

Shareholder Communication Enhancement (SCE) - ISO 20022 Rollout for General Meetings

Customer Testing Registration Form

Shareholder Communication Enhancement (SCE) - ISO 20022 Rollout for General Meetings

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Dear Sir or Madam,

With this registration form, Clearstream Banking AG (CBF), Clearstream Banking S.A. (CBL) and LuxCSD intends to collect information for the preparation and setup of the Shareholder Communication Enhancement (SCE) - ISO20022 rollout for General Meetings (GM) customer testing. The services and functionalities which are tested are similar for CBF, CBL and LuxCSD. Customers can choose on which accounts they want to use the service as long as the securities are eligible to be held in this account structure. After a successful registration, customers and/or their global proxy providers can test the connectivity and the functional message exchange with Clearstream.

Customers wanting to participate in the testing need to provide the completed Test Registration Form to:

OneClearstream@clearstream.com

By Wednesday, 6 October 2021

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

For more specific details of the test environment and for detailed description of test scenarios please refer to the Test Guide and Test Case Description.

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

Thank you very much in advance for your replies and support.

Kind regards,

OneClearstream Customer Readiness Team

1. Dedicated Contact

CBF/CBL/LuxCSD will use the "Single Point of Contact (SPOC)" concept. Customers are requested to define a coordinator for the customer testing who will receive all relevant information and updates. We will contact the SPOC for all testing related activities and if there are any questions regarding the SCE - ISO 20022 Rollout for General Meetings Customer Testing Registration Form.

Name of institution _____

Please enter up to four Account Numbers in the following table:

Account at	Account No. 1	Account No. 2	Account No. 3	Account No. 4
CBF	_____	_____	_____	_____
CBL/CBF-i	_____	_____	_____	_____
LuxCSD	_____	_____	_____	_____

Production SWIFT BIC: _____
Test SWIFT BIC: _____

Single point of contact (SPOC)

Surname: _____ Name: _____
Email: _____ Telephone: _____

Backup (if SPOC is not available)

Surname: _____ Name: _____
Email: _____ Telephone: _____

2. Participation in Customer Testing

The aim of the customer test is to ensure connectivity and functional GM message exchange in ISO 20022 format between Clearstream and their customers and/or testing the new Meeting Event Subdomain in the Xact Web Portal including download and upload functionality.

Clearstream recommends customers to participate in all three weeks to ensure testing of all scenarios. Within three weeks, starting on 25 October 2021, Customers will have the ability to test ten scenarios, which are provided with the Test Guide:

Week 1 (25 October 2021 - 29 October 2021)

- Scope to test GM notifications + simple GM instruction flows

Week 2 (1 November 2021 - 5 November 2021)

- Scope to test GM notifications + more complex GM instruction flows

Week 3 (8 November 2021 - 12 November 2021)

- Scope to test GM notifications, incl. replacements and complex instruction flows

Part 1 - Scope of Testing (Please select one)

- | | |
|--|---|
| <input type="checkbox"/> Full Test Scope (SWIFT reporting, Xact GM Module and Report Subscription) | <ul style="list-style-type: none">• ISO 20022 General Meeting messages via SWIFTNet FINPlus• Xact Report Subscription• Xact Module General Meetings |
| <input type="checkbox"/> Only SWIFT reporting & Report Subscription | <ul style="list-style-type: none">• ISO 20022 General Meeting messages via SWIFTNet FINPlus• Xact Report Subscription |
| <input type="checkbox"/> Only Xact GM Module & Report Subscription | <ul style="list-style-type: none">• Xact Module General Meetings• Xact Report Subscription |
| <input type="checkbox"/> Only Xact Report Subscription | <ul style="list-style-type: none">• Xact Report Subscription |
| <input type="checkbox"/> No GM testing | <ul style="list-style-type: none">• (For the GM testing, customers are not required to fill in the remaining parts) |

Part 2 - Time of Testing (Please select)

- Participation in all three weeks (25.10 - 12.11.2021) (**RECOMMENDED**)
- Participation in selected test weeks only:
- | | | |
|--|--|--|
| <input type="checkbox"/> Week 1 (25.10 - 29.10.2021) | <input type="checkbox"/> Week 2 (01.11 - 05.11.2021) | <input type="checkbox"/> Week 3 (08.11 - 12.11.2021) |
|--|--|--|

Part 3 - Outsourcing GM Services (optional)

- I have outsourced my GM services to: _____
- This provider will participate in the ISO 20022 testing with my above mentioned OCCT test account

Part 4 - RMA & DN Exchange (multiple selections are possible)

- CBF:**
With signing BIC DAKVDEFF:
Correspondent Test BIC: _____
Correspondent Production BIC: _____
Messages: seev.001/002/003/004/005/
006/007/008

- CBL:**
with signing BIC CEDELULL:
Correspondent Test BIC: _____
Correspondent Production BIC: _____
Messages: seev.001/002/003/004/005/
006/007/008

- LuxCSD:**
with signing BIC LUXCLULL:
Correspondent Test BIC: _____
Correspondent Production BIC: _____
Messages: seev.001/002/003/004/005/
006/007/008

Note: Clearstream only allows the correspondents to send following Messages: seev. 004/005.

The testing will be offered in Pilot Future version, please initiate the RMA Exchange by sending the RMA authorisation for service swift.finplus!pf. Please be reminded that the FINPlus RMA is based on production BICs.

Please initiate the RMA Exchange by sending the RMA authorisation (SWIFTNet FINPlus service) to above Clearstream correspondent BIC. Received requests will be checked whether they match the request form. Once OK, Clearstream will accept the request, no confirmation will be sent. Else correspondent will be notified via Email.

Once the RMA Exchange has been accepted:

- DN address used for all above mentioned OCCT test accounts customer DN: _____

Different DN addresses should be used. Please specify:

Xact Report Subscription for GM

Customer subscribing for the SWIFT reporting will be setup by default for all messages in the test environment. This setup will not be visible in the customer Xact Web Portal under report subscription. Additional reporting can be scheduled by clients.

In case Customers want to test in the Xact Web Portal, they are requested to contact their OU Administrator to set up their Xact Web Portal access in the testing environment.

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