3 of the NNA Portal application form.

- a. The relevant application form must be completed and signed as a pre-requisite for access to the NNA Portal.

**NNA Participant IDs to be included in the Client Organisational Unit<sup>1</sup>**

New Organisational Unit (OU)

Update to existing OU - Name:

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1. For any support regarding the NNA Participant IDs to specify, please contact your Relationship Manager.

**Collateral Management**

Triparty Collateral Management services as described in the [Collateral Management user documentation](#).

**Participant short codes<sup>1</sup> to be included in the Client Organisational Unit:**

New Organisational Unit (OU)

Update to existing OU - Name:

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1. For any support regarding the Participant Short Code(s) to specify, please contact your GSF Relationship Manager - +352 243 36868

## Appendix 3. ClearstreamXact Connectivity Agreement

### Terms and conditions

#### 1. Definitions

- 1.1 The term "Certificate(s)" shall mean a certificate that specifies the name of a ClearstreamXact user and certifies that a public key, which is included in the certificate, belongs to that user. A digitally signed message is created with the aid of the private key that corresponds to the public key in this person's Certificate. A Certificate is issued and digitally signed by a certificate authority (CA). A Certificate's validity can be verified by checking the CA's digital signature, also called digital ID, digital passport, public-key certificate X.509 certificate and security certificate.
- 1.2 The term "Clearstream Banking" shall mean and refer to the duly licensed bank called Clearstream Banking S.A. organised as a société anonyme and incorporated under the laws of the Grand Duchy of Luxembourg.
- 1.3 The term "Clearstream Banking's Source" shall mean such third party licensors and owners of the Software and/or its components.
- 1.4 The term "Contract" shall mean and refer to this Connectivity Agreement together with the Schedules and any other addenda attached hereto.
- 1.5 The term "Documentation" shall mean and refer to all documentation provided under this Contract, the Schedules, the User Guides and any other documentation provided with the service to which the client has subscribed and to which this Contract applies.
- 1.6 The term "Effective Date" shall mean and refer to the date of subscription to the specific service.
- 1.7 The term "Fund Compass" shall mean the Clearstream Fund Centre web-based application that serves as a central information platform for Clients to access distribution and fund data and to apply wide-ranging analysis.
- 1.8 The term "General Terms and Conditions" shall mean and refer to the General Terms and Conditions of Clearstream Banking.
- 1.9 The term "Installation Country" shall mean and refer to the country of the client's computer installation.
- 1.10 The term "Mobile Authenticator App" refers to the app installed on the user's mobile telephone. It generates TOTP (Time-based One-Time Password) token numbers used for the login to the Xact Web Portal application.
- 1.11 The term "Schedule" shall mean and refer to the Schedules hereto, executed by Clearstream Banking and the client and attached to and expressly made a part of this Contract.
- 1.12 The term "Software" shall mean and refer to the computer software products specified in any Schedule, manuals, documentation or other materials supplied therewith.
- 1.13 The term "Third Party" shall mean any natural person or legal entity who is not a party to the Contract; for the avoidance of doubt, subsidiaries and/or affiliates of the client are Third Parties.
- 1.14 The term "Use" of Software shall mean to load, utilise, store or display the Software.
- 1.15 The term "Xact Services" shall mean the Clearstream Banking connectivity services, to which the client has subscribed.
- 1.16 The term "Compass" shall mean the Clearstream Fund Centre web-based application that is a collaborative fund information platform and serves as a central tool for fund professionals.
- 1.17 The term "Quantalys Easypack" shall mean the Freemium Service of Quantalys, that consists of a fund screening webtool limited to the CFC Universe of Investment Funds. This service is available for the Distributors domiciled in France, Italy, Luxembourg and Switzerland.

## **2. Purpose**

- 2.1 It shall be a precondition for the conclusion of this Contract that the client has been accepted as a client of Clearstream Banking.
- 2.2 Clearstream Banking is offering to the client the non-exclusive facility of using the Xact Services selected by the client in the application form provided with this Contract to enable the client to exchange information with Clearstream Banking in accordance with the General Terms and Conditions. The client hereby expressly acknowledges receipt and acceptance of the General Terms and Conditions.
- 2.3 Clearstream Banking shall provide the client with the Documentation, including without limitation technical specifications, user guides and security procedures. The client shall follow the requirements and procedures set forth in the Documentation, which may be revised from time to time.

## **3. Certificates and Mobile Authenticator App**

- 3.1 For the purpose of using the selected Xact Services, the client will use a suite of security products (for example, passwords, Mobile Authenticator App etc.) depending on the type of service selected.
- 3.2 The client shall exercise due care in safeguarding its Certificates, Password and Mobile Authenticator App access. Clearstream Banking shall not be responsible in the event of loss, theft, fraudulent or unauthorised use of the client's Certificates, Passwords or Mobile Authenticator App to fraudulently access the Xact Services.

## **4. Security**

- 4.1 The security Software is designed to the highest practical standards in terms of access, security, authentication and encryption.
- 4.2 The client agrees to be bound by and adhere to the security procedures set out in the Documentation, which Clearstream Banking may revise from time to time.
- 4.3 The client undertakes not to attempt to modify, circumvent or otherwise interfere with any of the security systems functions. Any such unauthorised activities will result in all warranties made by Clearstream Banking in relation to the security of the system being null and void.

## **5. Fees**

The Clearstream Banking General Terms and Conditions, under which the relationship with the client is formed, the associated Fee Schedule, any other Governing Document and any other related documentation apply to this Contract. Any taxes and fees due in relation to the conclusion or fulfilment of the services, especially VAT, withholding tax, or any other tax shall be borne by the client at the prevailing rate and will be extra.

## **6. Support**

Clearstream Banking shall provide appropriate product support on a best efforts basis and in accordance with the terms of the Xact Services to which the client has subscribed under this Contract.

## **7. Client's liabilities and obligations**

- 7.1 The Xact Services provided under this Contract have been developed to operate in a technical configuration as specified in the Xact Web Portal User Manual. It is the responsibility of the client to ensure that the Connectivity Services operate in accordance with the operating system requirements and technical configuration described in the Documentation.
- 7.2 The client is responsible for the acquisition, installation, correct use, operation and maintenance of the technical configuration described in the Documentation.

- 7.3 The client is responsible for installing the Software mentioned in the system requirements (that is, Operating system, Browsers, Java) including upgrades and security patches to the Software according to the installation instructions described in the Documentation.
- 7.4 The client must take all reasonable security measures to ensure that access to the Xact Services is solely granted to persons properly authorised within its own entity. Clearstream Banking shall not be liable for the consequences of unauthorised access in any event.

## **8. Clearstream Banking's liabilities and obligations**

- 8.1 Clearstream Banking warrants for the sole benefit of the client that if properly installed and used in accordance with the Documentation the Xact Services provided under this Contract comply with the specifications provided by Clearstream Banking in the Documentation.
- 8.2 Clearstream Banking undertakes to resolve, on a best efforts basis, any defects in the Xact Services identified by the client.
- 8.3 Clearstream Banking manages access to the Xact Services on a best efforts basis.
- 8.4 Clearstream Banking warrants to the client that it shall use commercially reasonable efforts to ensure that its IT infrastructure is free from any computer "virus" or any other malicious program code.
- 8.5 Components of the Xact Services are provided by third parties. Although Clearstream Banking has tested the third party components and warrants that such components meet the purpose for which Clearstream Banking has tested them, Clearstream Banking waives any responsibility for the availability and operation of third party software for any purpose for which the third party software has not been tested by Clearstream Banking.
- 8.6 In all other respects, Clearstream Banking's liability for the provision of these Xact Services shall be as set out in the General Terms and Conditions.

## **9. Term and Termination**

- 9.1 This Contract shall be valid for one (1) year from the date of execution. Beyond this initial term, the Terms and Conditions shall be renewed automatically and tacitly for successive periods of one (1) year unless terminated by Clearstream Banking or the client upon ninety (90) calendar days' written notice. Such notice can be served at any time.
- 9.2 In addition, Clearstream Banking reserves the right to terminate this Contract and suspend the provision of any services provided under this Contract with immediate effect, and without prior notice, if, in Clearstream Banking's opinion, the client is in material breach of any obligation incumbent upon it under the General Terms and Conditions, any other Governing Document or any other agreement between Clearstream Banking and the client. This also applies if circumstances arise that Clearstream Banking reasonably believes would materially affect the client's ability to fulfil the obligations incumbent upon it under the General Terms and Conditions or any other agreement between Clearstream Banking and the client or the client ceases to be a client of Clearstream Banking.
- 9.3 Notice of termination shall be in writing and shall be sent to the relevant party's correspondence address as notified to the other party in writing.
- 9.4 Upon termination of this Contract for any reason, the client shall promptly return any and all Software, if applicable, and any associated materials and Confidential Information to Clearstream Banking and shall warrant in writing to Clearstream Banking that all copies or translations thereof have been returned to Clearstream Banking or destroyed.

## 10. Confidentiality

- 10.1 The client undertakes to keep and treat as confidential and not to disclose to any third party any information of a confidential or proprietary nature concerning the Connectivity Services, their operability, Clearstream Banking's know-how, trade secrets, business transactions of which the client has been informed as a result of the execution of this Contract (the "Confidential Information") nor make use of such Confidential Information for any purpose whatsoever except for the purpose of carrying out its duties under this Contract.
- 10.2 Information will not be considered Confidential Information if:
- i) already published or available to the public other than by a breach of this Contract;
  - ii) rightfully received from a Third Party not in breach of any obligation of confidentiality;
  - iii) independently developed by personnel or agents of any party without access to the Confidential Information of the other.
- 10.3 The client shall take adequate safeguards to maintain the confidentiality of the Confidential Information by or to any other corporation, individual, firm or organisation, including, but not limited to, such specific safeguards as Clearstream Banking may request from time to time.
- 10.4 The client acknowledges that the Software and the Documentation, as well as all amendments, updates and new releases thereof supplied by Clearstream Banking and Clearstream Banking's Source contain proprietary, confidential and trade secret information developed or acquired by Clearstream Banking or Clearstream Banking's Source. The latter parties retain all trade secret rights thereto.
- 10.5 The receipt of any Confidential Information does not confer any intellectual property rights in the said Confidential Information to the client. Any technology, know-how, data or related product development, whether or not based, directly or indirectly, on Confidential Information ("Clearstream Banking Know-How") is and shall be the sole property of Clearstream Banking and all applicable rights in patents, copyrights, trademarks and trade secrets relating thereto (the "Property Rights") shall remain the property of Clearstream Banking. The client undertakes not to sell, transfer, license, publish, disclose, display or otherwise make available the Clearstream Banking Know-How without Clearstream Banking's prior written consent, to any third party, nor to use it for its own purposes or benefit except as provided herein.
- 10.6 The provisions of this Article 10 shall survive the expiration or termination of this Contract.

## 11. Data protection

Clearstream Banking is acting as independent data controller when performing its services and may have access to the personal data (within the meaning of the Clearstream Banking Notice of European Data Protection Terms) of the client with respect to the processing of the personal data.

Clearstream Banking undertakes to:

- a) Process the personal Data exclusively in accordance with (i) the terms of the GDPR Notice; (ii) the Contract, or (iii) the instructions received from the client from time to time, either orally or in writing; and
- b) Implement all appropriate technical and organisational measures necessary to ensure the safety and confidentiality of the personal Data against accidental or unlawful destruction or accidental loss, falsification, unauthorised dissemination or access and against all other unlawful forms of processing.

## 12. Miscellaneous Provisions

- 12.1 This Contract shall be governed, construed and interpreted in accordance with the laws of the Grand Duchy of Luxembourg. The client submits to the non-exclusive jurisdiction of the competent Luxembourg courts for any litigation that may arise.
- 12.2 If a court of competent jurisdiction holds any provision of this Contract to be illegal or invalid, the provisions will be automatically severed from this Contract. Any such holding will not affect the legality or validity of the remaining provisions of this Contract.
- 12.3 If a party fails to give notice or enforce any right under this Contract, such failure shall not constitute a waiver of such right, unless such waiver is reduced to writing and signed by the waiving party. If a party waives its right in writing, such waiver shall not constitute a waiver of any other right or of any subsequent violation of the same right that has been waived.
- 12.4 All notices required or permitted under this Contract shall be made through an authenticated communication system (for example, authenticated Swift message, or registered letter).
- 12.5 This Contract contains all the terms agreed by the parties regarding the subject matter of this Contract and supersedes any prior agreement, understanding or arrangement between them whether oral or in writing relating to the Xact Services subscribed for, and no representation, understanding or promise shall be taken to have been given or implied from anything said or written in negotiations between the parties prior to the execution of this Contract or any Schedule except as expressly incorporated in this Contract.
- 12.6 Clearstream Banking's Governing Documents shall be deemed an integral part of this Contract.
- 12.7 Clearstream Banking reserves the right to amend these Terms and Conditions. Clearstream Banking shall notify the client in writing by mail of any such amendment and of the effective date thereof. Unless the client shall inform Clearstream Banking in writing to the contrary within ten business days following the date of receipt of Clearstream Banking's notice, the client shall be deemed to have accepted such amendments.

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**Contact**

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