

# Xact File Transfer via Internet

## **User Guide**

# Xact File Transfer via Internet

## User Guide

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# User guide

## Foreword

Xact File Transfer via Internet allows customers to:

- send batches of instructions (instruction files) to Clearstream Banking for clearing and settlement processing,
- receive report files from Clearstream Banking that can be automatically scheduled and delivered to pre-determined folders;
- receive available documents (prospectuses, other definitive documents for stand-alone securities, or pricing supplements for program-linked securities) online requested via the Xact Web Portal or CreationOnline Reference Data query function.,

from their desktop via the public internet.

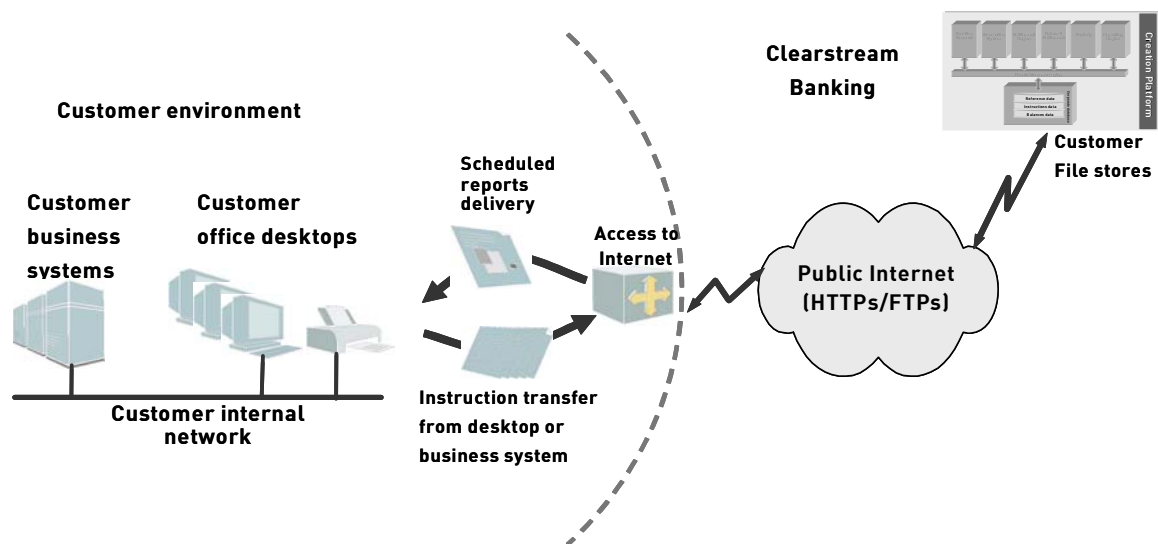
## Summary of Xact File Transfer via Internet

Xact File Transfer via Internet is a workstation-based file transfer service that provides you with an easy to use and efficient means of sending instructions and retrieving reports.

Instruction files are sent via the dedicated web site [https:// www.cdinternet.com](https://www.cdinternet.com) to Clearstream Banking where they are stored in a customer-specific area (the "filestore"). They are then immediately transferred to the Creation platform for clearing and settlement. Reports generated by the Creation platform are stored in the filestore from where you can browse them or save them locally.

Xact File Transfer via Internet is an efficient, secure and reliable file transfer connectivity solution. When used with Xact Web Portal or CreationOnline, it gives you the benefits of enhanced instruction life cycle monitoring, on-line queries, exception handling and large-volume reporting providing accurate, real-time information on the status of any instruction at any time.

The diagram below shows a typical network design associated with the Xact File Transfer via Internet service:



## Xact File Transfer via Internet technology

The key objective of the Xact File Transfer via Internet service is to provide a file transfer service to your desktop. By using the Secure Sockets Layer (SSL) over the secure HyperText Transfer Protocol (HTTPs), Xact File Transfer via Internet is a highly secure service that is accessible from your desktop, provided that you have access to the public internet from a web browser.

## Xact File Transfer via Internet filestores

Each Xact File Transfer via Internet customer requires at least one filestore. A filestore is a customer folder on the Xact File Transfer via Internet system which contains four sub-folders. The four sub-folders are used to:

- upload and send instruction files to Clearstream for processing;
- upload and send a list of securities for the Corporate Action Reference Data Report;
- view or download previously sent instruction files;
- view or download generated customer scheduled reports;
- view or download Terms and Conditions documents.

Each filestore is assigned a unique Xact File Transfer via Internet delivery address. Additional filestores can be set up for reports or for instructions, or for both.

Filestores are created either by:

- A CreationOnline OU Administrator completing a request with the details of the address screen: this is accessed from the CreationOnline navigation panel, under “CreationDirect Management/Settings”, or
- When the first Xact File Transfer via Internet user for a customer is created: if the CreationOnline OU Administrator does not specifically request a filestore, a default filestore will be generated and configured with the pre-set values when the customer’s initial Xact File Transfer user is generated.

**Note:** Filestores and users cannot currently be created in Xact Web Portal.

The pre-set values for filestores are:

- Enabled for both instructions and reports;
- Compression is disabled;
- ISO Reporting File Header/Trailer - ON;
- All Clearstream Banking customer accounts are available for instruction processing;
- All OU and financial institution accounts are available for selection when creating reporting schedules.

Filestores are named WEBXXXXXXX

**Note:** Clearstream Banking reserves the right to verify with customers if multiple filestores are required.

## Scheduling reports via Xact Web Portal and CreationOnline

All reports available through Xact File Transfer via Internet can be scheduled using Xact Web Portal or CreationOnline. For details of report scheduling via Xact Web Portal or CreationOnline, please refer to the Clearstream Banking Xact Web Portal User Manual or CreationOnline User Manual and the online help provided within Xact Web Portal and CreationOnline.

## Instruction and report formats supported by Xact File Transfer via Internet

You can send

- non-compressed ISO 15022 formatted instruction files with the filename extension .iso;
- compressed instruction files with the filename extension .gz;
- .csv files with a list of securities for the Corporate Action Reference Data Report.

to Clearstream Banking using Xact File Transfer via Internet.

The following report formats are supported by Xact File Transfer via Internet.

- PDF (Portable Document Format) allows you to receive business information in a printable report format. PDF reports can be viewed, printed, and archived.
- XML (eXtensible Mark-up Language) format that allows you to integrate your reports into internal business applications for reconciliation and other purposes. For instance, in Microsoft Excel (version 2002 or later), it is possible to develop a macro to analyse and use the content of reports.
- ISO format is also used in Xact via SWIFT. Xact via SWIFT is the Clearstream connectivity solution that is based on the underlying SWIFTNet FIN service.
- TXT format is supported for Triparty Repo reports.
- TIF, ZIP, DOC and TXT formats are supported for Terms and Conditions.

## Using Xact File Transfer via Internet

This section details the steps and procedures that CreationOnline OU administrators and end users must follow in order to use the Xact File Transfer via Internet service.

The main steps for OU administrators are:

- requesting the setting up of Xact File Transfer via Internet delivery address(es) and filestore(s);
- creating a Xact File Transfer via Internet user;
- releasing a user's set-up request;
- generating a user's Xact File Transfer via Internet certificate;

The main steps for end users are:

- installing a Xact File Transfer via Internet user certificate in order to access the service;
- accessing Xact File Transfer via Internet;
- sending instruction files and list of securities files;
- retrieving reports and documents.



## Setting up Xact File Transfer via Internet - CreationOnline OU administrator tasks

### Requesting a Xact File Transfer delivery address and filestore

At least one delivery address and filestore is required for instruction files to be sent to Clearstream Banking for processing. Scheduled reports can be accessed and downloaded when they become available.

To request a delivery address, the OU Administrator must:

- Select **Settings** from the Xact File Transfer Management menu from the navigator of CreationOnline. Select **Creation CDI address** from the **Action** menu. The following window is displayed:

The screenshot shows the 'Settings' window for 'CreationDirect via Internet'. The left sidebar contains a navigation menu with 'Settings' selected. The main content area has the following fields:

- Channel**: \* CreationDirect via Internet (dropdown)
- Address**: Radio buttons for Reporting, Instruction Input, and Both. A text input field for 'Address' and a 'Description (Optional)' field are also present.
- Reporting Compression**: Radio buttons for No (selected) and Yes.
- Header/Trailer ISO Reporting**: Radio buttons for No and Yes (selected).
- Giovannini Header**: Radio buttons for No (selected) and Yes.

At the bottom, there are three tabs: 'CreationDirect Address' (selected), 'CreationDirect Input', and 'CreationDirect Reporting'. 'Submit', 'Reset', and 'Discard' buttons are at the bottom right.

- Complete the required address configuration.

To activate Xact File Transfer via Internet for instruction input select the radio button **Instruction input** or **Both**. You must specify which accounts are to be authorised for cash and securities instructions. To select these accounts, click on the **CreationDirect Input** tab. The following is displayed:

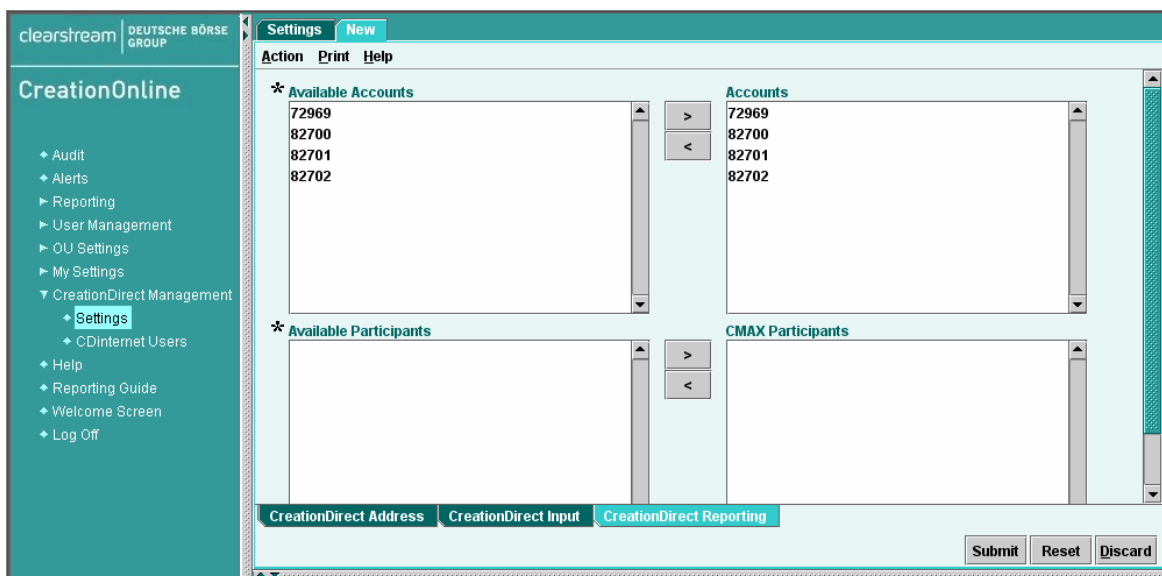
The screenshot shows the 'Settings' window for 'CreationDirect Input'. The left sidebar is the same as in the previous screenshot. The main content area has the following fields:

- \* Available Accounts**: A list box containing 72969, 82700, 82701, and 82702.
- Cash Input Accounts**: A list box containing 72969, 82700, 82701, and 82702.
- \* Available Accounts**: A second list box containing 72969, 82700, 82701, and 82702.
- Securities Input Accounts**: A list box containing 72969, 82700, 82701, and 82702.

At the bottom, there are three tabs: 'CreationDirect Address', 'CreationDirect Input' (selected), and 'CreationDirect Reporting'. 'Submit', 'Reset', and 'Discard' buttons are at the bottom right.

- Select and highlight each account in the list of available accounts that are to be made available for cash instruction input.
- Click the right arrow button to copy the selected accounts to the list of selected Cash Input Accounts.
- Select and highlight each account in the list of available accounts that are to be made available for securities instruction input.
- Click the right arrow button to copy the selected accounts to the list of selected Securities Input Accounts.

To activate Xact File Transfer via Internet for Reporting and for CmaX participants, you must select which accounts are to be authorised for Reporting and CmaX participants. To select these accounts, click on the **CreationDirect Reporting** tab. The following is displayed:



- Select and highlight each account in the list of Available Accounts that are to be made available for Reporting.
- Click the right arrow button to copy the selected accounts to the list of Accounts.
- Select and highlight each account in the list of Available Participants that are to be made available for CmaX.
- Click the right arrow button to copy the selected accounts to the list of selected Securities Input Accounts.
- Click on **Submit** to send the request for the Xact File Transfer delivery address and input account authorisation to Clearstream Banking.
- The following is displayed:



- Select **Yes** to print the request. Select **No** if no printed record is required.

The requested delivery address and filestore will be created and configured within one or two days, on average.

**Note:** If the requested filestore is either for reports only or for both reports and instructions, a WEB-prefixed delivery address is setup for it in the Report Scheduling area of Xact Web Portal or CreationOnline.

If the requested delivery address is for instructions only, it will be completed when the first user's credentials for Xact File Transfer via Internet are created.

## Creating Xact File Transfer via Internet users

All Xact File Transfer via Internet users are created by means of CreationOnline by the OU administrator.

- Select **Users** in the CreationOnline navigation panel, under **CreationDirect Transfer Management**.
- Select **Create** from the **Action** menu. The Create New CDInternet User tab is displayed:

The screenshot shows the 'Create New CDInternet User' form in the Clearstream Banking CreationOnline system. The form is titled 'Users' and 'Create New CDInternet User'. It has a navigation menu on the left with options like Audit, Alerts, Reporting, User Management, OU Settings, My Settings, CreationDirect Management, Settings, Users, Log Off, and Help. The main form area contains the following fields:

|                                |   |                             |
|--------------------------------|---|-----------------------------|
| User First Name                | * | Clive                       |
| User Surname                   | * | Cherry                      |
| User ID                        | * | ccherry                     |
| Telephone (incl. country code) |   | 352 11 22 33 44             |
| Fax (incl. country code)       |   | 352 11 22 33 55             |
| Email                          |   | ccherry@clearstream.com     |
| Channel                        | * | CreationDirect via Internet |
| Address                        | * | WEBTestCDI01                |

At the bottom of the form, there are three buttons: Submit, Reset, and Discard.

- Complete all relevant details in the fields on the Create New CDInternet User tab and click **Submit**.
- Now release the request for the new user to Clearstream Banking as described below

**Note:** For each separate Xact File Transfer via Internet user:

- Select an existing Xact File Transfer delivery address in the **Address** field if one or more Xact File Transfer delivery addresses have been set up for an OU; or  
If no Xact File Transfer delivery address exists, a default Xact File Transfer delivery address will be created and assigned to the new user. **Default** is shown in the **Address** field.

## Releasing a request for setting up a new user

To release a request for setting up a new user to Clearstream Banking:

- Select **Refresh** from the **Action** menu to view the newly created user.
- Highlight the newly created user. The user will have the status **Confirmed Profile**.

| Users   |              |                |                             |                |             |               |              |
|---------|--------------|----------------|-----------------------------|----------------|-------------|---------------|--------------|
| Action  | List         | Help           | 1-50 of 160 10:51 CE        |                |             |               |              |
| User ID | User Surname | User Firstname | Status                      | Last Update    | Expiry Date | Serial Number | Address      |
| ccherry | Cherry       | Clive          | Confirmed Profile           | 06.04.05 09:11 |             |               | WEBTestCDI01 |
| cx      | Xavier       | Charles        | Pending New                 | 05.04.05 16:21 |             |               | WEBX236001   |
| d       | Douglas      | Fernand        | Pending New                 | 06.04.05 10:36 |             |               | WEBX236001   |
| ds      | Dougal       | Stephanie      | Pending Credential Creation | 05.04.05 16:35 |             |               | WEBX236001   |

- Select **Release** from the **Action** menu.
- Click **Yes** to release the user's details to Clearstream Banking.
- Select **Refresh** from the **Action** menu to view the newly created user. The user will now have the status **Configuration in Progress** (see below).

| Users   |              |                |                             |                |             |               |              |
|---------|--------------|----------------|-----------------------------|----------------|-------------|---------------|--------------|
| Action  | List         | Help           | 1-50 of 160 10:51 CET       |                |             |               |              |
| User ID | User Surname | User Firstname | Status                      | Last Update    | Expiry Date | Serial Number | Address      |
| ccherry | Cherry       | Clive          | Configuration in Progress   | 06.04.05 09:11 |             |               | WEBTestCDI01 |
| cx      | Xavier       | Charles        | Pending New                 | 05.04.05 16:21 |             |               | WEBX236001   |
| d       | Douglas      | Fernand        | Pending New                 | 06.04.05 10:36 |             |               | WEBX236001   |
| ds      | Dougal       | Stephanie      | Pending Credential Creation | 05.04.05 16:35 |             |               | WEBX236001   |

**Note:** If the 4-eyes principle is enabled, a second OU Administrator must also perform the above release process for each new user.

When each request for setting up a new user is released, an internal user configuration process is run in Clearstream Banking.

## Creating Xact File Transfer via Internet user credentials

When the internal setup process in Clearstream Banking is complete, normally within one or two days, a CreationOnline alert is sent to the customer and displayed in the CreationOnline alert panel, as below:

| Alert Level | Creation Time  | Link                          | Description                      | Category                    | User ID   | Narrative                      | Acc |
|-------------|----------------|-------------------------------|----------------------------------|-----------------------------|-----------|--------------------------------|-----|
| YAR         | 05.04.05 16:49 | <a href="#">User: ccherry</a> | CDi User configuration completed | CD via Internet Credentials | TISuser01 | Please Create User Credentials |     |
| YAR         | 05.04.05 16:35 | <a href="#">User: e</a>       | CDi User configuration completed | CD via Internet Credentials | TISuser01 | Please Create User Credentials |     |
| YAR         | 05.04.05 16:35 | <a href="#">User: dsf</a>     | CDi User configuration completed | CD via Internet Credentials | TISuser01 | Please Create User Credentials |     |
| YAR         | 05.04.05 16:35 | <a href="#">User: ew</a>      | CDi User configuration completed | CD via Internet Credentials | TISuser01 | Please Create User Credentials |     |

This message informs the OU Administrator that the user's Xact File Transfer via Internet credentials can now be created. To create user credentials:

- Select **Users** in the CreationOnline navigation panel, under **CreationDirect Management**.
- Select **Refresh** from the **Action** menu to show a list of the created users in the Users list view.
- Highlight the newly created user in the Users list view. The user will have a status of Pending Credential Creation.
- Select **Create Credentials**.

| Users              |        |       |            |                              |                |  |              |
|--------------------|--------|-------|------------|------------------------------|----------------|--|--------------|
| Action             | List   | Help  |            |                              |                |  |              |
| Query              | Strg-Q |       | 0          | Pending New                  | 05.04.05 16:22 |  | WEBX236001   |
| Refresh            | Strg-R |       | 1          | Pending New                  | 04.04.05 14:00 |  | WEBX236001   |
| Create             | Strg-N |       | 1          | Pending Credentials Creation | 05.04.05 15:50 |  | WEBX236001   |
| View               | Strg-D |       | 435rtet    | Pending New                  | 05.04.05 16:24 |  | WEBX236001   |
| Delete             |        |       | 3          | Pending New                  | 05.04.05 16:28 |  | WEBX236001   |
| Release            |        |       | 324        | Pending New                  | 05.04.05 16:22 |  | WEBX236001   |
| Revoke             |        |       | 324324     | Pending New                  | 05.04.05 16:22 |  | WEBX236001   |
| Modify             |        |       | 43543      | Pending New                  | 05.04.05 16:25 |  | WEBX236001   |
| Confirm            |        |       | 2          | Pending Deleted              | 04.04.05 14:29 |  | WEBX236001   |
| Reject             |        |       | 567        | Pending New                  | 05.04.05 16:24 |  | WEBX236001   |
| Create Credentials |        |       | 43545t     | Configuration in Progress    | 05.04.05 16:31 |  | WEBX236001   |
| Confirm deletion   |        |       | 34543      | Configuration in Progress    | 05.04.05 16:31 |  | WEBX236001   |
|                    |        |       | 5          | Configuration in Progress    | 05.04.05 16:31 |  | WEBX236001   |
|                    |        |       | 456456     | Configuration in Progress    | 05.04.05 16:31 |  | WEBX236001   |
|                    |        |       | 9809805646 | Configuration in Progress    | 05.04.05 16:31 |  | WEBX236001   |
| ccherry            | Cherry | Clive |            | Pending Credentials Creation | 05.04.05 16:49 |  | WEBTestCDI01 |

- Select **Yes** to the prompt "Are you sure you want to create credentials for selected user(s)?".
- On the **Users** tab, sweep your mouse pointer in any/all directions at random across the open entropy area until the associated progress bar reaches 100%.
- Enter your own OU Administrator password and then the new password for the user whose credentials you are creating and confirm this by entering the same password in the next field.
- Select **Submit** to establish the user's credentials and password.
- Specify a unique file name and location for the credentials that you have created.
- Click **OK** to confirm creation of the Credential file.
- Select **Refresh** from the **Action** menu.

| Users  |      |      |             |               |                |                             |                       |
|--------|------|------|-------------|---------------|----------------|-----------------------------|-----------------------|
| Action | List | Help |             |               |                |                             |                       |
|        |      |      |             |               |                |                             | 1-50 of 160 10:51 CET |
|        |      |      | User ID     | User Surname  | User Firstname | Status                      | Last Update           |
|        |      |      | Expiry Date | Serial Number | Address        |                             |                       |
|        |      |      | ccherry     | Cherry        | Clive          | Activated                   | 06.04.05 09:11        |
|        |      |      | 06.04.07    | 42538be8      | WEBTestCDI01   |                             |                       |
|        |      |      | cx          | Xavier        | Charles        | Pending New                 | 05.04.05 16:21        |
|        |      |      | d           | Douglas       | Fernand        | Pending New                 | 06.04.05 10:36        |
|        |      |      | ds          | Dougal        | Stephanie      | Pending Credential Creation | 05.04.05 16:35        |
|        |      |      |             |               |                |                             |                       |

- Highlight the created user. The user will have a status of Activated.  
The user credentials can now be used with Xact File Transfer via Internet.
- Make the newly created user credentials file and password available to the user concerned.  
This can be via e-mail or by saving the credential file to a file location on a local network that is accessible to the user. The method chosen should be secure.

## Setting up Xact File Transfer via Internet - end user tasks

### Installing user credentials

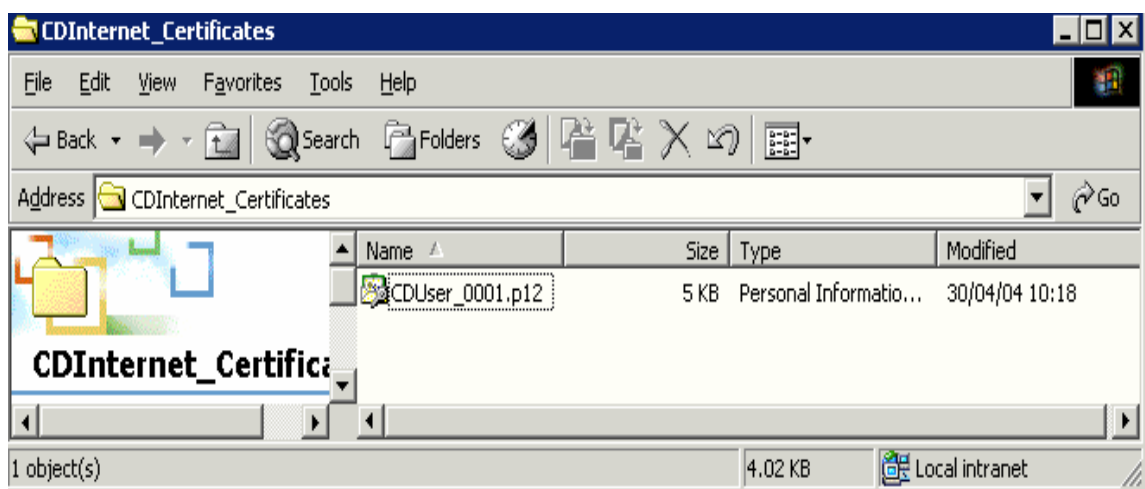
Each user of Xact File Transfer via Internet must install his (or her) user credentials in his (or her) browser in order to be able to use Xact File Transfer via Internet.

Each user's authentication certificate will have been generated by one of the CreationOnline OU administrators.

To install your certificate, you must have access to your Xact File Transfer via Internet credentials file.

The following steps guide you in installing your certificate in your browser.

- Open the file browser and locate the credential file or open your email with the attached credentials.



- Select and double click on the credentials file. This opens the relevant Windows folder either from the Windows file directory in which the OU Administrator has saved the certificate or from where you have access to the credentials file. (e.g. in an email attachment).

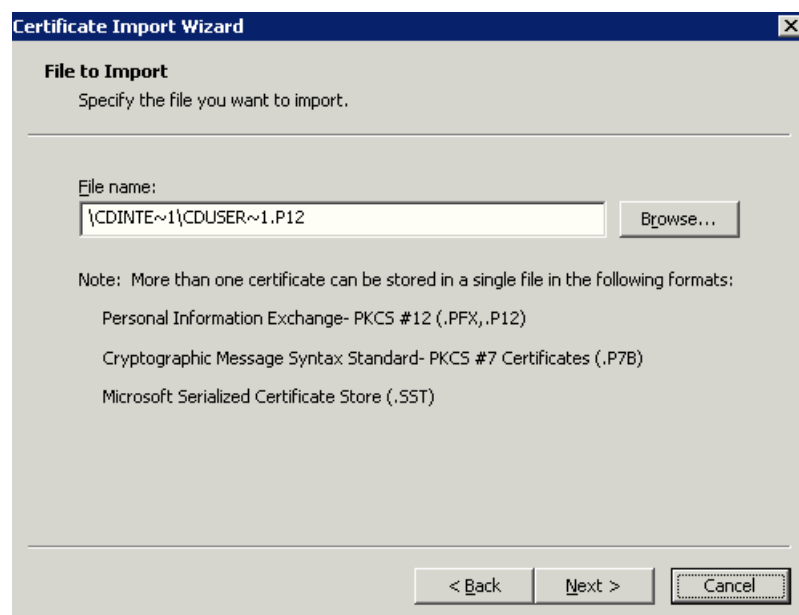
The Welcome to the Certificate Import Wizard window is displayed:



- Click on **Next**.

The File to Import window is displayed.

Select the name and path of the certificate file you wish to import. By default, this window shows the path of the certificate you selected in the previous step.



- Select file name and click on **Next**.

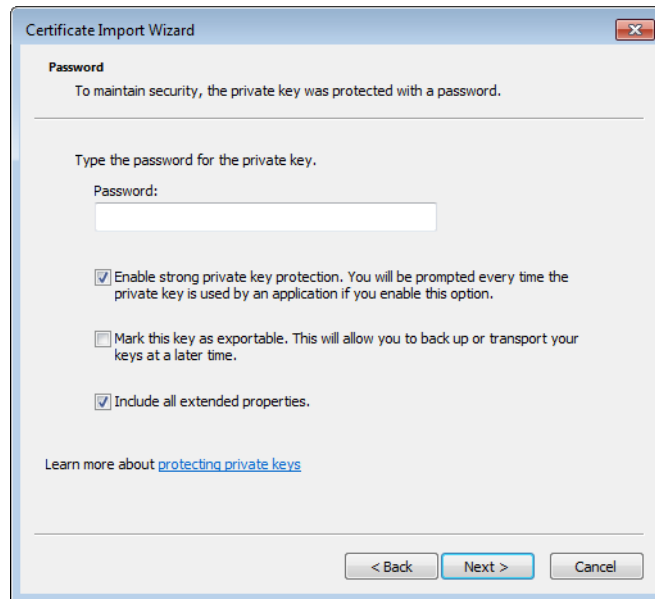
The Password window is displayed. Enter the password for your credentials (issued by your OU administrator).

For security reasons Clearstream recommends the settings shown below:

Select "Enable strong private key protection". You will be prompted by the browser if your private-key/certificate is used by an application or to make a connection.

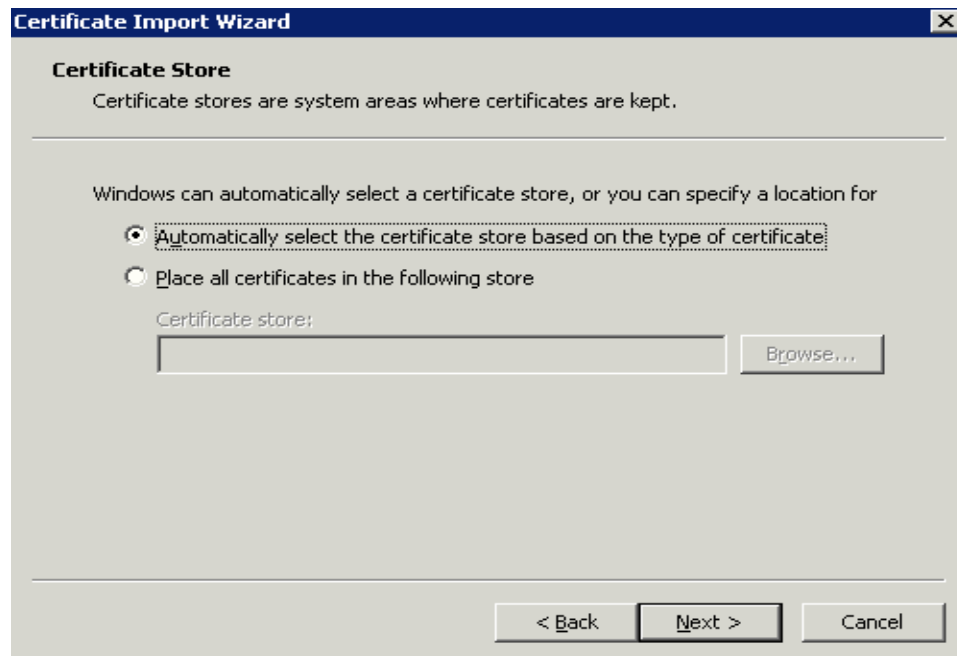


Unselect "Mark this key as exportable". You will not be able to extract the private-key/certificate from the browser again. Therefore please keep your original .p12 file in a safe place in case you need to import it again or on a different browser.



- Click on **Next**.

The Certificate Store window is displayed:



- Select where you wish to save the certificate.

**Automatically select the certificate store based on the type of certificate:** this option will store your certificate with the browser's default file system. This is the usual option selected for Xact File Transfer via Internet Certificates.

**Place all certificates in the following store:** this option allows you to choose where your certificate will be stored within the Windows file structure or Local Area network.

- Select desired location, and click on **Next**.

The Completing the Import Certificate Wizard window now appears.

This indicates that the import has been successful and shows the certificate settings you selected.



- Select **Finish** to complete the certificate import process.



- Click on **OK** on the "Import was successful" window, when it appears.

You have installed the Xact File Transfer via Internet certificate successfully and you can now access and use Xact File Transfer via Internet.

## Accessing Xact File Transfer via Internet

To access the Xact File Transfer via Internet web site, enter:

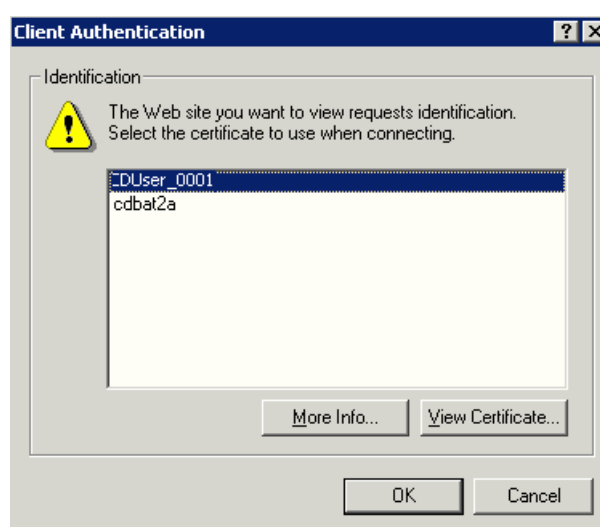
`https://www.cdinternet.com`

in the web browser address field.

You are authenticated automatically for using the Xact File Transfer via Internet certificate within your browser; no user-id or password is required.

If only one certificate is present in your browser, or if you selected during the import process to be prompted every time a key is used for an application, the browser will automatically use this certificate to authenticate your access to the Xact File Transfer via Internet service. Upon successful authentication, the Xact File Transfer via Internet main window is displayed.

If more than one certificate is stored in your browser, the following window requiring you to select a Xact File Transfer via Internet certificate is displayed:



- Select the appropriate authentication certificate. The name of the certificate is the user ID set by the CreationOnline Organisational Unit (OU) Administrator when submitting the request for the Xact File Transfer via Internet certificate.
- Click on **OK**

The browser will use the selected certificate to authenticate your access to the Xact File Transfer via Internet service. Upon successful authentication, the Xact File Transfer via Internet main window is displayed.

## Xact File Transfer via Internet main window



The Xact File Transfer via Internet main window shows the filestore that is available to you. The folder **Filestore** indicates the root level of the filestore.

The filestore contains five sub-folders:

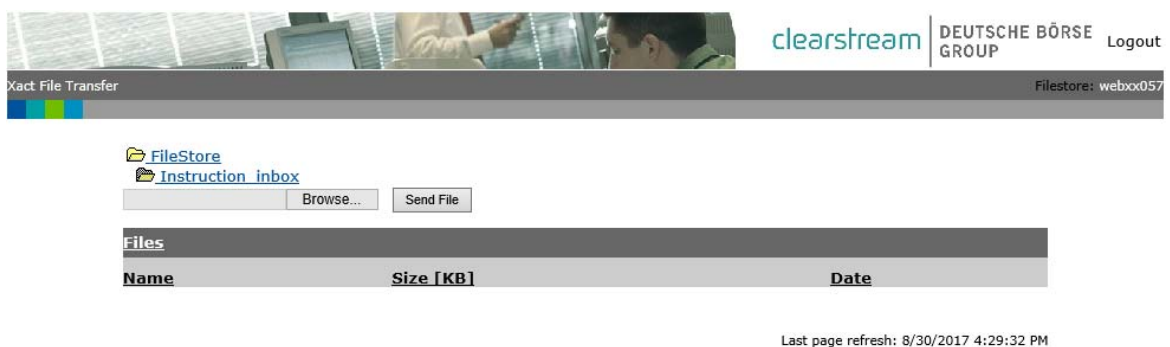
- Instruction\_inbox; instruction files to be sent to Clearstream Banking;
- Instructions\_sent; instruction files sent to Clearstream Banking for processing;
- Reports - reports that have been received from Clearstream Banking;
- Reports\_downloaded - reports that have been accessed by the customer;
- Terms and Conditions - Terms and Conditions documents received from Clearstream Banking.

## Sending instruction files

To send an instruction file to Clearstream Banking for processing:

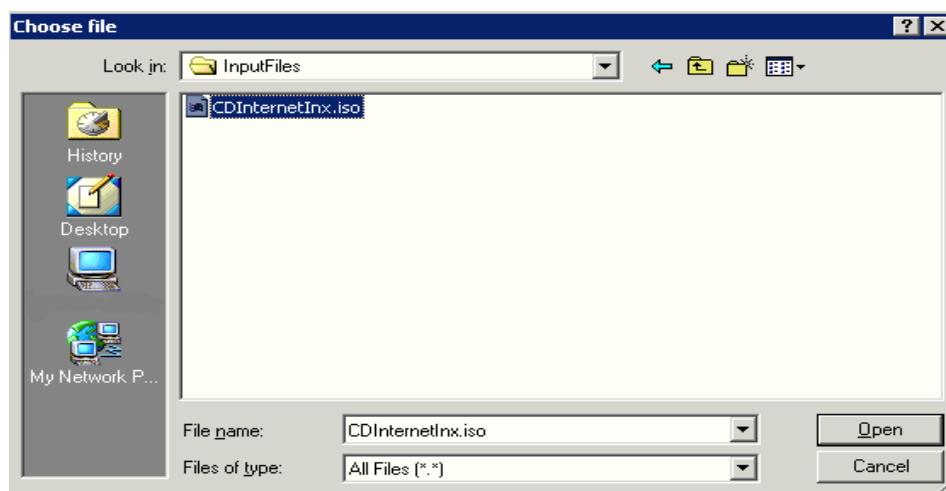
- Click on the Instruction\_inbox folder.

The Instruction\_inbox window is displayed.



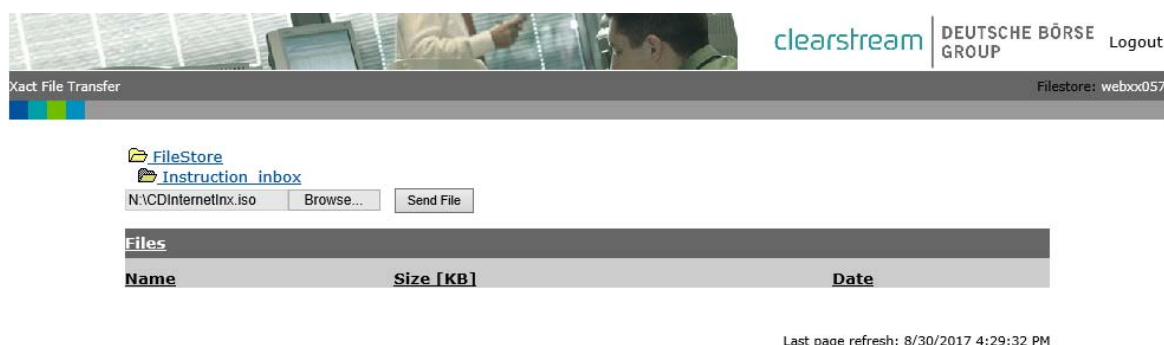
- Click on the **Browse** button.

The Windows file panel appears:



- Select the instruction file to be sent to Clearstream Banking for processing.  
(Only files with .iso and .gz file extensions will be accepted by Clearstream Banking for instruction processing. Files with .csv file extensions will be accepted for lists of securities for the Corporate Action Reference Data Report)
- Click on **Open**

The **Instruction\_inbox** folder appears with the instruction file name and path in the browser window.



- Click on **Send File**.

This will initiate the file transfer process and immediately send the instruction file to Clearstream Banking for processing. The internet explorer task bar will display the progress of the file transfer.

## File size

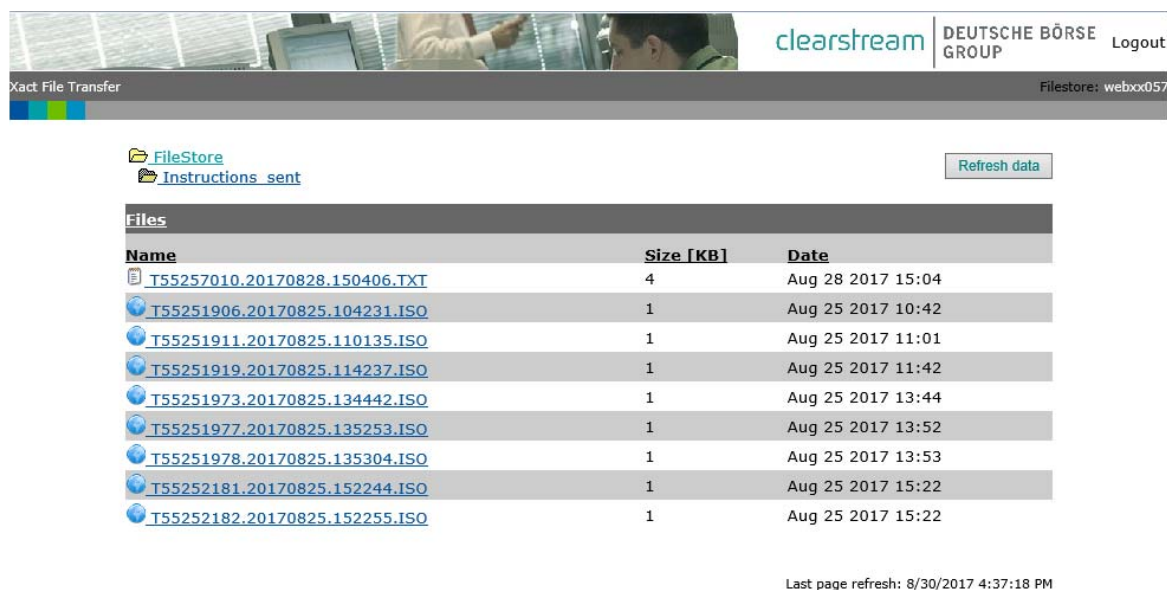
Instruction file sizes of up to one megabyte (approximately 1000 instructions) will be processed almost immediately.

- Files in excess of one megabyte may experience short delays in being delivered to Clearstream Banking.
- Files greater than 10 megabytes in size are not supported and may not be received correctly by Clearstream Banking.

After the file transfer process, the Xact File Transfer via Internet main window is again displayed.

## Verifying instruction files have been sent for processing

Instruction files sent to Clearstream Banking from the Instruction\_inbox for processing are copied in to the Instructions\_sent folder.



The screenshot shows the Xact File Transfer interface. At the top, there is a header with the Clearstream logo and 'DEUTSCHE BÖRSE GROUP' with a 'Logout' link. Below the header, the interface displays the 'FileStore' and 'Instructions\_sent' folder. A 'Refresh data' button is visible. The main content is a table of files with columns for Name, Size [KB], and Date. The files listed are:

| Name  | Size [KB] | Date              |
|---|-----------|-------------------|
| <a href="#">T55257010.20170828.150406.TXT</a> | 4         | Aug 28 2017 15:04 |
| <a href="#">T55251906.20170825.104231.ISO</a> | 1         | Aug 25 2017 10:42 |
| <a href="#">T55251911.20170825.110135.ISO</a> | 1         | Aug 25 2017 11:01 |
| <a href="#">T55251919.20170825.114237.ISO</a> | 1         | Aug 25 2017 11:42 |
| <a href="#">T55251973.20170825.134442.ISO</a> | 1         | Aug 25 2017 13:44 |
| <a href="#">T55251977.20170825.135253.ISO</a> | 1         | Aug 25 2017 13:52 |
| <a href="#">T55251978.20170825.135304.ISO</a> | 1         | Aug 25 2017 13:53 |
| <a href="#">T55252181.20170825.152244.ISO</a> | 1         | Aug 25 2017 15:22 |
| <a href="#">T55252182.20170825.152255.ISO</a> | 1         | Aug 25 2017 15:22 |

At the bottom right of the interface, it says 'Last page refresh: 8/30/2017 4:37:18 PM'.

The instruction file is renamed to a Clearstream processing standard. You can verify that your file has been sent by using the standard text viewing applications associated with the internet browser.

- Double click on the relevant file.  
The file will open and the contents will be displayed. After viewing them:
- Close the file. (This will close your browser and end your Xact File Transfer via Internet session);  
or
- Click on **Back** on the browser to return to your Xact File Transfer via Internet session.

Instruction files remain in the Instructions\_sent folder for five days after which they are archived by Clearstream Banking.

## Technical feedback file

A technical feedback file is created by the Creation platform for each instruction file sent for processing, indicating whether the instructions are syntactically correct and acceptable for processing. This file is available for retrieval in the Reports folder.

The format of the technical feedback file will be the same as the sent instruction file.

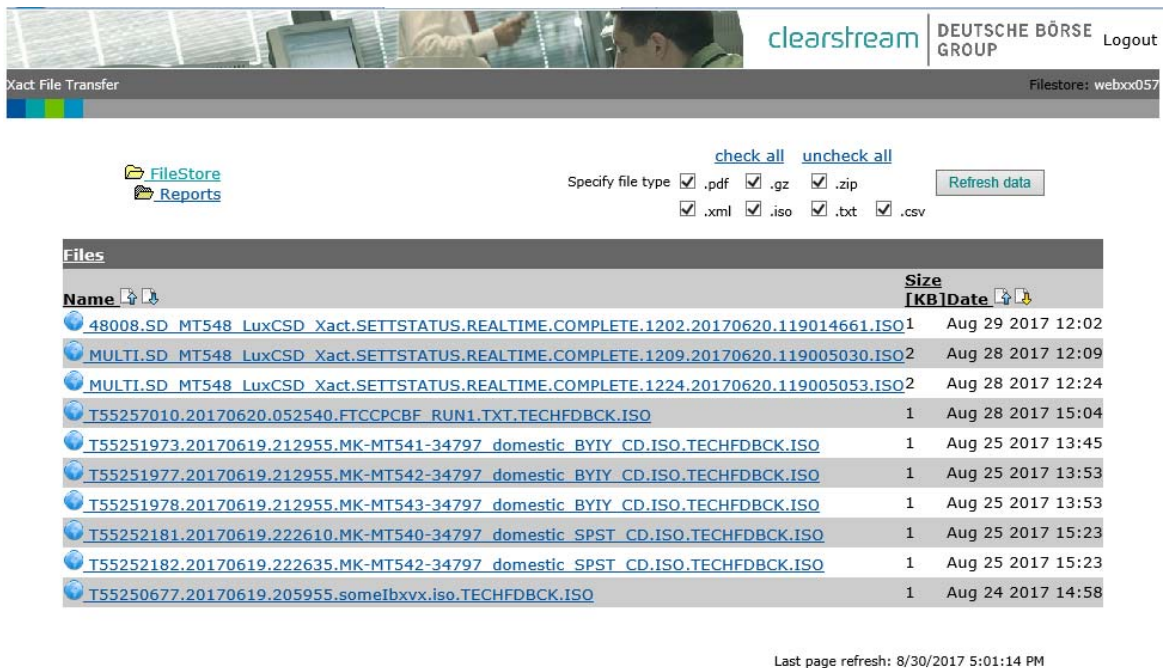
The structure of the technical feedback file is described in the publication "Xact File Transfer Data Interchange Specifications: ISO (SWIFT) and XML instruction and report file formats". This publication is available on the Clearstream Banking website.

## Reporting

Generated reports are placed in the Reports folder in date and time order and can be selected, viewed and saved locally. Reports remain in the Reports folder for five business days after initial generation. Such reports are then archived by Clearstream Banking and are available upon request.



- Click on the **Reports** folder to display the reports that have been created and are available for viewing or down loading.



Before attempting to view or download a report, you must specify the correct transfer mode for the specified report format by using **Specify report type**.

For viewing or downloading PDF reports or reporting files that have been compressed (.gz file extension),

- Select **Default**.

This sets the file transfer mode to Binary. PDF reports will not be able to be viewed or down loaded if the default setting is not selected.

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For viewing .xml, .txt, or .iso files,

- Select **Special**.

Although not critical for viewing only, for downloading .xml, .txt, and .iso reports, the 'Special' option should be selected, as it will preserve the file trailer information, essential for some systems, if the file is to be downloaded and processed by customer reconciliation systems.

## Viewing a report on-screen

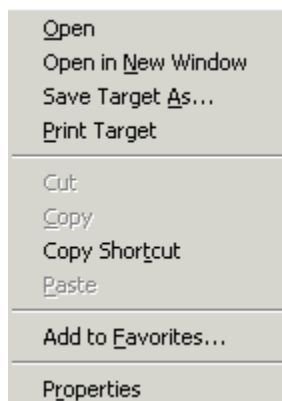
Select the report format for viewing or downloading.

- Click on the relevant file.
  - PDF files; Adobe Acrobat reader should be initiated and the selected PDF report displayed. PDF reports can then be saved directly to your Windows file directory by selecting save and saving the report file in the normal way using the Windows file system.
  - XML files will be displayed within the browser. XML files can also be saved directly to your Windows file directory by selecting save and saving the report file in the normal way using the Windows system process.
  - ISO files will be displayed within the browser. ISO reports can also be saved directly to a customer's Windows file directory by selecting save and saving the report file in the usual Windows system process.
  - TXT files will be displayed. TXT reports can also be saved directly to a customer's Windows file directory by selecting save and saving the report file in the usual Windows system process.

**Note:** If .pdf, .xml, .txt, or .iso report files are viewed, they are opened within the browser. Closing the report will also close your Xact File Transfer via Internet session.

If you wish to view reports and keep your Xact File Transfer via Internet session open, two easy options are available:

1. After viewing the report:
  - Click on the Backwards icon on the browser; or
  - Open the report from Xact File Transfer via Internet Reporting in a separate browser window:
2. Right click on the required report to be viewed on the Xact File Transfer via Internet Report folder



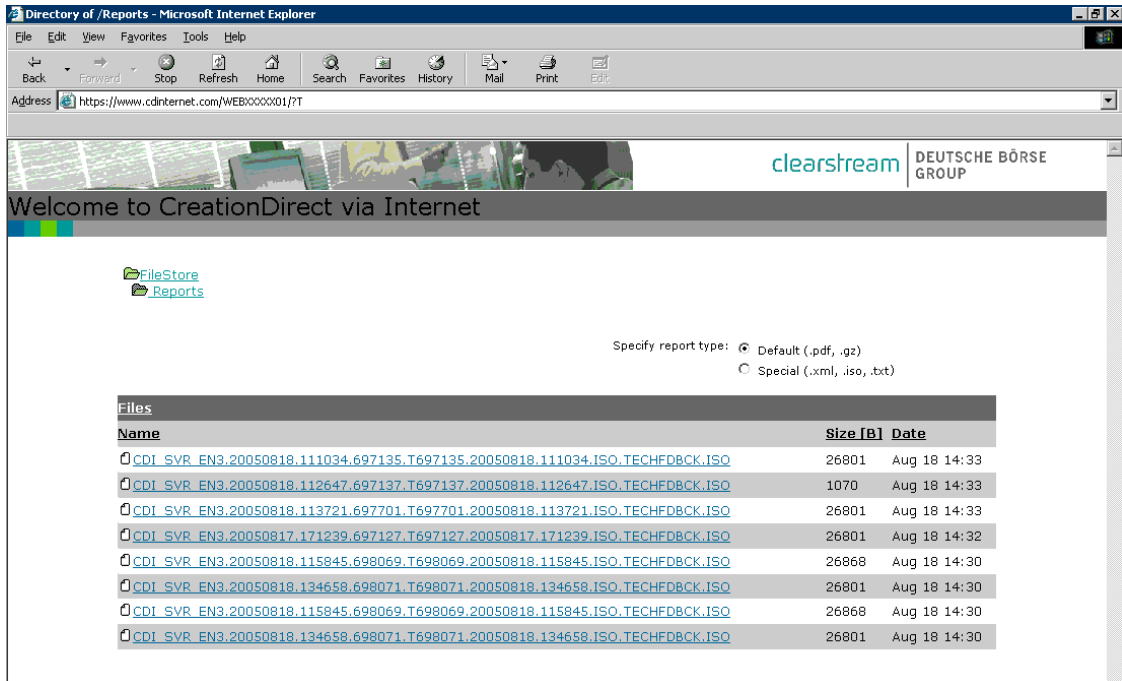
- Click on **Open in New Window**

Your report is displayed in a new browser window. This allows you to close your report and keep your Xact File Transfer via Internet session active in the initial browser window.



**Note:** GZ (compressed) files cannot be viewed on-screen. They must first be saved and then decompressed using a decompression application. E.g. WinZip, GNUZIP.

Technical feedback files are displayed in the browser and are in the same format as the original instruction file (either .iso or .gz.).

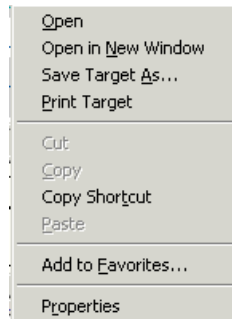


Please refer to the Data Input Screen for the naming convention.

## Downloading reports or saving reports locally

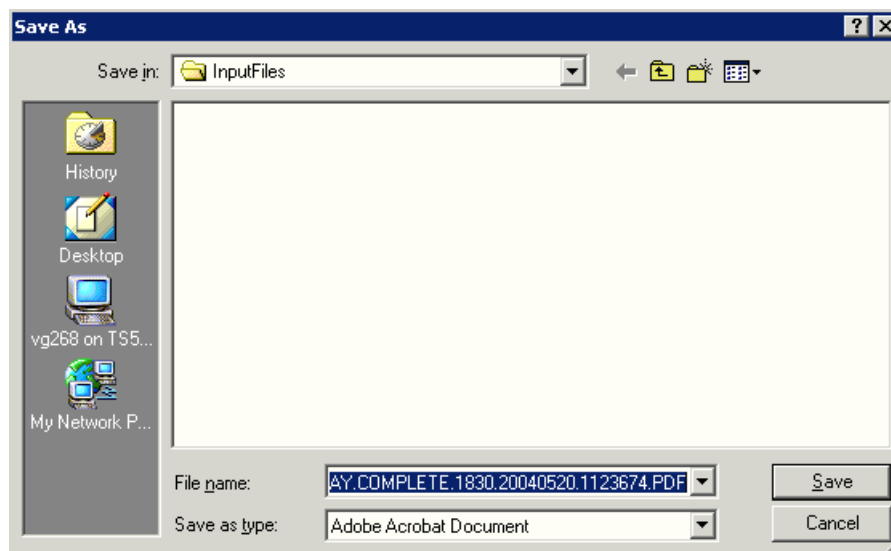
In order to download reports and save reports locally to your local Windows file system or local area network, a number of standard Windows desktop options are possible:

- Right click on the relevant file.



- Select Save Target As...

The Windows standard file system should appear allowing you to save the report to a Windows system file directory.



- Click on **Save** to save the report in the displayed Windows folder.
  - PDF files will be saved as Adobe Acrobat documents.
  - XML files will be saved as a XML document.
  - ISO files will be saved as a text document.

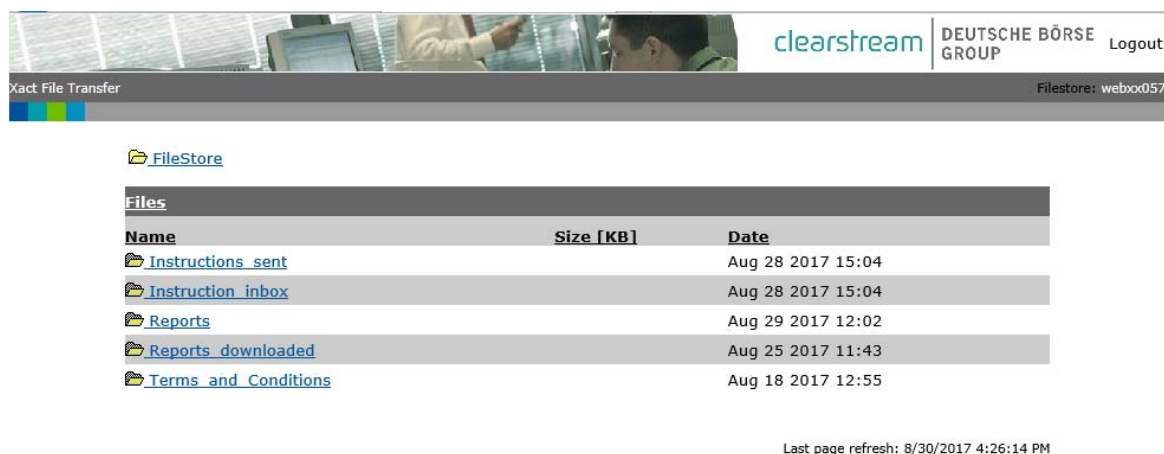
Report files can also be saved to your local Windows file directory or your local area network folders, directly after viewing them on-screen by selecting the save option as per a normal desktop application.

Clearstream Banking recommends that report files be made available locally to all users so that users can view them if the internet is not available.

## Terms & Conditions documents

Generated Terms & Conditions documents are placed in the Terms & Conditions folder in date and time order and can be selected, viewed and saved locally. Documents remain in the Terms & Conditions folder for five business days after initial generation.

- Click on the Terms & Conditions folder to display the reports that have been created and are available for viewing or downloading.



The screenshot shows the Xact File Transfer interface. At the top, there is a header with the 'clearstream' logo, 'DEUTSCHE BÖRSE GROUP', and a 'Logout' link. Below the header, the interface displays a file list for the 'FileStore' directory. The file list has columns for 'Name', 'Size [KB]', and 'Date'. The files listed are:

| Name                                 | Size [KB] | Date              |
|--------------------------------------|-----------|-------------------|
| <a href="#">Instructions sent</a>    |           | Aug 28 2017 15:04 |
| <a href="#">Instruction inbox</a>    |           | Aug 28 2017 15:04 |
| <a href="#">Reports</a>              |           | Aug 29 2017 12:02 |
| <a href="#">Reports downloaded</a>   |           | Aug 25 2017 11:43 |
| <a href="#">Terms and Conditions</a> |           | Aug 18 2017 12:55 |

At the bottom right of the interface, it says 'Last page refresh: 8/30/2017 4:26:14 PM'.

## Viewing a Terms & Conditions document on-screen

- Click on the relevant file.
  - PDF files; Adobe Acrobat reader should be initiated and the selected PDF document displayed. PDF documents can then be saved directly to your Windows file directory by selecting save and saving the report file in the normal way using the Windows file system.
  - TXT files will be displayed. TXT documents can also be saved directly to a customer's Windows file directory by selecting save and saving the document file in the usual Windows system process.
  - DOC files; Microsoft Word should be initiated and the selected DOC displayed. DOC files can then be saved directly to your Windows file directory by selecting save and saving the report file in the normal way using the Windows file system.

**Note:** If .pdf or .txt documents files are viewed, they are opened within the browser. Closing the report will also close your Xact File Transfer via Internet session.

If you wish to view documents and keep your Xact File Transfer via Internet session open, two easy options are available:

1. After viewing the document:
  - Click on the Backwards icon on the browser; or
  - Open the document from Xact File Transfer via Internet Reporting in a separate browser window:

2. Right click on the required document to be viewed on the Xact File Transfer via Internet Terms & Conditions folder

Click on Open in New Window

Your document is displayed in a new browser window. This allows you to close your document and keep your Xact File Transfer via Internet session active in the initial browser window.

## Downloading documents or saving documents locally

In order to download documents and save documents locally to your local Windows file system or local area network, a number of standard Windows desktop options are possible:

Right click on the relevant file.

Select Save Target As...

The Windows standard file system should appear allowing you to save the document to a Windows system file directory.

Click on Save to save the document in the displayed Windows folder.

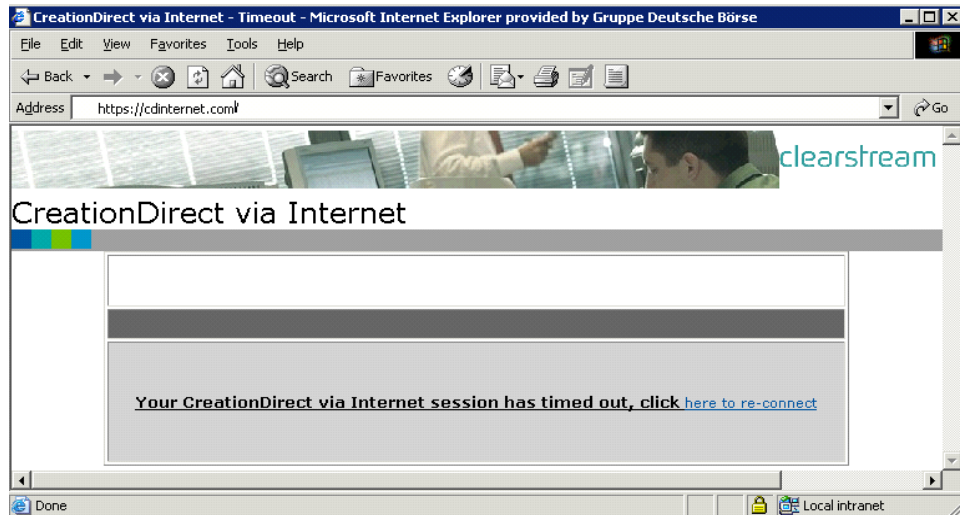
Document files can also be saved to your local Windows file directory or your local area network folders, directly after viewing them on-screen by selecting the save option as per a normal desktop application.

Clearstream Banking recommends that document files be made available locally to all users so that users can view them if the internet is not available.

## Miscellaneous information

### Session time-out

If you leave your Xact File Transfer via Internet session idle or unattended for five minutes, the session will time out. When you return to your last session, the window will change and the Xact File Transfer via Internet time-out window will be displayed.

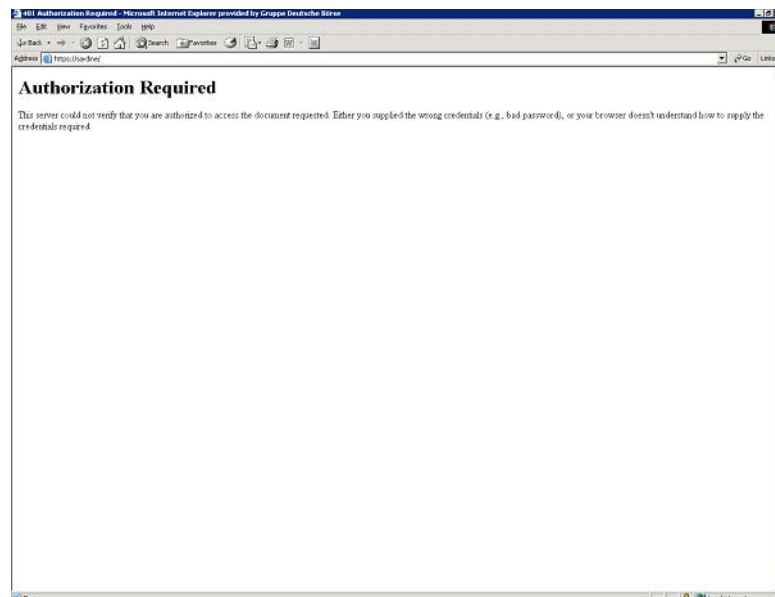


- Click on **here to re-connect**

This will return you to your Xact File Transfer via Internet session.

### Attempting to access Xact File Transfer via Internet with an invalid certificate

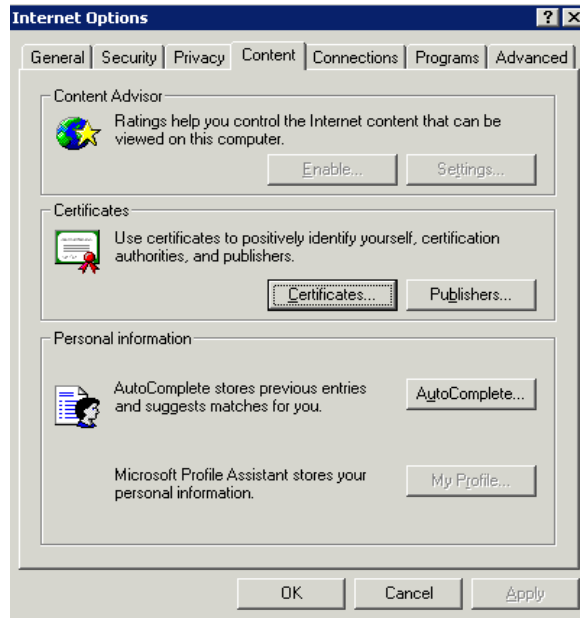
If you attempt to access the Xact File Transfer via Internet service with a certificate that was not specifically generated for the Xact File Transfer via Internet service, the following window will appear indicating you cannot access Xact File Transfer via Internet.



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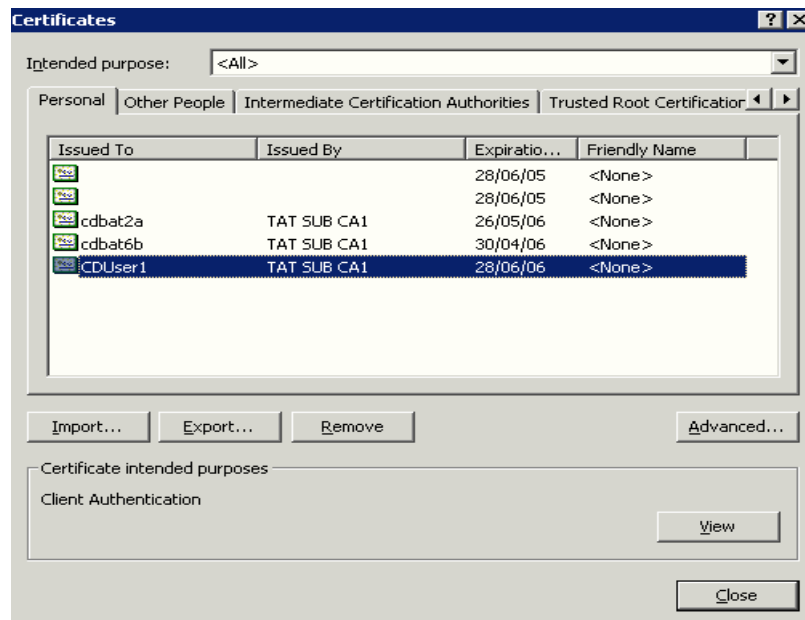
Please check the Certificate you are using to access Xact File Transfer via Internet.  
To view the details of your certificate please follow the proceeding steps.

- Start Internet Explorer and select **Tools - Internet Options**.

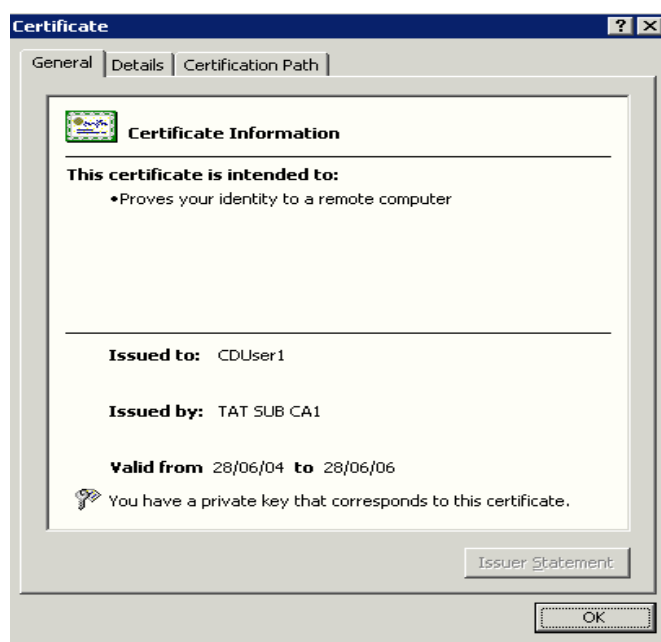


- Click on **Certificates** in the **Content** tab.

The following window will appear showing you the certificates installed in your browser.



- Select the relevant certificate and click on **View**.



The Certificate Information window will be displayed.

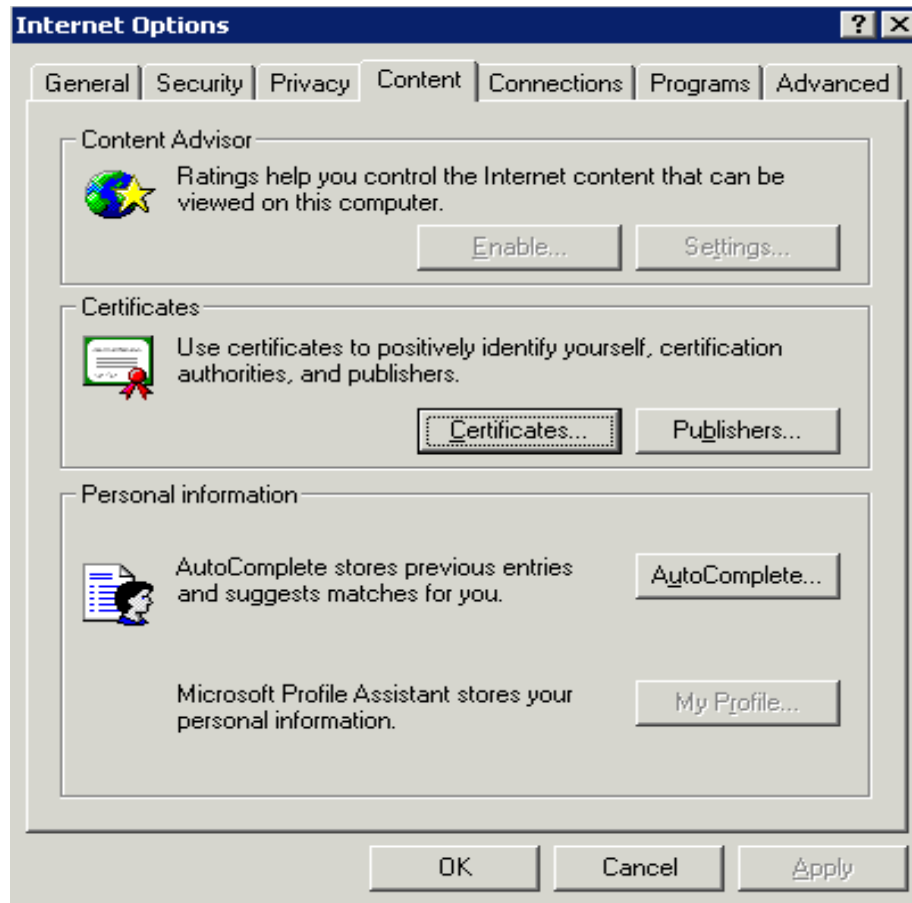
For a Xact File Transfer via Internet certificate the details are the following:

- **Issued to:** the user ID.
- **Issued by:** the issuing Certificate Authority. Xact File Transfer via Internet certificates are issued by Clearstream Banking.
- **Valid from:** the validity dates of the certificate. Xact File Transfer via Internet certificates are valid for two years from the issue date.

## Exporting a certificate for use by a Xact File Transfer via Internet user

The following steps explain how an OU Administrator who has imported a Xact File Transfer via Internet user's authentication certificate into his browser exports the certificate for use by a specific Xact File Transfer via Internet user:

- Start Internet Explorer and select **Tools → Internet Options**.

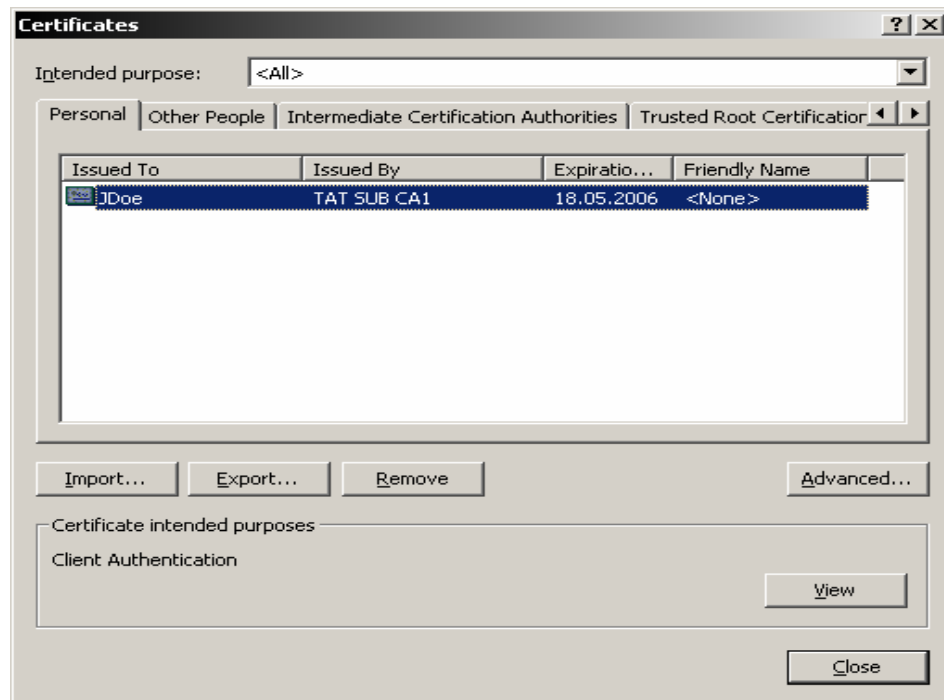


- Click on the **Content** Tab.
- Click on the **Certificates** Button.

A screen is displayed showing all the certificates installed in your browser. Note that it may contain more than one certificate. Other certificates shown may include those you have requested for other Xact File Transfer via Internet users, and may be certificates for other applications.

Authentication certificates for Xact File Transfer via Internet users will have the user ID that was entered in the initial request for the certificate under the heading **Issued To**.





- Select a certificate that relates to one of your Xact File Transfer via Internet users.
- Click on **Export**.

The following screen will appear.



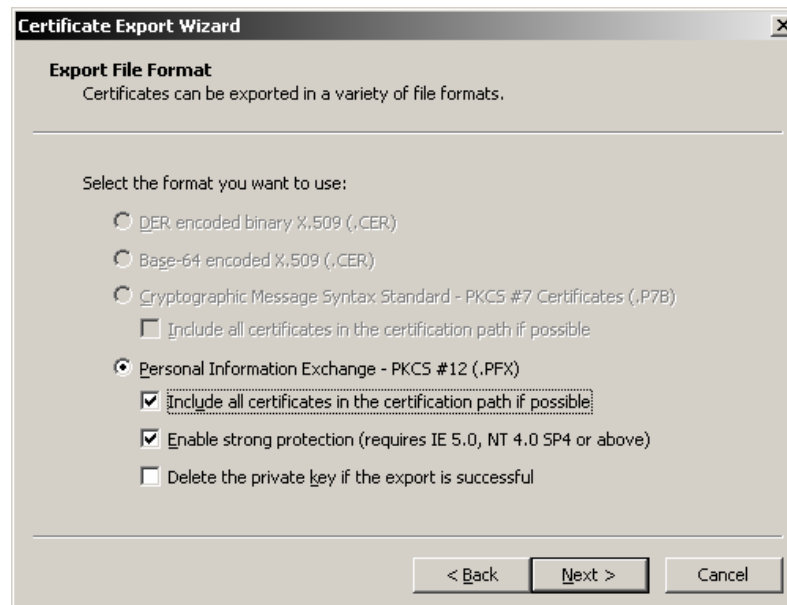
- Click on **Next**.

You will now be requested to export the private key and certificate.



- Select the option **Yes, export the private key**
- Click on **Next**.

You are now requested to specify the format of the exported certificate:



- Select **Include all certificates in the certification path if possible**, and **Enable strong protection**.
- Click on **Next**.

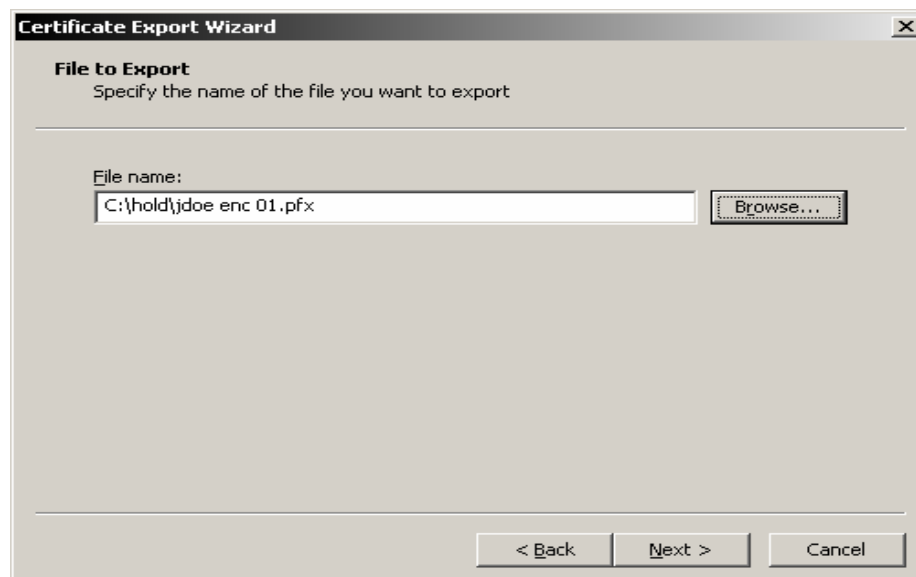
A window will now appear that allows you to set the password for the certificate being exported. This password will be required when the Xact File Transfer via Internet user imports this certificate into his Internet browser.



The screenshot shows a dialog box titled "Certificate Export Wizard" with a close button (X) in the top right corner. The main heading is "Password". Below it, the text reads: "To maintain security, you must protect the private key by using a password." A horizontal line separates this from the next section: "Type and confirm a password." There are two text input fields. The first is labeled "Password:" and contains ten asterisks. The second is labeled "Confirm password:" and also contains ten asterisks. At the bottom right, there are three buttons: "< Back", "Next >", and "Cancel".

- Enter the password twice. This password can be any that you choose.
- Click on **Next**.

In the next window to be displayed, use the Browse button to select the folder for the certificate. It can be stored either locally or in a local area network. Ideally, the path selected should be accessible by the user who can now import the certificate into his browser.



The screenshot shows a dialog box titled "Certificate Export Wizard" with a close button (X) in the top right corner. The main heading is "File to Export". Below it, the text reads: "Specify the name of the file you want to export". A horizontal line separates this from the next section: "File name:". There is a text input field containing the path "C:\hold\jdoe enc 01.pfx" and a "Browse..." button to its right. At the bottom right, there are three buttons: "< Back", "Next >", and "Cancel".

- Click on **Browse** to select the location where you want to save the certificate. The file type should be ".pfx".
- Click on **Next**.
- Click on **Finish**.

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The following window should appear.



This window is displayed if the export is successful.

- Click on **OK**.

The process of exporting the authentication certificate is now completed.

The steps described above must be repeated for each additional Xact File Transfer via Internet user.

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