

Vestima

Investment Funds Services

User Guide for Order Handling Agents

Vestima Investment Funds Services - User Guide for Order Handling Agents

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Foreword

Vestima is Clearstream Banking's automated electronic order routing and management service giving Order Issuers (OIs) and Order Handling Agents (OHAs) a single-entry point for orders in domestic, third-party, cross-border and off-shore funds.

About this guide

This guide is intended to help you use the Vestima web browser-based interface as an Order Handling Agent (OHA); that is, someone who receives and fills orders for investment fund shares.

The guide is organised into chapters as follows:

- Chapter 1 "[Introduction](#)" on page 1;
- Chapter 2 "[Getting started](#)" on page 3;
- Chapter 3 "[Order processing](#)" on page 9;
- Chapter 4 "[Managing orders](#)" on page 11;
- Chapter 5 "[Reference data](#)" on page 19;
- Chapter 6 "[Reports](#)" on page 22;
- Chapter 7 "[Archive](#)" on page 27;
- "[Glossary](#)".

Associated documents

General and browser:

Vestima Service Description

A general overview of the services of Vestima

Xact Web Portal User Manual

Xact Web Portal security and network information with installation and setup instructions

Swift:

Vestima Swift User Guide

Details of ISO 15022 and ISO 20022 message format specifications for use with Vestima.

A word about security and accessibility

The Vestima web-browser interface is available through Xact Web Portal Access is restricted to authorised users only and is controlled by the use of certificates. Security is further enhanced by the employment of unique ID and password combinations and the encryption of all communication.

Full instructions are detailed in the [Xact Web Portal User Manual](#).

Hardware and software requirements

You can access the Vestima system from any personal computer running appropriate Windows software with a standard web browser. You will also need an external connection to the Vestima system.

Note: For more detailed technical requirements, please refer to the [Xact Web Portal User Manual](#).

Contact details

For further information or if you have specific questions regarding the Vestima system and/or communications with Clearstream Banking, you can contact Client Services in Luxembourg as follows:

Telephone:	+352-243-38110 +352-243-32833 +352-243-32555	Connectivity Support for access/configuration issues Vestima Client Services for business queries Vestima Product information
Fax:	+352-243-638110	Connectivity Support
Email:	csvestima@clearstream.com connect@clearstream.com	Vestima Client Services for business queries Connectivity Support
Website:	www.clearstream.com/	Clearstream Banking website

If you need assistance with Vestima, it would be helpful if you have the following information to hand before contacting Clearstream Banking:

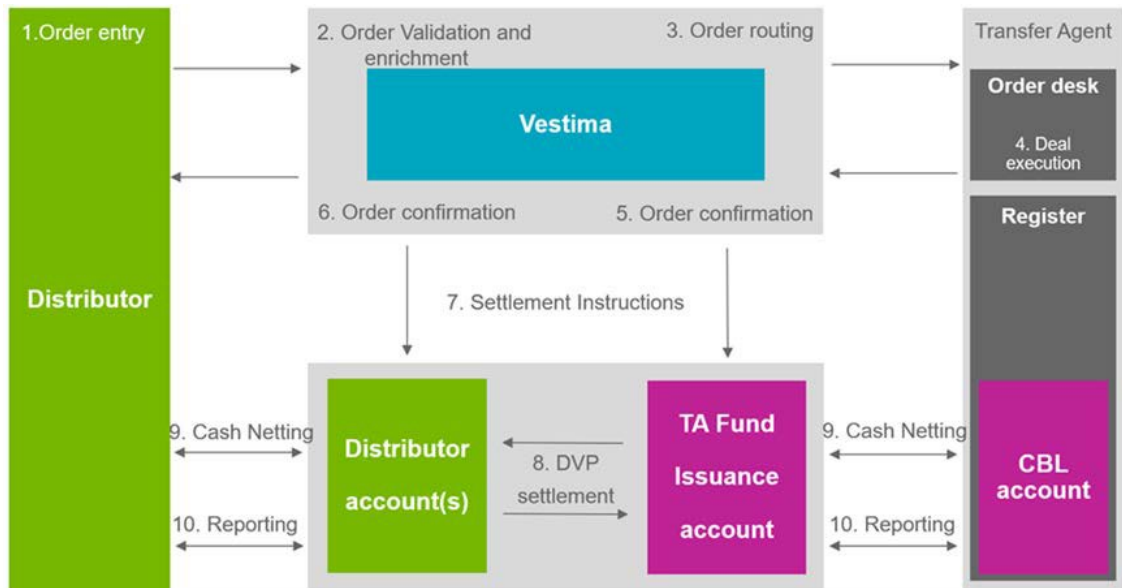
- Your organisation name and Vestima Identity (ID);
- Your name, telephone and fax numbers and your email address;
- The make and model of your PC;
- Your connection type: via Xact Web Portal;
- The type and version of your operating system and web browser software;
- Details of the inquiry (please have full details available);
- If you receive an error message, full details of the error, with any error message number.

Note: As normal practice within financial organisations – Clearstream Banking has implemented telephone line recording to ensure that the interests of Clearstream Banking and of its clients are protected against misunderstandings or miscommunications.

Areas subject to telephone line recording include Client Services. The recorded lines are the subject of an ongoing formal maintenance and quality control program to ensure their continued effective and appropriate deployment and operation.

1. Introduction

Vestima has been developed to simplify and standardise all aspects of investment funds trading. Orders (subscription, redemption, and switch) on any type of funds (mutual or alternative investment funds) can be received through Vestima from a large number of counterparties for all or some of the funds for which you act as an OHA.



Using a web browser interface, the OHA can receive subscription, redemption, and switch orders from a standard desktop PC via Vestima. If an order is valid for further processing, most OHAs will choose to acknowledge its receipt. If an order is not valid, they will reject it. All OHAs will return an electronic confirmation when the order is executed. For further information, see the Vestima Service Model.

Note: The OI and OHA do not communicate directly but via the Vestima automated system.

Orders are routed from the OI in real time.

Integration with the settlement and custody services of Clearstream Banking provides secure straight-through processing (STP) from order input through to final settlement, if required.

There are various types of participants that interact with Vestima. These include the following:

- Order Issuer** (OI) An organisation that buys and sells shares directly from the fund or its agent, for its own account or on behalf of other investors.
- Order Handling Agent** (OHA) An agent appointed to process fund orders.
- Report Receiver** An OI, OHA or Fund Manager that can retrieve reports via the Vestima web browser interface.
- Master Participant** A Vestima participant that can act on behalf of other participants.

There are various types of users that interact with Vestima. These include the following:

- Administrator** A system administrator who defines access permissions for local users.
- OHA User** The local user.

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2. Getting started

This chapter provides information about what you need to know and how Vestima should be prepared, for you to use the system. It contains the following sections:

- “[Initial activities](#)” on page 3;
- “[Vestima portal structure](#)” on page 5;
- “[General features](#)” on page 7.

Initial activities

The necessary technical configurations, with minimum and recommended resources for successful connection to and use of the Vestima service, are described in the [Xact Web Portal User Manual](#).

Before starting to use Vestima, the system administrator should have completed the connectivity setup as described in the [Xact Web Portal User Manual](#) and should have set up the system, defined user details to the system and assigned a logon identity and a one-time password for each user.

The web browser connection

The Vestima web browser connection is based on standard internet architecture and is ready to use with a minimum of installation requirements. Advanced Public Key Infrastructure (PKI) is used in combination with installed certificates to ensure maximum security.

You can access the Vestima web browser interface via the Xact Web Portal.

Hardware and software requirements

You can access the Vestima system from any personal computer running appropriate Windows software with a standard web browser. You will also need an external connection to the Vestima system.

Note: For more detailed technical requirements, please refer to the [Xact Web Portal User Manual](#).

Security and accessibility

Access of Vestima is restricted to authorised users only and is controlled by the use of certificates. Security is further enhanced by the employment of unique ID and password combinations and the encryption of all communication.

To log on to the system

Start your web browser and enter the URL for Vestima accessible via the Xact Web Portal.

For further information please refer to the [Xact Web Portal User Manual](#)

Rules for passwords

As a Vestima user, your passwords must be made up of between 7 and 32 characters with at least one taken from each of the following character sets:

English alphabet (upper case)	A-Z	Numbers	0-9
English alphabet (lower case)	a-z	Special characters (including special symbols)	

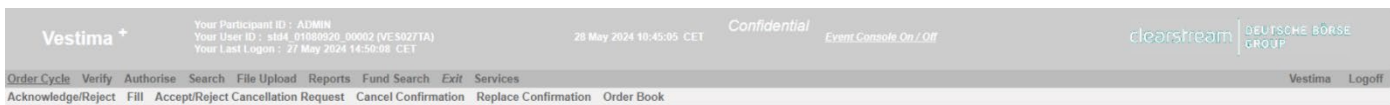
Vestima portal structure

How to access Vestima

The new version of Vestima is running in parallel with the [Legacy Vestima](#) and provides the user with a modern design aimed to enhance user experience. It provides the user with a limited number of functionalities described in this user guide.

The user can access this version of Vestima by selecting **Vestima** at the top right of the Legacy Vestima screen as shown below. It is possible to toggle between the two versions.





Note: Legacy Vestima will still be accessible and serve as the landing page for all OHAs.



Header section



Situated at the top of the screen, the header section gives you access to the below items:

Vestima	Redirection	Redirects you to the landing page (Order book).
Order processing	Menu	The menu contains the main options available (see below more details).
Reference data	Help center	The help center gives access to key information such as Vestima user guide(s), key documentation, and contacts.
Reports	User preferences and	Gives access to the User Settings (time-zone for cut-off and the number of items per page to display) and Login history.
Archive	Sign out	To manually logoff from the system. In case of inactivity longer than 60 minutes, you will be automatically logged off.
	Legacy Vestima	Redirects the user to Legacy Vestima
		
 Sign out		
 Legacy Vestima		

Menu

- | | |
|-------------------------|---|
| Order processing | <ul style="list-style-type: none">• Check the order book or cancellation request book.• Search for an order or a cancellation request. |
| Reference data | <ul style="list-style-type: none">• Allows a user to search for fund details. |
| Reports | <ul style="list-style-type: none">• To view reports that are less than 13 months old or download them in CSV format.• To do data upload. |
| Archive | <ul style="list-style-type: none">• To find past orders or reports that are more than 13 months old. |

General features

The Vestima Portal contains tools, processes and features that may be used equally in various sections. The purpose of this chapter is to describe these general features centrally for reference.



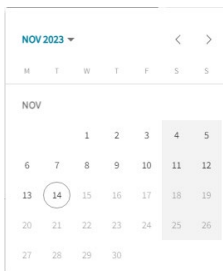
Page navigation

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



Pagination

Allows the user to display up to 100 records per list.



Calendar

Allows to specify a date.



Check boxes

Allows to activate / select an item by ticking the check box and vice-versa. On some lists, each line has a check box so that you can specify several orders to be actioned at the same time.



Input field

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

If clients want to search based on the first characters, they can enter an asterisk at the end (*).



Dropdown field

Allows the selection of one value within a predefined list.



Details icon

Click on the icon to display a detailed view of the associated item.



Fund picker

Fund or portfolio picker.



Sort

You can sort columns in ascending or descending order by clicking on the column title.



Back button

Allows to navigate to a previously viewed page.

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3. Order processing

Please refer to the [Vestima User Guide for Order Handling Agents - Legacy](#).

4. Managing orders

This chapter provides a detailed description of processes an OHA applies to an order after it has been issued. Order management provides real-time update of order status.

The chapter contains the following sections:

- [“Search an order / cancellation request”](#) on page 10
- [“Export Order book and similar templates”](#) on page 13
- [“View order history”](#) on page 15
- [“View settlement instruction status”](#) on page 15
- [“Order status definition”](#) on page 17

Search an order / cancellation request

You can search for orders different ways:

1. **Applying filters:** Click on one of the filters located at the top of the Order book list to display orders with the selected status:

Acknowledged: 8	Cancelled: 0	Confirm Cancelled: 0	Confirm Replaced: 0	Confirmed: 0	New: 585	Rejected by the OHA: 0
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2. **Order book:** to see the list of all recent orders (see below).
3. **Order search:** if you want to search order(s) based on commonly used order search parameter fields (see below).

You can search for a cancellation request via:

1. **Applying filters:** Click on one of the filters, located at the top of the **Cancellation request book** to display cancellation request(s) with the selected status:

Accepted: 30	Rejected: 1
--------------	-------------

2. **Cancellation request book:** To see the list of all recent cancellation requests (see below).
3. **Cancellation request search:** If you want to search cancellation requests based on commonly used order search parameter fields (see below).

Order book

The Order book displays live orders (Subscription, Redemption and Switch) processed through Vestima as well as orders completed within the last five days.

1. Select "Order book" under "Order processing" in the main menu to display the Order book list view.

Link	Order type	Vestima order ref	Client order ref	OHA reference	ISIN	Common code	Fund name	Currency	Amount	Quantity	OI name	Order status
	Subscription	24202D9HXK	FF025815-1		LU0098860793	009886079	SHS FRANKLIN INCOME FD-A MDIS	USD	7,500		STANDARD CHARTERED BANK	New
	Subscription	24202D9HXW	FF025816-1		LU0109392836	010939283	SHS FRANKLIN TECHNOLOGY FD-A CAP USD	USD	30,000		STANDARD CHARTERED BANK	New

2. Locate in the list the order to be viewed. You can also apply filters as described in "[General features](#)" on page 7.
3. Click on the link icon of the order to view the order details.
4. Click on "Export to CSV" at the top right to download the order book containing up to 50,000 orders.

Order search

Orders of less than 13 months can be found via the "Order search" window.

1. Select "Order search" from the "Order processing" menu to display the Order search:

Please note that orders older than 13 months must be accessed through the business archive. Result is limited to 50,000 orders.

Order search criteria

Order type: Subscription Redemption Switch

Search filters:

- OI name:
- Fund name:
- Umbrella name:
- Vestima order reference:
- Client order reference:
- OHA order reference:
- Common code:
- From creation date:
- To creation date:
- From confirmed trade date:
- To confirmed trade date:
- From confirmed settlement date:
- To confirmed settlement date:
- From forward date:
- To forward date:
- Currency:
- From ordered amount:
- To ordered amount:
- From ordered quantity:
- To ordered quantity:
- From settlement amount:
- To settlement amount:


Clear Search

2. Type in your selection criteria in the related field.

Note: You can use wild card character (*) in your searches to request that all items that contain the string of characters associated with the wild card character are included in the results of your search.

The following examples illustrate the use of the wild card character in a field entry:

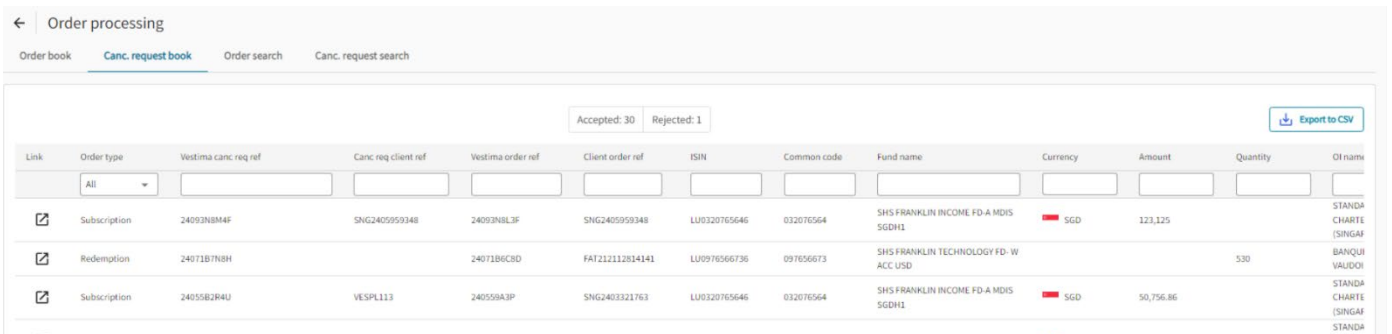
- ABC* will include all items in which this field contains a value beginning with ABC.
- *ABC will include all items in which this field contains a value ending with ABC.
- *ABC* will include all items in which this field contains a value that includes ABC anywhere between the first and last characters.

3. Click on “Search” at the bottom of the template to display a list view of any orders that match your search criteria.
4. Click on the link  icon next to the order in the list to view its Order Detail template.




Cancellation request book

The cancellation request book displays the list of recent cancellation requests processed through Vestima within the last 13 months.

1. Select “Canc. request book” under “Order processing” in the main menu:



The screenshot shows the 'Order processing' menu with 'Canc. request book' selected. Below the menu is a table with columns: Link, Order type, Vestima canc. req ref, Canc. req client ref, Vestima order ref, Client order ref, ISIN, Common code, Fund name, Currency, Amount, Quantity, and OI name. There are also filters for 'Accepted: 30' and 'Rejected: 1', and an 'Export to CSV' button.

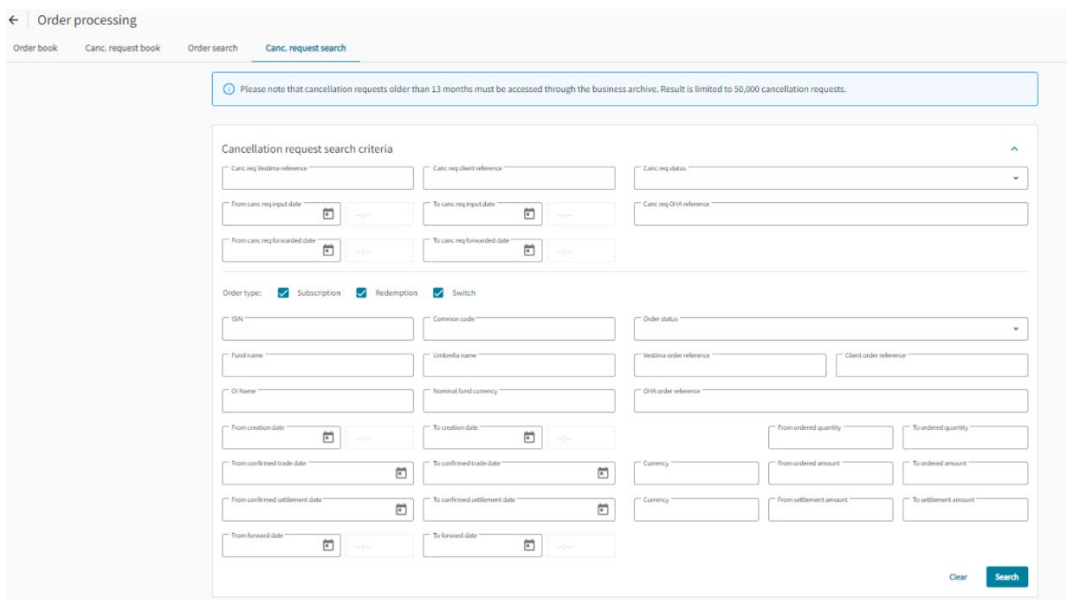
Link	Order type	Vestima canc. req ref	Canc. req client ref	Vestima order ref	Client order ref	ISIN	Common code	Fund name	Currency	Amount	Quantity	OI name
	Subscription	24093N8M4F	SNG2405959348	24093N8L3F	SNG2405959348	LU0320765646	032076564	SHS FRANKLIN INCOME FD-A MDIS SGDHI	SGD	123,125		STANDA CHARTE (SINGAP)
	Redemption	24071B7N8H		24071B6C8D	FAT212112814141	LU0976566736	097656673	SHS FRANKLIN TECHNOLOGY FD-W ACC USD	USD		530	BANQUI VALDOI
	Subscription	24055B2R4U	VESPL113	24055B3P	SNG2403321763	LU0320765646	032076564	SHS FRANKLIN INCOME FD-A MDIS SGDHI	SGD	50,756.86		STANDA CHARTE (SINGAP)

2. Locate in the list the cancellation request to be viewed. You can also apply filters as described in “General features” on page 7.
3. Click on the link icon of the order to view the order details.

Cancellation request search

If you want to search for a cancellation request:

1. Select “Canc. request search” from the Order processing menu.



The screenshot shows the 'Canc. request search' form. It includes a warning message: "Please note that cancellation requests older than 13 months must be accessed through the business archive. Result is limited to 50,000 cancellation requests." Below this is a 'Cancellation request search criteria' section with various input fields for search parameters.

Cancellation request search criteria

- Canc. req/Vestima reference
- Canc. req client reference
- Canc. req status
- From canc. req input date
- To canc. req input date
- Canc. req OI reference
- From canc. req forwarded date
- To canc. req forwarded date


Order type: Subscription Redemption Switch

ISIN, Common code, Order status, Fund name, Vestima order reference, Client order reference, OI Name, Nominal fund currency, OI order reference, From creation date, To creation date, From ordered quantity, To ordered quantity, From confirmed trade date, To confirmed trade date, Currency, From ordered amount, To ordered amount, From confirmed settlement date, To confirmed settlement date, Currency, From settlement amount, To settlement amount, From forward date, To forward date.

Clear Search

2. Type in your selection criteria.

Note: You can use wild card character (*) in your searches to request that all items that contain the string of characters associated with the wild card character are included in the results of your search (see more details in Order search).

3. Click on “Search” at the bottom of the template to display a list view of any cancellation requests that match your search criteria.
4. Click on link  next to the cancellation request in the list to view its details.

Export Order book and similar templates



The templates displayed in Order book, Cancellation request book, Order search and Cancellation request search can be downloaded by clicking on "Export to CSV" at the top right.

The csv will contain the same columns for all exports:

Column / Field name	Content	Column / Field name	Content
A	OI Order Reference	AM	Discount Amount
B	OHA Order Reference	AN	End Load Rate
C	Vestima Order Reference	AO	End Load Amount
D	Vestima Leg Reference	AP	End Load Amount Currency
E	Order type	AQ	Taxable Income per Share Amount
F	OI Name	AR	Taxable Income per Share Currency
G	OHA Name	AS	EU Tax Retention Amount
H	Portfolio	AT	EU Tax Retention Currency
I	Order Input Date	AU	Capital Gain In/Out Indicator
J	Order Forwarded Date	AV	TIS Calculated Indicator
K	Order Status	AW	Percentage of Debt Claims
L	Settlement Currency	AX	OHA Order Security Settlement Status
M	Order Routing Method	AY	OHA Order Cash Settlement Status
N	Settlement Option OI	AZ	Clearing Broker: Identifier
O	Settlement Option OHA	BA	Clearing Broker: Safe Keeping Account
P	Ordered Quantity	BB	Step-In Broker: Identifier
Q	Switch Percentage	BC	Step-In Broker: Safe Keeping Account
R	Order Currency	BD	Investor: Identifier
S	Order Amount	BE	Investor: Safe Keeping Account
T	Common Code	BF	Investor: Commercial Contract
U	ISIN Code	BG	Internal Narrative
V	Fund Name	BH	OI External Narrative
W	Price per Share	BI	OHA External Narrative
X	Settlement Amount	BJ	Fund Currency
Y	Trade Date	BK	CBL Place of Deposit
Z	Requested future trade date	BL	NAV Frequency
AA	Settlement Date	BM	Requested NAV Currency
AB	NAV Date	BN	Transit Account OI
AC	Fund Cut-Off Time	BO	Trade Amount
AD	Acknowledgement Date	BP	Trade Amount Currency
AE	Confirmation Date	BQ	FOREX Rate
AF	Applied Commission Rate	BR	FOREX From Currency
AG	Applied Commission Amount	BS	FOREX To Currency
AH	Applied Commission Amount Currency	BT	Cancellation Request OI Reference
AI	Other Commission Rate	BU	Cancellation Request OHA Reference
AJ	Other Commission Amount	BV	Cancellation Request Vestima Reference
AK	Other Commission Amount Currency	BW	Cancellation Request Status
AL	Discount Rate		

View order history

The history of a specific order can be found for orders created in the last 13 months.



1. Select Order processing-Order book from the menu to view a list of orders.
2. Locate in the list the order to be viewed and click on the link icon  of the order to view the order details.
3. Click on the  icon on the right of Order history option to display the status history of the selected order.

Status	Status change date	Participant	Action	User
New	09 May 2024 17:10:31 CET	VESTIMA OPERATIONS		
Confirmation - Awaiting Authorisation	09 May 2024 17:11:13 CET	FRANKLIN TEMPL	Order Filled by	Vestima Operations
Confirmed	09 May 2024 17:11:18 CET	FRANKLIN TEMPL	Authorised by	Vestima Operations

View settlement instruction status

STP clients can find the status of settlement instructions under "Settlement history" on the Order detail template. You will also see the date of issue and the transaction reference that Vestima has allocated to the settlement instruction.

The status of settlement instructions issued by Vestima, together with the date of issue and the transaction reference that Vestima has applied to the settlement instruction, is displayed under "Settlement History" on the Order detail template.

1. Select Order processing-Order book from the menu to view a list of orders.
2. Locate in the list the order to be viewed and click on the link icon  of the order to view the order details.
3. Click on the  icon on the right of Settlement history option to display the status history of the selected instruction.

Settlement status	Status change date	Transaction reference
Security instruction(s) issued	28 May 2024 12:10:18 CET	IFN8C8E0000ZF6P9

For delivery against payment (DVP), the one "security instruction" status covers both securities and cash.

For Free of Payment (FOP), the statuses of securities and cash instructions are shown separately. See the [Clearstream Banking Client Handbook](#) for further information about the settlement options.

Settlement instructions have one of the following statuses:

Issued	The settlement instruction has been issued. This happens when the OHA has issued a valid order confirmation or for a prepaid order when a valid order is issued by the OI.
Rejected	The settlement instruction has been rejected.
Settled	The settlement instruction has settled.
Cancelled	A previously issued settlement instruction has been cancelled.
Replaced	A previously issued settlement instruction has been replaced.

Order status definition

An order is assigned one of the following statuses during the life cycle of the order:

Order status	Description
Acknowledged	The order has been acknowledged.
Cancelled	The order has been cancelled.
Confirmation Cancelled	The order confirmation has been cancelled.
Confirmation Replaced	The order confirmation has been replaced with a new confirmation. The previous dealing details (before the replacement) are disclosed in the Order details.
Confirmed	The order has been confirmed.
New	The order has been created by the OI and is available to the OHA in the Vestima system
Rejected by the OHA	The order has been rejected.

The status of settlement instructions issued by Vestima is also displayed on the web browser (see [“Viewing Settlement Instruction Status”](#) on page 15).

Cancellation Request status	
Accepted	The order cancellation request has been accepted.
Rejected	The order cancellation request has been rejected.

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5. Reference data

This chapter contains the following sections:

- [“Fund search”](#) on page 19

Fund search

You can see details of funds in Fund search:

1. From the main menu, click on “Fund search” under Reference data.
2. Type in your selection criteria.

The screenshot shows the 'Fund search criteria' form within the 'Reference data' section. The form is titled 'Fund search criteria' and is divided into three main sections: 'Fund', 'Institution', and 'Others'. The 'Fund' section includes fields for 'ISIN', 'Common code', 'Fund name', 'Umbrella name', 'Fund currency', and 'Nav currency'. The 'Institution' section includes fields for 'OHA name', 'Transfer agent', 'Promoter', 'Fund manager', 'Local agent', and 'Order concentrator'. The 'Others' section includes a dropdown menu for 'FFG'. At the bottom right of the form, there are 'Clear' and 'Search' buttons.

Note: You can use wild card character (*) in your search to request that all items that contain the string of characters associated with the wild card character are included in the results of your search. The following examples illustrate the use of the wild card character in a field entry:

- ABC* will include all items in which this field contains a value beginning with ABC.
- *ABC will include all items in which this field contains a value ending with ABC.
- *ABC* will include all items in which this field contains a value that includes ABC anywhere between the first and last characters.

3. Click on “Search” to display a list view of any funds that match your search criteria. Confidential funds will not be displayed in the result except if you have a position on the fund.

Fund search criteria 1 filter applied ▼

[Export to CSV](#)

	ISIN	Common code	Fund currency	Fund name	Umbrella name
	LU0003549028	001119001	EUR	SHS DWS EURORENTA	
	LU0003562807	001119567	EUR	SHS UNI EUROPA RENTA	UNICO - SETT.ACC.7268 (TU)
	LU0006040116	001183206	EUR	SHS INTERFUND EQ USA ADVANTAGE I15	INTERFUND
	LU0006041197	001183389	EUR	SHS UNIFAVORIT: RENTEN	UNICO - SETT.ACC.7268 (TU)
	LU0006061252	001184946	USD	SHS BLACKROCK GL.FD-JAP.SMALL+MID.OPP.FD -A2-	BLACKROCK GLOBAL FUNDS
	LU0006061336	001184954	USD	SHS BLACKROCK GL.FD-US SMALL+MI.OPPOR.FD -A2-	BLACKROCK GLOBAL FUNDS
	LU0006061385	001184962	USD	SHS BLACKROCK GL.FD-GL.GOV.BD FD -A2-	BLACKROCK GLOBAL FUNDS
	LU0006061419	001184989	USD	SHS BLACKROCK GL.FD-USD RESERVE FD -A2-	BLACKROCK GLOBAL FUNDS

4. To see details of a fund, click on the Eye icon

5. You can click on next to the umbrella to display the list of Funds belonging to a given umbrella.

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6. Reports

This chapter contains the below sections:

- [“Report retrieval”](#) on page 22
- [“Data upload”](#) on page 25

Report retrieval

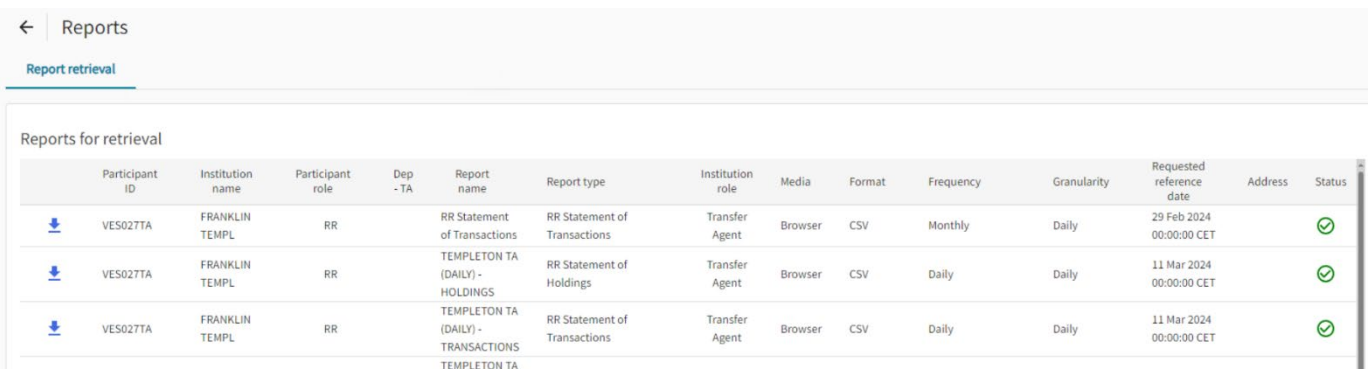
Reports in Vestima can be downloaded as follows:

- Recent reports, generated within the last 13 months, through the Reports-Report retrieval option in the main menu.
- Past reports, generated more than 13 months ago, through the [Archive – Reports](#) on page 28 reports option in the main menu.







Before you can retrieve reports via the Vestima web browser interface, you must already have subscribed to Vestima reports. To set up a report subscription and/or to see the complete list of available reports, please contact Client Support (see [“Contact details”](#)) or your Relationship Manager.



To download a recent report:

1. Select Reports-Report retrieval from the main menu to display a report subscription list of the latest available reports.



The screenshot shows the 'Reports for retrieval' section of the Vestima web interface. It features a table with columns for Participant ID, Institution name, Participant role, Dep - TA, Report name, Report type, Institution role, Media, Format, Frequency, Granularity, Requested reference date, Address, and Status. Three rows of reports are visible, each with a download icon (a blue arrow pointing down) in the first column. The first row is for 'RR Statement of Transactions' with a reference date of 29 Feb 2024. The second and third rows are for 'RR Statement of Holdings' and 'RR Statement of Transactions' respectively, both with a reference date of 11 Mar 2024. All reports have a status of 'Success' indicated by a green checkmark.

Participant ID	Institution name	Participant role	Dep - TA	Report name	Report type	Institution role	Media	Format	Frequency	Granularity	Requested reference date	Address	Status
 VES027TA	FRANKLIN TEMPL	RR		RR Statement of Transactions	RR Statement of Transactions	Transfer Agent	Browser	CSV	Monthly	Daily	29 Feb 2024 00:00:00 CET		
 VES027TA	FRANKLIN TEMPL	RR		TEMPLETON TA (DAILY) - HOLDINGS	RR Statement of Holdings	Transfer Agent	Browser	CSV	Daily	Daily	11 Mar 2024 00:00:00 CET		
 VES027TA	FRANKLIN TEMPL	RR		TEMPLETON TA (DAILY) - TRANSACTIONS	RR Statement of Transactions	Transfer Agent	Browser	CSV	Daily	Daily	11 Mar 2024 00:00:00 CET		

2. Do one of the following:
 - If you want to download the latest available report, click on  in Reports for retrieval.
 - If you want to see an older report, click on the line of the report you would like to see in Reports for retrieval. In Report history, click on  to download the report that you want to retrieve.
3. You can then save and view the report in CSV format.

Note: In some cases, retrieved report data may require formatting to make it easier to read (see below [“Formatting an unformatted report”](#)).

Formatting an unformatted report

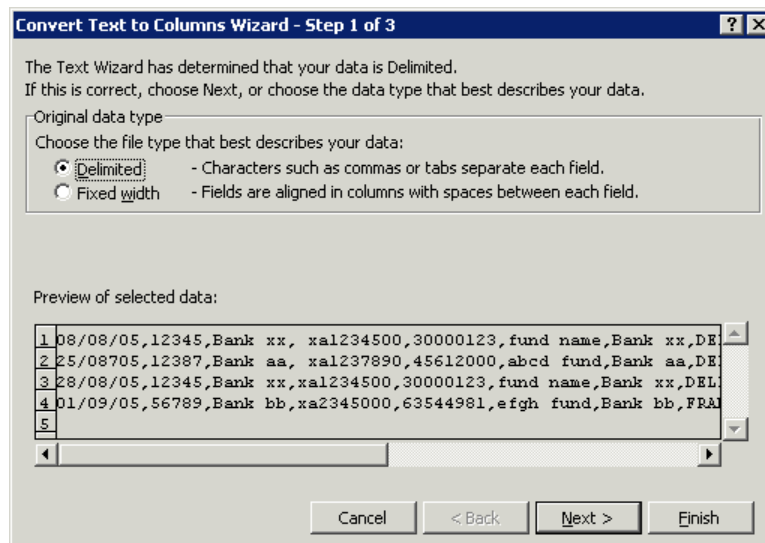
In some cases, depending on the regional settings of the PC used to perform the download, each record will be output in a single cell of the spreadsheet, as in the following example:

	A
1	08/08/05,12345,Bank xx, xa1234500,30000123,fund name,Bank xx,DELI,TRAD,05-Aug-05,06-Aug-05,3000,EUR,1200.5,Bank YY,,
2	25/08705,12387,Bank aa, xa1237890,45612000,abcd fund,Bank aa,DELI,TRAD,22-Aug-05, 22-Aug-05,520,EUR,956.54,Bank YY,,
3	28/08/05,12345,Bank xx,xa1234500,30000123,fund name,Bank xx,DELI,TRAD,23-Aug-05,26-Aug-05,8755,EUR,423.00,Bank YY,,
4	01/09/05,56789,Bank bb,xa2345000,63544981,efgh fund,Bank bb,FRAN,TRAD,30-Aug-05,01-Sep-05,4500,USD,863.2,Bank YY,,

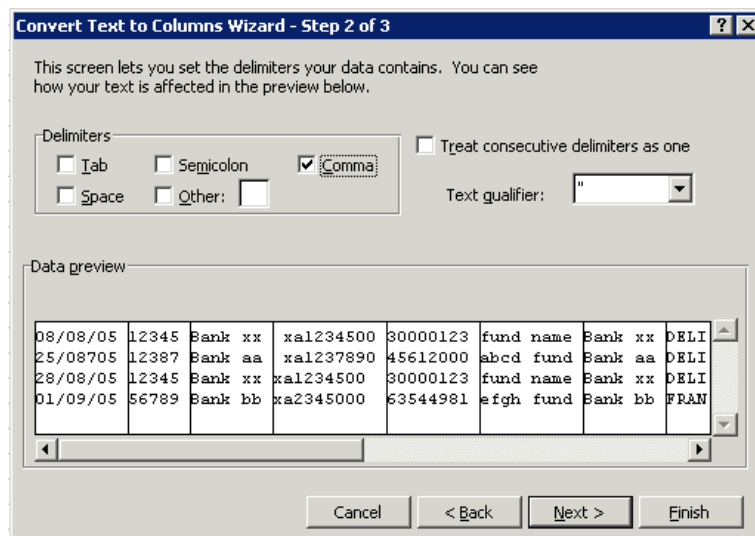
To format single-column output into multiple columns:

1. Highlight the column in the spreadsheet.
2. In the main menu bar, click on "Data" and select Text to Columns from the menu.

This will open the Convert Text to Columns Wizard. To complete the formatting of your retrieved report, follow the dialog sequence as indicated in the following steps.



Note: Ensure that the Delimited option is selected and click on "Next" to display the Step 2 dialog box.



3. Select Comma as the delimiter that you want to use to identify column breaks.

The data within the originally highlighted column is then displayed across multiple columns in the Data preview area in the lower half of the dialog box.

4. Click on “Finish” to complete the formatting of your data across multiple columns.

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
1	08/08/2005	12345	Bank xx	xa1234500	30000123	fund name	Bank xx	DELI	TRAD	05-Aug-05	06-Aug-05	3000	EUR	1200.5	Bank YY
2	25/08/2005	12387	Bank aa	xa1237890	45612000	abcd fund	Bank aa	DELI	TRAD	22-Aug-05	22-Aug-05	520	EUR	956.54	Bank YY
3	28/08/2005	12345	Bank xx	xa1234500	30000123	fund name	Bank xx	DELI	TRAD	23-Aug-05	26-Aug-05	8755	EUR	423	Bank YY
4	01/09/2005	56789	Bank bb	xa2345000	63544981	efgh fund	Bank bb	FRAN	TRAD	30-Aug-05	01-Sep-05	799	USD	863.2	Bank YY

Interpreting report content

Your downloaded report will look like the following example:

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
1	08/08/2005	12345	Bank xx	xa1234500	30000123	fund name	Bank xx	DELI	TRAD	05-Aug-05	06-Aug-05	3000	EUR	1200.5	Bank YY
2	25/08/2005	12387	Bank aa	xa1237890	45612000	abcd fund	Bank aa	DELI	TRAD	22-Aug-05	22-Aug-05	520	EUR	956.54	Bank YY
3	28/08/2005	12345	Bank xx	xa1234500	30000123	fund name	Bank xx	DELI	TRAD	23-Aug-05	26-Aug-05	8755	EUR	423	Bank YY
4	01/09/2005	56789	Bank bb	xa2345000	63544981	efgh fund	Bank bb	FRAN	TRAD	30-Aug-05	01-Sep-05	799	USD	863.2	Bank YY

Note: The actual content of your reports depends on the details of your agreement with Clearstream. The report has two header lines and two footer lines, as follows:

- The first header line contains the following information:
 - Column A** Subscription ID (an internal ID assigned by Vestima);
 - Column B** Report Name;
 - Column C** Date on which the report was generated.
- The second header provides the column headings for the data in the subsequent report lines.
- The first footer line indicates the end of the report.
- The second footer line shows how many lines the report has, excluding header and footer lines.

Data upload

To use the Data upload service, please contact your Relationship Manager (see [“Contact details”](#)).

To upload data files:

1. Select Reports-Data upload, New data upload from the menu to display the New Data File Upload template.

← Data upload

New data upload Data upload history

Note: Data file upload is not for order creation, any request to create orders will not be processed.

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

Data upload type*

Submit

Note: You must have the access granted to be allowed to upload files, otherwise you will see the error message “No valid subscription were found for data file upload”.

2. You can either browse your file or drag and drop it.
3. Select an appropriate Data upload type, according to the types to which you have subscribed.
4. Click on “Submit” to upload the selected files.


Note: Please ensure that the file name contains only alphanumeric characters and the following special characters: hyphen (-), underscore (_), plus sign (+) or period (.) with a maximum length of 255 characters. Any additional special characters or space(s) are not allowed.

Viewing data upload history

The Data upload history section allows OHAs to:

- See the list of files previously submitted;
- Check the status of individual uploaded data files;
- Filter uploaded files by data upload type*.

* Available Data Upload Types are only the ones for which the OHA has an active data upload subscription for.

1. Click on the “Data file upload history”.
2. To upload data file, click on the Download  icon.

← Data upload

New data upload Data upload history

Data file upload history

File name	Data upload type	Status	Reason	Size (in MB)	User	Start time	Download
No data to display							

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7. Archive

The Archive section stores past orders and past reports more than 13 months old and includes a search facility.

Orders

To search for a past order:



Past orders are the ones that have been confirmed more than 13 months ago and are stored in Archive.

Select Archive - Orders from the menu to use the past order search facility.

The screenshot shows the 'Archive' section with a sub-tab for 'Orders'. A note states: 'Note: Only orders older than 13 months are stored in the archive'. Below this is the 'Order search criteria' form. The form includes the following fields and options:

- Order type: Subscription, Redemption, Switch
- ISIN:
- Common code:
- Order status:
- From input date:
- To input date:
- Vestima order reference:
- From quantity:
- To quantity:
- Client order reference:
- OI participant:
- Settlement currency:
- From settlement/ordered amount:
- To settlement/ordered amount:
- OHA order reference:
- OHA participant:

Buttons for 'Clear' and 'Search' are located at the bottom right of the form.

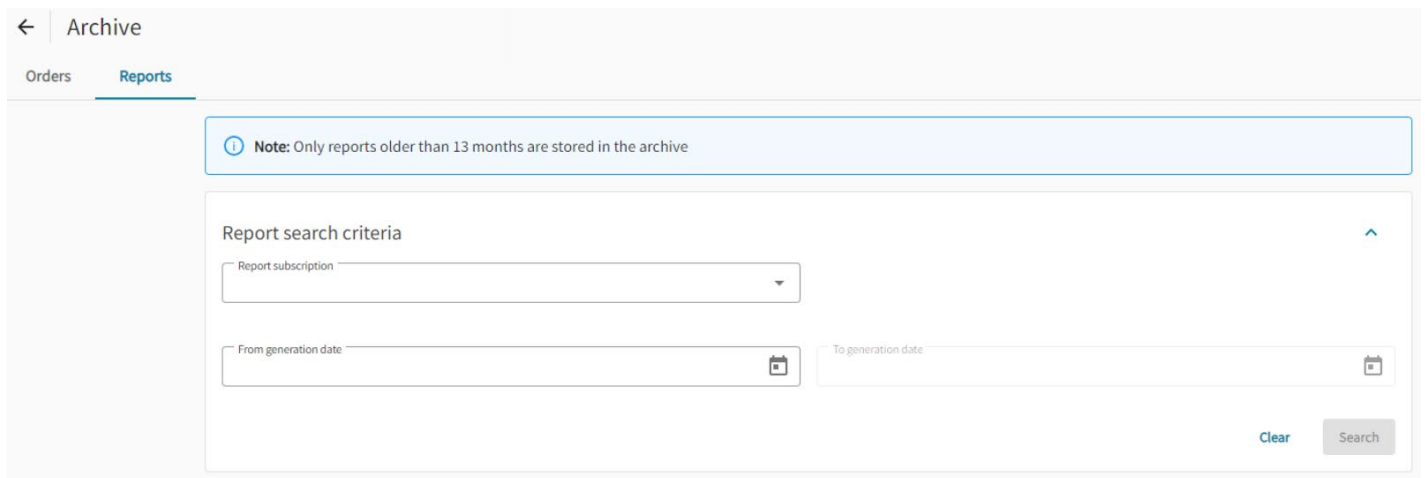
1. Type in your selection criteria.
2. Click on "Search" at the bottom right of the template to display a list view of any orders that match your search criteria.
3. Click on the  icon next to the order in the list to view its details.
4. Click the  icon to print a copy of the selected archived order.

Reports


To search for a past report:

A past report is one that was created or generated more than 13 months ago and are stored in the Archive.

1. Select Archive - Reports from the menu to use the past report search facility.



The screenshot shows a web interface for searching reports in an archive. At the top left, there is a back arrow and the word 'Archive'. Below this, there are two tabs: 'Orders' and 'Reports', with 'Reports' being the active tab. A light blue notification box contains the text: 'Note: Only reports older than 13 months are stored in the archive'. Below the notification is a 'Report search criteria' section. It includes a dropdown menu for 'Report subscription', two date input fields for 'From generation date' and 'To generation date' (each with a calendar icon), and a 'Report search criteria' title with an upward arrow icon. At the bottom right of the form are 'Clear' and 'Search' buttons.

2. Type in your selection criteria.
3. Click on "Search" at the bottom right of the template to display a list view of any reports that match your search criteria.
4. Click on the  icon next to the desired report in the list to view its details.

Glossary

This Glossary lists, in alphabetical sequence, the terms that you will find in the Vestima documentation together with a brief description of each.

Administrator

A system administrator who defines Vestima access permissions for local users. System administrators do not have access to the Vestima trading or routing system.

Agent

An Agent operates on behalf of someone. Examples of agents are Order Handling Agent, Settlement Agent.

Archive

A Vestima service that provides a store of past orders and past reports (more than 13 months old) with extensive search facilities.

CBF, CBL

Clearstream Banking AG, Frankfurt; Clearstream Banking S.A., Luxembourg.

CFCL

Clearstream Fund Centre S.A., Luxembourg.

Central Facility for Funds (CFF)

CBL's post-trade infrastructure designed to provide greater efficiency and cost-effectiveness in the settlement and custody processes. The advantages of CFF are available to all clients of CBL.

Clearstream Depository

The institution/organisation where CBL deposits securities on behalf of clients.

Confirmation

The confirmation of the order details provided by the OHA once the deal has been priced. This is the equivalent of a contract note.

Custodian (Place of Safekeeping)

The place where fund shares are to be deposited or withdrawn.

- When the OI (or OHA) is a Clearstream Banking account holder, the custodian is Clearstream Banking.
- When the OI (or OHA) is not a Clearstream Banking account holder, the custodian is the institution that performs settlement and to which Vestima can optionally issue settlement instructions.

Client

In Vestima terminology, a client is a distributor or an investor acting as OI for its own account or on behalf of another investor.

Event Console

An area on the right of the Vestima screen that gives a user a quick overview of the progress of orders (number of orders filtered by status).

Fund Manager

The organisation responsible for constructing and making portfolio decisions for the assets of an investment fund.

FPG

Fund Processing Group: allow a client to identify the default order routing venue/ complexity of the fund as follows:

- "Vestima": mutual funds - highly automated;
- "No Order Routing" - only custody and settlement are supported;
- "Ineligible" - ISIN is non-qualified in CBL.

Internal user

A Clearstream Banking administrator with permissions to act, under strict guidelines, on behalf of the OI or the OHA.

Manual settlement option

A settlement option whereby Vestima does not generate any settlement instructions. When the default is set to the OI depository, the manual settlement option cannot be overridden to use the STP settlement option.

Master Participant

A Vestima Participant that can act on behalf of target Participants within the same organisation.

Order (Subscription, Redemption, Switch)

One of the three types of order initiated by the client (OI):

- A subscription is an order to buy or invest in a fund.
- A redemption is an order to sell a holding of a fund.
- A switch is an order to redeem one fund (the "sell" leg) and use the proceeds for one or more subscriptions in one or more other funds (the "buy" leg).

Order Handling Agent (OHA)

The OHA is an organisation that receives orders from an OI through Vestima (equivalent of the Order Receiver). Can be an agent appointed by the fund to process primary market fund orders (for example, TA) or a broker-dealer that provides ETF secondary market trade execution service on Vestima.

Order Issuer (OI)

An organisation that buys and sells shares directly from the fund or its agent, for their own account or on behalf of other investors.

Participant

An organisation or individual that uses Vestima.

Participant Reference Data

See Profile.

Past Order, Past Report

An order (or a report) that was created more than 13 months ago. Past orders and reports are stored in the Archive, where they can be searched for and displayed in detail.

Permissions

The permissions (that is, access and permitted activities in the areas of, for example, Reporting or User Management) associated with a user group. Users who are members of this group can be individually

defined to use all or some of the permissions defined for the group. (See the Vestima Installation and System Administration Guide for more information).

Place of Safekeeping

See Custodian.

Place of Settlement

The institution in whose books the transaction will occur (for example, Clearstream, CBF, Euroclear). The Place of Settlement determines some of the business rules for the transaction.

Portfolio

A set of OI preferences that apply to a selection of funds that will be deposited at a particular custodian to be used by Vestima when processing orders. An OI may have several portfolios. When entering a new order, the OI specifies the portfolio that Vestima is to use. The portfolio includes the trading and settlement chains that apply to the trades in that portfolio.

Primary Market

Where funds are purchased directly from the issuers and the trades are handled by transfer agents.

Profile (Participant Reference Data)

Information about the participant and its business processes that is used for setting up and customising Vestima services.

Query (Search, ad-hoc report)

A request for information, based on criteria entered via a user interface, whose results are presented on the screen in a list view. Results can be exported in CSV format.

Report Receiver (RR)

An institution that can retrieve information from Vestima but can take no action on orders or cancellation requests.

Scheduled reports

Report files delivered by Vestima on a regular basis and according to the frequency set up in a report subscription. These reports are available via the web browser interface.

Settlement agent

An agent appointed by the OI or the OHA to execute the settlement of fund orders on their behalf.

Settlement chain

A set of data required to identify the custodian, place of settlement, cash correspondent and other intermediaries.

STP settlement option

Straight-through processing: A settlement option whereby the participant is requesting Vestima to generate settlement instructions (no manual intervention). On an individual order basis, the STP settlement option, when set as the default of a portfolio, can be overridden to use the manual settlement option.

Swift

Society for Worldwide Interbank Financial Telecommunication, a provider of communications between financial institutions.

TA

TA Transfer Agent: A financial institution appointed by an investment fund to process orders in fund shares and to maintain the register of shareholders as applicable. The Transfer Agent will generally process corporate actions and dividend payments based on information received from the fund administration. The Transfer Agent may also calculate and pay commissions.

Trading chain (TC)

A Trading Chain is a relationship between a Vestima OI, a Portfolio of this OI and an OHA. The trading chain contains the trading parties information, allowing the OHA to identify the investors.

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