

# KCSL Manual

**List request certificate positions  
For customers of Clearstream Banking  
Frankfurt AG**

## KCSL Manual

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## Foreword

One of the responsibilities of Clearstream Banking AG is its function as custodian in accordance to the German Securities Deposit Act and the completion of all tasks related to this function.

Custodians for domestic securities are central depositories for the securities deposited and/or approved by their account holders. Collective custody only entitles the depositor to a certain fraction of all collective positions of the central depository in a class (co-fractional share).

Securities are kept separately in the vault according to their respective class. As a result, the customer is entitled to a portion of the collective safe custody account. He is not the owner of specific certificates, but only a certain number of arbitrary certificates in a class. This type of custody is therefore referred to as collective safe custody.

Clearstream is a central depository meaning it keeps all German securities for customers in its account, which are in collective safe custody as well as foreign securities, which are eligible in Germany and can be held in collective safe custody.

Securities, which can be effectively (individual certificates, technical global certificates) or permanently held in global certificates, are either split into certificate and coupon centrally in the CBF vaults depending on the class and deposit type, or kept exclusively as a certificate (if certificates without coupon are not eligible) or as a single sheet (certificate and coupon are firmly linked). T

Individual certificates in the respective vaults are kept either in block package or working stock.

The working stock includes all unpackaged certificates which are available for small-scale daily securities movements. The FIFO principle (First-in-first-out) applies to movements, that is, what comes in first is handled first. Global certificates (technical, interim, permanent global certificates and scrips) are generally kept in the working stock as they cannot be used for forming blocs.

If the physical working stock for a security reaches a corresponding number, the certificate and coupon are consolidated into blocks (500 or 1000 certificates are consolidated into 100 certificates each). On the other hand, blocks are dissolved in order to replenish excessively low working stock. If corresponding contracts with the issuers exist, positions that have not been moved are sealed in blocks. No detachment of coupons occurs and the blocks are therefore considered as ice block package stock.

Certificate-specific characteristics are stored in the certificate number administration tool CARAD (Central Application for Registration and Administration of Securities Document Numbers) for all certificates held in CBF. It contains the certificate number (for physical certificates) and lack and stop order marks.

In addition to a variety of online screens, there is also the possibility to request batch based analyses about the transaction KCSL described in this manual.

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# 1. General information about KCSL

## 1.1 List request certificate positions KCSL

List request is accessed via the Deutsche Börse Group start screen.

```
TRAN: MENU FC:      SB:

                               G r u p p e  D e u t s c h e  B o e r s e

Anwendungen stehen Ihnen aus folgenden Bereichen zur Verfuegung:

AK:  Clearstream Banking AG, Frankfurt   KS:  Clearstream Banking AG, Frankfurt
      International                       Domestic

BI:  XONTRO                               TR:  TRICE Meldewesen

WS:  Wertpapier - Service - System       EK:  Engagementkontrolle

BS:  Deutsche WertpapierService Bank AG SO:  Sonstige Dienstleistungen

TRAN=DSLE: SWIFT/MERVA

Verlassen IMS: TRAN=/RCL + evtl. vorh. Daten in FC, SB, ID-KZ, PW loeschen

-- ID-KZ: 7907230003 -- PW:              ----- B7907494 -- 06/12/06 -- 10:39:38 --

SY0096A BITTE WAEHLEN SIE AUS
```

Figure 1.1: Deutsche Börse AG start screen

Entering the function code "KS" accesses the Clearstream Banking, Frankfurt<sup>1</sup> start screen.

```

TRAN: MENU FC:      SB:

      C l e a r s t r e a m   B a n k i n g ,   F r a n k f u r t

Funktionsangebot fuer Clearstream Banking, Frankfurt - Domestic

CA:  CASCADE - Auftragsabwicklung WP      CE:  CARAD - Emissionsueberwachung
CG:  CASCADE - Auftragsabwicklung GELD   CP:  CARAD - Pruefstellen
CK:  CASCADE - Dienste                   CD:  CARAD - Stueckenummernverwaltung
CR:  CASCADE - Dienste Namensaktien     KU:  Kundenstammdaten
KA:  Kapitaldienste                       EO:  Allgemeine Dienste

-- ID-KZ: 7907230003 -- PW:              ----- B7907494 -- 06/12/06 -- 10:52:25 --
SY0096A BITTE WAEHLEN SIE AUS
    
```

Figure 1.2: Clearstream Banking, Frankfurt start screen

The function code "CD" must be selected here in order to access the selection screen for certificate number management.

```

TRAN: MENU FC:      SB:

CARAD                AUSWAHL TRESORVERWALTUNG
                    STUECKENUMMERNVERWALTUNG

BLOCKBESTAND                HANDBESTAND

ERFASSUNGSBESTAND          HE  ERFASSUNG
EE  ERFASSUNG              HA  AUSTRAGUNG/BLOCKBILDUNG
EA  AENDERUNG/LOESCHUNG   HI  INFORMATION
EK  KONTROLLE
EI  INFORMATION

STUECKENUMMERNBESTAND

SA  AENDERUNG/LOESCHUNG

SI  INFORMATION                REPORTING
SQ  QUITTIERUNG              KI  INFORMATION
SL  ANFORDERUNG LISTEN (BATCH)

PT  PHYSISCHER TRESORBESTAND
CV  KUPONVERWALTUNG

-- ID-KZ: 7907230003 -- PW:              ----- B7907494 -- 07/12/07 -- 14:57:38 --
KC0105I Funktion beendet, bitte wahlen Sie aus
    
```

Figure 1.3: Certificate number management selection screen

From there, selecting "SL" leads to the further menu for the list request.

1. Clearstream Banking refers in this document to Clearstream Banking AG, Frankfurt (CBF). CBF is a company of Deutsche Borse Group.



## 1.2 General description

Selecting the functioncode "SL" in the menu "Auswahl Tresorverwaltung Stückenummernverwaltung" (Selection vault management certificate number management) leads to the list request batch.

The user has the following options:

- Searching positions for a specific certificate number (for CBF internal purposes only); or
- Creating list requests.

The list request is issued by entering the corresponding function code and the additional selection with the PF3 key. The party issuing the request receives the list on the following day and/or one day after the requested date (print date).

```

TRAN: KCSL FC: US SB:

CARAD      A N F O R D E R U N G E N   L I S T E N   B A T C H

AG  Aktuelle Gesamtliste
AE  Aktuelle Einzelliste
AK  Aktuelle Kundendepotliste

EM  Aktuelle Bestandsauswertung emissionsbegleitendes Institut

nur CBF:

NV  Auftragsnummernverzeichnis
ST  Urkundensuche
US  Stückenummern zur Sammelurkunde

LB  Blockpostenliste

-- ID-KZ: 7999260001 -- PW:          ----- B7907494 -- 10/03/08 -- 10:50:23 --
KC0103I Verarbeitung abgebrochen
PF3:Rücksprung PF4:Abbruch

```

Figure 1.4: KCSL selection screen

**Note:** The certificate number search is performed online under TRAN: KCHI, FC: IS (for CBF internal purposes only).

## 1.3 Multi client capability

In general, all list requests are available for customers and CBF internal users under the transaction KCSL. Only the functions "Blockpostenliste" (Block package stock list) (LB), "Urkundensuche" (Certificate search) (ST), "Stücknummern zur Sammelurkunde" (Certificate number per global certificate) (US) and "Auftragsnummernverzeichnis" (Order number list) (NV) are reserved for CBF internal users.

Customers may only request the positions kept in the CBF vault where they are entered as the principle paying agent or the institution responsible for issuing certificates.

Branch offices can only request positions displayed by the head office if they access this function with a user ID from the head office.

Furthermore, customers also have the possibility under certain circumstances of obtaining analyses for their positions, which are stored in a third-party vault managed by.

CBF internal users can issue requests for CSC<sup>1</sup> positions and FTB<sup>2</sup> positions. Depositories and inhouse collecting positions are displayed here under the CSC vault positions.

With the function "AG - Gesamtliste" (AG - complete list), the field TRESOR-SEGM (VAULT-SEGM) has been introduced as an additional selection criterion to differentiate between the request for CBF or third-party safe custody positions.

On the other hand, the function "AE" exclusively concerns CBF vault positions and the function "AK" third party vault positions; that is, no additional criterion is necessary here.

### Customers

- If the function AG is set to TRESOR-SEGM (VAULT-SEGM) = 1, a check against the paying agent field and the field "emissionsbegleitendes Institut" (institution responsible for issuing certificates) is performed in WSIS KV. The bank (characters 1 to 4 of the user ID), must be entered either as the principle paying agent or the institution responsible for issuing certificates. A corresponding error message is issued in the event of an unsuccessful authorisation check.
- If the function AG is set to TRESOR-SEGM (VAULT-SEGM) = 2, no authorisation check is performed as the bank may be neither the paying agent nor the institution responsible for issuing certificates with respect to the individually deposited SVT positions. The first four characters of the user ID ensure that the user is only able to view his own SVT positions as they are always stored under the respective bank number.
- If the function AK or the function AG is set to TRESOR-SEGM (VAULT-SEGM) = 3, no authorisation check is performed as the bank may be neither the paying agent nor the institution responsible for issuing certificates with respect to the individually deposited FTB positions. The first four characters of the user ID ensure that the user is only able to view his own insourced vault positions as they are always stored under the respective bank number.

### CBF internal users

- No check is conducted if the function AG is set to TRESOR-SEGM (VAULT-SEGM) = 1.
- If the function AK or function AG is set to TRESOR-SEGM (VAULT-SEGM) = 2, the number of the desired third-party depository must also be specified in the new input field BANK.
- If the function AK or function AG is set to TRESOR-SEGM (VAULT-SEGM) = 3, the number of the desired third-party depository must also be specified in the input field BANK.

The field EMPFANGS-ABT. (RECEIVING DEPT.) is a required field for CBF internal users as it manages forwarding within.

1. CSC - Collective Safe Custody

2. FTB - Fremdtresorbestand (Third-party Safe Custody)

Customers may not make any entries in the EMPFANGS-ABT. (RECEIVING DEPT.) field.

## 1.4 Display of the WKN (Wertpapierkennnummer)

The usual identification numbers may be entered. The term WKN is understood as a securities identification number regardless of the form in which it is displayed (for example, ISIN, German WKN etc.). Entry options are as follows:

Field on the screen	Meaning	Formal correct	Input	Explanation	
WP-KENNUNG	Securities identification	1-character alpha-numerical	preset to "I"	Entry options:	
				B	Stock exchange code
				C	CUSIP number
				F	CEDEL-EURO number
				I	ISIN
W	Alphanumerical WKN				
WKN	Securities identification number	see explanation	required	The identification number corresponding to the WP-Kennung must be entered.	

The format of the designation displayed and/or printed for the WKN corresponds to that in the CASCADE transactions and KCKI and consists of the securities code and, if applicable the interest rate and interest date.

## 1.5 Certificate selection

These selection codes can be used with multi client list types to specify which information is to be displayed.

The following options are available:

- Selection I  
Inventarliste (Inventory list), that is, all certificate numbers for individual certificates and also with "AG - Gesamtliste" (AG - complete list)/ "AK - Aktuelle Kundendepotliste" (AK - third party vault positions) all global certificates with and without certificate numbers. Blocked, lack and replacement certificates and certificates with text information are included, but not expressly flagged.
- Selection O  
Only blocked and replacement certificates are printed. The blocked certificates are grouped according to the block reason. The blocked certificates and then the replacement certificates are displayed under one original code number.
- Selection M  
Only lack certificates and certificates with characteristics are printed. The lack certificates are grouped according to the lack reason and displayed separately according to the respective vault. All lacks and then certificates with characteristics are selected for each original code number.

- Selection T  
Only the certificates and/or global certificates with text information are printed. The texts are selected in ascending order according to the certificate number and/or collective number.

### 1.6 Output medium

The specified list types are available on a secure download page on the web site [www.deutsche-boerse.com](http://www.deutsche-boerse.com) once they have been created. Only registered users have access to this page upon logon with their user ID and password. This ensures that each user is only able to view the lists ordered by his own bank.

The list types are generated in list form. For some list types, there is the option of requesting this list as a CSV file (see [General format definitions for CSV files](#) on page 2-1). The output path remains the same in this case.

The following steps lead to the requested lists:

[www.deutsche-boerse.com](http://www.deutsche-boerse.com)

Select "Host File Service" under the heading "Einloggen" (Login).

The login prompt will follow:

Select "Vaults-list" under the heading "Clearstream Data".

### 1.7 PF keys

The following PF keys are used:

- PF3 Process;
- PF4 Cancel; back to the menu screen.

### 1.8 Print date

The execution date is to be entered in the field DRUCK-DATUM (PRINT DATE). If the execution date is not on a business day, then issue always occurs on the next business day. The field PRINT DATE is always preset with the current date, but can be overwritten. The entry in the field PRINT DATE may be up to 250 business days in the future. It is not possible to enter a date in the past.

When the print is initiated, an additional eligibility check is performed in order to determine whether the requesting user is also still eligible at this time. If the authorisation for the customer no longer exists, a "Kein-Bestand" (No Positions) list is created with the comment that eligibility is no longer in place.

## 2. General format definitions for CSV files

- The fields may not contain a semicolon as this is a delimiter for the individual columns. This is ensured by the upstream systems.
- The number of delimiters is the same in each record.
- The specified field sizes always represent maximum values.
- Numbers are displayed in German notation, a comma is therefore used for decimals. This character is included in the transfer and the fields are still considered numerical. With numerical fields, the transferred field parameter is one decimal place longer than in the description.
- Numbers do not contain any 1000 delimiters.
- No leading zeros are displayed, however, zeros after the decimal are displayed.  
Example:
  - A record consists of three numerical fields, each containing seven digits, four digits thereof in front of the decimal and three decimal places with the series of numbers

43,000	432,001	1234,999
--------	---------	----------

- CSV display: 43,000;432,001;1234,999
- Text fields do not contain any leading or following spaces.
- Blank fields are shown without any inserted spaces.  
Example:

1,11		5666	87999	12154
------	--	------	-------	-------

- CSV display: 1,11;;5666;87999;12154

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## 3. List request certificate list - customer vault (AK)

### 3.1 General description

---

The list provides an index of all individual and permanent global certificate positions for a customer reference.

The list can be refined through the entry of a WKN.

The individual certificates are printed separately by WKN and denomination. Then the permanent global certificates are listed according to collective number under the same original code number. Permanent global certificates are also printed, for which no certificate numbers have been entered.

This list type can be arithmetised or requested in filing order. Only the arithmetised list can be requested for the certificate selection T (text information).

Certificate numbers from deposited positions are only considered once the orders have been transferred (processing status = 990). Individual and permanent global certificates reserved for assignment are also not issued.

The printout always reflects the positions after performance of all certificate movements and KADI events in STD1 processing. This therefore concerns the final positions for the day that was specified as the print date.

If no positions were determined in accordance with the selection criteria at the time of printing or, if no eligibility exists for a bank, then a "Kein-Bestand" (no positions) list is generated.

### 3.2 Screen layout

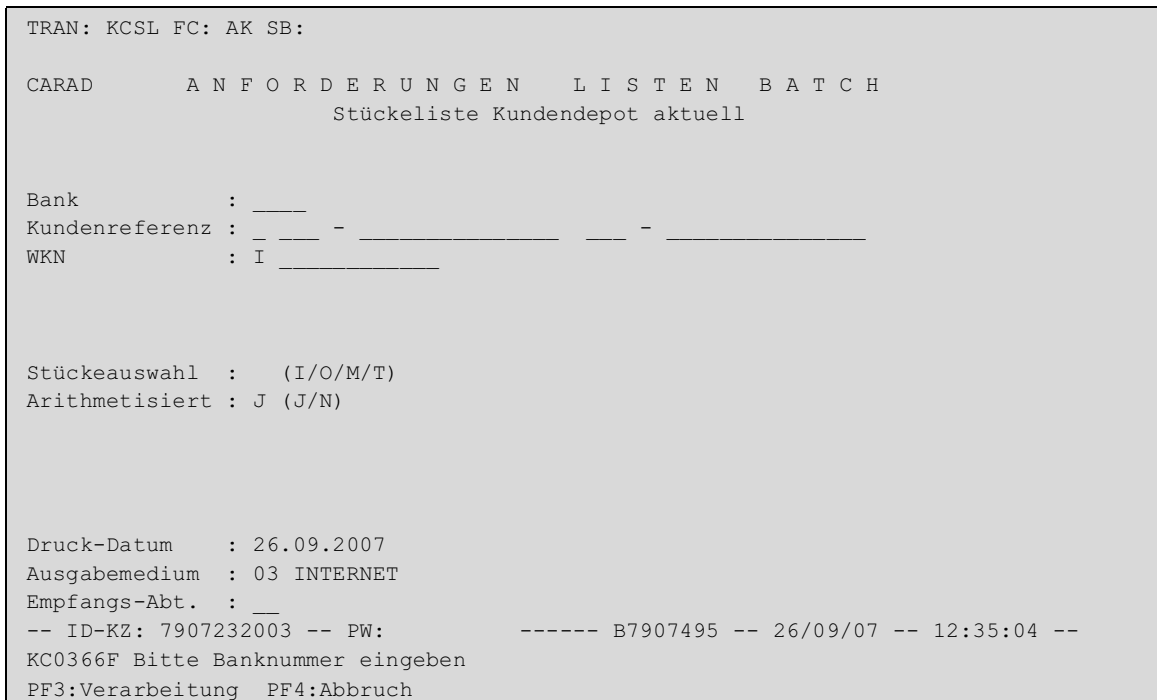


Figure 3.1: Customer vault selection screen

Selection criteria	
BANK	CBF: Required, CUSTOMER: Input not permitted
KUNDENREFERENZ (CUSTOMER REFERENCE)	Required
WKN	Optional
ARITHMETISIERT (J/N) (ARITHMETISED (Y/N))	Required, preset to J in the event of certificate selection T, the entry of N is not allowed
STUCKEAUSWAHL (I, O, M,T) (CERTIFICATE SELECTION)	Required
DRUCK-DATUM (PRINT DATE)	Required, preset to today's date
AUSGABEMEDIUM (OUTPUT MEDIUM)	Required
EMPFANGS-ABT. (RECEIVING DEPT)	CBF: Required CUSTOMER: Input not permitted

In addition to the customer reference, the list content can be further restricted through the entry of an WKN.



The specification of the mark for the certificate selection specifies which certificates should be individually displayed.

- Selection I  
Inventory list, that is, all certificate numbers for individual certificates and all global certificates with and without certificate numbers. Blocked, lack and replacement certificates are contained, but not expressly marked.
- Selection O  
Only blocked and replacement certificates.
- Selection M  
Only lack certificates and certificates with characteristics.
- Selection T  
Only securities/certificates with texts.

With "arithmetisiert (J/N)" (arithmetised (Y/N)), one can chose whether the order of the certificate numbers is in ascending or in filing order. The print date may not be in the past and is preset to the current date.

### 3.3 List layout

---

The list structure corresponds to that of the total current certificate list for a third-party vault.

This page has been intentionally left blank.

## 4. List request complete certificate number list (AG)

### 4.1 General description

This certificate list consists of up to three list types for an analysis of the CBF vault positions TRESOR-SEGM (VAULT SEGM) = 1.

- List type 1 comprises the positions for the individual certificates (block and individual certificates);
- List type 2 permanent global certificates; and
- List type 3 global certificates (up-to).

If no data exists for the positions, then nothing is displayed for this list type.

The certificate numbers for the individual certificates from working, blocked and ice block package stock are grouped within one WKN, safekeeping type, divergent security designation and denomination.

The complete list for a third-party vault comprises all three list types. If requested, it can be specified whether the certificate numbers are to be summarised under one WKN/safekeeping type for the individual certificates (independent from the customer reference) or whether identification by customer reference is desired.

The global certificates are printed within one list type under the same original code number in ascending order according to collective number. Global certificates are also displayed without certificate numbers.

The selection of the certificate numbers is arithmetised for all list types.

The positions are displayed independently of the vault type; the current vault type is applied in the event that lack, replacement and blocked certificates are displayed.

Identification occurs according to the entry in CARAD for RS<sup>1</sup> securities.

Certificate numbers from deposited positions are only considered once the orders have been transferred (processing status = 990). Certificates reserved for assignment (individual and global certificates) are also not displayed.

The printout always reflects the positions after performance of all certificate movements and KAD! events in STD processing. This therefore concerns the final positions for the day which was specified as the print date.

If no positions were determined in accordance with the selection criteria at the time of printing or if no authorisation exists for a bank, then a "Kein Bestand" (no positions) list is generated.

Different safekeeping types are assigned to the different vault segments.

KZ Vault segm. characteristic	Designation	Permissible safekeeping type	Preset for the safekeeping type
1	CSD - Collective Safe Custody	01, 03, 10	01
2	Specialised Custody	20, 22	20
3	Third-party Vault	30, 31	30
4	Precious Metal	40, 41	40
5	Other/only CARAD	92	92

1. RS - Registered shares.

```
TRAN: KCSL FC: AG SB: I#####  
  
CARAD      A N F O R D E R U N G E N   L I S T E N   B A T C H  
           Stückeliste Gesamt aktuell  
  
Tresor-Segm : _ (1-GS/2-SVT/3-FTB/4-METALL/5-SONST)  
Bank        : _____  
  
WKN         : I _____  
  
HLG-Art     : ____  
Stückeausswahl : _ (I/O/M/T)  
Referenziert : _ (J/N)  
  
Druck-Datum : 15.12.2009  
Ausgabemedium : ____  
Empfangs-Abt. : ____  
-- ID-KZ: 7003230003 -- PW:          ----- B7907494 -- 15/12/09 -- 12:28:43 --  
KC0697F Das Feld TRESOR-SEGEMENT muss noch gefuehlt werden  
PF3:Verarbeitung PF4:Abbruch
```

Figure 4.1: KCSL AG input screen

## List request complete certificate number list (AG)

Selection criteria					
TRESOR-SEGM (VAULT SEGM)	1	2	3	4	5
BANK	CBF: Required customer: Not permitted	CBF: Required customer: Not permitted	CBF: Required customer: Not permitted	Not permitted	Not permitted
WKN	Optional	Optional	Required	Required	Required
HLG-ART (SAFEKEEPING TYPE)	Optional; 1, 3, 10 or 92 only	Required; 20, 22 only	Optional; 30 only	Optional; 40, 41 only	Optional; 92 only
STUCKE- AUSWAHL (CERTIFICATE SELECTION) (I,O,M,T)	Required	Required	Required	Required	Required
REFERENZIERT (J/N) (REFERENCED (Y/N))	Required	Optional	Not permitted	Not permitted	Not permitted
DRUCK-DATUM (PRINT DATE)	Required, preset to today's date	Required, preset to today's date	Required, preset to today's date	Required, preset to today's date	Required, preset to today's date
AUSGABE- MEDIUM (OUTPUT MEDIUM)	Required 03 - Internet list 04 - Internet CSV file	Required 03 - Internet list 04 - Internet CSV file	Required 03 - Internet list 04 - Internet CSV file	Required 03 - Internet list 04 - Internet CSV file	Required 03 - Internet list 04 - Internet CSV file
EMPFANGS-ABT. (RECEIVING DEP.)	CBF: Required, only vault departments permitted customer: Not permitted	CBF: Required, only vault departments permitted customer: Not permitted	CBF: Required, only vault departments permitted customer: Not permitted	CBF: Required, only vault departments permitted customer: Not permitted	CBF: Required, only vault departments permitted customer: Not permitted

Entry of REFERENZIERT (J/N) (REFERENCED (Y/N) is only possible in connection with TRESOR-SEGM (VAULT SEGM) = 3.

If TRESOR-SEGM (VAULT SEGM) = 3 is selected, processing of the list occurs depending on the selection in WKN and REFERENZIERT (J/N) (REFERENCED (Y/N):

- If no WKN is entered and:
  - REFERENZIERT (J/N) (REFERENCED (Y/N) = N  
> comprehensive list processing per WKN according to KUNDENREFERENZ (CUSTOMER REFERENCE).  
All securities in the vault are listed independent of the customer reference. The customer reference is not printed in the list.
  - REFERENZIERT (J/N) (REFERENCED (Y/N) = J  
> List processing per WKN per KUNDENREFERENZ (CUSTOMER REFERENCE).  
All securities are issued for all customer references of the vault. The customer reference is printed in the list.
- If a WKN is entered and:
  - REFERENZIERT (J/N) (REFERENCED (Y/N) = N  
> comprehensive list processing for WKN according to KUNDENREFERENZ (CUSTOMER REFERENCE).  
The specified security for the vault is issued independent of the customer reference. The customer reference is not printed in the list.
  - REFERENZIERT (J/N) (REFERENCED (Y/N) = J  
> List processing per WKN and KUNDENREFERENZ (CUSTOMER REFERENCE).  
The security is issued for each customer reference for the vault. The customer reference is printed in the list.

The specification of the mark for the certificate selection specifies which certificates should be individually displayed, as follows:

Selection	Description
I	Inventory list, that is, all certificate numbers for individual certificates and all permanent global certificates/global certificates (up-to) with and without certificate numbers. Blocked, lack and replacement certificates are contained, but not expressly marked.
O	Only blocked and replacement certificates.
M	Only lack certificates and certificates with characteristics.
T (only permissible in the event of a third-party vault)	Only certificates with text.

The print date may not be in the past and is preset to the current date.

For the certificate selection I, a list (03) and a CSV file (04) may be chosen as the output medium.

## 4.2 List layout

### 4.2.1 Cover page

Clearstream Banking AG, Frankfurt Postfach 60485 Frankfurt am Main	TT.MM.JHJJ Seite: ZZZ9
Arithmetisierte Stückeliste Gesamtbestand	
Name	: XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX9 XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX9
Straße	: XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX9
PLZ/Postfach:	99999 XXXXXXXXXX
Land/PLZ/Ort:	X 99999 XXXXXXXXXXXXXXXXXXXXXXXX
Angefordert von User-ID 999999999 am TT.MM.JHJJ	
Anforderungsdaten	
Fremdtresor (J/N)	: X
Bank	: 9999 <Text >
WKN	: W XXXXX9 <WKN-Bezeichnung >
	I XXXXXXXXXXXXX9
Hinterlegungsart	: 99 <HLG-TEXT >
Stückeauswahl	: X <AUSWAHL-TEXT >
Referenziert (J/N)	: X
Druck-Datum	: TT.MM.JHJJ
Ausgabemedium	: X <AUSGABE-TEXT>
Empfangs-Abt.	: 99 <EMPFANGS-ABT-TEXT >

Figure 4.2: Cover page

This address is only printed if a customer requests the list. If CBF requests this, this part of the cover page remains blank.

In the event of request data, only the fields with entries/presets are printed.

The page numbering is continuous for all existing list types.

**4.2.2 Total current certificate list - certificate selection I - individual certificate list type**

```

Clearstream Banking AG, Frankfurt                               TT.MM.JHJJ
Postfach                                                       Seite:      ZZZ9
60485 Frankfurt am Main

      Arithmetisierte Stückeliste Gesamtbestand (Einzelurkunden)

Tresor      : 9999 <Text                                     >
Kundenreferenz : X XXX - XXXXXXXXXXXXXXXXXXXX XXX - XXXXXXXXXXXXXXXXXXXX
WKN         : I XXXXXXXXXXXXXXX9 <WKN-Bezeichnung                >
              W XXXXX9
Hinterlegungsart: 99 <HLG-TEXT                                 >
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung            >
Stückelung   : ZZZ.ZZZ.ZZZ.ZZ9,999                          Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Nominale     : ZZZ.ZZZ.ZZZ.ZZ9,999

Stückenummern
<Stückenummern                                           >
<Stückenummern                                           >
<Stückenummern                                           >
<Stückenummern                                           >
<Stückenummern                                           >
<Stückenummern                                           >
<Stückenummern                                           >
<Stückenummern                                           >
<Stückenummern                                           >
<Stückenummern                                           >
<Stückenummern                                           >
<Stückenummern                                           >
<Stückenummern                                           >
<Stückenummern                                           >
<Stückenummern                                           >
<Stückenummern                                           >
<Stückenummern                                           >
<Stückenummern                                           >
<Stückenummern                                           >
<Stückenummern                                           >
<Stückenummern                                           >
<Stückenummern                                           >

*** Fortsetzung Seite ZZZ9 ***

```

Figure 4.3: Total current certificate list I individual certificates

If there are no individual certificates, block packages or ice block packages for the request data, this list type is omitted and not replaced.

The vault line is only printed if a third-party vault is selected and the customer reference is only printed if referencing J has been selected. The continuation line is only printed if a new page is required within the lowest group level, that is, if more than one page is issued for a denomination. In this case, only the denomination is repeated on the following page except for the first three lines.

If the safekeeping type or designation changes, a page break is always inserted if the safekeeping type, divergent security designation or denomination changes, whereupon the entire top of the page is reprinted on the following page.



### 4.2.3 Total current certificate list - certificate selection I - global certificate list type

#### Permanent global certificates

Clearstream Banking AG, Frankfurt Postfach 60485 Frankfurt am Main	TT.MM.JHJJ Seite: ZZZ9
Arithmetisierte Stückeliste Gesamtbestand (Globalurkunden)	
Tresor : 9999 <Text >	
Kundenreferenz : X XXX - XXXXXXXXXXXXXXXXXX XXX - XXXXXXXXXXXXXXXXXX	
WKN : I XXXXXXXXXXXXXXX9 <WKN-Bezeichnung >	
W XXXXX9	
Hinterlegungsart: 99 <HLG-TEXT >	
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung >	
Ord/Sammel-Nr : ZZZZZ9 / ZZZZZ9	Nom-Sammel : ZZZ.ZZZ.ZZZ.ZZ9,999
Status : 999 <Text >	
Bes-Stk : ZZ9 <Text >	
Einlief-Grund : ZZ9 <Text >	
Anzahl Stückelung Stückenummern	
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern >	
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern >	
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern >	
Ord/Sammel-Nr : ZZZZZ9 / ZZZZZ9	Nom-Sammel : ZZZ.ZZZ.ZZZ.ZZ9,999
Status : 999 <Text >	
Bes-Stk : ZZ9 <Text >	
Einlief-Grund : ZZ9 <Text >	
Keine Stücke zur Urkunde hinterlegt	
Ord/Sammel-Nr : ZZZZZ9 / ZZZZZ9	Nom-Sammel : ZZZ.ZZZ.ZZZ.ZZ9,999
Status : 999 <Text >	
Bes-Stk : ZZ9 <Text >	
Einlief-Grund : ZZ9 <Text >	
Anzahl Stückelung Stückenummern	
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern >	
*** Fortsetzung Seite ZZZ9 ****	

Figure 4.4: Total current certificate list I permanent global certificates

If no permanent global certificates are found for the request data, then this part of the total list is omitted without replacement. The vault line is only printed if a third-party vault is selected and the customer reference is only printed if referencing J has been selected.

Permanent global certificates are displayed in ascending order according to collective number. If a certificate does not contain certificate numbers, then a corresponding notice "Keine Stücke zur Urkunden hinterlegt" (No shares deposited for the certificates) is printed. If the safekeeping type or divergent security designation changes, a page break occurs and the entire list header is reprinted on the following page.

If the remaining lines on the current page are insufficient for printing the block with the certificate data (lines organisation/collective number, status, characteristic and deposit reason) and if the collective number is changed, then these lines are all reprinted on a new page. In this case, the continuation line is reprinted on the current page. The continuation line is also printed if a page change is required within the lowest group level, that is, if more denominations/certificate numbers exist for a permanent global certificate than can be displayed on the current page. In this case, only the organisation and collective number are repeated on the following page except for the first three lines.

**Global certificate (up-to)**

Clearstream Banking AG, Frankfurt Postfach 60485 Frankfurt am Main	TT.MM.JHJJ Seite: ZZZ9
Arithmetisierte Stückeliste Gesamtbestand (Rahmenurkunden)	
Tresor : 9999 <Text >	
Kundenreferenz : X XXX - XXXXXXXXXXXXXXXXXX XXX - XXXXXXXXXXXXXXXXXX	
WKN : I XXXXXXXXXXXXXXXX9 <WKN-Bezeichnung >	
W XXXXX9	
Hinterlegungsart: 99 <HLG-TEXT >	
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung >	
Ord/Sammel-Nr : ZZZZZ9 / ZZZZZ9	Nom-Sammel : ZZZ.ZZZ.ZZZ.ZZ9,999
Status : 999 <STATUS-TEXT >	Rahmen-Nom : ZZZ.ZZZ.ZZZ.ZZ9
Bes-Stk : ZZ9 <TEXT >	Nom-Dispositiv : ZZZ.ZZZ.ZZZ.ZZ9,999
Einlief-Grund : ZZ9 <TEXT >	Nom-Offen : ZZZ.ZZZ.ZZZ.ZZ9,999
Anzahl Stückelung Stückenummern	
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern >	
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern >	
Ord/Sammel-Nr : ZZZZZ9 / ZZZZZ9	Nom-Sammel : ZZZ.ZZZ.ZZZ.ZZ9,999
Status : 999 <STATUS-TEXT >	Rahmen-Nom : ZZZ.ZZZ.ZZZ.ZZ9
Bes-Stk : ZZ9 <TEXT >	Nom-Dispositiv : ZZZ.ZZZ.ZZZ.ZZ9,999
Einlief-Grund : ZZ9 <TEXT >	Nom-Offen : ZZZ.ZZZ.ZZZ.ZZ9,999
Anzahl Stückelung Stückenummern	
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZ9,999 <Stückenummern >	
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZ9,999 <Stückenummern >	
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZ9,999 <Stückenummern >	
Ord/Sammel-Nr : ZZZZZ9 / ZZZZZ9	Nom-Sammel : ZZZ.ZZZ.ZZZ.ZZ9,999
Status : 999 <STATUS-TEXT >	Rahmen-Nom : ZZZ.ZZZ.ZZZ.ZZ9
Bes-Stk : ZZ9 <TEXT >	Nom-Dispositiv : ZZZ.ZZZ.ZZZ.ZZ9,999
Einlief-Grund : ZZ9 <TEXT >	Nom-Offen : ZZZ.ZZZ.ZZZ.ZZ9,999
Keine Stücke zur Urkunde hinterlegt	
*** Fortsetzung Seite ZZZ9 ***	

**Figure 4.5: Total current certificate list | global certificates (up-to)**

If no global certificates (up-to) are found for the request data, then this part of the total list is omitted without replacement. The vault line is only printed if a third-party vault is selected and the customer reference is only printed if referencing J has been selected.

Global certificates (up-to) are displayed in ascending order according to collective number. If a certificate does not contain certificate numbers, then a corresponding notice "Keine Stücke zur Urkunden hinterlegt" (No shares deposited for the certificates) is printed. If the safekeeping type or divergent security designation changes, a page break occurs and the complete header is reprinted on the following page. If the safekeeping type/security designation stays the same, it must be ensured, if the page changes, that the break does not occur within the block with the certificate data (line organisation/collective number, status, characteristic and deposit reason), but that these lines are completely printed on a new page. In this case, the continuation line is reprinted on the current page. The continuation line is also printed if a page change is required within the lowest group level, that is, if there are more denominations/certificate numbers exist for a global certificate (up-to) than can be displayed on the current page. In this case, only the organisation and collective number are repeated on the following page except for the first three lines.

#### 4.2.4 Total current certificate list - certificate selection 0 - individual certificate list type

Clearstream Banking AG, Frankfurt	TT.MM.JHJJ
Postfach	Seite: ZZ9
60485 Frankfurt am Main	
Arithmetisierte Stückeliste Gesamtbestand (Einzelurkunden)	
Oppositionen / Ersatzstücke	
Tresor : 9999 <Text	>
Kundenreferenz : X XXX - XXXXXXXXXXXXXXXXXX XXX - XXXXXXXXXXXXXXXXXX	
WKN : I XXXXXXXXXXXXXXX9 <WKN-Bezeichnung	>
W XXXXX9	
Hinterlegungsart: 99 <HLG-TEXT	>
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung	>
Stückelung : ZZZ.ZZZ.ZZZ.ZZ9,999	
Oppositionsstücke :	Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Oppositionsgrund 99 <Text Oppositionsgrund	
Stückenummern	
<Stückenummern	>
<Stückenummern	>
Oppositionsgrund 99 <Text Oppositionsgrund	
Stückenummern	
<Stückenummern	>
<Stückenummern	>
Ersatzstücke:	Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Stückenummern	
<Stückenummern	>
<Stückenummern	>
*** Fortsetzung Seite ZZ9 ***	

Figure 4.6: Total current certificate list 0 individual certificates

This part of the list is only issued if individual certificates are found for the selection criteria for which stop orders have been issued or where replacement certificates are concerned.

In the event of a page change the same criteria apply as with certificate selection I.

## 4.2.5 Total current certificate list - certificate selection 0 - global certificate list type

### Permanent global certificates

Clearstream Banking AG, Frankfurt Postfach 60485 Frankfurt am Main	TT.MM.JHJJ Seite: ZZZ9
Arithmetisierte Stückeliste Gesamtbestand (Globalurkunden) Oppositionen / Ersatzstücke	
Tresor : 9999 <Text >	
Kundenreferenz : X XXX - XXXXXXXXXXXXXXXXXX XXX - XXXXXXXXXXXXXXXXXX	
WKN : I XXXXXXXXXXXXXXXX9 <WKN-Bezeichnung >	
W XXXXX9	
Hinterlegungsart: 99 <HLG-TEXT >	
Abw. Gattungsbez: ZZ9 <<Text Abweichende Bezeichnung >	
Ord/Sammel-Nr : ZZZZZ9 / ZZZZZ9	
Status : 999 <Text >	
Bes-Stk : ZZ9 <Text >	
Einlief-Grund : ZZ9 <Text >	
Oppositionsstücke :	Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Oppositionsgrund 99 <Text Oppositionsgrund	
Anzahl Stückelung Stückenummern	
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern >	
Oppositionsgrund 99 <Text Oppositionsgrund	
Anzahl Stückelung Stückenummern	
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern >	
Ord/Sammel-Nr : ZZZZZ9 / ZZZZZ9	
Status : 999 <Text >	
Bes-Stk : ZZ9 <Text >	
Einlief-Grund : ZZ9 <Text >	
Oppositionsstücke :	Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Oppositionsgrund 99 <Text Oppositionsgrund	
ANZAHL STÜCKELUNG STUECKENUMMERN	
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern >	
Ersatzstücke :	Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Anzahl Stückelung Stückenummern	
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern >	
*** Fortsetzung Seite ZZZ9 ***	

Figure 4.7: Total current certificate list 0 permanent global certificates

This part of the list is only issued if permanent global certificates are found for the selection criteria which have blocked and/or replacement certificates.

In the event of a page change the same criteria apply as with certificate selection I.

# List request complete certificate number list (AG)

## Global certificate (up-to)

```

Clearstream Banking AG, Frankfurt
Postfach
60485 Frankfurt am Main
TT.MM.JHJJ
Seite: ZZZ9

Arithmetisierte Stückeliste Gesamtbestand (Rahmenurkunden)
Oppositionen / Ersatzstücke
Tresor : 9999 <Text >
Kundenreferenz : X XXX - XXXXXXXXXXXXXXXXXX XXX - XXXXXXXXXXXXXXXXXX
WKN : I XXXXXXXXXXXXXXX9 <WKN-Bezeichnung >
W XXXXX9
Hinterlegungsart: 99 <HLG-TEXT >
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung >

Ord/Sammel-Nr : ZZZZZ9 / ZZZZZ9
Status : 999 <Text >
Bes-Stk : ZZ9 <Text >
Einlief-Grund : ZZ9 <Text >

Oppositionsstücke : Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Oppositionsgrund 99 <Text Oppositionsgrund
Anzahl Stückelung Stückenummern
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern >

Ersatzstücke : Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Anzahl Stückelung Stückenummern
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern >

Ord/Sammel-Nr : ZZZZZ9 / ZZZZZ9
Status : 999 <Text >
Bes-Stk : ZZ9 <Text >
Einlief-Grund : ZZ9 <Text >

Ersatzstücke : Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Anzahl Stückelung Stückenummern
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern >

*** Ende der Liste ****

```

Figure 4.8: Total current certificate list 0 global certificates (up-to)

This part of the list is only issued if global certificates (up-to) are found for the selection criteria which have blocked and/or replacement certificates.

In the event of a page change the same criteria apply as with certificate selection I.

### 4.2.6 Total current certificate list - certificate selection M - individual document list type

```

Clearstream Banking AG, Frankfurt                                TT.MM.JHJJ
Postfach                                                         Seite:      ZZ9
60485 Frankfurt am Main

    Arithmetisierte Stückeliste Gesamtbestand (Einzelkunden)
        Mängel / Besonderheiten
Tresor      : 9999 <Text                                     >
Kundenreferenz : X XXX - XXXXXXXXXXXXXXXXXXXX XXX - XXXXXXXXXXXXXXXXXXXX
WKN         : I XXXXXXXXXXXXXXX9 <WKN-Bezeichnung          >
            W XXXXX9
Hinterlegungsart: 99 <HLG-TEXT                               >
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung       >
Stückelung   : ZZZ.ZZZ.ZZZ.ZZ9,999

Mangelstücke :                                               Anzahl Urkunden: ZZZ.ZZZ.ZZ9

Mangelgrund 99 <Text Mangelgrund
Stückenummern Mantel
<Stückenummern                                             >
<Stückenummern                                             >

Stückenummern Bogen
<Stückenummern                                             >

Mangelgrund 99 <Text Mangelgrund
Stückenummern Mantel
<Stückenummern                                             >

Stückenummern Bogen
<Stückenummern                                             >

Besonderheiten :                                               Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Stückenummern
<Stückenummern                                             >
<Stückenummern                                             >

*** Fortsetzung Seite ZZ9 ***
    
```

Figure 4.9: Total current certificate list M individual certificates

This part of the list is only issued if individual certificates with lacks or characteristics are found for the selection criteria.

In the event of a page change the same criteria apply as with certificate selection I.

## 4.2.7 Total current certificate list - certificate selection M - global certificate list type

### Permanent global certificates

Clearstream Banking AG, Frankfurt	TT.MM.JHJJ
Postfach	Seite: ZZZ9
60485 Frankfurt am Main	
Arithmetisierte Stückeliste Gesamtbestand (Globalurkunden)	
Mängel / Besonderheiten	
Tresor : 9999 <Text >	
Kundenreferenz : X XXX - XXXXXXXXXXXXXXXX XXX - XXXXXXXXXXXXXXXX	
WKN : I XXXXXXXXXXXXX9 <WKN-Bezeichnung >	
W XXXXX9	
Hinterlegungsart: 99 <HLG-TEXT >	
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung >	
Ord/Sammel-Nr : ZZZZZ9 / ZZZZZ9	
Status : 999 <Text >	
Bes-Stk : ZZ9 <Text >	
Einlief-Grund : ZZ9 <Text >	
Mangelstücke :	Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Mangelgrund 99 <Text Mangelgrund	
Anzahl Stückelung Stückenummern Mantel	
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern >	
Anzahl Stückelung Stückenummern Bogen	
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern >	
Ord/Sammel-Nr : ZZZZZ9 / ZZZZZ9	
Status : 999 <Text >	
Bes-Stk : ZZ9 <Text >	
Einlief-Grund : ZZ9 <Text >	
Besonderheiten :	Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Anzahl Stückelung Stückenummern	
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern >	
*** Fortsetzung Seite ZZZ9 ****	

Figure 4.10: Total current certificate list M permanent global certificates

This part of the list is only issued if permanent global certificates with a lack or characteristic are found for the selection criteria.

In the event of a page change the same criteria apply as with certificate selection I.

**Global certificate (up-to)**

Clearstream Banking AG, Frankfurt	TT.MM.JHJJ
Postfach	Seite: ZZZ9
60485 Frankfurt am Main	
Arithmetisierte Stückeliste Gesamtbestand (Rahmenurkunden)	
Mängel / Besonderheiten	
Tresor : 9999 <Text	>
Kundenreferenz : X XXX - XXXXXXXXXXXXXXXXXX XXX - XXXXXXXXXXXXXXXXXX	
WKN : I XXXXXXXXXXXXXXXX9 <WKN-Bezeichnung	>
W XXXXX9	
Hinterlegungsart: 99 <HLG-TEXT	>
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung	>
Ord/Sammel-Nr : ZZZZZ9 / ZZZZZ9	
Status : 999 <Text	>
Bes-Stk : ZZ9 <Text	>
Einlief-Grund : ZZ9 <Text	>
Mangelstücke :	Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Mangelgrund 99 <Text Mangelgrund	
Anzahl Stückelung Stückenummern Mantel	
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern	>
Anzahl Stückelung Stückenummern Bogen	
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern	>
Ord/Sammel-Nr : ZZZZZ9 / ZZZZZ9	
Status : 999 <Text	>
Bes-Stk : ZZ9 <Text	>
Einlief-Grund : ZZ9 <Text	>
Besonderheiten :	Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Anzahl Stückelung Stückenummern	
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern	>
*** Ende der Liste ***	

Figure 4.11: Total current certificate list M global certificates (up-to)

This part of the list is only issued if global certificates (up-to) with a lack or characteristic are found for the selection criteria.

In the event of a page change the same criteria apply as with certificate selection I.



## 4.2.8 Total current certificate list - certificate selection T - individual certificate list type

Clearstream Banking AG, Frankfurt	TT.MM.JHJJ
Postfach	Seite: ZZ9
60485 Frankfurt am Main	
Arithmetisierte Stückeliste Gesamtbestand (Einzelurkunden)	
Textinformationen	
Tresor : 9999 <Text >	
Kundenreferenz : X XXX - XXXXXXXXXXXXXXXXXX XXX - XXXXXXXXXXXXXXXXXX	
WKN : I XXXXXXXXXXXXXXX9 <WKN-Bezeichnung >	
W XXXXX9	
Hinterlegungsart: 99 <HLG-TEXT >	
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung >	
Stückelung : ZZZ.ZZZ.ZZZ.ZZ9,999	
Stücknummer <Stücknummer >	
<Text zur Urkunde >	
<Text zur Urkunde >	
<Text zur Urkunde >	
Stücknummer <Stücknummer >	
<Text zur Urkunde >	
<Text zur Urkunde >	
Stücknummer <Stücknummer >	
<Text zur Urkunde >	
<Text zur Urkunde >	
<Text zur Urkunde >	
<Text zur Urkunde >	
*** Fortsetzung Seite ZZ9 ***	

Figure 4.12: Total current certificate list T individual certificates

This part of the list is only issued for individual certificates which correspond to the selection criteria and for which text information exists.

In the event of a page change the same criteria apply as with certificate selection I.

## 4.2.9 CSV file inventory list of positions for a security (vault segments 1/5)

It is possible to obtain an analysis of this list request in CSV file format via Fileservice /Internet Download Area.

The selection criteria must be specified as follows:

Selection criteria	
TRESOR-SEGM (VAULT SEGM)	1 or 5
BANK	Customer/outsourcer: Input not permitted
WKN	Required
HLG (SAFEKEEPING TYPE)	Optional
REFERENZIERT (J/N) (REFERENCED)	Y
STUCKEAUSWAHL (I,O,M,T) (CERTIFICATE SELECTION)	I
DRUCK-DATUM (PRINT DATE)	Required, preset to today's date
AUSGABEMEDIUM (OUTPUT MEDIUM)	4
EMPFANGS-ABT (RECEIVING DEPT)	CBF: Required Customer/outsourcer: Input not permitted

The analysis for each list request of this type is issued in a CSV file. In order to distinguish the data of the individual list requests for one day from each other, a serial number beginning with 1 is assigned to each customer and each receiving department.

The file contains three headlines and then the data lines. The characters of general data concerning the list request and characters concerning the fields to be issued appear as headlines.

The issue is sorted according to safekeeping type, denominations in a safekeeping type and collective numbers in a safekeeping type in ascending order. Certificates with divergent security designations are contained in the denomination of the corresponding security.

No certificate numbers are issued, but instead only the quantity of certificates and sums of the nominals within a denomination.

For individual certificates, the certificate numbers of working stock, block package and ice block package stock are applied to determine the numerical sum and quantity of certificates.

Global certificates without certificate numbers are displayed for global certificates. The fields STUECKELUNG (DENOMINATION) and ANZAHL URKUNDEN (NUMBER OF CERTIFICATES) are not displayed even if shares exist for a global certificate.

A field record type is set in front of the headlines and data lines. The record type defines the type of output line. The headline with the character for the general fields is marked with U1, the headline with the data for the general fields with U2, the headline with the character for the fields issued with U3, the data lines of individual certificates with D1 and the data lines of global certificates with D2.

Identification occurs according to the entry in CARAD for RS securities.

Certificate numbers from deposited positions are only considered once the orders have been transferred (processing status = 990). Certificates reserved for assignment (individual and global certificates) are not displayed.

The printout always reflects the positions after performance of all certificate movements and KADI events in STD processing. This therefore concerns the final positions for the day which was specified as the print date.

## List request complete certificate number list (AG)

If no positions were determined in accordance with the selection criteria at the time of printing or if no authorisation exists for a bank, then only the headlines are issued.

### Name of the CSV file

The analysis "Inventarliste Uber -Bestand zu einer Gattung" (Inventory list of positions for a security) is included in the CBF file service in accordance with the other KCSL lists and made available on the internet for customers.

In order for a customer to quickly and easily access the correct analysis, the file name of the analysis for requests entered by CBF contains the following information:

1. KS&BANK-NR.01 Depository trust company number of the requesting customer
2. KCSL Transaction with which the report was requested
3. JR662351 for marking which list/analysis is present
4. L&lfd. Nummer for differentiating in the event multiple list requests were requested for one print date
5. D&Druckdatum

**Example:** KS7999.01.KCSL.JR662351.L001.D100303.T154435.ADC

1.      2.      3.      4.      5

The files are provided to the customers in encrypted form and must be decrypted using the FLAM software.

### Data

The analysis of the positions for a certain security in the CBF vault is issued in CSV file format and has the following structure:

```
1.Überschriftszeile: Literale der allgemeinen Daten einer LIA
2.Überschriftszeile: allgemeine Daten einer LIA
3.Überschriftszeile: Literale der ausgegebenen Daten einer LIA
1.Datenzeile zur LIA
2.Datenzeile zur LIA
....
```

Figure 4.1: Header of a CSV file

The different fields within a line are separated by a semicolon.

The 1st headline contains the following fields in the order:

- U1 - Identifies this line as a headline with general data.
- EMPFAENGER (RECIPIENT);
- DRUCKDATUM (PRINT DATE);
- LFD-NR (CURRENT NUMBER);
- ISIN;
- WKN-BEZ (ISIN DESIGNATION);
- HLG (SAFEKEEPING TYPE);
- HLG-TEXT (SAFEKEEPING TYPE TEXT).

The 2nd headline contains the following data in the format and order described below:

- U2 - Identifies this line as the headline with general data.
- Recipient  
The field is numerical and contains 4 digits.

- Print date  
The field contains 10 characters in the format DD.MM.YYYY.
- The serial number for the list request  
The field contains 3 digits and is numerical.
- ISIN  
The field is alphanumerical and contains 12 characters.
- ISIN designation  
The field is alphanumerical and contains 35 characters. If no designation exists for a security, a SPACE is entered in the field.
- Safekeeping type  
The field contains two characters, is alphanumerical and only its headline is edited if the analysis was restricted to a specific safekeeping type during entry. Otherwise a SPACE is entered in the field.
- Safekeeping type text  
The field contains 35 characters, is alphanumerical and only its headline is edited if the analysis was restricted to a specific safekeeping type during entry and one text exists for the specific safekeeping type. Otherwise a SPACE is entered in the field.

The 3rd headline contains the following field in the order:

- U3 - Identifies this line as a headline with fields of the issued data.
- HLG (SAFEKEEPING TYPE);
- HLG-TEXT (SAFEKEEPING TYPE TEXT);
- STUECKELUNG (DENOMINATION);
- SUMME NOMINALE (TOTAL NOMINALS);
- ANZAHL URKUNDEN (NUMBER OF CERTIFICATES);
- SAMMEL-NR (COLLECTIVE NUMBER);
- ORD-NR (NUMBER);
- NOMINALE SAMMEL (COLLECTIVE NOMINALS);
- RAHMEN-NOMINALE (UP-TO NOMINAL);
- NOMINALE-OFFEN (PENDING NOMINAL);
- NOMINALE-DISPOSITIV (NOMINAL ANTICIPATED);
- STATUS;
- STATUS-TEXT;
- EINLIEF-GRUND (DEPOSIT REASON);
- EINLIEF-GRUND-TEXT (DEPOSIT REASON TEXT).

The data lines contain the following data in the format and order described below..

- D1 - Identifies this line as a data line for individual certificates.  
or D2 - Identifies this line as a data line for global certificates.
- Safekeeping type  
The field is numerical and contains 2 digits.
- Safekeeping type text  
The field is alphanumerical and contains 35 characters. If no safekeeping type text exists for the certificate, a SPACE is entered in the field.

## List request complete certificate number list (AG)

- Denomination  
The field is numerical and contains 15 digits with 12 digits in front of the decimal and 3 decimal places. If no individual certificate exists, a SPACE is entered in the field.
- Total nominals (per denomination)  
The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no individual certificate exists, a SPACE is entered in the field.
- Number of certificates (per denomination)  
The field is numerical and contains 9 digits. If no individual certificate exists, a SPACE is entered in the field.
- Collective number (per denomination)  
The field is numerical and contains 6 digits. If a certificate does not have a collective number, a SPACE is entered in the field.
- Organisation number  
The field is numerical and contains 6 digits. If a certificate does not have a organisation number, a SPACE is entered in the field.
- Collective nominals  
The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate exists, a SPACE is entered in the field.
- Up-to nominal  
The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate (up-to) exists, a SPACE is entered in the field.
- Pending nominal  
The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate (up-to) exists, a SPACE is entered in the field.
- Nominal anticipated  
The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate (up-to) exists, a SPACE is entered in the field.
- Status  
The field contains 3 digits and is numerical. If no global certificate exists, a SPACE is entered in the field.
- Status text  
The field contains 35 characters and is alphanumerical. If no global certificate exists or there is no text for the certificate, a SPACE is entered in the field.
- Deposit reason  
The field is numerical and contains 2 digits. If no global certificate exists, a SPACE is entered in the field.
- Deposit reason text  
The field is alphanumerical and contains 20 digits. If no deposit reason text exists for the certificate, a SPACE is entered in the field.

The total of nominals and number of certificates includes the sum of the certificate numbers for the individual certificates from the hand, block and ice block package stock within a specific safekeeping type and denomination. Certificates that have either been opposed or that are missing or have been replaced are included, but are not explicitly identified.

**Layout**

The headlines and data lines described above for a CSV file result in the following layout:

```

U1;EMPFAENGER;DRUCKDATUM;LFD.NR;ISIN;WKN-BEZ;HLG;HLG-TEXT;
U2;20;24.11.2010;1;DE0008474040;DWS INTER-RENTA;;;
U3;HLG;HLG-TEXT;STUECKELUNG;SUMME NOMINALE;ANZAHL URKUNDEN;SAMMEL-NR;ORD-NR;NOMINALE-
SAMMEL;RAHMEN-NOMINALE;NOMINALE-OFFEN;NOMINALE-DISPOSITIV;STATUS;STATUS-TEXT;EINLIEF-
GRUND;EINLIEF-GRUND-TEXT;
D2;1;GS;;;230;121;18005824,931;800000000,000;781839883,069;154292,000;500;KONTROLLIE
RT;1;AUS EMISSION;
D1;1;GS;1,000;94414,000;94414;;;;;;
D1;1;GS;10,000;3321780,000;332178;;;;;;
D1;1;GS;100,000;29060500,000;290605;;;;;;
D1;1;GS;500,000;1343000,000;2686;;;;;;
D1;1;GS;1000,000;792000,000;792;;;;;;
D1;3;GS VORRATSL. BANK;1,000;220823,000;220823;;;;;;
D1;3;GS VORRATSL. BANK;10,000;760210,000;76021;;;;;;
D1;3;GS VORRATSL. BANK;100,000;10900200,000;109002;;;;;;
D1;3;GS VORRATSL. BANK;500,000;59533000,000;119066;;;;;;
D1;3;GS VORRATSL. BANK;1000,000;33258000,000;33258;;;;;;
    
```

Figure 4.2: Example CSV file: KCSL AG vault segment 1

**4.2.10 CSV file inventory list for third-party safe custody positions (vault segment 2)**

The following selection criteria must be selected for this:

Selection criteria	
TRESOR-SEGM (VAULT SEGM)	2
BANK	CBF: Required Customer/outsourcer: Input not permitted
WKN	Optional
HLG (SAFEKEEPING TYPE)	Optional; only entry of 20, 21 and 22 allowed
REFERENZIERT (J/N) (REFERENCED)	Input not permitted
STUCKEAUSWAHL (I,O,M,T) (CERTIFICATE SELECTION)	I
DRUCK-DATUM (PRINT DATE)	Required, preset to today's date
AUSGABEMEDIUM (OUTPUT MEDIUM)	4
EMPFANGS-ABT (RECEIVING DEPT)	CBF: Required Customer/outsourcer: Input not permitted

The analysis for each list request of this type is issued in a CSV file. In order to distinguish the data of the individual list requests for one day from each other, a serial number beginning with 1 is assigned to each outsourcer and each receiving department.

The file contains three headlines and then the data lines. The characters of general data concerning the list request and characters concerning the fields to be issued appear as headlines.

The issue is sorted according to security, safekeeping TYPE, denominations in a safekeeping type and collective numbers in a safekeeping type in ascending order. Certificates with divergent security designations are contained in the denomination of the corresponding security.

## List request complete certificate number list (AG)

No certificate numbers are issued, but instead only the quantity of certificates and sums of the nominals within a denomination.

Global certificates without certificate numbers are displayed for global certificates.

A field record type is set in front of the headlines and data lines. The record type defines the type of output line. The headline with the character for the general fields is marked with U1, the headline with the data for the general fields with U2, the headline with the character for the fields issued with U3, the data lines of individual certificates with D1 and the data lines of global certificates with D2.

Certificate numbers from deposited positions are only considered once the orders have been transferred (processing status = 990). Certificates reserved for assignment (individual and global certificates) are not displayed.

The printout always reflects the positions after performance of all certificate movements in STD processing. This therefore concerns the final positions for the day which was specified as the print date.

If no positions were determined in accordance with the selection criteria at the time of printing or if no authorisation exists for a bank, then only the headlines are issued.

### Name of the CSV file

In order for a customer to quickly and easily access the correct analysis, the file name of the analysis for requests entered by clients contains the following information:

1. KS&BANK-NR.01 Depository trust company number of the requesting customer
2. KCSL Transaction with which the report was requested
3. JR665351 for marking which list/analysis is present
4. L&Ifd. Nummer for differentiating in the event multiple list requests were requested for one print date
5. D&Druckdatum

**Example:** KS7999.01.KCSL.JR665351.L001.D100303.T154435.ADC

1.      2.      3.      4.      5

The files are provided to the customers in encrypted form and must be decrypted using the FLAM software.

### Data

The analysis of the positions for an outsourcer in the FTB vault is issued in CSV file format and has the following structure:

```
1.Überschriftszeile: Literale der allgemeinen Daten einer LIA
2.Überschriftszeile: allgemeine Daten einer LIA
3.Überschriftszeile: Literale der ausgegebenen Daten einer LIA
1.Datenzeile zur LIA
2.Datenzeile zur LIA
....
```

Figure 4.1: Header of a CSV file

The different fields within a line are separated by a semicolon.

The 1st headline contains the following field in the order:

- U1 - Identifies this line as a headline with general data.
- EMPFAENGER (RECIPIENT);
- DRUCKDATUM (PRINT DATE);
- LFD-NR (CURRENT NUMBER);
- BANK;
- BANK-NAME
- ISIN
- WKN-BEZ (ISIN DESIGNATION)
- HLG (SAFEKEEPING TYPE)
- HLG-TEXT (SAFEKEEPING TYPE TEXT)

The 2nd headline contains the following data in the format and order described below:

- U2 - Identifies this line as the headline with general data
- Recipient  
The field is numerical and contains 4 digits.
- Print date  
The field contains 10 characters in the format DD.MM.YYYY.
- Current number  
The field contains 3 digits and is numerical.
- Bank number  
The field is numerical and contains 4 digits.
- BANK-NAME  
The field is alphanumerical and contains 30 characters. If no designation exists for a bank, a SPACE is entered in the field.
- ISIN  
The field contains 12 characters, is alphanumerical and only its headline is edited if the analysis was restricted to a specific ISIN. Otherwise a SPACE is entered in the field.
- ISIN designation  
The field contains 35 characters, is alphanumerical and only its headline is edited if the analysis was restricted to a ISIN during entry and one designation exists for the specific ISIN. Otherwise a SPACE is entered in the field.
- Safekeeping type  
The field is numerical and contains 2 digits.
- Safekeeping type text  
The field is alphanumerical and contains 35 characters. If no deposit type text exists for the certificate, a SPACE is entered in the field.

The 3rd headline contains the following field in the order:

- U3 - Identifies this line as a headline with fields of the issued data.
- ISIN
- WKN-BEZ (ISIN DESIGNATION)
- HLG (SAFEKEEPING TYPE)
- HLG-TEXT (SAFEKEEPING TYPE TEXT)
- STUECKELUNG (DENOMINATION)



## List request complete certificate number list (AG)

- SUMME NOMINALE (TOTAL NOMINALS)
- ANZAHL URKUNDEN (NUMBER OF CERTIFICATES)
- SAMMEL-NR (COLLECTIVE NUMBER)
- ORD-NR (ORG NUMBER)
- NOMINALE SAMMEL (COLLECTIVE NOMINALS)
- RAHMEN-NOMINALE (UP-TO NOMINAL)
- NOMINALE-OFFEN (PENDING NOMINAL)
- NOMINALE-DISPOSITIV (NOMINAL ANTICIPATED)
- STATUS
- STATUS-TEXT

The data lines contain the following data in the format and order described below:

- D1 - Identifies this line as a data line for individual certificates  
or D2 - Identifies this line as a data line for global certificates
- ISIN  
The field is alphanumerical and contains 12 characters.
- ISIN designation  
The field is alphanumerical and contains 35 characters. If no designation exists for a security, a SPACE is entered in the field.
- Safekeeping type  
The field is numerical and contains 2 digits.
- Safekeeping type text  
The field is alphanumerical and contains 35 characters. If no deposit type text exists for the certificate, a SPACE is entered in the field.
- Denomination  
The field is numerical and contains 15 digits with 12 digits in front of the decimal and 3 decimal places. If no individual certificate exists, a SPACE is entered in the field.
- Total nominals (per denomination)  
The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no individual certificate exists, a SPACE is entered in the field.
- Number of certificates (per denomination)  
The field is numerical and contains 9 digits. If no individual certificate exists, a SPACE is entered in the field.
- Collective number  
The field is numerical and contains 6 digits. If a certificate does not have a collective number, a SPACE is entered in the field.
- Organisation number  
The field is numerical and contains 6 digits. If a certificate does not have a organisation number, a SPACE is entered in the field.
- Collective nominals  
The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate exists, a SPACE is entered in the field.
- Up-to nominal  
The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate (up-to) exists, a SPACE is entered in the field.

- Pending nominal  
The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate (up-to) exists, a SPACE is entered in the field.
- Nominal anticipated  
The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate (up-to) exists, a SPACE is entered in the field.
- Status  
The field contains 3 digits and is numerical. If no global certificate (up-to) exists, a SPACE is entered in the field.
- Status text  
The field contains 35 characters and is alphanumerical. If no global certificate exists or there is no text for the certificate, a SPACE is entered in the field.

The total of nominals and number of certificates includes the sum of the certificate numbers for the individual certificates from the hand, block and ice block package stock within a specific safekeeping type and denomination. Certificates that have either been opposed or that are missing or have been replaced are included, but are not explicitly identified.

# List request complete certificate number list (AG)

## Layout

The headlines and data lines described above for a CSV file result in the following layout:

```
U1;EMPFAENGER;DRUCKDATUM;LFD.NR;BANK;BANK-NAME;ISIN;WKN-BEZ;HLG;HLG-TEXT;
U2;20;25.11.2010;1;7201;CLEARSTREAM BANKING S.A.;;20;SONDERVERWAHRUNG;
U3;ISIN;WKN-BEZ;STUECKELUNG;SUMME NOMINALE;ANZAHL URKUNDEN;SAMMEL-NR;ORD-NR;NOMINALE-
SAMMEL;RAHMEN-NOMINALE;NOMINALE-OFFEN;NOMINALE-DISPOSITIV;STATUS;STATUS-TEXT;
D1;DE0003543047;BRAUNK.B.BESS.SCH.V.38/2;500,000;500,000;1;;;;;;;;;;
D1;DE0003543047;BRAUNK.B.BESS.SCH.V.38/2;1000,000;2000,000;2;;;;;;;;;;
D1;DE0003695011;JUNKERS B.SCH.V.1942;1000,000;6000,000;6;;;;;;;;;;
D1;DE0005044051;AMMEND.PAP.I.L. BESS.SCH;25,000;25,000;1;;;;;;;;;;
D1;DE0005226005;B U M BAUNTERNEHMUNG ST;1,000;1,000;1;;;;;;;;;;
D1;DE0005226005;B U M BAUNTERNEHMUNG ST;2,000;10,000;5;;;;;;;;;;
D1;DE0005226005;B U M BAUNTERNEHMUNG ST;20,000;1200,000;60;;;;;;;;;;
D1;DE0005226039;B U M BAUNTERNEHMUNG VZO;20,000;120,000;6;;;;;;;;;;
D2;DE0005349609;MOSES SOFTWARE O.N.;;451;180;20,000;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;452;181;20,000;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;453;161;50,000;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;454;162;50,000;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;455;163;50,000;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;456;164;50,000;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;457;165;50,000;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;458;166;50,000;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;459;167;50,000;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;460;168;50,000;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;461;169;50,000;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;462;151;100,000;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;463;152;100,000;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;464;153;100,000;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;465;154;100,000;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;466;155;100,000;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;467;4;200,000;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;468;51;500,000;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;469;52;500,000;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;470;53;500,000;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;471;54;500,000;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;472;55;500,000;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;473;56;500,000;500;KONTROLLIERT;
D2;DE0005349609;MOSES SOFTWARE O.N.;;582;5;10010,000;500;KONTROLLIERT;
D1;DE0005526008;H.LITTIG GLOB.INV.AG;1,000;109500,000;109500;;;;;;;;;;
D1;DE0005526008;H.LITTIG GLOB.INV.AG;25,000;500,000;20;;;;;;;;;;
D1;DE0005526008;H.LITTIG GLOB.INV.AG;100,000;5000,000;50;;;;;;;;;;
D1;DE0005526008;H.LITTIG GLOB.INV.AG;60000,000;60000,000;1;;;;;;;;;;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;6;5;100,000;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;7;6;14,000;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;8;7;22,000;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;9;8;20,000;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;12;12;3,000;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;16;14;11,000;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;17;13;24,000;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;18;18;32,000;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;19;17;50,000;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;20;19;45000,000;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;21;20;300,000;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;22;21;200,000;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;23;22;200,000;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;77;76;100,000;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;86;1;4,000;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;87;2;4,000;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;88;4;22,000;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;89;3;33,000;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;90;10;6,000;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;91;16;2,000;500;KONTROLLIERT;
D2;DE0006211709;INCAM AG, VERTR.INNOV.CAP;;;92;69;2,000;500;KONTROLLIERT;
D2;DE0006765407;NEW YORK BROKER DEUT.AG;;;42;2;440,000;500;KONTROLLIERT;
```

```

D2;DE0006765407;NEW YORK BROKER DEUT.AG;;;43;3;549,000;;;500;KONTROLLIERT;
D2;DE0006765407;NEW YORK BROKER DEUT.AG;;;44;1;745,000;;;500;KONTROLLIERT;
D2;DE0006765407;NEW YORK BROKER DEUT.AG;;;45;4;1500,000;;;500;KONTROLLIERT;
D2;DE0006765407;NEW YORK BROKER DEUT.AG;;;46;36;475,000;;;500;KONTROLLIERT;
D2;DE0006765407;NEW YORK BROKER DEUT.AG;;;47;35;616,000;;;500;KONTROLLIERT;
D2;DE0006765407;NEW YORK BROKER DEUT.AG;;;48;34;757,000;;;500;KONTROLLIERT;
D2;DE0006765407;NEW YORK BROKER DEUT.AG;;;49;33;887,000;;;500;KONTROLLIERT;
DD2;DE0006765407;NEW YORK BROKER DEUT.AG;;;75;13;1500,000;;;500;KONTROLLIERT;
D2;DE0006765407;NEW YORK BROKER DEUT.AG;;;76;14;1500,000;;;500;KONTROLLIERT;
D2;DE0006765407;NEW YORK BROKER DEUT.AG;;;77;5;32400,000;;;500;KONTROLLIERT;
D1;DE0006781271;4,5 % SPK.MITTELFRAK.IS.99;5000,000;35000,000;7;;;;;;;;;;
D1;DE0007451809;TC SPEZIALPAPIERWERK;1,000;500,000;500;;;;;;;;;;
D1;DE0007788200;WIRE INDUSTRIE- U. IMMOB.;1,000;10,000;10;;;;;;;;;;
D1;DE0008018441;RESE-GRUNDBESITZ.99 TYP A;5000,000;5000,000;1;;;;;;;;;;
D1;DE0008160912;RESE-GRUNDBESITZ 03 TYP C;1000,000;13000,000;13;;;;;;;;;;
    
```

Figure 4.2: Example CSV file: KCSL AG vault segment 2

### 4.2.11 CSV file inventory list of FTB positions for an outsourcer (vault segment 3)

The following selection criteria must be selected for this:

Selection criteria	
TRESOR-SEGM (VAULT SEGM)	3
BANK	CBF: Required Customer/outsourcer: Input not permitted
WKN	Optional
HLG (SAFEKEEPING TYPE)	Optional; input not equal to 30 not allowed
REFERENZIERT (J/N) (REFERENCED (Y/N)	J
STUCKEAUSWAHL (CERTIFICATE SELECTION) (I,O,M,T)	I
DRUCK-DATUM (PRINT DATE)	Required, preset to today's date
AUSGABEMEDIUM (OUTPUT medium)	4
EMPFANGS-ABT (RECEIVING DEPARTM)	CBF: Required Customer/outsourcer: Input not permitted

The analysis for each list request of this type is issued in a CSV file. In order to distinguish the data of the individual list requests for one day from each other, a serial number beginning with 1 is assigned to each outsourcer and each receiving department.

The file contains three headlines and then the data lines. The characters of general data concerning the list request and characters concerning the fields to be issued appear as headlines.

For this, the customer references for third-party vault positions, that is, for an outsourcer, are issued in alphabetical order. The issue is sorted according to security, deposit type, denominations in a deposit type for one customer reference and collective numbers in a deposit type in ascending order. Certificates with divergent security designations are contained in the denomination of the corresponding security.

No certificate numbers are issued, but instead only the quantity of certificates and sums of the nominals within a denomination.

Global certificates without certificate numbers are displayed for global certificates.

A field record type is set in front of the headlines and data lines. The record type defines the type of output line. The headline with the character for the general fields is marked with U1, the headline with the data for the general fields with U2, the headline with the character for the fields issued with U3, the data lines of individual certificates with D1 and the data lines of global certificates with D2.

Certificate numbers from deposited positions are only considered once the orders have been transferred (processing status = 990). Certificates reserved for assignment (individual and global certificates) are not displayed.

The printout always reflects the positions after performance of all certificate movements in STD processing. This therefore concerns the final positions for the day which was specified as the print date.

If no positions were determined in accordance with the selection criteria at the time of printing or if no authorisation exists for a bank, then only the headlines are issued.

## Name of the CSV file

In order for a customer to quickly and easily access the correct analysis, the file name of the analysis for requests entered by clients contains the following information:

1. KS&BANK-NR.01 Depository trust company number of the requesting customer
2. KCSL Transaction with which the report was requested
3. JR663351 for marking which list/analysis is present
4. L&ldf. Nummer for differentiating in the event multiple list requests were requested for one print date
5. D&Druckdatum

**Example:** KS7999.01.KCSL.JR663351.L001.D100303.T154435.ADC

1. 2. 3. 4. 5

The files are provided to the customers in encrypted form and must be decrypted using the FLAM software.

## Data

The analysis of the positions for an outsourcer in the FTB vault is issued in CSV file format and has the following structure:

```
1.Überschriftszeile: Literale der allgemeinen Daten einer LIA
2.Überschriftszeile: allgemeine Daten einer LIA
3.Überschriftszeile: Literale der ausgegebenen Daten einer LIA
1.Datenzeile zur LIA
2.Datenzeile zur LIA
....
```

Figure 4.1: Header of a CSV file

The different fields within a line are separated by a semicolon.

The 1st headline contains the following field in the order:

- U1 - Identifies this line as a headline with general data.
- EMPFAENGER (RECIPIENT)
- DRUCKDATUM (PRINT DATE)
- LFD-NR (CURRENT NUMBER)
- BANK
- BANK-NAME
- ISIN
- WKN-BEZ (ISIN DESIGNATION)

The 2nd headline contains the following data in the format and order described below:

- U2 - Identifies this line as the headline with general data.
- Recipient  
The field is numerical and contains 4 digits.
- Print date  
The field contains 10 characters in the format DD.MM.YYYY.
- Current number  
The field contains 3 digits and is numerical.
- Bank number  
The field is numerical and contains 4 digits.

## List request complete certificate number list (AG)

- BANK-NAME  
The field is alphanumerical and contains 30 characters. If no designation exists for a bank, a SPACE is entered in the field.
- ISIN  
The field contains 12 characters, is alphanumerical and only its headline is edited if the analysis was restricted to a specific ISIN. Otherwise a SPACE is entered in the field.
- ISIN designation  
The field contains 35 characters, is alphanumerical and only its headline is edited if the analysis was restricted to a ISIN during entry and one designation exists for the specific ISIN. Otherwise a SPACE is entered in the field.

The 3rd headline contains the following field in the order:

- U3 - Identifies this line as a headline with fields of the issued data.
- KREF-SOND-KZ-ALPHA (CUSTOMER REF - SPECIAL CODE ALPHA)
- KREF-DRITTBK-GIT (CUSTOMER REFERENCE - THIRD-PARTY BANK - GIT)
- KREF-DRITTBK (CUSTOMER REFERENCE - THIRD-PARTY BANK)
- KREF-KUNDE-GIT (CUSTOMER REFERENCE - CUSTOMER - GIT)
- KREF CUSTOMER (CUSTOMER REFERENCE - CUSTOMER)
- ISIN
- WKN-BEZ (ISIN DESIGNATION)
- STUECKELUNG (DENOMINATION)
- SUMME NOMINALE (TOTAL NOMINALS)
- ANZAHL URKUNDEN (NUMBER OF CERTIFICATES)
- SAMMEL-NR (COLLECTIVE NUMBER)
- ORD-NR (ORG NUMBER)
- NOMINALE SAMMEL (COLLECTIVE NOMINALS)
- RAHMEN-NOMINALE (UP-TO NOMINAL)
- NOMINALE OFFEN (PENDING NOMINAL)
- NOMINALE DISPOSITIV (NOMINAL anticipated)
- STATUS
- STATUS-TEXT

The data lines contain the following data in the format and order described below:

- D1 - Identifies this line as a data line for individual certificates.  
or D2 - Identifies this line as a data line for global certificates.
- Customer reference - code alpha  
The field is alphabetical and contains one character.
- Customer reference - third-party bank - GIT  
The field is alphanumerical and contains 3 characters.
- Customer reference - third-party bank  
The field is alphanumerical and contains 15 characters.
- Customer reference - customer - GIT  
The field is alphanumerical and contains 3 characters.
- Customer reference - customer  
The field is alphanumerical and contains 15 characters.

- ISIN  
The field is alphanumeric and contains 12 characters.
- ISIN designation  
The field is alphanumeric and contains 35 characters. If no designation exists for a security, a SPACE is entered in the field.
- Denomination  
The field is numerical and contains 15 digits with 12 digits in front of the decimal and 3 decimal places. If no individual certificate exists, a SPACE is entered in the field.
- Total nominals (per denomination)  
The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no individual certificate exists, a SPACE is entered in the field.
- Number of certificates (per denomination)  
The field is numerical and contains 9 digits. If no individual certificate exists, a SPACE is entered in the field.
- Collective number  
The field is numerical and contains 6 digits. If a certificate does not have a collective number, a SPACE is entered in the field.
- Organisation number  
The field is numerical and contains 6 digits. If a certificate does not have a organisation number, a SPACE is entered in the field.
- Collective nominals  
The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate exists, a SPACE is entered in the field.
- Up-to nominal  
The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate (up-to) exists, a SPACE is entered in the field.
- Pending nominal  
The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate (up-to) exists, a SPACE is entered in the field.
- Nominal anticipated  
The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate (up-to) exists, a SPACE is entered in the field.
- Status  
The field contains 3 digits and is numerical. If no global certificate exists, a SPACE is entered in the field.
- Status text  
The field contains 35 characters and is alphanumeric. If no global certificate exists or there is no text for the certificate, a SPACE is entered in the field.

The total of nominals and number of certificates includes the sum of the certificate numbers for the individual certificates from the hand, block and ice block package stock within a specific safekeeping type and denomination. Certificates that have either been opposed or that are missing or have been replaced are included, but are not explicitly identified.



# List request complete certificate number list (AG)

## Layout

The headlines and data lines described above for a CSV file result in the following layout:

U1;EMPPFAENGER;DRUCKDATUM;LFD.NR;BANK;BANK-NAME;ISIN;WKN-BEZ;HLG;HLG-TEXT;
U2;20;24.11.2010;3;2126;CORTAL CONSORS SA;;;30;FREMDTRESOR;
U3;KREF-SOND-KZ;KREF-DRITTBK-GIT;KREF-DRITTBK;KREF-KUNDE-GIT;KREF-KUNDE;ISIN;WKN-BEZ;STUECKELUNG;SUMME NOMINALE;ANZAHL URKUNDEN;SAMMEL-NR;ORD-NR;NOMINALE-SAMMEL;RAHMEN-NOMINALE;NOMINALE-OFFEN;NOMINALE-DISPOSITIV;STATUS;STATUS-TEXT;
D2;E; ;2126 ; ;938999063 ;DE0007933798;BOERSE DUESSELD. NA
O.N.;;;;6;2;33117,000;;;500;KONTROLLIERT;;;;
D1;F; ;2126 ; ;0728198160 ;DE0005226005;B U M BAUUNTERNEHMUNG
ST;20,000;20,000;1;;;;;;;;;;;;
D1;F; ;2126 ; ;308001536 ;DE0007000002;MAB VERMOEGENSVER-
WE.AG;1,000;4,000;4;;;;;;;;;;;;
D1;F; ;2126 ; ;708145432 ;DE0006200504;VEDES
AG;1,000;100,000;100;;;;;;;;;;;;
D1;F; ;2126 ; ;708294620 ;DE0007826000;WESTAF.PFLZ.VIC.I.K.ST;10,000;200,000;20;;;;;;;;;;;;
D1;F; ;2126 ; ;708359723 ;DE000A0S8660;AVECO HOLDING AG
NA;1,000;3,000;3;;;;;;;;;;;;
D1;F; ;2126 ; ;708359723 ;DE0005017107;AG BUERGERHEIM
NAM.AKT.;1,000;2,000;2;;;;;;;;;;;;
D1;F; ;2126 ; ;708359723 ;DE0005027809;AG KUNSTMUEHLE AICHACH-
ST;1,000;2,000;2;;;;;;;;;;;;
D1;F; ;2126 ; ;708359723 ;DE0005030506;ERMS-NECKAR-BAHN EIS.
AG;1,000;10,000;10;;;;;;;;;;;;
D1;F; ;2126 ; ;708359723 ;DE0005065502;ARTWARE AG
O.N.;1,000;10,000;10;;;;;;;;;;;;
D2;F; ;2126 ; ;778861818 ;DE0007488801;LINDENMAIER
AG;;;6;3;5,000;;;500;KONTROLLIERT;;;;
D2;F; ;2126 ; ;778861818 ;DE0007488801;LINDENMAIER
AG;;;7;4;11,000;;;500;KONTROLLIERT;;;;
D1;F; ;2126 ; ;788398429 ;DE0005031801;ZOOL.GART.BLN.NA.M.AQUA.;1,000;1,000;1;;;;;;;;;;;;
D1;F; ;2126 ; ;788563027 ;DE0005493589;RWG
O.N.;500,000;2500,000;5;;;;;;;;;;;;
D1;F; ;2126 ; ;798066064 ;DE0007450702;FRISIA-BET.U.HANDELS
AG;1,000;10,000;10;;;;;;;;;;;;
D1;F; ;2126 ; ;798322320 ;DE0006200504;VEDES
AG;1,000;10,000;10;;;;;;;;;;;;
D1;F; ;2126 ; ;798592466 ;DE0008288333;REED.H.EKKENGA PASSA.
VZO;1,000;1,000;1;;;;;;;;;;;;
D1;F; ;2126 ; ;798592466 ;DE0008303264;TEUTOBG.WALD EI-
SENB.LIT.B;1,000;2,000;2;;;;;;;;;;;;
D1;F; ;2126 ; ;798627276 ;DE0007254807;AVF ENERGIE + CONSULT.
AG;25,000;100,000;4;;;;;;;;;;;;
D1;F; ;2126 ; ;798627276 ;DE0007254807;AVF ENERGIE + CONSULT.
AG;250,000;250,000;1;;;;;;;;;;;;
D1;F; ;2126 ; ;798650834 ;DE0005031801;ZOOL.GART.BLN.NA.M.AQUA.;1,000;1,000;1;;;;;;;;;;;;
D1;F; ;2126 ; ;798838175 ;DE0007826000;WESTAF.PFLZ.VIC.I.K.ST;1,000;94,000;94;;;;;;;;;;;;
D1;F; ;2126 ; ;798838175 ;DE0007826000;WESTAF.PFLZ.VIC.I.K.ST;10,000;350,000;35;;;;;;;;;;;;
D1;F; ;2126 ; ;808227580 ;DE0005031801;ZOOL.GART.BLN.NA.M.AQUA.;1,000;1,000;1;;;;;;;;;;;;
D1;F; ;2126 ; ;808307716 ;DE0007826000;WESTAF.PFLZ.VIC.I.K.ST;1,000;10,000;10;;;;;;;;;;;;
D1;F; ;2126 ; ;808307716 ;DE0007826000;WESTAF.PFLZ.VIC.I.K.ST;10,000;90,000;9;;;;;;;;;;;;
D1;F; ;2126 ; ;808345857 ;DE0007048019;A.RIEBECKSCHE MONTAN
I.L.;200,000;400,000;2;;;;;;;;;;;;
D1;F; ;2126 ; ;808345857 ;DE0007048019;A.RIEBECKSCHE MONTAN
I.L.;1000,000;3000,000;3;;;;;;;;;;;;

```

D1;F; ;2126 ; ;808493390
;DE0005031801;ZOO.L.GART.BLN.NA.M.AQUA.;1,000;1,000;1;;;;;;;;;;;
D1;F; ;2126 ; ;808523167 ;DE0008277807;KUR-
U.VERK.BETR.OBERSTDF.;1,000;1,000;1;;;;;;;;;;;
D1;F; ;2126 ; ;808543721 ;DE0007203002;BETA SYSTEMS COMP.AG
I.K.;1,000;20,000;20;;;;;;;;;;;
D1;F; ;2126 ; ;808543721 ;DE0007203002;BETA SYSTEMS COMP.AG
I.K.;10,000;70,000;7;;;;;;;;;;;
D1;F; ;2126 ; ;908041312
;DE0007826000;WESTAF.PFLZ.VIC.I.K.ST;1,000;10,000;10;;;;;;;;;;;
D1;F; ;2126 ; ;908041312
;DE0007826000;WESTAF.PFLZ.VIC.I.K.ST;10,000;60,000;6;;;;;;;;;;;
D1;F; ;2126 ; ;908107407 ;DE0008288333;REED.H.EKKENGA PASSA.
VZO;1,000;1,000;1;;;;;;;;;;;
D1;F; ;2126 ; ;908107407 ;DE0008303264;TEUTOBG.WALD EI-
SENB.LIT.B;1,000;1,000;1;;;;;;;;;;;
D1;F; ;2126 ; ;908119945
;DE0005031801;ZOO.L.GART.BLN.NA.M.AQUA.;1,000;1,000;1;;;;;;;;;;;
D1;F; ;2126 ; ;908178292 ;DE0007048019;A.RIEBECKSCHE MONTAN
I.L.;200,000;400,000;2;;;;;;;;;;;
D1;F; ;2126 ; ;908287657 ;DE0007638009;VFS VERMOEGENS-
VERW.AG;1,000;1,000;1;;;;;;;;;;;
D2;F; ;2126 ; ;908458778 ;DE0007666158;BERLINA AG
F.ANL.WERTE;;;6;4;239,000;;;500;KONTROLLIERT;;;
D1;F; ;2126 ; ;908463282 ;DE0005755094;FAHLBERG-LIST
AG;1,000;1,000;1;;;;;;;;;;;
D1;F; ;2126 ; ;908466746 ;DE0005170203;BAUM.-HANDELSG.AG
O.N.;1,000;1,000;1;;;;;;;;;;;
D1;F; ;2126 ; ;908467288 ;DE0005017305;AG BAD NEUENAHN -NA-
O.N.;1,000;1,000;1;;;;;;;;;;;
D1;F; ;2126 ; ;908467288 ;DE0005154504;BAD.GAS
U.EL.VERS.AG;100,000;100,000;1;;;;;;;;;;;
D1;F; ;2126 ; ;908467288 ;DE0005170203;BAUM.-HANDELSG.AG
O.N.;1,000;1,000;1;;;;;;;;;;;
D1;F; ;2126 ; ;908467288
;DE0007826000;WESTAF.PFLZ.VIC.I.K.ST;10,000;10,000;1;;;;;;;;;;;
D1;F; ;2126 ; ;908467288 ;DE0008277807;KUR-
U.VERK.BETR.OBERSTDF.;1,000;1,000;1;;;;;;;;;;;
D1;F; ;2126 ; ;908467587
;DE0005031801;ZOO.L.GART.BLN.NA.M.AQUA.;1,000;1,000;1;;;;;;;;;;;
D1;F; ;2126 ; ;908467587 ;DE0005170203;BAUM.-HANDELSG.AG
O.N.;1,000;1,000;1;;;;;;;;;;;
D1;F; ;2126 ; ;908467587 ;DE0008277807;KUR-
U.VERK.BETR.OBERSTDF.;1,000;1,000;1;;;;;;;;;;;
D1;F; ;2126 ; ;908468995 ;DE0005017305;AG BAD NEUENAHN -NA-
O.N.;1,000;1,000;1;;;;;;;;;;;

```

Figure 4.2: Example CSV file: KCSL AG vault segment 3

## 5. List request certificate number index - individual certificates (AE)

### 5.1 General description

In order to offer all requests in a batch selection, the block package list was configured to accommodate for this transaction through the implementation of the insourcing release 3, where it is available as the function LB.

The functions AH, AE, AS, AB and BV were consolidated in one function "Aktuelle Einzelliste" (Current individual list) (AE). The following table shows which entries for the new AE function replace the old functions:

Old function	List content	URKUNDENART (CERTIFICATE TYPE)	BESTAND EU AUS (POSITIONS EU FROM)	BLOCK- UBERGREIFEND (BLOCK COMPREHENSIVE)
AH	Arithmetised or non-arithmetised list of all individual certificates (not including block package stock)	E	H	-
AE	See AH	-	-	-
AS	List of all global certificates without certificate numbers  Global certificates with certificate numbers will be listed in the future	S	-	-
AB	Arithmetised list of all individual certificates from the block stock across the whole block.	E	B	J
BV	Arithmetised or non-arithmetised list of all individual certificates from the block package stock separated according to blocks	E	B	N

The following selection options are available in this respect:

<b>Certificate Selection</b>	Characteristics:	I	Inventory list
		O	Stop order and characteristic list
		M	Lack and replacement list
<b>Certificate type</b>	Characteristics:	E	Individual certificate
		S	Global certificate
<b>Positions EU from</b>	Characteristics:	G	Total (working + block package stock)
		H	Working stock
		B	Block package stock
<b>Block No. from to</b>	Restriction of block package stock to an interval		
<b>Block type</b>	Characteristics:	B	Block package stock
		E	Ice block package stock
<b>Across the whole block</b>	Characteristics:	J	Certificate numbers of the block package stock sorted across the whole block
		N	Certificate numbers of the block package stock are issued grouped according to block
<b>Arithmetised</b>	Characteristics:	J	Issued sorted by certificate numbers
		N	Issued sorted according to filing order

These list requests only consider positions.

When entering the selection screen, customers are advised that they should print a hardcopy before confirming a list request as there is no possibility of viewing the submitted request online.

## 5.2 Selection screen

A list of all certificate numbers in the working stock can be generated with this function. The arithmetisation only occurs on the printout, not in CARAD.

```

TRAN: KCSL FC: AE SB:

CARAD      A N F O R D E R U N G E N   L I S T E N   B A T C H
                Aktuelle Einzelliste

WKN        : I _____
Stückelung : _ _____

HLG-Art    : _                               Bestand EU aus : _ (G/H/B)
Stückeauswahl : _ (I/O/M)                   Blockart          : _ (B/E)
Arithmetisiert : _ (J/N)                   Blockübergreifend: _ (J/N)
Urkundenart  : _ (E/S)                   Block-Nr. von    :          bis:

Druck-Datum  : 26.09.2007
Ausgabemedium : 03 INTERNET
Empfangs-Abt. : _
-- ID-KZ: 7907232003 -- PW:          ----- B7907495 -- 26/09/07 -- 12:35:30 --
KC0003F Bitte hell angezeigtes, leeres Feld ergänzen
PF1:Hilfe  PF3:Verarbeitung  PF4:Abbruch

```

Figure 5.1: Individual list selection screen

In general, only positions from the CBF vault can be accessed here.

An institution responsible for issuing certificates and/or paying agent can request arithmetised individual lists as an inventory, stop order or lack list for all positions depending on the certificate selection with this function. Selection criteria for the block package stock can only be entered by CBF internal users. For this reason, the right block of the selection criteria is only displayed on the screen with a CBF user ID.

These requests must be restricted to a security and individual or global certificates and can be restricted to one safekeeping type. The date for list generation must be specified and can be up to 250 business days in the future.

Depending on the certificate selection, individual lists of the working and/or block package stock and lists for positions in the safekeeping types depository safe custody and inhouse safe custody are also available for the CBF internal users as an inventory, blocked or lack list depending on the certificate selection. These analyses can be restricted to positions, a block number interval and block type.

The table below provides a restriction of the combination of selection options.

**Selection options:**

<b>Selection criteria</b>	<b>Clearstream Banking</b>	<b>Bank</b>
KENNUNG ZUR WKN	Required if ISIN is entered only B,C,I,F,W allowed	Required if ISIN is entered only B,C,I,F,W allowed
WKN	Required if block NUMBER FROM not entered, otherwise optional	Required
HLG-ART (SAFEKEEPING TYPE)	Optional Entry 30 (FTB) not allowed	Optional Entry 30 (FTB) not allowed Safekeeping type 20 (depository) and 21 (internal collective safe custody) only allowed for
STÜCKELUNG (DENOMINATION)	OPTIONAL, if certificate type = S, no entry allowed	OPTIONAL, if certificate type = S, no entry allowed
STÜCKEAUSWAHL (CERTIFICATE SELECTION)	REQUIRED	REQUIRED
ARITHMETISIERT (ARITHMETISED)	REQUIRED If BESTAND EU AUS = "G", only "J" is allowed	Input not permitted
URKUNDENART (CERTIFICATE TYPE)	REQUIRED	REQUIRED
BESTAND EU AUS (POSITIONS EU FROM)	If certificate type = E, REQUIRED If certificate type = S, not allowed	Input not permitted
BLOCK NR VON BIS (BLOCK NO. FROM TO)	Entry only allowed if BESTAND EU AUS = "B" Required if ISIN is not entered otherwise optional	Input not permitted
BLOCKUBERGREIFEND (ACROSS THE WHOLE BLOCK)	Entry only allowed if BESTAND EU AUS = "B"	Input not permitted
BLOCKART (BLOCK TYPE)	Entry only allowed if BESTAND EU AUS = "B"	Input not permitted
DRUCK-DATUM (PRINT DATE)	Required, preset to today's date	Required, preset to today's date
AUSGABEMEDIUM (OUTPUT MEDIUM)	Constant preset to internet	Constant preset to internet
EMPFANGS-ABT (RECEIVING DEPT.)	REQUIRED	Input not permitted

## 5.3 Help screen

Pushing the PF1 key provides the editor with a list of entries on the following help screen that can be used to request the individual lists:

```

TRAN: KCSL FC: AE SB:

CARAD      A N F O R D E R U N G E N   L I S T E N   B A T C H
           Aktuelle Einzelliste

Einzelkunde Gesamtbestand -> Urkundenart      : E
                               Bestand EU aus   : G
Sammelkunde Gesamtbestand -> Urkundenart      : S

Einzelkunde Handbestand   -> Urkundenart      : E
                               Bestand EU aus   : H
Einzelkunde Blockbestand  -> Urkundenart      : E
                               Bestand EU aus   : B
                               Blockübergreifend: J
Blockverzeichnis          -> Urkundenart      : E
                               Bestand EU aus   : B
                               Blockübergreifend: N

== über Stückeauswahl als Inventarliste (I), Oppoliste (O) oder
== Mangelliste (M) anzufordern

-- ID-KZ: 7907232003 -- PW:          ----- B7907495 -- 26/09/07 -- 12:35:47 --

PF3:Rücksprung

```

Figure 5.2: Individual list help screen

As different list variants are available via the AE function, this help screen can provide help for new users.

## 5.4 List layout

### 5.4.1 Cover page

The cover page is identical for all lists that are requested via KCSL AE.

```

CLEARSTREAM BANKING AG, FRANKFURT          DATUM      :   TT.MM.JHJJ
POSTFACH                                  SEITE      :   ZZZ9
60485 FRANKFURT AM MAIN

Aktuelle Einzelliste

NAME          : XXXXXXXXXXXXXXXXXXXXXXXXXXXX9
               XXXXXXXXXXXXXXXXXXXXXXXXXXXX9
NAMENSZUSATZ: XXXXXXXXXXXXXXXXXXXXXXXXXXXX9
STRASSE       : XXXXXXXXXXXXXXXXXXXXXXXXXXXX9
PLZ/POSTFACH: ZZZZZZZZZZZZ9
LAND/PLZ/ORT: X 99999 XXXXXXXXXXXXXXXXXXXXX

Angefordert von USER-ID 9999999999 am TT.MM.JHJJ

Anforderungsdaten

WKN           : I XXXXXXXXXXXX9 <WKN-Bezeichnung      >
HLG-Art       : 99 < HLG-Text                >
Stückeauswahl : X <AUSWAHL-TEXT                >
Urkundenart   : X
Bestand EU aus : X
Block-Nr von  : X
Blockart      :
Blockübergreifend : X
Arithmetisiert : X
Druck- Datum  : TT.MM.JHJJ
Ausgabemedium : X <AUSGABE-TEXT>
Empfangs-Abt. : 99 <EMPFANGS-ABT-TEXT>
    
```

Figure 5.3: Cover page list from the list request working stock KCSL AE

The data for the list request appears on the cover page. This address is only printed if a customer requests the list. If CBF requests this, this part of the cover page remains blank.

In the event of request data, only the fields with entries/presets are printed.

The page numbering is continuous for all list types that exist for a request.



#### 5.4.2 Current individual list - certificate selection I - global certificate list type

The basis for the data is the position on the date entered in the field DRUCK-DATUM (PRINT DATE) after all certificate movements have been executed in CARAD.

This list can be requested by entering STUCKEAUSWAHL (CERTIFICATE SELECTION) = "I" and URKUNDENART (CERTIFICATE TYPE) = "S".

The data can be restricted for a certain safekeeping type. CBF internal users are able to print the individual certificate numbers for the respective global certificate in filing order or in an arithmetised state, an institution responsible for issuing certificates or a paying agent are only able to print them in an arithmetised state.

The inventory list contains global certificates both with and without certificate numbers. The status of the certificate is not considered in the process, that is, certificates with incomplete entries are also issued. However, assigned global certificates are not on the list.

Permanent global certificates and global certificates (up-to) are issued on separate lists. The layout of the lists are guided by the complete lists, which can be generated under AG.

## Permanent global certificates

Clearstream Banking AG, Frankfurt	TT.MM.JHJJ
Postfach	Seite: ZZ9
60485 Frankfurt am Main	
Aktuelle Einzelliste - Sammelurkunden (Globalurkunden)	
WKN : I XXXXXXXXXXXX9 <WKN-Bezeichnung	>
W XXXXX9	
Hinterlegungsart: 99 <HLG-TEXT	>
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung	>
Ord/Sammel-Nr : ZZZZZ9 / ZZZZZ9	Nom-Sammel : ZZZ.ZZZ.ZZZ.ZZ9,999
Status : 999 <Text	>
Bes-Stk : ZZ9 <Text	>
Einliefer-Grund : ZZ9 <Text	>
Anzahl	Stückelung
ZZZ.ZZZ.ZZ9	ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern
ZZZ.ZZZ.ZZ9	ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern
ZZZ.ZZZ.ZZ9	ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern
Ord/Sammel-Nr : ZZZZZ9 / ZZZZZ9	Nom-Sammel : ZZZ.ZZZ.ZZZ.ZZ9,999
Status : 999 <Text	>
Bes-Stk : ZZ9 <Text	>
Einliefer-Grund : ZZ9 <Text	>
Keine Stücke zur Urkunde hinterlegt	
Ord/Sammel-Nr : ZZZZZ9 / ZZZZZ9	Nom-Sammel : ZZZ.ZZZ.ZZZ.ZZ9,999
Status : 999 <Text	>
Bes-Stk : ZZ9 <Text	>
Einliefer-Grund : ZZ9 <Text	>
Anzahl	Stückelung
ZZZ.ZZZ.ZZ9	ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern
*** Textinformationen zu Urkunden vorhanden ***	

Figure 5.4: Individual list | permanent global certificate

If no permanent global certificates are found for the request data, then this part of the global certificate list is omitted without replacement.

Permanent global certificates are displayed in ascending order according to collective number. If a certificate does not contain certificate numbers, then a corresponding notice "Keine Stücke zur Urkunden hinterlegt" (No shares deposited for the certificates) is printed.

If the safekeeping type or divergent security designation changes, a page break occurs and the entire list header is reprinted on the following page.

If the remaining lines on the current page are insufficient for printing the block with the certificate data (lines organisation/collective number, status, characteristic and deposit reason) if the collective number is changed, then these lines are all printed on a new page. In this case, the continuation line is reprinted on the current page.

The continuation line is also printed if a page change is required within the lowest group level, that is, if more denominations/certificate numbers exist for a permanent global certificate than can be displayed on the current page. In this case, only the organisation and collective number are repeated on the following page except for the first three lines.

## List request certificate number index - individual certificates (AE)

### Global certificate (up-to)

Clearstream Banking AG, Frankfurt	TT.MM.JHJJ		
Postfach	Seite: ZZZ9		
60485 Frankfurt am Main			
Aktuelle Einzelliste - Sammelurkunde (Rahmenurkunden)			
WKN : I XXXXXXXXXXXXX9 <WKN-Bezeichnung	>		
W XXXXX9			
Hinterlegungsart: 99 <HLG-TEXT	>		
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung	>		
Ord/Sammel-Nr : ZZZZZ9 / ZZZZZ9	Nom-Sammel : ZZZ.ZZZ.ZZZ.ZZ9,999		
Status : 999 <STATUS-TEXT	> Rahmen-Nom : ZZZ.ZZZ.ZZZ.ZZ9		
Bes-Stk : ZZ9 <TEXT	> Nom-Dispositiv : ZZZ.ZZZ.ZZZ.ZZ9,999		
Einlief-Grund : ZZ9 <TEXT	> Nom-Offen : ZZZ.ZZZ.ZZZ.ZZ9,999		
Anzahl	Stückelung	Stückenummern	
ZZZ.ZZZ.ZZ9	ZZZ.ZZZ.ZZZ.ZZ9,999	<Stückenummern	>
ZZZ.ZZZ.ZZ9	ZZZ.ZZZ.ZZZ.ZZ9,999	<Stückenummern	>
Ord/Sammel-Nr : ZZZZZ9 / ZZZZZ9	Nom-Sammel : ZZZ.ZZZ.ZZZ.ZZ9,999		
Status : 999 <STATUS-TEXT	> Rahmen-Nom : ZZZ.ZZZ.ZZZ.ZZ9		
Bes-Stk : ZZ9 <TEXT	> Nom-Dispositiv : ZZZ.ZZZ.ZZZ.ZZ9,999		
Einlief-Grund : ZZ9 <TEXT	> Nom-Offen : ZZZ.ZZZ.ZZZ.ZZ9,999		
Anzahl	Stückelung	Stückenummern	
ZZZ.ZZZ.ZZ9	ZZZ.ZZZ.ZZ9,999	<Stückenummern	>
ZZZ.ZZZ.ZZ9	ZZZ.ZZZ.ZZ9,999	<Stückenummern	>
ZZZ.ZZZ.ZZ9	ZZZ.ZZZ.ZZ9,999	<Stückenummern	>
Ord/Sammel-Nr : ZZZZZ9 / ZZZZZ9	Nom-Sammel : ZZZ.ZZZ.ZZZ.ZZ9,999		
Status : 999 <STATUS-TEXT	> Rahmen-Nom : ZZZ.ZZZ.ZZZ.ZZ9		
Bes-Stk : ZZ9 <TEXT	> Nom-Dispositiv : ZZZ.ZZZ.ZZZ.ZZ9,999		
Einlief-Grund : ZZ9 <TEXT	> Nom-Offen : ZZZ.ZZZ.ZZZ.ZZ9,999		
Keine Stücke zur Urkunde hinterlegt			
*** Fortsetzung Seite ZZZ9 ****			

Figure 5.5: Individual list I global certificate (up-to)

If no global certificates (up-to) are found for the request data, then this part of the individual list for global certificates is omitted without replacement. If neither permanent global certificates nor global certificates (up-to) are found, then a corresponding negative report is issued for the list request.

Global certificates (up-to) are displayed in ascending order according to collective number. If a certificate does not contain certificate numbers, then a corresponding notice "Keine Stücke zur Urkunden hinterlegt" (No shares deposited for the certificates) is printed.

If the safekeeping type or divergent security designation changes, a page break occurs and the complete header is reprinted on the following page.

If the safekeeping type/security designation stays the same, it must be ensured if the page changes that the break does not occur within the block with the certificate data (line organisation/collective number, status, characteristic and deposit reason), but that these lines are completely printed on a new page. In this case, the continuation line is reprinted on the current page.

The continuation line is also printed if a page change is required within the lowest group level, that is, if more denominations/certificate numbers exist for a global certificate (up-to) than can be displayed on the current

page. In this case, only the organisation and collective number are repeated on the following page except for the first three lines.

### 5.4.3 Current individual list - certificate selection I - individual certificates from all positions list type

The basis for the data is the position on the date entered in the field DRUCK-DATUM (PRINT DATE) after all certificate movements have been executed in CARAD.

This list can be requested by entering STÜCKEAUSWAHL (CERTIFICATE SELECTION) = "I", BESTAND EU AUS (POSITIONS EU FROM) = "G" and URKUNDENART (CERTIFICATE TYPE) = "E". The data can be restricted for a certain safekeeping type and/or denomination. The individual certificates are only printed in an arithmetised state.

All individual certificates which exist in the working or block package stock including ice block package stock are issued comprehensively in arithmetised form in this inventory list. Individual certificates which are still allocated to a deposit or have already been allocated to a withdrawal, are not considered. The certificates can be restricted to block package stock and/or ice block package stock and a specific block number interval.

```

Clearstream Banking AG, Frankfurt                               TT.MM.JHJJ
Postfach                                                       Seite:       ZZZ9
60485 Frankfurt am Main

Aktuelle Einzelliste - Einzelurkunden (Gesamtbestand)

WKN                    : I XXXXXXXXXXXXX9 <WKN-Bezeichnung           >
                       W XXXXX9
Hinterlegungsart:     99 <HLG-TEXT                               >
Abw. Gattungsbez:     ZZ9 <Text Abweichende Bezeichnung          >
Stückelung            : ZZZ.ZZZ.ZZZ.ZZ9,999                     Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Nominale              : ZZZ.ZZZ.ZZZ.ZZ9,999

Stückenummern
<Stückenummern          >
<Stückenummern          >
<Stückenummern          >
<Stückenummern          >
<Stückenummern          >
<Stückenummern          >
<Stückenummern          >
<Stückenummern          >
<Stückenummern          >
<Stückenummern          >
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<Stückenummern          >
<Stückenummern          >
<Stückenummern          >
<Stückenummern          >
<Stückenummern          >
<Stückenummern          >
<Stückenummern          >
<Stückenummern          >
<Stückenummern          >
<Stückenummern          >
<Stückenummern          >

*** Opposition zu Urkunden vorhanden ***
    
```

Figure 5.6: Individual list I individual certificate all positions list

If neither individual certificates nor block package stock and/or ice block package stock exist for the request data, a negative message is generated for this list request.

The continuation line is only printed if a new page is required within the lowest group level, that is, if more than one page is issued for a denomination. In this case, only the denomination is repeated on the following page except for the first three lines.

## List request certificate number index - individual certificates (AE)

If the safekeeping type or designation changes, a page break is always inserted if the safekeeping type, divergent security designation or denomination changes, whereupon the entire top of the page is reprinted on the following page.

### 5.4.4 Current individual list - certificate selection I - individual certificates from block package stock list type

The basis for the data is the position on the date entered in the field DRUCK-DATUM (PRINT DATE) after all certificate movements have been executed in CARAD.

This list can be requested by entering STÜCKEAUSWAHL (CERTIFICATE SELECTION) = "I", BESTAND EU AUS (POSITIONS EU FROM) = "B", URKUNDENART (CERTIFICATE TYPE) = "E" and BLOCKÜBERGREIFEND (ACROSS THE WHOLE BLOCK) = "J".

The data can be restricted for a certain WKN, safekeeping type and/or denomination. CBF internal users are also able to restrict the selection to block package stock or ice block package stock and/or to a block number interval. In addition, CBF internal users are able to print the individual certificates in filing order or in an arithmetised state, an institution responsible for issuing certificates or a paying agent are only able to print them in an arithmetised state.

With this selection, all individual certificates which exist in the block package stock including ice block package are issued.

Working stock and certificates in deposits or withdrawals are not considered.

```
Clearstream Banking AG, Frankfurt                                TT.MM.JHJJ
Postfach                                                       Seite:      ZZZ9
60485 Frankfurt am Main

                Aktuelle Einzelliste - Einzelurkunden (Blockbestand)

WKN              : I XXXXXXXXXXXXX9 <WKN-Bezeichnung           >
                  W XXXXX9
Hinterlegungsart: 99 <HLG-TEXT                               >

Stückelung       : ZZZ.ZZZ.ZZZ.ZZ9,999                       Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Nominale         : ZZZ.ZZZ.ZZZ.ZZ9,999

Stückenummern
<Stückenummern                                     >
<Stückenummern                                     >
<Stückenummern                                     >
<Stückenummern                                     >
<Stückenummern                                     >
<Stückenummern                                     >
<Stückenummern                                     >
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<Stückenummern                                     >
<Stückenummern                                     >
<Stückenummern                                     >
<Stückenummern                                     >
<Stückenummern                                     >
<Stückenummern                                     >

*** Fortsetzung Seite ZZZ9 ***
```

Figure 5.7: Individual list I individual certificate block package stock list

If no data exists for the selection criteria, a negative list is issued for this list request.

The continuation line is only printed if a new page is required within the lowest group level, that is, if more than one page is issued for a denomination. In this case, only the denomination is repeated on the following page except for the first three lines.

A page break is always inserted if the safekeeping type or denomination changes, whereupon the entire top of the page is reprinted on the following page.

If blocked or lack certificates exist in block package stock, then the individual lists for this certificate selection are automatically issued as an appendix. Individual requests for a stop order list and lack list are still possible. The layout for these lists is described in the corresponding chapter.

### **5.4.5 Current individual list - certificate selection I - individual certificates from working stock list type**

The basis for the data is the position on the date entered in the field DRUCK-DATUM (PRINT DATE) after all certificate movements have been executed in CARAD.

This list can be requested by entering STÜCKEAUSWAHL (CERTIFICATE SELECTION) = "I", BESTAND EU AUS (POSITIONS EU FROM) = "H" and URKUNDENART (CERTIFICATE TYPE) = "E".

The data can be restricted for a certain WKN, safekeeping type and/or denomination. CBF internal users are able to print the individual certificates in filing order or in an arithmetised state, an institution responsible for issuing certificates or a paying agent are only able to print them in an arithmetised state.



### 5.4.6 Current individual list - certificate selection I - block index list type

The basis for the data is the position on the date entered in the field DRUCK-DATUM (PRINT DATE) after all certificate movements have been executed in CARAD.

This list can be requested by entering STÜCKEAUSWAHL (CERTIFICATE SELECTION) = "I", BESTAND EU AUS (POSITIONS EU FROM) = "B", URKUNDENART (CERTIFICATE TYPE) = "E" and BLOCKÜBERGREIFEND (ACROSS THE WHOLE BLOCK) = "J".

The data can be restricted for a certain ISIN, safekeeping type and/or denomination. CBF internal users are also able to restrict the selection to block package stock or ice block package stock and/or to a block No. interval. In addition, CBF internal users are able to print the individual blocks in filing order or in an arithmetised state, an institution responsible for issuing certificates or a paying agent are only able to print them in an arithmetised state.

The individual blocks with block information and the corresponding certificate numbers appear on the list.

```

Clearstream Banking AG, Frankfurt                               TT.MM.JHJJ
Postfach                                                       Seite:      ZZZ9
60485 Frankfurt am Main

Aktuelle Einzelliste - Blockverzeichnis

BLOCK-NR           :99999                      KZ-BLOCKART: <BLOCKART-TEXT>

WKN: I XXXXXXXXXXXX9 <WKN-Bezeichnung                       >
    W XXXXX9

STÜCKELUNG        : XX ZZZ.ZZZ.ZZ9,999          ANZAHL URKUNDEN: ZZZ.ZZZ.ZZ9
HINTERLEGUNGSART: 99 <HLG-TEXT                       >
NAECHSTER-KUPON   : 999 TT.MM.JHJJ                LETZTER-KUPON: 999 TT.MM.JHJJ
ARITHMETISIERUNG: X
KZ-KV-INTERN      : X <KZ-KV-INTERN-TEXT>
WKN-EX            : XXXXXXXXXXXX
SERIEN-WKN        : XXXXXXXXXXXX          ANZAHL OPT.SCHEINE/KUPONS: 999999

                Mantel                                Bogen
SCHRANK           : <Schrank-Text>                  <Schrank-Text>
FACH              : <Fach-Text>                      <Fach-Text>
ERFASSUNG         : 9999999999 TT.MM.JHJJ          9999999999 TT.MM.JHJJ
AENDERUNG         : 9999999999 TT.MM.JHJJ          9999999999 TT.MM.JHJJ
KONTROLLE         : 9999999999 TT.MM.JHJJ          9999999999 TT.MM.JHJJ
STATUS            : XXXXXXXXXXXX                    XXXXXXXXXXXX
KZ-MERKMAL       : X                               X

S T U E C K E N U M M E R N

<STUECKENUMMERN                                     >
<STUECKENUMMERN                                     >
<STUECKENUMMERN                                     >
<STUECKENUMMERN                                     >

*** Fortsetzung Seite ZZZ9 ***
    
```

Figure 5.9: Individual list I block package stock

If no blocks are found for the request, a corresponding negative message is issued.

The continuation line is only printed if a new page is required within the lowest group level, that is, if even more blocks are found for the requested criteria. In this case, only the block number is repeated on the following page except for the first three lines.



A page break is always inserted if the block changes, whereupon the entire top of the page is reprinted on the following page.

### 5.4.7 Current individual list - certificate selection 0 - global certificate list type

The basis for the data is the position on the date entered in the field DRUCK-DATUM (PRINT DATE) after all certificate movements have been executed in CARAD.

This list can be requested by entering STÜCKEAUSWAHL (CERTIFICATE SELECTION) = "0" and URKUNDENART (CERTIFICATE TYPE) = "S".

The data can be restricted for a certain safekeeping type. CBF internal users are able to print the individual certificate numbers for the respective global certificate in filing order or in an arithmetised state, an institution responsible for issuing certificates or a paying agent are only able to print them in an arithmetised state.

The status of the certificate is not considered in the process, that is, certificates with incomplete entries are also issued. Only the global certificates with a stop order are printed in this list. As a stop order is only reported via certificate numbers, any global certificates without certificate numbers cannot be displayed in this list.

Permanent global certificates and global certificates (up-to) are issued on separate lists. The layout of the lists are guided by the complete lists, which can be generated under AG.

**Permanent global certificates**

Clearstream Banking AG, Frankfurt	TT.MM.JHJJ
Postfach	Seite: ZZZ9
60485 Frankfurt am Main	
Aktuelle Einzelliste - Sammelurkunden (Globalurkunden) Oppositionen / Ersatzstücke	
WKN : I XXXXXXXXXXXX9 <WKN-Bezeichnung	>
W XXXXX9	
Hinterlegungsart: 99 <HLG-TEXT	>
Abw. Gattungsbez: ZZ9 <<Text Abweichende Bezeichnung	>
Ord/Sammel-Nr : ZZZZZ9 / ZZZZZ9	
Status : 999 <Text	>
Bes-Stk : ZZ9 <Text	>
Einlief-Grund : ZZ9 <Text	>
Oppositionsstücke :	Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Oppositionsgrund 99 <Text Oppositionsgrund	
Anzahl Stückelung Stückenummern	
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern	>
Oppositionsgrund 99 <Text Oppositionsgrund	
Anzahl Stückelung Stückenummern	
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern	>
Ord/Sammel-Nr : ZZZZZ9 / ZZZZZ9	
Status : 999 <Text	>
Bes-Stk : ZZ9 <Text	>
Einlief-Grund : ZZ9 <Text	>
Oppositionsstücke :	Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Oppositionsgrund 99 <Text Oppositionsgrund	
ANZAHL STÜCKELUNG STUECKENUMMERN	
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern	>
Ersatzstücke :	Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Anzahl Stückelung Stückenummern	
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern	>
*** Fortsetzung Seite ZZZ9 ****	

**Figure 5.10: Individual list 0 permanent global certificate**

This part of the list is only issued if permanent global certificates are found for the selection criteria which have blocked and/or replacement certificates.

In the event of a page change the same criteria apply as with certificate selection I.

## List request certificate number index - individual certificates (AE)

### Global certificate (up-to)

```
Clearstream Banking AG, Frankfurt                                TT.MM.JHJJ
Postfach                                                       Seite:      ZZZ9
60485 Frankfurt am Main

      Stückeliste Auswahl aktuell - Sammelurkunden (Rahmenurkunden)
      Oppositionen / Ersatzstücke

WKN          : I XXXXXXXXXXXXX9 <WKN-Bezeichnung           >
              W XXXXX9
Hinterlegungsart: 99 <HLG-TEXT                               >
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung       >

Ord/Sammel-Nr  : ZZZZZ9 / ZZZZZ9
Status        : 999 <Text                                   >
Bes-Stk       : ZZ9 <Text                                   >
Einlief-Grund  : ZZ9 <Text                                   >

Oppositionsstücke :                                          Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Oppositionsgrund 99 <Text Oppositionsgrund
  Anzahl      Stückelung      Stückenummern
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern           >

Ersatzstücke :                                          Anzahl Urkunden: ZZZ.ZZZ.ZZ9
  Anzahl      Stückelung      Stückenummern
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern           >

Ord/Sammel-Nr  : ZZZZZ9 / ZZZZZ9
Status        : 999 <Text                                   >
Bes-Stk       : ZZ9 <Text                                   >
Einlief-Grund  : ZZ9 <Text                                   >

Ersatzstücke :                                          Anzahl Urkunden: ZZZ.ZZZ.ZZ9
  Anzahl      Stückelung      Stückenummern
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern           >

*** Fortsetzung Seite ZZZ9 ***
```

Figure 5.11: Individual list 0 global certificate (up-to)

This part of the list is only issued if global certificates (up-to) are found for the selection criteria which have blocked and/or replacement certificates.

If no global certificates with blocked certificates or replacement certificates were found then this list type is omitted and not replaced insofar as permanent global certificates existed with these criteria. Otherwise, a negative message is issued for this list request.

In the event of a page change the same criteria apply as with certificate selection I.

### 5.4.8 Current individual list - certificate selection 0 - individual certificates from all positions list type

The basis for the data is the position on the date entered in the field DRUCK-DATUM (PRINT DATE) after all certificate movements have been executed in CARAD.

This list can be requested by entering STÜCKEAUSWAHL (CERTIFICATE SELECTION) = "0", BESTAND EU AUS (POSITIONS EU FROM) = "G" and URKUNDENART (CERTIFICATE TYPE) = "E". The data can be restricted for a certain safekeeping type and/or denomination. The individual certificates are only printed in an arithmetised state.

Only the individual certificates from working or block package stock (including ice block package stock) with a stop order are printed in this list. Certificates from deposits and withdrawals are not considered here.

Clearstream Banking AG, Frankfurt	TT.MM.JHJJ
Postfach	Seite: ZZ9
60485 Frankfurt am Main	
Aktuelle Einzelliste - Einzelurkunden (Gesamtbestand)	
Oppositionen / Ersatzstücke	
WKN : I XXXXXXXXXXXX9 <WKN-Bezeichnung	>
W XXXXX9	
Hinterlegungsart: 99 <HLG-TEXT	>
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung	>
Stückelung : ZZ.ZZZ.ZZZ.ZZ9,999	
Oppositionsstücke :	Anzahl Urkunden: ZZ.ZZZ.ZZ9
Oppositionsgrund 99 <Text Oppositionsgrund	
Stückenummern	
<Stückenummern	>
<Stückenummern	>
Oppositionsgrund 99 <Text Oppositionsgrund	
Stückenummern	
<Stückenummern	>
<Stückenummern	>
Ersatzstücke:	Anzahl Urkunden: ZZ.ZZZ.ZZ9
Stückenummern	
<Stückenummern	>
<Stückenummern	>
*** Fortsetzung Seite ZZ9 ***	

Figure 5.12: Individual list 0 individual certificate all positions list

This part of the list is only issued if individual certificates are found for the selection criteria for which stop orders have been issued or where replacement certificates are concerned.

If no individual certificates with a stop order are found then a negative message is issued for this list request.

In the event of a page change the same criteria apply as with certificate selection I.

### 5.4.9 Current individual list - certificate selection 0 - individual certificates from block package stock list type

The basis for the data is the position on the date entered in the field DRUCK-DATUM (PRINT DATE) after all certificate movements have been executed in CARAD.

This list can be requested by entering STÜCKEAUSWAHL (CERTIFICATE SELECTION) = "0", BESTAND EU AUS (POSITIONS EU FROM) = "B", URKUNDENART (CERTIFICATE TYPE) = "E" and BLOCKÜBERGREIFEND (ACROSS THE WHOLE BLOCK) = "N".

The data can be restricted for a certain WKN, safekeeping type and/or denomination. CBF internal users are also able to restrict the selection to block package stock or ice block package stock and/or to a block No. interval. In addition, CBF internal users are able to print the individual certificates in filing order or in an arithmetised state, an institution responsible for issuing certificates or a paying agent are only able to print them in an arithmetised state.

With this selection, all stop order and/or replacement certificates which exist in the block package stock including ice block package are issued.

Working stock and certificates in deposits or withdrawals are not considered.

Clearstream Banking AG, Frankfurt	TT.MM.JHJJ
Postfach	Seite: ZZ9
60485 Frankfurt am Main	
Aktuelle Einzelliste - Einzelurkunden (Blockbestand) Oppositionen / Ersatzstücke	
WKN : I XXXXXXXXXXXX9 <WKN-Bezeichnung	>
W XXXXX9	
Hinterlegungsart: 99 <HLG-TEXT	>
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung	>
Stückelung : ZZZ.ZZZ.ZZZ.ZZ9,999	
Oppositionsstücke :	Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Oppositionsgrund 99 <Text Oppositionsgrund	
Stückenummern	
<Stückenummern	> Block-Nr: 999999
<Stückenummern	> Block-Nr: 999999
Oppositionsgrund 99 <Text Oppositionsgrund	
Stückenummern	
<Stückenummern	> Block-Nr: 999999
<Stückenummern	>
Ersatzstücke:	Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Stückenummern	
<Stückenummern	> Block-Nr: 999999
<Stückenummern	> Block-Nr: 999999
*** Fortsetzung Seite ZZ9 ***	

Figure 5.13: Individual list 0 individual certificate block package stock list

This part of the list is only issued if individual certificates are found for the selection criteria for which stop orders have been issued or where replacement certificates are concerned.

If no certificates are found for this request then a negative message is printed.

In the event of a page change the same criteria apply as with a certificate selection.

The certificate numbers for a block reason or for the replacement certificates are assigned to a block. This information only appears if the block number changes.

### 5.4.10 Current individual list - certificate selection 0 - individual certificates from all working stock list type

The basis for the data is the position on the date entered in the field DRUCK-DATUM (PRINT DATE) after all certificate movements have been executed in CARAD.

This list can be requested by entering STÜCKEAUSWAHL (CERTIFICATE SELECTION) = "0", BESTAND EU AUS (POSITIONS EU FROM) = "H" and URKUNDENART (CERTIFICATE TYPE) = "E".

The data can be restricted for a certain ISIN, safekeeping type and/or denomination. CBF internal users are able to print the individual certificates in filing order or in an arithmetised state, an institution responsible for issuing certificates or a paying agent are only able to print them in an arithmetised state.

With this selection, all stop order and replacement certificates that exist in working stock are issued. Certificates from deposit or withdrawals are not considered.

```

Clearstream Banking AG, Frankfurt                                     TT.MM.JHJJ
Postfach                                                            Seite:      ZZ9
60485 Frankfurt am Main

                Aktuelle Einzelliste - Einzelurkunden (Blockbestand)
                    Oppositionen / Ersatzstücke

WKN              : I XXXXXXXXXXXX9 <WKN-Bezeichnung                >
                  W XXXXX9
Hinterlegungsart: 99 <HLG-TEXT                                     >
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung              >
Stückelung       : ZZZ.ZZZ.ZZZ.ZZ9,999

Oppositionsstücke :                                             Anzahl Urkunden: ZZZ.ZZZ.ZZ9

Oppositionsgrund 99 <Text Oppositionsgrund
Stückenummern
<Stückenummern                                         >
<Stückenummern                                         >

Oppositionsgrund 99 <Text Oppositionsgrund
Stückenummern
<Stückenummern                                         >
<Stückenummern                                         >

Ersatzstücke:                                             Anzahl Urkunden: ZZZ.ZZZ.ZZ9

Stückenummern
<Stückenummern                                         >
<Stückenummern                                         >

*** Fortsetzung Seite ZZ9 ***
    
```

Figure 5.14: Individual list 0 individual certificate working stock

This part of the list is only issued if individual certificates are found for the selection criteria for which stop orders have been issued or where replacement certificates are concerned.

If no certificates with these selection criteria were found then a negative message is printed.

In the event of a page change the same criteria apply as with certificate selection I.

### 5.4.11 Current individual list - certificate selection 0 - block package index list type

The basis for the data is the position on the date entered in the field DRUCK-DATUM (PRINT DATE) after all certificate movements have been executed in CARAD.

This list can be requested by entering STÜCKEAUSWAHL (CERTIFICATE SELECTION) = "0", BESTAND EU AUS (POSITIONS EU FROM) = "B", URKUNDENART (CERTIFICATE TYPE) = "E" and BLOCKÜBERGREIFEND (ACROSS THE WHOLE BLOCK) = "J".

The data can be restricted for a certain ISIN, safekeeping type and/or denomination. CBF internal users are also able to restrict the selection to block package stock or ice block package stock and/or to a block No. interval. In addition, CBF internal users are able to print the individual blocks in filing order or in an arithmetised state, an institution responsible for issuing certificates or a paying agent are only able to print them in an arithmetised state.

Only blocks and block information with the certificate numbers with a stop order or marked as a replacement certificate appear in the list.

Clearstream Banking AG, Frankfurt	TT.MM.JHJJ
Postfach	Seite: ZZZ9
60485 Frankfurt am Main	
Blockverzeichnis aktuell	
BLOCK-NR : 99999	KZ-BLOCKART: <BLOCKART-TEXT>
WKN: I XXXXXXXXXXXX9	<WKN-Bezeichnung >
W XXXXX9	
STÜCKELUNG : XX ZZZ.ZZZ.ZZ9,999	ANZAHL URKUNDEN: ZZZ.ZZZ.ZZ9
HINTERLEGUNGSART: X 99	<HLG-TEXT >
SCHRANK : <SCHRANK-TEXT >	FACH: <FACH-TEXT>
NAECHSTER-KUPON : 999 TT.MM.JHJJ	LETZTER-KUPON: 999 TT.MM.JHJJ
ARITHMETISIERUNG: X	
KZ-KV-INTERN : X	<KZ-KV-INTERN-TEXT>
WKN-EX : XXXXX9	
SERIEN-WKN : XXXXX9	ANZAHL OPT.SCHEINE/KUPONS:
ERFASSUNG : 999999999	TT.MM.JHJJ
AENDERUNG : 999999999	TT.MM.JHJJ
KONTROLLE : 999999999	TT.MM.JHJJ
STATUS : XXXXXXXXXXXX	KZ-MERKMAL: X
Oppositionsstücke :	Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Oppositionsgrund 99	<Text Oppositionsgrund >
Stückenummern	>
<Stückenummern	>
Ersatzstücke:	Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Stückenummern	
<Stückenummern	>
<Stückenummern	
*** Fortsetzung Seite ZZZ9 ***	

Figure 5.15: Individual list 0 block package stock

If no blocks with these selection criteria were found then a negative message is printed.

In the event of a page change the same criteria apply as with certificate selection I.

### 5.4.12 Current individual list - certificate selection M - global certificates list type

The basis for the data is the position on the date entered in the field DRUCK-DATUM (PRINT DATE) after all certificate movements have been executed in CARAD.

This list can be requested by entering STÜCKEAUSWAHL (CERTIFICATE SELECTION) = "M" and URKUNDENART (CERTIFICATE TYPE) = "S".

The data can be restricted for a certain safekeeping type. CBF internal users are able to print the individual certificate numbers for the respective global certificate in filing order or in an arithmetised state, an institution responsible for issuing certificates or a paying agent are only able to print them in an arithmetised state.

The status of the certificate is not considered in the process, that is, certificates with incomplete entries are also issued. Only the global certificates with a lack or which have a characteristic are printed in this list. Assigned global certificates are not considered in the process.

#### Permanent global certificates

Clearstream Banking AG, Frankfurt	TT.MM.JHJJ
Postfach	Seite: ZZZ9
60485 Frankfurt am Main	
Aktuelle Einzelliste - Sammelurkunden (Globalurkunden) Mängel / Besonderheiten	
WKN : I XXXXXXXXXXXXX9 <WKN-Bezeichnung	>
W XXXXX9	
Hinterlegungsart: 99 <HLG-TEXT	>
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung	>
Ord/Sammel-Nr : ZZZZZ9 / ZZZZZ9	
Status : 999 <Text	>
Bes-Stk : ZZ9 <Text	>
Einlief-Grund : ZZ9 <Text	>
Mangelstücke :	Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Mangelgrund 99 <Text Mangelgrund	
Anzahl Stückelung Stückenummern Mantel	
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern	>
Anzahl Stückelung Stückenummern Bogen	
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern	>
Ord/Sammel-Nr : ZZZZZ9 / ZZZZZ9	
Status : 999 <Text	>
Bes-Stk : ZZ9 <Text	>
Einlief-Grund : ZZ9 <Text	>
Besonderheiten :	Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Anzahl Stückelung Stückenummern	
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern	>
*** Fortsetzung Seite ZZZ9 ****	

Figure 5.16: Individual list M permanent global certificate

This part of the list is only issued if permanent global certificates with a lack or characteristic are found for the selection criteria.



## List request certificate number index - individual certificates (AE)

In the event of a page change the same criteria apply as with certificate selection I.

### Global certificate (up-to)

Clearstream Banking AG, Frankfurt	TT.MM.JHJJ
Postfach	Seite: ZZZ9
60485 Frankfurt am Main	
Aktuelle Einzelliste - Sammelurkunden (Rahmenurkunden) Mängel / Besonderheiten	
WKN : I XXXXXXXXXXXX9 <WKN-Bezeichnung	>
W XXXXX9	
Hinterlegungsart: 99 <HLG-TEXT	>
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung	>
Ord/Sammel-Nr : ZZZZZ9 / ZZZZZ9	
Status : 999 <Text	>
Bes-Stk : ZZ9 <Text	>
Einlief-Grund : ZZ9 <Text	>
Mangelstücke :	Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Mangelgrund 99 <Text Mangelgrund	
Anzahl Stückelung Stückenummern Mantel	
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern	>
Anzahl Stückelung Stückenummern Bogen	
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern	>
Ord/Sammel-Nr : ZZZZZ9 / ZZZZZ9	
Status : 999 <Text	>
Bes-Stk : ZZ9 <Text	>
Einlief-Grund : ZZ9 <Text	>
Besonderheiten :	Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Anzahl Stückelung Stückenummern	
ZZZ.ZZZ.ZZ9 ZZZ.ZZZ.ZZZ.ZZ9,999 <Stückenummern	>
*** Fortsetzung Seite ZZZ9 ****	

Figure 5.17: Individual list M global certificate (up-to)

This part of the list is only issued if global certificates (up-to) with a lack or characteristic are found for the selection criteria.

If no lacks or characteristics were found for permanent global certificates either, then a negative message is printed for this list request also.

In the event of a page change the same criteria apply as with certificate selection I.

### 5.4.13 Current individual list - certificate selection M - individual certificates for all positions list type

The basis for the data is the position on the date entered in the field DRUCK-DATUM (PRINT DATE) after all certificate movements have been executed in CARAD.

This list can be requested by entering STÜCKEAUSWAHL (CERTIFICATE SELECTION) = "M", BESTAND EU AUS (POSITIONS EU FROM) = "G" and URKUNDENART (CERTIFICATE TYPE) = "E". The data can be restricted for a certain safekeeping type and/or denomination. The individual certificates are only printed in an arithmetised state.

Only the individual certificates from the working or block package stock including the ice block package stock that have certificate numbers with a lack mark or a characteristic are printed in this character list. Individual certificates which are still allocated to a deposit or have already been allocated to a withdrawal, are not considered.

```

Clearstream Banking AG, Frankfurt                               TT.MM.JHJJ
Postfach                                                       Seite:      ZZ9
60485 Frankfurt am Main

      Aktuelle Einzelliste - Einzelurkunden (Gesamtbestand)
            Mängel / Besonderheiten

WKN          : I XXXXXXXXXXXXX9 <WKN-Bezeichnung           >
              W XXXXX9
Hinterlegungsart: 99 <HLG-TEXT                               >
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung       >
Stückelung    : ZZZ.ZZZ.ZZZ.ZZ9,999

Mangelstücke :                                             Anzahl Urkunden: ZZZ.ZZZ.ZZ9

Mangelgrund 99 <Text Mangelgrund
Stückenummern Mantel
<Stückenummern                                             >
<Stückenummern                                             >

Stückenummern Bogen
<Stückenummern                                             >

Mangelgrund 99 <Text Mangelgrund
Stückenummern Mantel
<Stückenummern                                             >

Stückenummern Bogen
<Stückenummern                                             >

Besonderheiten :                                             Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Stückenummern
<Stückenummern                                             >
<Stückenummern                                             >

*** Fortsetzung Seite ZZ9 ***
    
```

Figure 5.18: Individual list M individual certificate all positions list

This part of the list is only issued if individual certificates with lacks or characteristics are found for the selection criteria. If no certificates were found with this criterion, a negative message is printed.

In the event of a page change the same criteria apply as with certificate selection I.

#### 5.4.14 Current individual list - certificate selection M - individual certificates block package stock list type

The basis for the data is the position on the date entered in the field DRUCK-DATUM (PRINT DATE) after all certificate movements have been executed in CARAD.

This list can be requested by entering STÜCKEAUSWAHL (CERTIFICATE SELECTION) = "M", BESTAND EU AUS (POSITIONS EU FROM) = "B", URKUNDENART (CERTIFICATE TYPE) = "E" and INDEPENDENT OF BLOCK = "N".

The data can be restricted for a certain ISIN, safekeeping type and/or denomination. CBF internal users are also able to restrict the selection to block package stock or ice block package stock and/or to a block No. interval. In addition, CBF internal users are able to print the individual certificates in filing order or in an arithmetised state, an institution responsible for issuing certificates or a paying agent are only able to print them in an arithmetised state.

Only the individual certificates from working or block package stock (including the ice block package stock) that have certificate numbers with a lack mark or a characteristic are printed in this list.

Working stock and certificates in deposits or withdrawals are not considered.

Clearstream Banking AG, Frankfurt	TT.MM.JHJJ
Postfach	Seite: ZZZ9
60485 Frankfurt am Main	
Aktuelle Einzelliste - Einzelurkunden (Blockbestand)	
Mängel / Besonderheiten	
WKN : I XXXXXXXXXXXX9 <WKN-Bezeichnung	>
W XXXXX9	
Hinterlegungsart: 99 <HLG-TEXT	>
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung	>
Stückelung : ZZZ.ZZZ.ZZZ.ZZ9,999	
Mangelstücke :	Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Mangelgrund 99 <Text Mangelgrund	
Stückenummern Mantel	
<Stückenummern	> Block-Nr: 999999
<Stückenummern	> Block-Nr: 999999
Stückenummern Bogen	
<Stückenummern	> Block-Nr: 999999
Mangelgrund 99 <Text Mangelgrund	
Stückenummern Mantel	
<Stückenummern	> Block-Nr: 999999
Stückenummern Bogen	
<Stückenummern	> Block-Nr: 999999
Besonderheiten :	Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Stückenummern	
<Stückenummern	> Block-Nr: 999999
<Stückenummern	>
*** Fortsetzung Seite ZZ9 ***	

Figure 5.19: Individual list M individual certificates block package stock list

This part of the list is only issued if individual certificates in the block package stock with lacks or characteristics are found for the selection criteria. If no such individual certificates are found then a negative message is issued for this list request.

In the event of a page change the same criteria apply as with certificate selection I.

The certificate numbers for a block reason or for the replacement certificates are assigned to a block. This information only appears if the block number changes.

### **5.4.15 Current individual list - certificate selection M - individual certificates working stock list type**

The basis for the data is the position on the date entered in the field DRUCK-DATUM (PRINT DATE) after all certificate movements have been executed in CARAD.

This list can be requested by entering STÜCKEAUSWAHL (CERTIFICATE SELECTION) = "M", BESTAND EU AUS (POSITIONS EU FROM) = "H" and URKUNDENART (CERTIFICATE TYPE) = "E".

The data can be restricted for a certain ISIN, safekeeping type and/or denomination. CBF internal users are able to print the individual certificates in filing order or in an arithmetised state, an institution responsible for issuing certificates or a paying agent are only able to print them in an arithmetised state.

## List request certificate number index - individual certificates (AE)

Only individual certificates from working stock that have certificate numbers with a lack mark or characteristic are printed with this selection. Certificates from deposit or withdrawals are not considered.

Clearstream Banking AG, Frankfurt	TT.MM.JHJJ
Postfach	Seite: ZZZ9
60485 Frankfurt am Main	
Aktuelle Einzelliste - Einzelurkunden (Handbestand)	
Mängel / Besonderheiten	
WKN : I XXXXXXXXXXXX9 <WKN-Bezeichnung	>
W XXXXX9	
Hinterlegungsart: 99 <HLG-TEXT	>
Abw. Gattungsbez: ZZ9 <Text Abweichende Bezeichnung	>
Stückelung : ZZZ.ZZZ.ZZZ.ZZ9,999	
Mangelstücke :	Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Mangelgrund 99 <Text Mangelgrund	
Stückenummern Mantel	
<Stückenummern	>
<Stückenummern	>
Stückenummern Bogen	
<Stückenummern	>
Mangelgrund 99 <Text Mangelgrund	
Stückenummern Mantel	
<Stückenummern	>
Stückenummern Bogen	
<Stückenummern	>
Besonderheiten :	Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Stückenummern	
<Stückenummern	>
<Stückenummern	>
*** Fortsetzung Seite ZZ9 ***	

Figure 5.20: Individual list M individual certificates working stock list

This part of the list is only issued if individual certificates with lacks or characteristics are found for the selection criteria. If no such certificates were found then a negative message is printed.

In the event of a page change the same criteria apply as with certificate selection I.

### 5.4.16 Current individual list - certificate selection M - global certificates list type

The basis for the data is the position on the date entered in the field DRUCK-DATUM (PRINT DATE) after all certificate movements have been executed in CARAD.

This list can be requested by entering STÜCKEAUSWAHL (CERTIFICATE SELECTION) = "M", BESTAND EU AUS (POSITIONS EU FROM) = "B", URKUNDENART (CERTIFICATE TYPE) = "E" and INDEPENDENT OF BLOCK = "J".

The data can be restricted for a certain ISIN, safekeeping type and/or denomination. CBF internal users are also able to restrict the selection to block package stock or ice block package stock and/or to a block No. interval. In addition, CBF internal users are able to print the individual blocks in filing order or in an arithmetised state, an institution responsible for issuing certificates or a paying agent are only able to print them in an arithmetised state.

Only blocks and block information with the certificate numbers that have a lack mark or characteristic appear in the list.

```

Clearstream Banking AG, Frankfurt                                     TT.MM.JHJJ
Postfach                                                            Seite:      ZZZ9
60485 Frankfurt am Main

Blockverzeichnis aktuell

BLOCK-NR          : 99999  KZ-BLOCKART: <BLOCKART-TEXT>

WKN: I XXXXXXXXXXXX9 <WKN-Bezeichnung          >
     W XXXXX9

STÜCKELUNG       : XX ZZZ.ZZZ.ZZ9,999          ANZAHL URKUNDEN: ZZZ.ZZZ.ZZ9
HINTERLEGUNGSART: X 99 <HLG-TEXT              >
SCHRANK          : <SCHRANK-TEXT              > FACH: <FACH-TEXT>
NAECHSTER-KUPON : 999 TT.MM.JHJJ             LETZTER-KUPON: 999 TT.MM.JHJJ
ARITHMETISIERUNG: X
KZ-KV-INTERN    : X <KZ-KV-INTERN-TEXT>
WKN-EX          : XXXXX9
SERIEN-WKN      : XXXXX9          ANZAHL OPT.SCHEINE/KUPONS:
ERFASSUNG       : 9999999999  TT.MM.JHJJ
AENDERUNG       : 9999999999  TT.MM.JHJJ
KONTROLLE       : 9999999999  TT.MM.JHJJ
STATUS          : XXXXXXXXXXXX          KZ-MERKMAL: X

Mangelstücke :                               Anzahl Urkunden: ZZZ.ZZZ.ZZ9

Mangelgrund 99 <Text Mangelgrund
Stückenummern Mantel
<Stückenummern                                     >

Mangelgrund 99 <Text Mangelgrund
Stückenummern Bogen
<Stückenummern                                     >

Besonderheiten :                               Anzahl Urkunden: ZZZ.ZZZ.ZZ9
Stückenummern
<Stückenummern                                     >

*** Fortsetzung Seite ZZZ9 ****

```

Figure 5.21: Individual list M global certificate

## List request certificate number index - individual certificates (AE)

This part of the list is only issued if individual certificates in the block package stock with lacks or characteristics are found for the selection criteria. If no such certificates were found then a negative message is printed.

In the event of a page change the same criteria apply as with certificate selection I.

This page has intentionally been left blank.



## 6. List request certificate list - institution responsible for issuing certificates (EM)

### 6.1 General description

Up until now it has only been possible to request an inventory list for all certificates in a security in the CBF vault within KCSL reporting.

This request of the line unit has been expanded through the customers so that it is also possible to obtain an analysis of all positions in the CBF vault of an institution responsible for issuing certificates.

The request is made via the EM function within KCSL New. The analysis is available as an EXCEL file in CSV format via the Fileservice/Internet Download Area.

The positions for the securities of the institution responsible for issuing certificates appear in the analysis. All securities are considered which have a corresponding entry in the field "emissionsbegleitendes Institut" (institution responsible for issuing certificates) when the positions were determined in WSS on the print date. Entries in the fields collecting agency, depository etc. are not considered.

The analysis for each list request is issued in a CSV file. In order to distinguish the data of the individual list requests for one day from each other, a serial number beginning with 1 is assigned to each customer and each receiving department.

The file contains three headlines and then the data lines. The characters of general data concerning the list request and characters concerning the fields to be issued appear as headlines.

The securities from an institution responsible for issuing certificates are issued alphabetically. The issue is sorted according to safekeeping type, denominations in a safekeeping type and collective numbers in a safekeeping type in ascending order. Certificates with divergent security designations are contained in the denomination of the corresponding security.

No certificate numbers are issued, but instead only the quantity of certificates and sums of the nominals within a denomination.

For individual certificates, the certificate numbers of working stock, block package and ice block package stock are applied to determine the numerical sum and quantity of certificates.

Global certificates without certificate numbers are displayed for global certificates.

A field record type is set in front of the headlines and data lines. The record type defines the type of output line. The headline with the character for the general fields is marked with U1, the headline with the data for the general fields with U2, the headline with the character for the fields issued with U3, the data lines of individual certificates with D1 and the data lines of global certificates with D2.

Identification occurs according to the entry in CARAD for RS securities.

Certificate numbers from deposited positions are only considered once the orders have been transferred (processing status = 990). Certificates reserved for assignment (individual and global certificates) are not displayed.

The printout always reflects the positions after performance of all certificate movements and KADI events in STD processing. This therefore concerns the final positions for the day which was specified as the print date.

If no positions were determined in accordance with the selection criteria at the time of printing or if no authorisation exists for a bank, then only the headlines are issued.

## 6.2 Screen layout

It is not possible to view the submitted request online. The customer should therefore print a hardcopy before confirming a list request.

```

TRAN: KCSL FC: EM SB:

CARAD      A N F O R D E R U N G E N   L I S T E N   B A T C H
           Stückeliste Gesamt emissionsbegleitendes Institut

emis. Institut : 9999 < Bank-Text                >

Druck-Datum      : TT.MM.JJJJ
Ausgabemedium    : 99 < Ausgabe-Text              >
Empfangs-Abt.   : 99 < Empfangs-Abt.-Text        >
-- ID-KZ: 7999000176 -- PW: _____ ----- B7907494 -- 04/03/05 -- 09:54:21 --
KC0366F Bitte Banknummer eingeben
PF3:Verarbeitung PF4:Abbruch
    
```

Figure 6.1: Selection screen institution responsible for issuing certificate

The following rules for the input fields apply when entering a list request

Selection criteria	CBF/Customer
EMIS. INSTITUT (INSTITUTION RESPONSIBLE FOR ISSUING CERTIFICATES)	CBF: Required CUSTOMER: Entry not possible; preset with the first 4 digits of the ID.
DRUCK-DATUM (PRINT DATE)	Required, preset to today's date
AUSGABEMEDIUM (OUTPUT MEDIUM)	Constant preset to internet
EMPFANGS-ABT (RECEIVING DEPT.)	CBF: Required CUSTOMER: Input not permitted

A CSV file is created with this function. The content of the CSV file is described in the following chapter. The print date may not be in the past and is preset to the current date.

## 6.3 CSV File

### Name of the CSV file

The institution responsible for issuing certificates analysis is included in the CBF Fileservice in accordance with the other KCSL lists and made available on the internet for customers.

In order for a customer to quickly and easily access the correct analysis, the file name of the analysis for requests entered by clients contains the following information:

1. KS&BANK-NR.01 Depository trust company number of the requesting customer
2. KCSL Transaction with which the report was requested
3. JR661351 for marking which list/analysis is present
4. L&ldf. Nummer for differentiating in the event multiple list requests were requested for one print date
5. D&Druckdatum

### Example:

KS7999.01.KCSL.JR661351.L001.D100303.T154435.ADC

- 1.
- 2.
- 3.
- 4.
- 5

The files are provided to the customers in encrypted form and must be decrypted using the FLAM software.

### Data

The analysis of the positions for an institution responsible for issuing certificates in the CBF vault is issued in CSV file format and has the following structure:

```
1.Überschriftszeile: Literale der allgemeinen Daten einer LIA
2.Überschriftszeile: allgemeine Daten einer LIA
3.Überschriftszeile: Literale der ausgegebenen Daten einer LIA
1.Datenzeile zur LIA
2.Datenzeile zur LIA
....
```

Figure 6.1: Header of a CSV file

The different fields within a line are separated by a semicolon.

The 1st headline contains the following field in the order:

- U1 - Identifies this line as a headline with general data.
- DRUCKDATUM (PRINT DATE)
- LFD-NR (CURRENT NUMBER)
- EMIS-BEGL-INSTITUT (INSTITUTION RESPONSIBLE FOR ISSUING CERTIFICATES)
- EMIS-BEGL-INSTITUT-BEZ (INSTITUTION RESPONSIBLE FOR ISSUING CERTIFICATES DESIGNATION)

The 2nd headline contains the following data in the format and order described below:

- U2 - Identifies this line as the headline with general data
- Print date  
The field contains 10 characters in the format DD.MM.YYYY.

- Current number  
The field contains 3 digits and is numerical.
- Emissionsbegleitendes Institut  
The field is numerical and contains 4 digits.
- Emissionsbegleitendes Institutsbezeichnung  
The field is alphanumeric and contains 35 characters. If no designation exists for the institution responsible for issuing certificates, a SPACE is entered in the field.

The 3rd headline contains the following field in the order:

- U3 - Identifies this line as a headline with fields of the issued data.
- ISIN
- WKN-BEZ (DESIGNATION)
- HLG (SAFEKEEPING TYPE)
- HLG-TEXT (SAFEKEEPING TYPE TEXT)
- STUECKELUNG (DENOMINATION)
- SUMME NOMINALE (TOTAL NOMINALS)
- ANZAHL URKUNDEN (NUMBER OF CERTIFICATES)
- SAMMEL-NR (COLLECTIVE NUMBER)
- ORD-NR (ORG. NUMBER)
- NOMINALE SAMMEL (COLLECTIVE NOMINALS)
- RAHMEN-NOMINALE (UP-TO NOMINAL)
- NOMINALE-OFFEN (PENDING NOMINAL)
- NOMINALE-DISPOSITIV (NOMINAL ANTICIPATED)
- STATUS
- STATUS-TEXT
- EINLIEF-GRUND (DEPOSIT REASON)
- EINLIEF-GRUND-TEXT (DEPOSIT REASON TEXT)
- AGENT
- KZ-AGENT-BEARB (MARK AGENT PROCESSING)
- KZ-AGENT-REPORT (MARK AGENT REPORTING)

The data lines contain the following data in the format and order described below:

- D1 - Identifies this line as a data line for individual certificates  
or D2 - Identifies this line as a data line for global certificates
- ISIN  
The field is alphanumeric and contains 12 characters.
- ISIN designation  
The field is alphanumeric and contains 35 characters. If no designation exists for a security, a SPACE is entered in the field.
- Safekeeping type  
The field is numerical and contains 2 digits.
- Safekeeping type text  
The field is alphanumeric and contains 35 characters. If no safekeeping type text exists for the certificate, a SPACE is entered in the field.

## List request certificate list - institution responsible for issuing certificates (EM)

- Denomination  
The field is numerical and contains 15 digits with 12 digits in front of the decimal and 3 decimal places. If no individual certificate exists, a SPACE is entered in the field.
- Total nominals (per denomination)  
The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no individual certificate exists, a SPACE is entered in the field.
- Number of certificates (per denomination)  
The field is numerical and contains 9 digits. If no individual certificate exists, a SPACE is entered in the field.
- Collective number  
The field is numerical and contains 6 digits. If a certificate does not have a collective number, a SPACE is entered in the field.
- Organisation number  
The field is numerical and contains 6 digits. If a certificate does not have a organisation number, a SPACE is entered in the field.
- Collective nominals  
The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate exists, a SPACE is entered in the field.
- Up-to nominal  
The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate up-to exists, a SPACE is entered in the field.
- Pending nominal  
The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate up-to exists, a SPACE is entered in the field.
- Nominal anticipated  
The field is numerical and contains 18 digits with 15 digits in front of the decimal and 3 decimal places. If no global certificate up-to exists, a SPACE is entered in the field.
- Status  
The field contains 3 digits and is numerical. If no global certificate exists, a SPACE is entered in the field.
- Status text  
The field contains 35 characters and is alphanumerical. If no global certificate exists or there is no text for the certificate, a SPACE is entered in the field.
- Deposit reason  
The field is numerical and contains 2 digits. If no global certificate exists, a 0 is entered in the field.
- Deposit reason text  
The field is alphanumerical and contains 20 digits. If no deposit reason text exists for the certificate, a SPACE is entered in the field.
- Agent  
The field is numerical and contains 4 digits. If no agent is entered, a SPACE is entered in the field.
- Agent Bearbeitung  
The field is numerical and contains 3 digits. If no mark is entered, a SPACE is entered in the field.
- Agent Report  
The field is numerical and contains 3 digits. If no mark is entered, a SPACE is entered in the field.

The total of nominals and number of certificates includes the sum of the certificate numbers for the individual certificates from the hand, block and ice block package stock within a specific safekeeping type and denomination. Certificates that have either been opposed or that are missing or have been replaced are included, but are not explicitly identified.

**Layout**

The headlines and data lines described above for a CSV file result in the following layout:

```

U1;EMPFAENGER;DRUCKDATUM;LFD.NR;EMIS-BEGL-INSTITUT;EMIS-BEGL-INSTITUT-
BEZ;;;;;;;;;;;;;
U2;20;15.10.2010;2;7999;TESTBANK AG;;;;;;;;;;;;;
U3;ISIN;WKN-BEZ;HLG;HLG-TEXT;STUECKELUNG;SUMME NOMINALE;ANZAHL URKUNDEN;SAMMEL-
NR;ORD-NR;NOMINALE-SAMMEL;RAHMEN-NOMINALE;NOMINALE-OFFEN;NOMINALE-
DISPOSITIV;STATUS;STATUS-TEXT;EINLIEF-GRUND;EINLIEF-GRUND-TEXT;AGENT;AGENT-TEXT;KZ-
AGENT-BEARB;KZ-AGENT-BEARB-TEXT;KZ-AGENT-REPORT;KZ-AGENT-REPORT-TEXT
D2;DE000A0AMEY5;5,25 % HSBC
TRINK.+BURK.ANL.;1;GS;;;1;1;5000000,000;;;500;KONTROLLIERT;1;AUS EMISSION;2;EMI.
INST. MIT AUSGL;1;AUCH AGENT;1;AUCH AGENT
D2;DE000A0AYUK5;5,5 % LEICA CAMERA
WLD.04/1;1;GS;;;1;14994900,000;;;500;KONTROLLIERT;1;AUS EMISSION;;;;;
D2;DE000A0BVU93;PHOENIX SOLAR AG
O.N;1;GS;;;1;5025000,000;;;500;KONTROLLIERT;1;AUS EMISSION;;;;;
D2;DE000A0BVU93;PHOENIX SOLAR AG O.N;1;GS;;;2;500000,000;;;500;KONTROLLIERT;1;AUS
E-MISSION;;;;;
D2;DE000A0BVU93;PHOENIX SOLAR AG O.N;1;GS;;;3;552000,000;;;500;KONTROLLIERT;1;AUS
E-MISSION;;;;;
D2;DE000A0BVU93;PHOENIX SOLAR AG O.N;1;GS;;;4;607500,000;;;500;KONTROLLIERT;1;AUS
E-MISSION;;;;;
D2;DE000A0BVU93;PHOENIX SOLAR AG
O.N;1;GS;;;5;1;18000,000;552500,000;534500,000;500;KONTROLLIERT;1;AUS EMISSI-
ON;;;;;
D1;DE0008474040;DWS INTER-RENTA;1;GS;1,000;93477,000;93477;;;;;;;;;;;;;
D1;DE0008474040;DWS INTER-RENTA;1;GS;10,000;3295520,000;329552;;;;;;;;;;;;;
D1;DE0008474040;DWS INTER-RENTA;1;GS;99,999;9999,900;100;;;;;;;;;;;;;
D1;DE0008474040;DWS INTER-RENTA;1;GS;100,000;28825100,000;288251;;;;;;;;;;;;;
D1;DE0008474040;DWS INTER-RENTA;1;GS;500,000;887500,000;1775;;;;;;;;;;;;;
D1;DE0008474040;DWS INTER-RENTA;1;GS;1000,000;546000,000;546;;;;;;;;;;;;;
    
```

Figure 6.2: Example CSV file: KCSL EM

The CSV example file "Beispieldatei KCSL EM CSV-File.CSV" is available for download on the CBF web site [www.clearstream.com](http://www.clearstream.com) for test purposes.

## 7. List request certificate list - agent (AM)

Up until now it has only been possible to request an inventory list for all certificates in a security in the CBF vault within KCSL reporting.

This request of the line unit has been expanded through the customers so that it is also possible to obtain an analysis of all positions in the CBF vault of an agent.

The request is made via the new AM function within KCSL. The analysis is available as an Excel file in CSV format via the Fileservice / Internet Download Area.

The positions for the securities of the agent appear in the analysis. All securities are considered which have a corresponding entry in the field "Agent" when the positions were determined in WSS on the print date. Entries in the fields collecting agency, depository etc. are not considered.

The analysis for each list request is issued in a CSV file. In order to distinguish the data of the individual list requests for one day from each other, a serial number beginning with 1 is assigned to each customer and each receiving department.

The file contains three headlines and then the data lines. The characters of general data concerning the list request and characters concerning the fields to be issued appear as headlines.

The securities from an agent are issued alphabetically. The issue is sorted according to safekeeping type, denominations in a safekeeping type and collective numbers in a safekeeping type in ascending order. Certificates with divergent security designations are contained in the denomination of the corresponding security.

No certificate numbers are issued, but instead only the quantity of certificates and sums of the nominals within a denomination.

For individual certificates, the certificate numbers of working stock, block package and ice block package stock are applied to determine the numerical sum and quantity of certificates.

Global certificates without certificate numbers are displayed for global certificates.

A field record type is set in front of the headlines and data lines. The record type defines the type of output line. The headline with the character for the general fields is marked with U1, the headline with the data for the general fields with U2, the headline with the character for the fields issued with U3, the data lines of individual certificates with D1 and the data lines of global certificates with D2.

Certificate numbers from deposited positions are only considered once the orders have been transferred (processing status = 990). Certificates reserved for assignment (individual and global certificates) are not displayed.

The printout always reflects the positions after performance of all certificate movements and KADI events in STD processing. This therefore concerns the final positions for the day which was specified as the print date.

If no positions were determined in accordance with the selection criteria at the time of printing or if no authorisation exists for a bank, then only the headlines are issued.

## 7.1 Screen layout

It is not possible to view the submitted request online. The customer should therefore print a hardcopy before confirming a list request.

```

TRAN: KCSL FC: AM SB:

CARAD      A N F O R D E R U N G E N   L I S T E N   B A T C H
           Stückeliste Gesamt Agent

Agent      : _____

Druck-Datum   : 09.08.2010
Ausgabemedium : 04 INTERNET CSV-FILE
Empfangs-Abt. : __
-- ID-KZ: 7999230003 -- PW:          ----- B7907494 -- 09/08/10 -- 08:46:36 --
KC0366F Bitte Banknummer eingeben
PF3:Verarbeitung PF4:Abbruch
    
```

Figure 7.1: Selection screen agent

The following rules for the input fields apply when entering a list request:

Selection criteria	CBF/Customer
Agent	CBF: Required CUSTOMER: Entry not possible; preset with the first 4 digits of the ID.
DRUCK-DATUM (PRINT DATE)	Required, preset to today's date
AUSGABEMEDIUM (OUTPUT MEDIUM)	Constant preset to internet
EMPFANGS-ABT (RECEIVING DEPT)	CBF: Required CUSTOMER: Input not permitted

A CSV file is created with this function. The content of the CSV file is described in the following chapter. The print date may not be in the past and is preset to the current date.



## 7.2 CSV file

### Name of the CSV file

The agent analysis is included in the CBF file service in accordance with the other KCSL lists and made available on the internet for customers.

In order for a customer to quickly and easily access the correct analysis, the file name of the analysis for requests entered by clients contains the following information:

1. KS&BANK-NR.01 Depository trust company number of the requesting customer
2. KCSL Transaction with which the report was requested
3. JR666351 for marking which list/analysis is present
4. L&ldf. Nummer for differentiating in the event multiple list requests were requested for one print date
5. D&Druckdatum

### Example:

KS7999.01.KCSL.JR666351.L001.D100303.T154435.ADC

- 1.
- 2.
- 3.
- 4.
- 5

The files are provided to the customers in encrypted form and must be decrypted using the FLAM software.

### Data

The analysis of the positions for an agent in the CBF vault is issued in CSV file format and has the following structure:

<pre> 1.Überschriftszeile: Literale der allgemeinen Daten einer LIA 2.Überschriftszeile: allgemeine Daten einer LIA 3.Überschriftszeile: Literale der ausgegebenen Daten einer LIA 1.Datenzeile zur LIA 2.Datenzeile zur LIA ... </pre>
---

Figure 7.1: Header of a CSV file

The different fields within a line are separated by a semicolon.

The 1st headline contains the following field in the order:

- U1 - Identifies this line as a headline with general data.
- EMPFAENGER (RECIPIENT)
- DRUCKDATUM (PRINT DATE)
- LFD-NR (CURRENT NUMBER)
- AGENT
- AGENT-BEZ (AGENT DESIGNATION)

The 2nd headline contains the following data in the format and order described below:

- U2 - Identifies this line as the headline with general data
- RECIPIENT  
THE FIELD IS NUMERICAL AND CONTAINS 4 DIGITS.
- PRINT DATE  
THE FIELD CONTAINS 10 CHARACTERS IN THE FORMAT DD.MM.YYYY.
- THE SERIAL NUMBER FOR THE LIST REQUEST  
THE FIELD CONTAINS 3 DIGITS AND IS NUMERICAL.
- AGENT  
THE FIELD IS NUMERICAL AND CONTAINS 4 DIGITS.
- AGENT DESIGNATION  
THE FIELD IS ALPHANUMERICAL AND CONTAINS 35 CHARACTERS. IF NO DESIGNATION EXISTS FOR THE AGENT, A SPACE IS ENTERED IN THE FIELD.

The 3rd headline contains the following field in the order:

- U3 - Identifies this line as a headline with fields of the issued data.
- ISIN
- WKN-BEZ (DESIGNATION)
- HLG (SAFEKEEPING TYPE)
- HLG-TEXT (SAFEKEEPING TYPE TEXT)
- SAMMEL-NR (COLLECTIVE NUMBER)
- ORD-NR (ORG. NUMBER)
- NOMINALE SAMMEL (COLLECTIVE NOMINALS)
- RAHMEN-NOMINALE (UP-TO NOMINAL)
- NOMINALE-OFFEN (PENDING NOMINAL)
- NOMINALE-DISPOSITIV (NOMINAL ANTICIPATED)
- STATUS
- STATUS-TEXT
- EINLIEF-GRUND (DEPOSIT REASON)
- EINLIEF-GRUND-TEXT (DEPOSIT REASON TEXT)
- KZ-AGENT-BEARB (MARK AGENT PROCESSING)
- KZ-AGENT-REPORT (MARK AGENT REPORTING)

The data lines contain the following data in the format and order described below:.

- D2 - Identifies this line as a data line for global certificates
- ISIN  
THE FIELD IS ALPHANUMERICAL AND CONTAINS 12 CHARACTERS.
- ISIN DESIGNATION  
THE FIELD IS ALPHANUMERICAL AND CONTAINS 35 CHARACTERS. IF NO DESIGNATION EXISTS FOR A SECURITY, A SPACE IS ENTERED IN THE FIELD.
- SAFEKEEPING TYPE  
THE FIELD IS NUMERICAL AND CONTAINS 2 DIGITS.
- SAFEKEEPING TYPE TEXT  
THE FIELD IS ALPHANUMERICAL AND CONTAINS 35 CHARACTERS. IF NO DEPOSIT TYPE TEXT EXISTS FOR THE CERTIFICATE, A SPACE IS ENTERED IN THE FIELD.

- COLLECTIVE NUMBER  
THE FIELD IS NUMERICAL AND CONTAINS 6 DIGITS. IF A CERTIFICATE DOES NOT HAVE A COLLECTIVE NUMBER, A SPACE IS ENTERED IN THE FIELD.
- ORGANISATION NUMBER  
THE FIELD IS NUMERICAL AND CONTAINS 6 DIGITS. IF A CERTIFICATE DOES NOT HAVE A ORGANISATION NUMBER, A SPACE IS ENTERED IN THE FIELD.
- COLLECTIVE NOMINALS  
THE FIELD IS NUMERICAL AND CONTAINS 18 DIGITS WITH 15 DIGITS IN FRONT OF THE DECIMAL AND 3 DECIMAL PLACES. IF NO GLOBAL CERTIFICATE EXISTS, A SPACE IS ENTERED IN THE FIELD.
- UP-TO NOMINAL  
THE FIELD IS NUMERICAL AND CONTAINS 18 DIGITS WITH 15 DIGITS IN FRONT OF THE DECIMAL AND 3 DECIMAL PLACES. IF NO GLOBAL CERTIFICATE (UP-TO) EXISTS, A SPACE IS ENTERED IN THE FIELD.
- PENDING NOMINAL  
THE FIELD IS NUMERICAL AND CONTAINS 18 DIGITS WITH 15 DIGITS IN FRONT OF THE DECIMAL AND 3 DECIMAL PLACES. IF NO GLOBAL CERTIFICATE (UP-TO) EXISTS, A SPACE IS ENTERED IN THE FIELD.
- NOMINAL ANTICIPATED  
THE FIELD IS NUMERICAL AND CONTAINS 18 DIGITS WITH 15 DIGITS IN FRONT OF THE DECIMAL AND 3 DECIMAL PLACES. IF NO GLOBAL CERTIFICATE (UP-TO) EXISTS, A SPACE IS ENTERED IN THE FIELD.
- STATUS  
THE FIELD CONTAINS 3 DIGITS AND IS NUMERICAL. IF NO GLOBAL CERTIFICATE EXISTS, A SPACE IS ENTERED IN THE FIELD.
- STATUS TEXT  
THE FIELD CONTAINS 35 CHARACTERS AND IS ALPHANUMERICAL. IF NO GLOBAL CERTIFICATE EXISTS OR THERE IS NO TEXT FOR THE CERTIFICATE, A SPACE IS ENTERED IN THE FIELD.
- DEPOSIT REASON  
THE FIELD IS NUMERICAL AND CONTAINS 3 DIGITS. IF NO GLOBAL CERTIFICATE EXISTS, A 0 IS ENTERED IN THE FIELD.
- DEPOSIT REASON TEXT  
THE FIELD IS ALPHANUMERICAL AND CONTAINS 20 DIGITS. IF NO DEPOSIT REASON TEXT EXISTS FOR THE CERTIFICATE, A SPACE IS ENTERED IN THE FIELD.
- AGENT BEARBEITUNG  
THE FIELD IS NUMERICAL AND CONTAINS 3 DIGITS. IF NO AGENT INFORMATION EXISTS, A SPACE IS ENTERED IN THE FIELD.
- AGENT REPORT  
THE FIELD IS NUMERICAL AND CONTAINS 3 DIGITS. IF NO AGENT INFORMATION EXISTS, A SPACE IS ENTERED IN THE FIELD.

**Layout**

The headlines and data lines described above for a CSV file result in the following layout:

```

U1;EMPFAENGER;DRUCKDATUM;LFD.NR;BANK;BANK-NAME;ISIN;WKN-BEZ;HLG;HLG-TEXT;;;
U2;20;11.10.2010;1,000;7999,000;TESTBANK AG;;;20,000;SONDERVERWAHRUNG;;;
U3;ISIN;WKN-BEZ;STUECKELUNG;SUMME NOMINALE;ANZAHL URKUNDEN;SAMMEL-NR;ORD-NR;NOMINALE-
SAMMEL;RAHMEN-NOMINALE;NOMINALE-OFFEN;NOMINALE-DISPOSITIV;STATUS;STATUS-TEXT
D1;DE000A0ETLQ3;ASKLEPIOS KLIN.V.GEN.;1000000,000;10000000,000;10;;;;;;
D1;DE000A0WL3W2;3,7 % KRSPK.MUENCH.IS.S.WL3;1000,000;5000,000;5;;;;;;
D2;DE000CM0E9R6;COMMERZBANK CALL10 ID;;;3;2;1000000,000;;;500;KONTROLLIERT
D2;DE000CM0E9R6;COMMERZBANK CALL10 ID;;;6;1234;1000,000;;;200;TEILERFASST
D2;DE000GS1EVA7;GOLDM.S.3YEXPR.
ZT10;;;4;4;200000,000;25000000,000;24800000,000;;;500;KONTROLLIERT
D2;DE000HV0KPM7;UC-HVB PUT10 ENL;;;2;2;500000,000;500000,000;;;500;KONTROLLIERT
D2;DE000HV0KPX4;UC-HVB CALL10 E-
NI;;;2;2;2000,000;15000,000;13000,000;;;500;KONTROLLIERT
D2;DE000HV0KPY9;UC-HVB CALL10 ENI;;;2;2;1000000,000;1000000,000;;;500;KONTROLLIERT
D1;DE000HV0KPI3;UC-HVB PUT10 FIAT;1000,000;1000000,000;1000;;;;;;;
D1;DE000PAH0004;PORSCHER AUTOM.HLDG ST;1,000;2,000;2;;;;;;
D1;DE0001016129;5,5 % DT.PFBR.BANK IS.EM.16;10000,000;20000,000;2;;;;;;
D1;DE0001049419;6,125 % COMMERZBANK 00/10;5000,000;5000,000;1;;;;;;
D1;DE0001300200;10,5 % ARGENTINIEN 95/02 1-2;10000,000;50000,000;5;;;;;;
D1;DE0001319507;11,25 % ARGENTINIEN 96/06 1-2;1000,000;29000,000;29;;;;;;
D1;DE0001319507;11,25 % ARGENTINIEN 96/06 1-2;10000,000;310000,000;31;;;;;;
D1;DE0001325017;11,75 % ARGENTINIEN 96/11;1000,000;3000,000;3;;;;;;
D1;DE0001325017;11,75 % ARGENTINIEN 96/11;10000,000;10000,000;1;;;;;;
D1;DE0001340917;12 % ARGENTINIEN 96/16;1000,000;10000,000;10;;;;;;
D1;DE0001340917;12 % ARGENTINIEN 96/16;10000,000;40000,000;4;;;;;;
D1;DE0001348100;11,75 % ARGENTINIEN 96/26;1000,000;2000,000;2;;;;;;
D2;DE0002101318;5,5 % UC-HVB
PF22;;;2;3;2000,000;200000,000;198000,000;;;500;KONTROLLIERT
D2;DE0002101318;5,5 % UC-HVB PF22;;;5;5;1566,330;1566,330;;;500;KONTROLLIERT
D1;DE0002101557;6 % UC-HVB PF 6;5000,000;500000,000;100;;;;;;;
D1;DE0002101607;6 % UC-HVB PF10;1000,000;10000,000;10;;;;;;;
    
```

Figure 7.2: Example CSV file: KCSL AM

The CSV example file "Beispieldatei KCSL AM CSV-File.CSV" is available for download on the CBF web site [www.clearstream.com](http://www.clearstream.com) for test purposes.



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