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Vestima

Investment Fund Services

VestimaPRIME User Guide

June 2023

Vestima - Investment Fund Services - VestimaPRIME User Guide

June 2023

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Foreword

VestimaPRIME is Clearstream all-encompassing online portal specifically for the placement of orders for alternative investment funds.

About this guide

This guide is designed to help you, step by step, understand how to use VestimaPRIME to:

- Trade thousands of securities, including mutual funds;
- Obtain security information such as fund objectives, prices, dealing frequency and security identifiers; and
- Review account details such as transaction activity, balances, market value and bank statements and schedule reports.

The guide is organised into chapters as follows:

- "Chapter 1. Introduction" on page 1-1;
- "Chapter 2. Account Information" on page 2-1;
- "Chapter 3. Order Processing" on page 3-1;
- "Chapter 4. Fund Information" on page 4-1;
- "Chapter 5. Administration" on page 5-1;
- "Chapter 6. Super User" on page 6-1;
- "Chapter 7. Tracer" on page 7-1;
- "Chapter 8. FAQ" on page 8-1;
- "Chapter 9. Glossary" on page 9-1.

Foreword

Associated documents

General and browser:

Vestima Service Description	A general overview of the services of Vestima
Vestima SYSOP Guide	Browser security and network information with installation and setup instructions
Vestima User Guide for Order Issuers	Information for OIs (participants who want to buy or sell investment fund units).

Swift:

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

Download help

Reports are downloaded from VestimaPRIME in "comma separated value" format, that is "CSV" format. Comma separated value files may be opened using various spreadsheet applications, for example, MS Excel. If your machine is not configured in this way, consult with your system administrator.

Contact details

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

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

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

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

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

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

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1. Introduction

VestimaPRIME is a web browser based interface offering users a single point of entry to their alternative funds account. Electronic certificates are provided by Clearstream to allow users encrypted access to the Interface.

Within VestimaPrime, CFCL will offer order routing services (excluding transfer services) and CBL (acting as CFCL sub-custodian for settlement and asset servicing) will offer transfer services and asset servicing. CFCL and CBL will be referred as "Clearstream" in the next chapters.

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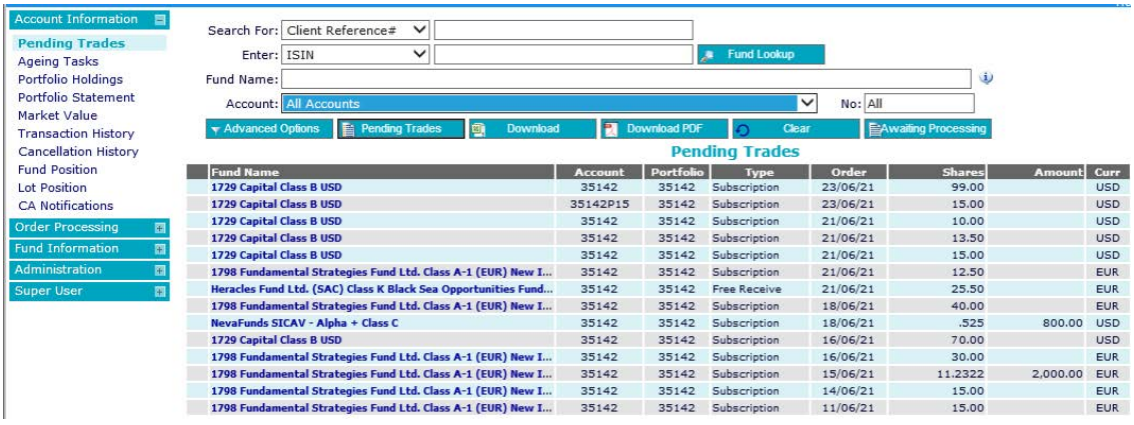
2. Account Information

Pending Trades



Fund Name	Account	Portfolio	Type	Order	Shares	Amount	Curr
1729 Capital Class B USD	35142	35142	Subscription	23/06/21	99.00		USD
1729 Capital Class B USD	35142P15	35142	Subscription	23/06/21	15.00		USD
1729 Capital Class B USD	35142	35142	Subscription	21/06/21	10.00		USD
1729 Capital Class B USD	35142	35142	Subscription	21/06/21	13.50		USD
1729 Capital Class B USD	35142	35142	Subscription	21/06/21	15.00		USD
1798 Fundamental Strategies Fund Ltd. Class A-1 (EUR) New I...	35142	35142	Subscription	21/06/21	12.50		EUR
Heracles Fund Ltd. (SAC) Class K Black Sea Opportunities Fund...	35142	35142	Free Receive	21/06/21	25.50		EUR
1798 Fundamental Strategies Fund Ltd. Class A-1 (EUR) New I...	35142	35142	Subscription	18/06/21	40.00		EUR
NevaFunds SICAV - Alpha + Class C	35142	35142	Subscription	18/06/21	.525	800.00	USD
1729 Capital Class B USD	35142	35142	Subscription	16/06/21	70.00		USD
1798 Fundamental Strategies Fund Ltd. Class A-1 (EUR) New I...	35142	35142	Subscription	16/06/21	30.00		EUR
1798 Fundamental Strategies Fund Ltd. Class A-1 (EUR) New I...	35142	35142	Subscription	15/06/21	11.2322	2,000.00	EUR
1798 Fundamental Strategies Fund Ltd. Class A-1 (EUR) New I...	35142	35142	Subscription	14/06/21	15.00		EUR
1798 Fundamental Strategies Fund Ltd. Class A-1 (EUR) New I...	35142	35142	Subscription	11/06/21	15.00		EUR

This menu returns all trades that have not settled and that can be listed per account, portfolio or across all accounts/portfolios. Pending trades per fund can be selected. The trades are sorted by the order date of receipt; this can be changed to fund name or account number using the advanced options and listed or downloaded into MS Excel.

The following advanced options can be selected:

- Transaction type;
- Status;
- Order from and to date (must be within a 100-day period);

- Sort by;
- Outstanding task returns.

Trades submitted that require an asset setup will be visible under the awaiting processing menu.

Ageing Tasks

This menu returns all pending trades where outstanding tasks have expired which can be listed per account, portfolio or across all accounts/portfolios. Trades per fund can be selected. The trades are sorted by expiry date and can be listed or downloaded into MS Excel.

The following advanced options can be selected:

- Transaction type;
- Due by;
- Outstanding task.

Portfolio Holdings

Portfolio holdings can be returned per account, portfolio or across all accounts/portfolios, the period defaults to current but this can be changed to any month in the last year.

“Sort by” defaults to fund name, this can be changed. The portfolio can be listed or downloaded into MS Excel.

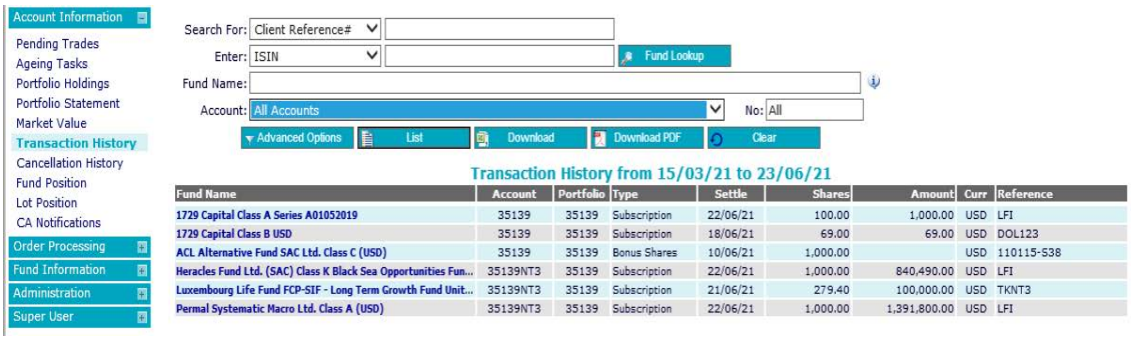
Portfolio Statement

This menu allows users to download a portfolio statement.

Market Value

This is similar to portfolio holdings but it can show projected market values on an account/portfolio basis by including pending trades. This can be done by changing the settlement date.

Transaction History



This menu returns all trades that have settled in the past 100 days, the trades can be listed per account, portfolio or across all accounts/portfolios and can be selected per fund. Trades are sorted by settlement date and listed or downloaded into MS Excel and PDF format.

The following advanced options can be selected:

- Transaction type;
- Trade from and to date (must be within a 100-day period);

  OR
- Settle from and to date (must be within a 100-day period);
- Sort by.

Cancellation History

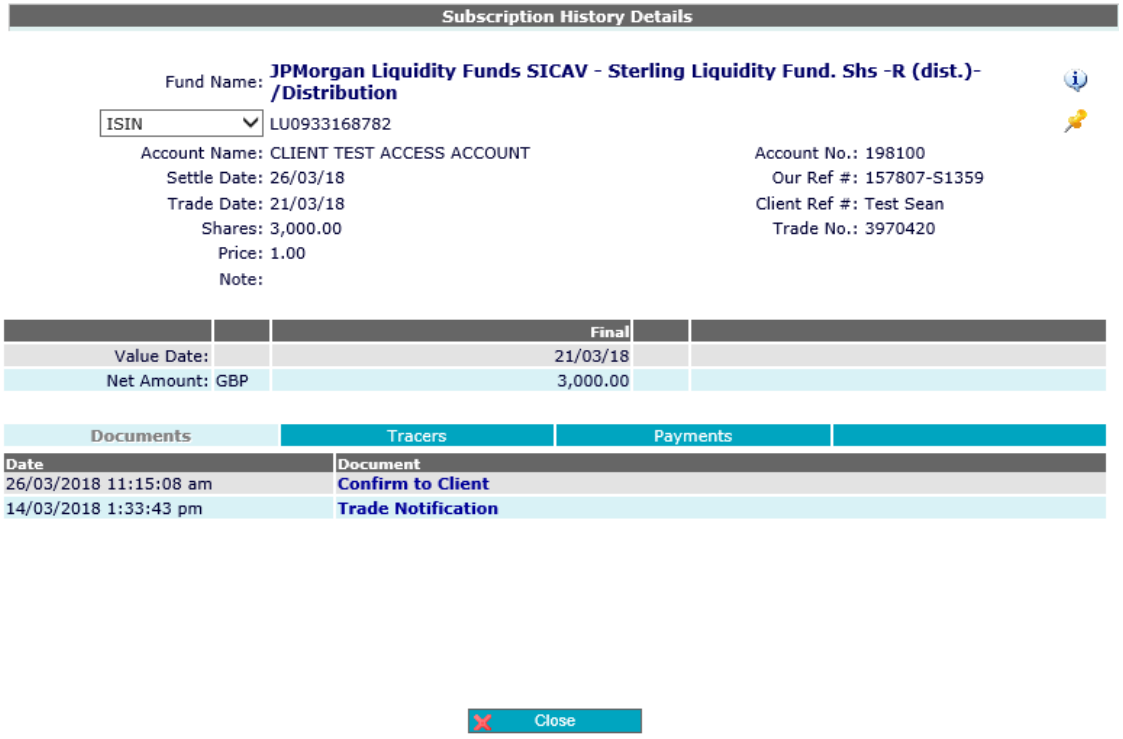
This menu returns all trades that have been cancelled, reversed or rejected in the past 100 days.

CAN - This code reflects the cancellation of a transaction that was pending.

REV - This code reflects the reversal of a transaction that had settled.

REJ - This code reflects a transaction that was rejected by the fund.

The trades can be listed per account, portfolio or across all accounts/portfolios; trades per fund can be selected and are sorted by order date. They can be listed or downloaded into MS Excel and PDF formats.

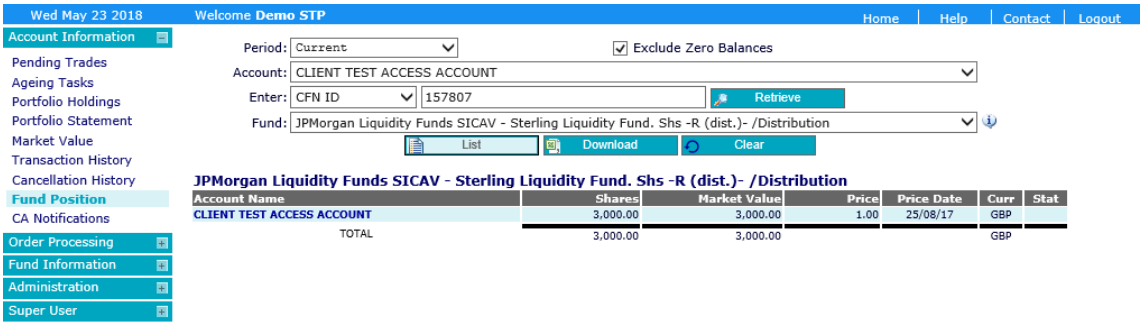


The following advanced options can be selected:

- Transaction type;
- Cancel from and to date (must be within a 100 day period);

  OR
- Trade from and to date (must be within a 100 day period);
- Sort by.

Fund Position



The fund positions show the holdings of a particular fund in an account, portfolio or across all accounts/portfolios which can be listed or downloaded into MS Excel. You need a fund identifier to locate a position.

CA (Corporate Action) Notifications

This function displays corporate action (CA) notifications for a particular fund, for an account, portfolio, all accounts/portfolios or for an account group within a 100 day period. The CA notifications can be listed or downloaded into MS Excel.

The following advanced options can be selected:

- Corporate action type;
- From and to date (must be within a 100 day period).

Selecting either "Event Number" or "Fund Name" displays general information relating to the CA notification.

Documents relating to the CA notification can be viewed by selecting "Fund Name" followed by "Document".

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3. Order Processing

Subscription

To place a subscription instruction, a number of fields must be populated:

1. Account name or portfolio

   The account name or portfolio must be selected from a drop down list that shows all of your accounts and portfolios; this automatically populates the account number.

2. Identifier or fund name

   a) Select the fund to subscribe to. This can be done in one of two ways, either by knowing the identifier, (that is, ISIN, Valoren, Common Code) or knowing the fund name;

   b) The fund name can be partially or fully entered via the fund look up function. Using this option returns a list of funds similar to the description entered;

   c) If investing in a series fund please select the lead asset if available;

   d) If searching for a fund that is not found in the fund look up function, please refer to " Asset Setup"

   e) Selecting a fund automatically populates the registered fund name, domicile country, fund currency and share balance;

   f) Further information is available under "Fund Information" menu.

3. Quantity

   Populate in share or monetary amount.Pay currency

   The currency is automatically selected. There is an option to change if required using the drop-down menu.

4. Load percentage (optional)

   If a load fee needs to be applied please enter it in here, including whether the amount should be the net or gross of fee.

5. Reference number (optional)

   You can include your own internal reference here and locate the trade in VestimaPRIME using your own reference number.

6. Trade date and value date

   The system defaults to Next Available Trade Date. Client has the option to specify Trade and Value dates if required.

   It is not possible to specify a trade date or value date on straight-through processing (STP) funds.

7. Notes (optional)

   You can record two types of notes. One type of note is to Clearstream, the other type to the fund. Both types of notes can have a maximum of 210 characters.

   The notes to Clearstream option is not available on subscriptions placed on STP funds.

   The notes to fund include any extra information that you wish to let the fund that you are subscribing into know. Unlike notes to Clearstream, notes to the fund will not be reviewed by Clearstream prior to order placement.

   Once all required information is completed the order can be placed. The system will not place the order unless all mandatory information is complete. When you click "Place Order" a number of options will be made available according to the VestimaPRIME access level:

   - Pending placement - trade will go straight to Clearstream for processing;
   - Pending authorization - trade will go into the authorization queue;
   - System Basket 1 or 2 - trade will go to "Draft Trades". This option is only available if "Draft Trades" have been enabled.

Redemption

To place a redemption instruction, a number of fields must be populated:

1. Account name or portfolio

   The account name or portfolio must be selected from a drop down list that shows all of your accounts and portfolios; this automatically populates the account number.

2. Identifier or fund name

   a) Select the fund to redeem; this can be done in one of two ways: either by knowing the identifier, that is, ISIN, Valoren, Common Code, or knowing the fund name;

   b) The fund name can be partially or fully entered via the fund look up function. Using this option returns a list of funds similar to the description entered;

   c) The system only allows redemption if the requested shares are available;

   d) Selecting a specific fund name automatically populates the registered fund name, domicile country, fund currency and share balance;

   e) Further information is available under the fund information menu.

3. Redeem

   Select whether to redeem "Shares", "All Shares" or "Amount" and then input the quantity. The system does not allow redemption of shares exceeding availability in the account.

4. Receipt currency

   The currency is automatically selected. There is an option to change if required, using the drop-down menu.

5. Reference number (optional)

   You can include your own internal reference here and in VestimaPRIME you can locate the trade using your reference number.

6. Trade date and value date

   The system defaults to Next Available Trade Date. Client has the option to specify Trade and Value dates if required.

   It is not possible to specify a trade date or value date on an STP fund.

7. Notes (optional)

   You can record two types of notes. One type of note is to Clearstream, the other type to the fund. Both types of notes can have a maximum of 210 characters.

   The notes to Clearstream option is not available on redemptions placed on STP funds.

   The notes to fund include any extra information that you wish to let the fund know. Unlike notes to Clearstream, notes to the fund will not be reviewed by Clearstream Banking prior to order placement.

   Once all required information is completed the order can be placed. The system will not place the order unless all mandatory information is complete.

   When you click "Place Order" a number of options are made available according to the VestimaPRIME access level:

   - Pending placement - trade will go straight to Clearstream for processing;
   - Pending authorization - trade will go into the authorization queue;
   - System Basket 1 or 2 - trade will go to "Draft Trades". This option is only available if "Draft Trades" have been enabled.

Free Receive

To place a free receive instruction, a number of fields must be populated.

1. Account name or portfolio

   The account name or portfolio must be selected from a drop-down menu that shows all of your accounts and portfolios. This automatically populates the account number.

2. Identifier or fund name

   a) Select the fund to receive. This can be done in one of two ways, either by knowing the identifier (that is, ISIN, Valoren, Common Code) or knowing the fund name;

   b) The fund name can be partially or fully entered via the fund look up function. Using this option brings up a list of funds closest to the description entered, then the relevant fund can be selected;

   c) If searching for a fund that is not found in the fund look up function, please refer to " Asset Setup"

   d) Selecting a fund automatically populates the registered fund name, domicile country, fund currency and share balance;

   e) Further information is available under the fund information menu.

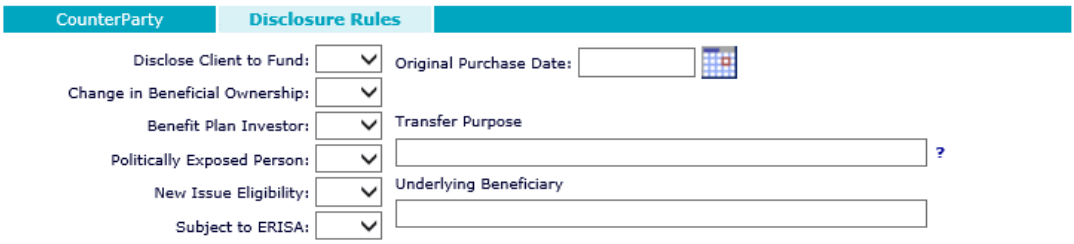
3. Trade date

   The system automatically displays today's date. Change to required trade date if necessary. Specific trade dates cannot be requested on STP funds.

4. Reference number (optional):

   You can include your own internal reference here and can locate the trade using your reference number.

5. Internal transfer
   - If your accounts have a mini-omnibus structure and internal TRF (transfer), which is visible when transferring between two accounts in this structure, the requirements will be overridden;
   - Internal transfers cannot be instructed on STP funds. If an attempt is made to input an internal transfer an error message pops up requesting a free receive and free delivery in its place.
6. Counterparty
   - Details of counterparty: their nominee name at the fund, where they are located and their account number is required. This information is to be entered in the "From" field;
   - Details of the counterparty's underlying client can be entered in the "By Order" field.
7. Disclosure rules



   - Fund specific requirements for additional information must be met and the transfer will not be accepted until completed;
   - This disclosure information can be held at account level so that the information does not need to be re-input every time an external transfer is placed. For further information, please contact your account manager at +353 21 432 4700. Including this information can speed up the transfer process as Clearstream will not have to revert after each transfer is placed to locate this information.
8. Notes (optional)

   You can record two types of notes. One type of note is to Clearstream, the other type to the fund. Both types of notes can have a maximum of 210 characters.

   The notes to fund include any extra information that you wish to let the fund know. Unlike notes to Clearstream, notes to the fund will not be reviewed by Clearstream prior to order placement.

   - Once all required information is completed the order can be placed. The system will not place the order unless all mandatory information is complete;
   - When the "Place Order" button is chosen a number of options are made available according to the VestimaPRIME access level:

     Pending placement - transfer will go straight to Clearstream for processing;

     Pending authorization - transfer will go into the authorization queue;

     System basket 1or 2- transfer will go to Draft Trades. This option is only available if "Draft Trades" have been enabled.

Free Delivery

To place a free delivery instruction, a number of fields must be populated

1. Account name or portfolio

   The account name or portfolio must be selected from a drop down list which shows all of your accounts and portfolios. This automatically populates the account number.

2. Identifier or fund name

   a) Select the fund to deliver. This can be done in one of two ways, either by knowing the identifier (that is, ISIN, Valoren, Common Code) or knowing the fund name;

   b) The fund name can be partially or fully entered via the fund look up function. Using this option brings up a list of funds closest to the description entered, then the relevant fund can be selected;

   c) The system only allows a free delivery from a fund that is already in the portfolio and has shares available;

   d) Selecting a fund automatically populates the registered fund name, domicile country, fund currency and share balance;

   e) Further information is available under the fund information menu.

3. Shares

   - Include the number of shares to be transferred;
   - The system does not allow a free delivery of shares exceeding availability.

4. Trade date

   The system automatically displays today's date. Change to required trade date if necessary. Specific trade dates cannot be requested on STP funds.

5. Reference number (optional)

   You can include your own internal reference here and can locate the trade in VestimaPRIME using your own reference number.

6. Internal transfer

   Please refer to " Free Receive".

7. Counterparty

   - Details of counterparty: their nominee name, where they are located and their account number is required. This information is to be entered in the "To" field;
   - Details of the counterparty's underlying client can be entered in the "In Favour" field.

8. Disclosure rules

   Please refer to " Free Receive".

9. Notes (optional)

   You can record two types of notes. One type of note is to Clearstream, the other type to the fund. Both types of notes can have a maximum of 210 characters.

   Unlike notes to Clearstream, notes to the fund will not be reviewed by Clearstream prior to order placement.

   Once all of the above is completed the order can be placed. The system will not place the order unless all mandatory information is complete;

   - When the "Place Order" button is chosen a number of options are made available according to the VestimaPRIME access level:

     Pending placement - trade will go straight to Clearstream for processing;

     Pending authorization - trade will go into the authorization queue;

     System Basket 1 or 2 - trade will go to "Draft Trades". This option are only available if "Draft Trades" have been enabled.

Switch

Switch instructions cannot be placed in STP funds. If an attempt is made to input a switch, an error message is displayed requesting a subscription and redemption in its place.

To place a switch instruction, a number of fields must be populated:

1. Account name or portfolio

   The account name or portfolio must be selected from a drop down list that shows all of your accounts and portfolios. This automatically populates the account number.

2. Switch out fund - identifier or fund name

   a) Select the fund to switch from. This can be done in one of two ways, either by knowing the identifier (that is, ISIN, Valoren, Common Code) or knowing the fund name;

   b) The fund name can be partially or fully entered via the fund look up function. Using this option brings up a list of funds closest to the description entered, then the relevant fund can be selected;

   c) The "Switch Out Fund Name" link can now be used. This provides all information about the asset. Each section can be viewed by selecting the individual heading.

3. Quantity

   Select whether to redeem "Shares", "All Shares" or "Amount" and then input the quantity. Selecting "All Shares" automatically populates the monetary amount to the available share balance.

4. Receipt currency

   This automatically populates the fund currency. To change, please select a currency from the drop-down menu.

5. Agent (optional)

   Enter agent name and agent code, if applicable.

6. Reference number (optional)

   You can include your own internal reference here and locate the trade using the VestimaPRIME reference number.

7. Switch instruction - identifier or fund name

   a) Select the fund that switch is being placed into. This can be done in one of two ways, either by knowing the identifier (that is, ISIN, Valoren, Common Code) or knowing the fund name;

   b) The fund name can be partially or fully entered via the fund look up function. Using this option brings up a list of funds closest to the description entered, then the relevant fund can be selected. If the fund is not found, please use the Asset set up function;

   c) By selecting a fund this automatically populates the "Registered Fund Name";

   d) The "Switch Instruction Name" link can now be used. This provides all information about the asset. Each section can be viewed by selecting the individual heading.

8. Trade date/value date

   - If the selected fund has been audited by Clearstream the next available trade and value date will automatically populate;
   - The user also has the option to select a specific trade or value date by selecting the checkbox and using the scroll functions.

9. Notes (optional)

   You can record two types of notes. One type of note is to Clearstream, the other type to the fund. Both types of notes can have a maximum of 210 characters.

   The notes to Clearstream option is not available on redemptions placed on STP funds.

   The notes to fund include any extra information that you wish to let the fund that you are subscribing into know. Unlike notes to Clearstream, notes to the fund will not be reviewed by Clearstream prior to order placement.

   Once the required information is completed, the order can be placed. The system will not place the order unless all mandatory information is complete;

   - When you click "Place Order" a number of options are made available according to the VestimaPRIME access level:

     Execute trade - trade will go straight to Clearstream for processing;

     Pending authorization - trade will go into the authorization queue;

     System Basket 1 or 2 - trade will go to "Draft Trades". This option is only available if "Draft Trades" have been enabled.

Internal transfer

Internal transfers cannot be instructed on STP funds. If an attempt is made to input an internal transfer an error message pops up requesting a free receive and free delivery in its place.

Mini omnibus transfer

To place an internal transfer instruction, a number of fields must be populated:

1. From account

   The account name must be selected from a drop-down list that only displays accounts held within a mini omnibus agreement. This automatically populates the account number.

2. To account

   The account name must be selected from a drop-down list that only displays accounts held within a mini omnibus agreement. This automatically populates the account number.

3. Identifier or fund name

   a) Select the fund that is being transferred. This can be done in one of two ways, either by knowing the identifier (that is, ISIN, Valoren, Common Code) or knowing the fund name;

   b) The fund name can be partially or fully entered via the fund look up function. Using this option brings up a list of funds closest to the description entered, then the relevant fund can be selected;

   c) The system only allows a free delivery from a fund that is already in the portfolio and has shares available;

   d) Selecting a fund automatically populates the registered fund name, domicile country, fund currency and share balance;

   e) Further information is available under the fund information menu.

4. Shares

   Enter the number of shares to be transferred or select the "All Shares" check box.

5. Trade date

   The system automatically displays today's date. Change to required trade date if necessary.

6. Reference number (optional)

   You can include your own internal reference here and can locate the trade in Clearstream using your own reference number.

7. Order placement

   Once all of the above is completed, the order can be placed. The system will not place the order unless all mandatory information is complete. When you click "Place Order" a number of options are made available according to the VestimaPRIME access level:

   - Execute trade - transfer will go straight to Clearstream for processing;
   - Pending authorization - transfer will go into the authorization queue;
   - System Basket 1 or 2- transfer will go to "Draft Trades". This option is only available if "Draft Trades" have been enabled.

Order Review

Cancellation

Select the trade that you wish to cancel using the order review menu and click on "Request Cancellation". Include a cancellation note on additional screen, if required.

If the user requires authorization the cancellation will be placed in the authorization menu to be authorized.

Cancellation notes to Clearstream cannot be input when cancelling a transaction on STP funds. Notes to fund can be populated but are not reviewed by Clearstream.

Amendment of subscription/redemption

Select the trade that you wish to amend using the "Order Review" menu and click on "Request Amendment". Changes can be made on the additional screen. Please note that either the share amount or the monetary amount must be zero. For example, if you are changing the monetary amount, place the new value in the "Amount" field and in the "Share" field place zero (or vice versa).

Notes can also be amended.

The amendment can then be submitted by pressing "Submit".

If the user requires authorization the amendment will be placed in the authorization menu to be authorized.

Amendments cannot be input on trades in STP funds.

Amendment of free receive/free delivery

Select the trade that you wish to amend using the "Order Review" menu and click on "Request Amendment".

Notes can also be amended.

If you are only adding to or changing the notes and the share amount is the same, please place the same share amount in the new value field.

The amendment can then be submitted by pressing "Submit".

If the user requires authorization the amendment will be placed in the authorization menu to be authorized.

Pre-Authorization

To view trades that are pending pre-authorization for all accounts/portfolios select “All Accounts” in the “Account” drop down menu and then select “List”. This brings up the trades that are pending pre-authorization.

Trades pending pre-authorization can also be filtered by selecting a specific basket from the “Basket” drop down menu.

These trades can also be downloaded to MS Excel by pressing “Download”.

Orders can be reviewed by trade type, trades on amendment or cancellation and per account, portfolio or across all accounts/portfolios.

All trades pending pre-authorization can be selected by clicking the check box on the menu bar or “Individual/Multiple Trades” can be selected by clicking the check box next to the relevant trade.

Trades with warnings or errors are denoted by either symbol ⚠ / ⊗ displayed next to the trade.

Warnings can be viewed by selecting “Fund Name” and clicking on the “Errors” tab displayed in the new window.

If you are satisfied with the details of the trade, it can be pre-authorized by selecting “Pre-Authorise Selected” followed by “Proceed with Pre-Authorisation”. The trade is sent to the authorization queue.

A trade can also be moved to a new basket. Select the basket that you want to import to from the drop down menu and click “Move to”. The instruction will then be sent to the relevant queue/basket for further processing.

If you are not satisfied, there are two options:

- Reject trade;
- Make changes to trade.

The trade can then be submitted to the next stage of authorization.

Authorisation

Orders can be reviewed by trades and transfers or cancellation and amendment

Select the trade that needs to be authorised.

Trades requiring authorization can be viewed per account, portfolio or across all accounts/portfolios and can be downloaded in MS Excel if required.

If you are satisfied with the details of the trade it can be authorized. The instruction will then be sent to Clearstream and a trade confirmation email will be sent to you.

If you are not satisfied, there are three options:

- Reject trade;
- Make changes to the trade. According to your access levels, the trade can either be sent straight through to the Clearstream trading desk or it can be validated and saved. The trade will then need to be authorized by another authorizer;
- Move trade to "Draft Trades" where it can be amended by the original creator and then moved back to the authorization queue. This can be done by ticking the relevant trade and using the "Move to" function.

Quick Order

If a trade needs to be placed in an asset that is already held in a portfolio it can be done using the "Quick Order" menu.

Select the account or portfolio that you wish to place the trade in and click on "List".

This brings up the portfolio with an action button where you can choose "Subscription", "Redemption", "Free Receive" or "Free Deliver".

Once an option has been chosen, it will show the selected trade screen with the account and asset details.

Switch and internal transfer options are not visible on STP funds.

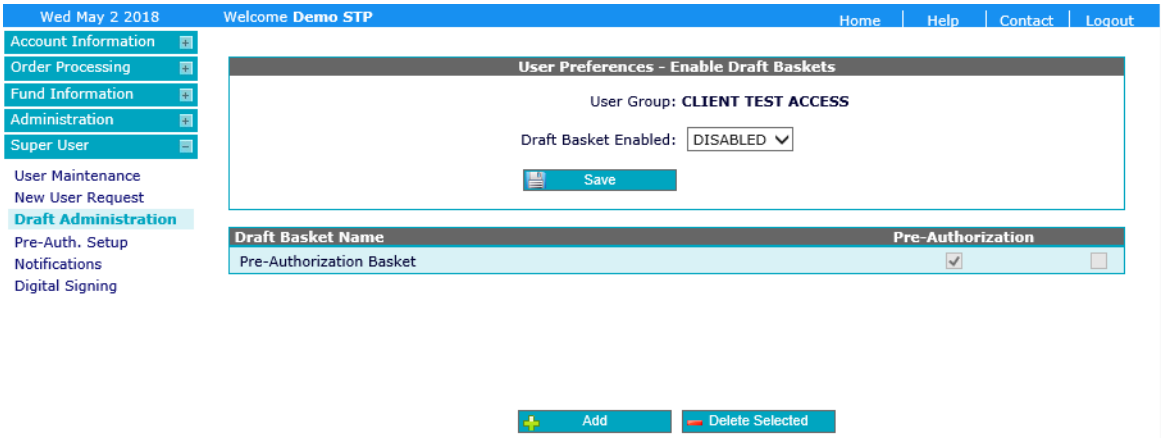
The trade can then be placed following the normal procedure.

3. Order Processing

Draft Trades

Enabling Draft Trades

Below is the directional access menu for the Draft Trades functionality



Use of Draft Trades

The "Draft Trades" option can be used to amend trades that have been placed there from the authorization queue.

Draft Trades can also be used to prepare trades for trading. For example, at the start of the month it is known that there is going to be a trade placed in XYZ fund but the amount that is going to be invested is not known. The trade can be prepared and placed in the draft basket. When the amount is known, the draft can be updated and placed in the authorization queue.

Trades in the draft basket can be moved or copied to the authorization queue. This allows for a template to be created in the draft basket and the trade can be copied to the authorization queue.

Discarded Trades

The Discarded Trades menu shows trades that have been created but not submitted to Clearstream.

Discarded trades can be amended by input users and re-submitted if required.

This can be done by moving the trade to ""Draft Trades"" where it can be amended by the creator and then moved back to the authorization queue.

You can do this by selecting the check box next to the relevant trade and click on "Move to".

Discarded trades that are over thirty days old are automatically removed from the system.

CSV Trade Upload

You can upload your trades via a CSV file either directly to Clearstream trading desk, into the authorization queue or into draft baskets, according to your access levels.

The CSV file must be formatted in a certain way. When the "file open" dialog box appears, press "SAVE" to keep the file on your computer. The file can be opened using MS Excel.

This file can be used as a template to input your transactions. Once the transactions are entered, the file can be uploaded into VestimaPRIME.

To upload a file:

- Click "Browse" and select the file that you would like to upload;
- Choose where the transactions should be uploaded to:
  - Place order;
  - Pending authorization;
  - System basket ("Draft Trades");
  - Validation only - file is not uploaded but checked for errors.
- Click "Upload" to upload the transaction files.

If there are any errors in the file a message will pop up detailing the error. The file will then have to be corrected and uploaded again.

Switch and internal transfer instructions on STP funds are not uploaded; they are moved to the authorization queue.

Trade date, value date and notes to Clearstream input for subscriptions and redemptions in STP funds are disregarded.

It should take no longer than five minutes for the file to be uploaded. You can review the file status in the "Administration" menu, and then select "CSV upload status". This shows whether the upload has been successful.

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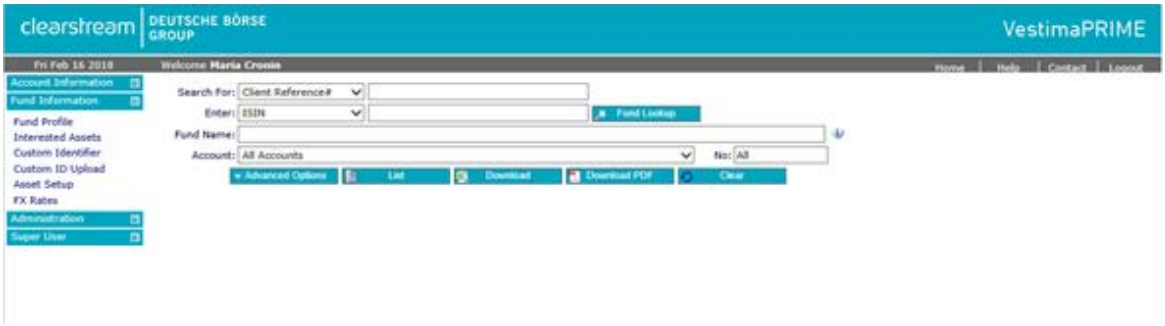
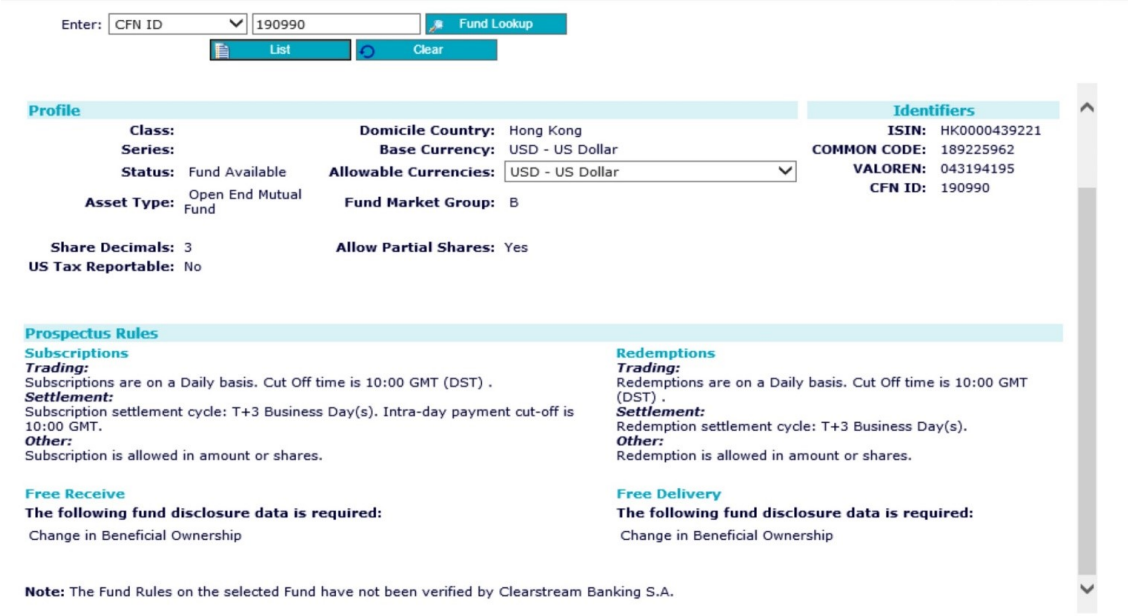
4. Fund Information



4. Fund Information

Fund Profile



Select the fund whose profile you wish to view, this can be done in one of two ways, either by knowing the identifier (that is, ISIN, Valoren, Common Code, CFN ID) or knowing the fund name.

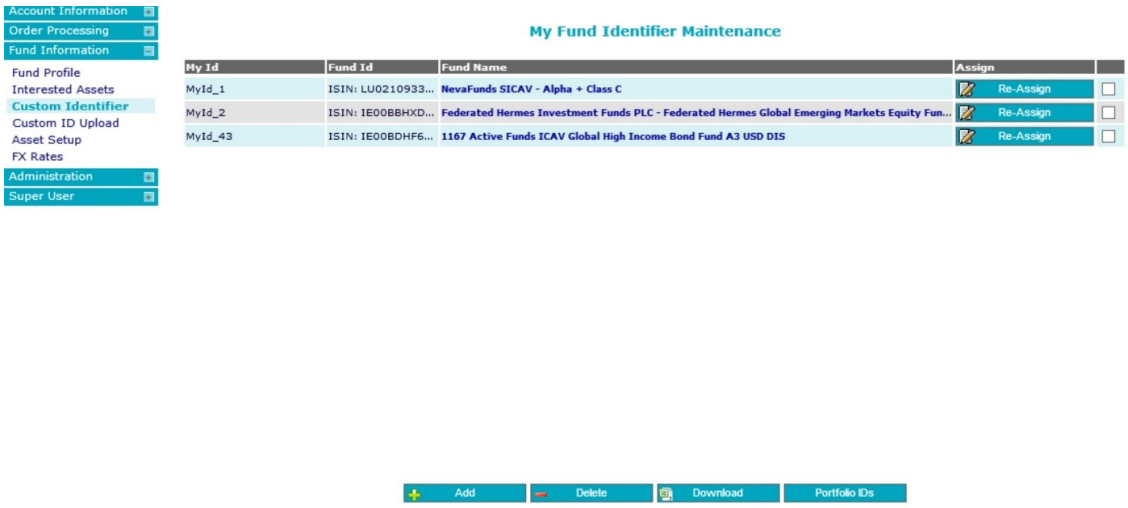
The fund name can be partially or fully entered via the fund look up function. Using this option will bring up a list of funds closest to the description entered, then the relevant fund can be selected.

Once fund is selected the following will be displayed:

- Asset Type;
- Domicile country;
- Base currency;
- Allowable currencies;
- Fund Market Group;
- Fund identifiers;
- Prospectus rules;
- Pricing

Note: If the details contained in the fund profile have not been recently verified a note will be visible.

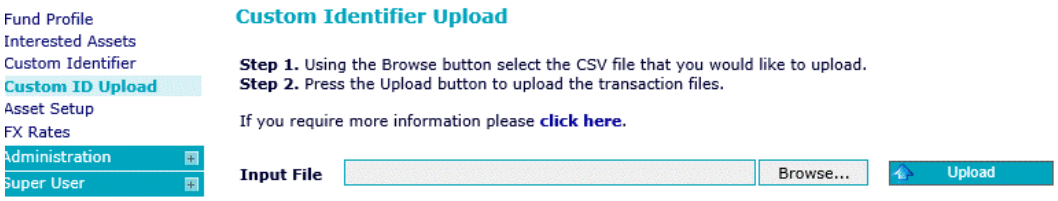
Custom Identifier



This screen allows fund identifiers from third party proprietary systems to be linked to fund identifiers available in VestimaPRIME.

This allows VestimaPRIME transactions to be placed for funds identified by custom fund identifiers.

Within this screen, the following tasks can be processed:



Add custom identifier:

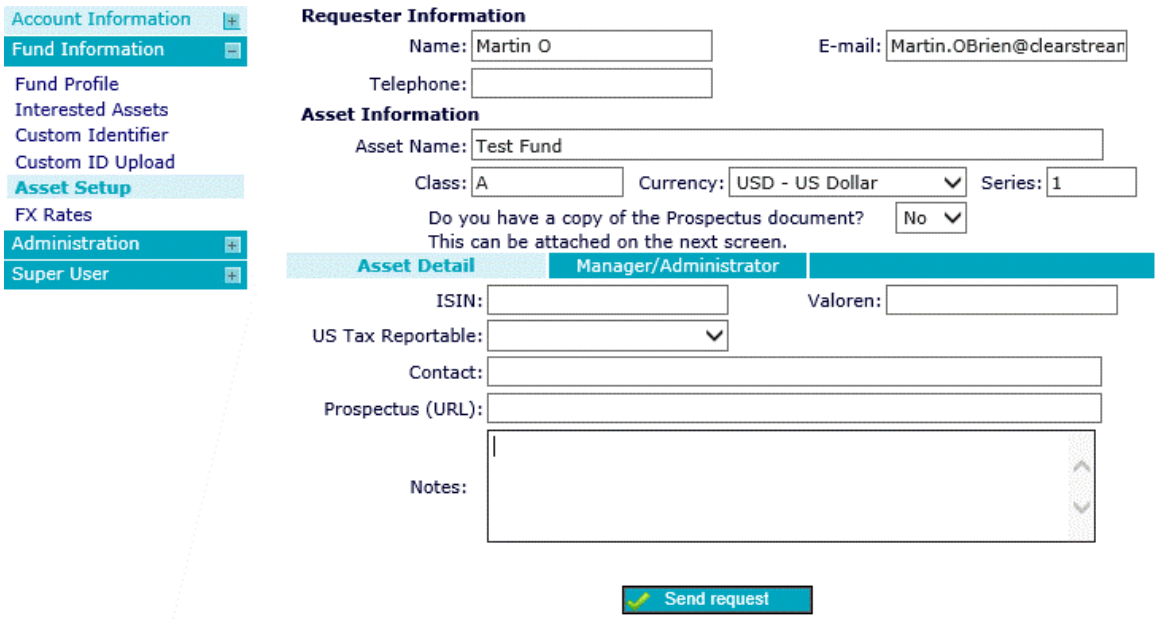
- Select the "Add" option;
- Enter a unique custom identifier. (Entering a custom identifier that already exists will result in an error);
- Once a custom identifier has been entered the "Edit Fund" button will be enabled;
- Select "Edit Fund" to display the fund lookup screen and locate the fund to be mapped to the custom identifier;
- When you return from the fund lookup screen, the custom identifier will have been generated;
- View details of the fund mapped to a custom identifier:
  - Select the "+" button next to the fund name to display the fund details;
  - Select the "-" button next to the fund name to hide the fund details.
- Edit an existing custom identifier:
  - It is not possible to modify an existing custom identifier;
  - The fund linked to a custom Identifier can be modified by selecting "Edit Fund" and then selecting a new fund.

Delete custom identifier(s)

- Select each report to be deleted and click "Delete".

4. Fund Information

Asset Setup



If searching for a fund and it is not found in the fund look up function, an asset setup request form can be completed.

The asset set up request form can be completed from three places on VestimaPRIME:

1. From the fund look up function through the "Subscription" menu;
2. From the fund look up function through the "Free Receive" menu;
3. From the "Asset Setup " in the "Fund Information" section of VestimaPRIME;

You will then have to enter the following information:

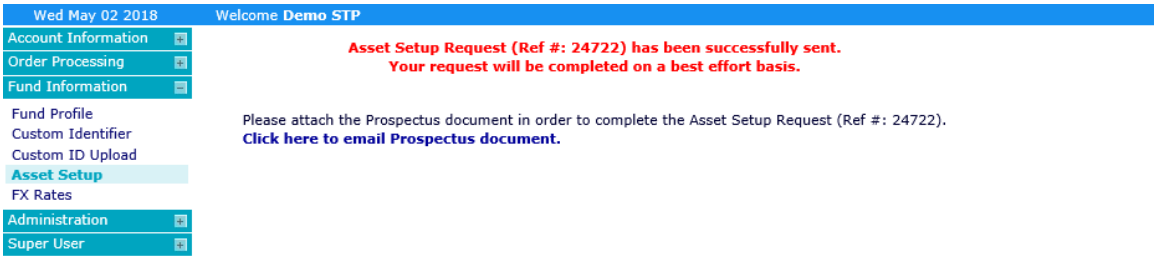
- Telephone number of the fund administrator;
- Asset name;
- Class, series and currency should be included, if applicable;
- Do you have a copy of the prospectus document? Yes/No;

  If "yes" is selected you can automatically send the request;

  If "no" is selected manager or administrator must be completed, and as much other information as possible.

When you see a window pop up, click on “email Prospectus Document.” This opens up the email system where the Prospectus can be attached and sent to the Data Management department.

You will be contacted by the Data Management department once the asset has been set up.



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5. Administration

CSV Upload Status

When you select “CSV Upload Status” VestimaPRIME displays the CSV file acknowledgement screen that lists all files previously loaded, detailing their status and upload destinations.

A copy of the CSV file can be viewed by selecting “CSV ack file”.

XML Upload Setting

When you select "XML Upload Status" VestimaPRIME displays the FTP file acknowledgement screen that lists all files previously loaded, detailing their status and upload destinations.

A copy of the FTP file can be viewed by selecting "FTP ack file".

Account Groups

This function allows you to group together a set of accounts in selected reports or inquiry pages

A new group can be created by selecting "Create New Group". From the "New Account Group" screen, the following fields must be completed:

- Group Name;
- Group Description;
- Choose accounts that should belong to this group. Click the check box beside the relevant account names to select.

Once you have created an account group, it will appear in the account drop down menu options in VestimaPRIME.

Report Scheduler

The Report Scheduler allows users to choose a number of reports to be generated and emailed to a user or users either:

- Daily (reports are generated in Batch from 08:00 GMT each day);

  This option is only available to users that have daily reports enabled.

  It is limited to the following reports:

  - Pending Trades;
  - Transaction History
- Weekly (reports are generated in Batch from 08:00 GMT each Sunday);
- Monthly (reports are generated in Batch from 08:00 GMT on the first Sunday of each month).

Within this screen, the following tasks can be processed:

- Add a report to the schedule
  - Select "Add Report" to display the new scheduled report details.
  - The following fields are required:

    Report

    This is selected from a drop-down list of available reports.

    Report Description

    This defaults to match the report but can be modified to be more specific.

    Output Format

    The output format can be declared as CSV or PDF.

    Report Frequency

    The report frequency can be set to "daily", "weekly" or "monthly".

    The values are restricted depending on the report.

    Email distribution

    This is a list of email addresses where the scheduled report is to be sent once complete.

    You must register associated email address domains in VestimaPRIME.

    Selected Accounts

    At least one account must be transferred to the selected accounts column.

    Certain reports (that is, "Portfolio Holdings", "Portfolio Holdings Month End", "Market Value Summary" and "Market Value Detail") are limited to a maximum of 20 accounts.
- Select "Save" to add the report to the schedule.
- View and modify the details of a scheduled report
  - Click on the report description to display the scheduled report details.
  - Modify report settings as required.
  - Select "Save" to keep modifications to the scheduled report.
- Delete report(s) from the schedule.
  - Select each report to be deleted and click "Delete".
- Invoke a report out of schedule.
  - Highlight the required report and click "invoke". This will generate the report immediately.

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6. Super User

User Maintenance

This menu allows users to perform the following actions:

- View user access levels:
  - Click on “Client Access Matrix”;

    This opens up an MS Excel spreadsheet detailing the user’s access levels.
- View user function levels:
  - Click on “Function Matrix”;

    This opens up an MS Excel spreadsheet detailing all the user’s functionalities.
- Unlock user accounts:
  - Tick the check box for the user that is locked out;
  - Click on “Unlock Selected”.
- Add or delete accounts to a user profile:
  - Click on the relevant user's name;
  - Click on “Account Access”;
  - To delete accounts, remove the tck from the access check boxes and click “Apply”;
  - To add accounts, click “Add Access”, select the relevant accounts and click “Apply”.
- Create a new password for a user:
  - Click on relevant user's name;
  - Click “New Password”.
- Delete a user:
  - Click on relevant user's name;
  - Click “Delete User”.
- Apply Digital Signing
  - Click on “Digital Signing”
  - Select “Enable” or “Disable” and then “Save Preference”.

6. Super User

New User Request

Click “Request a New User”.

Fill in all required information:

- If you would like the new user to have the same access as someone else within the user group:

  click on the “Same as” drop down menu and select the user whose profile you wish to copy, and click “Next”;

  Include any additional instructions;

- If you do not wish to copy another user’s profile:

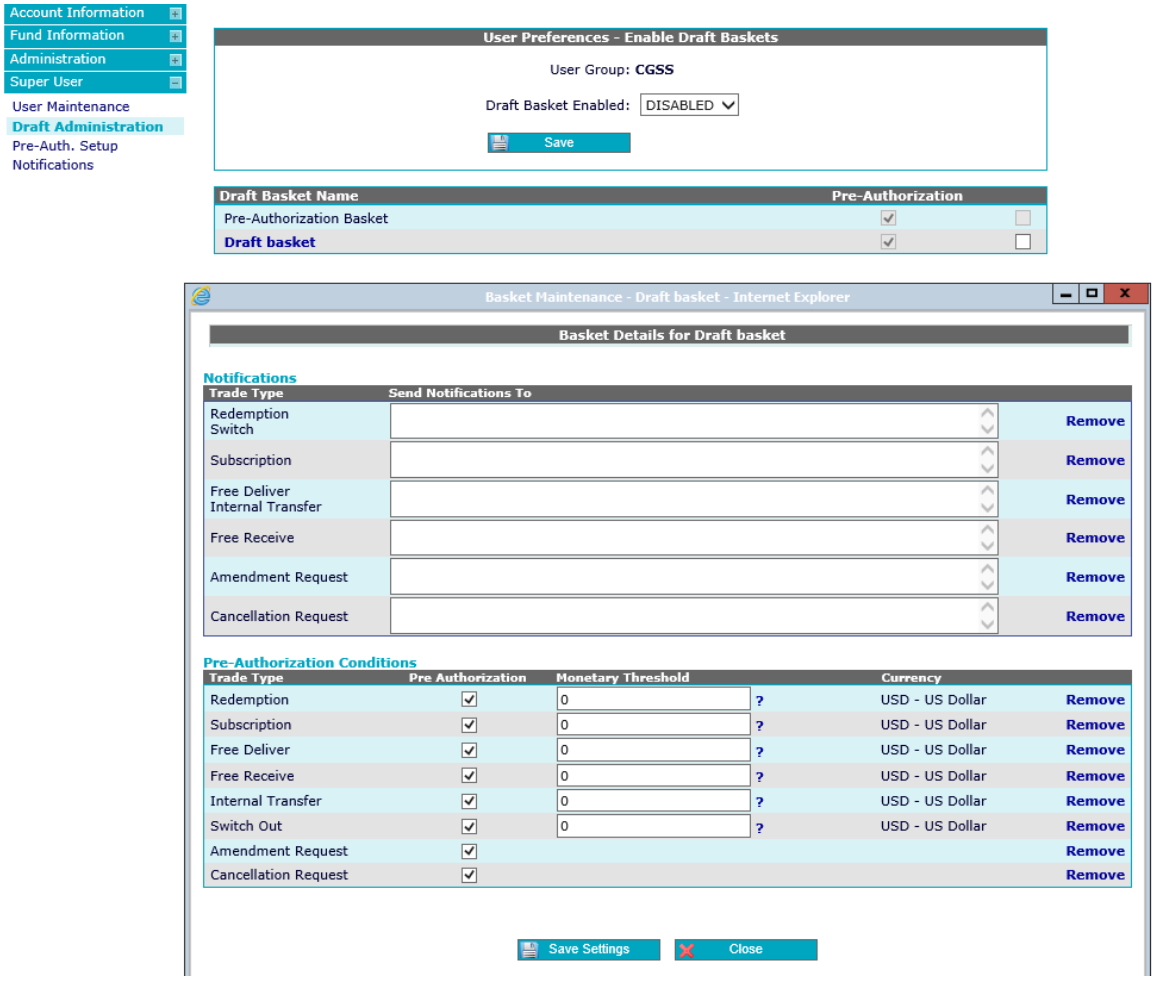
  leave the “Same as” drop down menu to read “Select Profile” and click “Next”;

  Select the accounts you would like users to have access to and click “Next”;

  Select the functionality you would like the user to have by completing the “Function Group Matrix”;

  Include any additional instructions.

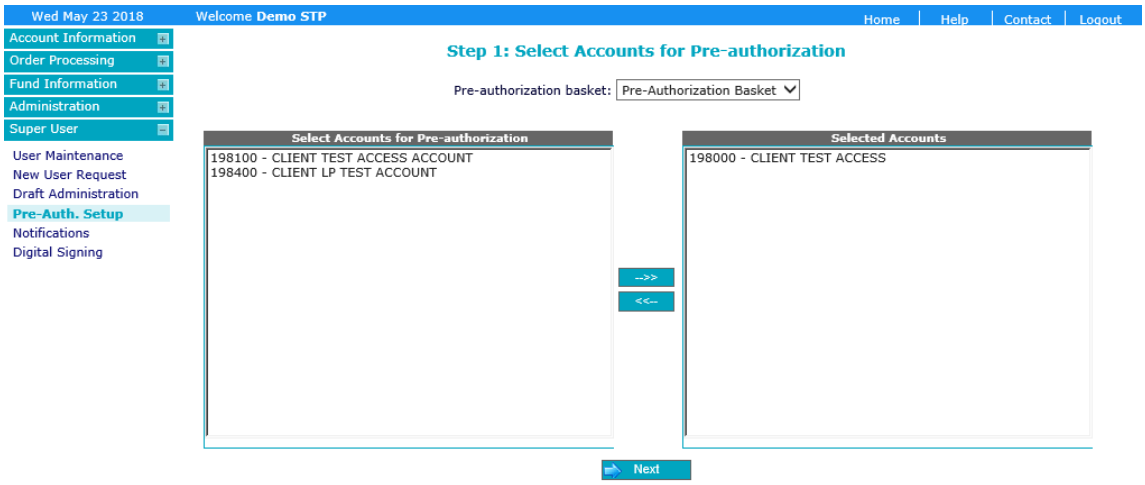
Draft Administration



This screen is used to enable draft baskets and maintain pre-authorization baskets.

You can also view baskets that are only visible to users of your organisation. Only the SuperUser function allows you to view or enable these baskets.

Pre-Authorization Setup



This function allows you to select accounts or transaction types that require pre authorization in advance of the normal trade order processing.

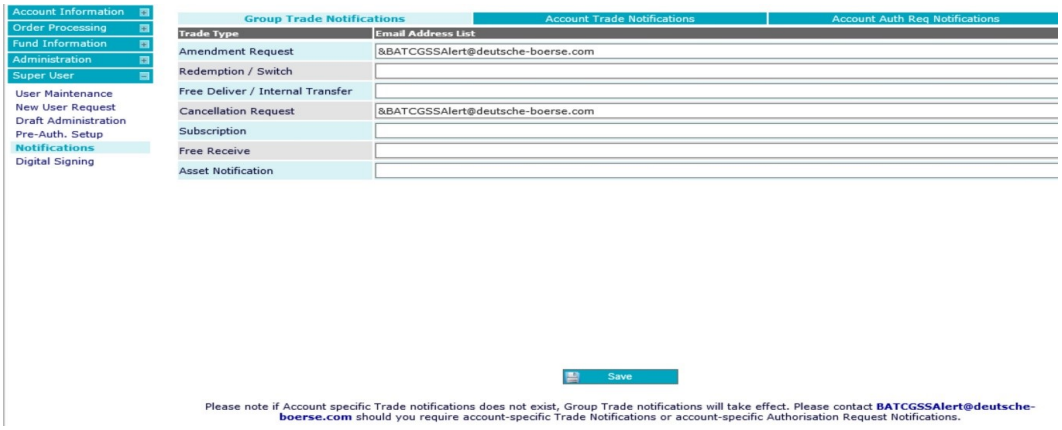
A pre-authorization basket can be customised under "Draft Administration" as follows:

- Create a draft basket and configure it as a basket used for pre-authorization;
- (Optional) Setup email notifications that will be generated when transactions are placed for pre-authorization;
- (Optional) Configure the transaction types that will go for pre-authorization;
- (Optional) Configure monetary threshold for which transactions should go for pre-approval For example, transactions over USD 50,000.

Under "Pre-Authorization Setup", complete the following steps:

1. Select accounts for pre-authorization. From the "Pre-Authorization basket" drop down menu choose the baskets that orders should be placed in when they are first created;
2. Next, select the accounts from the list of accounts in the left pane;
3. Select users for pre-authorization;
4. From the "Pre-Authorization basket" drop down menu choose the basket that orders should be placed in when they are first created from either:
   - the Pre-Authorization basket;
   - Collateral Fund of Funds (FOF) Pre-Authorization basket;
5. Next, select users from the list of users in the left pane.
6. Finally, review the selected accounts and approvers for pre-authorization.

Notifications



In order to change the group email address for trade notifications:

- Click on group email;
- Make changes as required and save.

Digital Signing

The VestimaPRIME platform has optional security functions

- two factor authentication (2FA) at login; and
- transaction signing for authorising critical transactions.

You can activate these using the Super User access at their company level. A smartcard reader and an Xact Certificate are also required.

Transaction signing will be applicable for all critical transactions such as subscriptions, redemptions, free receive, free delivery, switches, internal transfers, amendment and cancellations, regardless of the value of the transaction.

In order to apply 2FA (Two Factor Authentication) for order placement, the following steps must be taken:

Setup via the Super User menu

- Click on “Digital Signing” under the Super User menu.
- Select “Enable” and “Save”, the preference will then be saved.
- To remove digital signing select “Disable” and “Save” preference.
- Once digital signing has been enabled this will apply to all accounts at the client’s company level and only to the final user who is authorising the instruction within VestimaPRIME.
- A card reader is required to activate 2FA. Please refer to the Xact Smartcard User Guide for further instructions on setting up card reader with your Xact certificate or contact your relationship manager.
- You will be prompted for a token password when your smartcard reader is connected to your PC. The token password will be requested for every transaction to complete the digital signing.

6. Super User

When accessing the VestimaPRIME web browser interface, users are prompted as follows:

- Select the appropriate Xact certificate;
- Enter the Xact certificate password;
- Insert smartcard into smartcard reader;
- Enter Token password for smartcard reader.

The login will not be successful if:

- The smartcard is not found, is expired or the wrong smartcard certificate is selected;
- An invalid password for the Xact certificate is entered (maximum attempts allowed: 15);
- An invalid token password is entered (maximum attempts allowed: 15).

Order placement using two factor authentication:

- On placing orders when only one (1) authorization is required (STP), the sign option will appear once the place order option is clicked.
- Click on "Sign", the applet will load, and order will be placed.
- If placing orders where two (2) or more authorizations are required, the sign option will only be required for the final authorizer.
- If the transaction authentication is a success, a message will appear to indicate that the transaction has been signed.
- If the smartcard reader is not connected and the "Enable" option has been selected (under "Digital Signing") or there is a Xact connectivity issue, a pop-up message will appear to indicate "Digital Signing Service Not Available" and no orders will be placed. Please ensure that your smartcard reader is connected when digital signing has been activated.
- Should a transaction authentication fail, a message will appear to indicate that the transaction is not signed and the order will be rejected. A message will be displayed advising the user of the same and the order will need to be input again.

If digital signing is enabled this will be applicable to all accounts at the client's company level.

When digital signing is enabled, certain functions will not be available:

- CSV file execute option will be removed and not permitted when digital signing is enabled.
- Draft baskets execute option and move to execute option will be removed and not permitted when digital signing is enabled.
- Bulk authorization/Approve All option will be removed.

7. Tracer

Trade Settlement and Transfer Tracer menu

This section contains Clearstream settlement tracer codes and explanations for each.

Clearstream systems are designed to notify users of the next step to take towards finalisation of a transaction and are referred to as waiting records, that is, what action is due to be taken.

Waiting records and expiry date

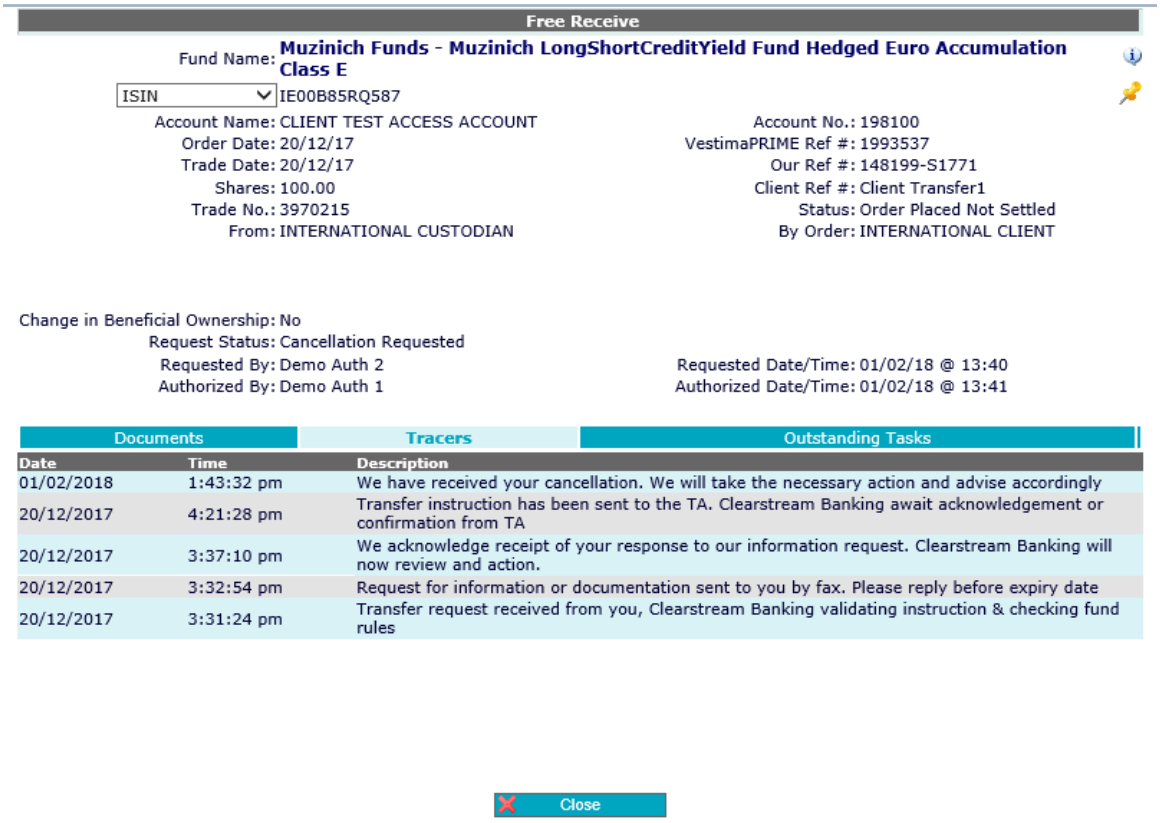
Waiting records are set up with a due date, by which they are expected to resolve, referred to as the expiry date. The expiry date is determined by rules of the underlying fund or more specifically to settlements requirements. For example, redemption cycle T +15 for payment means the payment from fund will be created with an expiry date of trade date + 15.

When a waiting record expires Clearstream does not trace on the expiry date, but on the next business day. This should allow the fund administrator to send the contract note or payment within this time frame. In addition, other Clearstream departments carry out the necessary tasks once the contract note or payment is received. Please note that waiting records are updated and expiry dates may be extended to reflect the feedback received from the administrator

7. Tracer

Tracers and trace report

Tracers can be viewed via VestimaPRIME by clicking on the tracer tab on the "Pending Trades" screen. You can locate this tab in "Ageing Tasks" or "Pending Trades".



Alternatively, a tracer report can be sent to you weekly by email from Clearstream. Tracers and tracer reports enable you to view current order statuses and to ascertain the estimate date for resolution.

8. FAQ

What is pre-authorization?

Pre-authorization is a third level of authorization.

What is the authorization flow?

VestimaPRIME authorization flow is as follows:

Input > pre-authorization (optional) > level 1 authorization (optional) > level 2 authorization (optional).

When would pre-authorization be used?

Typically, when an account is collateralised with a credit provider, the level 2 authorizations will be executed by the credit provider. If you would like to have two authorizations before it goes to level 2 authorization, then you can use pre-authorization.

Who can configure pre-authorization?

Only a Super User can configure pre-authorization.

What is the difference between Level 1, Level 2 and pre-authorization?

Level 1 and 2 authorizations are configured automatically, whereas pre-authorization is administered by the Super User only. Clearstream is not involved in pre-authorization setup.

What are the steps in creating the pre-authorization?

You can setup pre-authorization by selecting the accounts that require pre-authorization and then selecting the users who can pre-authorize. See"Pre-Authorization Setup"

Where do I approve pre-authorization transactions?

Pre-authorization transactions can be approved via the Order Processing menu> Pre-Authorisation.

What happens after pre-authorization?

The transaction will be placed in the authorization queue and can be processed as usual.

Which transaction types can be controlled via pre-authorization?

Pre-authorization can be configured for subscription, redemption, free receive, free deliver, amendment and cancellation.

What is monetary value-based pre-authorization?

Monetary value-based pre-authorization is a placed transaction that exceeds the monetary value. The value can be set up for subscriptions, redemptions, free deliver and free receive.

8. FAQ

Can I set up a custom pre-authorization basket?

Yes, a Super User can setup a custom pre-authorization basket. See "Pre-Authorization Setup" for full instructions.

Does pre-authorization affect all users including STP users?

Yes, once a pre-authorization is configured at account level, this supersedes the user level profile permissions.

How can I enable draft baskets?

You can enable draft baskets via the super user menu option.

If you do not have this permission, please contact your dedicated client team.

Can I authorize the transaction I submit?

Yes, if you are setup as a user who does not require authorization, you can authorize the trades uploaded by CSV file via the Authorization Queue.

No, if you are an input user who requires authorization.

I do not require authorization but why don't I see a facility to upload trades directly to Clearstream?

Users who are familiar with the CSV file upload feature can execute trades without any further authorization by selecting "Execute Trade".

If you do not have "Execute Trade" as an option, please contact your dedicated client team to setup a suitable profile.

I do not require authorization, but if I place trades into draft do I need to authorize?

Yes, if you place a trade in the draft basket, you need to move the trade into the authorization queue and then authorize the trade.

How do I know which trades have been submitted to Clearstream without authorization?

If you upload the trades into the execute trade option, then trades without errors and warnings will be submitted to Clearstream.

You can go to the administration > upload status menu option and review the acknowledgement file.

Trades that are submitted to Clearstream will have a unique Clearstream trade number in addition to the VestimaPRIME reference number.

You will also see that trades that are not submitted to Clearstream will have Trade number zero along with errors or warning messages displayed.

These trades will be pending in the authorization queue until you take appropriate action.

How does uploading a file without authorization (execute trade) work?

Upload a file without any further authorization by selecting "Execute Trade". Trades will be placed into Clearstream as long as they do not have any errors and warnings

Any transactions with errors or warnings are filtered and will remain in the authorization queue.

You must go to the order review > authorization menu option and either correct these trades or explicitly submit these trades.

Where can I get a sample CSV file?

See "CSV Trade Upload" for CSV file template and full instructions

Can I upload an MS Excel File?

No, you must save your work as a CSV file and then upload it. A CSV file is a text file that can be opened in MS Excel.

Is the header row required?

Yes, when you download the sample CSV file, you should not modify the header row. The header row must remain as it is. You can place your transactions starting from row 2.

How long does it take to process the file?

Your file should be processed in less than five minutes.

Does the name of the file matter?

The name of the file does not matter as long as it is a CSV file with a .csv extension. However, Clearstream recommends that you submit your files using a standard file naming convention. For example, your file name may have a convention as 20070704_002.csv. In this case the convention used is in the form of Year Month Day followed by file-number for the day.

Once the transactions are entered, you can upload the file into VestimaPRIME.

Where can I place the CSV file?

You can upload files to the pending authorization or submit directly to Clearstream.

MS Excel removes leading zeros, how can I specify my account number?

If your account number with Clearstream Banking is "0000123456", MS Excel will automatically convert this into "123456".

However, you don't have to place leading zeros when you specify your account number.

You can simply enter your account number as "123456".

Similarly, if you would like to place a transaction for tax treaty pool account, then you can include the tax treaty pool suffix to your account number, for example, 123456P10.

What does "validate only" mean?

When the upload into field is set to validate only, the file will not be loaded into VestimaPRIME. VestimaPRIME will validate the syntax of the file and report back on errors identified with the file.

Where can I review the status of my uploaded file?

You can review the status of the file uploaded via the administration > CSV upload status menu option.

If you do not have access to the administration menu, please contact your dedicated client team.

How can I get an acknowledgement?

Once your file has been successfully processed you can download an acknowledgement file via the administration > Upload Status menu option.

You will also see a VestimaPRIME reference number that shows a unique identifier that you can refer to for any further communications with Clearstream.

Can I place trades in all accounts?

You can place trades for any of the accounts where you have input access.

Will I get trade notification messages when the trades are submitted to Clearstream?

Yes, if you select "Execute Trade" trades without any errors will be submitted to Clearstream. You will then receive a trade notification email.

8. FAQ

Will I get authorization request notification messages when the trades are placed into authorization queue?

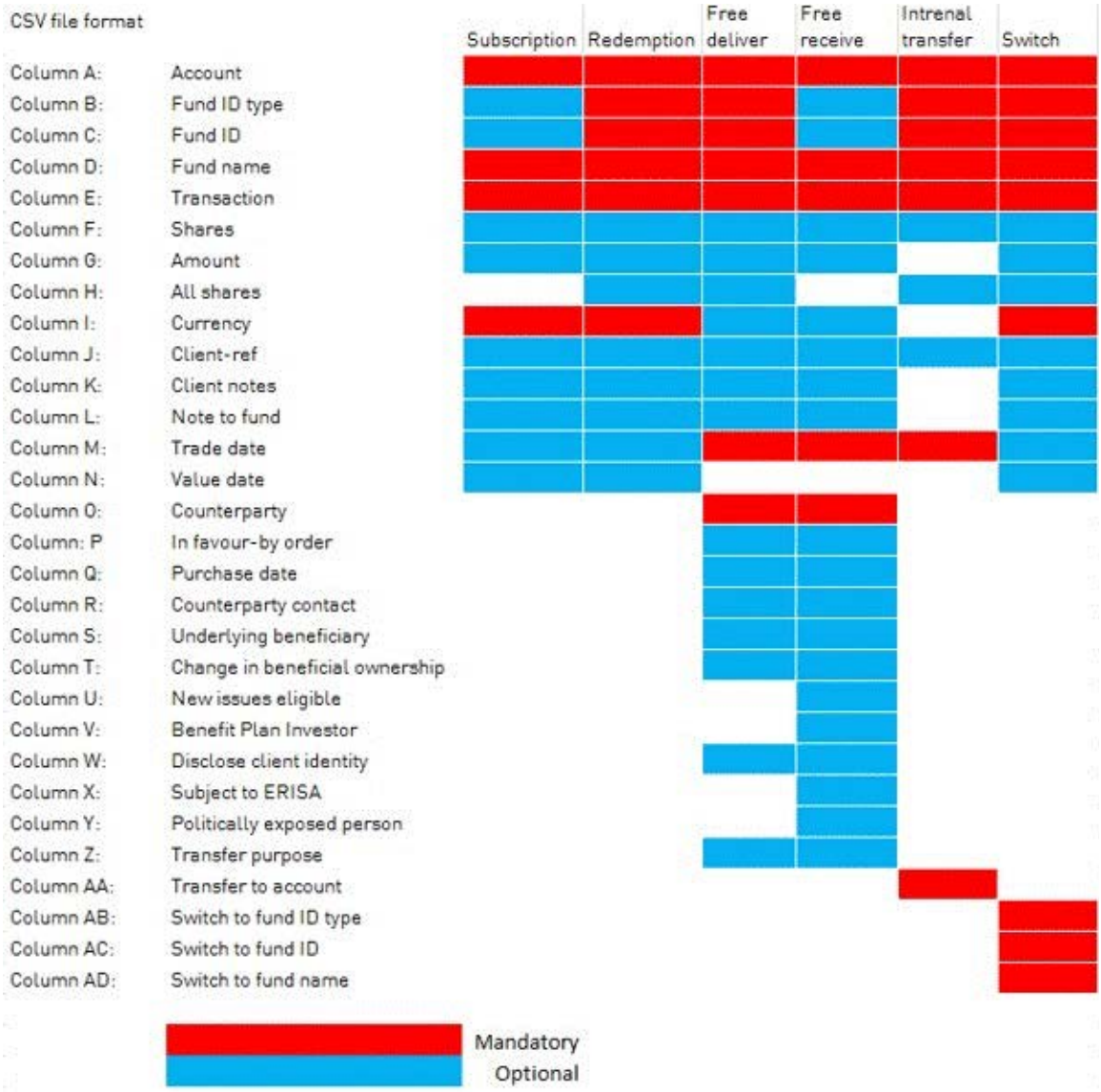
Yes, the authorization request notification messages are sent to the authorizers when trades are placed into the authorization queue via the file upload.

The authorizer needs to go to the authorization queue and review the trades with errors and warnings.

Where can I get an explanation for the columns in the CSV file?

The section below gives an explanation for the columns shown in the CSV upload file.

If you require further information, please contact your dedicated client team.



Account

This is the account for which you would like to place the transaction.

You must have input access to this account in order to upload a transaction.

Fund ID type

This is the Security Identifier and should be one of the following:

- ISIN
- Common Code
- VALOREN
- CFN ID
- Custom

You can refer to VestimaPRIME if you don't know the security identifier.

Fund ID

This is the value that corresponds to the Security Identifier specified in the previous column.

Fund name

This is the asset name that corresponds to the security identifier you supplied in the previous two columns.

VestimaPRIME will try to find an asset based on the asset identifiers that you supplied in the previous two columns.

If VestimaPRIME finds an identifier, then the fund name supplied in this column will be ignored and VestimaPRIME will populate the fund name based on the asset identifiers supplied.

However, if VestimaPRIME cannot find an asset based on the supplied asset identifiers, VestimaPRIME will use the fund name to place your transaction.

Transaction

Please specify a valid transaction type as one of the following:

- Subscription
- Redemption
- Free Deliver
- Free Receive
- Internal Transfer
- Switch

Shares

Please specify the number of shares you would like to execute for this transaction.

For transfers you must specify the number of shares.

For subscriptions or redemptions, you can specify either number of shares or monetary amount but not both.

Amount

Please specify the amount to two decimal places.

The amount is applicable for subscription and redemptions only.

In addition, you should specify the transaction in either amount or shares, but not both.

8. FAQ

All shares

To request a transaction for all shares please put yes. All other values will be ignored.

Currency

This is the three digit ISO currency code.

The currency is only applicable for subscriptions (payment currency) or redemptions (receipt currency).

In addition, the currency you supplied must be a valid trading currency for the asset.

Given below are some useful currency codes:

- EUR - Euro
- USD - U.S. Dollars
- GBP - British Pound
- JPY - Japanese Yen
- CHF - Swiss Franc
- SEK - Swedish Krona
- CAD - Canadian Dollar
- SGD - Singapore Dollar
- AUD - Australian Dollar

Client-ref

This is your own internal reference that can be up to sixteen characters and if provided can be useful for your transaction in VestimaPRIME using the reference you supply here.

Client notes

These are notes that you wish to place for Clearstream

Clearstream will review the notes you supply and take appropriate action.

Your notes have up to a maximum of 210 characters.

Client notes to Clearstream cannot be input on redemptions or subscriptions in STP funds.

Note to Fund

These are notes that you wish Clearstream to send to the fund.

The notes to fund can be up to a maximum of 210 characters.

Please note that Clearstream will not verify the contents of this note.

Therefore, Clearstream disclaims any responsibility from and accepts no liability for this note.

Trade Date

The trade date is mandatory for transfers only.

You must specify the trade date in yyyymmdd numeric format.

(For example 4th-August-2007 should be entered as 20070704.)

The trade date will not be verified by Clearstream and this information will be sent to the fund.

It is recommended that the trade date be left blank so that Clearstream will calculate the next available trade date based on trading rules.

Value Date

The value date is optional.

You must specify the value date in yyyymmdd numeric format.

(For example 4 July 2007 should be entered as 20070704.)

The value date will not be verified by Clearstream and this information will be sent to the fund.

The value date will be affected by the trade date, if provided.

It is recommended that the trade date and value date be left blank so that Clearstream will calculate the next available trade date and value date based on trading rules.

Counterparty

The counter party field is required for transfers.

You are required to provide the counterparty name and contact details up to a maximum of 120 characters.

In favour-by order

This is an optional field for transfers where you can supply free receive for “in favour” or "by order" for free delivers up to a maximum of 120 characters.

Purchase date

This is only applicable to transfers and should be entered in yyyymmdd numeric format.

Counterparty contact

This is applicable for transfers where the counterparty contact name along with an email and phone number can be supplied to a maximum of seventy characters.

Underlying beneficiary

This allows you to specify the underlying client beneficiary to a maximum of 120 characters.

Change in beneficial ownership

This allows you to specify if there is a change in beneficial owner for transfers.

You can select “Yes”, “No” or leave blank.

New issues eligible

This allows you to specify if the client is eligible for new issues when receiving new funds.

You can select “Yes”, “No” or leave blank.

Benefit plan investor

For a free receive transaction, this allows you to specify if the client is a benefit plan investor.

You can select “Yes”, “No” or leave blank.

Disclose client identity

This allows you to specify if your identity can be disclosed to the fund.

You can select “Yes”, “No” or leave blank.

8. FAQ

Subject to ERISA

This allows you to specify whether the free receive transaction is subject to ERISA.

You can select "Yes", "No" or leave blank.

Politically exposed person

This allows you to specify if you are a politically exposed person.

You can select "Yes", "No" or leave blank.

Transfer purpose

This allows you to specify the purpose of a transfer in free deliver /free receive.

Transfer to account

This is applicable to internal transfers that contain the target custody account value (RFP).

For more information, please contact your dedicated client team.

Switch to fund ID type

This field is only applicable for switches and contains the Target Fund Identifier (SUB):

- ISIN
- Common Code
- VALOREN
- CFN ID
- CUSTOM

Switch to fund ID

This field is only applicable for switches and corresponds to the target security identifier (SUB) specified in the previous column.

Switch to fund name

This field is only applicable for switches and contains the target asset name (SUB) that corresponds to the security identifiers supplied in the previous two columns.

9. Glossary

AAM/AM

Assistant Account Manager/Account Manager.

CA

Corporate Action.

CCS

Custody and Clearing System.

CNMM

Contract Note Mis-Match: Contracts notes are received and attached to trades. If the information does not match the information Clearstream holds in the system they fall into the mismatch queue for further investigation by the client teams.

DFP

Deliver Free of Payment.

ERISA

ERISA is the Employment Retirement Income Security Act of 1974, which governs, among other things, the investment of certain benefit plans into hedge funds.

FOF

Fund of Funds: an investment strategy of holding a portfolio of other investment funds rather than investing directly in stocks, bonds or other securities. This type of investing is often referred to as multi-manager investment.

IFC

Information From Client.

IFCC

Information From Counterparty: the underlying counterparty is contacted directly upon client request

RED

Redemption.

RFP

Receive Free of Payment.

SUB

Subscription

STP

Straight-through processing: Orders sent STP require no manual intervention and will be sent automatically to the market.

9. Glossary

TA

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

TRF

Transfer

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CBL are in contact with the Transfer Agent to confirm the fund's requirements in order to progress the transaction

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