

Shareholder Communication
Enhancement (SCE)

Client Test Registration Form

SCE - Client Test Registration Form

Dear Sir or Madam,

With this registration form, Clearstream intends to collect information for the preparation and setup of the SCE Client Test for the General Meeting Service, which will go into Production on 18 November 2024.

Detailed description of the test and test cases will be found in the [SCE Client Testing Guide](#).

Should you wish to take part in the SCE GM Client Test, please complete the following pages of the Test Registration Form. This form is intended for a limited number of accounts per Client. For clients using third-party providers, we expect one form per Clearstream account owner. Completed forms need to be returned via email to:

SCE-Project@clearstream.com

latest by Friday, 26 July 2024

Registration forms received by Clearstream after this date can be processed on a best effort basis only. In this case, Clearstream cannot guarantee that all submitted data will be reflected in the simulation environments at the beginning of the simulation period.

Should you have further questions, please do not hesitate to contact us.

Thank you.

Kind regards,

SCE Client Readiness Team

1. Dedicated Contacts

Please specify for which Clearstream client/account owner this registration form applies:

If you use the service of a third-party provider for your General Meeting service, please specify the respective

Please define in the table below the required contact persons who should receive all relevant information and updates regarding Client Testing for general meetings as part of the SCE Project.

If you use the service of a third-party provider for your General Meeting service, please also provide the respective contact details.

First name and surname	Email	Telephone

2. Participation in simulation

For a successful participation in simulation, account settings must be available in the CBF client simulation environment (IMS23) and CBL / LUXCSD test environment (OCCT). Based on the information provided below, Clearstream will create reporting in IMS23 and OCCT. Otherwise, the static data for accounts from the previous simulation periods stored in IMS23 and OCCT will be reused.

Clients wishing to participate in the testing of General Meeting events can use the automated connectivity channels (Swift, Swift FINPlus, MQ, File Transfer (FT)) or the Xact Web Portal functionality.

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

The reporting to the defined Test BIC will be provided based on the setup specified below. Existing connectivity settings for GM MX message reporting will be replaced. For the message exchange via the Swift FINplus/Swift network, a dedicated test BIC as technical sender / receiver address needs to be specified because Swift requires the usage of a test BICs within their simulation environment. If clients wish to participate via a Test BIC for the first time, additional time for the preparation of the technical setup by SWIFT, RMA key exchange and connectivity tests, are required. Please ensure that the RMA key exchange is completed prior to starting the testing.

2.1 ISO 20022 subscription

Please indicate in this chapter the desired connectivity for ISO 20022 reporting.

The table is structured in the following way:

Header row
Explanation row (to specify the possible values)
Example row
Row to be filled out by clients

For CBF accounts, please mention including all subaccounts (total 7-digits). If account master (total 4-digits) is specified, the specified setups for the account master will be applied to all sub accounts including the main account.

Note: In case the service of a third-party provider is used, and both the provider and the account owner should receive messages, please fill out two rows for the same account – one with the third-party address and one with the account owner address.

Accounts	Channel	Receiver Address	Message Types	Event Types	Issuer Country
CBF: 7 digit CBL: 5 digit LuxCSD: 5-digit	SwiftFIN+, File Transfer, Xact	SwiftFIN+ → BIC + DN File Transfer → File Transfer web address Xact → n/a	ALL by default or specify single message types	ALL by default	ALL by default
1234000, 9876000	SwiftFIN+	BIC (for Swift FIN+): EXAMPLEXXXX DN (for Swift FIN+): ou=XXX,o=EXAMPLEX, o=swift FT address (for File Transfer):	<input checked="" type="checkbox"/> ALL (Default) or <input type="checkbox"/> seev.001 <input type="checkbox"/> seev.002 <input type="checkbox"/> seev.003 <input type="checkbox"/> seev.006 <input type="checkbox"/> seev.007 <input type="checkbox"/> seev.008	ALL	ALL
	Choose an item.	BIC (for Swift FIN+): DN (for Swift FIN+): ou=____, o=_____ o=swift FT address (for File Transfer):	<input checked="" type="checkbox"/> ALL (Default) or <input type="checkbox"/> seev.001 <input type="checkbox"/> seev.002 <input type="checkbox"/> seev.003 <input type="checkbox"/> seev.006 <input type="checkbox"/> seev.007 <input type="checkbox"/> seev.008	ALL	ALL
	Choose an item.	BIC (for Swift FIN+): DN (for Swift FIN+): ou=____, o=_____ o=swift FT address (for File Transfer):	<input checked="" type="checkbox"/> ALL (Default) or <input type="checkbox"/> seev.001 <input type="checkbox"/> seev.002 <input type="checkbox"/> seev.003 <input type="checkbox"/> seev.006 <input type="checkbox"/> seev.007 <input type="checkbox"/> seev.008	ALL	ALL
	Choose an item.	BIC (for Swift FIN+): DN (for Swift FIN+): ou=____, o=_____ o=swift FT address (for File Transfer):	<input checked="" type="checkbox"/> ALL (Default) or <input type="checkbox"/> seev.001 <input type="checkbox"/> seev.002 <input type="checkbox"/> seev.003 <input type="checkbox"/> seev.006 <input type="checkbox"/> seev.007 <input type="checkbox"/> seev.008	ALL	ALL
	Choose an item.	BIC (for Swift FIN+): DN (for Swift FIN+):	<input checked="" type="checkbox"/> ALL (Default) or <input type="checkbox"/> seev.001	ALL	ALL

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		ou ou=____, o=_____, o=swift FT address (for File Transfer):	<input type="checkbox"/> seev.002 <input type="checkbox"/> seev.003 <input type="checkbox"/> seev.006 <input type="checkbox"/> seev.007 <input type="checkbox"/> seev.008		
	Choose an item.	BIC (for Swift FIN+): DN (for Swift FIN+): ou=____, o=_____, o=swift FT address (for File Transfer):	<input checked="" type="checkbox"/> ALL (Default) or <input type="checkbox"/> seev.001 <input type="checkbox"/> seev.002 <input type="checkbox"/> seev.003 <input type="checkbox"/> seev.006 <input type="checkbox"/> seev.007 <input type="checkbox"/> seev.008	ALL	ALL

The following values will be set by Default for all subscriptions:

- Default Subscription name
- Start date
- SRD indicator filled set to NO
- Events Filtering: set to ALL meeting events
- Exclude Reminder Notifications set to NO
- Additional Address filled with client's BIC
- Sender BIC CEDELULLXXX selected by default
- Frequency: Real-time delta

Please note that all values can be changed manually in the subscription details.¹

¹ Please refer to the Detailed Functional Specifications for a more detailed overview of possible selections in the message subscription

2.2 ISO 15022 subscription

Please indicate in this chapter the desired additional connectivity for ISO 15022 reporting for General Meeting.

Please note that this form does not cover subscription for Corporate Action Reporting.

If clients wish to test Corporate Action Confirmation (MT566), e.g. as part of a BMET event, clients need to ensure that a valid Corporate Action subscription is in place.

For the handling of MT564 and MT564+ subscriptions in Production, please refer to the description in the Detailed Functional Specifications

The table is structured in the following way:

Header row
Explanation row (to specify the possible values)
Example row
Row to be filled out by clients

For CBF accounts, please mention all subaccounts (total 7-digits). If account master (total 4-digits) is specified, the specified setups for the account master will be applied to all sub accounts including the main account.

Note: In case the service of a third-party provider is used, and both the provider and the account owner should receive messages, please fill out two rows for the same account – one with the third-party address and one with the account owner address.

Accounts	Channel	Receiver Address	Message Types	Event Types	Issuer Country
CBF: 7 digit CBL: 5 digit LuxCSD: 5-digit	MQ, Swift, XACT, File Transfer	Swift/MQ → BIC File Transfer → File Transfer web address Xact → n/a	Only MT564+ available	ALL by Default	ALL by Default
1234000, 9876000	Swift	TESTDEFFXXX	MT564+	ALL	ALL
	Choose an item.		MT564+	ALL	ALL
	Choose an item.		MT564+	ALL	ALL
	Choose an item.		MT564+	ALL	ALL
	Choose an item.		MT564+	ALL	ALL

The following values will be set by Default for all subscriptions:

- Default Subscription name
- Start date
- SRD indicator filled set to NO
- Exclude Reminder Notifications set to NO
- Additional Address not filled
- Sender BIC CEDELULLXXX selected by default
- Frequency: Real-time delta

Please note that all values can be changed manually in the subscription details.²

² Please refer to the Detailed Functional Specifications for a more detailed overview of possible selections in the message subscription

2.3 Xact Web Portal

Please indicate in this chapter if a connection to Xact Web Portal in test environment is already present or is required.

The table is structured in the following way:

Header row
Explanation row (to specify the possible values)
Example row
Row to be filled out by clients

Account	Access to Xact Web Portal			Xact Organisational Unit (OU)
	Yes, certificate expiry date (dd.mm.yyyy)	No, not required	No, but we hereby request the access	
CBF: 7 digit; CBL, LuxCSD: 5-digit				
1234000, 9876000	<input checked="" type="checkbox"/> , _31.12.2026__	<input type="checkbox"/>	<input type="checkbox"/>	EXAMPLE BANK OU
	<input type="checkbox"/> , _____	<input type="checkbox"/>	<input type="checkbox"/>	
	<input type="checkbox"/> , _____	<input type="checkbox"/>	<input type="checkbox"/>	
	<input type="checkbox"/> , _____	<input type="checkbox"/>	<input type="checkbox"/>	
	<input type="checkbox"/> , _____	<input type="checkbox"/>	<input type="checkbox"/>	

2.4 RMA Exchange

RMA Outbound (Clearstream to client): We expect clients to create the RMA “authorization to receive” for the “Meeting Notifications and Cancellations” business profile (including seev.001 and MT564) in Swift Alliance (SAA). Clearstream will accept the request when received.

RMA Inbound (Client to Clearstream): Clearstream will create the RMA “authorization to receive” for the “Meeting Instructions and Cancellations” business profile (incl. seev.004, seev.005) based on this form. Please specify your BIC codes from which Clearstream shall allow the receipt of meeting instructions to Clearstream BIC CEDELULLXXX.

Note: The RMA exchange should take place for Swift FIN current mode **and** Swift FIN future mode. Please provide us with some short feedback once the RMA authorisation is initiated.

Clearstream allows to receive	For the following BICs / certificate DN's (note: attention to capital letter, numbers)
<input checked="" type="checkbox"/> Meeting Instructions and Cancellations (incl. seev.004, seev.005)	

We would like to thank you for your support – SCE Client Readiness Team