Annex 17 to the GTC of OeKB CSD

User Manual Settlement Client

V3.7 / Public / 07.11.2022

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1. Document Versions and History of Changes

Version/Date	Changes
1.0/16.03.2015	First Full Version
2.0/01.10.2015	Transfer to the new corporate design layout and addition of new functions
3.0/01.02.2017	Updating and documentation of the new functionalities for Go-Live
3.1/05.03.2017	Addition of the function Billing
3.2/01.07.2019	Addition of the function Monitoring Update of several screenshots
3.3/18.11.2019	Update of several screenshots Addition of the fields Place of Trade & Place of Clearing Addition of the failing status Addition because of partial release
3.4/23.11.2020	Addition of the field Beneficial Ownership Addition of New Message Subscriptions Statement of Holdings and Statement of Transactions New Transaction Types COLI, COLO, SWIF, SWIT and REBL Amendment BIYI to BYIY
3.5/05.01.2021	Addition of new fields in the screen Security Details
3.6/14.06.2021	Addition of new Cancellation Reason Codes Addition of the MIC code Addition of the BSSP field Addition of Transaction Code “PAIR” in “OCSD Settlement Instruction” Message Subscription Addition of field Participant SAC Type Addition of Penalties in Settlement Instruction Addition of Penalty Report chapter Addition of new message subscription rule types Daily, Modified and Monthly Penalty Report
3.7/07.11.2022	Update Login Portal Screen Addition of Efficiency Rate Reports Update Physical Instructions Update Message Subscription Update Four Eyes Principle Update User Roles

The screenshots and the description of functions represent the system state at the time of completion of this manual. As the system will be continue to be amended on an ongoing basis, the appearance of the user interface as well as the design of the available functionalities may diverge to some extent from the examples and procedures described here.

2. About the Manual

The manual describes the Settlement Client of OeKB CSD for use in the daily work processes. You will learn how to work with the user interface, which inputs and activities in the Settlement Client produce the desired results, and which general or special functions are available to effectively process your settlement instructions.

2.1 Structure

The following overview outlines the individual chapters of Annex 17 User Manual Settlement Client and their contents. The third column of the table describes the main benefit from the chapter for the intended user group in the last column.

	Chapter	Content	User Benefit	User Group
Introduction	About the Manual	Presentation of Annex 17 Settlement Client User Manual	Users will learn how to get started with the Settlement Client and become familiar with Annex 17 Settlement Client User Manual.	Users working with the Settlement Client for the first time.
	The Settlement Client	Structure of the Settlement Client user interface and overview of the user interface's elements	Users will find support when learning how to use the Settlement Client and find out about the structure of the Settlement Client's user interface and all elements used on the interface.	Users working with the Settlement Client for the first time. Users looking for an overview of GUI elements and how to use them.
Settlement	Settlement Instructions	Create, search, modify and cancel settlement instructions	Users will learn how to create new instructions, search for instructions available in the system, and edit existing instructions.	Users whose task it is to work with instructions, create new instructions or handle existing instructions.
	Intra-Position Movements	Flag securities positions by using intra-position movements and search existing intra-position movements	Users will learn how to block, reserve or earmark positions on a securities account and how to search for intra-position movements already present in the system.	Users whose task it is to block, reserve or earmark specific positions on a securities account or who need to search for intra-position movements to be used in instructions.

	Chapter	Content	User Benefit	User Group
	Physical Instructions	Search Physical Instructions	Users can search for physical instructions.	Users whose task it is to search for physical instructions in the Settlement Client.
	Allegements	Processing of allegement notifications for instructions	Users can search for allegements sent by counterparties and create their corresponding own instructions.	Users whose task it is to search for allegements or to create instructions for received allegements.
Holdings	Securities Positions	Overview of securities positions on a securities account or in a specific ISIN	Users see the securities positions on a securities account or in an ISIN.	Users who want to see the securities positions on a specific securities account or in a specific ISIN.
	Securities Posting Items	Overview of individual securities bookings	Users see the securities posting items for a selected period, either by securities account or by ISIN.	Users who want to see individual bookings in a specific ISIN or on a specific account.
	Cash Preview	Overview of the balances per cash account over a selected period	Users see the development of balances for individual cash accounts to plan ahead.	Users who want to see the positions on specific cash accounts.
	Statement of Holdings	Statement of holdings for a specific reference date	Users see the positions held in individual securities accounts as per a selected date as a PDF-format statement of holdings.	Users who want to see the securities positions.
Billing	Customer Invoices	Overview of the fees and current invoice data charged by the OeKB CSD GmbH	Users will find detailed information about fees invoiced by the OeKB CSD GmbH and receive copies of the digitally signed PDF invoices.	Users who want to see details about fees to be paid by the customer.
Administration	Message Subscription	Definition of rules for receiving messages	Users can define which messages they want to receive, either by instructing party or by destination BIC.	User administrators
	Four Eyes Principle	Specification of actions requiring a dual control authorisation according to the four eyes principle	Users can select the actions that will have to be authorised by a second user.	User administrators

	Chapter	Content	User Benefit	User Group
Glossary	Glossary	Overview of the terms used	Users can look up the most important terms used in the Settlement Client user interface and in Annex 17 Settlement Client User Manual with a brief definition.	All users

2.2 Visual Cues

Annex 17 Settlement Client User Manual elements to emphasise information which is of particular importance to the user.

2.2.1 Tip Box

TIP	Tip boxes contain instructions on how to work more easily with the Settlement Client or point out anything that you must take care of when using a certain function.

2.2.2 Information Box

INFO	Information boxes contain explanations on how the Settlement Client works or background information.

2.2.3 Notes Box

NOTE	Notes boxes contain warnings about possible errors, indicate mandatory entries, or describe system limitations of the Settlement Client.

2.2.4 Step-by-Step Descriptions

Step-by-step descriptions guide you through the specified procedure in the Settlement Client and lead to the desired result in individual steps. The steps are listed individually in the form of a numbered list:

How to proceed to get this result

Step by Step

1. Perform step 1.
2. You have the following options:
   a. For option a, proceed like this.
   b. For option b, proceed like this.
3. Perform step 3.

2.2.5 Typographic Conventions

The following table indicates how different types of information are displayed in the user documentation. These conventions facilitate reading and highlight information of particular importance.

Type of Information	Representation
Menu paths	In italics starting at the main menu entry and using the symbol > between all menu items. Example: *Settlement > Create Settlement Instruction*.
Menu items	In italics; Example: the *Settlement* menu.
GUI elements	In boldface; Example: the **Save** button, the **Create Settlement Instruction** screen.
Cross references	Hyperlinks; Example: see chapter Settlement Instructions. When you are using the PDF version of Annex 17 Settlement Client User Manual, the links also function as hyperlinks.

3. The Settlement Client

The Settlement Client provides access to the Settlement Services of the OeKB CSD. The Settlement Client is used to enter and manage securities instructions. Additional functions are the display of securities positions and cash preview (holdings and preview), billing, reporting and administration.

3.1 Login in the Login Portal of the OeKB Group

You log on to the OeKB CSD Services via the Web link https://login.oekb.at/csd.

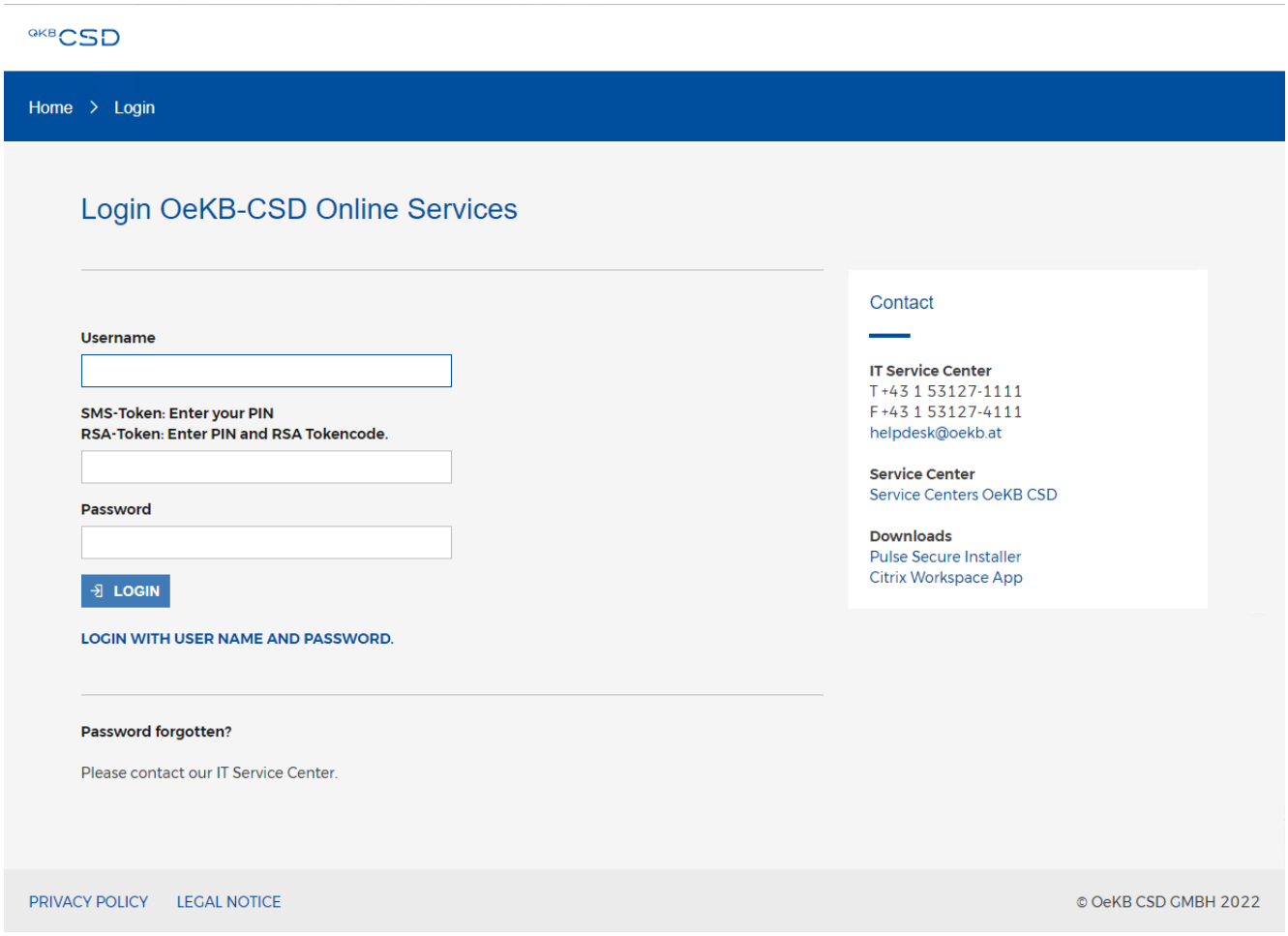


Figure 1: Login Portal for the Online Services of the OeKB Group

After login the Settlement Client is listed among the services activated for you. Click on the link to launch the Settlement Client. The Settlement Client will open in a separate window of your web browser.

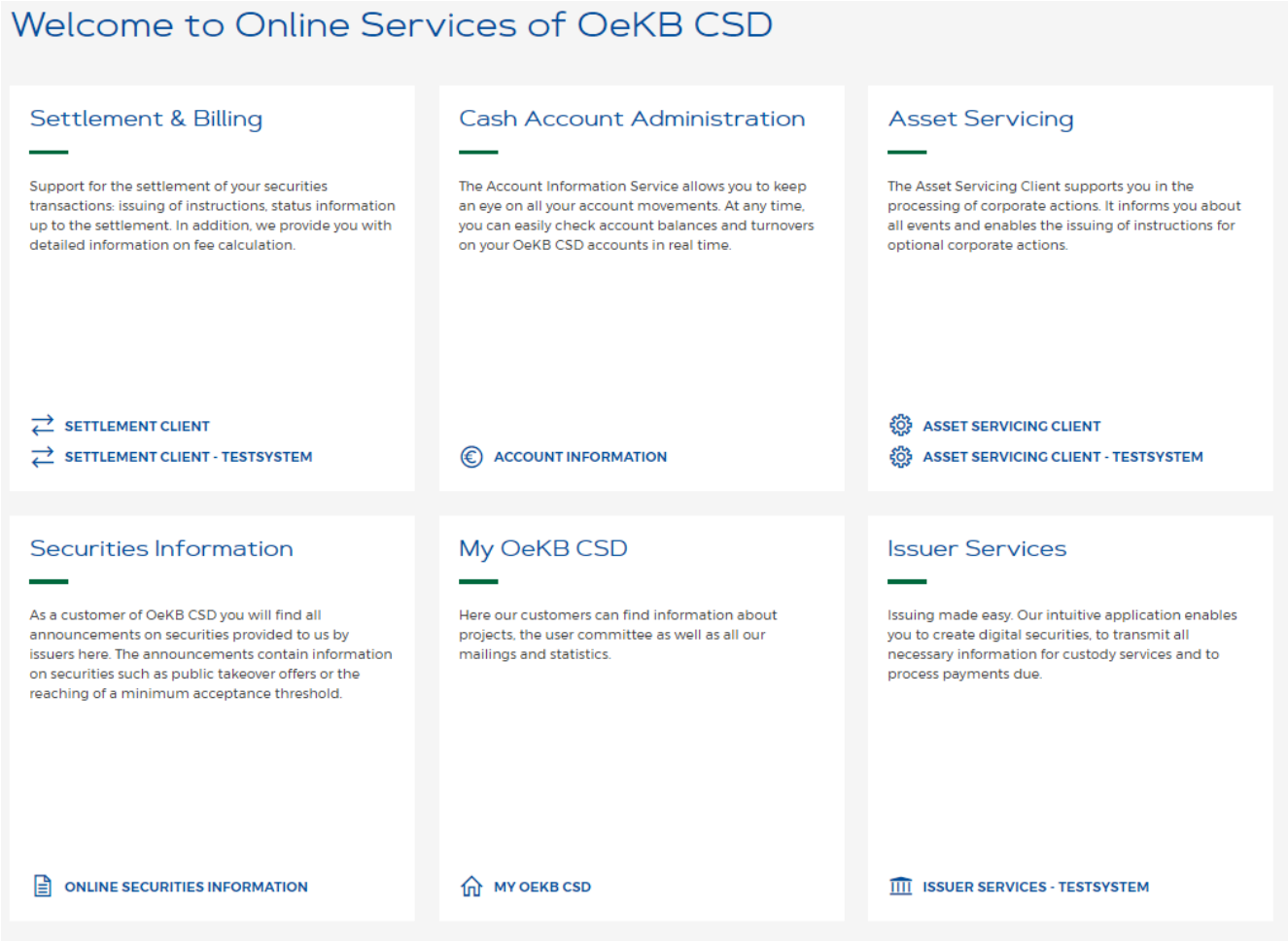


Figure 2: List of Services available in the Login Portal of the OeKB Group

INFO	The Settlement Client is optimised for Internet Explorer and Mozilla Firefox in their latest versions. It is not recommended to use other browsers.

3.2 Logout (End User Session)

To log out from the Settlement Client simply close the browser window. This logs off your user and terminates your user session.

3.3 Fields, Buttons and Icons

INFO	Mandatory fields are marked with the * character in the Settlement Client. They must be filled with data before the record can be saved. All fields in the following table may be mandatory fields.

TIP	For details on the matching process, such as e.g. mandatory, additional and optional matching fields or matching tolerances, please refer to *Annex 8 Guideline Settlement and Securities Account Administration*.

Element	Usage	Function
Fields		
Input field, active field	All screens	Input fields are active fields which you can fill with data. Depending on the field type, they allow the input of text, numbers, dates or times
Display field, disabled field	All screens	Display fields are disabled for input. They are displayed with a grey background. You cannot enter data into a display field.
Numeric field 0	All screens	Only the following characters are allowed in number fields: — The figures 0 to 9 — Dots as thousands separators — One comma per field as decimal comma **NOTE** When entering numbers, please note that the number format used in the Settlement Client is the German notation of numbers. i.e. a full stop (.) is used as the thousands separator and a comma (,) is used as the decimal point. You have the option to enter amounts unformatted without a thousands separator, or formatted with a thousands separator. The system validates the field entries (e.g. when you proceed to the next step in a **Create** screen) and adds any thousands separators. Depending on the field the figure is either displayed with or without decimal places.
ISIN field AT0000720008	All screens	In ISIN fields, you can enter the 12-digit International Securities Identification Number: e.g. AT0000720008 There is an auto-complete function available in the **ISIN** field: You need only enter the country code; the system will then suggest a list of available ISIN.
Date field 08.09.2014	All screens	Only the following characters are allowed in date fields: — The figures 0 to 9 — Dots as separators between day, month, and year The entry is restricted to 8 numbers and 2 dot characters. You may enter single-digit days and months without the leading zero and only the last two digits of the year. A dot is required as a separator between day, month and year. The date is always displayed in the format DD.MM.YYYY.
Dropdown field please select ...	All screens	Dropdown fields contain predefined entries from which you can select one option. Click on the arrow button on the right side of the field or click into the field to display the options. You cannot enter data into a dropdown field.

Element	Usage	Function
Buttons		
Check box 	Holdings and Administration screens	Use a check box to activate or deactivate a function. Check boxes do not allow the entry of any characters. The text adjacent to the check box indicates the function that can be selected with the corresponding check box. A tick in a check box indicates that a function is activated.
abort	Edit screens and details views	Clicking on this button discards changes which have been rejected during 4-eyes-principle authorisation by another user or by T2S and resets the instruction or the intra-position movement to the status before the changes were made. INFO This button is also displayed in the **Edit** screens and detail views of newly created but rejected instructions and intra-position movements..
add	Create, Edit and Review screens, hidden section, detail views	Clicking on this button opens a pop-up dialog where you may enter additional data, e.g. linkages for an instruction.
	Template Pop-up Dialog	Clicking on this button adds a new search template.
add >	Masks/mask sections which allow multiple selections	Clicking on this button moves the selected entry from the left to the right field. The entries in the right field will then be used for performing the corresponding action.
approve	Review masks	Clicking on this button releases the entry. It is submitted to the system for processing.
back	Create Settlement Instruction screen (also in its representation as Edit screen and detail view)	Clicking on this button takes you back to the previous, completed, step of the screen. See also , below.

Element	Usage	Function
Bulk Physical Deposit	Search Physical Instructions screen	Clicking on this button lists all certificates entered on the same day within a bulk deposit of physical securities and allows printing of the respective Bulk Physical Deposit Advice Note. NOTE Please note that certain search criteria must be entered to search for Bulk Physical Deposits.
cancel	Pop-up dialogs, Message Subscription Rule screen	Clicking on this button terminates your entering data in the pop-up dialog. The dialog is closed without confirming or saving any data entered.
cancel instruction	Detail views	Clicking on this button cancels the currently displayed record. A pop-up dialog appears, where it is possible to confirm cancellation.
close	Pop-up dialogs without input options	Clicking on this button closes the pop-up dialog.
create copy	Detail views	Clicking on this button creates a copy of the currently displayed record. The **Create** screen appears, where you can then edit the entries to create a new record.
delete	Detail views	Clicking on this button deletes the record displayed in the detail view currently opened. This button is only available in detail views if your user permissions allow you to modify records.
edit	Detail views	Clicking on this button opens the **Edit** screen, where you can modify the record. This button is only available in detail views if your user permissions allow you to modify records.
	Template Pop-up Dialog	Clicking on this button activates the edit mode for search templates. This allows you to modify the names of existing templates or to delete entire search templates.
Excel Download	search result lists	Clicking on this button downloads the data in Microsoft Excel format. You can choose the download location in an intermediate step.
filter	Safekeeping Fee Holdings screen	Clicking on this button restricts the list of search results according to the criteria defined in the fields directly above.
hide update	Review screens, Edit screens and details views	Clicking onthis button displays the original record as it was before the modification (to be released). The show update button is displayed instead (see below).

Element	Usage	Function
next	Create Settlement Instruction screen (also in its representation as Edit screen and detail view)	Clicking on this button takes you to the next step of the screen. See also , below.
no	Pop-up dialogs for confirmation of deletions	Clicking on this button closes the pop-up dialog without confirming or saving the modified data.
ok	Settlement Instruction Summary, pop-up dialogs, Message Subscription Rule screen	Clicking on this button confirms your entries and closes the current screen.
PDF Download	Detail views	Clicking on this button downloads the data in PDF format. You can choose the download location in an intermediate step.
refresh	Settlement Instruction Summary, Review screens, Edit screens and details views	Clicking on this button refreshes the screen and new real-time data are displayed (e. g. MITI, Processing Status, Reason Code, etc.).
reject	Review masks	Clicking on this button prevents the record to be released for settlement.
< remove	Masks/mask sections which allow multiple selections	Clicking on this button moves the selected entry from the right to the left field. Only entries in the right field will be used for performing the corresponding action.
reset	Edit screens	Clicking on this button resets the content of all modified fields to its original values.
save	Create, Edit and Review screens	Clicking on this button saves your entries.
search	Search screens	Clicking on this button launches the search using the search criteria you have entered.

Element	Usage	Function
show update	Review screens, Edit screens and details views	Clicking on this button shows the updates (to be released), which have been performed on this record. The hide update button is displayed instead (see above).
Templates	Search screens	Clicking on this button opens a pop-up dialog, where you may enter, save or modify search templates.
yes	Pop-up dialogs for confirmation of deletions	Clicking on this button closes the pop-up dialog and confirms and saves the data modification.

Icons

	All screens	Clicking on this icon opens the calendar. In the calendar you can select a date, which will be taken over automatically into the corresponding field of the input screen.
	Create Settlement Instruction screen (also in its representation as Edit screen and detail view)	This icon in the header and footer of **Create** and **Edit** screens indicates the current step to enter data.
	Create Settlement Instruction screen (also in its representation as Edit screen and detail view)	This icon in the header and footer of **Create** and **Edit** screens indicates a completed step where all mandatory data have been entered and validated to be submitted to the system.
	Create Settlement Instruction screen (also in its representation as Edit screen and detail view)	This icon in the header and footer of **Create** and **Edit** screens indicates a step where no data have yet been entered.

Element	Usage	Function
	Create, Edit and Review screens, detail views	Hover the mouse pointer over this icon to have additional information displayed. **Securities Account** — Account Category (shows existing constraints) — Default Account (yes/no) — Partial Settlement (yes/no) — Auto Receive (yes/no) **ISIN** — Name (designation of the financial instrument) — Minimum Denomination (of the financial instrument) — Minimum multiple Quantity (of the financial instrument) — Depository (current safekeeping location of the financial instrument) — Active (yes/no)
	Create Settlement Instruction screen, step 2, Settlement Parties	This icon indicates that you have the option to enter additional data, e.g. more counterparties. Clicking on this icon opens a hidden screen section, where you can enter additional data in the new fields. You can close these hidden screen sections by clicking on the X icon on the upper right. This will delete all additional data entered in the hidden section.
	Message Subscription Rule screen	This icon indicates that you can specify which reason codes must be given in the selected Transaction Status Advice messages you like to receive. Clicking on this icon opens a pop-up dialog where you can activate or deactivate the reason codes accordingly.
	All screens	This icon indicates a drop-down screen section, where you can enter more information. Clicking on this icon opens the drop-down screen section. The icon is displayed instead (see below).
	All screens	This icon indicates a dropped down screen section, where you can enter more information. Clicking on this icon hides the screen section. Only the icon (see above) and the name of the screen section remain visible.
	Template Pop-up Dialog	Clicking on this icon saves the search criteria currently selected in the search mask to a search template.
	Customer Invoice Details screen	Clicking on this icon downloads the invoice copy in PDF format.

Element	Usage	Function
	All screens	Clicking on this icon closes a previously added hidden screen section. All data entered will be deleted and the screen section will no longer be visible.
	Lists	Clicking on this icon deletes the row from the list and the data displayed in this row.
	Template Pop-up Dialog	Clicking on this icon deletes a search template.
	All screens	Clicking on this icon reduces the size of the Settlement Client on your computer screen.
	All screens	Clicking on this icon sets the size of the Settlement Client on your computer screen to its default size.
	All screens	Clicking on this icon increases the size of the Settlement Client on your computer screen.
	search result lists	This icon indicates that no sort order has been specified for this list column. Clicking on this icon changes the sort order to (ascending).
	search result lists	This icon indicates that the data in this column are sorted ascending (A-Z, 0-9). Clicking on this icon changes the sort order to (descending). To remove a column's sort order, set the sort order for a different column.
	search result lists	This icon indicates that the data in this column are sorted descending (Z-A, 9-0). Clicking on this icon changes the sort order to (ascending). To remove a column's sort order, set the sort order for a different column.
	search result lists	Clicking on this icon opens the detail view of the record in this row.
	search result lists	Clicking on this icon opens the **Review** screen of the record in this row. In the **Review** screen, you can approve or reject the task. The system only displays the **Review** icon if your user permissions allow you to release data.
	search result lists	Clicking on this icon opens the **Edit** screen of the record in this row. The system only displays the **Edit** icon if your user permissions allow you to modify data.
	Entry page - Securities Accounts list	Clicking on this icon shows the processing options available for the securities account in the respective row.
	Search screens	Clicking on this icon opens an additional screen section with check boxes, e.g. to select message types.

Element	Usage	Function
	Search result lists (top left of list)	Clicking on this icon extends the search result list to show all columns available for the current type of record.
	Securities Positions search result list (rightmost column)	Clicking on this icon displays the **Securities Posting Items** screen with the entries related to this position already filled in. The search result list will show the posting items associated with this position.
	Allegements search result list	Clicking on this icon opens the **Create Settlement Instruction** screen, where a counter instruction is automatically generated for the selected allegement.

Function Links

	Edit screens and details views	This icon at the bottom of screens indicates a link which you can use to return to the previously displayed search result list.
	Search result lists (top right of list)	This icon at the top right of search result lists indicates a link which you can use to return to the previous page of the search result list.
	Search result lists (top right of list)	This icon at the top right of search result lists indicates a link which you can use to return to the next page of the search result list.
	All screens	This icon at the bottom of pages indicates a link which takes you back to the top of the page.
	Bulk Physical Deposit list	You can use this icon at the bottom of the list to activate all certificates listed so they are printed on the advice note.
	Bulk Physical Deposit list	You can use this icon at the bottom of the list to deactivate the selection of all certificates listed.

3.4 The Entry Page (Home)

The entry page of the Settlement Client shows the menu bar of the Settlement Client with all available functions, the Securities Accounts list including the actions available for the securities account, the Task Box showing instructions waiting for approval, open tasks and recent instruction alerts, and the telephone and fax numbers, as well as the email address where you can reach our service centre in charge.

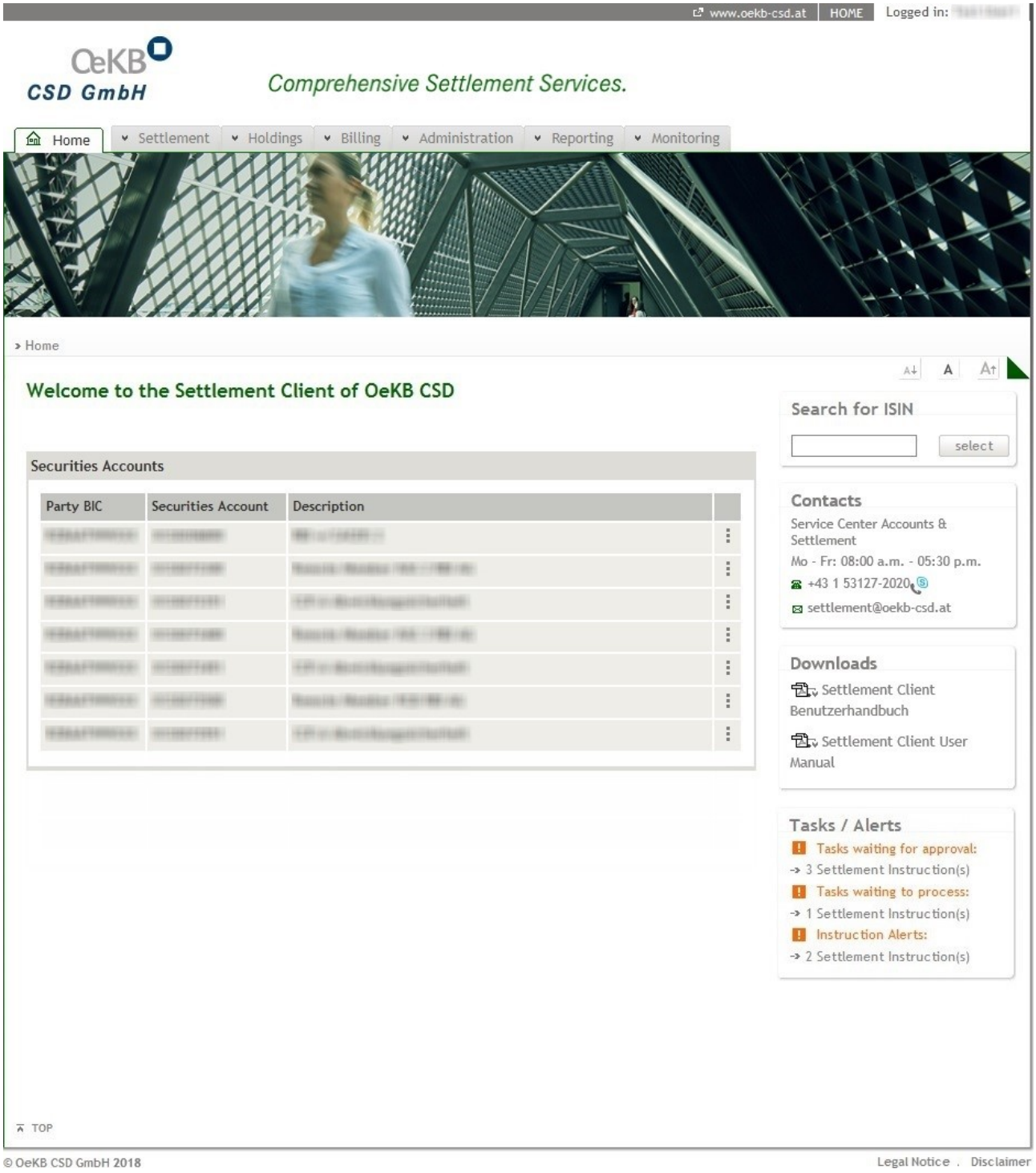


Figure 3: Entry page (Home) of the Settlement Client

3.4.1 The Menu Bar

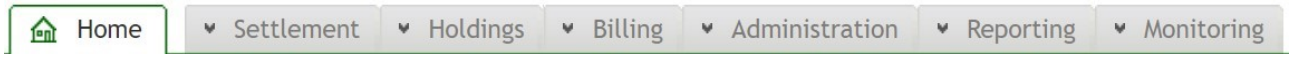


Figure 4: Menu bar of the Setllement Client

The menu bar shows all functions available to you when you are logged in as a user. Depending on your user permissions, some of the menu items shown below may be missing in your version of the client.

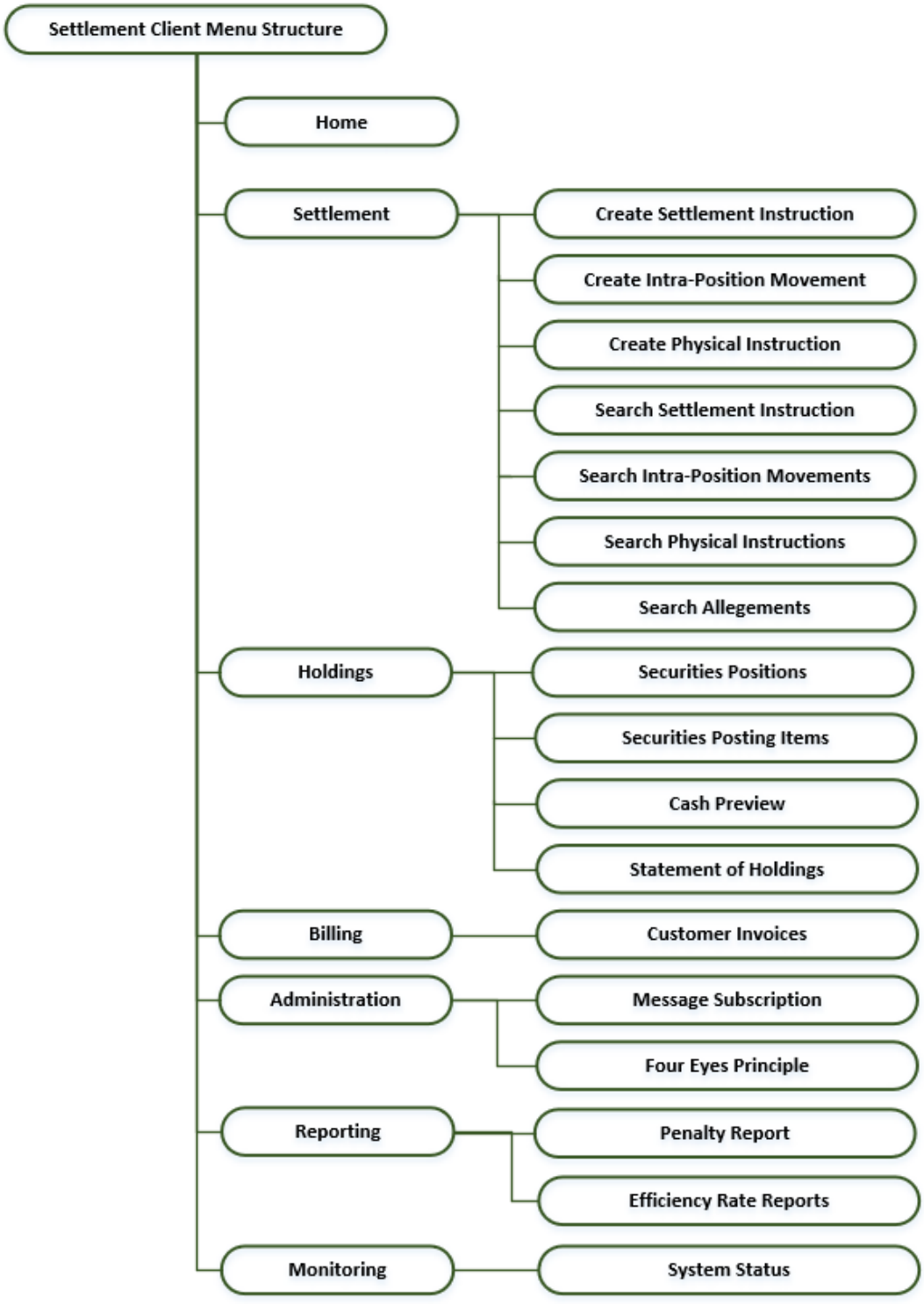


Figure 5: Menu structure of the Settlement Client

3.4.2 Securities Accounts List

The Securities Accounts list shows all available securities accounts and their securities account numbers and names. A pop-up menu lists all actions available for the securities account in the respective row.

Figure 6: Securities Accounts list (Home - Securities Accounts)

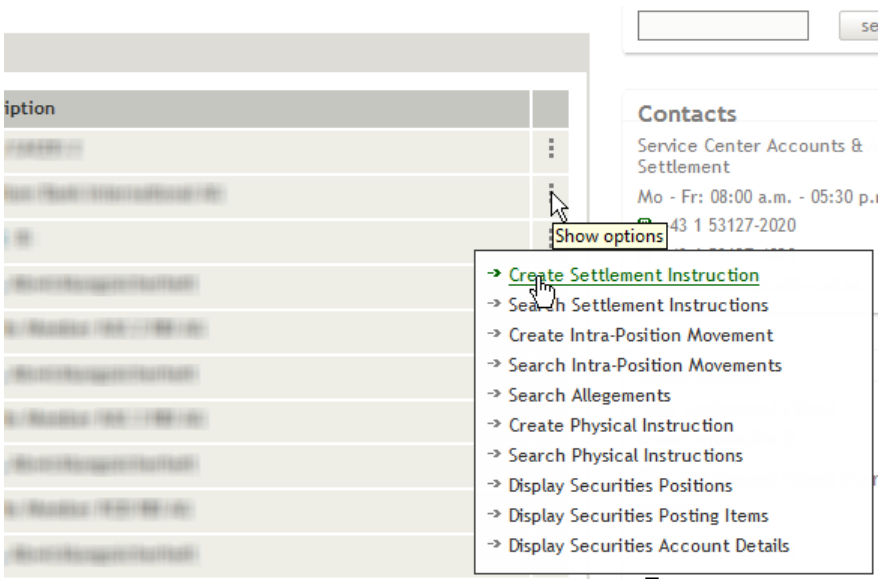


Figure 7: Securities Accounts list processing options (Home - Securities Accounts)

3.4.2.1 Icons Used in the Securities Accounts List

Icon	Function
⋮	Clicking on this icon shows the processing options available for the securities account in the respective row.

3.4.2.2 Actions in the Securities Accounts List

The Securities Accounts list shows all functions available to you for each of the securities accounts listed in the Securities Accounts list. Depending on your user permissions, some of the actions shown below may be missing in your version of the client.

— Create Settlement Instruction, see page 54

— Search Settlement Instructions, see page 102

— Create Intra-Position Movement, see page 130

— Search Intra-Position Movements, see page 146

— Search Allegements, see page 175

— Search Physical Instructions, see page 170

— Display Securities Positions, see page 186

— Display Securities Posting Items, see page 190

— Display Securities Account Details, see below (Securities Account Details)

3.4.2.3 Securities AccountDetails

You can use the icon ⋮ in the line of each securities account listed in the Securities Accounts overview of the entry page to open the detail view of the respective securities account, which includes the display of all cash accounts defined for the securities account.

TIP	The Securities Account Details display the securities account type, any blockings active for the securities account and whether it is the default securities account for the settlement of securities transactions. In addition, it displays all cash accounts which have been defined for the securities account.

How to open the Securities Account Details

Step by Step

1 In the Securities Accounts overview of the entry page **Home**, click on the ⋮ icon.
A pop-up showing the available processing options appears.

2 Select the option **Display Securities Account Details**.
The **Securities Account Details** screen appears.

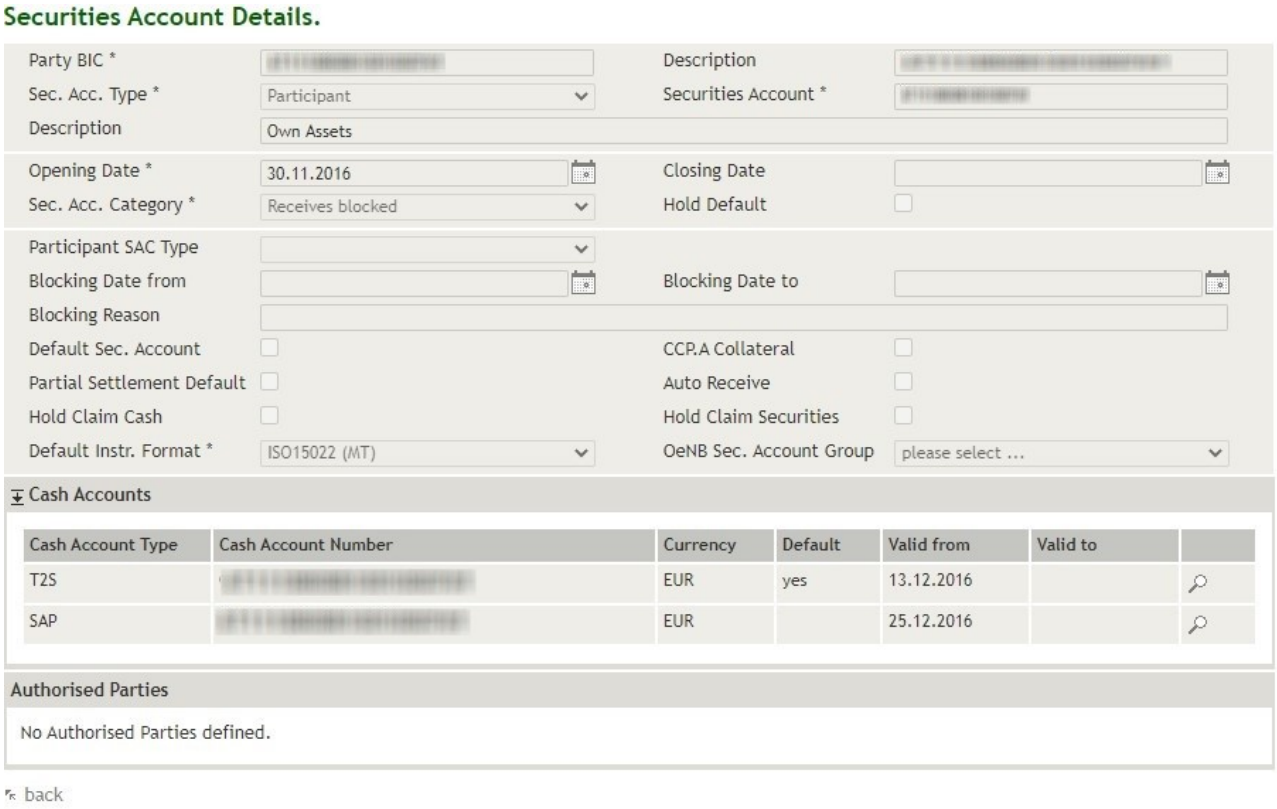


Figure 8: Securities Account Details (securities account detail view)

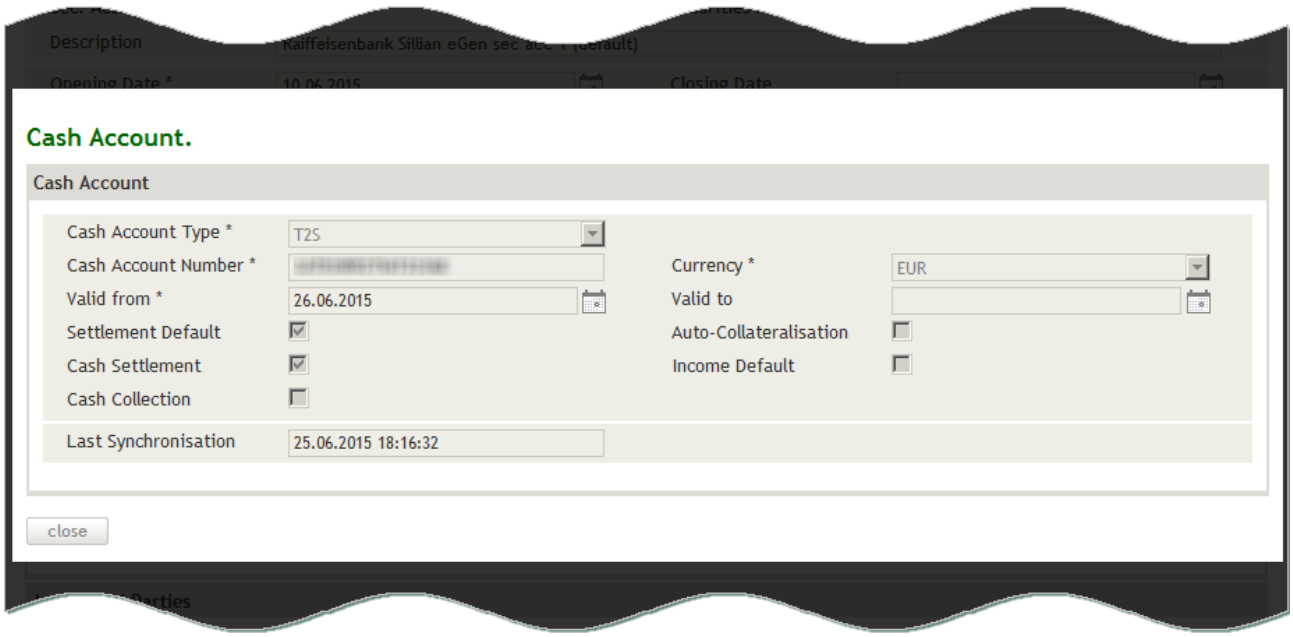


Figure 9: Cash Account (pop - up dialog, securities account detail view)

3.4.2.4 Field Descriptions (Securities Account Details)

Field	Content (by system)
Party BIC	BIC of the securities account holder
[Party BIC] **Description**	The designation of the securities account holder
Sec. Acc. Type	Possible securities account types: **Participant** - securities account of a participant of OeKB CSD
Securities Account	The complete securities account number, starting with OCSD
[Securities Account] **Description**	Designation of the securities account INFO This name is automatically displayed in the corresponding **Description** field in the screens of the Settlement Clients after this securities account's number has been selected in the associated field **Securities Account**.
Opening Date	The day starting at which the securities account will be/has become active
Closing Date	The day starting at which the securities account will be/has become inactive
Sec. Acc. Category	Possible securities account categories: — **No constraints** - securities account without constraints — **Technically blocked** - the securities account is technically blocked and units held on this securities account cannot be accessed, e. g. during certain corporate actions. — **Receives blocked** - the securities account is blocked for receipt instructions — **Deliveries blocked** - the securities account is blocked for delivery instructions — **Deliveries and Receives blocked** - the securities account is blocked for delivery and receipt instructions — **Blocked Special Holding Type** - the securities account is blocked, because it is used for holding positions in Individual Custody
Hold Default	If the check box is ticked, the **Party Hold Status** will be automatically set to **Hold** if settlement instructions are created for this securities account.
Participant SAC Type	Possible participant SAC types: — **Empty field (default)** — **Client Individual** — **Client Omnibus** — **Own**
Blocking Date from	The day starting at which a block will be/has become active for the securities account
Blocking Date to	The last day a block will be/has been active for the securities account

Field	Content (by system)
Blocking Reason	Reason of the block valid between the dates specified in the **Blocking Date** fields
Default Sec. Account	If the check box is ticked, the securities account is used as the default securities account. As soon as e.g. an instruction is created the system automatically displays this securities account number in the **Securities Account** field of the screen
Partial Settlement Default	If the check box is ticked, partial settlement is allowed for all instructions on this securities account. The **Partial Settlement Ind.** field will automatically display the option **Partial allowed** if an instruction is created for this securities account.
Auto Receive	If the check box is ticket, a receive instruction will be automatically generated for received DPF allegements, unless the instruction involves an external depository.
Hold Claim Cash	If the check box is ticked, claim instructions related to the cash payment will automatically receive status **Hold**. They can be released directly on the Settlement Client or via SWIFT as soon as the dividend payment has been effected. For details see *Annex 8 Guideline Settlement and Securities Account Administration*.
Hold Claim Securities	If the check box is ticked, claim instructions related to certificates will automatically receive status **Hold**. They can be released directly on the Settlement Client or via SWIFT as soon as the dividend payment has been effected. For details see *Annex 8 Guideline Settlement and Securities Account Administration*.
Default Instr. Format	Possible formats: ▪ ISO 15022 (MT) ▪ ISO 20022 (MX)
CCP.A Collateral	If the check box is ticked, positions on the securities account will be used as collateral against the CCP.A.

Cash Accounts

see Field Descriptions Cash Accounts

Authorised Parties

These fields are only displayed if other parties have been granted access to the selected securities account.

3.4.2.5 Field Descriptions (Cash Accounts Pop-Up Dialog, Securities Account Details)

Field	Content (by system)
Cash Account Type	Possible cash account types: — **T2S** - for Euro settlement — **SAP** - for multicurrency settlement

Field	Content (by system)
Cash Account Number	Number of the cash account: — IBAN - for SAP accounts — DCA account number - for T2S accounts
Currency	Possible entries: **CHF**, **EUR**, **GBP**, **USD**
Valid from	The day starting at which the cash account will be/has become active
Valid to	The day starting at which the cash account will be/has become inactive
Settlement Default	If the check box is ticked, the cash account is used as the default cash account. As soon as e.g. an instruction is created the system automatically displays this cash account number in the **Cash Account** field of the screen if the corresponding securities account has been seleted.
Auto-Collateralisation	If the check box is ticked, the corresponding T2S account will be used for auto-collateralisation.
Cash Settlement	If the check box is ticked, this cash account will be used for payments/cash settlement.
Income Default	If the check box is ticked, this cash account will be used for income payments.
Cash Collection	If the check box is ticked, this cash account will be used for income collection in cash.

3.4.3 Search for ISIN

On the top right of the entry page **Home** a quick ISIN search is available. The result of this search is a display of the securities data stored in the system for the corresponding ISIN and of any restrictions currently active. You will also see details about the minimum denomination and the minimum multiple quantity of the financial instrument.

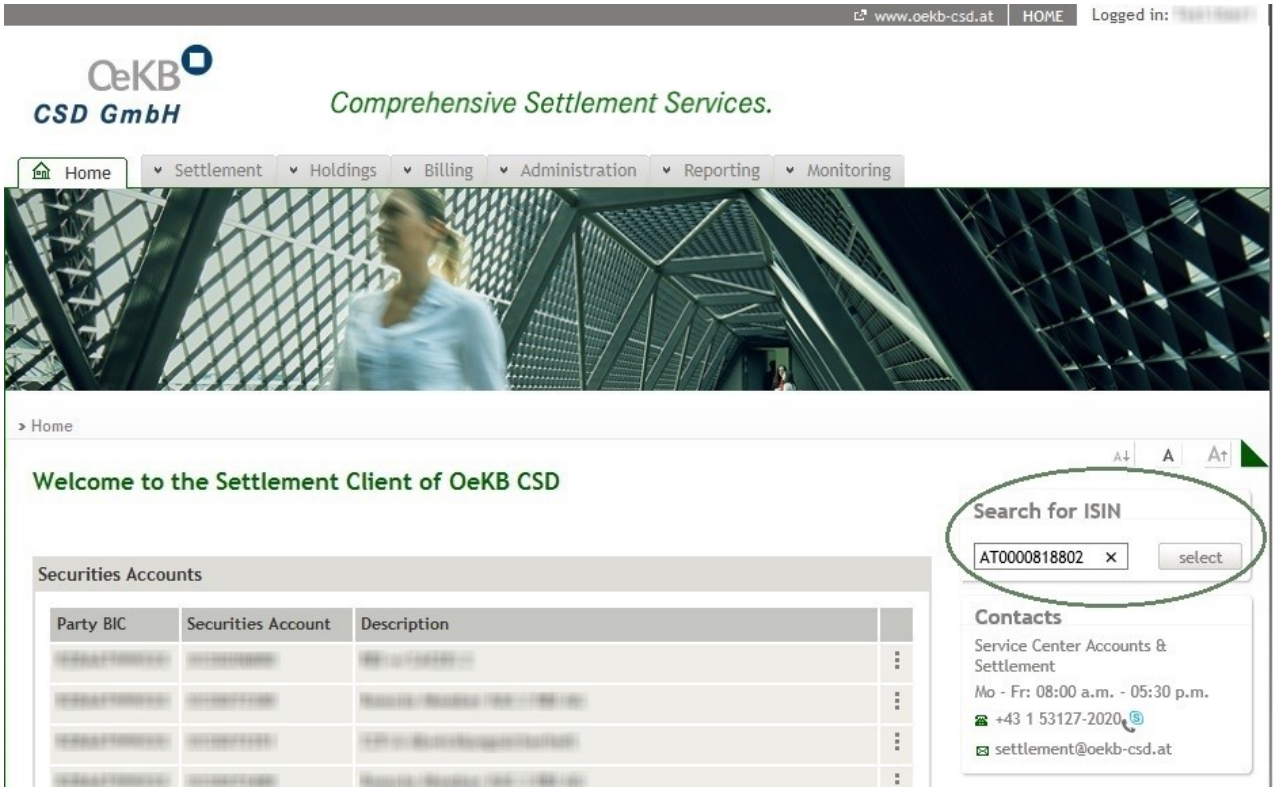


Figure 10: Search for ISIN (Home)

ISIN	AT0000743059	CFI	ESVUFB
Name	OMV AGAKTIEN OHNE NENNWERT		
FISN	OMV/SHS	Country	AT
Settlement Type	UNIT		
Minimum Denomination	1	Minimum Multiple Quantity	1
Issue Date	16.01.2015	Maturity Date	
Currency	EUR	EFIC	1000
Last Sync Time	29.12.2020 23:47:08	Deletion Time	
Home Stockexchange	944 - Wien - Amtlicher Handel XETRA	Rate Stockexchange	255 - Wien - Geregelter Freiverkehr -)
Exclude from Rate Alert	☐	Default Rate Currency	please select ...
Depository *	OeKB CSD GmbH		
Depository valid from *	19.01.2015	Depository valid to	
Custody Type *	GS	SME *	☑
SDR from	09.12.2019	SDR to	
Liquidity Indicator	LIQUID		
SDR Rate	33,12	SDR Rate Date	29.12.2020
SDR Rate Currency	EUR		

Figure 11: Search for ISIN - Securities Details

3.4.3.1 Field Descriptions for the Settlement Discipline Regime (SDR) fields

Field	Description
SDR from	Shows the the date from which the security is subject to cash penalties.
SDR to	Shows the to date until which the security is subject to cash penalties.
Liquidity Indicator	Binary classification of securities which indicates whether the underlying instrument is liquid or illiquid. Only provided for shares. Possible values: — Liquid — Illiquid
SDR Rate	Shows the rate of the securities which are in scope of SDR.
SDR Rate Date	Validity date of the rate.
SDR Rate Currency	Currency Code of the rate.

3.4.4 The Task Box

On the entry page, the task box shows tasks which need to be authorised by two persons according to the four eyes principle, open tasks, and instruction alerts for instructions with status Pending or Failing.

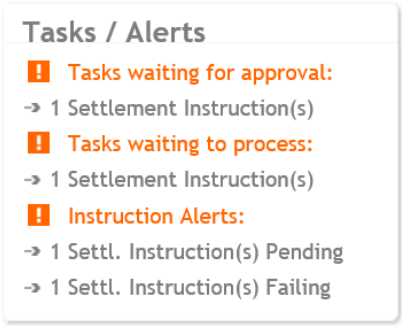


Figure 12: task box

3.4.4.1 Working With the Task Box

The task box shows the following entries:

— Tasks waiting for approval (tasks waiting for release by a second set of eyes)

— Tasks waiting to process (open tasks)

— Instruction Alerts (alerts for instructions with status Hold, Pending or Failing)

The task summaries are active links, which will open the respective task lists if you click on them. The task lists are actually search results lists where the corresponding search criteria have been automatically applied.

— Tasks waiting for approval - search criterion **Task Type** "User Approval Task"

— Tasks waiting to process - search criterion **Task Type** "User Processing Task"

— Instruction Alerts - search criteria **Instruction Status** "Pending" or “Failing”, **Pending Reason Codes** "CLAC", "CMON", "LACK", "MONY"

TIP	If necessary, add more search criteria in the search screen above the search result list to limit the number of the results displayed in the task list. For more information about the search functionality and the search result lists, please refer to chapter Search Functionality and Search Result Lists.

3.4.4.2 Authorisation of Tasks According to the 4-Eyes Principle (Tasks waiting for approval)

You can use the task box links below **Tasks waiting for approval** to open the corresponding search result list where you can approve or reject tasks if you have the user permission to authorise instructions or intra-position movements.

INFO	In the **Tasks waiting for approval** section the task box shows the number of previously entered records which require approval according to the 4-eyes principle, i.e. records with status **awaiting approval**.
INFO	In this view, the search screen with the input fields for search criteria is shown minimised and the first page of the search result list is immediately displayed in full.

TIP	The functionality to authorise tasks is only available for tasks you have neither entered nor edited.

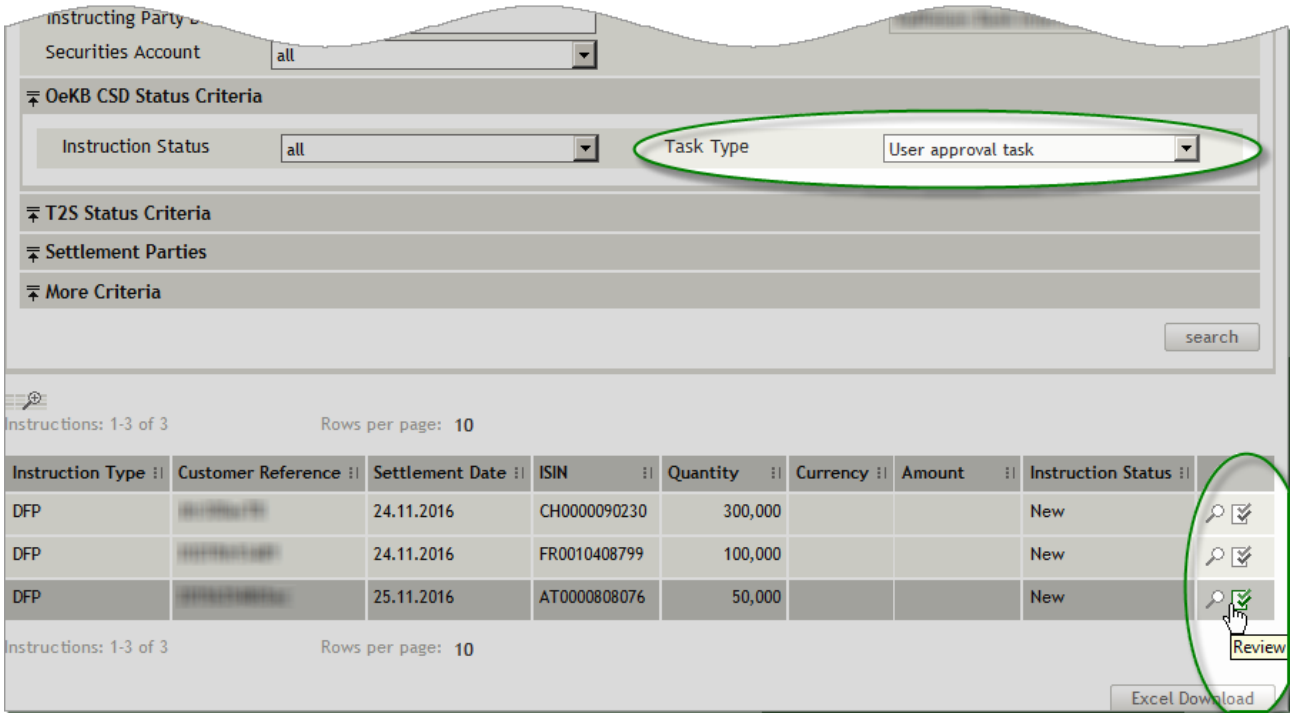


Figure 13: Authorization of Instructions According to the 4 Eyes Principle (example: settlement instructions, DPF)

How to Approve or Reject Tasks in the Search Result List

Step by Step

1. In the row of the record you want to release, click on the **Review** icon to open the **Review** screen.
2. You have the following options:
   a. To authorise the record, click **approve**.
   The record has been released and will be submitted for further processing.
   The task is no longer displayed in the task box.
   b. To decline authorisation of the record, click **reject**.
   The record will be added to the entries **Tasks waiting to process** in the Taskbox and will appear in the search result list showing the status **approval rejected**.
3. Click **ok** to return to the search result list.

3.4.4.3 Processing of Open Tasks (Tasks waiting to process)

You can use the task box links below **Tasks waiting to process** to open the corresponding search result list showing instructions or intra-position movements which have not been processes completely. There are several reasons why instructions may be open:

— The record has been rejected during authorisation according to the 4-eyes principle

— The record has been rejected by the system or approval has been rejected

INFO In this view, the search screen with the input fields for search criteria is shown minimised and the first page of the search result list is immediately displayed in full.

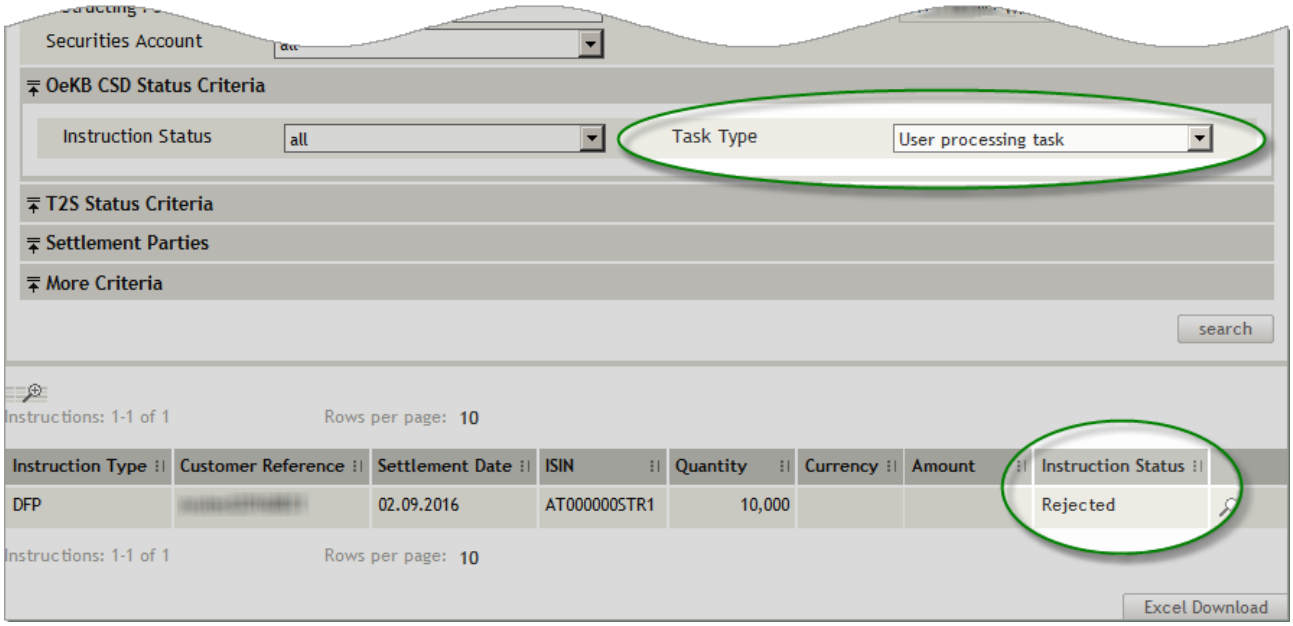


Figure 14: Processing of Open Tasks (example: settlement instruction, DFP)

Status	Description
Approval rejected	The release of the instruction or intra-position movement has been rejected during authorisation according to the 4-eyes principle.
Rejected	The instruction or intra-position movement has been rejected by the system.
Failed	Processing of the instruction or intra-position movement in the system has not been successful.

How to Process Open Tasks in the Search Result List

Step by Step

1 You have the following options:

a In the row of the record you want to modify, click on the **Details** icon to open the detail view.
You have the following options:

NOTE Not all buttons listed below may be available in all detail views.

aa Click on **hide update** to display the record without the modifications made. The record is displayed as it was before the modifications.

ab Click on **refresh** to display new real-time data received in the system.

ac Click on **abort** to discard changes which have been rejected during 4-eyes-principle authorisation by another user or by T2S and to reset the instruction or the intra-position movement to the status before the changes were made.

ad Click **edit** to open the **Edit** screen of the record. (see b1 ff)

INFO The system only displays the **edit** button if your user permissions allow you to modify data.

ae Click on **PDF Download** to display and maybe save the record in PDF format.

b1 In the row of the record you want to modify, click on the **Edit** icon to open the **Edit** screen.

INFO The system only displays the **Edit** icon if your user permissions allow you to modify data.

b2 Modify the record as required.

b3 Click **save** to save your changes.

INFO If an authorisation according to the 4-eyes principle is required, this record will be listed in the **Tasks waiting for approval** section of the task box until it gets authorised by a releaser.

The changes are saved and submitted to the system for processing or for 4EP authorisation.

b4 Click **ok** to return to the search result list.

c In the row containing the record to be cancelled, click on the **X** icon. The record will be deleted and will no longer be displayed in the search result list.

3.4.4.4 Instruction Alerts

You can use the task box link below **Instruction Alerts** to open the search result list showing current notifications (Instruction Alerts) for instructions with status Pending or Failing.

INFO In this view, the search screen with the input fields for search criteria is shown minimised and the first page of the search result list is immediately displayed in full.

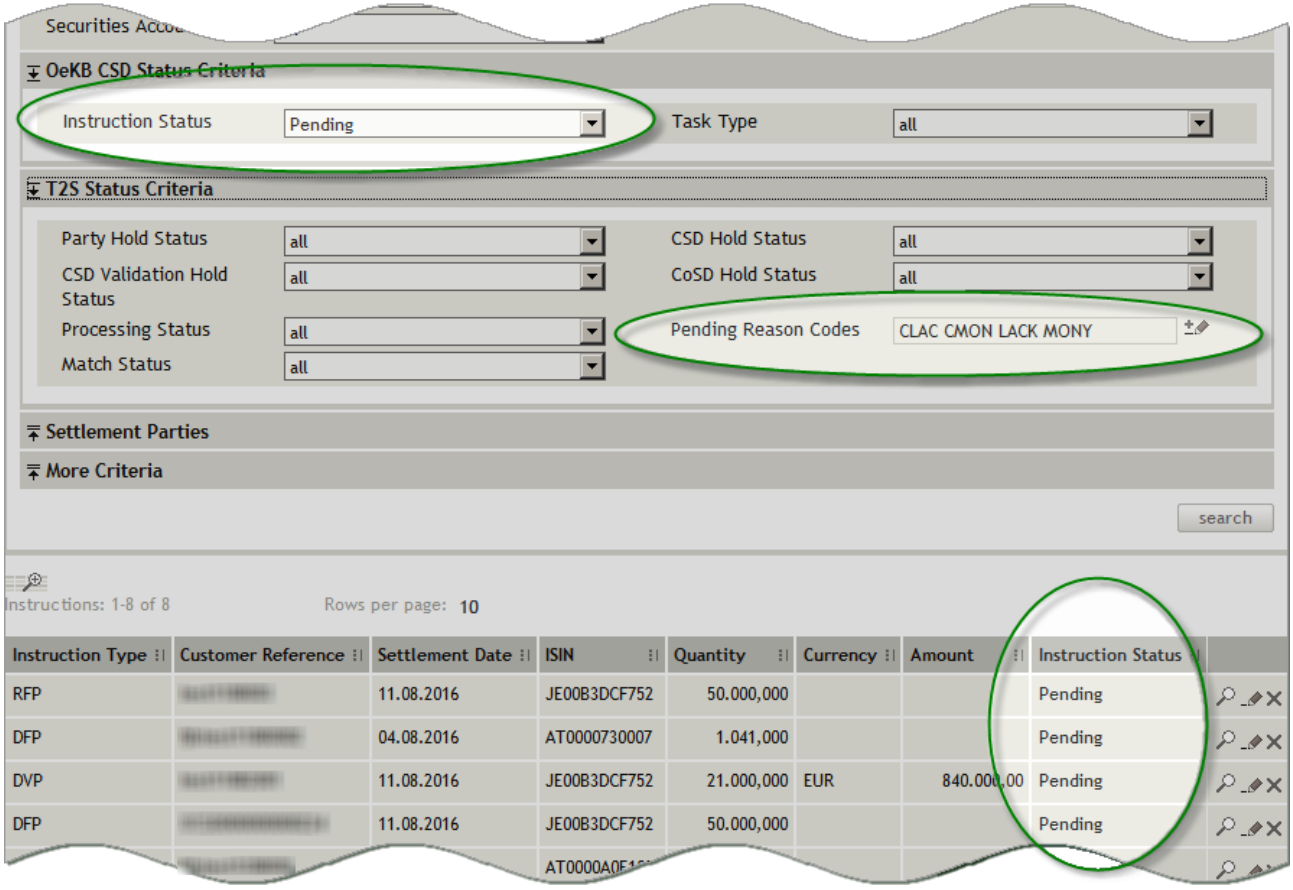


Figure 15: Current alerts to instructions in the search result list (Instruction Alerts)

Alert Reason	Description
Pending	The instruction has status **Pending**, because it could not be settled on the intended settlement date (e.g. due to insufficient securities).
Failing	The instruction has status Failing, because it could not be settled on the intended settlement date after the cut-off (e.g. due to insufficient securities).

How to Process Instructions with Status Pending or Failing

Step by Step

1 You have the following options:

a In the row of the record you want to modify, click on the **Details** icon to open the detail view.
You have the following options:

> NOTE Not all buttons listed below may be available in all detail views.

aa Click on **refresh** to display new real-time data received in the system.

ab Click **edit** to open the **Edit** screen of the record.
(see step b2 ff)

> INFO The system only displays the **edit** button if your user permissions allow you to modify data.

ac Click on **PDF Download** to display and maybe save the record in PDF format.

b1 In the row of the record you want to modify, click on the **Edit** icon to open the **Edit** screen.

> INFO The system only displays the **Edit** icon if your user permissions allow you to modify data.

b2 Edit the entries which caused the status to be **Pending** or **Failing** or take other actions to enable the instruction or restriction to be processed (e. g. necessary coverage on the cash account, external cash settlement, linked instructions or intra-position movements with status Pending in the same pool, etc.).

b3 Click **save** to save your changes.

> INFO If an authorisation according to the 4-eyes principle is required, this record will be listed in the **Tasks waiting for approval** section of the task box until it gets authorised by a releaser.

The changes are saved and submitted to the system for processing or for 4EP authorisation.

b4 Click **ok** to return to the search result list.

c In the row containing the record to be cancelled, click on the **X** icon. The record will be deleted and will no longer be displayed in the search result list.

3.5 Search Functionality and Search Result Lists

3.5.1 Searching for Data in Search Screens

To start searching data use the **search** button in the search screens (see Fields, Buttons and Icons, button "search"). The system then displays all available data below the search screen in the form of a search result list. The search result list offers the following functions:

— Number of search results currently displayed and total number of search results (x-x of xxx)

— Number of search results displayed per page (choice between 10, 25, 50, and 100)

NOTE	The options available to select the number of search results displayed per page depend on the total number of search results.

— Number of pages containing search results (considering the option selected for search results per page)

— Extended list view (extended search results) with additional columns containing more details of the record

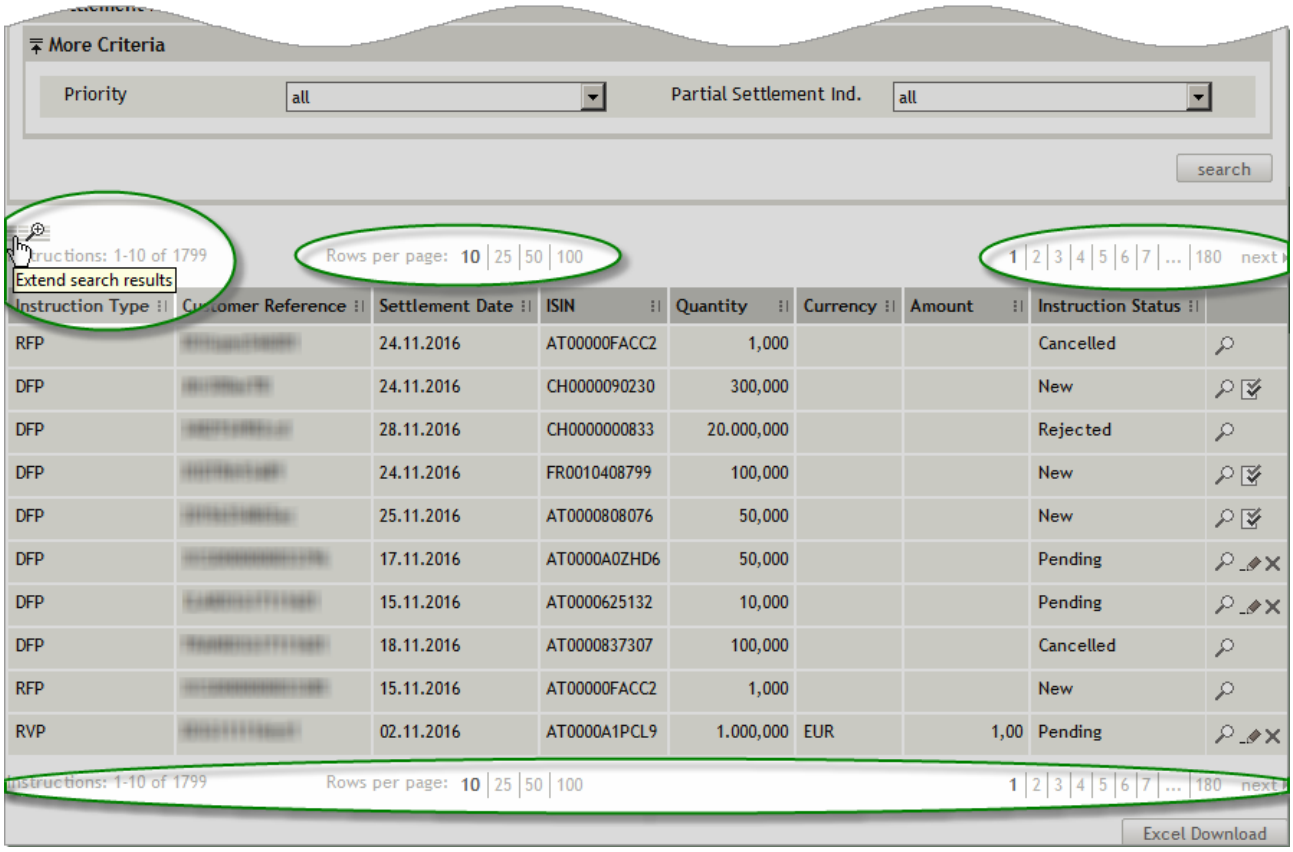


Figure 16: Search result list (example: Search Settlement Instructions)

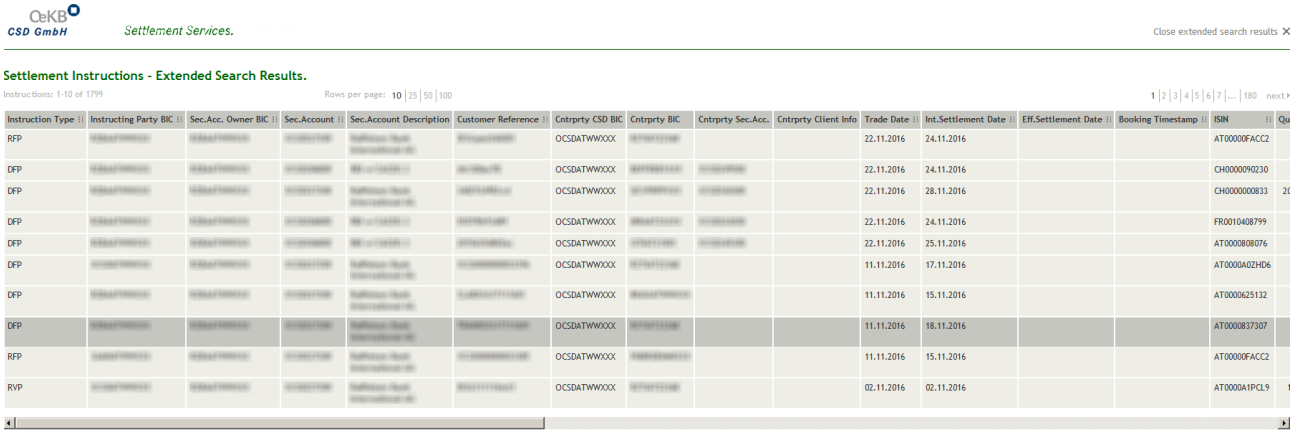


Figure 17: Search result list (extended search results 1 (example: Search Settlement Instructions)

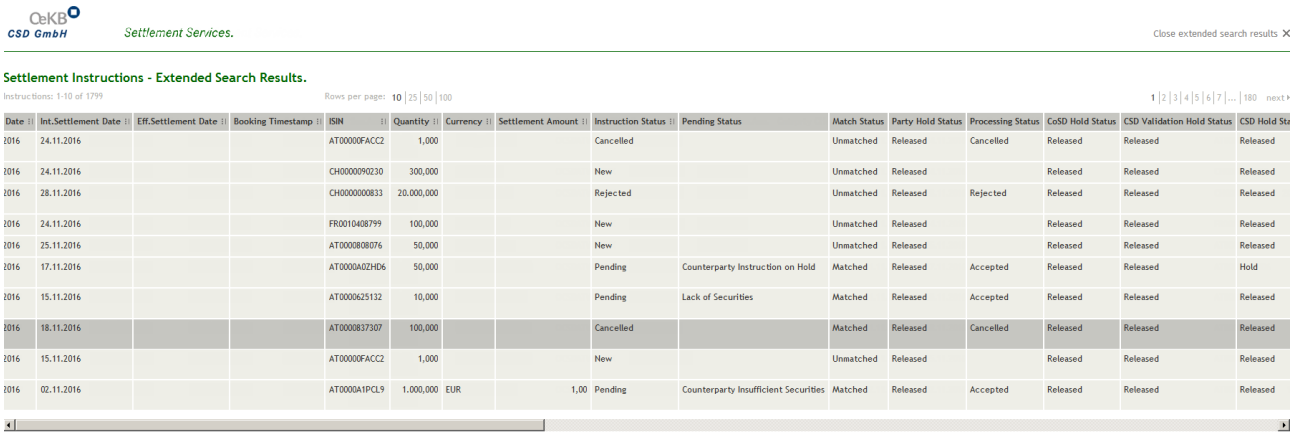


Figure 18: Search result list (extended search results 2 (example: Search Settlement Instructions)

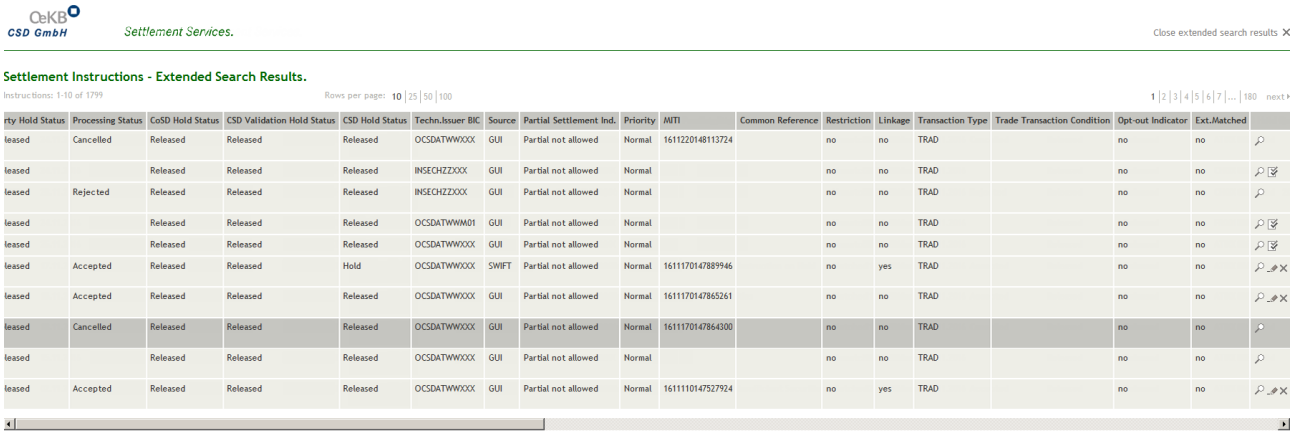


Figure 19: Search result list (extended search result 3 (example: Search Settlement Instructions)

How to Use the Extended Search Results Option of the Search Result List

Step by Step

1 Click on the icon (Extend search results) left above the search result list.
The table is expanded to show all columns available for the current type of record.

2 You have the following options:

a Use the scroll bar at the bottom of your browser window to scroll to the columns further right.

b Use the scroll bar at the bottom of your browser to move the display all the way across to the right to use the processing options available for the individual records in each row (detail view , edit , delete X).

3 Click on the X icon on the top right of the search result list (Close extended search results).
The regular view of the search result list appears again.

3.5.2 Search Templates

The search screens provide an option to define and save customised templates for frequently searched parameters. Search templates are stored user-specific. They will be available for you in the Settlement Client every time you log on with your user name and password.

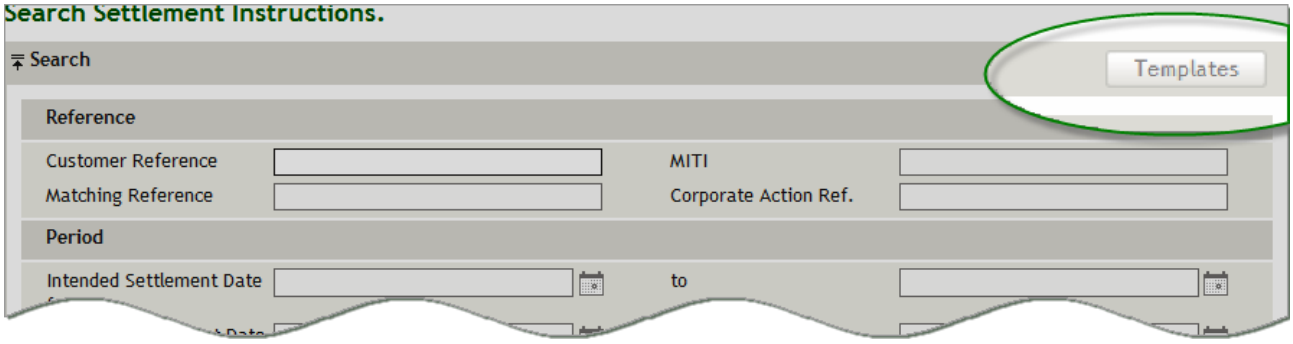


Figure 20: Search template (example: Search Settlement Instructions)

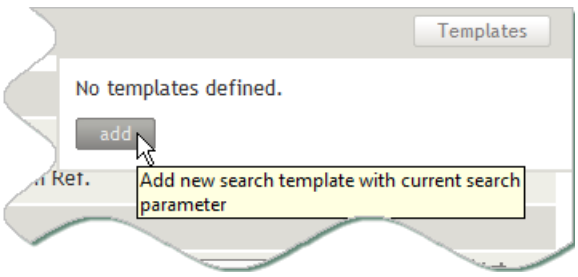


Figure 21: Creating a new search template

3.5.2.1 Creating a Search Template

Step by Step

1. Open the desired search screen.
2. Enter the desired search criteria in the available fields or limit the selections in the fields completed by the system.
3. In the search screen, click on the **Templates** button.
   The Template pop-up dialog appears.
4. Enter a name of your choice for the search template.
5. Click **save** to save your changes.
   The search template is saved with the search criteria you selected and the name of the saved search template will be displayed the next time you open the Template pop-up dialog.

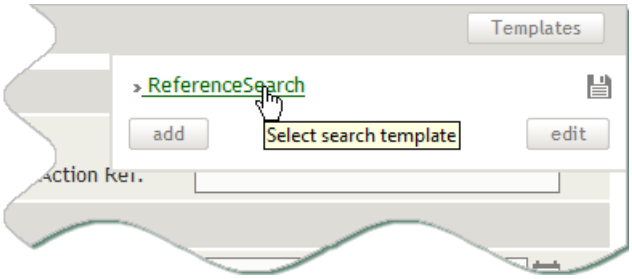


Figure 22: Using a search template

3.5.2.2 Using a Search Template

Step by Step

1. Open the desired search screen.
2. In the search screen, click on the **Templates** button.
   The Template pop-up dialog appears.
3. In the list of available search templates, click on the template you would like to use.
   The system displays the search criteria saved in the template in the search screen.
4. Modify the search criteria if necessary, add more criteria or initiate the search using these criteria.

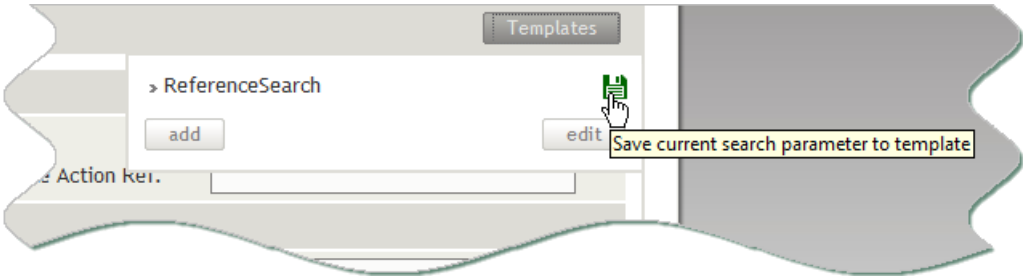


Figure 23: Modifying a search template

3.5.2.3 Modifying a Template

Step by Step

1. Open the desired search screen.
2. In the search screen, click on the **Templates** button.
   The Template pop-up dialog appears.
3. In the list of available search templates, click on the template you would like to use.
   The system displays the search criteria saved in the template in the search screen.
4. Modify the search criteria if necessary or add more criteria.
5. Click on the button to the right of the template name.
   The modified search criteria are saved to the search template.

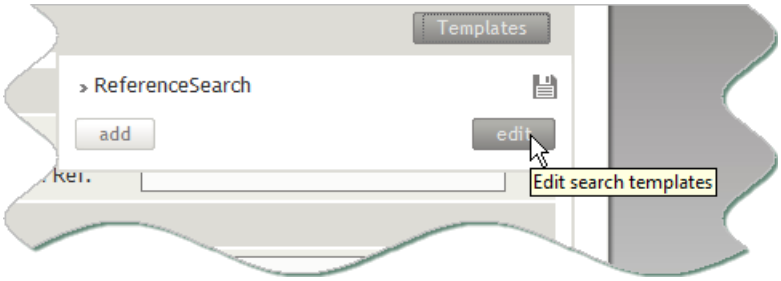


Figure 24: Changing the name of a search template

3.5.2.4 Changing the Name of a Template

Step by Step

1. Open the desired search screen.
2. In the search screen, click on the **Templates** button.
   The Template pop-up dialog appears.
3. Click **edit** in the Template pop-up dialog.
   The names of the existing search templates are displayed as input fields.
4. Modify the name of the search template you would like to change.
5. Click **save** to save your changes.
   The changes are saved and the new name of the saved search template will be displayed the next time you open the Template pop-up dialog.

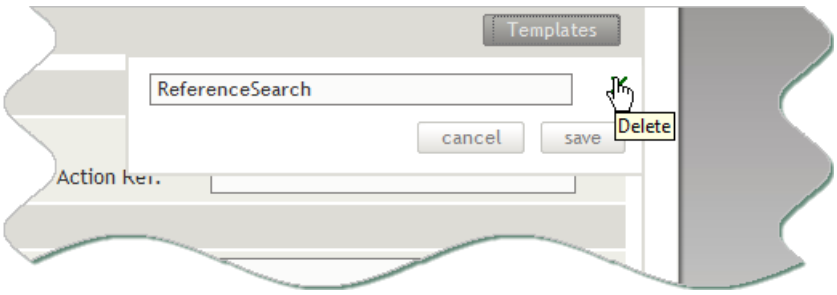


Figure 25: Deleting a search template

3.5.2.5 Deleting a Template

Step by Step

1. In the search screen, click on the **Templates** button.
   The Template pop-up dialog appears.
2. Click **edit** in the Template pop-up dialog.
   The names of the existing search templates are displayed as input fields.
3. In the row containing the search template to be deleted, click on the **X** icon.
4. Click **save** to save your changes.
   The changes are saved and the search template will no longer be available for future searches.

3.6 Data Download (Excel and PDF Download)

In the Settlement Client you can download data from tables in Excel format and data from detail views in PDF format.

3.6.1 Excel Download

In search result lists you can use the button **Excel Download** to open the complete search result list as an Excel file and store it locally on your computer if you like. The data are sorted in the same way as the search result list in the extended view (see extended search results). The download file is opened or saved after you choose the respective option in the Windows system dialog.

INFO	Data download as Excel file is limited to a maximum of 1000 entries.

The Excel download option is available in the following screens:

- Search Settlement Instructions
- Search Physical Instructions
- Search Allegements
- Securities Positions

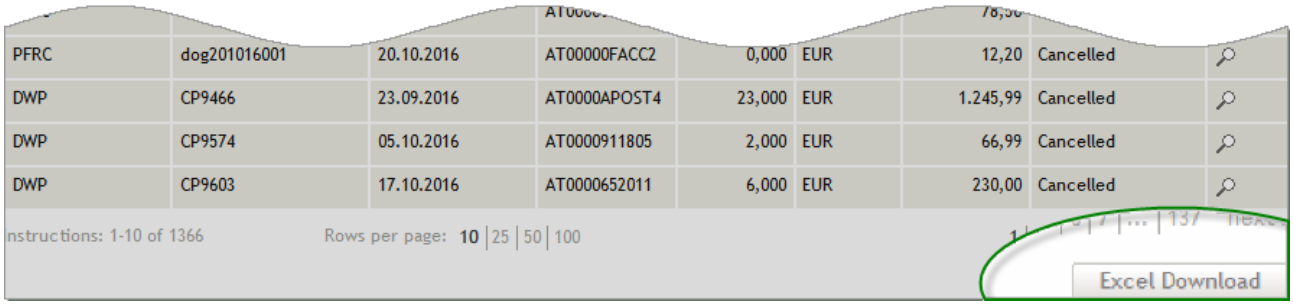


Figure 26: Excel Download - search result list (example: Search Settlemet Instruction)

3.6.2 PDF Download

In detail views you can use the button **PDF Download** to display a report for the currently selected record in PDF format and store it locally on your computer if you like. The download file is opened or saved after you choose the respective option in the Windows system dialog.

The PDF download option is available in the following detail views:

— Settlement Instruction Details

— Allegement Details

— Statement of Holdings

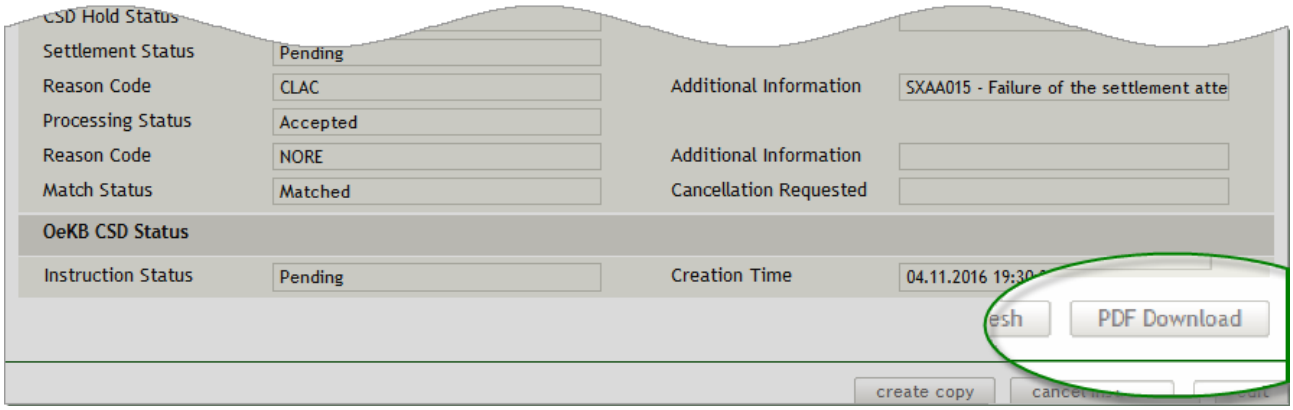


Figure 27: PDF Download - detail view (example: Settlement Instruction Details)

4. Settlement Instructions

Via the menu item *Settlement* you can create new settlement instructions, search for specific settlement instructions in the system, and edit or cancel existing settlement instructions.

4.1 Create Settlement Instruction

How to Open the Create Settlement Instruction Screen

Step by Step

1 In the menu bar, select *Settlement* > *Create Settlement Instruction*.
The **Create Settlement Instruction** screen appears.

Creating a new settlement instruction takes 3 steps. The Settlement Client consecutively takes you through the entry of

— Instruction Details,

— Settlement Parties, and

— Additional Information.

After each step, clicking on the **next** button or on the next step shown in the screen's header and footer (see Icons) takes you to the next input screen where you can enter more data for the instruction. Each time you switch to the next step, the system validates the data entered. Mandatory fields must be filled and the information entered has to comply with validation rules. Fields filled incorrectly or not at all will be highlighted with a note in red typeface underneath.

TIP	By clicking on a previous step or on the **back** button in the header or footer of the screen you can add data to previous input steps.

A detailed description of all fields, their interdependences from one another or from master data settings, and permitted input (e.g. numbers, text, dates, length, etc.) is available in the Field Descriptions table.

The following chapters are a step-by-step descriptions of how to create a new settlement instruction, with instruction type **DVP** - Delivery versus Payment used as example. The Settlement Client offers the following eight instruction types:

— RFP - Receive Free of Payment

— DFP - Delivery Free of Payment

— RVP - Receive versus Payment

— DVP - Delivery versus Payment

— RWP - Receive with Payment

— DWP - Delivery with Payment

— PFRD - Payment Free of Receive Debit
— PFRC - Payment Free of Receive Credit
— PFDD - Payment Free of Delivery Debit
— PFDC - Payment Free of Delivery Credit

TIP	For more detailed background information about the connection to T2S, the securities and cash account structure, and details on intra-CSD, cross-CSD or external-CSD settlement, please refer to *Annex 8 Guideline Settlement and Securities Account Administration*.

The following description and step-by-step guide for creating a new instruction, where the instruction type **DVP** - Delivery versus payment is used as example only, takes into consideration that certain fields are filled in by the system according to master data settings. The step-by-step descriptions therefore only list the fields which usually require user input and hints on fields displayed differently for other instruction types or needing different input than in the case of DVP. A detailed description of all fields, their interdependences from one another or from master data settings, and permitted input (e.g. numbers, text, dates, length, etc.) is available in the Field Descriptions table.

4.1.1 Entering Instruction Details (Example DVP)

Create Settlement Instruction.

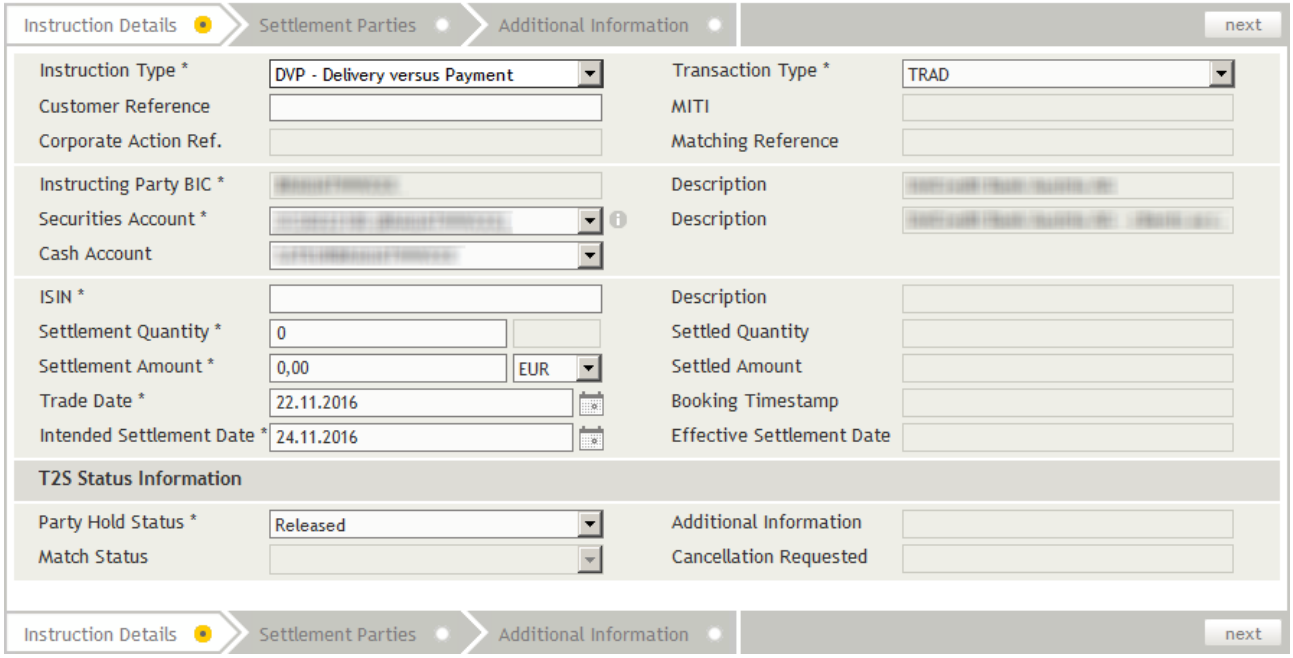


Figure 28: Create Settlement Instruction - Instruction Details (Example DVP - Delivery versus Payment)

How to Enter the Instruction Details of a New Settlement Instruction

Step by Step

1 In the menu bar, select *Settlement* > *Create Settlement Instruction*.

The **Create Settlement Instruction** screen appears.

2 In the field **Instruction Type**, select the instruction type.

The system activates the fields relevant for the selected instruction type and in some fields allocates the appropriate entries available for selection. The system automatically inserts the appropriate predefined values into the fields:

— Transaction Type (= TRAD)

— Instructing Party BIC (= inputting party) incl. Description

— Securities Account (= default securities account of the inputting party) incl. Description

INFO The field **Securities Account** additionally displays the BIC of the securities account holder.

TIP Hover the mouse pointer over the icon ⓘ to have additional information displayed about the securities account. See Fields, Buttons and Icons.

— Cash Account (= default cash account for the settlement amount currency)

INFO The field **Cash Account** is not displayed in the screen for the instruction types Free of Payment (**DFP**, **RFP**).

— Settlement Quantity (0)

INFO For the instruction types Free of Delivery and Free of Receive (PFR Debit, PFR Credit, PFD Debit, PFD Credit), the **Settlement Quantity** field is automatically filled with the value "0" and disabled for input.

— Settlement Amount (0,00)

— Settlement Amount Currency (EUR)

INFO The fields **Settlement Amount**, **Settlement Amount Currency** and **Settled Amount** are not displayed in the screen for the instruction types Free of Payment (**DFP**, **RFP**).

— Trade Date (= current date)

— Intended Settlement Date (= trade date + 2 T2S Opening Days)

— Party Hold Status (as specified in the securities account master data)

You may modify these values wherever necessary. Please note, however, that some fields only allow changes within the limits of the predefined master data. For detailed field descriptions, please refer to chapter Field Descriptions.

NOTE Remember to verify all the fields automatically completed by the system to make sure all details have been entered correctly.

INFO If you do not enter your own reference in the optional **Customer Reference** field, the system will automatically generate a unique reference for identification of the instruction.

3 In the field **ISIN**, enter the desired financial instrument.

In the field **Description**, the system automatically completes the details stored for the selected financial instrument and in the field **Quantity Type** the type of listing.

TIP There is an auto-complete function available in the **ISIN** field: You need only enter the country code; the system will then suggest a list of available ISIN.

TIP Hover the mouse pointer over the icon ⓘ to have additional information displayed about the ISIN. See Fields, Buttons and Icons.

4 In the field **Settlement Quantity**, enter the desired quantity or nominal value (greater than 0).

INFO For the instruction types Free of Delivery and Free of Receive (PFR Debit, PFR Credit, PFD Debit, PFD Credit), the **Settlement Quantity** field is automatically filled with the value "0" and disabled for input.

5 In the field **Settlement Amount**, enter the desired amount.

NOTE For the instruction types with Payment and versus Payment (**RWP**, **DWP**, **RVP**, **DVP**), and for the payment instruction types (**PFRD**, **PRFC**, **PFDD**, **PFDC**) the field **Settlement Amount** becomes a mandatory field.

INFO The default currency of the **Settlement Amount** is set to EUR (Euro).

INFO The fields **Settlement Amount** and **Settlement Amount Currency** are not displayed in the screen for the instruction types Free of Payment (**DFP**, **RFP**).

INFO The **Trade Date** field is automatically filled with the current date; the **Intended Settlement Date** field is automatically filled with the date of the first T2S Opening Day after the next T2S Opening Day (Trade Date + 2 T2S Opening Days). You may modify these dates if required.

TIP Saturdays, Sundays, and no T2S Opening Days as listed in the General Terms and Conditions of the OeKB CSD are not T2S Opening Days and are not accepted by the system during the validation of date fields. A corresponding notification is displayed in the screen.

6 Click **next** or click on the next step in the screen's header or footer.

The **Settlement Parties** page appears.

4.1.2 Entering Settlement Parties (Example DVP)

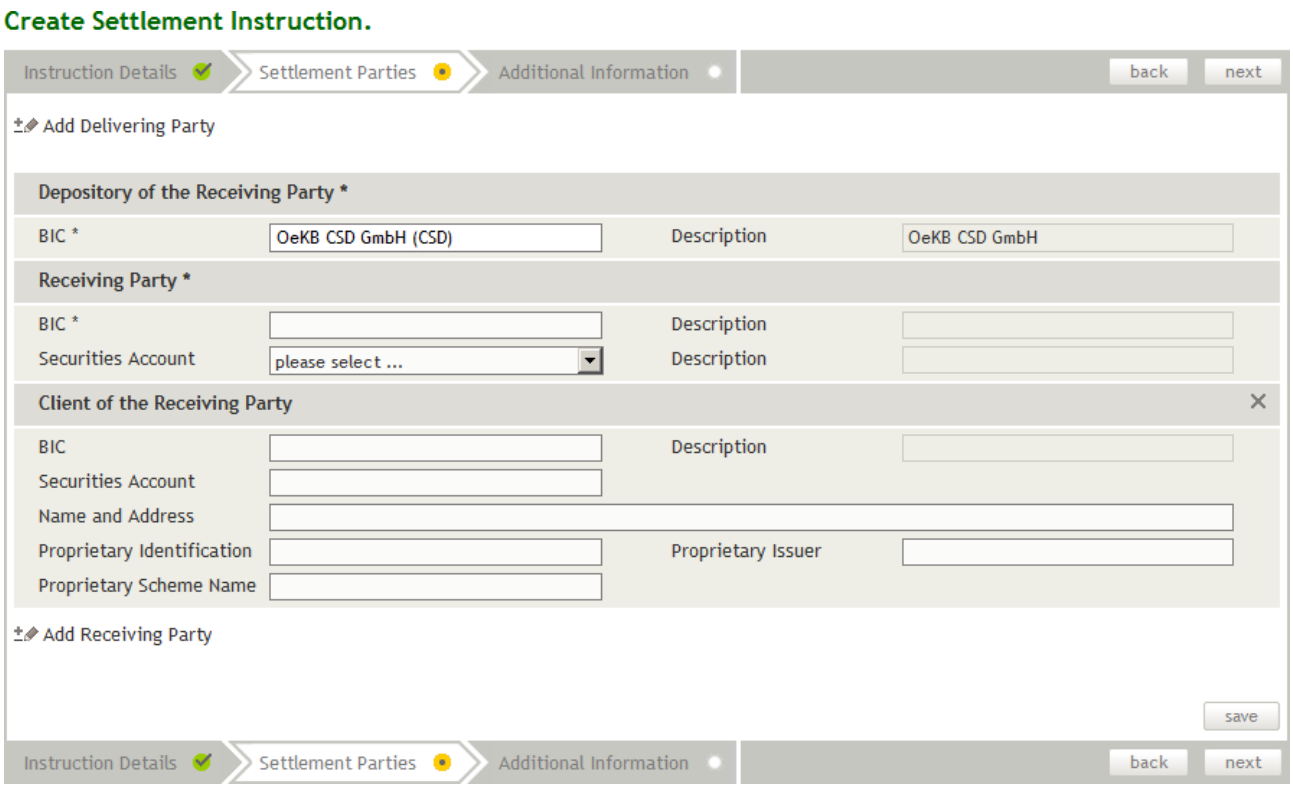


Figure 29: Create Setllement Instruction - Setllement Parties (Example DVP - Delivery versus Payment)

How to Enter the Settlement Parties of a New Settlement Instruction

Step by Step

In the step **Settlement Parties** the system completes the following fields:

— **BIC** (Depository of the Delivering/Receiving Party) incl. Description (= OCSDATWWXXX)

> TIP The **BIC (Depository of the Delivering/Receiving Party)** field may be used to enter the CSD of the counterparty, e.g. in the case of cross-CSD settlement.

1 In the field **BIC (Delivering/Receiving Party)**, enter the BIC of the CSD participant.

NOTE	If required, complete the optional fields in the **Client of the Delivering/Receiving Party** section or add more parties in the hidden screen sections **Add Receiving Party** or **Add Delivering Party**. Please refer to chapter Field Descriptions for more details on the individual fields. If filled, some optionals fields become matching criteria. For details please refer to *Annex 8 Guideline Settlement and Securities Account Administration*.

INFO	The **BIC (Delivering/Receiving Party)** field shows the BIC of the instruction's counterparty. For Delivery instruction types and for PFD/PFR Credit, the system expects input of the BIC of the receiving party (receiving party of the payment in case of PFDC/PFRC), for Receive instruction types and for PFD/PFR Debit, input of the BIC of the delivering party (delivering party of the payment in case of PFDD/PFRD).

TIP	If you want to remove a party you have added, click on the **X icon** at the top right of the additional screen section. You can remove the added parties one by one, starting with the one that was added last.

2 You have the following options:

a Click **next** or click on the next step in the screen's header or footer.
The **Additional Information** page appears.

b1 Click **save** to save the instruction.

INFO	If an authorisation according to the 4-eyes principle is required, this record will be listed in the **Tasks waiting for approval** section of the task box until it gets authorised by a releaser.

The instruction is saved and submitted to the system for processing or for 4EP authorisation. The system displays the **Settlement Instruction Summary**, where you can verify the data you have entered. The screen includes the Instruction History and the Status History in separate tabs.

b2 Click **ok** in the **Settlement Instruction Summary** to confirm your entries.
The entry page appears.

4.1.3 Entering Additional Information (Example DVP)

Create Settlement Instruction.

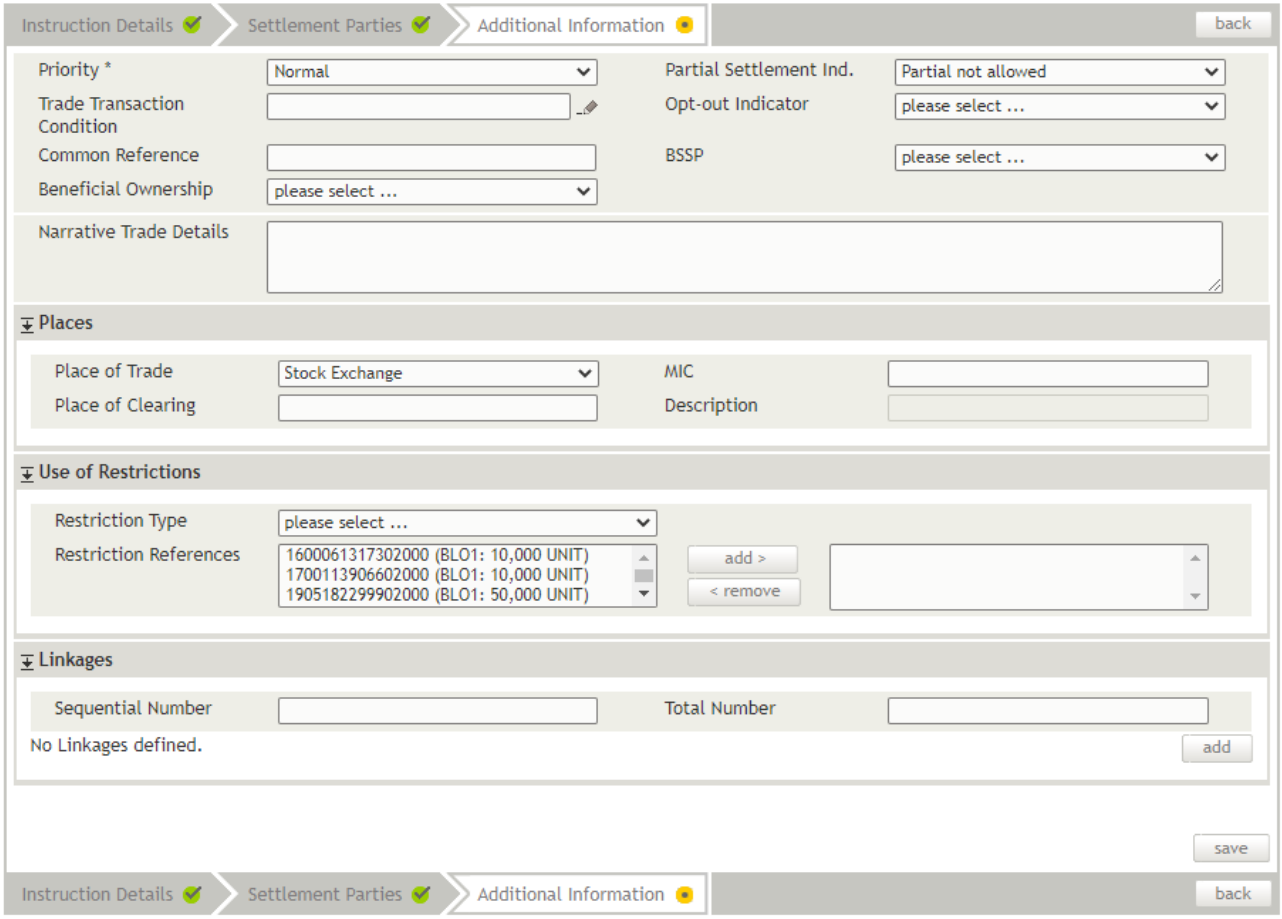


Figure 30: Create Settlement Instruction - Additional information (Example DVP - Delivery versus Payment)

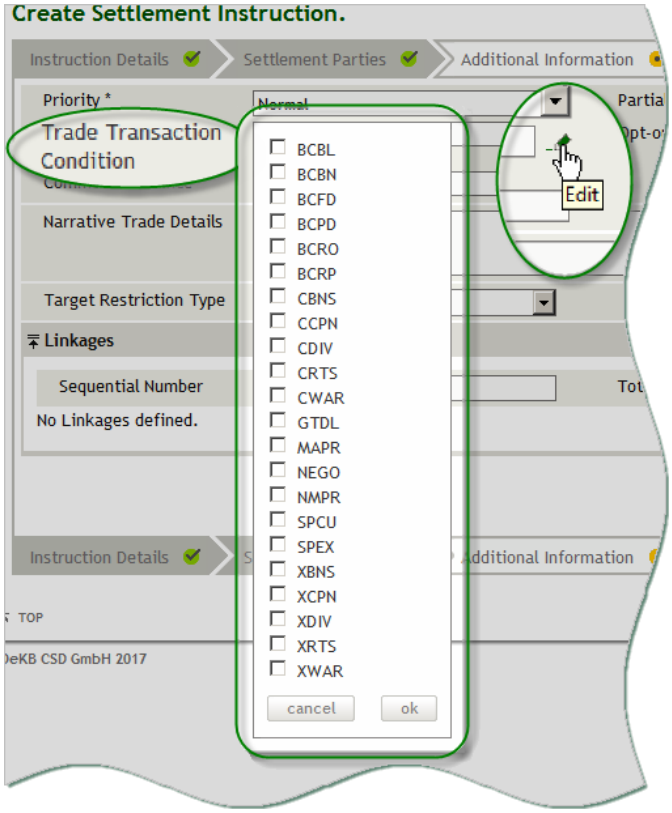


Figure 31: Create Settlement Instruction, Trade Transaction Condition - Additional Information (pop-up dialog)

How to Enter Additional Information of a New Settlement Instruction

Step by Step

In the step **Additional Information** the system completes the following fields:

— Priority (= Normal)

— Partial Settlement Indicator (as specified in the securities account master data)

TIP	**Use of Restrictions / Target Restriction Type**: Here you can assign **Restriction References** (i.e. positions previously blocked, reserved or earmarked by intra-position movements) that will be used to settle the instruction. For details on restrictions, please refer to the chapters Entering Restrictions for Delivery Instructions and Entering Restrictions for Receive Instructions.

INFO	Restrictions are not available for payment-only instructions (PFRD, PFRC, PFDD, PFCC).

TIP	**Linkages**: Here you can define **Linkages** (i.e. connections with other instructions or restrictions) that shall apply to an instruction. To do so, click on the function link **Linkages**. This opens a drop-down screen section, where you can fill in the corresponding fields. For more information on linkages, please refer to chapter Entering Linkages for an Instruction.

1 Click **save** to save the instruction.

INFO	If an authorisation according to the 4-eyes principle is required, this record will be listed in the **Tasks waiting for approval** section of the task box until it gets authorised by a releaser.

The instruction is saved and submitted to the system for processing or for 4EP authorisation. The system displays the **Settlement Instruction Summary**, where you can verify the data you have entered. The screen includes the Instruction History and the Status History in separate tabs.

2 Click **ok** in the **Settlement Instruction Summary** to confirm your entries.
The entry page appears.

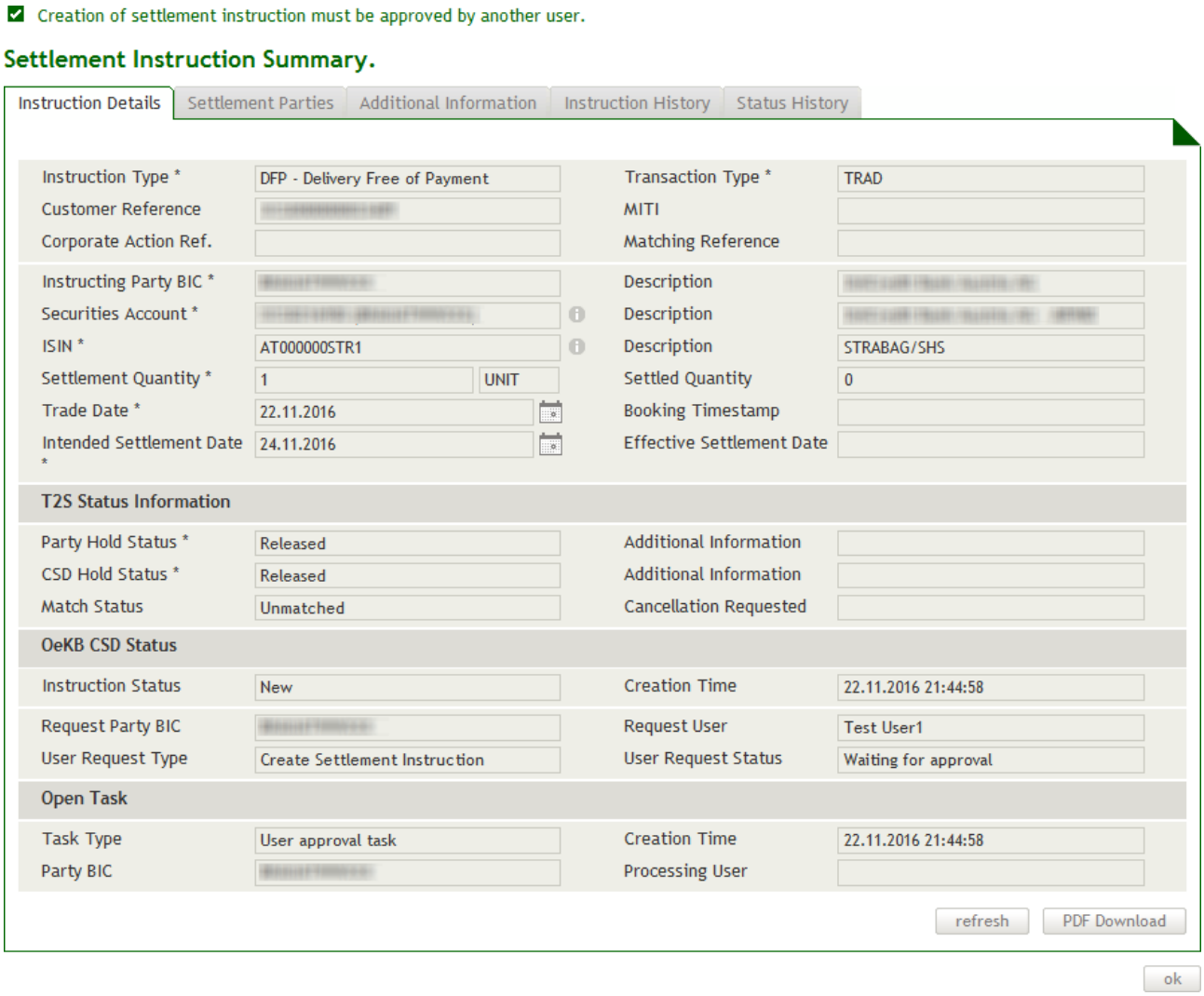


Figure 32: Settlement Instruction Summary, page 1 (example DPF with 4EP authorisation)

4.1.4 Place of Trade and Place of Clearing for an Instruction

It is possible to add the 'Place of Trade' and the 'Place of Clearing' to an instruction. Entering places is possible during the step **Additional Information** when creating a new settlement instruction. Places are defined in the drop-down screen section **Places**. The Place of Trade can be selected from a variety of options in a drop-down menu. The Place of Clearing has to be a 11-digit BIC. If "Stock Exchange" has been selected, it is also possible to enter the MIC code.

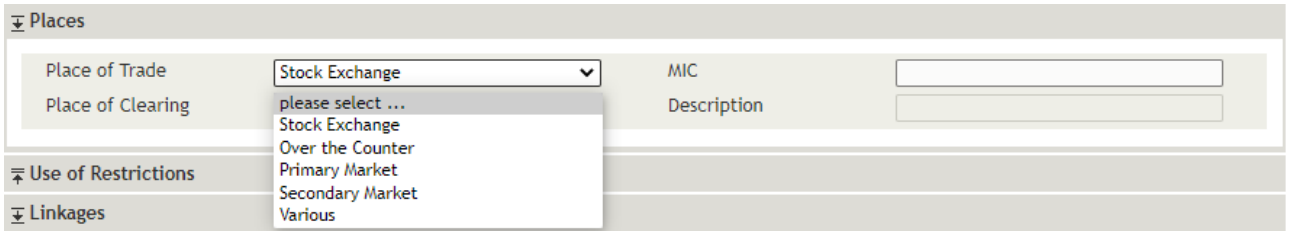


Figure 33: Use of Restrictions - function link (Create Settlement Instruction - Additional Information, delivery istructions)

4.1.5 Entering Restrictions for Delivery Instructions

It is possible to assign previously blocked or reserved positions when creating a new or editing an existing delivery instruction. Exactly these positions will then be used to settle the instruction. For details on how to block and reserve positions, please refer to Create Intra-Position Movement.

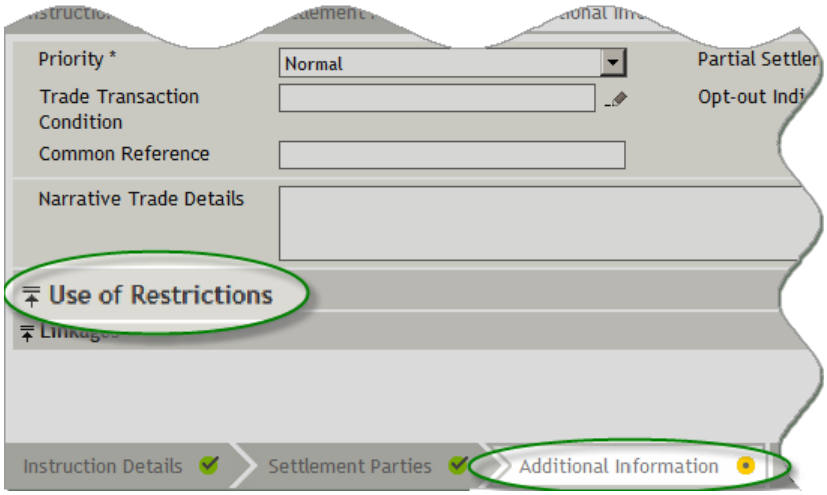


Figure 34: Use of Restrictions - function link (Create Settlement Instruction - Additional Information, delivery instructions)

Figure 35: Restrictions for a delivery instruction (drop-down screen section)

4.1.5.1 Assigning Restrictions (blocked or reserved positions) to a Delivery Instruction

You can use certain positions to settle an instruction if they have been defined earlier.

NOTE Restrictions can only be used for an instruction if the necessary restrictions have been created in the form of intra-position movements before. For details see Create Intra-Position Movements.

How to Assign a Blocked or Reserved Position to a Delivery Instruction

Step by Step

1 In step 3, **Additional Information**, of the **Create Settlement Instruction** screen, open the drop-down screen section **Restrictions** (see fig. **Fehler! Verweisquelle konnte nicht gefunden werden.**).
To do so, click on the **Use of Restrictions** function link.
The drop-down screen section **Use of Restrictions** appears (see fig. **Fehler! Verweisquelle konnte nicht gefunden werden.**).

2 In the field **Restriction Type**, select the type of restriction.
The field **Restriction References (left-hand)** lists the references of all restriction of the selected type previously entered, including the quantity available in the respective restriction.

3 Click on the reference of the restriction which you want to assign to the instruction.

4 Click on the **add >** button.
The reference of the selected restriction is assigned and displayed in the right-hand side **Restriction References** field.

TIP	If you have assigned a restriction reference in error, use the **< remove** button to move the reference back from the right-hand side to the left-hand side **Restriction References** field.
TIP	It is possible to assign more than one blocked or reserved positions of different types to one instruction.

5 Continue entering the settlement instruction.

4.1.6 Entering Restrictions for Receive Instructions

It is possible to assign previously earmarked positions when creating a new or editing an existing receive instruction. The securities received with the instruction are immediately assigned to these securities positions. For details on how to earmark positions, please refer to Create Intra-Position Movement.

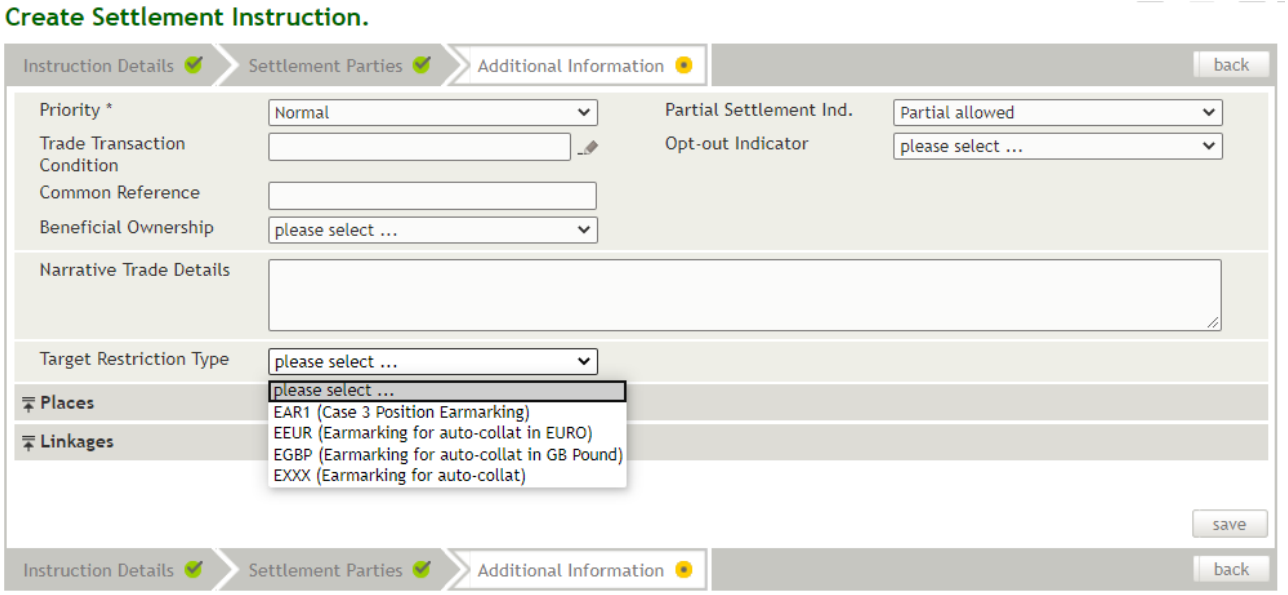


Figure 36: Target Restriction Type - dropdown field (Create Settlement Instruction - Additional Information, receive instructions)

4.1.6.1 Using Restrictions (earmarked positions) for a Receive Instruction

You can use certain positions to allocate an instruction's securities if they have been defined earlier.

NOTE Restrictions can only be used to allocate an instruction's securities if the necessary restrictions have been created in the form of intra-position movements before. For details see Create Intra-Position Movements.

How to Allocate the Securities of a Receive Instruction to an Earmarked Position

Step by Step

1. In step 3, **Additional Information**, of the **Create Settlement Instruction** screen, open the dropdown field **Target Restriction Type** (see fig. **Fehler! Verweisquelle konnte nicht gefunden werden.**) to select the type of restriction.
2. Click on the reference of the restriction to which you want to allocate the securities received in the instruction.
3. Continue entering the settlement instruction.

4.1.7 Entering Linkages for an Instruction (Example DVP)

It is possible to connect two or more instructions by means of so-called **linkages**. Entering linkages is possible during the step **Additional Information** when creating a new or editing an existing settlement instruction. Linkages are defined in the drop-down screen section **Linkages**. The following instructions can be linked:

— Two or more instructions

— Two or more intra-position movements

— Instructions with intra-position movements

NOTE It is not possible to link instructions where the counterparty is the client of an external depository.

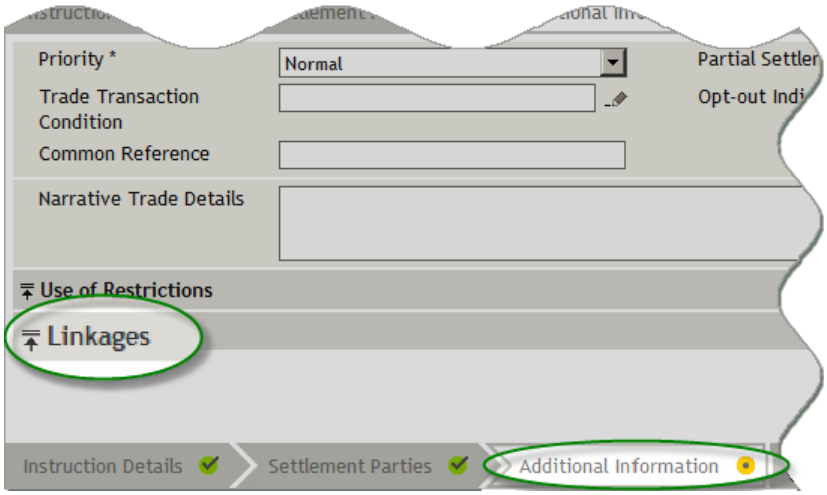


Figure 37: Function link Linkages (Create Settlement Instrcution - Additional Information)

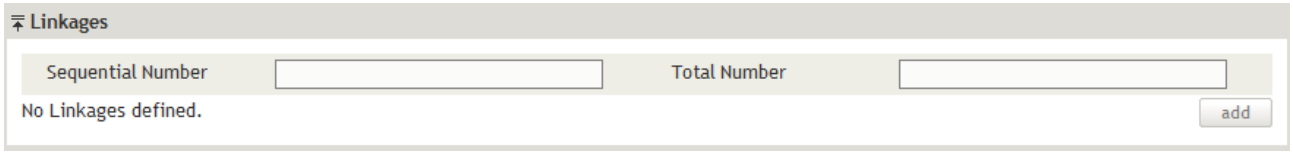


Figure 38: Linkage for an instruction (drop-down screen section)

The linkage details can be entered in a pop-up dialog, which opens as soon as you click on the **add** button.

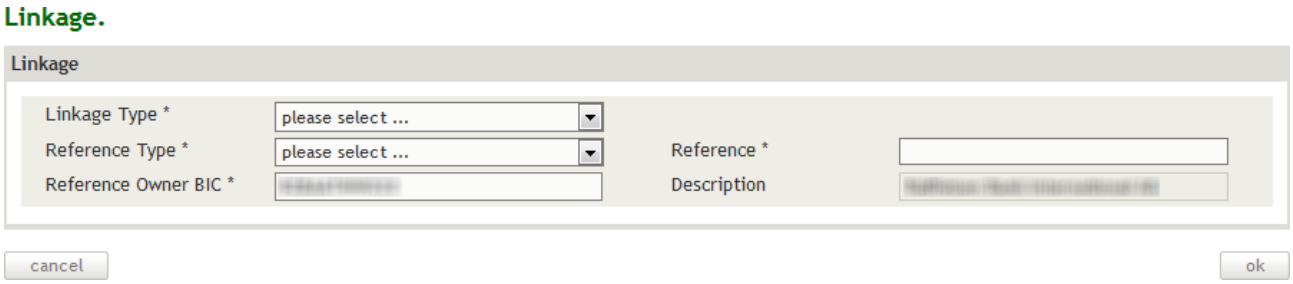


Figure 39: Linkage for an instruction (pop-up dialog)

4.1.7.1 Entering Linkages Between Two Instructions (Position Linkage)

There are three ways to connect two instructions by means of a linkage (**Linkage Type**):

— **After**: The newly created instruction will be settled after or at the same time as the linked to instruction.

— **Before**: The newly created instruction will be settled before or at the same time as the linked to instruction.

— **With**: The newly created instruction will be settled at the same time as the linked to instruction.

NOTE	Instructions with linkages cannot be settled partially.

INFO	As an additional option, you can use the **Linkage Type Information** to connect two or more instructions. This linkage type serves information purposes only. Partial settlement is permitted for linkages of the type **Information**. The system automatically generates linkages of the type **Information** for instructions related to auto-collateralisation.

TIP	With the corresponding linkage types assigned, you can create sequences of instructions which will be settled one after the other, depending on the order specified by the linkages.

How to Enter a Position Linkage Between Two Instructions

Step by Step

1. In step 3, **Additional Information**, of the **Create Settlement Instruction** screen, open the drop-down screen section **Linkages**.
   To do so, click on the **Linkages** function link. (see fig. **Fehler! Verweisquelle konnte nicht gefunden werden.**)
   The drop-down screen section **Linkages** appears (see fig. **Fehler! Verweisquelle konnte nicht gefunden werden.**).
2. Click on the **add** button.
   The pop-up dialog **Linkage** appears (see fig. **Fehler! Verweisquelle konnte nicht gefunden werden.**).
3. In the field **Linkage Type**, select the type of linkage **After**, **Before** or **With**.
4. In the field **Reference Type**, select the type of reference **Customer Reference** or **MITI**.
5. In the field **Reference**, enter the corresponding customer reference or the Market Infrastructure Transaction Identifier (MITI) of the instruction or restriction with which you want to connect the newly created instruction.
6. Click **ok** in the **Linkage** pop-up dialog to return to the Create Settlement Instruction screen.
7. Continue entering the settlement instruction.

4.1.7.2 Entering Linkages Between Several Instructions (Pool Linkage)

It is possible to link several instructions which have to be settled concurrently. To do so, use the reference type **Pool** in the **Linkages** pop-up dialog to create the linkage.

NOTE	In the case of linkages with the Pool reference type instructions or restrictions with an identical pool reference are settled either all at once or none. If one of the instructions or restrictions within a pool fails to be settled, all other instructions and restrictions in the pool are not settled as well and receive an appropriate Pending status.

How to Enter a Pool Linkage Between Several Instructions

Step by Step

1 In step 3, **Additional Information**, of the **Create Settlement Instruction** screen, open the drop-down screen section **Linkages**.
To do so, click on the **Linkages** function link. (see fig. **Fehler! Verweisquelle konnte nicht gefunden werden.**)
The drop-down screen section **Linkages** appears (see fig. **Fehler! Verweisquelle konnte nicht gefunden werden.**).

2 Click on the **add** button.
The pop-up dialog **Linkage** appears (see fig. **Fehler! Verweisquelle konnte nicht gefunden werden.**).

3 In the field **Linkage Type**, select the type of linkage **With**.

NOTE Pool linkages only allow the selection **With** in the field **Linkage Type**.

4 In the field **Reference Type**, select the type of reference **Pool ID**.

5 In the field **Reference**, enter the common pool reference all instructions and restrictions in the pool shall share.

6 Click **ok** in the **Linkage** pop-up dialog to return to the Create Settlement Instruction screen.

7 In the field **Sequential Number**, enter the current consecutive number of this instruction or restriction within the pool.

8 In the field **Total Number**, enter the total number of all instructions and restrictions linked with one another in the pool.

9 Continue entering the settlement instruction.

4.1.7.3 Entering a Linkage Between an Instruction and an Intra-Position Movement (Position Linkage)

There are three ways to connect an instruction with an intra-position movement by means of a position linkage (Linkage Type):

— **After**: The newly created instruction will be settled after or at the same time as the linked to intra-position movement.

— **Before**: The newly created instruction will be settled before or at the same time as the linked to intra-position movement.

— **With**: The newly created instruction will be settled at the same time as the linked to intra-position movement.

NOTE Instructions with linkages cannot be settled partially.

How to Enter a Position Linkage Between an Instruction and an Intra-Position Movement

Step by Step

1 In step 3, **Additional Information**, of the **Create Settlement Instruction** screen, open the drop-down screen section **Linkages**.
To do so, click on the **Linkages** function link. (see fig. **Fehler! Verweisquelle konnte nicht gefunden werden.**)
The drop-down screen section **Linkages** appears (see fig. **Fehler! Verweisquelle konnte nicht gefunden werden.**).

2 Click on the **add** button.
The pop-up dialog **Linkage** appears (see fig. **Fehler! Verweisquelle konnte nicht gefunden werden.**).

3 In the field **Linkage Type**, select the type of linkage **After**, **Before** or **With**.

4 In the field **Reference Type**, select the type of reference **Sub Balance Reference**.

5 In the field **Reference**, enter the restriction reference of the intra-position movement with which you want to connect the newly created instruction.

6 Click **ok** in the **Linkage** pop-up dialog to return to the Create Settlement Instruction screen.

7 Continue entering the settlement instruction.

4.1.8 Field Descriptions (Create Settlement Instruction)

The description of the fields in the **Create Settlement Instruction** screen is sectioned in three parts, i.e. the three steps:

— Instruction Details,
— Settlement Parties, and
— Additional Information

INFO	The **Create Settlement Instruction** screen is used as **Edit** and **Review Settlement Instruction** screen (when modifying or releasing an instruction, respectively) and as **Settlement Instruction Detail** screen (when displaying an instruction) with exactly the same appearance. Field values or entries which differ between these variants of the screen are listed with the descriptions of the respective fields further below.

4.1.8.1 Instruction Details (Step 1)

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Instruction Type **Mandatory field during Create**	-	Create Input request 'please select ...'	Selection from the list: — **RFP** - Receive Free of Payment — **DFP** - Delivery Free of Payment — **RVP** - Receive versus Payment — **DVP** - Delivery versus Payment — **RWP** - Receive with Payment — **DWP** - Delivery with Payment — **PFRD** - Payment Free of Receive Debit — **PFRC** - Payment Free of Receive Credit — **PFDD** - Payment Free of Delivery Debit — **PFDC** - Payment Free of Delivery Credit	-
		Edit / Detail View The instruction type selected during creation	-	
Transaction Type **Mandatory field during Create (automatically completed by the system)**	All	Create: **TRAD** - Trade (Standard Settlement Instruction)	Selection from the list **TIP** The system already fills in the standard transaction type for settlement instructions **TRAD**. Additional transaction types are supported.	-
		Edit / Detail View: The transaction type selected during creation		
Customer Reference	All	Create: If left empty by the user, the system will generate a unique reference	Own reference	16 max alphanum.

Field	Instruction Type	Content (by system)	Entry (by user)	Length
		Edit / Detail View: The customer reference of the instruction	-	
MITI	All	Create: -	-	-
		Edit / Detail View: The unique Market Infrastructure Transaction Identifier automatically assigned as soon as the instruction has been accepted by the system		
Corporate Action Reference	All	Create: -	-	-
		Edit / Detail View: Reference of the corporate action associated with the instruction		
Matching Reference	All	Create: -	-	-
		Edit / Detail View: Reference assigned by T2S after matching		
Instructing Party BIC **Mandatory field during Create (automatically completed by the system)**	All	BIC of the inputting party	-	BIC11
[Instructing Party BIC] Description	All	The designation of the instructing party	-	-
Securities Account	All	Create: The securities account defined as the default	Selection from the securities accounts available for the instructing party	-

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Mandatory field during Create			INFO In addition to the securities account number this field shows the BIC of the securities account holder. TIP Hover the mouse pointer over the icon to have additional information displayed about the securities account. See Fields, Buttons and Icons.	
		Edit / Detail View: The securities account selected during creation	-	
[Securities Account] Description	All	The designation of the selected securities account	-	-
Cash Account	— **RVP** - Receive versus Payment — **DVP** - Delivery versus Payment — **RWP** - Receive with Payment — **DWP** - Delivery with Payment — **PFRD** - Payment Free of Receive Debit — **PFRC** - Payment Free of Receive Credit	The cash account defined as the default for the currency selected in the **Settlement Amount Currency** field	Create: Selection from the cash accounts available for the instructing party Edit / Detail View: -	-

Field	Instruction Type	Content (by system)	Entry (by user)	Length
	— **PFDD** - Payment Free of Delivery Debit — **PFDC** - Payment Free of Delivery Credit			
	— **RFP** - Receive Free of Payment — **DFP** - Delivery Free of Payment	This field is not displayed in the screen for the instruction types Free of Payment (**DFP**, **RFP**).		
ISIN **Mandatory field during Create**	All	Create: **Auto-Complete**: After input of the country code the system suggests a list of ISIN.	Country code, then selection from the suggested list **TIP** Hover the mouse pointer over the icon to have additional information displayed about the ISIN. See Fields, Buttons and Icons.	12 alphanum.
		Edit / Detail View: The ISIN selected during creation	-	
[ISIN] Description	All	The designation of the financial instrument	-	-
Settlement Quantity	— **RVP** - Receive versus Payment	Create: 0	Quantity or nominal value of the financial instrument A value greater than zero	Decimal number

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Mandatory field during Create	— **DVP** - Delivery versus Payment — **RWP** - Receive with Payment — **DWP** - Delivery with Payment — **RFP** - Receive Free of Payment — **DFP** - Delivery Free of Payment	Edit / Detail View: The nominal value / quantity selected during creation	-	
	— **PFRD** - Payment Free of Receive Debit — **PFRC** - Payment Free of Receive Credit — **PFDD** - Payment Free of Delivery Debit — **PFDC** - Payment Free of Delivery Credit	0	- INFO For the instruction types Free of Delivery and Free of Receive (PFR Debit, PFR Credit, PFD Debit, PFD Credit), this field is automatically filled with the value "0" and disabled for input.	-
[Quantity Type]	All	After ISIN input or selection: — **FAMT** - for financial instruments with a price as percentage of par (face amount) — **UNIT** - for financial instruments with a price per unit	-	-

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Settled Quantity	All	Create: - Edit / Detail View: 0 or in case of settled instructions the settled quantity or the settled nominal value of the financial instruments	-	-
Released Quantity	All	Create: -		-
		Edit / Detail View: The Released Quantity can be changed when editing a deliver instruction, provided that the instruction is on hold and the Partial Settlement Indicator is "Partially allowed" for both instructions 0 or the released but not yet processed number of pieces for instructed partial release instructions		
Hold Quantity	All	Create: -		-
		Edit / Detail View: Displays the remaining settlement quantity for an instructed partial release, which is still on hold. 0 or in case of an instructed partial release instruction the quantity which is still on hold		
Settlement Amount		Create 0.00	Cash value of the transaction A value greater than zero	Decimal number

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Mandatory field during Create	— **RVP** - Receive versus Payment — **DVP** - Delivery versus Payment — **RWP** - Receive with Payment — **DWP** - Delivery with Payment — **PFRD** - Payment Free of Receive Debit — **PFRC** - Payment Free of Receive Credit — **PFDD** - Payment Free of Delivery Debit — **PFDC** - Payment Free of Delivery Credit	Edit / Detail View The cash value of the transaction selected during creation	-	
	— **RFP** - Receive Free of Payment — **DFP** - Delivery Free of Payment	This field is not displayed in the screen for the instruction types Free of Payment (**DFP**, **RFP**).		

Field	Instruction Type	Content (by system)	Entry (by user)	Length
[Settlement Amount Currency] **'EUR'** **Mandatory field during Create (automatically completed by the system)**	— **RVP** - Receive versus Payment — **DVP** - Delivery versus Payment — **RWP** - Receive with Payment — **DWP** - Delivery with Payment — **PFRD** - Payment Free of Receive Debit — **PFRC** - Payment Free of Receive Credit — **PFDD** - Payment Free of Delivery Debit — **PFDC** - Payment Free of Delivery Credit	Create: EUR	Selection from **CHF**, **EUR**, **GBP**, **USD**	-
		Edit / Detail View: The currency selected during creation	-	
	— **RFP** - Receive Free of Payment — **DFP** - Delivery Free of Payment	This field is not displayed in the screen for the instruction types Free of Payment (**DFP**, **RFP**).		

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Settled Amount	— **RVP** - Receive versus Payment — **DVP** - Delivery versus Payment — **RWP** - Receive with Payment — **DWP** - Delivery with Payment — **PFRD** - Payment Free of Receive Debit — **PFRC** - Payment Free of Receive Credit — **PFDD** - Payment Free of Delivery Debit — **PFDC** - Payment Free of Delivery Credit	Create: - Edit / Detail View: 0,00 or in case of settled instructions the settled cash value of the transaction	-	-
	— **RFP** - Receive Free of Payment — **DFP** - Delivery Free of Payment	This field is not displayed in the screen for the instruction types Free of Payment (**DFP**, **RFP**).		
Trade Date **Mandatory field during Create (automatically completed by the system)**	All	Create: The current date Edit / Detail View: The date of the trade date	Date of the trade date (may be up to 60 calendar days in the past) -	DD-MM-YYYY

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Booking Timestamp	All	Create: -	-	-
		Edit / Detail View: The actual time of processing of the instruction (e.g. during start of day or night-time settlement) as opposed to the T2S Settlement Date		
Intended Settlement Date **Mandatory field during Create (automatically completed by the system)**	All	Create: The date two T2S Opening Days after the current date	Date of the settlement date	DD-MM-YYYY
		Edit / Detail View: The settlement date on which the settlement of the instruction was intended	-	
Effective Settlement Date	All	Create: -	-	DD-MM-YYYY
		Edit / Detail View: In case of settled instructions the date of the day when the instruction was actually settled		

T2S Status Information

Party Hold Status **Mandatory field during Create**	All	Create: The default value for the securities account specified in the master data	Selection between **Hold** or **Released** By selecting **Hold** it is possible to send a preadvice instruction.	-
		Edit: It is possible to select a different Party Hold Status when editing an instruction. In case of status **Hold** the instruction is also displayed as an entry below **Instruction Alerts** in the task box.		
		Detail view: **Released** or **Hold**	-	

Field	Instruction Type	Content (by system)	Entry (by user)	Length
[Party Hold Status] Additional Information	All	The designation of the displayed status	-	-
CSD Hold Status	All	Create: This field is not displayed in the **Create** screen.		-
		Edit / Detail View: **Released** or **Hold**	-	
[CSD Hold Status] Additional Information	All	Create: This field is not displayed in the **Create** screen.		-
		Edit / Detail View: The designation of the displayed status	-	
Processing Status	All	Create: This field is not displayed in the **Create** screen.		-
		Edit / Detail View: **Accepted**, **Cancellation requested**, **Cancelled**, **Rejected** or **Settled** (depends on the message type)	-	
Reason Code	All	Create: This field is not displayed in the **Create** screen.		-
		Edit / Detail View: depends on the processing status	-	
[Reason Code] **Additional Information**	All	Create: This field is not displayed in the **Create** screen.		-
		Edit / Detail View: The designation of the displayed reason codes	-	
Settlement Status	All	Create: This field is not displayed in the **Create** screen.		-
		Edit / Detail View: **Pending**	-	

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Reason Code	All	Create: This field is not displayed in the **Create** screen.		-
		Edit / Detail View: depends on the settlement status	-	
[Reason Code] **Additional Information**	All	Create: This field is not displayed in the **Create** screen.		-
		Edit / Detail View: The designation of the displayed reason codes	-	
Match Status	All	Create: -	-	-
		Edit / Detail View: **Unmatched** or **Matched**		
Cancellation Requested	All	Create: -	-	-
		Edit / Detail View: **no** (as long as no cancellation has been submitted) **yes** (if a cancellation of the instruction has been entered)		

Field	Instruction Type	Content (by system)	Entry (by user)	Length
OeKB CSD Status				
INFO The fields of this screen section are only displayed in the detail view, not in the Create and Edit screens.				
Instruction Status	All	Detail view: **New**, **Accepted**, **Pending**, **Failing**, **Settled**, **Cancelled**, **Rejected** or **Ignored**	-	-
Creation Time	All	Detail view: Time at which the instruction has been entered in the system	-	-
Request Party BIC	All	Detail view: BIC of the inputting party in case of instructions subject to authorisation according to the 4-eyes principle	-	-
Request User	All	Detail view: In case of instructions, for which an authorisation according to the 4-eyes principle is intended, the user who entered the instruction	-	-
User Request Type	All	Detail view: In case of instructions, for which an authorisation according to the 4-eyes principle is intended, the type of record entered by the user	-	-

Field	Instruction Type	Content (by system)	Entry (by user)	Length
User Request Status	All	Detail view: In case of instructions, for which an authorisation according to the 4-eyes principle is intended, the release status of the record entered by the user	-	-
Additional Information	All	Detail view: Any existing additional information on the OeKB CSD Status	-	-

Open Task

INFO The fields **of this screen section are only displayed in the Edit** screen and in the detail view **if the instruction is subject to authorisation according to the 4-eyes principle and has not yet been processes by a reviewer.**

Task Type	All	Create: This field is not displayed in the **Create** screen.		-
		Edit / Detail View: In case of instructions to be authorised the type of task to be authorised	-	
Creation Time	All	Create: This field is not displayed in the **Create** screen.		-
		Edit / Detail View: Time at which the task has been entered in the system	-	
Party BIC	All	Create: This field is not displayed in the **Create** screen.		-
		Edit / Detail View: BIC of the party which has to process the task	-	

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Processing User	All	Create: This field is not displayed in the **Create** screen.		-
		Edit / Detail View: In case of processed tasks the user who processed the task	-	

4.1.8.2 Settlement Parties (Step 2)

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Add Delivering Party **or**	— **DFP** - Delivery Free of Payment — **DVP** - Delivery versus Payment — **DWP** - Delivery with Payment — **PFRC** - Payment Free of Receive Credit — **PFDC** - Payment Free of Delivery Credit	**BIC - Depository of the Delivering Party** (= depository of the inputting participant) **BIC/ Securities Account - Delivering Party** (= BIC and securities account of the inputting participant)	Create: Additional Delivering Party as required. Clicking on the link opens the following screen sections in consecutive order: — Depository of the Delivering Party — Delivering Party — Client of the Delivering Party (see field descriptions Client of the Receiving/Delivering Party, below) — Delivering Party 3 — Delivering Party 4 — Delivering Party 5 A maximum of 5 participants can be entered. NOTE Enter the receiving party first, before you enter additional delivering parties. Edit / Detail View: -	-

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Add Receiving Party	— **RFP** - Receive Free of Payment — **RVP** - Receive versus Payment — **RWP** - Receive with Payment — **PFRD** - Payment Free of Receive Debit — **PFDD** - Payment Free of Delivery Debit	**BIC - Depository of the Receiving Party** (= depository of the inputting participant) **BIC/ Securities Account - Receiving Party** (= BIC and securities account of the inputting participant)	Create: Additional Receiving Party as required. Clicking on the link opens the following screen sections in consecutive order: — Depository of the Receiving Party — Receiving Party — Client of the Receiving Party (see field descriptions Client of the Receiving/Delivering Party, below) — Receiving Party 3 — Receiving Party 4 — Receiving Party 5 A maximum of 5 participants can be entered. NOTE Enter the delivering party first, before you enter additional receiving parties. Edit / Detail View: -	-

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Depository of the Receiving/Delivering Party				
BIC (Depository of the Receiving Party) **Mandatory field during Create** **or**	— **DFP** - Delivery Free of Payment — **DVP** - Delivery versus Payment — **DWP** - Delivery with Payment — **PFRC** - Payment Free of Receive Credit — **PFDC** - Payment Free of Delivery Credit	Create: OCSDATWWXXX **Auto-Complete**: After input of the first or two consecutive characters of the BIC the system suggests a list of BICs. The complete list of all parties available in the system is displayed after putting the cursor into the field and hitting the arrow down key on the keyboard.	Selection from all central securities depositories available in the list Input of the first or two consecutive characters of the BIC, then selection from the suggested list NOTE If **ECSD** is selected as the depository, the **Securities Account** field in the section **Receiving/Delivering Party** becomes a mandatory field.	BIC11
		Edit / Detail View: The central securities depository selected during creation	-	
BIC (Depository of the Delivering Party) **Mandatory field during Create**	— **RFP** - Receive Free of Payment — **RVP** - Receive versus Payment — **RWP** - Receive with Payment — **PFRD** - Payment Free of Receive Debit — **PFDD** - Payment Free of Delivery Debit			
[BIC] **Description**	All	The designation of the selected depository	-	-

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Receiving/Delivering Party				
BIC (Receiving Party) **Mandatory field during Create** **or**	— **DFP** - Delivery Free of Payment — **DVP** - Delivery versus Payment — **DWP** - Delivery with Payment — **PFRC** - Payment Free of Receive Credit — **PFDC** - Payment Free of Delivery Credit	Create: **Auto-Complete**: After input of the first or two consecutive characters of the BIC the system suggests a list of BICs. The complete list of all parties available in the system is displayed after putting the cursor into the field and hitting the arrow down key on the keyboard.	BIC of the receiving party Input of the first or two consecutive characters of the BIC, then selection from the suggested list	BIC11
		Edit / Detail View: The BIC selected during creation	-	
BIC (Delivering Party) **Mandatory field during Create**	— **RFP** - Receive Free of Payment — **RVP** - Receive versus Payment — **RWP** - Receive with Payment — **PFRD** - Payment Free of Receive Debit — **PFDD** - Payment Free of Delivery Debit		BIC of the delivering party Input of the first or two consecutive characters of the BIC, then selection from the suggested list	
			Edit / Detail View: -	
[BIC] **Description**	All	The designation of the selected counterparty	-	-

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Securities Account	All	Create: The securities account defined as default for the counterparty	Selection from the securities accounts available for the counterparty NOTE This field becomes a mandatory field if the depository selected in the section **Depository of the Receiving/ Delivering Party** is **ECSD**.	-
		Edit / Detail View: The securities account selected during creation	-	
[Securities Account] **Description**	All	The designation of the selected securities account	-	-

Client of the Receiving/Delivering Party

INFO The fields **of this screen section are only displayed in the Edit** screen and in the detail view **if customer data were added when the instruction was entered.**

BIC	All	Create: -	BIC of the client If a BIC is entered, the fields for the Proprietary Information and the Name and Address field are disabled. If the Proprietary Information or a Name and Address are entered, this field is disabled.	BIC11
		Edit / Detail View: The BIC of the client selected during creation	-	
[BIC] **Description**	All	The name of the party entered if known in the system	-	-

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Securities Account	All	Create: -	Securities account of the client	35 max alphanum.
		Edit / Detail View: The securities account of the client selected during creation	-	
Name and Address	All	Create: -	Identification of the client If the name and address are entered, the field for the Proprietary Information and the BIC field are disabled. If the BIC or the Proprietary Information are entered, this field is disabled.	35 max alphanum.
		Edit / Detail View: The identification of the client selected during creation	-	
Proprietary Identification	All	Create: -	ID of the client in the client's proprietary system If the proprietary identification is entered, the BIC field and the Name and Address field are disabled. If the BIC or the Name and Address are entered, this field is disabled.	35 max alphanum.
		Edit / Detail View: The ID of the client in the client's proprietary system selected during creation	-	

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Proprietary Issuer	All	Create: -	Issuer ID in the client's proprietary system If the proprietary issuer is entered, the BIC field and the Name and Address field are disabled. If the BIC or the Name and Address are entered, this field is disabled.	35 max alphanum.
		Edit / Detail View: The issuer ID in the client's proprietary system selected during creation	-	
Proprietary Scheme Name	All	Create: -	Name of the scheme used by the client's proprietary system If the proprietary scheme is entered, the BIC field and the Name and Address field are disabled. If the BIC or the Name and Address are entered, this field is disabled.	35 max alphanum.
		Edit / Detail View: The name of the scheme used by the client's proprietary system selected during creation	-	

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Add Receiving Party or	— **DFP** - Delivery Free of Payment — **DVP** - Delivery versus Payment — **DWP** - Delivery with Payment — **PFRC** - Payment Free of Receive Credit — **PFDC** - Payment Free of Delivery Credit	**BIC - Depository of the Receiving Party** (= depository of the inputting participant) **BIC/ Securities Account - Receiving Party** (= BIC and securities account of the inputting participant)	Create: Additional Receiving Party as required. Clicking on the link opens the following screen sections in consecutive order: ▪ Receiving Party 3 ▪ Receiving Party 4 ▪ Receiving Party 5 ▪ A maximum of 5 participants can be entered. NOTE Enter the receiving party in the section **Receiving Party** first, before you enter additional receiving parties. Edit / Detail View: -	-
Add Delivering Party	— **RFP** - Receive Free of Payment — **RVP** - Receive versus Payment — **RWP** - Receive with Payment — **PFRD** - Payment Free of Receive Debit — **PFDD** - Payment Free of Delivery Debit	**BIC - Depository of the Delivering Party** (= depository of the inputting participant) **BIC/ Securities Account - Delivering Party** (= BIC and securities account of the inputting participant)	Create: Additional Delivering Party as required. Clicking on the link opens the following screen sections in consecutive order: — Delivering Party 3 — Delivering Party 4 — Delivering Party 5 — A maximum of 5 participants can be entered. NOTE Enter the delivering party in the section **Delivering Party** first, before you enter additional delivering parties. Edit / Detail View: -	-

4.1.8.3 Additional Information (Step 3)

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Priority **Mandatory field during Create (automatically completed by the system)**	All	Create: **Normal**	Selection between **Normal** or **High** Instructions with priority **High** are settled before instructions with priority **Normal**.	-
		Edit: It is possible to select a different Priority when editing an instruction.		
		Detail view: **Normal** or **High**	-	
Partial Settlement Ind.	All	Create: The default value for the securities account specified in the master data	Selection between **Partial not allowed** or **Partial allowed** Instructions with the partial settlement indicator **Partial not allowed** will not be partially settled. You can use the additional differentiations **minimum cash** and **minimum quantity** to specify whether to consider the T2S threshold values for all partial settlements of the instruction. For details see *Annex 8 Guideline Settlement and Securities Account Administration*.	-
		Edit: It is possible to select a different Partial Settlement Indicator when editing an instruction.		
		Detail view: **Partial not allowed**, **Partial allowed**, **Partial allowed (minimum cash)** or **Partial allowed (minimum quantity)**	-	
Trade Transaction Condition	All	Create: -	Use the **Edit** icon to select from: — BCBL - Board Lots (UK specific) — BCBN - Bad Names (UK specific) — BCFD - Form of Delivery (UK specific)	-
		Edit / Detail View: The trade transaction condition selected during creation		

Field	Instruction Type	Content (by system)	Entry (by user)	Length
			— BCPD - Place of Delivery (UK specific) — BCRO - Result of Option When Set (UK specific) — BCRP - Result of Repo When Set (UK specific) — CBNS - Cum Bonus — CCPN - Cum Coupon — CDIV - Cum Dividend — CRTS - Cum Rights — CWAR - Cum Warrants — GTDL - Guaranteed Delivery — MAPR - Market Price — NEGO - Negotiated Trade — NMPR - Non-Market Price — SPCU - Special Cum Dividend — SPEX - Special Ex Dividend — XBNS - Ex Bonus — XCPN - Ex Coupon — XDIV - Ex Dividend — XRTS - Ex Rights — XWAR - Ex Warrants	
Opt-out Indicator	All	Create: Input request 'please select ...'	Selection between **yes** or **no** With an Opt-out Indicator selected, this field becomes a matching criterion. For details see *Annex 8 Guideline Settlement and Securities Account Administration*.	-
		Edit / Detail View: **yes** or **no**	-	

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Common Reference	All	Create: - Edit / Detail View: The common referenced used to identify the settlement instruction or the currency and amount entered by OeKB CSD for multicurrency settlement instructions	The common reference to identify the settlement instruction In case of multicurrency settlement instructions, the OeKB CSD uses this field to enter the currency and the amount in the foreign currency to ensure matching. Any data contained in this field will be overwritten in this case. With a Common Reference specified, this field becomes a matching criterion. For details see *Annex 8 Guideline Settlement and Securities Account Administration*.	16 alphanum.
BSSP	All	Create: Input request 'please select ...' Edit / Detail View: **yes** or **no**	Selection between **yes** or **no** Only when these values are present on both, the receipt and delivery instruction, LMFP would not be applied under this exemption rule. -	-
Beneficial Ownership	All	Create: Input request 'please select ...' Edit / Detail View: The Beneficial Ownership Flag entered during creation	Selection between **yes** or **no**	-

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Narrative Trade Details	All	Create: - Edit / Detail View: The text entered during creation	Free text - -	350 alphanum.
Target Restriction Type or	— **RFP** - Receive Free of Payment — **RVP** - Receive versus Payment — **RWP** - Receive with Payment	Create: Input request 'please select ...' Edit / Detail View: The target restriction type selected during creation	Selection from the list: — **EAR1 (Case 3 Position Earmarking)** - earmarked securities position (labelled in an intra-position movement as **Restr. Type Balance To** "EAR1") — **EEUR (Earmarking for auto-collat in EURO)** - earmarked securities position (labelled in an intra-position movement as **Restr. Type Balance To** "EEUR") — **EGBP (Earmarking for auto-collat in GBP)** - earmarked securities position (labelled in an intra-position movement as **Restr. Type Balance To** "EGBP") — **EXXX (Earmarking for auto-collat)** - earmarked securities position (labelled in an intra-position movement as **Restr. Type Balance To** "EXXX") NOTE Restrictions can only be used to allocate an instruction's securities if the necessary restrictions have been created in the form of intra-position movements before. For details see Create Intra-Position Movements. NOTE Additional options will be added by OeKB CSD GmbH if need be	-

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Use of Restrictions	— **DFP** - Delivery Free of Payment — **DVP** - Delivery versus Payment — **DWP** - Delivery with Payment	-	see Use of Restrictions (field description)	Drop-down screen section
Linkages	All	Create: - Edit: It is possible to modify linkages when editing an instruction.	see Linkages (field description)	Drop-down screen section

4.1.8.4 Places (Screen Section, Create Settlement Instruction Step 3)

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Place of Trade	All	Input request 'please select ...'	Selection from the list: — **Stock Exchange (EXCH)** — **Over the Counter (OTCO)** — **Primary Market (PRIM)** — **Secondary Market (SECM)** — **Various (VARI)**	-
MIC	ALL	Market Identifier Code	Only available when “Stock Exchange” is selected as Place of Trade.	4
Place of Clearing	All	BIC of the Place of Clearing	-	BIC11
[Place of Clearing] **Description**	All	Description Place of Clearing	-	-

4.1.8.5 Use of Restrictions (Screen Section, Create Settlement Instruction Step 3)

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Restriction Type	— **DFP** - Delivery Free of Payment — **DVP** - Delivery	Input request 'please select ...'	Selection from the list: — **AWAS (Deliverable Securities Position)** - available securities position — **BLO1 (Case 3 Position Blocking)** - blocked securities	-

Field	Instruction Type	Content (by system)	Entry (by user)	Length
	versus Payment — **DWP** - Delivery with Payment		position (labelled in an intra-position movement as **Restr. Type Balance To** "BLO1") — **EAR1 (Case 3 Position Earmarking)** - earmarked securities position (labelled in an intra-position movement as **Restr. Type Balance To** "EAR1") — **EEUR (Earmarking for auto-collat in EURO)** - earmarked securities position (labelled in an intra-position movement as **Restr. Type Balance To** "EEUR") — **EGBP (Earmarking for auto-collat in GBP)** - earmarked securities position (labelled in an intra-position movement as **Restr. Type Balance To** "EGBP") — **EXXX (Earmarking for auto-collat)** - earmarked securities position (labelled in an intra-position movement as **Restr. Type Balance To** "EXXX") — **RES1 (Case 3 Position Reservation)** - reserved securities position (labelled in an intra-position movement as **Restr. Type Balance To** "RES1") NOTE Restrictions can only be used for an instruction if the necessary restrictions have been created in the form of intra-position movements before. For details see Create Intra-Position Movements. NOTE Additional options will be added by OeKB CSD GmbH if need be	

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Restriction References	— **DFP** - Delivery Free of Payment — **DVP** - Delivery versus Payment — **DWP** - Delivery with Payment	List of the references of all previously entered intra-position movements of the selected type For details on how to create restrictions, please refer to Create Intra-Position Movement.	The **add >** button is used to assign restrictions	-

4.1.8.6 Linkages (Screen Section, Create Settlement Instruction Schritt 3)

TIP It is possible to modify linkages in the **Edit** screen when editing an instruction.

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Sequential Number	All	Create: -	Consecutive number of the newly created instruction in the pool	3 Integer
		Edit / Detail View: The consecutive number entered during creation	-	
Total Number	All	Create: -	Total number of instructions/intra-position movements in the pool	3 Integer
		Edit / Detail View: The total number of instructions/intra-position movements entered during creation	-	

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Linkages Pop-Up Dialog				
Linkage Type **Mandatory field during Create**	All	-	Selection from the list: — **After** - the instruction will be settled after or at the same time as the one it is linked to — **Before** - the instruction will be settled before or at the same time as the one it is linked to — **Information** - this linkage has information purposes only and is chiefly created automatically by the system, e.g. for auto-collateralisation — **With** - the instruction will be settled at the same time as the one it is linked to	-
Reference Type **Mandatory field during Create**	All	Input request 'please select ...'	Selection from the list: — **Customer Reference** - The customer reference associated with the instruction or restriction with which the new instruction shall be linked — **MITI** - The T2S assigned Market Infrastructure Transaction Identifier associated with the instruction or restriction with which the new instruction shall be linked — **Sub Balance Reference** - The restriction reference associated with the restriction with which the new instruction shall be linked — **Pool ID** - The common reference used to identify all the instructions or restrictions in the same pool	-
Reference **Mandatory field during Create**	All	Input request 'please select ...'	The reference as determined by the type of reference selected in the **Reference Type** field	16 alphanum.

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Reference Owner BIC **Mandatory field during Create**	All	Create: BIC of the inputting party **Auto-Complete**: After input of the first or two consecutive characters of the BIC the system suggests a list of BICs. The complete list of all parties available in the system is displayed after putting the cursor into the field and hitting the arrow down key on the keyboard. Edit / Detail View: The BIC selected during creation	BIC of the party in the instruction to be linked Input of the first or two consecutive characters of the BIC, then selection from the suggested list	BIC11
[Reference Owner BIC] **Description**	All	The designation of the instructing party	-	-

4.2 Search Settlement Instructions

You cansearch for settlement instructions in order to modify, copy or cancel them.

TIP If you repeatedly use the same search criteria, you can enter them and save them in a search template.

How to Open the Search Settlement Instructions Screen

Step by Step

1 In the menu bar, select *Settlement* > *Search Settlement Instructions*.
The **Search Settlement Instructions** screen appears.

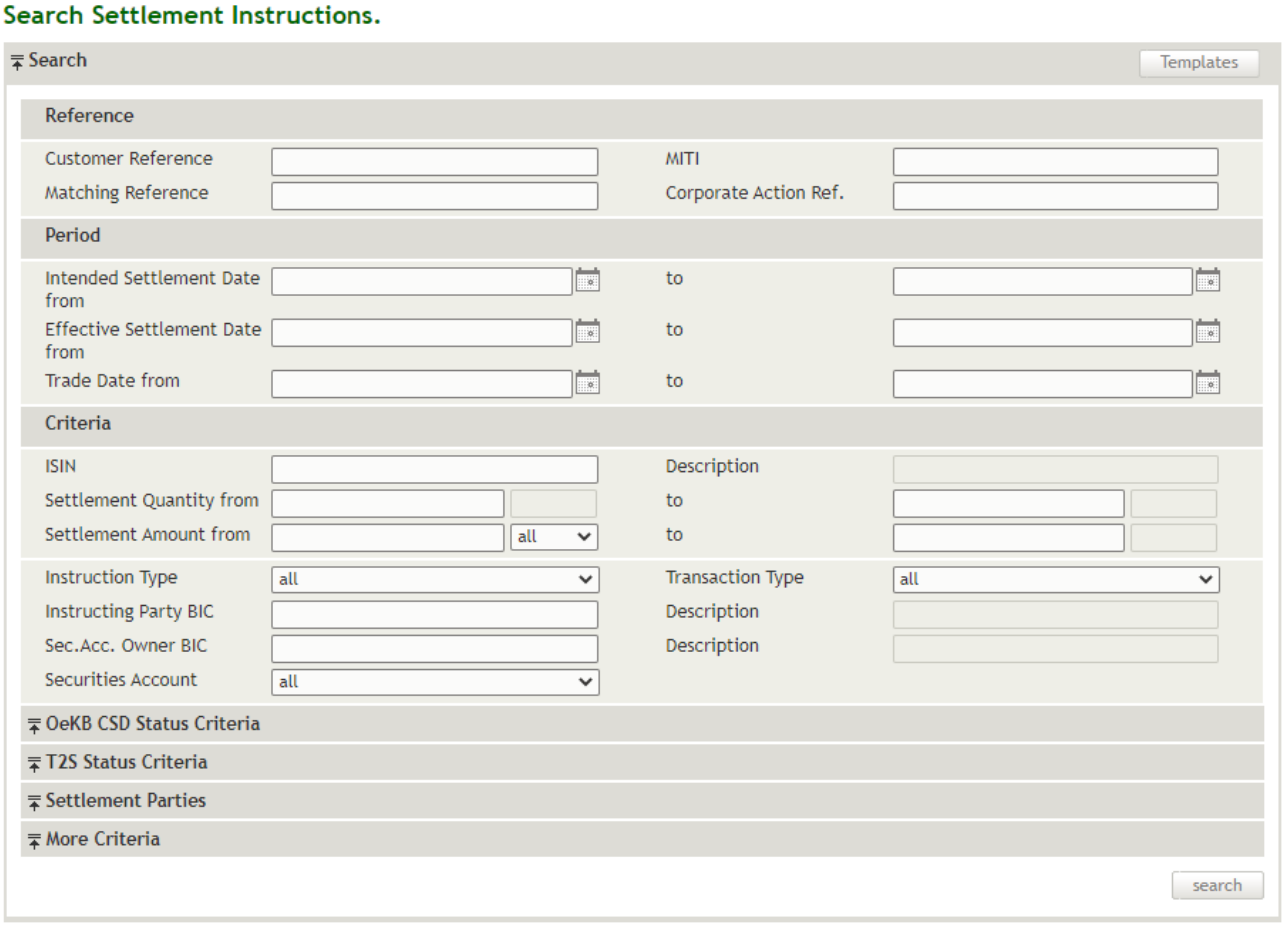


Figure 40: Search Settlement Instructions

You can use the following drop-down screen sections to enter search criteria:

- Search (this section is displayed when the screen is opened for the first time, fig. **Fehler! Verweisquelle konnte nicht gefunden werden.**)
- OeKB CSD Status Criteria (fig. **Fehler! Verweisquelle konnte nicht gefunden werden.**)
- T2S Status Criteria (fig. **Fehler! Verweisquelle konnte nicht gefunden werden.**)
- Settlement Parties (fig. **Fehler! Verweisquelle konnte nicht gefunden werden.**)
- More Criteria (fig. **Fehler! Verweisquelle konnte nicht gefunden werden.**)

TIP	The system records the screen sections displayed and the search screen appears in the same way when you open it the next time.

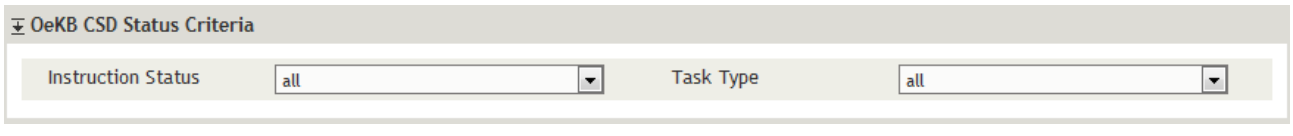


Figure 41: Search Settlement Instructions - OeKB CSD Status Criteria

Figure 42: Search Settlement Instructions - T2S-Status Criteria

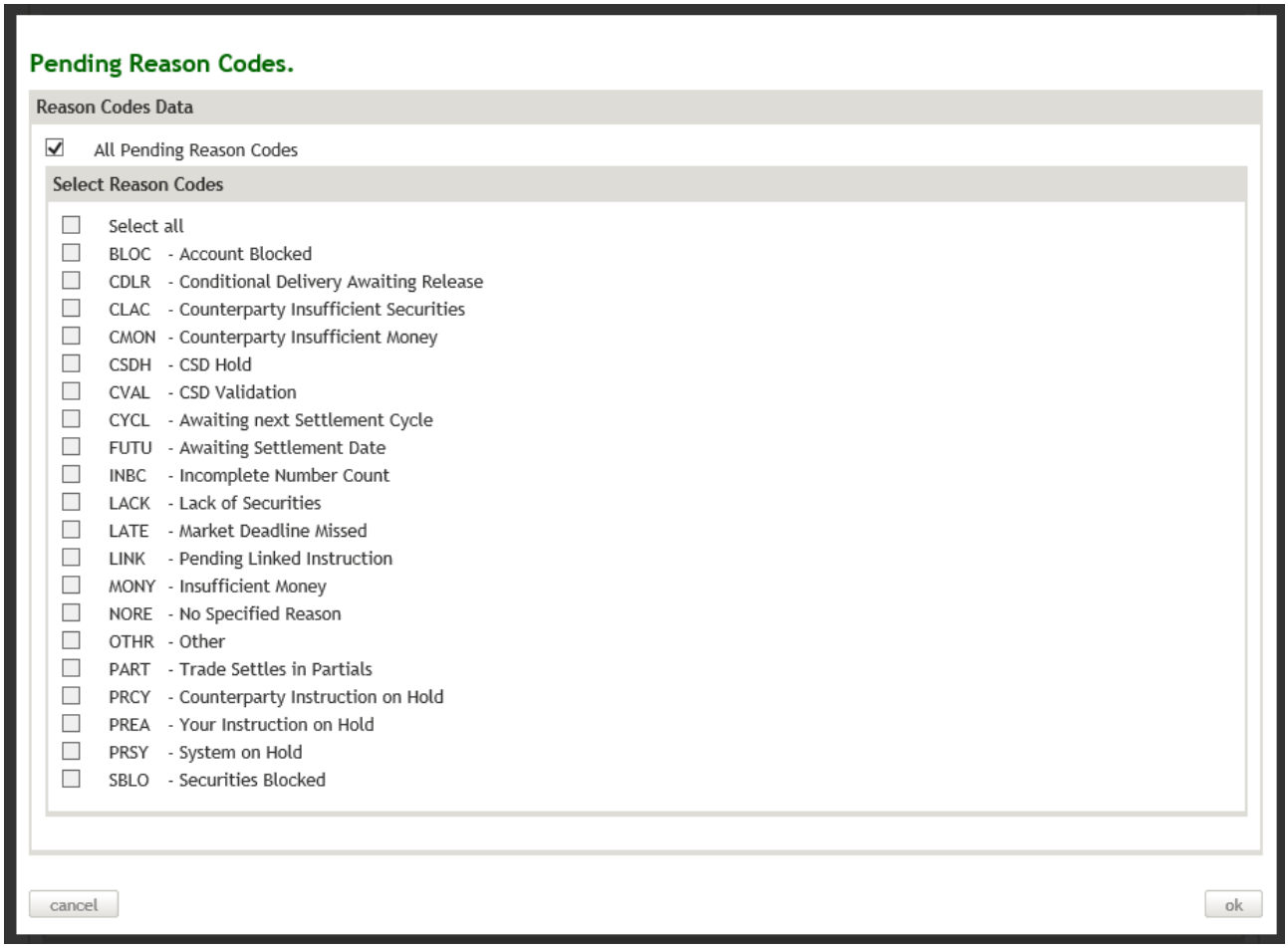


Figure 43: Search Settlement Instructions - Pending Reason Codes (pop-up-dialog)

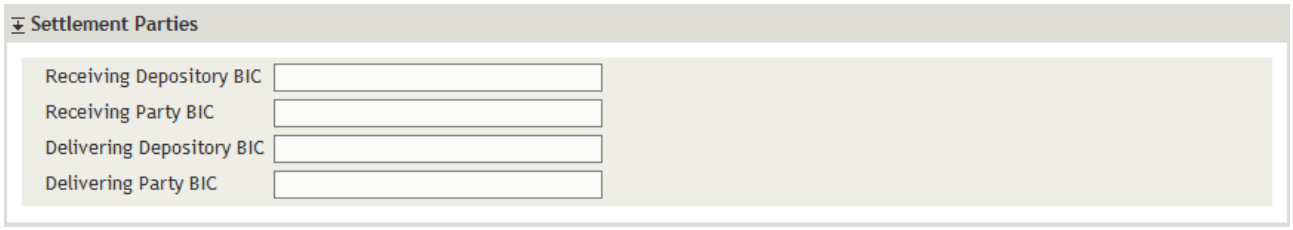


Figure 44: Search Settlement Instructions - Settlement Parties

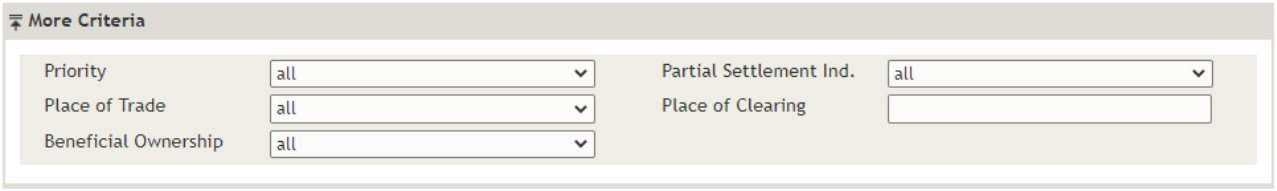


Figure 45: Search Settlement Instructions - More Criteria

TIP	Clicking on **search** without entering search criteria lists all instructions available in the system. To search for (a) specific instruction(s), enter criteria in the fields which best characterise the instruction you are looking for.

4.2.1 Modifying Settlement Instructions

To modify a settlement instruction not displayed in the task list (see Processing of Open Tasks) or among the Instruction Alerts, you need to search for the instruction you are looking for. Then you can use the Edit screen to make the desired changes. You may change the entries in the following fields of the Edit screen:

— Released Quantity (step: Instruction Details)
— Party Hold Status (step: Instruction Details)
— Priority (step: Additional Information)
— Partial Settlement Ind. (step: Additional Information)
— Linkages (drop-down screen section in step: Additional Information)

NOTE	Depending on the processing status and the instruction type some fields may be disabled or not visible.

TIP	Editing an instruction is also possible from the detail view using the **edit** button.
TIP	The detailed description of the fields in the **Edit Settlement Instruction** screen are available in the individual Field Descriptions tables in chapter Create Settlement Instruction.

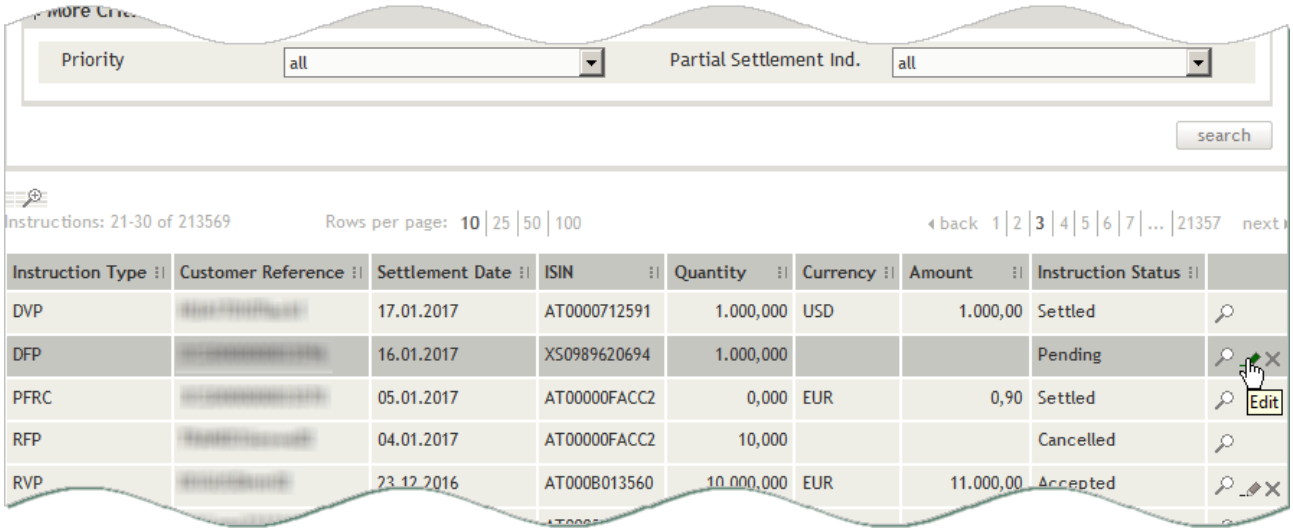


Figure 46: Search Settlement Instructions - search result list (example: edit)

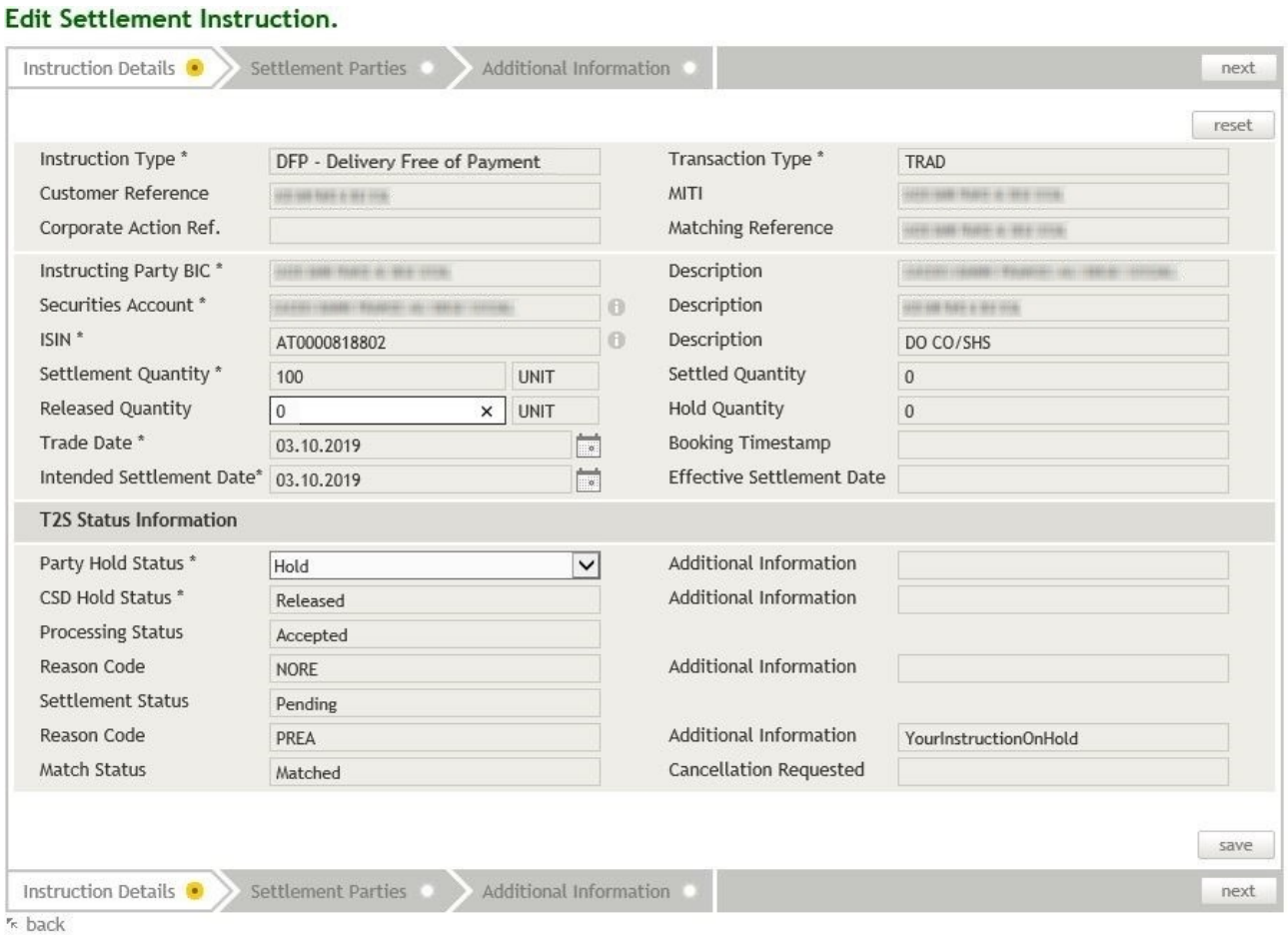


Figure 47: Edit Settlement Instruction - Instruction Details (example: DFP)

Edit Settlement Instruction.

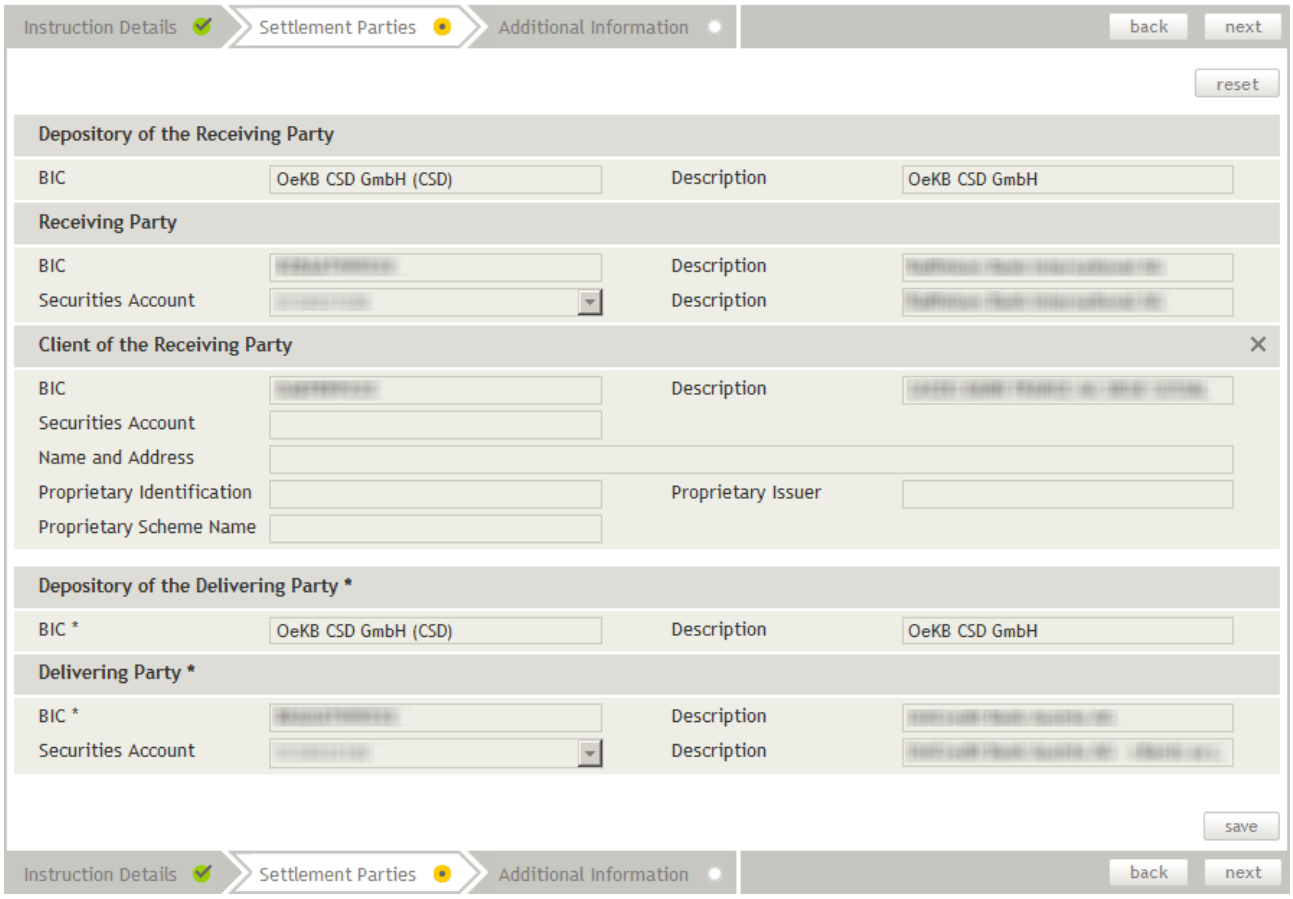


Figure 48: Edit Settlement Instruction - Settlement Parties

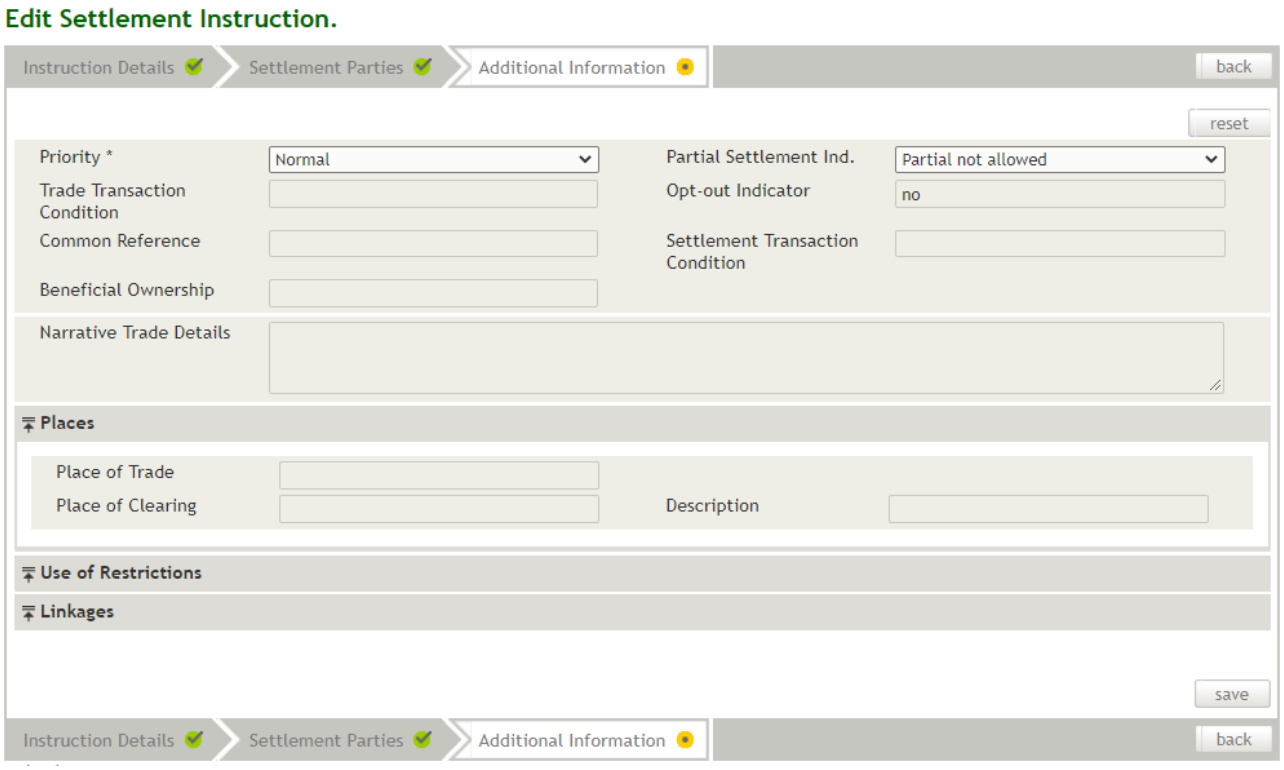


Figure 49: Edit Settlement Instruction - Additional Information

TIP	In case of instructions not yet settled the system displays the type of error and the reason why settlement has failed at the top left and the bottom left of the screen, respectively, in red typeface.

How to Modify a Settlement Instruction

Step by Step

1 In the menu bar, select *Settlement* > *Search Settlement Instructions*.
The **Search Settlement Instructions** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

- Settlement Amount Currency (= all)
- Instruction Type (= all)
- Transaction Type (= all)
- Securities Account (= all)
- Instruction Status (= all)
- Task Type (= all)
- Party Hold Status (= all)
- CSD Hold Status (= all)
- CSD Validation Hold Status (= all)
- CoSD Hold Status (= all)
- Processing Status (= all)
- Pending Reason Codes (= all)
- Match Status (= all)
- Priority (= all)
- Partial Settlement Ind. (= all)
- Place of Trade (= all)
- Beneficial Ownership (=all)

2 Enter the desired search criteria in the available fields or limit the selections in the fields completed by the system.

3 Click on the **search** button.
The search result list containing all instructions matching your search criteria appears.

4 You have the following options:

a1 In the row of the record you want to modify, click on the **Details** icon to open the detail view.

a2 Click **edit** to open the **Edit** screen of the record.

INFO	The system only displays the **edit** button if your user permissions allow you to modify data.

b In the row of the record you want to modify, click on the **Edit** icon to open the **Edit** screen.

INFO	The system only displays the **Edit** icon if your user permissions allow you to modify data.

5 Modify the record as required.

NOTE	Depending on the processing status and the instruction type some fields may be disabled.

INFO	Only **Party Hold Status**, **Released Quantity, Priority**, **Partial Settlement Indicator** and **Linkages** can be modified when editing instructions.

TIP	In case of instructions not yet settled the system displays the type of error and the reason why settlement has failed at the top left and the bottom left of the screen, respectively, in red typeface.

6 Click **save** to save your changes.

INFO	If an authorisation according to the 4-eyes principle is required, this record will be listed in the **Tasks waiting for approval** section of the task box until it gets authorised by a releaser.

The instruction is saved and submitted to the system for processing or for 4EP authorisation. The system displays the **Settlement Instruction Summary**, where you can verify the data you have entered. The screen includes the Instruction History and the Status History in separate tabs.

7 Click **ok** in the **Settlement Instruction Summary** to confirm your entries.
The entry page appears.

4.2.2 Modifying a Linkage for an Instruction

The concept and modification of linkages for instructions is identical to entering linkages for instructions for the first time. See Entering Linkages for an Instruction

4.2.3 Searching for a Settlement Instruction

How to Search for a Settlement Instruction

Step by Step

1 In the menu bar, select *Settlement* > *Search Settlement Instructions*.
The **Search Settlement Instructions** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

- Settlement Amount Currency (= all)
- Instruction Type (= all)
- Transaction Type (= all)
- Securities Account (= all)
- Instruction Status (= all)
- Task Type (= all)
- Party Hold Status (= all)
- CSD Hold Status (= all)
- CSD Validation Hold Status (= all)
- CoSD Hold Status (= all)
- Processing Status (= all)
- Pending Reason Codes (= all)
- Match Status (= all)
- Priority (= all)
- Partial Settlement Ind. (= all)
- Place of Trade (= all)
- Beneficial Ownership (=all)

2 Enter the desired search criteria in the available fields or limit the selections in the fields completed by the system.

3 Click on the **search** button.
The search result list containing all instructions matching your search criteria appears.

4.2.4 Copying a Settlement Instruction

In the detail view of an instruction you can create a copy of the current instruction.

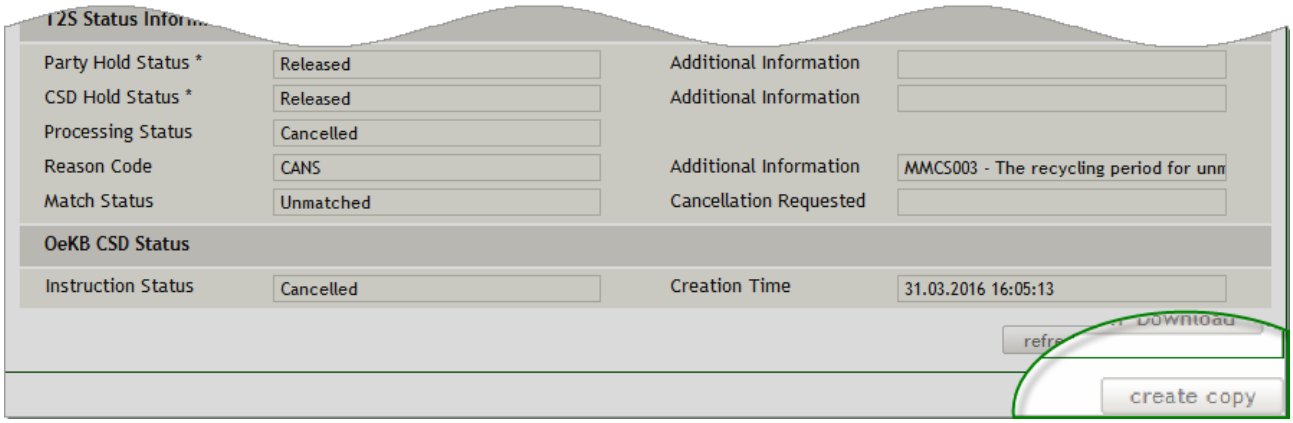


Figure 50: Copying a settlement instruction

How to Copy a Settlement Instruction

Step by Step

1 In the menu bar, select *Settlement* > *Search Settlement Instructions*.
The **Search Settlement Instructions** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

- Settlement Amount Currency (= all)
- Instruction Type (= all)
- Transaction Type (= all)
- Securities Account (= all)
- Instruction Status (= all)
- Task Type (= all)
- Party Hold Status (= all)
- CSD Hold Status (= all)
- CSD Validation Hold Status (= all)
- CoSD Hold Status (= all)
- Processing Status (= all)
- Pending Reason Codes (= all)
- Match Status (= all)
- Priority (= all)
- Partial Settlement Ind. (= all)
- Place of Trade (= all)
- Beneficial Ownership (=all)

2 Enter the desired search criteria in the available fields or limit the selections in the fields completed by the system.

3 Click on the **search** button.
The search result list containing all instructions matching your search criteria appears.

4 In the row of the record you want to copy, click on the **Details** icon to open the detail view.

5 Click on the **create copy** button.
The **Create Settlement Instruction** screen appears.
The fields are filled with the data of the copied instruction.

6 In all three steps of the screen (see Create Settlement Instruction), enter or modify the data which should be different in the new instruction.

7 Click **save** to save your changes.

INFO	If an authorisation according to the 4-eyes principle is required, this record will be listed in the **Tasks waiting for approval** section of the task box until it gets authorised by a releaser.

The instruction is saved and submitted to the system for processing or for 4EP authorisation. The system displays the **Settlement Instruction Summary**, where you can verify the data you have entered. The screen includes the Instruction History and the Status History in separate tabs.

8 Click **ok** in the **Settlement Instruction Summary** to confirm your entries.
The entry page appears.

4.2.5 Cancelling Settlement Instructions

If you want to cancel a settlement instruction, you need to search for the instruction you are looking for. Then you can click on the **X** icon on the right-hand side of the row which displays the instruction to be cancelled.

TIP	Cancelling an instruction is also possible from the detail view using the **cancel instruction** button.

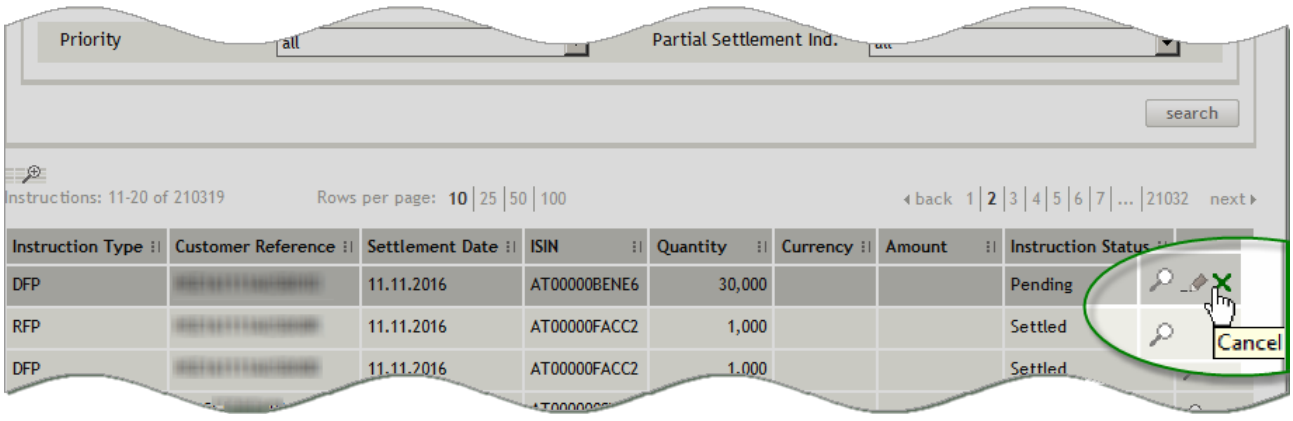


Figure 51: Search Settlement Instructions - search result list (example: cancel)

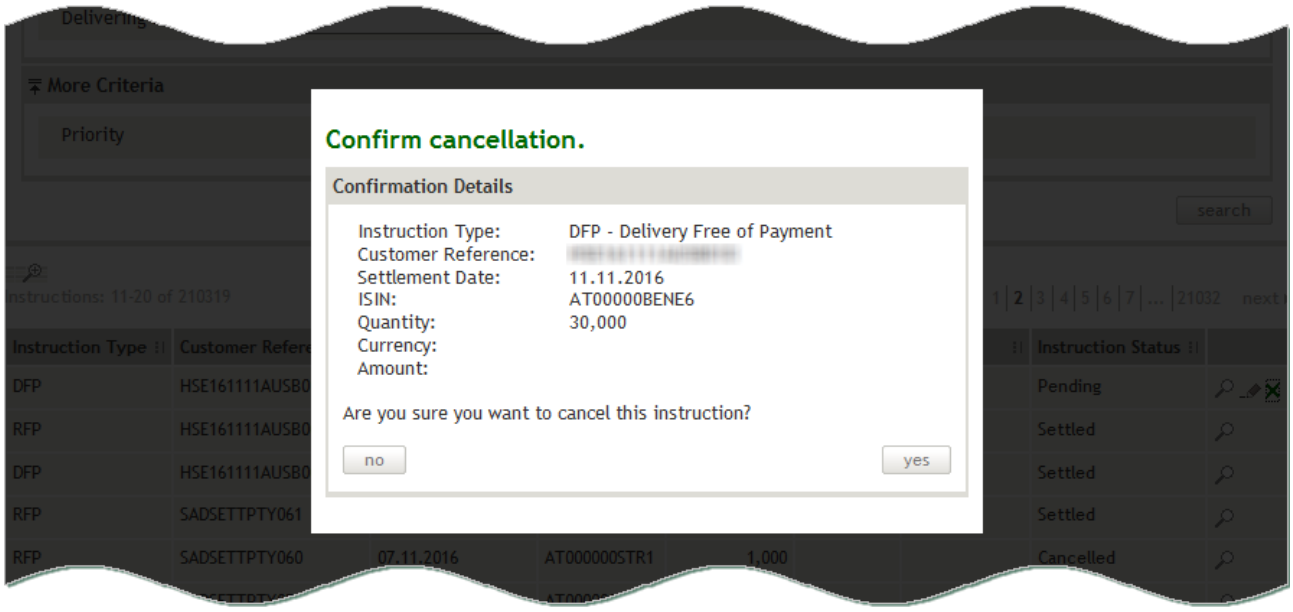


Figure 52: Confirm cancellation (settlement instruction)

How to Cancel a Settlement Instructions

Step by Step

1 In the menu bar, select *Settlement* > *Search Settlement Instructions*.
The **Search Settlement Instructions** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

- Settlement Amount Currency (= all)
- Instruction Type (= all)
- Transaction Type (= TRAD, standard type for instructions)
- Securities Account (= all)
- Instruction Status (= all)
- Task Type (= all)
- Party Hold Status (= all)
- CSD Hold Status (= all)
- CSD Validation Hold Status (= all)
- CoSD Hold Status (= all)
- Processing Status (= all)
- Pending Reason Codes (= all)
- Match Status (= all)
- Priority (= all)
- Partial Settlement Ind. (= all)
- Place of Trade (= all)
- Beneficial Ownership (=all)

2 Enter the desired search criteria in the available fields or limit the selections in the fields completed by the system.

3 Click on the **search** button.
The search result list containing all instructions matching your search criteria appears.

4 In the row containing the instruction to be cancelled, click on the **X** icon.

TIP	Cancelling an instruction is also possible from the detail view using the **cancel instruction** button.

5 Click **yes** in the pop-up dialog.

INFO	If an authorisation according to the 4-eyes principle is required, this record will be listed in the **Tasks waiting for approval** section of the task box until it gets authorised by a releaser.

The instruction is cancelled and submitted to the system for processing or for 4EP authorisation.
The search result list is still available on the screen.

4.2.6 Saving a Settlement Instruction in PDF Format

In the detail view of an instruction you can save the details of the current instruction in PDF format and store it locally on your computer if you like.

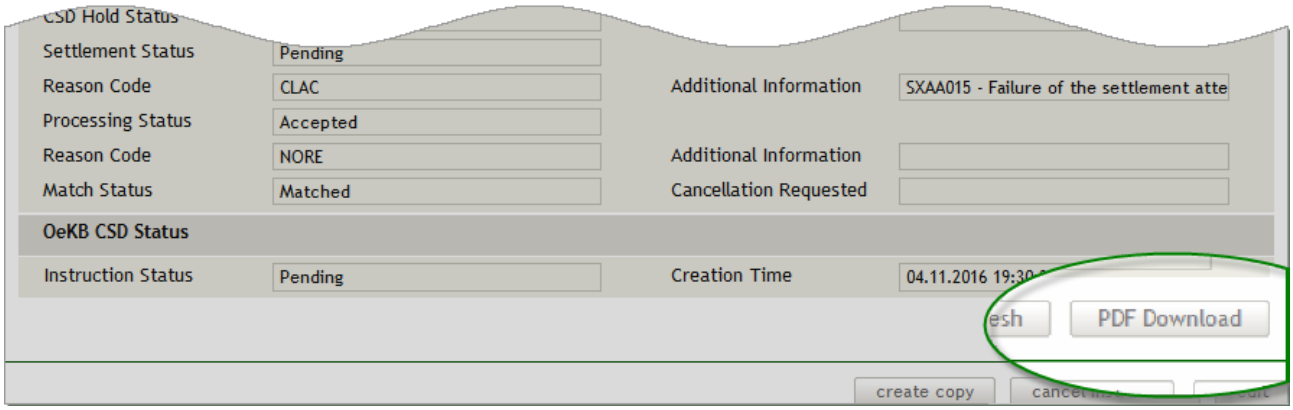


Figure 53: Saving a settlement instruction in PDF format

How to Save a Settlement Instruction in PDF Format

Step by Step

1 In the menu bar, select *Settlement* > *Search Settlement Instructions*.
The **Search Settlement Instructions** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

- Settlement Amount Currency (= all)
- Instruction Type (= all)
- Transaction Type (= TRAD, standard type for instructions)
- Securities Account (= all)
- Instruction Status (= all)
- Task Type (= all)
- Party Hold Status (= all)
- CSD Hold Status (= all)
- CSD Validation Hold Status (= all)
- CoSD Hold Status (= all)
- Processing Status (= all)
- Pending Reason Codes (= all)
- Match Status (= all)
- Priority (= all)
- Partial Settlement Ind. (= all)
- Place of Trade (= all)
- Beneficial Ownership (=all)

2 Enter the desired search criteria in the available fields or limit the selections in the fields completed by the system.

3 Click on the **search** button.
The search result list containing all instructions matching your search criteria appears.

4 In the row of the record you want to save in PDF format, click on the **Details** icon 🔎 to open the detail view.

5 Click on the **PDF download** button.

6 In the system screen, choose whether to open the PDF file or save it to your computer.

4.2.7 Instruction History (Settlement Instruction)

The Instruction History in the detail view of an instruction shows the detailed sequence of user actions (see Securities Accounts list) and user tasks (see Task Box) carried out for the specific instruction. It also shows all messages (inbound and outbound) of the instruction. The original messages can be accessed by clicking on the **Detail** icon.

NOTE It is not possible to edit entries in the Instruction History.

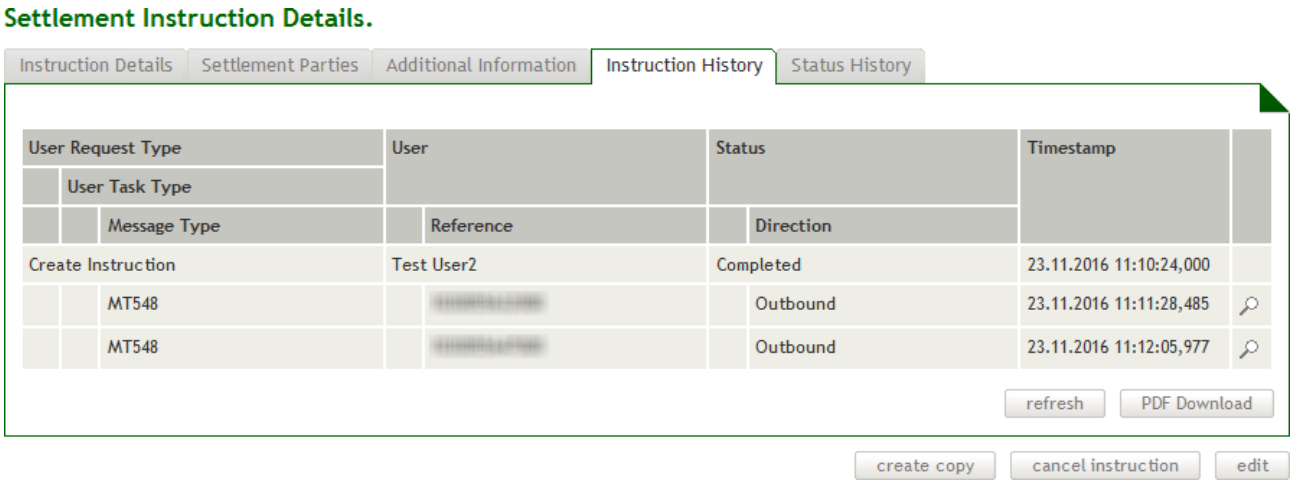


Figure 54: Instruction History - settlement instruction

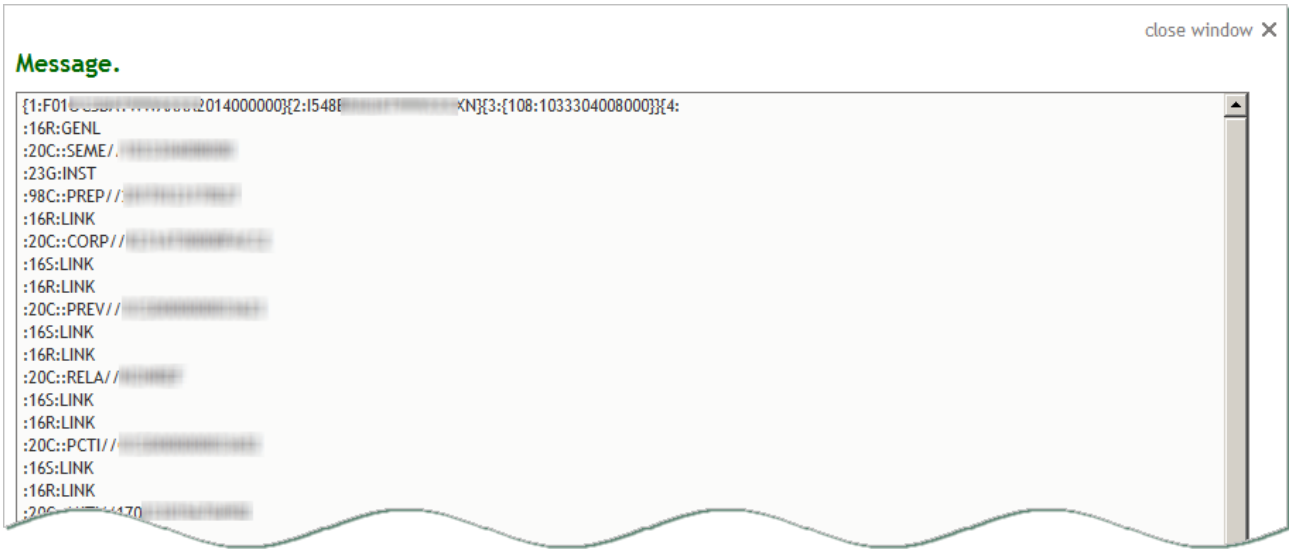


Figure 55: Instruction History - settlement instruction (message detail)

4.2.8 Status History (Settlement Instruction)

The Status History in the detail view of an instruction shows the detailed sequence of status modifications applied to the specific instruction.

NOTE It is not possible to edit entries in the Status History.

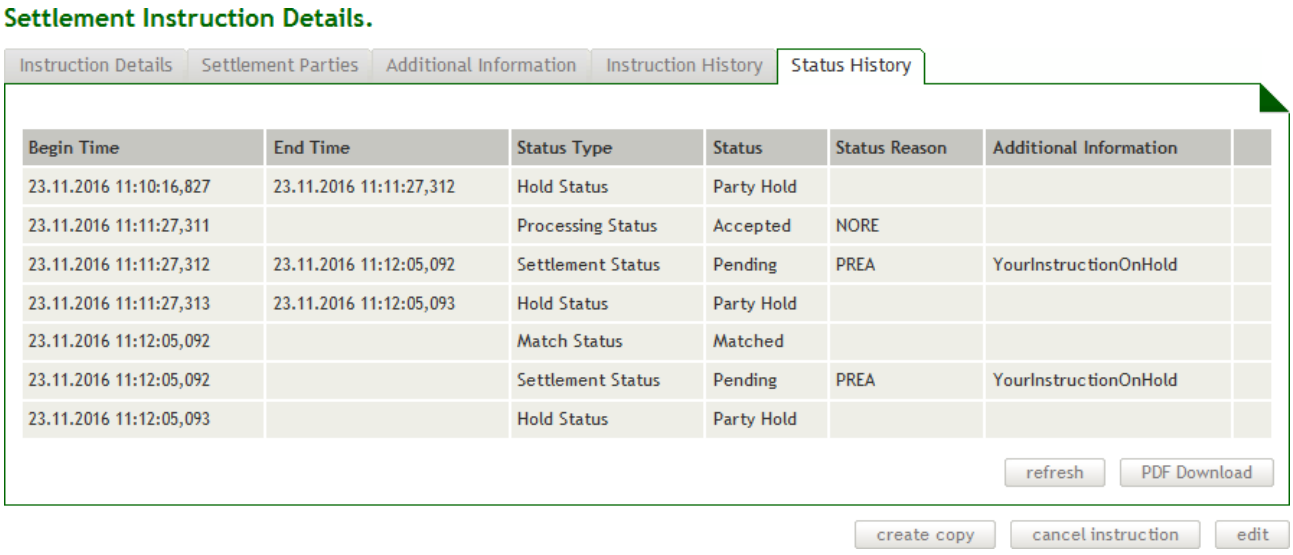
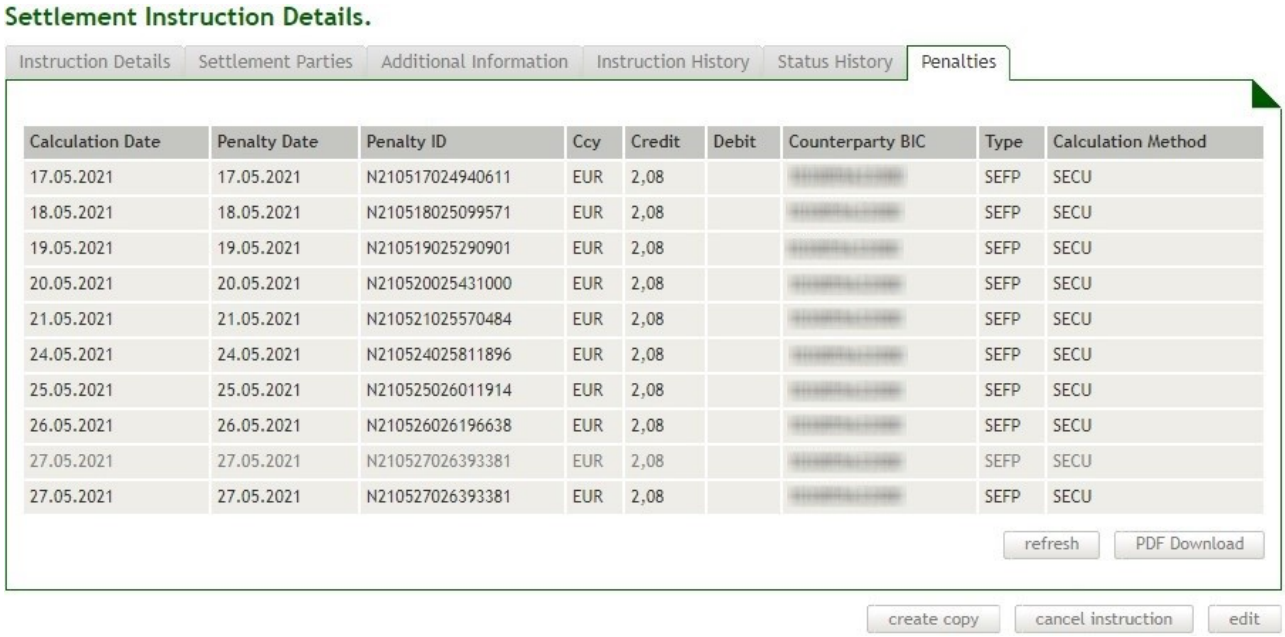


Figure 56: Status History - Settlement Instruction

4.2.9 Penalties (Settlement Instruction)

The Penalties in the detail view of an instruction shows the detailed sequence of penalties for this Instruction.

NOTE Modified penalties are displayed in yellow, deactivated penalties in gray



Calculation Date	Penalty Date	Penalty ID	Ccy	Credit	Debit	Counterparty BIC	Type	Calculation Method
17.05.2021	17.05.2021	N210517024940611	EUR	2,08			SEFP	SECU
18.05.2021	18.05.2021	N210518025099571	EUR	2,08			SEFP	SECU
19.05.2021	19.05.2021	N210519025290901	EUR	2,08			SEFP	SECU
20.05.2021	20.05.2021	N210520025431000	EUR	2,08			SEFP	SECU
21.05.2021	21.05.2021	N210521025570484	EUR	2,08			SEFP	SECU
24.05.2021	24.05.2021	N210524025811896	EUR	2,08			SEFP	SECU
25.05.2021	25.05.2021	N210525026011914	EUR	2,08			SEFP	SECU
26.05.2021	26.05.2021	N210526026196638	EUR	2,08			SEFP	SECU
27.05.2021	27.05.2021	N210527026393381	EUR	2,08			SEFP	SECU
27.05.2021	27.05.2021	N210527026393381	EUR	2,08			SEFP	SECU

Figure 57: Penalties - Settlement Instruction

4.2.10 Refreshing Data in the Settlement Instruction Detail View

The **Settlement Instruction Details** screen shows data current at the time when the screen was opened. In order to display status changes which were carried out by the system or received in the meantime, click on the **refresh** button.

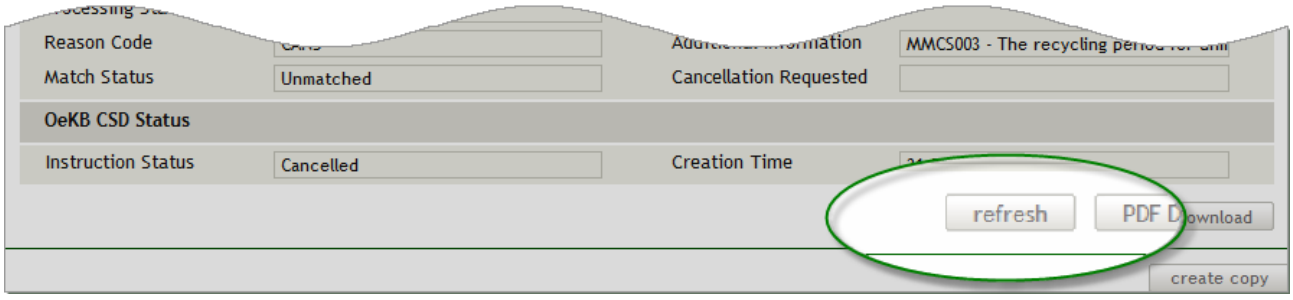


Figure 58: Refreshing data (Settlement Instruction Details)

4.2.11 Field Descriptions (Search Settlement Instructions)

The description of the fields in the **Search Settlement Instructions** screen is sectioned in four parts, i.e. the four drop-down screen sections:

— Search (this section is displayed when the screen is opened for the first time)

— OeKB CSD Status Criteria

— T2S Status Criteria

— Settlement Parties

— More Criteria

TIP	The system records the screen sections displayed and the search screen appears in the same way when you open it the next time.

4.2.11.1 Search (Screen Section, Search Settlement Instructions)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Reference				
Customer Reference	-	Customer reference of the instruction(s) to be found	-	16 max alphanum.
MITI	-	Market Infrastructure Transaction Identifier of the instruction(s) to be found	-	16 max alphanum.
Matching Reference	-	Reference of the instruction(s) to be found assigned by T2S after matching	-	16 max alphanum.
Corporate Action Reference	-	Reference of the corporate action associated with the instruction(s) to be found	-	16 max alphanum.
Period				
Intended Settlement Date from - to	-	Date range within which the intended settlement date of the instruction(s) to be found shall lie If you leave one of the fields empty, the system will search starting from or ending with the date that has been entered. If you are searching for a specific day, enter the same date into both fields.	Calendar icon	DD-MM-YYYY
Effective Settlement Date from - to	-	Date range within which the effective settlement date of the instruction(s) to be found shall lie If you leave one of the fields empty, the system will search starting from or ending with the date that has been entered. If you are searching for a specific day, enter the same date into both fields.	Calendar icon	DD-MM-YYYY

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Trade Date from - to	-	Date range within which the trade date of the instruction(s) to be found shall lie If you leave one of the fields empty, the system will search starting from or ending with the date that has been entered. If you are searching for a specific day, enter the same date into both fields.	Calendar icon	DD-MM-YYYY

Criteria

ISIN	**Auto-Complete**: After input of the country code the system suggests a list of ISIN.	ISIN of the instruction(s) to be found Country code, then selection from the suggested list	Selection list after input of country code	12 alphanum.
[ISIN] Description	The designation of the financial instrument	-	-	-
Settlement Quantity from - to	-	Value range within which the quantity or nominal value of the financial instrument in the instruction(s) to be found shall lie If you leave one of the fields empty, the system will search starting from or ending with the value that has been entered. If you are searching for a specific quantity, enter the same value into both fields.	-	positive decimal number
[Quantity Type]	After ISIN input or selection: — **FAMT** - for financial instruments with a price as percentage of par (face amount) — **UNIT** - for financial instruments with a price per unit	-	-	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Settlement Amount from - to	-	Value range within which the corresponding cash value of the instruction(s) to be found shall lie If you leave one of the fields empty, the system will search starting from or ending with the value that has been entered. If you are searching for a specific quantity, enter the same value into both fields.	-	positive decimal number
[Settlement Amount Currency]	all The system searches for instructions with any currency	Selection from **CHF**, **EUR**, **GBP**, **USD**	Selection	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Instruction Type	all The system searches for instructions with any instruction type.	Selection from the list: — **RFP** - Receive Free of Payment, to search only for instructions of type RFP — **DFP** - Delivery Free of Payment, to search only for instructions of type DFP — **RVP** - Receive versus Payment, to search only for instructions of type RVP — **DVP** - Delivery versus Payment, to search only for instructions of type DVP — **RWP** - Receive with Payment, to search only for instructions of type RWP — **DWP** - Delivery with Payment, to search only for instructions of type DWP — **PFRD** - Payment Free of Receive Debit, to search only for instructions of type **PFR Debit** — **PFDD** - Payment Free of Delivery Debit, to search only for instructions of type **PFD Debit** — **PFRC** - Payment Free of Receive Credit, to search only for instructions of type **PFR Credit** — **PFDC** - Payment Free of Delivery Credit, to search only for instructions of type **PFD Credit**	Selection	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Transaction Type	**TRAD** - Standard Instruction The system searches only for instructions of transaction type TRAD.	Selection from the list	Selection	-
Instructing Party BIC	- **Auto-Complete**: After input of the first or two consecutive characters of the BIC the system suggests a list of BICs. The complete list of all parties available in the system is displayed after putting the cursor into the field and hitting the arrow down key on the keyboard.	Input of the first or two consecutive characters of the BIC, then selection from the suggested list of parties for which you are authorised to access data	Selection list after input of the first or of two consecutive character(s)	BIC11
[Instructing Party BIC] Description	The designation of the instructing party	-	-	-
Securities Account	all The system searches for instructions with any securities account of the inputting party.	Selection from the securities accounts available for the instructing party INFO In addition to the securities account number this field shows the BIC of the securities account holder.	Selection	35 max alphanum.

4.2.11.2 OeKB CSD Status Criteria (Screen Section, Search Settlement Instructions)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Instruction Status	all The system searches for instructions with any instruction status.	Selection from the list: — **New**, to search only for newly created instructions. — **Accepted**, to search only for instructions already accepted for processing by T2S. — **Pending**, to search only for instructions for which T2S has returned status Pending. — **Failing**, to search only for instructions for which T2S has returned status Failing. — **Settled**, to search only for settled instructions. — **Cancelled,** to search only for cancelled instructions. — **Rejected**, to search only for instructions rejected by the system.	Selection	-
Task Type	all The system searches for instructions with any type of task.	Selection from **All open tasks**, **User approval task** or **User processing task** By selecting **All open tasks** it is possible to search for instructions which are open tasks. By selecting **User approval tasks** it is possible to search for instructions which are tasks to be approved by another user. By selecting **User processing task** it is possible to search for instructions which are tasks with status **Cancelled** or **Rejected**.	Selection	-

4.2.11.3 T2S Status Criteria (Screen Section, Search Settlement Instructions)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Party Hold Status	all The system searches for instructions with any **Party Hold** Status.	Selection between **Hold** or **Released** By selecting **Hold** it is possible e.g. to search only for preadvice instructions.	Selection	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
CSD Hold Status	all The system searches for instructions with any **Hold** status set by the OeKB CSD.	Selection between **Hold** or **Released** By selecting **Hold** it is possible to search exclusively for instructions set on status **Hold** by the OeKB CSD.	Selection	-
CSD Validation Hold Status	all The system searches for instructions with any Hold status related to blocked securities accounts. For more details about blocked securities account categories and the settlement of instructions for blocked securities accounts, please refer to *Annex 8 Guideline Settlement and Securities Account Administration*.	Selection between **Hold** or **Released** By selecting **Hold** it is possible e.g. to search exclusively for instructions which require other processing steps due to the blocked status of a securities account.	Selection	-
CoSD Hold Status	all The system searches for instructions with any Conditional Securities Delivery Hold status.	Selection between **Hold** or **Released** By selecting **Hold** it is possible e.g. to search exclusively for multicurrency **DVP** instructions which have not yet been settled externally.	Selection	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Processing Status	all The system searches for instructions with any processing status.	Selection from **Accepted**, **Cancelled**, **Rejected** or **Cancellation Requested** By selecting **Accepted** it is possible to search exclusively for instructions which have already been accepted by the system for processing. By selecting **Cancelled** it is possible to search exclusively for cancelled instructions. By selecting **Rejected** it is possible to search exclusively for instructions which have been rejected by the system. By selecting **Cancellation Requested** it is possible to search exclusively for instructions for which the counterparty has submitted a cancellation.	Selection	-
Pending Reason Codes	all	Selection from the list by clicking on the icon : — **BLOC** - Account Blocked — **CDLR** - Conditional Delivery Awaiting Release — **CLAC** - Counterparty Insufficient Securities — **CMON** - Counterparty Insufficient Money — **CSDH** - CSD Hold — **CVAL** - CSD Validation — **CYCL** - Awaiting next Settlement Cycle — **FUTU** - Awaiting Settlement Date — **INBC** - Incomplete Number Count — **LACK** - Lack of Securities — **LATE** - Market Deadline Missed — **LINK** - Pending Linked Instruction — **MONY** - Insufficient Money — **NORE** - No Specified Reason — **OTHR** - Other — **PART** - Trade Settles In Partials	Selection	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
		— **PRCY** - Counterparty Instruction on Hold — **PREA** - Your Instruction on Hold — **PRSY** - System on Hold — **SBLO** - Securities Blocked		
Match Status	all The system searches for instructions with any matching status.	Selection between **Matched** or **Unmatched**	Selection	-

4.2.11.4 Settlement Parties (Screen Section, Search Settlement Instructions)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Receiving Depository BIC	-	BIC of the depository of the receiving party in the instruction(s) to be found	-	BIC11
Receiving Party BIC	-	BIC of the receiving party in the instruction(s) to be found	-	BIC11
Delivering Depository BIC	-	BIC of the depository of the delivering party in the instruction(s) to be found	-	BIC11
Delivering Party BIC	-	BIC of the delivering party in the instruction(s) to be found	-	BIC11

4.2.11.5 More Criteria (Screen Section, Search Settlement Instructions)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Priority	all The system searches for instructions with any priority.	Selection between **High** or **Normal** By selecting **High** it is possible e.g. to search exclusively for instructions with high priority.	Selection	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Partial Settlement Ind.	all The system searches for instructions with any Partial Settlement Indicator.	Selection between **Partial allowed** or **Partial not allowed** By selecting **Partial allowed** it is possible e.g. to search for instructions where partial settlement is permitted. You can use the additional differentiations **minimum cash** and **minimum quantity** to specify whether to limit the results to partially settling instructions where the T2S threshold values are observed. For details see *Annex 8 Guideline Settlement and Securities Account Administration*.	Selection	-
Place of Trade	all The system searches for instructions with any place of trade.	Selection between: - Stock Exchange - Over the Counter - Primary Market - Secondary Market - Various	Selection	-
Place of Clearing		BIC of the Place of Trade in the instruction(s) to be found	-	BIC11
Beneficial Ownership	all The system searches for instructions with any Beneficial Ownership	Selection between: - yes - no	Selection	-

5. Intra-Position Movements

Via the menu item *Settlement* you can create new intra-position movements or search for specific intra-position movements in the system.

Intra-Position Movements are used to block, reserve or earmark positions on a securities account for later use as specific positions to be settled in a settlement instruction.

5.1 Create Intra-Position Movement

How to Open the Create Intra-Position Movement Screen

Step by Step

1 In the menu bar, select *Settlement* > *Create Intra-Position Movement*.
The **Create Intra-Position Movement** screen appears.

A detailed description of all fields, their interdependences from one another or from master data settings, and permitted input (e.g. numbers, text, dates, length, etc.) is available in the Field Descriptions table.

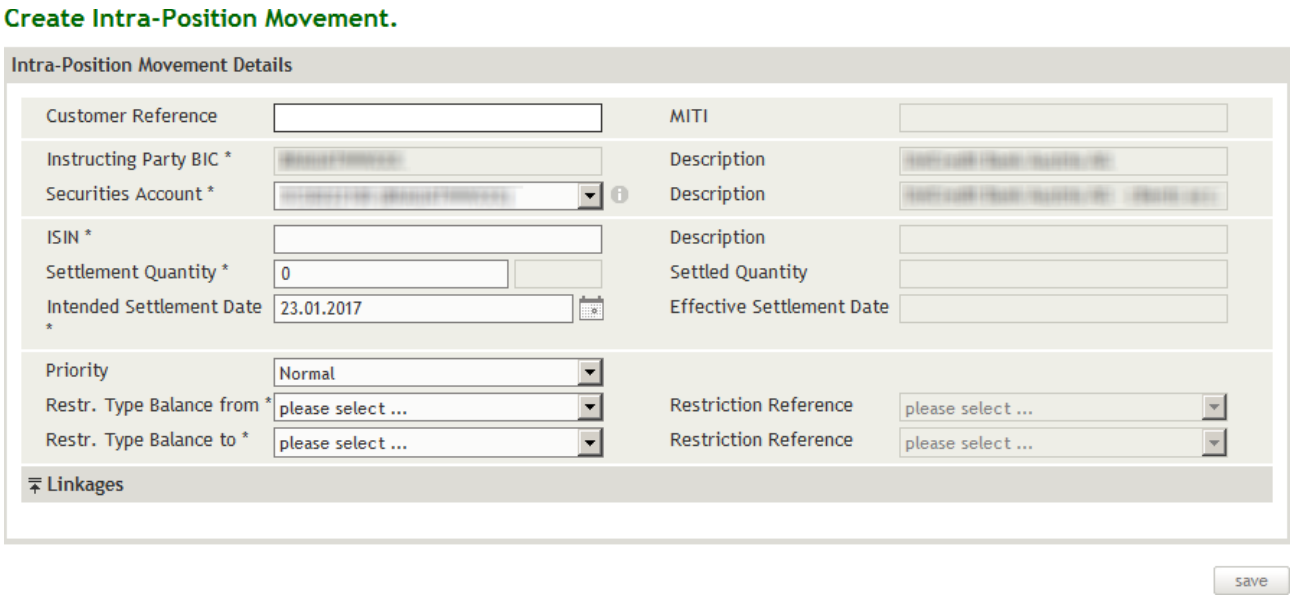


Figure 59: Create Intra Position Movement

The following chapters are step-by-step descriptions of how to create new intra-position movements of the types

— Blocking (blocking of a securities position up to the entire position max.)
— Reservation (reservation of a securities position without limitation to the current quantity of the position)
— Earmarking (earmarking of a position, e.g. for auto-collateralisation)

INFO	To use a position labelled **Blocking** or **Reservation** in an instruction, specify the restriction reference of the blocked or reserved position intended to be used in the settlement instruction as previously specified in an intra-position movement. See Create Settlement Instruction, step Additional Information. For more information on intra-position movements, please refer to *Annex 8 Guideline Settlement and Securities Account Administration.*

5.1.1 Blocking a Securities Position

INFO	The restriction type **Blocking** only allows to block the quantity of securities currently available in the position.

TIP	You can use the menu items *Holdings* > *Securities Positions* to enquire the current securities positions available on a securities account.

How to Block a Securities Position (current quantity max.)

Step by Step

1 In the menu bar, select *Settlement* > *Create Intra-Position Movement*.
The **Create Intra-Position Movement** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

- Instructing Party BIC (= inputting party) incl. Description
- Securities Account (= default securities account of the inputting party) incl. Description

INFO	The field **Securities Account** additionally displays the BIC of the securities account holder.

TIP	Hover the mouse pointer over the icon ⓘ to have additional information displayed about the securities account. See Fields, Buttons and Icons.

- Settlement Quantity (= 0)
- Intended Settlement Date (= current date)
- Priority (= Normal)

NOTE	Remember to verify all the fields automatically completed by the system to make sure all details have been entered correctly.

INFO	If you do not enter your own reference in the optional **Customer Reference** field, the system will automatically generate a unique reference for identification of the intra-position movement.

2 In the field **ISIN**, enter the desired financial instrument.
In the field **Description**, the system automatically completes the details stored for the selected financial instrument and in the field **Quantity Type** the type of listing.

TIP	There is an auto-complete function available in the **ISIN** field: You need only enter the country code; the system will then suggest a list of available ISIN.
TIP	Hover the mouse pointer over the icon ⓘ to have additional information displayed about the ISIN. See Fields, Buttons and Icons.

3 In the field **Settlement Quantity**, enter the desired quantity or nominal value (greater than 0).

INFO	The system automatically fills in the current date in the **Intended Settlement Date** field. You may modify the date if required.
INFO	If you do not make a selection in the optional **Priority** field, the system will automatically assign priority **Normal**.

4 In the field **Restr. Type Balance From**, select the freely available position **AWAS**.

TIP	You may also use earmarked positions for this type of intra-position movement. In the field **Restr. Type Balance From**, select the respective earmarked position..

5 In the field **Restr. Type Balance To**, select one of the options defined for positions of the type **Blockings**.

6 Click **save** to save the intra-position movement.

INFO	If an authorisation according to the 4-eyes principle is required, this record will be listed in the **Tasks waiting for approval** section of the task box until it gets authorised by a releaser.

The intra-position movement is saved and submitted to the system for processing or for 4EP authorisation. The system displays the **Intra-Position Movement Summary**, where you can verify the data you have entered. The screen includes the Instruction History and the Status History in separate tabs.

7 Click **ok** in the **Intra-Position Movement Summary** to confirm your entries. The entry page appears.

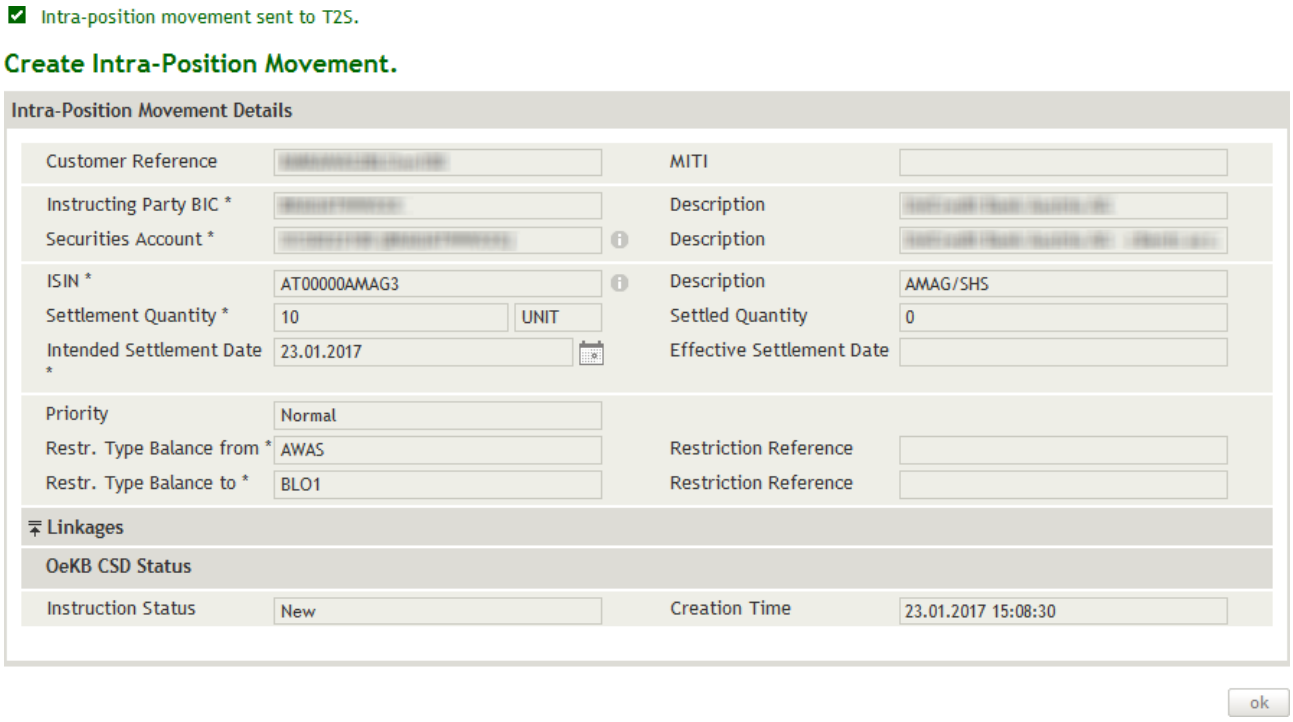


Figure 60: Create Intra Position Movement (Summary after saving))

5.1.2 Reserving a Securities Position

INFO	If the quantity of the intra-position movement exceeds the securities available in the position. All future securities of the same ISIN booked on the same securities account will be automatically reserved until the total quantity of the reservation is covered.

TIP	With a reservation you can flag more securities for a specific purpose than currently available in the position. In this case the intra-position movements are partially settled.

How to Reserve a Securities Position on a Securities Account

Step by Step

1 In the menu bar, select *Settlement* > *Create Intra-Position Movement*.
The **Create Intra-Position Movement** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

— Instructing Party BIC (= inputting party) incl. Description

— Securities Account (= default securities account of the inputting party) incl. Description

INFO	The field **Securities Account** additionally displays the BIC of the securities account holder.

— Settlement Quantity (= 0)
— Intended Settlement Date (= current date)
— Priority (= Normal)

NOTE	Remember to verify all the fields automatically completed by the system to make sure all details have been entered correctly.

INFO	If you do not enter your own reference in the optional **Customer Reference** field, the system will automatically generate a unique reference for identification of the intra-position movement.

2 In the field **ISIN**, enter the desired financial instrument.
In the field **Description**, the system automatically completes the details stored for the selected financial instrument and in the field **Quantity Type** the type of listing.

TIP	There is an auto-complete function available in the **ISIN** field: You need only enter the country code; the system will then suggest a list of available ISIN.

3 In the field **Settlement Quantity**, enter the desired quantity or nominal value (greater than 0).

INFO	The system automatically fills in the current date in the **Intended Settlement Date** field. You may modify the date if required.
INFO	If you do not make a selection in the optional **Priority** field, the system will automatically assign priority **Normal**.

4 In the field **Restr. Type Balance From**, select the freely available position **AWAS**.

TIP	You may also use earmarked positions for this type of intra-position movement. In the field **Restr. Type Balance From**, select the appropriate earmarked position.

5 In the field **Restr. Type Balance To**, select one of the options defined for positions of the type **Reservations**.

6 Click **save** to save the intra-position movement.

INFO	If an authorisation according to the 4-eyes principle is required, this record will be listed in the **Tasks waiting for approval** section of the task box until it gets authorised by a releaser.

The intra-position movement is saved and submitted to the system for processing or for 4EP authorisation. The system displays the **Intra-Position Movement Summary**, where you can verify the data you have entered. The screen includes the Instruction History and the Status History in separate tabs.

7 Click **ok** in the **Intra-Position Movement Summary** to confirm your entries. The entry page appears.

5.1.3 Earmarking a Securities Position

How to Earmark a Securities Position

Step by Step

1 In the menu bar, select *Settlement* > *Create Intra-Position Movement*.
The **Create Intra-Position Movement** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

— Instructing Party BIC (= inputting party) incl. Description

— Securities Account (= default securities account of the inputting party) incl. Description

INFO	The field **Securities Account** additionally displays the BIC of the securities account holder.

— Settlement Quantity (= 0)

— Intended Settlement Date (= current date)

— Priority (= Normal)

NOTE	Remember to verify all the fields automatically completed by the system to make sure all details have been entered correctly.

INFO	If you do not enter your own reference in the optional **Customer Reference** field, the system will automatically generate a unique reference for identification of the intra-position movement.

2 In the field **ISIN**, enter the desired financial instrument.
In the field **Description**, the system automatically completes the details stored for the selected financial instrument and in the field **Quantity Type** the type of listing.

TIP	There is an auto-complete function available in the **ISIN** field: You need only enter the country code; the system will then suggest a list of available ISIN.

3 In the field **Settlement Quantity**, enter the desired quantity or nominal value (greater than 0).

INFO	The system automatically fills in the current date in the **Intended Settlement Date** field. You may modify the date if required.
INFO	If you do not make a selection in the optional **Priority** field, the system will automatically assign priority **Normal**.

4 In the field **Restr. Type Balance From**, select the freely available position **AWAS**.

TIP	You may also use other positions to define earmarked positions. In the field **Restr. Type Balance From**, select the appropriate blocked, reserved or another earmarked position.

5 In the field **Restr. Type Balance To**, select one of the options defined for positions of the type **Earmarking**.

6 Click **save** to save the intra-position movement.

INFO	If an authorisation according to the 4-eyes principle is required, this record will be listed in the **Tasks waiting for approval** section of the task box until it gets authorised by a releaser.

The intra-position movement is saved and submitted to the system for processing or for 4EP authorisation. The system displays the **Intra-Position Movement Summary**, where you can verify the data you have entered. The screen includes the Instruction History and the Status History in separate tabs.

7 Click **ok** in the **Intra-Position Movement Summary** to confirm your entries. The entry page appears.

5.1.4 Entering Linkages for an Intra-Position Movement

The concept and entry of linkages for intra-position movements is identical to linkages for instructions. See Entering Linkages for an Instruction.

5.1.5 Field Descriptions (Create Intra-Position Movement)

INFO	The **Create Intra-Position Movement** screen is used as **Intra-Position Movement Detail** (when displaying an intra-position movement) with exactly the same appearance. Field values or entries which differ between these variants of the screen are listed with the descriptions of the respective fields further below.

Field	Content (by system)	Entry (by user)	Length
Customer Reference	Create If left empty by the user, the system will generate a unique reference	Own reference	16 max alphanum.
	Edit / Detail View: The customer reference of the instruction	-	

Field	Content (by system)	Entry (by user)	Length
MITI	Create: - Edit / Detail View: The unique Market Infrastructure Transaction Identifier automatically assigned as soon as the intra-position movement has been accepted by the system	-	-
Instructing Party BIC **Mandatory field during Create (automatically completed by the system)**	BIC of the inputting party	-	BIC11
[Instructing Party BIC] Description	The designation of the instructing party	-	-
Securities Account **Mandatory field during Create**	The securities account defined as the default	Create: Selection from the securities accounts available for the instructing party **INFO** In addition to the securities account number this field shows the BIC of the securities account holder. **TIP** Hover the mouse pointer over the icon ⓘ to have additional information displayed about the securities account. See Fields, Buttons and Icons. Edit / Detail View: -	-
[Securities Account] Description	The designation of the selected securities account	-	-

Field	Content (by system)	Entry (by user)	Length
ISIN **Mandatory field during Create**	Create: **Auto-Complete**: After input of the country code the system suggests a list of ISIN.	Country code, then selection from the suggested list **TIP** Hover the mouse pointer over the icon ⓘ to have additional information displayed about the ISIN. See Fields, Buttons and Icons.	12 alphanum.
	Edit / Detail View: The ISIN selected during creation	-	
[ISIN] Description	The designation of the financial instrument	-	-
Settlement Quantity **Mandatory field during Create**	Create: 0	Quantity of the securities position to be blocked, reserved or earmarked.	Decimal number
	Edit / Detail View: Quantity of the securities position to be blocked, reserved or earmarked selected during creation.	-	
[Quantity Type]	After ISIN input or selection: — **FAMT** - for financial instruments with a price as percentage of par (face amount) — **UNIT** - for financial instruments with a price per unit	-	-
Settled Quantity	Create: -	-	Decimal number
	Edit / Detail View: 0 or in case of settled intra-position movements the settled quantity or the settled nominal value of the financial instruments		

Field	Content (by system)	Entry (by user)	Length
Intended Settlement Date **Mandatory field during Create (automatically completed by the system)**	Create: The current date Edit / Detail View: The settlement date on which the settlement of the intra-position movement was intended	Date of the settlement date	DD-MM-YYYY
Effective Settlement Date	Create: - Detail view: In case of settled intra-position movements the date of the day when the intra-position movement was actually settled	-	DD-MM-YYYY
Priority	Create: **Normal**	Selection between **Normal** or **High** Intra-position movements with priority **High** are settled before intra-position movements with priority **Normal**.	-
	Edit: It is possible to select a different Priority when editing an intra-position movement.		
	Detail view: **Normal** or **High**	-	
Restr. Type Balance From **Mandatory field during Create**	Create Input request 'please select ...'	Selection from the list: — **AWAS (Deliverable Securities Position)** - available securities position — **BLO1 (Case 3 Position Blocking)** - blocked securities position (labelled in an intra-position movement as **Restr. Type Balance To** "BLO1") — **EAR1 (Case 3 Position Earmarking)** - earmarked securities position (labelled in an intra-position movement as **Restr. Type Balance To** "EAR1") — **EEUR (Earmarking for auto-collat in EURO)** - earmarked securities position (labelled in an intra-position movement as **Restr. Type Balance To** "EEUR") — **EGBP (Earmarking for auto-collat in GBP)** - earmarked securities position (labelled in an intra-position	-

Field	Content (by system)	Entry (by user)	Length
		movement as **Restr. Type Balance To** "EGBP") — **EXXX (Earmarking for auto-collat)** - earmarked securities position (labelled in an intra-position movement as **Restr. Type Balance To** "EXXX") — **RES1 (Case 3 Position Reservation)** - reserved securities position (labelled in an intra-position movement as **Restr. Type Balance To** "RES1") NOTE There are restrictions as to which combinations of **Restr. Type Balance From** and **Restr. Type Balance To** are permitted. For details please refer to *Annex 8 Guideline Settlement and Securities Account Administration* and to the corresponding step-by-step descriptions for Blockings, Reservations and Earmarking. NOTE Additional options will be added by OeKB CSD GmbH if need be	
	Edit / Detail View The original position entered during creation	-	
[Restr. **Type Balance From]** Restriction Reference	The unique reference of the securities position automatically assigned as soon as the intra-position movement has been accepted by the system.	-	-

Field	Content (by system)	Entry (by user)	Length
Restr. Type Balance To **Mandatory field during Create**	Create Input request 'please select ...'	Selection from the list: — **AWAS (Deliverable Securities Position)** - designation as available securities position — **BLO1 (Case 3 Position Blocking)** - designation as blocked securities position (labelled in an intra-position movement as **Restr. Type Balance To** "BLO1") — **EAR1 (Case 3 Position Earmarking)** - designation as earmarked securities position (labelled in an intra-position movement as **Restr. Type Balance To** "EAR1") — **EEUR (Earmarking for auto-collat in EURO)** - designation as earmarked securities position (labelled in an intra-position movement as **Restr. Type Balance To** "EEUR") — **EGBP (Earmarking for auto-collat in EGBP)** - designation as earmarked securities position (labelled in an intra-position movement as **Restr. Type Balance To** "EGBP") — **EXXX (Earmarking for auto-collat)** - designation as earmarked securities position (labelled in an intra-position movement as **Restr. Type Balance To** "EXXX") — **RES1 (Case 3 Position Reservation)** - designation as reserved securities position (labelled in an intra-position movement as **Restr. Type Balance To** "RES1") NOTE There are restrictions as to which combinations of **Restr. Type Balance From** and **Restr. Type Balance To** are permitted. For details please refer to *Annex 8 Guideline Settlement and Securities Account Administration* and to the corresponding step-by-step descriptions for Blockings, Reservations and Earmarking.	-

Field	Content (by system)	Entry (by user)	Length
		NOTE Additional options will be added by OeKB CSD GmbH if need be	
	Edit / Detail View The designated position entered during creation	-	
[Restr. **Type Balance To]** Restriction Reference	The unique reference of the securities position automatically assigned as soon as the intra-position movement has been accepted by the system.	-	-
Linkages	-	see Linkages (field description)	Drop-down screen section

T2S Status Information

Processing Status	All	Create: This field is not displayed in the **Create** screen.	-
		Edit / Detail View: - **Accepted**, **Cancellation requested**, **Cancelled** or **Rejected** (depends on the message type)	
Reason Code	All	Create: This field is not displayed in the **Create** screen.	-
		Edit / Detail View: - depends on the processing status	

Field	Content (by system)	Entry (by user)		Length
[Reason Code] **Additional Information**	All	Create: This field is not displayed in the **Create** screen.		-
		Edit / Detail View: The designation of the displayed reason codes	-	
Processing Status	All	Create: This field is not displayed in the **Create** screen.		-
		Edit / Detail View: **Pending** or **Settled**	-	

OeKB CSD Status

INFO The fields of this screen section are only displayed in the detail view, not in the Create and Edit screens.

Instruction Status	All	Detail view: **New**, **Accepted**, **Pending**, **Failling**, **Settled**, **Cancelled**, **Rejected** or **Ignored**	-	-
Creation Time	All	Detail view: Time at which the instruction has been entered in the system	-	-
Request Party BIC	All	Detail view: BIC of the inputting party in case of instructions subject to authorisation according to the 4-eyes principle	-	-
Request User	All	Detail view: In case of instructions, for which an authorisation according to the 4-eyes principle is intended, the user who entered the instruction	-	-

Field	Content (by system)	Entry (by user)		Length
User Request Type	All	Detail view: In case of instructions, for which an authorisation according to the 4-eyes principle is intended, the type of record entered by the user	-	-
User Request Status	All	Detail view: In case of instructions, for which an authorisation according to the 4-eyes principle is intended, the release status of the record entered by the user	-	-

5.2 Search Intra-Position Movements

You can search for intra-position movements in order to modify them (e.g. to increase or decrease positions), copy them or to find out which intra-position movements are available to be assigned to instructions.

TIP	If you repeatedly use the same search criteria, you can enter them and save them in a search template

How to Open the Search Intra-Position Movement Screen

Step by Step

1 In the menu bar, select *Settlement* > *Search Intra-Position Movements*.
The **Search Intra-Position Movements** screen appears.

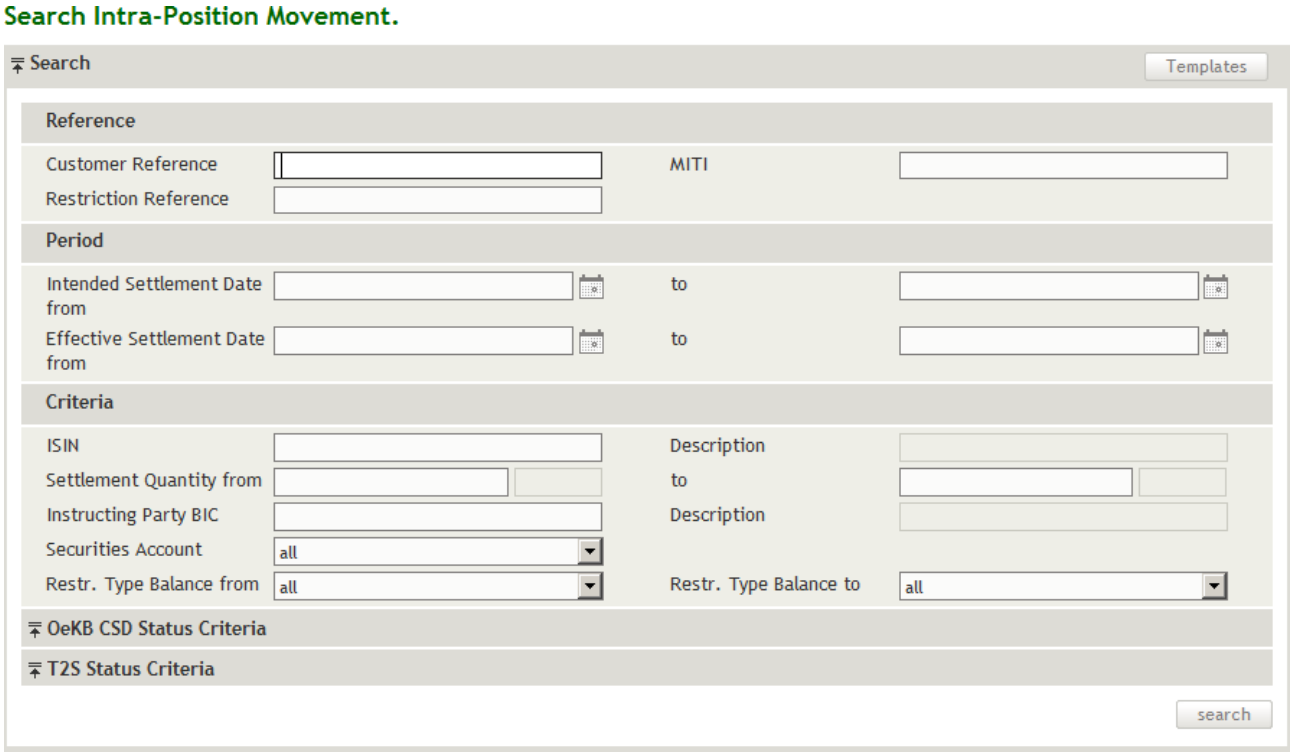


Figure 61: Search Intra Position Movements

You can use the following drop-down screen sections to enter search criteria:

— Search (this section is displayed when the screen is opened for the first time**Fehler! Verweisquelle konnte nicht gefunden werden.**)

— OeKB CSD Status Criteria

— T2S Status Criteria

TIP	The system records the screen sections displayed and the search screen appears in the same way when you open it the next time.

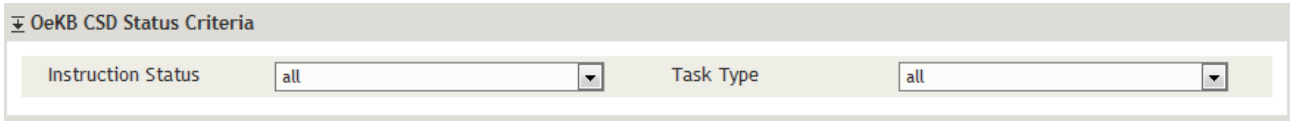


Figure 62: Search Intra Position Movements - OeKB CSD Status Criteria

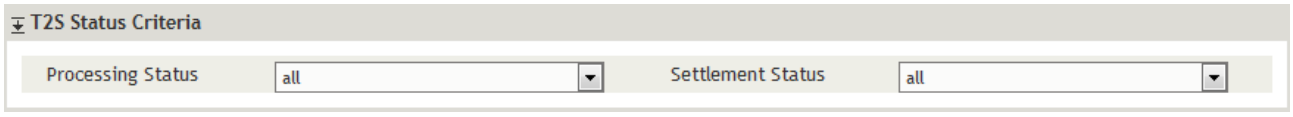


Figure 63: Search Intra Position Movements - T2S Status Criteria

TIP	Clicking on **search** without entering search criteria lists all intra-position movements available in the system. To search for (a) specific intra-position movement(s), enter criteria in the fields which best characterise the intra-position movement you are looking for.

5.2.1 Modifying Intra-Position Movements

If you want to modify the priority of an intra-position movement or add or modify linkages for the intra-position movement, you need to search for the intra-position movement you are looking for. Then you can use the **Edit** screen to make the desired changes. You may change the entries in the following fields of the **Edit** screen:

— Priority

— Linkages (drop-down screen section)

NOTE	Depending on the processing status and the type of the intra-position movement some fields may be disabled.

TIP	Editing an intra-position movement is also possible from the detail view using the **edit** button.
TIP	The detailed description of the fields in the **Edit Intra-Position Movement** screen are available in the individual Field Descriptions tables in chapter Create Intra-Position Movement.

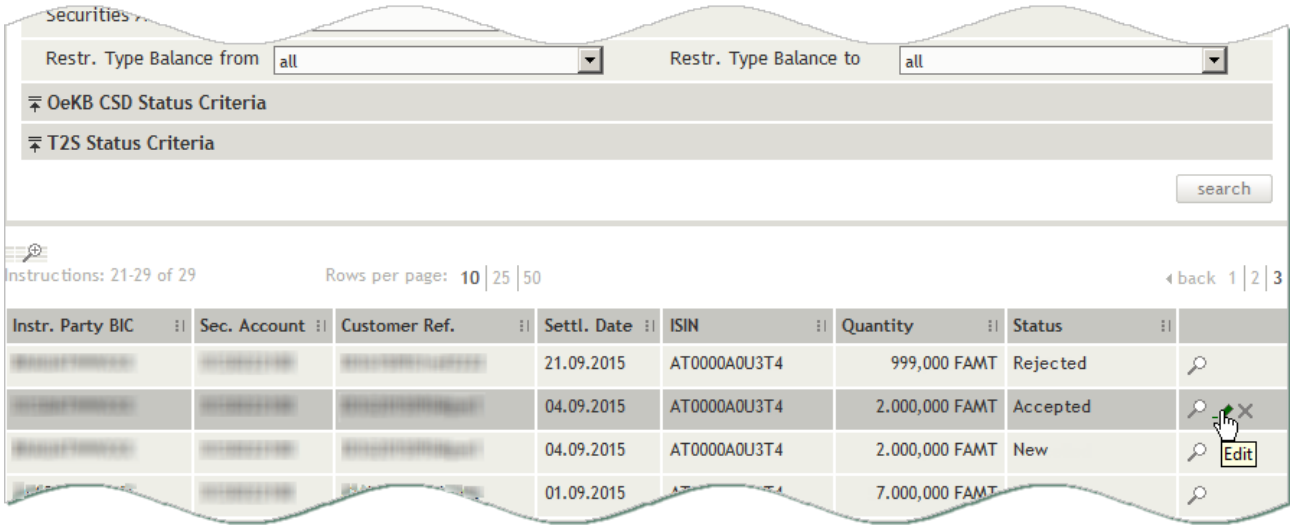


Figure 64: Search Intra Position Movement - search result list (example: edit)

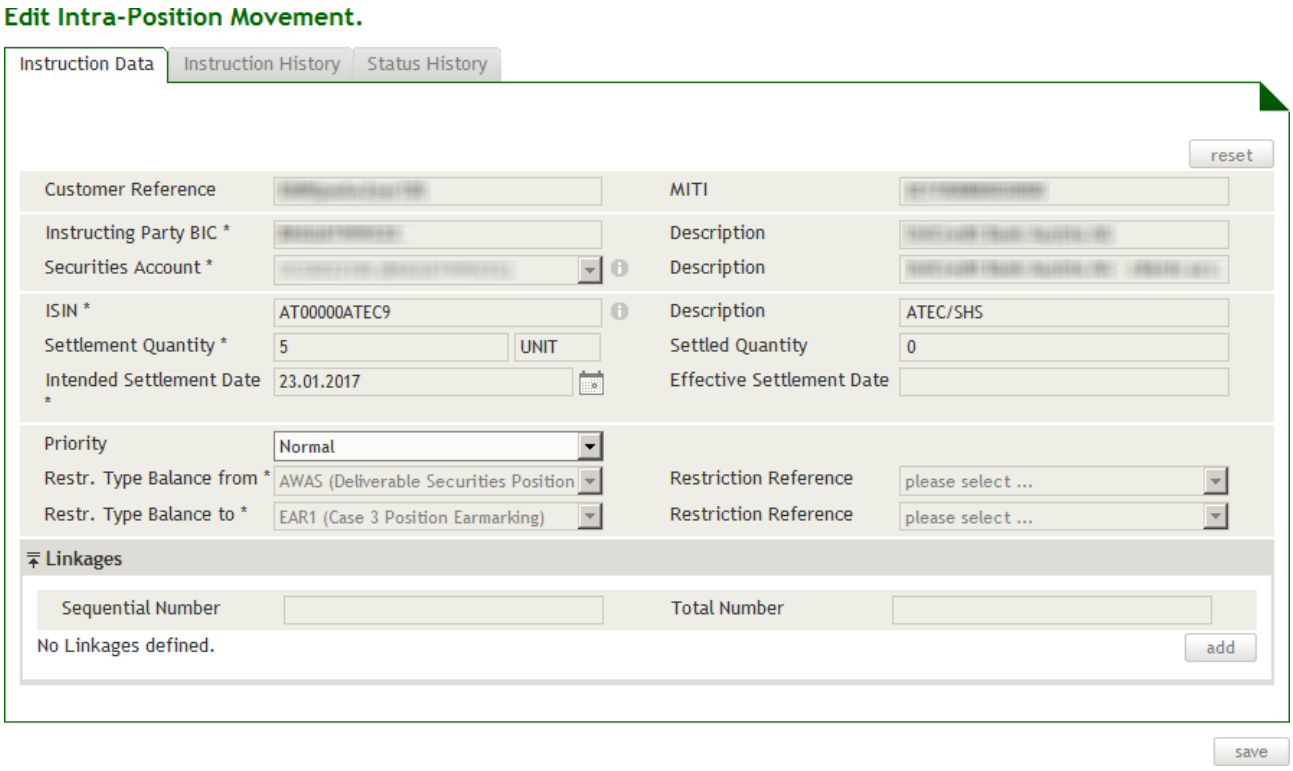


Figure 65: Edit Intra Position Movement

How to Modify an Intra-Position Movement

Step by Step

1 In the menu bar, select *Settlement* > *Search Intra-Position Movements*.
The **Search Intra-Position Movements** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

- Securities Account (= all)
- Restr. Type Balance from (= all)
- Restr. Type Balance to (= all)
- Instruction Status (= all)
- Task Type (= all)
- Processing Status (= all)
- Settlement Status (= all)

2 Enter the desired search criteria in the available fields or limit the selections in the fields completed by the system.

3 Click on the **search** button.
The search result list containing all intra-position movements matching your search criteria appears.

4 You have the following options:

a1 In the row of the record you want to modify, click on the **Details** icon to open the detail view.

a2 Click **edit** to open the **Edit** screen of the record.

INFO	The system only displays the **edit** button if your user permissions allow you to modify data.

b In the row of the record you want to modify, click on the **Edit** icon to open the **Edit** screen.

INFO	The system only displays the **Edit** icon if your user permissions allow you to modify data.

5 Modify the record as required.

NOTE	Depending on the processing status and the type of the intra-position movement some fields may be disabled.

INFO	Only **Priority** and **Linkages** can be modified when editing instructions.

TIPP	If you would like to increase or decrease the securities positions of an intra-position movement, enter the modifications accordingly in the **Create Intra-Position Movement** screen.

6 Click **save** to save the intra-position movement.

INFO	If an authorisation according to the 4-eyes principle is required, this record will be listed in the **Tasks waiting for approval** section of the task box until it gets authorised by a releaser.

The intra-position movement is saved and submitted to the system for processing or for 4EP authorisation. The system displays the **Intra-Position Movement Summary**, where you can verify the data you have entered. The screen includes the Instruction History and the Status History in separate tabs.

7 Click **ok** in the **Intra-Position Movement Summary** to confirm your entries. The entry page appears.

5.2.2 Modifying Linkages for an Intra-Position Movement

The concept and modification of linkages for intra-position movements is identical to entering linkages for instructions. See Entering Linkages for an Instruction

5.2.3 Increasing the Positions of an Intra-Position Movement

To increase the positions of an intra-position movement you need to create a new intra-position movement.

How to Increase the Positions of an Intra-Position Movement

Step by Step

1 In the menu bar, select *Settlement* > *Create Intra-Position Movement*.
The **Create Intra-Position Movement** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

— Instructing Party BIC (= inputting party) incl. Description

— Securities Account (= default securities account of the inputting party) incl. Description

INFO	The field **Securities Account** additionally displays the BIC of the securities account holder.

— Settlement Quantity (= 0)

— Intended Settlement Date (= current date)

— Priority (= Normal)

NOTE	Remember to verify all the fields automatically completed by the system to make sure all details have been entered correctly.

INFO	If you do not enter your own reference in the optional **Customer Reference** field, the system will automatically generate a unique reference for identification of the intra-position movement.

2 In the field **ISIN**, enter the desired financial instrument.
In the field **Description**, the system automatically completes the details stored for the selected financial instrument and in the field **Quantity Type** the type of listing.

TIP	There is an auto-complete function available in the **ISIN** field: You need only enter the country code; the system will then suggest a list of available ISIN.

3 In the field **Settlement Quantity**, enter the desired quantity or nominal value (greater than 0).

INFO	The system automatically fills in the current date in the **Intended Settlement Date** field. You may modify the date if required.
INFO	If you do not make a selection in the optional **Priority** field, the system will automatically assign priority **Normal**.

4 In the field **Restr. Type Balance From**, select the positions type from which to allocate the securities to the blocked, reserved or earmarked position.

NOTE	There are restrictions as to which combinations of **Restr. Type Balance From** and **Restr. Type Balance To** are permitted. For details please refer to the *Annex 8 Guideline Settlement and Securities Account Administration* and to the corresponding step-by-step descriptions for Blockings, Reservations and Earmarking (Create Settlement Restriction)

TIP	If you want to use securities from a position already allocated to an intra-position movement, select the reference of the corresponding restriction position in the field **Restriction Reference** (Restr. Type Balance From). There are options available in the field **Restriction Reference** only if intra-position movements of the selected type have been previously entered.

5 In the field **Restr. Type Balance To** select the positions type of the position to which you want to allocate the securities.

6 In the field **Restriction Reference** (Restr. Type Balance To) select the reference of the intra-position movement to which you want to allocate the position.

7 Click **save** to save the intra-position movement.

INFO	If an authorisation according to the 4-eyes principle is required, this record will be listed in the **Tasks waiting for approval** section of the task box until it gets authorised by a releaser.

The intra-position movement is saved and submitted to the system for processing or for 4EP authorisation. The system displays the **Intra-Position Movement Summary**, where you can verify the data you have entered. The screen includes the Instruction History and the Status History in separate tabs.

8 Click **ok** in the **Intra-Position Movement Summary** to confirm your entries.
The entry page appears.

5.2.4 Decreasing the Positions of an Intra-Position Movement

To decrease the positions of an intra-position movement you need to create a new intra-position movement.

How to Decrease the Positions of an Intra-Position Movement

Step by Step

1 In the menu bar, select *Settlement* > *Create Intra-Position Movement*.
The **Create Intra-Position Movement** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

— Instructing Party BIC (= inputting party) incl. Description

— Securities Account (= default securities account of the inputting party) incl. Description

INFO	The field **Securities Account** additionally displays the BIC of the securities account holder.

— Settlement Quantity (= 0)

— Intended Settlement Date (= current date)

— Priority (= Normal)

NOTE	Remember to verify all the fields automatically completed by the system to make sure all details have been entered correctly.

INFO	If you do not enter your own reference in the optional **Customer Reference** field, the system will automatically generate a unique reference for identification of the intra-position movement.

2 In the field **ISIN**, enter the desired financial instrument.
In the field **Description**, the system automatically completes the details stored for the selected financial instrument and in the field **Quantity Type** the type of listing.

TIP	There is an auto-complete function available in the **ISIN** field: You need only enter the country code; the system will then suggest a list of available ISIN.

3 In the field **Settlement Quantity**, enter the desired quantity or nominal value (greater than 0).

INFO	The system automatically fills in the current date in the **Intended Settlement Date** field. You may modify the date if required.
INFO	If you do not make a selection in the optional **Priority** field, the system will automatically assign priority **Normal**.

4 In the field **Restr. Type Balance From** select the positions type of the position where you want to decrease the securities.

NOTE	There are restrictions as to which combinations of **Restr. Type Balance From** and **Restr. Type Balance To** are permitted. For details please refer to *Annex 8 Guideline Settlement and Securities Account Administration* and to the corresponding step-by-step descriptions for Blockings, Reservations and Earmarking (Create Settlement Restriction)

5 In the field **Restriction Reference** (Restr. Type Balance From) select the reference of the intra-position movement where you want to decrease the position.

6 In the field **Restr. Type Balance To** select the positions type of the position to which you want to allocate the securities.

TIP	If you want to add the securities directly to a position already allocated to an intra-position movement, select the reference of the corresponding intra-position movement in the field **Restriction Reference** (Restr. Type Balance To). There are options available in the field **Restriction Reference** only if intra-position movements of the selected type have been previously entered.

7 Click **save** to save the intra-position movement.

INFO	If an authorisation according to the 4-eyes principle is required, this record will be listed in the **Tasks waiting for approval** section of the task box until it gets authorised by a releaser.

The intra-position movement is saved and submitted to the system for processing or for 4EP authorisation. The system displays the **Intra-Position Movement Summary**, where you can verify the data you have entered. The screen includes the Instruction History and the Status History in separate tabs.

8 Click **ok** in the **Intra-Position Movement Summary** to confirm your entries. The entry page appears.

5.2.5 Searching for an Intra-Position Movement

How to Search for an Intra-Position Movement Available to be Used in an Instruction

Step by Step

1 In the menu bar, select *Settlement* > *Search Intra-Position Movements*.
The **Search Intra-Position Movements** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

- Securities Account (= all)
- Restr. Type Balance from (= all)
- Restr. Type Balance to (= all)
- Instruction Status (= all)
- Task Type (= all)
- Processing Status (= all)
- Settlement Status (= all)

2 Enter the desired search criteria in the available fields or limit the selections in the fields completed by the system.

3 Click on the **search** button.
The search result list containing all intra-position movements matching your search criteria appears.

5.2.6 Copying an Intra-Position Movement

In the detail view of an intra-position movement you can create a copy of the current intra-position movement.

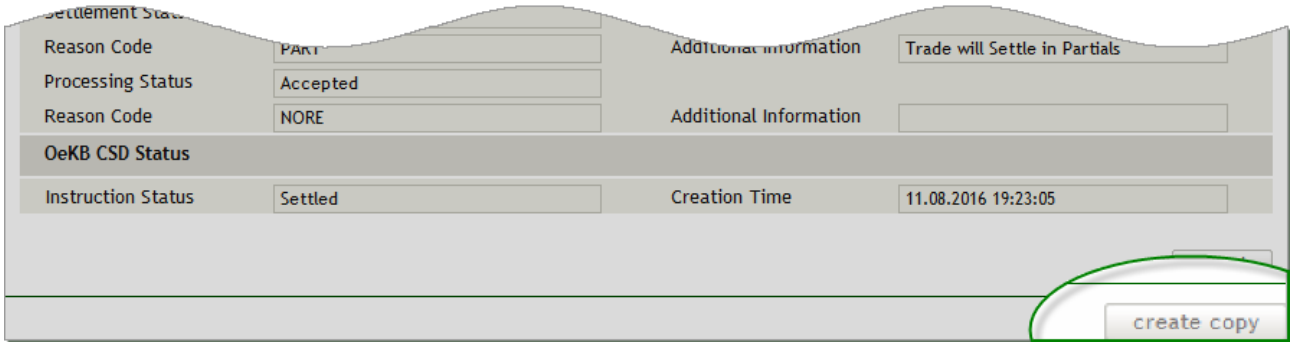


Figure 66: Copying an intra-position movement

How to Copy an Intra-Position Movement

Step by Step

1 In the menu bar, select *Settlement* > *Search Intra-Position Movements*.
The **Search Intra-Position Movements** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

- Securities Account (= all)
- Restr. Type Balance from (= all)
- Restr. Type Balance to (= all)
- Instruction Status (= all)
- Task Type (= all)
- Processing Status (= all)
- Settlement Status (= all)

2 Enter the desired search criteria in the available fields or limit the selections in the fields completed by the system.

3 Click on the **search** button.
The search result list containing all intra-position movements matching your search criteria appears.

4 In the row of the record you want to copy, click on the **Details** icon to open the detail view.

5 Click on the **create copy** button.
The **Create Intra-Position Movement** screen appears.
The fields are filled with the data of the copied intra-position movement.

6 Enter or modify the data (see Create Intra-Position Movement) which should be different in the new intra-position movement.

7 Click **save** to save the intra-position movement.

INFO	If an authorisation according to the 4-eyes principle is required, this record will be listed in the **Tasks waiting for approval** section of the task box until it gets authorised by a releaser.

The intra-position movement is saved and submitted to the system for processing or for 4EP authorisation. The system displays the **Intra-Position Movement Summary**, where you can verify the data you have entered. The screen includes the Instruction History and the Status History in separate tabs.

8 Click **ok** in the **Intra-Position Movement Summary** to confirm your entries.
The entry page appears.

5.2.7 Cancelling an Intra-Position Movement

If you want to cancel an intra-position movement, you need to search for the intra-position movement you are looking for. Then you can click on the **X** icon on the right-hand side of the row which displays the intra-position movement to be cancelled.

TIP	Cancelling an intra-position movement is also possible from the detail view using the **cancel instruction** button.

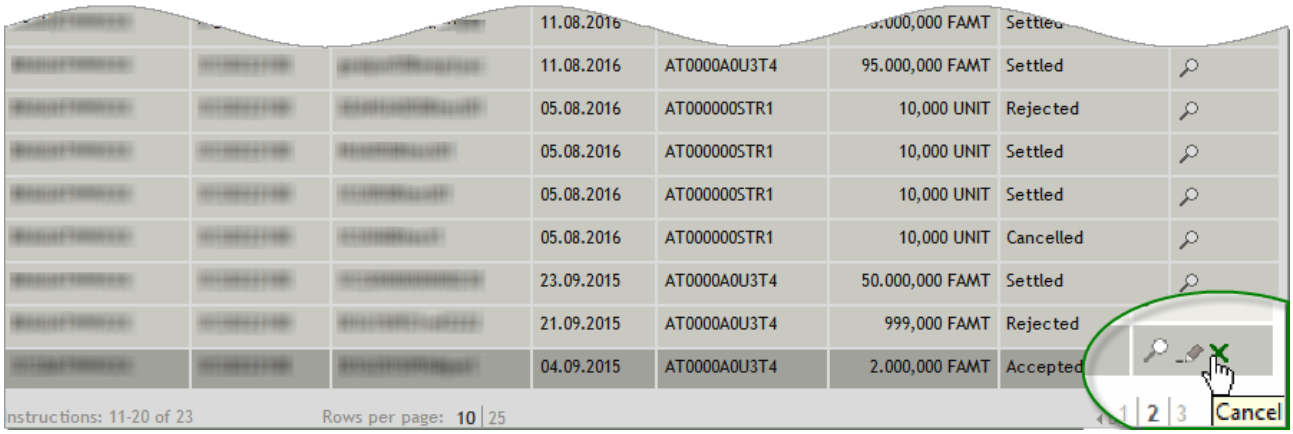


Figure 67: Search Intra-Position Movement - search result list (example: cancel)

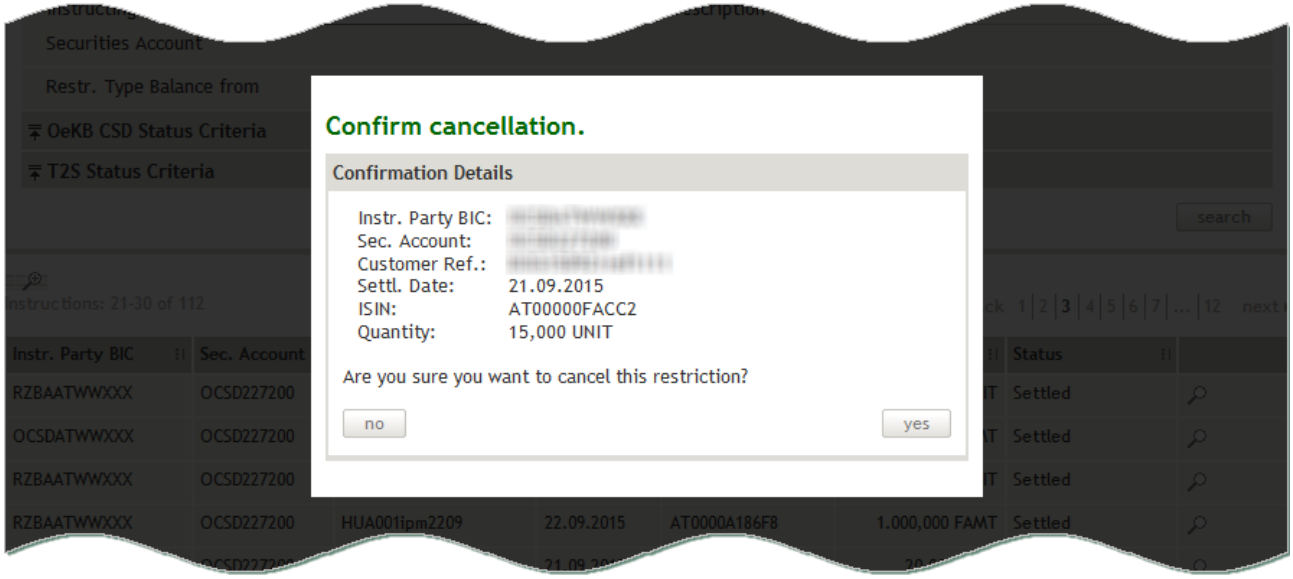


Figure 68: Confirm cancellation (intra-position movement)

How to Cancel an Intra-Position Movement

Step by Step

1 In the menu bar, select *Settlement* > *Search Intra-Position Movements*.
The **Search Intra-Position Movements** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

- Securities Account (= all)
- Restr. Type Balance from (= all)
- Restr. Type Balance to (= all)
- Instruction Status (= all)
- Task Type (= all)
- Processing Status (= all)
- Settlement Status (= all)

2 Enter the desired search criteria in the available fields or limit the selections in the fields completed by the system.

3 Click on the **search** button.
The search result list containing all intra-position movements matching your search criteria appears.

4 In the row containing the intra-position movement to be cancelled, click on the **X** icon.

5 Click **yes** in the pop-up dialog.

> **INFO** If an authorisation according to the 4-eyes principle is required, this record will be listed in the **Tasks waiting for approval** section of the task box until it gets authorised by a releaser.

The intra-position movement is cancelled and submitted to the system for processing or for 4EP authorisation.
The search result list is still available on the screen.

5.2.8 Instruction History (Intra-Position Movement)

The Instruction History in the detail view of an intra-position movement shows the detailed sequence of user actions (see modifying, increasing or decreasing intra-position movements) and user tasks (see Taskbox) carried out for the specific intra-position movement. It also shows all messages (inbound and outbound) of the intra-position movement. The original messages can be accessed by clicking on the **Detail** icon.

> **NOTE** It is not possible to edit entries in the Instruction History.

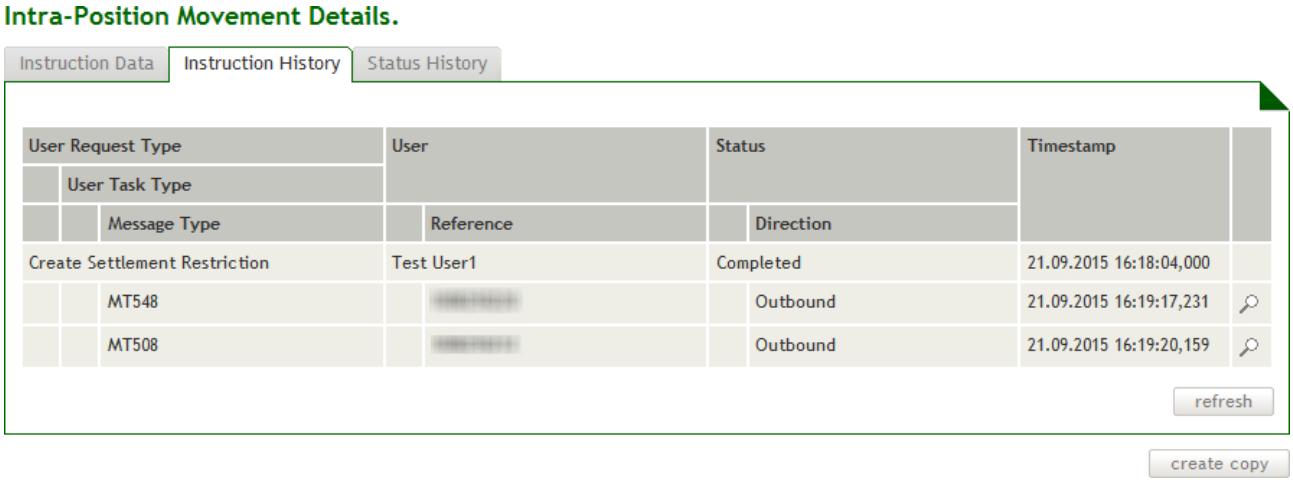


Figure 69: Instruction History - intra position movement

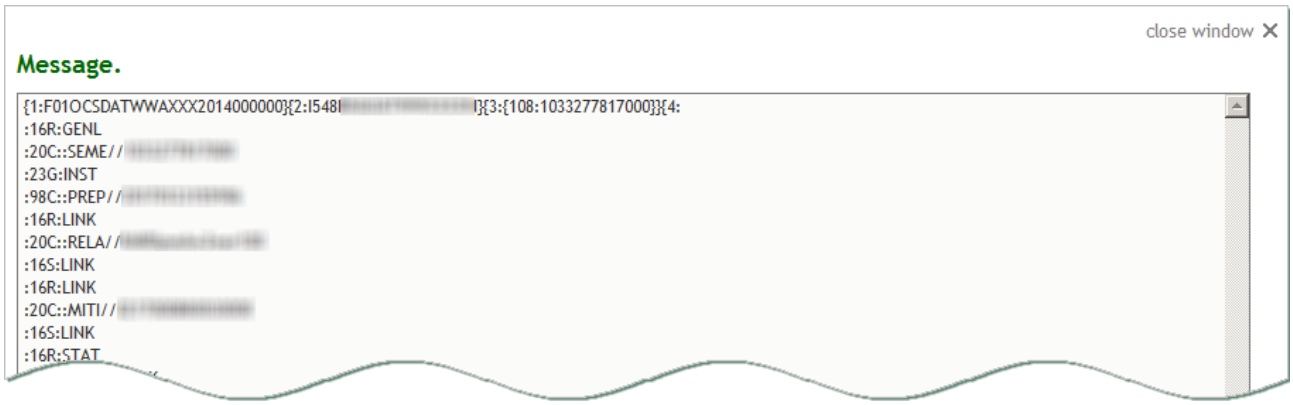


Figure 70: Instruction History - intra position movement (message detail)

5.2.9 Status History (Intra-Position Movement)

The Status History in the detail view of an intra-position movement shows the detailed sequence of status modifications applied to the specific intra-position movement.

NOTE It is not possible to edit entries in the Status History.

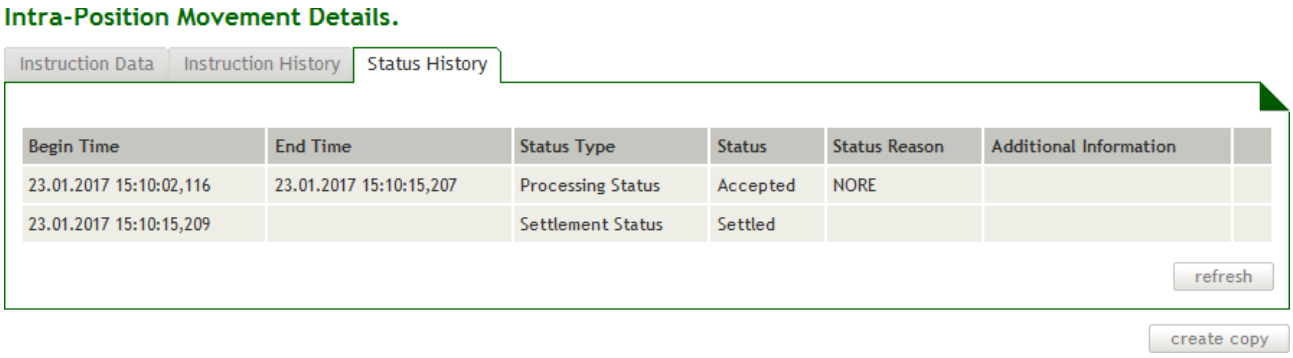


Figure 71: Status History - intra position movement

5.2.10 Refreshing Data in the Intra-Position Movement Detail View

The Intra-Position Movement Details screen shows data current at the time when the screen was opened. In order to display status changes which were carried out by the system or received in the meantime, click on the refresh button.

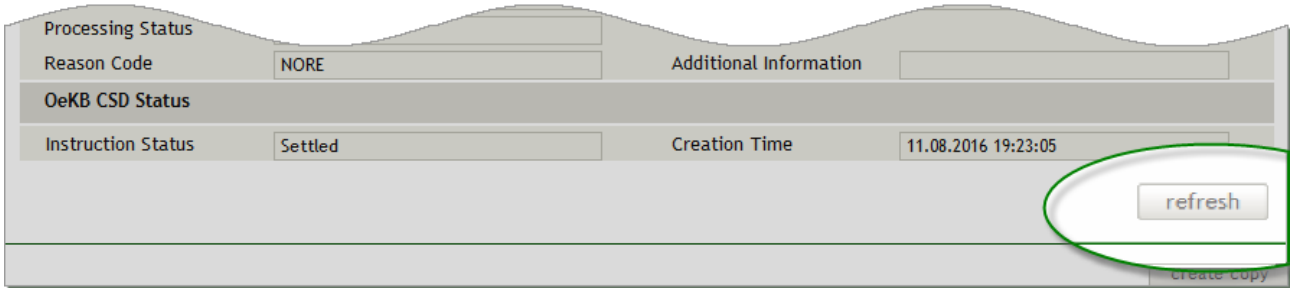


Figure 72: Refreshing data (Intra-Position Movement Details)

5.2.11 Field Descriptions (Search Intra-Position Movements)

The description of the fields in the **Search Intra-Position Movements** screen is sectioned in two parts, i.e. the two drop-down screen sections:

— Search (this section is displayed when the screen is opened for the first time, fig. **Fehler! Verweisquelle konnte nicht gefunden werden.**)

— OeKB CSD Status Criteria (fig. **Fehler! Verweisquelle konnte nicht gefunden werden.**)

— T2S Status Criteria (fig. **Fehler! Verweisquelle konnte nicht gefunden werden.**)

TIP	The system records the screen sections displayed and the search screen appears in the same way when you open it the next time.

5.2.11.1 Search (Screen Section, Search Intra-Position Movements)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Reference				
Customer Reference	-	Customer reference of the intra-position movement(s) to be found	-	16 max alphanum.
MITI	-	Market Infrastructure Transaction Identifier of the intra-position movement(s) to be found	-	16 max alphanum.
Restriction References	-	Reference of the intra-position movement(s) to be found assigned by T2S after settlement	-	16 max alphanum.
Period				
Intended Settlement Date from - to	-	Date range within which the intended settlement date of the intra-position movement(s) to be found shall lie If you leave one of the fields empty, the system will search starting from or ending with the date that has been entered. If you are searching for a specific day, enter the same date into both fields.	Calendar icon	DD-MM-YYYY
Effective Settlement Date from - to	-	Date range within which the effective settlement date of the intra-position movement(s) to be found shall lie. If you leave one of the fields empty, the system will search starting from or ending with the date that has been entered. If you are searching for a specific day, enter the same date into both fields.	Calendar icon	DD-MM-YYYY
Criteria				
ISIN	**Auto-Complete**: After input of the country code the system suggests a list of ISIN.	ISIN of the intra-position movement(s) to be found Country code, then selection from the suggested list	Selection list after input of country code	12 alphanum.
[ISIN] Description	The designation of the financial instrument	-	-	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Settlement Quantity from - to	-	Value range within which the quantity or nominal value of the financial instrument in the intra-position movement(s) to be found shall lie If you leave one of the fields empty, the system will search starting from or ending with the value that has been entered. If you are searching for a specific quantity, enter the same value into both fields.	-	positive decimal number
[Quantity Type]	After ISIN input or selection: — **FAMT** - for financial instruments with a price as percentage of par (face amount) — **UNIT** - for financial instruments with a price per unit	-	-	-
Instructing Party BIC	- **Auto-Complete**: After input of the first or two consecutive characters of the BIC the system suggests a list of BICs. The complete list of all parties available in the system is displayed after putting the cursor into the field and hitting the arrow down key on the keyboard.	Input of the first or two consecutive characters of the BIC, then selection from the suggested list of parties for which you are authorised to access data	Selection list after input of the first or of two consecutive character(s)	BIC11
[Instructing Party BIC] Description	The designation of the instructing party	-	-	-
Securities Account	all The system searches for intra-position movements with any securities account of the inputting party.	Selection from the securities accounts available for the instructing party INFO In addition to the securities account number this field shows the BIC of the securities account holder.	Selection	35 max alphanum.

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Restr. Type Balance From	all The system searches for intra-position movements with any original restriction type.	Selection from the list: — **AWAS (Deliverable Securities Position)** - freely available, to search only for intra-position movements of the original restriction type **AWAS.** — **BLO1 (Case 3 Position Blocking)** - blocked for Case 3 Position, to search only for intra-position movements of the original restriction type **BLO1**. — **EAR1 (Case 3 Position Earmarking)** - earmarked for Case 3 Position, to search only for intra-position movements of the original restriction type **EAR1**. — **EEUR (Earmarking for auto-collat in EURO)** - earmarked for auto-collateral in EUR, to search only for intra-position movements of the original restriction type **EEUR**. — **EGBP (Earmarking for auto-collat in GBP)** - earmarked for auto-collateral in GBP, to search only for intra-position movements of the original restriction type **EGBP.** — **EXXX (Earmarking for auto-collat)** - earmarked for auto-collateral, to search only for intra-position movements of the original restriction type **EXXX.** — **RES1 (Case 3 Position Reservation)** - reserved for Case 3 Position, to search only for intra-position movements of the original restriction type **RES1**. NOTE Additional options will be added by OeKB CSD GmbH if need be	Selection	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Restr. Type Balance To	all The system searches for intra-position movements with any intended restriction type.	Selection from the list: — **AWAS (Deliverable Securities Position)** - freely available, to search only for intra-position movements of the intended restriction type **AWAS**. — **BLO1 (Case 3 Position Blocking)** - blocked for Case 3 Position, to search only for intra-position movements of the intended restriction type **BLO1**. — **EAR1 (Case 3 Position Earmarking)** - earmarked for Case 3 Position, to search only for intra-position movements of the intended restriction type **EAR1**. — **EEUR (Earmarking for auto-collat in EURO)** - earmarked for auto-collateral in EUR, to search only for intra-position movements of the intended restriction type **EEUR**. — **EGBP (Earmarking for auto-collat in GBP)** - earmarked for auto-collateral in GBP, to search only for intra-position movements of the intended restriction type **EGBP**. — **EXXX (Earmarking for auto-collat)** - earmarked for auto-collateral, to search only for intra-position movements of the intended restriction type **EXXX**. — **RES1 (Case 3 Position Reservation)** - reserved for Case 3 Position, to search only for intra-position movements of the intended restriction type **RES1**. NOTE Additional options will be added by OeKB CSD GmbH if need be	Selection	-

5.2.11.2 OeKB CSD Status Criteria (Screen Section, Search Intra-Position Movements)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Instruction Status	all The system searches for intra-position movements with any instruction status.	Selection from the list: — **New**, to search only for newly created intra-position movements. — **Accepted**, to search only for intra-position movements already accepted for processing by T2S. — **Pending**, to search only for intra-position movements for which T2S has returned status Pending. — **Failing**, to search only for intra-position movements for which T2S has returned status Failing. — **Settled**, to search only for settled intra-position movements. — **Cancelled**, to search only for cancelled intra-position movements. — **Rejected**, to search only for intra-position movements rejected by the system.	Selection	-
Task Type	all The system searches for intra-position movements with any type of task.	Selection from **All open tasks**, **User approval task** or **User processing task** By selecting **All open tasks** it is possible to search for intra-position movements which are open tasks. By selecting **User approval tasks** it is possible to search for intra-position movements which are tasks to be approved by another user. By selecting **User processing tasks** it is possible to search for intra-position movements which are tasks with status **Cancelled** or **Rejected**.	Selection	-

5.2.11.3 T2S Status Criteria (Screen Section, Search Intra-Position Movements)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Processing Status	all The system searches for intra-position movements with any processing status.	Selection from **Accepted**, **Cancelled** or **Rejected** By selecting **Accepted** it is possible to search exclusively for intra-position movements which have already been accepted by the system for processing. By selecting **Cancelled** it is possible to search exclusively for cancelled intra-position movements. By selecting **Rejected** it is possible to search exclusively for intra-position movements which have been rejected by the system.	Selection	-
Settlement Status	all The system searches for intra-position movements with any settlement status.	Selection from **Unsettled**, **Partially Settled** or **Settled** By selecting **Unsettled** it is possible to search exclusively for intra-position movements for which the Intended Settlement Day has not yet arrived. For details please refer to *Annex 8 Guideline Settlement and Securities Account Administration*. By selecting **Partially Settled** it is possible to search exclusively for partially settled intra-position movements for which the Intended Settlement Day has not yet arrived. For details please refer to *Annex 8 Guideline Settlement and Securities Account Administration*.	Selection	-

6. Physical Instructions

Via the menu item *Settlement* you can search for specific instructions in the system.

6.1 Search Physical Instructions

You can search for physical instructions.

TIP	If you repeatedly use the same search criteria, you can enter them and save them in a search template.

How to Open the Search Physical Instructions Screen

Step by Step

1 In the menu bar, select *Settlement* > *Search Physical Instructions*.
The **Search Physical Instructions** screen appears.

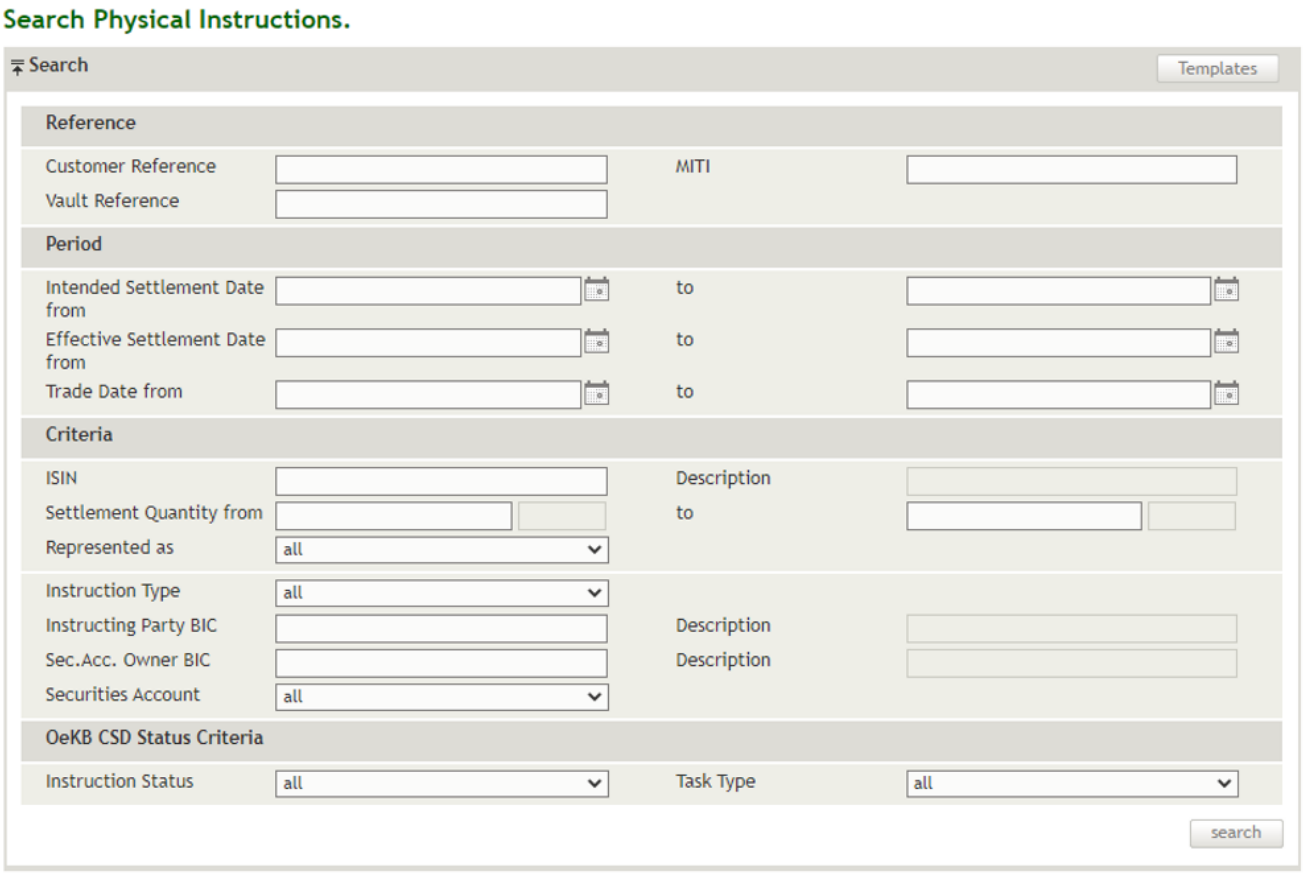


Figure 73: Search Physical Instructions

You can use the following drop-down screen sections to enter search criteria:

— Search (this section is displayed when the screen is opened for the first time, fig. 77)

TIP	The system records the screen sections displayed and the search screen appears in the same way when you open it the next time.

6.1.1 Searching for a Physical Instruction

How to Search for a Physical Instruction

Step by Step

1 In the menu bar, select *Settlement* > *Search Physical Instructions*.
The **Search Physical Instructions** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

— Represented as (= all)
— Instruction Type (= all)
— Securities Account (= all)
— Instruction Status (= all)
— Task Type (= all)

2 Enter the desired search criteria in the available fields or limit the selections in the fields completed by the system.

3 Click on the **search** button.
The search result list containing all instructions matching your search criteria appears.

6.1.2 Instruction History (Physical Instruction)

The Instruction History in the detail view of an instruction shows the detailed sequence of user actions (see Securities Accounts list) and user tasks (see Task Box) carried out for the specific instruction. It also shows all messages (inbound and outbound) of the instruction. The original messages can be accessed by clicking on the **Detail** icon.

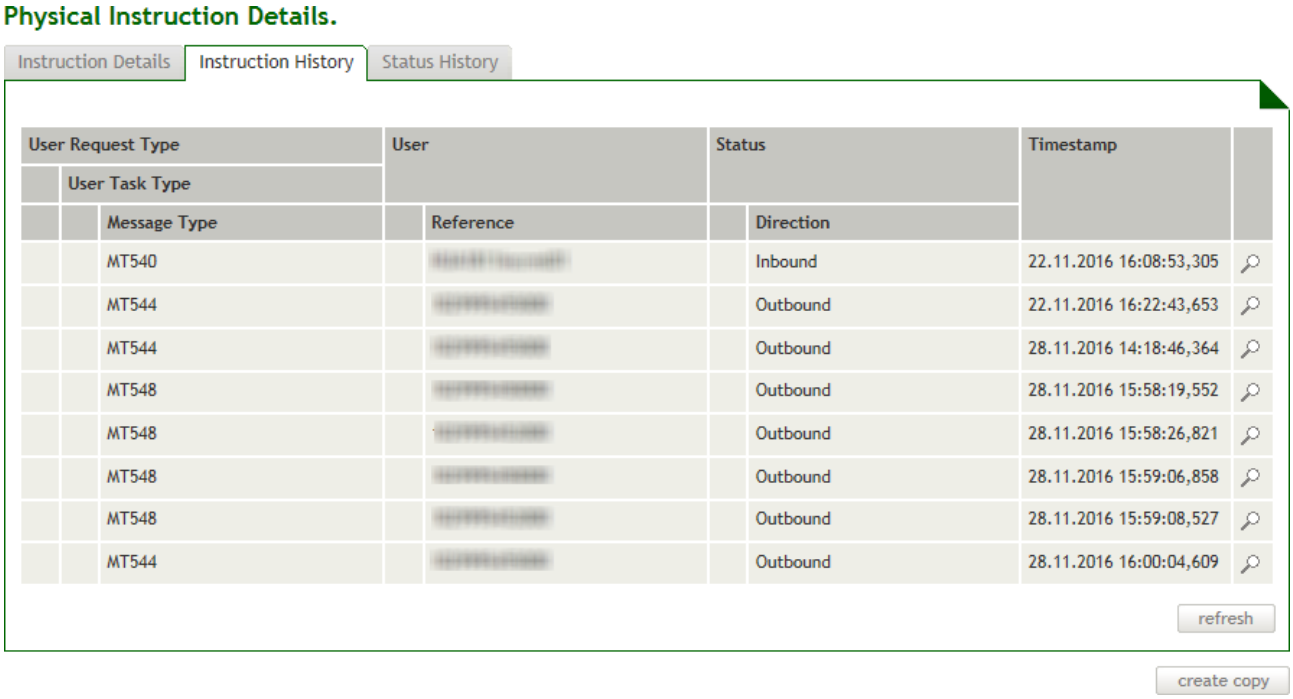


Figure 74: Instruction History - phyisical instruction

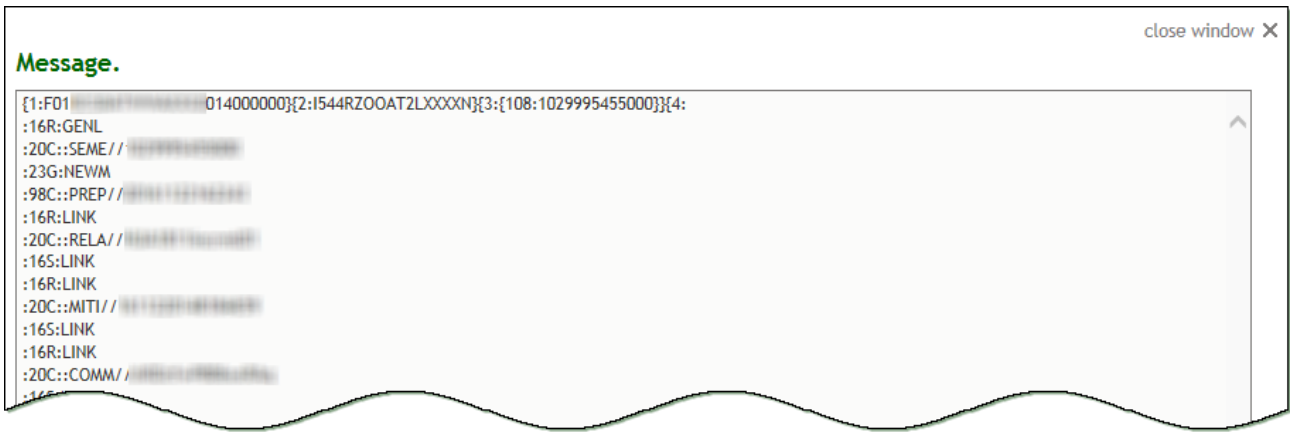


Figure 75: Instruction History - physical instruction (message detail)

6.1.3 Status History (Physical Instruction)

The Status History in the detail view of an instruction shows the detailed sequence of status modifications applied to the specific instruction.

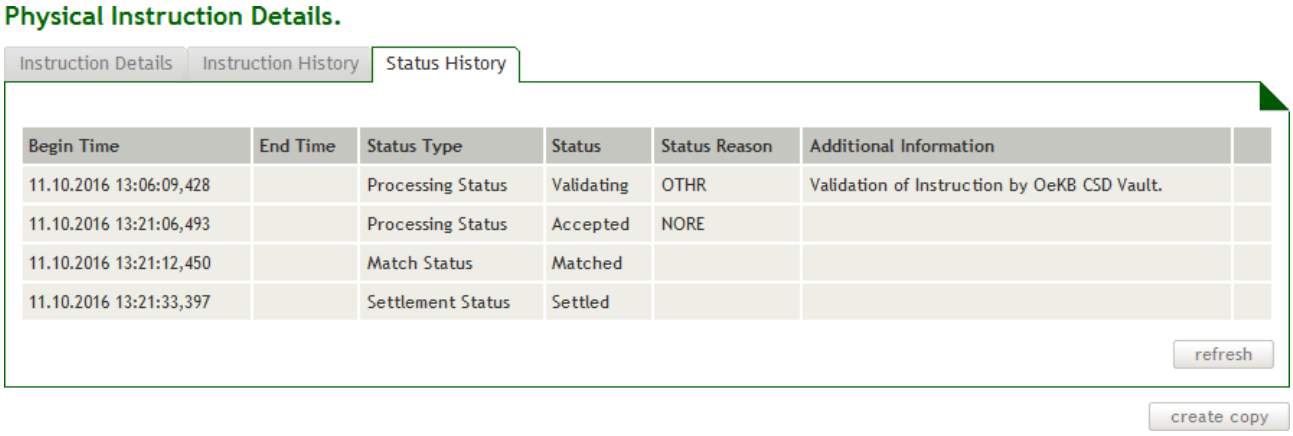


Figure 76: Status History - Physical Instruction

6.1.4 Refreshing Data in the Physical Instruction Detail View

The **Physical Instruction Details** screen shows data current at the time when the screen was opened. In order to display status changes which were carried out by the system or received in the meantime, click on the **refresh** button.

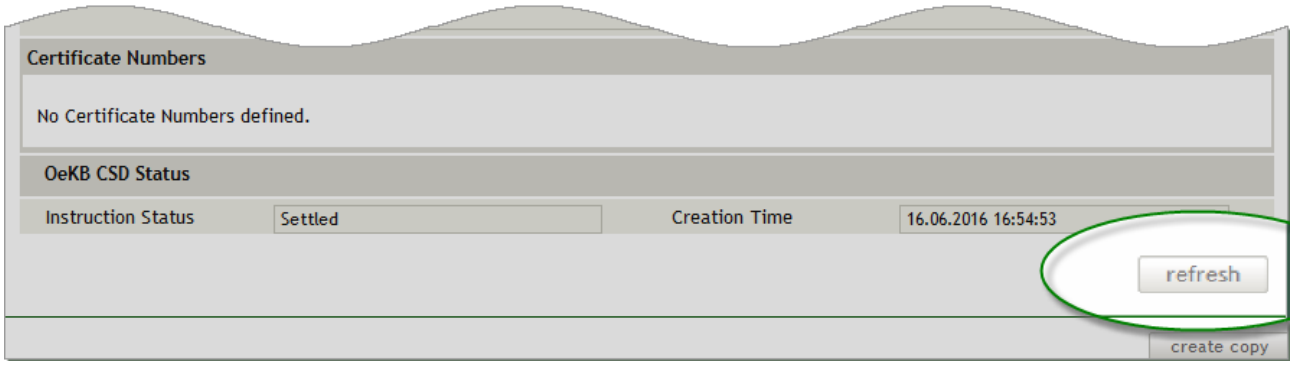


Figure 77: Refreshing data (Physical Instruction Details)

6.1.5 Field Descriptions (Search Physical Instructions)

The description of the fields in the **Search Physical Instructions** comprises the drop-down screen section:

— Search (this section is displayed when the screen is opened for the first time, fig. 77)

TIP	The system records the screen sections displayed and the search screen appears in the same way when you open it the next time.

6.1.5.1 Search (Screen Section, Search Physical Instructions)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Reference				

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Customer Reference	-	Customer reference of the instruction(s) to be found	-	16 max alphanum.
MITI	-	Market Infrastructure Transaction Identifier of the instruction(s) to be found	-	16 max alphanum.
Period				
Intended Settlement Date from - to	-	Date range within which the intended settlement date of the instruction(s) to be found shall lie If you leave one of the fields empty, the system will search starting from or ending with the date that has been entered. If you are searching for a specific day, enter the same date into both fields.	Calendar icon	DD-MM-YYYY
Effective Settlement Date from - to	-	Date range within which the effective settlement date of the instruction(s) to be found shall lie If you leave one of the fields empty, the system will search starting from or ending with the date that has been entered. If you are searching for a specific day, enter the same date into both fields.	Calendar icon	DD-MM-YYYY
Trade Date from - to	-	Date range within which the trade date of the instruction(s) to be found shall lie If you leave one of the fields empty, the system will search starting from or ending with the date that has been entered. If you are searching for a specific day, enter the same date into both fields.	Calendar icon	DD-MM-YYYY
Criteria				
ISIN	**Auto-Complete**: After input of the country code the system suggests a list of ISIN.	ISIN of the instruction(s) to be found Country code, then selection from the suggested list	Selection list after input of country code	12 alphanum.
[ISIN] Description	The designation of the financial instrument	-	-	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Settlement Quantity from - to	-	Value range within which the quantity or nominal value of the financial instrument in the instruction(s) to be found shall lie If you leave one of the fields empty, the system will search starting from or ending with the value that has been entered. If you are searching for a specific quantity, enter the same value into both fields.	-	positive decimal number
[Quantity Type]	After ISIN input or selection: — **FAMT** - for financial instruments with a price as percentage of par (face amount) — **UNIT** - for financial instruments with a price per unit	-	-	-
Represented as	all	Select from **Global certificate** or **Individual certificate** By selecting **Global certificate** it is possible to search exclusively for physical instructions of securities with representation type global certificate By selecting **Individual certificate** it is possible to search exclusively for physical instructions of securities with representation type individual certificate	Selection	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Instruction Type	all The system searches for instructions with any instruction type.	Selection from the list: — **Deposit** - Deposit of Physical Instructions, to search only for instructions of type **securities deposit** — **Withdrawal** - Withdrawal of Physical Instructions, to search only for instructions of type **securities withdrawal** — **Increase** - Increase of Global Certificate, to search only for instructions of type **increase of global certificate** — **Decrease** - Decrease of Global Certificate, to search only for instructions of type **decrease of global certificate**	Selection	-
Instructing Party BIC	- **Auto-Complete**: After input of the first or two consecutive characters of the BIC the system suggests a list of BICs. The complete list of all parties available in the system is displayed after putting the cursor into the field and hitting the arrow down key on the keyboard.	Input of the first or two consecutive characters of the BIC, then selection from the suggested list	Selection list after input of the first or of two consecutive character(s)	BIC11
[Instructing Party BIC] Description	The designation of the instructing party	-	-	-
Securities Account	all The system searches for instructions with any securities account of the inputting party.	Selection from the securities accounts available for the instructing party INFO In addition to the securities account number this field shows the BIC of the securities account holder.	Selection	35 max alphanum.

6.1.5.2 OeKB CSD Status Criteria (Screen Section, Search Physical Instructions)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Instruction Status	all The system searches for instructions with any instruction status.	Selection from the list: — **New**, to search only for newly created instructions. — **Validated**, to search only for instructions which have been received by OeKB CSD and are undergoing a syntactic validation. (before their vault validation) — **Accepted**, to search only for instructions already accepted for processing by T2S. — **Pending**, to search only for instructions for which T2S has returned status Pending. — **Failing**, to search only for instructions for which T2S has returned status Failing. — **Settled**, to search only for settled instructions. — **Cancelled**, to search only for cancelled instructions. — **Rejected**, to search only for instructions rejected by the system.	Selection	-
Task Type	all The system searches for instructions with any type of task.	Selection from **All open tasks**, **User approval task** or **User processing task** By selecting **All open tasks** it is possible to search for instructions which are open tasks. By selecting **User approval tasks** it is possible to search for instructions which are tasks to be approved by another user. By selecting **User processing tasks** it is possible to search for instructions which are tasks with status **Cancelled** or **Rejected**.	Selection	-

7. Allegements

Via the menu item *Settlement* you can search for counterparty instructions in the system (allegements) with lacking own instructions.

7.1 Search Allegements

You can search for allegements to instructions to identify counterparty instructions where the own instruction is still missing or not yet processed. The system allows you to immediately create the counter instruction to an allegement.

TIP	If you repeatedly use the same search criteria, you can enter them and save them in a search template.

How to Open the Search Allegements Screen

Step by Step

1 In the menu bar, select the menu item *Allegement*.
The **Search Allegements** screen appears.

Search Allegements.

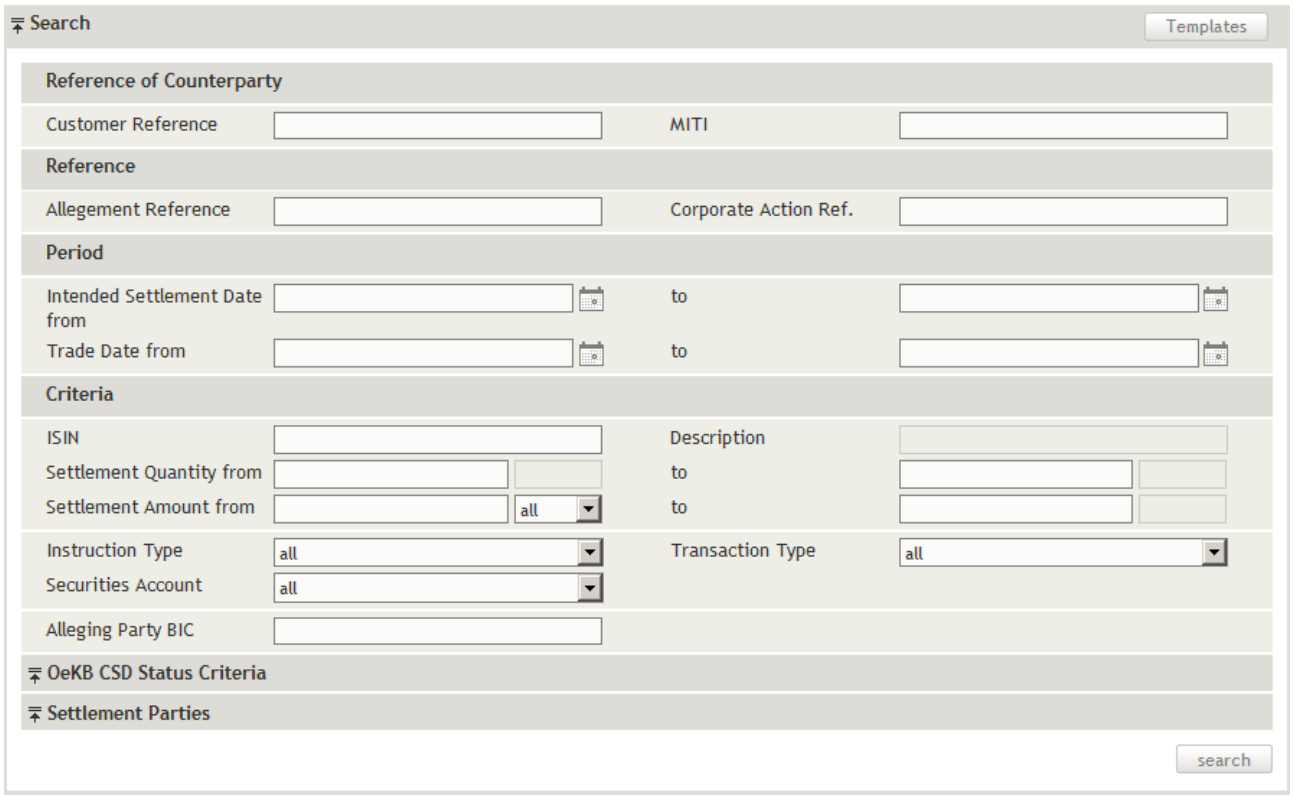


Figure 78: Search Allegements

You can use the following drop-down screen sections to enter search criteria:

— Search (this section is displayed when the screen is opened for the first time, fig. 86)

— OeKB CSD Status Criteria (fig.87)

— Settlement Parties (fig.88)

TIP	The system records the screen sections displayed and the search screen appears in the same way when you open it the next time.

Figure 79: Search Allegements - OeKB CSD Status Criteria

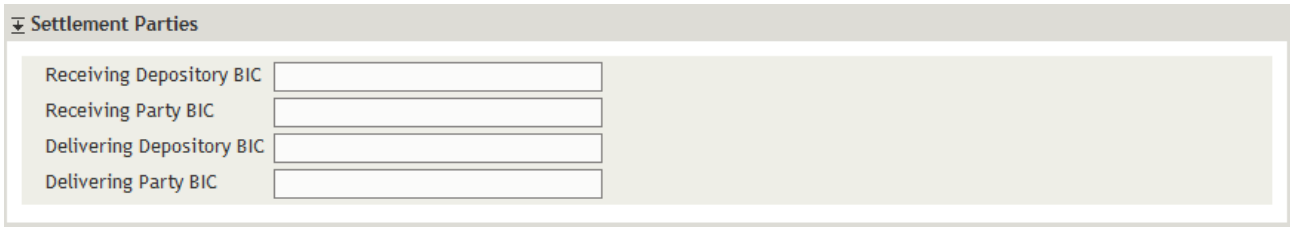


Figure 80: Search Allegemts - Settlement Parties

TIP	Clicking on **search** without entering search criteria lists all allegements available in the system. To search for (a) specific allegement(s), enter criteria in the fields which best characterise the allegement you are looking for.

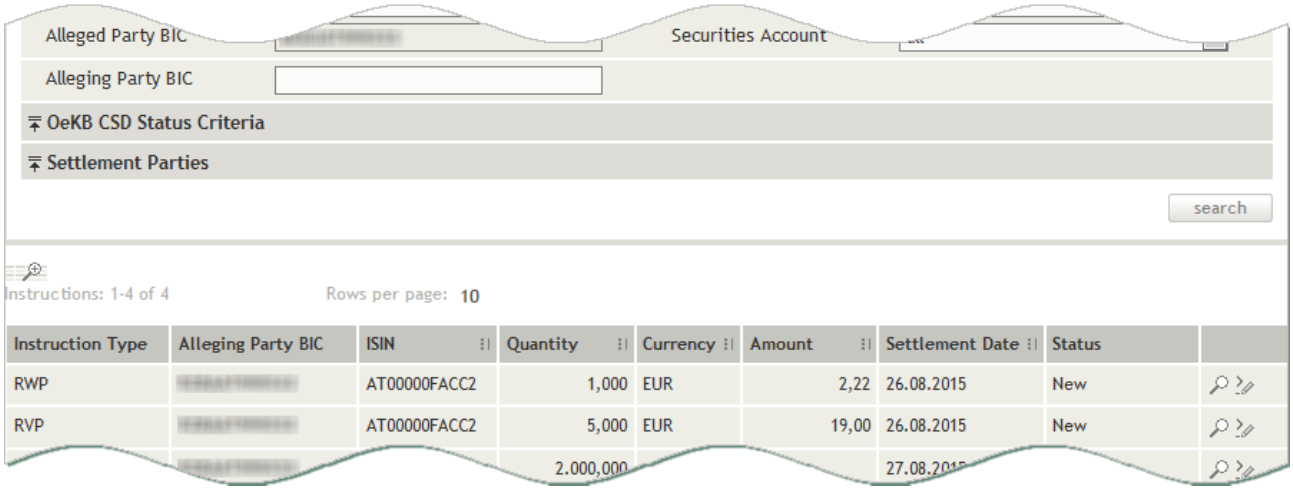


Figure 81: Search Allegement - search result list

7.1.1 Generating a Counter Instruction to an Allegement

If you want to create the counter instructions to received allegement messages, you need to search for allegements first. You can then generate the corresponding counter instruction in an immediately following step.

TIP	Creating an own instruction to an allegement is also possible from the detail view using the **create counter instruction** button.

How to Generate a Counter Instruction to an Allegement

Step by Step

1 In the menu bar, select the menu item *Allegement*.
The **Search Allegements** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

— Settlement Amount Currency (= all)

— Instruction Type (= all)

— Transaction Type (= all)

— Securities Account (= all)

— Instruction Status (= New)

2 Enter the desired search criteria in the available fields or limit the selections in the fields completed by the system.

3 Click on the **search** button.
The search result list containing all allegements matching your search criteria appears.

4 In the row of the allegement to which you want to generate a counter instruction, click on the **Generate Counter Instruction** icon.
The **Create Settlement Instruction** screen appears.

5 Continue entering the settlement instruction to match the received allegement.

7.1.2 Searching for an Allegement

How to Search for an Allegement:

Step by Step

1 In the menu bar, select the menu item *Allegement*.
The **Search Allegements** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

— Settlement Amount Currency (= all)

— Instruction Type (= all)

— Transaction Type (= all)

— Securities Account (= all)

— Instruction Status (= New)

2 Enter the desired search criteria in the available fields or limit the selections in the fields completed by the system.

3 Click on the **search** button.
The search result list containing all allegements matching your search criteria appears.

7.1.3 Saving an Allegement in PDF Format

In the detail view of an allegement you can save the details of the current allegement in PDF format and store it locally on your computer if you like.

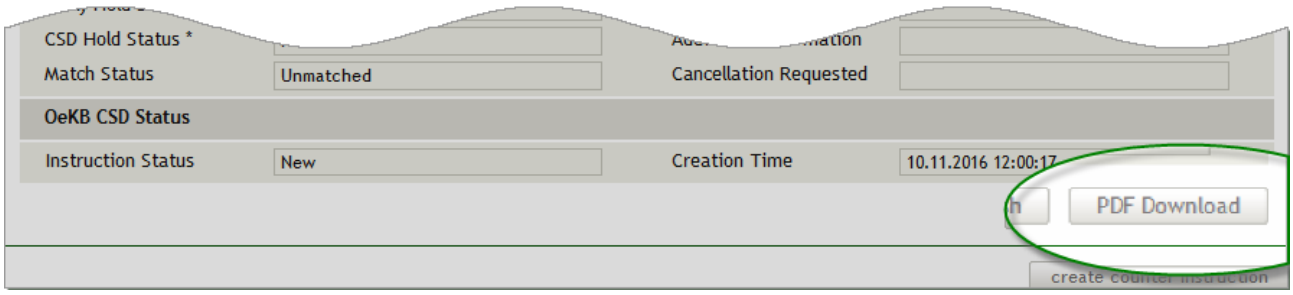


Figure 82: Saving an allegement in PDF format

How to Save an Allegement in PDF Format

Step by Step

1. In the menu bar, select the menu item *Allegement*.
   The **Search Allegements** screen appears.
   The system automatically inserts the appropriate predefined values into the fields:
   - Settlement Amount Currency (= all)
   - Instruction Type (= all)
   - Transaction Type (= all)
   - Securities Account (= all)
   - Instruction Status (= New)
2. Enter the desired search criteria in the available fields or limit the selections in the fields completed by the system.
3. Click on the **search** button.
   The search result list containing all allegements matching your search criteria appears.
4. In the row of the record you want to save in PDF format, click on the **Details** icon 🔎 to open the detail view.
5. Click on the **PDF download** button.
6. In the system screen, choose whether to open the PDF file or save it to your computer.

7.1.4 Instruction History (Allegement)

The Instruction History in the detail view of an allegement shows all messages (outbound) of the allegement. The original messages can be accessed by clicking on the **Detail** icon.

NOTE It is not possible to edit entries in the Instruction History.

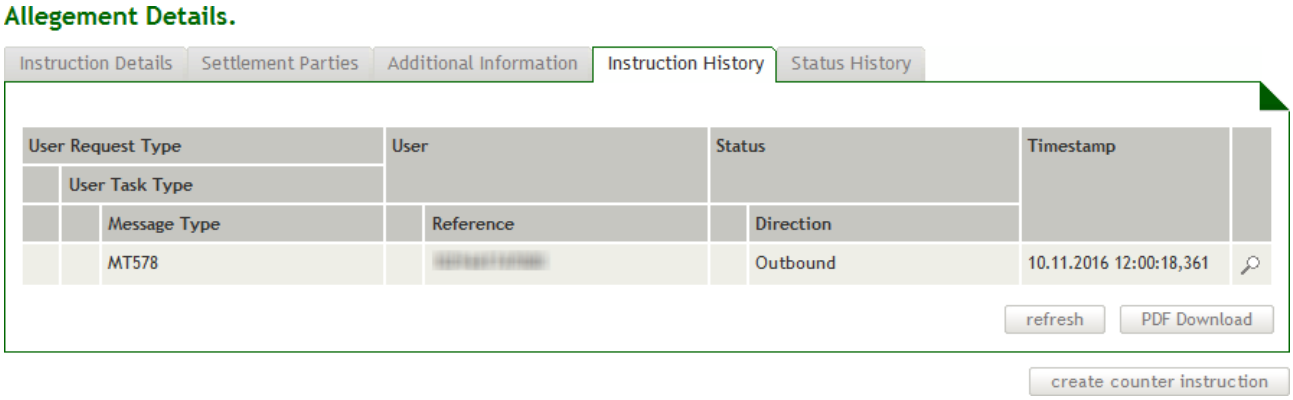


Figure 83: Instruction History - allegement

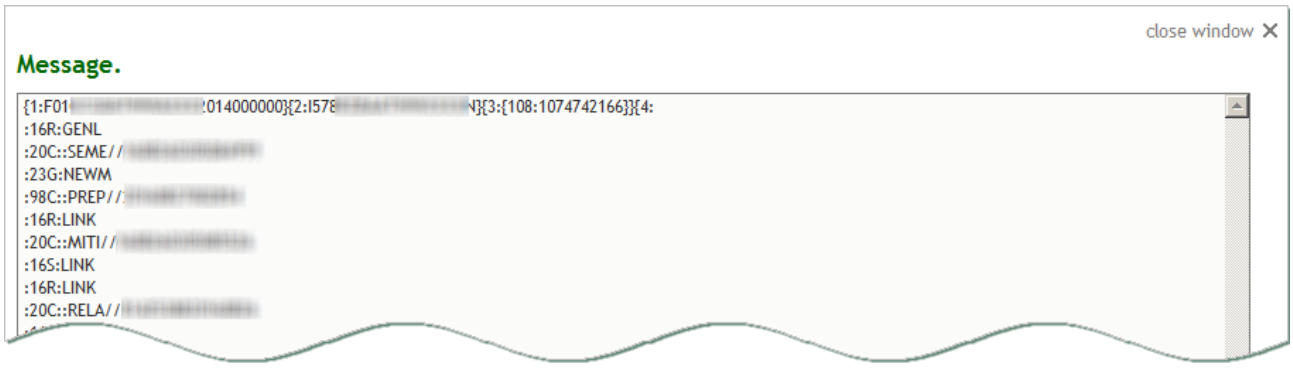


Figure 84: Instruction History - allegement (message detail)

7.1.5 Status History (Allegement)

The Status History in the detail view of an allegement shows the detailed sequence of status modifications applied to the specific allegement.

NOTE It is not possible to edit entries in the Status History.

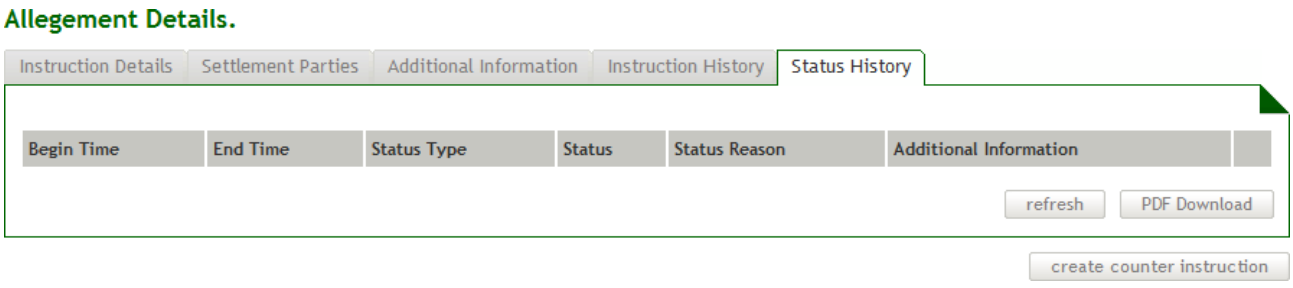


Figure 85: Status History (Allegement)

7.1.6 Refreshing Data in the Allegement Detail View

The **Allegement Details** screen shows data current at the time when the screen was opened. In order to display status changes which were carried out by the system or received in the meantime, click on the **refresh** button.

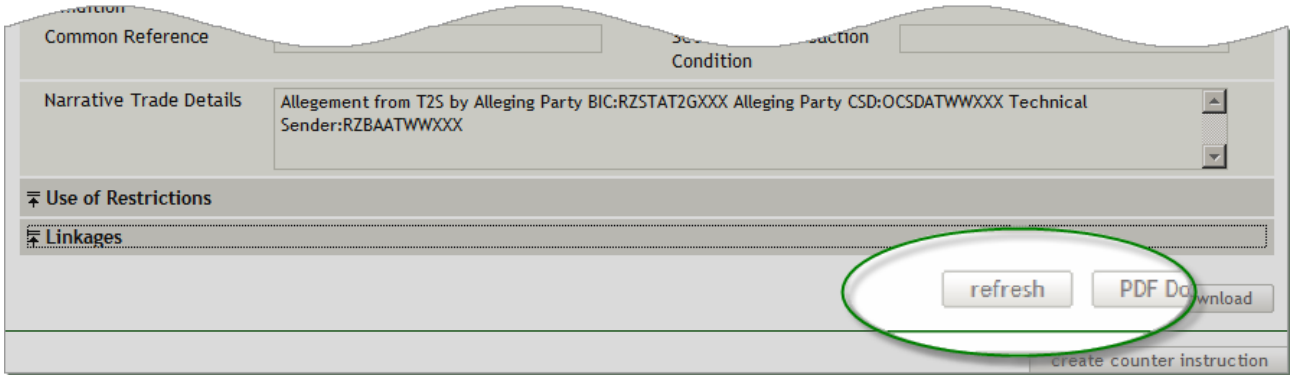


Figure 86: Refreshing data (Allegement Details)

7.1.7 Field Descriptions (Search Allegements)

The description of the fields in the **Search Allegements** screen is sectioned in two parts, i.e. the two drop-down screen sections:

— Search (this section is displayed when the screen is opened for the first time, fig.86)

— OeKB CSD Status Criteria (fig.87)

— Settlement Parties (fig.88)

7.1.7.1 Search (Screen Section, Search Allegements)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Reference of Counterparty				
Customer Reference	-	Customer reference of the allegement(s) to be found	-	16 max alphanum.
MITI	-	Market Infrastructure Transaction Identifier of the allegement(s) to be found	-	16 max alphanum.
Reference				
Allegement Reference	-	Reference of the allegement(s) to be found assigned by T2S after settlement	-	16 max alphanum.
Corporate Action Reference	-	Reference of the corporate action associated with the allegement to be found	-	16 max alphanum.

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Period				
Intended Settlement Date from - to	-	Date range within which the intended settlement date of the allegement(s) to be found shall lie If you leave one of the fields empty, the system will search starting from or ending with the date that has been entered. If you are searching for a specific day, enter the same date into both fields.	Calendar icon	DD-MM-YYYY
Trade Date from - to	-	Date range within which the trade date of the allegement(s) to be found shall lie If you leave one of the fields empty, the system will search starting from or ending with the date that has been entered. If you are searching for a specific day, enter the same date into both fields.	Calendar icon	DD-MM-YYYY
Criteria				
ISIN	**Auto-Complete**: After input of the country code the system suggests a list of ISIN.	ISIN of the allegement(s) to be found Country code, then selection from the suggested list	Selection list after input of country code	12 alphanum.
[ISIN] Description	The designation of the financial instrument	-	-	-
Settlement Quantity from - to	-	Value range within which the quantity or nominal value of the financial instrument in the allegement(s) to be found shall lie If you leave one of the fields empty, the system will search starting from or ending with the value that has been entered. If you are searching for a specific quantity, enter the same value into both fields.	-	positive decimal number

Field	Content (by system)	Entry (by user)	Input Assist.	Length
[Quantity Type]	After ISIN input or selection: — **FAMT** - for financial instruments with a price as percentage of par (face amount) — **UNIT** - for financial instruments with a price per unit	-	-	-
Settlement Amount from - to	-	Value range within which the corresponding cash value of the allegement(s) to be found shall lie If you leave one of the fields empty, the system will search starting from or ending with the value that has been entered. If you are searching for a specific quantity, enter the same value into both fields.	-	positive decimal number
[Settlement Amount Currency]	all The system searches for allegements with any currency.	Selection from **CHF, EUR, GBP, USD**	Selection	3 alphanum.
Instruction Type	all The system searches for allegements with any instruction type.	Selection from the list: ▪ **RFP** - Receive Free of Payment, to search only for allegements of type **RFP** ▪ **DFP** - Delivery Free of Payment, to search only for allegements of type **DFP** ▪ **RVP** - Receive versus Payment, to search only for allegements of type **RVP** — **DVP** - Delivery versus Payment, to search only for allegements of type **DVP** — **RWP** - Receive with Payment, to search only for allegements of type **RWP** — **DWP** - Delivery with Payment, to search only for allegements of type **DWP** — **PFRD** - Payment Free of Receive Debit, to search only for allegements of type **PFR Debit**	Selection	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
		— **PFDD** - Payment Free of Delivery Debit, to search only for allegements of type **PFD Debit** — **PFRC** - Payment Free of Receive Credit, to search only for allegements of type **PFR Credit** — **PFDC** - Payment Free of Delivery Credit, to search only for allegements of type **PFD Credit**		
Transaction Type	all The system searches for allegements with any transaction type.	Selection from the list: — **TRAD** - Standard Instruction, to search only for allegements of type standard instruction TIP Additional transaction types are supported.	Selection	-
Securities Account	all The system searches for allegements with any securities account of the inputting party.	Selection from the securities accounts available for the instructing party INFO In addition to the securities account number this field shows the BIC of the securities account holder.	Selection	35 max alphanum.
Alleging Party BIC	-	BIC of the party who created the allegement as an instruction where the inputting party is the counterparty	-	BIC11

7.1.7.2 OeKB CSD Status Criteria (Screen Section, Search Allegements)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Instruction Status	New The system searches for allegements with status **New**	Selection from **all**, **New, Removed** or **Cancelled** By selecting **all** it is possible to search for allegements of any instruction status. By selecting **New** it is possible to search exclusively for newly created allegements. By selecting **Removed** it is possible to search exclusively for allegements for which a counter instruction has already been created. By selecting **Cancelled** it is possible to search exclusively for allegements to instructions which have been cancelled.	Selection	-

7.1.7.3 Settlement Parties (Screen Section, Search Allegements)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Receiving Depository BIC	-	BIC of the depository of the receiving party in the allegement(s) to be found	-	BIC11
Receiving Party BIC	-	BIC of the receiving party in the allegement(s) to be found	-	BIC11
Delivering Depository BIC	-	BIC of the depository of the delivering party in the allegement(s) to be found	-	BIC11
Delivering Party BIC	-	BIC of the delivering party in the allegement(s) to be found	-	BIC11

8. Holdings

Via the menu item *Holdings* you can access the following functionalities:

— Securities Positions
— Securities Posting Items
— Cash Preview
— Statement of Holdings

8.1 Securities Positions

Securities positions may be displayed either by ISIN or by securities account.

How to Open the Securities Positions Screen

Step by Step

1 In the menu bar, select *Holdings* > *Securities Positions*.
The **Securities Positions** screen appears.

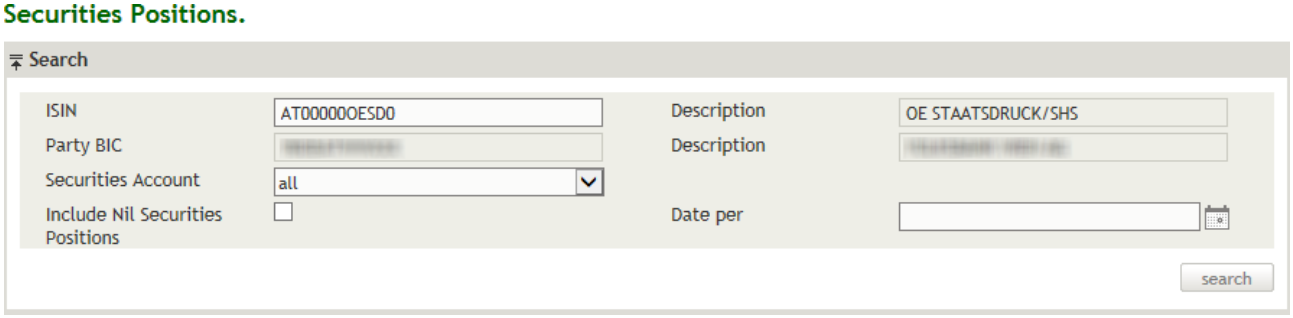


Figure 87: Securities Positions (example: search by ISIN)

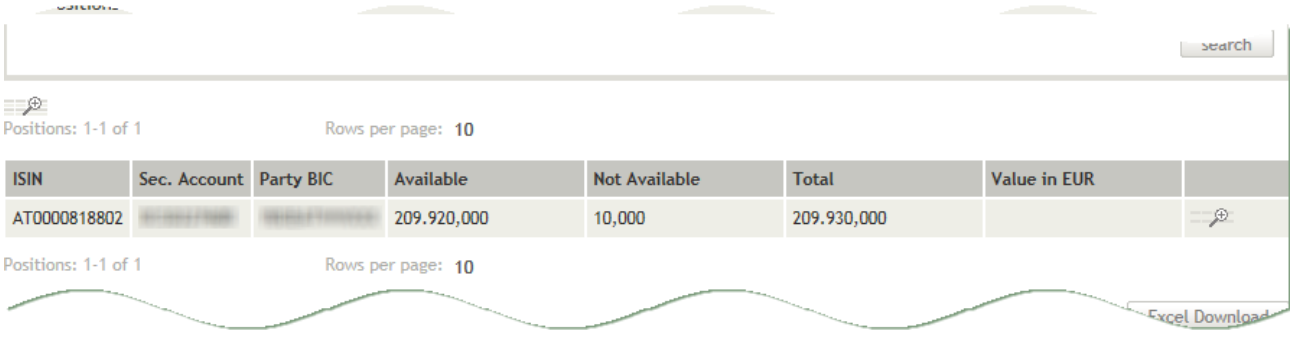


Figure 88: Securities Positions - search result list

TIP	The links in the columns **Available** and **Not Available** allow you to display the associated subbalances of the position.
TIP	The extended list view (see extended search results) shows the allocated restriction references (see Create Intra-Position Movement by ISIN.

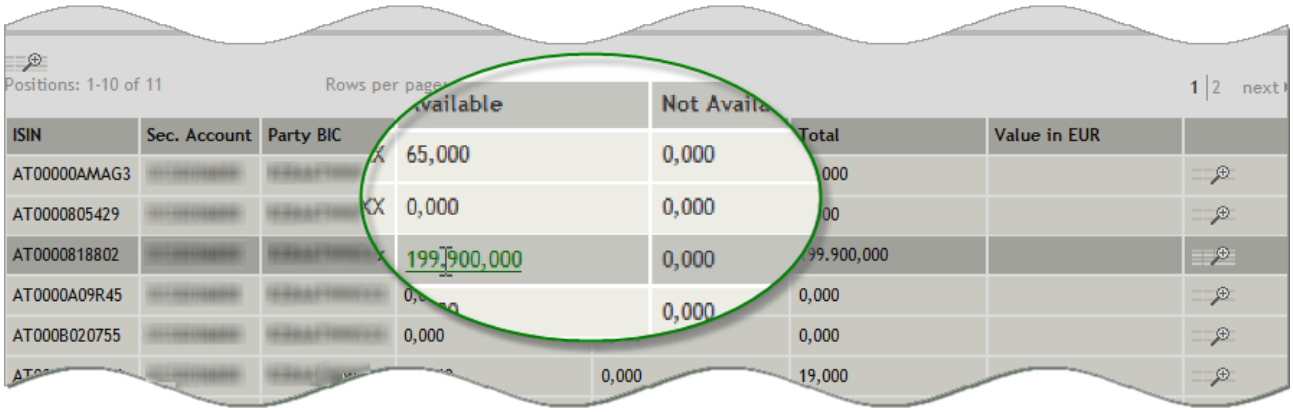


Figure 89: Securities Positions - links to subbalances

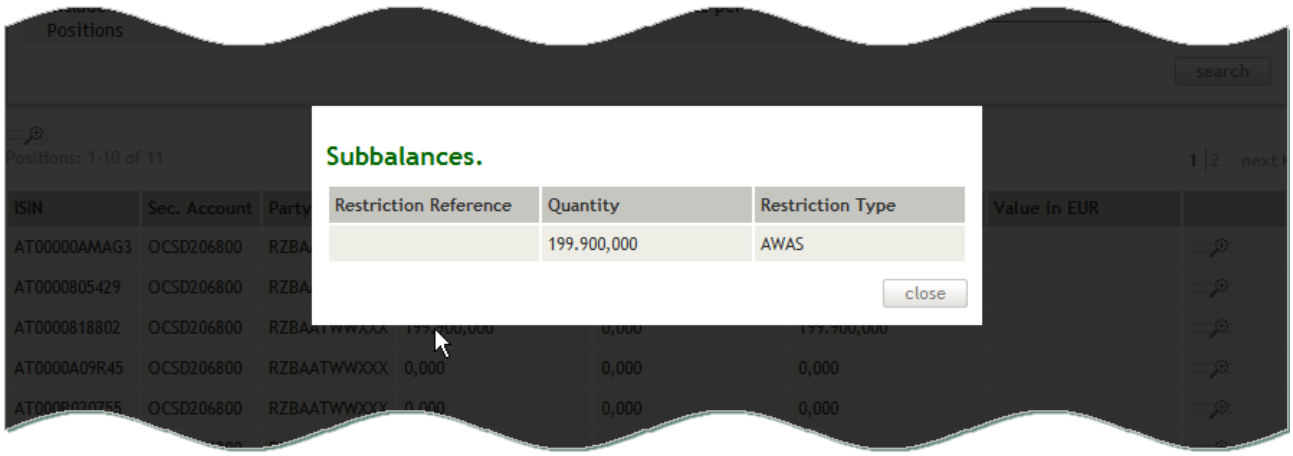


Figure 90: Securities Positions - subbalances (pop-up-dialog)

8.1.1 Displaying Securities Positions by Financial Instrument (ISIN)

With the securities position enquiry by ISIN you can enter an ISIN to find out which securities accounts hold positions of this financial instrument, where OeKB CSD is holding the securities for you and whether these positions are available, earmarked, blocked or reserved.

How to Display the Securities Positions of a Financial Instrument by Entering its ISIN

Step by Step

1 In the menu bar, select *Holdings* > *Securities Positions*.
The **Securities Positions** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

— Party BIC (= enquiring party) incl. Description

— Securities Account (= all)

2 In the field **ISIN**, enter the desired financial instrument.
In the field **Description**, the system automatically completes the details stored for the selected financial instrument.

TIP	There is an auto-complete function available in the **ISIN** field: You need only enter the country code; the system will then suggest a list of available ISIN.

3 Click on the **search** button.
The search result list containing all positions matching your search criteria appears.

4 You have the following options:

a1 In the row of the record you want to enquire, click on the amount displayed in the columns **Available** or **Not Available** to follow the integrated link to the subbalances.
The pop-up dialog **Subbalances** appears.

a2 Click on the button **close** to return to the **Securities Positions** screen.

b In the row of a record you want to enquire, click on the icon to see the individual posting items of the securities position.
The **Securities Posting Items** screen appears.
The fields are filled with all the data of the previously selected securities position and the search result list displays the corresponding posting items.

c Click on the **Excel download** button to save the data in a Microsoft Excel file.

8.1.2 Displaying Securities Positions by Securities Account

With the securities position enquiry by securities account you can enter a securities account to find out which securities positions are held on this securities account, where OeKB CSD is holding the securities for you and whether these positions are available, earmarked, blocked or reserved.

How to Display the Securities Positions of a Financial Instrument on a Securities Account

Step by Step

1 In the menu bar, select *Holdings > Securities Positions*.
The **Securities Positions** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

— Party BIC (= enquiring party) incl. Description

— Securities Account (= all)

2 In the field **Securities Account**, select the securities account from the securities accounts available for the enquiring party.

3 Click on the **search** button.
The search result list containing all positions matching your search criteria appears.

4 You have the following options:

a1 In the row of the record you want to enquire, click on the amount displayed in the columns **Available** or **Not Available** to follow the integrated link to the subbalances.
The pop-up dialog **Subbalances** appears.

a2 Click on the button **close** to return to the **Securities Positions** screen.

b In the row of a record you want to enquire, click on the icon to see the individual posting items of the securities position.
The **Securities Posting Items** screen appears.
The fields are filled with all the data of the previously selected securities position and the search result list displays the corresponding posting items.

c Click on the **Excel download** button to save the data in a Microsoft Excel file.

8.1.3 Field Descriptions (Securities Positions)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
ISIN	**Auto-Complete**: After input of the country code the system suggests a list of ISIN.	Country code, then selection from the suggested list	Selection list after input of country code	12 alphanum.
[ISIN] Description	The designation of the financial instrument	-	-	-
Party BIC	BIC of the enquiring party	-	-	-
[Party BIC] Description	The designation of the securities account holder	-	-	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Securities Account	all The system searches for securities positions with any securities account of the inputting party or of the securities account holder.	Selection from the securities accounts available for the securities account holder	Selection	35 max alphanum.
Include Nil Securities Positions	Empty check box	Activating the check box includes securities positions which hold no current positions, but held positions some time in the past, in the search result list	-	-
Date per	-	Reference date used to display securities positions INFO This field shows the positions by the end of day of the previous day, plus positions of the current day	Calendar icon	DD-MM-YYYY

8.2 Securities Posting Items

It is possible to display the bookings of a securities transaction.

TIP Accessing the booked securities posting items is also possible from the search result list of the securities positions enquiry using the button.

How to Open the Securities Posting Items Screen

Step by Step

1 In the menu bar, select *Holdings* > *Securities Posting Items*.
The **Securities Posting Items** screen appears.

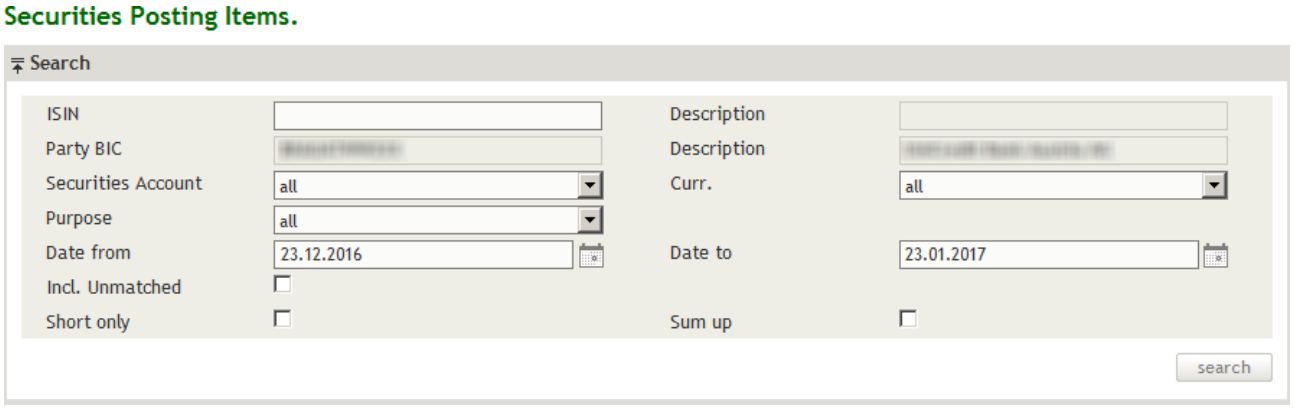


Figure 91: Securities Posting Items

Figure 92: Securities Posting Items - search result list

8.2.1 Displaying Securities Posting Items

With the securities posting items enquiry you can determine when the bookings of a securities transaction were effected on which securities accounts. You may use the ISIN to search for specific financial instruments or enter a securities account number to display the posting items for a securities account.

How to Enquire for Securities Posting Items

Step by Step

1 In the menu bar, select *Holdings > Securities Posting Items*.
The **Securities Posting Items** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

- Party BIC (= enquiring party) incl. Description
- Securities Account (= all)
- Currency (= all)
- Purpose (= all)
- Date from (= date one month before the current date)
- Date to (= current date)

2 Enter the desired search criteria in the available fields or limit the selections in the fields completed by the system.

3 Click on the **search** button.
The search result list containing all bookings matching your search criteria appears.

8.2.2 Colour Codes of the Search Result List

Colour Code	Explanation
Black font	Settled securities posting item
Red font	Not yet settled securities posting item
Grey background	Securities posting item with expected coverage
Yellow background	Securities posting item with expected insufficient coverage

8.2.3 Field Descriptions (Securities Posting Items)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
ISIN	**Auto-Complete**: After input of the country code the system suggests a list of ISIN.	Country code, then selection from the suggested list	Selection list after input of country code	12 alphanum.
[ISIN] Description	The designation of the financial instrument	-	-	-
Party BIC	BIC of the enquiring party	-	-	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
[Party BIC] Description	The designation of the securities account holder	-	-	-
Securities Account	all The system searches for securities posting items on all securities accounts of the securities account holder	Selection from the securities accounts available for the securities account holder	Selection	35 max alphanum.
Currency	all The system searches for securities bookings with any currency	Selection from **CHF**, **EUR**, **GBP**, **USD**	Selection	-
Purpose	all The system searches for securities bookings with any purpose.	Selection from **Settlement**, **Physical**, **Clearing** or **Corporate Action** By selecting **Settlement** it is possible e.g. to search exclusively for cash movements associated with settlement transactions. By selecting **Physical** it is possible e.g. to search exclusively for cash movements associated with physical transactions. By selecting **Clearing** it is possible e.g. to search exclusively for cash movements associated with clearing transactions. By selecting **Corporate Action** it is possible e.g. to search exclusively for cash movements associated with corporate actions.	Selection	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Date from - to	**Date from**: one month before the current date **Date to**: The current date	Date range within which the settlement date of the securities posting item to be found shall lie If you leave one of the fields empty, the system will search starting from or ending with the date that has been entered. If you are searching for a specific day, enter the same date into both fields. INFO If the date range lies in the future, the date considered is the intended settlement date; if the date range lies in the past, it is the effective settlement date.	Calendar icon	DD-MM-YYYY
Incl. Unmatched	Empty check box	Activating the check box includes unmatched securities posting items in the search result list. TIP Activating this check box may be helpful if the end date of the search date range lies in the future.	-	-
Short only	Empty check box	Activating the check box limits the posting items displayed in the search result list to bookings with insufficient coverage. TIP Activating this check box may be helpful if the end date of the search date range lies in the future.	-	-
Sum up	Empty check box	Activating the check box shows the summed-up amounts per day in the search result list.	-	-

8.3 Search Cash Preview

The cash preview shows the cash movements related to securities settlement instructions over a period of time.

How to Open the Search Cash Preview Screen

Step by Step

1 In the menu bar, select *Holdings* > *Cash Preview*.
The **Search Cash Preview** screen appears.

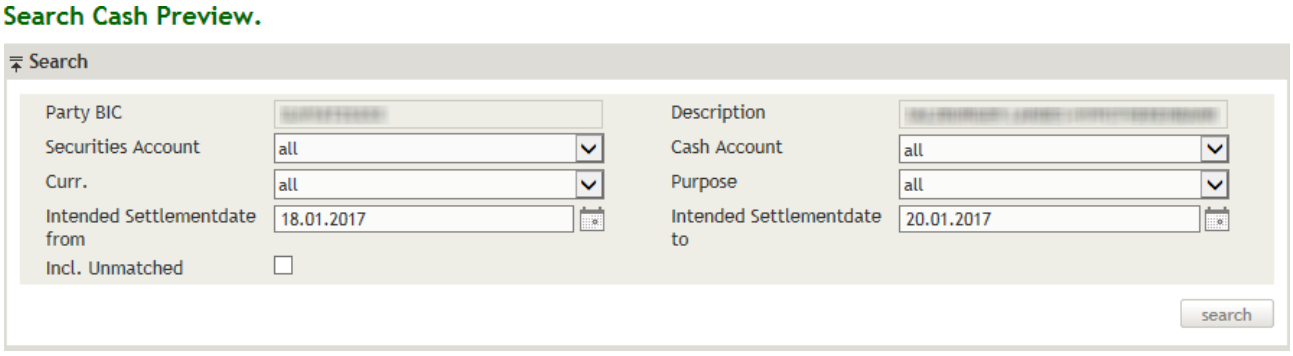


Figure 93: Search Cash Preview

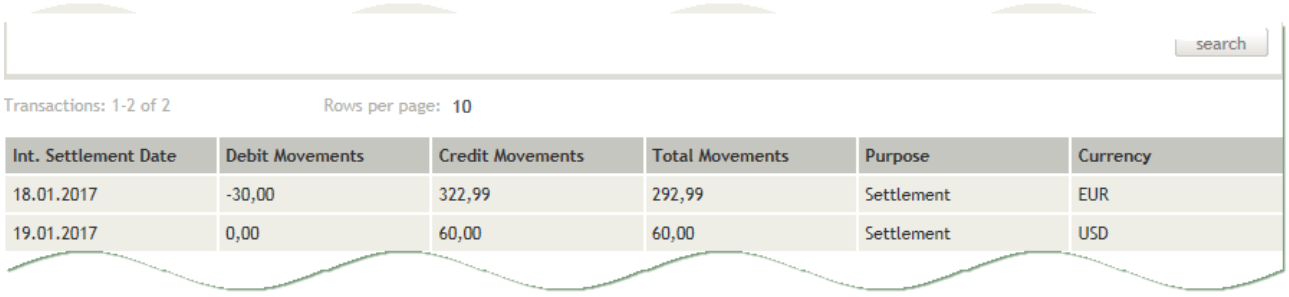


Figure 94: Search Cash Preview - search result list

8.3.1 Displaying the Cash Balance

With the cash preview you can determine the cash balance on a securities account for a specified (future) period of time.

Step by Step

1 In the menu bar, select *Holdings > Cash Preview.*
The **Search Cash Preview** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

- Party BIC (= inputting party) incl. Description
- Securities Account (= all)
- Cash Account (= all)
- Currency (= all)
- Purpose (= all)
- Intended Settlement Date from (= date one month before the current date)
- Intended Settlement Date to (= date one month after the current date)

2 Enter the desired search criteria in the available fields or limit the selections in the fields completed by the system.

3 Click on the **search** button.
The search result list containing all cash movements matching your search criteria appears.

8.3.2 Field Descriptions (Search Cash Preview)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Party BIC	BIC of the enquiring party	-	-	-
[Party BIC] Description	The designation of the securities account holder	-	-	-
Securities Account	all The system displays the cash balance of all securities accounts of the securities account holder	Selection from the securities accounts available for the securities account holder	Selection	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Cash Account	all The system displays the cash balance of all cash accounts for the selected securities account of the securities account holder	Selection from the cash accounts available for the selected securities account INFO The selection in this field becomes available after a securities account has been selected in the **Securities Account** field.	Selection	-
Currency	all The system displays the cash balance for all currencies	Selection from **CHF**, **EUR**, **GBP**, **USD**	Selection	-
Purpose	all The system searches for cash movements with any purpose.	Selection from **Settlement**, **Physical**, **Clearing** or **Corporate Action** By selecting **Settlement** it is possible e.g. to search exclusively for cash movements associated with settlement transactions. By selecting **Physical** it is possible e.g. to search exclusively for cash movements associated with physical transactions. By selecting **Clearing** it is possible e.g. to search exclusively for cash movements associated with clearing transactions. By selecting **Corporate Action** it is possible e.g. to search exclusively for cash movements associated with corporate actions.	Selection	-
Intended Settlement Date from - to	**Date from**: one month before the current date **Date to**: one month after the current date	Date range within which the intended settlement date of the instructions for the cash preview of the selected securities account shall lie. If you leave one of the fields empty, the system will search starting from or ending with the date that has been entered. If you are searching for a specific day, enter the same date into both fields.	Calendar icon	DD-MM-YYYY

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Incl. Unmatched	Empty check box	Activating the check box includes unmatched securities posting items in the search result list. **TIP** Activating this check box may be helpful if the end date of the search date range lies in the future.	-	-

8.4 Statement of Holdings

Here you can download the statement of holdings in PDF format.

How to Open the Statement of Holdings Screen

Step by Step

1 In the menu bar, select *Holdings* > *Statement of Holdings*.
The screen **Statement of Holdings** appears.

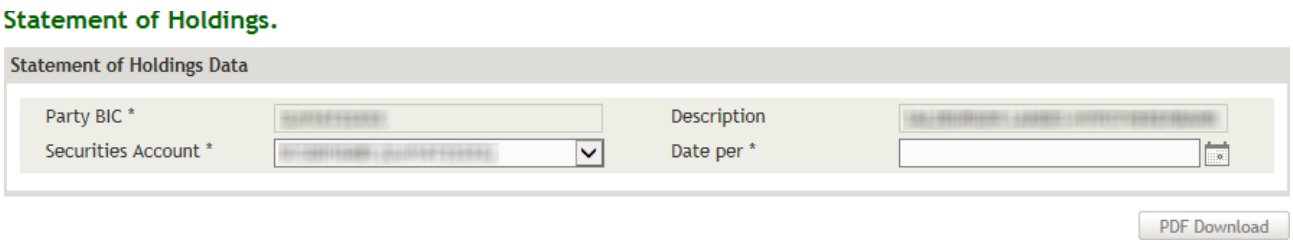


Figure 95: Statement of Holdings

8.4.1 Downloading the Statement of Holdings

To download the statement of holdings first select the securities account and the reference date.

Step by Step

1 In the menu bar, select *Holdings* > *Statement of Holdings*.
The screen **Statement of Holdings** appears.
The system automatically inserts the appropriate predefined values into the fields:

— Party BIC (= inputting party) incl. Description

2 In the field **Securities Account**, select the securities account from the securities accounts available for the enquiring party.

3 In the field **Date per** enter the reference date for the statement of holdings.

INFO	If the selected date is not a T2S Opening Day as listed in the General Terms and Conditions of the OeKB CSD GmbH the statement of holdings will be issued for the last settlement date before the selected date.

4 Click on the **PDF download** button.

5 In the system screen, choose whether to open the PDF file or save it to your computer.

8.4.2 Field Descriptions (Statement of Holdings)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Party BIC	BIC of the enquiring party	-	-	-
[Party BIC] Description	The designation of the securities account holder	-	-	-
Securities Account **Mandatory field**	Input request 'please select ...'	Selection from the securities accounts available for the securities account holder	Selection	-
Date per **Mandatory field**	-	Reference date for which to generate the statement of holdings INFO: If the selected date is not a T2S Opening Day as listed in the General Terms and Conditions of the OeKB CSD GmbH the statement of holdings will be issued for the last settlement date before the selected date.	Calendar icon	DD-MM-YYYY

9. Billing

Via the menu item *Billing* you can access copies of all invoices issued by the OeKB CSD GmbH to the holder of a securities account. The invoice copies include detailed information on the fees charged. They are available for download as PDF-format files.

In particular, the detailed list of securities account fees shows the total amount of fees across all securities account of the securities account holder. Additional detail views show the total amount of fees for the individual securities accounts and include a breakdown based on the individual positions in a safekeeping account and on the end-of-day positions by business day during the selected invoice period.

9.1 Structure of Invoice Data on the Settlement Client

The menu items *Billing* > *Customer Invoices* are the initial steps to access invoice data on the Settlement Client. Subsequent tiers provice access to the following information details about the invoice:

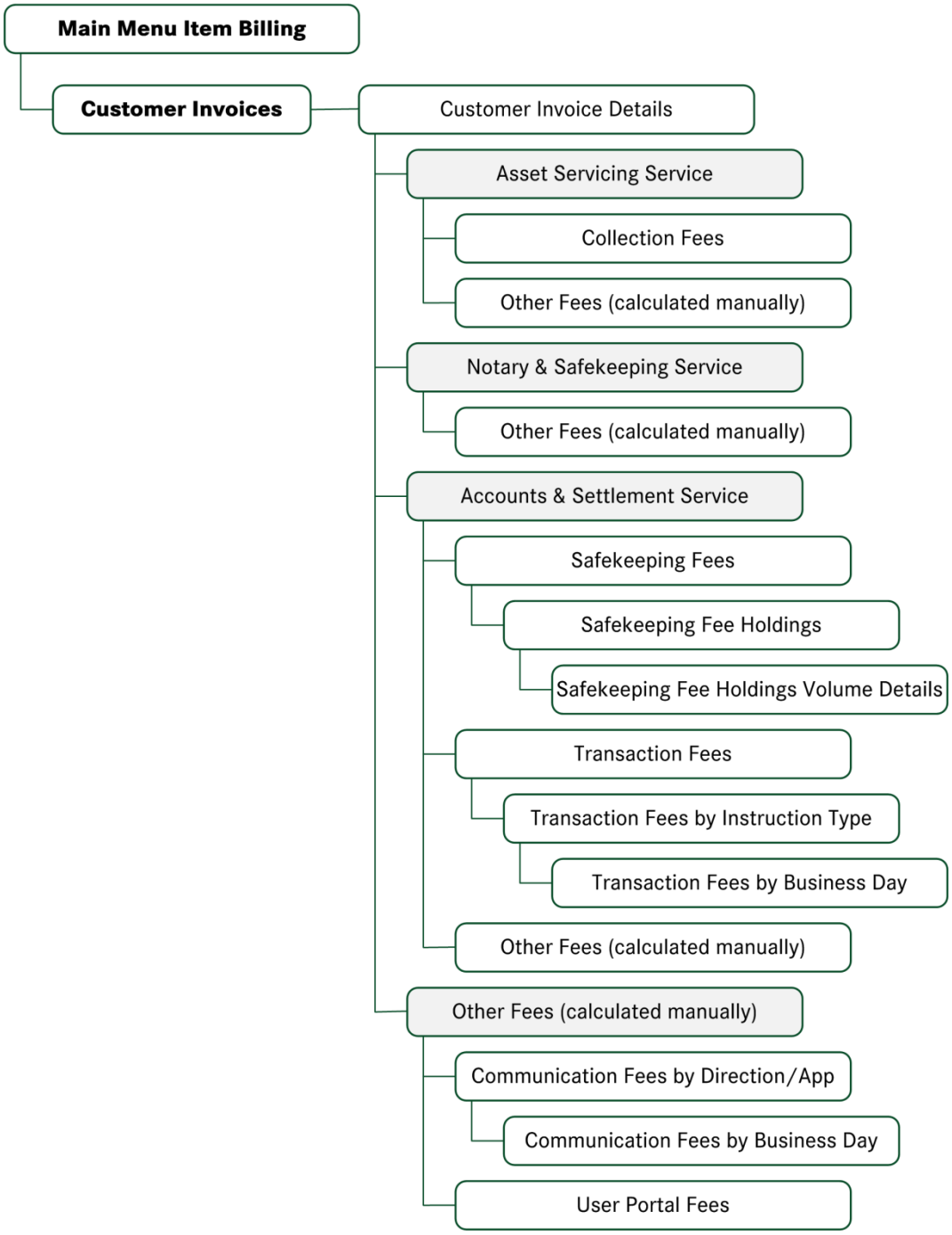


Figure 96: Structure of Invoice Data on the Settlement Client

9.2 Customer Invoices

How to Open the Customer Invoices Screen

Step by Step

1 In the menu bar, select *Billing* > *Customer Invoices*.
The screen **Customer Invoices** appears.

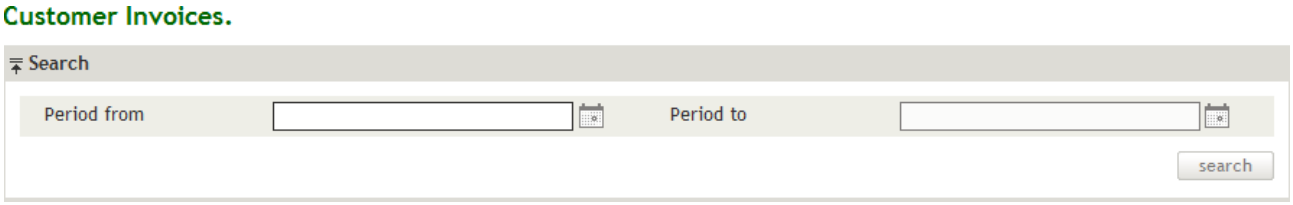


Figure 97: Customer Invoices

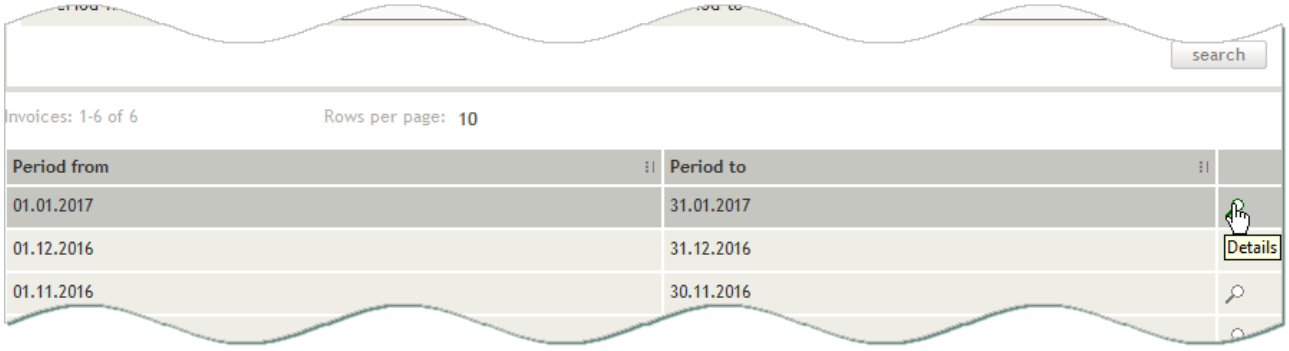


Figure 98: Customer Invoices - search result list

9.2.1 Viewing Invoices

How to Display Copies of the Invoices Issued by the OeKB CSD to the Customer

Step by Step

1 In the menu bar, select *Billing* > *Customer Invoices*.
The screen **Customer Invoices** appears.

2 Enter the desired period in the available fields.

3 Click on the **search** button.
The search result list containing all invoice periods matching your search criteria appears.

4 Click on the icon to open the invoice period detail view and have all the invoices issued during that period shown..

NOTE **The copies of invoices with an invoice period partly outside the period entered will not be shown.**

9.2.1.1 Field Descriptions (Customer Invoices)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Period from - to	-	Date range of the invoice period If you leave one of the fields empty, the system will search starting from or ending with the date that has been entered. NOTE The copies of invoices with an invoice period partly outside the period entered will not be shown.	Calendar icon	DD-MM-YYYY

9.2.2 Invoice Detail View (Customer Invoice Details)

How to Display the Detail View of an Invoice

Step by Step

1 In the menu bar, select *Billing* > *Customer Invoices*.
The screen **Customer Invoices** appears.

2 Enter the desired period in the available fields.

3 Click on the **search** button.
The search result list containing all invoice periods matching your search criteria appears.

4 In the row of the period for which you want to have the invoices shown, click on the **Details** icon to open the detail view.
The detail view **Customer Invoice Details** appears.

5 You have the following options:

a Click on the icon to open the fees lists (mask sections) and have all the invoices issued during that period shown..

NOTE Depending on the service for which the invoice was issued the mask sections **Safekeeping Fees**, **Transaction Fees**, **Collection Fees**, **Communication Fees**, **User Portal Fees** or **Other Fees** appear.

b Click on the icon to download the invoice copy in PDF format.

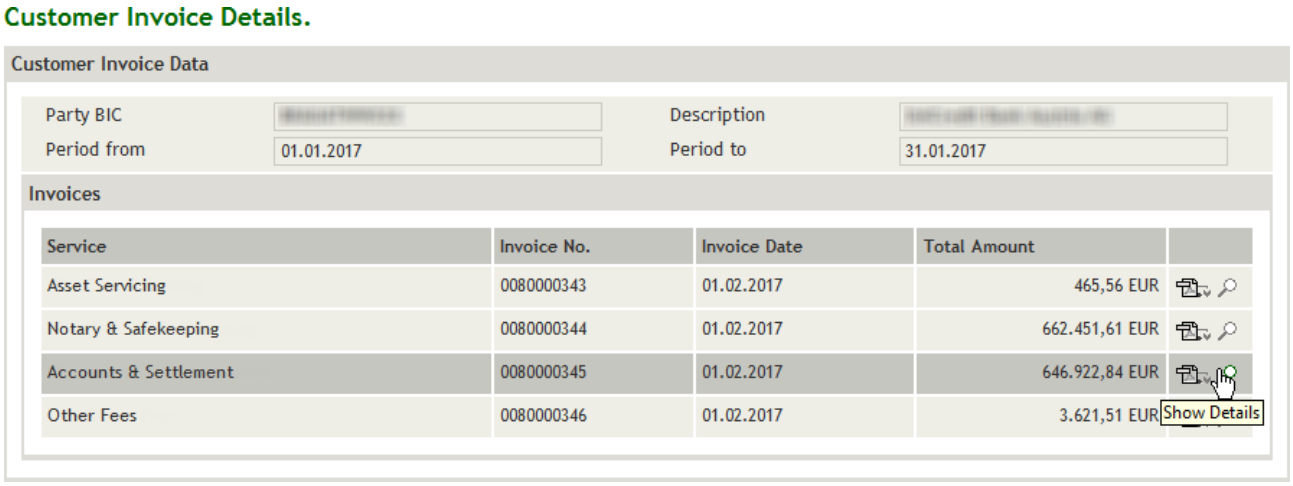


Figure 99: Invoice detail view (Customer Invoice Details)

9.2.2.1 Field Descriptions (Customer Invoice Details)

NOTE The fields in the invoice detail view are display fields. Modifying the field entries is not possible.

Field	Description
Customer Invoice Data	
Party BIC	BIC of the securities account holder to whom the invoice was issued.
[Party BIC] Description	The designation of the securities account holder to whom the invoice was issued.
Period from - to	Invoice period

9.2.2.2 Fees Lists (Mask Sections)

The fees details are accessible from the Customer Invoice Details screen. Depending on the service, for which the invoice was issued, the following fees lists (mask sections) are available.

- Asset Servicing Service
  - Collection Fees
  - Other Fees
- Notary & Safekeeping Service
  - Other Fees
- Accounts & Settlement Service
  - Safekeeping Fees
  - Transaction Fees
  - Other Fees
- Other Fees
  - Communication Fees
  - User Portal Fees

TIP The fees lists of the safekeeping, transaction, communication and collection fees are available for **download in Excel format.**

How to Display the Fees Lists

Step by Step

1 In the Customer Invoice Details screen (fig. **Fehler! Verweisquelle konnte nicht gefunden werden.**), in the row of the invoice for which you want to have the fees lists shown, click on the **Details** icon.
The corresponding mask section(s) appear(s).

2 You have the following options:

a In the mask section of the fees list (fig. **Fehler! Verweisquelle konnte nicht gefunden werden.**) for which you want to have the details shown, click on the **Details** icon to open the detail view.

b Click on the **Excel download** button to save the fees list in Excel format.

NOTE This function is only available for safekeeping, transaction, communication and collection fees.

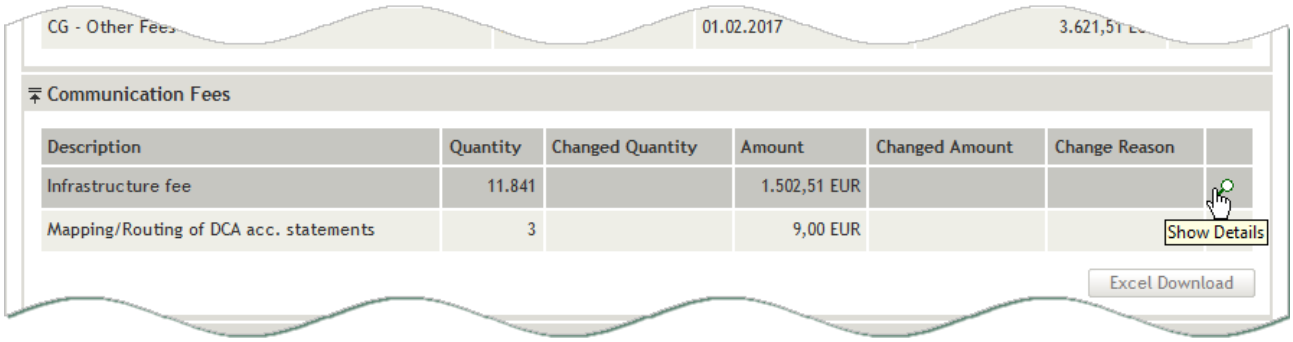


Figure 100: Invoice detail view with fees list (example: Communication Fees)

9.2.3 Safekeeping Fees

The following detail fees lists are available for the safekeeping fees by securities account:

— Safekeeping Fee Holdings, see below
  – Safekeeping Fee Holdings Volume Details (by ISIN by business day)

INFO Please refer to the invoice for Accounts & Settlement Services to view the safekeeping fees.

How to Display the List of Safekeeping Fees from the Invoice Detail View

Step by Step

1 In the Customer Invoice Details screen, in the **Safekeeping Fees** mask section, click on the **Details** icon to open the detail view.
The safekeeping account list **Safekeeping Fees** appears.

TIP Go to the invoice detail view to download the safekeeping fees in Excel format.

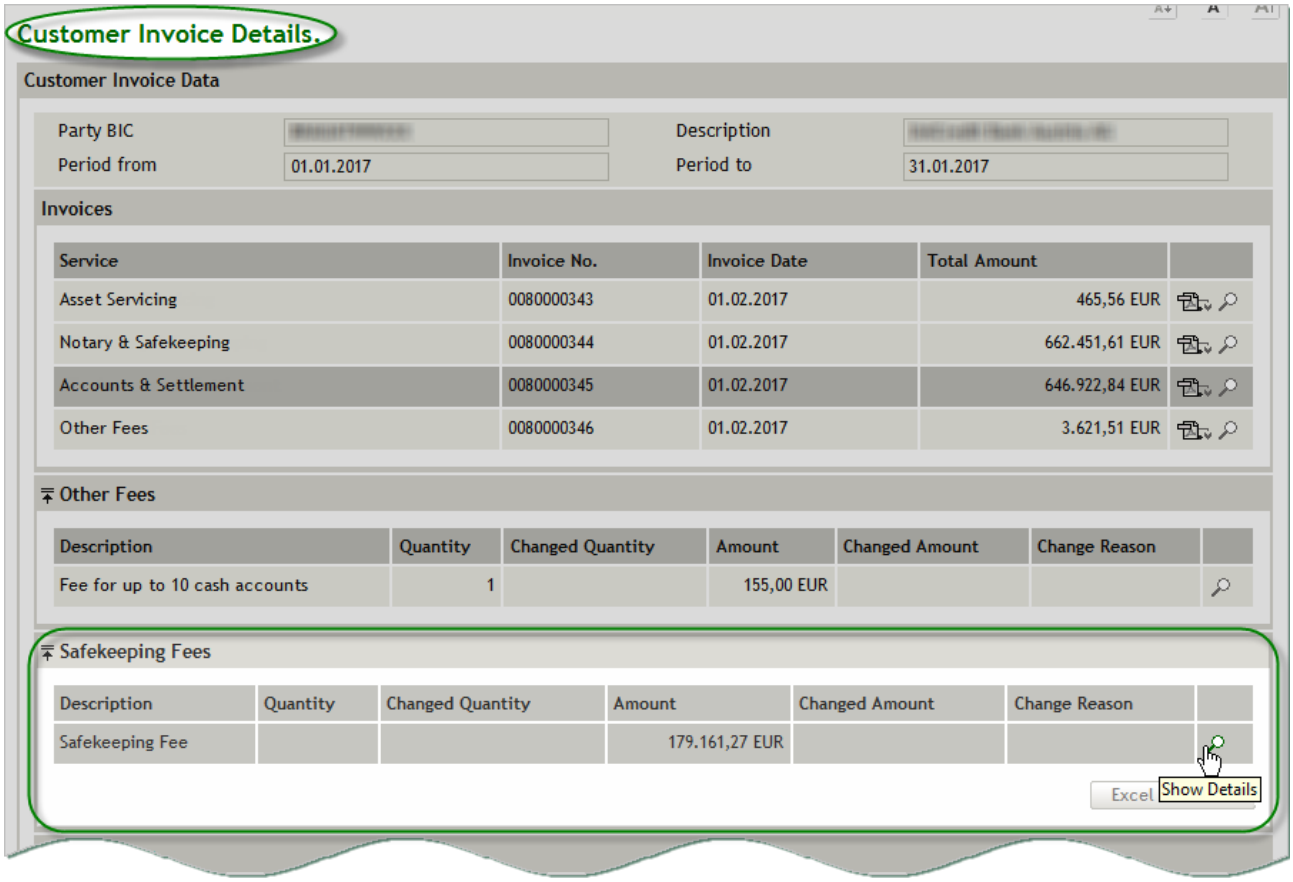


Figure 101: Invoice detail view - mask section Safekeeping Fees

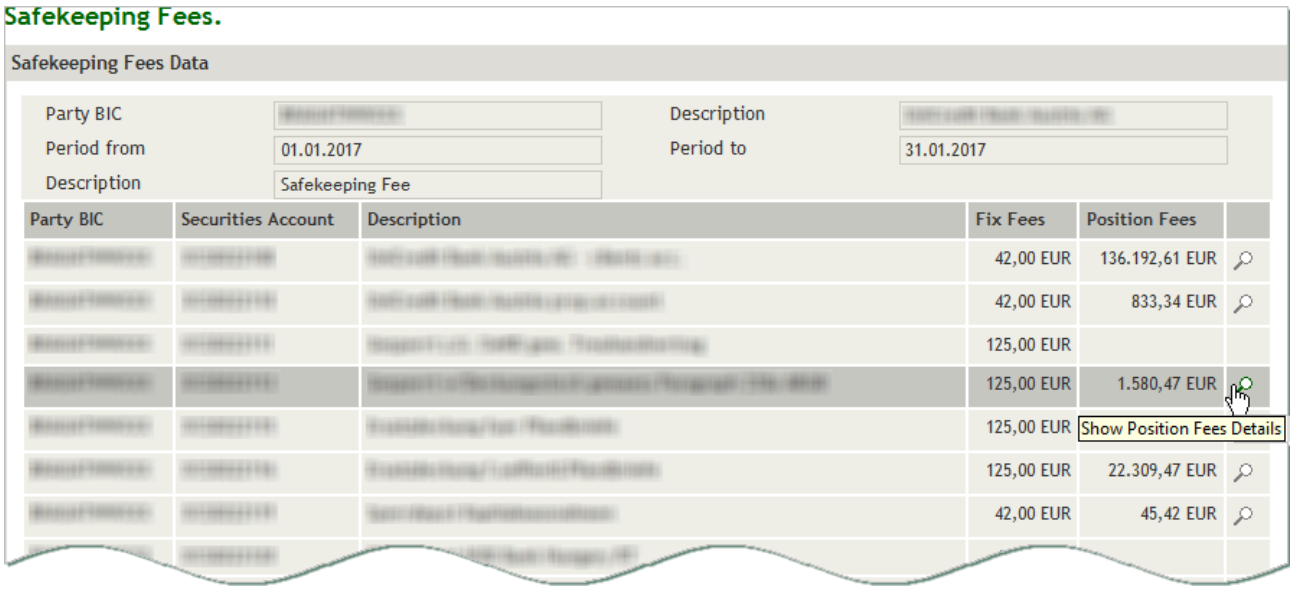


Figure 102: Safekeeping fees list (total fees by securities account)

9.2.3.1 Safekeeping Fee Holdings

The detailed list of safekeeping fees by holdings is accessible from the safekeeping account list Safekeeping Fees.

How to Display the Safekeeping Fees by Holdings

Step by Step

1. In the safekeeping account list Safekeeping Fees (fig. **Fehler! Verweisquelle konnte nicht gefunden werden.**), in the row of the safekeeping account for which you want to have the safekeeping fees shown by holdings, click on the **Details** icon 🔎 to open the detail view.
   The detail view **Safekeeping Fee Holdings** appears.
2. You have the following options:
   a. Use the 🔎 icon to access the monthly positions for all holdings.
   b. Filter the search results to limit the number of results in the search result list.

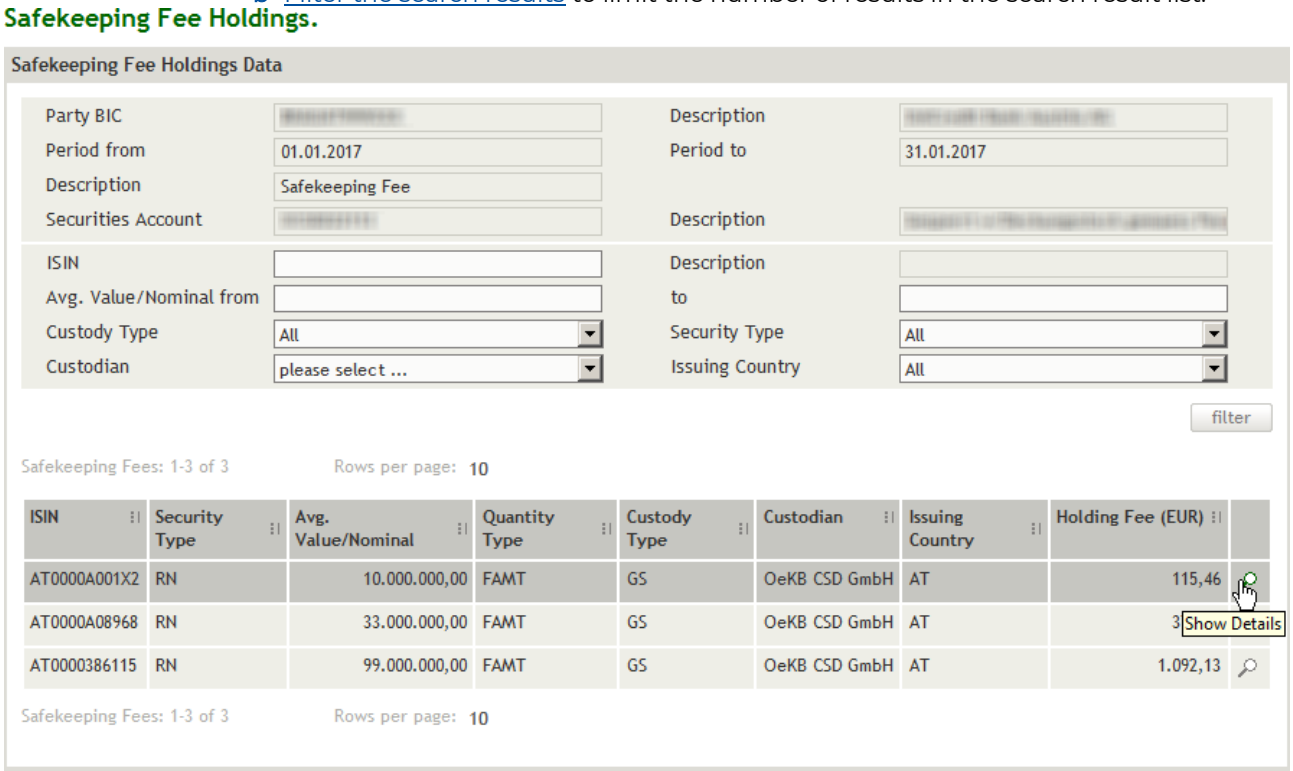


Figure 103: Safekeeping Fee Holdings detail view

9.2.3.2 Field Descriptions (Safekeeping Fee Holdings)

Field	Description
Safekeeping Fee Holdings Data	
Party BIC	see field descriptions for the Customer Invoice Details
[Party BIC] Description	
Period from - to	
Description	Designation of the fee type
Securities Account	Number of the securities account in which the securities are deposited
[Securities Account] Description	Designation of the securities account
Filter fields	see field descriptions (search filter for the Safekeeping Fee Holdings search result list)

9.2.3.3 Filtering Safekeeping Fees by Holdings

In the **Safekeeping Fee Holdings** screen you can limit the number of results displayed in the search result list.. To do so, use the input and dropdown fields of the filter at the lower end of the screen.

How to Limit the Number of Results Displayed in the Safekeeping Fee Holdings Search Result List

Step by Step

1. In the Safekeeping Fees screen (list of safekeeping fees), in the row of the safekeeping account for which you want to have the safekeeping fees shown by holdings, click on the **Details** icon to open the **Safekeeping Fee Holdings** detail view.
2. Enter the desired filter criteria in the available fields or limit the selections in the fields completed by the system.
3. Click **filter**.
   The search result list of safekeeping fees containing all holdings matching your restricted search criteria appears.

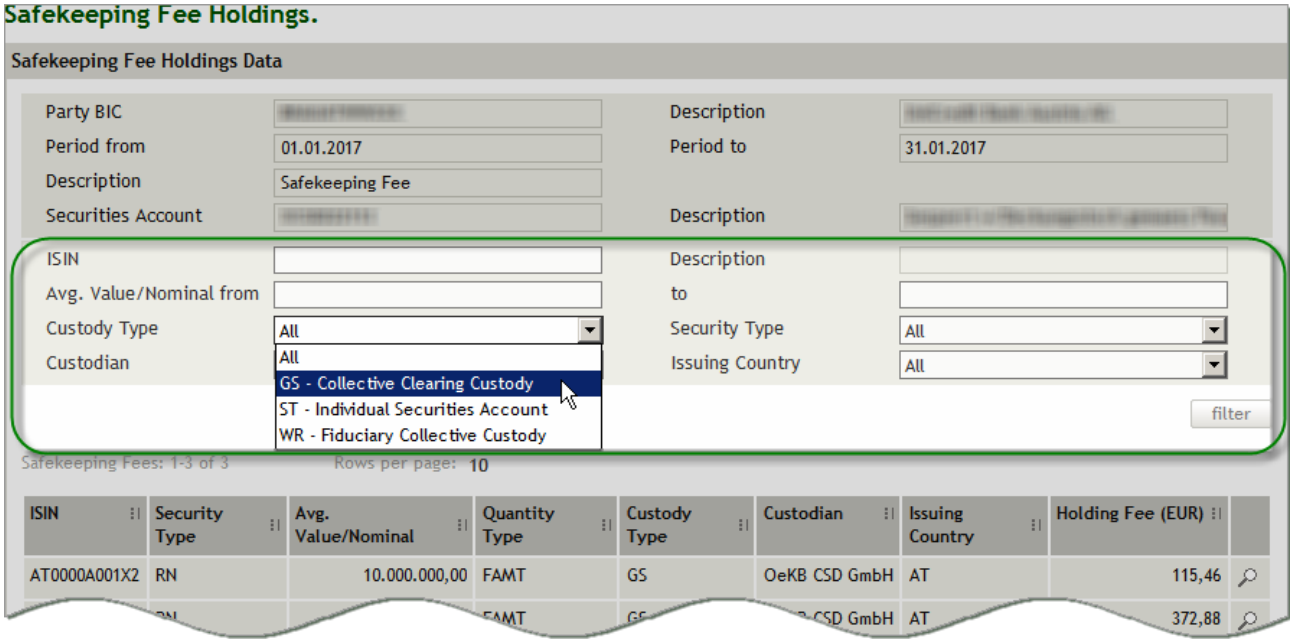


Figure 104: Safekeeping Fee Holdings detail view - search filter (filter example: custody type)

9.2.3.4 Field Descriptions (Search Filter for the Safekeeping Fee Holdings Search Result List)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
ISIN	**Auto-Complete**: After input of the country code the system suggests a list of ISIN.	ISIN of the desired positions Country code, then selection from the suggested list	Selection list after input of country code	12 alphanum.
[ISIN] Description	The designation of the financial instrument	-	-	-
Avg. Value/ Nominal from - to	-	Value range within which the average value or the nominal value of the securities shall lie If you leave one of the fields empty, the system will search starting from or ending with the value that has been entered. If you are searching for a specific quantity, enter the same value into both fields. NOTE The Avg. Value/Nominal (EUR) is the basis for calculating the monthly safekeeping fee.. It is calculated from the average daily positions	-	positive decimal number

Field	Content (by system)	Entry (by user)	Input Assist.	Length
		and also includes non-business days. For the latter, the positions by end-of-day of the previous last business day is used.		
Custody Type	all	Selection from **GS - Collective Clearing Custody**, **ST - Individual Securities Account** or **WR - Fiduciary Collective Custody** By selecting **GS - Collective Clearing Custody** it is possible e.g. to search exclusively for positions with custody type collective clearing custody. By selecting **ST - Individual Securities Account** it is possible e.g. to search exclusively for positions with custody type individual securities account. By selecting **WR - Fiduciary Collective Custody** it is possible e.g. to search exclusively for positions with custody type fiduciary collective custody.	Selection	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Security Type	all	Selection from the list: — **AK - Aktien, Stücknotiert**, to search exclusively for positions in shares with a price per unit — **AK_6000 - Aktien, Stücknotiert**, to search exclusively for positions in ancillary rights associated with shares with a price per unit — **AN - Aktien, Nominalnotiert**, to search exclusively for positions in shares with a price as percentage of par — **AK_6000 - Aktien, Nominalnotiert**, to search exclusively for positions in ancillary rights associated with shares with a price as percentage of par — **FK - Fonds, Stücknotiert**, to search exclusively for positions in funds with a price per unit — **FN - Fonds, Nominalnotiert**, to search exclusively for positions in funds with a price as percentage of par — **KG - Keine Depotgebühr**, to search exclusively for positions for which no safekeeping fee is due — **RK - Anleihen, Stücknotiert**, to search exclusively for positions in bonds with a price per unit — **RN - Anleihen, Nominalnotiert**, to search exclusively for positions in bonds with a price as percentage of par	Selection	-
Custodian	Input request 'please select ...'	Selection from all central securities depositories available in the list	Selection	-
Issuing Country	all	Selection from all countries available in the list	Selection	-

9.2.3.5 Safekeeping Fee Holdings Volume Details

The monthly holdings volume by ISIN by day is accessible from the fees list Safekeeping Fee Holdings.

How to Display the Monthly Holdings Volume by ISIN by Day

Step by Step

1 In the fees list Safekeeping Fee Holdings, in the row of the ISIN for which you want to have the monthly holding volume shown by day, click on the **Details** icon to open the detail view.
The detail view **Safekeeping Fee Holdings Volume Details** appears.

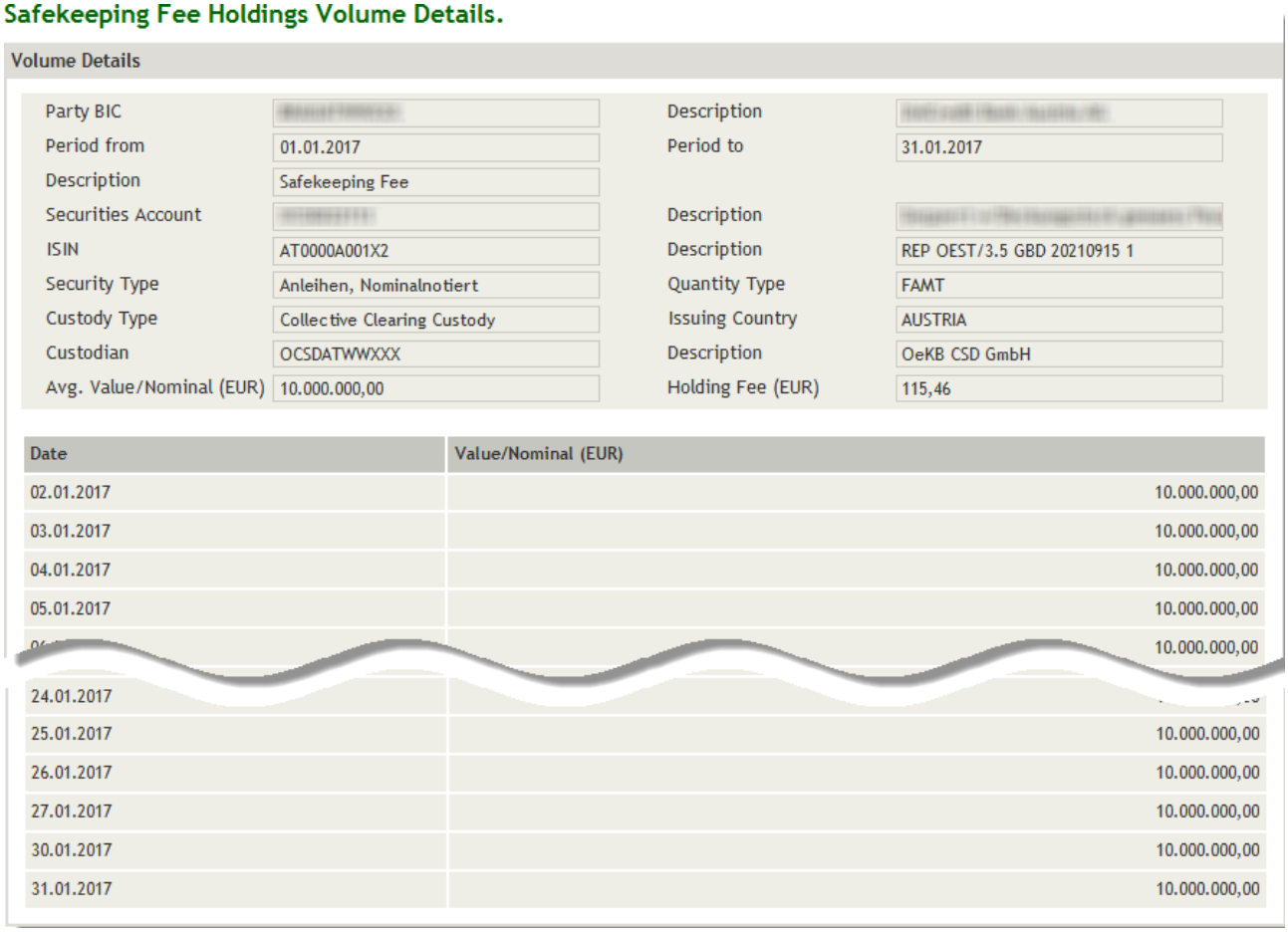


Figure 105: Safekeeping Fee Holdings Volume Details

9.2.3.6 Field Descriptions (Safekeeping Fee Holdings Volume Details)

Field	Description
Volume Details	
Party BIC	see field descriptions for the Customer Invoice Details
[Party BIC] Description	
Period from - to	

Field	Description
Description	Designation of the fee type
Securities Account	see field descriptions for the Safekeeping Fee Holdings screen
[Securities Account] Description	
ISIN	ISIN of the enquired position
[ISIN] Description	The designation of the financial instrument
Security Type	Type of the financial instrument Possible entries: — Aktien, Stücknotiert (shares with a price per unit) — Aktien, Nebenrechte, Stücknotiert (ancillary rights associated with shares with a price per unit) — Aktien, Nominalnotiert (shares with a price as percentage of par) — Aktien, Nebenrechte, Nominalnotiert (ancillary rights associated with shares with a price as percentage of par) — Fonds, Stücknotiert (funds with a price per unit) — Keine Depotgebühr (no safekeeping fees) — Anleihen, Stücknotiert (bonds with a price per unit) — Anleihen, Nominalnotiert (bonds with a price as percentage of par)
Quantity Type	Type of listing of the financial instruments Possible entries: — **FAMT** - for financial instruments with a price as percentage of par (face amount) — **UNIT** - for financial instruments with a price per unit
Custody Type	Custody type of the financial instruments Possible entries: — **Collective Clearing Custody** — **Individual Securities Account** — **Fiduciary Collective Custody**
Issuing Country	The issuing country
Custodian	Central securities depository that holds the financial instruments
[Custodian] Description	The designation of the central securities depository

Field	Description
Avg. Value/ Nominal (EUR)	Average value or nominal value of the financial instruments in EUR NOTE The Avg. Value/Nominal (EUR) is the basis for calculating the monthly safekeeping fee. It is calculated from the average daily positions and also includes non-business days. For the latter, the positions by end-of-day of the previous last business day is used.
Holding Fee	Amount of monthly fees in EUR

9.2.4 Transaction Fees

The following detail fees lists are available for the safekeeping fees by booking category:

— Transaction fees for the selected booking category by instruction type (see below)

– Transaction fees for the selected instruction type by business day

INFO Please refer to the invoice for Accounts & Settlement Services to view the transaction fees.

How to Display the List of Transaction Fees from the Invoice Detail View

Step by Step

1 In the Customer Invoice Details screen, in the **Transaction Fees** mask section, in the row of the desired booking category, click on the **Details** icon to open the fees list by instruction type.
The fees list **Transaction Fees** appears.

TIP Go to the invoice detail view to download the transaction fees in Excel format.

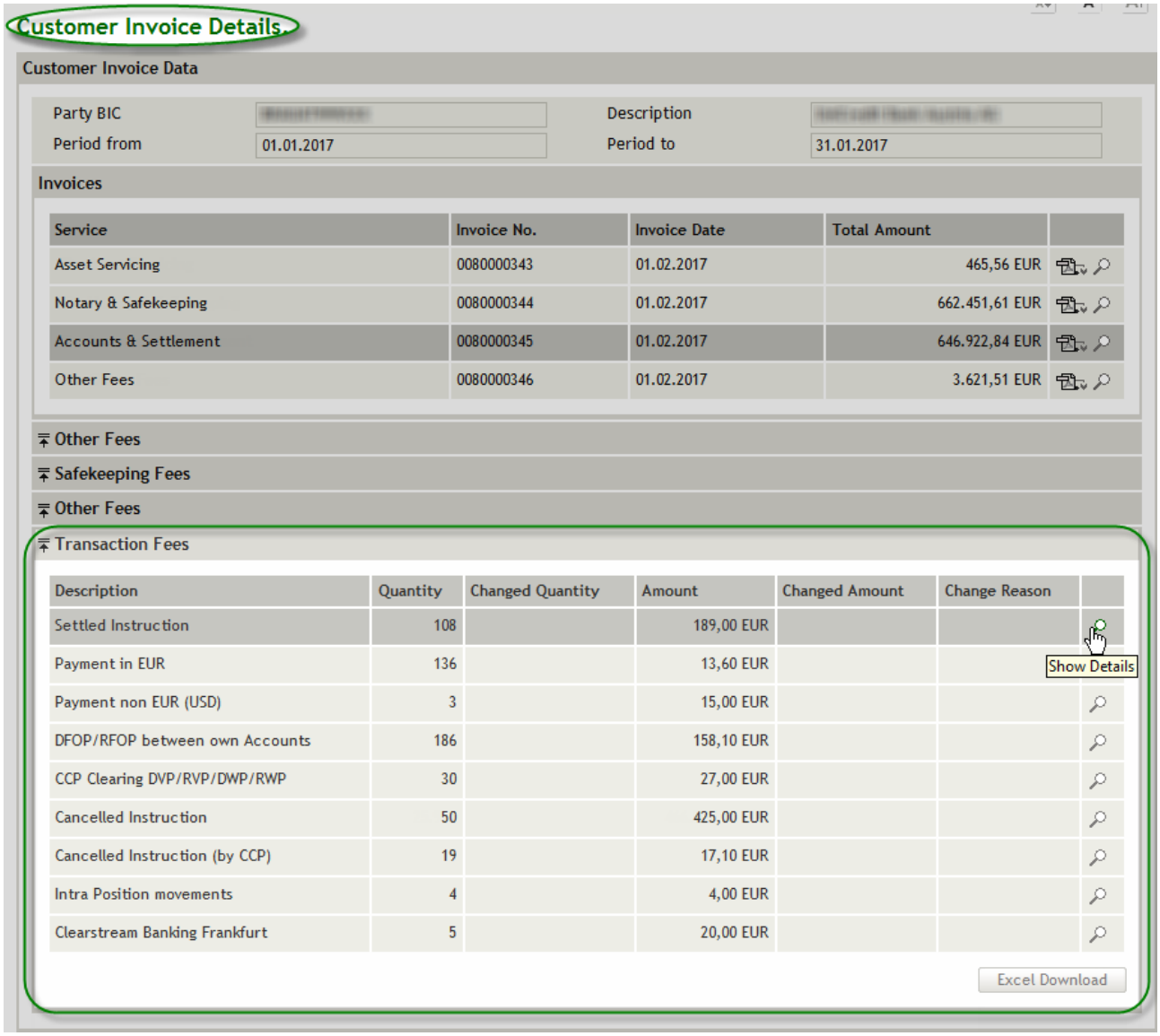


Figure 106: Invoice detail view - mask section Transaction Fees

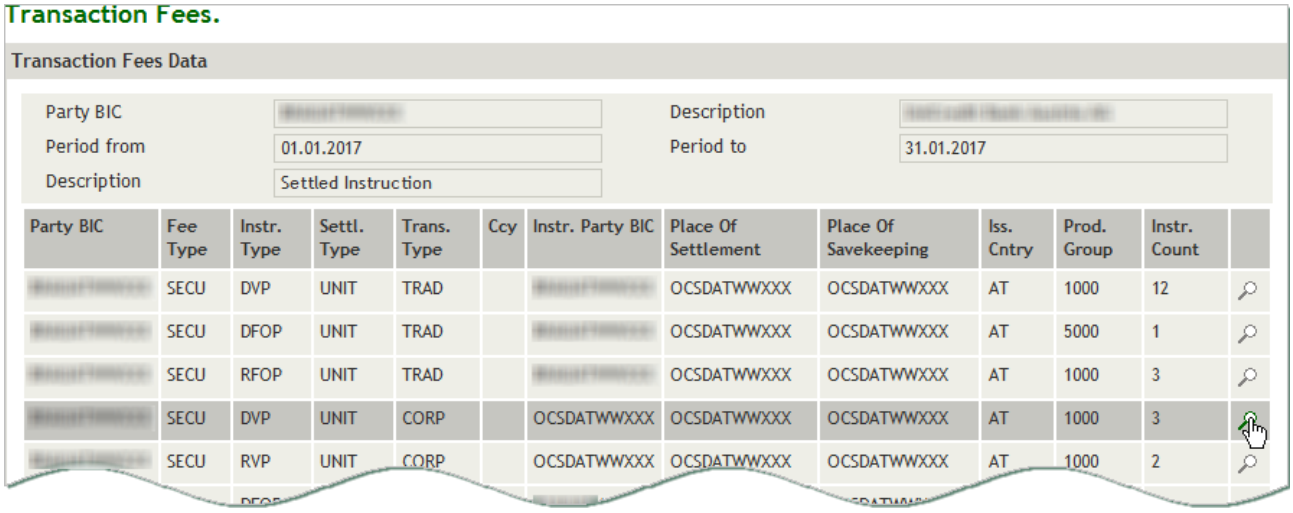


Figure 107: List of transaction fees by instruction type

9.2.4.1 Field Descriptions (Transaction Fees)

NOTE The fields in the detail view are display fields. Modifying the field entries is not possible.

Field	Description
Transaction Fees Data	
Party BIC	see field descriptions for the Customer Invoice Details
[Party BIC] Description	
Period from - to	
Description	Designation of the fee type

9.2.4.2 Transaction Fees by Business Day

How to Display the Transaction Fees by Business Day

Step by Step

1 In the fees list Transaction Fees, in the row of the instruction type for which you want to have the fees details shown by day, click on the **Details** icon to open the detail view.
The detail view **Transaction Fees** appears.

Transaction Fees.

Transaction Fees Data

Party BIC	[redacted]	Description	[redacted]
Period from	01.01.2017	Period to	31.01.2017
Description	Settled Instruction		

Business Day	Party BIC	Fee Type	Instr. Type	Settl. Type	Trans. Type	Ccy	Instr. Party BIC	Place Of Settlement	Place Of Savekeeping	Iss. Cntry	Prod. Group	Instr. Count
02.01.1498	[redacted]	SECU	DVP	UNIT	CORP		OCSDATWWXXX	OCSDATWWXXX	OCSDATWWXXX	AT	1000	1
27.01.1498	[redacted]	SECU	DVP	UNIT	CORP		OCSDATWWXXX	OCSDATWWXXX	OCSDATWWXXX	AT	1000	1
31.01.1498	[redacted]	SECU	DVP	UNIT	CORP		OCSDATWWXXX	OCSDATWWXXX	OCSDATWWXXX	AT	1000	1

Figure 108: List of transaction fees by day

9.2.5 Collection Fees

The collection fees are available by collection letter.

INFO Please refer to the invoice for Asset Servicing Services to view the collection fees.

How to Display the List of Collection Fees from the Invoice Detail View

Step by Step

1 In the Customer Invoice Details screen, in the **Collection Fees** mask section, click on the **Details** icon to open the detail view.
The fees list **Collection Fees** appears.

TIP Go to the invoice detail view to download the collection fees in Excel format.

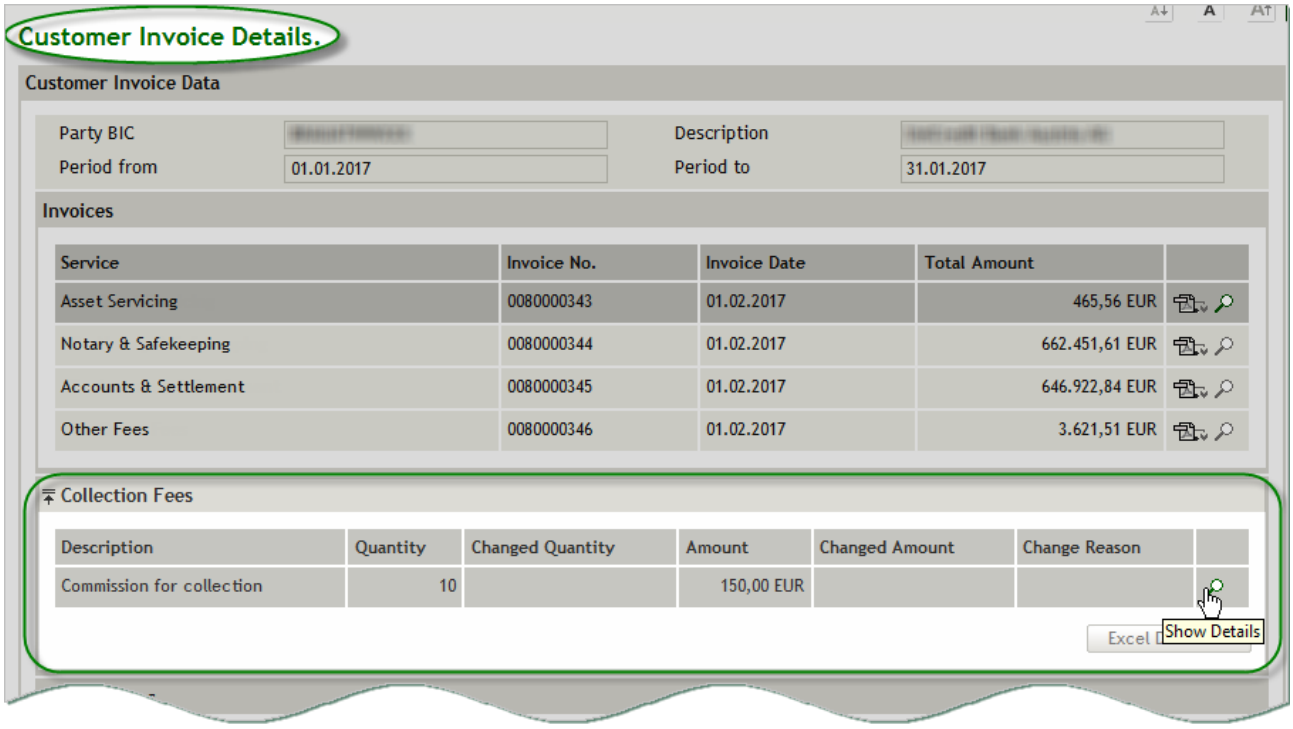


Figure 109: Invoice detail view - mask section Collection Fees

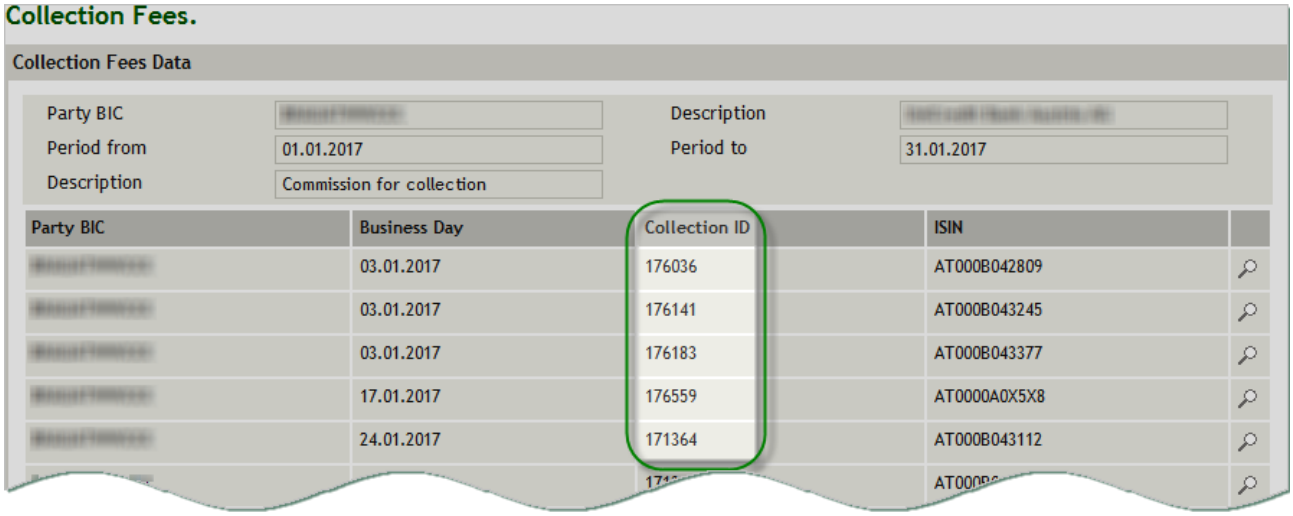


Figure 110: Collection fees by collection letter

9.2.5.1 Field Descriptions (Collection Fees)

NOTE The fields in the detail view are display fields. Modifying the field entries is not possible.

Field	Description
Collection Fees Data	
Party BIC	see field descriptions for the Customer Invoice Details
[Party BIC] Description	
Period from - to	
Description	Designation of the fee type

9.2.6 Communication Fees

The following detail fees lists are available for the collection fees by booking category:

— Communication fees for the selected booking category by message direction and application

  – Communication fees for the selected message direction/application by business day

INFO Please refer to the invoice for Other Fees to view the communication fees.

How to Display the List of Communication Fees from the Invoice Detail View

Step by Step

1 In the Customer Invoice Details screen, in the **Communication Fees** mask section, in the row of the desired booking category, click on the **Details** icon to open the fees list by message direction/application.
The fees list **Communication Fees** appears.

TIP Go to the invoice detail view to download the communication fees in Excel format.

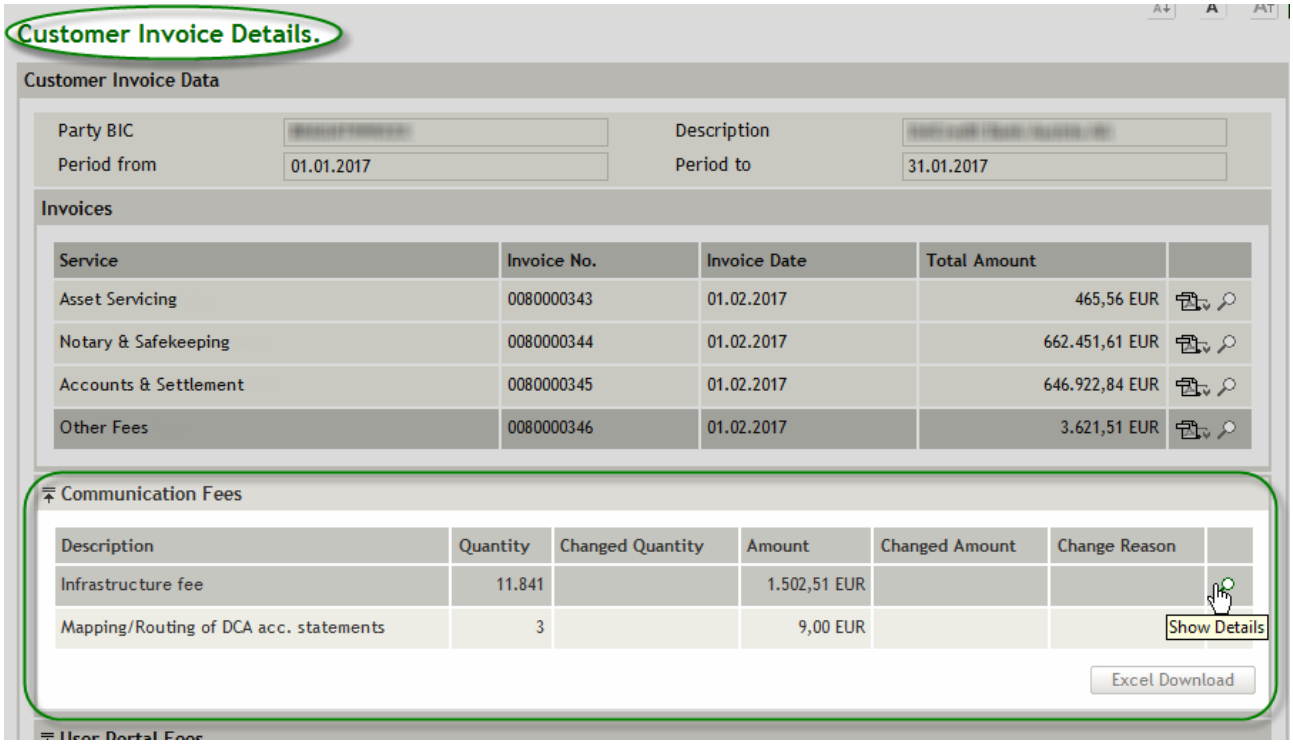


Figure 111: Invoice detail view - mask section Communication Fees

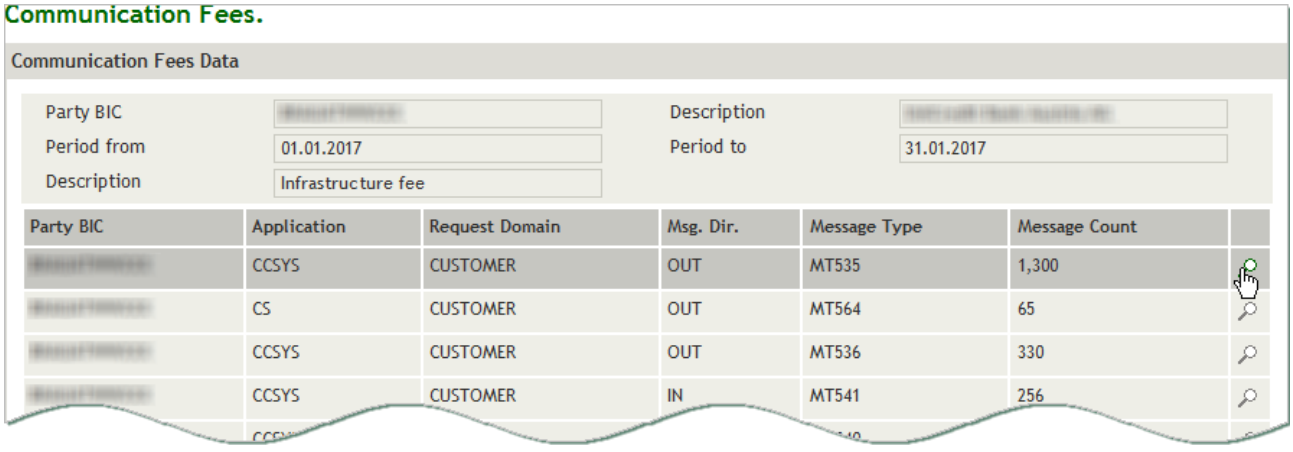


Figure 112: Communication fees by message direction and application

9.2.6.1 Field Descriptions (Communication Fees)

NOTE The fields in the detail view are display fields. Modifying the field entries is not possible.

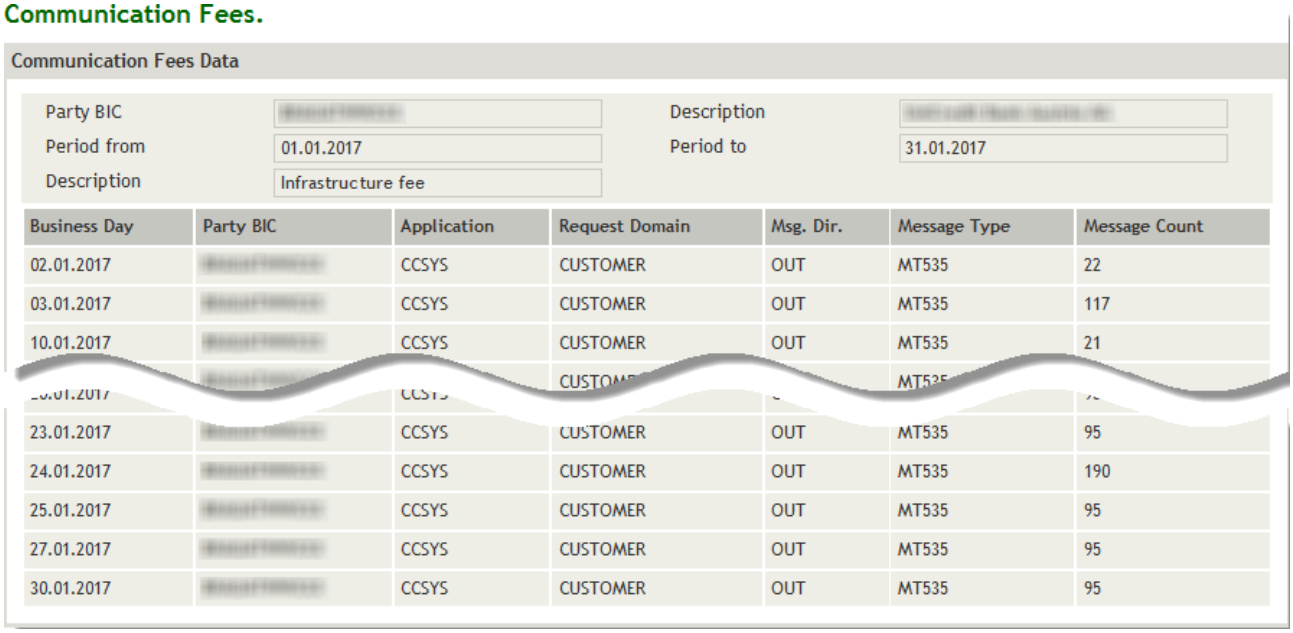
Field	Description
Communication Fees Data	
Party BIC	see field descriptions for the Customer Invoice Details
[Party BIC] Description	
Period from - to	
Description	Designation of the fee type

9.2.6.2 Communication Fees by Business Day

How to Display the Communication Fees by Business Day

Step by Step

1 In the fees list Communication Fees, in the row of the message type for which you want to have the fees details shown by day, click on the **Details** icon to open the detail view.
The detail view **Communication Fees** appears.



Communication Fees.

Communication Fees Data

Party BIC	[illegible]	Description	[illegible]
Period from	01.01.2017	Period to	31.01.2017
Description	Infrastructure fee		

Business Day	Party BIC	Application	Request Domain	Msg. Dir.	Message Type	Message Count
02.01.2017	[illegible]	CCSYS	CUSTOMER	OUT	MT535	22
03.01.2017	[illegible]	CCSYS	CUSTOMER	OUT	MT535	117
10.01.2017	[illegible]	CCSYS	CUSTOMER	OUT	MT535	21
[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
23.01.2017	[illegible]	CCSYS	CUSTOMER	OUT	MT535	95
24.01.2017	[illegible]	CCSYS	CUSTOMER	OUT	MT535	190
25.01.2017	[illegible]	CCSYS	CUSTOMER	OUT	MT535	95
27.01.2017	[illegible]	CCSYS	CUSTOMER	OUT	MT535	95
30.01.2017	[illegible]	CCSYS	CUSTOMER	OUT	MT535	95

Figure 113: List of communication fees by day

9.2.7 User Portal Fees

The user portal fees are available by type of authentication.

INFO	Please refer to the invoice for Other Fees to view the user portal fees.

How to Display the List of User Portal Fees from the Invoice Detail View

Step by Step

1. In the Customer Invoice Details screen, in the **User Portal Fees** mask section, in the row of the desired booking category, click on the **Details** icon to open the fees list by instruction type.
   The fees list **User Portal Fees** appears.

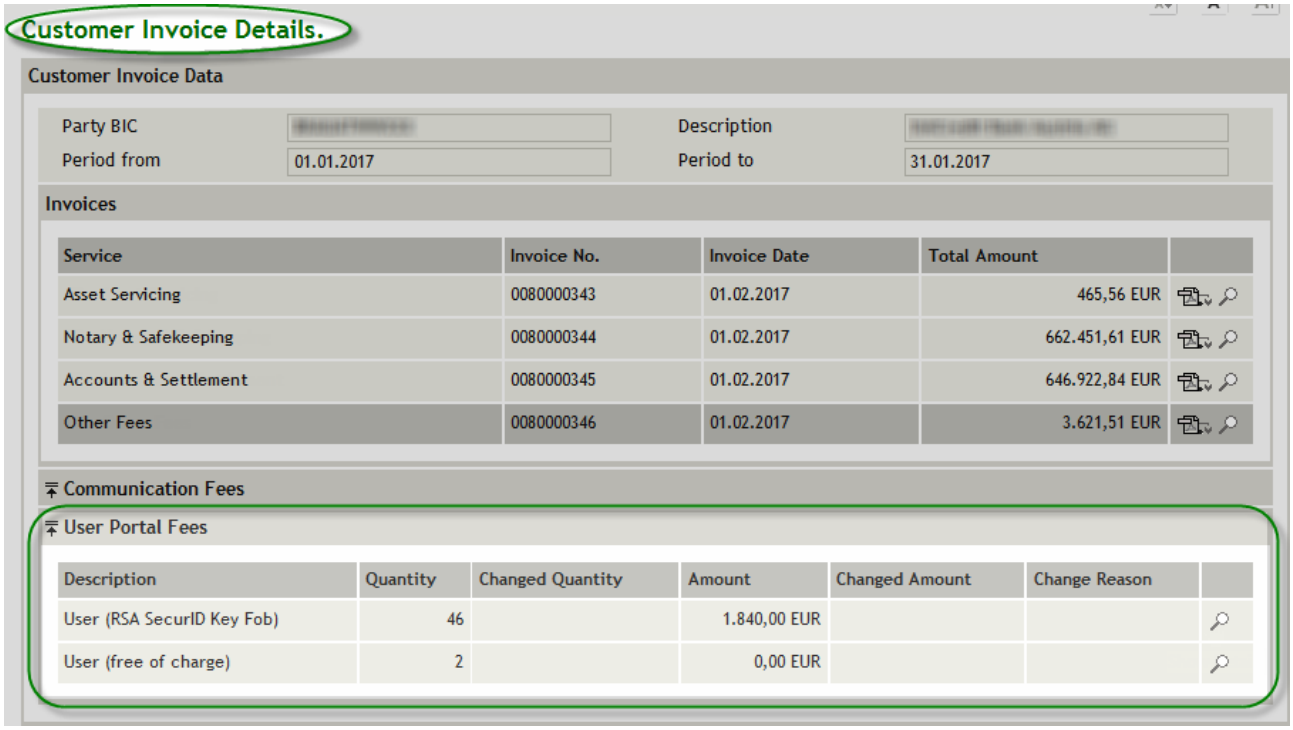


Figure 114: Invoice detail view - mask section User Portal Fees

9.2.7.1 Field Descriptions (User Portal Fees)

NOTE The fields in the detail view are display fields. Modifying the field entries is not possible.

Field	Description
User Portal Fees Data	
Party BIC	see field descriptions for the Customer Invoice Details
[Party BIC] Description	
Period from - to	

9.2.8 Other Fees

How to Display the List of Other Fees from the Invoice Detail View

Step by Step

1 In the Customer Invoice Details screen, in the **Other Fees** mask section, in the row of the desired booking category, click on the **Details** icon to open the detail view.
The fees list **Other Fees** appears.

9.2.8.1 Field Descriptions (Other Fees)

NOTE The fields in the detail view are display fields. Modifying the field entries is not possible.

Field	Description
Other Fees Data	
Party BIC	see field descriptions for the Customer Invoice Details
[Party BIC] Description	
Period from - to	

10. Message Subscription

The message subscription (Administration menu) controls the receipt of SWIFT messages. There can be several message subscription rules defined for each securities account. A message is sent if at least one subscription rule so requires. For details please refer to *Annex 8 Guideline Settlement and Securities Account Administration*.

NOTE	The functions in the *Administration* menu are only available to users with administrator user permissions.

INFO	Message subscriptions are automatically assigned in the securities account master data when the account is created. The default setting automatically activates the receipt of all messages.

You can use the message subscription to restrict the message types which will be received.

10.1 Search Message Subscription

You can search for message subscriptions in order to modify them.

How to Open the Search Message Subscription Screen

Step by Step

1 In the menu bar, select *Administration* > *Message Subscriptions*.
The **Search Message Subscription** screen appears.

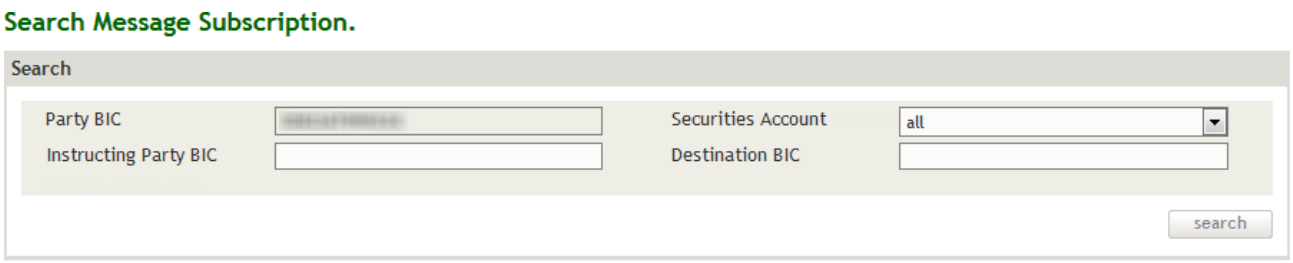


Figure 115: Searching Message Subscription

10.1.1 Modifying a Message Subscription

To modify a message subscription for a specific securities account, you need to search for the message subscription you are looking for. Then you can use the **Edit** screen to make the desired changes.

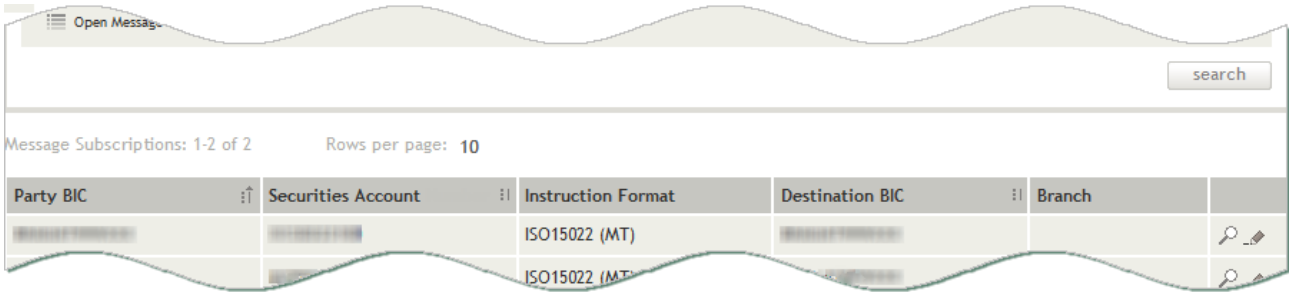


Figure 116: Search Message Subscription - search result list

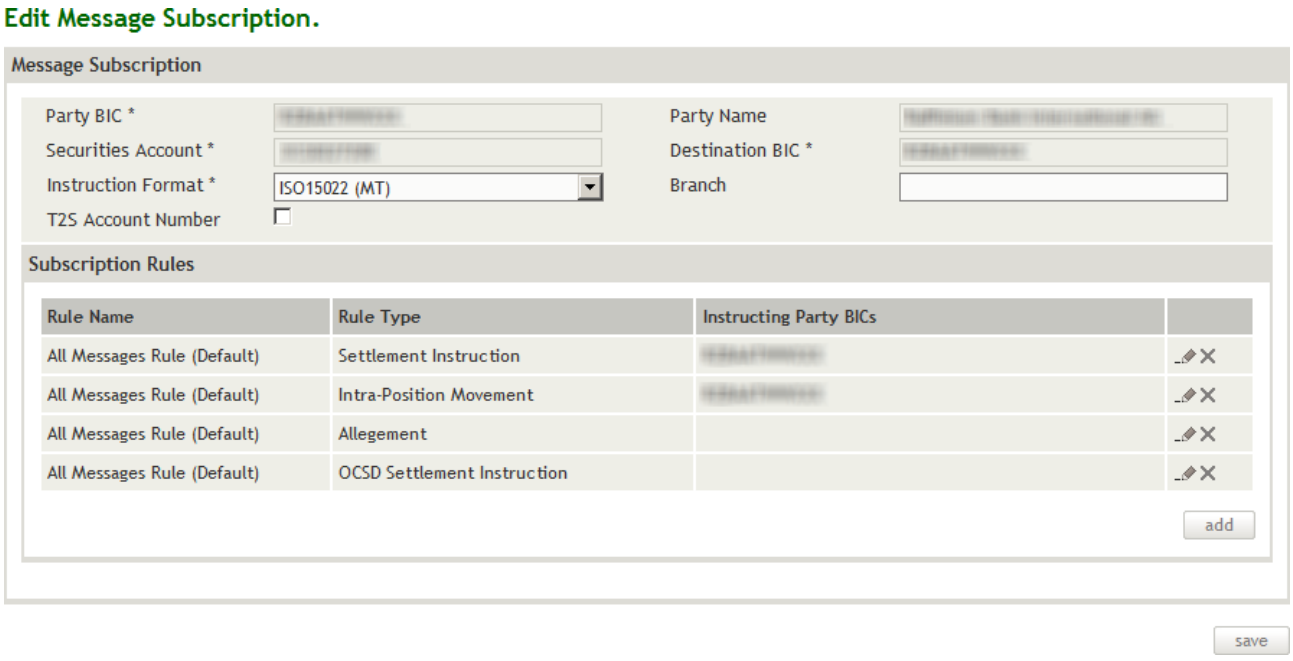


Figure 117: Edit Message Subscription

How to Modify a Message Subscription

Step by Step

1. In the menu bar, select *Administration* > *Message Subscriptions*.
   The **Search Message Subscription** screen appears.
   The system automatically inserts the appropriate predefined values into the fields:
   - Party BIC (= inputting party)
   - Securities Account (= all)
2. Enter the desired search criteria in the available fields or limit the selections in the fields completed by the system.
3. Click on the **search** button.
   The search result list containing all message subscriptions matching your search criteria appears.

4 In the row of the record you want to modify, click on the **Edit** icon to open the **Edit** screen.

INFO	The system only displays the **Edit** icon if your user permissions allow you to modify data.

5 Modify the record as required.

6 Modify the existing message subscription rules as required or add new rules.

7 Click **save** to save your changes.

10.1.2 Field Descriptions (Search Message Subscription)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Party BIC	BIC of the securities account holder **Auto-Complete**: After input of the first or two consecutive characters of the BIC the system suggests a list of BICs. The complete list of all parties available in the system is displayed after putting the cursor into the field and hitting the arrow down key on the keyboard.	-	Selection list after input of the first or of two consecutive character(s)	BIC11
Securities Account	all The system searches for message subscriptions of all securities accounts of the securities account holder.	Selection from the securities accounts available for the securities account holder	Selection	-
Instructing Party BIC	**Auto-Complete**: After input of the first or two consecutive characters of the BIC the system suggests a list of BICs. The complete list of all parties available in the system is displayed after putting the cursor into the field and hitting the arrow down key on the keyboard.	BIC of the party specified as the instructing party in the message subscription(s) to be found. Input of the first or two consecutive characters of the BIC, then selection from the suggested list	List of available parties	BIC11

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Destination BIC	**Auto-Complete**: After input of the first or two consecutive characters of the BIC the system suggests a list of BICs. The complete list of all parties available in the system is displayed after putting the cursor into the field and hitting the arrow down key on the keyboard.	BIC of the party specified as the receiver of messages in the message subscription(s) to be found. Input of the first or two consecutive characters of the BIC, then selection from the suggested list	List of available parties	BIC11
Open Message Types	All check boxes ticked	Activation of the check boxes of all message types which you want the system to look for, so you can modify them.	-	-

10.1.3 Field Descriptions (Edit Message Subscription)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Party BIC	BIC of the holder of the securities account defined in the selected message subscription.	-	-	BIC11
[Party BIC] Description	The designation of the securities account holder	-	-	-
Securities Account	Securities account defined in the selected message subscription.	-	-	-
Destination BIC	BIC of the party specified as message receiver in the selected message subscription	-	-	BIC11
Instruction Format **Mandatory Field (automatically completed by the system)**	The instruction format selected in the securities account master data	Selection from **ISO15022 (MT)** or **ISO20022 (MX)**	Selection	-
Branch	-	Branch code for which the defined subscription rules shall apply	-	BIC11

Field	Content (by system)	Entry (by user)	Input Assist.	Length
T2S Account Number	Check box active The messages contain the securities account number in the new format, starting with "OCSD".	If you deactivate (empty) the check box, the securities account number in the messages will be displayed in the old format.	-	-
Subscription Rules	List of the rules defined for the selected message subscription	see Message Subscription Rules	-	-

10.2 Message Subscription Rules

Use the Edit Message Subscription screen to modify, delete or add message subscription rules.

10.2.1 Modifying a Message Subscription Rule

If you want to modify a message subscription rule, you need to start in the Edit Message Subscription screen.

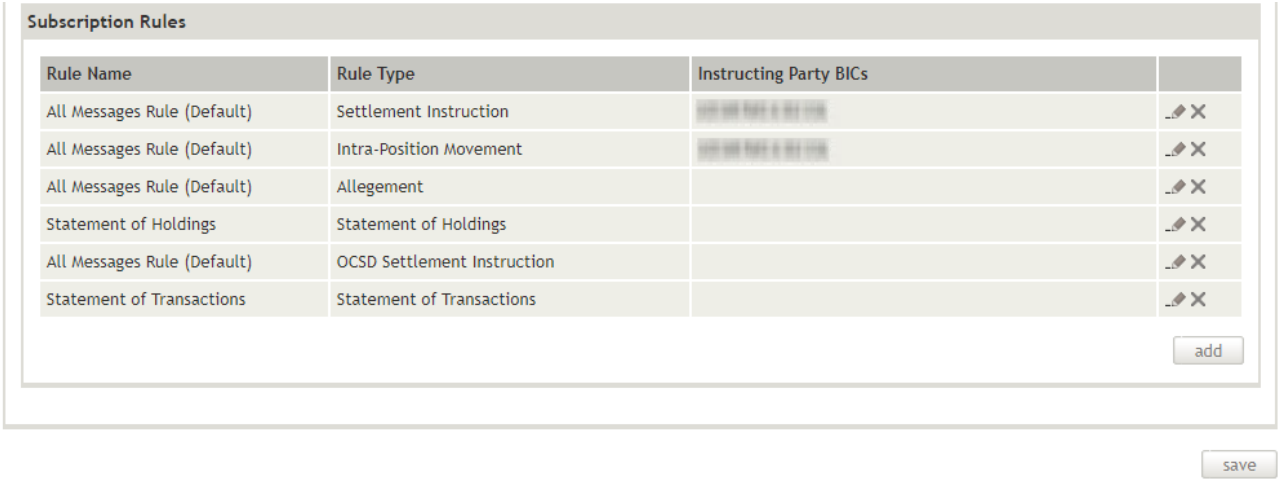


Figure 118: Subscription Rules - List (example: edit)

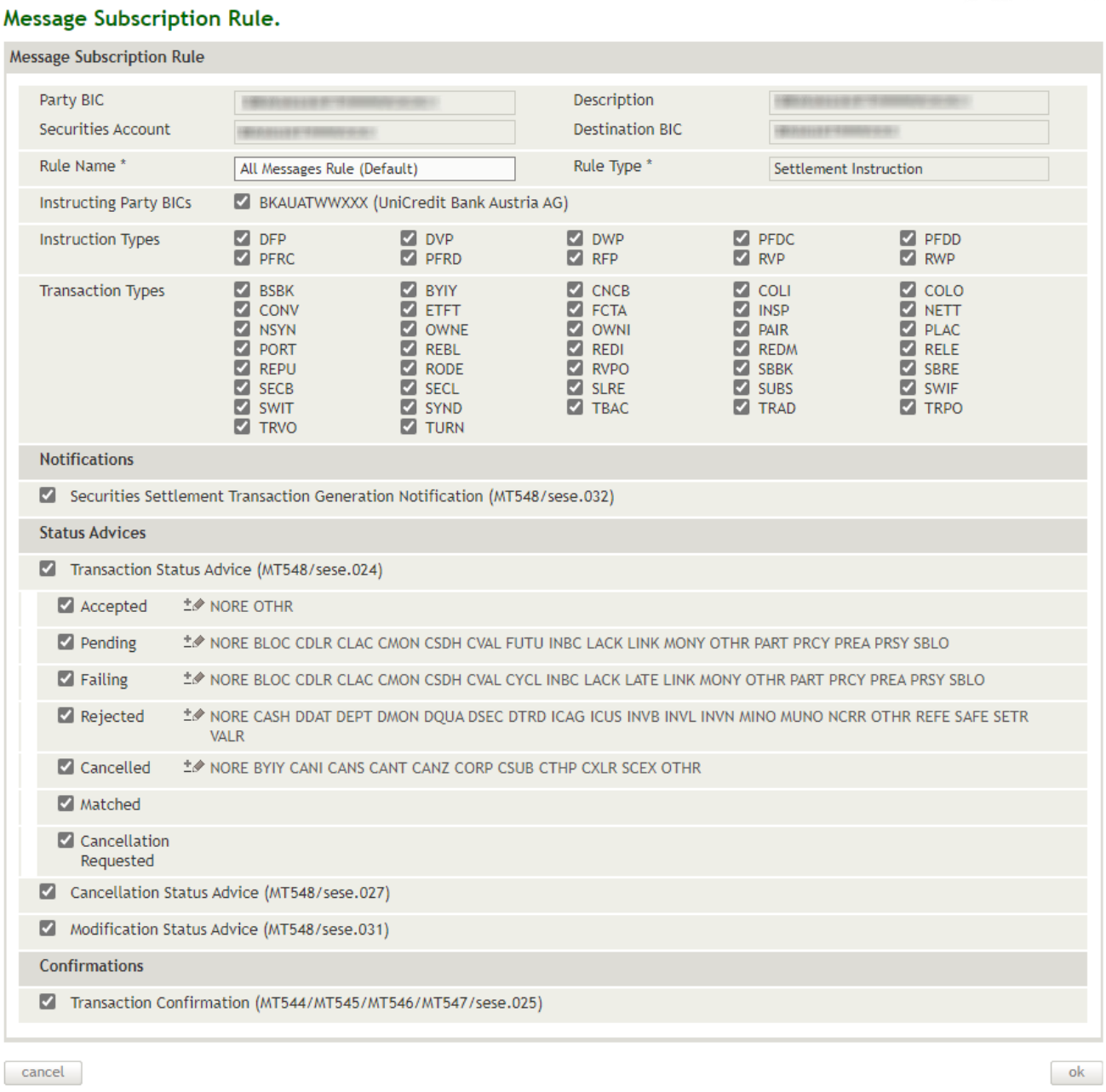


Figure 119: Message Subscription Rule (example: edit Settlement Instruction Rule)

How to Modify a Message Subscription Rule

Step by Step

1 In the menu bar, select *Administration* > *Message Subscriptions*.
The **Search Message Subscription** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

— Party BIC (= inputting party)

— Securities Account (= all)

2 Enter the desired search criteria in the available fields or limit the selections in the fields completed by the system.

3 Click on the **search** button.
The search result list containing all message subscriptions matching your search criteria appears.

4 In the row of the record you want to modify, click on the **Edit** icon to open the **Edit** screen.

INFO	The system only displays the **Edit** icon if your user permissions allow you to modify data.

The **Edit Message Subscription** screen appears.

5 In the row of the record you want to change in the **Subscription Rules** list, click on the **Edit** icon to open the **Message Subscription Rule** screen.

6 Activate or deactivate the check boxes to modify the settings as required (for details on the parameters, please see the Field Descriptions).

TIP	For the transaction status advices **Accepted**, **Pending**, **Failing**, **Rejected** and **Cancelled** in subscription rules of the type **Settlement Instruction** you may specify on a reason code level whether to receive or not to receive message.

7 Click **ok** to confirm your changes.
The **Edit Message Subscription** screen appears again.

8 Click **save** to save your changes.
At the top of the screen the system displays a confirmation as soon as your modifications have been saved.

10.2.2 Deleting a Message Subscription Rule

If you want to delete a message subscription rule, you need to start in the **Edit Message Subscription** screen.

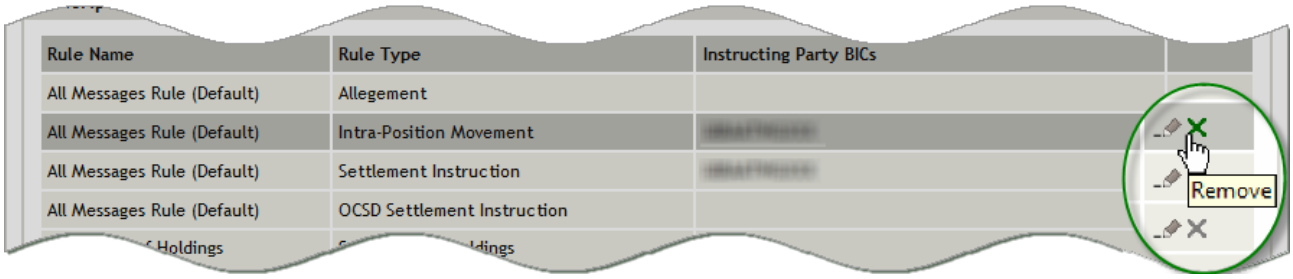


Figure 120: Subscription Rules - List (example: delete)

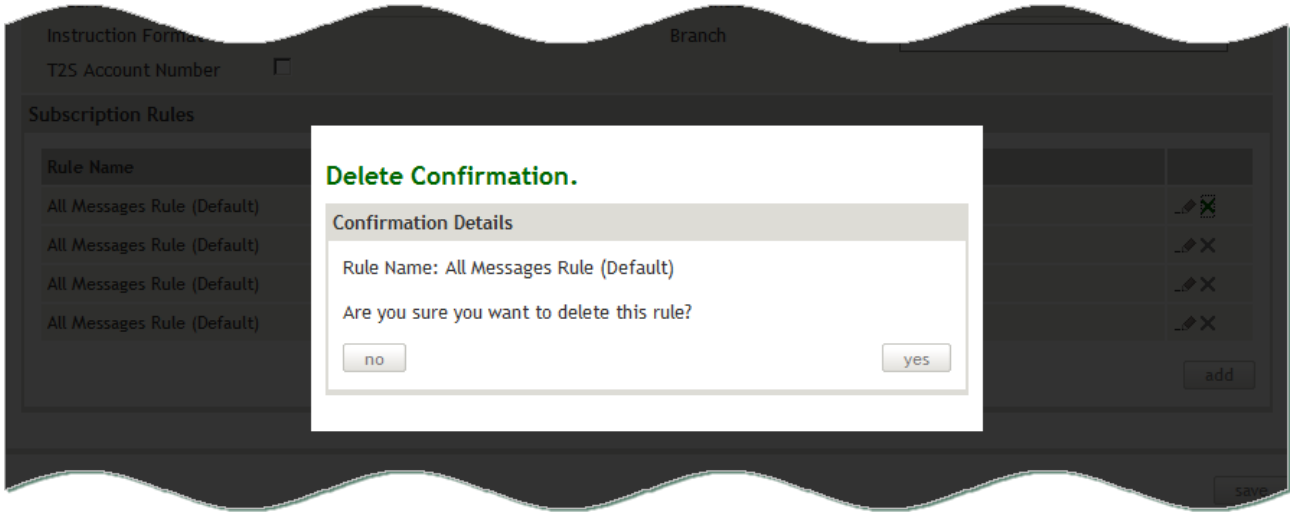


Figure 121: Confirm deletion (Message Subscription Rule)

How to Delete a Message Subscription Rule

Step by Step

1 In the menu bar, select *Administration* > *Message Subscriptions*.
The **Search Message Subscription** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

— Party BIC (= inputting party)

— Securities Account (= all)

2 Enter the desired search criteria in the available fields or limit the selections in the fields completed by the system.

3 Click on the **search** button.
The search result list containing all message subscriptions matching your search criteria appears.

4 In the row of the record you want to modify, click on the **Edit** icon to open the **Edit** screen.

INFO	The system only displays the **Edit** icon if your user permissions allow you to modify data.

The **Edit Message Subscription** screen appears.

5 In the row of the record you want to delete in the **Subscription Rules** list, click on the **X** icon.

6 Click **yes** in the pop-up dialog.
The message subscription rule is deleted.
The **Edit Message Subscription** screen appears again.

7 Click **save** to save your changes.
At the top of the screen the system displays a confirmation as soon as your modifications have been saved.

10.2.3 Adding a New Message Subscription Rule

You can create six types of message subscription rules (rule type):

- Settlement Instruction (fig. 130)
- Intra-Position Management (fig.132)
- Allegement (fig. 133)
- OCSD Settlement Instruction (fig. 134)
- Statement of Holdings (fig. 135)
- Statement of Transactions (fig. 136)

Message Subscription Rule.

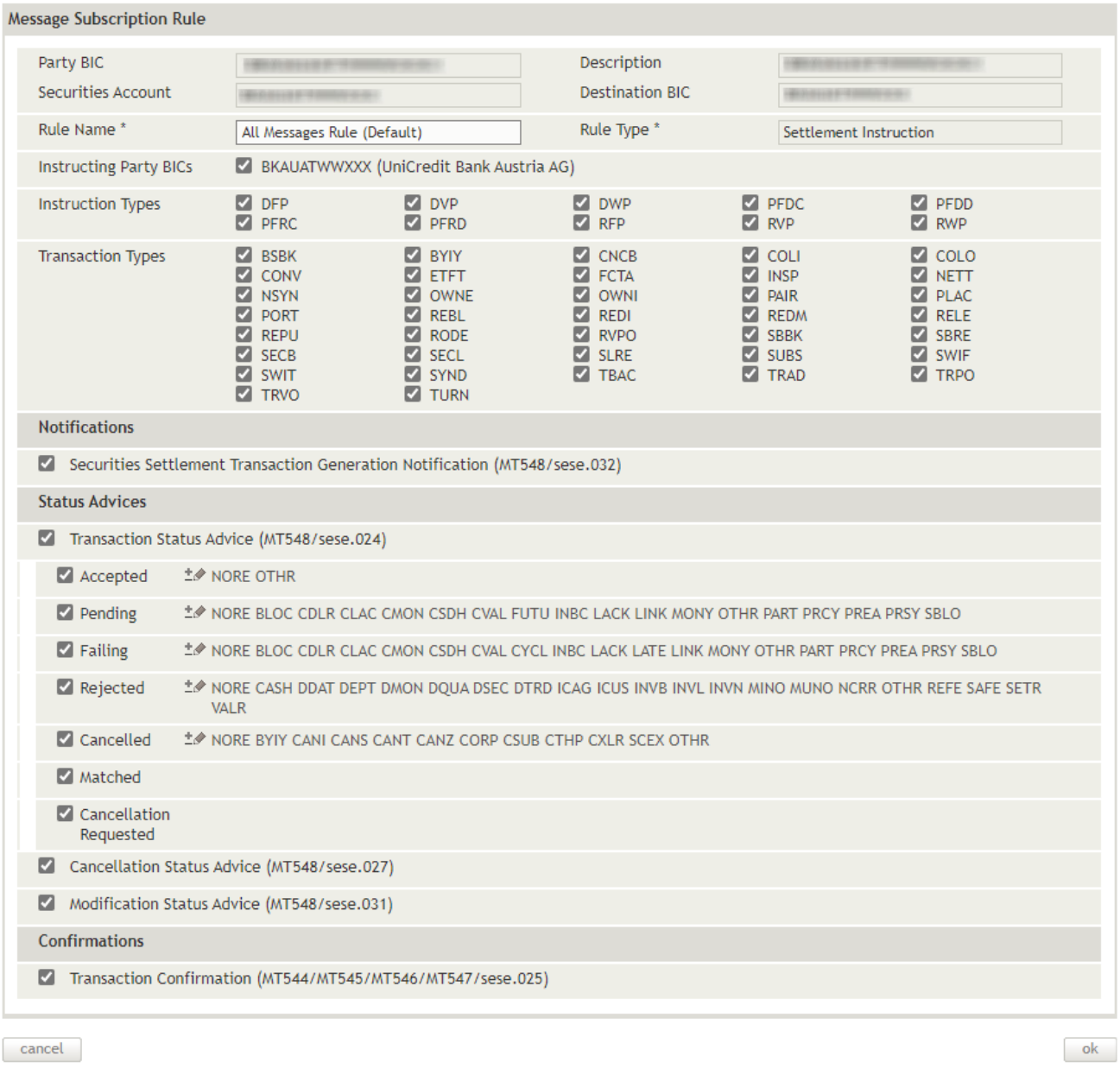


Figure 122: Message Subscription Rule - Settlement Instruction

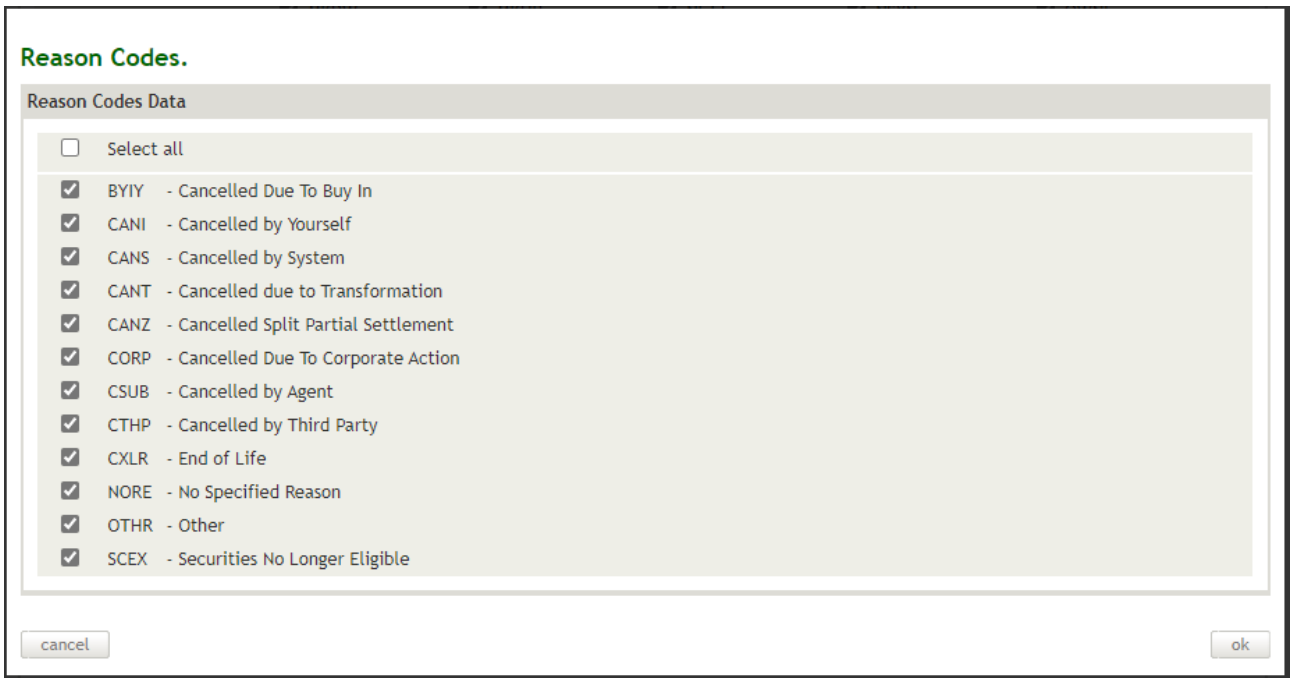


Figure 123: Transaction Status Advices - Reason Codes (example: cancelled)

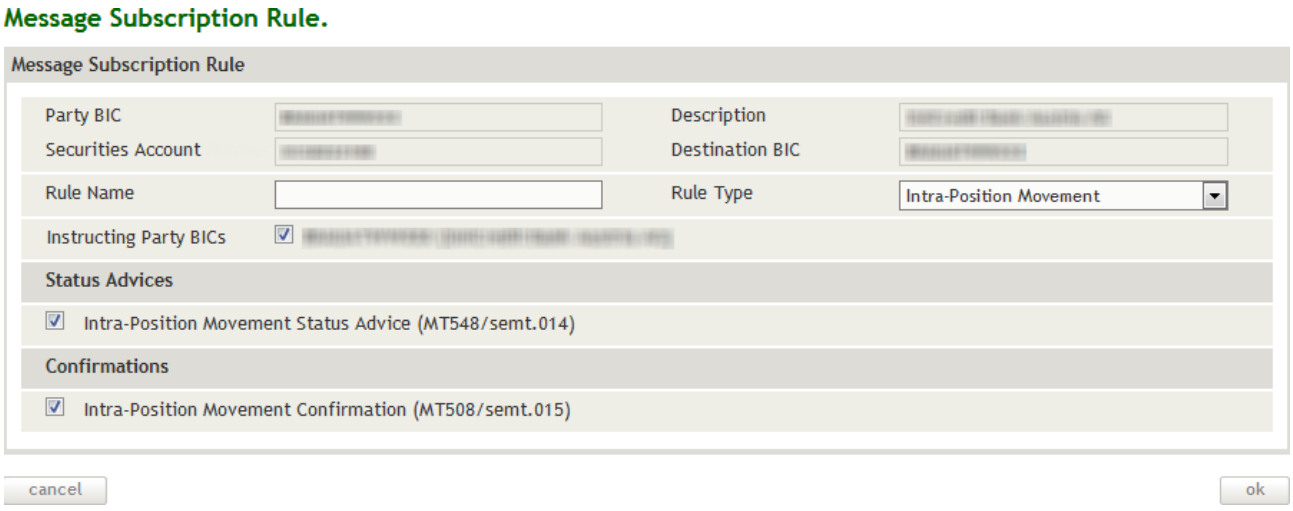


Figure 124: Message Subscription Rule - Intra Position Management

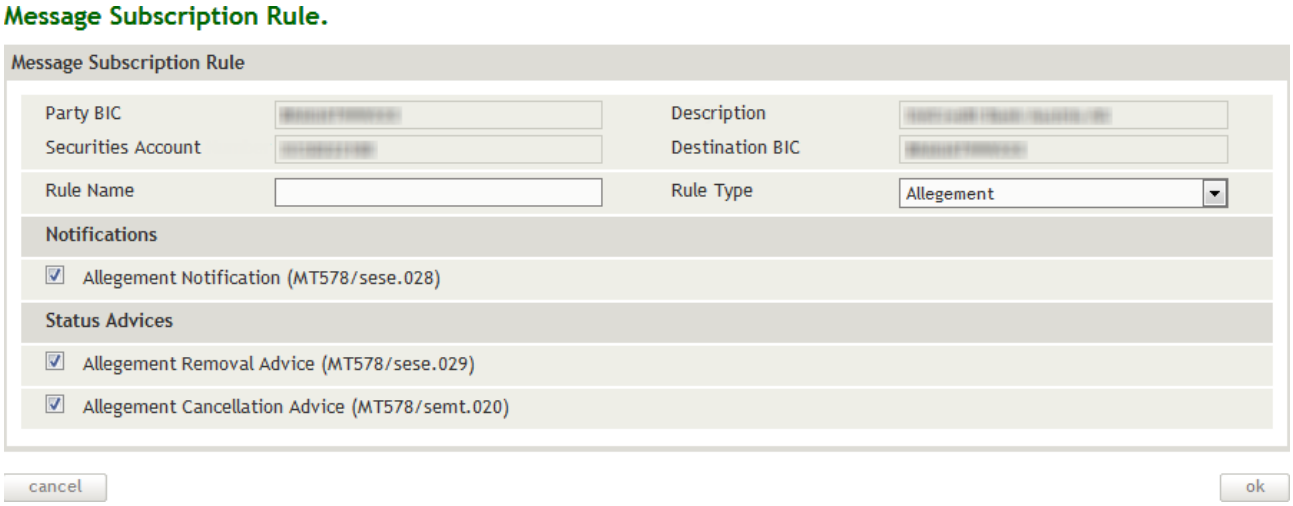


Figure 125: Message Subscription Rule - Allegement

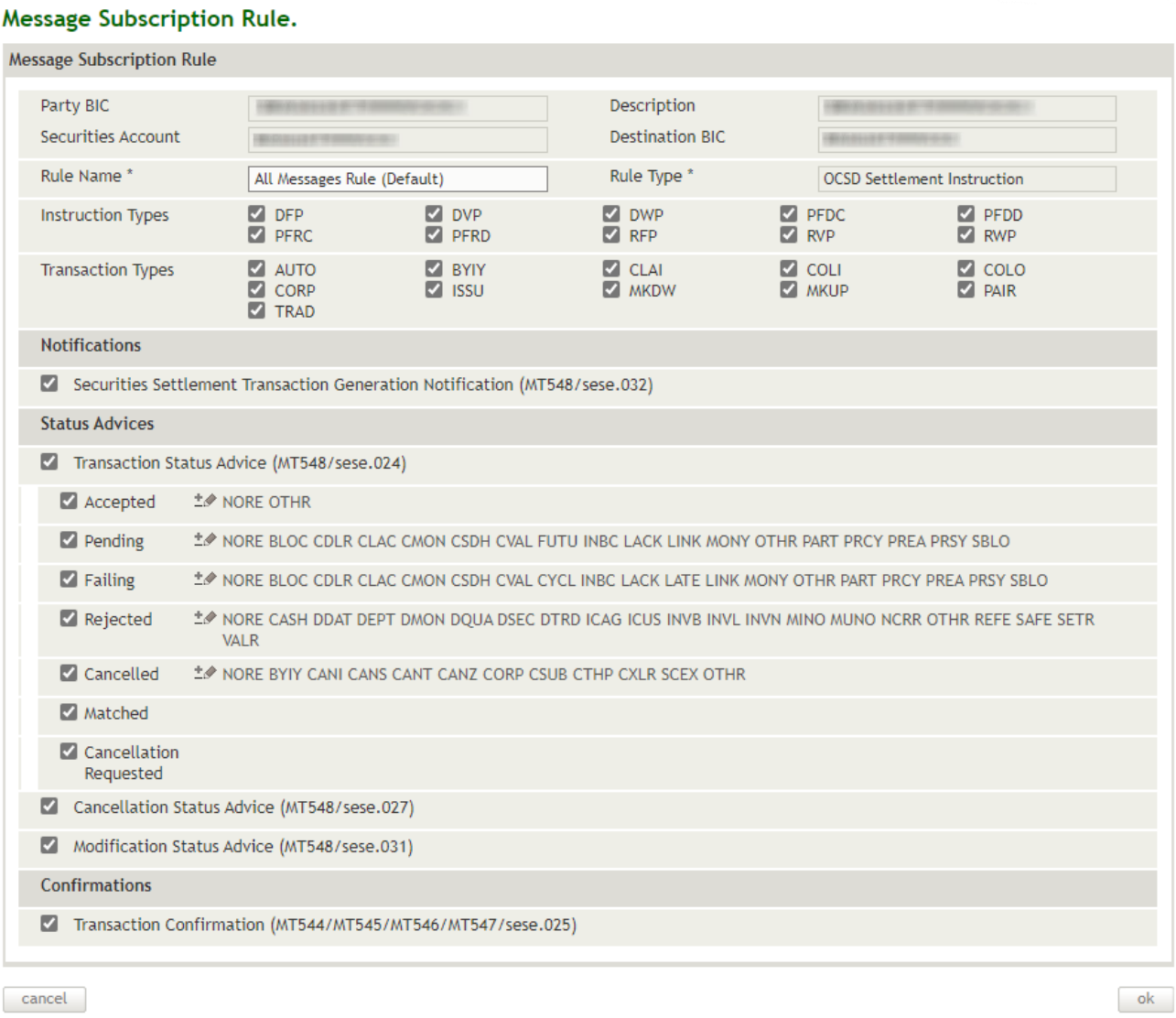


Figure 126: Message Subscription Rule - OCSD Settlement Instruction

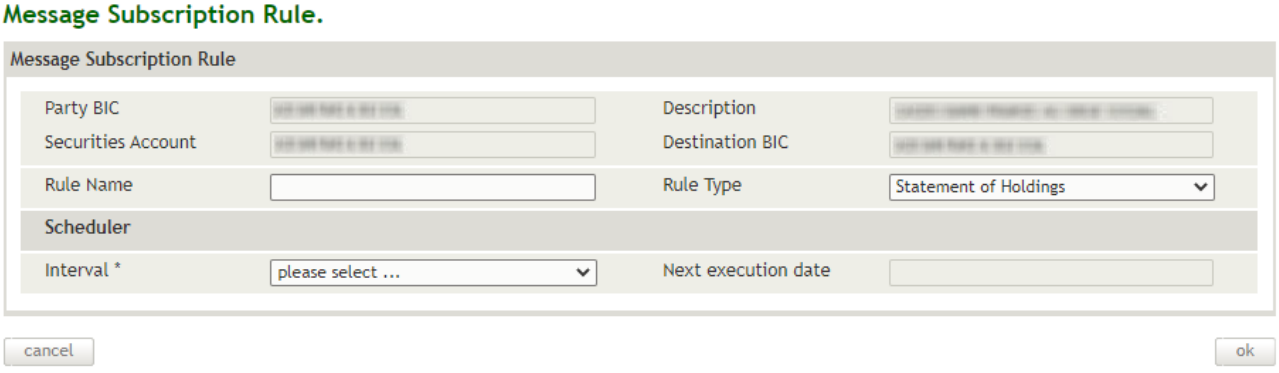


Figure 127: Message Subscription Rule - Statement of Holdings

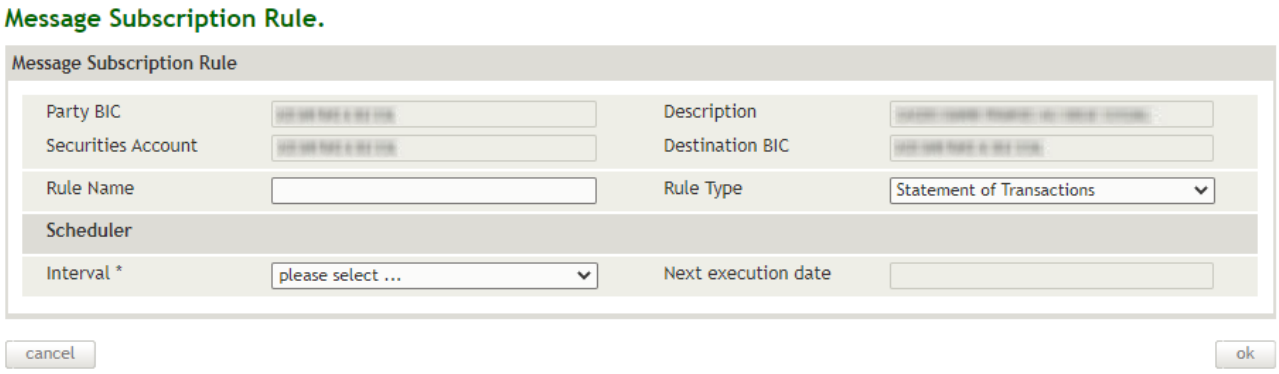


Figure 128: Message Subscription Rule - Statement of Transactions

How to Add a New Message Subscription Rule

Step by Step

1 In the menu bar, select *Administration* > *Message Subscriptions*.
The **Search Message Subscription** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

— Party BIC (= inputting party)

— Securities Account (= all)

2 Enter the desired search criteria in the available fields or limit the selections in the fields completed by the system.

3 Click on the **search** button.
The search result list containing all message subscriptions matching your search criteria appears.

4 In the row of the record you want to modify, click on the **Edit** icon to open the **Edit** screen.

INFO	The system only displays the **Edit** icon if your user permissions allow you to modify data.

5 Click on the **add** button at the bottom of the **Subscription Rules** list.
The **Message Subscription Rule** screen appears.

6 In the field **Rule Name**, enter the designation of the new subscription rule.

7 In the field **Rule Type**, select the type of subscription rule you want to add.
The system displays the additional parameters available for the selected type of subscription rule.

8 Activate or deactivate the check boxes of the parameters as they shall apply to the new subscription rule (for details on the parameters, please see the Field Descriptions).

TIP	For the transaction status advices **Accepted**, **Pending**, **Failing, Rejected** and **Cancelled** in subscription rules of the type **Settlement Instruction** you may specify on a reason code level whether to receive or not to receive message. Activate or deactivate the check boxes of the parameters as they shall apply to the new subscription rule.

9 Click **ok** to confirm your changes.
The **Edit Message Subscription** screen appears again.

10 Click **save** to save your changes.
At the top of the screen the system displays a confirmation as soon as your modifications have been saved.

10.2.4 Field Descriptions (Message Subscription Rule)

The description of the fields in the **Message Subscription Rule** screen is sectioned in four parts, i.e. for the four different types (Rule Type) of subscription rules:

— Settlement Instruction (Rule Type) - fig. 130
— Intra-Position Movement (Rule Type) - fig. 132
— Allegement (Rule Type) - fig. 133
— OCSD Settlement Instruction (Rule Type) - fig. 134
— Statement of Holdings - fig. 135

10.2.4.1 Statement of Transactions

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Interval	Input request 'please select ...'	Selection from Ad hoc or Daily	Selection	-
Next execution date	Date of next execution	-	-	-

NOTE	The following six rule types (Daily Penalty Report, Modified Penalty Report and Monthly Penalty Report) relate to the party not the Securites Account.

10.2.4.2 Daily Penalty Report (Intra/Cross)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Interval	Input request 'please select ...'	Selection from Daily or 'please select'	Selection	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Next execution date	Date of next execution	-	-	-

10.2.4.3 Modified Penalty Report (Intra/Cross)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Interval	Input request 'please select ...'	Selection from Daily or 'please select'	Selection	-
Next execution date	Date of next execution	-	-	-

10.2.4.4 Monthly Penalty Report (Intra/Cross)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Interval	Input request 'please select ...'	Selection from Monthly or 'please select'	Selection	-
Next execution date	Date of next execution	-	-	-

10.2.4.5 Daily Penalty Report (External)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Interval	Input request 'please select ...'	Selection from Daily or 'please select'	Selection	-
Next execution date	Date of next execution	-	-	-

10.2.4.6 Modified Penalty Report (External)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Interval	Input request 'please select ...'	Selection from Daily or 'please select'	Selection	-
Next execution date	Date of next execution	-	-	-

— Fehler! Verweisquelle konnte nicht gefunden werden. - fig. 135

The following table describes the two uppermost fields of the screen, which are identical to handle for all types (rule type) of subscription rules:

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Party BIC	BIC of the securities account holder	-	-	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
[Party BIC] **Description**	The designation of the securities account holder	-	-	-
Securities Account	Securities account defined in the selected message subscription.	-	-	-
Destination BIC	BIC of the party specified as message receiver in the selected message subscription	-	-	-
Rule Name	-	Unique designation of the subscription rule	-	30 alphanum.
Rule Type	Input request 'please select ...'	Selection from Settlement Instruction, Intra-Position Movement, Allegement, OCSD Settlement Instruction, Statement of Holdings or Statement of Transaction	Selection	-

10.2.4.7 Settlement Instruction (Rule Type)

Field		An Active (Ticked) Check Box Means ☑
Instructing Party BICs		The subscription rule will apply to the selected BIC(s) of the authorised parties of the holder of the securities account
Instruction Types	**DFP**	Messages from **DFP** settlement instructions will be received.
	DVP	Messages from **DVP** settlement instructions will be received.
	DWP	Messages from **DWP** settlement instructions will be are received.
	PFDC	Messages from **PFD Credit** settlement instructions will be received.
	PFDD	Messages from **PFD Credit** settlement instructions will be received.
	PFRC	Messages from **PFR Credit** settlement instructions will be received.
	PFRD	Messages from **PFR Debit** settlement instructions will be received.
	RFP	Messages from **RFP** settlement instructions will be received.
	RVP	Messages from **RVP** settlement instructions will be received.
	RWP	Messages from **RWP** settlement instructions will be received.
Transaction Types	**BSBK**	Settlement messages from buy sell back transactions will be received.

Field		An Active (Ticked) Check Box Means ☑
	BYIY	Settlement messages from buy in transactions will be received.
	CNCB	Settlement messages from central bank collateral operations will be received.
	COLI	Settlement messages from collateral transactions, from the point of view of the collateral taker or its agent will be received.
	COLO	Settlement messages from collateral transaction, from the point of view of the collateral giver or its agent will be received.
	CONV	Settlement messages from conversions will be received.
	ETFT	Settlement messages from exchange trade funds will be received.
	FCTA	Settlement messages from factor updates will be received.
	INSP	Settlement messages from movements of shares into or out of a pooled account will be received.
	NETT	Settlement messages from netted transactions will be received.
	NSYN	Settlement messages from securities issues of medium and short-term papers with programme without syndication arrangement will be received.
	OWNE	Settlement messages from external own account transfers with multiple instructing parties will be received.
	OWNI	Settlement messages from internal own account transfers will be received.
	PAIR	Settlement messages from paired transactions will be received.
	PLAC	Settlement messages from placements of securities will be received.
	PORT	Settlement messages from portfolio moves and transfers will be received.
	REBL	Settlement messages from rebalancing of securities positions will be received.

Field		An Active (Ticked) Check Box Means ☑
	REDI	Settlement messages from withdrawals of specified amounts will be received.
	REDM	Settlement messages from redemptions will be received.
	RELE	Settlement messages from releases of a depositary receipt will be received.
	REPU	Settlement messages from repurchase agreement transactions will be received.
	RODE	Settlement messages from returns of deliveries without matching will be received.
	RVPO	Settlement messages from reverse repurchase agreement transactions will be received.
	SBBK	Settlement messages from sell buy back transactions will be received.
	SBRE	Settlement messages from borrowing reallocations will be received.
	SECB	Settlement messages from securities borrowing operations will be received.
	SECL	Settlement messages from securities lending operations will be received.
	SLRE	Settlement messages from lending reallocations will be received.
	SUBS	Settlement messages from subscriptions to funds will be received.
	SWIF	Settlement messages where the investment changes from one sub-fund to another sub-fund (redemption-leg) will be received.
	SWIT	Settlement messages where the investment changes from one sub-fund to another sub-fund (subscription-leg) will be received.
	SYND	Settlement messages from syndicates of underwriters will be received.
	TBAC	Settlement messages from TBA closing trades will be received.
	TRAD	Settlement messages from standard settlement instructions will be received.
	TRPO	Settlement messages from triparty repurchase agreements will be received.
	TRVO	Settlement messages from triparty reverse repurchase agreements will be received.
	TURN	Settlement messages from turnarounds will be received.

Notifications	
Securities Settlement Transaction Generation Notification (MT548/sese.032)	Status messages for automatically generated auto-collateralisation settlement instructions will be received.

Field	An Active (Ticked) Check Box Means ☑
Status Advices	
Transaction Status Advice (MT548/ sese.024)	TIP If you wish, you can reduce the reasons codes for which you want to receive messages, see Reason Codes.
Accepted	Messages for instructions with status **Accepted** will be received.
Pending	Messages for instructions with status **Pending** will be received.
Failing	Messages for instructions with status **Failing** will be received.
Rejected	Messages for instructions with status **Rejected** are received.
Cancelled	Messages for instructions with status **Cancelled** are received.
Matched	Messages for instructions with status **Matched** are received.
Cancellation Requested	Messages for instructions with status **Cancellation Requested** are received.
Reason Codes	
BLOC	If the reason code in an instruction is **Account Blocked**, the message will be received.
BYIY	If the reason code in an instruction is **Cancelled Due To Buy** In, the message will be received.
CANI	If the reason code in an instruction is **Cancelled By Yourself**, the message will be received.
CANS	If the reason code in an instruction is **Cancelled By System**, the message will be received.
CANT	If the reason code in an instruction is **Cancelled due to Transformation**, the message will be received.
CANZ	If the reason code in an instruction is **Cancelled Split Partial Settlement**, the message will be received.
CASH	If the reason code in an instruction is **Cash Account Rejection**, the message will be received.
CDLR	If the reason code in an instruction is **Conditional Delivery Awaiting Release**, the message will be received.
CLAC	If the reason code in an instruction is **Insufficient Securities in Counterparty Account**, the message will be received.
CMON	If the reason code in an instruction is **Insufficient Money in Counterparty Account**, the message will be received.
CORP	If the reason code in an instruction is **Cancelled Due To Corporate Action**, the message will be received.

Field	An Active (Ticked) Check Box Means ☑
CSDH	If the reason code in an instruction is **CSD Hold**, the message will be received.
CSUB	If the reason code in an instruction is **Cancelled by Agent**, the message will be received.
CTHP	If the reason code in an instruction is **Cancelled By Third Party**, the message will be received.
CVAL	If the reason code in an instruction is **CSD Validation**, the message will be received.
CXLR	If the reason code in an instruction is **End of Life**, the message will be received.
CYCL	If the reason code in an instruction is **Awaiting next Settlement Cycle**, the message will be received.
DDAT	If the reason code in an instruction is **Disagreement Settlement Date**, the message will be received.
DEPT	If the reason code in an instruction is **Disagreement Place of Settlement**, the message will be received.
DMON	If the reason code in an instruction is **Disagreement Settlement Amount**, the message will be received.
DQVA	If the reason code in an instruction is **Disagreement Quantity**, the message will be received.
DSEC	If the reason code in an instruction is **Unrecognised or Invalid Financial Instrument Identification**, the message will be received.
DTRD	If the reason code in an instruction is **Disagreement Trade Date**, the message will be received.
FUTU	If the reason code in an instruction is **Awaiting Settlement Date**, the message will be received.
ICAG	If the reason code in an instruction is **Disagreement Delivering/Receiving Agent,** the message will be received.
ICUS	If the reason code in an instruction is **Receiving or Delivering Custodian Rejection**, the message will be received.
INBC	If the reason code in an instruction is **Incomplete Number Count**, the message will be received.
INVB	If the reason code in an instruction is **Invalid Balance**, the message will be received.
INVL	If the reason code in an instruction is **Invalid Link**, the message will be received.
INVN	If the reason code in an instruction is **Invalid Lot Number**, the message will be received.
LACK	If the reason code in an instruction is **Lack of Securities in Account**, the message will be received.
LATE	If the reason code in an instruction is **Market Deadline Missed**, the message will be received.

Field	An Active (Ticked) Check Box Means ☑
LINK	If the reason code in an instruction is **Pending Linked Instruction**, the message will be received.
MINO	If the reason code in an instruction is **Quantity Instructed is Lower than the Eligible Amount**, the message will be received.
MONY	If the reason code in an instruction is **Insufficient Money in Account**, the message will be received.
MUNO	If the reason code in an instruction is **Quantity Instructed is not an Eligible Multiple**, the message will be received.
NCRR	If the reason code in an instruction is **Disagreement Settlement Amount Currency**, the message will be received.
NORE	If the reason code in an instruction is **No Specified Reason**, the message will be received.
OTHR	If the reason code in an instruction is **Other**, the message will be received.
PART	If the reason code in an instruction is **Trade Settles in Partials**, the message will be received.
PRCY	If the reason code in an instruction is **Counterparty Instruction On Hold**, the message will be received.
PREA	If the reason code in an instruction is **Your Instruction is On Hold**, the message will be received.
PRSY	If the reason code in an instruction is **On Hold By System**, the message will be received.
REFE	If the reason code in an instruction is **Duplicate Instruction**, the message will be received.
SAFE	If the reason code in an instruction is **Disagreement Buyer/Seller Account**, the message will be received.
SBLO	If the reason code in an instruction is **Securities Blocked**, the message will be received.
SCEX	If the reason code in an instruction is **Securities No Longer Eligible**, the message will be received.
SETR	If the reason code in an instruction is **Unrecognised or Invalid Settlement Transaction Type**, the message will be received.
VALR	If the reason code in an instruction is **Validation Rule Rejection**, the message will be received.
Cancellation Status Advice (MT548/sese.027)	Status messages from cancellation instructions will be received.
Modification Status Advice (MT548/sese.031)	Status messages from modification instructions will be received.

Confirmations

Transaction Confirmation (MT544/MT545/MT546/ MT547/sese.025)	Messages from settlement confirmations will be received.

10.2.4.8 Intra-Position Movement (Rule Type)

Field	An Active (Ticked) Check Box Means ☑
Instructing Party BICs	The subscription rule will apply to the selected BIC(s) of the authorised parties of the holder of the securities account
Status Advices	
Intra-Position Movement Status Advice (MT548/ semt.014)	Status messages from intra-position movements are received.
Confirmations	
Intra-Position Movement Confirmation (MT508/ semt.015)	Confirmations from intra-position movements are received.

10.2.4.9 Allegement (Rule Type)

Field	An Active (Ticked) Check Box Means ☑
Notifications	
Allegement Notification (MT578/sese.028)	Settlement messages from allegement notifications will be received.
Status Advices	
Allegement Removal Advice (MT578/sese.029)	The settlement messages sent to remove allegements after the processing of counter instructions to these allegements has been completed will be received.
Allegement Cancellation Advice (MT578/semt-020)	Cancellations of allegement messages automatically generated by the system after cancellation of the associated settlement message will be received.

10.2.4.10 OCSD Settlement Instruction (Rule Type)

Field		An Active (Ticked) Check Box Means ☑
Instruction Types	**DFP**	Messages from **DFP** settlement instructions will be received.
	DVP	Messages from **DVP** settlement instructions will be received.
	DWP	Messages from **DWP** settlement instructions will be are received.
	PFDC	Messages from **PFD Credit** settlement instructions will be received.

Field		An Active (Ticked) Check Box Means ☑
	PFDD	Messages from **PFD Credit** settlement instructions will be received.
	PFRC	Messages from **PFR Credit** settlement instructions will be received.
	PFRD	Messages from **PFR Debit** settlement instructions will be received.
	RFP	Messages from **RFP** settlement instructions will be received.
	RVP	Messages from **RVP** settlement instructions will be received.
	RWP	Messages from **RWP** settlement instructions will be received.
Transaction Types	AUTO	Reimbursement settlement messages for securities already used as collateral, for which there was an intra-day restriction (= block) during that day, will be received.
	BYIY	Settlement messages from buy ins will be received.
	CLAI	Settlement messages from market claims will be received.
	COLI	Settlement messages from collateral instructions (credit provider) will be received.
	COLO	Settlement messages from collateral instructions (credit provider) will be received.
	CORP	Settlement messages from corporate actions will be received.
	ISSU	Settlement messages from securities issuances will be received.
	MKDW	Settlement messages from decreases of global certificates will be received.
	MKUP	Settlement messages from increases of global certificates will be received.
	PAIR	Settlement messages from paired transactions will be received.
	TRAD	Settlement messages from standard settlement instructions will be received.

Notifications

Securities Settlement Transaction Generation Notification (MT548/sese.032)	Settlement messages from securities settlement transaction generation notifications will be received.

Field	An Active (Ticked) Check Box Means ☑

Status Advices

Transaction Status Advice (MT548/ sese.024)	TIP	If you wish, you can reduce the reasons codes for which you want to receive messages, see Reason Codes (rule type Settlement Instruction).
	Accepted	Messages for instructions with status **Accepted** will be received.
	Pending	Messages for instructions with status **Pending** will be received.
	Failing	Messages for instructions with status **Failing** will be received.
	Rejected	Messages for instructions with status **Rejected** are received.
	Cancelled	Messages for instructions with status **Cancelled** are received.
	Matched	Messages for instructions with status **Matched** are received.
	Cancellation Requested	Messages for instructions with status **Cancellation Requested** are received.
Cancellation Status Advice (MT548/sese.027)		Status messages from cancellation instructions will be received.
Modification Status Advice (MT548/sese.031)		Status messages from modification instructions will be received.

Confirmations

Transaction Confirmation (MT544/MT545/MT546/ MT547/sese.025)	Messages from settlement confirmations will be received.

10.2.4.11 Statement of Holdings

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Interval	Input request 'please select ...'	Selection from Daily, Weekly or Monthly	Selection	-
Next execution date	Date of next execution	-	-	-

10.2.4.12 Statement of Transactions

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Interval	Input request 'please select ...'	Selection from Ad hoc or Daily	Selection	-
Next execution date	Date of next execution	-	-	-

NOTE The following six rule types (Daily Penalty Report, Modified Penalty Report and Monthly Penalty Report) relate to the party not the Securites Account.

10.2.4.13 Daily Penalty Report (Intra/Cross)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Interval	Input request 'please select ...'	Selection from Daily or 'please select'	Selection	-
Next execution date	Date of next execution	-	-	-

10.2.4.14 Modified Penalty Report (Intra/Cross)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Interval	Input request 'please select ...'	Selection from Daily or 'please select'	Selection	-
Next execution date	Date of next execution	-	-	-

10.2.4.15 Monthly Penalty Report (Intra/Cross)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Interval	Input request 'please select ...'	Selection from Monthly or 'please select'	Selection	-
Next execution date	Date of next execution	-	-	-

10.2.4.16 Daily Penalty Report (External)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Interval	Input request 'please select ...'	Selection from Daily or 'please select'	Selection	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Next execution date	Date of next execution	-	-	-

10.2.4.17 Modified Penalty Report (External)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Interval	Input request 'please select ...'	Selection from Daily or ‘please select’	Selection	-
Next execution date	Date of next execution	-	-	-

10.2.4.18 Monthly Penalty Report (External)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Interval	Input request 'please select ...'	Selection from Monthly or ‘please select’	Selection	-
Next execution date	Date of next execution	-	-	-

11. Four Eyes Principle (Authorisation by Another User)

The Four Eyes Principle settings (Administration menu) for dual control authorisation by another user are defined for the securities accounts created for a party.

How to Open the Four Eyes Principle Screen

Step by Step

1 In the menu bar, select *Administration* > *Four Eyes Principle*.
The **Four Eyes Principle** screen appears.

Four Eyes Principle.

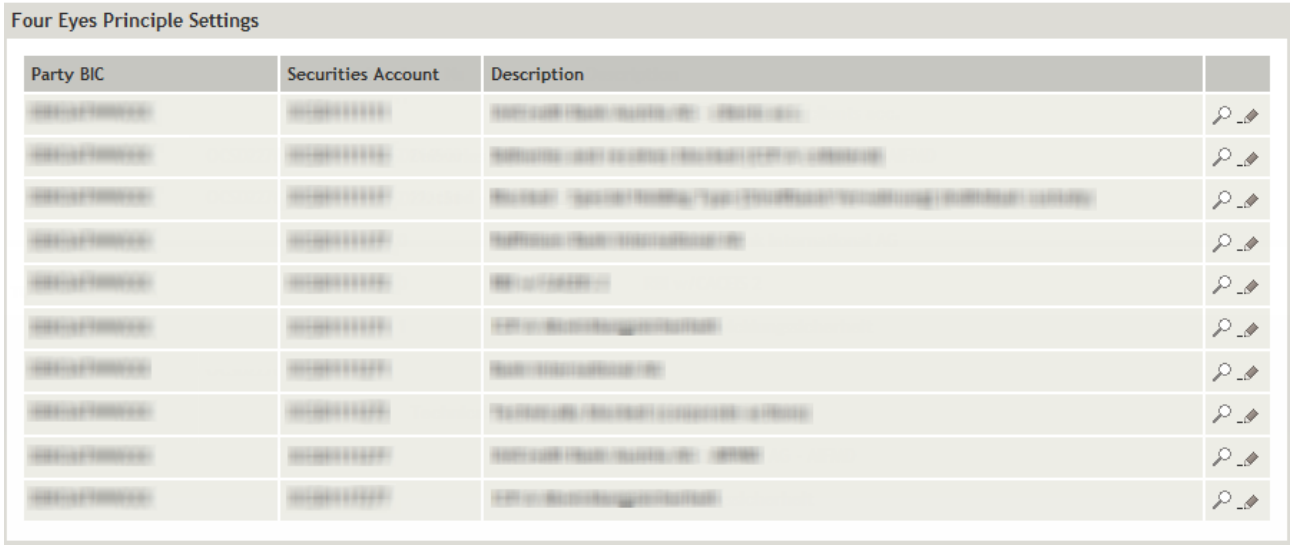


Figure 129: Four Eyes Principle

INFO A list entry is added automatically for each securities account created for a party.

11.1 Edit Four Eyes Principle

For each securities account you can specify the following settings for the authorisation according to the 4-eyes principle:

— Intra-Position Movement

— All instruction types individually (DVP, RVP, DFP, RFP, DWP, RWP, PFDD, PFDC, PFRD PFRC)

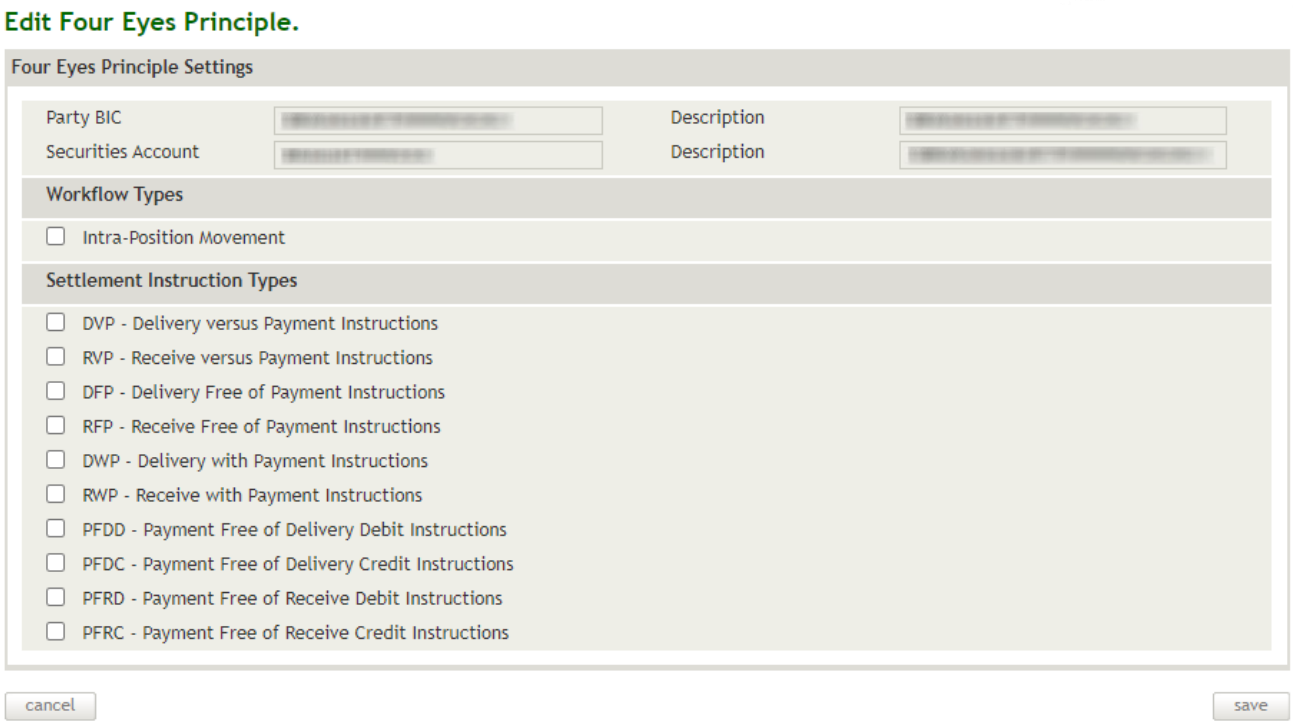


Figure 130: Edit four eyes principle

11.1.1 Specifying Four Eyes Principle Settings

The Four Eyes Principle settings help you to specify the types of records which need to be approved by a second person before they are submitted to the system for processing.

How to Specify the Settings for Authorisation According to the 4-Eyes Principle

Step by Step

1 In the menu bar, select *Administration* > *Four Eyes Principle*.
The **Four Eyes Principle** screen appears.

2 In the row of the record you want to modify, click on the **Edit** icon to open the **Edit** screen.

> INFO The system only displays the **Edit** icon if your user permissions allow you to modify data.

3 Activate the check boxes of all the types of settlement instructions which have to be released by a second person before they are submitted to the system.

4 Click **save** to save the settings for authorisation according to the 4-eyes principle for the securities account.

11.1.2 Field Descriptions (Edit Four Eyes Principle)

Field	Description
Securities Account	The complete securities account number, starting with OCSD
[Securities Account] Description	Designation of the securities account

Field	An Active (Ticked) Check Box Means ☑
Intra-Position Movement	Newly created, modified or cancelled intra position movements will be displayed in the **Tasks waiting for approval** section of the task box until they are approved by a second person.
DVP - Delivery versus Payment Instructions	Newly created, modified or cancelled instructions of the type **DVP** will be displayed in the **Tasks waiting for approval** section of the task box until they are approved by a second person.
RVP - Receive versus Payment Instructions	Newly created, modified or cancelled instructions of the type **RVP** will be displayed in the **Tasks waiting for approval** section of the task box until they are approved by a second person.
DFP - Delivery Free of Payment Instructions	Newly created, modified or cancelled instructions of the type **DFP** will be displayed in the **Tasks waiting for approval** section of the task box until they are approved by a second person.
RFP - Receive Free of Payment Instructions	Newly created, modified or cancelled instructions of the type **RFP** will be displayed in the **Tasks waiting for approval** section of the task box until they are approved by a second person.
DWP - Delivery with Payment Instructions	Newly created, modified or cancelled instructions of the type **DWP** will be displayed in the **Tasks waiting for approval** section of the task box until they are approved by a second person.
RWP - Receive With Payment Instructions	Newly created, modified or cancelled instructions of the type **RWP** will be displayed in the **Tasks waiting for approval** section of the task box until they are approved by a second person.

Field	An Active (Ticked) Check Box Means ☑
PFDD - Payment Free of Delivery Debit Instructions	Newly created, modified or cancelled instructions of the type **PFD Debit** will be displayed in the **Tasks waiting for approval** section of the task box until they are approved by a second person.
PFDC - Payment Free of Delivery Credit Instructions	Newly created, modified or cancelled instructions of the type **PFD Credit** will be displayed in the **Tasks waiting for approval** section of the task box until they are approved by a second person.
PFRD - Payment Free of Receive Debit Instructions	Newly created, modified or cancelled instructions of the type **PFR Debit** will be displayed in the **Tasks waiting for approval** section of the task box until they are approved by a second person.
PFRC - Payment Free of Receive Credit Instructions	Newly created, modified or cancelled instructions of the type **PFR Credit** will be displayed in the **Tasks waiting for approval** section of the task box until they are approved by a second person.

12. Penalty Report

The Penalty Report is an overview of all penalties which meet the defined search criteria. The customer will see penalties for his own securities accounts and securities accounts for which he is authorised.

How to Open the Penalty Report Screen

Step by Step

1 In the menu bar, select *Reporting* > Penalty Report.
The **Penalty Report** screen appears.

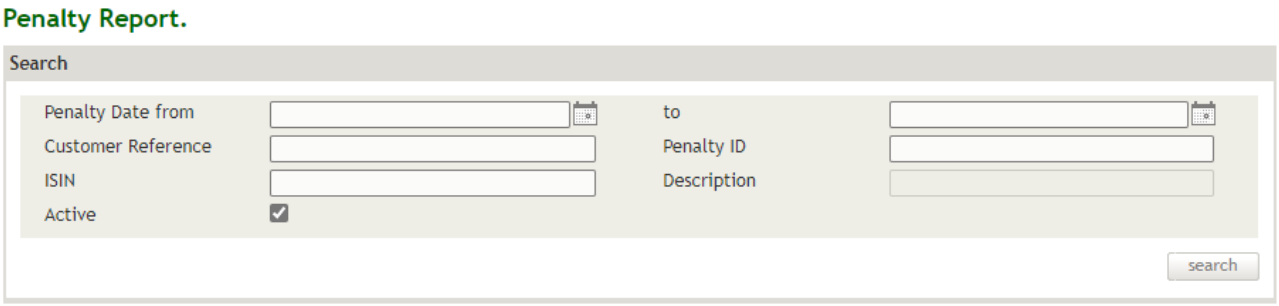
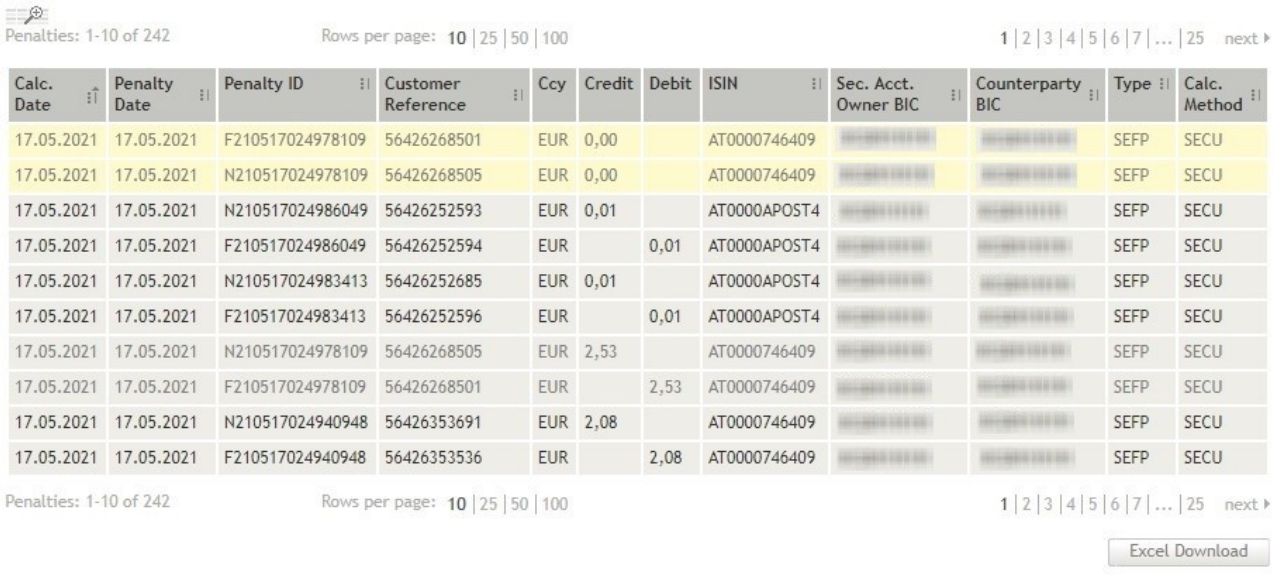


Figure 131: Search Penalty Report

NOTE Modified penalties are displayed in yellow, deactivated penalties in gray



Calc. Date	Penalty Date	Penalty ID	Customer Reference	Ccy	Credit	Debit	ISIN	Sec. Acct. Owner BIC	Counterparty BIC	Type	Calc. Method
17.05.2021	17.05.2021	F210517024978109	56426268501	EUR	0,00		AT0000746409			SEFP	SECU
17.05.2021	17.05.2021	N210517024978109	56426268505	EUR	0,00		AT0000746409			SEFP	SECU
17.05.2021	17.05.2021	N210517024986049	56426252593	EUR	0,01		AT0000APOST4			SEFP	SECU
17.05.2021	17.05.2021	F210517024986049	56426252594	EUR		0,01	AT0000APOST4			SEFP	SECU
17.05.2021	17.05.2021	N210517024983413	56426252685	EUR	0,01		AT0000APOST4			SEFP	SECU
17.05.2021	17.05.2021	F210517024983413	56426252596	EUR		0,01	AT0000APOST4			SEFP	SECU
17.05.2021	17.05.2021	N210517024978109	56426268505	EUR	2,53		AT0000746409			SEFP	SECU
17.05.2021	17.05.2021	F210517024978109	56426268501	EUR		2,53	AT0000746409			SEFP	SECU
17.05.2021	17.05.2021	N210517024940948	56426353691	EUR	2,08		AT0000746409			SEFP	SECU
17.05.2021	17.05.2021	F210517024940948	56426353536	EUR		2,08	AT0000746409			SEFP	SECU

13. Efficiency Rate Reports

There are two different types

— Monthly Volume Efficiency Rate Report and

— Monthly Value Efficiency Rate Report

It is an overview of the efficiency rate based on the volume and value of settlement instructions. The customer will see his efficiency rate for his own securities accounts and securities accounts for which he is authorised.

How to Open the Efficiency Rate Reports Screen

Step by Step

1 In the menu bar, select *Reporting* > Efficiency Rate Reports.
The **Monthly Volume Efficiency Rate Report** and **Monthly Value Efficiency Rate Report** search screen appears.

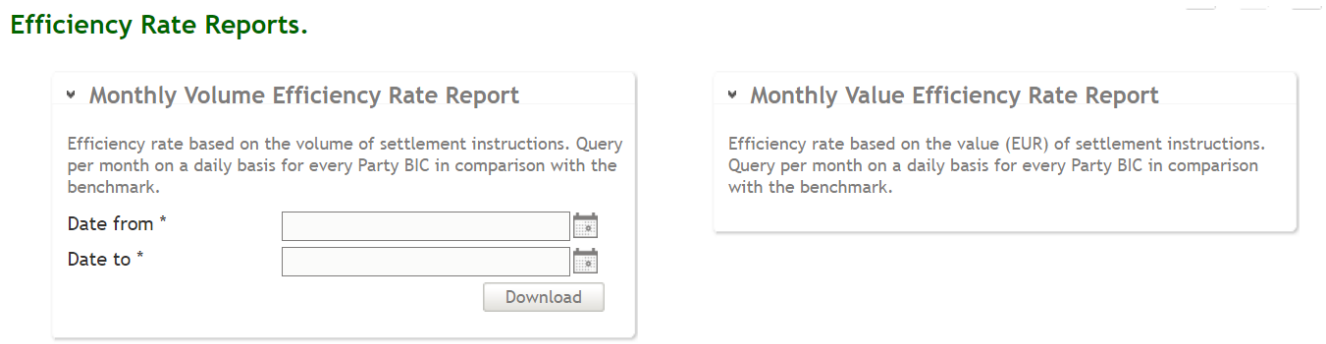


Figure 132: Search Penalty Report

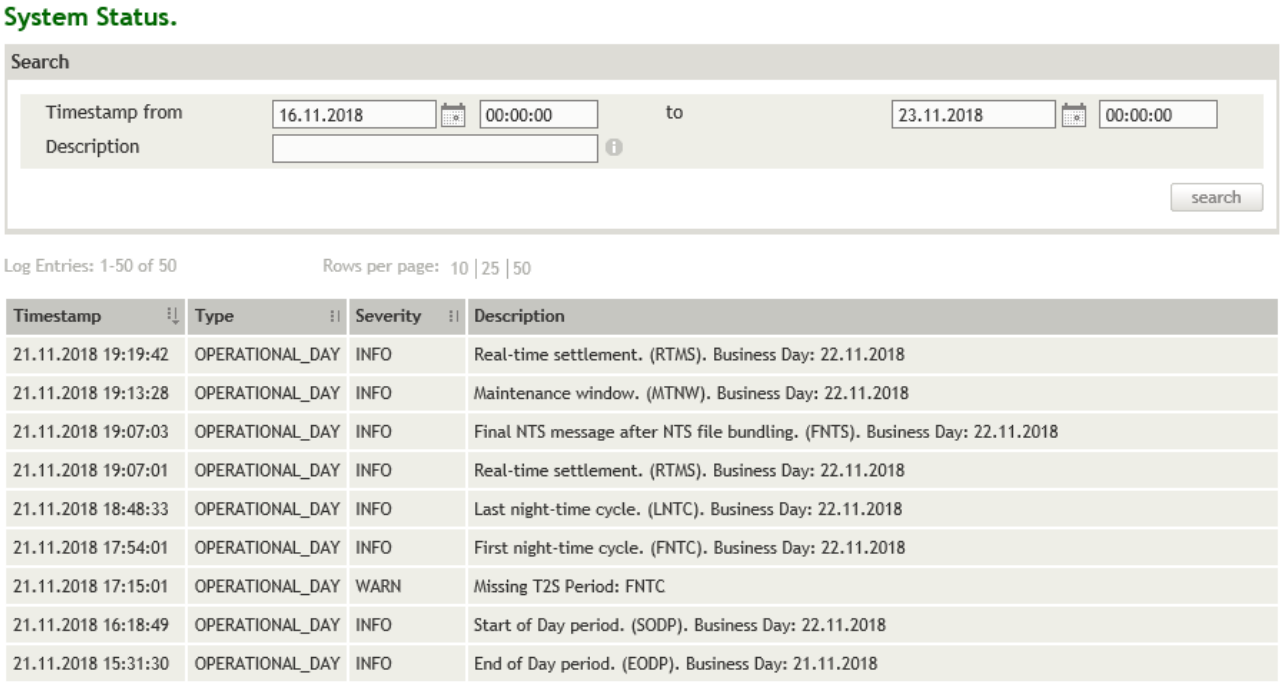
14. System Status

The System Status screen gives an overview about the T2S-phases, which are provided with a timestamp.

How to Open the System Status Screen

Step by Step

1 In the menu bar, select *Monitoring* > System Status.
The **System Status** screen appears.



Timestamp	Type	Severity	Description
21.11.2018 19:19:42	OPERATIONAL_DAY	INFO	Real-time settlement. (RTMS). Business Day: 22.11.2018
21.11.2018 19:13:28	OPERATIONAL_DAY	INFO	Maintenance window. (MTNW). Business Day: 22.11.2018
21.11.2018 19:07:03	OPERATIONAL_DAY	INFO	Final NTS message after NTS file bundling. (FNTS). Business Day: 22.11.2018
21.11.2018 19:07:01	OPERATIONAL_DAY	INFO	Real-time settlement. (RTMS). Business Day: 22.11.2018
21.11.2018 18:48:33	OPERATIONAL_DAY	INFO	Last night-time cycle. (LNTC). Business Day: 22.11.2018
21.11.2018 17:54:01	OPERATIONAL_DAY	INFO	First night-time cycle. (FNTC). Business Day: 22.11.2018
21.11.2018 17:15:01	OPERATIONAL_DAY	WARN	Missing T2S Period: FNTC
21.11.2018 16:18:49	OPERATIONAL_DAY	INFO	Start of Day period. (SODP). Business Day: 22.11.2018
21.11.2018 15:31:30	OPERATIONAL_DAY	INFO	End of Day period. (EODP). Business Day: 21.11.2018

15. User Roles and User Permissions

The following user roles with the associated user authorisations provide access to menu items and functionalities of the Settlement Client:

- Settlement Client FOP User
- Settlement Client FOP Releaser
- Settlement Client VP User
- Settlement Client VP Releaser
- Settlement Client Physical User
- Settlement Client Read only
- Settlement Client Administrator
- Settlement Client Billing

NOTE User permissions and user roles are assigned by each customer's system administrator outside of the Settlement Client.

15.1 Settlement Client FOP User

Main Menu / Home Screen	Menu Item	Permissions
Home Screen	Securities Accounts Overview	— Link to Create Settlement Instruction — Link to Search Settlement Instruction — Link to Create Intra-Position Movement — Link to Search Intra-Position Movement — Link to Search Allegement — Link to Search Physical Instructions — Link to Display Securities Positions — Link to Display Securities Posting Items — Link to Display Securities Account Details
	ISIN Search	Search for ISIN
	task box	— Tasks waiting for approval — Tasks waiting to process — instruction alerts
Settlement	Create Settlement Instruction	Create free of payment instructions — Receive Free of Payment (RFP) — Delivery Free of Payment (DFP)

Main Menu / Home Screen	Menu Item	Permissions
	Create Intra-Position Movement	Create settlement restrictions
	Search Settlement Instructions	Search free of payment instructions and instructions versus payment — Receive Free of Payment (RFP) — Delivery Free of Payment (DFP) — Receive versus Payment (RVP) — Delivery versus Payment (DVP) — Receive with Payment (RWP) — Delivery with Payment (DWP) — Payment Free of Receive Debit (PFRD) — Payment Free of Delivery Debit (PFDD) — Payment Free of Receive Credit (PFRC) — Payment Free of Delivery Credit (PFDC) Modify and cancel free of payment instructions — Receive Free of Payment (RFP) — Delivery Free of Payment (DFP)
	Search Intra-Position Movements	Search, modify and cancel settlement restrictions
	Search Physical Instructions	Search instructions for the physical withdrawal and deposit of securities
	Search Allegements	Search free of payment allegements and allegements versus payment and create free of payment counter instructions — Receive Free of Payment (RFP) — Delivery Free of Payment (DFP)
Holdings	Securities Positions	Search and view securities positions
	Securities Posting Items	Search and view securities bookings
	Statement of Holdings	Search and view securities positions
Administration	Message Subscription	Search and view message subscription settings
	four eyes principle	Search and view the settings for authorisation according to the four-eyes principle

15.2 Settlement Client FOP Releaser

NOTE The role **Settlement Client FOP Releaser** can be assigned as an add-on role to a regular user role to allow the user the additional permissions to authorise instructions according to the four-eyes principle.

Main Menu / Home Screen	Menu Item	Permissions
Home Screen	task box	Tasks waiting for approval
Settlement	Search Settlement Instructions	Approve or reject free of payment instructions — Receive Free of Payment (RFP) — Delivery Free of Payment (DFP)
	Search Intra-Position Movements	Approve or reject settlement restrictions

15.3 Settlement Client VP User

Main Menu / Home Screen	Menu Item	Permissions
Home Screen	Securities Accounts Overview	— Link to Create Settlement Instruction — Link to Search Settlement Instruction — Link to Create Intra-Position Movement — Link to Search Intra-Position Movement — Link to Search Allegement — Link to Search Physical Instructions — Link to Display Securities Positions — Link to Display Securities Posting Items — Link to Display Securities Account Details
	ISIN Search	Search for ISIN
	task box	— Tasks waiting for approval — Tasks waiting to process — instruction alerts

Main Menu / Home Screen	Menu Item	Permissions
Settlement	Create Settlement Instruction	Create instructions versus payment — Receive versus Payment (RVP) — Delivery versus Payment (DVP) — Receive with Payment (RWP) — Delivery with Payment (DWP) — Payment Free of Receive Debit (PFRD) — Payment Free of Receive Credit (PFRC) — Payment Free of Delivery Debit (PFDD) — Payment Free of Delivery Credit (PFDC) — Physical
	Create Intra-Position Movement	Create settlement restrictions
	Search Settlement Instructions	Search free of payment instructions and instructions versus payment — Receive Free of Payment (RFP) — Delivery Free of Payment (DFP) — Receive versus Payment (RVP) — Delivery versus Payment (DVP) — Receive with Payment (RWP) — Delivery with Payment (DWP) — Payment Free of Receive Debit (PFRD) — Payment Free of Delivery Debit (PFDD) — Payment Free of Receive Credit (PFRC) — Payment Free of Delivery Credit (PFDC) Modify and cancel instructions versus payment — Receive versus Payment (RVP) — Delivery versus Payment (DVP) — Receive with Payment (RWP) — Delivery with Payment (DWP) — Payment Free of Receive Debit (PFRD) — Payment Free of Delivery Debit (PFDD) — Payment Free of Receive Credit (PFRC) — Payment Free of Delivery Credit (PFDC)
	Search Intra-Position Movements	Search, modify and cancel settlement restrictions
	Search Physical Instructions	Create instructions for the physical withdrawal and deposit of securities

Main Menu / Home Screen	Menu Item	Permissions
	Search Allegements	Search free of payment allegements and allegements versus payment and create payment counter instructions versus payment — Receive versus Payment (RVP) — Delivery versus Payment (DVP) — Receive with Payment (RWP) — Delivery with Payment (DWP) — Payment Free of Receive Debit (PFRD) — Payment Free of Delivery Debit (PFDD) — Payment Free of Receive Credit (PFRC) — Payment Free of Delivery Credit (PFDC)
Holdings	Securities Positions	Search and view securities positions
	Securities Posting Items	Search and view securities bookings
	Cash Preview	Search and view cash movements
	Statement of Holdings	Search and view securities positions
Administration	Message Subscription	Search and view message subscription settings
	four eyes principle	Search and view the settings for authorisation according to the four-eyes principle

15.4 Settlement Client VP Releaser

NOTE The role **Settlement Client VP Releaser** can be assigned as an add-on role to a regular user role to allow the user the additional permissions to authorise instructions according to the four-eyes principle.

Main Menu / Home Screen	Menu Item	Permissions
Home Screen	task box	Tasks waiting for approval

Main Menu / Home Screen	Menu Item	Permissions
Settlement	Search Settlement Instructions	Approve or reject instructions versus payment — Receive versus Payment (RVP) — Delivery versus Payment (DVP) — Receive with Payment (RWP) — Delivery with Payment (DWP) — Payment Free of Receive Debit (PFRD) — Payment Free of Delivery Debit (PFDD) — Payment Free of Receive Credit (PFRC) — Payment Free of Delivery Credit (PFDC)
	Search Intra-Position Movements	Approve or reject settlement restrictions

15.5 Settlement Client Physical User

Main Menu / Home Screen	Menu Item	Permissions
Home Screen	Securities Accounts Overview	— Link to Search Physical — Link to Display Securities Positions — Link to Display Securities Posting Items
	ISIN Search	Search for ISIN
	task box	— Tasks waiting for approval — Tasks waiting to process — instruction alerts
Settlement	Search Physical Instructions	Search for the physical instructions
Holdings	Securities Positions	Search and view securities positions
	Securities Posting Items	Search and view securities bookings
	Statement of Holdings	Search and view securities positions
Administration	Message Subscription	Search and view message subscription settings
	four eyes principle	Search and view the settings for authorisation according to the four-eyes principle

15.6 Settlement Client Read only

Main Menu / Home Screen	Menu Item	Permissions
Home Screen	Securities Accounts Overview	— Link to Search Settlement Instruction — Link to Search Intra-Position Movement — Link to Search Allegements — Link to Search Physical Instructions — Link to Display Securities Positions — Link to Display Securities Posting Items — Link to Display Securities Account Details
	ISIN Search	Search for ISIN
	task box	— Tasks waiting for approval — Tasks waiting to process — instruction alerts
Settlement	Search Settlement Instructions	Search free of payment instructions and instructions versus payment — Receive Free of Payment (RFP) — Delivery Free of Payment (DFP) — Receive versus Payment (RVP) — Delivery versus Payment (DVP) — Receive with Payment (RWP) — Delivery with Payment (DWP) — Payment Free of Receive Debit (PFRD) — Payment Free of Delivery Debit (PFDD) — Payment Free of Receive Credit (PFRC) — Payment Free of Delivery Credit (PFDC)
	Search Intra-Position Movements	Search settlement restrictions
	Search Physical Instructions	Create instructions for the physical withdrawal and deposit of securities
	Search Allegements	Search free of payment allegements and allegements versus payment
Holdings	Securities Positions	Search and view securities positions
	Securities Posting Items	Search and view securities bookings
	Cash Preview	Search and view cash movements
	Statement of Holdings	Search and view securities positions

Main Menu / Home Screen	Menu Item	Permissions
Administration	Message Subscription	Search and view message subscription settings
	four eyes principle	Search and view the settings for authorisation according to the four-eyes principle

15.7 Settlement Client Administrator

Main Menu / Home Screen	Menu Item	Permissions
Home Screen	Securities Accounts Overview	Link to Display Securities Account Details
Administration	Message Subscription	Searching, viewing and editing message subscription settings
	four eyes principle	Searching, viewing and editing the settings for authorisation according to the four-eyes principle

15.8 Settlement Client Billing

Main Menu / Home Screen	Menu Item	Permissions
Billing	Billing	Customer Invoices

16. Glossary

List of Terms	Explanation
4-eyes principle	See Four Eyes Principle
Allegement	Received message about an instruction of a counterparty for which an own instruction must be created.
Button	Rectangular field in the screens of the Settlement client in the form of a push-button. Clicking on this field with the left mouse button triggers a certain program function.
Cash account	Account for the transfer or receipt of payments.
Detail view	Screen in the Settlement Client where data are displayed, but which does not allow these data to be modified by users.
Edit screen	Screen in the Settlement Client where users may edit and modify data. Whether a specific user may modify a specific record depends on the user's permissions and the processing status of the record.
Entry page	See Home screen
Field	Unit of the Settlement Client user interface which allows the entry or display of a specific information detail of a record. Different types of fields in the Settlement Client support the entry of different types of information, such as textual information, numbers and amounts, date entries, etc.
Four eyes principle	Two-level verification method for entering, modifying and deleting instructions and other records where the instructions entered in the Settlement Client must be approved by a person other than the one who has originally entered the data. Only after approval by the second user the information will be released for further processing.
Function link	Link in screens and detail views which triggers a specific action, similar to buttons, but in the form of a hyperlink.
History	See Instruction History or Status History
Home screen	Entry page (Home) of the Settlement Client; menu item **Home**.
Icon	Graphical display element without text of the Settlement Client user interface, which functions as a link that triggers a certain action.

List of Terms	Explanation
Input Assist.	The Settlement Client supports the input of data in frequently used fields. After the entry of one or several characters it displays a selection list of choices containing the characters entered. User need only choose the required entry from the list of choices, which completes the entry in the respective field.
Input screen	See Screen.
Instruction History	History of instructions, intra-position movements and allegements which chronologically lists all actions carried out for the respective record. The Instruction History is displayed as the tab before the last of settlement and physical instructions, intra-position movements and allegements in the summary screen and in the detail view.
Instruction type	Category of instructions of the same type, e.g. DVP - Deliver Versus Payment or RFP - Receive Free of Payment.
Intra-Position Movement	Instruction to flag securities positions for a specific purpose, e.g. as collateral.
Linkage	Relation between two or more instructions or intra-position movements determining their processing sequence, defining instructions or intra-position movements that have to be processed simultaneously (pool) or informing of specific details.
List	Unit of the Settlement Client user interface which displays data in the form of a table. For example, lists are filled with the appropriate data after a search was performed. The lists display data in a predefined layout.
Login	Registration of a user at a software application. For this purpose user data are entered, which identify the user within the system. A successful login is the prerequisite for working with the Settlement Client. Users log on in the Login Portal for IT Services of OeKB and OeKB CSD GmbH.
Logout	Exiting of a user from a software application. Users log out from the Settlement Client by closing the browser window. This ends the current user session with the system. A new login is possible in the Login Portal for IT Services of OeKB and OeKB CSD GmbH.
Menu	The main menu of the Settlement Client contains all available program functions in the form of menu items grouped in a clear hierarchical structure.
Physical instruction	Order for carrying out a deposit or withdrawal of physical securities at the OeKB CSD Vault. Also used for instructing increases or decreases of global certificates.
Record	A data set which together represents a certain information unit. An information unit may be e.g. a settlement or physical instruction, an intra-position movement, a message subscription or any other information unit which may be processed in the Settlement Client.
Save	Confirmation of entered data and submittal of the record to the system for processing.

List of Terms	Explanation
Screen	Unit of the Settlement Client user interface which contains several elements (fields) for entering or displaying details of information.
Search result list	List displayed after a search run was performed. Search result lists contain the results which meet the defined search criteria.
Second person authorisation	See four eyes principle
Services	IT Services of OeKB and services of OeKB CSD GmbH for the safekeeping, management and settlement of securities providing state-of-the-art, user-friendly real-time systems and professional support. The Login Portal of the OeKB CSD Services is where you can log on to the Settlement Client.
Settlement Client	System of the OeKB CSD GmbH for the settlement of securities instructions online.
Settlement instruction	Order for carrying out a securities transaction by one of the involved parties. Usually there is an instruction (own order) and a counterparty instruction (order of the other party involved).
Status History	History of instructions, intra-position movements and allegements which chronologically lists all status changes carried out for the respective record. The Status History is displayed as the last tab of settlement and physical instructions, intra-position movements and allegements in the summary screen and in the detail view.
Step	One of the tabs of the **Create Settlement Instruction** screen containing fields for inputting logically grouped instruction data.
Summary screen	Complete display of a newly created instruction or intra-position movement including the Instruction History and Status History.
Task box	Element on the Home screen listing instructions and intra-position movements waiting for approval and open instructions and intra-position movements, as well as instructions and intra-position movements with status Pending or Failing.
Tooltip	Pop-up text providing helpful information or explaining a certain screen element. A tooltip is displayed when you hover the mouse pointer over e.g. a button or any other screen element for about 2 seconds.
Welcome page	See Home screen

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