CSV statements for reconciliation of investment fund positions

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Clearstream Banking S.A.

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1. INTRODUCTION

These specifications are for Comma Separated Value (CSV) files; the fields are separated by commas. Each line in the file represents a record, and records must be terminated by line feeds (carriage return). The number of commas per record must remain consistent with the record lay-out. The file must be compatible with ANSI character set encoding.

Any file name extension other than ".ISO" can be used (including none at all), but compressed files need to use the extension ".ZIP" or ".GZ" to allow automated processing. Senders are advised to include a unique identifier (such as a date or serial number) in their file naming convention, to simplify tracking and error reporting.

1.1. NUMERICAL DATA

A full stop (.) must be used as decimal separator. The maximum lengths of numerical fields defined herein refer to the number of digits (integers and fractions) excluding any decimal separators. Signed values are not allowed; all quantities, amounts, prices and sums must be expressed as positive values without any sign. The totals to be put in the trailer record are only there for technical validation of the data integrity and have no business purpose.

1.2. REFERENTIAL AND TEXT DATA

The literal values specified for the fields RECORD TYPE, STATEMENT TYPE, STATEMENT FUNCTION and RECEIVE/DELIVER INDICATOR must be filled verbatim in UPPER case and without any double quotation marks ("). The fields SAFEKEEPING ACCOUNT, SETTLEMENT REFERENCE and ALTERNATIVE REFERENCE can be filled using A-Z, 0-9, special characters

/ - + ? . : ( ) and space (however, only using space is not allowed).

1.3. STATUS COLUMN

In the specification tables below, the "Stat" column indicates the status of each field. The legend used is M for mandatory, O for optional and C for conditional. Optional and conditional fields that are not used must not contain any character, including space.

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2.   SPECIFICATIONS FOR STATEMENT OF HOLDINGS

2.1.   FILE NAME CONVENTION

The name of the CSV file must include the name of the sender (indicative name of the Transfer Agent) and the name of the file must finish with the following:

- For Vestima TAs: "CFFStatementOfHoldings"

- For VestimaPrime TAs: "AFSStatementOfHoldings"

2.2.   HEADER

Nº	Field Name	Size	Stat	Contents
1	RECORD TYPE	1	M	"H"
2	PLACE OF SAFEKEEPING	8 or 11	M	Format: 8 or 11 alphanumeric BIC BIC-1 code (non-SWIFT member) is acceptable. Alphabetical letters must be in UPPER case.
3	STATEMENT TYPE	7	M	"CSV535A" for a Statement of Holdings.
4	STATEMENT FUNCTION	4	M	One of the following: "NEWM" for the first file reporting on a particular statement date. "REPL" for a replacement of a previously sent file.
5	SAFEKEEPING ACCOUNT	35	M	CLEARSTREAM's Register Account in the books of the TA expressed as RAC (Registration Account Code and not Registration Account Name).
6	FUND ISSUANCE ACCOUNT	5	M	Vestima TA: The Fund Issuance Account number of the TA (or their Settlement Agent) in the books of CLEARSTREAM.
		5	M	Vestima Prime TA: Empty value.
7	STATEMENT DATE	8	M	Format: YYYYMMDD The date for which the holding on the CLEARSTREAM register account is reported.
8	PREPARATION DATE AND TIME	14 to 19	M	Format: YYYYMMDDHHMMSS The time is given in a 24-hour clock format at the time zone of the sender of the file. Up to five separators (forward slashes, underscores, hyphens, spaces, full stops and colons, i.e. /_- .:) can be added for readability, for example: YYYY/MM/DD_HH:MM:SS.

2.3. DATA

Nº	Field Name	Size	Stat	Contents
1	RECORD TYPE	1	M	"D"
2	IDENTIFICATION OF SECURITIES	12	M	ISIN code
3	AGGREGATE HOLDING	22	M	The total quantity of units in this ISIN code held in the CLEARSTREAM Register Account. A maximum of 16 integers and 6 decimals is allowed.
4	PRICE CURRENCY	3	C	ISO currency code of PRICE PER UNIT. This field must be filled if, and only if, the PRICE PER UNIT is filled.
5	PRICE PER UNIT	20	O	The latest available NAV per unit for this ISIN code. A maximum of 14 integers and 6 decimals is allowed (regardless of the price currency). This field is optional.

2.4. TRAILER

Nº	Field Name	Size	Stat	Contents
1	RECORD TYPE	1	M	"T"
2	TOTAL NUMBER OF RECORDS	20	M	The number of data records in the file, excluding header and trailer records.
3	TOTAL HOLDINGS	28	M	The sum of AGGREGATE HOLDINGs across all reported ISIN codes. A maximum of 22 integers and 6 decimals is allowed.

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3. SPECIFICATIONS FOR STATEMENT OF TRANSACTIONS

3.1. FILE NAME CONVENTION

The name of the CSV file must include the name of the sender (indicative name of the Transfer Agent) and the name of the file must finish with the following:

- For Vestima TAs: "CFFStatementOfTransactions"

- For VestimaPrime TAs: "AFSStatementOfTransactions"

3.2. HEADER

Nº	Field Name	Size	Stat	Contents
1	RECORD TYPE	1	M	"H"
2	PLACE OF SAFEKEEPING	8 or 11	M	Format: 8 or 11 alphanumeric BIC BIC-1 code (non-SWIFT member) is acceptable. Alphabetical letters must be in upper case.
3	STATEMENT TYPE	7	M	"CSV536A" for a Statement of Transactions
4	STATEMENT FUNCTION	4	M	One of the following: "NEWM" for the first file reporting on a particular statement date. "REPL" for a replacement of a previously sent file.
5	SAFE KEEPING ACCOUNT	35	M	CLEARSTREAM's Register Account in the books of the TA expressed as RAC (Registration Account Code <u>and not</u> Registration Account Name).
6	FUND ISSUANCE ACCOUNT	5	M	Vestima TA: The Fund Issuance Account number of the TA (or their settlement agent) in the books of CLEARSTREAM.
		5	M	Vestima Prime TA: Empty value.
7	FROM DATE	8	M	Format: YYYYMMDD First date of the statement period covered.
8	TO DATE	8	M	Format: YYYYMMDD Last date of the statement period covered.
9	PREPARATION DATE AND TIME	14 to 19	M	Format: YYYYMMDDHHMMSS The time is given in a 24-hour clock format at the time zone of the sender of the file. Up to five separators (forward slashes, underscores, hyphens, spaces, full stops and colons, i.e. /_- .:) can be added for readability, for example: YYYY/MM/DD_HH:MM:SS.

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3.3. DATA

Nº	Field Name	Size	Stat	Contents
1	RECORD TYPE	1	M	"D"
2	IDENTIFICATION OF SECURITIES	12	M	ISIN code
3	QUANTITY OF SECURITES	22	M	Number of units booked in the CLEARSTREAM Register Account. A maximum of 16 integers and 6 decimals is allowed.
4	RECEIVE/DELIVER INDICATOR	4	M	One of the following: "RECE" for a credit of units on the CLEARSTREAM Register Account. "DELI" for debit of units on the CLEARSTREAM Register Account.
5	EFFECTIVE SETTLEMENT DATE	8	O	Format: YYYYMMDD Alternative and optional transaction date, that may differ from the REGISTER UPDATE DATE.
6	REGISTER UPDATE DATE (also known as TRADE DATE)	8	M	Format: YYYYMMDD The date on which the units are booked on the CLEARSTREAM Register Account, and which determines entitlements.
7	SETTLEMENT REFERENCE	16	C	The (main) unique reference of the settlement instruction for this transaction that was sent to CLEARSTREAM. This field must be filled if ALTERNATIVE REFERENCE is not filled.
8	ALTERNATIVE REFERENCE	16	C	An alternative unique reference of the transaction that has been quoted on the settlement instruction sent to CLEARSTREAM. This field must be filled if SETTLEMENT REFERENCE is not filled.
9	CASH AMOUNT CURRENCY	3	C	ISO currency code of CASH AMOUNT. This field must be filled if, and only if, the CASH AMOUNT is filled.
10	CASH AMOUNT	20	O	Cash amount value of the transaction. A maximum of 18 integers is allowed. The maximum number of decimals is as per the CASH AMOUNT CURRENCY (e.g.. 2 for EUR, 0 for JPY). This field is optional.

3.4. TRAILER

Nº	Field Name	Size	Stat	Contents
1	RECORD TYPE	1	M	"T"
2	TOTAL NUMBER OF RECORDS	20	M	The number of data records in the file, excluding header and trailer records.
3	TOTAL TRANSACTED QUANTITIES	28	M	The sum of QUANTITY OF SECURITES for all of the reported transactions (regardless of direction). A maximum of 22 integers and 6 decimals is allowed.

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4.   EXAMPLES

4.1.   STATEMENT OF HOLDINGS EXAMPLE

```
H,DEPOLUL1,CSV535A,NEWM,1234-4321,10001,20070903,20070904-153042
D,LU0123456789,525047,EUR,98.23
D,GB9876543210,4.15,,
D,LU8765432109,909729.384,SEK,649.10
T,3,1434780.534
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4.2.   STATEMENT OF TRANSACTIONS EXAMPLE

```
H,DEPOLUL1,CSV536A,NEWM,1234-4321,10001,20070903,20070903,2007.09.04/15:31:07
D,LU0123456789,398,RECE,,20070903,,TX7654321,EUR,39095.54
D,LU0123456789,12438,DELI,,20070903,,TX7654328,EUR,1221784.74
T,2,12836
```