

Functional and authorisation tests for Directly Connected Participants (DCPs) and Indirectly Connected Participants (ICPs) of OeKB CSD

The report sheet consists of the following tables:

- 1 - Authorisation Tests: list of mandatory and optional test cases for each connection mode; only the mandatory test cases have to be completed. Please fill column H "Executed" with "yes" (including the form of documentation, for example "screenshot") or "no"
- 2 - Screenshots: Here you can enter your screenshots for those test cases where a screenshot is necessary. Please name the test id as mentioned in the test cases, for example "AUTH_SC_01", for each screenshot.
- 3 - General information about T2S Connectivity and additional information on the access.

Date:	
Institution:	
Name of contact person:	
E-Mail of contact person:	
Phone no. of contact person:	
Test DCA:	
Test BIC:	
Test securities account:	provided by OeKB CSD
Test foreign cash account:	provided by OeKB CSD

Please return the completed form to settlement@oekb-csd.at.

In case of questions please contact our Service Center, preferably by e-mail.

E-mail:	settlement@oekb-csd.at
Phone no.:	+43 (1) 531 27-2020

Connectivity	Participant using only ICP Mode	Participant using DCP Mode and opt. ICP mode	tested Msg. Type	Test ID and Test Case Name	Test Description	Documentation	Executed (fill in yes/no)	Customer Reference or MITI
Settlement Client	M	<input type="radio"/>	-	AUTH_SC_01: Display Securities Positions	Display Securities Positions of one of your accounts	Screenshot		-
Settlement Client	M	<input type="radio"/>	-	AUTH_SC_02: Search Settlement Instructions - List	Search Settlement Instructions, display list (optionally in extended form)	Screenshot		-
Settlement Client	M	<input type="radio"/>	-	AUTH_SC_03: Search Settlement Instructions - Detail	Select Settlement Instruction from Search List and display details	Screenshot		-
Settlement Client	M	<input type="radio"/>	-	AUTH_SC_04: Generate PDF Report for Settlement Instruction Detail	Generate PDF Report for Settlement Instruction from Instruction Search Detail Screen	PDF Report		-
Settlement Client	M	<input type="radio"/>	MT540	AUTH_SC_05: Create Settlement Instruction FOP Intra-CSD	Create an FOP Instruction, where the Counterparty is a participant of OeKB-CSD	Customer Reference or MITI		
Settlement Client	M	<input type="radio"/>	MT543	AUTH_SC_06: Create Settlement Instruction DVP Intra-CSD	Create an DVP Instruction, where the Counterparty is a participant of OeKB-CSD	Customer Reference or MITI		
Settlement Client	M	<input type="radio"/>	MT541 MT543 MT545 MT548	Functional_SC_01: NEWM Settlement	Step 1: Participant sends MT541 instruction with function NEWM. Step 2: OeKB CSD sends MT548 message with function INST and reason Code MTCH//NMAT. Step 3: OeKB CSD sends MT548 message with function INST and reason Code MTCH//MACH after having received MT543 instruction with function	Customer Reference or MITI		
Settlement Client	M	<input type="radio"/>	MT541 MT543 MT548	Functional_SC_02: NEWM – counterparty lack of securities	Step 1: Participant sends MT541 instruction with function NEWM. Step 2: OeKB CSD sends MT548 message with function INST and reason Code MTCH//NMAT. Step 3: OeKB CSD sends MT548 message with function INST and reason Code MTCH//MACH after having received MT543 instruction with function NEWM from counterparty participant.	Customer Reference or MITI		
Settlement Client	M	<input type="radio"/>	MT541 MT543 MT545 MT548	Functional_SC_03: PREA – NEWM – matched/settled	Step 1: Participant sends MT541 instruction with function PREA. Step 2: OeKB CSD sends MT548 message with function INST and reason Code MTCH//NMAT. Step 3: OeKB CSD sends MT548 message with function INST and reason Code PEND(PENF)//PREA after having received MT543 instruction with function NEWM from counterparty participant. Step 4: Participant sends MT541 instruction with function NEWM. Step 5: OeKB CSD sends MT548 message with function INST and reason	Customer Reference or MITI		
Settlement Client	M	<input type="radio"/>	MT541 MT543 MT548	Functional_SC_04: NEWM – lack of cash	Step 1: Participant sends MT541 instruction with function NEWM. Step 2: OeKB CSD sends MT548 message with function INST and reason Code MTCH//NMAT. Step 3: OeKB CSD sends MT548 message with function INST and reason Code PEND(PENF)//PRCY after having received MT543 instruction with function PREA from counterparty participant . Step 4: OeKB CSD sends MT548 message with function INST and reason Code MTCH//MACH.	Customer Reference or MITI		
Settlement Client	M	<input type="radio"/>	MT541 MT548	Functional_SC_05_Cancel of unmatched instruction	Step 1: Participant sends MT541 instruction with function NEWM. Step 2: OeKB CSD sends MT548 message with function INST and reason Code MTCH//NMAT. Step 3: Participant sends MT541 instruction with function CANC. Step 4: OeKB CSD sends MT548 message with function CAST and reason	Customer Reference or MITI		
Settlement Client	<input type="radio"/>	<input type="radio"/>	MT540	AUTH_SC_07: Create Settlement Instruction FOP Cross-CSD	Create an FOP Instruction, where the Counterparty is a participant of another T2S CSD (e.g. CBF)	Customer Reference or MITI		
Settlement Client	<input type="radio"/>	<input type="radio"/>	MT543	AUTH_SC_08: Create Settlement Instruction DVP Cross-CSD	Create an DVP Instruction, where the Counterparty is a participant of another T2S CSD (e.g. CBF)	Customer Reference or MITI		
Settlement Client	<input type="radio"/>	<input type="radio"/>	-	AUTH_SC_09: Create Settlement Instruction FOP External-CSD	Create a FOP Instruction, where the Counterparty is a participant of a CSD, which is not connected to T2S (e.g. CBL, Euroclear Bank)	Customer Reference or MITI		

Settlement Client	○	○	-	AUTH_SC_12: Create Settlement Instruction using 4-eyes principle	Set 4-eyes principle for one instruction type and apply it by creating a settlement instruction of this type.	Customer Reference or MITI		
Settlement	○	○	-	AUTH_SC_13: Search Allegement	Search for Allegements	Screenshot		-
Settlement	○	○	-	AUTH_SC_14: Create Counter Instruction	Create a counter Instruction from an Allegement	Customer Reference		
Settlement	○	○	-	AUTH_SC_15: Change Party Hold Status of	Change Party Hold Status	Customer Reference		
Settlement	M	○	-	AUTH_SC_16: Cancel Settlement Instruction	Cancel Settlement Instruction	Customer Reference		
Settlement Client	○	○	-	AUTH_SC_17: Create Intra position Movement	Create a Sub-position (blocked, reserved od earmarked) using Intra-position movement	Customer Reference or MITI		
Settlement Client	○	○	-	AUTH_SC_18: Create Linked Settlement Instructions	Link Settlement Instructions using the Linkage section of the Settlement Instructions Detail Screen	Customer Reference or MITI		
Settlement	M	○	-	AUTH_SC_19: Download Statement of Holdings	Download a statement of holdings	Screenshot of first		-
Settlement Client	○	○	-	AUTH_SC_20: Apply 4-Eyes principle for creating settlement instruction	Configure 4-Eyes Principle and use it creating a settlement instruction	Customer Reference or MITI		

Connectivity	Participant using only ICP Mode	Participant using DCP Mode and opt. ICP mode	tested Msg. Type	Test ID and Test Case Name	Test Description	Documentation	Executed (fill in yes/no)	Customer Reference or MITI
U2A (T2S)	-	M	-	AUTH_U2A_01: Display Securities Positions	Display Securities Positions of one of your accounts	Screenshot		-
U2A (T2S)	-	M	-	AUTH_U2A_02: Search Settlement Instructions -	Search Settlement Instructions, display list (optionally in extended form)	Screenshot		-
U2A (T2S)	-	M	-	AUTH_U2A_03: Search Settlement Instructions -	Select Settlement Instruction from Search List and display details	Screenshot		-
U2A (T2S)	-	M	-	AUTH_U2A_04: Create Settlement Instruction FOP Intra-CSD	Create an FOP Instruction, where the Counterparty is a participant of OeKB-CSD	Customer Reference or MITI		
U2A (T2S)	-	M	-	AUTH_U2A_05: Create Settlement Instruction DVP Intra-CSD	Create an DVP Instruction, where the Counterparty is a participant of OeKB-CSD	Customer Reference or MITI		
U2A (T2S)	-	M	-	AUTH_U2A_06: Cancel Settlement Instruction	Cancel Settlement Instruction	Customer Reference		

Connectivity	Participant using only ICP Mode	Participant using DCP Mode and opt. ICP mode	tested Msg. Type	Test ID and Test Case Name	Test Description	Documentation	Executed (fill in yes/no)	Customer Reference or MITI
A2A	M	M	-	AUTH_A2A_01: Send Settlement Instruction FOP	Send an FOP Instruction, where the Counterparty is a participant of OeKB-CSD	Customer Reference		
A2A	M	M	-	AUTH_A2A_02: Send Settlement Instruction DVP Intra-CSD Instruction	Send an DVP Instruction, where the Counterparty is a participant of OeKB-CSD	Customer Reference or MITI		
A2A	○	M	-	AUTH_A2A_03: Send Settlement Instruction FOP Cross-CSD Instruction	Send an FOP Instruction, where the Counterparty is a participant of another T2S CSD (e.g. CBF)	Customer Reference or MITI		
A2A	○	M	-	AUTH_A2A_04: Send Settlement Instruction DVP Cross-CSD Instruction	Send an DVP Instruction, where the Counterparty is a participant of another T2S CSD (e.g. CBF)	Customer Reference or MITI		
A2A	○	-	-	AUTH_A2A_05: Send Settlement Instruction FOP External-CSD Instruction	Send a FOP Instruction, where the Counterparty is a participant of a CSD, which is not connected to T2S (e.g. CBL, Euroclear Bank)	Customer Reference or MITI		
A2A	○	○	-	AUTH_A2A_08: Send Settlement Instruction Modification (e.g. Hold Status)	Change Party Hold Status using MT54<x> PREA-> NEW or MT530 / sese.030	Customer Reference or MITI		
A2A	M	M	-	AUTH_A2A_09: Cancel Settlement Instruction	Cancel Settlement Instruction	Customer Reference		
A2A	○	○	-	AUTH_A2A_10: Send Settlement Restriction (Intra position Movement)	Create a Sub-position (blocked, reserved or earmarked) using Settlement Restrictions	Customer Reference or MITI		
A2A	○	○	-	AUTH_A2A_11: Send linked Settlement	Send Linked Settlement Instructions	Customer Reference		
A2A	M	M	MT535	AUTH_A2A_14_Receive MT535_Statement of	Participant receives MT535 Statement of Holdings from OeKB CSD	Screenshot		
A2A	○	○	MT536	AUTH_A2A_14_Receive MT535_Statement of Transactions	Participant receives MT536 Statement of Transactions from OeKB CSD	Screenshot		
A2A	M	M	MT564	AUTH_A2A_12_Receive MT564 Corporate Action Notification	Participant receives MT564 Corporate Action Notification from OeKB CSD	Screenshot		

A2A	M	M	MT566	AUTH_A2A_13_Receive MT566 Corporate Action Confirmation	Participant receives MT566 Corporate Action Confirmation from OeKB CSD	Screenshot		
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M = mandatory

O = optional

Functional Tests (M)

Authorisation Tests (M)

Corporate Actions Tests (M)

Functional and authorisation tests for Directly Connected Participants (DCPs) and Indirectly Connected Participants (ICPs) of OeKB CSD

SWIFT Communication:

For SWIFT communication the following BICs of OeKB CSD or the T2S platform have to be used in the **Test Environment**:

SWIFT message body (including ISO20022 head.01, head.02): OCSDATWWXXX

SWIFT Header

- o DCP connection: TRGTXE2SXXX
- o ICP connection:
 - o Messages sent to OeKB CSD: ZYAOATW0T2S
 - o Messages sent from OeKB CSD: ZYAOATW0XXX

Technical Access:

Each client of OeKB CSD may use the OeKB CSD Services via one or more of the following technical access types:

Function	ICP/DCP	A2A interface	Online Client
Securities Account Administration, Settlement	ICP	SWIFT (ISO 15022)	Settlement Client via Login Portal
	DCP	SWIFT (ISO 20022)	T2S Client via T2S
	as CSD that uses T2S	Inter-T2S-CSD interface	-
Cash Account Administration	ICP	SWIFT (ISO 15022)	AIS Client via Login Portal
Asset Servicing	ICP	SWIFT (ISO 15022)	Asset Servicing Client via Login Portal
Notary Services & Safekeeping	ICP	SWIFT (ISO 15022)	Settlement Client via Login Portal

[Further details on T2S Connectivity are provided in Annex 8 Guideline Settlement and Securities Account Administration](#)