

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

## **Test Guide and Test Case Description**

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## 1. Foreword

This document provides practical information about the customer testing for the ISO 20022 Rollout for General Meetings (GM) and helps customers to prepare for the new processes that will be activated in production on 22 November 2021. The activation timeline and specifications are described in Announcement [D21025](#) (for CBF customers), [C21031](#) (for CBL customers) and [L21033](#) (for LuxCSD customers).

Clearstream Banking will offer customer tests during a dedicated test window from 25 October to 12 November 2021, the timeline will be divided into three weeks. Customers willing to participate in the testing must register. The separate Test Registration Form should be completed by 6 October 2021 to ensure the setup of accounts and holdings before 25 October 2021.

Participation in the customer testing of the ISO 20022 Rollout for GM is optional. However, we recommend that customers do participate to become familiar with the functional GM Message exchange in ISO 20022 Format.

Customers wishing to participate in the testing must register by completing and submitting the [Test Registration Form](#) by 6 October 2021.

## 2. Key Information

The table below summarises the key information relating to the testing

|   |  |        |                   |         |                   |           |                   |          |                   |        |                   |          |               |        |               |
|---|--|--------|-------------------|---------|-------------------|-----------|-------------------|----------|-------------------|--------|-------------------|----------|---------------|--------|---------------|
| From                                      | 09:00 CET 25 October 2021  |        |                   |         |                   |           |                   |          |                   |        |                   |          |               |        |               |
| To  | 12:00 CET 19 November 2021   |        |                   |         |                   |           |                   |          |                   |        |                   |          |               |        |               |
| Availability of the OCCT Test Environment | <table> <tr> <td>Monday</td> <td>09:00 - 17:00 CET</td> </tr> <tr> <td>Tuesday</td> <td>09:00 - 17:00 CET</td> </tr> <tr> <td>Wednesday</td> <td>09:00 - 17:00 CET</td> </tr> <tr> <td>Thursday</td> <td>09:00 - 17:00 CET</td> </tr> <tr> <td>Friday</td> <td>09:00 - 12:00 CET</td> </tr> <tr> <td>Saturday</td> <td>Not available</td> </tr> <tr> <td>Sunday</td> <td>Not available</td> </tr> </table> | Monday | 09:00 - 17:00 CET | Tuesday | 09:00 - 17:00 CET | Wednesday | 09:00 - 17:00 CET | Thursday | 09:00 - 17:00 CET | Friday | 09:00 - 12:00 CET | Saturday | Not available | Sunday | Not available |
| Monday                                    | 09:00 - 17:00 CET  |        |                   |         |                   |           |                   |          |                   |        |                   |          |               |        |               |
| Tuesday                                   | 09:00 - 17:00 CET  |        |                   |         |                   |           |                   |          |                   |        |                   |          |               |        |               |
| Wednesday                                 | 09:00 - 17:00 CET  |        |                   |         |                   |           |                   |          |                   |        |                   |          |               |        |               |
| Thursday                                  | 09:00 - 17:00 CET  |        |                   |         |                   |           |                   |          |                   |        |                   |          |               |        |               |
| Friday                                    | 09:00 - 12:00 CET  |        |                   |         |                   |           |                   |          |                   |        |                   |          |               |        |               |
| Saturday                                  | Not available  |        |                   |         |                   |           |                   |          |                   |        |                   |          |               |        |               |
| Sunday                                    | Not available  |        |                   |         |                   |           |                   |          |                   |        |                   |          |               |        |               |
| Scope                                     | <p><b>Ensure connectivity and functional GM message exchange in ISO 20022 format</b> between Clearstream and its customers</p> <p><b>Testing the new Meeting Event Subdomain in the Xact Web Portal</b>, including download and upload functionality</p>   |        |                   |         |                   |           |                   |          |                   |        |                   |          |               |        |               |
| Test Connectivity                         | SWIFTNet FINPlus, customers must ensure the ISO 20022 connectivity   |        |                   |         |                   |           |                   |          |                   |        |                   |          |               |        |               |
| Xact Web Portal                           | New Meeting Event Subdomain in the Xact Web Portal   |        |                   |         |                   |           |                   |          |                   |        |                   |          |               |        |               |
| Participation                             | Optional, but recommended  |        |                   |         |                   |           |                   |          |                   |        |                   |          |               |        |               |
| Subscription                              | Please complete the <a href="#">Test Registration Form</a> and send it by email to <a href="mailto:OneClearstream@clearstream.com">OneClearstream@clearstream.com</a>  |        |                   |         |                   |           |                   |          |                   |        |                   |          |               |        |               |
| Subscription Deadline                     | 6 October 2021   |        |                   |         |                   |           |                   |          |                   |        |                   |          |               |        |               |
| Useful Links                              | <p><a href="#">SWIFT ISO 20022 for General Meeting Messages User Guide</a></p> <p><a href="#">ISO 20022 Rollout for General Meetings - Announcement</a></p> <p><a href="#">Customer testing approach for ISO 20022 rollout for General Meetings - Announcement</a></p>   |        |                   |         |                   |           |                   |          |                   |        |                   |          |               |        |               |

### 3. Scope of Testing and Test Scenario Overview

The aim of this customer testing of ISO 20022 rollout for GM is to **ensure connectivity and functional GM message exchange in ISO 20022 format** between Clearstream and its customers and **testing the new Meeting Event Subdomain in the Xact Web Portal**, including download and upload functionality in CA Instruction File Upload Subdomain. This customer testing **will not provide detailed and production content** within the test case messages. All data within the messages are dummy values. Customers should not conclude from the information in the message that this is the given format in Production. The level of detail and “quality” depends on the market and domestic providers that provide the information to Clearstream.

Within three weeks, starting from 25 October 2021, customers will have the ability to test 10 scenarios:

**Week 1 (25 October 2021 – 29 October 2021)**

- Scenario 1, 3, 7
- Scope to test GM notifications + simple GM instruction flows

**Week 2 (9 November 2021 – 5 November 2021)**

- Scenario 4, 5, 8
- Scope to test GM notifications + more complex GM instruction flows

**Week 3 (8 November 2021 – 12 November 2021)**

- Scenario 6, 9, 10, 2

**Week 4 (15 November 2021 – 19 November 2021)**

- Possible Scenarios 11, 12, 13, 14, 15 (ISINs from previous test cases will be reused 1, 2, 5, 8, 10)
- Please note that the exact used testcases will be communicated before start of Week 4

Each test case starts on Monday (except in week 3) with a notification and several scenarios will be reflected till Friday. More details are mentioned on the following pages.

| Scenario    | ISIN         | Security Name  | Step 1             | Step 2  | Step 3  | Step 4  | Step 5 | Step 6 | Step 7 | WEEK 1 | WEEK 2 | WEEK 3 | WEEK 4 |
|-------------|--------------|--|--------------------|---------|---------|---------|--------|--------|--------|--------|--------|--------|--------|
| ISIN 1 / 11 | XS1115459528 | Bank of Communications Co. Ltd. EO-FLR Notes 2014[21/26] | Seev001<br>Seev003 | Seev004 | Seev006 | Seev007 |        |        |        | X      |        | X      | X      |
| ISIN 2 / 12 | DE000A0XYG76 | Deutsche Rohstoff AG                                     | Seev001<br>Seev003 | Seev004 | Seev006 | Seev007 |        |        |        |        | X      |        |        |

Test Guide and Test Case Description for SCE – ISO 2022 Rollout for General Meeting

| Scenario    | ISIN         | Security Name                                  | Step 1             | Step 2                                  | Step 3                   | Step 4  | Step 5  | Step 6  | Step 7 | WEEK 1 | WEEK 2 | WEEK 3 | WEEK 4 |
|-------------|--------------|--|--------------------|---|--------------------------|---------|---------|---------|--------|--------|--------|--------|--------|
|             |              | Namens-Aktien o.N.                             |                    | (Registration & Instruction)            |                          |         |         |         |        |        |        |        |        |
| ISIN 3      | ES0112501012 | Ebro Foods S.A. ACCIONES NOM. EO 0,60          | Seev001<br>Seev003 | Seev004<br>(Registration & Instruction) | Seev006<br>(Rejection)   |         |         |         |        | X      |        |        |        |
| ISIN 4      | LU0592216393 | Xtrackers Spain Inhaber-Anteile 1C-EUR o.N.    | Seev001<br>Seev003 | Seev004                                 | Seev006                  | Seev002 |         |         |        |        | X      |        |        |
| ISIN 5 / 13 | XS1115208107 | Morgan Stanley EO-Medium-Term Notes 2014(23)   | Seev001<br>Seev003 | Seev002                                 |                          |         |         |         |        |        | X      |        | X      |
| ISIN 6      | FR0000044448 | NEXANS S.A. Actions Port. EO 1                 | Seev001<br>Seev003 | Seev004                                 | Seev001<br>(replacement) | Seev004 | seev006 | Seev007 |        |        |        | X      |        |
| ISIN 7      | GB00BYN5BY03 | Global Graphics S.E. Registered Shares EO -,01 | Seev001            | Seev002                                 |                          |         |         |         |        | X      |        |        |        |
| ISIN 8 / 14 | US5949181045 | MICROSOFT CORP. Registered Shares DL-,00000625 | Seev001<br>Seev003 | Seev004                                 | Seev006<br>(Rejection)   |         |         |         |        |        | X      |        | X      |

Test Guide and Test Case Description for SCE – ISO 20022 Rollout for General Meeting

| Scenario    | ISIN         | Security Name                                 | Step 1             | Step 2  | Step 3  | Step 4  | Step 5 | Step 6 | Step 7 | WEEK 1 | WEEK 2 | WEEK 3 | WEEK 4 |
|-------------|--------------|---|--------------------|---------|---------|---------|--------|--------|--------|--------|--------|--------|--------|
| ISIN 9      | IT0001063210 | MEDIASET S.P.A. Azioni nom. EO 0,52           | Seev001            | Seev002 |         |         |        |        |        |        |        | X      |        |
| ISIN 10 /15 | DE0005588008 | PILKINGTON DEUTSCHLAND AG Inhaber-Aktien o.N. | Seev001<br>Seev003 | Seev004 | Seev006 | Seev007 |        |        |        |        |        | X      | X      |

Only for two or three days per week are customers required to enter instructions (seev.004) or upload XML instructions on Xact Web Portal. In week one and two the instruction windows for the same events are on two continuous days. In week three there is one event with two short periods to test a replacement notification that indicates that previous meeting instructions must be resent, because the parameters of the meeting have been changed (test case 6).

|        | Monday  | Tuesday   | Wednesday  | Thursday  | Friday |
|--------|---|---|--|---|--------|
| Week 1 | Customer instructions   | Customer instructions   |  |   |        |
| Week 2 | Customer instructions   | Customer instructions   |  |   |        |
| Week 3 | No instructions allowed to send. Code fix will be implemented on Wednesday. | No instructions allowed to send. Code fix will be implemented on Wednesday. | No instructions allowed to send until advice from Clearstream.<br><br>Customer instructions window presumably starts late in the afternoon | Customer instructions until 12:30 and only for test case 6 an additional window until 17:00 is open |        |
| Week 4 | Customer Instructions   | Customer instructions until 11:00   |  |   |        |

We kindly ask customers to consider Clearstream's [SWIFT ISO20022 General Meeting Messages User Guide](#) for the possible instruction options.

Voting instructions for Physical Voting/non-Voting, Virtual Attendance or Mail will not be processed till the end. We may include these options in our notifications, but only instruction status confirmations (seev.006) will be provided regardless of the content provided in such instructions.



### 3.1 Messages in Scope

In scope of the customer testing for the ISO 20022 rollout for GM are the following messages via the connectivity channel SWIFTNet FINPlus:

|                  |                                     |      |
|------------------|-------------------------------------|------|
| seev 001.001.08  | Meeting Notification                | MENO |
| seev 002.001.07  | Meeting Cancellation                | MECN |
| seev 003.001.07* | Meeting Entitlement Notification    | MENT |
| seev 004.001.07  | Meeting Instruction                 | MEIN |
| seev 005.001.07  | Out of Scope for testing            | N/A  |
| seev 006.001.07  | Meeting Instruction Status          | MEIS |
| seev 007.001.07  | Meeting Vote Execution Confirmation | MECO |

\*Seev.003 NEWM will be generated at Entitlement Fixing Date EoD. If the Event has no Entitlement Fixing Date, the seev.003 NEWM will be sent one Business Day before the Vote Market Deadline. Seev.003 NEWM will be sent one Business Day before the Meeting Date, if neither Entitlement Fixing Date nor Vote Market Deadline are provided on the notification.

## 3.2 ISINs for Testing

The following 10 ISINs will be used for the customer testing.

| ISIN         | Custody Type (Xact) | TYPE     | NAME   | Issuer Country |
|--------------|---------------------|----------|--|----------------|
| XS1115459528 | NCSC-T              | Bonds    | Bank of Communications Co. Ltd. EO-FLR Notes 2014(21/26) | China          |
| XS1115208107 | NCSC-T              | Bonds    | Morgan Stanley EO-Medium-Term Notes 2014(23)             | USA            |
| US5949181045 | CSC                 | Equities | MICROSOFT CORP. Registered Shares DL-,00000625           | USA            |
| ES0112501012 | CSC                 | Equities | Ebro Foods S.A. ACCIONES NOM. EO 0,60                    | Spain          |
| DE0005588008 | CSC                 | Equities | PILKINGTON DEUTSCHLAND AG Inhaber-Aktien o.N.            | Germany        |
| DE000A0XYG76 | CSC                 | Equities | Deutsche Rohstoff AG Namens-Aktien o.N.                  | Germany        |
| GB00BYN5BY03 | NCSC                | Equities | Global Graphics S.E. Registered Shares EO -,01           | UK             |
| FR0000044448 | CSC                 | Equities | NEXANS S.A. Actions Port. EO 1                           | France         |
| LU0592216393 | NCSC                | ETF      | Xtrackers Spain Inhaber-Anteile 1C-EUR o.N.              | Germany        |
| IT0001063210 | CSC                 | Equities | MEDIASET S.P.A. Azioni nom. EO 0,52                      | Italy          |

The following ISIN should be considered as backup:

| ISIN         | Custody Type (Xact) | TYPE     | NAME  | Issuer Country |
|--------------|---------------------|----------|---|----------------|
| XS1112829947 | NCSC-T              | Bonds    | Diageo Finance PLC EO-Med.-Term Notes 2014(24/24)             | UK             |
| US0378331005 | CSC                 | Equities | Apple Inc. Registered Shares o.N.                             | USA            |
| ES0144580Y14 | CSC                 | Equities | Iberdrola S.A. Acciones Port. EO -,75                         | Spain          |
| BE0974294267 | CSC                 | Equities | Nyrstar Actions au Port. o.N.                                 | Belgium        |
| DE000A1TNUT7 | CSC                 | Equities | Deutsche Beteiligungs AG Namens-Aktien o.N.                   | Germany        |
| DE0007239402 | CSC                 | Equities | SIMONA AG Inhaber-Aktien o.N.                                 | Germany        |
| FI0009002422 | CSC                 | Equities | Outokumpu Oyj Registered Shares Cl.A o.N.                     | Finland        |
| IE00BM67HK77 | NCSC                | ETF      | Xtr. (IE)-MSCI Wrld Health Care Registered Shares 1C USD o.N. | Germany        |
| MT0000400102 | CSC                 | Equities | RS2 Software PLC Reg. Shares EO -,06                          | Malta          |
| AT00000FACC2 | CSC                 | Equities | FACC AG Inhaber-Aktien o.N.                                   | Austria        |

We kindly ask customers to ensure all above ISINs are available in their test environments. The backup ISINs will only be used if there is any unforeseen issue with the securities reference data.

### 3.3 Availability of the Test Environment

Test Environment will be available from 09:00 CET 25 October 2021 to 12:00 CET 12 November 2021 as following:

|                     |                   |
|---------------------|-------------------|
| Monday to Thursday  | 09:00 - 17:00 CET |
| Friday              | 09:00 - 12:00 CET |
| Saturday and Sunday | not available.    |

### 3.4 Test Issue Declaration

If problems occur, please report them promptly using the [Test Issue Declaration Form](#). Test cases will not be repeated. A similar test scenario is offered in the following test week.

### 3.5 Reporting and Setup

#### Xact Report Subscription for GM

Customers 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 customers.

#### SWIFTNet FINPlus

For a successful participation in the customer testing via SWIFTNet FINPlus, customers must ensure the ISO 20022 connectivity solutions is available. Therefore, customers who want to exchange ISO 20022 messages via SWIFTNet FINPlus during customer testing are encouraged to ensure the following steps:

- SWIFTNet FINPlus service is in place.
- Relationship Management Applications (RMAs) are exchanged with Clearstream. [The testing will be offered in Pilot Future service version, the service name to be used should therefore be swift.finplus!pf. Please be reminded that the FINPlus RMA is based on production BICs.](#)
- Communicate the Distinguished Name (DN) and the list of accounts that shall be linked.

**Note:** All customers who are registered for this test will be subscribed to all test messages by default in the test environment.

#### New Meeting Event Subdomain in Xact Web Portal

Clearstream will also implement a Meeting Event Subdomain in the Xact Web Portal allowing customers to search for GM events and to download the results in ISO 20022 format.

Customers can provide instructions via an Xact Web Portal upload functionality in a CA Instruction File Upload Subdomain. An Excel template file that creates XML messages in compliance with ISO 20022 format standards and Clearstream instruction specifications will be available for download. The generated XML instruction file must be manually uploaded to Xact Web Portal. Please note that multiple instructions can be submitted in one XML file if they are for the same account.

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

## 4. Detailed Test Case Description

### 4.1 Testcase #1

|   |   |
|---|---|
| <b>Testcase</b>                           | #1, ISIN1   |
| <b>Test Week</b>                          | Week 1  |
| <b>ISIN</b>                               | XS1115459528  |
| <b>Security Name</b>                      | Bank of Communications Co. Ltd. EO-FLR Notes 2014{21/26}                |
| <b>Asset Type</b>                         | Bond  |
| <b>Custody Type</b>                       | NCSC-T  |
| <b>Issuer Country</b>                     | China   |
| <b>SRD2 flagged (Yes/No/-----)</b>        | -----   |
| <b>Clearstream's Role</b>                 | ICSD  |
| <b>Event type</b>                         | BMET  |
| <b>EntitlmntFxdt (Record Date)</b>        | ----- (Blocking required, but not simulated in the testing environment) |
| <b>Meeting Date</b>                       | 28.10.2021 XXXXXX   |
| <b>Registration Required</b>              | -----   |
| <b>VoteDdlm (Vote Deadline)</b>           | 26.10.2021 XXXXXXXX   |
| <b>VoteMktDdlm (Vote Market Deadline)</b> | 26.10.2021 XXXXXXXX   |
| <b>Vote Methods</b>                       | Multiple  |
| <b>Resolution Items</b>                   | Multiple  |

| Scenario      | ISIN         | Security Name  | Step 1             | Step 2  | Step 3  | Step 4             |
|---------------|--------------|--|--------------------|---------|---------|--------------------|
| <b>ISIN 1</b> | XS1115459528 | Bank of Communications Co. Ltd. EO-FLR Notes 2014{21/26} | Seev001<br>Seev003 | Seev004 | Seev006 | Seev007<br>Seev008 |

Description: Bondholder Meeting, no Record Date, instruction flow and meeting results

Report filter “only SRD2 flagged events plus all DE ISINs” will exclude this event.

Meeting notifications (seev.001) will be sent on Monday morning. At the same time, the event is available in the Xact Meeting Event Subdomain.

The event has no Record Date (Entitlement Fixing Date). Clearstream will not simulate the blocking of the instructed holdings.

Seev.003 NEWM Entitlement messages will be sent one Business Day before the deadline of the meeting date (25.10.2021).

Between Monday afternoon (around 14:00) and Tuesday afternoon (17:00) customers can send vote instructions via SWIFT message seev.004 or via Xact Web Portal upload functionality in XML format.

Deadline for voting is on Tuesday afternoon.

Clearstream send instruction status messages (seev.006) on Wednesday. At the same time, the messages are available in the Xact Meeting Event Subdomain.

Meeting Date is on Thursday.

Clearstream send Vote Execution Confirmation (seev.007) on Thursday. At the same time, the messages are available in the Xact Meeting Event Subdomain. A seev.007 will only be sent when the vote execution confirmation identifier field in the seev.004 was provided/true ("yes").

Instruction Cancellations (seev.005) will not be considered or processed.

Meeting Result Confirmations (seev.008) will be processed.

## 4.2 Testcase #2

|  |   |
|--|---|
| <b>Testcase</b>                            | #2, ISIN2                               |
| <b>Test Week</b>                           | Week 3                                  |
| <b>ISIN</b>                                | DE000A0XYG76                            |
| <b>Security Name</b>                       | Deutsche Rohstoff AG Namens-Aktien o.N. |
| <b>Asset Type</b>                          | Share (Registered)                      |
| <b>Custody Type</b>                        | CSC                                     |
| <b>Issuer Country</b>                      | Germany                                 |
| <b>SRD2 flagged (Yes/No/-----)</b>         | FALSE                                   |
| <b>Clearstream's Role</b>                  | Issuer-CSD                              |
| <b>Event type</b>                          | GMET                                    |
| <b>EntitlmntFvgDt (Record Date)</b>        | 21.10.2021                              |
| <b>Meeting Date</b>                        | 04.11.2021 XXXXXX                       |
| <b>Registration Required</b>               | Yes                                     |
| <b>VoteDdlIn (Vote Deadline)</b>           | 11.11.2021 XXXXXXXX                     |
| <b>VoteMktDdlIn (Vote Market Deadline)</b> | 12.11.2021 XXXXXXXX                     |
| <b>Vote Methods</b>                        | Multiple                                |
| <b>Resolution Items</b>                    | Multiple                                |

| Scenario | ISIN         | Security Name                           | Step 1             | Step 2                                  | Step 3  | Step 4  | Step 5 | Step 6 |
|----------|--------------|---|--------------------|---|---------|---------|--------|--------|
| ISIN 2   | DE000A0XYG76 | Deutsche Rohstoff AG Namens-Aktien o.N. | Seev001<br>Seev003 | Seev004<br>(Registration & Instruction) | Seev006 | Seev007 |        |        |

Description: Meeting on a German Registered Share, Registration is required, instruction flow and meeting results

No account restrictions for this Asset Type.

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

Meeting notifications (seev.001) will be sent on **Tuesday** morning. At the same time, the event is available in Xact Meeting Event Subdomain.

Seev.003 NEWM Entitlement messages will be sent at the same date, given, that the Entitlement Fixing Date is in the past.

**Important:** No instructions allowed to send until code fix will be implemented on **Wednesday**. No instructions allowed to send until advice from Clearstream. Customer instruction window presumably starts late in the afternoon on Wednesday. Only after the email info from Clearstream customers can send vote instructions via SWIFT message seev.004 or via Xact upload functionality in XML format.

Between Wednesday afternoon (info from Clearstream) and Thursday until 12:30 customers can send vote instructions and registration requests via SWIFT message seev.004 or via Xact upload functionality in XML

format. The registration in German market system CASCADE RS has to be sent but will not be simulated by Clearstream. For German registered shares no blocking will be processed.

Deadline for voting is on Thursday 12:30.

**Note:** If customers want to provide the shareholder ID of the company register (Aktionärsnummer), the seev.004 message has currently no dedicated field. The German market SWIFT group recommended late in October to use /Document/MtgInstr/SplmtryData/Envlp with element ←ComRegShID→ followed by the ID. This will be an interim solution until the dedicated field is available with the next year SWIFT release. Clearstream will support the interim solution, but this change will not be ready in this test window. We kindly ask our customers to check our future announcements by when this information can be provided in production.

Clearstream send instruction status messages (seev.006) on Thursday afternoon for valid instructions received by the deadline. At the same time the messages are available in the Xact Meeting Event Subdomain.

Meeting Date is on Thursday.

Clearstream send Vote Execution Confirmation (seev.007) on Friday. At the same time the messages are available in the Xact Meeting Event Subdomain. A seev.007 will only be sent when the vote execution confirmation identifier field in the seev.004 was provided/true ("yes").

Instruction Cancellations (seev.005) will not be considered or processed.

### 4.3 Testcase #3

|   |                                       |
|---|---------------------------------------|
| <b>Testcase</b>                           | #3, ISIN3                             |
| <b>Test Week</b>                          | Week 1                                |
| <b>ISIN</b>                               | ES0112501012                          |
| <b>Security Name</b>                      | Ebro Foods S.A. ACCIONES NOM. EO 0,60 |
| <b>Asset Type</b>                         | Share (Registration)                  |
| <b>Custody Type</b>                       | CSC                                   |
| <b>Issuer Country</b>                     | Spain                                 |
| <b>SRD2 flagged (Yes/No/-----)</b>        | TRUE                                  |
| <b>Clearstream's Role</b>                 | Investor-CSD                          |
| <b>Event type</b>                         | XMET                                  |
| <b>EntitlmntFvgDt (Record Date)</b>       | 21.10.2021                            |
| <b>Meeting Date</b>                       | 28.10.2021 XXXXXX                     |
| <b>Registration Required</b>              | Yes                                   |
| <b>VoteDdln (Vote Deadline)</b>           | 26.10.2021 XXXXXXXX                   |
| <b>VoteMktDdln (Vote Market Deadline)</b> | 26.10.2021 XXXXXXXX                   |
| <b>Vote Methods</b>                       | Multiple                              |
| <b>Resolution Items</b>                   | Multiple                              |

| Scenario      | ISIN         | Security Name                         | Step 1             | Step 2                                  | Step 3                 | Step 4 | Step 5 | Step 6 |
|---------------|--------------|---------------------------------------|--------------------|---|------------------------|--------|--------|--------|
| <b>ISIN 3</b> | ES0112501012 | Ebro Foods S.A. ACCIONES NOM. EO 0,60 | Seev001<br>Seev003 | Seev004<br>(Registration & Instruction) | Seev006<br>(Rejection) |        |        |        |

Description: Extraordinary Meeting, Registration is required, instruction flow and meeting results

No account restrictions for this Asset Type.

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

Meeting notifications (seev.001) will be sent on Monday morning. At the same time, the event is available in Xact Meeting Event Subdomain.

The seev.003 NEWM Entitlement message will be sent together with the meeting notification, as the event has a Record Date (Entitlement Fixing Date) in the past.

Between Monday afternoon (around 14:00) and Tuesday afternoon (17:00) customers can send vote instructions and registration requests via SWIFT message seev.004 or via Xact Web Portal upload functionality in XML format. The registration in the Spanish market can be sent but will not be simulated by Clearstream.

Deadline for voting is on Tuesday afternoon.

Clearstream will reject all previously received registration and vote instructions with a status message (seev.006) on Wednesday. At the same time, the messages are available in the Xact Meeting Event Subdomain.

No further processing will happen.



## 4.4 Testcase #4

|   |   |
|---|---|
| <b>Testcase</b>                           | #4, ISIN4                                   |
| <b>Test Week</b>                          | Week 2                                      |
| <b>ISIN</b>                               | LU0592216393                                |
| <b>Security Name</b>                      | Xtrackers Spain Inhaber-Anteile 1C-EUR o.N. |
| <b>Asset Type</b>                         | Fund  |
| <b>Custody Type</b>                       | NCSC  |
| <b>Issuer Country</b>                     | Germany                                     |
| <b>SRD2 flagged (Yes/No/-----)</b>        | -----                                       |
| <b>Clearstream's Role</b>                 | Issuer-CSD                                  |
| <b>Event type</b>                         | GMET  |
| <b>EntitlmtFvgDt (Record Date)</b>        | ----- (automated blocking)                  |
| <b>Meeting Date</b>                       | 11.11.2021                                  |
| <b>Registration Required</b>              | -----                                       |
| <b>VoteDdln (Vote Deadline)</b>           | 02.11.2021 XXXXX                            |
| <b>VoteMktDdln (Vote Market Deadline)</b> | 05.11.2021 XXXXX                            |
| <b>Vote Methods</b>                       | Multiple                                    |
| <b>Resolution Items</b>                   | Multiple                                    |

| Scenario      | ISIN         | Security Name                               | Step 1             | Step 2  | Step 3  | Step 4  | Step 5 |
|---------------|--------------|---|--------------------|---------|---------|---------|--------|
| <b>ISIN 4</b> | LU0592216393 | Xtrackers Spain Inhaber-Anteile 1C-EUR o.N. | Seev001<br>Seev003 | Seev004 | Seev006 | Seev002 |        |

Description: Meeting event on a Fund, no Record Date, instruction flow, cancellation of the meeting when instructions have been received.

Report filter "only SRD2 flagged events plus all DE ISINs" will exclude this event.

Custody Type NCSC cannot be credited into CBF account.

Meeting notifications (seev.001) will be sent on Monday morning. At the same time, the event is available in Xact Meeting Event Subdomain.

Seev.003 NEWM Entitlement messages will be sent one day before the deadline date, that is, 11 November 2021.

The event has no Record Date (Entitlement Fixing Date). The Instructed positions will be blocked.

Between Monday afternoon (around 14:00) and Tuesday afternoon (17:00) customers can send vote instructions via SWIFT message seev.004 or via Xact Web Portal upload functionality in XML format.

Deadline for voting is on Tuesday afternoon.

Clearstream send instruction status messages (seev.006) on Wednesday. At the same time, the messages are available in the Xact Meeting Event Subdomain.

Meeting Date is in the following week.

On Friday, the event will be cancelled by seev.002. At the same time, the info is available in Xact Meeting Event Subdomain.

No further processing will apply. (**Note:** No seev.006 instruction status messages with a rejection code will be sent, because this would only be sent when Clearstream receive it from the depository). Clearstream will not simulate this process.

## 4.5 Testcase #5

|   |  |
|---|--|
| <b>Testcase</b>                           | #5, ISIN5                                    |
| <b>Test Week</b>                          | Week 2                                       |
| <b>ISIN</b>                               | XS1115208107                                 |
| <b>Security Name</b>                      | Morgan Stanley EO-Medium-Term Notes 2014(23) |
| <b>Asset Type</b>                         | Bond   |
| <b>Custody Type</b>                       | NCSC-T                                       |
| <b>Issuer Country</b>                     | USA  |
| <b>SRD2 flagged (Yes/No/-----)</b>        | -----  |
| <b>Clearstream's Role</b>                 | ICSD   |
| <b>Event type</b>                         | BMET   |
| <b>EntitlmntFxdt (Record Date)</b>        | 25.10.2021                                   |
| <b>Meeting Date</b>                       | 04.11.2021 XXXXXX                            |
| <b>Registration Required</b>              | -----  |
| <b>VoteDdln (Vote Deadline)</b>           | 03.11.2021 XXXXXX                            |
| <b>VoteMktDdln (Vote Market Deadline)</b> | 04.11.2021 XXXXXX                            |
| <b>Vote Methods</b>                       | Multiple                                     |
| <b>Resolution Items</b>                   | Multiple                                     |

| Scenario      | ISIN         | Security Name                                | Step 1             | Step 2  | Step 3 | Step 4 |
|---------------|--------------|--|--------------------|---------|--------|--------|
| <b>ISIN 5</b> | XS1115208107 | Morgan Stanley EO-Medium-Term Notes 2014(23) | Seev001<br>Seev003 | Seev002 |        |        |

Description: Bondholder Meeting, cancellation of an event, no instructions received.

Report filter "only SRD2 flagged events plus all DE ISINs" will exclude this event.

Meeting notifications (seev.001) will be sent on Monday morning. At the same time, the event is available in Xact Meeting Event Subdomain.

Seev.003 NEWM Entitlement messages will be sent with the notification, as the event has a Record Date (Entitlement Fixing Date) in the past.

On Tuesday afternoon the event will be cancelled by seev.002. At the same time, the messages are available in the Xact Meeting Event Subdomain.

No further processing will apply.

## 4.6 Testcase #6

|  |                   |
|--|-------------------|
| <b>Testcase</b>                            | #6, ISIN6         |
| <b>Test Week</b>                           | Week 3            |
| <b>ISIN</b>                                | FR0000044448      |
| <b>Security Name</b>                       | Nexans Aktie      |
| <b>Asset Type</b>                          | Share             |
| <b>Custody Type</b>                        | CSC               |
| <b>Issuer Country</b>                      | France            |
| <b>SRD2 flagged (Yes/No/-----)</b>         | FALSE             |
| <b>Clearstream's Role</b>                  | Investor-CSD      |
| <b>Event type</b>                          | MIXD              |
| <b>EntitlMntFxdDt (Record Date)</b>        | 21.10.2021        |
| <b>Meeting Date</b>                        | 11.11.2021 XXXXXX |
| <b>Registration Required</b>               | -----             |
| <b>VoteDdlIn (Vote Deadline)</b>           | 11.11.2021 XXXXXX |
| <b>VoteMktDdlIn (Vote Market Deadline)</b> | 12.11.2021 XXXXXX |
| <b>Vote Methods</b>                        | Multiple          |
| <b>Resolution Items</b>                    | Multiple          |

| Scenario | ISIN         | Security Name                  | Step 1             | Step 2  | Step 3                | Step 4   | Step 5  | Step 6  |
|----------|--------------|--------------------------------|--------------------|---------|-----------------------|----------|---------|---------|
| ISIN 6   | FR0000044448 | NEXANS S.A. Actions Port. EO 1 | Seev001<br>Seev003 | Seev004 | Seev001 (replacement) | Seev.004 | Seev006 | Seev007 |

Description: Meeting, instructions flow, replacement of meeting, meeting results.

No account restriction for this Asset Type.

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

Meeting notifications (seev.001) will be sent on **Tuesday** morning. At the same time, the event is available in Xact Meeting Event Subdomain.

Seev.003 Entitlement messages will be sent together with the meeting notification, as the event has a Record Date (Entitlement Fixing Date) in the past.

**Important:** No instructions allowed to send until code fix will be implemented on Wednesday. No instructions allowed to send until advice from Clearstream. Customer instruction window presumably starts late in the afternoon on Wednesday. Only after the email info from Clearstream customers can send vote instructions via SWIFT message seev.004 or via Xact upload functionality in XML format.

On Thursday at around 12:30 Clearstream will replace the meeting notification (seev.001 – REPL). At the same time the event is available in Xact Meeting Event Subdomain. Field reconfirm instructions (XML tag Rcnfrmlnstrs) will be set to TRUE. Note, that all previous sent instructions are invalid. Clearstream will not

send a rejection confirmation in this test case as Clearstream can't simulate that the market has rejected the messages. When you send seev.005 afterwards we will not process them as valid instructions.

After the replacement has been sent on Wednesday, then until 17:00 customers can send new instructions via SWIFT message seev.004 or via Xact upload functionality in XML format.

Deadline for voting is on Thursday afternoon.

Clearstream send instruction status messages (seev.006) on Friday morning for valid instructions received by Thursday 17:00. At the same time, the messages are available in the Xact Meeting Event Subdomain.

Meeting Date is on Thursday.

Clearstream send Vote Execution Confirmation (seev.007) on Friday. At the same time the messages are available in the Xact Meeting Event Subdomain. A seev.007 will only be sent when the vote execution confirmation identifier field in the seev.004 was provided/true ("yes").

## 4.7 Testcase #7

|   |  |
|---|--|
| <b>Testcase</b>                           | #7, ISIN7                                      |
| <b>Test Week</b>                          | Week 1   |
| <b>ISIN</b>                               | GB00BYN5BY03                                   |
| <b>Security Name</b>                      | Global Graphics S.E. Registered Shares EO -,01 |
| <b>Asset Type</b>                         | Share  |
| <b>Custody Type</b>                       | NCSC   |
| <b>Issuer Country</b>                     | GB   |
| <b>SRD2 flagged (Yes/No/-----)</b>        | -----  |
| <b>Clearstream's Role</b>                 | ICSD   |
| <b>Event type</b>                         | SPCL   |
| <b>EntitlmntFvgDt (Record Date)</b>       | 03.11.2021                                     |
| <b>Meeting Date</b>                       | 12.11.2021                                     |
| <b>Registration Required</b>              | -----  |
| <b>VoteDdln (Vote Deadline)</b>           | 04.11.2021 XXXXXX                              |
| <b>VoteMktDdln (Vote Market Deadline)</b> | 05.11.2021 XXXXXX                              |
| <b>Vote Methods</b>                       | Multiple                                       |
| <b>Resolution Items</b>                   | Multiple                                       |

| Scenario      | ISIN         | Security Name                                  | Step 1  | Step 2  | Step 3 | Step 4 |
|---------------|--------------|--|---------|---------|--------|--------|
| <b>ISIN 7</b> | GB00BYN5BY03 | Global Graphics S.E. Registered Shares EO -,01 | Seev001 | Seev002 |        |        |

Description: Meeting, cancellation of an event, no instructions received.

Custody Type NCSC cannot be credited into CBF account.

Report filter "only SRD2 flagged events plus all DE ISINs" will exclude this event.

Meeting notifications (seev.001) will be sent on Monday morning. At the same time, the event is available in Xact Meeting Event subdomain.

On Tuesday afternoon the event will be cancelled by seev.002. At the same time, the messages are available in the Xact Meeting Event subdomain.

No further processing will apply.

## 4.8 Testcase #8

|   |  |
|---|--|
| <b>Testcase</b>                           | #8, ISIN8                                      |
| <b>Test Week</b>                          | Week 2   |
| <b>ISIN</b>                               | US5949181045                                   |
| <b>Security Name</b>                      | MICROSOFT CORP. Registered Shares DL-,00000625 |
| <b>Asset Type</b>                         | Share  |
| <b>Custody Type</b>                       | CSC  |
| <b>Issuer Country</b>                     | USA  |
| <b>SRD2 flagged (Yes/No/-----)</b>        | -----  |
| <b>Clearstream's Role</b>                 | ICSD/Investor-CSD                              |
| <b>Event type</b>                         | GMET   |
| <b>EntitlmntFxdt (Record Date)</b>        | 21.10.2021                                     |
| <b>Meeting Date</b>                       | 12.11.2021                                     |
| <b>Registration Required</b>              | -----  |
| <b>VoteDdln (Vote Deadline)</b>           | 04.11.2021 XXXXXX                              |
| <b>VoteMktDdln (Vote Market Deadline)</b> | 05.11.2021 XXXXXX                              |
| <b>Vote Methods</b>                       | Multiple                                       |
| <b>Resolution Items</b>                   | Multiple                                       |

| Scenario      | ISIN         | Security Name  | Step 1             | Step 2  | Step 3                 | Step 4 |
|---------------|--------------|--|--------------------|---------|------------------------|--------|
| <b>ISIN 8</b> | US5949181045 | MICROSOFT CORP.<br>Registered Shares<br>DL-,00000625 | Seev001<br>Seev003 | Seev004 | Seev006<br>(Rejection) |        |

Description: Meeting, instruction flow with rejections from the market

No account restrictions for this Asset Type.

Report filter “only SRD2 flagged events plus all DE ISINs” will exclude this event.

Meeting notifications (seev.001) will be sent on Monday morning. At the same time, the event is available in Xact Meeting Event Subdomain.

Seev.003 NEWM Entitlement messages will be sent together with the meeting notification, as the event has a Record Date (Entitlement Fixing Date) in the past.

Between Monday afternoon (around 14:00) and Tuesday afternoon (17:00) customers can send vote instructions via SWIFT message seev.004 or via Xact Web Portal upload functionality in XML format.

Deadline for voting is on Thursday afternoon.

Clearstream will reject all previously received instructions with a status messages (seev.006) on Wednesday. At the same time the messages are available in the Xact Meeting Event Subdomain.

No further processing will apply.

## 4.9 Testcase #9

|   |                                     |
|---|-------------------------------------|
| <b>Testcase</b>                           | #9, ISIN9                           |
| <b>Test Week</b>                          | Week 3                              |
| <b>ISIN</b>                               | IT0001063210                        |
| <b>Security Name</b>                      | MEDIASET S.P.A. Azioni nom. EO 0,52 |
| <b>Asset Type</b>                         | Share                               |
| <b>Custody Type</b>                       | CSC                                 |
| <b>Issuer Country</b>                     | Italy                               |
| <b>SRD2 flagged (Yes/No/-----)</b>        | FALSE                               |
| <b>Clearstream's Role</b>                 | Investor-CSD                        |
| <b>Event type</b>                         | GMET                                |
| <b>EntitlmntFvgDt (Record Date)</b>       | 03.12.2021                          |
| <b>Meeting Date</b>                       | 10.12.2021 XXXXXX                   |
| <b>Registration Required</b>              | -----                               |
| <b>VoteDdlm (Vote Deadline)</b>           | -----                               |
| <b>VoteMktDdlm (Vote Market Deadline)</b> | -----                               |
| <b>Vote Methods</b>                       | -----                               |
| <b>Resolution Items</b>                   | -----                               |

| Scenario      | ISIN         | Security Name                          | Step 1  | Step 2  | Step 3 | Step 4 |
|---------------|--------------|--|---------|---------|--------|--------|
| <b>ISIN 9</b> | IT0001063210 | MEDIASET S.P.A.<br>Azioni nom. EO 0,52 | Seev001 | Seev002 |        |        |

Description: Bondholder Meeting, cancellation of an event, no instructions received.

No account restriction for this Asset Type.

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

Meeting notifications (seev.001) will be sent on **Tuesday** morning. At the same time, the event is available in Xact Meeting Event Subdomain.

On **Tuesday** the event will be cancelled by seev.002. At the same time, the messages are available in the Xact Meeting Event Subdomain.

No further processing will apply.



## 4.10 Testcase #10

|   |   |
|---|---|
| <b>Testcase</b>                           | #10, ISIN10                                   |
| <b>Test Week</b>                          | Week 3  |
| <b>ISIN</b>                               | DE0005588008                                  |
| <b>Security Name</b>                      | PILKINGTON DEUTSCHLAND AG Inhaber-Aktien o.N. |
| <b>Asset Type</b>                         | Share   |
| <b>Custody Type</b>                       | CSC   |
| <b>Issuer Country</b>                     | Germany                                       |
| <b>SRD2 flagged (Yes/No/-----)</b>        | TRUE  |
| <b>Clearstream's Role</b>                 | Issuer-CSD                                    |
| <b>Event type</b>                         | GMET  |
| <b>EntitlmntFxdt (Record Date)</b>        | 21.10.2021                                    |
| <b>Meeting Date</b>                       | 11.11.2021 XXXXX                              |
| <b>Registration Required</b>              | -----   |
| <b>VoteDdln (Vote Deadline)</b>           | 11.11.2021 XXXXX                              |
| <b>VoteMktDdln (Vote Market Deadline)</b> | 11.11.2021 XXXXX                              |
| <b>Vote Methods</b>                       | Multiple                                      |
| <b>Resolution Items</b>                   | Multiple                                      |

| Scenario | ISIN         | Security Name                                 | Step 1             | Step 2  | Step 3  | Step 4  | Step 5 | Step 6 |
|----------|--------------|---|--------------------|---------|---------|---------|--------|--------|
| ISIN 10  | DE0005588008 | PILKINGTON DEUTSCHLAND AG Inhaber-Aktien o.N. | Seev001<br>Seev003 | Seev004 | Seev006 | Seev007 |        |        |

Description: Meeting, instruction flow and meeting results

No account restriction for this Asset Type.

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

Meeting notifications (seev.001) will be sent on **Tuesday** morning. At the same time, the event is available in Xact Meeting Event Subdomain.

Seev.003 Entitlement messages will be sent together with the meeting notification, as the event has a Record Date (Entitlement Fixing Date) in the past.

**Important:** No instructions allowed to send until code fix will be implemented on Wednesday. No instructions allowed to send until advice from Clearstream. Customer instruction window presumably starts late in the afternoon on Wednesday. Only after the email info from Clearstream customers can send vote instructions via SWIFT message seev.004 or via Xact upload functionality in XML format.

Deadline for voting is on Thursday 12:30.

Clearstream send instruction status messages (seev.006) on Thursday afternoon for valid instructions received by Thursday 12:30. At the same time, the messages are available in the Xact Meeting Event Subdomain.

Meeting Date is on Thursday.

Clearstream send Vote Execution Confirmations (seev.007) on Friday morning. At the same time the messages are available in the Xact Meeting Event Subdomain. A seev.007 will only be sent when the vote execution confirmation identifier field in the seev.004 was provided/true ("yes").

#### 4.11 Testcase #11 (basics copied from case #1)

|   |   |
|---|---|
| <b>Testcase</b>                           | #11, ISIN1  |
| <b>Test Week</b>                          | Week 4  |
| <b>ISIN</b>                               | XS1115459528  |
| <b>Security Name</b>                      | EUR 3,625 BANK OF COMMUNIC. (REGS) 14-2026                              |
| <b>Asset Type</b>                         | Bond  |
| <b>Custody Type</b>                       | NCSC-T  |
| <b>Issuer Country</b>                     | China   |
| <b>SRD2 flagged (Yes/No/-----)</b>        | -----   |
| <b>Clearstream's Role</b>                 | ICSD  |
| <b>Event type</b>                         | BMET  |
| <b>EntitlmntFxdt (Record Date)</b>        | ----- (Blocking required, but not simulated in the testing environment) |
| <b>Meeting Date</b>                       | 17.11.2021 XXXXXX   |
| <b>Registration Required</b>              | -----   |
| <b>VoteDdln (Vote Deadline)</b>           | 16.11.2021 XXXXXX   |
| <b>VoteMktDdln (Vote Market Deadline)</b> | 17.11.2021 XXXXXX   |
| <b>Vote Methods</b>                       | Multiple  |
| <b>Resolution Items</b>                   | Multiple  |

| Scenario |              | Security Name                              | Step 1             | Step 2  | Step 3  | Step 4  |
|----------|--------------|--|--------------------|---------|---------|---------|
| ISIN 1   | XS1115459528 | EUR 3,625 BANK OF COMMUNIC. (REGS) 14-2026 | Seev001<br>Seev003 | Seev004 | Seev006 | Seev007 |

Description: Bondholder Meeting, no Record Date, instruction flow and meeting results

Report filter “only SRD2 flagged events plus all DE ISINs” will exclude this event.

Meeting notifications (seev.001) will be sent on Monday morning. At the same time the event is available in the Xact Meeting Event Subdomain.

The event has no Record Date (Entitlement Fixing Date). Clearstream will not simulate the blocking of the instructed holdings.

Seev.003 NEWM Entitlement messages will be sent one Business Day before the deadline of the meeting date (16.11.2021).

Between Monday afternoon (around 14:00) and Tuesday morning (11:00) customers can send vote instructions via SWIFT message seev.004 or via Xact upload functionality in XML format.

Deadline for voting is on Tuesday morning.

Clearstream send instruction status messages (seev.006) on Tuesday afternoon. At the same time the messages are available in the Xact Meeting Event Subdomain.

Meeting Date is on Wednesday.

Clearstream send Vote Execution Confirmation (seev.007) on Wednesday. At the same time the messages are available in the Xact Meeting Event Subdomain. A seev.007 will only be sent when the vote execution confirmation identifier field in the seev.004 was provided/true ("yes").

Instruction Cancellations (seev.005) will not be considered or processed.

## 4.12 Testcase #12 (basics copied from case #2)

|   |                                    |
|---|------------------------------------|
| <b>Testcase</b>                           | #12, ISIN2                         |
| <b>Test Week</b>                          | Week 4                             |
| <b>ISIN</b>                               | DE000A0XYG76                       |
| <b>Security Name</b>                      | Deutsche Rohstoff AG (Namensaktie) |
| <b>Asset Type</b>                         | Share (Registered)                 |
| <b>Custody Type</b>                       | CSC                                |
| <b>Issuer Country</b>                     | Germany                            |
| <b>SRD2 flagged (Yes/No/-----)</b>        | FALSE                              |
| <b>Clearstream's Role</b>                 | Issuer-CSD                         |
| <b>Event type</b>                         | GMET                               |
| <b>EntitlmtFxdDt (Record Date)</b>        | 21.10.2021                         |
| <b>Meeting Date</b>                       | 17.11.2021 XXXXXX                  |
| <b>Registration Required</b>              | Yes                                |
| <b>VoteDdlN (Vote Deadline)</b>           | 16.11.2021 XXXXXXXX                |
| <b>VoteMktDdlN (Vote Market Deadline)</b> | 17.11.2021 XXXXXXXX                |
| <b>Vote Methods</b>                       | Multiple                           |
| <b>Resolution Items</b>                   | Multiple                           |

| Scenario | ISIN         | Security Name                      | Step 1             | Step 2                    | Step 3  | Step 4  | Step 5 | Step 6 |
|----------|--------------|------------------------------------|--------------------|---------------------------|---------|---------|--------|--------|
| ISIN 2   | DE000A0XYG76 | Deutsche Rohstoff AG (Namensaktie) | Seev001<br>Seev003 | Seev004<br>(Registration) | Seev006 | Seev007 |        |        |

Description: Meeting on a German Registered Share, Registration is required, instruction flow and meeting results

No account restrictions for this Asset Type.

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

Meeting notifications (seev.001) will be sent on Monday morning. At the same time the event is available in Xact Meeting Event Subdomain.

Seev.003 NEWM Entitlement messages will be sent at the same date, given, that the Entitlement Fixing Date is in the past.

Between Monday afternoon (around 14:00) and Tuesday morning (11:00) customers can send vote instructions and registration requests via SWIFT message seev.004 or via Xact upload functionality in XML format. The registration in German market system CASCADE RS has to be sent but will not be simulated by Clearstream. For German registered shares no blocking will be processed.

**Note:** If customers want to provide the shareholder ID of the company register (Aktionärsnummer), the seev.004 message has currently no dedicated field. The German market SWIFT group recommended late in October to use /Document/MtgInstr/SplmtryData/Envlp with element ←ComRegShID→ followed by the ID. This

will be an interim solution until the dedicated field is available with the next year SWIFT release. Clearstream will support the interim solution, but this change will not be ready in this test window. We kindly ask our customers to check our future announcements by when this information can be provided in production.

Deadline for voting is on Tuesday morning.

Clearstream send instruction status messages (seev.006) on Tuesday afternoon or Wednesday morning by the latest for valid registration instructions and vote instructions. At the same time the messages are available in the Xact Meeting Event Subdomain.

Meeting Date is on Wednesday.

Clearstream send Vote Execution Confirmation (seev.007) on Wednesday. At the same time the messages are available in the Xact Meeting Event Subdomain. A seev.007 will only be sent when the vote execution confirmation identifier field in the seev.004 was provided/true ("yes").

Instruction Cancellations (seev.005) will not be considered or processed.

### 4.13 Testcase #13 (basics copied from case #5)

|   |  |
|---|--|
| <b>Testcase</b>                           | #13, ISIN5                               |
| <b>Test Week</b>                          | Week 4                                   |
| <b>ISIN</b>                               | XS1115208107                             |
| <b>Security Name</b>                      | EUR 1,875 MORGAN STANLEY INT (G) 14-2023 |
| <b>Asset Type</b>                         | Bond                                     |
| <b>Custody Type</b>                       | NCSC-T                                   |
| <b>Issuer Country</b>                     | USA                                      |
| <b>SRD2 flagged (Yes/No/-----)</b>        | -----                                    |
| <b>Clearstream's Role</b>                 | ICSD                                     |
| <b>Event type</b>                         | BMET                                     |
| <b>EntitlmntFxdDt (Record Date)</b>       | 02.11.2021                               |
| <b>Meeting Date</b>                       | 19.11.2021 XXXXXX                        |
| <b>Registration Required</b>              | -----                                    |
| <b>VoteDdlN (Vote Deadline)</b>           | 18.11.2021 XXXXXX                        |
| <b>VoteMktDdlN (Vote Market Deadline)</b> | 18.11.2021 XXXXXX                        |
| <b>Vote Methods</b>                       | Multiple                                 |
| <b>Resolution Items</b>                   | Multiple                                 |

| Scenario | ISIN         | Security Name                            | Step 1             | Step 2  | Step 3 | Step 4 |
|----------|--------------|--|--------------------|---------|--------|--------|
| ISIN 5   | XS1115208107 | EUR 1,875 MORGAN STANLEY INT (G) 14-2023 | Seev001<br>Seev003 | Seev002 |        |        |

Description: Bondholder Meeting, cancellation of an event, no instructions received.

Report filter "only SRD2 flagged events plus all DE ISINs" will exclude this event.

Meeting notifications (seev.001) will be sent on Monday morning. At the same time the event is available in Xact Meeting Event Subdomain.

Seev.003 NEWM Entitlement messages will be sent with the notification, as the event has a Record Date (Entitlement Fixing Date) in the past.

On Monday afternoon the event will be cancelled by seev.002. At the same time the messages are available in the Xact Meeting Event Subdomain.

No further processing will apply.

#### 4.14 Testcase #14 (basics copied from case #8)

|   |                   |
|---|-------------------|
| <b>Testcase</b>                           | #14, ISIN8        |
| <b>Test Week</b>                          | Week 4            |
| <b>ISIN</b>                               | US5949181045      |
| <b>Security Name</b>                      | MICROSOFT CORP    |
| <b>Asset Type</b>                         | Share             |
| <b>Custody Type</b>                       | CSC               |
| <b>Issuer Country</b>                     | USA               |
| <b>SRD2 flagged (Yes/No/-----)</b>        | -----             |
| <b>Clearstream's Role</b>                 | ICSD/Investor-CSD |
| <b>Event type</b>                         | GMET              |
| <b>EntitlMntFxdDt (Record Date)</b>       | 02.11.2021        |
| <b>Meeting Date</b>                       | 17.11.2021        |
| <b>Registration Required</b>              | -----             |
| <b>VoteDdln (Vote Deadline)</b>           | 16.11.2021 XXXXXX |
| <b>VoteMktDdln (Vote Market Deadline)</b> | 17.11.2021 XXXXXX |
| <b>Vote Methods</b>                       | Multiple          |
| <b>Resolution Items</b>                   | Multiple          |

| Scenario | ISIN         | Security Name  | Step 1             | Step 2  | Step 3                 | Step 4 |
|----------|--------------|----------------|--------------------|---------|------------------------|--------|
| ISIN 8   | US5949181045 | MICROSOFT CORP | Seev001<br>Seev003 | Seev004 | Seev006<br>(Rejection) |        |

Description: Meeting, instruction flow with rejections from the market

No account restrictions for this Asset Type.

Report filter "only SRD2 flagged events plus all DE ISINs" will exclude this event.

Meeting notifications (seev.001) will be sent on Monday morning. At the same time the event is available in Xact Meeting Event Subdomain.

Seev.003 NEWM Entitlement messages will be sent together with the meeting notification, as the event has a Record Date (Entitlement Fixing Date) in the past.

Between Monday afternoon (around 14:00) and Tuesday morning (11:00) customers can send vote instructions via SWIFT message seev.004 or via Xact upload functionality in XML format.

Deadline for voting is on Tuesday morning.

Clearstream will reject all previously received instructions with a status messages (seev.006) on Tuesday afternoon or Wednesday morning by the latest. At the same time the messages are available in the Xact Meeting Event Subdomain.

No further processing will apply.



#### 4.15 Testcase #15 (basics copied from case #10)

|  |                                     |
|--|-------------------------------------|
| <b>Testcase</b>                            | #15, ISIN10                         |
| <b>Test Week</b>                           | Week 4                              |
| <b>ISIN</b>                                | DE0005588008                        |
| <b>Security Name</b>                       | Pilkington Deutschland Inhaberaktie |
| <b>Asset Type</b>                          | Share                               |
| <b>Custody Type</b>                        | CSC                                 |
| <b>Issuer Country</b>                      | Germany                             |
| <b>SRD2 flagged (Yes/No/-----)</b>         | TRUE                                |
| <b>Clearstream's Role</b>                  | Issuer-CSD                          |
| <b>Event type</b>                          | GMET                                |
| <b>EntitlmntFxdt (Record Date)</b>         | 03.11.2021                          |
| <b>Meeting Date</b>                        | 17.11.2021 XXXXX                    |
| <b>Registration Required</b>               | -----                               |
| <b>VoteDdlIn (Vote Deadline)</b>           | 16.11.2021 XXXXX                    |
| <b>VoteMktDdlIn (Vote Market Deadline)</b> | 17.11.2021 XXXXX                    |
| <b>Vote Methods</b>                        | Multiple                            |
| <b>Resolution Items</b>                    | Multiple                            |

| Scenario | ISIN         | Security Name                       | Step 1             | Step 2  | Step 3  | Step 4  | Step 5 | Step 6 |
|----------|--------------|-------------------------------------|--------------------|---------|---------|---------|--------|--------|
| ISIN 10  | DE0005588008 | Pilkington Deutschland Inhaberaktie | Seev001<br>Seev003 | Seev004 | Seev006 | Seev007 |        |        |

Description: Meeting, instruction flow and meeting results

No account restriction for this Asset Type.

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

Meeting notifications (seev.001) will be sent on Monday morning. At the same time the event is available in Xact Meeting Event Subdomain.

Seev.003 Entitlement messages will be sent together with the meeting notification, as the event has a Record Date (Entitlement Fixing Date) in the past.

Between Monday afternoon (around 14:00) and Tuesday morning (11:00) customers can send vote instructions via SWIFT message seev.004 or via Xact upload functionality in XML format.

Deadline for voting is on Tuesday morning.

Clearstream send instruction status messages (seev.006) on Tuesday afternoon. At the same time, the messages are available in the Xact Meeting Event Subdomain.

Meeting Date is on Wednesday.

Clearstream send Vote Execution Confirmations (seev.007) on Wednesday. At the same time the messages are available in the Xact Meeting Event Subdomain. A seev.007 will only be sent when the vote execution confirmation identifier field in the seev.004 was provided/true ("yes").