

Shareholder Communication Enhancement (SCE) - General Meetings

Client Test Guide

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Clearstream Banking

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1 Introduction

1.1 General information

The Shareholder Communication Enhancement (SCE) project has been established to enhance the Clearstream Banking General Meeting Service for clients (Clearstream Banking account holders or their third-party service providers). It targets higher automation and STP rates, which cannot be achieved with the current ISO 15022 formats or manual workarounds and processes, to offer an aligned and standardised service across all Clearstream Banking entities, asset types and markets.

From November 2024, the Clearstream Banking General Meeting Service will migrate from ISO 15022 to ISO 20022 Swift message structure for all markets and asset classes, for instruction and registration flows, status messages and meeting results, where applicable. Clients that do not support the ISO 20022 message format for meeting instructions will be able to use the new General Meeting module of Xact Web Portal as an alternative. All general meetings will be processed in the OneCAS system and available via Xact Web Portal.

Additionally, for General Meeting notifications and cancellations (seev.001 and seev.002), a co-existence of notifications and cancellations via MT564 will be offered. However, instructions, status updates and meeting results will only be accepted or sent in ISO 20022 format or via Xact Web Portal.

All publications related to the SCE project, including announcements and the Detailed functional Specifications, are available on the [Clearstream Banking General Meeting Service webpage](#).

Questions about the SCE project, as well as readiness topics, can be addressed directly to SCE-project@clearstream.com.

This document provides practical information about the Client Test of the ISO 20022 Rollout for General Meetings (GM) to help clients prepare for the new processes that will be activated in production on 18 November 2024.

Participation in the Client Test of the ISO 20022 Rollout for GM is optional. However, we recommend that clients participate to become familiar with the functional General Meeting Message exchange in ISO 20022 Format.

Clearstream Banking will offer Client Test during dedicated test windows from 26 August 2024 to 15 September 2024 and from 7 October to 15 November 2024. Smoke Tests also will be conducted before each testing phase.

1.2 Structure and content of this document

This document focuses on the testing by clients of the revised General Meeting service implemented by the SCE project of Clearstream, specifically on the introduction of ISO 20022 messaging, a new Xact Web Portal domain for general meetings, and related activities.

The objective of the Client Test Guide is to provide clients with an overview regarding preparation, organisation, and execution of the Client Test associated with changes that come with the SCE project to ensure a smooth transition phase in November 2024. It provides a common understanding and commitment of all involved stakeholders for the test execution, its required timeframe, the environment setup, and the functionality to be tested.

- This document describes how Clearstream will support clients for General Meeting testing in the Clearstream test environments (OCCT) and (IMS23). It also advises clients of the test

requirements and how guided tests will be conducted using test scenarios that will be executed during the guided test period. The document is structured as follows:

- Chapter 2 sets out the schedule and the scope of the Client Test;
- Chapter 3 outlines details of preparation tasks, in particular static and dynamic data, information related to Clearstream as well as technical connectivity set up, prerequisites for participation in the guided test, registration forms, and creation of holdings;
- Chapter 4 provides details of each test scenario that will be included in the guided test execution;
- Chapter 5 shows a summary of the Client Test calendar;
- Chapter 6 is a Glossary of terms and abbreviations.

1.3 Scope and schedule of the SCE general meetings

The scope of the Client Test for the SCE general meetings project comprises changes to current processing for general meetings implemented on 18 November 2024. This includes the following messages and their associated workflows:

- Meeting Notification
- Meeting Cancellation
- Meeting Entitlement Notification
- Meeting Instruction
- Meeting Instruction Cancellation Request
- Meeting Instruction Status
- Meeting Vote Execution Confirmation
- Meeting Result Dissemination

As a result of these changes, the following meeting event types will be tested:

1. BMET – Bondholder meeting
2. CMET – Court meeting
3. XMET – Extraordinary meeting
4. GMET – General meeting

The SCE Client Test is open to all registered clients of Clearstream Banking and LuxCSD, that is, holders of:

1. CBF accounts including CBF-i accounts
2. CBL accounts
3. LuxCSD accounts including LuxCSD-i accounts

Clients may also include in the tests any third-party service providers they use for general meeting processing.

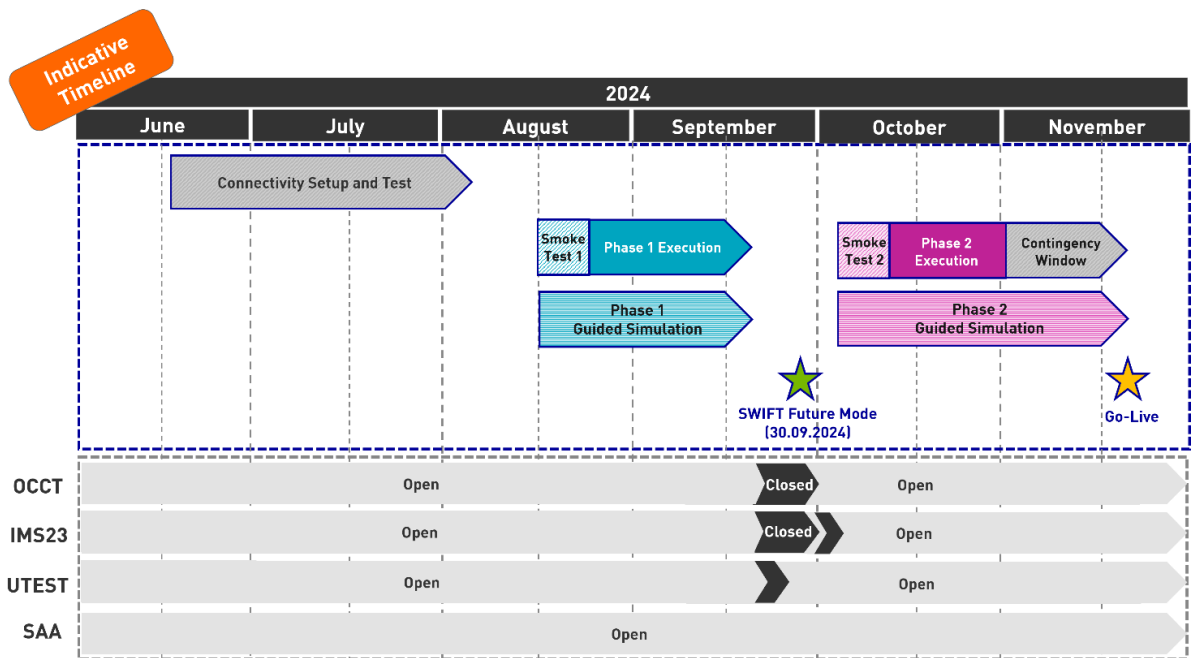
Please note that this document explains the functional logic and sequence of each process, but does not delve into each (sub)process in detail. If detailed process descriptions are required, please refer to the [Detailed Functional Specification](#) for further guidance.

The SCE General Meetings Client Test will follow a staggered approach. In the first phase, we will perform the Client Test for General Meetings with limited functionality that will be determined in the Phase 1 test scenarios. Please be advised that for this phase, messages will be **Swift Release 2023** compliant. In the second phase, we will test the full functionality for General Meeting messages using

Swift Release 2024 format. The test scenarios tested in Phase 1 will therefore be repeated in Phase 2, as the messages will then be Swift Release 2024 format compliant. In total, the Client Test runs over a period of eleven weeks that include the following phases:

- **Connectivity Test** will initially be held from 24 June 2024 to 9 August 2024. The purpose of this test is to ensure that the RMA Exchange, as well as the respective message configurations and subscription settings, are in place and the message flow works as expected, before starting guided test execution. Clients are encouraged to participate in this connectivity testing, as it ensures that the message setups will work as expected in end-to-end testing. A further period of connectivity testing will be available by arrangement between 19 August 2024 and 20 September 2024.
- Phase 1 begins with **Smoke Test 1** that will be held from 19 August to 23 August 2024. The test will focus on transmission of "core" GM messages (seev.001, seev.004 and seev.006) that are Swift Release 2023 format compliant. This smoke test will ensure that the envisaged E2E flows work as expected and address any issues found before the guided test Execution begins. NB: Clearstream will approach one client to conduct this smoke test and as such, remaining clients will not need to take part and can consider this as "for information" only.
- Phase 1 **Execution** starts on 26 August 2024 and ends on 19 September 2024 and is open to all registered participants. This phase will focus on testing functional changes to limited general meeting events processing using Swift Release 2023 format messages. Please see test scenarios #1 - #4 in section 3 for details of scope.
- From 20 September 2024 to 3 October 2024 test environments will be closed for system maintenance.
- Phase 2, **Smoke Test 2** will be held from 7 October 2024 to 11 October 2024. The test will focus on transmission of "core" GM messages (seev.001, seev.004 and seev.006) that are Swift Release 2024 format compliant. As with Smoke Test 1, this smoke test will ensure that the envisaged E2E flows work as expected and address any issues found before the guided test Execution begins. NB: Clearstream will approach one client to conduct this smoke test and as such, remaining clients will not need to take part and can consider this as "for information" only.
- Phase 2 **Execution** starts on 14 October 2024 and ends on 1 November 2024. This test period will focus on testing the 12 general meetings event scenarios that are selected to represent the full functional changes foreseen in general meetings event processing, with messages that are Swift Release 2024 format compliant.
- A Contingency Test period is planned between 4 November and 15 November 2024 should it be required.

Detailed below is the indicative Client Test timeline which shows Clearstream test environment



availability and planned test activities with regards to the SCE General Meetings Client Test. More detailed information can be found in Chapter 4 Client simulation calendar.

Figure 1: SCE General Meetings - Client Test Timeline Overview

Preparation for client testing

During the Client Tests for the SCE General Meetings, clients will be able to receive general meeting notifications via the Clearstream testing environments (via IMS23/OCCT). For a successful participation in the Client Test, correct account and connectivity settings must be in place.

Please contact the Connectivity Support team (connect@clearstream.com), if:

1. Your account and connectivity settings in OCCT or IMS23 need to be verified;
2. You require a new set up in OCCT or IMS23;
3. You have particular setup requirements related to SCE GM Testing.

Please see the subsections of this chapter for full details of all other preparation tasks. If there are any other queries or questions about the general setup, please direct your questions to the SCE GM Client Readiness team at sce-project@clearstream.com.

Note: Clients who would like to participate in the Client Tests are asked to register by completing the [SCE Client Test Registration Form](#) and send it back to SCE GM Client Readiness team at sce-project@clearstream.com by 26 July 2024. Further details are provided in Section 2.4. Participating clients are also required to adequately prepare to test all test scenarios in scope for Client Test and to ensure that necessary static data is in place prior to testing. Please refer to the following sections and the test scenarios in [Chapter 3 Execution of Test Scenarios - Guided Test](#) for details

2.1 Clearstream account settings in testing environments

For successful participation in the Client Test, account settings must be available in the Clearstream Client Test environment (IMS23/OCCT) **by 26 July 2024**. Generally, the settings used in the testing environment should not deviate from those used in production. However, if clients decide otherwise, they are requested to reconfirm the settings in the testing environment by deadline above and consider the risks associated with executing test scenarios with deviating static data.

Clients are also requested to verify the existing Clearstream Xact Web Portal connectivity settings. They should ensure that all users maintaining General Meetings events via the Xact Web Portal can access the General Meetings functionality and that the respective OU has sufficient rights. The Xact Web Portal serves as the graphical user interface for instruction management, allowing configuration of report definitions for automated message flow (A2A connectivity). Additionally, clients can utilise the Xact Web Portal to send GM instructions if they lack access to Swift. Detailed procedures on accessing and using the GM Module in the Xact Web Portal can be found in the [Detailed Functional Specifications](#), section 3.3.

Note: This additional Xact Web Portal functionality will only be available in Client Test 2.

If clients lack access to the Xact Web Portal or require message configuration setting up, these requests can be addressed via the [SCE Client Test Registration Form](#) or directly to the Connectivity Support team at connect@clearstream.com.

2.2 Connectivity channels and message configuration settings

Below is Clearstream's recommended reporting setup for general meetings. However, clients have the option to change the report setup according to their operational processes and procedures.

Category	Default value
Report types	Meeting Notification (seev.001) Meeting Cancellation (seev.002) Meeting Entitlement Notification (seev.003) Meeting Instruction Status (seev.006) Meeting Vote Execution Confirmation (seev.007) Meeting Result Dissemination (seev.008)
Subscription start date	As soon as the subscription is setup and in place.
Frequency	Realtime
Delivery channel	Swift, Swift FINPLUS, MQ ^a , Xact File Transfer, Xact Web Portal
Sending address	ou=xxx,o=cedelull,o=swift for ISO 20022 ZYAILUL0 for ISO 15022
Service name (ISO 20022 only)	Pilot current ("!pc") for SR 2023 Pilot future ("!pf") for SR 2024
General Meetings Event types	All

- a. **Note:** MQ Channel is not provided for MX messages.

Prior to the sending of any ISO 20022 messages, a Swift Relationship Management Application (RMA) Exchange is required, to ensure both parties can receive the relevant messages. RMA Exchange is required separately for FinPlus live and FinPlus pilot services. For the purposes of Client Testing, RMA Exchange is required only for pilot services (which includes both swift.finplus!pc and swift.finplus!pf).

Note: RMA exchange for live services will be required separately prior to Go Live.

Clients should allow sufficient time for the preparation of the technical setup by Swift, RMA key exchange and Connectivity Tests, and are therefore advised to perform these tasks as soon as possible, and in any case well in advance of the end of the Connectivity Test window shown in Figure 1: SCE General Meetings – Client Test Timeline Overview.

In order to test ISO 20022 messages during the SCE General Meetings Client Test, clients will need to configure the ISO 20022 messages in IMS23/OCCT. This should be requested via the [SCE Client Test Registration Form](#). (Alternatively, the setup can be performed directly in the Xact Web Portal or requested via email to the connectivity team at connect@clearstream.com. Clients requiring changes to their general meetings reporting setup should indicate required reporting needs well in advance to allow modification in due time.

For ISO 15022 message exchange via the Swift network, Swift requires the use of Test BICs as technical sender and receiver addresses within the testing environment. Please note that Test BICs used in IMS23 might differ from those used in OCCT. These Test BICs must be registered with the Swift network. If clients wish to participate via a Test BIC for the first time, they should allow some time for the preparation of the technical setup by Swift, including RMA key exchange and connectivity tests. For ISO 20022 message exchange, production BICs within DNs are used over Swift pilot services.

To ensure proper instruction maintenance via the Xact Web Portal, clients are requested to verify if testers have sufficient and necessary user rights.

Clients should contact the Connectivity Support team at connect@clearstream.com if connectivity settings in OCCT need to be enriched for the Client Test.

2.3 Message routing

Clearstream has developed an internal routing mechanism to create flexibility for clients to choose the Swift BIC.

All message routing options available in the OneClearstream test environment (combining four possible tests BICs with asset servicing and settlement messages) are summarised in the following table:

General Meeting Service Channels for ISO 15022 Message Format

Channels	CBF MQ	CBF Swift FIN	CBF Swift FIN/MQ	CBL Swift FIN
Production BICs	DAKVDEFFXXX	DAKVDEFFDOM	DAKVDEFFONE	CEDELULLXXX
Test BICs	ZYDGDEF0XXX	ZYDGDEF0DOM	ZYDGDEF0ONE	ZYAILUL0XXX

General Meeting Service Channels for ISO 20022 Message Format

Channels	CBF Swift FINplus	CBL Swift FINplus
Production DNs	ou=dom,o=dakvdeff,o=swift or ou=one,o=dakvdeff,o=swift	ou=xxx,o=cedelull,o=swift

How to read the table above:

Instructions sent to Clearstream Banking:

1. General meeting instructions via Swift may be sent to ou=xxx,o=cedelull,o=swift via ISO 20022 FINplus.

Reports received from Clearstream Banking:

1. For ISO 15022 general meeting notifications, CBL clients will receive reports from ZYAILUL0XXX, via Swift FIN, and CBF clients will receive reports from either ZYAILUL0XXX (Swift), ZYDGDEF0XXX (MQ), ZYDGDEF0DOM (Swift) or ZYDGDEF0ONE (MQ/Swift). For each report and/or media the emitter BIC address may be chosen in the Xact Web Portal subscription tool (CBF Clients only). It is important to note that Xact Web Portal will only offer production BICs for the creation of reporting in the test environment. Clients may refer to the table above for the correspondence between production BICs and testing BICs.
2. For ISO 20022 general meeting reports, CBL clients will receive reports from ou=xxx,o=cedelull,o=swift, and CBF clients will receive reports from either ou=dom,o=dakvdeff,o=swift, ou=xxx,o=cedelull,o=swift or ou=one,o=dakvdeff,o=swift. For each report and/or media the emitter DN address may be chosen in the Xact Web Portal subscription tool (CBF Clients only). All reports are sent via Swift FINplus.

2.4 Client Test Registration Form

Clients wishing to participate in the SCE General Meetings Client Test are required to complete the [SCE General Meetings Client Test Registration Form](#) and send it back to SCE GM Client Readiness team at sce-project@clearstream.com by **26 July 2024**.

The form requests details of Dedicated Contacts, ISO 20022 message subscription, ISO 15022 message subscription, Xact Web Portal Access and RMA Exchange.

Over the course of Client Test preparation and execution, Clearstream will share all relevant information and updates with the contacts provided on the [registration form](#), who are requested to disseminate the information accordingly within the client's test teams. If a client is using a third-party provider for General Meetings, clients are requested to ensure that the necessary contact details of their agent are provided.

Clearstream will create all necessary connectivity settings in IMS23/OCCT, based on the information provided on the registration form. If a client requires an update of the static data for accounts or the related connectivity settings, please inform the connectivity team (connect@clearstream.com) in due time.

Note: Registration forms received after the deadline will be looked at on a best effort basis.

2.5 Creation of holdings

Between 5 August and 9 August 2024, Clearstream will create holdings in the test environment for the SCE General Meetings Client Test and new holdings of predefined securities will be distributed to client accounts.

Once the holdings are setup, clients acting in ICP mode can verify them via the Xact Web Portal / CASCADE Online functionality (Host) or MT535 Statement of Holding. In the above-mentioned period, clients must not execute test cases using the created positions nor transmit instructions on them via an automated connectivity channel towards IMS23 or OCCT. In addition, the CASCADE Online functionality (Host) or Xact Web Portal settlement functionality must not be used.

Clients who are connected to UTEST and receive (settlement) reporting might notice instruction flows between Clearstream and T2S as a result of these setup activities.

The static data for the ISINs selected are based on the settings defined in Wertpapier-Service-System (WSS) stored in IMS23.

The table below shows the ISINs that will be maintained by the SCE Client Readiness team:

ISIN	Name	Nominal available
CH0008207356	BVZ HLDG/REG SH CHF100	10,000
SE0000667925	SHS TELIA COMPANY AB ORD REG	10,000
IE00BX7RR250	UBS (Irl) ETF plc - Factor MSCI USA Low Volatility UCITS ETF(hedged to CHF) A-acc	10,000
GB00BP6MXD84	SHELL PLC	10,000
US0846707026	SHS BERKSHIRE HATHAWAY ORD REG	10,000
FR0000032278	SHS CARDETY ORD BR	10,000
XS1574158082	PFIZER INC./ZERO CPN BD 20270306	10,000
DE000A3H2309	SHS CLERE AG ORD REG	10,000
ES0112052735	TEF/AC8N 1,00 ORD BR	10,000
LU1080512640	CORESTATE IREI Holding S.A. Inhaber-Stammaktien Class F zu 0,01 EUR	10,000
DE000A2TSUS6	SHS AMERIA AG 842325 ORD REG	10,000
DE0005104400	Allerthal-Werke AG	10,000
XS1703065620	EUR 0,00 CMA CGM SA (REGS) 17-2025	10,000

2.6 Performance of connectivity tests

Connectivity Tests should be performed by Clients after connectivity set up tasks mentioned above and prior to any guided test execution. This can be done by following the below procedure.

- Contact the SCE GM Client Readiness team at sce-project@clearstream.com to request a date and time at which to conduct the Connectivity Test. Confirmation of your request will be subject to mutually agreeable scheduling and will be sent as soon as possible after receipt of your request. This confirmation will include a schedule of messages to be exchanged, together with details of messages content that will ensure messages do not impact any guided test preparations.
- At the specified date and time, message exchange will take place. Each participant will advise the other as soon as messages have been sent, and acknowledge receipt or non-receipt as soon as possible afterwards.
- Note that processing of messages in back end systems is not required nor expected. It is sufficient to ensure that the messages are received. If however and specific issue is noted with message content, this will be advised at the time of confirmation of receipt.

Once all required messages have been successfully exchanged, each participant will confirm to the other the success of the Connectivity Test.

2.7 Issue management

Any issues encountered by clients related to General Meetings functionality or test execution during Client Testing should first be reported to SCE Client Readiness Team (sce-project@clearstream.com).

If a test issue cannot be resolved in due time, Clearstream asks its clients to use the [Issue Declaration Form](#) which is a fillable form published on the Clearstream website for the written submission of any issue encountered during the Client Test period. If the test issue relates to a test scenario as described in [Chapter 3 Execution of Test Scenarios - Guided Test](#) clients should mention it in the description.

The completed Issue Declaration Form will initiate an investigation of the issue by Clearstream, who will analyse it and revert back to the client. This procedure aims to avoid misunderstandings and accelerate the solution process.

Completed Issue Declaration Forms should be sent to sce-project@clearstream.com.

3 Execution of test scenarios-guided test

During Client Test, Clearstream offers its clients an opportunity to test selected General Meetings events within specific scenarios. These test scenarios require special preparation and cannot be offered daily.

Meeting notifications (seev.001/MT564+) for all events in scope will be announced all at the beginning of each testing cycle. Once events are announced, they will be available in the Xact Web Portal Meeting Event Subdomain. However, this functionality will be fully operational in Phase 2 only. During Phase 1, clients are advised to check their respective communication channels for announced messages.

Note: Not all subscription options will be available in the Phase 1 scope.

Phase 1 Execution. Test Scenarios using Swift Release 2023 format

Test Scenario #1	GMET
Test Scenario #2	GMET + Meeting classification OMET
Test Scenario #3	CMET
Test Scenario #4	GMET

Phase 2 Execution. Test Scenarios using Swift Release 2024 format

Test Scenario #1	GMET
Test Scenario #2	GMET + Meeting Classification OMET
Test Scenario #3	CMET
Test Scenario #4	GMET
Test Scenario #5	XMET
Test Scenario #6	BMET (Eurobond without fees)
Test Scenario #7	GMET (Registration)
Test Scenario #8	GMET (E2E flow for Spain)
Test Scenario #9	GMET (E2E flow for Luxembourg)
Test Scenario #10	GMET (Registration and replacement with RcnfrmInstrs)
Test Scenario #11	GMET (Replacement)
Test Scenario #12	GMET (Eurobond with fees)

These scenarios are described in more detail in the following sections.

3.1 Test Scenario #1 – GMET

	Phase 1 Execution
ISIN	CH0008207356
Security Name	BVZ HLDG/REG SH CHF100
Asset Type	Registered Share
Custody Type	CSC
Issuer Country	Switzerland
SRD2 flagged (Yes/No/-----)	-
Event type	GMET
EntitlmntFxdDt (Record Date)	UKWN
Securities Blocking Period End Date	UKWN
Meeting Date	12 September 2024
Registration Required	-
VoteDdlN (Vote Deadline)	5 September 2024 18:00 (local time)
VoteMktDdlN (Vote Market Deadline)	6 September 2024 18:00 (local time)
Method of Participation	EVOT, PRXY, PHYS/PHNV, MAIL, VIRT
Resolution Items	Multiple, including FYI item
Event Specific Details	Meeting on Swiss Registered Share, no Record Date and no Securities Blocking End Date, cancellation of an event
Swift Format Message	Swift Release 2023 format compliant
Swift Mode	Swift PC Mode

Scenario	Step 1	Step 2	Step 3	Step 4
Test Scenario #1	Seev.001	Seev.004 Seev.006	Seev.003	Seev.002

Description:

This test scenario is dedicated to test:

1. Message flow in case of cancellation of meeting event before the Vote deadline.
2. Message flow when Record Date and Securities Blocking Period End Date are not present or UKWN.

Disclosure of beneficial owner details will be required for this general meeting event.

The event has no Securities Blocking Period End Date and no Record Date (Entitlement Fixing Date). Meeting Entitlement Notification (Seev.003) will be created on "Vote Market Deadline Date" end-of-day., that is, 5 September 2024.

Blocking of securities will be done upon instruction approval. Unblocking will be done manually.

The event will be cancelled on 9 September 2024.

Instructions with the participation methods MAIL and VIRT will not be supported by Clearstream and will be rejected if received from the client. For entrance cards request without voting rights, instructions with PHNV participation method will be rejected. Instead, the clients should instruct with participation method PHYS while specifying in the meeting attendee section the participation method PHNV.

	Phase 2 Execution
ISIN	SE0000667925
Security Name	SHS TELIA COMPANY AB ORD REG
Asset Type	Registered Share
Custody Type	CSC
Issuer Country	Sweden
SRD2 flagged (Yes/No/-----)	-
Event type	GMET
EntitlmntFxdDt (Record Date)	UKWN
Securities Blocking Period End Date	UKWN
Meeting Date	30 October 2024
Registration Required	-
VoteDdlIn (Vote Deadline)	24 October 2024 18:00 (local time)
VoteMktDdlIn (Vote Market Deadline)	25 October 2024 18:00 (local time)
Method of Participation	EVOT, PRXY, PHYS/PHNV, MAIL, VIRT
Resolution Items	Multiple, including FYI item
Event Specific Details	Meeting on Swedish Registered Share, no Record Date and no Securities Blocking End Date, cancellation of an event.
Swift Format Message	Swift Release 2024 format compliant
Swift Mode	Swift PF Mode

Scenario	Step 1	Step 2	Step 3	Step 4
Test Scenario #1	Seev.001	Seev.004 Seev.006	Seev.003	Seev.002

Description:

This test scenario is dedicated to test:

1. Message flow in case of cancellation of meeting event before the Vote deadline.
2. Message flow when Record Date and Securities Blocking Period End Date are not present or UKWN.

Disclosure of beneficial owner details will be required for this general meeting event.

The event has no Securities Blocking Period End Date and no Record Date (Entitlement Fixing Date). Meeting Entitlement Notification (Seev.003) will be created on "Vote Market Deadline Date" end-of-day., that is, 24 October 2024.

Blocking of securities will be done upon instruction approval. Unblocking will be done manually.

The event will be cancelled on 28 October 2024.

Instructions with the participation methods MAIL and VIRT will not be supported by Clearstream and will be rejected if received from the client. For entrance cards request without voting rights, instructions with PHNV participation method will be rejected. Instead, the clients should instruct with participation method PHYS while specifying in the meeting attendee section the participation method PHNV.

3.2 Test Scenario #2 – GMET + Meeting Classification OMET

	Phase 1 Execution
ISIN	IE00BX7RR250
Security Name	UBS (Irl) ETF plc - Factor MSCI USA Low Volatility UCITS ETF(hedged to CHF) A-acc
Asset Type	Fund
Custody Type	CSC
Issuer Country	Ireland
SRD2 flagged (Yes/No/-----)	-
Event type	GMET + Meeting Classification OMET
EntitlmntFxdDt (Record Date)	29 August 2024
Meeting Date	12 September 2024
Securities Blocking Period End Date	3 September 2024
Registration Required	-
VoteDdlm (Vote Deadline)	5 September 2024 18:00 (UTC)
VoteMktDdlm (Vote Market Deadline)	6 September 2024 18:00 (UTC)
Method of Participation	EVOT, PRXY, PHYS/PHNV, MAIL, VIRT
Resolution Items	Multiple, including FYI item
Event Specific Details	Meeting event on a Fund, instruction flow, cancellation of the meeting when instructions have been received.
Swift Format Message	Swift Release 2023 format compliant
Swift Mode	Swift PC Mode

Scenario	Step 1	Step 2	Step 3	Step 4	Step 5
Test Scenario #2	Seev.001 (Incomplete)	Seev.001 (Complete)	Seev.003	Seev.004 Seev.006	Seev.002

Description:

This test scenario is dedicated to test:

1. Meeting event on a Fund with the cancellation of an event after the Vote Deadline, but before the Meeting Date. The event will be cancelled on 10 September 2024 (after client instruction would have been received).
2. Message flow for incomplete announcement.

Blocking of securities will be done if instruction received before Securities Blocking Period End Date. Securities will be unblocked on 3 September 2024 end-of-day.

Instructions with the participation methods MAIL and VIRT will not be supported by Clearstream and will be rejected if received from the client. For entrance cards request without voting rights, instructions with PHNV participation method will be rejected. Instead, the clients should instruct with participation method PHYS while specifying in the meeting attendee section the participation method PHNV.

	Phase 2 Execution
ISIN	IE00BX7RR250
Security Name	UBS (Ir) ETF plc - Factor MSCI USA Low Volatility UCITS ETF(hedged to CHF) A-acc
Asset Type	Fund
Custody Type	CSC
Issuer Country	Ireland
SRD2 flagged (Yes/No/-----)	-
Event type	GMET + Meeting Classification OMET
EntitlmntFxdDt (Record Date)	17 October 2024
Meeting Date	30 October 2024
Securities Blocking Period End Date	22 October 2024
Registration Required	-
VoteDdln (Vote Deadline)	24 October 2024 18:00 (UTC)
VoteMktDdln (Vote Market Deadline)	25 October 2024 18:00 (UTC)
Method of Participation	EVOT, PRXY, PHYS/PHNV, MAIL, VIRT
Resolution Items	Multiple, including FYI item
Event Specific Details	Meeting event on a Fund, instruction flow, cancellation of the meeting when instructions have been received.
Swift Format Message	Swift Release 2024 format compliant
Swift Mode	Swift PF Mode

Scenario	Step 1	Step 2	Step 3	Step 4	Step 5
Test Scenario #2	Seev.001 (Incomplete)	Seev.001 (Complete)	Seev.003	Seev.004 Seev.006	Seev.002

Description:

This test scenario is dedicated to test:

1. Meeting event on a Fund with the cancellation of an event after the Vote Deadline, but before the Meeting Date. The event will be cancelled on 29 October 2024 (after client instruction would have been received).
2. Message flow for incomplete announcement.

Blocking of securities will be done if instruction received before Securities Blocking Period End Date. Securities will be unblocked on 22 October 2024 end-of-day.

Instructions with the participation methods MAIL and VIRT will not be supported by Clearstream and will be rejected if received from the client. For entrance cards request without voting rights, instructions with PHNV participation method will be rejected. Instead, the clients should instruct with participation method PHYS while specifying in the meeting attendee section the participation method PHNV.

3.3 Test Scenario #3 – CMET

	Phase 1 Execution
ISIN	US0846707026
Security Name	SHS BERKSHIRE HATHAWAY ORD REG
Asset Type	Share
Custody Type	CSC
Issuer Country	USA
SRD2 flagged (Yes/No/-----)	-
Event type	CMET
EntitlmtFxdDt (Record Date)	29 August 2024
Securities Blocking Period End Date	RDTE
Meeting Date	11 September 2024
Registration Required	-
VoteDdlN (Vote Deadline)	09 September 2024 18:00 (locat time)
VoteMktDdlN (Vote Market Deadline)	10 September 2024 18:00 (locat time)
Method of Participations	EVOT, PRXY, PHYS/PHNV, MAIL, VIRT
Resolution Items	Multiple, including FYI item
Event Specific Details	Long message with pagination – meeting, instruction flow.
Swift Format Message	Swift Release 2023 format compliant
Swift Mode	Swift PC Mode

Scenario	Step 1	Step 2	Step 3
Test Scenario #3	Seev.001	Seev.003	Seev.004 Seev.006

Description:

This test scenario is dedicated to test messages where the agenda items get the same/conflicting issuer label. The message is paginated due to multitude of resolutions aimed at electing individuals. Reusing the same/conflicting issuer label is a regular occurrence.

For example:

Dissident Universal proxy (Blue proxy Card)**From the Combined List of Management & Dissident Nominees – Elect 11 Directors**

1.1 Elect Dissent Nominee Director Max Mustermann

1.2 Elect Dissent Nominee Director John Doe

UNOPPOSED COMPANY NOMINEES

1.1 Elect Management Nominee Director Elisa Doe

1.2 Elect Management Nominee Director Daniel Zimmermann

Blocking of securities will be done if instruction received before Securities Blocking Period End Date. Securities will be unblocked on 29 August 2024 end-of-day.

Instructions with the participation methods MAIL and VIRT will not be supported by Clearstream and will be rejected if received from the client. For entrance cards request without voting rights, instructions with PHNV participation method will be rejected. Instead, the clients should instruct with participation method PHYS while specifying in the meeting attendee section the participation method PHNV.

	Phase 2 Execution
ISIN	US0846707026
Security Name	SHS BERKSHIRE HATHAWAY ORD REG
Asset Type	Share
Custody Type	CSC
Issuer Country	USA
SRD2 flagged (Yes/No/-----)	-
Event type	CMET
EntitlmntFxdDt (Record Date)	17 October 2024
Securities Blocking Period End Date	RDTE
Meeting Date	31 October 2024
Registration Required	-
VoteDdlN (Vote Deadline)	28 October 2024 18:00 (locat time)
VoteMktDdlN (Vote Market Deadline)	29 October 2024 18:00 (locat time)
Method of Participations	EVOT, PRXY, PHYS/PHNV, MAIL, VIRT
Resolution Items	Multiple, including FYI item
Event Specific Details	Long message with pagination – meeting, instruction flow
Swift Format Message	Swift Release 2024 format compliant
Swift Mode	Swift PF Mode

Scenario	Step 1	Step 2	Step 3
Test Scenario #3	Seev.001	Seev.003	Seev.004 Seev.006

Description:

This test scenario is dedicated to test messages where the agenda items get the same/conflicting issuer label. The message is paginated due to multitude of resolutions aimed at electing individuals. Reusing the same/conflicting issuer label is a common market practice.

For example:

Dissident Universal proxy (Blue proxy Card)**From the Combined List of Management & Dissident Nominees – Elect 11 Directors**

1.1 Elect Dissent Nominee Director Max Mustermann

1.2 Elect Dissent Nominee Director John Doe

UNOPPOSED COMPANY NOMINEES

1.1 Elect Management Nominee Director Elisa Doe

1.2 Elect Management Nominee Director Daniel Zimmermann

Blocking of securities will be done if instruction received before Securities Blocking Period End Date. Securities will be unblocked on 17 October 2024 end-of-day.

Instructions with the participation methods MAIL and VIRT will not be supported by Clearstream and will be rejected if received from the client. For entrance cards request without voting rights, instructions with PHNV participation method will be rejected. Instead, the clients should instruct with participation method PHYS while specifying in the meeting attendee section the participation method PHNV.

3.4 Test Scenario #4 – GMET

	Phase 1 Execution
ISIN	FR0000032278
Security Name	SHS CARDETY ORD BR
Asset Type	Share
Custody Type	CSC
Issuer Country	France
SRD2 flagged (Yes/No/-----)	-
Event type	GMET
EntitlmtFxdDt (Record Date)	28 August 2024
Securities Blocking Period End Date	MEET
Meeting Date	19 September 2024
Registration Required	-
VoteDdlN (Vote Deadline)	17 September 2024 18:00 (UTC)
VoteMktDdlN (Vote Market Deadline)	18 September 2024
Method of Participations	EVOT, PRXY, PHYS/PHNV, MAIL, VIRT.
Resolution Items	Multiple, including FYI item.
Event Specific Details	Meeting with revocability market deadline, instruction with further cancellation request and re-instruction.
Swift Format Message	Swift Release 2023 format compliant
Swift Mode	Swift PC Mode

Scenario	Step 1	Step 2	Step 3	Step 4	Step 5
Test Scenario #4	Seev.001	Seev.003	Seev.004 (latest by 5 September 2024) Seev.006	Seev.005 (latest by 10 September 2024) Seev.006	Seev.004 (re- instruction) Seev.006

Description:

This test scenario is dedicated to test:

1. Instruction cancellation request functionality. Therefore, clients are asked to instruct before 5 September 2024, then submit a cancellation request before 10 September 2024 and re-instruct before Vote Deadline that is on 17 September 2024.
2. Method of Participation – PRXY. **Therefore, Clearstream strongly advises clients to instruct with “PRXY” option in seev.004.**

Disclosure of Beneficial Owner details will be required for this general meeting event.

Blocking of securities will be done if instruction received before Securities Blocking Period End Date. Securities will be unblocked on 19 September 2024 end-of-day.

Clearstream advises clients that it is their responsibility to promptly cancel instructions and re-instruct in order to ensure a successful test, Clearstream will take no action in this regard.

Instructions with the participation methods MAIL and VIRT will not be supported by Clearstream and will be rejected if received from the client. For entrance cards request without voting rights, instructions with PHNV participation method will be rejected. Instead, the clients should instruct with participation method PHYS while specifying in the meeting attendee section the participation method PHNV.

	Phase 2 Execution
ISIN	FR0000032278
Security Name	SHS CARDETY ORD BR
Asset Type	Share
Custody Type	CSC
Issuer Country	France
SRD2 flagged (Yes/No/-----)	-
Event type	GMET
EntitlmntFxdDt (Record Date)	16 October 2024
Securities Blocking Period End Date	MEET
Meeting Date	1 November 2024
Registration Required	-
VoteDdlm (Vote Deadline)	30 October 2024 18:00 (UTC)
VoteMktDdlm (Vote Market Deadline)	31 October 2024 18:00 (UTC)
Method of Participations	EVOT, PRXY, PHYS/PHNV, MAIL, VIRT.
Resolution Items	Multiple, including FYI item.
Event Specific Details	Meeting with revocability market deadline, instruction with further cancellation request and re-instruction.
Swift Format Message	Swift Release 2024 format compliant
Swift Mode	Swift PF Mode

Scenario	Step 1	Step 2	Step 3	Step 4	Step 5
Test Scenario #4	Seev.001	Seev.003	Seev.004 (latest by 22 October 2024) Seev.006	Seev.005 (latest by 25 October 2024) Seev.006	Seev.004 (re- instruction) Seev.006

Description:

This test scenario is dedicated to test:

1. Instruction cancellation request functionality. Therefore, clients are asked to instruct before 22 October 2024, then submit a cancellation request before 25 October 2024 and re-instruct before Vote Deadline that is on 30 October 2024.
2. Method of Participation – PRXY. **Therefore, Clearstream strongly advises clients to instruct with “PRXY” option in seev.004.**

Disclosure of beneficial owner details will be required for this general meeting event.

Blocking of securities will be done if instruction received before Securities Blocking Period End Date. Securities will be unblocked on 1 November 2024 end-of-day.

Clearstream advises clients that it is their responsibility to promptly cancel instructions and re-instruct in order to ensure a successful test, Clearstream will take no action in this regard.

Instructions with the participation methods MAIL and VIRT will not be supported by Clearstream and will be rejected if received from the client. For entrance cards request without voting rights, instructions with PHNV participation method will be rejected. Instead, the clients should instruct with participation method PHYS while specifying in the meeting attendee section the participation method PHNV.

3.5 Test Scenario #5 – XMET

	Phase 2 Execution
ISIN	GB00BP6MXD84
Security Name	SHELL PLC
Asset Type	Share
Custody Type	CSC
Issuer Country	Great Britain
SRD2 flagged (Yes/No/-----)	-
Event type	XMET
EntitlmntFxdDt (Record Date)	17 October 2024
Securities Blocking Period End Date	RDTE
Meeting Date	31 October 2024
Registration Required	-
VoteDdlN (Vote Deadline)	28 October 2024 18:00 (UTC offset)
VoteMktDdlN (Vote Market Deadline)	29 October 2024 18:00 (UTC offset)
Method of Participation	EVOT, PRXY, PHYS/PHNV, MAIL, VIRT
Resolution Items	Multiple, including FYI item
Event Specific Details	Multilisted security which creates two notifications (each with own place of safekeeping) per account, instruction flow.
Swift Format Message	Swift Release 2024 format compliant
Swift Mode	Swift PF Mode

Scenario	Step 1	Step 2	Step 3
Test Scenario #5	Seev.001 (1 st place of safekeeping) Seev.001 (2 nd place of safekeeping)	Seev.003	Seev.004 Seev.006

Description:

This test scenario is dedicated to test:

1. Message flow for a multilisted security. Two meeting notifications will be created (each with own place of safekeeping) per account.
2. Method of Participation – PHYS with attendance card request. **Therefore, Clearstream strongly advises clients to instruct with “PHYS” option in seev.004.**

Disclosure of beneficial owner details will be required for this general meeting event.

Blocking of securities will be done if instruction received before Securities Blocking Period End Date. Securities will be unblocked on 17 October 2024 end-of-day.

Instructions with the participation methods MAIL and VIRT will not be supported by Clearstream and will be rejected if received from the client. For entrance cards request without voting rights, instructions with PHNV participation method will be rejected. Instead, the clients should instruct with participation method PHYS while specifying in the meeting attendee section the participation method PHNV.

3.6 Test Scenario #6 – BMET (Eurobond without fees)

	Phase 2 Execution
ISIN	XS1574158082
Security Name	PFIZER INC./ZERO CPN BD 20270306
Asset Type	Bond
Custody Type	CSC
Issuer Country	Luxembourg
SRD2 flagged (Yes/No/-----)	-
Event type	BMET
EntitlmntFxdDt (Record Date)	-
Securities Blocking Period End Date	MEET
Meeting Date	30 October 2024
Registration Required	-
VoteDdln (Vote Deadline)	23 October 2024 18:00 (UTC offset)
VoteMktDdln (Vote Market Deadline)	24 October 2024 18:00 (UTC offset)
Method of Participations	EVOT, PRXY, PHYS/PHNV, MAIL, VIRT.
Resolution Items	Multiple, including FYI item.
Event Specific Details	Bondholder Meeting, no Record Date, instruction flow.
Swift Format Message	Swift Release 2024 format compliant
Swift Mode	Swift PF Mode

Scenario	Step 1	Step 2	Step 3
Test Scenario #6	Seev.001	Seev.003	Seev.004 Seev.006

Description:

This test scenario is dedicated to test:

1. Message flow when Record Date is not present or UKWN.
2. Message flow on Eurobond without fees.

Disclosure of beneficial owner details will be required for this general meeting event.

The event has no Record Date (Entitlement Fixing Date). Meeting Entitlement Notification (Seev.003) will be sent one day before the deadline date, that is, 22 October 2024.

Blocking of securities will be done if instruction received before Securities Blocking Period End Date. Securities will be unblocked on 19 September 2024 end-of-day.

Instructions with the participation methods MAIL and VIRT will not be supported by Clearstream and will be rejected if received from the client. For entrance cards request without voting rights, instructions with PHNV participation method will be rejected. Instead, the clients should instruct with participation method PHYS while specifying in the meeting attendee section the participation method PHNV.

3.7 Test Scenario #7 – GMET (Registration)

	Phase 2 Execution
ISIN	DE000A3H2309
Security Name	SHS CLERE AG ORD REG
Asset Type	Registered Share
Custody Type	CSC
Issuer Country	Germany
SRD2 flagged (Yes/No/-----)	FALSE
Event type	GMET
EntitlmtFxdDt (Record Date)	17 October 2024
Securities Blocking Period End Date	RDTE
Meeting Date	30 October 2024
Shareholder ID* / Registration Required	Yes
Registration Securities Deadline	17 October 2024
VoteDdlN (Vote Deadline)	24 October 2024 18:00 (local time)
VoteMktDdlN (Vote Market Deadline)	25 October 2024 18:00 (local time)
Method of Participations	EVOT, PRXY, PHYS/PHNV, MAIL, VIRT.
Resolution Items	Multiple, including FYI item.
Event Specific Details	Meeting on a German Registered Share, registration is required, instruction flow and meeting results.
Swift Format Message	Swift Release 2024 format compliant
Swift Mode	Swift PF Mode

Scenario	Step 1	Step 2	Step 3	Step 4	Step 5	Step 6
Test Scenario #7	Seev.001	Seev.003	Seev.004 (option a) or Seev.004 (option b) or Seev.004 (option c) or Seev.004 (option d) Seev.006	Seev.007	Seev.008	Seev.006 (de-registration)

Description:

This test scenario is dedicated to test registration process on German registered shares.

Clearstream advises that clients can either:

- a. send a seev.004 with registration request only,
- b. or voting instruction including registration request,
- c. or voting instruction with Shareholder ID¹,
- d. or attendance card request with Shareholder ID¹ included.

Clearstream strongly advises clients to execute options a, b or d.

Clearstream will trigger a de-registration on meeting date +1, that is, 31 October 2024.

Due to limitations in our test environments registration and de-registration process will not be tested end to end. Therefore, Clearstream will simulate production-like process (Shareholder ID will be simulated by Clearstream).

Disclosure of beneficial owner details will be required for this general meeting event.

SRD2 flag will be populated with FALSE (relevant event, but information not received by Issuer).

Instructions with the participation methods MAIL and VIRT will not be supported by Clearstream and will be rejected if received from the client. For entrance cards request without voting rights, instructions with PHNV participation method will be rejected. Instead, the clients should instruct with participation method PHYS while specifying in the meeting attendee section the participation method PHNV.

¹ For testing purposes every Shareholder ID will be accepted by Clearstream.

3.8 Test Scenario #8 – GMET (E2E flow for Spain)

	Phase 2 Execution
ISIN	ES0112052735
Security Name	TEF/AC8N 1,00 ORD BR
Asset Type	Share
Custody Type	CSC
Issuer Country	Spain
SRD2 flagged (Yes/No/-----)	-
Event type	GMET
EntitlmntFxdDt (Record Date)	16 October 2024
Securities Blocking Period End Date	RDTE
Meeting Date	29 October 2024
Registration Required	-
VoteDdlN (Vote Deadline)	23 October 2024 18:00 (local time)
VoteMktDdlN (Vote Market Deadline)	24 October 2024 18:00 (local time)
Method of Participations	EVOT, PRXY, PHYS/PHNV, MAIL, VIRT.
Resolution Items	Multiple, including FYI item.
Event Specific Details	E2E message flow for Non Home Market security
Swift Format Message	Swift Release 2024 format compliant
Swift Mode	Swift PF Mode

Scenario	Step 1	Step 2	Step 3	Step 4	Step 5
Test Scenario #8 (Home Market)	Seev.001	Seev.003	Seev.004 Seev.006	Seev.007	Seev.008

Description:

This test scenario is dedicated to test:

1. Full end-to-end message flow for Non Home Market security.
2. Method of Participation – EVOT. **Therefore, Clearstream strongly advises clients to instruct with “EVOT” option in seev.004.**

Blocking of securities will be done if instruction received before Securities Blocking Period End Date. Securities will be unblocked on 16 October 2024 end-of-day.

Instructions with the participation methods MAIL and VIRT will not be supported by Clearstream and will be rejected if received from the client. For entrance cards request without voting rights, instructions with PHNV participation method will be rejected. Instead, the clients should instruct with participation method PHYS while specifying in the meeting attendee section the participation method PHNV.

3.9 Test Scenario #9 – GMET (E2E flow for Luxembourg)

	Phase 2 Execution
ISIN	LU1080512640
Security Name	CORESTATE IREI Holding S.A. Inhaber-Stammaktien Class F zu 0,01 EUR
Asset Type	Share
Custody Type	CSC
Issuer Country	Luxembourg
SRD2 flagged (Yes/No/-----)	-
Event type	GMET
EntitlmntFxdDt (Record Date)	16 October 2024
Securities Blocking Period End Date	RDTE
Meeting Date	29 October 2024
Registration Required	-
VoteDdlm (Vote Deadline)	23 October 2024 18:00 (local time)
VoteMktDdlm (Vote Market Deadline)	24 October 2024 18:00 (local time)
Method of Participations	EVOT, PRXY, PHYS/PHNV, MAIL, VIRT.
Resolution Items	Multiple, including FYI item.
Event Specific Details	E2E message flow for Home Market security
Swift Format Message	Swift Release 2024 format compliant
Swift Mode	Swift PF Mode

Scenario	Step 1	Step 2	Step 3	Step 4	Step 5
Test Scenario #9	Seev.001	Seev.003	Seev.004 Seev.006	Seev.007	Seev.008

Description:

This test scenario is dedicated to test:

1. Full end-to-end message flow for Home Market security.
2. Method of Participation – EVOT. **Therefore, Clearstream strongly advises clients to instruct with “EVOT” option in seev.004.**

Disclosure of beneficial owner details will be required for this general meeting event.

Blocking of securities will be done if instruction received before Securities Blocking Period End Date. Securities will be unblocked on 16 October 2024 end-of-day.

Instructions with the participation methods MAIL and VIRT will not be supported by Clearstream and will be rejected if received from the client. For entrance cards request without voting rights, instructions with PHNV participation method will be rejected. Instead, the clients should instruct with participation method PHYS while specifying in the meeting attendee section the participation method PHNV.

3.10 Test Scenario #10 – GMET (Registration and replacement with RcnfrmInstrs)

	Phase 2 Execution
ISIN	DE0005104400
Security Name	SHS AMERIA AG 842325 ORD REG
Asset Type	Registered Share
Custody Type	CSC
Issuer Country	Germany
SRD2 flagged (Yes/No/-----)	-
Event type	GMET
EntitlmntFxdDt (Record Date)	17 October 2024
Securities Blocking Period End Date	RDTE
Meeting Date	31 October 2024
Shareholder ID / Registration Required	Yes
Registration Securities Deadline	17 October 2024
VoteDdlN (Vote Deadline)	22 October 2024 18:00 (local time) / new 29 October 2024 18:00 (local time)
VoteMktDdlN (Vote Market Deadline)	23 October 2024 18:00 (UTC) / new 30 October 2024 18:00 (local time)
Method of Participations	EVOT, PRXY, PHYS/PHNV, MAIL, VIRT.
Resolution Items	Multiple, including FYI item.
Event Specific Details	Meeting with replacement, instructions flow, reconfirmation of instruction required.
Swift Format Message	Swift Release 2024 format compliant
Swift Mode	Swift PF Mode

Scenario	Step 1	Step 2	Step 3	Step 4	Step 5	Step 6
Test Scenario #10	Seev.001	Seev.003	Seev.004 (option a) or Seev.004 (option b) or Seev.004 (option c) or Seev.004 (option d) Seev.006	Seev.001 (REPL)	Seev.005 and Seev.004 (option a) or Seev.004 (option b) or Seev.004 (option c) or Seev.004 (option d) Seev.006	Seev.006 (de-registration)

Description:

This test scenario is dedicated to test:

1. Registration process on German registered shares.
2. Meeting notification replacement with required reconfirmation of instruction.

Clearstream advises that clients can either:

- a. send a seev.004 with registration request only,
- b. or voting instruction including registration request,
- c. or voting instruction with Shareholder ID²,
- d. or attendance card request with Shareholder ID² included.

Clearstream strongly advises clients to execute options a, b or c.

Due to limitations in our test environments registration and de-registration process will not be tested end to end. Therefore, Clearstream will simulate production-like process (Shareholder ID will be simulated by Clearstream).

Disclosure of beneficial owner details will be required for this general meeting event.

Clearstream will replace the meeting notification (seev.001 – REPL) on 23 October 2024. One resolution will be removed from the agenda and deadlines will be changed. The Field reconfirm instructions (XML tag RcnfrmInstrs) will be set to TRUE. Note, that all previous sent instructions are invalid. De-registration will be done automatically on the same day. If the registration was not completed by that date, Clearstream will wait until it is completed and then will trigger de-registration.

Clearstream advises clients that, for the purpose of Client Testing, it is their responsibility to promptly cancel invalid instructions and re-instruct (re-register) in order to ensure a successful test, Clearstream will take no action in this regard.

Clearstream will trigger a de-registration of new seev.004 on meeting date +1, that is, 1 November 2024.

Instructions with the participation methods MAIL and VIRT will not be supported by Clearstream and will be rejected if received from the client. For entrance cards request without voting rights, instructions with PHNV participation method will be rejected. Instead, the clients should instruct with participation method PHYS while specifying in the meeting attendee section the participation method PHNV.

² for testing purposes every Shareholder ID will be accepted by Clearstream

3.11 Test Scenario #11 – GMET (Replacement)

	Phase 2 Execution
ISIN	DE0005104400
Security Name	Allerthal-Werke AG
Asset Type	Bearer Share
Custody Type	CSC
Issuer Country	Germany
SRD2 flagged (Yes/No/-----)	TRUE
Event type	GMET
EntitlmntFxdDt (Record Date)	16 October 2024
Securities Blocking Period End Date	MEET
Meeting Date	31 October 2024
Registration Required	No
VoteDdlm (Vote Deadline)	24 October 2024 18:00 (local time)
VoteMktDdlm (Vote Market Deadline)	25 October 2024 18:00 (local time)
Method of Participations	EVOT, PRXY, PHYS/PHNV, MAIL, VIRT.
Resolution Items	Multiple, including FYI item.
Event Specific Details	DE event with German resolution, meeting notification replacement before instruction has been received
Swift Format Message	Swift Release 2024 format compliant
Swift Mode	Swift PF Mode

Scenario	Step 1	Step 2	Step 3	Step 4
Test Scenario #11	Seev.001	Seev.003	Seev.001 (REPL)	Seev.004 Seev.006

Description:

This test scenario is dedicated to test:

1. Meeting notification replacement without required reconfirmation of instruction.
2. Message flow for the meeting event with German resolution.

Clearstream will replace the meeting notification (seev.001 – REPL) on 18 October 2024. The deadline time will be changed by 1 hour. The new Deadline will be 17:00 (local time). The Field reconfirm instructions (XML tag RcnfrmInstrs) will be set to FALSE.

Blocking of securities will be done if instruction received before Securities Blocking Period End Date. Securities will be unblocked on 16 October 2024 end-of-day.

SRD2 flag will be populated with TRUE (relevant event, information received by the Issuer).

Instructions with the participation methods MAIL and VIRT will not be supported by Clearstream and will be rejected if received from the client. For entrance cards request without voting rights, instructions with PHNV participation method will be rejected. Instead, the clients should instruct with participation method PHYS while specifying in the meeting attendee section the participation method PHNV.

3.12 Test Scenario #12 – BMET (Eurobond with fees)

	Phase 2 Execution
ISIN	XS1703065620
Security Name	EUR 0,00 CMA CGM SA (REGS) 17-2025
Asset Type	Eurobond
Custody Type	CSC
Issuer Country	France
SRD2 flagged (Yes/No/-----)	-
Event type	BMET
EntitlmtFxdDt (Record Date)	16 October 2024
Securities Blocking Period End Date	MEET
Meeting Date	30 October 2024
Registration Required	-
VoteDdlN (Vote Deadline)	22 October 2024 18:00 (UTC offset)
VoteMktDdlN (Vote Market Deadline)	23 October 2024 18:00 (UTC offset)
Method of Participations	EVOT, PRXY, PHYS/PHNV, MAIL, VIRT.
Resolution Items	Multiple, including FYI item.
Event Specific Details	Bondholder Meeting with Fees / Premium Deadlines, instruction flow
Swift Format Message	Swift Release 2024 format compliant
Swift Mode	Swift PF Mode

Scenario	Step 1	Step 2	Step 3	Step 4
Test Scenario #12	Seev.001	Seev.003	Seev.004 Seev.006	Payment confirmation (31 October 2024)

Description:

This test scenario is dedicated to test message flow on Eurobond with fees.

For bondholder meetings with fees (such as Incentive Premium), the incentive payment is separated from the meeting and voting process. That is, the meeting event will be announced via seev.001 or MT564+. Meanwhile, the payment of fees will be processed separately via the corporate action process (that is, using an MT566).

Disclosure of beneficial owner details will be required for this general meeting event.

Blocking of securities will be done if instruction received before Securities Blocking Period End Date. Securities will be unblocked on 30 October 2024 end-of-day.

Instructions with the participation methods MAIL and VIRT will not be supported by Clearstream and will be rejected if received from the client. For entrance cards request without voting rights, instructions with PHNV participation method will be rejected. Instead, the clients should instruct with participation method PHYS while specifying in the meeting attendee section the participation method PHNV.

Subscription for MT566 is required for this scenario.

4 Client simulation calendar

The SCE Client simulation calendar provides a schedule view of the testing for each phase of the Client Testing period. The calendar is specified daily including the dates for:

1. Connectivity testing windows
2. Scheduled Smoke Tests preceding Client Test
3. Phase 1 Execution with limited functionality that will be highlighted in the test scenarios in Swift Release 2023 format compliant (Pilot Current)
4. Phase 2 Execution with full functionality that will be highlighted in the test scenarios in Swift Release 2024 format compliant (Pilot Future)
5. Contingency window

All environments participating in the test (IMS23, OCCT, UTEST, SAA) will be available during SCE Client Test, except during the following times:

Environment	Downtime
CBF Client Test environment (IMS23)	20 September 2024 – 3 October 2024
CBL test environment (OCCT)	20 September 2024 – 3 October 2024
T2S Pre-Production environment (UTEST)	20 September 2024 – 3 October 2024
Swift Alliance Access (SAA)	20 September 2024 – 3 October 2024

Since the calendar is subject to change, clients are requested to ensure they always refer to the most up-to-date version which will be published on the [website](#).

Clients are requested to align their processing schedules with the test execution run times. Clients should note that there might be additional downtimes, if one of the environments is not available or the testing is limited because of specific measures ensuring a test execution. Clearstream will inform clients about such downtimes as soon as possible by email to their nominated contacts based on the information provided in the [SCE Client Test Registration Form](#).

SCE General Meetings Client Simulation Calendar: Connectivity Setup and Phase 1 Execution (24 June - 19 September 2024)						CI ^a
Week	Weeks 26 - 32 - Connectivity Setup and Test					
Week	Week 33					
Week	Week 34 - Smoke Test 1					
Week	Week 35 - Start of Phase 1 Guided Simulation					
Week days	Monday, 26 August 2024	Tuesday, 27 August 2024	Wednesday, 28 August 2024	Thursday, 29 August 2024	Friday, 30 August 2024	
Test Case #1 GMET	Notification (seev.001)					
Test Case #2 GMET + OMET	Incomplete Notification (seev.001)		Complete Notification (seev.001)	Entitlement Fixing Date	Entitlement message (seev.003)	
Test Case #3 XMET	Notification (seev.001) 1st Notification (seev.001) 2nd			Entitlement Fixing Date, Securities Blocking Period End Date	Entitlement message (seev.003)	
Test Case #4 CMET	Notification (seev.001)			Entitlement Fixing Date	Entitlement message (seev.003)	
Test Case #5 GMET	Notification (seev.001)		Entitlement Fixing Date	Entitlement message (seev.003)		
Week	Week 36					
Week days	Monday, 2 September 2024	Tuesday, 3 September 2024	Wednesday, 4 September 2024	Thursday, 5 September 2024	Friday, 6 September 2024	
Test Case #1 GMET				Vote Deadline, Entitlement message (seev.003)		
Test Case #2 GMET + OMET		Securities Blocking Period End Date		Vote Deadline		
Test Case #3 XMET						
Test Case #4 CMET						
Test Case #5 GMET				Clients are asked to vote		
Week	Week 37					
Week days	Monday, 9 September 2024	Tuesday, 10 September 2024	Wednesday, 11 September 2024	Thursday, 12 September 2024	Friday, 13 September 2024	

SCE General Meetings Client Simulation Calendar: Connectivity Setup and Phase 1 Execution (24 June - 19 September 2024)						CI ^a
Test Case #1 GMET	Cancellation (seev.002)			Meeting Date		
Test Case #2 GMET + OMET		Cancellation (seev.002)				
Test Case #3 XMET	Vote Deadline		Meeting Date			
Test Case #4 CMET	Vote Deadline		Meeting Date			
Test Case #5 GMET		Clients are asked to submit Cancellation Request (seev.005)				
Week	Week 38					
Week days	Monday, 16 September 2024	Tuesday, 17 September 2024	Wednesday, 18 September 2024	Thursday, 19 September 2024	Friday, 20 September 2024	
Test Case #1 GMET						
Test Case #2 GMET + OMET						
Test Case #3 XMET						
Test Case #4 CMET						
Test Case #5 GMET		Vote Deadline		Meeting Date, Securities Blocking Period End Date		
End of Phase 1 Guided Simulation						

a. CI stands for change indicator

SCE General Meetings Client Simulation Calendar: Phase 2 Execution (7 October - 15 November 2024)						CI ^a
Week	Week 41 - Smoke Test 2					
Week	Week 42 - Start of Phase 2 Guided Simulation					
Week days	Monday, 14 October 2024	Tuesday, 15 October 2024	Wednesday, 16 October 2024	Thursday, 17 October 2024	Friday, 18 October 2024	
Test Case #1 GMET	Notification (seev.001)					
Test Case #2 GMET + OMET	Incomplete Notification (seev.001)		Complete Notification (seev.001)	Entitlement Fixing Date	Entitlement message (seev.003)	
Test Case #3 XMET	Notification (seev.001) 1st Notification (seev.001) 2nd			Entitlement Fixing Date, Securities Blocking Period End Date	Entitlement message (seev.003)	
Test Case #4 CMET	Notification (seev.001)			Entitlement Fixing Date, Securities Blocking Period End Date	Entitlement message (seev.003)	
Test Case #5 GMET	Notification (seev.001)		Entitlement Fixing Date	Entitlement message (seev.003)		
Test Case #6 BMET	Notification (seev.001)					
Test Case #7 GMET (Registration)	Notification (seev.001)			Entitlement Fixing Date, Registration Securities Deadline, Securities Blocking Period End Date	Entitlement message (seev.003)	
Test Case #8 GMET (E2E flow for Non Home Market)	Notification (seev.001)		Entitlement Fixing Date, Securities Blocking Period End Date	Entitlement message (seev.003)		
Test Case #9 GMET (E2E flow for Home Market)			Entitlement Fixing Date, Securities Blocking Period End Date	Entitlement message (seev.003)		

SCE General Meetings Client Simulation Calendar: Phase 2 Execution (7 October - 15 November 2024)						CI ^a
Test Case #10 GMET (Registration and replacement with Rcnfrmlnstrs)	Notification (seev.001)			Entitlement Fixing Date, Registration Securities Deadline, Securities Blocking Period End Date	Entitlement message (seev.003)	
Test Case #11 GMET (Replacement)	Notification (seev.001)		Entitlement Fixing Date	Entitlement message (seev.003)	Notification (seev.001 - replacement)	
Test Case #12 BMET (Eurobond with fees)	Notification (seev.001 + MT564+)		Entitlement Fixing Date	Entitlement message (seev.003)		
Week	Week 43					
Week days	Monday, 21 October 2024	Tuesday, 22 October 2024	Wednesday, 23 October 2024	Thursday, 24 October 2024	Friday, 25 October 2024	
Test Case #1 GMET				Vote Deadline, Entitlement message (seev.003)		
Test Case #2 GMET + OMET		Securities Blocking Period End Date		Vote Deadline		
Test Case #3 XMET						
Test Case #4 CMET						
Test Case #5 GMET		Clients are asked to vote			Clients are asked to submit Cancellation Request (seev.005)	
Test Case #6 BMET		Entitlement message (seev.003)	Vote Deadline			
Test Case #7 GMET (Registration)				Vote Deadline		
Test Case #8 GMET (E2E flow for Non Home Market)			Vote Deadline			
Test Case #9 GMET (E2E flow for Home Market)			Vote Deadline			

SCE General Meetings Client Simulation Calendar: Phase 2 Execution (7 October - 15 November 2024)						CI ^a
Test Case #10 GMET (Registration and replacement with Rcnfrmlnstrs)		Vote Deadline	Notification (seev.001 - replacement)		Registration Securities Deadline (new)	
Test Case #11 GMET (Replacement)				Vote Deadline		
Test Case #12 BMET (Eurobond with fees)		Vote Deadline				
Week	Week 44					
Week days	Monday, 28 October 2024	Tuesday, 29 October 2024	Wednesday, 30 October 2024	Thursday, 31 October 2024	Friday, 1 November 2024	
Test Case #1 GMET	Cancellation (seev.002)		Meeting Date			
Test Case #2 GMET + OMET		Cancellation (seev.002)	Meeting Date			
Test Case #3 XMET	Vote Deadline			Meeting Date		
Test Case #4 CMET	Vote Deadline			Meeting Date		
Test Case #5 GMET			Vote Deadline		Meeting Date, Securities Blocking Period End Date	
Test Case #6 BMET			Meeting Date, Securities Blocking Period End Date			
Test Case #7 GMET (Registration)	Vote execution confirmation (seev.007)		Meeting Date, Meeting Results (seev.008)	De-registration		
Test Case #8 GMET (E2E flow for Non Home Market)		Meeting Date				
Test Case #9 GMET (E2E flow for Home Market)		Meeting Date				

SCE General Meetings Client Simulation Calendar: Phase 2 Execution (7 October - 15 November 2024)						CI ^a
Test Case #10 GMET (Registration and replacement with RcnfrmInstrs)		Vote Deadline (new)		Meeting Date	De-registration	
Test Case #11 GMET (Replacement)				Meeting Date, Securities Blocking Period End Date		
Test Case #12 BMET (Eurobond with fees)			Meeting Date, Securities Blocking Period End Date	Payment confirmation		
End of Phase 2 Guided Simulation						
Contingency Window / Clean up Test Environment						

a. CI stands for change indicator.

5 Glossary

Acronym or abbreviation	Description
A2A	Application to application
BIC	Bank identifier code
BMET	Bondholder meeting
CBF	Clearstream Banking Frankfurt (CSD)
CBF-i	CBF international 6-series account
CBL	Clearstream Banking Luxembourg (ICSD)
CMET	Court meeting
CSC	Collective safe custody
CSD	Central Securities Depository
EoD	End of day
EVOT	Electronic voting (participation method)
FT	File Transfer
FYI	For Information Only indicator in meeting notifications
GM	General Meetings
GMET	General Meetings
ICSD	International Central Securities Depository
IMS23	CBF test environment
ISIN	International Securities Identification Number
MAIL	Correspondence (participation method)
MIXD	Mixed meeting
MT	Message type
NCSC	Non-collective safe custody in accordance with German depository law
NCSC-T	Non-collective safe custody ISINs eligible for settlement in T2S
OCCT	CBL test environment
PC	Pilot Current (Swift 2023 compliant mode)
PF	Pilot Future (Swift 2024 compliant mode)
PHYS/PHNV	In Person / Not Voting (participation method)
PRXY	Proxy (participation method)
RMA	Relationship Management Application
SCE	Shareholder Communication Enhancement
SPCL	Special meeting
Swift	Society for Worldwide Interbank Financial Telecommunication
T2S	TARGET-2 Securities
U2A	User to application
UTEST	T2S pre-production environment
VIRT	Virtual (participation method)
XMET	Extraordinary meeting

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[Clearstream Banking](https://www.clearstream.com)

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

Clearstream Banking AG
Deutsche Börse AG
Mergenthalerallee 61
65760 Eschborn
Germany

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