

ECMS User Handbook Counterparties

UHB v1.2

Author 4CB

Version UHB v1.2
Date 25/11/2024

All rights reserved. Reproduction for educational and noncommercial purposes is permitted provided that the source is acknowledged.





Table of Contents

| 1 | Intr | oduction to the ECMS | 5 |
|---|-----------------|---|---------------------|
| | 1.1 | ECMS Overview | . 5 . 11 . 12 |
| 2 | Ove | erview of the User Handbook | 14 |
| | 2.1 | UHB Methodology | |
| | | 2.1.1 Information Signs | |
| | | 2.1.2 Tables | |
| | | 2.1.3 Type set | |
| | | 2.1.5 Screenshots | |
| | 2.2 | Overview of the Graphical User Interface | 15 |
| | | 2.2.1 Sitemap | |
| | | 2.2.2 Setup and login process | |
| | | 2.2.3 GUI Structure | |
| | | 2.2.4 Validation | |
| | | 2.2.6 Security and Administration Service | |
| 2 | Sor | een Reference Guide | |
| 3 | | General | |
| | | Reference Data | |
| | 3.2 | 3.2.1 Parties Reference Data | |
| | | 3.2.2 Accounts Reference Data | 64 |
| | | 3.2.3 Settlement Possibilities and Eligible CSD Links | 101 |
| | | 3.2.4 Counterparties Specific Reference Data | |
| | | 3.2.5 Credit Claims Reference Data | |
| | | 3.2.7 Rates Reference Data | |
| | | 3.2.8 Access Rights Reference Data | |
| | | 3.2.9 Interfaces | |
| | | 3.2.10 Statements & Messages | |
| | | 3.2.11Reports Reference Data 3.2.12Setup | |
| | 2 2 | Marketable Asset Instructions and Positions | |
| | 5.5 | 3.3.1 Marketable Asset Instruction | |
| | | 3.3.2 Marketable Asset Settlement Instructions | |
| | | 3.3.3 T2S Relocation | |
| | | 3.3.4 Marketable Asset Positions and Movements | |
| | | 3.3.5 Multi-pooling Marketable Assets (Transfer MA) | |
| | 3 / | Collateral and Credit | |
| | J. 4 | 3.4.1 Pool Setup Reference Data | |
| | | 3.4.2 Global Collateral Position Management | |
| | | 3.4.3 Monetary Policy Operations | 378 |
| | | 3.4.4 Global Credit Position Management | |
| | | 3.4.5 Credit Claims | |
| | | 0.7.0 INIGITI-POOLITIS (TRAISIGI) | JUI |



| | | 3.4.7 ELA Operations | .511 |
|---|-----|---|------|
| | | 3.4.10Reporting | |
| | | 3.4.11Setup | |
| | 3.5 | Corporate Actions | .604 |
| | | 3.5.2 CA Positions | |
| | | 3.5.3 CA Instructions | |
| | | 3.5.4 CA Entitlements | |
| | | 3.5.5 CA Movements | |
| | | 3.5.6 CA Message Monitoring | .675 |
| | 3.6 | Support Functionalities | |
| | | 3.6.1 Pool Position | |
| | | 3.6.2 Pool Projection | |
| | | 3.6.3 System Parameters | .807 |
| 4 | Scr | een User Guide | .811 |
| | 4.1 | General | .811 |
| | 4.2 | Reference Data | .811 |
| | | 4.2.1 Party Management | |
| | | 4.2.2 Account Management | |
| | | 4.2.3 Settlement Possibilities Management | |
| | | 4.2.4 Pool Management | |
| | 4.2 | • | |
| | 4.3 | Monetary Policy Operations | |
| | 1 1 | Collateral | |
| | 4.4 | 4.4.1 Marketable Asset Instructions and Positions | |
| | | 4.4.2 Cash Collateral Instructions and Positions | |
| | | 4.4.3 Credit Claims | |
| | | 4.4.4 Triparty | |
| | | 4.4.5 Multi-pooling | |
| | 4.5 | Global Credit and Collateral Position Management | |
| | | 4.5.1 Global Credit Position Management | |
| | | 4.5.2 Global Collateral Position Management | |
| | 4.6 | Custody | |
| | | 4.6.1 Corporate Actions | |
| | 4.7 | Support Functionalities | |
| | | 4.7.1 Pool Position | |
| | | 4.7.2 Pool Projection | |
| | | 4.7.3 System Parameters | .009 |



1 Introduction to the ECMS

This chapter serves as an introduction to the ECMS, which is developed by the Eurosystem as a harmonised and standardised pan-European service with common functionality across different countries and jurisdictions. This chapter is intended as a general description which includes all the main features of the ECMS.

Section ECMS Overview describes the features of the ECMS.

1.1 ECMS Overview

The Eurosystem Collateral Management System (ECMS) is a harmonised and standardised pan-European service with common functionality across different countries and jurisdictions.

The key function of the ECMS is to manage collateral in Eurosystem credit operations and to support the handling of Monetary Policy Operations.

The ECMS scope has been defined in line with the legal framework included in the guideline on the Implementation of the Eurosystem Monetary Policy Framework (General Documentation), the CCBM Agreements (CCBM Main Agreement and CCBM Out Agreement) and the Governing Council decisions that specify the elements and principles of Eurosystem Monetary Policy.

The ECMS functional scope covers the general processing of marketable and non-marketable assets which are considered as eligible, and therefore accepted by the Eurosystem as collateral susceptible of being mobilised. The ECMS also supports the settlement of Monetary Policy Operations (MPOs) including liquidity providing reverse transactions and fixed term deposits. The ECMS also supports the settlement of collateralized monetary policy operations, as well as the handling of intraday credit and marginal lending. The collateral management in the ECMS will apply the valuation methods and risk control measures defined by the Eurosystem.

The collateral pooling system is supported in the ECMS. The core of the ECMS Pool is the credit & collateral position which is fed on one hand via the Eurosystem Credit Operations and on the other hand via posted collateral.

The ECMS design permits a multi-pooling service per Counterparty, i.e. the handling of different dedicated pools of collateral for different purposes or specific types of operations

Regardless of the fact that some collateral such as Emergency Liquidity Assistance (ELA) are held and managed externally, the ECMS provides a mechanism for recording the total amount of credit and collateral provided for each Counterparty.

1.1.1 ECMS Interface

The ECMS Interface handles all incoming and outgoing communications with ESMIG and other services and infrastructures. It manages the use of the appropriate communication and undertakes the relevant technical entry checks. ECMS Actors have to comply with the formats and specifications defined for the ECMS.

In particular, the ECMS Interface is responsible for receiving instructions from different ECMS Actors and transferring those instructions to the relevant functional modules (inbound and outbound communication).

In addition, the ECMS Interface receives information from the relevant ECMS functional modules and structures the data, creates the message, determines the recipients and the associated communication means.

The system can be accessed through:



- User to application mode (U2A): allowing activities performed manually by users via a Graphical User Interface.
- Application to application (A2A): allowing direct communication between software applications via XML messages.

In the ECMS GUI, mandatory fields are signalled, being underlined in red. If mandatory fields are not filled in, data cannot be saved and a warning window pops up.

In this UHB, mandatory fields are marked with an asterisk after the field name. If the asterisk appears between brackets (*), it means the field is mandatory if the dedicated section of the screen it belongs to is populated, but not for the input of the data in the main part of the screen (normally, the General Information section). A field marked with a hash (#), indicates that the respective field is a read-only field, which is prefilled and does not allow data changes. Only input screens, e.g. Create and Edit screens, have fields marked with a hash.

1.1.1.1 U2A Access

Each application is linked one-to-one to a special system privilege (stored in CRDM), e.g. CRDM_Access, CLM_Access, RTGS_Access, TIPS_Access, DMT_Access, ECMS_Access. Several web applications can be opened in parallel, sharing the same Single Sign-On session.

After authentication by ESMIG, the person chooses the logical "user" (linked to the data scope) the person wants to impersonate, selecting it among a set of user-IDs that have been previously linked to the user's DN(s). This selection is done in the ESMIG Portal.

The ESMIG portal allows and guides the person accessing the system to:

- choose the service among the authorised services accessible by at least one user-ID linked to the DN(s) of the user;
- choose the component/application among the authorised components and applications accessible by at least one user-ID linked to the DN(s) of the user;
- choose the user to impersonate when accessing such an application.

After this process, the ESMIG Portal redirects the user to the homepage of the application selected (e.g. CRDM, DMT, TIPS, ECMS, etc).

In order to access the ECMS via U2A, first the user needs to insert the smartcard or USB token (or the remote Hardware Security Module is used) containing the certificate for accessing ESMIG. The pincode associated with the token needs to be entered by the user.

The user needs to store the ESMIG-ECMS digital certificates on his/her PC, and then import them on to the PC. See below an example of 5 ESMIG-ECMS digital certificates on the PC.

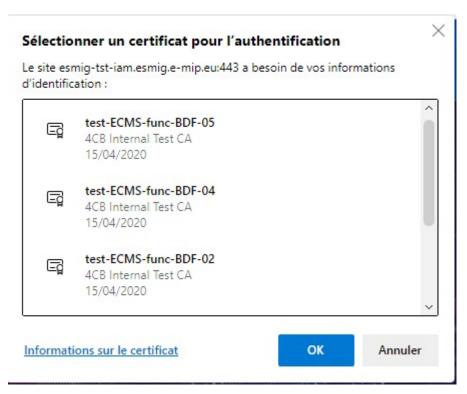
| test-ECMS-func-BDF-01 | 10/06/2020 15:07 | Échange d'inform | 5 Ko |
|-----------------------|------------------|------------------|------|
| test-ECMS-func-BDF-02 | 10/06/2020 15:07 | Échange d'inform | 5 Ko |
| test-ECMS-func-BDF-03 | 10/06/2020 15:07 | Échange d'inform | 5 Ko |
| | 10/06/2020 15:07 | Échange d'inform | 5 Ko |
| test-ECMS-func-BDF-05 | 10/06/2020 15:07 | Échange d'inform | 5 Ko |

Note: Screenshots are taken from real users based on their PC language settings (French in this case).

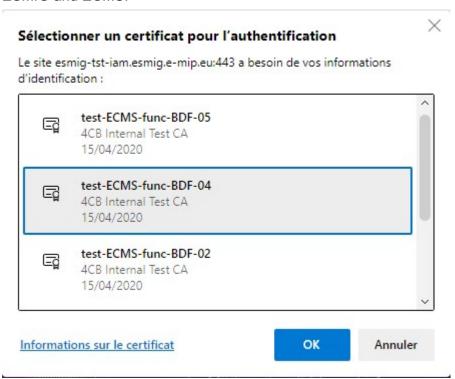
Then the user can access the URL for the ESMIG portal, via the ECMS supported webbrowser. The ESMIG portal is the initial page (landing page) that ensures proper routing to the web applications according to the user's access rights profile.

The imported ESMIG-ECMS digital certificates are then displayed.



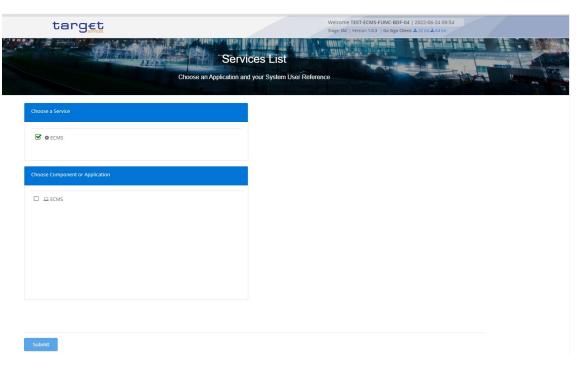


The user is prompted to select the ESMIG-ECMS digital certificate to connect to ESMIG and ECMS.

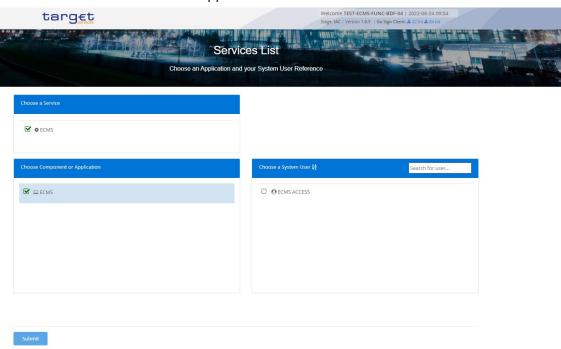


If the user is not authenticated by ESMIG, the user is redirected to the IAM page to authenticate the access validating the user's distinguished name (DN). After entering the ESMIG portal, the user can select a Service and then one application to be opened using a specific System User. In this case, the user selects "ECMS" Service. Note that the user only has access to the ECMS.



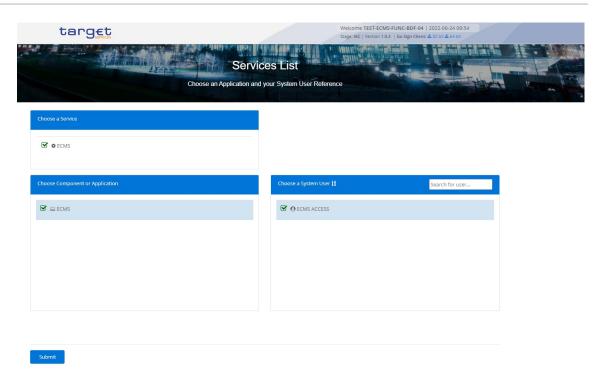


Then the user selects "ECMS" Application.



And then the user selects "ECMS Access" System User.

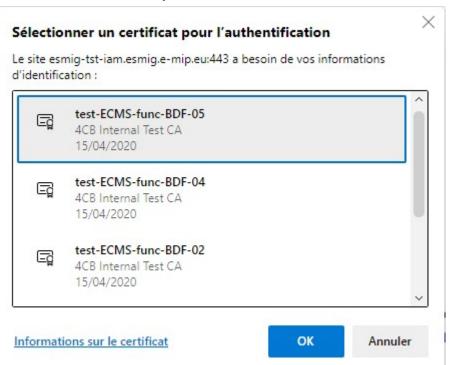




For more details, see the TARGET Services Connectivity Guide.

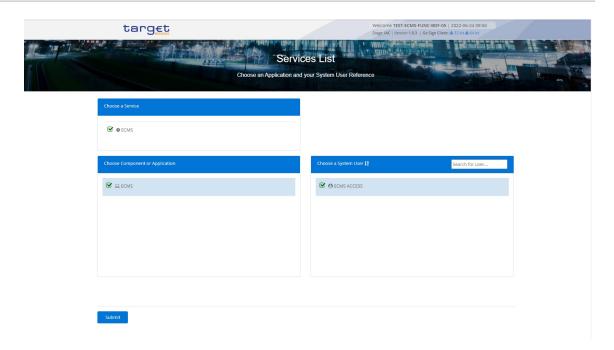
1.1.1.1.1 Counterparty User Access

For the connection to the ECMS GUI landing page (and the Counterparty user can access the menu corresponding to the Counterparty user's roles), in this case the digital certificate "TEST-ECMS-FUNC-BDF-05" is selected, , as well as information on the selected environment, the system date and time.



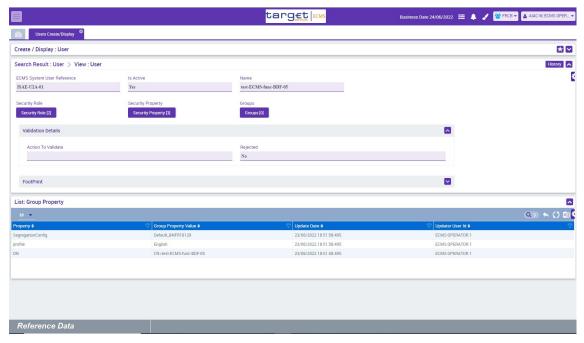
The following is the ESMIG page for the user who has selected the digital certificate for a Counterparty user. The selected digital certificate "TEST-ECMS-FUNC-BDF-05" is displayed in the title of the ESMIG page.





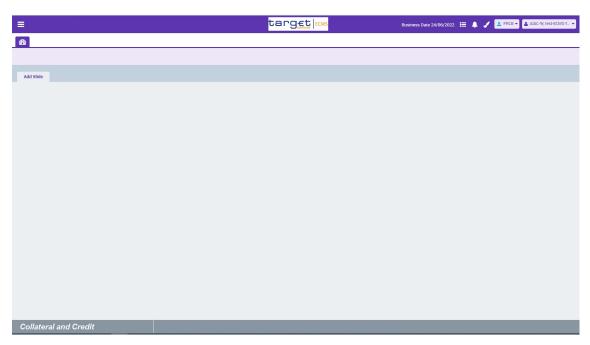
In this case, the Counterparty user only has access to the ECMS TARGET Service and has only one System User associated with the digital certificate. The reference data configuration is as follows: there is one 1 Counterparty user "ISAE-U2A-01" configured with the DN certificate: "TEST-ECMS-FUNC-BDF-05".

Reference data for User ISAE-U2A-01:



After submitting the request to access the ECMS, the Counterparty user is directed by default to the ECMS Collateral and Credit module.





From the ECMS Collateral and Credit module, the Counterparty user has access to the different functionnalities on the Collateral and Credit module and can also access the other ECMS modules shown under the menu heading ECMS Core.

1.1.2 ECMS Reference Data Management

The aim of the ECMS Reference Data domain is to store and manage all relevant data for the system. The ECMS Reference Data are maintained through the ECMS itself.

The reference data management feature provided by the ECMS allows the relevant ECMS Actors to create and maintain reference data in the ECMS for the configuration of data related to parties, internal accounts (ECMS Asset Accounts), external accounts (T2S Securities Accounts, T2S Dedicated Cash Accounts, CLM Main Cash Accounts and Non –euro Cash Accounts), ECMS Pool and other reference data.

The following list shows the main configuration areas for reference data in the ECMS and the sections where the screens are detailed:

- Parties reference data (see sections 3.2.1 Parties Reference Data for the screens and 4.2.1 Party Management for the user guide);
- Accounts reference data (internal and external accounts) (see sections 3.2.2 Accounts Reference Datafor the screens and 4.2.2 Account Management for the user guide;
- Pool reference data:
- Marketable assets reference data;
- Access rights management;
- Message subscription configuration;
- Settlement possibilities reference data:
- Credit Claims management;
- Other reference data.

ECMS Actors set up the appropriate configuration by creating and maintaining reference data objects in the ECMS. A reference data object is a set of logically related, self-consistent information. Parties, Accounts and Pool are examples of reference data objects.



Reference data management allows ECMS Actors to create, update and delete reference data objects in the ECMS in U2A and A2A modes. It also allows ECMS Actors to read reference data objects in U2A mode.

The ECMS allows all reference data maintenance types on all reference data objects in U2A mode, whereas it allows them only on a sub-set of reference data objects in A2A mode on a limited number reference data objects (see ECMS UDFS).

Reference data management provides versioning facilities and validity periods allowing the implementation of data revision and data history features, in order to keep track of all past data changes, to enter changes meant to become effective as of a certain date and to define reference data objects with limited or unlimited validity.

The ECMS Operator and National Central Banks (NCB) have access to reference data management, each of them to different functions and data, according to the access rights granted to their users.

Duly authorised users can create and maintain reference data objects in the ECMS submitting reference data maintenance instructions.

Reference data management is available throughout the operational day, with the exception of the maintenance window.

1.1.3 Credit and Collateral Position

The ECMS uses collateral pool, which is a collateralisation method to enable a Counterparty to make collateral available without allocating it to a specific transaction.

The core of the ECMS Pool is the Global Credit & Collateral position which is fed on the one hand via the Eurosystem Credit Operations and on the other hand via the posted collateral. Earmarking is not supported in the ECMS. The collateral is reflected in the collateral position of the ECMS Pool whereas the covered credit operations are reflected in the credit position of the ECMS Pool.

The configuration of the ECMS Pool will reflect the type of collateral that will be taken into account for the total collateral value and the credit operation types that the total credit value takes into consideration. Therefore, the total Collateral Position of the ECMS Pool will be the sum of all the individual collateral positions configured for that pool.

Three types of credit operations are considered in the credit position of an ECMS Pool:

- Monetary Policy Operations, which include:
- Open Market Operations (OMO) for liquidity providing transactions and
- Marginal Lending Facilities.
- Different types of Credit Freezing.
- Credit Line for intraday credit on a CLM Main Cash Account.

The configuration of the credit positions of an ECMS Pool enables the Counterparty to access a certain type of credit operations via one of its pools, such credit position must be covered by the collateral positions of the ECMS Pool. The credit positions of an ECMS pool also reflects FTD not used as collateral for information only.

1.1.4 Operational day

The Operational day of the ECMS is defined by the ECMS Calendar and by the ECMS Scheduler.

The ECMS Calendar defines the system's opening and closing days.



The ECMS Scheduler is defined as a series of events. An event can correspond to a process that is triggered at a specified time or following the completion of a set of prior events. An event can also be a cut off time for processing instructions with the same value date.



2 Overview of the User Handbook

The ECMS User Handbook, hereinafter called UHB, aims at facilitating the use of the Graphical User Interface (GUI) of the ECMS. The GUI component includes all the necessary elements to provide the authorised users with the possibility to query, manage and amend reference and transactional data, according to their roles and privileges. The UHB provides detailed reference information on all GUI screens (3 Screen Reference Guide- and step-by-step user actions for typical workflows (4 Screen User Guide).

2.1 UHB Methodology

Several symbols and methodological elements are used throughout the ECMS UHB to ease orientation and help the reader to find the desired information quickly. Every page of the main UHB parts has a similar page layout. The reader can find four different elements:

- The header, which shows the chapter and sub-chapter title;
- The margin column on the left side of each page, which is used for subheadings and information signs;
- The text column, which contains the main information, tables and screenshots;
- The footer, which shows the page number.

2.1.1 Information Signs

| Name | Icon | Description |
|--------------|------|--|
| Notice sign | | Notice signs are used to highlight useful information. |
| | | Read its content to find out about hints, action alternatives or other details helping you to improve your usage of the ECMS GUI. |
| Example sign | | Example signs are used to highlight examples, which illustrate the corresponding text, especially when a verbal description is difficult or too extensive. |

2.1.2 Tables

Tables are used to present information in a clearly arranged format. They consist of a table header and a table body. The body is divided into a left and a right column. The left column contains keywords, for example field names, which are explained in the right column.

Subsections within a table are preceded by a heading. The order of the description follows the appearance on the screen from left to right and from top to bottom.

2.1.3 Type set

Regular text in the UHB is written in Arial font with a size of 11pt. Screen and button names are written in italic letters, GUI paths use the Courier New font. Field names and field values are put in quotation marks if they appear in a context other than their dedicated description.

| Element | Format | Example |
|---------|--------|---------|
|---------|--------|---------|



| Screen Name | Arial font size 11pt. Italic letters | Data changes – search/list screen |
|-------------------------------|--------------------------------------|-----------------------------------|
| Button Name | Arial font size 11pt. Italic letters | New |
| GUI path | Courier New font size 11pt. | Reference Data >> ECMS Parties |
| Field name or value quotation | | 'Activation Date', 'Active' |

2.1.4 Action Steps

Business scenarios are divided into single action steps. These action steps are numbered sequentially. Intermediate results are described where appropriate and marked with an indented arrow. Each business scenario ends with a final result, indicated by an arrow.



2.1.5 Screenshots

Screenshots are used to illustrate the corresponding text. Note that there might be minor deviations between the screenshot and your screen appearance, according to your access rights or a specific selection you have made.

2.2 Overview of the Graphical User Interface

The GUI is a browser-based application for communication with the ECMS in U2A mode. It is based on the ISO nom 9241 "Ergonomics of human system interaction".

The ECMS provides a Graphical User Interface offering basic functionalities to access information and controls (e.g. U2A queries, reference data maintenance).

2.2.1 Sitemap

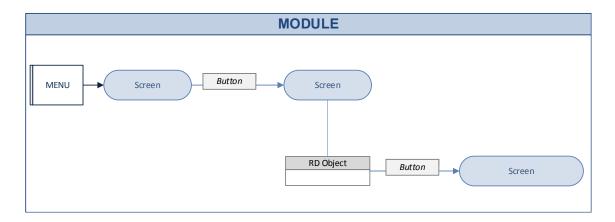
This section provides you with formalised illustration of screens and their related actions. The illustration helps you to get an overview of all GUI screens and their interrelation, indicated by the arrows.

The header indicates the GUI menu item pictured by the sitemap. The single GUI screens are pictured following their business logic, starting with search/list screens, following with details or enter.

The following figure explains the structure and description of each object:

Figure 1 - Example of the sitemap





2.2.2 Setup and login process

Before entering the GUI, make sure that your workstation complies with the supported Web-Browsers described below.

Such requirements/preparations may be subject to periodical review/update to comply with changing technical/regulatory scenario.

2.2.2.1 Hardware Requirements

The following PC requirements are needed for a trouble-free working environment:

- Processor: Minimum of one Gigahertz (GHz), supporting streaming SIMD extensions (SSE2)
- RAM: Minimum of 8 Gigabyte (GB)
- CPU: Minimum of 4 cores
- Hard disc space: Minimum of 200 Megabyte (MB)
- Graphics Adapter: Support of Microsoft DirectX 9 graphics device with Windows display driver model (WDDM)
- Screen Settings: Minimum screen resolution of 1280*720 pixels at a colour depth of min. 24-bit true colour. A higher colour depth of 32-bit is supported. Higher resolutions are recommended; using lower screen resolutions can result in an inconvenient display of the GUI.

2.2.2.2 Software Requirements

No specific operating system (OS) or other important software is required. In general, every OS is possible that supports the designated web-browsers.

2.2.2.3 Supported Web-Browsers

The following web-browsers are supported:

- Microsoft Internet Explorer (11)
- Microsoft Edge
- Google Chrome (40+)
- Firefox (32+).

Java script and java applets are used for validations on the client side therefore 'JavaS-cript' and 'Cookies' have to be set to 'enabled'. No additional plug-in based internet applications such as flash or silverlight are necessary. The recommended cache size is one to two MB.



The complete definition of the qualified browsers' set and their related versions and the full replacement of the applet technology are defined in the context of ESMIG, see ESMIG UDFS document.

2.2.2.4 GUI Access

Users are directed to an initial page named ESMIG portal that allows the user to login to ESMIG. After the successful ESMIG login, a landing page is displayed offering all TARGET services, including the ECMS, according to the access rights of the user. Then the user chooses to connect to the ECMS GUI.

2.2.2.5 Firewall Settings

The firewall settings provided by the VAN Network Service Providers are described in their respective user documentation.

Access to the ECMS GUI uses the Transport Layer Security (TLS) protocol.

2.2.2.6 Authentication

Authentication takes place on the ESMIG portail login screen provided by the VAN Network Service Providers. On this login screen you are requested to authenticate yourself via the certificate used together with your password. Both pieces of information (choosing a certificate and typing in a password) are only required once at the beginning of every session and the authentication remains active for the entire session. After this process, the ESMIG Portal redirects the user to the homepage of the ECMS, if selected by the user.

2.2.2.7 System User Reference

After successful login to the ESMIG, you can choose the one of the ECMS system user reference on the welcome screen according to the following principles:

- You can select only one of the system users related to your certificate;
- You cannot choose an ECMS system user that is already locked or inactive.

2.2.2.8 User Administration

Prior to the first GUI access, for each Central Bank a system administrator has to be created. The respective system administrator creates the users which can subsequently access the GUI. Only registered users have access to the ECMS GUI.

The system administrator can only assign predefined sets of access rights and roles to its users, single privileges cannot be assigned.

2.2.3 GUI Structure

This chapter explains the basic elements of the ECMS GUI structure (i.e. structure of the module, menu and the screens) helping you to navigate through the system and to use it quickly and efficiently.

The first subsection describes the module and menu structure where screens are grouped hierarchically. Then, the second subsection explains the layout structure common to all screens. The following subsections provide details on the different screen types and on recurring elements, such as common field types or buttons and icons.



2.2.3.1 Module and Menu Structure

The GUI is structured into different modules and each module is structured into three hierarchical levels. The first level is presented as a menu bar containing the first-level items:

| Module | First-Level |
|-----------------------|--|
| Reference Data | Parties Reference Data |
| | Accounts Reference Data |
| | Settlement Possibilities Reference Data |
| | Eligible CSD Link |
| | Marketable Assets Reference Data |
| | Banking Group Manager |
| | Counterparty Blocking Setup |
| | Counterparty-ISIN Close Links |
| | Internal Asset Account – External Cash Account Links |
| | External Asset Account – External Cash Account Links |
| | Monitor Marketable Asset Price |
| | Other ECMS Reference Data |
| | Reports Reference Data |
| Instructions and Po- | Counterparty Marketable Asset Instructions |
| sitions | NCBs Marketable Asset Instructions |
| | FCBs Marketable Asset Instructions |
| | Marketable Asset Settlement Instructions |
| | Client Marketable Asset Position by Position Type |
| | Client Marketable Asset Movement |
| | Market Marketable Asset Position by Position Type |
| | Market Marketable Asset Movement |
| Collateral and Credit | Pool Setup Reference Data |
| | Global Collateral Position Management |
| | Monetary Policy Operations |
| | Global Credit Position Management |
| | Credit Claims |
| | Multi-Pooling |
| | ELA Operations |
| | Payments |
| | Triparty |
| | Cash as Collateral |
| Corporate Actions | CA Events Reference Data |
| | CA Announcements |
| | CA Positions |
| | CA Instructions |
| | CA Entitlements |
| | CA Movements |
| | CA Cash Payments |
| | CA Message Monitoring |



The second and third level items are accessible via mouse-over on the first and second level items respectively. All entries on the second menu level are GUI menus and all entries on the third level are screens.



ECMS Menu levels

| Number | Description |
|--------|-------------|
| 1 | Level 1 |
| 2 | Level 2 |
| 3 | Level 3 |

For ease of use, some screens are accessible via different paths according to your business preferences.



Example

The Parties - History screen can be accessed by the following two paths:

- Reference Data >> Parties Reference Data >> Parties Create/Display >> Click on the search button (after inputting the relevant Reference Data, if needed) >> Select a Party >> Click on the View button (Parties -Details Screen >> Click on the History Button
- Reference Data >> Parties Reference Data >> Parties Create/Display >> Click on the search button (after inputting the relevant Reference Data, if needed) >> Select a Party >> Click on the History button

2.2.3.2 Module and Menu Structure Counterparties

The GUI is structured into different modules and each module is structured into three hierarchical levels. The first level is presented as a menu bar containing the first-level items:

| Module | First-Level |
|----------------------|--|
| Reference Data | Parties Reference Data |
| | Accounts Reference Data |
| | Settlement Possibilities Reference Data |
| | Eligible CSD Link |
| | Banking Group Manager |
| | Counterparty-ISIN Close Links |
| | Internal Asset Account – External Cash Account Links |
| | External Asset Account – External Cash Account Links |
| | Other ECMS Reference Data |
| | Reports Reference Data |
| Instructions and Po- | Counterparty Marketable Asset Instructions |
| sitions | NCBs Marketable Asset Instructions |
| | Marketable Asset Settlement Instructions |



| | Client Marketable Asset Position by Position Type | |
|-----------------------|---|--|
| | Client Marketable Asset Movement | |
| | Market Marketable Asset Position by Position Type | |
| | Market Marketable Asset Movement | |
| Collateral and Credit | Pool Setup Reference Data | |
| | Global Collateral Position Management | |
| | Monetary Policy Operations | |
| | Global Credit Position Management | |
| | Credit Claims | |
| | Multi-Pooling | |
| | ELA Operations | |
| | Payments | |
| | Triparty | |
| | Cash as Collateral | |
| Corporate Actions | CA Events Reference Data | |
| | CA Announcements | |
| | CA Positions | |
| | CA Instructions | |
| | CA Entitlements | |
| | CA Movements | |
| | CA Cash Payments | |
| | CA Message Monitoring | |

The second and third level items are accessible via mouse-over on the first and second level items respectively. All entries on the second menu level are GUI menus and all entries on the third level are screens.



ECMS Menu levels

| Number | Description |
|--------|-------------|
| 1 | Level 1 |
| 2 | Level 2 |
| 3 | Level 3 |

For ease of use, some screens are accessible via different paths according to your business preferences.



Example

The Parties - History screen can be accessed by the following two paths:

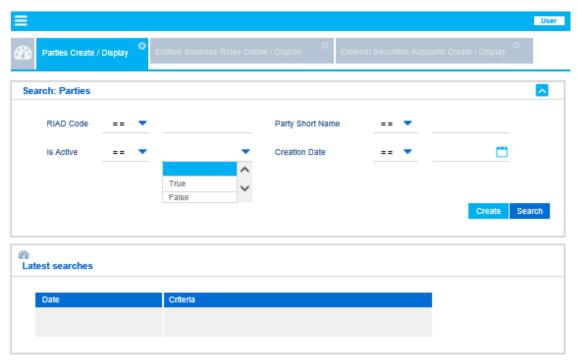


- Reference Data >> Parties Reference Data >> Parties Create/Display >> Click on the search button (after inputting the relevant Reference Data, if needed) >> Select a Party >> Click on the View button (Parties -Details Screen >> Click on the History Button
- Reference Data >> Parties Reference Data >> Parties Create/Display >> Click on the search button (after inputting the relevant Reference Data, if needed) >> Select a Party >> Click on the History button

2.2.3.3 Screen Structure

In general, each screen of the ECMS GUI follows the same layout containing a header (section 2.3.3.2.1 Header) and a content area (section 2.3.3.2.2. Content areas).

Figure 2 - Screen Structure

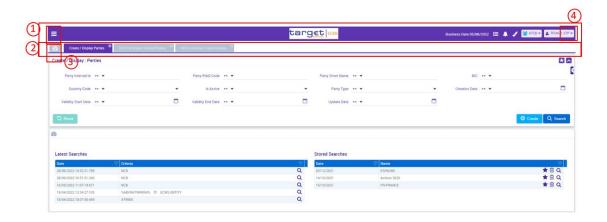


It is possible for a user to have up to a maximum of 10 tabs (screens) open simultaneously.

2.2.3.3.1 Header

The header appears at the top of every screen and it is flexible as it is adapted to the navigation path chosen by the user, thus it facilitates coming back to the menus visited during the session.





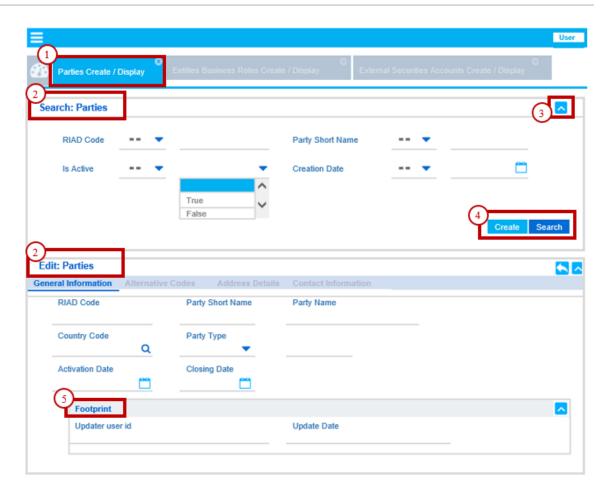
| Number | Element | Description |
|--------|------------|--|
| 1 | Menu Icon | It displays the menu levels. |
| 2 | Home Icon | It displays the white page where the user will only see the menu Icon. |
| 3 | Screen Bar | It presents every menu option chosen by the user as a Screen Tab, only 10 screen tabs at once are allowed. |
| | | It shows the environment, the tenant, the business date, the alerts and your login name. |
| | | When clicking on the login name button, some information related to the user is displayed. |

2.2.3.3.2 Content Areas

The content area is the part of the GUI where the user can trigger all business actions. It is organised by six main elements which help to interact properly with the GUI as shown in the illustration below.

Figure 3 - Content area elements





| Position | Element | Description |
|----------|--------------------|--|
| 1 | Menu Name | It shows the name of the menu in which the user is currently placed. |
| 2 | Screen Name | It shows the name of the screen. |
| 3 | Minimize Icon | It minimizes the screen. |
| 4 | Button bar | It shows the available buttons for the current screen. |
| 5 | Subsection Name | It shows the name of the subsection |

2.2.3.4 Screen types

The ECMS GUI consists of the following types of screens, each with a different function:

- Welcome screen: The welcome screen is the entrance into the ECMS GUI.
- Search screen: The search screen allows the user to query the ECMS data using a predefined set of search criteria. Searches are case-sensitive.
- Historical depth for "latest searches" is 5.
- Selection screen: The selection screen allows the user to look for a specific value to inform in a field and select it. It is shown when you click on the magnifier icon and the fields shown in the screen varies depending on the information that applies for the field where the magnifier icon is.



- List screen: The list screen allows the user to query the ECMS data by inserting search criteria. After executing a search, a list of data records matching the search criteria is displayed in a table. It is also possible not to enter any search criteria, in this case no record will be excluded from the results. The user can sort the search result by clicking on the description of any column displayed in the list screen.
- Maximum size results recovered by the application is 10.000 records.
- User can configure the number of records to be listed (10, 15, 20, 25, 100 and 150).
- Details screen: The user can only access the details screens via the list screen.
 The user can find all possible ways of accessing the screen via other screens in the respective screen description within the screen reference part.
- Create / Edit screen: The create / edit screens allow the user to enter data in new or edit mode respectively. In general, both modes contain the same fields. In the case of the new mode, all fields are blank. In the case of the edit mode, existing data are prefilled in the fields.
- History screen: This screen displays historical information that has changed on the selected record. It allows the user to check the information that have been updated since the creation of the record.

You can find all possible ways of accessing the screen directly in the respective screen description within chapter 3 Screen Reference Guide.

2.2.3.5 Field types

On search and create / edit screens, users can enter information via input fields and select fields.

- Input fields: In input fields the user can enter text and/or numeric content. The format requirements, which are part of each field/screen description, shall be fulfilled.
- Select fields: Select fields are either select boxes, radio buttons or check boxes.
- Select boxes: Functionally a select box is a way to enter data from a limited list of possible values. You can select only one value at a time.

Figure 4 - Select box



 Radio buttons: Enable you to make exact selections using one value from a set of options. You can select only one value at the same time. Click on the icon corresponding to the option you would like to select.

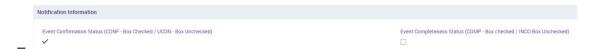
Figure 5 - Radio button

Intraday Credit Facility

Yes No

 Check boxes: Enable you to select more than one value at the same time. Click on the boxes corresponding to the options you would like to select. Selected check boxes contain a check mark.





In the ECMS GUI, mandatory fields are signaled, being underlined in red. If mandatory fields are not filled in, data cannot be saved and a warning window pops up.

In this UHB, mandatory fields are marked with an asterisk after the field name. If the asterisk appears between brackets (*), it means the field is mandatory if the dedicated section of the screen it belongs to is populated, but not for the input of the data in the main part of the screen (normally, the General Information section). A field marked with a hash (#), indicates that the respective field is a read-only field, which is prefilled and does not allow data changes. Only input screens, e.g. Create and Edit screens, have fields marked with a hash.

Input and select fields without an asterisk are always optional.

For screens that allow the input of data, the button "Reset" is available for the user to clean up the entire form and re-start the editing process. In this case, a pop up screen will be displayed for the user to confirm or not the cleaning of data. Click on the Button "Yes" to confirm or "No" to cancel.

Field Properties:

The ECMS fully supports UTF-8 Character Set. The character set is restricted for references and identifiers to support the Latin characters which are commonly used in international communication.

- The complete list is as follows:

| Character | Description |
|-----------|---|
| a-z | 26 small characters of the Latin alphabet |
| A-Z | 26 capital characters of the Latin alphabet |
| 0-9 | 10 numeric characters |
| - | Hyphen |
| : | Colon |
| (| Opening Parenthesis |
|) | Closing Parenthesis |
| | Full Stop |
| , | Comma |
| ſ | Apostrophe |
| | Space (blank) |

2.2.3.6 Common Icons and Buttons

While working with the ECMS GUI you will find that some buttons and icons appear regularly.

The buttons contained in the button bar are variable and therefore explained in the screen descriptions. The icons are described in the table below.

| Icon | Description |
|------|---|
| | This icon enables you to go to the previous screen, saving (if any) changed data. |
| ^ | This icon enables you to minimize the screen. |
| ~ | This icon enables you to maximize the screen. |



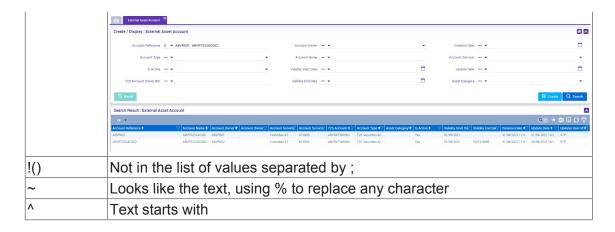
| This icon shows the number of records displayed in the list. Maximum size results recovered by the application is 10.000 records. This icon enables you to export the results to an Excel file. This icon enables you to export the results in different formats (pdf, csv and xml) This icon enables you to filter the results. This icon enables you to delete the record selected. This icon enables you to save the current search. When you click on the Star Icon in Search Screen you have the possibility of saving current search or to select a previous saved search. When you click on the Star Icon in List Screen you have the possibility of saving current search or to select a previous saved search. This icon enables you to refresh the current search. This icon enables you to save the reason to deactivate the Reference Data element This icon enables you to select a date from a calendar. This icon enables you to select a date from a calendar. | | |
|--|-----------|--|
| Maximum size results recovered by the application is 10.000 records. This icon enables you to export the results to an Excel file. This icon enables you to export the results in different formats (pdf, csv and xml) This icon enables you to filter the results. This icon enables you to delete the record selected. This icon enables you to save the current search. When you click on the Star Icon in Search Screen you have the possibility of saving current search or to select a previous saved search. When you click on the Star Icon in List Screen you have the possibility of saving current search or to select a previous saved search. This icon enables you to refresh the current search. This icon enables you to save the reason to deactivate the Reference Data element This icon enables you to select a date from a calendar. | 0.7 | This icon shows the number of records displayed in the list. |
| This icon enables you to export the results in different formats (pdf, csv and xml) This icon enables you to filter the results. This icon enables you to delete the record selected. This icon enables you to save the current search. When you click on the Star Icon in Search Screen you have the possibility of saving current search or to select a previous saved search. When you click on the Star Icon in List Screen you have the possibility of saving current search or to select a previous saved search. This icon enables you to refresh the current search. This icon enables you to save the reason to deactivate the Reference Data element This icon enables you to edit the selected record This icon enables you to select a date from a calendar. | | Maximum size results recovered by the application is 10.000 records. |
| This icon enables you to filter the results. This icon enables you to delete the record selected. This icon enables you to save the current search. When you click on the Star Icon in Search Screen you have the possibility of saving current search or to select a previous saved search. When you click on the Star Icon in List Screen you have the possibility of saving current search or to select a previous saved search. This icon enables you to refresh the current search. This icon enables you to save the reason to deactivate the Reference Data element This icon enables you to edit the selected record This icon enables you to select a date from a calendar. | × | This icon enables you to export the results to an Excel file. |
| This icon enables you to save the current search. When you click on the Star Icon in Search Screen you have the possibility of saving current search or to select a previous saved search. When you click on the Star Icon in List Screen you have the possibility of saving current search or to select a previous saved search. This icon enables you to refresh the current search. This icon enables you to save the reason to deactivate the Reference Data element This icon enables you to edit the selected record This icon enables you to select a date from a calendar. | | · |
| This icon enables you to save the current search. When you click on the Star Icon in Search Screen you have the possibility of saving current search or to select a previous saved search. When you click on the Star Icon in List Screen you have the possibility of saving current search or to select a previous saved search. This icon enables you to refresh the current search. This icon enables you to save the reason to deactivate the Reference Data element This icon enables you to edit the selected record This icon enables you to select a date from a calendar. | 8 | This icon enables you to filter the results. |
| When you click on the Star Icon in Search Screen you have the possibility of saving current search or to select a previous saved search. When you click on the Star Icon in List Screen you have the possibility of saving current search or to select a previous saved search. This icon enables you to refresh the current search. This icon enables you to save the reason to deactivate the Reference Data element This icon enables you to edit the selected record This icon enables you to select a date from a calendar. | 8 | This icon enables you to delete the record selected. |
| ity of saving current search or to select a previous saved search. When you click on the Star Icon in List Screen you have the possibility of saving current search or to select a previous saved search. This icon enables you to refresh the current search. This icon enables you to save the reason to deactivate the Reference Data element This icon enables you to edit the selected record This icon enables you to select a date from a calendar. | * | This icon enables you to save the current search. |
| saving current search or to select a previous saved search. This icon enables you to refresh the current search. This icon enables you to save the reason to deactivate the Reference Data element This icon enables you to edit the selected record This icon enables you to select a date from a calendar. | | |
| This icon enables you to save the reason to deactivate the Reference Data element This icon enables you to edit the selected record This icon enables you to select a date from a calendar. | | |
| This icon enables you to edit the selected record This icon enables you to select a date from a calendar. | 45 | This icon enables you to refresh the current search. |
| This icon enables you to select a date from a calendar. | | |
| | | This icon enables you to edit the selected record |
| This icon enables you to search for data from a selection screen | | This icon enables you to select a date from a calendar. |
| | Q | This icon enables you to search for data from a selection screen |

2.2.3.7 Search screen operators

While working with the ECMS GUI display screen you will find, depending on the fields, the following search operators.

| Operator | Description |
|----------|-------------------------------------|
| == | Equal to |
| != | Different from |
| " | Field is null (empty) |
| !" | Field is not null (not empty) |
| > | Superior to |
| < | Inferior to |
| >= | Superior or equal to |
| <= | Inferior or equal to |
| | Between two values e.g. [1000;2000] |
| () | In a list of values separated by ; |





2.2.4 Validation

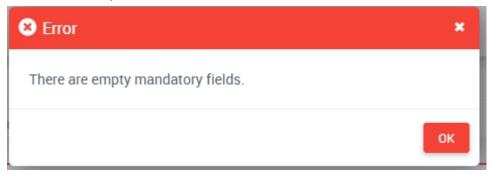
2.2.4.1 Front-end Validation

For the first part of the validation process, the front-end validation takes place without communication to the back-end. The front-end validation includes both the field validation and the cross-field validation. It is carried out after clicking on a button.

The field validation verifies that all entries comply with the required format.

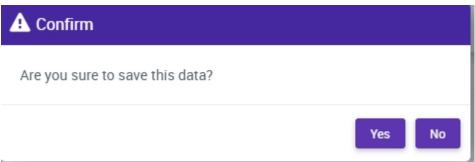
The cross-field validation checks the data consistency between two or more fields/buttons in relation to each other.

This is an example of an unsuccessful validation in the Front-End:



2.2.4.2 Confirmation Prompt

In the case of business actions in 2-eyes mode, a confirmation prompt is shown after successful front-end validation to give you the opportunity to submit or reject the business action. This confirmation prompt does not appear in 4-eyes mode.

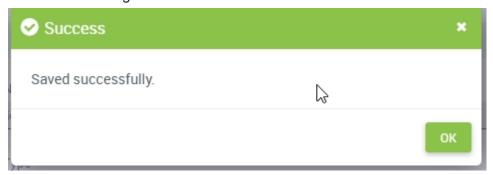




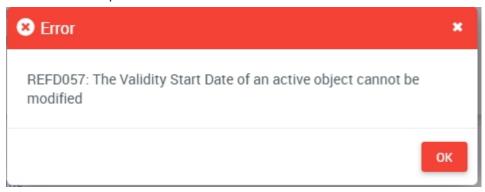
2.2.4.3 Back-end Validation

The back-end validation is the second part of the validation process. After successful front-end validation, your request is submitted to the back-end and checked for compliance with the business validation rules. In case of failure an error message is displayed.

This is the message received for a successful validation from the Back-End:



This is an example of an unsuccessful validation from the Back-End:



2.2.4.4 Result

After each validation, the ECMS GUI informs you about the result. There are two different message types available, the error message and the success message.

2.2.4.5 Four-Eyes Mode

Depending on the access rights setup, you can use the ECMS in 2-eyes (Super Validator role) or in 4-eyes (Validator role) mode. The 2-eyes mode and the 4-eyes mode apply for enter screens (new and edit mode) and for any kind of deletion processes. If you are a 4-eyes mode user, your actions have to be confirmed by a second user in order to be processed.

First User

In 4-eyes mode the first user enters, changes or deletes the data on a screen and afterwards submits the action by clicking on the submit button in the button bar. The success message appearing after successful validation includes a 4-eyes principle. For the final execution a second user is needed to confirm the action.

Second User



After the first user has entered, changed or deleted the data, a second user (with the required privilege) has to approve or revoke this action via the relevant screen either using the 4-eyes mode or the search functionality. As soon as the data changes are positively approved, the ECMS marks these data as approved and they are forwarded to further processing.

2.2.4.6 Digital signature-NRO

In order to ensure non-repudiation of origin (NRO) for critical transactions, the use of a digital signature has been implemented for specified screens. This means that the user will be asked to enter a PIN code for signature purposes whenever an instruction is initiated. With the entry of the PIN, the ECMS attaches a digital signature to the instruction entered by the ECMS actor.

The ECMS users will have to install the Ascertia Go>Sign Desktop client on their workstation in order to be able to use ECMS via U2A for the ECMS screens subject to a digital signature. Ascertia is the unique U2A NRO solution for TARGET services. Only one version of the Go>Sign Desktop client will thus be used and distributed across the different TARGET services.

2.2.5 Communication Network and Services

Refer to the Common TARGET Services Connectivity Guide and the Connectivity Guide specified in the Eurosystem Single Market Infrastructure Gateway (ESMIG) UDFS document for details on the communication network and services.

2.2.6 Security and Administration Service

In order to guarantee a secure and safe handling of the information and to protect customer data provided via the ECMS GUI, various security elements have been put into place:

Each action requires system or human validation as described in the validation chapter.

The scope of available data and functions is controlled via the management of access rights.

The security features provided by the VAN Network Service Providers and described in their respective user documentation prevent unauthorised access to the ECMS GUI.



3 Screen Reference Guide

3.1 General

3.2 Reference Data

3.2.1 Parties Reference Data

Parties that interact with the ECMS application either directly or indirectly (i.e. through an Instructing Party) are generally known as ECMS Parties.

Legal relationships between parties in the ECMS determine a hierarchical Party model based on a three-level structure. The ECMS Operator is the only Party on the top level of the hierarchy and it is responsible for the setup of each Party of the second level, i.e. each NCB in the ECMS. Similarly, each Party belonging to the second level (i.e. a NCB) is responsible for the setup of all entities of its community represented by parties of the third level.

The possibility for users of each ECMS Actor to access their respective functions and fulfil their roles and responsibilities is enabled by setting up an adequate access rights configuration.

National Central Banks

NCBs are responsible for setting up and maintaining reference data in the ECMS for all its ECMS Parties belonging to their community. NCBs are responsible for monitoring the operations related to their ECMS Entities and any other operational task related to the collateral management, and they can act on behalf of one of their entities in case of need. Each NCB is in charge of maintaining the business and legal relationship with its entities. An NCB cannot access data related to another NCB or to the Counterparties of that NCB.

Non-euro area Central Banks

NCB outside the Eurosystem that participated in the CCBM out agreement.

Entities

The function of an **ECMS** Entity depends on its business roles. Each ECMS Entity may play different role in the ECMS depending on the need. The following table lists the defined business roles in the ECMS.

| ECMS Entity Roles | Business Roles description |
|----------------------|--|
| Counterparty | Counterparty using the ECMS to mobilise collateral and/or to participate on open market operations (e.g. obtain credit from their respective NCB) or only accessing intraday credit. |
| CSD | Central Securities Depository participating in T2S used as custodian or depository only by an NCB and Counterparties for marketable asset collateral. |
| TPA | Eligible Triparty Agent that provides triparty collateral management services. |
| Cash correspondent | Cash correspondent used for the settlement of non-euro payment. |



3.2.1.1 Parties – Create / Display

3.2.1.1.1 Parties – Search Screen

| Context of Usage | This screen contains a number of search fields and shows the latest and stored searches. By inputting the relevant data, you can search for your own NCB and Counterparties, as well as all the CSDs, TPAs and Noneuro area CBs. | | | | | |
|------------------|---|--|--|--|--|--|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. | | | | | |
| Screen Access | Depending how the screen is accessed, it can be used to search the valid information of the Parties or the information that requires 4 eyes validation before they can be considered valid in the system. | | | | | |
| | For valid information: | | | | | |
| | Reference Data >> Parties Reference Data >> Parties Create/Display | | | | | |
| | For information subject to 4 eyes validation: | | | | | |
| | Reference Data>> Validation / Rejection>>Parties Reference Data>>Validate/Reject Parties | | | | | |
| Screenshot | Create / Display : Parries | | | | | |
| | Party Internal Id •• • Party RAD Code •• • Party Short Name •• • BIC •• • | | | | | |
| | Country Code • • • Is Active • • Party Type • • • Creation Date • • • D | | | | | |
| | ☐ Direct ☐ Contain ☐ Cont | | | | | |

| Parties - Search | Parties – Search screen | | | | |
|-------------------|--|--|--|--|--|
| Field | Description | | | | |
| Party Internal Id | Enter the Internal unique identifier of the Party automatically assigned by the system | | | | |
| Party RIAD Code | Enter/Select the RIAD Code that uniquely identifies the Party in the ECMS. | | | | |
| | Required format is: Max. 30 characters. | | | | |
| Party Short Name | Enter the short name of the Party. | | | | |
| | Required format is: Max. 35 characters. | | | | |
| BIC | Enter the BIC Code of the Party in the ECMS. | | | | |
| | Required format is: Max. 11 characters | | | | |
| Country Code | Enter the country of location of the Party between those stored in the ECMS (Generic Data). The magnifier icon can also be used. | | | | |
| | Required format: Max. 2 characters (SWIFT-x). | | | | |
| Party Type | Select the type of the Party from the possible values: | | | | |
| | - ECMS Entity | | | | |
| Is Active | Select whether the Party is active or not from the possible values: | | | | |
| | - Yes | | | | |
| | - No | | | | |
| Creation Date | Enter the reference date of the creation of the Party. The calendar icon can also be used. | | | | |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs. | | | | |



| Validity Start Date | Enter the reference date from which the Party is valid. The calendar icon can also be used. |
|---------------------|--|
| | Required format is: DD/MM/YYYY. |
| Validity End Date | Enter the date from which the Party is not valid anymore or use the calendar icon. |
| | Required format is: DD/MM/YYYY. |
| | The Validity End Date must be equal to or later than the Validity Start Date. If the Party is active, this field is empty. |
| Update Date | Enter the reference date of the last update of the Party. The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs. |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Create | This function enables you to create a new Party. |
| | Next screen: |
| | - Parties - Create Screen. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | - Parties - List Screen. |

3.2.1.1.1.1 Parties – List screen

| Context of Usage | ted faul | by the t settir | value | s of the | he 'Up lecting | date | Date' | colun | nn in de | n a list, we scending ceed further | orde | r (de- |
|------------------------|---|--------------------|--|------------------------|--------------------------------|----------------------------|--|-------------|--------------------------|--|-----------------------------|---|
| Screen Access | Depending how the screen is accessed, it can be used to list the valid information of the Parties or the information that requires 4 eyes validation before they can be considered valid in the system. | | | | | | | | | | | |
| | For | valid i | informa | ation: | | | | | | | | |
| | Parl | ties Cı | | Displa | y >> (| Click | on the | | | erence Da on (after in | | |
| | For | inforn | nation | subje | ct to 4 | eye: | s valida | ation: | | | | |
| | Reference Data>> Validation / Rejection>>Parties Reference Data>>Validate/Reject Parties>> Click on the <i>search</i> button (after inputting the relevant Reference Data, if needed) | | | | | | input- | | | | | |
| Screenshot | List : Parties | | | | | V. | age 1 of 8 > > | | | | | 276 * 翻 () 学 |
| | Party Internal Id | | | - | Country Code \$ | Party Type \$ | © Creation Date \$ ♥ | Is Active ¢ | Validity Start Date | elidity End Date 🗢 💟 Updater User Id 🗢 | ♥ BIC \$ | Update Date \$ |
| | 460 453 | ES0162 AP1235 | SHORTNAME24062022 AP1235 | AP1235 | NLINETHERLANDS ESISPAIN | ECMS ENTITY ECMS ENTITY | 24/05/2022 07:17:26:3 | | 2A/06/2022 23/06/2022 | STP ECMS OPERATOR 1 | RROVES6MOOX PAISESTFXXX | 24/06/2022 07:17:26:3 |
| | 452 | AP1234 | AP1234 | AP1234 | ESISPAIN | ECMS ENTITY | 23/05/2022 15:39:30:9 | Yes | 23/06/2022 | ECMS OPERATOR 1 | PAISESMMOXX | 23/06/2022 15:39:30:9 |
| | 438 | ES6661 ES4324 | SHORTNAME20062022 SHORTNAME17062022 | PartyName PartyName | NUNETHERLANDS NUNETHERLANDS | ECMS ENTITY ECMS ENTITY | 20/05/2022 10:48:15:3 17/05/2022 07:16:10:2 | Yes | 20/06/2022 17/06/2022 | STP STP | RFJMES6MXXX RFNXES6MXXX | 20/06/2022 10:48:15:3 17/06/2022 07:16:10:2 |
| | 416 | ES8350 | SHORTNAME10062022 | | NUNETHERLANDS | ECMS ENTITY | 10/06/2022 07:16:09:2 | | 13/06/2022 | STP | HQQTES6MXXX | 10/06/2022/07:16:09:2 |
| | 398 | ES0305 IT9900 | SHORTNAME06062022 MOTI | MONTE TITOLI S.P.A. | NUNETHERLANDS FRIFRANCE | ECMS ENTITY ECMS ENTITY | 06/06/2022 07:13:40:6 31/05/2022 10:10:08:6 | Yes | 03/06/2022 | STP ECMS OPERATOR 1 | PNTRES6NOXX MOTITMMXXX | 06/06/2022 07:13:40:6 31/05/2022 10:10:00:6 |
| | 373 | ES7686 E96321 | SHORTNAME27052022 SHORTNAME26052022 | PartyName | NUNETHERLANDS NUNETHERLANDS | ECMS ENTITY ECMS ENTITY | 27/05/2022 10:22:25:8 26/05/2022 07:04:41:1 | Yes | 27/05/2022 | STP | HJFMESOMXXX TRICKESOMXXX | 27/05/2022 10:22:25:8. 25/05/2022 07:04:41:1 |
| | 1 Delete | E59321 | SHUNT NAME 2003 2022 | Pattyreame | NUNCTRENLANDS | DUMS ENTITY | 20/03/2022 07:0491:1 | 165 | 25/05/2022 | SIF | History Deactivate | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| Parties – Lis | t Scr | een | | | | | | | | | | |
| Parties – Lis Field | | een Descri | ption | | | | | | | | | |



| Party RIAD | Shows the RIAD Code that uniquely identifies the Party in the ECMS. |
|-------------------|---|
| Code | Displayed format is: Max. 30 characters. |
| BIC | Shows the BIC Code of the Party in the ECMS. |
| | Displayed format is: Max. 11 characters |
| Party Short | Shows the short name of the Party. |
| Name | Displayed format is: Max. 35 characters. |
| Party Name | Shows the name of the Party. |
| | Displayed format is: Max. 350 characters. |
| Country Code | Shows the ISO-2 Code and the description of the country of location of the Party. |
| | Displayed: Max. 255 characters. |
| Party Type | Shows the type of the Party from the possible values: |
| | - ECMS Entity |
| Is Active | Shows whether the Party is active or not. The possible values are: |
| | – Yes |
| | - No |
| Validity Start | Shows the date from which the Party is valid. |
| Date | Displayed format is: DD/MM/YYYY. |
| Validity End | Shows the date from which the Party is not valid anymore. |
| Date | Displayed format is: DD/MM/YYYY. |
| | The Validity End Date must be equal to or later than the Validity Start Date. |
| Creation Date | Shows the date and time of the creation of the Party. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Update Date | Shows the date and time of the last update of the Party. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the Party. |
| After selecting a | record, the following buttons are displayed |
| Button | Function |
| History | [Only for For Valid Information] |
| | This function enables you to access to the historical information of a Party. |
| | Next screen: |
| | - Parties - History Screen. |
| Edit | This function enables you to edit a Party. |
| | Next screen: |
| | - Parties - Edit Screen. |
| View | This function enables you to access to the detailed information of a Party. |
| | Next screen: |
| | - Parties - Details Screen. |
| | |



| If the coroon is a | used in the 4 eyes validation context, the following buttons are also dis- | | | |
|--|--|--|--|--|
| If the screen is used in the 4 eyes validation context, the following buttons are also displayed when a record is selected | | | | |
| Action to Valid | | | | |
| In case of creati | on of new data by 4-eyes user, the validator user will validate/reject. | | | |
| Button | Function | | | |
| Edit | This function allows the validator user to edit and modify the draft. | | | |
| View | This function enables the validator user to view the draft record to be validated or rejected. | | | |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system | | | |
| Reject | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. | | | |
| In case the reco | ord has been rejected the only available options for this record will be: | | | |
| View | This function allows the user to view the rejected record. | | | |
| Action to Valid | ate = Update | | | |
| | te of data by 4-eyes user, the validator user can validate/reject/edit. To go first in the show/compare draft button. | | | |
| Button | Function | | | |
| View | This function enables the user to view the draft record to be validated or rejected. | | | |
| Edit Draft | This function allows the user to edit and modify the draft. | | | |
| Show Draft | This function enables the validator user to view the draft record to be validated or rejected. | | | |
| Compare Draft | In case the 4 eyes validation is required because of an update of the record, this function enables the validator user to display the change that needs to be validated. | | | |
| Once you click on Show Draft or Compare Draft buttons: | | | | |
| Reject Draft | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. | | | |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system | | | |
| In case the record has been rejected the only available options for this record will be: | | | | |
| View | This function allows the user to view the rejected record. | | | |

3.2.1.1.1.1. Parties - History Screen

| • | |
|-----------------------|--|
| Context of Us- age | This screen displays historical information that has changed on the selected Party. You can check the data, including the user who made the changes, and proceed further by clicking on the buttons that are shown. |
| Screen Access | Reference Data >> Parties Reference Data Parties Create/Display >> Click on the search button (after inputting the relevant Reference Data, if needed) >> Select a Party >> Click on the History button |
| | Reference Data >> Parties Reference Data Parties Create/Display >> Click on the search button (after inputting the relevant Reference Data, if needed) >> Select a Party >> Click on the View button (Parties –Details Screen) >> Click on the History Button |

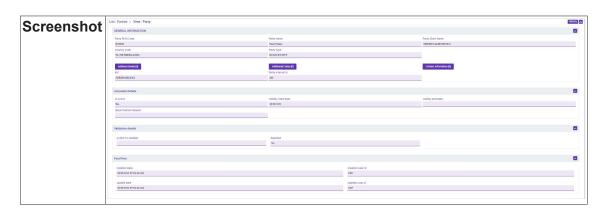


| Screenshot | History : Parties | | | | | |
|--------------------------|--|--------------------------------|--|--------------------------------|------------|---------------------------|
| Screensilot | | | | | | Q 2 Compare Expand Al 🖎 🖽 |
| | Fields | © 61(2022-01-26 14:24:27.876)2 | | © 61(2021-08-30 17:52:51:405(1 | | |
| | | | | | | |
| | Party Short Name | ATTICON CAMPAN | | 4040000 | | |
| | Uodate Date | 26/01/2022 14/24/27/876 | | 30/08/2021 17:32:51:405 | | |
| | Party RIAD Code | A8VR012 | | ABVR012 | | |
| | Party Name | ABVR012 | | ABVR012 | | |
| | Country Code | AT | | AT | | |
| | Party Type | ECMS ENTITY | | ECMS ENTITY | | |
| | Party Internal Id | 61 28/07/2021 | | 28/07/2021 | | |
| | Validity Start Date Validity End Date | 28/07/2821 | | 28/07/2021 | | |
| | Creation User Id | STP | | STP | | |
| | BIC | ABVRATWW012 | | ABVRATWW012 | | |
| | (2) difference(s) found. | | | | | |
| Parties - History | Screen | | | | | |
| Field | Description | | | | | |
| Fields | Shows the fields whose information have been updated since the creation of the selected Party. | | | | | |
| Timestamp | Shows the date and time when the fields have been updated. | | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | | |
| Button | Descript | ion | | | | |
| Compare | Shows the differences between the selected records whose data have been updated. | | | | | |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected Party. | | | | | |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected Party. | | | | | |
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected Party. | | | | e been up- | |
| Show Differences Only | Shows only the fields whose information have been updated since the creation of the selected Party | | | | | |

3.2.1.1.1.2 Parties – Details Screen

| Context of Usage | This screen displays detailed information of the selected Party. |
|------------------|---|
| Screen Access | Depending how the screen is accessed, it can be used to show the valid information of the Parties or the information that requires 4 eyes validation before they can be considered valid in the system. |
| | For Valid Information: |
| | Reference Data >> Reference Data >> Parties Reference Data >> Parties Create/Display >> Click on the <i>search</i> button (after inputting the relevant Reference Data, if needed) >> Select a Party >> Click on the <i>View</i> button |
| | For information subject to 4 eyes validation: |
| | Reference Data>> Validation / Rejection>>Parties Reference Data>>Validate/Reject Parties>> Click on the search button (after inputting the relevant Reference Data, if needed) >> Select a Party >> Click on the View button |





| Parties - Details | screen | | | |
|---------------------|---|--|--|--|
| Button | Description | | | |
| History | [Only for For Valid Information] | | | |
| | This function enables you to access to the historical information of a Party. | | | |
| | Next screen: | | | |
| | - Parties - History Screen. | | | |
| Address Details | This function enables you to display the subsection Address Details | | | |
| Additional Codes | This function enables you to display the subsection Additional Code | | | |
| Contact Information | This function enables you to display the subsection Contact Information | | | |
| General Information | | | | |
| Field | Description | | | |
| Party Internal Id | Internal unique identifier automatically assigned by the system | | | |
| Party RIAD Code | Shows the RIAD Code that uniquely identifies the Party in the ECMS. | | | |
| | Displayed format is: Max. 30 characters. | | | |
| Party Short Name | Shows the short name of the Party. | | | |
| | Displayed format is: Max. 35 characters. | | | |
| Party Name | Shows the name of the Party. | | | |
| | Displayed format is: Max. 350 characters. | | | |
| BIC | Shows the BIC Code of the Party in the ECMS. | | | |
| | Displayed format is: Max. 11 characters | | | |
| Country Code | Shows the ISO-2 Code and the description of the country of location of the Party between those stored in the ECMS (Generic Data). | | | |
| | Displayed: Max. 255 characters. | | | |
| Party Type | Shows the type of the Party from the possible values: | | | |
| | - ECMS-Entity | | | |
| Validation details | | | | |
| | Shows if there is any action waiting for validation. | | | |
| Rejected | Shows if any action subject to validation has been rejected. The possible values are: | | | |
| | – Yes | | | |



| | – No |
|--------------------------|--|
| Activation details | |
| Is Active | Shows whether the Party is active or not. The possible values are: |
| | – Yes |
| | - No |
| (De)Activation Reason | Shows the reason informed when the Party was (de)activated. |
| Validity Start Date | Shows the date from which the Party is active. |
| , | Displayed format is: DD/MM/YYYY. |
| | If the Party is not active (Is Active field = "false"), this field is empty. |
| Validity End Date | Shows the date from which the Party is not valid anymore. |
| | Displayed format is: DD/MM/YYYY. |
| | The Validity End Date must be equal to or later than the Validity Start Date. If the Party is active, this field is empty. |
| Footprint | |
| Creation Date | Shows the date and time of the creation of the Party. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the Party. |
| Update Date | Shows the date and time of the update of the Party. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the Party. |
| Additional Codes | |
| The existing addition | onal codes of the Party are displayed. |
| To view the details ton. | s of an existing Additional Code, select it and click on the View but- |
| Field | Description |
| Provider | Shows the provider of the Additional Code from the possible values: |
| | – LEI |
| | - TPA Id |
| Additional Code | Shows the code assigned by the provider. |
| | Displayed format is: Max. 35 characters. |
| Footprint | |
| Creation Date | Shows the date and time of the creation of the additional code. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the additional code. |
| Update Date | Shows the date and time of the update of the additional code. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the additional code. |
| Address Details | |
| | sses of the Party are displayed. |
| To view the details | of an existing mail address, select it and click on the View button. |



| Purpose Shows the Purpose of the Address from the possible values: Official Shows the street name of the address of the Party. Displayed format is: Max. 70 characters. House Number Shows the house number of the address of the Party. Displayed format is: Max. 16 characters. Postal Code Shows the postal code of the address of the Party. Displayed format is: Max. 16 characters. City Shows the city of the address of the Party. Displayed format is: Max. 70 characters. State or Province Shows the state or province of the address of the Party. Displayed format is: Max. 35 characters. Country Code Shows the ISO-2 Code and the description of the country code of the address of the Party. Displayed format is: Max. 255 characters. To view the details of an existing technical address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: Securities Management Cash Management Cash Management Cash Management Cash Management Corporate Actions Margin Call Credit Claims Credit Freezing Collateral and Credit Network Shows the network from the possible values: Swift Sla Colt Technical Address of an existing BIC address, select it and click on the View button. Field Description Shows the Purpose of the Address from the possible values: Collateral and Credit Technical Address of an existing BIC address, select it and click on the View button. Field Description Shows the Purpose of the Address from the possible values: In case Party Type is "NCB": Official Tas Eligible assets BIC Tas CSD Participant BIC Additional Description Purpose Party Type is "ECMS Entity": | Field | Description | | | | | | |
|---|---------------------|--|--|--|--|--|--|--|
| Street Address Shows the street name of the address of the Party. Displayed format is: Max. 70 characters. House Number Shows the house number of the address of the Party. Displayed format is: Max. 16 characters. Postal Code Shows the postal code of the address of the Party. Displayed format is: Max. 16 characters. City Shows the city of the address of the Party. Displayed format is: Max. 70 characters. State or Province Shows the state or province of the address of the Party. Displayed format is: Max. 35 characters. Country Code Shows the ISO-2 Code and the description of the country code of the address of the Party. Displayed format is: Max. 255 characters. To view the details of an existing technical address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: Securities Settlement Securities Management Cash Management Cash Management Cash Management Cash Management Corporate Actions Margin Call Credit Claims Credit Freezing Collateral and Credit Network Shows the network from the possible values: Swift SlA Colt Technical Address for the purpose and network selecters ted. Required format is: Max. 256 characters To view the details of an existing BIC address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: In case Party Type is "NCB": Official T2S Eligible assets BIC T2S CSD Participant BIC Additional | Purpose | Shows the Purpose of the Address from the possible values: | | | | | | |
| Displayed format is: Max. 70 characters. House Number Shows the house number of the address of the Party. Displayed format is: Max. 16 characters. Postal Code Shows the postal code of the address of the Party. Displayed format is: Max. 16 characters. City Shows the city of the address of the Party. Displayed format is: Max. 70 characters. State or Province Shows the state or province of the address of the Party. Displayed format is: Max. 35 characters. Country Code Shows the ISO-2 Code and the description of the country code of the address of the Party. Displayed format is: Max. 255 characters. To view the details of an existing technical address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: Securities Management Securities Management Cash Management Corporate Actions Margin Call Credit Claims Credit Freezing Collateral and Credit Network Shows the network from the possible values: Swift Slows the technical address for the purpose and network selected Required format is: Max. 256 characters To view the details of an existing BIC address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: 1 | | - Official | | | | | | |
| House Number Shows the house number of the address of the Party. Displayed format is: Max. 16 characters. Postal Code Shows the postal code of the address of the Party. Displayed format is: Max. 16 characters. City Shows the city of the address of the Party. Displayed format is: Max. 70 characters. State or Province Shows the state or province of the address of the Party. Displayed format is: Max. 35 characters. Country Code Shows the ISO-2 Code and the description of the country code of the address of the Party. Displayed format is: Max. 255 characters. To view the details of an existing technical address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: Securities Management Securities Management Cash Management Corporate Actions Margin Call Credit Claims Credit Freezing Collateral and Credit Network Shows the network from the possible values: Swift Slows the technical address for the purpose and network selected. Required format is: Max. 256 characters To view the details of an existing BIC address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: In case Party Type is "NCB": Official T2S Eligible assets BIC T2S CSD Participant BIC Additional | Street Address | Shows the street name of the address of the Party. | | | | | | |
| Displayed format is: Max. 16 characters. Postal Code Shows the postal code of the address of the Party. Displayed format is: Max. 16 characters. City Shows the city of the address of the Party. Displayed format is: Max. 70 characters. State or Province Shows the state or province of the address of the Party. Displayed format is: Max. 35 characters. Country Code Shows the ISO-2 Code and the description of the country code of the address of the Party. Displayed format is: Max. 255 characters. To view the details of an existing technical address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: Securities Management Securities Management Corporate Actions Margin Call Credit Claims Credit Freezing Collateral and Credit Network Shows the network from the possible values: Swift Shows the network from the possible values: Swift Shows the technical address for the purpose and network selected. Required format is: Max. 256 characters To view the details of an existing BIC address, select it and click on the View button. Field Description Shows the Purpose of the Address from the possible values: In case Party Type is "NCB": Official T2S Eligible assets BIC T2S CSD Participant BIC Additional | | Displayed format is: Max. 70 characters. | | | | | | |
| Postal Code Shows the postal code of the address of the Party. Displayed format is: Max. 16 characters. City Shows the city of the address of the Party. Displayed format is: Max. 70 characters. State or Province Shows the state or province of the address of the Party. Displayed format is: Max. 35 characters. Country Code Shows the ISO-2 Code and the description of the country code of the address of the Party. Displayed format is: Max. 255 characters. To view the details of an existing technical address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: Securities Management Securities Management Securities Management Corporate Actions Margin Call Credit Claims Credit Freezing Collateral and Credit Network Shows the network from the possible values: Swift Sla Colt Technical Address from the purpose and network selected. Required format is: Max. 256 characters To view the details of an existing BIC address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: In case Party Type is "NCB": Official T2S Eligible assets BIC T2S CSD Participant BIC Additional | House Number | Shows the house number of the address of the Party. | | | | | | |
| Displayed format is: Max. 16 characters. City Shows the city of the address of the Party. Displayed format is: Max. 70 characters. State or Province Shows the state or province of the address of the Party. Displayed format is: Max. 35 characters. Country Code Shows the ISO-2 Code and the description of the country code of the address of the Party. Displayed format is: Max. 255 characters. To view the details of an existing technical address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: Securities Settlement Securities Management Payment Cash Management Corporate Actions Margin Call Credit Claims Credit Claims Credit Treezing Collateral and Credit Network Shows the network from the possible values: Swift Shows the state or province of the Address for the purpose and network selected. Required format is: Max. 256 characters To view the details of an existing BIC address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: In case Party Type is "NCB": Official T2S Eligible assets BIC T2S CSD Participant BIC Additional | | Displayed format is: Max. 16 characters. | | | | | | |
| City Shows the city of the address of the Party. Displayed format is: Max. 70 characters. State or Province Shows the state or province of the address of the Party. Displayed format is: Max. 35 characters. Country Code Shows the ISO-2 Code and the description of the country code of the address of the Party. Displayed format is: Max. 255 characters. To view the details of an existing technical address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: - Securities Settlement - Securities Management - Payment - Cash Management - Corporate Actions - Margin Call - Credit Claims - Credit Freezing - Collateral and Credit Network Shows the network from the possible values: - Swift - SIA Colt Technical Address ted.Required format is: Max. 256 characters To view the details of an existing BIC address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: In case Party Type is "NCB": - Official - T2S Eligible assets BIC - T2S CSD Participant BIC - Additional | Postal Code | Shows the postal code of the address of the Party. | | | | | | |
| Displayed format is: Max. 70 characters. State or Province Shows the state or province of the address of the Party. Displayed format is: Max. 35 characters. Country Code Shows the ISO-2 Code and the description of the country code of the address of the Party. Displayed format is: Max. 255 characters. To view the details of an existing technical address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: - Securities Settlement - Securities Management - Payment - Cash Management - Corporate Actions - Margin Call - Credit Claims - Credit Freezing - Collateral and Credit Network Shows the network from the possible values: - Swift - SIA Colt Technical Address of an existing BIC address for the purpose and network selected. Required format is: Max. 256 characters To view the details of an existing BIC address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: In case Party Type is "NCB": - Official - T2S Eligible assets BIC - T2S CSD Participant BIC - Additional | | Displayed format is: Max. 16 characters. | | | | | | |
| State or Province Shows the state or province of the address of the Party. Displayed format is: Max. 35 characters. Country Code Shows the ISO-2 Code and the description of the country code of the address of the Party. Displayed format is: Max. 255 characters. To view the details of an existing technical address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: Securities Settlement Securities Management Cash Management Corporate Actions Margin Call Credit Claims Credit Freezing Collateral and Credit Network Shows the network from the possible values: Swift SlA Colt Technical Address To view the details of an existing BIC address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: In case Party Type is "NCB": Official T2S Eligible assets BIC T2S CSD Participant BIC Additional | City | Shows the city of the address of the Party. | | | | | | |
| Displayed format is: Max. 35 characters. Country Code Shows the ISO-2 Code and the description of the country code of the address of the Party. Displayed format is: Max. 255 characters. To view the details of an existing technical address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: Securities Settlement Securities Management Payment Cash Management Corporate Actions Margin Call Credit Claims Credit Freezing Collateral and Credit Network Shows the network from the possible values: Swift SlA Colt Technical Address for the purpose and network selected. Required format is: Max. 256 characters To view the details of an existing BIC address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: In case Party Type is "NCB": Official T2S Eligible assets BIC T2S CSD Participant BIC Additional | | Displayed format is: Max. 70 characters. | | | | | | |
| Country Code Shows the ISO-2 Code and the description of the country code of the address of the Party. Displayed format is: Max. 255 characters. To view the details of an existing technical address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: Securities Settlement Securities Management Cash Management Corporate Actions Margin Call Credit Claims Credit Freezing Collateral and Credit Network Shows the network from the possible values: Swift Slows the network from the possible values: Swift Slows the technical address for the purpose and network selected. Required format is: Max. 256 characters To view the details of an existing BIC address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: In case Party Type is "NCB": Official T2S Eligible assets BIC T2S CSD Participant BIC Additional | State or Province | Shows the state or province of the address of the Party. | | | | | | |
| the address of the Party. Displayed format is: Max. 255 characters. To view the details of an existing technical address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: - Securities Settlement - Securities Management - Payment - Cash Management - Corporate Actions - Margin Call - Credit Claims - Credit Freezing - Collateral and Credit Network Shows the network from the possible values: - Swift - SlA Colt Technical Address for the purpose and network selected. Required format is: Max. 256 characters To view the details of an existing BIC address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: In case Party Type is "NCB": - Official - T2S CSD Participant BIC - Additional | | Displayed format is: Max. 35 characters. | | | | | | |
| To view the details of an existing technical address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: Securities Settlement Securities Management Payment Cash Management Corporate Actions Margin Call Credit Claims Credit Freezing Collateral and Credit Network Shows the network from the possible values: Swift SIA Colt Technical Address To view the details of an existing BIC address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: In case Party Type is "NCB": Official T2S Eligible assets BIC T2S CSD Participant BIC Additional | Country Code | · | | | | | | |
| ton. Field Description Purpose Shows the Purpose of the Address from the possible values: - Securities Settlement - Securities Management - Payment - Cash Management - Corporate Actions - Margin Call - Credit Claims - Credit Freezing - Collateral and Credit Network Shows the network from the possible values: - Swift - SIA Colt Technical Address for the purpose and network selected. Required format is: Max. 256 characters To view the details of an existing BIC address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: In case Party Type is "NCB": - Official - T2S Eligible assets BIC - T2S CSD Participant BIC - Additional | | Displayed format is: Max. 255 characters. | | | | | | |
| Purpose Shows the Purpose of the Address from the possible values: Securities Settlement Securities Management Payment Cash Management Corporate Actions Margin Call Credit Claims Credit Freezing Collateral and Credit Network Shows the network from the possible values: Swift SlA Colt Technical Address To view the details of an existing BIC address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: In case Party Type is "NCB": Official T2S Eligible assets BIC Additional | | of an existing technical address, select it and click on the View but- | | | | | | |
| - Securities Settlement - Securities Management - Payment - Cash Management - Corporate Actions - Margin Call - Credit Claims - Credit Freezing - Collateral and Credit Network Shows the network from the possible values: - Swift - SIA Colt Technical Address | Field | Description | | | | | | |
| - Securities Management - Payment - Cash Management - Corporate Actions - Margin Call - Credit Claims - Credit Freezing - Collateral and Credit Network Shows the network from the possible values: - Swift - SIA Colt Technical Address - Shows the technical address for the purpose and network selected. Required format is: Max. 256 characters To view the details of an existing BIC address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: In case Party Type is "NCB": - Official - T2S Eligible assets BIC - T2S CSD Participant BIC - Additional | Purpose | Shows the Purpose of the Address from the possible values: | | | | | | |
| - Payment - Cash Management - Corporate Actions - Margin Call - Credit Claims - Credit Freezing - Collateral and Credit Network Shows the network from the possible values: - Swift - SIA Colt Technical Address for the purpose and network selected. Required format is: Max. 256 characters To view the details of an existing BIC address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: In case Party Type is "NCB": - Official - T2S Eligible assets BIC - T2S CSD Participant BIC - Additional | | Securities Settlement | | | | | | |
| - Cash Management - Corporate Actions - Margin Call - Credit Claims - Credit Freezing - Collateral and Credit Network Shows the network from the possible values: - Swift - SIA Colt Technical Address for the purpose and network selected. Required format is: Max. 256 characters To view the details of an existing BIC address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: In case Party Type is "NCB": - Official - T2S Eligible assets BIC - T2S CSD Participant BIC - Additional | | Securities Management | | | | | | |
| - Corporate Actions - Margin Call - Credit Claims - Credit Freezing - Collateral and Credit Network Shows the network from the possible values: - Swift - SIA Colt Technical Address - Shows the technical address for the purpose and network selected. Required format is: Max. 256 characters To view the details of an existing BIC address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: In case Party Type is "NCB": - Official - T2S Eligible assets BIC - T2S CSD Participant BIC - Additional | | - Payment | | | | | | |
| - Margin Call - Credit Claims - Credit Freezing - Collateral and Credit Network Shows the network from the possible values: - Swift - SIA Colt Technical Addouble Shows the technical address for the purpose and network selected. Required format is: Max. 256 characters To view the details of an existing BIC address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: In case Party Type is "NCB": - Official - T2S Eligible assets BIC - T2S CSD Participant BIC - Additional | | - Cash Management | | | | | | |
| - Credit Claims - Credit Freezing - Collateral and Credit Network Shows the network from the possible values: - Swift - SIA Colt Technical Ad- dress To view the details of an existing BIC address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: In case Party Type is "NCB": - Official - T2S Eligible assets BIC - T2S CSD Participant BIC - Additional | | - Corporate Actions | | | | | | |
| - Credit Freezing - Collateral and Credit Network Shows the network from the possible values: - Swift - SIA Colt Technical Address for the purpose and network selected. Required format is: Max. 256 characters To view the details of an existing BIC address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: In case Party Type is "NCB": - Official - T2S Eligible assets BIC - T2S CSD Participant BIC - Additional | | - Margin Call | | | | | | |
| - Collateral and Credit Network Shows the network from the possible values: - Swift - SIA Colt Technical Address for the purpose and network selected. Required format is: Max. 256 characters To view the details of an existing BIC address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: In case Party Type is "NCB": - Official - T2S Eligible assets BIC - T2S CSD Participant BIC - Additional | | - Credit Claims | | | | | | |
| Network Shows the network from the possible values: Swift SIA Colt Technical Address for the purpose and network selected. Required format is: Max. 256 characters To view the details of an existing BIC address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: In case Party Type is "NCB": Official T2S Eligible assets BIC T2S CSD Participant BIC Additional | | - Credit Freezing | | | | | | |
| - Swift - SIA Colt Technical Ad- dress Shows the technical address for the purpose and network selected. Required format is: Max. 256 characters To view the details of an existing BIC address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: In case Party Type is "NCB": - Official - T2S Eligible assets BIC - T2S CSD Participant BIC - Additional | | Collateral and Credit | | | | | | |
| - SIA Colt Technical Address for the purpose and network selected. Required format is: Max. 256 characters To view the details of an existing BIC address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: In case Party Type is "NCB": Official T2S Eligible assets BIC T2S CSD Participant BIC Additional | Network | Shows the network from the possible values: | | | | | | |
| Technical Address Shows the technical address for the purpose and network selected. Required format is: Max. 256 characters To view the details of an existing BIC address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: In case Party Type is "NCB": Official T2S Eligible assets BIC T2S CSD Participant BIC Additional | | - Swift | | | | | | |
| dress ted.Required format is: Max. 256 characters To view the details of an existing BIC address, select it and click on the View button. Field Description Purpose Shows the Purpose of the Address from the possible values: In case Party Type is "NCB": - Official - T2S Eligible assets BIC - T2S CSD Participant BIC - Additional | | - SIA Colt | | | | | | |
| Field Description Purpose Shows the Purpose of the Address from the possible values: In case Party Type is "NCB": Official T2S Eligible assets BIC T2S CSD Participant BIC Additional | | | | | | | | |
| Purpose Shows the Purpose of the Address from the possible values: In case Party Type is "NCB": Official T2S Eligible assets BIC T2S CSD Participant BIC Additional | To view the details | of an existing BIC address, select it and click on the View button. | | | | | | |
| In case Party Type is "NCB": - Official - T2S Eligible assets BIC - T2S CSD Participant BIC - Additional | Field | Description | | | | | | |
| Official T2S Eligible assets BIC T2S CSD Participant BIC Additional | Purpose | Shows the Purpose of the Address from the possible values: | | | | | | |
| T2S Eligible assets BICT2S CSD Participant BICAdditional | | In case Party Type is "NCB": | | | | | | |
| T2S CSD Participant BICAdditional | | - Official | | | | | | |
| - Additional | | - T2S Eligible assets BIC | | | | | | |
| | | - T2S CSD Participant BIC | | | | | | |
| In case Party Type is "ECMS Entity": | | - Additional | | | | | | |
| in case i arty Type is LOWIS LITTLEY. | | In case Party Type is "ECMS Entity": | | | | | | |



| | - Official | | | | | | | |
|-------------------------------|--|--|--|--|--|--|--|--|
| | - Additional | | | | | | | |
| BIC Address | Shows the BIC address of the Party. | | | | | | | |
| | Required format is: Max. 11 characters | | | | | | | |
| To view the details | s of an existing email address, select it and click on the View button. | | | | | | | |
| Field | Description | | | | | | | |
| Purpose | Shows the Purpose of the Address from the possible values: | | | | | | | |
| | - Official | | | | | | | |
| Email | Shows the Email address for the purpose selected. | | | | | | | |
| | Displayed format is: Max. 255 characters | | | | | | | |
| Footprint | | | | | | | | |
| Creation Date | Shows the date and time of the creation of the address. | | | | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | | | | |
| Creation User Id | Shows the identification of the user that created the address. | | | | | | | |
| Update Date | Shows the date and time of the update of the address. | | | | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | | | | |
| Updater User Id | Shows the identification of the user that made the last update of the address. | | | | | | | |
| Contact Informat | | | | | | | | |
| The existing conta | act information of the Party are displayed. | | | | | | | |
| Field | Description | | | | | | | |
| Contact Name | Shows the name of the contact of the Party. | | | | | | | |
| | Displayed format is: Max. 255 characters | | | | | | | |
| Function / Busi- ness area | Shows the Function and/or the business area of the Contact of the Party. | | | | | | | |
| | Displayedformat is: Max. 255 characters | | | | | | | |
| Email | Shows the email address of the contact of the Party. | | | | | | | |
| | Displayed format is: Max. 255 characters | | | | | | | |
| Email2 | Shows the email address of the contact of the Party. | | | | | | | |
| | Displayed format is: Max. 255 characters | | | | | | | |
| Telephone | Shows the telephone number of the contact of the Party. | | | | | | | |
| | Displayed format is: Max. 16 characters | | | | | | | |
| Fax | Shows the Fax number of the Contact of the Party | | | | | | | |
| | Displayedformat is: Max. 255 characters | | | | | | | |
| Footprint | Ta | | | | | | | |
| Creation Date | Shows the date and time of the creation of the contact information. | | | | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | | | | |
| Creation User Id | Shows the identification of the user that created the contact information. | | | | | | | |
| Update Date | Shows the date and time of the update of the contact information. | | | | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | | | | |
| Updater User Id | Shows the identification of the user that made the last update of the contact information. | | | | | | | |



3.2.1.2 Entities Business Roles Create / Display

3.2.1.2.1 NCB Participant Create / Display

3.2.1.2.1.1 NCB Participant - Search Screen

| Context of Usage | This screen contains a number of search fields and shows the latest and stored searches. By inputting the relevant data, you can search for NCB Participants. The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that | | | | | | | |
|------------------|--|--|--|--|--|--|--|--|
| Screen Access | Depending how the screen is accessed, it can be used to search the valid information of the NCB Participant or the information that requires 4 eyes validation before they can be considered valid in the system. | | | | | | | |
| | For valid information: | | | | | | | |
| | Reference Data>>Reference Data>>Parties Reference Data>>Entities Business Roles>>Create/Display NCB Participant | | | | | | | |
| | For information subject to 4 eyes validation: | | | | | | | |
| | Reference Data>>Validation / Rejection>>Parties Reference Data>>Entities Roles>>Validate/Reject NCB Participant | | | | | | | |
| Screenshot | Center / Display: NICE Participant | | | | | | | |
| | <u>○ () () () () () () () () () (</u> | | | | | | | |

| NCB Participants – S | earch screen | | | | |
|----------------------|---|--|--|--|--|
| Field | Description | | | | |
| Party RIAD Code | Enter the RIAD Code that uniquely identifies the Party in the ECMS. | | | | |
| | Required format is: Max. 30 characters | | | | |
| Party Short Name | Enter the short name of the Party. | | | | |
| | Required format is: Max. 35 characters | | | | |
| Party Name | Enter the name of the Party. | | | | |
| | Required format is: Max. 350 characters. | | | | |
| Country Code | Enter/Select the country of location of the Party between those stored in the ECMS (Generic Data). The magnifier icon can also be used. | | | | |
| | Required format: Max. 2 characters (SWIFT-x) | | | | |
| BIC | Enter the BIC Code of the Party in the ECMS. | | | | |
| | Required format is: Max. 11 characters | | | | |
| ECMS Entity Type | Enter / Select the ECMS Entity Type from the possible values: | | | | |
| | Counterparties | | | | |
| | - Cross NCB | | | | |
| | - Non-euro Area CB | | | | |



| Is Active | Enter/Select whether the NCB Participant is active or not from the possible values: | | | | | |
|---------------------|--|--|--|--|--|--|
| | - Yes | | | | | |
| | - No | | | | | |
| Creation Date | Enter the reference date of the creation of the NCB Participant or use the calendar icon. | | | | | |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs | | | | | |
| Validity Start Date | Enter the reference date of the activation of the NCB Participant or use the calendar icon. | | | | | |
| | Required format is: DD/MM/YYYY | | | | | |
| Validity End Date | Enter the date from which the NCB Participant is not valid anymore or use the calendar icon. | | | | | |
| | Required format is: DD/MM/YYYY | | | | | |
| | The Validity End Date must be equal to or later than the Validity Start Date. If the NCB Participant is active, this field is empty. | | | | | |
| Update Date | Enter the reference date of the last update of the NCB Participant or use the calendar icon. | | | | | |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs | | | | | |
| Button | Function | | | | | |
| Reset | This function enables you to clear the form. | | | | | |
| Create | This function enables you to create a new NCB Participant. | | | | | |
| | Next screen: | | | | | |
| | - NCB Participant - Create Screen. | | | | | |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the NCB Participant - List Screen. | | | | | |
| | Next screen: | | | | | |
| | - NCB Participant - List Screen. | | | | | |
| | | | | | | |

3.2.1.2.1.1. NCB Participant - List Screen

Context of Us-This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending orage der (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. **Screen Access** Depending how the screen is accessed, it can be used to list the valid information of the NCB Participants or the information that requires 4 eyes validation before they can be considered valid in the system. For valid information: Reference Data>>Reference Data>>Parties Reference Data>>Entities Business Roles>>Create/Display NCB Participant >> Search Button For information subject to 4 eyes validation: Reference Data>>Validation / Rejection>>Parties Reference Data>>Entities Roles>>Validate/Reject NCB Participant>> Search Button



| Caraanahat | Search Result : In | Search Result: Internal Client | | | | | | | | | | |
|------------|--------------------|--------------------------------|---------------------|--------------------|---------------|---------------------------|---------------------|-------------------------|-------------------------|----------------------------|-------------|-------------------------|
| Screenshot | 10 ▼ | | | | | | | | | | Q 2 | |
| | Party RIAD Code Φ | Party Short Name 0 | Country Code | ECMS Entity Type # | ▽ Is Active ¢ | ▽ Validity Start Date ● □ | Validity End Date # | Update Date | Updater User M © 5 | Party Name 6 | BIC ¢ | ▽ Creation Date © |
| | LY188607684 | LTCB | LTJLITHUANIA | COUNTERPARTIES | Yes | 29/03/2022 | | 29/03/2022 13:24:55:247 | ATCB003 | Banque centrale de Litua | | 29/03/2022 13:24:55:247 |
| | MTCBMALT | CBMT | MTJMALTA | COUNTERPARTIES | No | 29/03/2022 | 30/03/2022 | 29/03/2022 18:50:53:500 | ECMSOperational DaySch. | . Banque centrale de Malte | | 29/03/2022 13:23:09:826 |
| | NL001 | DNB | NUMETHERLANDS | CROSS NCBs | Yes | 31/03/2022 | | 31/03/2022 15:40:00:552 | STP | De Nederlandsche Bank | FLORNL2AXXX | 31/03/2022 15:49:00:552 |
| | ECMSQA2-76 | ECMSQA2-76 | ATJAUSTRIA | COUNTERPARTIES | No | 10/02/2022 | 30/03/2022 | 29/03/2022 18:50:53:930 | ECMSOperational DaySch. | ECMSQA2-76 | | 10/02/2022 09:55:09:360 |
| | AT0000003888151 | | | | | | | | | | | |
| | ESTROOT | CPTYI | ESISPAN | COUNTERPARTIES | Yes | 09/05/2022 | | 07/05/2022 18:47:30:272 | STP | Counterparty ESTREE1 | | 07/05/2022 18:47:30:272 |
| | DE06999 | DECB | DEIGERMANY (FEDERAL | COUNTERPARTIES | Yes | 29/03/2022 | | 29/03/2022 12:32:36:528 | STP | Deutsche Bundesbank | | 29/03/2022 12:32:36:528 |
| | ABVRDOB | AEVYNOOS | ATJALISTRIA | COUNTERPARTIES | Yes | 28/07/2021 | | 30/08/2021 18:00:11:324 | STP | ABVRIOGE | ABVRATWW008 | 30/08/2021 18:00:11:324 |
| | ABVR010 | ABVR010 | ATIAUSTRIA | COUNTERPARTIES | Yes | 28/07/2021 | | 30/08/2021 18:01:49:282 | STP | ABVR010 | ABVRATWW010 | 30/08/2021 18:01:49:282 |
| | ABVR011 | ABVR011 | ATIAUSTRIA | COUNTERPARTIES | Yes | 28/07/2021 | | 30/06/2021 18:02:30:527 | 670 | A8V9011 | ABVBATWW011 | 30/08/2021 18:02:30:527 |

| NCB Participants | - List Screen | | | | | |
|-------------------------|--|--|--|--|--|--|
| Field | Description | | | | | |
| Party RIAD Code | Shows the RIAD Code that uniquely identifies the Party in the ECMS. | | | | | |
| | Displayed format is: Max. 30 characters | | | | | |
| Party Short Name | Shows the short name of the Party. | | | | | |
| | Displayed format is: Max. 35 characters | | | | | |
| Party Name | Shows the name of the Party. | | | | | |
| | Displayed format is: Max. 350 characters | | | | | |
| Country Code | Shows the ISO-2 Code and the description of the country of location of the Party between those stored in the ECMS (Generic Data). | | | | | |
| | Displayed format: Max. 255 characters. | | | | | |
| BIC | Shows the BIC Code of the Party in the ECMS. | | | | | |
| | Displayed format is: Max. 11 characters | | | | | |
| ECMS Entity Type | Shows the ECMS Entity Type from the possible values: | | | | | |
| | Counterparties | | | | | |
| | - Cross NCB | | | | | |
| | - Non-euro Area CB | | | | | |
| Is Active | Shows whether the NCB Participant is active or not from the possible values: | | | | | |
| | - Yes | | | | | |
| | - No | | | | | |
| Validity Start Date | Shows the date from which the NCB Participant is active. | | | | | |
| | Displayed format is: DD/MM/YYYY | | | | | |
| Validity End Date | Shows the date from which the NCB Participant is not valid anymore. | | | | | |
| | Displayed format is: DD/MM/YYYY | | | | | |
| | The Validity End Date must be equal to or later than the Validity Start Date. If the NCB Participant is active, this field is empty. | | | | | |
| Creation Date | Shows the date and time of the creation of the NCB Participant. | | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs | | | | | |
| Update Date | Shows the date and time of the last update of the NCB Participant. | | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs | | | | | |
| After selecting a re | cord, the following buttons are displayed | | | | | |
| Button | Function | | | | | |
| History | [Only for For Valid Information] | | | | | |
| | This function enables you to access to the historical information of an NCB Participant. | | | | | |



| | Next screen: |
|--|--|
| | - NCB Participant - History Screen. |
| Edit | This function enables you to edit an NCB Participant. |
| | Next screen: |
| | NCB Participant – Edit Screen. |
| View | This function enables you to access to the detailed information of an NCB Participant. |
| | Next screen: |
| | NCB Participant – Details Screen. |
| If the screen is use played when a rec | ed in the 4 eyes validation context, the following buttons are also discord is selected |
| Action to Validate | e = Creation |
| In case of creation | of new data by 4-eyes user, the validator user will validate/reject. |
| Button | Function |
| Edit | This function allows the validator user to edit and modify the draft. |
| View | This function enables the validator user to view the draft record to be validated or rejected. |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system |
| Reject | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. |
| In case the record | has been rejected the only available options for this record will be: |
| View | This function allows the user to view the rejected record. |
| Action to Validate | e = Update |
| | of data by 4-eyes user, the validator user can validate/reject/edit. To go first in the show/compare draft button. |
| Button | Function |
| View | This function enables the user to view the draft record to be validated or rejected. |
| Edit Draft | This function allows the user to edit and modify the draft. |
| Show Draft | This function enables the validator user to view the draft record to be validated or rejected. |
| Compare Draft | In case the 4 eyes validation is required because of an update of the record, this function enables the validator user to display the change that needs to be validated. |
| Once you click on | Show Draft or Compare Draft buttons: |
| Reject Draft | This function allows the validator user to reject the creation or up- |
| | date of the record. The draft will be deleted. |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the sys- |

3.2.1.2.1.1.1 NCB Participant – History screen .1



| Context of Us- age | This screen displays historical information that has changed on the selected NCB Participant. You can check the data, including the user who made the changes, and proceed further by clicking on the buttons that are shown. | | | | | | | |
|-----------------------|---|--|-------------------------------|------------------------------|--------------------------------|--------------------------|--|--|
| Screen Access | Data>> cipant> Data, i | Reference Data>>Reference Data>>Parties Reference Data>>Entities Business Roles>>Create/Display NCB Participant>> Search Button (after inputting the relevant Reference Data, if needed) >> Select an NCB Participant >> Click on the History button | | | | | | |
| | Data>> cipant Data, i <i>View</i> b | Reference Data>>Reference Data>>Parties Reference Data>>Entities Business Roles>>Create/Display NCB Participant >> Search Button (after inputting the relevant Reference Data, if needed) >> Select an NCB Participant >> Click on the View button (NCB Participant – Details Screen) >> Click on the History Button | | | | | | |
| Screenshot | History : NCB Participant | | | | | _ | | |
| Screenshot | Digital | © 61(2022-02-17 10 33 44 213)5 | © 81/2021.08-31 17/13-49 5004 | © 617771-06-31 12-18-32 70N3 | © 6110071-06-31 10:06-34 72907 | Q 5 (A | | |
| | | ~ | ~ | | | | | |
| | Update Date | 27/02/2022 20:22 44:222 | 31/08/2021 17:13:49:580 | 21 (88/2021 12 18/22 706 | 21/06/2023 70/06/04 720 | 201/00/2013 10 00 07 441 | | |
| | Party Internal Id | 61 | 61 | 61 | 61 | 61 | | |
| | Is Tax Certified | No. | No | No | No | No | | |
| | Party Internal Id | 61 | 61 | 61 | 61 | 61 | | |
| | Validity Start Date | 28/07/2021 | 28/07/2021 | 28/07/2021 | 28/07/2021 | 28/07/2021 | | |
| | Add On Haircut | | | | | | | |
| | Banking Group Manager (Head of Branch) | | | | | | | |
| | BIC | ABVRATWW012 | ABVRATWW012 | ABVRATWW012 | ABVRATWW012 | ABVRATWW012 | | |
| | Externally Covered OMO parameter | No | No | No | No | No | | |
| | Intraday Credit Facility | Yes | Yes | Yes | Yes | Yes | | |
| | Validity End Date | STP | STP | STP | STP | SIP | | |
| | Creation User Id (1) difference(s) found. | 21h | 316 | STP | STP | 3 IP | | |
| | | | | | | | | |

| NCB Participants – History Screen | | | | | |
|-----------------------------------|--|--|--|--|--|
| Field | Description | | | | |
| Fields | Shows the fields whose information have been updated since the creation of the selected NCB Participant. | | | | |
| Timestamp | Shows the date and time when the fields have been updated | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | |
| Button | Function | | | | |
| Compare | Shows the differences between the selected records whose data have been updated. | | | | |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected NCB Participant. | | | | |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected NCB Participant. | | | | |
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected NCB Participant. | | | | |
| Show Differences Only | Shows only the fields whose information have been updated since the creation of the selected NCB Participant | | | | |

3.2.1.2.1.1. NCB Participant – Details screen

Context of Usage

This screen displays detailed information on the selected NCB Participant. You can check the data and proceed further by clicking on the buttons.

Screen Access

Depending how the screen is accessed, it can be used to show the valid information or the information that requires 4 eyes validation before they can be considered valid in the system.



| NCD Double | ment Details Course |
|------------------------|--|
| | pant – Details Screen |
| Button | Function |
| History | [Only for For Valid Information] |
| | This function enables you to access to the historical information of an NCB Participant. |
| | Next screen: |
| | - NCB Participant - History Screen. |
| Address Details | This function enables you to display the subsection Address Details |
| Additional Codes | This function enables you to display the subsection Additional Code |
| Tax Docu- mentation | This function enables you to display the subsection Tax Documentation |
| General Info | ormation |
| Field | Description |
| Party In- ternal Id | Internal unique identifier automatically assigned by the system |
| Party RIAD | Shows the RIAD Code that uniquely identifies the Party in the ECMS. |
| Code | Displayed format is: Max. 30 characters. |
| Party Short | Shows the short name of the Party. |
| Name | Displayed format is: Max. 35 characters. |



| Party Name | Shows the name of the Party. |
|---|--|
| | Displayed format is: Max. 350 characters. |
| Country Code | Shows the ISO-2 Code and the description of the country of location of the Party between those stored in the ECMS (Generic Data). |
| | Displayed: Max. 255 characters. |
| BIC | Shows the BIC Code of the Party in the ECMS. |
| | Displayed format is: Max. 11 characters |
| ECMS En- | Shows the ECMS Entity Type from the possible values: |
| tity Type | - Counterparties |
| | - Cross NCB |
| | - Non-euro Area CB |
| Banking Group Man- ager | Shows the RIAD Code and the ISO-2 Code of the Country of the Manager of the Banking Group to whom the Counterparty belongs to. |
| Add-on haircut | Shows the add-on haircut to be applied to the collateral mobilised by the Counterparty due to discretionary measures. |
| Country code of Banking Group Man- ager | Shows the country code of the Banking Group Manager. |
| Banking Group | For counterparty belonging to a banking group, shows the name Banking Group Manager. |
| Name | Displayed format is: Max. 350 characters. |
| Externally covered OMO parameter | Shows whether externally covered OMOs are authorised for the Counterparty or not from the possible values: - Yes - No |
| US Tax- | Shows the NCB Participant Certification Status from the possible values: |
| payer Certi- | - Beneficial Owner |
| fication Status | Qualified Intermediary A (QI-A) |
| Otatus | - Qualified Intermediary B. |
| | - Qualified Intermediary C. |
| | Non-qualified Intermediary |
| | - Unknown Recipient |
| US Corporate action taxation | Shows the tax Rate that the ECMS will apply to the NCB Participant when "INTR" CA Event on an Asset flagged as "QI-A asset" by an NCB having QI-A status from the possible values: |
| | – Normal |
| | - Reduced |
| Is QI Certi- fied | Shows whether the NCB Participan is or is not authorised to mobilise assets flagged as "QI-A asset" from the possible values: |
| | - Yes |
| | - No |
| Eligibility A | ttributes |



| Intraday | The possible values are: | | | | | | |
|----------------------------|--|--|--|--|--|--|--|
| Credit facil- ity | - Yes | | | | | | |
| ity | - No | | | | | | |
| Accounts | | | | | | | |
| Button | Function | | | | | | |
| Internal Asset Account | | | | | | | |
| | After selecting one of the Accounts you can view its details. | | | | | | |
| | Next screen: | | | | | | |
| | Internal Asset Account – Details Screen. | | | | | | |
| External Cash Ac- | Shows the list of External Cash Account that belong to the NCB Participant. | | | | | | |
| count | After selecting one of the Accounts you can view its details. | | | | | | |
| | Next screen: | | | | | | |
| | - External Cash Account - Details Screen. | | | | | | |
| Blocking | Shows the information of the blocking period of the NCB Participant. | | | | | | |
| Status | After selecting one record, you can view its details: | | | | | | |
| | Next screen: | | | | | | |
| | Counterparty Blocking Setup – Details Screen | | | | | | |
| Validation d | letails | | | | | | |
| Action To Validate | Shows if there is any action waiting for validation. | | | | | | |
| Rejected | Shows if any action subject to validation has been rejected. The possible values are: | | | | | | |
| | - Yes | | | | | | |
| | - No | | | | | | |
| Activation of | letails | | | | | | |
| Is Active | Shows whether the NCB Participant is active or not. The possible values are: | | | | | | |
| | – Yes | | | | | | |
| | - No | | | | | | |
| (De)Activa- tion Reason | Shows the reason informed when the NCB Participant was (de)activated. | | | | | | |
| Validity | Shows the date from which the NCB Participant is active. | | | | | | |
| Start Date | Displayed format is: DD/MM/YYYY. | | | | | | |
| | If the Party is not active (Is Active field = "false"), this field is empty. | | | | | | |
| | Shows the date from which the NCB Participant is not valid anymore. | | | | | | |
| Date | Displayed format is: DD/MM/YYYY | | | | | | |
| | The Validity End Date must be equal to or later than the Validity Start Date. If the NCB Participant is active, this field is empty. | | | | | | |
| Footprint | | | | | | | |
| Creation | Shows the date and time of the creation of the NCB Participant. | | | | | | |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | | | |
| Creation User Id | Shows the identification of the user that created the NCB Participant. | | | | | | |
| | | | | | | | |



| Update | Shows the date and time of the update of the NCB Participant. |
|---------------------|---|
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the NCB Participant. |
| Additional of | codes |
| The existing | additional codes to identify the NCB Participant are displayed. |
| Field | Description |
| Provider | Shows the provider of the Additional Code from the possible values: |
| | – LEI |
| 1 | - TPA Id |
| Additional | Shows the code assigned by the provider. |
| Code | Displayed format is: Max. 35 characters. |
| Footprint | |
| Creation | Shows the date and time of the creation of the additional code. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the additional code. |
| Update | Shows the date and time of the update of the additional code. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the additional code. |
| Address De | tails |
| The existing | addresses of the NCB Participant are displayed. |
| To view the | details of an existing mail address, select it and click on the View button. |
| Field | Description |
| Purpose | Shows the Purpose of the Address from the possible values: |
| | - Official |
| Street Ad- | Shows the street name of the address of the NCB Participant. |
| dress | Displayed format is: Max. 70 characters. |
| House | Shows the house number of the address of the NCB Participant. |
| Number | Displayed format is: Max. 16 characters. |
| Postal Code | Shows the postal code of the address of the NCB Participant. |
| | Displayed format is: Max. 16 characters. |
| City | Shows the city of the address of the NCB Participant. |
| | Displayed format is: Max. 70 characters. |
| State or | Shows the state or province of the address of the NCB Participant. |
| Province | Displayed format is: Max. 35 characters. |
| Country Code | Shows the ISO-2 Code and the description of the country code of the address of the NCB Participant. |
| | Displayed format is: Max. 255 characters. |
| To view the o | details of an existing technical address, select it and click on the View but- |
| Field | Description |
| Purpose | Shows the Purpose of the Address from the possible values: |
| - | - Official |



| | - Securities Settlement |
|---------------------|---|
| | - Securities Management |
| | |
| | - Payment |
| | - Cash Management |
| | - Corporate Actions |
| | - Margin Call |
| | - Credit Claims |
| | Collateral and Credit |
| | - Credit Freezing |
| Network | Shows the network from the possible values: |
| | - Swift |
| | - SIA Colt |
| Technical | Shows the technical address for the purpose and network selected. |
| Address | Displayed format is: Max. 256 characters |
| | details of an existing "BIC Address", select it and click on the View button |
| Field | Description |
| Purpose | Shows the Purpose of the Address from the possible values: |
| | - Official |
| | - Additional |
| BIC Ad- | Shows the BIC address of the Party. |
| dress | Required format is: Max.11 characters |
| | details of an existing email address, select it and click on the View button. |
| Field | Description |
| Purpose | Shows the Purpose of the Address from the possible values: – Official |
| Email | Shows the Email address for the purpose selected. |
| | Displayedformat is: Max. 255 characters |
| Footprint | |
| Creation | Shows the date and time of the creation of the record. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Creation User Id | Shows the identification of the user that created the record. |
| Update | Shows the date and time of the update of the record. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Updater User Id | Shows the identification of the user that made the last update of the record. |
| Tax Docum | nentation |
| The existing | g Tax Documentation is displayed |
| Field | Description |
| 1 | |
| Business Date | Business date of ECMS |
| | Shows the Id Code that identifies the document |



| | Shows the Jurisdiction from the possible non-EEA G10 and Eurosystem countries. |
|------------------------|--|
| Validity Start Date | Shows the first day when the Tax Documentation is valid |
| Validity End Date | Shows the last day when the Tax Documentation is valid |

3.2.1.2.2 NCB Custodian - Search Screen

| Context of Usage | This screen contains a number of search fields and shows the latest and stored searches. By inputting the relevant data, you can search for NCB Custodian. The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |
|---------------------|--|
| Screen Access | Reference Data>>Reference Data>>Parties Reference Data>>Entities Business Roles>>Create/Display NCB Custodian |
| Screen- shot | Create / Display: NCS Custodian Party Norm Party No |

| NCB Custo | dian – Search Screen |
|--------------------|---|
| Field | Description |
| Party RIAD Code | Enter/Select the RIAD Code that uniquely identifies the Party in the ECMS. |
| | Required format is: Max. 30 characters |
| Party | Enter the name of the Party. |
| Name | Required format is: Max. 350 characters. |
| Party Short | Enter the short name of the Party. |
| Name | Required format is: Max. 35 characters |
| Country Code | Enter/Select the country of location of the CSD between those stored in the ECMS (Generic Data). The magnifier icon can also be used. |
| | Required format: Max. 2 characters (SWIFT-x) |
| BIC | Enter the BIC Code of the Party in the ECMS. |
| | Required format is: Max. 11 characters |
| T2S CSD | Enter the BIC Code of the CSD in T2S. |
| BIC | Required format is: Max. 11 characters |
| Is CSD | Enter/Select whether the NCB Custodian is a domestic CSD or not considering the possible values: |
| | - Yes |
| | - No |
| Is Cross NCB | Enter/Select whether the NCB Custodian is a Cross NCB or not considering the possible values: |
| | • Yes |
| | • No |



| I- TDA | Total (Only a total and a MOD On to disprise TDA and to the site of the |
|------------------------|--|
| Is TPA | Enter/Select whether the NCB Custodian is a TPA or not considering the possible values: |
| | • Yes |
| | • No |
| Is Active | Enter/Select whether the NCB Custodian is active or not from the possible values: |
| | - Yes |
| | - No |
| Creation Date | Enter the reference date of the creation of the NCB Custodian or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Validity Start Date | Enter the date from which the NCB Custodian is active or use the calendar icon. |
| | Required format is: DD/MM/YYYY |
| Validity End Date | Enter the date from which the NCB Custodian is not active anymore or use the calendar icon. |
| | Required format is: DD/MM/YYYY |
| | The Validity End Date must be equal to or later than the Validity Start Date. If the NCB Custodian is active, this field is empty. |
| Update Date | Enter the reference date of the last update of the NCB Custodian or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | - NCB Custodian - List Screen. |
| | |

3.2.1.2.2.1 NCB Custodian - List Screen

| Context o | by the | ne val | ues o | of th | e 'Up | date | Date' | sults disp column in ou can pro | desc | cendi | ng o | rder | (defai | ult |
|-----------|--|--|--|---------------------------------|---|--|---|--|---|---|-----------|------------------------|--|--|
| Screen | | | | | | | | >>Parties | | | - | | | |
| Access | butto | | TOIC | | 0.000 | | ' ' | | | | | | | |
| | butto | on | TOIC | | | | . , | | | | | | | 2 |
| Screen- | Search Result | On :: Custodian | | | | | K < Poge_3 | _ d7 > X | | | | | Q | <u>へ</u> () 中本 即 () マ |
| Screen- | Search Result | ON :: Custodian | Country Code © | ⊽ is CSD • | ▽ is Cross NCB • | ▽ Is Active Φ | K < Page 3 | ef 7 > XI Validity End Date (*) Update Date (*) | Updater User Id 🖜 | BIC • S | T2S BIC ● | ▽ Is TPA 0 | Q 6/ | へ ★ 翻() ▽ Party Name • ▽ |
| Screen- | Search Result | Custodian Party Short Name Duroclear France | Country Code © S | is CSD • | is Cross NCB • | Is Active © | K < Page 3 Validity Start Dati6 01/10/2021 | et 7 | Updater User M \$100. ECMS OPERATOR 1 | BIC 6 SICVERPPIOX | | Is TPA 0 | Q 6/ Creation Date 8 * 01/10/2021 11:57/2 | 大間() マ Party Name 6 マ Le Euroclear France |
| Screen- | Search Result 10 Party RIAD Code t FR00000 E59000 | Party Short Name D Euroclear France | Country Code FRIFRANCE ESISPAIN | is CSD • Yes No | ▼ is Cross NCB No Ves | ▼ Is Active ◆ Yes Yes | | Out 7 > XI Validity (and Date 8 Update Date 8 2709/2022 14170. 00/09/2022 1429-3. | Update: User M \$70 ECMS OPERATOR 1 OPATO09 | BIC • S | | IS TPA • NO | Q 6/ Creation Date 0 01/10/2021 11:57:2 20/09/2021 16:57:0 | → ★ ★ (1) ♥ Party Name • ▼ Euroclear France Banco de Espana |
| Screen- | Search Result | Custodian Party Short Name Duroclear France | Country Code © S | is CSD • | is Cross NCB • | Is Active © | K < Page 3 Validity Start Dati6 01/10/2021 | et 7 | Updater User M © ECMS OPERATOR 1 OPATO09 STP | BIC 6 SICVERPPIOX | | Is TPA 0 | Q 6/ Creation Date 8 * 01/10/2021 11:57/2 | ★ 図 () ♡ Party Name 6 ♡ Euroclear France Banco de Espana CEDELUL |
| Screen- | Search Result 10 Party Platy (IAD Code FR999990 E59000 CLDEL | Party Short Namé : Euroclear France ESCB CEDE | Country Code • FRIFRANCE ESISPAIN ATIAUSTRIA | is CSD • Yes No No | SE Cross NCB © No Yes No | ▼ Is Active ◆ Vos Vos Vos Vos | | of 7 > XI Validity (not Dains \$ Update Date \$ 2709/2022 14170. 6009/2022 1499. 00/09/2022 1590.5 | Updater User at \$50 ECMS OPERATOR 1 OPAT009 STP | BIC 6 SICVERPPIOX | | IS TIVE O NO NO Yes | © Creation Date © 5 01/10/2021 11:57:2 20/09/2021 16:57:0 02/09/2022 15:15:1 | → ▼ ▼ ↑ ↑ ♥ Parry Narme ● ▼ Euroclear France Banco de Espana CEDEUL MSDLINSI |
| Screen- | Search Result 10 Party MAD Code FR99999 ES9000 CCDEL MSDL | C Party Short Name 1 Euroclear France ESCB CEDE MSDLIN | Country Code FRIFRANCE ESISPAIN ATIAUSTRIA ATIAUSTRIA | is CSD • Yes No No Ves | SECTORES NCIS © NO Ves NO NO NO | Ves Ves Ves Ves | | of 7 | Updates User of \$". ECMS OPERATOR 1 OPERATOR STP STP STP | BIC 6 SICVERPPIOX | | ISTITING NO NO Yes | © Creation Date 6* 01/10/2021 11.572 20/99/2021 16.573 02/99/2022 15.15.1 02/09/2022 15.25.1 | ★ 図B () ♥ Party Name © Euroclea France Banco de Europana CODEUL MIDDANASI BEDELUL |
| Screen- | Search Result Search Result Party IIIAD Code FR89090 ES9000 CEDEL MADA. BEDE | C Party Short Name) Eurobar France ESCB CDDE MODERN BEDEL | Country Code FRIFRANCE ESISPAIN ATIALISTRIA ATIALISTRIA ATIALISTRIA | is CSD • Yes No No No Ves No | is Cross NCB • No Yes No No No | Ves Ves Ves Ves Ves Ves Ves | K Page 3 | of 7 > 3 Validity first Date 8 Update Date 8 27/98/2022 1417/2 60/98/2022 16/28/3 60/98/2022 15/28/3 60/98/2022 15/28/3 | Updates User Ad 6" ECMS OPERATOR 1 OPATION STP STP STP STP | BIC 6 SICVERPPIOX | | No No Yes | Q Clession Date 6 101/02/02/11/57/2 20/09/2022 11/57/2 20/09/2022 15/15/1 20/09/2022 15/25/2 20/09/2022 15/25/2 20/09/2022 15/25/2 | ★ 図B (1) ♥ Party Name 6 ♥ Burcicles France Banco de Espana CODEUL MSIX-Nall BEDELUL |
| Screen- | Search Result Design FIAD Code FREEDOOD CEDEL MICE MICE MICE MICE MICE MICE MICE MICE | DN :: Custodian :: Custodian Experimental Euroclear France ESCB CCDE MSGLN BECEL NSDLI | Country Code © S FRIFRANCE ESISPAIN ATIALISTRIA ATIALISTRIA ATIALISTRIA ATIALISTRIA ATIALISTRIA | 7 is CSD • Yes No No Yes No Yes | ▼ is Cross NCB € NO Yes NO No No No No | Ves | Validity Start Date2 01/10/2021 08/09/2022 02/09/2022 02/09/2022 02/09/2022 | validy End Date \$ Update Date 6 Conference 5 Update Date 6 Conference 5 Conference | Dipdate User id 6 ECMS OPERATOR 1 OPATOS STP STP STP STP STP | BIC • SILVERPPLOX ESPBESMMOOX | | No No No Yes No Yes No | © Creation Date 6 of 1/10/2021 11 572 20/09/2021 15/573 20/09/2021 15/51 20/09/2021 15/51 20/09/2021 15/51 4 | The party Name of the process of the party Name |
| | Search Result 10 Perty RIAD Code t FR00000 E 50000 CEDEL NSIX. BEDEE NSSU. LUCSDTESTIG | Party Short Name of Burcolour France ESCB MISSIRN MEDICAL MISSIRN MEDICAL MISSIRN MISS | Country Code © S FREFRANCE ESSPAIN ATIALISTRIA ATIALISTRIA ATIALISTRIA ATIALISTRIA LUILLXEMBOURG | Ves No No Yes No Yes Yes Yes | is Cross NCB © No Yes No | ▼ Is Active ◆ Yes Yes Yes Yes Yes Yes Yes Ye | K C Page 3 | Valuey (not Date 9 Update Date 9 2709/2223 147.0 1009/222 16.93 0.009/2223 16.93 0.009/2223 16.93 0.009/2223 16.93 0.009/2222 16.93 0.009/2222 16.93 0.009/2222 16.93 0.009/2222 16.93 0.009/2222 16.93 0.009/2222 16.93 0.009/2222 16.93 0.009/2222 16.93 0.009/2222 16.93 0.009/22 16.93 0.009/22 16.93 0.009/22 16.93 0.009/22 16.93 0.009/22 16.93 0.009/22 16.93 0.009/22 16.93 0.009/22 16.93 0.009/22 16.93 0.009/22 16.93 0.009/22 16.93 0.009/22 16.93 0.009/22 16.93 0.009/22 16.93 0.009/22 16.93 0.009/22 16.93 0.009/22 16.93 0.009/22 16.9 | Update User at \$5°. ECMS OPERATOR 1 OPATOP9 STP STP STP STP STP STP STP | BILC SICVERPLOX ESPBESMMXXX LUXCULLX03 | | No No No Yes No Yes | Creation Date 8 0 10/10/2017 22/00/92/2011 16/37/2 20/09/2021 16/37/2 20/09/2021 16/37/2 20/09/2022 15/35/2 20/09/202 15/35/2 20/09/2000 15/35/2 20/09/2000 15/200 | The Comment of the Co |

| NCB Custo | dian – List Screen |
|------------------|--------------------|
| Field | Description |



| Party RIAD Code | Shows the RIAD Code that uniquely identifies the Party in the ECMS. | | | | | |
|--------------------|---|--|--|--|--|--|
| | Displayed format is: Max. 30 characters | | | | | |
| Party Name | Shows the name of the Party. | | | | | |
| | Displayed format is: Max. 350 characters. | | | | | |
| • | Shows the short name of the Party. | | | | | |
| Name | Displayed format is: Max. 35 characters | | | | | |
| Country Code | Shows the ISO-2 Code and the description of the country of location of the NCB Custodian between those stored in the ECMS (Generic Data). | | | | | |
| | Displayed format: Max. 255 characters. | | | | | |
| BIC | Shows the BIC Code of the Party in the ECMS. | | | | | |
| | Displayed format is: Max. 11 characters | | | | | |
| T2S CSD | Enter the BIC Code of the CSD in T2S. | | | | | |
| BIC | Required format is: Max. 11 characters | | | | | |
| Is CSD | Shows whether the NCB Custodian is a domestic CSD or not considering the possible values: | | | | | |
| | – Yes | | | | | |
| | - No | | | | | |
| Is Cross NCB | Shows whether the NCB Custodian is a Cross NCB or not considering the possible values: | | | | | |
| | • Yes | | | | | |
| | • No | | | | | |
| Is TPA | Shows whether the NCB Custodian is a TPA or not considering the possible values: | | | | | |
| | • Yes | | | | | |
| | • No | | | | | |
| Is Active | Shows whether the NCB Custodian is active or not from the possible values: | | | | | |
| | - Yes | | | | | |
| | – No | | | | | |
| Validity | Shows the date from which the NCB Custodian is active. | | | | | |
| Start Date | Displayed format is: DD/MM/YYYY | | | | | |
| Validity | Shows the date from which the NCB Custodian is not active anymore. | | | | | |
| End Date | Displayed format is: DD/MM/YYYY | | | | | |
| | The Validity End Date must be equal to or later than the Validity Start Date. If the NCB Custodian is active, this field is empty. | | | | | |
| Creation | Shows the date and time of the creation of the NCB Custodian . | | | | | |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs | | | | | |
| Update | Shows the date and time of the last update of the NCB Custodian. | | | | | |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs | | | | | |
| Updater User Id | Shows the identification of the user that made the last update of the NCB Custodian. | | | | | |
| After selecti | ng a record, the following buttons are displayed | | | | | |
| Button | Function | | | | | |
| History | This function enables you to access to the historical information of an NCB Custodian. | | | | | |



1

| | Next screen: |
|------|--|
| | NCB Custodian – History Screen. |
| View | This function enables you to access to the detailed information of an NCB Custodian. |
| | Next screen: |
| | - NCB Custodian - Details Screen. |

3.2.1.2.2.1. NCB Custodian – History screen

| NCB Custodian – History screen | | | | |
|--------------------------------|--|---------------------------------------|--|-----------------------------------|
| Context of Usage | This screen displays historical information that has changed on the selected NCB Custodian. You can check the data, including the user who made the changes, and proceed further by clicking on the buttons that are shown. | | | |
| Screen Access | Reference Data>>Reference Data>>Parties Reference Data>>Entities Business Roles>>Create/Display NCB Custodian>> Click on the search button (after inputting the relevant Reference Data, if needed) >> Select an NCB Custodian >> Click on the History button Reference Data>>Reference Data>>Parties Reference Data>>Entities Business Roles>>Create/Display NCB Custodian>> Search Button (after inputting the relevant Reference Data, if needed) >> Select an NCB Custodian >> Click on the View button (NCB Custodian - Details Screen) >> Click on the History Button | | | |
| Screenshot | History : NCB Custodian | | | Q |
| | Fields | · ▽ 89(2021-11-11 14:30:20:613(3 | | ♥ 89(2021-09-22-12.13:23:895() |
| | is CSD Update Date Icod | Yes 11/11/2021 14:30:20:613 No. | Yes 23/09/2021 13:16:28:270 | No 22/9/2021 13:13:32:895 |
| | Is Cross NCB | No Yes | No Yes | No Yes |
| | Party Internal Id Validity Start Date BIC | 89 23/09/2021 TPAOPTPP/XXX | 89 23/09/2021 TPAOPTPPXXX | 80 2.3469/2021 TPACETPRIXXX |
| | Issuer CSD Code Creation User Id Validity End Date | TPAPTOI STP | TPAPTO1 STP | TRAPTO1 5TP |
| | (2) difference(s) found. | | | |
| NCB Custod | ian – Histo | ory Screen | | |
| Field | Descripti | on | | |
| Fields | | e fields whose in selected NCI | | en updated since the cre- |
| Timestamp | Shows the | e date and time | when the fields have | ve been updated. |
| | Displayed | format is: DD/ | MM/YYYY hh:mm:s | s:µs. |
| Button | Descripti | on | | |
| Compare | Shows the been upda | | etween the selected | records whose data have |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected NCB Custodian. | | | |
| Show All | | | at existed before ea | ich modification of all the |
| Collapse All | | | nformation of the field selected NCB Custo | lds that have been updated odian. |
| Show Differ- ences Only | | • | ose information hav NCB Custodian. | e been updated since the |



3.2.1.2.2.2 NCB Custodian - Details screen

| 0 1 1 5 | | | | | |
|--|--|--|--|--|-----------|
| Context of Usage | | | | the selected NCB further by clicking | |
| Screen Ac- | | ta>>Doforonos | Doto>> Dortion | Reference Data>> | Entition |
| cess | Business Role | es>>Create/Dis | splay NCB Custo | dian >> Click on the Vie | ne |
| Screenshot | Search Result : Custodian > View: NCB Custodian Party Internal Id | Party FIAD Code | Party Name | BIC | History 🖪 |
| | Display Short Name CS00001 | CSD6681 Country Code FEFFRANCE | CSD0001 Issuer CSD Code CSD001 | TCSDATFRXXX | |
| | is CSD Nes | is Cross NCB Na | | | |
| | Is TPA No | | | | |
| | Additional Codes (6) Validation Details | ACCRESS DETAILS [6] | | | |
| | Action To Validate | | Rejected No | | |
| | Activation Details | | | | |
| | Is Active Yes Validity End Date | (De) Activation Rea | 3300 | Validity Start Date Outlands1 | |
| | | | | | _ |
| | Foot Print | | | | |
| NCB Custod | ian – Details S | creen | | | |
| Button | Description | | | | |
| History | This function of NCB Custodia | | access to the hi | storical informatior | of an |
| | Next screen: | | | | |
| | - NCB Custo | odian – History | Screen. | | |
| Addrose Do | | | | | |
| tails | This function tails | enables you | to display the s | ubsection Addre | ss De- |
| tails | tails | | | | |
| | tails | | | subsection Addressubsection Addition | |
| tails Additional | tails This function Code | | | | |
| tails Additional Codes | tails This function Code | | | | |
| tails Additional Codes General Info | tails This function Code mation Description | enables you | to display the s | | |
| tails Additional Codes General Information Field Party Internal | tails This function Code mation Description Internal unique | enables you | to display the somatically assign | ubsection Addition | onal |
| tails Additional Codes General Information Field Party Internal | This function Code rmation Description Internal unique | enables your | to display the somatically assignatically identifie | eubsection Addition | onal |
| tails Additional Codes General Information Field Party Internal Id Party RIAD Code | This function Code rmation Description Internal unique Shows the RIA Displayed form | enables you | to display the somatically assignatically identifies characters. | eubsection Addition | onal |
| tails Additional Codes General Information Field Party Internal Id Party RIAD | This function Code rmation Description Internal unique Shows the RIA Displayed form | e identifier auto AD Code that unat is: Max. 30 me of the Party | omatically assignatiquely identifie characters. | eubsection Addition | onal |
| tails Additional Codes General Information Field Party Internal Id Party RIAD Code Party Name | This function Code Tmation Description Internal unique Shows the RIA Displayed form Shows the nan Displayed form | enables you be identifier auto AD Code that unat is: Max. 30 me of the Party nat is: Max. 35 | to display the somatically assignatically identifies characters. | eubsection Addition | onal |
| tails Additional Codes General Information Field Party Internal Id Party RIAD Code | This function Code rmation Description Internal unique Shows the RIA Displayed form Shows the nan Displayed form Shows the shows the shows | e identifier autonat is: Max. 30 me of the Partynat is: Max. 35 ort name of the | omatically assignulariquely identified characters. O characters. Party. | eubsection Addition | onal |
| tails Additional Codes General Information Field Party Internal Id Party RIAD Code Party Name Party Short Name | This function Code Tmation Description Internal unique Shows the RIA Displayed form Shows the nan Displayed form Shows the sho | enables your elidentifier auto AD Code that unat is: Max. 30 me of the Party mat is: Max. 35 ort name of the mat is: Max. 35 | omatically assignationally identifies characters. O characters. Party. characters. | ned by the system | ecms. |
| tails Additional Codes General Information Field Party Internal Id Party RIAD Code Party Name Party Short Name Issuer CSD Code (as in | This function Code Tmation Description Internal unique Shows the RIA Displayed form Shows the nan Displayed form Shows the sho Displayed form Shows the sho Displayed form Shows the cou | enables your elidentifier auto AD Code that unat is: Max. 30 me of the Party mat is: Max. 35 ort name of the mat is: Max. 35 untry of location ic Data). | omatically assignational iniquely identified characters. O characters. Party. characters. characters. n of the CSD before | ned by the system s the Party in the E | ecms. |
| tails Additional Codes General Information Field Party Internal Id Party RIAD Code Party Name Party Short Name Issuer CSD Code (as in C2D/EA) | This function Code Tmation Description Internal unique Shows the RIA Displayed form Shows the sho Displayed form Shows the sho Displayed form Shows the cou ECMS (Gener Displayed form | enables you enables you enables you enables you enables you enables you enable enables and is: Max. 30 me of the enat is: Max. 35 ort name of the enat is: Max. 35 ort name of location ic Data). | omatically assignatically assignatically assignatically assignatically assignatically assignatically assignatically assignation of the control of the contro | ned by the system s the Party in the E | ecms. |
| tails Additional Codes General Information Field Party Internal Id Party RIAD Code Party Name Party Short Name Issuer CSD Code (as in | This function Code rmation Description Internal unique Shows the RIA Displayed form Shows the sho Displayed form Shows the cou ECMS (Gener Displayed form Shows the ISO | enables you enables you enables you enables you enables you enables you enable enables and is: Max. 30 me of the enat is: Max. 35 ort name of the enat is: Max. 35 ort name of location ic Data). | omatically assignatically assignatically assignatically assignatically assignatically assignatically assignatically assignatically assignation of the assignation of | ned by the system s the Party in the E | ecms. |
| tails Additional Codes General Information Field Party Internal Id Party RIAD Code Party Name Party Short Name Issuer CSD Code (as in C2D/EA) Country | This function Code Tmation Description Internal unique Shows the RIA Displayed form Shows the nan Displayed form Shows the sho Displayed form Shows the cou ECMS (Gener Displayed form Shows the ISC address of the | e identifier automat is: Max. 35 ort name of the nat is: Max. 35 untry of locationic Data). | omatically assignatically assignatically assignatically assignatically assignatically assignatically assignatically assignation of the control of the contro | ned by the system s the Party in the E | ecms. |
| tails Additional Codes General Information Field Party Internal Id Party RIAD Code Party Name Party Short Name Issuer CSD Code (as in C2D/EA) Country | This function Code Tmation Description Internal unique Shows the RIA Displayed form Shows the nan Displayed form Shows the sho Displayed form Shows the cou ECMS (Gener Displayed form Shows the ISC address of the | enables your elidentifier auto AD Code that unat is: Max. 30 me of the Party mat is: Max. 35 ort name of the mat is: Max. 35 untry of location ic Data). mat: Max. 6 cha D-2 Code and to NCB Custodia mat: Max. 255 of | omatically assignatically assignatically assignatically assignatically assignatically assignatically assignatically assignation of the control of the contro | tween those stored | ecms. |
| tails Additional Codes General Information Field Party Internal Id Party RIAD Code Party Name Party Short Name Issuer CSD Code (as in C2D/EA) Country Code | This function Code Tmation Description Internal unique Shows the RIA Displayed form Shows the sho Displayed form Shows the cou ECMS (Gener Displayed form Shows the ISC address of the Displayed form Shows the BIC | enables your elidentifier auto AD Code that unat is: Max. 30 me of the Party mat is: Max. 35 ort name of the mat is: Max. 35 untry of location ic Data). mat: Max. 6 cha D-2 Code and to NCB Custodia mat: Max. 255 of | omatically assignatically assignatically assignatically assignatically assignatically identifies characters. O characters. Party. characters. n of the CSD before a caters (SWIFT) the description of an. characters. Party in the ECM | tween those stored | ecms. |
| tails Additional Codes General Information Field Party Internal Id Party RIAD Code Party Name Party Short Name Issuer CSD Code (as in C2D/EA) Country Code | This function Code Tmation Description Internal unique Shows the RIA Displayed form Shows the nan Displayed form Shows the sho Displayed form Shows the ISO address of the Displayed form Shows the ISO address of the Displayed form Shows the BIO Displayed form | e identifier automat is: Max. 35 ort name of the nat is: Max. 35 ort name of the nat is: Max. 35 ort name of locationic Data). nat: Max. 6 chart of the nat: Max. 6 chart name of the nat: Max. 6 chart nat: Max. 6 chart nat: Max. 6 chart nat: Max. 255 or Code of the nat: M | omatically assignatically assignatically assignatically assignatically assignation of the characters. The characters of the CSD before the description of the characters. The characters of the characters. The characters of the characters of the characters. The characters of the characters of the characters. The characters of the characters of the characters. | tween those stored | ecms. |



| Is CSD | Shows whether the NCB Custodian is a domestic CSD or not considering the possible values: |
|----------------------------|---|
| | - Yes |
| | - No |
| Is Cross NCB | Shows whether the NCB Custodian is a Cross NCB or not considering the possible values: |
| | • Yes |
| | • No |
| Is TPA | Shows whether the NCB Custodian is a TPA or not considering the possible values: |
| | • Yes |
| | • No |
| Validation de | tails |
| Action To Validate | Shows if there is any action waiting for validation. |
| Rejected | Shows if any action subject to validation has been rejected. The possible values are: |
| | - Yes |
| | - No |
| Activation de | etails |
| Is Active | Shows whether the NCB Custodian is active or not. The possible values are: |
| | - Yes |
| | - No |
| (De)Activa- tion Reason | Shows the reason informed when the NCB Custodian was (de)activated. |
| Validity Start | Shows the date from which the NCB Custodian is active. |
| Date | Displayed format is: DD/MM/YYYY. |
| | If the NCB Custodian is not active (Is Active field = "No"), this field is empty. |
| Validity End Date | Shows the date from which the NCB Custodian is not active anymore. |
| | Displayed format is: DD/MM/YYYY. — The Validity End Date must be equal to or later than the Validity |
| | Start Date. — If the NCB Custodian is active, this field is empty. |
| Footprint | |
| Creation | Shows the date and time of the creation of the NCB Custodian. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Creation User Id | Shows the identification of the user that created the NCB Custodian. |
| Update Date | Shows the date and time of the update of the NCB Custodian. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Updater User Id | Shows the identification of the user that made the last update of the NCB Custodian. |
| Additional co | odes |
| The existing a | dditional codes to identify the NCB Custodian are displayed. |
| | |



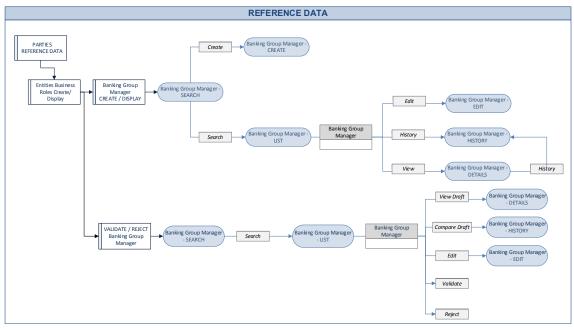
| Field | Description |
|---------------------|--|
| Provider | Shows the provider of the Additional Code from the possible values: |
| | – LEI |
| | - TPA ld |
| Additional | Shows the code assigned by the provider. |
| Code | Displayed format is: Max. 35 characters. |
| Footprint | 1 11 27 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 |
| Creation | Shows the date and time of the creation of the additional code. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Creation User Id | Shows the identification of the user that created the additional code. |
| Update Date | Shows the date and time of the update of the additional code. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Updater User Id | Shows the identification of the user that made the last update of the additional code. |
| Address Deta | ails |
| The existing a | ddresses of the NCB Custodian are displayed. |
| To view the de | etails of an existing mail address, select it and click on the View button. |
| Field | Description |
| Purpose | Shows the Purpose of the Address from the possible values: |
| | - Official |
| Street Ad- | Shows the street name of the address of the NCB Custodian. |
| dress | Displayed format is: Max. 70 characters. |
| House Num- | Shows the house number of the address of the NCB Custodian. |
| ber | Displayed format is: Max. 16 characters. |
| Postal Code | Shows the postal code of the address of the NCB Custodian. |
| | Displayed format is: Max. 16 characters. |
| City | Shows the city of the address of the NCB Custodian. |
| | Displayed format is: Max. 70 characters. |
| State or | Shows the state or province of the address of the NCB Custodian. |
| Province | Displayed format is: Max. 35 characters. |
| Country Code | Shows the ISO-2 Cod and the description of the country code of the address of the NCB Custodian. |
| | Displayed format is: Max. 255 characters. |
| To view the deton. | etails of an existing technical address, select it and click on the View but- |
| Field | Description |
| Purpose | Shows the Purpose of the Address from the possible values: |
| | - Official |
| Network | Shows the network from the possible values: |
| | - Swift |
| | - SIA Colt |
| Technical | Shows the technical address for the purpose and network selected. |
| Address | Displayed format is: Max. 256 characters |



| To view the de | etails of an existing email address, select it and click on the View button. |
|---------------------|---|
| Field | Description |
| Purpose | Shows the Purpose of the Address from the possible values: |
| | - Official |
| Email | Shows the Email address for the purpose selected. |
| | Displayed format is: Max. 255 characters |
| To view the de | etails of an existing "BIC Address", select it and click on the View button |
| Field | Description |
| Purpose | Shows the Purpose of the Address from the possible values: |
| | - Official |
| | Securities Settlement |
| BIC Address | Shows the BIC address for the purpose selected |
| | Displayed format is: Max. 11 characters |
| Footprint | |
| Creation | Shows the date and time of the creation of the record. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the record. |
| Update Date | Shows the date and time of the update of the record. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Updater User Id | Shows the identification of the user that made the last update of the record. |

3.2.1.2.3 Banking Group Manager

3.2.1.2.3.1 Banking Group Manager Sitemap





3.2.1.2.3.2 Banking Group Manager Create / Display

3.2.1.2.3.2. Banking Group Manager – Search Screen

| Context of Us- | This screen contains a number of search fields. By inputting the rel- |
|------------------------|--|
| age | evant data, you can search for the Banking Group Managers. |
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |
| 0 4 | |
| Screen Access | valid information of the Banking Group Managers or the information that requires 4 eyes validation before they can be considered valid in the system. |
| | For valid information: |
| | Reference Data >> Reference Data >> Parties Reference Data >> Entities Business Roles >> Create/Display Banking Group Manager |
| | For information subject to 4 eyes validation: |
| | Reference Data>>Validation / Rejection>>Parties Reference Data>>Validate/Reject Banking Group Manager |
| Screenshot | Create / Display: Banking Group Manager Party Moc Traine • • • Country Code • • • Code • • Code • • • Code • • Code • • Code • Code • • Code • Co |
| | NACTOR •• V Validity Cont Date •• V Digital Color •• V Digital Color •• V |
| | © 0 mm Q mm3 |
| Banking Group | Manager – Search screen |
| Field | Description |
| Party RIAD Code | Enter / Select the RIAD Code that identifies in the ECMS the Party with role Banking Group Manager. |
| | Required format is: Max. 30 characters. |
| Party Short | Enter the short name of the Party with the role Banking Group Man- |
| Name | ager. |
| Dorty Namo | Required format is: Max. 35 characters. |
| Party Name | Enter the name of the Party. Required format is: May 250 characters |
| Country Code | Required format is: Max. 350 characters. Enter / Select the country of the Banking Group Manager between |
| Country Code | those stored in the ECMS (Generic Data). The magnifier icon can also be used. |
| | Required format: Max. 2 characters (SWIFT-x) |
| Is Active | Enter / Select whether the Banking Group Manager is active or not from the possible values: |
| | - Yes |
| | - No |
| Creation Date | Enter the reference date of the creation of the Banking Group Manager or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Validity Start Date | Enter the date from which the Banking Group Manager is active or use the calendar icon. |
| | Required format is: DD/MM/YYYY |
| Validity End Date | Enter the date from whichthe Banking Group Manager is not active anymore or use the calendar icon. |



| | Paguired formatic: DD/MM/VVVV |
|-------------|--|
| | Required format is: DD/MM/YYYY |
| | The Validity End Date must be equal to or later than the Validity Start Date. If the Banking Group Manager is active, this field is empty. |
| Update Date | Enter the reference date of the last update of the Banking Group Manager or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Create | This function enables you to create a new Banking Group Manager. |
| | Next screen: |
| | Banking Group Manager – Create Screen. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | Banking Group Manager – List Screen. |

3.2.1.2.3.2.1 Banking Group Manager - List Screen

| Balikilig Group | Manager - List Screen | | |
|---------------------|--|--|--|
| Context of Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. | | |
| Screen Access | valid information of the Banking Group Managers or the information that requires 4 eyes validation before they can be considered valid in the system. | | |
| | For valid information: | | |
| | Reference Data >> Reference Data >> Parties Reference Data >> Entities Business Roles >> Create/Display Banking Group Manager >> Click on the search button (after inputting the relevant Reference Data, if needed) | | |
| | For information subject to 4 eyes validation: | | |
| | Reference Data>>Validation / Rejection>>Parties Reference Data>>Validate/Reject Banking Group Manager >> Click on the search button | | |
| Screenshot | Search Result : Sentling Group Manager | | |
| l | Implified Code To Planty Source Novement Planty Source Novement Codes Code Code | | |
| | Common Common Conference Common Conferen | | |
| Banking Group | Manager – List Screen | | |
| Field | Description | | |
| Party RIAD | Shows the RIAD Code that uniquely identifies the Party in the ECMS. | | |
| Code | Displayed format is: Max. 30 characters | | |
| Party Short Name | Shows the short name of the Party with the role Banking Group Marager. | | |
| | Displayed format is: Max. 35 characters. | | |
| Party Name | Shows the name of the Party. | | |



| | Displayed format is: Max. 350 characters. |
|-------------------------------------|--|
| Country Code | Shows the ISO-2 Code and the description of the country of the Party between those stored in the ECMS (Generic Data). |
| | Displayed format: Max. 255 characters. |
| Is Active | Shows whether the Banking Group Manager is active or not from the possible values: |
| | - Yes |
| | – No |
| Validity Start | Shows the date from which the Banking Group Manager is active. |
| Date | Displayed format is: DD/MM/YYYY |
| Validity End Date | Shows the date from which the Banking Group Manager is not active anymore. |
| | Displayed format is: DD/MM/YYYY |
| | The Validity End Date must be equal to or later than the Validity Start Date. If the Banking Group Manager is active, this field is empty. |
| Creation Date | Shows the date and time of the creation of the Banking Group Manager. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Update Date | Shows the date and time of the last update of the Banking Group Manager. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Updater User Id | Shows the identification of the user that made the last update of the Banking Group Manager |
| After selecting a | record, the following buttons are displayed |
| Button | Function |
| History | [Only for For Valid Information] |
| | This function enables you to access to the historical information of a Banking Group Manager. |
| | Next screen: |
| | Banking Group Manager – History Screen. |
| Edit | This function enables you to edit a Banking Group Manager. |
| | Next screen: |
| | Banking Group Manager – Edit Screen. |
| View | This function enables you to access to the detailed information of a Banking Group Manager. |
| | Next screen: |
| | Banking Group Manager – Details Screen. |
| If the screen is u played when a re | sed in the 4 eyes validation context, the following buttons are also disecord is selected |
| Action to Valida | te = Creation |
| In case of creation | on of new data by 4-eyes user, the validator user will validate/reject. |
| Button | Function |
| Edit | This function allows the validator user to edit and modify the draft. |
| View | This function enables the validator user to view the draft record to be validated or rejected. |



| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system | | |
|------------------|--|--|--|
| Reject | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. | | |
| In case the reco | rd has been rejected the only available options for this record will be: | | |
| View | This function allows the user to view the rejected record. | | |
| Action to Valid | ate = Update | | |
| | e of data by 4-eyes user, the validator user can validate/reject/edit. To o go first in the show/compare draft button. | | |
| Button | Function | | |
| View | This function enables the user to view the draft record to be validated or rejected. | | |
| Edit Draft | This function allows the user to edit and modify the draft. | | |
| Show Draft | This function enables the validator user to view the draft record to be validated or rejected. | | |
| Compare Draft | In case the 4 eyes validation is required because of an update of the record, this function enables the validator user to display the change that needs to be validated. | | |
| Once you click o | on Show Draft or Compare Draft buttons: | | |
| Reject Draft | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. | | |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system | | |
| In case the reco | rd has been rejected the only available options for this record will be: | | |
| View | This function allows the user to view the rejected record. | | |

3.2.1.2.3.2.1 Banking Group Manager – History Screen

.1.1

| Context of Usage | This screen displays historical information that has changed on the selected Banking Group Manager. You can check the data, including the user who made the changes, and proceed further by clicking on the buttons that are shown. |
|------------------|--|
| Screen Access | Reference Data >> Reference Data >> Parties Reference Data >> Entities Business Roles >> Create/Display Banking Group Manager >> Search Button (after inputting the relevant Reference Data, if needed) >> Select a Banking Group Manager >> Click on the History button |
| | Reference Data >> Reference Data >> Parties Reference Data >> Entities Business Roles >> Create/Display Banking Group Manager >> Search Button (after inputting the relevant Reference Data, if needed) >> Select a Banking Group Manager >> Click on the View button (Banking Group Manager - Details Screen) >> Click on the History Button |



| Screenshot | horizontalHistoryResult : BG Manager | |
|----------------------------|--|---|
| Scieensilot | | Q_I Corpora Expend At Down Untersection . |
| | Fields | 7 1250001-10-77 16-02-91 7241 |
| | | |
| | Party Internal Id | 125 |
| | ADDRESS DETAILS Additional Codes | |
| | Is Active | 766 |
| | Rejected Party Internal Id | 125 |
| | Action To Validate | |
| | Validity Start Date | 27/10/2021 |
| | Allied Type Being Deactivated | 700 |
| | BIC | |
| | Comment Corporate Name | |
| | Date Of Entry In Relation | 27/10/2021 |
| | Deactivated Permanently | No. |
| | Description Economic Agent Category | |
| | Lei | |
| | Professional Category | |
| | Rejection Reason Country Code | |
| | Validation Status | |
| | Validation Status | |
| | Creation Date Creation User Id | 277102001 to 2251-724 CMRTSTHCBUSER |
| | (0) difference(s) found. | |
| Banking Group | Manager - | - History Screen |
| Field | Description | on |
| Fields | | fields whose information have been updated since the the selected Banking Group Manager. |
| Timestamp | Shows the | date and time when the fields have been updated. |
| | Displayed | format is: DD/MM/YYYY hh:mm:ss:µs. |
| Button | Description | on |
| Compare | Shows the have been | differences between the selected records whose data updated. |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected Banking Group Manager. | |
| Show All | | information that existed before each modification of all the rding the selected Banking Group Manager. |
| Collapse All | • | ne expanded information of the fields that have been uper the creation of the selected Banking Group Manager. |
| Show Differ- ences Only | | y the fields whose information have been updated since n of the selected Banking Group Manager |

3.2.1.2.3.2.1 Banking Group Manager – Details Screen

.2

| Context of Usage | This screen displays detailed information on the selected Banking Group Manager. You can check the data and proceed further by clicking on the buttons. |
|------------------|--|
| Screen Access | Depending how the screen is accessed, it can be used to show the valid information or the information that requires 4 eyes validation before they can be considered valid in the system. |
| | For valid information: |
| | Reference Data >> Reference Data >> Parties Reference Data >> Entities Business Roles >> Create/Display Banking Group Manager >> Click on the <i>search</i> button (after inputting the relevant Reference Data, if needed) >> Select a Banking Group Manager >> Click on the <i>View</i> button |
| | For information subject to 4 eyes validation: |



| | Reference Data>>Val Data>>Validate/Reject search button (after in >> Select a Banking (| t Banking G putting the | Froup Mana relevant Re | ger >> Click on tl ference Data, if r | needed) |
|--------------------------|---|---|---------------------------|--|------------|
| Screenshot | Search Result. Banking Group Manager > View. Banking Group Manager Party manual S Party Mul Cook Id S Nation Control Cook Nation NATIONAL S Party Tune NACOVITI | | Party Stort Name NLCPTV1 | | History (A |
| | Activation Details Is Active Yes | Validity Start Date 2594/2021 | | Validity End Date | |
| | | | | (Dejactivation Reason Automated Reason | |
| | Validation Details Action To Validate | | Rema | | |
| | ALCOHOL IN TRANSPORT | | No No | | |
| | Feor Print Creation Date 1104/2621 Id-3251/124 | Creation User Id DNBTESTNCBUSER | | Update Date 27/0/2021 16/2:49:724 | <u> </u> |
| | Update User Id DNBTESTNCBUSER | | | | |
| Ranking Group | Manager – Details So | roon | | | |
| Field | Description | ,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,, | | | |
| History | [Only for For Valid Info | ormation1 | | | |
| i notor y | his function enables y | - | e to the hiel | torical information | of a |
| | Banking Group Manag | | S to the ms | ioricai iriiorriatioi | i Oi a |
| | Next screen: | , | | | |
| | | nagar Hig | story Scrool | 2 | |
| General Informa | │ | ınayer – mis | story Screen | II. | |
| Object | Description | | | | |
| | Internal unique identif | er automati | cally accide | and by the eyeten | n |
| Party RIAD | | | | | |
| Code | Shows the RIAD Code that uniquely identifies the Party in the ECMS to whom the role is assigned. | | | | |
| | Displayed format is: M | | | | |
| Party Short | Shows the short name of the Party. | | | | |
| Name | Displayed format is: Max. 35 characters | | | | |
| Party Name | Shows the name of the Party. | | | | |
| | Displayed format is: Max. 350 characters. | | | | |
| Country Code | Shows the ISO-2 Code and the description of the country of the Party between those stored in the ECMS (Generic Data). | | | | |
| | Displayed: Max. 255 characters. | | | | |
| Activation detail | ils | | | | |
| Is Active | Shows whether the Bapossible values are: | anking Grou | ıp Manager | is active or not. | The |
| | - Yes | | | | |
| | – No | | | | |
| (De)Activation Reason | Shows the reason info (de)activated. | ormed when | the Bankin | ng Group Manage | er was |
| Validity Start | Shows the date from which the Banking Group Manager is active. | | | | |
| Date | Displayed format is: DD/MM/YYYY. | | | | |
| | If the Banking Group Manager is not active (Is Active field = "false"), this field is empty. | | | | alse"), |
| Validity End Date | Shows the date from vanymore. | which the Ba | anking Grou | up Manager is no | t active |



| | Displayed format is: DD/MM/YYYY | |
|--------------------|--|--|
| | The Validity End Date must be equal to or later than the Validity Start Date. If the Banking Group Manager is active, this field is empty. | |
| Validation detai | Is | |
| Action To Validate | Shows if there is any action waiting for validation. | |
| Rejected | Shows if any action subject to validation has been rejected. The possible values are: | |
| | - Yes | |
| | - No | |
| Foot Print | | |
| Creation Date | Shows the date and time of the creation of the Banking Group Manager. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Creation User Id | Shows the identification of the user that created the Banking Group Manager. | |
| Update Date | Shows the date and time of the update of the Banking Group Manager. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Updater User Id | Shows the identification of the user that made the last update of the Banking Group Manager. | |

3.2.2 Accounts Reference Data

For bookkeeping collateral positions, the ECMS maintains **Internal Asset Accounts** used by Counterparties and NCBs. Those internal accounts are opened and operated directly in the ECMS.

For the settlement of marketable asset instructions, the ECMS makes use of **External Asset Accounts** opened or registered in CSD books and configured in T2S. Those securities accounts are not opened in the books of a National Central Bank in the ECMS, but it is just a reference to an account existing outside the ECMS. However, those accounts need to be configured in the ECMS reference data repository as they are used in the ECMS to mirror the market positions so that the ECMS can perform business checks on them, send settlement instructions for marketable assets and reconcile securities position towards CSDs and correspondent NCBs.

For the settlement of cash operations and for the provision of intraday liquidity, the ECMS also makes use of **External Cash Accounts** operated by external systems such as TARGET Services (CLM). Those cash accounts are not either opened directly in the ECMS but need to be setup as reference data. The ECMS uses them to send payment instructions but it does not record the cash balance on those accounts.

3.2.2.1 Internal Asset Account – Create Display

3.2.2.1.1 Internal Asset Account - Search Screen

| Context of | This screen contains a number of search fields and shows the latest and |
|------------|--|
| Usage | stored searches. By inputting the relevant data, you can search for In- |
| | ternal Asset Accounts. The search results will be displayed in the <i>Internal Asset Accounts – List</i> Screen. |



| Screen Access | Depending how the screen is accessed, it can be used to search the valid information of the Accounts or the information that requires 4 eyes validation before they can be considered valid in the system. | | | |
|---------------|--|--|--|--|
| | For valid information: | | | |
| | Reference Data >> Reference Data >> Accounts Reference Data >> Create / Display Internal Asset Account | | | |
| | For information subject to 4 eyes validation: | | | |
| | Reference Data>>Validation / Rejection>>Accounts Reference Data>>Validate/Reject Internal Asset Account | | | |
| Screenshot | Search: Insteam Asser Accounts | | | |
| | Account findings as Account type as Account ty | | | |
| | Account Service: Collectediation Account Service: Account Servic | | | |
| | Voldely Start Date •• ▼ | | | |
| | © Create Q. Search | | | |

| Internal Ass | set Account – Search Screen |
|-------------------------------------|--|
| Field | Description |
| Account Owner | Enter/Select the RIAD Code that uniquely identifies the Party in the ECMS to whom the account belongs to and the Party Short Name from the possible values: - NCB Participant |
| Account | Required format is: Max. 70 characters. Enter/Select the Internal Asset Account reference. |
| Reference | |
| Account | Required format is: Max. 35 characters. Enter the name of the Internal Asset Account. |
| Name | Required format is: Max. 255 characters. |
| Account Servicer | Enter the RIAD Code that uniquely identifies the Party in the ECMS that is the servicer of the account and the Party Short Name from the possible values: |
| | - Tenant del NCB |
| | Required format is: Max. 70 characters. |
| Account Type | Enter/Select the type of the Internal Asset Account from the possible values: |
| | ECMS Counterparty Asset Account |
| | - ECMS Cross NCB Asset Account |
| | ECMS Non-euro area CB Asset Account |
| | - ECMS NCB Asset Account |
| Asset Cat- egory | Enter/Select the category of the assets hold by the Internal Asset Account from the possible values: |
| | Marketable Assets Account |
| | - Credit Claims Account |
| Collateral- isation Technique | Enter/Select the type of the assets hold by the Internal Asset Account from the possible values: |
| | - PLEDGE |
| | - REPO |
| | - Assignment |

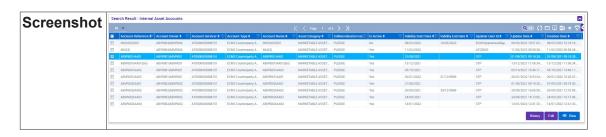


| | - Floating Charge | | |
|------------------------|--|--|--|
| Creation Date | Enter the reference date of the creation of the Account. The calendar icon can also be used. | | |
| | Required format is: DD/MM/YYYY. | | |
| Validity Start Date | Enter the reference date of the activation of the Account. The calendar icon can also be used. | | |
| | Required format is: DD/MM/YYYY. | | |
| Validity End Date | Enter the reference date of the closing of the Account or use the calendar icon. | | |
| | Required format is: DD/MM/YYYY. | | |
| | The Validity End Date must be equal to or later than the Validity Start Date. | | |
| Update Date | Enter the reference date of the last update of the Account. The calendar icon can also be used. | | |
| | Required format is: DD/MM/YYYY. | | |
| Is Active | Enter/Select whether the Internal Asset Account is active or not from the possible values: | | |
| | - Yes | | |
| | – No | | |
| Button | Function | | |
| Reset | This function enables you to clear the form. | | |
| Create | This function enables you to create a new Internal Asset Account. | | |
| | Next screen: | | |
| | Internal Asset Account – Create Screen. | | |
| Search | This function enables you to start a search according to the criteria entered. The results are displayed in a list on the List Screen. | | |
| | Next screen: | | |
| | - Internal Asset Account - List Screen. | | |

3.2.2.1.1.1 Internal Asset Account – List Screen

| Context of Usage | This screen contains the search results regarding the Internal Asset Accounts displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. |
|---------------------|---|
| Screen Access | Depending how the screen is accessed, it can be used to list the valid information of the Accounts or the information that requires 4 eyes validation before they can be considered valid in the system. For valid information: |
| | Reference Data >> Reference Data >> Accounts Reference Data >> Create / Display Internal Asset Accounts Create/Display >> Click on the Search button (after inputting the relevant Reference Data, if needed) For information subject to 4 eyes validation: |
| | Reference Data>>Validation / Rejection>>Accounts Reference Data>>Validate/Reject Internal Asset Account>> Click on the Search button |





| Internal Ass | set Account – List Screen |
|------------------------|---|
| Field | Description |
| Account | Shows the Internal Asset Account reference. |
| Reference | Displayed format is: Max. 35 characters. |
| Account Owner | Shows the RIAD Code that uniquely identifies the Party in the ECMS to whom the account belongs to. |
| | Displayed format is: Max. 30 characters. |
| Account Owner | Shows the Party Short Name of the Party in the ECMS to whom the account belongs to. |
| (PSN) | Displayed format is: Max. 35 characters. |
| Account | Shows the name of the Internal Asset Account. |
| Name | Displayed format is: Max. 255 characters. |
| Account Servicer | Shows the RIAD Code that uniquely identifies the Party in the ECMS that is the servicer of the account. |
| | Displayed format is: Max. 30 characters. |
| Account | Shows the type of the Internal Asset Account from the possible values: |
| Туре | ECMS Counterparty Asset Account |
| | - ECMS Cross NCB Asset Account |
| | ECMS Non-euro area CB Asset Account |
| | - ECMS NCB Asset Account |
| Asset Cat- egory | Shows the category of the assets hold by the Internal Asset Account from the possible values: |
| | Marketable Assets Account |
| | - Credit Claims Account |
| Collateral- isation | Shows the type of the assets hold by the Internal Asset Account from the possible values: |
| Technique | - PLEDGE |
| | - REPO |
| | - Assignment |
| | - Floating Charge |
| Validity | Shows the date from which the Internal Asset Account is active. |
| Start Date | Displayed format is: DD/MM/YYYY. |
| Is Active | Shows whether the Internal Asset Account is active or not from the possible values: |
| | - Yes |
| | - No |
| Validity End Date | Shows the date from which the Party is closed. |



| | Displayed format is: DD/MM/YYYY. | | | |
|--------------------|--|--|--|--|
| | If the Account is active, this field is empty. | | | |
| | The Validity End Date must be equal to or later than the Validity Start | | | |
| | Date. | | | |
| Creation | Shows the date and time of the creation of the Account. | | | |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | |
| Update | Shows the date and time of the last update of the Account. | | | |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | |
| Updater User Id | Shows the identification of the user that made the last update of the Account. | | | |
| After selectir | ng a record, the following buttons are displayed | | | |
| Button | Function | | | |
| History | [Only for For Valid Information] | | | |
| | This function enables you to access to the historical information of an Account. | | | |
| | Next screen: | | | |
| | - Internal Asset Account - History Screen. | | | |
| Edit | This function enables you to edit an Account. | | | |
| | Next screen: | | | |
| | - Internal Asset Account - Edit Screen. | | | |
| View | This function enables you to access to the detailed information of an Account. | | | |
| | Next screen: | | | |
| | - Internal Asset Account- Details Screen. | | | |
| | is used in the 4 eyes validation context, the following buttons are also dis- | | | |
| Action to Va | alidate = Creation | | | |
| In case of cr | eation of new data by 4-eyes user, the validator user will validate/reject. | | | |
| Button | Function | | | |
| Edit | This function allows the validator user to edit and modify the draft. | | | |
| View | This function enables the validator user to view the draft record to be validated or rejected. | | | |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system | | | |
| Reject | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. | | | |
| In case the r | record has been rejected the only available options for this record will be: | | | |
| View | This function allows the user to view the rejected record. | | | |
| Action to Va | alidate = Update | | | |
| · | odate of data by 4-eyes user, the validator user can validate/reject/edit. To ds to go first in the show/compare draft button. | | | |
| Button | Function | | | |
| View | This function enables the user to view the draft record to be validated or rejected. | | | |
| Edit Draft | This function allows the user to edit and modify the draft. | | | |
| | | | | |



| Show Draft | This function enables the validator user to view the draft record to be validated or rejected. | | |
|------------------|--|--|--|
| Compare Draft | In case the 4 eyes validation is required because of an update of the record, this function enables the validator user to display the change that needs to be validated. | | |
| Once you clic | Once you click on Show Draft or Compare Draft buttons: | | |
| Reject Draft | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. | | |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system | | |
| In case the re | In case the record has been rejected the only available options for this record will be: | | |
| View | This function allows the user to view the rejected record. | | |

3.2.2.1.1.1. Internal Asset Account – History Screen

| Context of Usage | | en displays historical information on the selected Internal Asset You can check the data and proceed further by clicking on the elow. |
|------------------|--|--|
| Screen Access | Create the Se | ence Data >> Reference Data >> Accounts Reference Data >> e / Display Internal Asset Accounts Create/Display >> Click on arch button (after inputting the relevant Reference Data, if d) >> Select an Internal Asset Account >> Click on the History |
| | Create the Se needed | ence Data >> Reference Data >> Accounts Reference Data >> Accounts Prize / Display Internal Asset Accounts Create/Display >> Click on arch button (after inputting the relevant Reference Data, if d) >> Select an Internal Asset Account >> Click on the View (Internal Asset Account — Details Screen) >> Click on the History |
| _ | | |
| Screenshot | History : Internal Asset Account | 8 |
| 00.00 | | Q1 N |
| | Fields | © ARYROSGAA(1) (2021 69 01 11:32:19 ARYR |
| | | |
| | Account Reference | A89F0000AA01 |
| | Account Name | AB19000AA01 |
| | Account Servicer | AT0000001888151 |
| | Account Type | ECMS Counterparty Asset Account |
| | Asset Category | MANKTANE ASSETS ACCOUNT PLOSIS |
| | Collateralisation technique | PLIDOR |
| | Validity Start Date | 100.2003 |
| | Validity Start Date Validity End Date | WITH COMPANIES. |
| | Action To Validate | |
| | Rejected | No. |
| | Update Date | 01/09/2021 11:33 19:469 |
| | Creation User Id | STP |
| | (0) difference(s) found. | |
| | (0) difference(s) found. | li di |
| | (0) difference(s) found. | |

| Internal Asset Account – History Screen | | |
|---|--|--|
| Field | Description | |
| Fields | Shows the fields whose information have been updated since the creation of the selected Account. | |
| Timestamp | Shows the date and time when the fields have been updated. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Button | Description | |
| Compare | Shows the differences between the selected records whose data have been updated. | |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected Account. | |



| Shows the information that existed before each modification of all the fields regarding the selected Account. |
|--|
| Collapse the expanded information of the fields that have been updated since the creation of the selected Account. |
| Shows only the fields whose information have been updated since the creation of the selected Account. |

3.2.2.1.1.2 Internal Asset Account – Details Screen

| Context of Usage | | | | selected Internal Asset further by clicking on the | | |
|---------------------|---|--|--|---|--|--|
| Screen Access | Depending how the screen is accessed, it can be used to show the valid information or the information that requires 4 eyes validation before they can be considered valid in the system. | | | | | |
| | For valid information: | | | | | |
| | Reference Data >> Reference Data >> Accounts Reference Data >> Create / Display Internal Asset Accounts Create/Display >> Click on the Search button (after inputting the relevant Reference Data, if needed) >> Select an Internal Asset Account >> Click on the View button | | | | | |
| | For information subject to 4 eyes validation: | | | | | |
| | Reference Data>>Validation / Rejection>>Accounts Reference Data>>Validate/Reject Internal Asset Account>> Click on the search but- ton (after inputting the relevant Reference Data, if needed) >> Select an Internal Asset Account >> Click on the View button | | | | | |
| Screenshot | Search Result : Internal Asset Accounts > View : Internal Asset Account | J | | | | |
| Screenshot | Account Derivals Account Federices ANYOMERAMI Account Services ATHROMOREMICA ACCOUNT Services ATHROMOREMICA ACCOUNT Services ATHROMOREMICA ACCOUNT Services ATHROMOREMICA ACCOUNT SERVICES ACCOUNT SERVICES | Account Name ANYMORIA ANI Account Type EXMS Commergery, Account converting Account converting Account converting | Acort Accept | Account Owner ANYTHOR ANYTHOR AREA CAMPAN AREA CAMPAN MARKETABLE ASSETS ACCOUNT | | |
| | Activation details | | | <u> </u> | | |
| | Is Active Ves | Validity Start Date 31/86/2021 | | Validity End Date | | |
| | Validation details | | | <u> </u> | | |
| | Action To Validate | Rejected No | | | | |
| | Foot Print | | | 8 | | |
| | Creation Date 01/49/C021 11:33:18:489 | Creation User Id STP | Update Date 01/09/2021 11:55:19:499 | Updater User Id STP | | |
| | | | | | | |

| Internal Asset Account – Details Screen | | | | |
|---|---|--|--|--|
| Button | Description | | | |
| History | [Only for For Valid Information] | | | |
| | This function enables you to access to the historical information of an Internal Asset Account. | | | |
| | Next screen: | | | |
| | Internal Asset Account – History Screen. | | | |
| Address Details | This function enables you to display the subsection Address Details. | | | |
| General Information | | | | |
| Field | Description | | | |
| Account Reference | Shows the unique Internal Asset Account reference. | | | |



| | Displayed format is: Max. 35 characters. |
|------------------------|---|
| Account | Shows the name of the Internal Asset Account. |
| Name | Displayed format is: Max. 255 characters |
| Account Owner | Shows the RIAD Code that uniquely identifies the Party in the ECMS to whom the account belongs to, and also the "Party Short Name". |
| | Displayed format is: Max. 70 characters. |
| Account | Shows the BIC Code of the Account Owner. |
| Owner BIC | Displayed format is: Max. 11 characters. |
| Account Servicer | Shows the RIAD Code that uniquely identifies the Party in the ECMS that is the servicer of the account. |
| | Displayed format is: Max. 30 characters. |
| Account | Shows the type of the Internal Asset Account from the possible values: |
| Туре | ECMS Counterparty Asset Account |
| | - ECMS Cross NCB Asset Account |
| | - ECMS Non-euro area CB Asset Account |
| | - ECMS NCB Asset Account |
| Asset Cat- egory | Shows the category of the assets hold by the Internal Asset Account from the possible values: |
| | Marketable Assets Account |
| | - Credit Claims Account |
| Collateral- isation | Shows the type of the assets hold by the Internal Asset Account from the possible values: |
| Technique | - PLEDGE |
| | - REPO |
| | - Assignment |
| | - Floating Charge |
| Validity | Shows the date from which the Internal Asset Account is active. |
| Start Date | Displayed format is: DD/MM/YYYY |
| Is Active | Shows whether the account is active or not. The possible values are: |
| | - Yes |
| | - No |
| Validity End | Shows the date from which the Account is closed. |
| Date | Displayed format is: DD/MM/YYYY |
| | The Validity End Date must be equal to or later than the Validity Start Date. If the Account is active, this field is empty. |
| Validation D | Petails |
| Action To Validate | Shows if there is any action waiting for validation. |
| Rejected | Shows if any action subject to validation has been rejected. The possible values are: |
| | - Yes |
| | - No |
| Footprint | |
| Updater User Id | Shows the identification of the user that made the last update. |



| Update | Shows the date and time of the Account last update. | | | | |
|----------------------|--|--|--|--|--|
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | |
| Creation User Id | Shows the identification of the user that created the data. | | | | |
| Creation | Shows the date and time of the Account creation. | | | | |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | |
| Address De | tails | | | | |
| The existing | addresses of the Party are displayed. | | | | |
| To view the o | details of an existing mail address, select it and click on the View button. | | | | |
| Field | Description | | | | |
| Purpose | Shows the Purpose of the Address from the possible values: | | | | |
| | – Official | | | | |
| Street Ad- | Shows the street name of the address of the Party. | | | | |
| dress | Required/Displayed format is: Max. 70 characters. | | | | |
| House | Shows the house number of the address of the Party. | | | | |
| Number | Required/Displayed format is: Max. 16 characters. | | | | |
| Postal Code | Shows the postal code of the address of the Party. | | | | |
| | Required/Displayed format is: Max. 16 characters | | | | |
| City | Shows the city of the address of the Party. | | | | |
| | Required/Displayed format is: Max. 70 characters. | | | | |
| State or | Shows the state or province of the address of the Party. | | | | |
| Province | Required/Displayed format is: Max. 35 characters. | | | | |
| Country Code | Shows the ISO-2 Code and the description of the country code of the address of the Party. | | | | |
| | The magnifier icon can also be used. | | | | |
| | Required/Displayed format is: Max. 2 characters. | | | | |
| To view the otton. | details of an existing technical address, select it and click on the View but- | | | | |
| Field | Description | | | | |
| Purpose | Shows the Purpose of the Address from the possible values: | | | | |
| | - Securities Settlement | | | | |
| | Securities Management | | | | |
| | - Corporate Actions | | | | |
| Network | Shows the network from the possible values: | | | | |
| | - Swift | | | | |
| | - SIA Colt | | | | |
| Technical Address | Shows the technical address for the purpose and network selected.Required format is: Max. 256 characters | | | | |
| | details of an existing BIC address, select it and click on the View button. | | | | |
| Field | Description | | | | |
| Purpose | Shows the Purpose of the Address from the possible values: | | | | |
| | • Official | | | | |
| BIC Ad- | Shows the BIC address of the Party. | | | | |
| dress | Required format is: Max. 11 characters | | | | |
| | 1. Coguito a formació. Mazic i i offaractoro | | | | |



| To view the | details of an existing email address, select it and click on the View button: | | | |
|---------------------|---|--|--|--|
| Field | Description | | | |
| Purpose | Shows the Purpose of the Address from the possible values: | | | |
| | - Official | | | |
| Email | Shows the Email address for the purpose selected. | | | |
| | Required format is: Max. 255 characters | | | |
| Footprint | | | | |
| Updater User Id | Shows the identification of the user that made the last update. | | | |
| Update | Shows the date and time of the address last update. | | | |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | |
| Creation User Id | Shows the identification of the user that created the data | | | |
| Creation | Shows the date and time of the Address creation. | | | |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | |

3.2.2.2 External Asset Account – Create Display

3.2.2.2.1 External Asset Account – Search Screen

| Context of Usage | This screen contains a number of search fields and shows the latest and stored searches. By inputting the relevant data, you can search for External Asset Accounts. The search results will be displayed in the External Asset Accounts – List Screen. | | | | | |
|------------------|---|--|---|--------------------------------|-----------------|--|
| Screen Access | Depending how the screen is accessed, it can be used to search the valid information of the Accounts or the information that requires 4 eyes validation before they can be considered valid in the system. | | | | | |
| | For valid information subje | ect: | | | | |
| | Reference Data>>Reference Data>>Accounts Reference Data>>Create/ Display External Asset Account | | | | | |
| | For information subject to 4 eyes validation: | | | | | |
| | Reference Data>>Validati Data>>Validate/Reject Ex | • | | s Reference | | |
| Screen- | Estemal Asset Account Create / Display : External Asset Account | | | | ** | |
| shot | Account Reference ** ▼ | Account Owner ■■ ▼ | • | Creation Date ▼ | _ | |
| | Account Type ••• • | Account Name ■■ ▼ | m | Account Servicer ▼ | | |
| | Is Active ▼▼ T2S Account Owner BiC ▼▼ | Validity Start Date ▼ Validity End Date ▼ | _ | Update Date ▼ Asset Category ▼ | • | |
| | ○ Reset | | | | Groate Q Search | |

| External Asset Accounts – Search Screen | | | |
|---|---|--|--|
| Field | Description | | |
| Account Servicer | Enter/Select the RIAD Code that uniquely identifies the CSD in the ECMS that is the servicer of the account from the possible values: | | |
| | A CSD flagged as local for the Refinancing NCB | | |
| | An NCB acting as NCB Custodian | | |



| | Required format is: Max. 30 characters. | | | | |
|------------------------|--|--|--|--|--|
| Account Owner | Enter the RIAD Code that uniquely identifies the Party in the ECMS to whom the account belongs to, and also the "Party Short Name" from the possible values: | | | | |
| | - The Refinancing NCB | | | | |
| | A NCB Participant with Entity Type equal to Counterparty. | | | | |
| | Required format is: Max. 70 characters. | | | | |
| Account | Enter the External Asset Account reference. | | | | |
| Reference | It is unique per account servicer. | | | | |
| | Required format is: Max. 35 characters. | | | | |
| Account | Enter the name of the External Asset Account. | | | | |
| Name | Required format is: Max. 255 characters. | | | | |
| T2S Ac- | Enter the BIC code of the T2S account owner in T2S system. | | | | |
| count Owner BIC | Required format is: Max. 11 characters | | | | |
| Account Type | Enter/Select the type of the External Asset Account from the possible values: | | | | |
| | ECMS Cross NCB Asset Account (mirror) | | | | |
| | T2S Securities Account for Regular Collateral | | | | |
| | T2S Securities Account for Triparty Collateral | | | | |
| | T2S Securities Account for Intraday Auto-Collateral | | | | |
| Asset Cat- | [Only for ECMS Cross NCB Asset Account (mirror)] | | | | |
| egory | Enter/Select the category of the assets held in the ECMS Cross NCB Asset Account (mirror) from the possible values: | | | | |
| | Marketable Assets Account | | | | |
| | - Credit Claims Account | | | | |
| Is Active | Enter/Select whether the External Asset Account is active or not from the possible values: | | | | |
| | - Yes | | | | |
| | - No | | | | |
| Creation Date | Enter the reference date of the creation of the Account. The calendar icon can also be used. | | | | |
| | Required format is: DD/MM/YYYY. | | | | |
| Validity Start Date | Enter the reference date of the activation of the Account. The calendar icon can also be used. | | | | |
| | Required format is: DD/MM/YYYY. | | | | |
| Validity End Date | Enter the reference date of the closing of the Account or use the calendaricon. | | | | |
| | Required format is: DD/MM/YYYY. | | | | |
| | The Validity End Date must be equal to or later than the Validity Start Date. | | | | |
| Update Date | Enter the reference date of the last update of the Account. The calendar icon can also be used. | | | | |
| | Required format is: DD/MM/YYYY. | | | | |
| Button | Function | | | | |
| Reset | This function enables you to clear the form. | | | | |



| Create | This function enables you to create a new External Asset Account. |
|--------|--|
| | Next screen: |
| | External Asset Account – Create Screen. |
| Search | This function enables you to start a search according to the criteria entered. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | - External Asset Account - List Screen |

3.2.2.2.1.1 External Asset Account – List Screen

| Context of Usage | counts disp Date' colum | layed in a lis in in descen | t, which is ding orde | s sorted r (defau | by the value of the last the l | alues of | ernal Asset Action the 'Update |
|------------------|---|--|--|---|--|------------------------------------|--|
| Screen Access | formation of | Depending how the screen is accessed, it can be used to list the valid information of the Accounts or the information that requires 4 eyes validation before they can be considered valid in the system. | | | | | |
| | For valid int | formation: | | | | | |
| | Reference Data>>Reference Data >> Accounts Reference Data >> Create/Display External Asset Account >> Click on the Search button (after inputting the relevant Reference Data, if needed) | | | | | | |
| | For information subject to 4 eyes validation: | | | | | | |
| | | Data>>Valida date/Reject B | | | | | rence n the <i>Search</i> |
| Screen- | Search Result : External Asset Account | | 144 | | | | |
| shot | 10 ▼ Account Referenc♥ Account Name ◆ ♥ Acco | nt Owner ♦ ♥ Account Owner (P♥ Account Services | | 1 of 3 > > vri 2 Account Type \$ \to Asset (| Category 🗢 Is Active 🗢 🔻 Val | idity Start Date # Validity End Da | Q 22 () [] |
| SHOL | ABVR0001 ABVRT2SSAC001 ABVR | 001 Custodian AT | AT9900 AEWFATWW001 | T2S Securities Acc | Yes 01/ | 09/2021 | 31/08/2021 11:945 01/09/2021 14:20-4 STP |
| | ABVRT2SSAC002 ABVRT2SSAC002 ABVR ABVRT2SSAC003 ABVRT2SSAC003 ABVR | | AT9900 ABVRATWW002 AT9900 ABVRATWW003 | T2S Securities Acc T2S Securities Acc | | 09/2021 30/12/9999 09/2021 | 31/08/2021 11:08:2 20/09/2021 16:14:3 STP 31/08/2021 11:09:5 01/09/2021 14:17:2 STP |
| | ABVRT2SSAC004 ABVRT2SSAC004 ABVR | | AT9900 ABVRATWW004 | T2S Securities Acc | Yes 01/ | 09/2021 | 31/08/2021 11:11:4. 01/09/2021 14:21:3. STP |
| | ABVRT2SSAC005 ABVRT2SSAC005 ABVR ABVRT2SSAC006 ABVRT2SSAC006 ABVR | | AT9900 ABVRATWW005 AT9900 ARVRATWW006 | T2S Securities Acc T2S Securities Acc | | 09/2021 | 31/08/2021 11:12:3. 01/09/2021 14:21:4. STP 31/08/2021 11:30:2. 01/09/2021 14:21:5. STP |
| | ABVRT2SSAC007 ABVRT2SSAC007 ABVR | | AT9900 ABVRATWW007 | T2S Securities Acc | | 09/2021 | 31/08/2021 11:32:1. 01/09/2021 14:22:2. STP |
| | ABVRT2SSAC008 ABVRT2SSAC008 ABVR | 08 Custodian AT | AT9900 AEVRATWW008 | T2S Securities Acc | | 09/2021 | 31/08/2021 12:53:2 01/09/2021 14:22:3 STP |
| | ABVRT2SSAC009 ABVRT2SSAC009 ABVR ABVRT2SSAC010 ABVRT2SSAC010 ABVR | | AT9900 ABVRATWW009 AT9900 ABVRATWW010 | T2S Securities Acc T2S Securities Acc | | 09/2021 09/2021 | 31/08/2021 12:54.0. 01/09/2021 14:22:4. STP 31/08/2021 12:59:5. 01/09/2021 14:23:0. STP |
| | | | | | | | |
| | | | | | | | History Edit |

| External Asset Account – List Screen | | | |
|--------------------------------------|--|--|--|
| Field | Description | | |
| Account | Shows the External Asset Account reference. | | |
| Reference | Displayed format is: Max. 35 characters. | | |
| Account Servicer | Shows the RIAD Code that uniquely identifies the CSD in the ECMS that is the servicer of the account. | | |
| | Displayed format is: Max. 30 characters. | | |
| Account Servicer (PSN) | Shows the Party Short Name of the Party in the ECMS to that is the servicer of the account. | | |
| | Displayed format is: Max. 35 characters. | | |
| Account Owner | Shows the RIAD Code that uniquely identifies the Party in the ECMS to whom the account belongs to, and also the "Party Short Name" | | |
| | Displayed format is: Max. 70 characters. | | |



| Account Owner | Shows the Party Short Name of the Party in the ECMS to whom the account belongs to. | | | | |
|--------------------|--|--|--|--|--|
| (PSN) | Displayed format is: Max. 35 characters. | | | | |
| Account | Shows the name of the External Asset Account. | | | | |
| Name | Displayed format is: Max. 255 characters. | | | | |
| T2S Ac- | Shows the BIC code of the T2S account owner in T2S system. | | | | |
| count Owner BIC | Displayed format is: Max. 11 characters | | | | |
| Account | Shows the type of the External Asset Account from the possible values: | | | | |
| Туре | - ECMS Cross NCB Asset Account (mirror) | | | | |
| | T2S Securities Account for Regular Collateral | | | | |
| | T2S Securities Account for Triparty Collateral | | | | |
| | T2S Securities Account for Intraday Auto-Collateral | | | | |
| Asset Cat- | [Only for ECMS Cross NCB Asset Account (mirror)] | | | | |
| egory | Shows the category of the assets held in the ECMS Cross NCB Asset Account (mirror) from the possible values: | | | | |
| | Marketable Assets Account | | | | |
| | - Credit Claims Account | | | | |
| Validity | Shows the date from which the External Asset Account is active. | | | | |
| Start Date | Displayed format is: DD/MM/YYYY | | | | |
| | Shows the date from which the External Asset Account is closed. | | | | |
| Date | Displayed format is: DD/MM/YYYY. | | | | |
| | The Validity End Date must be equal to or later than the Validity Start Date. If the Account is active, this field is empty. | | | | |
| Creation | Shows the date and time of the creation of the Account. | | | | |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs | | | | |
| Update | Shows the date and time of the last update of the Account. | | | | |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs | | | | |
| Updater User Id | Shows the identification of the user that made the last update of the Account. | | | | |
| Is Active | Shows whether the External Asset Account is active or not from the possible values: | | | | |
| | - Yes | | | | |
| | - No | | | | |
| After selection | ng a record, the following buttons are displayed | | | | |
| Button | Function | | | | |
| History | [Only for For Valid Information] | | | | |
| | This function enables you to access to the historical information of an Account. | | | | |
| | Next screen: | | | | |
| | External Asset Account – History Screen. | | | | |
| Edit | This function enables you to edit an Account. | | | | |
| | Next screen: | | | | |
| | External Asset Account – Edit Screen. | | | | |
| | | | | | |



| View | This function enables you to access to the detailed information of an Account. | | | |
|------------------|--|--|--|--|
| | Next screen: | | | |
| | External Asset Account – Details Screen. | | | |
| | is used in the 4 eyes validation context, the following buttons are also disarccord is selected | | | |
| Action to V | alidate = Creation | | | |
| In case of cr | eation of new data by 4-eyes user, the validator user will validate/reject. | | | |
| Button | Function | | | |
| Edit | This function allows the validator user to edit and modify the draft. | | | |
| View | This function enables the validator user to view the draft record to be validated or rejected. | | | |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system | | | |
| Reject | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. | | | |
| In case the i | record has been rejected the only available options for this record will be: | | | |
| View | This function allows the user to view the rejected record. | | | |
| Action to V | alidate = Update | | | |
| | odate of data by 4-eyes user, the validator user can validate/reject/edit. To ds to go first in the show/compare draft button. | | | |
| Button | Function | | | |
| View | This function enables the user to view the draft record to be validated or rejected. | | | |
| Edit Draft | This function allows the user to edit and modify the draft. | | | |
| Show Draft | This function enables the validator user to view the draft record to be validated or rejected. | | | |
| Compare Draft | In case the 4 eyes validation is required because of an update of the record, this function enables the validator user to display the change that needs to be validated. | | | |
| Once you cl | ck on Show Draft or Compare Draft buttons: | | | |
| Reject Draft | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. | | | |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system | | | |
| In case the i | record has been rejected the only available options for this record will be: | | | |
| View | This function allows the user to view the rejected record. | | | |
| | · · | | | |

3.2.2.2.1.1. External Asset Account – History Screen 1

Context of Usage

This screen displays historical information on the selected External Asset Account. You can check the data and proceed further by clicking on the buttons below.

Screen Accounts Reference Data >> Reference Data >> Accounts Reference Data >> External Asset Accounts Create/Display >> Click on the Search button (after inputting the relevant Reference Data, if needed) >> Select an External Asset Account>> Click on the History button



| | Reference Data >> Reference Data >> Accounts Reference Data >> External Asset Accounts Create/Display >> Click on the Search button (after inputting the relevant Reference Data, if needed) >> Select an | | | |
|----------|--|---|---|---|
| Screen- | History : External Asset Accoun | t | | Δ. |
| Scieeii- | | | | Q 3 🔀 🏡 Expand All Compare |
| shot | Fields | | | |
| SHOL | | | | |
| | Account Servicer | 55)01/09/2021 13:37:28:711 6 | 59(31/08/2021 12:46:32:918(2 | 55(20/08/2021 10/28/34418)1 |
| | T2S Account Owner BIC | ABVRATWW004 | ABYRATWW004 | ABVRATW4XXX |
| | Validity Start Date | 01/09/2021 | 31/08/2021 | 31/08/2021 |
| | Update Date | 01/09/2021 14:21:31:598 | 31/08/2021 13:07:13:164 | 31/08/2021 11:11:46:843 |
| | Account Reference | ABVRT2SSAC004 | ABVRT2SSAC004 | ABVRT2SSAC004 |
| | Account Name | ABVRT2SSAC004 | ABVRT2SSAC004 | ABVRT2SSAC004 |
| | Account Owner | ABVR004 | A8VR004 | ABVR004 |
| | Account Type | T2S Securities Account for Regular Collateral | T2S Securities Account for Regular Collateral | T2S Securities Account for Regular Collateral |
| | Validity End Date | | | |
| | Asset Category | | | |
| | Creation User Id | STP | STP | STP |
| | (4) difference(s) found. | | | |

| External Asset Account – History Screen | | | |
|---|---|--|--|
| Field | Description | | |
| Fields | Shows the fields whose information have been updated since the creation of the selected External Asset Account. | | |
| Timestamp | Shows the date and time when the fields have been updated. | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | |
| Button | Description | | |
| Compare | Shows the differences between the selected records whose data have been updated. | | |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected External Asset Account. | | |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected External Asset Account. | | |
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected External Asset Account. | | |
| Show Differ- ences Only | Shows only the fields whose information have been updated since the creation of the selected External Asset Account. | | |

3.2.2.2.1.2 External Asset Account – Details Screen

| Context of Usage | This screen displays detailed information on the selected External Asset Accounts. You can check the data and proceed further by clicking on the buttons. |
|---------------------|---|
| Screen Access | Depending how the screen is accessed, it can be used to show the valid information or the information that requires 4 eyes validation before they can be considered valid in the system. |
| | For valid information: |
| | Reference Data >> Reference Data >> Accounts Reference Data >> Create/Display External Asset Account >> Click on the Search button (after inputting the relevant Reference Data, if needed) >> Select an External Asset Account >> Click on the View button |
| | For information subject to 4 eyes validation: |



Reference Data>>Validation / Rejection>>Accounts Reference Data>>Validate/Reject External Asset Account>> Click on the search button (after inputting the relevant Reference Data, if needed) >> Select an External Asset Account >> Click on the View button

Screenshot

Screenshot

Screenshot

Account Result: External Asset Account >> Click on the View button

Screenshot

Account Insulation

Account Insulat

| External As | set Account – Details Screen |
|---------------------|---|
| Button | Description |
| History | [Only for For Valid Information] |
| | This function enables you to access to the historical information of an External Asset Account. |
| | Next screen: |
| | External Asset Account – History Screen. |
| General Info | ormation |
| Field | Description |
| Account | Shows the unique External Asset Account reference. |
| Reference | Displayed format is: Max. 35 characters. |
| Account | Shows the name of the External Asset Account. |
| Name | Displayed format is: Max. 255 characters |
| Account Servicer | Shows the RIAD Code that uniquely identifies the CSD in the ECMS that is the servicer of the account. |
| | Displayed format is: Max. 30 characters. |
| Account Owner | Shows the RIAD Code that uniquely identifies the Party in the ECMS to whom the account belongs to, and also the "Party Short Name". |
| | Displayed format is: Max. 70 characters. |
| T2S Ac- | Shows the BIC Code of the T2S Account Owner in T2S system. |
| count Owner BIC | Displayed format is: Max. 11 characters. |
| Account | Shows the type of the External Asset Account from the possible values: |
| Туре | ECMS Cross NCB Asset Account (mirror) |
| | T2S Securities Account for Regular Collateral |
| | T2S Securities Account for Triparty Collateral |
| | T2S Securities Account for Intraday Auto-Collateral |
| Asset Cat- | [Only for ECMS Cross NCB Asset Account (mirror)] |
| egory | Shows the category of the assets held in the ECMS Cross NCB Asset Account (mirror) from the possible values: |
| | Marketable Assets Account |
| | - Credit Claims Account |



| Validity S Start Date C Validity End S | Shows whether the account is active or not. The possible values are: - Yes - No Shows the date from which the External Asset Account is active. Displayed format is: DD/MM/YYYY Shows the date from which the Account is closed. |
|--|---|
| Validity S Start Date Date | No Shows the date from which the External Asset Account is active. Displayed format is: DD/MM/YYYY |
| Validity Start Date Date | Shows the date from which the External Asset Account is active. Displayed format is: DD/MM/YYYY |
| Start Date Validity End S | Displayed format is: DD/MM/YYYY |
| Validity End S | |
| Doto | Shows the date from which the Account is closed. |
| Date | |
| | Displayed format is: DD/MM/YYYY |
| | The Validity End Date must be equal to or later than the Validity Start Date. If the Account is active, this field is empty. |
| Validation De | etails |
| Action To S Validate | Shows if there is any action waiting for validation. |
| | Shows if any action subject to validation has been rejected. The possible values are: |
| | - Yes |
| | - No |
| Footprint | |
| Updater S User Id | Shows the identification of the user that made the last update. |
| l • | Shows the date and time of the Account last update. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Creation S User Id | Shows the identification of the user that created the data |
| | Shows the date and time of the Account creation. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |

3.2.2.3 NCB Participant Cash Account – Create Display

3.2.2.3.1 NCB Participant Cash Account – Search Screen

| Context of Usage | This screen contains a number of search fields and shows the latest and stored searches. By inputting the relevant data, you can search for NCB Participant Cash Accounts. The search results will be displayed in the NCB Participant Cash Accounts – List Screen. |
|------------------|---|
| Screen Access | Depending how the screen is accessed, it can be used to search the valid information of the Accounts or the information that requires 4 eyes validation before they can be considered valid in the system. |
| | For valid information: |
| | Reference Data >> Reference Data >> Accounts Reference Data >> NCB Participant Cash Accounts Create/Display |
| | For information subject to 4 eyes validation: |
| | Reference Data >> Reference Data >> Validation / Rejection >> Validate / Reject Accounts Reference Data >> NCB Participant Cash Accounts |





| NCB Partici | pant Cash Account – Search Screen |
|------------------------|---|
| Field | Description |
| Account | Enter/Select the unique NCB Participant Cash Account reference. |
| Reference | Required format is: Max. 35 characters. |
| Account | Enter the name of the NCB Cash Account reference. |
| Name | Required format is: Max. 255 characters. |
| Account Owner | Enter/Select the RIAD Code that uniquely identifies the Party in the ECMS to whom the account belongs to from the possible values: |
| | - NCB Participant |
| | Required format is: Max. 30 characters. |
| Account | Enter the BIC Code of the Account Owner. |
| Owner BIC | Required format: Max. 11 characters |
| Account Servicer | Enter/Select the RIAD Code that uniquely identifies the NCB or Cash Correspondent in the ECMS that is the servicer of the account from the possible values: |
| | EUR -> Refinancing NCB |
| | Non-EUR -> Cash Correspondent |
| | Required format is: Max. 30 characters. |
| Account Type | Enter/Select the type of the NCB Participant Cash Account from the possible values: |
| | - CLM Main Cash Account |
| | - CLM CB Account |
| | - T2S Dedicated Cash Account |
| | - Non-euro Cash Account |
| | - Contingency Account |
| Account Currency | Enter/Select the denomination currency of the account. The magnifier icon can also be used. |
| | Required: Max. 3 characters (SWIFT-x). |
| Account | Number of the Cash Account in CLM. |
| Number | Required: Max. 34 characters. |
| Is Active | Enter/Select whether the NCB Participant Cash Account is active or not from the possible values: |
| | – Yes |
| | - No |
| Creation Date | Enter the reference date of the creation of the Account. The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY. |
| Validity Start Date | Enter the reference date of the activation of the Account. The calendar icon can also be used. |



| | Required format is: DD/MM/YYYY. |
|----------------------|--|
| Validity End Date | Enter the reference date of the closing of the Account or use the calendar icon. |
| | Required format is: DD/MM/YYYY. |
| | The Validity End Date must be equal to or later than the Validity Start Date. |
| Update Date | Enter the reference date of the last update of the Account. The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY. |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Create | This function enables you to create a new External Cash Account. |
| | Next screen: |
| | - NCB Participant Cash Account - Create Screen. |
| Search | This function enables you to start a search according to the criteria entered. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | - NCB Participant Cash Account - List Screen |

3.2.2.3.1.1 NCB Participant Cash Account – List Screen

| Context of Usage | Casl | This screen contains the search results regarding the NCB Participant Cash Accounts displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). | | | | | | | | | | | | |
|------------------|--|---|--------------------|------------------------------------|----------------|-------------|--------------------------------------|-----------|------------|--|---------------|----------------------------|-----------------------|------------------------------|
| | After tons | | | g an | entry | , yc | ou can | pro | ceed | further b | y cl | icking | on th | e but- |
| Screen Access | form | Depending how the screen is accessed, it can be used to list the valid information of the Accounts or the information that requires 4 eyes validation before they can be considered valid in the system. | | | | | | | | | | | | |
| | For | valid | info | rmatio | on: | | | | | | | | | |
| | Reference Data >> Reference Data >> Accounts Reference Data >> NCB Participant Cash Accounts Create/Display >> Click on the Search button (after inputting the relevant Reference Data, if needed) | | | | | | | | | | | | | |
| | For | For information subject to 4 eyes validation: | | | | | | | | | | | | |
| | ate / | Rej | ect A | | nts F | Refe | erence | | | alidation NCB Pa | | - | | |
| Screen- | | t : NCB Particip | ant Cash Accoun | | | | K / | Page 1 of | | | | | | Q 22 () □ ★ ♥ |
| -14 | 10 ▼ | Account Danier | € Party Short Nan | Account Services | Account Number | Account Cum | | | | Validity End Date 2 Update Date 2 | Hostoter Unor | M & Account Name 6 | Creation Date * 2 (Oc | Activation R Account Owner C |
| shot | ABVRADC1016 | ABVR016 | ABVR016 | AT0000003888151 | ABVRADC1016 | EUR | T2S Dedicated Ca | Yes | 06/09/2021 | 05/09/2021 11:14. | STP | ABVRADC1016 | 05/09/2021 11:14 | ABVRATBIS16 |
| | ABVRADC2016 ABVRADCA005 | ABVR016 ABVR005 | ABVR016 ABVR005 | AT0000003888151 AT0000003888151 | ABVRADC2016 | EUR EUR | T2S Dedicated Ca T2S Dedicated Ca | | 05/09/2021 | 05/09/2021 11:19 07/09/2021 16:49 | | ABVRADC2016 ABVRADCA005 | 05/09/2021 11:19 | ABVRATBI216 ABVRATWW005 |
| | ABVRADCA005 ABVRADCA016 | ABVR005 ABVR016 | ABVR016 | AT0000003888151 AT0000003888151 | | EUR | T2S Dedicated Ca T2S Dedicated Ca | | 07/09/2021 | 07/09/2021 16:49. 05/09/2021 10:52. | | ABVRADCA005 ABVRADCA016 | 07/09/2021 16:49 | ABVRATWW005 ABVRATWW016 |
| | ABVRATWW001 | ABVR001 | ABVR001 | AT0000003888151 | | EUR | CLM Main Cash A | | 01/09/2021 | 01/09/2021 13:17 | | CLM MCA of ABV | 31/08/2021 11:51 | ABVRATWW001 |
| | ABVRATWW002 | ABVR002 | ABVR002 | AT0000003888151 | | EUR | CLM Main Cash A | | 31/08/2021 | 31/08/2021 17:13. | | CLM MCA of ABV | 31/08/2021 11:52 | ABVRATWW002 |
| | ABVRATWW003 ABVRATWW004 | ABVR003 ABVR004 | ABVR003 ABVR004 | AT0000003888151 | | EUR | CLM Main Cash A | | 31/08/2021 | 31/08/2021 17:13. | | CLM MCA of ABV | 31/08/2021 11:53 | ABVRATWW003 ARVRATWW004 |
| | ABVRATWW005 | ABVR005 | ABVR005 | AT0000003888151 | | EUR | CLM Main Cash A | | 31/08/2021 | 31/08/2021 17:13. | | CLM MCA of ABV | | ABVRATWW005 |
| | ABVRATWW006 | ABVR006 | ABVR006 | AT0000003888151 | | EUR | CLM Main Cash A | | 31/08/2021 | 31/08/2021 17:13 | STP | CLM MCA of ABV | 31/08/2021 12:12 | ABVRATWW006 |
| | | | | | | | | | | | | | | History Edit |
| | | | | | | | | | | | | | | |

| NCB Partici | pant Cash Account – List Screen |
|-------------|---------------------------------|
| Field | Description |



| Reference Displayed format is: Max. 35 characters. Account Shows the name of the NCB Cash Account reference. Displayed format is: Max. 255 characters. Shows the RIAD Code that uniquely identifies the NCB or Cash Correspondent in the ECMS that is the servicer of the account from the possible values: - EUR -> Refinancing NCB - Non-EUR -> Cash Correspondent Displayed format is: Max. 30 characters. Account Displayed format is: Max. 35 characters. Account Displayed format is: Max. 35 characters. Shows the PIC Code of the Account Owner. Displayed format: Max. 11 characters Shows the type of the NCB Participant Cash Account from the possible values: - CLM Main Cash Account - CLM CB Account - Contingency Account Displayed: Max. 3 characters (SWIFT-x). Account Number of the Cash Account in CLM. Required: Max. 34 characters. Shows the date from which the NCB Participant Cash Account is active. Displayed format is: DD/MM/YYYY. The Validity End Displayed format is: DD/MM/YYYY. The Validity End Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. If the Account is active, this field is empty. Shows the identification of the user that made the last update of the Account. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows the identification of the user that made the last update of the Account. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | |
|--|---------------------|---|
| Shows the name of the NCB Cash Account reference. Displayed format is: Max. 35 characters. Shows the RIAD Code that uniquely identifies the NCB or Cash Correspondent in the ECMS that is the servicer of the account from the possible values: - EUR -> Refinancing NCB - Non-EUR -> Cash Correspondent Displayed format is: Max. 30 characters. Shows the RIAD Code that uniquely identifies the Party in the ECMS to whom the account belongs to from the possible values: - NCB Participant Displayed format is: Max. 30 characters. Shows the Party Short Name of the Party in the ECMS to whom the account belongs to. Displayed format is: Max. 35 characters. Shows the Party Short Name of the Party in the ECMS to whom the account belongs to. Displayed format is: Max. 35 characters. Shows the BIC Code of the Account Owner. Displayed format: Max. 11 characters Shows the type of the NCB Participant Cash Account from the possible values: - CLM Main Cash Account - CLM CB Account - T2S Dedicated Cash Account - CUM CB Account - Non-euro Cash Account - Contingency Account Shows the denomination currency of the account. Displayed: Max. 3 characters (SWIFT-x). Number of the Cash Account in CLM. Required: Max. 34 characters. Shows the date from which the NCB Participant Cash Account is active. Displayed format is: DD/MM/YYYY. The Validity End Displayed format is: DD/MM/YYYY. Shows the date from which the NCB Participant Cash Account is active. Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. If the Account is active, this field is empty. Shows the identification of the user that made the last update of the Account. Displayed format is: DD/MM/YYYY. Shows the identification of the user that made the last update of the Account. Shows whether the NCB Participant Cash Account is active or not from the possible values: - Yes - No | Account | Shows the NCB Participant Cash Account reference. |
| Displayed format is: Max. 255 characters. Account Shows the RIAD Code that uniquely identifies the NCB or Cash Correspondent in the ECMS that is the servicer of the account from the possible values: - EUR -> Refinancing NCB - Non-EUR -> Cash Correspondent Displayed format is: Max. 30 characters. Shows the RIAD Code that uniquely identifies the Party in the ECMS to whom the account belongs to from the possible values: - NCB Participant Displayed format is: Max. 30 characters. Shows the Party Short Name of the Party in the ECMS to whom the account belongs to. Displayed format is: Max. 35 characters. Shows the BIC Code of the Account Owner. Displayed format: Max. 11 characters Shows the BIC Code of the NCB Participant Cash Account from the possible values: - CLM Main Cash Account - CLM CB Account - Non-euro Cash Account - Non-euro Cash Account - Contingency Account Shows the denomination currency of the account. Displayed: Max. 3 characters (SWIFT-x). Number of the Cash Account in CLM. Required: Max. 34 characters. Shows the date from which the NCB Participant Cash Account is active. Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date Date. If the Account is active, this field is empty. Shows the identification of the user that made the last update of the Account. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows the identification of the user that made the last update of the Account. Shows whether the NCB Participant Cash Account is active or not from the possible values: - Yes - No | Reference | Displayed format is: Max. 35 characters. |
| Shows the RIAD Code that uniquely identifies the NCB or Cash Correspondent in the ECMS that is the servicer of the account from the possible values: - EUR -> Refinancing NCB - Non-EUR -> Cash Correspondent Displayed format is: Max. 30 characters. Shows the RIAD Code that uniquely identifies the Party in the ECMS to whom the account belongs to from the possible values: - NCB Participant Displayed format is: Max. 30 characters. Shows the Party Short Name of the Party in the ECMS to whom the account belongs to. Displayed format is: Max. 35 characters. Shows the BIC Code of the Account Owner. Displayed format: Max. 11 characters Shows the BIC Code of the Account Comer. Displayed format: Max. 11 characters Shows the type of the NCB Participant Cash Account from the possible values: - CLM Main Cash Account - CLM CB Account - Contingency Account - Contingency Account - Contingency Account Currency Displayed: Max. 3 characters (SWIFT-x). Number of the Cash Account in CLM. Required: Max. 34 characters. Shows the date from which the NCB Participant Cash Account is active. Displayed format is: DD/MM/YYYY. The Validity End Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows the identification of the user that made the last update of the Account. Shows whether the NCB Participant Cash Account is active or not from the possible values: - Yes - No | Account | Shows the name of the NCB Cash Account reference. |
| Servicer pondent in the ECMS that is the servicer of the account from the possible values: - EUR -> Refinancing NCB - Non-EUR -> Cash Correspondent Displayed format is: Max. 30 characters. Shows the RIAD Code that uniquely identifies the Party in the ECMS to whom the account belongs to from the possible values: - NCB Participant Displayed format is: Max. 30 characters. Shows the Party Short Name of the Party in the ECMS to whom the account belongs to. Displayed format is: Max. 35 characters. Shows the BIC Code of the Account Owner. Displayed format: Max. 11 characters Shows the type of the NCB Participant Cash Account from the possible values: - CLM Main Cash Account - CLM CB Account - T2S Dedicated Cash Account - Contingency Account Shows the denomination currency of the account. Displayed: Max. 3 characters (SWIFT-x). Number of the Cash Account in CLM. Required: Max. 34 characters. Shows the date from which the NCB Participant Cash Account is active. Displayed format is: DD/MM/YYYY. The Validity End Date Date Date Date Shows the date and time of the last update of the Account. Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. If the Account is active, this field is empty. Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. If the Account is active, this field is empty. Displayed format is: DD/MM/YYYY. Shows the identification of the user that made the last update of the Account. Displayed format is: DD/MM/YYYY hh.mm:ss; us. Shows the identification of the user that made the last update of the Account. Shows whether the NCB Participant Cash Account is active or not from the possible values: - Yes - No | Name | Displayed format is: Max. 255 characters. |
| - Non-EUR -> Cash Correspondent Displayed format is: Max. 30 characters. Shows the RIAD Code that uniquely identifies the Party in the ECMS to whom the account belongs to from the possible values: - NCB Participant Displayed format is: Max. 30 characters. Shows the Party Short Name of the Party in the ECMS to whom the account belongs to. Displayed format is: Max. 35 characters. Shows the BIC Code of the Account Owner. Displayed format: Max. 11 characters Shows the type of the NCB Participant Cash Account from the possible values: - CLM Main Cash Account - CLM CB Account - Non-euro Cash Account - Contingency Account Shows the denomination currency of the account. Displayed: Max. 3 characters (SWIFT-x). Account Number of the Cash Account in CLM. Required: Max. 34 characters. //alidity Start Date Shows the date from which the NCB Participant Cash Account is active. Displayed format is: DD/MM/YYYY. The Validity End Date Shows the date and time of the last update of the Account. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Jpdate Date Shows the identification of the user that made the last update of the Account. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows whether the NCB Participant Cash Account is active or not from the possible values: - Yes - No | Account Servicer | pondent in the ECMS that is the servicer of the account from the possible |
| Displayed format is: Max. 30 characters. Account Dwner Shows the RIAD Code that uniquely identifies the Party in the ECMS to whom the account belongs to from the possible values: - NCB Participant Displayed format is: Max. 30 characters. Account Owner BIC Shows the Party Short Name of the Party in the ECMS to whom the account belongs to. Displayed format is: Max. 35 characters. Shows the BIC Code of the Account Owner. Displayed format: Max. 11 characters Shows the type of the NCB Participant Cash Account from the possible values: - CLM Main Cash Account - CLM CB Account - Non-euro Cash Account - Contingency Account Shows the denomination currency of the account. Displayed: Max. 3 characters (SWIFT-x). Account Number of the Cash Account in CLM. Required: Max. 34 characters. Aldidity Start Date Displayed format is: DD/MM/YYYY. The Validity End Date Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. If the Account is active, this field is empty. Shows the date and time of the last update of the Account. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Updater Date Shows the identification of the user that made the last update of the Account. Shows whether the NCB Participant Cash Account is active or not from the possible values: - Yes - No | | – EUR -> Refinancing NCB |
| Shows the RIAD Code that uniquely identifies the Party in the ECMS to whom the account belongs to from the possible values: - NCB Participant Displayed format is: Max. 30 characters. Shows the Party Short Name of the Party in the ECMS to whom the account belongs to. Displayed format is: Max. 35 characters. Shows the BIC Code of the Account Owner. Displayed format: Max. 11 characters Shows the type of the NCB Participant Cash Account from the possible values: - CLM Main Cash Account - CLM CB Account - T2S Dedicated Cash Account - Contingency Account - Contingency Account Shows the denomination currency of the account. Displayed: Max. 3 characters (SWIFT-x). Number of the Cash Account in CLM. Required: Max. 34 characters. Shows the date from which the NCB Participant Cash Account is active. Displayed format is: DD/MM/YYYY. The Validity End Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. If the Account is active, this field is empty. Shows the date and time of the last update of the Account. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Jpdate Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Jpdate Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows whether the NCB Participant Cash Account is active or not from the possible values: - Yes - No | | Non-EUR -> Cash Correspondent |
| whom the account belongs to from the possible values: - NCB Participant Displayed format is: Max. 30 characters. Shows the Party Short Name of the Party in the ECMS to whom the account belongs to. Displayed format is: Max. 35 characters. Shows the BIC Code of the Account Owner. Displayed format: Max. 11 characters Shows the type of the NCB Participant Cash Account from the possible values: - CLM Main Cash Account - CLM CB Account - T2S Dedicated Cash Account - Non-euro Cash Account - Contingency Account - Contingency Account Shows the denomination currency of the account. Displayed: Max. 3 characters (SWIFT-x). Number of the Cash Account in CLM. Required: Max. 34 characters. Validity Start Date Displayed format is: DD/MM/YYYY. Shows the date from which the NCB Participant Cash Account is active. Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. If the Account is active, this field is empty. Shows the date and time of the last update of the Account. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Jpdate Shows whether the NCB Participant Cash Account is active or not from the possible values: - Yes - No Shows whether the NCB Participant Cash Account is active or not from the possible values: - Yes - No | | Displayed format is: Max. 30 characters. |
| Displayed format is: Max. 30 characters. Account Downer PSN) Displayed format is: Max. 35 characters. Shows the Party Short Name of the Party in the ECMS to whom the account belongs to. Displayed format is: Max. 35 characters. Shows the BIC Code of the Account Owner. Displayed format: Max. 11 characters Shows the type of the NCB Participant Cash Account from the possible values: - CLM Main Cash Account - CLM CB Account - T2S Dedicated Cash Account - Non-euro Cash Account - Contingency Account Shows the denomination currency of the account. Displayed: Max. 3 characters (SWIFT-x). Account Number of the Cash Account in CLM. Required: Max. 34 characters. Validity Start Date Validity End Date Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. If the Account is active, this field is empty. Shows the date and time of the last update of the Account. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Jipdate Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows the identification of the user that made the last update of the Account. Shows whether the NCB Participant Cash Account is active or not from the possible values: - Yes - No | Account Owner | · |
| Shows the Party Short Name of the Party in the ECMS to whom the account Downer BIC Displayed format is: Max. 35 characters. Shows the BIC Code of the Account Owner. Displayed format: Max. 11 characters Shows the type of the NCB Participant Cash Account from the possible values: - CLM Main Cash Account - CLM CB Account - T2S Dedicated Cash Account - Contingency Account - Contingency Account Shows the denomination currency of the account. Displayed: Max. 3 characters (SWIFT-x). Number of the Cash Account in CLM. Required: Max. 34 characters. Validity Start Date Validity End Date Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. If the Account is active, this field is empty. Judate Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Judate Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Judate Ju | | - NCB Participant |
| Count belongs to. Displayed format is: Max. 35 characters. Account Dwner BIC Displayed format: Max. 11 characters Account Displayed format: Max. 11 characters Shows the type of the NCB Participant Cash Account from the possible values: - CLM Main Cash Account - CLM CB Account - T2S Dedicated Cash Account - Non-euro Cash Account - Contingency Account - Contingency Account - Currency Displayed: Max. 3 characters (SWIFT-x). Number of the Cash Account in CLM. Required: Max. 34 characters. Shows the date from which the NCB Participant Cash Account is active. Displayed format is: DD/MM/YYYY. The Validity End Date Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. Displayed format is: DD/MM/YYYY. Shows the date and time of the last update of the Account. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Jipdate Date Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows the identification of the user that made the last update of the Account. Shows the identification of the user that made the last update of the Account. Shows whether the NCB Participant Cash Account is active or not from the possible values: - Yes - No | | Displayed format is: Max. 30 characters. |
| Shows the BIC Code of the Account Owner. Displayed format: Max. 11 characters Shows the type of the NCB Participant Cash Account from the possible values: - CLM Main Cash Account - CLM CB Account - T2S Dedicated Cash Account - Non-euro Cash Account - Contingency Account - Contingency Account - Count Displayed: Max. 3 characters (SWIFT-x). Number of the Cash Account in CLM. Required: Max. 34 characters. Validity Start Date Displayed format is: DD/MM/YYYY. The Validity End Date Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. If the Account is active, this field is empty. Jodate Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Jodate Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows the date and time of the last update of the Account. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows the identification of the user that made the last update of the Account. Shows whether the NCB Participant Cash Account is active or not from the possible values: - Yes - No | Account Owner | |
| Displayed format: Max. 11 characters Account Account Type Shows the type of the NCB Participant Cash Account from the possible values: - CLM Main Cash Account - CLM CB Account - T2S Dedicated Cash Account - Non-euro Cash Account - Contingency Account Shows the denomination currency of the account. Displayed: Max. 3 characters (SWIFT-x). Account Number of the Cash Account in CLM. Required: Max. 34 characters. Validity Start Date Displayed format is: DD/MM/YYYY. Shows the date from which the NCB Participant Cash Account is active. Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. Date. If the Account is active, this field is empty. Shows the date and time of the last update of the Account. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Jodate Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows the identification of the user that made the last update of the Account. Shows whether the NCB Participant Cash Account is active or not from the possible values: - Yes - No | (PSN) | |
| Shows the type of the NCB Participant Cash Account from the possible values: - CLM Main Cash Account - CLM CB Account - T2S Dedicated Cash Account - Non-euro Cash Account - Contingency Account - Contingency Account - Contingency Account - Courrency Displayed: Max. 3 characters (SWIFT-x). Account Number of the Cash Account in CLM. Required: Max. 34 characters. /alidity Shows the date from which the NCB Participant Cash Account is active. Displayed format is: DD/MM/YYYY. /alidity End Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. If the Account is active, this field is empty. Update Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows the date and time of the last update of the Account. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows the identification of the user that made the last update of the Account. Shows whether the NCB Participant Cash Account is active or not from the possible values: - Yes - No | Account | Shows the BIC Code of the Account Owner. |
| Values: - CLM Main Cash Account - CLM CB Account - T2S Dedicated Cash Account - Non-euro Cash Account - Contingency Account Shows the denomination currency of the account. Displayed: Max. 3 characters (SWIFT-x). Number of the Cash Account in CLM. Required: Max. 34 characters. Validity Shows the date from which the NCB Participant Cash Account is active. Displayed format is: DD/MM/YYYY. The Validity End Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. If the Account is active, this field is empty. Update Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Update Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows the date and time of the last update of the Account. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows the identification of the user that made the last update of the Account. Shows whether the NCB Participant Cash Account is active or not from the possible values: - Yes - No | Owner BIC | Displayed format: Max. 11 characters |
| - CLM CB Account - T2S Dedicated Cash Account - Non-euro Cash Account - Contingency - Contingenc | Account Type | |
| - T2S Dedicated Cash Account - Non-euro Cash Account - Contingency Account Shows the denomination currency of the account. Displayed: Max. 3 characters (SWIFT-x). Number of the Cash Account in CLM. Required: Max. 34 characters. Validity Start Date Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. If the Account is active, this field is empty. Shows the date and time of the last update of the Account. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows the identification of the user that made the last update of the Account. Shows whether the NCB Participant Cash Account. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows the date and time of the last update of the Account. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows the identification of the user that made the last update of the Account. Shows whether the NCB Participant Cash Account is active or not from the possible values: - Yes - No | | - CLM Main Cash Account |
| - Non-euro Cash Account - Contingency Account Shows the denomination currency of the account. Displayed: Max. 3 characters (SWIFT-x). Account Number of the Cash Account in CLM. Required: Max. 34 characters. /alidity Shows the date from which the NCB Participant Cash Account is active. Displayed format is: DD/MM/YYYY. Shows the date from which the NCB Participant Cash Account is closed. Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. If the Account is active, this field is empty. Jpdate Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Jpdate Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows the identification of the user that made the last update of the Account. Shows whether the NCB Participant Cash Account is active or not from the possible values: - Yes - No | | - CLM CB Account |
| - Contingency Account Shows the denomination currency of the account. Displayed: Max. 3 characters (SWIFT-x). Account Number of the Cash Account in CLM. Required: Max. 34 characters. Validity Shows the date from which the NCB Participant Cash Account is active. Displayed format is: DD/MM/YYYY. Validity End Date Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. If the Account is active, this field is empty. Shows the date and time of the last update of the Account. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Update Date Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows the identification of the user that made the last update of the Account. Shows whether the NCB Participant Cash Account is active or not from the possible values: - Yes - No | | - T2S Dedicated Cash Account |
| Shows the denomination currency of the account. Displayed: Max. 3 characters (SWIFT-x). Account Number Required: Max. 34 characters. / Alidity Start Date / Alidity Shows the date from which the NCB Participant Cash Account is active. Displayed format is: DD/MM/YYYY. / Alidity End Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. If the Account is active, this field is empty. Jpdate Date Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Jpdate Date Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Jpdater Jser Id Shows the identification of the user that made the last update of the Account. Shows whether the NCB Participant Cash Account is active or not from the possible values: - Yes - No | | - Non-euro Cash Account |
| Displayed: Max. 3 characters (SWIFT-x). Account Number of the Cash Account in CLM. Required: Max. 34 characters. /alidity Start Date /alidity End Date Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. If the Account is active, this field is empty. Jipdate Date Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Jipdater John Shows the date and time of the last update of the Account. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Jipdater John Shows the identification of the user that made the last update of the Account. Shows whether the NCB Participant Cash Account is active or not from the possible values: — Yes — No | | - Contingency Account |
| Number of the Cash Account in CLM. Required: Max. 34 characters. Shows the date from which the NCB Participant Cash Account is active. Displayed format is: DD/MM/YYYY. Shows the date from which the NCB Participant Cash Account is closed. Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. If the Account is active, this field is empty. Update Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows the date and time of the last update of the Account. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows the identification of the user that made the last update of the Account. Shows whether the NCB Participant Cash Account is active or not from the possible values: - Yes - No | Account | Shows the denomination currency of the account. |
| Required: Max. 34 characters. /alidity Shows the date from which the NCB Participant Cash Account is active. Displayed format is: DD/MM/YYYY. /alidity End Date Displayed format is: DD/MM/YYYY. Shows the date from which the NCB Participant Cash Account is closed. Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. If the Account is active, this field is empty. Shows the date and time of the last update of the Account. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows the identification of the user that made the last update of the Account. Shows whether the NCB Participant Cash Account is active or not from the possible values: - Yes - No | Currency | Displayed: Max. 3 characters (SWIFT-x). |
| Shows the date from which the NCB Participant Cash Account is active. Displayed format is: DD/MM/YYYY. Shows the date from which the NCB Participant Cash Account is closed. Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. If the Account is active, this field is empty. Shows the date and time of the last update of the Account. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Update Date Shows the identification of the user that made the last update of the Account. Shows the identification of the user that made the last update of the Account. Shows whether the NCB Participant Cash Account is active or not from the possible values: Yes No | Account | Number of the Cash Account in CLM. |
| Displayed format is: DD/MM/YYYY. /alidity End Shows the date from which the NCB Participant Cash Account is closed. Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. If the Account is active, this field is empty. Jpdate Shows the date and time of the last update of the Account. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Jpdater Shows the identification of the user that made the last update of the Account. Shows whether the NCB Participant Cash Account is active or not from the possible values: — Yes — No | Number | Required: Max. 34 characters. |
| Displayed format is. DD/MM/YYYY. Shows the date from which the NCB Participant Cash Account is closed. Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. If the Account is active, this field is empty. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Jpdater Shows the identification of the user that made the last update of the Account. Shows whether the NCB Participant Cash Account is active or not from the possible values: - Yes - No | Validity | Shows the date from which the NCB Participant Cash Account is active. |
| Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. If the Account is active, this field is empty. Jpdate Shows the date and time of the last update of the Account. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Jpdater Jser Id Shows the identification of the user that made the last update of the Account. Shows whether the NCB Participant Cash Account is active or not from the possible values: — Yes — No | Start Date | Displayed format is: DD/MM/YYYY. |
| The Validity End Date must be equal to or later than the Validity Start Date. If the Account is active, this field is empty. Shows the date and time of the last update of the Account. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Jpdater Shows the identification of the user that made the last update of the Account. Shows whether the NCB Participant Cash Account is active or not from the possible values: — Yes — No | Validity End | Shows the date from which the NCB Participant Cash Account is closed. |
| Date. If the Account is active, this field is empty. Shows the date and time of the last update of the Account. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Jpdater Jser Id Shows the identification of the user that made the last update of the Account. Shows whether the NCB Participant Cash Account is active or not from the possible values: — Yes — No | Date | Displayed format is: DD/MM/YYYY. |
| Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Jpdater Jser Id Shows the identification of the user that made the last update of the Account. Shows whether the NCB Participant Cash Account is active or not from the possible values: — Yes — No | | |
| Shows the identification of the user that made the last update of the Account. Shows whether the NCB Participant Cash Account is active or not from the possible values: - Yes - No | Update | Shows the date and time of the last update of the Account. |
| Jser Id count. S Active Shows whether the NCB Participant Cash Account is active or not from the possible values: - Yes - No | Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| the possible values: - Yes - No | Updater User Id | · · |
| – No | Is Active | |
| | | - Yes |
| After selecting a record, the following buttons are displayed | | - No |
| | After selecting | ng a record, the following buttons are displayed |



| Button | Function | | | | |
|------------------|--|--|--|--|--|
| History | [Only for For Valid Information] | | | | |
| | This function enables you to access to the historical information of an Account. | | | | |
| | Next screen: | | | | |
| | - NCB Participant Cash Account - History Screen. | | | | |
| Edit | This function enables you to edit an Account. | | | | |
| | Next screen: | | | | |
| | - NCB Participant Cash Account- Edit Screen. | | | | |
| View | This function enables you to access to the detailed information of an Account. | | | | |
| | Next screen: | | | | |
| | - NCB Participant Cash Account - Details Screen. | | | | |
| | is used in the 4 eyes validation context, the following buttons are also dis- a record is selected | | | | |
| Action to Va | alidate = Creation | | | | |
| In case of cre | eation of new data by 4-eyes user, the validator user will validate/reject. | | | | |
| Button | Function | | | | |
| Edit | This function allows the validator user to edit and modify the draft. | | | | |
| View | This function enables the validator user to view the draft record to be validated or rejected. | | | | |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system | | | | |
| Reject | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. | | | | |
| In case the r | ecord has been rejected the only available options for this record will be: | | | | |
| View | This function allows the user to view the rejected record. | | | | |
| Action to Va | alidate = Update | | | | |
| _ | odate of data by 4-eyes user, the validator user can validate/reject/edit. To ds to go first in the show/compare draft button. | | | | |
| Button | Function | | | | |
| View | This function enables the user to view the draft record to be validated or rejected. | | | | |
| Edit Draft | This function allows the user to edit and modify the draft. | | | | |
| Show Draft | This function enables the validator user to view the draft record to be validated or rejected. | | | | |
| Compare Draft | In case the 4 eyes validation is required because of an update of the record, this function enables the validator user to display the change that needs to be validated. | | | | |
| Once you cli | ck on Show Draft or Compare Draft buttons: | | | | |
| Reject Draft | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. | | | | |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system | | | | |
| In case the r | ecord has been rejected the only available options for this record will be: | | | | |
| View | This function allows the user to view the rejected record. | | | | |



3.2.2.3.1.1. NCB Participant Cash Account – History Screen

| Context of | This screen | displays historical in | formation on the sele | cted NCB Parti- | | | | |
|--------------------|--|--|--|---|--|--|--|--|
| | This screen displays historical information on the selected NCB Participant Cash Account. You can check the data and proceed further by | | | | | | | |
| Usage | | | | | | | | |
| | clicking on 1 | clicking on the buttons below. | | | | | | |
| Screen Ac- cess | Reference Data >> Reference Data >> Accounts Reference Data >> NCB Participant Cash Accounts Create/Display >> Click on the Search button (after inputting the relevant Reference Data, if needed) >> Select an NCB Participant Cash Account >> Click on the History button Reference Data >> Reference Data >> Accounts Reference Data >> NCB Participant Cash Accounts Create/Display >> Click on the | | | | | | | |
| | NCB Participant Cash Accounts Create/Display >> Click on the Search button (after inputting the relevant Reference Data, if needed) >> Select an NCB Participant Cash Account >> Click on the View button (NCB Cash Account – Details Screen) >> Click on the History Button | | | | | | | |
| Screen- | horizontalHistoryResult : Client Cash Ac | c History | | 6 | | | | |
| | Cotto | 1000 China China China Anni Anni Anni Chin | - 1000 100 100 100 100 100 100 100 100 1 | Q 3 KB 🐆 Show Differences Only Expand All Compane | | | | |
| shot | Fields | ARVIVATWW001EUR)2021-09-01 13:17:28:4503 | ABVIATWW001EUI(2021-08-31 16-04-31 6-0[2 | ABVIATWW001EUR/2021-08-31 11:51:14:384[1 | | | | |
| | Is Active | Yes | Mo. | No. | | | | |
| | Validity Start Date | 01/09/2021 | 01/09/2021 | 31/08/2021 | | | | |
| | Creation Date | 01/09/2021 13:17:28:450 | 31/08/2021 16:04:31:670 | 31/08/2021 11:51:14:384 | | | | |
| | Account Reference Account Reference | ABVRATWW001EUR ABVRATWW001 | ABVRATWW001EUR ABVRATWW001 | ABVRATWW001 EUR ABVRATWW001 | | | | |
| | ADDRESS DETAILS | | | | | | | |
| | Additional Codes Has Bill Code | ABVPATWW001EUR | ABVRATWW001EUR | ABVRATWW001EUR | | | | |
| | Has Bill Type | com.vermeg.services.comRef.acc.ClientCashAcc | ABVHATWWUITEUR com.vermeg.services.comRef.acc.ClientCashAcc | com vermeg services.comRef.acc.ClientCashAcc | | | | |
| | Rejected | No | No | No. | | | | |
| | Account Category Account Type | CI M Main Cash Account | CI M Main Cash Account | CLM Main Cash Account | | | | |
| | Account Holder | | | CONTINUES CORRESPONDENCE | | | | |
| | Action To Validate | | | | | | | |
| | Additional Date1 Additional Date2 | | | | | | | |
| | Additional Date3 | | | | | | | |
| | Account Servicer | AT0000003888151 | AT0000003888151 | AT0000003888151 | | | | |
| | Party Name Additional Field3 | | | | | | | |
| | Bank Bic | | | | | | | |
| | Bank Description | | | | | | | |
| | Bank Id | | | | | | | |
| | Bban | | | | | | | |
| | Being Deactivated Beneficial Owner Type | NO | NO | No | | | | |
| | Account Owner BIC | ABVRATWW001 | ABVRATWW001 | ABVRATWW001 | | | | |
| | Billing Cash Account Billing Currency | EUR | EUR | EUR | | | | |
| | Branch | | | | | | | |
| | Business Activity Ceiling Amount | | | | | | | |
| | Comment | | | | | | | |
| | Control Digit Account Currency | EUR | EUR | EUR | | | | |
| | Deactivated Permanently | No | No | No | | | | |
| | External T2S Reference | | | | | | | |
| | Account Number | | | | | | | |
| | Immediate Bill Payment | No | No | No | | | | |
| | Is Blocked Notification Profile | No | No | No | | | | |
| | Opening Date | 31/08/2021 | 31/06/2021 | 31/08/2021 | | | | |
| | Payment Method Private Key | | | | | | | |
| | Regional Settings | | | | | | | |
| | Rejection Reason | | | | | | | |
| | Reporting Profile Repository | | | | | | | |
| | Validation Status | | | | | | | |
| | | CLM MCA of ABVR001 | CLM MCA of ABVR001 | CI M MCA of ARVR001 | | | | |
| | Account Name Acc Long Name | CLIM MULH OF ABYNOUT | CLEM MOUS OF ARBITRADO | CLIR MICH OF MOVHOUT | | | | |
| | Creation User Id | STP | STP | STP | | | | |
| | (3) difference(s) found. | | | | | | | |
| | 1 | | | | | | | |

| NCB Participant Cash Account – History Screen | | | | |
|---|---|--|--|--|
| Field | Description | | | |
| Fields | Shows the fields whose information have been updated since the creation of the selected NCB Participant Cash Account. | | | |
| Timestamp | Shows the date and time when the fields have been updated. | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | |
| Button | Description | | | |



| Compare | Shows the differences between the selected records whose data have been updated. |
|--------------|---|
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected NCB Participant Cash Account. |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected NCB Participant Cash Account. |
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected NCB Participant Cash Account. |
| | Shows only the fields whose information have been updated since the creation of the selected NCB Participant Cash Account. |

3.2.2.3.1.2 NCB Participant Cash Account – Details Screen

| Context of Usage | | | on the selected NCB Par and proceed further by cli | | | | |
|---------------------|--|--|--|----------------|--|--|--|
| Screen Access | information or the | Depending how the screen is accessed, it can be used to show the valid information or the information that requires 4 eyes validation before they can be considered valid in the system. | | | | | |
| | For valid informati | ion: | | | | | |
| | Participant Cash / (after inputting the | Accounts Create/Display | ccounts Reference Data : / >> Click on the Search ta, if needed) >> Select a View button | button | | | |
| | For information su | ubject to 4 eyes validation | n: | | | | |
| | Reference Data >> Reference Data >> Validation / Rejection >> Validate / Reject Accounts Reference Data >> NCB Participant Cash Account >> Click on the search button (after inputting the relevant Reference Data, if needed) >> Select an NCB Participant Cash Account >> Click on the View button | | | | | | |
| | >> Click on the se | earch button (after inputt | ing the relevant Reference | ce | | | |
| Screen- | >> Click on the se Data, if needed) > the View button | earch button (after inputt >> Select an NCB Partic | ing the relevant Reference | ce Click on | | | |
| 00.00 | >> Click on the set Data, if needed) > the View button | earch button (after inputt >> Select an NCB Partic | ing the relevant Reference ipant Cash Account >> C | ce Click on | | | |
| Screen- shot | >> Click on the set Data, if needed) > the View button Seath Facility ICT Persipent Cash Account Year NCT Persipent Cash Account Tolera AMERICANA AMERI | earch button (after inputt >> Select an NCB Partic | ing the relevant Reference ipant Cash Account >> C | ce Click on | | | |
| 00.00 | >> Click on the set Data, if needed) > the View button Search Result NCD Perception Coath Account > View NCD Perception Coath Account Death ACCOUNT SEARCH ACCOUNT > View NCD Perception Coath Account Death ACCOUNT SEARCH ACCOUNT > View NCD Perception Coath Account Death ACCOUNT SEARCH ACCOUNT > View NCD Perception Coath Account Death Account Death Account Death Account Death Account Search Account > View NCD Perception Coath Account Death Account | earch button (after inputt >> Select an NCB Partic | ing the relevant Reference ipant Cash Account >> C | ce Click on | | | |
| 00.00 | >> Click on the set Data, if needed) > the View button Seeth French NCD Participant Cash Account > View NCD Participant Cash Account > View NCD Participant Cash Account Seets Account Control Account Cont | earch button (after inputt >> Select an NCB Partic | ing the relevant Reference ipant Cash Account >> C | ce Click on | | | |
| 00.00 | >> Click on the se Data, if needed) > the View button Search Farett: NCS Participant Cash Account: Y Vasar NCS Participant Cash Account Contract ACCOUNT Code ACCOUNT CODE ACCOUNTS COD | earch button (after inputt >> Select an NCB Partic Account Accou | ing the relevant Reference ipant Cash Account >> C | ce Click on | | | |
| 00.00 | >> Click on the set Data, if needed) > the View button Search Front NCP Perticipant Coath Account View NCB Perticipant Coath Account Coath Account View NCB Perticipant Coath Account Coath | earch button (after inputt >> Select an NCB Partic | ing the relevant Reference ipant Cash Account >> C | ce Click on | | | |
| 00.00 | >> Click on the se Data, if needed) > the View button Search Farett: NCS Participant Cash Account: Y Vasar NCS Participant Cash Account Contract ACCOUNT Code ACCOUNT CODE ACCOUNTS COD | earch button (after inputt >> Select an NCB Partic Account Account Account Account Account Account Acc | ing the relevant Reference ipant Cash Account >> C | ce Click on | | | |
| 00.00 | >> Click on the set Data, if needed) > the View button Search French: NCE Participant Cash Account: > Very: NCE Participant Cash Account Greek Manual Greeke Manual Greekee Manual Greekeee Manual Greekeee Manual Greekeee Manual Gr | earch button (after inputt >> Select an NCB Partic Account Account Account Account Account Account Acc | ing the relevant Reference ipant Cash Account >> C | ce Click on | | | |
| 00.00 | >> Click on the set Data, if needed) > the View button Seach Result NCD Pericipant Cash Account > Vest NCD Pericipant Cash Account Cleans ACCOUNTY OF THE SEASON ACCOUNTY OF THE PERICIPANT CASH ACCOUNTY OF THE SEASON ACCOUNTY OF THE PERICIPANT CASH ACCOUNTY OF THE SEASON ACC | earch button (after inputt >> Select an NCB Partic Account Account Account Account Account Account Acc | ing the relevant Reference ipant Cash Account >> C | ce Click on | | | |
| 00.00 | >> Click on the set Data, if needed) > the View button Search Fresch. INCE Perioques Coal Account View. INCE Perioques Coal Account | earch button (after inputt >> Select an NCB Partic Account Account Account Account Account Account Acc | ing the relevant Reference ipant Cash Account >> C | ce Click on | | | |
| 00.00 | >> Click on the set Data, if needed) > the View button Search Result. NCB Participant Cash Account: > View NCB Particip | Pearch button (after inputted by Select an NCB Partice by Select by Sel | ing the relevant Reference ipant Cash Account >> C | ce Click on | | | |

| NCB Participant Cash Account – Details Screen | | | |
|---|---|--|--|
| Button | Description | | |
| History | [Only for For Valid Information] | | |
| | This function enables you to access to the historical information of an NCB Participant Cash Account. | | |
| | Next screen: | | |



| | NCB Participant Cash Account – History Screen. | | | | |
|----------------------------|--|--|--|--|--|
| General Info | rmation | | | | |
| Field | Description | | | | |
| Account | Shows the unique NCB Participant Cash Account reference. | | | | |
| Reference | It is unique per account servicer. | | | | |
| | Displayed format is: Max. 35 characters. | | | | |
| Account | Shows the name of the NCB Participant Cash Account. | | | | |
| Name | Displayed format is: Max. 255 characters. | | | | |
| Account Owner | Shows the Internal Identifier that uniquely identifies the Party in the ECMS to whom the account belongs to from the possible values: | | | | |
| | NCB Participant | | | | |
| | Displayed format is: Max. 30 characters. | | | | |
| Account Owner | Shows the RIAD Code that uniquely identifies the Party in the ECMS to whom the account belongs | | | | |
| RIAD Code | Required format is: Max. 30 characters. | | | | |
| Account | Shows the BIC Code of the Account Owner. | | | | |
| Owner BIC | Displayed format is: Max. 11 characters. | | | | |
| Account Servicer | Shows the RIAD Code that uniquely identifies the NCB or Cash Correspondent in the ECMS that is the servicer of the account from the possible values: | | | | |
| | EUR -> Refinancing NCB | | | | |
| | Non-EUR -> Cash Correspondent | | | | |
| | Displayed format is: Max. 30 characters. | | | | |
| Account Type | Shows the type of the NCB Participant Cash Account from the possible values: | | | | |
| 7. | CLM Main Cash Account | | | | |
| | - CLM CB Account | | | | |
| | - T2S Dedicated Cash Account | | | | |
| | Non-euro Cash Account | | | | |
| | Contingency Account | | | | |
| Account | Number of the Cash Account in CLM. | | | | |
| Number | Required: Max. 34 characters. | | | | |
| Account | Shows the denomination currency of the account. | | | | |
| Currency | Displayed: Max. 3 characters (SWIFT-x). | | | | |
| Activation D | · · | | | | |
| Is Active | Shows whether the account is active or not. The possible values are: | | | | |
| | – Yes | | | | |
| | – No | | | | |
| (De)Activa- tion Reason | Shows the reason informed when the NCB Participant Cash Account was (de)activated. | | | | |
| Validity | Shows the date from which the NCB Participant Cash Account is active. | | | | |
| Start Date | Displayed format is: DD/MM/YYYY | | | | |
| Validity End | | | | | |
| Doto | Displayed format is: DD/MM/YYYY. | | | | |
| l | ı · · | | | | |



| | The Validity End Date must be equal to or later than the Validity Start Date. If the Account is active, this field is empty. |
|-----------------------|--|
| Validation I | Details |
| Action To Validate | Shows if there is any action waiting for validation. |
| Rejected | Shows if any action subject to validation has been rejected. The possible values are: |
| | - Yes |
| | - No |
| Footprint | |
| Updater User Id | Shows the identification of the user that made the last update. |
| Update | Shows the date and time of the Account last update. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the data. |
| Creation | Shows the date and time of the Account creation. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |

3.2.2.4 Asset - Cash Account Link

3.2.2.4.1 Internal Asset Account / External Cash Account Links

3.2.2.4.1.1 Internal Asset Account / External Cash Account Links Create / Display

3.2.2.4.1.1. Internal Asset Account / External Cash Account Link – Search Screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the Internal Asset Account / External Cash Account Links. |
|---------------------|--|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |
| Screen Ac- cess | Depending how the screen is accessed, it can be used to search the valid information of the Links or the information that requires 4 eyes validation before they can be considered valid in the system. |
| | For valid information: |
| | Reference Data >> Reference Data >> Accounts Reference Data >> Asset – Cash Accounts Link >> Internal Asset Account / External Cash Account Link Create/Display |
| | For information subject to 4 eyes validation: |
| | Reference Data >> Reference Data >> Validation / Rejection >> Validate Reject Accounts Reference Data >> Validate7reject Asset-Cash Accounts Link/Internal Asset Account / External Cash Account Links |
| Screen- | Immed Arom Annuar / External Cash Account Link |
| shot | Litternal Assert Account Fad ** ▼ NCB Participant ** ▼ Connecty ** ▼ Connecty ** ▼ |
| | Validay (tot Date · · · · · · · · · · · · · · · · · · · |
| | Observed Date of Value C Security |



| Internal As | set Account / External Cash Account Links – Search screen |
|------------------------|---|
| Field | Description |
| set Ac- | Enter / Select the Internal Asset Account reference that identifies the account to whom the link between Internal Asset Account and Cash Account applies. |
| | Required format is: Max. 35 characters. |
| NCB Participant | Enter / Select the RIAD Code that uniquely identifies the Party in the ECMS. |
| Currency | Enter / Select the currency of the cash payment. The magnifier icon can also be used. |
| | Required format is: Max. 3 characters (SWIFT-x). |
| Creation Date | Enter the reference date of the creation of the Internal Asset Account / External Cash Account Link or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Validity Start Date | Enter the date from which the Internal Asset Account / External Cash Account Link is valid. The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY. |
| Validity End Date | Enter the date from which the Internal Asset Account / External Cash Account Link is not valid anymore or use the calendar icon. |
| | Required format is: DD/MM/YYYY. |
| | The Validity End Date must be equal to or later than the Validity Start Date. |
| Update Date | Enter the reference date of the last update of the Internal Asset Account / External Cash Account Link or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Create | This function enables you to create a new Internal Asset Account / External Cash Account Link. |
| | Next screen: |
| | Internal Asset Account / External Cash Account Link – Create Screen. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | Internal Asset Account / External Cash Account Link – List Screen |

3.2.2.4.1.1.1 Internal Asset Account / External Cash Account Link – List Screen

| Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. |
|-------|---|
| | Depending how the screen is accessed, it can be used to list the valid information of the Links or the information that requires 4 eyes validation before they can be considered valid in the system. For valid information: |



Reference Data >> Reference Data >> Accounts Reference Data >> Asset — Cash Accounts Link >> Internal Asset Account / External Cash Account Link Create/Display >> Click on the search button (after inputting the relevant Reference Data, if needed)

For information subject to 4 eyes validation:

Reference Data >> Reference Data >> Validation / Rejection >> Validate / Reject Accounts Reference Data >> Validate/reject Asset-Cash Accounts Link>>Internal Asset Account / External Cash Account Links >> Click on the search button

**Total Control of Co

| S | c | re | e | n | S | h | O |
|---|---|----|---|---|---|---|---|
| | | | | | | | |

| | Internal Asset Account Ref © | NCB Participant # | Destination Cash Account 67 | Validity Start Date | Validity End Date # | Update Date ♥ | Updater User Id ♥ | Creation Date © | Currency © | Source Cash Account # |
|---|------------------------------|-------------------|-----------------------------|---------------------|---------------------|-------------------------|-------------------|-------------------------|------------|-----------------------|
| | | | | | | | | | | |
| | ABVR002IAA02 | | ABVRATWW002 | 20/09/2021 | 29/12/9999 | 20/09/2021 16:32:49:477 | STP | 20/09/2021 13:24:03:494 | EUR | NABAATWWXXX |
| | ABVR007IAA01 | | ABVRATWW007 | 01/09/2021 | 31/12/9999 | 09/09/2021 15:33:01:262 | STP | 01/09/2021 12:20:28:688 | | NABAATWWXXXX |
| 3 | ABVR006IAA01 | | ABVRATWW006 | 01/09/2021 | 31/12/9999 | 09/09/2021 15:33:31:487 | STP | 01/09/2021 12:20:07:855 | | NABAATWWXXX |
| | ABVR005IAA01 | | ABVRATWW005 | 01/09/2021 | 31/12/9999 | 09/09/2021 15:33:51:142 | STP | 01/09/2021 12:19:47:305 | | NABAATWWXXX |
| | ABVR004IAA01 | | ABVRATWW004 | 01/09/2021 | 31/12/9999 | 09/09/2021 15:34:07:256 | STP | 01/09/2021 12:19:23:272 | | NABAATWWXXX |
| | ABVR003IAA01 | | ABVRATWW003 | 01/09/2021 | 31/12/9999 | 09/09/2021 15:34:24:543 | STP | 01/09/2021 12:19:02:408 | | NABAATWWXXXX |
| | ABVR002IAA01 | | ABVRATWW002 | 01/09/2021 | 31/12/9999 | 09/09/2021 15:34:39:320 | STP | 01/09/2021 12:18:42:819 | | NABAATWWXXX |
| | ABVR001IAA01 | | ABVRATWW001 | 01/09/2021 | 31/12/9999 | 09/09/2021 15:34:56:694 | STP | 01/09/2021 12:18:20:481 | | NABAATWWXXX |
| | ABVR015IAA01 | | ABVRATWW015 | 28/07/2021 | 31/12/9999 | 09/09/2021 15:35:11:989 | STP | 31/08/2021 13:19:15:741 | | NABAATWWXXX |

| Internal Ass | et Account / External Cash Account Link – List Screen |
|-------------------------|--|
| Field | Description |
| Internal As- | Shows the Internal Asset Account reference that identifies the account to whom the link between Internal Asset Account and Cash Account applies. |
| NOD D-wi | Displayed format is: Max. 35 characters. |
| NCB Parti- cipant | Shows the RIAD Code that uniquely identifies the Party in the ECMS. |
| Currency | Shows the currency of the cash payment. |
| | Displayed format is: Max. 3 characters (SWIFT-x). |
| Source Cash Ac- | Shows the reference of the NCB Cash Account from where the payment is made. |
| count | Displayed format is: Max. 35 characters |
| Destination Cash Ac- | Shows the reference of the NCB Participant Cash Account where the payment is made. |
| count | Displayed format is: Max. 35 characters |
| Validity Start Date | Shows the date from which the Internal Asset Account -External Cash Account Link is valid. |
| | Displayed format is: DD/MM/YYYY. |
| Validity End Date | Shows the date from which the Internal Asset Account - External Cash Account Link is not valid anymore. |
| | Displayed format is: DD/MM/YYYY. |
| | The Validity End Date must be equal to or later than the Validity Start Date. |
| Update Date | Shows the date and time of the last update of the Internal Asset Account - External Cash Account Link. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the Internal Asset Account / External Cash Account Link. |
| After selectin | g a record, the following buttons are displayed |
| Button | Function |



| History | [Only for For Valid Information] |
|------------------|--|
| | This function enables you to access to the historical information of an Internal Asset Account / External Cash Account Link. |
| | Next screen: |
| | Internal Asset Account / External Cash Account Link – History Screen. |
| Edit | This function enables you to edit an Internal Asset Account / External Cash Account Link. |
| | Next screen: |
| | - Internal Asset Account / External Cash Account Link - Edit Screen. |
| View | This function enables you to access to the detailed information of an Internal Asset Account / External Cash Account Link. |
| | Next screen: |
| | Internal Asset Account / External Cash Account Link – Details Screen. |
| | is used in the 4 eyes validation context, the following buttons are also disarecord is selected |
| Action to Va | alidate = Creation |
| In case of cre | eation of new data by 4-eyes user, the validator user will validate/reject. |
| Button | Function |
| Edit | This function allows the validator user to edit and modify the draft. |
| View | This function enables the validator user to view the draft record to be validated or rejected. |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system |
| Reject | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. |
| In case the r | ecord has been rejected the only available options for this record will be: |
| View | This function allows the user to view the rejected record. |
| | alidate = Update |
| | date of data by 4-eyes user, the validator user can validate/reject/edit. To ds to go first in the show/compare draft button. |
| Button | Function |
| View | This function enables the user to view the draft record to be validated or rejected. |
| Edit Draft | This function allows the user to edit and modify the draft. |
| Show Draft | This function enables the validator user to view the draft record to be validated or rejected. |
| Compare Draft | In case the 4 eyes validation is required because of an update of the record, this function enables the validator user to display the change that needs to be validated. |
| Once you cli | ck on Show Draft or Compare Draft buttons: |
| Reject Draft | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system |
| In case the r | ecord has been rejected the only available options for this record will be: |



View This function allows the user to view the rejected record.

3.2.2.4.1.1.1 Internal Asset Account / External Cash Account Link – History Screen

Context of This screen displays historical information that has changed on the selected Internal Asset Account / External Cash Account Link. You can check Usage the data, including the user who made the changes, and proceed further by clicking on the buttons that are shown. Screen Ac-– Reference Data >> Reference Data >> Accounts Reference Data >> cess Asset – Cash Accounts Link >> Internal Asset Account / External Cash Account Link Create/Display >> Click on the search button (after inputting the relevant Reference Data, if needed) >> Select an Internal Asset Account / External Cash Account Link >> Click on the *History* button – Reference Data >> Reference Data >> Accounts Reference Data >> Asset – Cash Accounts Link >> Internal Asset Account / External Cash Account Link Create/Display >> Click on the search button (after inputting the relevant Reference Data, if needed) >> Select an Internal Asset Account / External Cash Account Link >> Click on the View button (Internal Asset Account / External Cash Account Link -Details Screen) >> Click on the History Button Screenshot

| Internal Asset Account / External Cash Account Link – History Screen | | | | |
|--|--|--|--|--|
| Field | Description | | | |
| Fields | Shows the fields whose information have been updated since the creation of the selected Internal Asset Account / External Cash Account Link. | | | |
| Timestamp | Shows the date and time when the fields have been updated. | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | |
| Button | Description | | | |
| Compare | Shows the differences between the selected records whose data have been updated. | | | |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected Internal Asset Account / External Cash Account Link. | | | |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected Internal Asset Account / External Cash Account Link. | | | |
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected Internal Asset Account / External Cash Account Link. | | | |
| Show Differences Only | Shows only the fields whose information have been updated since the creation of the selected Internal Asset Account / External Cash Account Link. | | | |



3.2.2.4.1.1.1 Internal Asset Account / External Cash Account Link - Details Screen

.2

| | I. | | | | |
|---|--|--|--|---|--------|
| Context of Usage | This screen displays det Account / External Cash ceed further by clicking of | Account Lin | nk. You can | selected Internal Asset check the data and pro | t - |
| Screen Access | Depending how the scre information or the inform can be considered valid | ation that re | equires 4 ey | | |
| | For validation information: | | | | |
| | Reference Data >> Reference Data >> Accounts Reference Data >> Asset – Cash Account Link >> Internal Asset Account / External Cash Account Link Create/Display >> Click on the search button (after inputting the relevant Reference Data, if needed) >> Select an Internal Asset Account / External Cash Account Link >> Click on the View button | | | | |
| | For information subject to 4 eyes validation: | | | | |
| Reference Data >> Reference Data >> Validation / Rej ate / Reject Accounts Reference Data >> Validate / Re Accounts link >> Internal Asset Account / External Cas >> Click on the search button >> Select an Internal Asset Account Cash Account Link >> Click on the View button | | | ite / Reject Asset – Cas nal Cash Account Links rnal Asset Account - Ex- | | |
| Screenshot | | | | | |
| | Create / Display: Internal Asset Account-External Cash Account Link Search Result: Internal Asset Account-External Cash Account Link > View.internal A | eest Account.Evternal Cash Account Link | | | * • |
| | Context | isset Account External Cash Account Link | | | |
| | Internal Asset Account Ref ABYR003EA402 | NCB Participant | | Ourrency | |
| | | - | | | |
| | Results Source Cash Account | | Destination Cash Account | | |
| | NABAATWWXXX | | ABVRATWW003 | | |
| | Validation Details | | | | |
| | Action To Validate | | Rejected Ne | | |
| | Activation Details | | | | |
| | Validity Start Date 20/09/2021 | | Validity End Date 31/12/9999 | | |
| | Foot Print | | | | _ |
| | | | | | ^ |
| | Creation Date | Creation User Id | | Update Date | |
| | Creation Date 2809/281 736457771 Updater User td STP STP | Creation User Id SIP | | Update Date 2009/0023 17:36:57/71 | |

| Internal Ass | Internal Asset Account / External Cash Account Link – Details Screen | |
|-----------------------------|--|--|
| Button | Description | |
| History | [Only for For Valid Information] | |
| | This function enables you to access to the historical information of an Internal Asset Account / External Cash Account Link. | |
| | Next screen: | |
| | Internal Asset Account / External Cash Account Links – History Screen. | |
| Context | | |
| Field | Description | |
| Internal Asset Account Ref. | Shows the Internal Asset Account reference that identifies the account to whom the link between Internal Asset Account and Cash Account applies. | |
| | Displayed format is: Max. 35 characters. | |

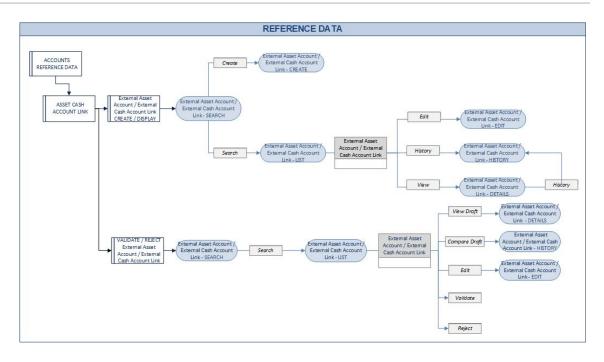


| NCB Parti- cipant | Shows the RIAD Code that uniquely identifies the Party in the ECMS. |
|------------------------|--|
| Currency | Shows the currency of the cash payment. |
| | Displayed format is: Max. 3 characters (SWIFT-x). |
| Result | |
| Source Cash Ac- | Shows the reference of the NCB Cash Account from where the payment is made. |
| count | Displayed format is: Max. 35 characters |
| Destination Cash Ac- | Shows the reference of the NCB Participant Cash Account where the payment is made. |
| count | Displayed format is: Max. 35 characters |
| Validity Start Date | Shows the date from which the Internal Asset Account / External Cash Account Link is valid. |
| | Displayed format is: DD/MM/YYYY. |
| Validity End Date | Shows the date from which the Internal Asset Account / External Cash Account Link is not valid anymore. |
| | Displayed format is: DD/MM/YYYY. |
| | The Validity End Date must be equal to or later than the Validity Start Date. |
| Validation de | etails |
| Action To Validate | Shows if there is any action waiting for validation. |
| Rejected | Shows if any action subject to validation has been rejected. The possible values are: |
| | - Yes |
| | – No |
| Foot Print | |
| Creation Date | Shows the date and time of the creation of the Internal Asset Account / External Cash Account Link. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the Internal Asset Account / External Cash Account Link. |
| Update Date | Shows the date and time of the update of the Internal Asset Account / External Cash Account Link. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the Internal Asset Account / External Cash Account Link. |
| | |

3.2.2.4.2 External Asset Account / External Cash Account Links

3.2.2.4.2.1 External Asset Account / External Cash Account Links Sitemap





3.2.2.4.2.2 External Asset Account / External Cash Account Links Create / Display

3.2.2.4.2.2. External Asset Account / External Cash Account Link - Search Screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevandata, you can search for the External Asset Account / External Cash A count Links. | | |
|------------------|--|--|--|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. | | |
| Screen Access | Depending how the screen is accessed, it can be used to search the valid information of the Links or the information that requires 4 eyes validation before they can be considered valid in the system. | | |
| | For valid information: | | |
| | Reference Data >> Reference Data >> Accounts Reference Data >> Aset – Cash Accounts Link >> External Asset Account / External Cash Account Link Create/Display | | |
| | For information subject to 4 eyes validation: | | |
| | Reference Data >> Reference Data >> Validation / Rejection >> Validate / Reject Accounts Reference Data >> Validate / Reject Asset-Cash Accounts link >> External Asset Account / External Cash Account Link | | |
| Screen- | Esternal Account J Esternal Code Account Last Character Code (Code Code) | | |
| shot | Create / Display: External Asset Account-External Cash Account links Linum Asset Account Ref. • Valety Start Date • Valety St | | |
| | Validity End Date •• ▼ | | |
| | Cestination Cest Account • • ▼ | | |
| | O Cour. Q South | | |

| External Asset Account / External Cash Account Link – Search screen | | |
|---|---|--|
| Field | Description | |
| set Account | Enter / Select the External Asset Account reference that identifies the account to whom the link between Internal Asset Account and Cash Account applies. | |



.1

| | Required format is: Max. 35 characters. |
|------------------------|--|
| Currency | Enter / Select the currency of the cash payment. The magnifier icon can also be used. |
| | Required format is: Max. 3 characters (SWIFT-x). |
| Destination Cash Ac- | Enter / Select the identifier of the NCB Cash Account where the payment is made. |
| count | Required format is: Max. 35 characters |
| Creation Date | Enter the reference date of the creation of the External Asset Account / External Cash Account Link or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Validity Start Date | Enter the date from which the External Asset Account - External Cash Account Link is valid. The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY. |
| Validity End Date | Enter the date from which the External Asset Account - External Cash Account Link is not valid anymore or use the calendar icon. |
| | Required format is: DD/MM/YYYY. |
| | The Validity End Date must be equal to or later than the Validity Start Date. |
| Update Date | Enter the reference date of the last update of the External Asset Account - External Cash Account Link or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Create | This function enables you to create a new External Asset Account / External Cash Account Link. |
| | Next screen: |
| | External Asset Account / External Cash Account Link – Create Screen. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | External Asset Account / External Cash Account Link – List Screen. |

3.2.2.4.2.2.1 External Asset Account / External Cash Account Link - List Screen

Context of This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default Usage setting). After selecting an entry, you can proceed further by clicking on the buttons below. Screen Ac- Depending how the screen is accessed, it can be used to list the valid information of the Links or the information that requires 4 eyes validation cess before they can be considered valid in the system. For valid information: Reference Data >> Reference Data >> Accounts Reference Data >> Asset - Cash Account Link >> External Asset Account / External Cash Account Link Create/Display >> Click on the search button (after inputting the relevant Reference Data, if needed) For information subject to 4 eyes validation:



Reference Data >> Reference Data >> Validation / Rejection >> Validate / Reject Accounts Reference Data >> Validate / Reject Asset — Cash Accounts link >> External Asset Account - External Cash Account Link-s>> Click on the search button

Screenshot

Screens

| External Asset Account / External Cash Account Link – List Screen | | |
|---|--|--|
| Field | Description | |
| | Shows the External Asset Account reference that identifies the account to whom the link between External Asset Account and Cash Account applies. | |
| | Displayed format is: Max. 35 characters. | |
| Currency | Shows the currency of the cash payment. | |
| | Displayed format is: Max. 3 characters (SWIFT-x). | |
| Destination Cash Ac- | Shows the identifier of the NCB Cash Account where the payment is made. | |
| count | Displayed format is: Max. 35 characters | |
| Validity Start Date | Shows the date from which the External Asset Account / External Cash Account Link is valid. | |
| | Displayed format is: DD/MM/YYYY. | |
| Validity End Date | Shows the date from which the External Asset Account / External Cash Account Link is not valid anymore. | |
| | Displayed format is: DD/MM/YYYY. | |
| | The Validity End Date must be equal to or later than the Validity Start Date. | |
| Update Date | Shows the date and time of the last update of the External Asset Account / External Cash Account Link. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Updater User Id | Shows the identification of the user that made the last update of the External Asset Account / External Cash Account Link. | |
| After selecting a record, the following buttons are displayed | | |
| Button | Function | |
| History | [Only for For Valid Information] | |
| | This function enables you to access to the historical information of a External Asset Account/External Cash Account Link | |
| | Next screen: | |
| | External Asset Account - External Cash Account Link – History Screen. | |
| Edit | This function enables you to edit an External Asset Account - External Cash Account Link. | |
| | Next screen: | |



| | - External Asset Account / External Cash Account Link - Edit Screen. | |
|--|--|--|
| View | This function enables you to access to the detailed information of an External Asset Account - External Cash Account Link. | |
| | Next screen: | |
| | External Asset Account / External Cash Account Link – Details Screen. | |
| | is used in the 4 eyes validation context, the following buttons are also disa record is selected | |
| Action to Va | lidate = Creation | |
| In case of cre | eation of new data by 4-eyes user, the validator user will validate/reject. | |
| Button | Function | |
| Edit | This function allows the validator user to edit and modify the draft. | |
| View | This function enables the validator user to view the draft record to be validated or rejected. | |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system | |
| Reject | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. | |
| In case the re | ecord has been rejected the only available options for this record will be: | |
| View | | |
| Action to Va | lidate = Update | |
| • | date of data by 4-eyes user, the validator user can validate/reject/edit. To ds to go first in the show/compare draft button. | |
| Button | Function | |
| View | This function enables the user to view the draft record to be validated or rejected. | |
| Edit Draft | This function allows the user to edit and modify the draft. | |
| Show Draft | This function enables the validator user to view the draft record to be validated or rejected. | |
| Compare Draft | In case the 4 eyes validation is required because of an update of the record, this function enables the validator user to display the change that needs to be validated. | |
| Once you click on Show Draft or Compare Draft buttons: | | |
| Reject Draft | This function allows the validator user to reject the creation or update of | |
| | the record. The draft will be deleted. | |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system | |
| | This function allows the validator user to validate the creation or upate of | |

3.2.2.4.2.2.1 External Asset Account / External Cash Account Link – History Screen

Context of Usage

This screen displays historical information that has changed on the selected External Asset Account / External Cash Account Link. You can check the data, including the user who made the changes, and proceed further by clicking on the buttons that are shown.

Screen Access

- Reference Data >> Reference Data >> Accounts Reference Data >> Asset - Cash Accounts Link >> External Asset Account / External Cash Account Link Create/Display >> Click on the search button



(after inputting the relevant Reference Data, if needed) >> Select an External Asset Account / External Cash Account Link >> Click on the *History* button

Reference Data >> Reference Data >> Accounts Reference Data >> Asset – Cash Accounts Link >> External Asset Account / External Cash Account Link Create/Display >> Click on the search button (after inputting the relevant Reference Data, if needed) >> Select an External Asset Account / External Cash Account Link >> Click on the View button (External Asset Account / External Cash Account Link – Details Screen) >> Click on the History Button

Screenshot



| External Asset Account / External Cash Account Link – History Screen | | |
|--|--|--|
| Field | Description | |
| Fields | Shows the fields whose information have been updated since the creation of the selected External Asset Account / External Cash Account Link. | |
| Timestamp | Shows the date and time when the fields have been updated. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Button | Description | |
| Compare | Shows the differences between the selected records whose data have been updated. | |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected External Asset Account / External Cash Account Link. | |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected External Asset Account / External Cash Account Link. | |
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected External Asset Account / External Cash Account Link. | |
| Show Differ- ences Only | Shows only the fields whose information have been updated since the creation of the selected External Asset Account / External Cash Account Link. | |

3.2.2.4.2.2.1 External Asset Account / External Cash Account Link – Details Screen

.2

| Context of | This screen displays detailed information on the selected External Asset |
|------------|--|
| | Account / External Cash Account Link. You can check the data and pro- |
| | ceed further by clicking on the buttons. |



cess

Screen Ac- Depending how the screen is accessed, it can be used to show the valid information or the information that requires 4 eyes validation before they can be considered valid in the system.

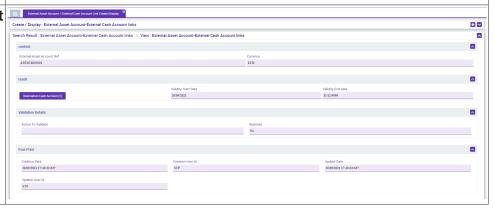
For valid information:

Reference Data >> Reference Data >> Accounts Reference Data >> Asset - Cash Account Link >> External Asset Account / External Cash Account Link Create/Display >> Click on the search button (after inputting the relevant Reference Data, if needed) >> Select an External Asset Account / External Cash Account Link >> Click on the View button

For information subject to 4 eyes validation:

Reference Data >> Reference Data >> Validation / Rejection >> Validate / Reject Accounts Reference Data >> Validate / Reject Asset - Cash Accounts link >> External Asset Account - External Cash Account Links >> Click on the search button >> Select an External Asset Account - External Cash Account Link >> Click on the View button

Screenshot



| External Asset Account / External Cash Account Link – Details Screen | | |
|--|--|--|
| Field | Description | |
| History | [Only for For Valid Information] | |
| | This function enables you to access to the historical information of an External Asset Account / External Cash Account Link. | |
| | Next screen: | |
| | External Asset Account / External Cash Account Links – History Screen. | |
| Context | | |
| Object | Description | |
| External Asset Account Ref. | Shows the External Asset Account reference that identifies the account to whom the link between External Asset Account and Cash Account applies. | |
| | Displayed format is: Max. 35 characters. | |
| Currency | Shows the currency of the cash payment. | |
| | Displayed format is: Max. 3 characters (SWIFT-x). | |
| Result | | |
| Destination Cash Account | Shows the identifier of the NCB Cash Account where the payment is made. | |
| | Displayed format is: Max. 35 characters | |



| Shows the date from which the External Asset Account / External Cash Account Link is valid. | |
|--|--|
| Displayed format is: DD/MM/YYYY. | |
| Shows the date from which the External Asset Account / External Cash Account Link is not valid anymore. | |
| Displayed format is: DD/MM/YYYY. | |
| The Validity End Date must be equal to or later than the Validity Start Date. | |
| 8 | |
| Shows if there is any action waiting for validation. | |
| Shows if any action subject to validation has been rejected. The possible values are: | |
| - Yes | |
| - No | |
| | |
| Shows the date and time of the creation of the External Asset Account / External Cash Account Link. | |
| Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Shows the identification of the user that created the External Asset Account / External Cash Account Link. | |
| Shows the date and time of the update of the External Asset Account / External Cash Account Link. | |
| Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Shows the identification of the user that made the last update of the External Asset Account / External Cash Account Link. | |
| Destination Cash Account | |
| nation Cash accounts are displayed | |
| Description | |
| Shows the identifier of the NCB Cash Account where the payment is made (in case of positive cash flow). | |
| | |

3.2.3 Settlement Possibilities and Eligible CSD Links

The ECMS maintains a list of **Settlement Possibilities** that is used to determine the T2S Securities Accounts that receives the asset for the processing of a Marketable Asset Mobilisation Instruction received from a Counterparty. In case this account is opened in a CSD not belonging to the Counterparty's refinancing Central Bank community, the settlement possibility indicates also the Cross NCB Asset Account where the cross-border mobilisation is to be materialised.



3.2.3.1 Settlement Possibilities

3.2.3.1.1 Settlement Possibilities - Create / Display

3.2.3.1.1.1 Settlement Possibilities – Search Screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the settlement possibilities. | | | | | | |
|------------------|---|--|--|--|--|--|--|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. | | | | | | |
| Screen Access | Depending how the screen is accessed, it can be used to search the valid information of the Settlement Possibilities or the information that requires 4 eyes validation before they can be considered valid in the system. | | | | | | |
| | For valid information: | | | | | | |
| | Reference Data >> Reference Data >> Settlement Possibilities and Eligible Links >> Settlement Possibilities Reference Data Create/Display | | | | | | |
| | For information subject to 4 eyes validation: | | | | | | |
| | Reference Data >> Reference Data >> Validation / Rejection >> Validate / Reject Settlement Possibilities >> Settlement Possibilities | | | | | | |
| Screen- | Settlement Possibilities Inference Data Constributory Constr | | | | | | |
| shot | Internal August . NGB Participant . NGB Participant . CSD . | | | | | | |
| | Validity Start Class → ▼ 01,01/2020 □ Validity End Class → ▼ □ Update Class → ▼ □ Creation Class → ▼ □ | | | | | | |
| | ○ Create Q Search | | | | | | |

| Settlement Pos | sibilities – Search screen |
|---------------------------|--|
| Field | Description |
| Internal Asset Account | Enter / Select the Internal Asset Account reference on which the collateral is supposed to be mobilised. |
| NCB Participant | Enter / Select the RIAD Code that identifies the NCB Participant in the ECMS to whom the settlement possibilities applies. |
| NCB Participant Type | Enter / Select the type of NCB Participant to whom the settlement possibilities applies. The possible values are: |
| | Counterparties |
| | - Cross NCB |
| | Non-euro area CB |
| CSD | Enter / Select the RIAD Code of the CSD that applies for the Settlement Possibility. |
| Creation Date | Enter the date and time of the creation of the Settlement Possibility. |
| | Required format is: DD/MM/YYYY |
| Validity Start Date | Enter the date from which the Settlement Possibility is active. The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY. |
| Validity End Date | Enter the date from which the Settlement Possibility is not valid anymore or use the calendar icon. |
| | Required format is: DD/MM/YYYY. |
| | The Validity End Date must be equal to or later than the Validity Start Date. |



| Update Date | Enter the reference date of the last update of the Settlement Possibility. The calendar icon can also be used. |
|-------------|--|
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Create | This function enables you to create a new Settlement Possibility. |
| | Next screen: |
| | - Settlement Possibilities - Create Screen. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | - Settlement Possibilities - List Screen. |

3.2.3.1.1.1. Settlement Possibilities – List Screen

| by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. Screen Access Depending how the screen is accessed, it can be used to list the valid information of the Settlement Possibilities or the information that requires 4 eyes validation before they can be considered valid in the system. For valid information: Reference Data >> Reference Data >> Settlement Possibilities and Eligible Links >> Settlement Possibilities Reference Data Create/Display >> Click on the search button (after inputting the relevant Reference Data, if needed) For information subject to 4 eyes validation: Reference Data >> Reference Data >> Validation / Rejection >> Validate / Reject Settlement Possibilities >> Settlement Possibilities >> Click on the search button Screen-Shot Screen-Shot To the control formation of the Settlement Possibilities is an accessed, it can be used to list the valid information that requires 4 eyes validation: Reference Data >> Reference Data >> Validation / Rejection >> Validate / Reject Settlement Possibilities >> Settlement Possibilities >> Click on the search button | by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. Screen Access Depending how the screen is accessed, it can be used to list the valid information of the Settlement Possibilities or the information that requires 4 eyes validation before they can be considered valid in the system. For valid information: Reference Data >> Reference Data >> Settlement Possibilities and Eligible Links >> Settlement Possibilities Reference Data Create/Display >> Click on the search button (after inputting the relevant Reference Data, if needed) For information subject to 4 eyes validation: Reference Data >> Reference Data >> Validation / Rejection >> Validate / Reject Settlement Possibilities >> Settlement Possibilities >> Click on the search button Screenshot Screenshot Teacher of the Company | | | | | | | | | | | | |
|--|--|---------|---|---|---------------------------|---|--|--|---|---------------------------|--|---|--|
| formation of the Settlement Possibilities or the information that requires 4 eyes validation before they can be considered valid in the system. For valid information: Reference Data >> Reference Data >> Settlement Possibilities and Eligible Links >> Settlement Possibilities Reference Data Create/Display >> Click on the search button (after inputting the relevant Reference Data, if needed) For information subject to 4 eyes validation: Reference Data >> Reference Data >> Validation / Rejection >> Validate / Reject Settlement Possibilities >> Settlement Possibilities >> Click on the search button Screen-shot Screen-shot Screen-shot Total Annual Control of the Settlement Possibilities of t | formation of the Settlement Possibilities or the information that requires 4 eyes validation before they can be considered valid in the system. For valid information: Reference Data >> Reference Data >> Settlement Possibilities and Eligible Links >> Settlement Possibilities Reference Data Create/Display >> Click on the search button (after inputting the relevant Reference Data, if needed) For information subject to 4 eyes validation: Reference Data >> Reference Data >> Validation / Rejection >> Validate / Reject Settlement Possibilities >> Settlement Possibilities >> Click on the search button Screenshot | | by the vasetting). | alues of After se | the 'U lecting | pdate [| Date' co | olumn İr | n descei | nding c | order (de | efault | |
| Reference Data >> Reference Data >> Settlement Possibilities and Eligible Links >> Settlement Possibilities Reference Data Create/Display >> Click on the search button (after inputting the relevant Reference Data, if needed) For information subject to 4 eyes validation: Reference Data >> Reference Data >> Validation / Rejection >> Validate / Reject Settlement Possibilities >> Settlement Possibilities >> Click on the search button Screenshot S | Reference Data >> Reference Data >> Settlement Possibilities and Eligible Links >> Settlement Possibilities Reference Data Create/Display >> Click on the search button (after inputting the relevant Reference Data, if needed) For information subject to 4 eyes validation: Reference Data >> Reference Data >> Validation / Rejection >> Validate / Reject Settlement Possibilities >> Settlement Possibilities >> Click on the search button Screenshot Screenshot Individual Settlement Possibilities | | formation | n of the | Settle | ment P | ossibili | ties or t | he infor | mation | that rec | uires 4 | |
| gible Links >> Settlement Possibilities Reference Data Create/Display >> Click on the search button (after inputting the relevant Reference Data, if needed) For information subject to 4 eyes validation: Reference Data >> Reference Data >> Validation / Rejection >> Validate / Reject Settlement Possibilities >> Settlement Possibilities >> Click on the search button Screen-shot Screen-shot Screen-shot Screen-shot Signature (Company of the company o | gible Links >> Settlement Possibilities Reference Data Create/Display >> Click on the search button (after inputting the relevant Reference Data, if needed) For information subject to 4 eyes validation: Reference Data >> Reference Data >> Validation / Rejection >> Validate / Reject Settlement Possibilities >> Settlement Possibilities >> Click on the search button Screensshot Screensshot Screensshot Announce of the search settlement Possibilities Settlement Possibiliti | | For valid | l informa | ation: | | | | | | | | |
| Reference Data >> Reference Data >> Validation / Rejection >> Validate / Reject Settlement Possibilities >> Settlement Possibilities >> Click on the search button Screenshot Screenshot Screenshot Screenshot Search Requit: Settlement Possibilities Search Requit: Settlement Poss | Reference Data >> Reference Data >> Validation / Rejection >> Click on the search button Screensshot Screen | | gible Lin Click on | ks >> Se the sear | ettlem | ent Pos | sibilitie | s Refe | rence D | ata Cre | eate/Dis | play >> | |
| Reference Data >> Reference Data >> Validation / Rejection >> Click on the search button Screenshot Scre | Reference Data >> Reference Data >> Validation / Rejection >> Click on the search button Screensshot Screen | | For infor | For information subject to 4 eves validation: | | | | | | | | | |
| Shot 10 | Shot | | ate / Rej | ect Settl | emen | | | | | | | | |
| Shot | Shot Contact | Screen- | | Possibilities | | | V / Sum 1 ats | \ \ | | | | | |
| APPROXIMATE ATTRONO 100/20122 11/12/9999 00/05/2022 15/13 57P 00/05/2021 15/11/19 CON NAMING PROVIDED 10/12/2012 11/12/9999 10/12/2012 13/12/9999 10/12/2012 13/12/9999 10/12/2012 13/12/9999 10/12/2012 13/12/9999 10/12/2012 13/12/9999 10/12/2012 13/12/9999 10/12/2012 13/12/9999 10/12/2012 13/12/9999 10/12/2012 13/12/9999 10/12/2012 13/12/9999 10/12/2012 13/12/9999 10/12/2012 13/12/9999 10/12/2012 13/12/9999 10/12/2012 13/12/9999 11/12/2012 13/12/9999 11/12/2012 13/12/9999 11/12/2012 13/12/9999 11/12/2012 13/12/9999 11/12/2012 13/12/9999 11/12/2012 13/12/9999 11/12/2012 13/12/9999 11/12/2012 13/12/9999 11/12/2012 13/12/9999 11/12/2012 13/12/9999 11/12/2012 13/12/9999 11/12/2012 13/12/9999 11/12/2012 13/12/9999 11/12/2012 13/12/9999 12 | APPROXIMATE ATTRONO 1007/2021 311/29999 1007/2021 131/31 57F 1007/2021 131/31 131 | chot | | Con | test | | | / // | Result | | | | |
| ORGANIZATION | CHOROMAND ATMON | 21101 | | ∇ NCB Participant Φ | NCB Participant Entity Ty | Total Committee of the | The second second second | The second secon | C. C. Control of the | The second second second | | a piece | |
| GRADURACETYST | CONSECUENT | | | | | | | | | | | | |
| APPROXIMATED APPR | APPROXIMATED ATTRONO 12002022 31/12/0999 22/02/2021 15583564 37° 20/12/2021 155835690 con writing services combined 16002022 31/12/0999 11/02/2021 10/13/02/15 ATTRONO 16002022 31/12/0999 11/02/2021 10/13/02/15 ATTRONO 16002022 31/12/0999 16002022 13/13/14 16002 16002022 13/13/14 1600202 13/12/0999 16002022 13/13/14 1600202 | | | | | | | | | | | com.vermeg.services.comRef | |
| GAZZI A79900 11/02/2022 31/12/9999 11/02/2022 10/12/2022 10/12/0999 11/02/2022 10/12/0999 11/02/2022 10/12/0999 11/02/2022 10/12/0999 10/12/2022 10/12/0999 10/12/2022 10/12/0999 10/12/2022 | 64427 A79900 11/02/2022 31/12/9999 11/02/2022 10/13 08/95 ATEROS 11/02/2022 10/13 08/95 Corn werring services comference comference comments 16/02/2022 16/13/2022 | | | | | IBRC | 08/03/2022 | 31/12/9999 | 08/03/2022 13:01:27:000 | ATCB003 | 08/03/2022 13:01:27:000 | | |
| AFRICA 1-02-2022 31/12/999 | MARGAMENTEST | | | | | | | | | | | com.vermeg.services.comRef. | |
| AVENUE | AT AT AT AT AT AT AT AT | | ABVROOBIAACROS ABVROOBIAAO1 | | | | | | | | | com vermeg services comRef | |
| □ ADDRIGOTIAAGO 2017/2022 31/12/2055 20/01/2022 16-34/06-947 STP 20/01/2022 16-34/06-947 contriveney services contribution | □ ADVINIOTIMADS ATVINIOS 20/01/2022 31/12/2055 20/01/2022 15:34:05:947 5TP 20/01/2022 16:34:05:947 com vermey pareces combut | | ABVROOBLAACROS ABVROOBLAAO1 66423) | | | AT9900 | 11/02/2022 | 31/12/9999 | 11/02/2022 10:01:30:655 | ATCB003 | 11/02/2022 10:01:30:655 | com vermeg services comRef | |
| | - Inc. | | ABVR008IAACROS ABVR008IAA01 66423) IAABOMNITESTB | | 100. 100. | AT9900 AT9900 | 11/02/2022 10/02/2022 | 31/12/9999 31/12/9998 | 11/02/2022 10:01:30:655 18/02/2022 17:08:18:762 | ATCB003 ATCB003 | 11/02/2022 10:01:30:655 10/02/2022 13:57:53:617 | com vermeg services comRef com vermeg services comRef com vermeg services comRef | |
| Hoory Edit ® Vinne | Henry Est Vene | | ABVROOSLAACROS ABVROOSLAAG1 66423) IAABOMNITESTS MAALOMNITEST1 | | 100 100 100 | AT9900 AT9900 AT9900 | 11/02/2022 10/02/2022 10/02/2022 | 31/12/9999 31/12/9998 31/12/9999 | 11/02/2022 10:01:30:655 18/02/2022 17:08:18:762 18/02/2022 13:57:20:284 | ATCB003 ATCB003 STP | 11/02/2022 10:01:30:655 10/02/2022 13:57:53:617 10/02/2022 13:57:20:284 | com vermeg services comRef com vermeg services comRef com vermeg services comRef | |
| | | | ABVROOSLAACROS ABVROOSLAAG1 66423) IAABOMNITESTS AA1276474COUNTO1 | | | AT9900 AT9900 AT9900 AT9900 | 11/02/2022 10/02/2022 10/02/2022 21/01/2022 | 31/12/9999 31/12/9998 31/12/9999 31/12/9999 | 11/02/2022 10.01:30.655 18/02/2022 17:08:18:762 18/02/2022 13:57:20:284 21/01/2022 10:23:12:903 | ATCB003 ATCB003 STP STP | 11/02/2022 10.01:30:655 10/02/2022 13:57:53:617 10/02/2022 13:57:20:284 21/01/2022 10:23:12:503 | corn verming services comRef | |

| Settlement Possibilities – List Screen | | |
|--|---|--|
| Field | Description | |
| Internal Asset Account | Shows the Internal Asset Account reference on which the collateral is supposed to be mobilised. | |
| NCB Participant | Shows the RIAD Code that identifies the NCB Participant in the ECMS to whom the settlement possibilities applies. | |
| NCB Participant Type | Shows the type of NCB Participant to whom the settlement possibilities applies. The possible values are: | |
| | Counterparties | |



| | - Cross NCB |
|----------------------|--|
| | - Non-euro area CB |
| CSD | Shows the RIAD Code of the receiving CSD that applies for the Settlement Possibility. |
| Validity Start | Shows the date from which the Settlement Possibility is valid. |
| Date | Displayed format is: DD/MM/YYYY. |
| Validity End Date | Shows the date from which the Settlement Possibility is not valid anymore. |
| | Displayed format is: DD/MM/YYYY. |
| | The Validity End Date must be equal to or later than the Validity Start Date. |
| Creation Date | Shows the date and time of the creation of the Settlement Possibility. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Update Date | Shows the date and time of the last update of the Settlement Possibility. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the Settlement Possibility. |
| After selecting a | record, the following buttons are displayed |
| Button | Function |
| History | [Only for For Valid Information] |
| | This function enables you to access to the historical information of a Settlement Possibility. |
| | Next screen: |
| | Settlement Possibility – History Screen. |
| Edit | This function enables you to edit a Settlement Possibility. |
| | Next screen: |
| | - Settlement Possibility - Edit Screen. |
| View | This function enables you to access to the detailed information of a Settlement Possibility. |
| | Next screen: |
| | Settlement Possibilities – Details Screen. |
| played when a re | sed in the 4 eyes validation context, the following buttons are also dis- ecord is selected |
| Action to Valida | ate = Creation |
| In case of creation | on of new data by 4-eyes user, the validator user will validate/reject. |
| Button | Function |
| Edit | This function allows the validator user to edit and modify the draft. |
| View | This function enables the validator user to view the draft record to be validated or rejected. |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system |
| Reject | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. |
| | |
| In case the recor | rd has been rejected the only available options for this record will be: This function allows the user to view the rejected record. |



| Action to Valida | ate = Update | | |
|---|--|--|--|
| In case of update of data by 4-eyes user, the validator user can validate/reject/edit. To do so, it needs to go first in the show/compare draft button. | | | |
| Button | Function | | |
| View | This function enables the user to view the draft record to be validated or rejected. | | |
| Edit Draft | This function allows the user to edit and modify the draft. | | |
| Show Draft | This function enables the validator user to view the draft record to be validated or rejected. | | |
| Compare Draft | In case the 4 eyes validation is required because of an update of the record, this function enables the validator user to display the change that needs to be validated. | | |
| Once you click o | on Show Draft or Compare Draft buttons: | | |
| Reject Draft | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. | | |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system | | |
| In case the reco | rd has been rejected the only available options for this record will be: | | |
| View | This function allows the user to view the rejected record. | | |

3.2.3.1.1.1.1 Settlement Possibilities – History Screen

| Context of Usage | This screen displays historical information on the selected Settlement Possibility. You can check the data and proceed further by clicking on the buttons below. | | | | |
|------------------|---|--|---|--|--------------|
| Screen Access | Eligible play >> ence Da | Links >> Settlen Click on the Sea | nent Possibilities Re arch button (after inp | ement Possibilities an ference Data Create/E utting the relevant Re nt Possibility >> Click o |)is- fer- |
| | Reference Data >> Reference Data >> Settlement Possibilities and Eligible Links >> Settlement Possibilities Reference Data Create/Dis- play >> Click on the Search button (after inputting the relevant Refer- ence Data, if needed) >> Select a Settlement Possibility >> Click on the View button (Settlement Possibilities – Details Screen) >> Click on the Vietna Button | | | | |
| | | tory Button | nent Possibilities – L | <i>Petails</i> Screen) >> <i>Clic</i> | |
| Screen- | | • | nent Possibilities – L | , | k on |
| 00.00 | the Hist | tory Button | nent Possibilities – L | Q3 🖾 to soon | k on |
| Screen- | the Hist | • | nent Possibilities – E | , | k on |
| 00.00 | the Hist | tory Button | nent Possibilities – L | Q3 🖾 to soon | k on |
| 00.00 | the Hist | tory Button | ** 2009000020221 69 20 16 0154 3332 | Q 3 (2) 1 Espain | k on |
| 00.00 | the Hist History: Settlement Possibilities Fields Validity For Date Update Date | ### Button *********************************** | 299990022021 69 20 1800 54 3322 3012/999 306/0201 166/58 333 | Q 3 □ | k on |
| 00.00 | the Hist History: Settlement Possibilities Text Validity for Date Update Date Internal Asset Account | tory Button | ** 2009000020221 69 20 16 0154 3332 | Q 3 (2) 1 Espain | k on |
| 00.00 | the Hists History: Settlement Possibilities Prefix Validary fant bane Update Date Internal Asset Account NACE Participant | ### Button *********************************** | 299990022021 69 20 1800 54 3322 3012/999 306/0201 166/58 333 | Q 3 □ | k on |
| 00.00 | the Histo History: Settlement Possibilities Ficto Valenty End Date Upgant Date Upgant Date Internal Asset Account NCB Paticipant NCB Paticipant Entry Type | 2017/2009 2017/2009 2017/2009 2017/2009 2017/2009 2017/2009 2017/2009 2017/2009 2017/2009 | 200900020001 G9 50 1430 50 3302 | Q 3 (2) 1 power construction (2) 13/22 (4 of last) 23/1/29999 28/99/2021 13/22 (4 of last) ABM/0225AA02 | k on |
| 00.00 | the Histo History: Settlement Possibilities Finds Valeny for Date Update Date Unders Account NCB Participant NCB Participant COS COS COS COS The History Account NCB Participant Cost your COS COS COS COS COS The History COS COS COS COS COS COS COS COS | ### Button ### 2000000000000000000000000000000000 | 9 2999900000001 69 50 16 00 No. 3 2320 30/12/9999 20/04/2011 16 05 56 223 AN 99/20/20A02 55 | © 2009900020021 109 20 13 22 16 01811 201201999 201002021 13 22 16 018 ADMICIDANIZ | k on |
| 00.00 | the Histo History: Settlement Possibilities Ficto Valenty End Date Upgant Date Upgant Date Internal Asset Account NCB Paticipant NCB Paticipant Entry Type | 2017/2009 2017/2009 2017/2009 2017/2009 2017/2009 2017/2009 2017/2009 2017/2009 2017/2009 | 200900020001 G9 50 1430 50 3302 | Q 3 (2) 1 power construction (2) 13/22 (4 of last) 23/1/29999 28/99/2021 13/22 (4 of last) ABM/0225AA02 | k on |
| 00.00 | the History: Settlement Possibilities Ficks Validaty End Dane Upparts Date Internal Acceptance Internal Acceptance Internal Control (Note Participant) Internal Acceptance Used System Date Validaty Start Date | ### Button 2017/0900202020 00-2016/05 17-04-0 2017/090090201 16/05 17-04-0 AB/0900204020 16/05 17-04-0 55 | 200900022021 69 20 15 65 65 33 22 20120999 20090221 16 9 58 233 AB9902021 16 9 58 233 55 20 95 2021 | © 20090002021 (09 20 \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ | k on |

| Settlement Possibilities – History Screen | | |
|---|---|--|
| Field | Description | |
| | Shows the fields whose information have been updated since the creation of the selected Settlement Possibility. | |
| Timestamp | Shows the date and time when the fields have been updated. | |



| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
|----------------------------|---|
| Button | Description |
| Compare | Shows the differences between the selected records whose data have been updated. |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected Settlement Possibility. |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected Settlement Possilibility. |
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected Settlement Possibility. |
| Show Differ- ences Only | Shows only the fields whose information have been updated since the creation of the selected Settlement Possibility. |

3.2.3.1.1.1. Settlement Possibilities – Details Screen

2

| Context of Usage | | | the selected Settlement Pos- further by clicking on the but- | | |
|---------------------|--|---|--|--|--|
| Screen Access | Depending how the screen is accessed, it can be used to show the information or the information that requires 4 eyes validation before can be considered valid in the system | | | | |
| | For valid information | n: | | | |
| | Reference Data >> Settlement Possibilities and Eligible Links >> Settlement Possibilities Reference Data Create/Display >> Click on the Search button (after inputting the relevant Reference Data, if needed) >> Select a Settlement Possibility >> Click on the View button | | | | |
| | For information sub | ject to 4 eyes validation: | | | |
| | Reference Data >> | Reference Data >> Valida | ation / Rejection >> Valid- | | |
| | ate / Reject Settlem on the search butto | nent Possibilities >> Settle in (after inputting the relev | ment Possibilities >> Click | | |
| Screen- | ate / Reject Settlem on the search butto needed) >> Select (| nent Possibilities >> Settle in (after inputting the relev a Settlement Possibilities | ment Possibilities >> Click ant Reference Data, if >> Click on the View button | | |
| Screen- shot | ate / Reject Settlem on the search butto needed) >> Select | nent Possibilities >> Settle in (after inputting the relev a Settlement Possibilities | ment Possibilities >> Click ant Reference Data, if >> Click on the View button | | |
| | ate / Reject Settlem on the search butto needed) >> Select a Search Result: Settlement Possibilities > Edit : Settlement Possib Content INTERNAL ACCOUNT INT | nent Possibilities >> Settle in (after inputting the relev a Settlement Possibilities | ment Possibilities >> Click rant Reference Data, if >> Click on the View button | | |
| | ate / Reject Settlem on the search butto needed) >> Select (Search Result: Settlement Possibilities) Edit: Settlement Possib Confect Internal Asset Account Internal Asset Account Analysis (CO) AT7999 | nent Possibilities >> Settle on (after inputting the relev a Settlement Possibilities | ment Possibilities >> Click rant Reference Data, if >> Click on the View button | | |
| | ate / Reject Settlem on the search butto needed) >> Select a Search Result: Settlement Possibilities > Edit: Settlement Possib LANGUSCRISTI CO AT7096 | nent Possibilities >> Settle in (after inputting the relev a Settlement Possibilities | ment Possibilities >> Click ant Reference Data, if >> Click on the View button | | |
| | ate / Reject Settlem on the search butto needed) >> Select at Search Result: Settlement Possibilities > Edit: Settlement Possibilities Edit: Settlement Possibiliti | nent Possibilities >> Settle in (after inputting the relev a Settlement Possibilities | ment Possibilities >> Click rant Reference Data, if >> Click on the View button | | |

| Settlement Possibilities – Details Screen | | |
|---|--|--|
| Button | Description | |
| History | [Only for For Valid Information] | |
| | This function enables you to access to the historical information of a Settlement Possibility. | |
| | Next screen: | |
| | - Settlement Possibilities - History Screen. | |



| Context | | | | | | |
|---------------------------|---|--|--|--|--|--|
| Field | Description | | | | | |
| Internal Asset Account | Shows the Internal Asset Account reference on which the collateral is supposed to be mobilised. | | | | | |
| NCB Parti- cipant | Shows the RIAD Code that identifies the NCB Participant in the ECMS to whom the settlement possibilities applies. | | | | | |
| NCB Parti- cipant Type | Shows the type of NCB Participant to whom the settlement possibilities applies. The possible values are: | | | | | |
| | - Counterparties | | | | | |
| | - Cross NCB | | | | | |
| | - Non-euro area CB | | | | | |
| CSD | Shows the RIAD Code of the CSD that applies for the Settlement Possibility. | | | | | |
| Result | | | | | | |
| Validity Start Date | Shows the date from which the Settlement Possibility is active. Displayed format is: DD/MM/YYYY | | | | | |
| Validity End | Shows the date from which the Settlement Possibility is not active. | | | | | |
| Date | Displayed format is: DD/MM/YYYY | | | | | |
| | If the Settlement Possibility is active, this field is empty | | | | | |
| | The Validity End Date must be equal to or later than the Validity Start Date. | | | | | |
| Validation De | tails | | | | | |
| Action To Validate | Shows if there is any action waiting for validation. | | | | | |
| Rejected | Shows if any action subject to validation has been rejected. The possible values are: | | | | | |
| | - Yes | | | | | |
| | - No | | | | | |
| Footprint | | | | | | |
| Updater User Id | Shows the identification of the user that made the last update. | | | | | |
| Update Date | Shows the date and time of the Settlement Possibility last update. | | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs | | | | | |
| Creation User Id | Shows the identification of the user that created the data | | | | | |
| Creation | Shows the date and time of the Settlement Possibility creation. | | | | | |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs | | | | | |
| External Ass | | | | | | |
| | external Asset Account is displayed (it should be only one Mandatory). | | | | | |
| External Asset Account | Shows the External Asset Account linked. | | | | | |
| Footprint | | | | | | |
| Updater User Id | Shows the identification of the user that made the last update. | | | | | |
| Update Date | Shows the date and time of the link to the External Asset Account last update. | | | | | |



| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
|---------------------|---|
| Creation User Id | Shows the identification of the user that created the data. |
| Creation Date | Shows the date and time of the link to the External Asset Account creation. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |

3.2.3.2 Eligible CSD Link

3.2.3.2.1 Eligible CSD Link – Search Screen

| This screen contains a number of search fields. By inputting the relevant data, you can search for the Eligible CSD Links. | | | | | | | |
|--|--|--|--|---|---|--|--|
| | | | | | | | ntry, you |
| | | | | | nt Poss | ibilities a | nd Eli- |
| Create / Display : Eligible CSD link Circet Link ** * Validity Sarr Date ** * Is Active ** * | | Issuer SSS ■■ ▼ Update Date ■■ ▼ | | Investor SSS •• ▼ Creation Date •• ▼ | Ď | Intermediary SSS ** * Validity End Date ** * | 22 6 |
| | data, you can The search re can proceed to Reference Da gible Links >> Create / Display: Eligible CSD link Distriction *** Validity Start Date *** | data, you can search The search results we can proceed further Reference Data >> gible Links >> Eligib Create / Dioplay : Eligible CSD link Waldety Start Date ** ** | data, you can search for the El The search results will be displ can proceed further by clicking Reference Data >> Reference gible Links >> Eligible CSD Lin Create / Display : Eligible CSD link Create / Display : Eligible CSD link Company Company | data, you can search for the Eligible Control of the Search results will be displayed in can proceed further by clicking on the Reference Data >> Reference Data >> gible Links >> Eligible CSD Links Creater / Display: Eligible CSD links | data, you can search for the Eligible CSD Links. The search results will be displayed in a list. After can proceed further by clicking on the buttons that Reference Data >> Reference Data >> Settlemer gible Links >> Eligible CSD Links Create/Display Create/Display: Eligible CSD link Create/Display: Eligible CSD link Create/Display: Eligible CSD link | data, you can search for the Eligible CSD Links. The search results will be displayed in a list. After select can proceed further by clicking on the buttons that are selected to the search can proceed further by clicking on the buttons that are selected to the search of the search | data, you can search for the Eligible CSD Links. The search results will be displayed in a list. After selecting an er can proceed further by clicking on the buttons that are shown. Reference Data >> Reference Data >> Settlement Possibilities a gible Links >> Eligible CSD Links Create/Display Create / Display: Eligible CSD link Control of the CSD Links Create (Display Cardons of the CSD Links Create (Display Control of the CSD Links Control of the CSD Links Create (Display Control of the CSD Links Control of the CSD Li |

| Eligible CSD | Eligible CSD Link – Search screen | | | | | |
|------------------------|--|--|--|--|--|--|
| Field | Description | | | | | |
| Issuer SSS | Enter / Select the identifier of the issuer CSD, the Party RIAD Code of the entity with business role equal to NCB Custodian and the flag "Is CSD". | | | | | |
| Investor SSS | Enter / Select the identifier of the investor CSD , the Party RIAD Code of the entity with business role equal to NCB Custodian and the flag "Is CSD". | | | | | |
| Direct Link | Select whether the link between the issuer CSD and the investor CSD is direct or not (relayed) from the possible values: | | | | | |
| | - Direct Link | | | | | |
| | - Relayed Link | | | | | |
| Intermediary SSS | Select the identifier(s) of the intermediary(ies) CSD (for relayed link only). | | | | | |
| Is Active | Select whether the Eligible CSD Link is active or not from the possible values: | | | | | |
| | - Yes | | | | | |
| | – No | | | | | |
| Validity Start Date | Enter the date from which the Eligible CSD is active. The calendar icon can also be used. | | | | | |
| | Required format is: DD/MM/YYYY. | | | | | |
| Validity End Date | Enter the date from which the Eligible CSD Link is not valid anymore or use the calendar icon. | | | | | |
| | Required format is: DD/MM/YYYY. | | | | | |



| | The Validity End Date must be equal to or later than the Validity Start Date. If the Eligible CSD is active, this field is empty. |
|------------------|--|
| Creation Date | Enter the reference date of the creation of the Eligible CSD Link. The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Update Date | Enter the reference date of the last update of the Eligible CSD Link. The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY. |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | - Eligible CSD Link - List Screen. |

3.2.3.2.1.1 Eligible CSD Links – List Screen

| Usage | by se | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. | | | | | | | | | | |
|-------------|----------|---|----------------------|---|----------------------|--------------------|--|--|---|---|--|---|
| | gi | ble Li | nks >> | Eligib | le CSD | Links | Crea | Settlen te/Displ erence [| ay >> (| Click or | n the s | |
| Screenshot | | rch Result : Eligible C | SD link | | | | | | | | | |
| Corconsilot | | Testart 950 © D0697122 RAG02 A19900 IIIIIC IIIIIC IIIIC IIII IIII IIIIC IIIIC IIIIC IIIIC IIIIC IIIIC IIIIC IIIIC IIIIC | Milestor SSS & NLS02 | Direct Link Direct Link Direct Link Direct Link Direct Link Direct Link Direct Link Direct Link Direct Link Direct Link Direct Link Refayed Link Direct Link | □ Intermediary SSS € | K Page Operator 6 | 1 of 2 S Archine 6 Ves No No No No No No No No | ▼ Validaty Start Date 0 04/03/2022 26/1 0/2021 26/1 0/2021 21/04/2022 10/03/2022 10/03/2022 13/07/2021 13/07/2021 13/07/2021 | Walkidy End Date © 08/02/2022 14/12/2021 08/02/2022 08/02/2022 08/02/2022 | © Update Date 6 © 04/03/2022 06:25:55:1383 okt/03/2022 06:25:55:1383 okt/03/2022 16:25:56:41:44:14/2022 11:14:00:05:00 12:00:32/2022 11:14:41:5966 10:032/2022 15:14:49:211 okt/03/2022 15:14:49:211 okt/03/2022 15:14:49:211 okt/03/2022 15:14:19:12:36:30 0kt/03/2022 15:26:39:39:300 0kt/03/2022 15:26:39:39:300 0kt/03/2022 15:26:39:39:300 0kt/03/2022 15:26:39:39:300 | © Creation Outco € 04/03/2/022 06 25 55 138 26/10/2/021 16 56 48:312 26/10/2/021 15 56 48:312 26/10/2/021 15 56 48:312 26/10/2/021 15 56 48:315 26/10/2/021 15 26 48:315 26/10/2/021 15 26 48:315 26/10/2/021 15 26 48:315 26/10/2/021 16 56 22 26 01/07/2/021 16 56 22 265 01/07/2/021 16 56 22 265 01/07/2/021 17 13 17 769 13/12/2/021 13 15 35 765 | 4 () □ □ □ ★ ♥ □ Updom User M s □ ▽ STP STP STP STP STP STP STP ST |

| Eligible CSD | Eligible CSD Links – List Screen | | | |
|---------------------|--|--|--|--|
| Field | Description | | | |
| Issuer SSS | Shows the identifier of the issuer CSD, the Party RIAD Code of the entity with business role equal to NCB Custodian and the flag "Is CSD". | | | |
| Investor SSS | Shows the identifier of the investor CSD, the Party RIAD Code of the entity with business role equal to NCB Custodian and the flag "Is CSD". | | | |
| Direct Link | Shows whether the link between the issuer CSD and the investor CSD is direct or not (relayed) from the possible values: | | | |
| | - Direct Link | | | |
| | - Relayed Link | | | |
| Intermediary SSS | Shows the identifier(s) of the intermediary(ies) CSD (for relayed link only). | | | |
| | Empty in case of Direct Link. | | | |
| Is Active | Shows whether the Eligible CSD Link is active or not from the possible values: | | | |
| | - Yes | | | |



| | - No |
|--------------------|--|
| Operator | Shows the name of the third party operating the account in the issuer SSS on behalf of the CSD of the investor SSS |
| , | Shows the date from which the Eligible CSD Link is active. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Validity End | Shows the date from which the Eligible CSD Link is not valid anymore. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| | If the Eligible CSD link is active, this field is empty. |
| | The Validity End Date must be equal to or later than the Validity Start Date. |
| Creation | Shows the date and time of the Eligible CSD creation. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Update Date | Shows the date and time of the last update of the Eligible CSD Link. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the Eligible CSD. |
| After selectin | g a record, the following buttons are displayed |
| Button | Function |
| History | This function enables you to access to the historical information of an Eligible CSD Link. |
| | Next screen: |
| | - Eligible CSD Link - History Screen. |
| View | This function enables you to access to the detailed information of an Eligible CSD Link. |
| | Next screen: |
| | Eligible CSD Link – Details Screen. |

3.2.3.2.1.1. Eligible CSD Link - History Screen

| g | | story Corcon | | | |
|------------------|--|---|----------------------------------|--|-------------------------------------|
| Context of Usage | | an check the d | | on the selected d further by clicki | |
| Screen Access | Eligible search l | Links >> Eligib outton (after in | ole CSD Links Coutting the relev | Settlement Postreate/Display >> ant Reference Dokument A continuity of the continuity of the property of the propert | Click on the Data, if needed) |
| | Reference Data >> Reference Data >> Settlement Possibilities and Eligible Links >> Eligible CSD Links Create/Display >> Click on the search button (after inputting the relevant Reference Data, if needed) >> Select an Eligible CSD Link >> Click on the View button (Eligible CSD Link - Details Screen) >> Click on the History Button | | | | |
| Screenshot | horizontalhiistoryResult : Eligible CSD I Testa Testa Testa Total Insuer 505 Investor 505 Update Date (C) of difference(s) found | Jinke History 912/30002/16/11/11/37 44402 90 23 c1/16/2022/16/11/37/666 | | © 912/5/00/27 16/09 St 1996 25 29 017/5/20/216 09 St 195 | Qui Compare Espandal Show AS . 10 C |

Eligible CSD Links – History Screen



| Field | Description |
|----------------------------|--|
| Fields | Shows the fields whose information have been updated since the creation of the selected Eligible CSD Link. |
| Timestamp | Shows the date and time when the fields have been updated. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Button | Description |
| Compare | Shows the differences between the selected records whose data have been updated. |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected Eligible CSD Link. |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected Eligible CSD Link. |
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected Eligible CSD Link. |
| Show Differ- ences Only | Shows only the fields whose information have been updated since the creation of the selected Eligible CSD Link. |

3.2.3.2.1.2 Eligible CSD Links – Details Screen

| Context of Usage | This screen displays detacan check the data and p | | | |
|------------------|--|---|-----------------------------|---|
| | Reference Data >> Refe gible Links >> Eligible CS button (after inputting the an Eligible CSD Link >> | SD Links Cre e relevant Re | eate/Display eference Da | / >> Click on the Searchta, if needed) >> Select |
| Screenshot | Search Result : Eligible CSD link > View : Eligible CSD Links tissue SSS 30000 tissuemodary 155 Validation Details Action To Validare Action To Validare | Investor 555 Note: Operator | Rigieradi Sa | Down Link C |
| | In Active Ne Foot Print Control One enemotion Dee enemotion Dee enemotion Lieuwith Anne Uppdaten Uniter Int BITP | Veilidity Start Date IMPORTI Credion User M STE | | Validity End Date (8482-2622) Lipotero Date (8482-2622 IM-SAR-61-959) |

| Eligible CSI | Eligible CSD Links – Details Screen | | | | |
|--------------|--|--|--|--|--|
| Button | Description | | | | |
| History | This function enables you to access to the historical information of an Eligible CSD Link. | | | | |
| | Next screen: | | | | |
| | - Eligible CSD Link - History Screen. | | | | |
| General Info | General Information | | | | |
| Field | Description | | | | |
| Issuer SSS | Shows the identifier of the issuer CSD, the Party RIAD Code of the entity with business role equal to NCB Custodian and the flag "Is CSD". | | | | |



| SSS tity with business role equal to NCB Custodian and the flag "Is CSD". Direct Link Shows whether the link between the issuer CSD and the investor CSD is direct or not (relayed) from the possible values: — Direct Link — Relayed Link Intermediary Shows the identifier(s) of the intermediary(ies) CSD (for relayed link only). Empty in case of Direct Link. Operator Shows the name of the third party operating the account in the issuer SSS on behalf of the CSD of the investor SSS Activation Details Is Active Shows whether the Eligible CSD Link is active or not from the possible values: — Yes — No Validity Start Shows the date from which the Eligible CSD Link is active. Displayed format is: DD/MM/YYYY If the Eligible CSD link is active, this field is empty. The Validity End Date must be equal to or later than the Validity Start Date. Validation details Action To Validate Shows if any action subject to validation has been rejected. The possible values are: — Yes — No Foot Print Updater User Id Shows the date and time of the user that made the last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs Creation Shows the identification of the user that created the data | | |
|--|---------------------|---|
| direct or not (relayed) from the possible values: Direct Link Relayed Link Nonly). Empty in case of Direct Link. Operator Shows the name of the third party operating the account in the issuer SSS on behalf of the CSD of the investor SSS Activation Details Is Active Shows whether the Eligible CSD Link is active or not from the possible values: Yes No Validity Start Date Displayed format is: DD/MM/YYYY Validity End Date Displayed format is: DD/MM/YYYY If the Eligible CSD link is active, this field is empty. The Validity End Date must be equal to or later than the Validity Start Date. Validation details Action To Validate Rejected Shows if any action subject to validation has been rejected. The possible values are: Yes No Foot Print Updater User Id Update Date Shows the date and time of the user that made the last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs Creation Shows the identification of the user that created the data | | Shows the identifier of the investor CSD , the Party RIAD Code of the entity with business role equal to NCB Custodian and the flag "Is CSD". |
| Relayed Link | Direct Link | Shows whether the link between the issuer CSD and the investor CSD is direct or not (relayed) from the possible values: |
| Intermediary SSS | | - Direct Link |
| SSS only). Empty in case of Direct Link. Operator Shows the name of the third party operating the account in the issuer SSS on behalf of the CSD of the investor SSS Activation Details Is Active Shows whether the Eligible CSD Link is active or not from the possible values: - Yes - No Validity Start Shows the date from which the Eligible CSD Link is active. Displayed format is: DD/MM/YYYY Validity End Displayed format is: DD/MM/YYYY If the Eligible CSD link is active, this field is empty. The Validity End Date must be equal to or later than the Validity Start Date. Validation details Action To Shows if there is any action waiting for validation. Validate Shows if any action subject to validation has been rejected. The possible values are: - Yes - No Foot Print Update Date Shows the date and time of the user that made the last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs Creation Shows the identification of the user that created the data | | - Relayed Link |
| Operator Shows the name of the third party operating the account in the issuer SSS on behalf of the CSD of the investor SSS Activation Details Is Active Shows whether the Eligible CSD Link is active or not from the possible values: - Yes - No Validity Start Shows the date from which the Eligible CSD Link is active. Displayed format is: DD/MM/YYYY Validity End Displayed format is: DD/MM/YYYYY If the Eligible CSD link is active, this field is empty. The Validity End Date must be equal to or later than the Validity Start Date. Validation details Action To Shows if there is any action waiting for validation. Validate Rejected Shows if any action subject to validation has been rejected. The possible values are: - Yes - No Foot Print Updater User Id Update Date Shows the date and time of the Eligible CSD Link last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs Creation Shows the identification of the user that created the data | | |
| SSS on behalf of the CSD of the investor SSS Activation Details Is Active Shows whether the Eligible CSD Link is active or not from the possible values: - Yes - No Validity Start Shows the date from which the Eligible CSD Link is active. Displayed format is: DD/MM/YYYY Validity End Date Displayed format is: DD/MM/YYYY If the Eligible CSD link is active, this field is empty. The Validity End Date must be equal to or later than the Validity Start Date. Validation details Action To Shows if there is any action waiting for validation. Validate Rejected Shows if any action subject to validation has been rejected. The possible values are: - Yes - No Foot Print Updater User Id Update Date Shows the date and time of the Eligible CSD Link last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs Creation Shows the identification of the user that created the data | | Empty in case of Direct Link. |
| Is Active Shows whether the Eligible CSD Link is active or not from the possible values: Yes No Validity Start Date Displayed format is: DD/MM/YYYY Validity End Date Displayed format is: DD/MM/YYYY If the Eligible CSD Link is closed. Displayed format is: DD/MM/YYYY If the Eligible CSD link is active, this field is empty. The Validity End Date must be equal to or later than the Validity Start Date. Validation details Action To Validate Rejected Shows if any action subject to validation has been rejected. The possible values are: Yes No Foot Print Updater User Id Update Date Shows the identification of the user that made the last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs Creation Shows the identification of the user that created the data | Operator | |
| values: | Activation D | etails |
| Validity Start Date Displayed format is: DD/MM/YYYY Validity End Displayed format is: DD/MM/YYYYY If the Eligible CSD Link is closed. Displayed format is: DD/MM/YYYY If the Eligible CSD link is active, this field is empty. The Validity End Date must be equal to or later than the Validity Start Date. Validation details Action To Validate Rejected Shows if any action subject to validation has been rejected. The possible values are: - Yes - No Foot Print Updater User Id Update Date Shows the date and time of the Eligible CSD Link last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs Creation Shows the identification of the user that created the data | Is Active | · |
| Validity Start Date Displayed format is: DD/MM/YYYY Validity End Date Displayed format is: DD/MM/YYYY Shows the date from which the Eligible CSD Link is closed. Displayed format is: DD/MM/YYYY If the Eligible CSD link is active, this field is empty. The Validity End Date must be equal to or later than the Validity Start Date. Validation details Action To Validate Rejected Shows if any action subject to validation has been rejected. The possible values are: - Yes - No Foot Print Updater User Id Update Date Shows the identification of the user that made the last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs Creation Shows the identification of the user that created the data | | - Yes |
| Date Displayed format is: DD/MM/YYYY Validity End Date Displayed format is: DD/MM/YYYY If the Eligible CSD link is active, this field is empty. The Validity End Date must be equal to or later than the Validity Start Date. Validation details Action To Validate Rejected Shows if any action subject to validation has been rejected. The possible values are: - Yes - No Foot Print Updater User Id Update Date Shows the identification of the user that made the last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs Creation Shows the identification of the user that created the data | | - No |
| Validity End Date Shows the date from which the Eligible CSD Link is closed. Displayed format is: DD/MM/YYYY If the Eligible CSD link is active, this field is empty. The Validity End Date must be equal to or later than the Validity Start Date. Validation details Action To Validate Rejected Shows if there is any action waiting for validation. Shows if any action subject to validation has been rejected. The possible values are: - Yes - No Foot Print Updater User Id Update Date Shows the identification of the user that made the last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs Creation Shows the identification of the user that created the data | • | Shows the date from which the Eligible CSD Link is active. |
| Displayed format is: DD/MM/YYYY If the Eligible CSD link is active, this field is empty. The Validity End Date must be equal to or later than the Validity Start Date. Validation details Action To Validate Rejected Shows if any action subject to validation has been rejected. The possible values are: — Yes — No Foot Print Updater User Id Update Date Shows the identification of the user that made the last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs Creation Shows the identification of the user that created the data | | • • |
| If the Eligible CSD link is active, this field is empty. The Validity End Date must be equal to or later than the Validity Start Date. Validation details Action To Validate Rejected Shows if any action subject to validation has been rejected. The possible values are: — Yes — No Foot Print Updater User Id Update Date Shows the identification of the user that made the last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs Creation Shows the identification of the user that created the data | • | Shows the date from which the Eligible CSD Link is closed. |
| The Validity End Date must be equal to or later than the Validity Start Date. Validation details Action To Validate Rejected Shows if there is any action waiting for validation. Shows if any action subject to validation has been rejected. The possible values are: - Yes - No Foot Print Updater User Id Update Date Shows the identification of the user that made the last update. Update Date Shows the date and time of the Eligible CSD Link last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs Creation Shows the identification of the user that created the data | Date | Displayed format is: DD/MM/YYYY |
| Validation details Action To Validate Rejected Shows if any action subject to validation has been rejected. The possible values are: - Yes - No Foot Print Updater User Id Update Date Shows the identification of the user that made the last update. Update Date Shows the date and time of the Eligible CSD Link last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs Creation Shows the identification of the user that created the data | | If the Eligible CSD link is active, this field is empty. |
| Action To Validate Rejected Shows if any action subject to validation has been rejected. The possible values are: - Yes - No Foot Print Updater User Id Update Date Shows the identification of the user that made the last update. Update Date Shows the date and time of the Eligible CSD Link last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs Creation Shows the identification of the user that created the data | | |
| Validate Rejected Shows if any action subject to validation has been rejected. The possible values are: - Yes - No Foot Print Updater User Id Shows the identification of the user that made the last update. Update Date Shows the date and time of the Eligible CSD Link last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs Creation Shows the identification of the user that created the data | Validation d | etails |
| values are: - Yes - No Foot Print Updater User Id Update Date Shows the identification of the user that made the last update. Update Date Shows the date and time of the Eligible CSD Link last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs Creation Shows the identification of the user that created the data | | Shows if there is any action waiting for validation. |
| Foot Print Updater User Id Update Date Shows the identification of the user that made the last update. Update Date Shows the date and time of the Eligible CSD Link last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs Creation Shows the identification of the user that created the data | Rejected | Shows if any action subject to validation has been rejected. The possible values are: |
| Foot Print Updater User Id Update Date Shows the identification of the user that made the last update. Update Date Shows the date and time of the Eligible CSD Link last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs Creation Shows the identification of the user that created the data | | – Yes |
| Updater User Id Update Date Shows the identification of the user that made the last update. Update Date Shows the date and time of the Eligible CSD Link last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs Creation Shows the identification of the user that created the data | | - No |
| User Id Update Date Shows the date and time of the Eligible CSD Link last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs Creation Shows the identification of the user that created the data | Foot Print | |
| Displayed format is: DD/MM/YYYY hh:mm:ss:µs Creation Shows the identification of the user that created the data | • | Shows the identification of the user that made the last update. |
| Creation Shows the identification of the user that created the data | Update Date | Shows the date and time of the Eligible CSD Link last update. |
| | | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| User Id | Creation User Id | Shows the identification of the user that created the data |
| Creation Shows the date and time of the Eligible CSD creation. | | Shows the date and time of the Eligible CSD creation. |
| Date Displayed format is: DD/MM/YYYY hh:mm:ss:µs | Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |



3.2.4 Counterparties Specific Reference Data

3.2.4.1 Counterparty-ISIN Close Links

3.2.4.1.1 Counterparty-ISIN Close Links Display

3.2.4.1.1.1 Counterparty-ISIN Close Link – Search Screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the Counterparty-ISIN Close Links. The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |
|------------------|---|
| Screen Access | Depending how the screen is accessed, it can be used to search the valid information of the Links or the information that requires 4 eyes validation before they can be considered valid in the system. |
| | For valid information: |
| | Reference Data >> Reference Data >> Counterparties Specific Reference Data >> Counterparty-ISIN Close Links Create/Display |
| | For information subject to 4 eyes validation: |
| | Reference Data >> Reference Data >> Validation / Rejection >> Validate / Reject Counterparty Specific reference Data >> Counterparty-ISIN Close Links |
| Screen- | © Country on SN Clear Links Cream Signly 0 |
| shot | Create / Display : Counterparty- ISIN close link |
| | Source • • • • • • • • • • • • • • • • • • • |
| | Screptur Ray •• • Update Onte •• • |
| | Q Suati Q Suati |

| Counterparty | r-ISIN Close Link – Search screen |
|----------------|---|
| Field | Description |
| ISIN | Enter / Select the ISIN that identifies the Marketable Asset. |
| Counterparty | Enter / Select the RIAD Code that identifies the counterparty in the ECMS affected by the close link. |
| | Required format is: Max. 30 characters. |
| Close Link | Enter / Select the Type of Close Link from the possible values: |
| Туре | Forbidden (i.e. the asset is not eligible for the given Counterparty) |
| | Authorised (i.e. if the asset is mobilised by the Counterparty it is considered as own-used) |
| Source | Enter / Select whether the close link was generated from the processing of the RIAD file or manually created by an NCB user from the possible values: |
| | - RIAD |
| | - NCB |
| Exception flag | Enter / Select whether the Exception flag applies to the Counterparty-ISIN Close Link or not from the possible values: |
| | - Yes |
| | - No |



| Validity Start Date | Enter the date from which the Counterparty-ISIN Close Link is valid. The calendar icon can also be used. |
|------------------------|--|
| | Required format is: DD/MM/YYYY. |
| Validity End Date | Enter the date from which the Counterparty-ISIN Close Link is not valid anymore or use the calendar icon. |
| | Required format is: DD/MM/YYYY. |
| | The Validity End Date must be equal to or later than the Validity Start Date. |
| Update Date | Enter the reference date of the last update of the Counterparty-ISIN Close Link or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | Counterparty-ISIN Close Links – List Screen |

3.2.4.1.1.1. Counterparty-ISIN Close Link – List Screen

| Context of Usage | This screety the vasetting). the butto | alues of After se | the 'Upd lecting a | late Da | ate' colui | mn in des | scending | g order (d | lefault |
|--|---|---|--|---------------|---------------------------------------|--|----------------------------------|--|---|
| Screen Access | Dependion formation before the | of the | Links or | the inf | ormation | n that rec | uires 4 | | I |
| | For valid | For valid information: | | | | | | | |
| Reference Data >> Reference Data >> Counterparties Specific Data >> Counterparty-ISIN Close Links Create/Display >> Clic search button (after inputting the relevant Reference Data, if no | | | | | | >> Click (| on the | | |
| | For information subject to 4 eyes validation: | | | | | | | | |
| | Reference Data >> Reference Data >> Validation / Rejection >> Validate / Reject Counterparty Specific reference Data >> Counterparty-ISIN Close Links >> Click on the search button | | | | | | | | |
| Screen- | Search Result : Counterparty I: | SIN Close Link | | | | | | | Q 5 ★ # □ () ♥ |
| shot | ISBN | Counterparty \$ ABVR016 ABVR016 ABVR016 ABVR016 ABVR016 ABVR016 | Close Link Type & Fattriden Authorized Fortriden Fortriden Authorized Authorized | Source 9 RIAD | Exception flag © No No No No No No No | Validny Start Date © 08/06/2022 07/02/2022 07/02/2022 08/06/2021 06/06/2021 06/09/2021 | ♥ Validey End Date \$ 09/05/2029 | Clubdate Date \$ 10/07/2022/09 26/50 649 07/02/2022/09 63/24/67 06/03/2021 06/00 16/80 06/09/2021 11/34 47/973 06/09/2021 11/34 12/076 | Updater User Id 6 CLAS OPENATOR 1 STP STP STP STP |

| Counterparty-ISIN Close Link – List Screen | | |
|--|--|--|
| Field | Description | |
| ISIN | Shows the ISIN that identifies the Marketable Asset. | |
| | Shows the RIAD Code that identifies the counterparty in the ECMS affected by the close link. | |
| | Displayed format is: Max. 30 characters. | |



| Close Link | Shows the Type of Close Link from the possible values: | | |
|------------------------|--|--|--|
| Туре | - Forbidden | | |
| | - Authorised | | |
| Source | Shows whether the close link was generated from the processing of the RIAD file or manually created by an NCB user from the possible values: - RIAD | | |
| | - NCB | | |
| Exception flag | Shows whether the Exception flag applies to the Counterparty-ISIN Close Link or not from the possible values: – Yes | | |
| | | | |
| \ | - No | | |
| Validity Start Date | Shows the date from which the Counterparty-ISIN Close Link is valid. | | |
| | Displayed format is: DD/MM/YYYY. | | |
| Validity End Date | Shows the date from which the Counterparty-ISIN Close Link is not valid anymore. | | |
| | Displayed format is: DD/MM/YYYY. | | |
| | The Validity End Date must be equal to or later than the Validity Start Date. | | |
| Update Date | Shows the date and time of the last update of the Counterparty-ISIN Close Link. | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | |
| Updater User Id | Shows the identification of the user that made the last update of the Counterparty-ISIN Close Link. | | |
| After selecting | a record, the following buttons are displayed | | |
| Button | Function | | |
| View | This function enables you to access to the detailed information of a Counterparty-ISIN Close Link. | | |
| | Next screen: | | |
| | Counterparty-ISIN Close Link – Details Screen. | | |
| History | [Only for valid information]: | | |
| | This function enables you to access to the historical information of a Counterparty-ISIN Close Link. | | |
| | Next screen: | | |
| | - Counterparty-ISIN Close Link - History Screen. | | |
| | s used in the 4 eyes validation context, the following buttons are also disarccord is selected | | |
| Action to Val | idate = Creation | | |
| In case of crea | ation of new data by 4-eyes user, the validator user will validate/reject. | | |
| Button | Function | | |
| Edit | This function allows the validator user to edit and modify the draft. | | |
| View | This function enables the validator user to view the draft record to be validated or rejected. | | |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system | | |
| Reject | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. | | |



| In case the re | In case the record has been rejected the only available options for this record will be: | | |
|---|--|--|--|
| View | This function allows the user to view the rejected record. | | |
| Action to Validate = Update | | | |
| In case of update of data by 4-eyes user, the validator user can validate/reject/edit. To do so, it needs to go first in the show/compare draft button. | | | |
| Button | Function | | |
| View | This function enables the user to view the draft record to be validated or rejected. | | |
| Edit Draft | This function allows the user to edit and modify the draft. | | |
| Show Draft | This function enables the validator user to view the draft record to be validated or rejected. | | |
| Compare Draft | In case the 4 eyes validation is required because of an update of the record, this function enables the validator user to display the change that needs to be validated. | | |
| Once you click | Once you click on Show Draft or Compare Draft buttons: | | |
| Reject Draft | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. | | |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system | | |
| In case the re | cord has been rejected the only available options for this record will be: | | |
| View | This function allows the user to view the rejected record. | | |

3.2.4.1.1.1 Counterparty-ISIN Close Link – History Screen

| Screen Ac-cess | ence Da on the s needed) | search button (after inputting the relevant Reference Data, if | | | |
|--|---|---|--|--|--|
| | ence Data >> Counterparty-ISIN Close Links Create/Display >> Click on the search button (after inputting the relevant Reference Data, if needed) >> Select a Counterparty-ISIN Close Link >> Click on the <i>History</i> button | | | | |
| _ | Reference Data >> Reference Data >> Counterparties Specific Reference Data >> Counterparty-ISIN Close Links Create/Display >> Click on the search button (after inputting the relevant Reference Data, if needed) >> Select a Counterparty-ISIN Close Links >> Click on the View button (Counterparty-ISIN Close Links – Details Screen) >> Click on the History Button | | | | |
| horizon | horizontal-filstoryResult: Counterparty ISIN Close Link History | | | | |
| Screen- | | Q T 🛂 🌎 Show Enforces Orly - Expand All - Compare | | | |
| shot | 9 | ADMINISTRATIONS AT C. MAS(2021 09-08) 2021-109-08 (19.90) 1 (180) | | | |
| SHOL | | | | | |
| | Start Date | 08/09/2021 | | | |
| Validity | Start Date | WATEROADI US | | | |
| Counte | party | ABIPO16 | | | |
| | nk Type | Forbidden | | | |
| Close L | on flag | No. | | | |
| Close L Excepti | | No. | | | |
| | d | | | | |
| Excepti Rejecte | d Fo Validate | | | | |
| Excepti Rejecte Action Validity | To Validate End Date | | | | |
| Excepti Rejected Actions Validity Excepti | To Validate End Date on End Date | | | | |
| Excepti Rejector Action Volidity Excepti Excepti | To Validate End Date on End Date on Start Date | | | | |
| Except Rejects Action Validity Except Except Rejects | To Validate End Date on End Date | | | | |
| Decent Percent Action Validady Except Recent Source | To Validate End Date on End Date on Start Date in Reason | | | | |
| Experience Author Validity Except Except Pepic Except Validity Validat | To Validate End Date en End Date en End Date en Start Date in Reason on Status | 00/09/2021 00/2020 1 00/20 | | | |
| Burgoti Rejectors Action Valdingly Excepti Rejectors Valdanta Cresso | To Validate End Date en End Date en End Date en Start Date in Reason on Status | 08/06/2021 08/00/01 8800 TST | | | |



| Counterpart | ty-ISIN Close Link – History Screen |
|----------------------------|---|
| Field | Description |
| Fields | Shows the fields whose information have been updated since the creation of the selected Counterparty-ISIN Close Link. |
| Timestamp | Shows the date and time when the fields have been updated. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Button | Description |
| Compare | Shows the differences between the selected records whose data have been updated. |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected Counterparty-ISIN Close Link. |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected Counterparty-ISIN Close Link. |
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected Counterparty-ISIN Close Link. |
| Show Differ- ences Only | Shows only the fields whose information have been updated since the creation of the selected Counterparty-ISIN Close Link. |

3.2.4.1.1.1. Counterparty-ISIN Close Link – Details Screen

Context of This screen displays detailed information on the selected Counterparty-ISIN Close Links. You can check the data and proceed further by clicking Usage on the buttons. Screen Ac- Depending how the screen is accessed, it can be used to show the valid information or the information that requires 4 eyes validation before they cess can be considered valid in the system. For valid information: Reference Data >> Reference Data >> Counterparties Specific Reference Data >> Counterparty-ISIN Close Links Create/Display >> Click on the search button (after inputting the relevant Reference Data, if needed) >> Select a Counterparty-ISIN Close Link >> Click on the View button For information subject to 4 eyes validation: Reference Data >> Reference Data >> Validation / Rejection >> Validate / Reject Counterparty Specific reference Data >> Counterparty-ISIN Close Link >> Click on the search button >> Select a Counterpart y-ISIN Close Link >> Click on the View button

| Screen- | Counterparty- ISIN Close Links Create/Display | | | |
|---------|--|--------------------------|--------------------|---------|
| | Create / Display : Counterparty- ISIN close link | | | * ☑ |
| shot | Search Result : Counterparty ISIN Close Link > View : Coun | terparty ISIN Close Link | | History |
| | CL Details | | | |
| | ISIN | Counterparty | Close Link Type | |
| | NL0000102275 | ABVR016 | Forbidden | |
| | Source | Validity Start Date | Validity End Date | |
| | RIAD | 69/05/2022 | 09/05/2029 | |
| | Exception flag | Exception Start Date | Exception End Date | |
| | No | 69.05/2022 | 09/05/2028 | |
| | Validation details | | | |
| | validation details | | | ^ |
| | Action To Validate | | Rejected No | |
| | | | .** | |

| Counterparty- | ISIN Close Links – Details Screen |
|---------------|-----------------------------------|
| Button | Description |



| History | [Only for valid information]: | | |
|----------------------|--|--|--|
| | This function enables you to access to the historical information of a Counterparty-ISIN Close Link. | | |
| | Next screen: | | |
| | - Counterparty-ISIN Close Links - History Screen. | | |
| CL Details | | | |
| Field | Description | | |
| ISIN | Shows the ISIN that identifies the Marketable Asset. | | |
| Counterparty | Shows the RIAD Code that identifies the counterparty in the ECMS affected by the close link. | | |
| | Displayed format is: Max. 30 characters. | | |
| Close Link | Shows the Type of Close Link from the possible values: | | |
| Туре | - Forbidden | | |
| | - Authorised | | |
| Source | Shows whether the close link was generated from the processing of the RIAD file or manually created by an NCB user from the possible values: | | |
| | - RIAD | | |
| | - NCB | | |
| Validity Start | Shows the date from which the Counterparty-ISIN Close Link is valid. | | |
| Date | Displayed format is: DD/MM/YYYY. | | |
| Validity End Date | Shows the date from which the Counterparty-ISIN Close Link is not valid anymore. | | |
| | Displayed format is: DD/MM/YYYY. | | |
| | The Validity End Date must be equal to or later than the Validity Start Date. | | |
| Exception flag | Shows whether the Exception flag applies to the Counterparty-ISIN Close Link or not from the possible values: | | |
| | - Yes | | |
| | – No | | |
| Exception start date | Shows the date from which the exception of the Counterparty-ISIN Close Link is valid. | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | |
| Exception end date | Shows the date from which the exception of the Counterparty-ISIN Close Link is not valid anymore. | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | |
| Validation deta | ails | | |
| Action To Validate | Shows if there is any action waiting for validation. | | |
| Rejected | Shows if any action subject to validation has been rejected. The possible values are: | | |
| | - Yes | | |
| | – No | | |
| Foot Print | | | |
| Creation Date | Shows the date and time of the creation of the Counterparty-ISIN Close Link. | | |



| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
|--------------------|---|
| Creation User Id | Shows the identification of the user that created the Counterparty-ISIN Close Link. |
| Update Date | Shows the date and time of the update of the Counterparty-ISIN Close Link. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the Counterparty-ISIN Close Link. |

3.2.4.2 Display Banking Group Table

3.2.4.2.1 Banking Group Table – Search Screen

| | - P | | |
|---------------------------------------|---|--|--|
| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the Banking Groups. | | |
| 3 | The search results will be displayed in a list. After selecting an entry, | | |
| | you can proceed further by clicking on the buttons that are shown. | | |
| Screen Access | Reference Data >> Reference Data >> Counterparties Specific Reference Data >> Display Banking Group Table | | |
| Screenshot | ☐ Copility Euroma Crosp Tathe [©] | | |
| Gordononot | Display: Name of the BG Manager Countequary Membler Manager of the SCASS Sealing Group Manager Manager of the | | |
| | Barring Group benofiler Country Code Power Manager of the ECMS → Barring Group Name of the BM Manager → Countreparty Country Code → Q Q | | |
| | Parent Counterparty • • • Update Date • • • □ | | |
| | Annat D | | |
| Banking Gro | up Table – Search screen | | |
| Field | Description | | |
| Counterparty Identifier | Enter / Select the RIAD Code that identifies in the ECMS the Counterparty belonging to the Banking Group. | | |
| | Required format is: Max. 30 characters. | | |
| Parent Manager of the | Enter / Select the RIAD Code of the NCB to which the Counterparty that is the manager of the Banking Group belongs. | | |
| ECMS Bank- ing Group | Required format is: Max. 30 characters. | | |
| Manager of the ECMS | Enter / Select the RIAD Code of the Counterparty which is the manager of the Banking Group. | | |
| Banking Group Identi- | Required format is: Max. 30 characters. | | |
| fier | | | |
| Name of the BG Manager | Enter the name of the Counterparty with the role Banking Group Manager. | | |
| | Required format is: Max. 350 characters. | | |
| | Enter / Select the RIAD Code of the NCB to which the Counterparty of the Banking Group belongs. | | |
| tifier | Required format is: Max. 30 characters. | | |
| Banking Group Man- ager Country | Enter / Select the country of the Banking Group Manager between those stored in the ECMS (Generic Data). The magnifier icon can also be used. | | |
| Code | Required format is: Max. 2 characters (SWIFT-x). | | |
| | | | |



| Counterparty Country Code | Enter / Select the country of the Counterparty belonging to the Banking Group between those stored in the ECMS (Generic Data). The magnifier icon can also be used. |
|---------------------------------|---|
| | Required format is: Max. 2 characters (SWIFT-x). |
| Update Date | Enter the reference date of the last update of the Banking Group Table or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | Banking Group Table – List Screen. |

3.2.4.2.1.1 Banking Group Table – List Screen

| Danking Grou | up Table – List Screen | | |
|----------------------------------|--|--|--|
| Context of Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. | | |
| Screen Access | Reference Data >> Reference Data >> Counterparties Specific Reference Data >> Display Banking Group Table >> Click on the search button (after inputting the relevant Reference Data, if needed) | | |
| Screenshot | Search Result : Name of the BG Manager Value of the BG Manager Va | | |
| | up Table – List Screen | | |
| Field | Description | | |
| Counterparty Identifier | Shows the RIAD Code that identifies in the ECMS the Counterparty belonging to the Banking Group. | | |
| | Displayed format is: Max. 30 characters. | | |
| Parent Manager of the | Shows the RIAD Code of the NCB to which the Counterparty that is the manager of the Banking Group belongs. | | |
| ECMS Bank- ing Group | Displayed format is: Max. 30 characters. | | |
| Manager of the ECMS | Shows the RIAD Code of the Counterparty which is the manager of the Banking Group. | | |
| Banking Group Identi- fier | Displayed format is: Max. 30 characters. | | |
| Name of the BG Manager | Shows the name of the Counterparty with the role Banking Group Manager. | | |
| | Displayed format is: Max. 350 characters. | | |
| terparty Iden- | Shows the RIAD Code of the NCB to which the Counterparty of the Banking Group belongs. | | |
| tifier | Displayed format is: Max. 30 characters. | | |
| Banking Group Man- | Shows the ISO-2 Code and the description of the country of the Banking Group Manager between those stored in the ECMS (Generic Data). | | |
| ager Country Code | Displayed format is: Max. 255 characters. | | |



| Counterparty Country Code | Shows the ISO-2 Code and the description of the country of the Counterparty belonging to the Banking Group between those stored in the ECMS (Generic Data). | | |
|---------------------------------|---|--|--|
| | Displayed format is: Max. 255 characters. | | |
| Update Date | Shows the date and time of the last update of the Banking Group Manager. | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs | | |
| Updater User Id | Shows the identification of the user that made the last update of the Banking Group Manager | | |
| After selecting | g a record, the following buttons are displayed | | |
| Button | Function | | |
| View | This function enables you to access to the detailed information of a Banking Group. | | |
| | Next screen: | | |
| | Banking Group Table – Details Screen. | | |

3.2.4.2.1.1. Banking Group Table – Details Screen

| Contaxt of | This serson displays do | tailed inform | otion on the | anlanted Denki | n a |
|--|---|--------------------------------------|---|--|----------|
| Context of Usage | This screen displays detailed information on the selected Banking Group. You can check the data and proceed further by clicking on the buttons. | | | | |
| Screen Access | Reference Data >> Reference Data >> Display B ton (after inputting the rebanking Group>> Click | anking Grou elevant Refe | ip Table >> erence Data, | Click on the sea | rch but- |
| Screenshot | Search Result: Name of the BG Manager > View: Name of the BG Manager Barking Group Manager Details Manager of the CANS Enviring Group Identifier FENIOR Barking Group Manager Country Code FE Counterparty Details | Name of the BG Manager NATIXIS | | Parm Manager of the ECMS Berking Group \$20,0001 | S 6 |
| | Countregranty benefier INSOS FootPrint Updater User M ICAN OFFERATION 1 CHRISTOL User M ICAN OFFERATION 1 | Pwert Counterpany Sentifier 33000 | Update Date 1509/2021 09:38:09:337 Cression Sate 09:38:09:337 1509/2021 09:38:49:337 | Confrequity Governy Gode (Xs. | 8 |
| Banking Gro | up Table – Details Scre | en | | | |
| Banking Gro | up Table Details | | | | |
| Field | Description | | | | |
| Manager of the ECMS Banking Group Identi- fier | Shows the RIAD Code of the Counterparty which is the manager of the Banking Group. Displayed format is: Max. 30 characters. | | | | |
| Name of the BG Manager | Shows the name of the Counterparty with the role Banking Group Manager. | | | | |
| | Displayed format is: Ma | | | | |
| Parent Manager of the ECMS Bank- | Shows the RIAD Code of the NCB to which the Counterparty that is the manager of the Banking Group belongs. Displayed format is: Max. 30 characters. | | | | |
| ing Group | | | | | |



| Banking Group Man- | Shows the ISO-2 Code and the description of the country of the Banking Group Manager between those stored in the ECMS (Generic Data). |
|---------------------------------|---|
| ager Country Code | Displayed format is: Max. 255 characters. |
| Counterparty | Details |
| Counterparty Identifier | Shows the RIAD Code that identifies in the ECMS the Counterparty belonging to the Banking Group. |
| | Displayed format is: Max. 30 characters. |
| terparty Iden- | Shows the RIAD Code of the NCB to which the Counterparty of the Banking Group belongs. |
| tifier | Displayed format is: Max. 30 characters. |
| Counterparty Country Code | Shows the ISO-2 Code and the description of the country of the Counterparty belonging to the Banking Group between those stored in the ECMS (Generic Data). |
| | Displayed format is: Max. 255 characters. |
| Foot Print | |
| Creation | Shows the date and time of the creation of the Banking Group Manager. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the Banking Group Manager. |
| Update Date | Shows the date and time of the update of the Banking Group. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the Banking Group. |

3.2.5 Credit Claims Reference Data

3.2.5.1 Credit Claims Close Links

3.2.5.1.1 Credit Claims Close Links Create / Display

3.2.5.1.1.1 Credit Claims Close Link - Search Screen

| This screen contains a number of search fields. By inputting the relevant data, you can search for the Credit Claims Close Links. | | | | | |
|---|--|--|---|---|---|
| | | | | | entry, you |
| | • | • | ific Refere | ence Data >> | Create/ |
| Counterparty ▼ | | ldentifier 🔻 | | Source ▼ | RA _ [|
| Start Date Validity == ▼ Exception Flag == ▼ | | | <u> </u> | Exception Validity == • | 8 |
| "D Reset | | | | Date | ◆ Create Q Search |
| | | | | | |
| | data, you can The search re can proceed f Reference Da Display Count Search Criteria: Cpty Credit Claim Cle Counterparty Start Date Validity == Exception Flag == Exception Flag == The Start Date Validity == The Start Date Validity == Exception Flag == The Start Date Validity == The Start Date Validity == Exception Flag == The Start Date Validity == Exception Flag == The Start Date Validity == Exception Flag == The Start Date Validity == The Start Date Validity == Exception Flag == The Start Date Validity == The | data, you can search for the Company control of the Company counterparty counterpar | data, you can search for the Credit Claim The search results will be displayed in a can proceed further by clicking on the bu Reference Data >> Counterparties Spec Display Counterparty-Obligor close links Search Criteria: Cpty Credit Claim Close Link Counterparty Start Date Validity Exception Flag == V Exceptional Start Date == V Exceptional Start Date == V | data, you can search for the Credit Claims Close Later than the can proceed further by clicking on the buttons that Reference Data >> Counterparties Specific Reference Display Counterparty-Obligor close links Search Criteria: Cpty Credit Claim Close Link | data, you can search for the Credit Claims Close Links. The search results will be displayed in a list. After selecting an can proceed further by clicking on the buttons that are shown. Reference Data >> Counterparties Specific Reference Data >> Display Counterparty-Obligor close links Search Criteria: Cpty Credit Claim Close Link Counterparty |



| Credit Clair | ns Close Link – Search screen |
|-----------------------------------|---|
| Field | Description |
| Counter- party Iden- tifier | Input the RIAD Code that identifies the counterparty in the ECMS affected by the close link. |
| Obligor Identifier | Input the RIAD Code that identifies the obligor in the ECMS affected by the close link. |
| Source | Enter / Select whether the close link was generated from the processing of the RIAD file or manually created by an NCB user from the possible values: |
| | - RIAD - NCB |
| Start Date Validity | Enter the date from which the Credit Claims Close Link is valid. The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY. |
| End Date Validity | Enter the date from which the Credit Claims Close Link is not valid anymore or use the calendar icon. |
| | Required format is: DD/MM/YYYY. |
| Exception flag | Enter / Select whether the Exception flag applies to the Credit Claims Close Link or not from the possible values: |
| | - True |
| | - False |
| Exceptional Start Date | Enter the first day of the exception or select it from the calendar when the exception flag is activated. |
| | Displayed format is: DD/MM/YYYY (Optional) |
| Validity | Enter the last validity day of the exception or select it from the calendar when the exception flag is activated. |
| Date | Displayed format is: DD/MM/YYYY (Optional) |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | Credit Claims Close Links – List Screen |

3.2.5.1.1.2 Credit Claims Close Link - List Screen

| | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. |
|------------------|---|
| Screen Access | Reference Data >> Counterparties Specific Reference Data >> Create/Display Counterparty-Obligor close links >> Click on the search button (after inputting the relevant Reference Data, if needed) |





| Credit Clai | ms Close Link – List Screen |
|--------------------------------------|--|
| Field | Description |
| Source | Shows whether the close link was generated from the processing of the RIAD file or manually created by an NCB user from the possible values: |
| | - RIAD - NCB |
| Counter- party Iden- tifier | Shows the RIAD Code that identifies the counterparty in the ECMS affected by the close link. |
| Obligor Identifier | Shows the RIAD Code that identifies the obligor in the ECMS affected by the close link. |
| Start Date Validity | Shows the date from which the Credit Claims Close Link is valid. Format is: DD/MM/YYYY. |
| End Date Validity | Shows the date from which the Credit Claims Close Link is not valid anymore. |
| | Format is: DD/MM/YYYY. |
| Exception flag | Shows whether the Exception flag applies to the Credit Claims Close Link or not from the possible values: |
| | - True |
| Excep- | Shows the first day of the exception when its flag is activated. |
| tional Start Date | Format is: DD/MM/YYYY. |
| Excep- tional Validity Date | Shows the last day of the exception when its flag is activated. Format is: DD/MM/YYYY. |
| Update Date | Shows the date and time of the last update of the Credit Claims Close Link. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the Credit Claims Close Link. |
| After select | ing a record, the following buttons are displayed |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Create | This function enables you to create a creditor. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | Credit Claims Close Links – List Screen. |



3.2.5.1.1.3 Credit Claims Close Link – Details Screen

| Context of Usage | This screen displays detailed information on the selected Credit Claims Close Links. You can check the data and proceed further by clicking on the buttons. | | |
|-------------------------------|--|--|---|
| Business Case re- lated | | | |
| Screen Access | Reference Data >> Counterparties Specific Reference Data >> Create/ Display Counterparty-Obligor close links >> Click on the search button (after inputting the relevant Reference Data, if needed) >> Select a Credit Claims Close Link >> Click on the View button | | |
| Screen- shot | Search Result: Cpty Credit Claim Close Link > View: Cpty Credit Counterparty Identifier FR251021510 End Date Validity 00/06/2029 Exception Validity Date FR00tPrint | Claim Close Link Obligor Identifier FRS56821529 Exception Flag No Source NCB | Start Date Validity 68/06/2022 Exceptional Start Date |

| Credit Clair | ms Close Link – Details Screen |
|-----------------------------------|---|
| Field | Description |
| Source | Shows whether the close link was generated from the processing of the RIAD file or manually created by an NCB user from the possible values: — RIAD — NCB |
| Counter- party Iden- tifier | Shows the RIAD Code that identifies the counterparty in the ECMS affected by the close link. |
| Obligor Identifier | Shows the RIAD Code that identifies the obligor in the ECMS affected by the close link. |
| Start Date | Shows the date from which the Credit Claims Close Link is valid. |
| Validity | Format is: DD/MM/YYYY. |
| End Date Validity | Shows the date from which the Credit Claims Close Link is not valid anymore. |
| | Format is: DD/MM/YYYY. |
| Exception flag | Shows whether the Exception flag applies to the Credit Claims Close Link or not from the possible values: (True/False) |
| Excep- | Shows the first day of the exception when its flag is activated. |
| tional Start Date | Format is: DD/MM/YYYY. |
| Excep- | Shows the last day of the exception when its flag is activated. |
| tional Validity Date | Format is: DD/MM/YYYY. |
| Foot Print | |
| Creation | Shows the date and time of the creation of the Credit Claims Close Link. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the Credit Claims Close Link. |



| Update Date | Shows the date and time of the update of the Credit Claims Close Link. |
|--------------------|--|
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the Credit Claims Close Link. |
| Button | Description |
| History | This function enables you to access to the historical information of a Credit Claims Close Link. |
| | Next screen: |
| | Credit Claims Close Links – History Screen. |

3.2.5.1.1.4 Credit Claims Close Link – History Screen

| Context of Usage | This screen displays historical information that has changed on the selected Credit Claims Close Links. You can check the data, including the user who made the changes, and proceed further by clicking on the buttons that are shown. | | | |
|-------------------------------|---|-----------------------------|-----------------------------|--|
| Business Case re- lated | | | | |
| Screen Access | Reference Data >> Counterparties Specific Reference Data >> Create/Display Counterparty-Obligor close links >> Click on the search button (after inputting the relevant Reference Data, if needed) >> Select a Credit Claims Close Link >> Click on the <i>History</i> button | | | |
| Screen- | Fields | 2 2024-03-11 15-54-42-684 2 | 2/2022-06-08 11:23:23.701 1 | |
| -14 | | | | |
| shot | Counterparty Identifier | FR251021510 | Links | |
| | Exception Flag | No | Yes | |
| | Exception Validity Date | | 08/06/2029 | |
| | Exceptional Start Date | | 08/06/2022 | |
| | Obligor Identifier | FR556821529 | Links | |
| | Source | NCB | | |
| | Update Date | 11/03/2024 15:54:42:684 | 08/06/2022 11:23:23:701 | |
| | Rejected | No | No | |
| | Action To Validate | | | |
| | | | | |
| | End Date Validity | 08/06/2029 | 08/06/2029 | |
| | End Date Validity Rejection Reason | 08/06/2029 | 09/06/2029 | |
| | | 08/06/2029 08/06/2022 | 08/06/2029 08/06/2022 | |
| | Rejection Reason | | | |
| | Rejection Reason Start Date Validity | | | |

| Credit Clain | Credit Claims Close Link – History Screen | | | |
|-----------------------------------|--|--|--|--|
| Field | Description | | | |
| Source | Shows whether the close link was generated from the processing of the RIAD file or manually created by an NCB user from the possible values: | | | |
| | - NCB | | | |
| | - RIAD | | | |
| Counter- party Identi- fier | Shows the RIAD Code that identifies the counterparty in the ECMS affected by the close link. | | | |
| Obligor Identifier | Shows the RIAD Code that identifies the obligor in the ECMS affected by the close link. | | | |



| Start Date | Shows the date from which the Credit Claims Close Link is valid. | |
|-------------------------------|---|--|
| Validity | Format is: DD/MM/YYYY. | |
| End Date Validity | Shows the date from which the Credit Claims Close Link is not valid anymore. | |
| | Format is: DD/MM/YYYY. | |
| Exception flag | Shows whether the Exception flag applies to the Credit Claims Close Link or not from the possible values: | |
| | - True | |
| | - False | |
| Exceptional | Shows the first day of the exception when its flag is activated. | |
| Start Date | Format is: DD/MM/YYYY. | |
| Exceptional | Shows the last day of the exception when its flag is activated. | |
| Validity Date | Format is: DD/MM/YYYY. | |
| Update Date | Shows the date and time of the last update of the Credit Claims Close Link. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Updater User Id | Shows the identification of the user that made the last update of the Credit Claims Close Link. | |
| Button | Description | |
| Compare | Shows the differences between the selected records whose data have been updated. | |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected Credit Claim Asset. | |
| Show Dif- ferences Only | Shows only the fields whose information have been updated since the creation of the selected Credit Claim Asset. | |

3.2.6 Generic Data

The reference data for ECMS contains various generic code lists that are used internally by the System.

All these code lists are maintained by the ECMS Operator and can be accessed by NCBs and Counterparties for consultation only.

3.2.6.1 ECB Interest Rate Create / Display

3.2.6.1.1 ECB Interest Rate - Search Screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the ECB Interest Rates. |
|------------------|--|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |
| | Reference Data >> Reference Data >> Generic Data >> ECB Interest Rate >> ECB Interest Rate Create/Display |





| ECB Intere | st Rate – Search screen |
|------------------------|--|
| Field | Description |
| | Enter / Select the ECB Interest Rate from the possible values: |
| tifier | ECB Deposit facility |
| | ECB Main Refinancing Operations |
| | ECB Marginal Lending Facility |
| | Or any other necessary underlying rates |
| Reference Rate Date | Enter the reference date of the ECB Interest Rate. The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY. |
| Update Date | Enter the reference date of the last update of the ECB Interest Rate. The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY. |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | ECB Interest Rate – List Screen. |

3.2.6.1.1.1 ECB Interest Rate - List Screen

| Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. | | | | | | | |
|------------|---|--|--|---|------------|---|--|----------|
| | Ra | te >> EC | | ate Create | /Display > | eric Data >> E > Click on the if needed) | | |
| Screenshot | Search | Result : ECB Interest Rate | | { < Page 1 | \ \ | | Q14 () □ | <u>^</u> |
| | | Plate Identifier © Average MIDL race ECB Deposit facility ECB MarginalFacility ECB MarginalFacility ECB MarginalFacility | Pedesonce Hode Date 8 2787 (2008 2008 2787 (2008 2787 (2008 2787 (2008 2787 (2008 2787 (2008 2787 (2008 2787 (2008 2787 (2008 2787 (2008 2787 (2008 2008 2787 (2008 2787 (2008 2787 (2008 2787 (2008 2787 (2008 2787 (2008 2008 | Provide 6 100 100 100 100 100 100 100 1 | ▽ have 6 | \$\frac{1}{2}\subsection \text{Loss}\$ \$12000 access of the control of the co | CLAS OPERATOR I CLAS O | ▽ |

| ECB Interest Rate – List Screen | | |
|---------------------------------|---|--|
| Field | Description | |
| Rate Iden- tifier | Shows the ECB Interest Rate from the possible values: | |
| | ECB Deposit facility | |
| | ECB Main Refinancing Operations | |
| | ECB Marginal Lending Facility | |



| | _ | |
|--------------------|--|--|
| | Or any other necessary underlying rates | |
| Reference | Shows the reference date of the ECB Interest Rate. | |
| Rate Date | Displayed format is: DD/MM/YYYY. | |
| Rate | Shows the ECB Interest Rate for the date and the reference. | |
| | Displayed format is: number with decimal places | |
| Provider | Shows the Provider. Possible value: | |
| | - ECB | |
| Update | Shows the date and time of the last update of the ECB Interest Rate. | |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Updater User Id | Shows the identification of the user that made the last update of the ECB Interest Rate. | |
| After selecti | ng a record, the following buttons are displayed | |
| Button | Function | |
| History | This function enables you to access to the historical information of an ECB Interest Rate. | |
| | Next screen: | |
| | ECB Interest Rate – History Screen. | |
| View | This function enables you to access to the detailed information of an ECB Interest Rate. | |
| | Next screen: | |
| | - ECB Interest Rate - Details Screen. | |

3.2.6.1.1.1. ECB Interest Rate - History Screen

| Context of Usage | This screen displays historical information that has changed on the selected ECB Interest Rate. You can check the data, including the user who made the changes, and proceed further by clicking on the buttons that are shown. | | | |
|---------------------|--|--|--|-------------------------------|
| Screen Access | Reference Data >> Reference Data >> Generic Data >> ECB Interest Rate >> ECB Interest Rate Create/Display >> Click on the search but ton (after inputting the relevant Reference Data, if needed) >> Select an ECB Interest Rate >> Click on the <i>History</i> button Reference Data >> Reference Data >> Generic Data >> ECB Interest Rate >> ECB Interest Rate Create/Display >> Click on the search but ton (after inputting the relevant Reference Data, if needed) >> Select a ECB Interest Rate >> Click on the <i>View</i> button (<i>ECB Interest Rate – Details</i> Screen) >> Click on the <i>History</i> Button | | | |
| | | | | |
| Screenshot | horizontalHistoryResult : Reference Rate History Q2 🗐 🐟 Stow All Expertal Compare | | | |
| | Fields | (EC8)21/06/2021 17:42:31:770(1)[Average MR0 rate]2021-09-28/2021-09-28 | © (KCBI21)06/2021 17.42.31.7701)(Average MRO rate(2021-09-28)2021-09-27 17.41.34.09;21 | |
| | Rate Creation Date | 20 28/09/2021 10:52:99-443 | | 10 27/69/2021 17:41:34.002 |
| | (2) difference(s) found. | | | |

| ECB Interest Rate – History Screen | | |
|------------------------------------|--|--|
| Field | Description | |
| Fields | Shows the fields whose information have been updated since the creation of the selected ECB Interest Rate. | |



| Timestamp | Shows the date and time when the fields have been updated. | | |
|--------------|--|--|--|
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | |
| Button | Description | | |
| Compare | Shows the differences between the selected records whose data have been updated. | | |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected ECB Interest Rate. | | |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected ECB Interest Rate. | | |
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected ECB Interest Rate. | | |
| | Shows only the fields whose information have been updated since the creation of the selected ECB Interest Rate. | | |

3.2.6.1.1.2 ECB Interest Rate - Details Screen

| Context of Usage | This screen displays detailed information on the selected ECB Interest Rate. You can check the data and proceed further by clicking on the buttons. | | | |
|------------------|---|--|---|----------------------------------|
| Screen Access | Reference Data >> Rate >> ECB Intered (after inputting the Interest Rate >> Cl | est Rate Create/D relevant Referenc | isplay >> Click on e Data, if needed | |
| Screenshot | Genrich Resist : CCD Interest Rate : View: SCB Interest Rate late Cata later Cata Cata Cata Cata Cata Cata Cata Cat | Creation User Id ECMS OPERATOR 3 | Provider XCB Rate Rate Rejnierted No Update Date 164070221 14:36:38:699 | Updates that Id KCNS OPERATOR I |

| ECB Interes | t Rate – Details Screen | | |
|------------------------|--|--|--|
| Button | Description | | |
| History | This function enables you to access to the historical information of an ECB Interest Rate. | | |
| | Next screen: | | |
| | ECB Interest Rate – History Screen. | | |
| Interest Rate | e Data | | |
| Field | Description | | |
| Rate Identi- | Shows the ECB Interest Rate from the possible values: | | |
| fier | ECB Deposit facility | | |
| | ECB Main Refinancing Operations | | |
| | ECB Marginal Lending Facility | | |
| | _ | | |
| | Or any other necessary underlying rates | | |
| Reference Rate Date | Shows the reference date of the ECB Interest Rate. Displayed format is: DD/MM/YYYY. | | |



| Rate | Shows the ECB Interest Rate for the date and the reference. | | | |
|-----------------------|--|--|--|--|
| | Displayed format is: number with decimal places | | | |
| Provider | Shows the Provider. Possible value: | | | |
| | - ECB | | | |
| Validation D | etails | | | |
| Action To Validate | Shows if there is any action waiting for validation. | | | |
| Rejected | Shows if any action subject to validation has been rejected. The possible values are: | | | |
| | - Yes | | | |
| | - No | | | |
| Foot Print | | | | |
| Creation | Shows the date and time of the creation of the ECB Interest Rate. | | | |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | |
| Creation User Id | Shows the identification of the user that created the ECB Interest Rate. | | | |
| Update Date | Shows the date and time of the update of the ECB Interest Rate. | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | |
| Updater User Id | Shows the identification of the user that made the last update of the ECB Interest Rate. | | | |

3.2.7 Rates Reference Data

3.2.7.1 EURO/Currencies Exchange Rate Create / Display

3.2.7.1.1 EURO/Currencies Exchange Rate – Search Screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the EURO/Currencies Exchange Rate. | | | |
|------------------|--|--|--|--|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. | | | |
| Screen Access | Reference Data >> Reference Data >> Rates Reference Data >> EURO/ Currencies Exchange Rates >> Display EURO/Currencies Exchange Rate | | | |
| Screen- | 60. Dada EJROCemene Eutran Re. 0 | | | |

| EURO/Currencies Exchange Rate – Search screen | | | |
|---|---|--|--|
| Field | Description | | |
| Price Date | Enter / Select the Exchange Rate date. | | |
| | Required format is: DD/MM/YYYY. | | |
| | Enter the Cross Parity Identifier as Currency A – Currency B. | | |
| ity | Required format is: Max. 7 chars. | | |
| Provider | Shows the Provider from the possible values: | | |



| | - ECB |
|----------------|--|
| | – Manual |
| Update Date | Enter the reference date of the last update of the EURO/Currencies Exchange Rate. The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY. |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | - EURO/Currencies Exchange Rate - List Screen. |

3.2.7.1.1.1 EURO/Currencies Exchange Rate – List Screen

| Context of Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. | | | | | | | | |
|---------------------|---|--------------------------|------------------|-------------|------------------|-----------------------|------------|--|-----------------------|
| Screen Access | Ci Ra | urrencie ate >> (| es Excha | inge Rate | s >> Dis | play EUF | RO/Curre | encies Exc | |
| Caraanahat | Searc | h Result : EURO/Currenci | es Exchange Rate | | | | | | |
| Screenshot | 10 | ¥ | | | | K < + | | | Q32 () 🗆 🖾 * 🖓 |
| | | Cross Parity \$ | Price Date \$ | Provider \$ | Exchange Rate \$ | Action To Validate \$ | Rejected © | Update Date # | ♡ Updater User Id Φ ♡ |
| | 87 | EUR-AUD | 04/05/2022 | ECB | | 0.678 | No | 04/05/2022 12:53:41:045 | STP |
| | 8 | EUR-BGN | 04/05/2022 | ECB | | 1.9558 | No | 04/05/2022 12:53:41:053 | STP |
| | | EUR-BRL EUR-CAD | 04/05/2022 | ECB ECB | | 5.245 | No No | 04/05/2022 12:53:41:055 04/05/2022 12:53:41:057 | STP |
| | | EURCAD | 04/05/2022 | ECB ECB | | 1.0234 | No No | 04/05/2022 12:53:41:057 | STP |
| | | EURCHE | 04/05/2022 | ECB ECB | | 6.785 | No. | 04/05/2022 12/58/41/059 | STP |
| | 6 | EUR-CZK | 04/05/2022 | ECB | | 24.642 | No. | 04/05/2022 12:53:41:064 | STP |
| | 8 | EUR-OKK | 04/05/2022 | ECB | | 7.4395 | No | 04/05/2022 12:53:41:065 | STP |
| | 8 | EUR-G8P | 04/05/2022 | ECB | | 0.8379 | No | 04/05/2022 12:53:41:067 | STP |
| | 8 | EUR+IKD | 04/05/2022 | ECB | | 8.2768 | No | 04/05/2022 12:53:41:069 | STP |
| | | | | | | | | | |

| EURO/Currencies Exchange Rate – List Screen | | | | |
|---|--|--|--|--|
| Field | Description | | | |
| Price Date | Shows Exchange Rate date. | | | |
| | Displayed format is: DD/MM/YYYY. | | | |
| Cross Parity | Shows the Cross Parity Identifier as Currency A – Currency B. | | | |
| | Displayed format is: Max. 7 chars. | | | |
| Provider | Shows the Provider from the possible values: | | | |
| | - ECB | | | |
| | - Manual | | | |
| Exchange | Shows the Exchange Rate. | | | |
| Rate | Displayed format is: number with up to 5 decimal places (max. 99.99999) | | | |
| Update Date | Shows the date and time of the last update of the EURO/Currencies Exchange Rate. | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | |
| Updater User Id | Shows the identification of the user that made the last update of the EURO/Currencies Exchange Rate. | | | |
| | After selecting a record, the following buttons are displayed | | | |
| Button | Function | | | |



| History | This function enables you to access to the historical information of a EURO/Currencies Cross Parity. |
|---------|--|
| | Next screen: |
| | EURO/Currencies Exchange Rate – History Screen. |
| View | This function enables you to access to the detailed information of a EURO/Currencies Exchange Rate. |
| | Next screen: |
| | EURO/Currencies Exchange Rate – Details Screen. |

3.2.7.1.1.1. EURO/Currencies Exchange Rate – History Screen

| Context of Usage | This screen displays historical information that has changed on the selected EURO/Currencies Exchange Rate. You can check the data, including the user who made the changes, and proceed further by clicking on the buttons that are shown. | | | | |
|------------------|---|--|--|--|--|
| Screen Access | EURO/0 change ant Refe change Referer EURO/0 change ant Refe change | Currencies Exchange Rates >> Display EURO/Currencies Ex- Rate >> Click on the search button (after inputting the relev- erence Data, if needed) >> Select a EURO/Currencies Ex- Rate >> Click on the <i>History</i> button are Data >> Reference Data >> Rates Reference Data >> Currencies Exchange Rates >> Display EURO/Currencies Ex- Rate >> Click on the search button (after inputting the relev- erence Data, if needed) >> Select a EURO/Currencies Ex- Rate >> Click on the <i>View</i> button (<i>EURO/Currencies Ex-</i> Rate - Details Screen) >> Click on the History Button | | | |
| | , , | | | | |
| Screenshot | nonzontalmistorynesuit : Poreign Exch | Q Ell | | | |
| | Fields | [608[27.06/2021 17.42:31.770[7]][EIR 500(2024-03-11)2024-03-11 15-47-41.109] | | | |
| | | | | | |
| | Price Date | 11/03/2004 | | | |
| | Cross Parity | EUR-SGD | | | |
| | Provider | C0021/06/2021 17-02-31 77001 | | | |
| | Rejected | No. | | | |
| | Action To Validate Ask Price | 1.4550000129151442 | | | |
| | Ask Price Average | 1.4500ALG/15HeQ. 1.4500ALG/15HeQ. 1.4500ALG/15HeQ. | | | |
| | Bid Price | 1.4550000423153442 | | | |
| | Exchange Rate | 1.4550000429153642 | | | |
| | Highest | 1.455000429153842 | | | |
| | Is Variation Exceeded | No | | | |
| | Lowest | 1.4550000429153442 | | | |
| | Max Allowed Variation | | | | |
| | Open | 1.4950000429151442 | | | |
| | Rejection Reason | | | | |
| | Validation Status | | | | |
| | Update Date | 11/03/2024 15:47:41:103 | | | |
| | | CTD. | | | |
| | Creation User Id | STP | | | |
| | | STP | | | |
| | Creation User Id | STP | | | |

| EURO/Curr | encies Exchange Rate – History Screen |
|------------|--|
| Object | Description |
| Fields | Shows the fields whose information have been updated since the creation of the selected EURO/Currencies Exchange Rate. |
| Timestamp | Shows the date and time when the fields have been updated. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Button | Description |
| Compare | Shows the differences between the selected records whose data have been updated. |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected EURO/Currencies Exchange Rate. |



| Show All | Shows the information that existed before each modification of all the fields regarding the selected EURO/Currencies Exchange Rate. |
|-------------------------------|--|
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected EURO/Currencies Exchange Rate. |
| Show Dif- ferences Only | Shows only the fields whose information have been updated since the creation of the selected EURO/Currencies Exchange Rate. |

3.2.7.1.1.2 EURO/Currencies Exchange Rate – Details Screen

| Context of Usage | This screen displays detacies Exchange Rate. You clicking on the buttons. | | | | | |
|------------------|---|---|---|--|--|--|
| Screen Access | Reference Data >> Reference Data >> References Exchange Rate >> Click on the searence Data, if needed) >> Selection the View button | tes >> Display EURO/Crch button (after inputtir | Currencies Exchange ag the relevant Reference | | | |
| Screenshot | Display: EURO/Currencies Exchange Rate Display: EURO/Currencies Exchange Rate | | *** | | | |
| | Search Result : EURO/Currencies Exchange Rate > View : EURO/Currencies Exchange Rate | | | | | |
| | Exchange Rate Data | | | | | |
| | Price Date | Cross Parity | Provider | | | |
| | 046073022 Exchange Rate 0.673 | ECR-ACD Max Allowed Variation | ICB Is Variation Diceeded No | | | |
| | Validation details | | <u> </u> | | | |
| | Action To Validate | Rejected No | | | | |
| | Foot Print | | | | | |

| EURO/Currencies Exchange Rate – Details Screen | | | | |
|--|---|--|--|--|
| Button | Description | | | |
| History | This function enables you to access to the historical information of a EURO/Currencies Exchange Rate. | | | |
| | Next screen: | | | |
| | EURO/Currencies Exchange Rate – History Screen. | | | |
| Exchange R | ate Data | | | |
| Field | Description | | | |
| Price Date | Shows the Exchange Rate date. | | | |
| | Displayed format is: DD/MM/YYYY. | | | |
| Cross Parity | Shows the Cross Parity Identifier as Currency A – Currency B. | | | |
| | Displayed format is: Max. 7 chars. | | | |
| Provider | Shows the Provider from the possible values: | | | |
| | - ECB | | | |
| | - Manual | | | |
| Exchange | Shows the Exchange Rate. | | | |
| Rate | Displayed format is: number with up to 5 decimal places (max. 99.99999) | | | |
| Max Allowed Variation | Shows the maximun allowed variation. | | | |
| Is Variation | Shows possible values from: | | | |
| Exceeded | - Yes | | | |



| | - No |
|-----------------------|--|
| Validation D | etails |
| Action To Validate | Shows if there is any action waiting for validation. |
| Rejected | Shows if any action subject to validation has been rejected. The possible values are: |
| | - Yes |
| | - No |
| Foot Print | |
| Creation Date | Shows the date and time of the creation of the EURO/Currencies Exchange Rate. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the EURO/Currencies Exchange Rate. |
| Update Date | Shows the date and time of the update of the EURO/Currencies Exchange Rate. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the EURO/Currencies Exchange Rate. |

3.2.8 Access Rights Reference Data

3.2.8.1 Users

The ECMS allows the NCB users and Counterparties to maintain the users in the system, as well as to assign to them the predefined roles and or groups.

Each user defined in the ECMS corresponds to a human user, i.e. an employee of a given ECMS Party using the ECMS U2A, or to an application, i.e. a software component of a given ECMS Party interacting with the ECMS in A2A mode. ECMS uses a unique reference to identify a user.

The authorization mechanism is based on user/group/role assignment.

3.2.8.1.1 Users Create / Display

3.2.8.1.1.1 Users – Create Screen

| Context of Us- age | This screen contains a number of fields regarding the Users. You can enter new data. Afterwards you can proceed further by clicking on the buttons below. | | | | |
|--------------------------|---|--|--|--|--|
| Business Case Related | Create a new User | | | | |
| Screen Access | Reference Data >> Reference Data >> Access Rights Reference Data >> Create/Display Users >> Click on the <i>Create</i> button | | | | |
| Screenshot | Edit Assigned User EDAS System User Inference Name In Active User Mail Tensory User Mail Tensory User Mail Tensory To Testal V Save X Caset | | | | |



| Users - Create s | creen | | | | |
|---------------------------------------|--|--|--|--|--|
| ECMS System Us | | | | | |
| Field | Description | | | | |
| ECMS System | Enter the ECMS System User Reference of the user. | | | | |
| User Reference * | Required format is: Max. 35 characters. | | | | |
| Name* | Enter the name of the user. | | | | |
| Ivairie | | | | | |
| Is Active* | Required format is: Max. 127 characters. Select whether the User is active or not. The possible values are: | | | | |
| is Active | - Yes | | | | |
| | | | | | |
| Dutton | - No | | | | |
| Button | Function This function and block of the display the subscript "Crowns" | | | | |
| Groups | This function enables you to display the subsection "Groups". | | | | |
| Security Role | This function enables you to display the subsection "Assigned Roles". | | | | |
| User Properties | This function enables you to display the subsection "User Properties". | | | | |
| User Multi Ten- ancy | This function enables you to display the subsection "User Multi Tenancy". | | | | |
| Reset | This function enables you to clear the form. | | | | |
| Save | This function enables you to save the creation of a User. | | | | |
| Cancel | This function enables you to cancel the creation of a User and return to the previous screen. | | | | |
| Groups | | | | | |
| Button | Function | | | | |
| Create | This function enables you to assign a group to the user. | | | | |
| Field | Description | | | | |
| Security Group(*) | Enter / Select the Group you want to assign to the user. | | | | |
| Security Role | | | | | |
| Button | Function | | | | |
| Create | This function enables you to assign a role to the user. | | | | |
| Field | Description | | | | |
| Assigned Roles ^(*) | Enter / Select the Security Role you want to assign to the user. The possible values are: | | | | |
| | List of Access Rights Roles in the addendum - ECMS Roles_AARR Matrix NCBs&Entities | | | | |
| User Properties | | | | | |
| Button | Function | | | | |
| Create | This function enables you to assign the default data scope of the user. | | | | |
| Field | Description | | | | |
| Property ^(*) | Select the Property you want to assign to the user from the possible values: | | | | |
| | - Data Scope | | | | |
| User Property Value ^(*) | Enter the data scope of the ECMS Entity under which the user is to be assigned. | | | | |
| | Required format: | | | | |



 Data scope: relevant data scope linked to the ECMS System User

User Multi Tenancy

This function enables you to view the tenant of the User (by default, the one under the user is created).

3.2.8.1.1.2 Users - Search Screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the Users. |
|------------------|--|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |
| Screen Access | Depending how the screen is accessed, it can be used to search the valid information or the information that requires 4 eyes validation before they can be considered valid in the system |
| | For valid information: |
| | Reference Data >> Access Rights Reference Data >> Users Create/Display |
| | For information subject to 4 eyes validation: |
| | Reference Data >> Validation / Rejection >> Setup >> Access Rights >> Validate / Reject User |
| Screen- | © User Count Guilly ○ |
| shot | Create / Display: User EXAST Symmotor A NACRIC |
| | Update Date • • • • |
| | ○ Cush Q Sust. |
| | Waldane Rigers tolers Validane Rigers tolers |
| | Create / Display : User EXM Symmology |
| | Teleserca |
| | © Reerl |
| | User Property Value •• • Action To Validate •• • Rejected •• • Rejected •• • |

| Users - Searc | ch screen | | |
|--------------------|---|--|--|
| Field | Description | | |
| ECMS Sys- | Enter / Select the ECMS System User Reference of the user. | | |
| tem User Reference | Required format is: Max. 35 characters. | | |
| Name | Enter the name of the user. | | |
| | Required format is: Max. 127 characters. | | |
| Is Active | Select whether the User is active or not. The possible values are: | | |
| | - Yes | | |
| | - No | | |
| Update Date | Enter the reference date of the last update of the User or use the calendar icon. | | |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs | | |
| Button | Function | | |
| Reset | This function enables you to clear the form. | | |
| Create | This function enables you to create a new User. | | |
| | Next screen: | | |



| | - Users - Create Screen. |
|--------|--|
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | - Users - List Screen. |

3.2.8.1.1.2. Users - List Screen

| Context of Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. | | | | |
|---------------------|---|--|---|--|---|
| Screen Access | formation or the | | that require | it can be used t s 4 eyes validat | to list the valid in- ion before they |
| | For valid infor | mation: | | | |
| | Reference Data >> Reference Data >> Access Rights Reference Data >> Create/Display Users >> Click on the search button (after inputting the relevant Data, if needed) | | | | |
| | For information subject to 4 eyes validation: | | | | |
| | Reference Data >> Validation / Rejection >> Setup >> Access Rights > Validate / Reject User >> Click on the search button (after inputting the relevant Data, if needed) | | | | |
| Screenshot | Search Result : User | | | | |
| Concension | | Name 2 CEAS OPPINATION 1 CEAS SOCIENTATION 1 C | TE Active 6 Yes Yes Yes Yes Yes Yes Yes Yes | Update Date 8 22060/2021 6944-09 023 22060/2021 70 242-2763 22060/2021 17 282-2763 22060/2021 10 240-09-09 22060/2021 10 27 20 466 22060/2021 10 27 20 466 | Q (s) (5) II (d) * 5 Thydere then kt s STP admin STP STP STP STP |

| Users - List | Screen | | |
|-----------------------|---|--|--|
| Field | Description | | |
| ECMS Sys- | Shows the ECMS System User Reference of the user. | | |
| tem User Reference | Displayed format is: Max. 35 characters. | | |
| Name | Shows the name of the user. | | |
| | Displayed format is: Free text | | |
| Is Active | Shows whether the User is active or not. The possible values are: | | |
| | - Yes | | |
| | – No | | |
| Update Date | Shows the date and time of the last update of the User. | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | |
| Updater User Id | Shows the identification of the user that made the last update of the User. | | |
| After selectin | g a record, the following buttons are displayed | | |
| Button | Function | | |
| History | [Only for valid information]: | | |



| This function enables you to access to the historical information of a User. |
|--|
| Next screen: |
| - Users - History Screen. |
| This function enables you to edit a User. |
| Next screen: |
| - Users - Edit Screen. |
| This function enables you to access to the detailed information of a User. |
| Next screen: |
| – <i>User – Details</i> Screen. |
| This function enables to delete a User. |
| is used in the 4 eyes validation context, the following buttons are also disarecord is selected |
| lidate = Creation |
| eation of new data by 4-eyes user, the validator user will validate/reject. |
| Function |
| This function allows the validator user to edit and modify the draft. |
| This function enables the validator user to view the draft record to be validated or rejected. |
| This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system |
| This function allows the validator user to reject the creation or update of the record. The draft will be deleted. |
| ecord has been rejected the only available options for this record will be: |
| This function allows the user to view the rejected record. |
| lidate = Update |
| date of data by 4-eyes user, the validator user can validate/reject/edit. To ds to go first in the show/compare draft button. |
| Function |
| This function enables the user to view the draft record to be validated or rejected. |
| This function allows the user to edit and modify the draft. |
| This function enables the validator user to view the draft record to be validated or rejected. |
| In case the 4 eyes validation is required because of an update of the record, this function enables the validator user to display the change that needs to be validated. |
| ck on Show Draft or Compare Draft buttons: |
| This function allows the validator user to reject the creation or update of the record. The draft will be deleted. |
| This function allows the validator user to validate the creation or upate of |
| the record so that they can be considered valid in the system |
| · · |
| |



3.2.8.1.1.2.1 Users - Edit Screen

.1

| Context of Usage | This screen co | | _ | | • | |
|-------------------------------|---|---|--|---|--------------|-----------------|
| Business Case Re- lated | Edit an existing | g User | | | | |
| Screen Access | Reference Dat Create/Display relevant Data, | Users >> Clic | k on the searc | h button (afte | er inputting | g the |
| Screenshot | Edit: Assigned User EDAS Symmun User Influence ITEST User Properties Liber Properties FeedPrint | Name TEST002 Groups Groups III | Is Active Security fisite Security from ET | User Multi Tenancy User Multi Tenancy [1] | S | ▼ Save X Cancel |

| Users - Edit S | Screen Screen | | | |
|--------------------------------------|---|--|--|--|
| ECMS Systen | n User | | | |
| Field | Description | | | |
| ECMS Sys- | Shows the ECMS System User Reference of the user. | | | |
| tem User Ref- erence [#] | Displayed format is: Max. 35 characters. | | | |
| Name* | Enter the name of the user. | | | |
| | Displayed format is: Max. 127 characters | | | |
| Is Active* | Select whether the User is active or not. The possible values are: | | | |
| | - Yes | | | |
| | – No | | | |
| FootPrint | | | | |
| Updater User Id | Shows the identification of the user that made the last update. | | | |
| Update Date | Shows the date and time of the User last update. | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | |
| Creation User Id | Shows the identification of the user that created the data. | | | |
| Creation Date | Shows the date and time of the User creation. | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | |
| Button | Function | | | |
| Groups | This function enables you to display the subsection "Groups". | | | |
| Security Role | This function enables you to display the subsection "Assigned Roles". | | | |
| User Proper- ties | This function enables you to display the subsection "User Properties". | | | |
| User Multi Tenancy | This function enables you to display the subsection "User Multi Tenancy". | | | |
| Save | This function enables you to save the modification of a User. | | | |
| Cancel | This function enables you to cancel the modification of a User. | | | |
| Groups | | | | |
| The existing G | roups already assigned to the User are displayed | | | |
| Field | Description | | | |



| Security Group | Shows the Group assigned to the user. | | | | |
|------------------------|--|--|--|--|--|
| Update Date | Shows the date and time of the last update of the Group. | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | |
| Updater User Id | Shows the identification of the user that made the last update of the Group. | | | | |
| After selecting | a Group, the following buttons are displayed | | | | |
| Button | Function | | | | |
| Create | This function enables you to assign a group to the user. | | | | |
| View | This function enables you to access to the detailed information of a Group. | | | | |
| Delete | This function enables you to Delete the link between the user and the Group. | | | | |
| Security Role | | | | | |
| The existing A | ssigned Roles already assigned to the User are displayed | | | | |
| Field | Description | | | | |
| Assigned | Select the role assigned to the user. The possible values are: | | | | |
| Roles | List of Access Rights Roles in the addendum - ECMS Roles_AARR Matrix NCBs&Entities | | | | |
| Update Date | Shows the date and time of the last update of the assigned Role. | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | |
| Updater User Id | Shows the identification of the user that made the last update of the Role. | | | | |
| After selecting | a Role, the following buttons are displayed | | | | |
| Button | Function | | | | |
| Create | This function enables you to assign a role to the user. | | | | |
| View | This function enables you to access to the detailed information of a role. | | | | |
| Delete | This function enables you to Delete the link between the user and the Role. | | | | |
| User Properti | es | | | | |
| The existing U | ser Properties already assigned to the User are displayed | | | | |
| Field | Description | | | | |
| Property | Shows the User Properties assigned to the user. | | | | |
| User Property Value | Shows the data scope of the ECMS Entity under which the user is to be assigned. | | | | |
| Update Date | Shows the date and time of the last update of the User Properties. | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | |
| Updater User Id | | | | | |
| After selecting | a User Property, the following buttons are displayed | | | | |
| Button | Function | | | | |
| Create | This function enables you to assign a User Property to the user. | | | | |
| Edit | This function enables you to edit a User Property . | | | | |
| View | This function enables you to access to the detailed information of a User Property. | | | | |
| | | | | | |



| Field | Description |
|------------------------------------|--|
| Property ^(#) | Select the Property you want to assign to the user from the possible values: |
| | - Data Scope |
| User Property Value ^(*) | Enter the data scope of the ECMS Entity under which the user is to be assigned. |
| | Required format: |
| | Data scope: relevant data scope linked to the ECMS System User |
| FootPrint | |
| Updater User Id | Shows the identification of the user that made the last update. |
| Update Date | Shows the date and time of the Security Role last update. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the data. |
| Creation Date | Shows the date and time of the Security Role creation. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| User Multi Te | nancy |
| This function e | enables you to view the tenant of the User (by default, the one under the |

3.2.8.1.1.2.1 Users - History Screen

.2

| 03613 - 11131 | Ory Scree | |
|---------------------|--|--|
| Context of Usage | ted User. | en displays historical information that has changed on the selec- You can check the data, including the user who made the and proceed further by clicking on the buttons that are shown. |
| Screen Access | Data > | ence Data >> Reference Data >> Access Rights Reference >> Users Create/Display >> Click on the search button (after in- g the relevant Data, if needed) >> Select a User >> >> Click on story button |
| | Data > putting | ence Data >> Reference Data >> Access Rights Reference >> Users Create/Display >> Click on the search button (after ing the relevant Data, if needed) >> Select a User >> Click on the button (Users – Details Screen) >> Click on the History Button |
| Screenshot | horizontalHistoryResult ; User Hi | Q) Compare Equated Sour Differences Day & Q) |
| | Fields | ▼ PTC00003 24)2021 00 /23 18:22:20 540)1 |
| | | |
| | Security Property Rejected | No. |
| | Action To Validate | |
| | Groups | |
| | Rejection Reason | |
| | Security Role | |
| | Validation Status FCMS System User Reference | PTCB003-2Y |
| | Name | PTERMORE Y |
| | Is Active | Yes |
| | Creation Date | 23/09/2021 18:22:20:540 |
| | Creation User Id | STP |
| | (0) difference(s) found. | |
| | I I | |

| Users – History Screen | | |
|------------------------|---|--|
| Field | Description | |
| Fields | Shows the fields whose information have been updated since the creation of the selected User. | |
| Timestamp | Shows the date and time when the fields have been updated. | |



| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
|----------------------------|---|
| Button | Description |
| Compare | Shows the differences between the selected records whose data have been updated. |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected User. |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected User. |
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected User. |
| Show Differ- ences Only | Shows only the fields whose information have been updated since the creation of the selected User. |

3.2.8.1.1.2. Users – Details Screen

| • | ٠. | 4 | , | |
|----|----|---|---|--|
| ı, | , | • | | |
| 4 | - | | | |
| | | | | |

| Context of Usage | This screen displays detailed information on the selected User. You can check the data and proceed further by clicking on the buttons. | | |
|------------------|---|--|--|
| Screen Access | Depending how the screen is accessed, it can be used to show the valid information or the information that requires 4 eyes validation before they can be considered valid in the system | | |
| | For valid information: | | |
| | Reference Data >> Reference Data >> Access Rights Reference Data >> Users Create/Display >> Click on the search button (after inputting the relevant Data, if needed) >> Select a User >> Click on the <i>View</i> button | | |
| | For information subject to 4 eyes validation: | | |
| | Validation / Rejection >> Setup >> Access Rights >> Validate / Reject User >> Click on the search button (after inputting the relevant Data, if needed) >> Select a User >> Click on the View button | | |
| Screenshot | View User > View User EXMS System Use Reference Is Active Name | | |
| | TEST | | |
| | Security Role [3] User Matter Tensor(s) [3] User Matter Tensor(s) [3] | | |
| | Validation Details Action To Validatos Projected | | |
| | No. | | |
| | FootPrint | | |

| Users – Details Screen | | | |
|------------------------|--|--|--|
| Button | Description | | |
| History | [Only for valid information]: | | |
| | This function enables you to access to the historical information of a User. | | |
| | Next screen: | | |
| | - Users - History Screen. | | |
| ECMS System | ECMS System User | | |
| Field | Description | | |
| ECMS Sys- | Shows the ECMS System User Reference of the user. | | |
| tem User Reference | Displayed format is: Max. 35 characters. | | |
| Name | Shows the name of the user. | | |



| | Displayed format is: Max. 127 characters | |
|-------------------------|--|--|
| Is Active S | Shows whether the User is active or not. The possible values are: | |
| | - Yes | |
| | - No | |
| Validation deta | ails | |
| Action To S Validate | Shows if there is any action waiting for validation. | |
| s | Shows if any action subject to validation has been rejected. The possible values are: — Yes | |
| | - No | |
| Foot Print | | |
| Creation Date S | Shows the date and time of the creation of the User. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Creation User S | Shows the identification of the user that created the User. | |
| Update Date S | Shows the date and time of the update of the User. | |
| Г | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| | Shows the identification of the user that made the last update of the User. | |
| Button F | Function | |
| Groups T | This function enables you to display the subsection "Groups". | |
| Security Role T | This function enables you to display the subsection "Assigned Roles". | |
| User Proper- T | This function enables you to display the subsection "User Properties". | |
| | This function enables you to display the subsection "User Multi Tenancy". | |
| Groups | | |
| The existing Gro | oups already assigned to the User are displayed | |
| | Description | |
| Security S Group | Shows the Group assigned to the user. | |
| Update Date S | Shows the date and time of the last update of the Group. | |
| C | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| l | Shows the identification of the user that made the last update of the Group. | |
| To view the deta | ails of an existing Group, select it and click on the View button. | |
| Field | Description | |
| Security S Group | Shows the Group you want to assign to the user. | |
| Foot Print | | |
| Updater User S | Shows the identification of the user that made the last update. | |
| | | |
| Update Date S | Shows the date and time of the group last update. | |



| Creation User Id | Shows the identification of the user that created the data. |
|---------------------|--|
| Creation Date | Shows the date and time of the group creation. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Security Role | |
| The existing R | oles already assigned to the User are displayed |
| Field | Description |
| Assigned | Shows the role assigned to the user. The possible values are: |
| Roles | List of Access Rights Roles in the addendum - ECMS Roles_AARR Matrix NCBs&Entities |
| Update Date | Shows the date and time of the last update of the Role. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the Role. |
| To view the de | etails of an existing Role, select it and click on the View button. |
| Field | Description |
| Assigned Roles | Shows the Security Role you want to assign to the user. The possible values are: |
| | List of Access Rights Roles in the addendum - ECMS Roles_AARR Matrix NCBs&Entities |
| Foot Print | |
| Updater User Id | Shows the identification of the user that made the last update. |
| Update Date | Shows the date and time of the role last update. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the data. |
| Creation Date | Shows the date and time of the role creation. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| User Properti | es |
| The existing U | ser Properties already assigned to the User are displayed |
| Field | Description |
| Property | Shows the User Properties assigned to the user. |
| User Property Value | Shows the data scope of the ECMS Entity under which the user is to be assigned. |
| Update Date | Shows the date and time of the last update of the User Properties. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the User Properties. |
| To view the de | etails of an existing User Property, select it and click on the View button. |
| Field | Description |
| Property | Shows the Property you want to assign to the user from the possible values: |
| | - Data Scope |
| User Property Value | Shows the data scope of the ECMS Entity under which the user is to be assigned. |



| Foot Print | | |
|---|---|--|
| Updater User Id | Shows the identification of the user that made the last update. | |
| Update Date | Shows the date and time of the Security Role last update. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Creation User Id | Shows the identification of the user that created the data. | |
| Creation Date | Shows the date and time of the Security Role creation. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| User Multi Tenancy | | |
| This function enables you to view the tenant of the User (by default, the one under the user is created). | | |

3.2.8.2 Group

3.2.8.2.1 Group – Create Screen

| Context of Usage | This screen contains a number of fields regarding the Groups. You can enter new data. Afterwards you can proceed further by clicking on the buttons below. | |
|------------------|--|--|
| Screen Access | Reference Data >> Reference Data >> Access Rights Reference Data >> Group >> Click on the <i>Create</i> button | |
| Screenshot | Edit: Group Group 15 Group 16 Group 16 Group 16 Group 16 Group 17 Analyzed finite Analyzed fin | |

| Groups – Create screen | | | |
|-------------------------|---|--|--|
| Group | | | |
| Field | Description | | |
| Group Id* | Enter the Internal unique identifier of the Group. | | |
| Group Name* | Enter the name of the Group. | | |
| | Required format is: Free text. | | |
| Button | Function | | |
| Group Properties | This function enables you to display the subsection "Group Properties". | | |
| Assigned Roles | This function enables you to display the subsection "Assigned Roles". | | |
| Assigned Users | This function enables you to display the subsection "Assigned Users". | | |
| Reset | This function enables you to clear the form. | | |
| Save | This function enables you to save the creation of a Group. | | |
| Cancel | This function enables you to cancel the creation of a Group. | | |
| Group Properties | Group Properties | | |
| Button | Function | | |



| Create | This function enables you to assign the default data scope of the Group. |
|--|---|
| Field | Description |
| Property ^(*) | Enter / Select the Property you want to assign to the group. Possible values: |
| | - Data Scope |
| Group Property Value ^(*) | Enter the data scope of the ECMS Entity which the group is to be assigned. |
| | Required format: |
| | Data scope: relevant data scope linked to the Group |
| Assigned Roles | |
| Button | Function |
| Create | This function enables you to assign a role to the group. |
| Field | Description |
| Assigned Roles ^(*) | Enter / Select the Security Role you want to assign to the Group. The possible values are: |
| | List of Access Rights Roles in the addendum - ECMS Roles_AARR Matrix NCBs&Entities |
| Assigned Users | |
| This section allow | s to display the assigned users to the group. |

3.2.8.2.2 Group - Search Screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the Groups. |
|------------------|---|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |
| Screen Access | Depending how the screen is accessed, it can be used to search the valid information or the information that requires 4 eyes validation before they can be considered valid in the system |
| | For valid information: |
| | Reference Data >> Reference Data >> Access Rights Reference Data >> Group |
| | For information subject to 4 eyes validation: |
| | Reference Data >> Validation / Rejection >> Setup >> Access Right >> Validate / Reject Groups |
| Screenshot | © Create / Display: Group |
| | Group Name Update Date Update Date |
| | O Cods Q Search |

| Groups – Search screen | | |
|------------------------|--|--|
| Field | Description | |
| Group Id | Enter / Select the Group Identifier. | |
| | Enter the name of the Group. | |
| Name | Required format is: Free text. | |
| Update Date | Enter the reference date of the last update of the Group or use the calendar icon. | |



| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
|--------|--|
| Button | Function |
| Reset | This function enables you to clear the form. |
| Create | This function enables you to create a new Group. |
| | Next screen: |
| | - Group - Create Screen. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | - Group - List Screen. |

3.2.8.2.2.1 Group – List Screen

| Context of Usage | by the vasetting). | een contains the se alues of the 'Update After selecting an e ons below. | e Date' colum | n in descending | g order (default | |
|------------------|---|---|--|---|-----------------------|--|
| Screen Access | Depending how the screen is accessed, it can be used to list the valid information or the information that requires 4 eyes validation before they can be considered valid in the system | | | | | |
| | For valid information: Reference Data >> Reference Data >> Access Rights Reference Data >> Group >> Click on the search button (after inputting the relevant Data, if needed) | | | | | |
| | For infor | For information subject to 4 eyes validation: | | | | |
| | Reference Data >> Validation / Rejection >> Setup >> Access Right >> Validate / Reject Groups >> Click on the search button (after inputting the relevant Data, if needed) | | | | | |
| Screenshot | Search Result : Group | | | | | |
| | 10 ▼ Group Id ⊕ | ◯ Group Name \$ | ✓ Action To Validate | ○ Update Date Φ | Q 0 ★ 頭 目 口 () 写 | |
| | ■ ABVRGroup01 | ABVRGroup01 | , parties 13 13 13 13 13 13 13 13 13 13 13 13 13 | 14/09/2021 13:28:15:330 | ABV9301 | |
| | ATCBGroup01 | ATCBGroup01 | | 14/09/2021 13:11:34:436 | ATC8001 | |
| | Administrators BDF_NCB_EXE | RDE NCR EXE | | 21/06/2021 15:44:37:579 | admin PCMS OPERATOR 1 | |
| | ES BDF_USER | SOL SECTION | | 01/02/2022 18:36:49:495 | ECMS OPERATOR 1 | |
| | ☐ FRCBTESTGRUPSC | 10 FRCBTESTGRUPS010 | | 05/05/2022 17:23 02:489 | ECMS OPERATOR 1 | |
| | ☐ GROUPOPE01 | GROUPOPE01 | | 14/09/2021 12:52:28:533 | 0PAT001 | |
| | Test 1 | Group testing | | 29/03/2022 11:47:35:478 21/06/2021 15:46:38:043 | ATC8001 | |
| | □ VermegAdmin | | | z1/0e/2021 15/40,383043 | odnih History Edit | |

| Groups - List Screen | | |
|---|---|--|
| Field | Description | |
| Group Id | Shows the Group Identifier. | |
| Group Name | Shows the name of the Group. | |
| | Required format is: Free text. | |
| Action to Validate | Shows if there is any action waiting for validation. | |
| | Displayed format is: Freetext. | |
| Update Date | Shows the date and time of the last update of the Group. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Updater | Shows the identification of the user that made the last update of the | |
| User Id | Group. | |
| After selecting a record, the following buttons are displayed | | |



| Button | Function |
|------------------|--|
| History | [Only for valid information]: |
| | This function enables you to access to the historical information of a User. |
| | Next screen: |
| | - Groups - History Screen. |
| Edit | This function enables you to edit a User. |
| | Next screen: |
| | - Groups- Edit Screen. |
| View | This function enables you to access to the detailed information of a User. |
| | Next screen: |
| | - Groups- Details Screen. |
| Delete | This function enables you to Delete the Group. |
| | is used in the 4 eyes validation context, the following buttons are also disarecord is selected |
| Action to Va | alidate = Creation |
| In case of cr | eation of new data by 4-eyes user, the validator user will validate/reject. |
| Button | Function |
| Edit | This function allows the validator user to edit and modify the draft. |
| View | This function enables the validator user to view the draft record to be validated or rejected. |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system |
| Reject | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. |
| In case the r | ecord has been rejected the only available options for this record will be: |
| View | This function allows the user to view the rejected record. |
| Action to Va | alidate = Update |
| | odate of data by 4-eyes user, the validator user can validate/reject/edit. To ds to go first in the show/compare draft button. |
| Button | Function |
| View | This function enables the user to view the draft record to be validated or rejected. |
| Edit Draft | This function allows the user to edit and modify the draft. |
| Show Draft | This function enables the validator user to view the draft record to be validated or rejected. |
| Compare Draft | In case the 4 eyes validation is required because of an update of the record, this function enables the validator user to display the change that needs to be validated. |
| Once you cli | ck on Show Draft or Compare Draft buttons: |
| Reject Draft | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system |
| In case the r | ecord has been rejected the only available options for this record will be: |
| View | This function allows the user to view the rejected record. |



1

3.2.8.2.2.1. Group - Edit Screen

Context of Usage

This screen contains a number of fields regarding Groups that you can edit. Afterwards you can proceed further by clicking on the buttons below.

Reference Data >> Reference Data >> Access Rights Reference Data >> Cess

Group >> Click on the search button (after inputting the relevant Data, if needed) >> Select a User >> Click on the Edit button

Screenshot

Best Group

Group Tournel

Group

| Groups – Edi | |
|--|--|
| ECMS Group | |
| Field | Description |
| Group Id# | Shows the Internal unique identifier of the Group. |
| Group Name* | Enter the name of the Group. |
| | Required format is: Free text. |
| FootPrint | |
| Updater User Id | Shows the identification of the User that made the last update. |
| Update Date | Shows the date and time of the Group last update. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the User that created the data. |
| Creation Date | Shows the date and time of the Group creation. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Button | Function |
| Group Properties | This function enables you to display the subsection "Group Properties". |
| Assigned Roles | This function enables you to display the subsection "Assigned Roles". |
| Assigned Users | This function enables you to display the subsection "Assigned Users". |
| Cave | |
| Save | This function enables you to save the modification of a Group. |
| Cancel | This function enables you to save the modification of a Group. This function enables you to cancel the modification of a Group. |
| | This function enables you to cancel the modification of a Group. |
| Cancel Groups Prope | This function enables you to cancel the modification of a Group. |
| Cancel Groups Prope | This function enables you to cancel the modification of a Group. |
| Cancel Groups Proper The existing Groups | This function enables you to cancel the modification of a Group. erties roups already assigned to the Group are displayed |
| Cancel Groups Prope The existing G Field | This function enables you to cancel the modification of a Group. erties roups already assigned to the Group are displayed Description |



| | Required format: | |
|----------------------------|--|--|
| | Data scope: relevant data scope linked to the Group. | |
| Update Date | Shows the date and time of the last update of the Group. | |
| opaato Bato | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Updater User | <u> </u> | |
| Id | Group. | |
| After selecting | a Property, the following buttons are displayed | |
| Button | Function | |
| Create | This function enables you to assign a Property to the Group. | |
| Edit | This function enables you to edit a Property assigned to a Group. | |
| View | This function enables you to access to the detailed information of a Property. | |
| Delete | This function enables you to Delete the link between the Grup and the Group Property. | |
| To modify an e | existing Property, select it and click on the Edit button. | |
| Field | Description | |
| Property# | Enter / Select the Property you want to assign to the group. Possible values: | |
| | - Data Scope | |
| Group Prop- erty Value* | Enter the data scope of the ECMS Entity which the group is to be assigned. | |
| | Required format: | |
| | Data scope: relevant data scope linked to the Group. | |
| FootPrint | | |
| Updater User Id | Shows the identification of the user that made the last update. | |
| Update Date | Shows the date and time of the last update. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Creation User Id | Shows the identification of the user that created the data. | |
| Creation Date | Shows the date and time of the creation. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Assigned Ro | les | |
| | tole Staments already assigned to the Group are displayed | |
| Field | Description | |
| Assigned | Shows the role assigned to the Group. The possible values are: | |
| Roles | List of Access Rights Roles in the addendum - ECMS Roles_AARR Matrix NCBs&Entities | |
| Update Date | Shows the date and time of the last update of the Role. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Updater User Id | Shows the identification of the user that made the last update of the Role. | |
| After selecting | a Role, the following buttons are displayed | |
| D 44 | Five eties | |
| Button | Function | |
| Create | This function enables you to assign a role to the group. | |



| View | This function enables you to access to the detailed information of a role. | | |
|--|--|--|--|
| Delete | This function enables you to Delete the link between the Group and the Role. | | |
| To modify an e | existing role, select it and click on the Edit button. | | |
| Field | Description | | |
| Assigned Roles ^(*) | Shows the Security Role you want to assign to the group. The possible values are: | | |
| | List of Access Rights Roles in the addendum - ECMS Roles_AARR Matrix NCBs&Entities | | |
| FootPrint | FootPrint | | |
| Updater User Id | Shows the identification of the user that made the last update. | | |
| Update Date | Shows the date and time of the role last update. | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | |
| Creation User Id | Shows the identification of the user that created the data. | | |
| Creation Date | Shows the date and time of the role creation. | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | |
| Assigned Users | | | |
| The existing Users already assigned to the group are displayed | | | |
| | | | |

3.2.8.2.2.1. Group - History Screen

Context of This screen displays historical information that has changed on the selected Group. You can check the data, including the user who made the **Usage** changes, and proceed further by clicking on the buttons that are shown. - Reference Data >> Reference Data >> Access Rights Reference Screen Ac-Data >> Group >> Click on the search button (after inputting the relevcess ant Data, if needed) >> Select a Group >> >> Click on the History button - Reference Data >> Reference Data >> Access Rights Reference Data >> Group >> Click on the search button (after inputting the relevant Data, if needed) >> Select a Group >> Click on the View button (Group - Details Screen) >> Click on the History Button Screenshot

| Groups – History Screen | |
|-------------------------|--|
| Field | Description |
| Fields | Shows the fields whose information have been updated since the creation of the selected Group. |
| Timestamp | Shows the date and time when the fields have been updated. |



| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
|--------------|--|
| Button | Description |
| Compare | Shows the differences between the selected records whose data have been updated. |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected Group. |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected Group. |
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected Group. |
| | Shows only the fields whose information have been updated since the creation of the selected Group. |

3.2.8.2.2.2 Group – Details Screen

| Context of Usage | This screen displays det check the data and proc | | selected Group. You can n the buttons. |
|------------------|---|---|--|
| Screen Access | Depending how the scre information or the inform can be considered valid | ation that requires 4 eye | |
| | For valid information: | | |
| | Reference Data >> Reference Data >> Access Rights Reference L Group >> Click on the search button (after inputting the relevant D needed) >> Select a Group >> Click on the View button | | ting the relevant Data, if |
| | For information subject t | o 4 eyes validation: | |
| | Reference Data >> Valid Validate / Reject Groups relevant Data, if needed | s >> Click on the search | button (after inputting the |
| Screenshot | Search Result : Group > Edit : Group Group Id BBB ; NCL_TXX Assigned Result II Assigned Result II Assigned Result II Foot Pixel | Group Name Jade _NOS_EXX Group Properties Group Properties (I) | |
| | CHARGO CHE TARRASTI LIGHAGE THARRASTI LIGHAGE UNIT BE KCAS OPERATOR I | Consider User for KANS OFERATOR I | Update Date 1566-0222 173-6-5333 |

| Groups - Details Screen | |
|-------------------------|---|
| Button | Description |
| History | [Only for valid information]: |
| | This function enables you to access to the historical information of a Group. |
| | Next screen: |
| | - Groups - History Screen. |
| ECMS Group | |
| Field | Description |
| Group Id | Shows the Internal unique identifier of the Group. |



| Group | Shows the name of the Group. | | |
|-----------------------|--|--|--|
| Name | Required format is: Free text. | | |
| Validation d | etails | | |
| Action To Validate | Shows if there is any action waiting for validation. | | |
| Rejected | Shows if any action subject to validation has been rejected. The possible values are: | | |
| | - Yes | | |
| | - No | | |
| Foot Print | | | |
| Creation | Shows the date and time of the creation of the Group. | | |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | |
| Creation User Id | Shows the identification of the user that created the Group. | | |
| Update Date | Shows the date and time of the update of the Group. | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | |
| Updater User Id | Shows the identification of the user that made the last update of the Group. | | |
| Button | Function | | |
| Group Properties | This function enables you to display the subsection "Group Properties". | | |
| Assigned Roles | This function enables you to display the subsection "Assigned Roles". | | |
| Assigned Users | This function enables you to display the subsection "Assigned Users", that consists on the List Screen for the assigned Users to this group. | | |
| | The results are displayed in a list on the List Screen. | | |
| | Next screen: | | |
| | •Users – List Screen. | | |
| Groups Prop | perties | | |
| The existing | Properties already assigned to the Group are displayed | | |
| Field | Description | | |
| Property | Shows the Property assigned to the group. Possible values: | | |
| | - Data Scope | | |
| Group Property Value | Shows the data scope of the ECMS Entity assigned to the Group. Required format: | | |
| | Data scope: relevant data scope linked to the Group | | |
| Undate Date | Shows the date and time of the last update of the Group. | | |
| opaato Bato | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | |
| Updater | Shows the identification of the user that made the last update of the | | |
| User Id | Group. | | |
| Groups Prop | perties - Details | | |
| To view the coton. | details of an existing Group Property, select it and click on the View but- | | |
| Field | Description | | |
| Property | Shows the Property assigned to the group. Possible values: | | |



| | - Data Scope |
|---------------------|---|
| Group Prop- | Shows the data scope of the ECMS Entity assigned to the Group. |
| erty Value | Required format: |
| | Data scope: relevant data scope linked to the Group |
| Foot Print | |
| Updater User Id | Shows the identification of the user that made the last update. |
| Update Date | Shows the date and time of the group property last update. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the data. |
| Creation | Shows the date and time of the group property creation. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Assigned Ro | oles |
| The existing | Roles already assigned to the Group are displayed |
| Field | Description |
| Assigned | Shows the role assigned to the Group. The possible values are: |
| Roles | List of Access Rights Roles in the addendum - ECMS Roles_AARR Matrix NCBs&Entities |
| Update Date | Shows the date and time of the last update of the Role. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the Role. |
| To view the o | letails of an existing Role, select it and click on the View button. |
| Field | Description |
| Assigned Roles | Shows the Security Role you want to assign to the user. The possible values are: |
| | List of Access Rights Roles in the addendum - ECMS Roles_AARR Matrix NCBs&Entities |
| Foot Print | |
| Updater User Id | Shows the identification of the user that made the last update. |
| Update Date | Shows the date and time of the role last update. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the data. |
| Creation | Shows the date and time of the role creation. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |

3.2.8.3 DN By User configuration

The ECMS allows the NCB users and Counterparties to maintain the users in the system, as well as to assign to their DNs.

Each user can have multiple DNs, and one DN can be assigned to multiple users.



3.2.8.3.1 DN By User Configuration

3.2.8.3.1.1 DN By User Configuration – Create Screen

| Context of Usage | This screen contains a number of fields regarding the Users DNs. You can enter new data. Afterwards you can proceed further by clicking on the buttons below. |
|--------------------------|---|
| Business Case Related | Create a new DN-User link |
| Screen Access | Reference Data >> Reference Data >> Access Rights Reference Data >> DN By User Configuration >> Click on the <i>Create</i> button |
| Screenshot | Edit: DN By User User to Co. Thouse Votes At Casul |

| DN By User Configuration – Create screen | | | |
|--|---|--|--|
| DN By User | DN By User | | |
| Field | Description | | |
| User Id * | Select the ECMS System User Reference of the user. | | |
| DN* | Enter the DN of the user. | | |
| | Required format is: X.500 standard compliant naming convention, the characters that should not be used are listed below: OáOäO O°OÇOÂOªO°¬O¡O¿OÑO\O". | | |
| Button | Function | | |
| Reset | This function enables you to clear the form. | | |
| Save | This function enables you to save the creation of a User-DN. | | |
| Cancel | This function enables you to cancel the creation of a User-DN and return to the previous screen. | | |

3.2.8.3.1.2 DN By User Configuration – Search Screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the Users DNs. |
|------------------|--|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |
| Screen Access | Depending how the screen is accessed, it can be used to search the valid information or the information that requires 4 eyes validation before they can be considered valid in the system |
| | For valid information: |
| | Reference Data >> Reference Data >> Access Rights Reference Data >> DN By User Configuration |
| | For information subject to 4 eyes validation: |
| | Reference Data >> Validation / Rejection >> Setup >> Access Rights >> Validate / Reject DN By User |
| Screen- shot | Search : ON By User Users Use |
| 1 | |



| DN By User Configuration – Search screen | |
|--|--|
| Field | Description |
| User Id | Enter / Select the ECMS System User Reference of the user. |
| | Required format is: Max. 35 characters. |
| DN | Enter the DN of the user. |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Create | This function enables you to create a new DN. |
| | Next screen: |
| | DN By User Configuration – Create Screen. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | - DN By User Configuration - List Screen. |

3.2.8.3.1.2. DN By User Configuration – List Screen

Context of This screen contains the search results displayed in a list, which is sorted Usage by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. Screen Ac- Depending how the screen is accessed, it can be used to list the valid incess formation or the information that requires 4 eyes validation before they can be considered valid in the system For valid information: Reference Data >> Reference Data >> Access Rights Reference Data >> DN By User Configuration >> Click on the search button (after inputting the relevant Data, if needed) For information subject to 4 eyes validation: Reference Data >> Validation / Rejection >> Setup >> Access Rights >> Validate / Reject DN By User >> Click on the search button (after inputting the relevant Data, if needed) List : DN By User **Screenshot**

| DN By User Configuration – List Screen | |
|--|-------------|
| Field | Description |



| User Id | Shows the ECMS System User Reference of the user. |
|--|--|
| | Displayed format is: Max. 35 characters. |
| DN | Shows the DN linked to the user. |
| Is Active | Shows whether the User-DN link is active or not. The possible values are: - Yes - No |
| Undate Date | Shows the date and time of the last update of the User-DN link. |
| opuate Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the User-DN link. |
| | ng a record, the following buttons are displayed |
| Button | Function |
| History | [Only for valid information]: |
| | This function enables you to access to the historical information of a User-DN. |
| | Next screen: |
| | DN By User Configuration – History Screen. |
| Edit | This function enables you to edit a User-DN link. |
| | Next screen: |
| | – DN By User Configuration – Edit Screen. |
| View | This function enables you to access to the detailed information of a User-DN link. |
| | Next screen: |
| | – DN By User Configuration – Details Screen. |
| Delete | This function enables to delete a User-DN link. |
| | is used in the 4 eyes validation context, the following buttons are also disarecord is selected |
| Action to Va | alidate = Creation |
| In case of cre | eation of new data by 4-eyes user, the validator user will validate/reject. |
| Button | Function |
| Edit | This function allows the validator user to edit and modify the draft. |
| View | This function enables the validator user to view the draft record to be validated or rejected. |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system |
| Reject | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. |
| In case the record has been rejected the only available options for this record will be: | |
| View | This function allows the user to view the rejected record. |
| Action to Va | alidate = Update |
| | odate of data by 4-eyes user, the validator user can validate/reject/edit. To ds to go first in the show/compare draft button. |
| Button | Function |
| View | This function enables the user to view the draft record to be validated or rejected. |
| | |



| Edit Draft | This function allows the user to edit and modify the draft. | |
|--|--|--|
| Show Draft | This function enables the validator user to view the draft record to be validated or rejected. | |
| Compare Draft | In case the 4 eyes validation is required because of an update of the record, this function enables the validator user to display the change that needs to be validated. | |
| Once you click on Show Draft or Compare Draft buttons: | | |
| Reject Draft | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. | |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system | |
| In case the re | In case the record has been rejected the only available options for this record will be: | |
| View | This function allows the user to view the rejected record. | |
| | | |

3.2.8.3.1.2.1 DN By User Configuration – Edit Screen

| Context of Usage | This screen contains a number of fields regarding Users DNs that you can edit. Afterwards you can proceed further by clicking on the buttons below. | |
|-------------------------------|---|--------|
| Business Case Re- lated | Edit an existing User-DN link | |
| Screen Access | Reference Data >> Reference Data >> Access Rights Reference Data > DN By User Configuration >> Click on the search button (after inputting the relevant Data, if needed) >> Select a User DN >> Click on the <i>Edit</i> button | |
| Screenshot | Edit : ON By User User 1d | Cancel |

| DN By User Configuration – Edit Screen | | |
|--|---|--|
| DN By User | DN By User | |
| Field | Description | |
| User Id# | Shows the ECMS System User Reference of the user. | |
| | Displayed format is: Max. 35 characters. | |
| DN# | Shows the DN of the user. | |
| Is Active* | Select whether the User-DN link is active or not. The possible values | |
| | are: | |
| | - Yes | |
| | - No | |
| Button | Function | |
| Save | This function enables you to save the modification of a User-DN. | |
| Cancel | This function enables you to cancel the modification of a User-DN. | |



3.2.8.3.1.2.1 DN By User Configuration – History Screen

.2

| Usage | This screen displays historical information that has changed on the selected User-DN link. You can check the data, including the user who made the changes, and proceed further by clicking on the buttons that are shown. | | |
|---------------|--|---|--|
| Screen Access | Data >> (after inp >> Click | DN By User Configuration >> Click on the search button butting the relevant Data, if needed) >> Select a User DN >> on the <i>History</i> button ce Data >> Reference Data >> Access Rights Reference | |
| | (after inp Click on | DN By User Configuration >> Click on the search button butting the relevant Data, if needed) >> Select a User DN >> the <i>View</i> button (DN By User Configuration – <i>Details</i> Screen) on the <i>History</i> Button | |
| Screenshot | horizontal-History/Result : User By DN History Crete On User Id Is Active Rejection Nasoon Validations Stans Update Code Cresion-User Id (0) differencies () Tourid (0) differencies () Tourid | ADMI AZAGOZZH-ween AZAGOZZH GO GE 1 2 0 1 4 1 5 1 61 CH-contraction CH-contraction CH-contraction GG 50 22 1 1 2 1 4 1 5 1 61 GG 50 22 1 1 2 1 4 1 5 1 61 GG 50 22 1 1 2 1 4 1 5 1 61 GG 50 22 1 1 2 1 4 1 5 1 61 GG 50 22 1 1 2 1 4 1 5 1 61 | |

| DN By User Configuration – History Screen | | |
|---|---|--|
| Field | Description | |
| Fields | Shows the fields whose information have been updated since the creation of the selected User DN. | |
| Timestamp | Shows the date and time when the fields have been updated. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Button | Description | |
| Compare | Shows the differences between the selected records whose data have been updated. | |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected User. | |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected User. | |
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected User. | |
| Show Differ- ences Only | Shows only the fields whose information have been updated since the creation of the selected User. | |

3.2.8.3.1.2. DN By User Configuration – Details Screen

| _ | |
|---|--|
| | |
| | |

| | This screen displays detailed information on the selected User DN. You can check the data and proceed further by clicking on the buttons. |
|------|---|
| cess | Depending how the screen is accessed, it can be used to show the valid information or the information that requires 4 eyes validation before they can be considered valid in the system |
| | For valid information: |



Reference Data >> Reference Data >> Access Rights Reference Data >> DN By User Configuration >> Click on the search button (after inputting the relevant Data, if needed) >> Select a User DN >> Click on the View button

For information subject to 4 eyes validation:

Reference Data >> Reference Data >> Access Rights Reference Data >> DN By User Configuration >> Click on the search button (after inputting the relevant Data, if needed) >> Select a User DN >> Click on the View button

Screenshot

| DN By User C | Configuration – Details Screen |
|-----------------------|---|
| Button | Description |
| History | [Only for valid information]: |
| | This function enables you to access to the historical information of a User DN. |
| | Next screen: |
| | DN By User Configuration – History Screen. |
| DN By User | |
| Field | Description |
| User Id | Shows the ECMS System User Reference of the user. |
| | Displayed format is: Max. 35 characters. |
| DN | Shows the DN of the user. |
| Is Active | Shows whether the User-DN link is active or not. The possible values are: |
| | - Yes |
| | - No |
| Validation de | tails |
| Action To Validate | Shows if there is any action waiting for validation. |
| Rejected | Shows if any action subject to validation has been rejected. The possible values are: |
| | - Yes |
| | - No |
| Foot Print | |
| Creation Date | Shows the date and time of the creation of the User DN. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the User DN. |
| Update Date | Shows the date and time of the update of the User DN. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the User DN. |



3.2.9 Interfaces

The ECMS allows the user to consult the provision of reference data as result of the interaction with other systems as the ones you can see below.

3.2.9.1 T2S Data Provision

The ECMS sends data to T2S on a daily basis information on Eligible Assets.

3.2.9.1.1 T2S Eligible Marketable Assets

ECMS will send to T2S the list of Eligible Marketable Assets that complies defined conditions. The details of this communication can be consulted in these screens.

3.2.9.1.1.1 T2S Eligible Marketable Assets – Search Screen

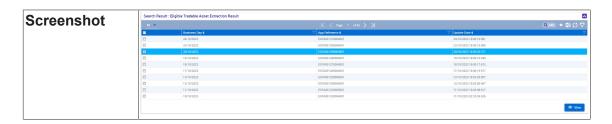
| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the T2S Eligible Maketable Assets information. |
|------------------|---|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |
| Screen Access | Reference Data >> Interfaces >> T2S Data Provision >> T2S Eligible Marketable Assets |
| Screenshot | TOTALISM MANAGEM AND |

| T2S Eligible Marketable Assets – Search screen | |
|--|--|
| Field | Description |
| Business Day | Enter the Business Day. |
| | Required format is: DD/MM/YYYY. |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | T2S Eligible Marketable Assets - List Screen. |

3.2.9.1.1.2 T2S Eligible Marketable Assets – List Screen

| Context of Us- age | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. |
|-----------------------|---|
| Screen Access | Reference Data >> Interfaces >> T2S Data Provision >> T2S Eligible Marketable Assets >> Click on the <i>search</i> button (after inputting the relevant Data, if needed) |





| T2S Eligible Marketable Assets – List screen | |
|--|--|
| Field | Description |
| Business Day | Shows the Business Day. |
| | Displayed format is: DD/MM/YYYY. |
| App Reference | Shows the Internal Reference to identify the information exchange. |
| | Displayed format is: Max. 30 characters. |
| Update Date | Shows the date and time of the last update |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Button | Function |
| View | This function enables you to access to the detailed information of a T2s Eligible Marketable Assets. |
| | Next screen: |
| | T2S Eligible Marketable Assets - Details Screen. |

3.2.9.1.1.3 T2S Eligible Marketable Assets – Details Screen

| Context of Usage | This screen displays detailed information on the selected T2S Eligible Marketale Assets. You can check the data and proceed further by clicking on the buttons. | |
|------------------|--|---|
| Screen Access | Reference Data >> Interfaces >> 7 gible Marketable Assets >> Click of T2S Eligible Marketable Assets >> | on the Search button >> Select a |
| Screenshot | Search Result : Bigble Tradable Asset Extraction Result > Vew : Bigble Tradable Asset Extraction Result tearners boy (intended to the control of the control | Agg Naferrors XGTANE1001090 Content Signin Asset [8] Medicanes (2) |

| T2S Eligible Marketable Assets – Details screen | | |
|---|--|--|
| Field | Description | |
| Business Day | Shows the Business Day. | |
| | Displayed format is: DD/MM/YYYY. | |
| App Reference | Shows the Internal Reference to identify the information exchange. | |
| | Displayed format is: Max. 30 characters. | |
| Footprint | | |
| Creation Date | Shows the date and time of the creation. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Creation User Id | Shows the identification of the user that does the creation. | |
| Update Date | Shows the date and time of the last update | |



| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
|---|--|
| Updater User Id | Shows the identification of the user that made the last update. |
| Button | Function |
| New Eligible Assets | This function enables you to access to the detailed information of the group of T2S New Eligible Assets. |
| | Next screen: |
| | T2S New Eligible Assets – List Screen. |
| Eligible Assets | This function enables you to access to the detailed information of the group of the Eligible Assets. |
| | Next screen: |
| | Eligible Assets – List Screen. |
| Deleted Eligible Assets | This function enables you to access to the detailed information of the group of T2S Deleted Eligible Assets. |
| | Next screen: |
| | T2S Deleted Eligible Assets – List Screen. |
| T2S New Eligible | Assets |
| The T2S New Elig | gible Assets are displayed |
| To view the deta the View button. | ils of an existing T2S New Eligible Asset, select it and click on |
| Object | Description |
| ISIN | Shows the ISIN that identifies the Marketable Asset. |
| Currency | Shows the currency stored. |
| NCB BIC Code | Shows the BIC of the NCB. |
| 3.0 3000 | Chows the Big of the Neb. |
| Message Reference | Shows the unique Reference. |
| Message Refer- | |
| Message Reference | Shows the unique Reference. |
| Message Reference Status | Shows the unique Reference. |
| Message Reference Status Footprint | Shows the unique Reference. Shows the current status. |
| Message Reference Status Footprint Updater User Id | Shows the unique Reference. Shows the current status. Shows the identification of the user that made the last update. |
| Message Reference Status Footprint Updater User Id | Shows the unique Reference. Shows the current status. Shows the identification of the user that made the last update. Shows the date and time of the last update. |
| Message Reference Status Footprint Updater User Id Update Date | Shows the unique Reference. Shows the current status. Shows the identification of the user that made the last update. Shows the date and time of the last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Message Reference Status Footprint Updater User Id Update Date Creation User Id | Shows the unique Reference. Shows the current status. Shows the identification of the user that made the last update. Shows the date and time of the last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows the identification of the user that created the data. |
| Message Reference Status Footprint Updater User Id Update Date Creation User Id | Shows the unique Reference. Shows the current status. Shows the identification of the user that made the last update. Shows the date and time of the last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows the identification of the user that created the data. Shows the date and time of the creation. |
| Message Reference Status Footprint Updater User Id Update Date Creation User Id Creation Date | Shows the current status. Shows the identification of the user that made the last update. Shows the date and time of the last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows the identification of the user that created the data. Shows the date and time of the creation. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Message Reference Status Footprint Updater User Id Update Date Creation User Id Creation Date Eligible Assets The Eligible Asset | Shows the current status. Shows the identification of the user that made the last update. Shows the date and time of the last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows the identification of the user that created the data. Shows the date and time of the creation. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Message Reference Status Footprint Updater User Id Update Date Creation User Id Creation Date Eligible Assets The Eligible Asset To view the deta | Shows the current status. Shows the identification of the user that made the last update. Shows the date and time of the last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows the identification of the user that created the data. Shows the date and time of the creation. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Message Reference Status Footprint Updater User Id Update Date Creation User Id Creation Date Eligible Assets The Eligible Asset To view the deta button. | Shows the current status. Shows the identification of the user that made the last update. Shows the date and time of the last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows the identification of the user that created the data. Shows the date and time of the creation. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Its are displayed ils of an existing Eligible Asset, select it and click on the View |
| Message Reference Status Footprint Updater User Id Update Date Creation User Id Creation Date Eligible Assets The Eligible Asset To view the deta button. Object | Shows the current status. Shows the identification of the user that made the last update. Shows the date and time of the last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows the identification of the user that created the data. Shows the date and time of the creation. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Its are displayed its of an existing Eligible Asset, select it and click on the View Description |
| Message Reference Status Footprint Updater User Id Update Date Creation User Id Creation Date Eligible Assets The Eligible Asset To view the deta button. Object ISIN | Shows the unique Reference. Shows the current status. Shows the identification of the user that made the last update. Shows the date and time of the last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows the identification of the user that created the data. Shows the date and time of the creation. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Its are displayed its of an existing Eligible Asset, select it and click on the View Description Shows the ISIN that identifies the Marketable Asset. |
| Message Reference Status Footprint Updater User Id Update Date Creation User Id Creation Date Eligible Assets The Eligible Asset To view the deta button. Object ISIN Currency | Shows the unique Reference. Shows the current status. Shows the identification of the user that made the last update. Shows the date and time of the last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows the identification of the user that created the data. Shows the date and time of the creation. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Its are displayed Is of an existing Eligible Asset, select it and click on the View Description Shows the ISIN that identifies the Marketable Asset. Shows the currency stored. |
| Message Reference Status Footprint Updater User Id Update Date Creation User Id Creation Date Eligible Assets The Eligible Asset To view the detabutton. Object ISIN Currency NCB BIC Code Message Refer- | Shows the unique Reference. Shows the current status. Shows the identification of the user that made the last update. Shows the date and time of the last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows the identification of the user that created the data. Shows the date and time of the creation. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Its are displayed Is of an existing Eligible Asset, select it and click on the View Description Shows the ISIN that identifies the Marketable Asset. Shows the BIC of the NCB. |



| Updater User Id | Shows the identification of the user that made the last update. |
|-------------------|--|
| Update Date | Shows the date and time of the last update. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the data. |
| Creation Date | Shows the date and time of the creation. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| T2S Deleted Elig | ible Assets |
| The T2S Deleted | Eligible Assets are displayed |
| | ils of an existing T2S Deleted Eligible Asset, select it and click |
| on the View butte | on. |
| Object | Description |
| ISIN | Shows the ISIN that identifies the Marketable Asset. |
| Currency | Shows the currency stored. |
| NCB BIC Code | Shows the BIC of the NCB. |
| Message Reference | Shows the unique Reference. |
| Status | Shows the current status. |
| Footprint | |
| Updater User Id | Shows the identification of the user that made the last update. |
| Update Date | Shows the date and time of the last update. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the data. |
| Creation Date | Shows the date and time of the creation. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| | |

3.2.10 Statements & Messages

A message subscription is always done for a given message type in a given process.

When necessary, the subscription will happen at the level of the message function if the same message can have different functions.

The messages are encompassed in business areas as Securities Management, the ones described below includes the Statement of Holdings, Statement of Transactions and Statement of Pending Transactions ("semt" messages).

3.2.10.1 Statement of Holdings

This section is related to the Statement of Holdings area.

3.2.10.1.1 Generate Statement Of Holdings – Create Screen

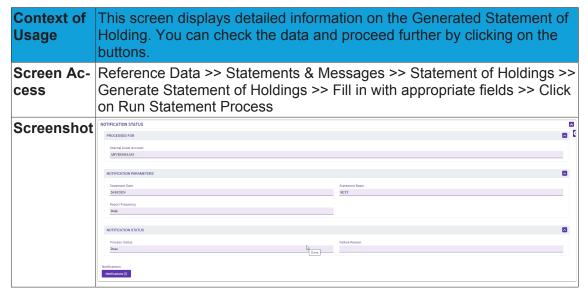
| Usage | This screen contains a number of fields regarding the Statement of Holdings. You can enter new data. Afterwards you can proceed further by clicking on the buttons below. |
|-------|---|
| | Reference Data >> Statements & Messages >> Statement of Holdings >> Generate Statement of Holdings |





| Generate Statement of Holdings – Create screen | | |
|--|---|--|
| Field | Description | |
| PROCESSE | PROCESSED FOR | |
| | Enter / Select the unique Internal Asset Account Reference. | |
| set Account* | Required format is: Max. 35 characters. | |
| | NOTIFICATION PARAMETERS | |
| Statement | Enter the Statement Date. | |
| Date | Required format is: DD/MM/YYYY | |
| Button / Icon | Function | |
| Reset | This function enables you to clear the form. | |
| Run Sta- ment Pro- | This function enables you to save the introduced values and to access a screen where you can download the message. Next Screen: | |
| cess | Generate Statement of Holdings – Details Screen | |

3.2.10.1.1. Generate Statement Of Holdings – Details Screen



| Generate Statement Of Holdings – Details Screen | | |
|---|--|--|
| Button | Description | |
| Notifications | This function enables you to display the subsection Notifications. | |
| NOTIFICATION STATUS | | |
| Field | Description | |
| PROCESSED FOR | | |



| Internal As- | Shows the unique Internal Asset Account Reference. | |
|----------------------------|--|--|
| set Account | Displayed format is: Max. 35 characters. | |
| NOTIFICATI | NOTIFICATION PARAMETERS | |
| Statement | Shows the Statement Date. | |
| Date | Displayed format is: DD/MM/YYYY | |
| Statement Basis | Shows the Statement of Basis. | |
| Report Fre- | Shows Report Frequency with possible values: | |
| quency | - Daily | |
| | - Monthly | |
| | - Weekly | |
| | - Yearly | |
| NOTIFICATI | ON STATUS | |
| Process Status | Shows the process Status. | |
| Failure Reason | Shows the failure reason (if it has been an error). | |
| Notifications | S | |
| The existing are displayed | Notifications of the Notifications Generated on your Statement of Holdings | |
| Field | Description | |
| Notification Name | Shows the name of the notification. | |

| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: |
|------------------------|--|
| | - Prepared |
| | - Impacted |
| | - Impact Failed |
| | - Rejected |
| | - Archived |
| | - Processed |
| | - Processed with Failure |
| | - On Hold |

| Reference | Shows the unique reference of the Notification. |
|------------------------|--|
| Direction | Shows whether the notification has been an input or output. Possible values: |
| | – In |
| | - Out |
| Error De- scription | Shows the description of the error (if there has been an error). |
| Update Date | Shows the date and time of the last update of the record. |



| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
|----------------------|---|
| Updater User Id | Shows the identification of the user that made the last update of the record. |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| View Mes- sage | This function enables you to access to the detailed information of the messages for same notification. |
| | - View Message - Details Screen |
| View Messa | ge – Details Screen |
| Field | Description |
| Message Reference | Shows the reference of the messge. |
| Direction | Shows whether the notification has been an input or output. Possible values: — In |
| | – Out |
| Status | Shows the status of the message. |
| After selecting | g a record, the following buttons are displayed |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |

3.2.10.1.2 Monitor Notifications Generated – Search Screen

| Context of Usage | This screen contains a number of search fields and shows the latest and stored searches. By inputting the relevant data, you can search for your own Notifications Generated from Statement of Holdings. The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |
|------------------|--|
| Screen Ac- | Reference Data >> Statements & Messages >> Statement of Holdings >> Monitor Notifications Generated |
| Screen- shot | Search Criteria: Statement of Holdings Process Intermal Asset Account: == ▼ NGB Participant: == ▼ Q NGB Participant Type: == ▼ Update Date: == ▼ Update Date: == ▼ C Statement of Asset Account: == ▼ Statement Date: == ▼ C Stateme |

| Monitor Notifications Generated – Search screen | | | |
|---|--|--|--|
| Field | Description | | |
| | Enter / Select the unique Internal Asset Account Reference. | | |
| set Account | Required format is: Max. 35 characters. | | |
| | Enter / Select the RIAD Code that uniquely identifies the NCB Participant. | | |



| | Required format is: Max. 30 characters. |
|--------------|--|
| NCB Parti- | Enter / Select the ECMS Entity Type from the possible values: |
| cipant Type | Counterparties |
| | Non-euro Area CB |
| Statement Id | Enter the Statement Identifier |
| | Required format is: free text. |
| Statement | Enter / Select the Statement Date. |
| Date | The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY |
| Update Date | Enter / Select the Update Date. |
| | The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | Monitor Notifications Generated – List Screen. |

3.2.10.1.2. Monitor Notifications Generated – List Screen

| Context of Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. | | | | | | | | | | |
|------------------|---|--|--|--|--|------------------------------------|-------------------|-------------------------------------|---|--------------------|---|
| Screen Access | >> M | onitor N | | tions G | enera | ted >> | | >> Stat on the s | | | |
| Screenshot | Search Result 10 Internal Asset Acc FFsfd sam FFsfd | : Statement Of Holdin oun2 NCB Participant \$ ES0605 ES0205 ES0606 | Igs Process NGB Participant Type COUNTERPARTIES COUNTERPARTIES COUNTERPARTIES | \$\frac{\psi}{\psi}\$ Statement Id \(\phi\) \$\text{SH2403201600005}\$ \$\text{SH202310161590006}\$ \$\text{SH202310161590005}\$ | Fagure \$ Statement Date \$ 20/03/2024 16/10/2023 16/10/2023 | Process Status • Done Done Done | Failure Reason \$ | Report Frequency Daily Daily Daily | Dipdate Date Dipdate Dipda | Updater User Id \$ | ASSOC CATEGORY OF MARKETABLE ASSETS MARKETABLE ASSETS |

| Monitor Notifications Generated – List screen | | | |
|---|---|--|--|
| Field | Description | | |
| Statement Id | Shows the Statement Identifier | | |
| | Displayed format is: free text. | | |
| Internal As- | Shows the unique Internal Asset Account Reference. | | |
| set Account | Displayed format is: Max. 35 characters. | | |
| NCB Parti- cipant | Shows the RIAD Code that uniquely identifies the NCB Participant. | | |
| | Displayed format is: Max. 30 characters. | | |
| NCB Parti- cipant Type | Shows the ECMS Entity Type from the possible values: | | |
| | - Counterparties | | |
| | Non-euro Area CB | | |



| Statement Date | Shows the Statement Date. |
|---------------------|--|
| | Displayed format is: DD/MM/YYYY |
| Report Fre- | Shows Report Frequency with possible values: |
| quency | – Daily |
| | - Monthly |
| | - Weekly |
| | - Yearly |
| Process | Shows the status of the generated notification. |
| Status | |
| Failure Reason | Shows the failure reason (if it has been an error). |
| Updater User Id | Shows the identification of the user that made the last update. |
| Update Date | Shows the date and time of the Statement of Holdings Record last update. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Asset Cat- egory | Shows the category of the assets hold by the Internal Asset Account from the |
| | possible values: |
| | Marketable Assets Account |
| | Credit Claims Account |
| Button | Function |
| View | This function enables you to access to the detailed Information of a displayed record. |
| | Next screen: |
| | Monitor Notifications Generated – Details Screen |
| | |

3.2.10.1.2. Monitor Notifications Generated – Details Screen

Context of This screen displays detailed information on the selected Notification Generated for your Statement of Holding. You can check the data and Usage proceed further by clicking on the buttons. Screen Ac- Reference Data >> Statements & Messages >> Statement of Holdings >> Monitor Notifications Generated >> Click on the Search button (after incess putting the relevant Data, if needed) >> Select a record >> Click on the View button Search Result : Statement Of Holdings Process > View : Statement Of Holdings Process ^ Screenshot FFsfd Process Date 20/03/2024 A2A and U2A

| Monitor Notifications Generated – Details Screen | | | |
|--|---|--|--|
| Button | Description | | |
| Detailed Positions | This function enables you to display the subsection Detailed Positions. | | |



| Notifications | This function anables you to display the subsection Natifications |
|----------------------------|--|
| General Info | This function enables you to display the subsection Notifications. |
| | |
| Field Statement Id | Description Shows the Statement Identifier |
| Statement id | |
| D | Displayed format is: free text. |
| Process Type | Shows the type of the process |
| Internal As- | Shows the unique Internal Asset Account Reference. |
| set Account | Displayed format is: Max. 35 characters. |
| NCB Parti- | Shows the RIAD Code that uniquely identifies the NCB Participant. |
| cipant | Displayed format is: Max. 30 characters. |
| NCB Parti- | Shows the ECMS Entity Type from the possible values: |
| cipant Type | - Counterparties |
| | - Non-euro Area CB |
| Description | Shows the description of the Notification Generated. |
| | Displayed format is: Max. 255 characters. |
| Report Fre- | Shows Report Frequency with possible values: |
| quency | - Daily |
| | - Monthly |
| | - Weekly |
| | - Yearly |
| Position Basis | Shows the status of the generated notification. |
| Failure Reason | Shows the failure reason (if it has been an error). |
| Process | Shows the date and time of the Process. |
| Date | Displayed format is: DD/MM/YYYY |
| Notifications | S |
| The existing are displayed | Notifications of the Notifications Generated on your Statement of Holdings |
| Field | Description |
| Notification Name | Shows the name of the notification. |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: |
| | - Prepared |
| | - Impacted |
| | - Impact Failed |
| | - Rejected |
| | - Archived |
| | - Processed |
| | Processed with Failure |
| | - On Hold |
| | - On Hold |



| Reference | Shows the unique reference of the Notification. |
|------------------------|---|
| Direction | Shows whether the notification has been an input or output. Possible val- |
| | ues: |
| | – In |
| | - Out |
| Error De- scription | Shows the description of the error (if there has been an error). |
| Update Date | Shows the date and time of the last update of the record. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the record. |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| View Mes- sage | This function enables you to access to the detailed information of the messages for same notification. |
| | - View Message - Details Screen |
| View Messa | ge – Details Screen |
| Field | Description |
| Message Reference | Shows the reference of the messge. |
| Direction | Shows whether the notification has been an input or output. Possible values: |
| | – In |
| | – Out |
| Status | Shows the status of the message. |
| After selectin | g a record, the following buttons are displayed |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |

| Detailed Pos | sitions |
|------------------------|---|
| The existing | Detailed positions are displayed. |
| Statement D | Petails Petails |
| Statement Id | Shows the Statement Identifier |
| | Displayed format is: free text. |
| Statement | Shows the Statement Date. |
| Date | Displayed format is: DD/MM/YYYY |
| Internal Asset Account | Shows the unique Internal Asset Account Reference. |
| | Displayed format is: Max. 35 characters. |
| NCB Parti- cipant | Shows the RIAD Code that uniquely identifies the NCB Participant. |
| | Displayed format is: Max. 30 characters. |

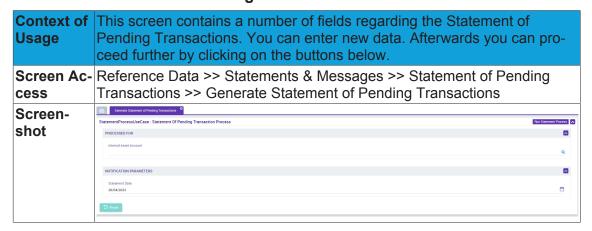


| Position Details | | | |
|---------------------------------|--|--|--|
| Instrument Id | Shows the Instrument Id | | |
| Description | Shows the ISIN description. | | |
| Amount | Shows the Amount in FAMT | | |
| Denomina- tion Cur- rency | Shows the currency of the quantity. | | |
| Collateral Valuation | Shows the Collateral Value | | |
| Issuer CSD | Shows the identifier of the issuer CSD, the Party RIAD Code of the entity with business role equal to NCB Custodian and the flag "Is CSD". | | |
| NCB Cus- | Shows the RIAD Code of the NCB Custodian. It informs about: | | |
| todian | The CSD acting as Investor CSD for domestic positions. | | |
| | The NCB acting as CCB in case of CCBM positions. | | |
| Footprint | | | |
| Update Date | Shows the date and time of the last update of the record. | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | |
| Updater User Id | Shows the identification of the user that made the last update of the record. | | |

3.2.10.2 Statement of Pending Transactions

This section is related to the Statement of Pending Transactions area.

3.2.10.2.1 Generate Statement Of Pending Transactions – Create Screen



| Generate Statement of Pending Transactions – Create screen | | | | |
|--|---|--|--|--|
| Field | Description | | | |
| At least one of the fields included in Processed For section should be Mandatory | | | | |
| PROCESSED FOR | | | | |
| | Enter / Select the unique Internal Asset Account Reference. | | | |
| set Account* | Required format is: Max. 35 characters. | | | |
| NOTIFICATIONS PARAMETERS | | | | |



| Statement Date | Enter the Statement Date. |
|-----------------------|---|
| | Required format is: DD/MM/YYYY |
| Button / Icon | Function |
| Reset | This function enables you to clear the form. |
| Run Sta- ment Pro- | This function enables you to save the introduced values and to access a screen where you can download the message. Next Screen: |
| cess | Generate Statement of Pending Transactions – Details Screen |

3.2.10.2.1. Generate Statement Of Pending Transactions – Details Screen

| Context of Usage | This screen displays detailed information on the Generated Statement of Pending Transaction. You can check the data and proceed further by clicking on the buttons. | | | | | |
|---------------------|--|---------------------------------------|---------------------------|--|--|--|
| Screen Access | Reference Data >> State Transactions >> General with appropriate fields >> | te Statement of Pending | g Transactions >> Fill in | | | |
| Screenshot | ViewLogUseCase: Statement Of Pending Transaction Process PROCESSED FOR Internal Assist Account ANDVENTIANAL NOTEPICATION PRAMAETERS Sustement Carle 3683/051 NOTEPICATION STATUS | Statement Structure Type Transcrition | Tapon Frequency Diely | | | |
| | Process Satura Dese Footifred Honfurance Mentioners [] | Faluer Reason | | | | |

| Generate Statement Of Pending Transactions – Details Screen | | | | |
|---|--|--|--|--|
| Button | Description | | | |
| Notifications | This function enables you to display the subsection Notifications. | | | |
| PROCESSE | D FOR | | | |
| Field | Description | | | |
| | Shows the unique Internal Asset Account Reference. | | | |
| set Account | Displayed format is: Max. 35 characters. | | | |
| NOTIFICATION PARAMETERS | | | | |
| Statement | Shows the Statement Date. | | | |
| Date | Displayed format is: DD/MM/YYYY | | | |
| Statement | Shows the Statement Structure Type. | | | |
| Structure Type | | | | |
| Report Fre- | Shows Report Frequency with possible values: | | | |
| quency | - Daily | | | |
| | - Monthly | | | |
| | - Weekly | | | |
| | - Yearly | | | |
| NOTIFICATI | ON STATUS | | | |



| Process Status | Shows the process Status. | | | | | |
|----------------------------|--|--|--|--|--|--|
| Failure Reason | Shows the failure reason (if it has been an error). | | | | | |
| Footprint | | | | | | |
| Creation | Shows the date and time of the creation of the record. | | | | | |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | | |
| Creation User Id | Shows the identification of the user that created the record. | | | | | |
| Update Date | Shows the date and time of the last update of the record. | | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | | |
| Updater User Id | Shows the identification of the user that made the last update of the record. | | | | | |
| Notifications | 3 | | | | | |
| The existing are displayed | Notifications of the Notifications Generated on your Statement of Holdings | | | | | |
| Field | Description | | | | | |
| Notification Name | Shows the name of the notification. | | | | | |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: | | | | | |
| | - Prepared | | | | | |
| | - Impacted | | | | | |
| | Impact Failed | | | | | |
| | - Rejected | | | | | |
| | - Archived | | | | | |
| | - Processed | | | | | |
| | Processed with Failure | | | | | |
| | Waiting Validation | | | | | |
| | - On Hold | | | | | |
| | Waiting for Retry | | | | | |
| | | | | | | |

| Reference | Shows the unique reference of the Notification. |
|------------------------|--|
| Direction | Shows whether the notification has been an input or output. Possible values: |
| | – In |
| | - Out |
| Error De- scription | Shows the description of the error (if there has been an error). |
| Update Date | Shows the date and time of the last update of the record. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the record. |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |



| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | | | |
|----------------------|--|--|--|--|
| View Mes- sage | This function enables you to access to the detailed information of the messages for same notification. | | | |
| | - View Message - Details Screen | | | |
| View Messag | ge – Details Screen | | | |
| Field | Description | | | |
| Message Reference | Shows the reference of the messge. | | | |
| Direction | Shows whether the notification has been an input or output. Possible values: | | | |
| | – In | | | |
| | - Out | | | |
| Status | Shows the status of the message. | | | |
| After selectin | g a record, the following buttons are displayed | | | |
| Button | Function | | | |
| Download | This function enables you to access to the detailed information of the original message in XML format. | | | |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | | | |
| Button | Function This function enables you to access to the detailed information of the original message in XML format. Internal messages between different tenants, which correspond to CCB. | | | |

3.2.10.2.2 Monitor Generated Notifications – Search Screen

| Context of Usage | This screen contains a number of search fields and shows the latest and stored searches. By inputting the relevant data, you can search for your own Notifications Generated from Statement of Pending Transactions. The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |
|------------------|--|
| Screen Access | Reference Data >> Statements & Messages >> Statement of Pending Transactions >> Monitor generated Notifications |
| Screen- shot | Search Criteria : Statement Of Pending Transaction Process Internal Asset ** V NCS Periopent ** V NCS Periopent ** Statement id ** V Statement Get ** V CCS Periopent ** V NCS Periopent ** V NCS Periopent ** V Statement id ** V Statement Get ** V CCS Periopent ** V NCS Periopent ** V Statement id ** V Statement Get ** V CCS Periopent ** V NCS Periopent ** V Statement id ** V Statement id ** V Statement Get ** V CCS Periopent ** V NCS Periopent ** V Statement id ** V Statement id ** V Statement Get ** V CCS Periopent ** V NCS Periopent ** V NCS Periopent ** V Statement id ** V Statement Get ** V CCS Periopent ** V NCS Periopent ** V Statement id ** V Statement id ** V Statement Get ** V CCS Periopent ** V NCS Periopent ** V NC |

| Monitor Generated Notifications – Search screen | | | | |
|---|--|--|--|--|
| Field | Description | | | |
| | Enter / Select the unique Internal Asset Account Reference. | | | |
| set Account | Required format is: Max. 35 characters. | | | |
| NCB Parti- cipant | Enter / Select the RIAD Code that uniquely identifies the NCB Participant. | | | |
| | Required format is: Max. 30 characters. | | | |
| NCB Parti- cipant Type | Enter / Select the ECMS Entity Type from the possible values: | | | |
| | Counterparties | | | |
| | - Non-euro Area CB | | | |
| Statement Id | Enter the Statement Identifier | | | |
| | Required format is: free text. | | | |



| Statement | Enter / Select the Statement Date. | | | | |
|-----------|--|--|--|--|--|
| Date | The calendar icon can also be used. | | | | |
| | Required format is: DD/MM/YYYY | | | | |
| Button | Function | | | | |
| Reset | This function enables you to clear the form. | | | | |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. | | | | |
| | Next screen: | | | | |
| | Monitor Generated Notifications – List Screen. | | | | |

3.2.10.2.2. Monitor Generated Notifications – List Screen

| Context of Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. | | | | | | | | | |
|---------------------|---|--|---|--|--|--|-------------------|--|---|--|
| Screen Access | Reference Data >> Statements & Messages >> Statement of Pending Transactions >> Monitor Generated Notifications >> Click on the search button (after inputting the relevant Data, if needed) | | | | | | | | | |
| Screenshot | | atement Of Pending Transa | ction Process | | | | | | | |
| | 10 | VIDI Participant 8 Altrifold Altrifold | NOIL Participant Type & COUNTERPARTES | Statement is 0 \$P20236271 50047 \$P20236271 50040 \$P20236281 500040 \$P20236281 500044 \$P20236281 500044 \$P20236281 500044 \$P20236281 500044 \$P20236281 500040 \$P20236281 500040 \$P20236281 500040 \$P20236281 500040 \$P20236281 500040 | Statement Oute # 27/06/2023 27/06/2023 28/06/2022 28/06/2022 28/06/2022 28/06/2022 28/06/2022 28/06/2022 28/06/2022 28/06/2022 28/06/2022 28/06/2022 28/06/2022 28/06/2022 28/06/2022 28/06/2022 28/06/2022 28/06/2022 | Process Sation 6 Date Date Date Date Date Date Date Date | Failure Riteson # | Report Frequency & Daily 77 Update Disc 6 26/10/2023 17 18:05 477 26/10/2023 17 18:05 477 26/10/2023 17 18:05 1944 26/10/2023 17 18:05 337 26/10/2023 17 18:05 337 26/10/2023 17 17:56 313 26/10/2023 17:17:55 313 26/10/2023 17:17:55 313 26/10/2023 17:17:55 314 | Quantum the Common the |

| Monitor Gen | erated Notifications – List screen |
|--------------------|---|
| Field | Description |
| Statement Id | Shows the Statement Identifier |
| | Displayed format is: free text. |
| Internal As- | Shows the unique Internal Asset Account Reference. |
| set Account | Displayed format is: Max. 35 characters. |
| NCB Parti- | Shows the RIAD Code that uniquely identifies the NCB Participant. |
| cipant | Displayed format is: Max. 30 characters. |
| NCB Parti- | Shows the ECMS Entity Type from the possible values: |
| cipant Type | Counterparties |
| | Non-euro Area CB |
| Report Fre- | Shows Report Frequency with possible values: |
| quency | - Daily |
| | - Monthly |
| | - Weekly |
| | - Yearly |
| Statement | Shows the Statement Date. |
| Date | Displayed format is: DD/MM/YYYY |
| Status | Shows the status of the generated notification. |



| Failure Reason | Shows the failure reason (if it has been an error). |
|--------------------|--|
| Updater User Id | Shows the identification of the user that made the last update. |
| Update Date | Shows the date and time of the Statement of Pending Transactions Record last update. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Button | Function |
| View | This function enables you to access to the detailed Information of a displayed record. |
| | Next screen: |
| | Monitor Notifications Generated – Details Screen |

3.2.10.2.2. Monitor Generated Notifications – Details Screen

| Context of Usage | This screen displays detailed information on the selected Notification Generated for your Statement of Pending Transaction. You can check the data and proceed further by clicking on the buttons. | | | | | |
|------------------|---|---|--|---|------------------|-----|
| Screen Access | Reference Data >> Statements & Messages >> Statement of Pending Transactions >> Monitor Generated Notifications >> Click on the Search button (after inputting the relevant Data, if needed) >> Select a record >> Click on the View button | | | | | |
| | ` | | | i, ii liccaca) | oelect a reco | iiu |
| 0 | Click on th | | | i, ii necucu) | | nu |
| Screenshot | Click on th | ne View button | | NCB Participant Type COUNTERPARTIES | | |
| Screenshot | Click on th | ne View button saction Process > View : Statement Of Transaction Statement Date | n Process Process Type | NCB Participant Type | Report Frequency | |
| Screenshot | Click on th | ne View button saction Process > View: Statement Of Transaction taxement Date 18/98/2023 | n Process Process Type Real | NCB Participant Type COUNTERPARTES | | |
| Screenshot | Click on th | ne View button section Process > View : Statement Of Transaction Statement Date Statement Date Statement Mark MRS Participant | n Process Process Type Real Start Date | MCB Participant Type COCNTERMINITS End Date | Report Frequency | |

| Monitor Generated Notifications – Details Screen | | |
|--|--|--|
| Button | Description | |
| Notifications | This function enables you to display the subsection Notifications. | |
| General Info | General Information | |
| Field | Description | |
| Statement Id | Shows the Statement Identifier | |
| | Displayed format is: free text. | |
| Process Type | Shows the type of the process | |
| Internal As- | Shows the unique Internal Asset Account Reference. | |
| set Account | Displayed format is: Max. 35 characters. | |
| NCB Parti- | Shows the RIAD Code that uniquely identifies the NCB Participant. | |
| cipant | Displayed format is: Max. 30 characters. | |
| NCB Parti- cipant Type | Shows the ECMS Entity Type from the possible values: | |
| | - Counterparties | |
| | Non-euro Area CB | |
| Process | Shows the Process Date. | |
| Date | Displayed format is: DD/MM/YYYY | |



| Report Fre- | | |
|------------------------|--|--|
| quency | - Daily | |
| | - Monthly | |
| | - Weekly | |
| | - Yearly | |
| Process Status | Shows the status of the generated notification. | |
| Failure Reason | Shows the failure reason (if it has been an error). | |
| Notification | s | |
| • | Notifications of the Notifications Generated on your Statement of Pending are displayed | |
| Field | Description | |
| Notification Name | Shows the name of the notification. | |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: | |
| | - Prepared | |
| | - Impacted | |
| | - Impact Failed | |
| | - Rejected | |
| | - Archived | |
| | - Processed | |
| | - Processed with Failure | |
| | - On Hold | |
| Reference | Shows the unique reference of the Notification. | |
| Direction | Shows whether the notification has been an input or output. Possible val- | |

| Reference | Shows the unique reference of the Notification. |
|------------------------|---|
| Direction | Shows whether the notification has been an input or output. Possible values: |
| | – In |
| | - Out |
| Error De- scription | Shows the description of the error (if there has been an error). |
| Update Date | Shows the date and time of the last update of the record. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the record. |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| View Mes- sage | This function enables you to access to the detailed information of the messages for same notification. |
| | - View Message - Details Screen |

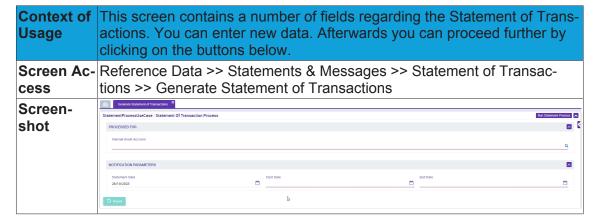


| View Message – Details Screen | |
|-------------------------------|---|
| Field | Description |
| Message Reference | Shows the reference of the messge. |
| Direction | Shows whether the notification has been an input or output. Possible values: — In |
| | – Out |
| Status | Shows the status of the message. |
| After selecting | ng a record, the following buttons are displayed |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |

3.2.10.3 Statement of Transactions

This section is related to the Statement of Transactions area.

3.2.10.3.1 Generate Statement Of Transactions - Create Screen



| Generate Statement of Transactions – Create screen | |
|--|--|
| Field | Description |
| At least one | of the fields included in Processed For section should be Mandatory |
| PROCESSEI | D FOR |
| | Enter / Select the unique Internal Asset Account Reference. |
| set Account* | Required format is: Max. 35 characters. |
| NOTIFICATIONS PARAMETERS | |
| Statement | Enter the Statement Date. |
| Date | Required format is: DD/MM/YYYY |
| Start Date | Enter the Start Date of the transactions to be included in the file. |
| | Required format is: DD/MM/YYYY |
| End Date | Enter the End Date of the transactions to be included in the file. |



| | Required format is: DD/MM/YYYY |
|-----------------------|---|
| Button / Icon | Function |
| Reset | This function enables you to clear the form. |
| Run Sta- ment Pro- | This function enables you to save the introduced values and to access a screen where you can download the message. Next Screen: |
| cess | Generate Statement of Transactions – Details Screen |

3.2.10.3.1. Generate Statement Of Transactions – Details Screen

| Context of Usage | This screen displays detailed information on the Generated Statement of Transaction. You can check the data and proceed further by clicking on the buttons. | | | | |
|------------------|---|-----------------------|----------------|-------------------|--|
| cess | Reference Data >> State tions >> Generate State fields >> Click on Run S | ment of Tran | sactions >> | | |
| Screenshot | ViewLogUseCase: Statement Of Transaction Process PROCESSED FOR Internal Asset Account AIRTRELIXANT NOTIFICATION PREAMSTERS | | | | |
| | Sust Diss 2683-261 Report Recently Disb NOTIFICATION STATUS PROCESS STATUS | End Date 1766/3004 | Falture Reason | Surment fails MIT | |
| | Date Notifications Notifications(1) | | | | |

| Generate St | atement Of Transactions – Details Screen |
|--------------------|--|
| Button | Description |
| Notifications | This function enables you to display the subsection Notifications. |
| PROCESSE | D FOR |
| Field | Description |
| | Shows the unique Internal Asset Account Reference. |
| set Account | Displayed format is: Max. 35 characters. |
| NOTIFICATI | ON PARAMETERS |
| Start Date | Shows the Start Date. |
| | Displayed format is: DD/MM/YYYY |
| End Date | Shows the End Date. |
| | Displayed format is: DD/MM/YYYY |
| Statement Basis | Shows the Statement Basis. |
| Report Fre- | Shows Report Frequency with possible values: |
| quency | - Daily |
| | - Monthly |
| | - Weekly |
| | - Yearly |
| NOTIFICATI | ON STATUS |



| Process Status | Shows the process Status. | | | | | |
|----------------------------|--|--|--|--|--|--|
| Failure Reason | Shows the failure reason (if it has been an error). | | | | | |
| Notifications | 5 | | | | | |
| The existing are displayed | Notifications of the Notifications Generated on your Statement of Holdings | | | | | |
| Field | Description | | | | | |
| Notification Name | Shows the name of the notification. | | | | | |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: | | | | | |
| | - Prepared | | | | | |
| | - Impacted | | | | | |
| | - Impact Failed | | | | | |
| | - Rejected | | | | | |
| | - Archived | | | | | |
| | - Processed | | | | | |
| | - Processed with Failure | | | | | |
| | - On Hold | | | | | |

| Reference | Shows the unique reference of the Notification. |
|------------------------|---|
| Direction | Shows whether the notification has been an input or output. Possible values: |
| | – In |
| | - Out |
| Error De- scription | Shows the description of the error (if there has been an error). |
| Update Date | Shows the date and time of the last update of the record. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the record. |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| View Mes- sage | This function enables you to access to the detailed information of the messages for same notification. |
| | - View Message - Details Screen |
| View Messa | ge – Details Screen |
| Field | Description |
| Message Reference | Shows the reference of the messge. |
| Direction | Shows whether the notification has been an input or output. Possible values: |



| | - In | | | |
|-----------------|--|--|--|--|
| | - Out | | | |
| Status | Shows the status of the message. | | | |
| After selecting | After selecting a record, the following buttons are displayed | | | |
| Button | Function | | | |
| | | | | |
| Download | This function enables you to access to the detailed information of the original message in XML format. | | | |

3.2.10.3.2 Monitor Notifications Generated – Search Screen

| Context of Usage | This screen contains a number of search fields and shows the latest and stored searches. By inputting the relevant data, you can search for your own Notifications Generated from Statement of Transactions. The search results will be displayed in a list. After selecting an entry, you |
|------------------|--|
| Screen Ac- | can proceed further by clicking on the buttons that are shown. Reference Data >> Statements & Messages >> Statement of Transactions >> Monitor Notifications generated |
| Screen- shot | Search Criteria Statement Of Transaction Process Search Criteria Statement Of Transaction Process Continue Statement Of Transaction Process Continu |
| | Q Sauth |

| Monitor Noti | ifications Generated – Search screen |
|----------------------|--|
| Field | Description |
| | Enter / Select the unique Internal Asset Account Reference. |
| set Account | Required format is: Max. 35 characters. |
| NCB Parti- cipant | Enter / Select the RIAD Code that uniquely identifies the NCB Participant. |
| | Required format is: Max. 30 characters. |
| NCB Parti- | Enter / Select the ECMS Entity Type from the possible values: |
| cipant Type | Counterparties |
| | Non-euro Area CB |
| Statement Id | Enter the Statement Identifier from possible values |
| | Required format is: free text. |
| Statement | Enter / Select the Statement Date. |
| Date | The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | Monitor Notifications Generated – List Screen. |



3.2.10.3.2. Monitor Notifications Generated – List Screen

| Context of Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. | | | | | | | | | |
|------------------|---|--|--|---|---|--|--------------------|---|---|--|
| Screen Access | Reference Data >> Statements & Messages >> Statement of Transactions >> Monitor Notifications Generated >> Click on the search button (after inputting the relevant Data, if needed) | | | | | | | | | |
| Screenshot | Search Result: Statement Of Transaction Process | | | | | | | | | Q 102 MI () 🖓 |
| | THERMOL ASSER ACCOUNT & ABYPOT TIAADT | AT000000109375 | NOB Participant Type & COUNTERPARTIES | Statement of \$ \$72023102310000002 \$7302211001500002 \$7302211001500002 \$7302211011500002 \$730221011500002 \$730221011500002 \$730221011500002 \$7302210111300002 \$7302210111300002 | Sesement Out of \$ 22/10/2023 20/10/2023 20/10/2023 19/10/2023 19/10/2023 16/10/2023 12/10/2023 11/10/2023 11/10/2023 11/10/2023 11/10/2023 | Process Status # Cone Cone Cone Cone Cone Cone Cone Cone | ▽ Fallure Reason ♥ | Report Enguency & Cally | □ Updane Date 6 26/10/2023 17:16:11:266 25/10/2023 17:16:11:266 25/10/2023 17:16:21:146 24/10/2023 17:16:21:146 24/10/2023 02:23:20:730 26/10/2023 17:16:13:578 14/10/2023 17:16:13:578 14/10/2023 17:16:14:402 17/10/2023 17:16:14:402 | Dudare User 10 5 ECMSOperational Day Scheduler ECMSOperational Day Scheduler ECMS-Support Control Line ECMS-Support Control Line ECMS-Support Control ECMS-S |

| Monitor Noti | fications Generated – List screen |
|---------------------|--|
| Field | Description |
| Statement Id | Shows the Statement Identifier |
| | Displayed format is: free text. |
| Internal As- | Shows the unique Internal Asset Account Reference. |
| set Account | Displayed format is: Max. 35 characters. |
| NCB Parti- | Shows the RIAD Code that uniquely identifies the NCB Participant. |
| cipant | Displayed format is: Max. 30 characters. |
| NCB Parti- | Shows the ECMS Entity Type from the possible values: |
| cipant Type | Counterparties |
| | Non-euro Area CB |
| Statement | Shows the Statement Date. |
| Date | Displayed format is: DD/MM/YYYY |
| Status | Shows the status of the generated notification. |
| Failure | Shows the failure reason (if it has been an error). |
| Reason | |
| Report Frequency | Shows Report Frequency with possible values: |
| queriey | - Daily |
| | - Monthly |
| | - Weekly |
| | - Yearly |
| Updater User Id | Shows the identification of the user that made the last update. |
| Update Date | Shows the date and time of the Statement of Transactions Record last update. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Button | Function |
| View | This function enables you to access to the detailed Information of a displayed record. |
| | Next screen: |



- Monitor Notifications Generated - Details Screen

3.2.10.3.2. Monitor Notifications Generated – Details Screen

This screen displays detailed information on the selected Notification
Generated for your Statement of Transaction. You can check the data
and proceed further by clicking on the buttons.

Screen Access
Reference Data >> Statements & Messages >> Statement of Transactions >> Monitor Notifications Generated >> Click on the Search button
(after inputting the relevant Data, if needed) >> Select a record >> Click
on the View button

Screenshot

Screenshot

Screenshot

Colorization Process > View Statement of Pending Transaction Process > View Statement o

| Monitor Noti | fications Generated – Details Screen | | | |
|-------------------|--|--|--|--|
| Button | Description | | | |
| | This function enables you to display the subsection Notifications. | | | |
| General Info | | | | |
| Field | Description | | | |
| Statement Id | Shows the Statement Identifier | | | |
| | Displayed format is: free text. | | | |
| Internal As- | Shows the unique Internal Asset Account Reference. | | | |
| set Account | Displayed format is: Max. 35 characters. | | | |
| NCB Parti- | Shows the RIAD Code that uniquely identifies the NCB Participant. | | | |
| cipant | Displayed format is: Max. 30 characters. | | | |
| NCB Parti- | Shows the ECMS Entity Type from the possible values: | | | |
| cipant Type | - Counterparties | | | |
| | Non-euro Area CB | | | |
| Statement | Shows the Statement Date. | | | |
| Date | Displayed format is: DD/MM/YYYY | | | |
| Report Fre- | Shows Report Frequency with possible values: | | | |
| quency | - Daily | | | |
| | - Monthly | | | |
| | - Weekly | | | |
| | - Yearly | | | |
| Process Type | Shows the type of the process. | | | |
| Start Date | Enter the Start Date of the transactions to be included in the file. | | | |
| | Required format is: DD/MM/YYYY | | | |
| End Date | Enter the End Date of the transactions to be included in the file. | | | |
| | Required format is: DD/MM/YYYY | | | |
| Failure Reason | Shows the failure reason (if it has been an error). | | | |



| Notifications | . |
|------------------------|---|
| | Notifications of the Notifications Generated on your Statement of Trans- |
| actions are d | · · · · · · · · · · · · · · · · · · · |
| Field | Description |
| Notification Name | Shows the name of the notification. |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: - Prepared - Impacted - Impact Failed - Rejected - Archived - Processed - Processed with Failure - On Hold Shows the unique reference of the Notification. |
| | Shows the unique reference of the Notification. |
| Direction | Shows whether the notification has been an input or output. Possible values: — In — Out |
| Error De- scription | Shows the description of the error (if there has been an error). |
| Update Date | Shows the date and time of the last update of the record. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the record. |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| View Mes- sage | This function enables you to access to the detailed information of the messages for same notification. |
| | View Message – Details Screen |
| View Messa | ge – Details Screen |
| Field | Description |
| Message Reference | Shows the reference of the messge. |
| Direction | Shows whether the notification has been an input or output. Possible values: — In |
| | Out |
| Status | Shows the status of the message. |
| | g a record, the following buttons are displayed |
| | g and the terming about the displayed |



| Button | Function |
|----------|---|
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |

3.2.11 Reports Reference Data

Reports Reference Data

3.2.11.1 Reports

The ECMS stores each generated report and provides access to the NCB users and Counterparties via the U2A. These reports are accessed without retriggering the generation of the report according to their frequency on a running period:

- Daily: The ECMS generates and sends the Report each Business Day.
- Weekly: The ECMS generates and sends the report on the last working day of the week.
- Monthly: the ECMS generates and sends the report on the last working day of the month
- Yearly: the ECMS generates and sends the report on the last working day of the year.

The ECMS stores and keeps the data relevant to the reports accessible to the user (NCB user and Counterparty) within the retention period.

3.2.11.1.1 U2A Statement of Holdings

3.2.11.1.1. U2A Statement of Holdings

1.1

3.2.11.1.1. U2A Stament of Holdings – Search Screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the U2A Statement of Holdings Generated. | | | | | | | |
|------------------|--|--|--|--|--|--|--|--|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. | | | | | | | |
| Screen Access | Reference Data >> Reports >> U2A Statement of Holdings | | | | | | | |
| Screen- shot | Search Criteria : Client Holding Statement Statement Dise | | | | | | | |

| U2A Statement of Holdings – Search screen | | | | |
|---|---|--|--|--|
| Field | Description | | | |
| Statement Date | Enter the date of the generated report. The calendar icon can also be used. | | | |
| | Required format is: DD/MM/YYYY | | | |



| Internal Asset Account | Enter / Select the Identifier of the Internal Asset Account |
|---------------------------|--|
| NCB Parti- cipant | Enter / Select the identifier of the Counterparty in the ECMS. |
| NCB Parti- | Enter the NCB Participant Type from the possible values: |
| cipant Type | Counterparties |
| | Non-euro Area CBs |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | U2A Statement of Holdings – List Screen. |

3.2.11.1.1.1 U2A Statement of Holdings – List Screen

| Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Report Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. | | | | | | | | | | | | | |
|------------|---|-----------------------|--|--|--|--|-------------|---|---|--|--|---|--|--------------------|
| Screen Ac- | Refe | rence | Data | >> F | Repor | ts >> | U2A | State | ment | of H | olding | s >> | Click | on |
| cess | the s | earch | butto | n (at | fter in | puttir | ng the | relev | ant da | ata, i | f need | led) | | |
| Screenshot | Search Result : C | lient Holding Stateme | ent | 200 | | K | | К | | | 200773 | | Q 1000 | ↑ マひロほ★® |
| | Stationeric N 9 Stationeric N 9 SH2406073400011 | Statement Date | ************************************** | NGB Participant 6 AT00000546-182 AT00000546-182 AT00000546-182 AT000056-182 | MOS PRINCIPATOS CONTERPARTES COUNTERPARTES | \$25.000.000.000.000.000.000.000.000.000.0 | ## Amount 6 | EUR | 405.211.0410.6410.6410.6410.6410.6410.6410.64 | ATGC00181225903 DE05722 ATGC00181225903 ESAR259577 ATGC00181225903 CLB01 FR542059036 ITGG00194938170 ATGC00181225903 ATGC00181225903 ATGC00181225903 FT502562275 ATGC00181225903 | \(\bullet \) \(| ATEKAUATWWADA | NICE Optiodate 9 AT0001181225903 E009999 AT0001181225903 DE09999 AT0001181225903 BE00012201140 E000999 AT0001181225903 BE00012201140 AT0001181225903 AT0001181225903 AT0001181225903 BE00012201140 | Satirone Basis 0 |

| U2A Stateme | nt of Holdings – List Screen |
|----------------------|--|
| Field | Description |
| Statement Id | Shows the identifier of the report generated. |
| | Displayed format is: Max. 35 characters. |
| Statement | Shows the date of the generated report. |
| Date | Displayed format is: DD/MM/YYYY |
| Internal Asset | Shows the Internal Asset Account reference |
| Account | Displayed format is: Max. 35 characters. |
| NCB Parti- cipant | Shows the RIAD Code that uniquely identifies the Counterparty in the ECMS. |
| | Displayed format is: Max. 30 characters. |
| NCB Parti- | Shows the NCB Participant Type from possible values: |
| cipant Type | - Counterparties |
| | - Non-euro Area CBs |
| Instrument Id | Shows the Identifier of the asset |
| Amount | Shows the Quantity of the asset in the internal asset account |



| Denomination Currency | Shows the Currency of the ISIN |
|-------------------------|---|
| Collateral Valuation | Shows the Collateral value after haircut of an asset in the internal asset account |
| Issuer CSD | Shows the Identifier of the issuer CSD |
| Update Date | Shows the update date. |
| | Displayed format is: DD/MM/YYYY |
| NCB Cus- | Shows the RIAD Code of the NCB Custodian. It informs about: |
| todian | The CSD acting as Investor CSD for domestic positions. |
| | The NCB acting as CCB in case of CCBM positions. |
| Statement | Shows the Basis of the Statement between possible values: |
| Basis | - SETT |
| After selecting | a record, the following buttons are displayed |
| Button | Function |
| View | This function enables you to view a copy of the Report selected. |
| | Next screen: |
| | U2A Statement of Holdings – Details Screen |
| Export Report Csv | This function enables you to Export the information displayed / selected to csv format |
| | This function enables you to Export the information displayed / selected to excel format. |
| | This function enables you to Export the information displayed / selected to xml format. |

3.2.11.1.1.1 U2A Statement of Holdings – Details Screen

1 2

| Context of Usage | This screen displays a copy of the Report selected. You can check the data and proceed further by clicking on the buttons. | | | | | |
|------------------|---|---|--|--|--|--|
| | Reference Data >> Report the search button (after in Report Generated >> Cli | nputting the relevant da | of Holdings >> Click on ta, if needed) >> Select a | | | |
| Screenshot | Search Result : Client Holding Statement > View : Client Holding Statement Statement Details Statement Id Statement Id STATEMENT AND THE STATEMENT IN STATEMENT AND THE STATEMENT IN THE STATEMENT AND THE STATEMENT IN POsition Details | Suscensed Date 2709/2023 | MCB Participant ABY3009 | | | |
| | ISSN ATRONOLISES Desermation Currency IXX Investor CSD FootPreed | Occupance Eres Group Black AC EO Sales Tons No. 2019(23) (407 Collateral Valuation 0 | Quantity 88 HOME CELD Althouse | | | |

| U2A Statement of Holdings – Details Screen | | | |
|--|---------------------------------|--|--|
| Field | Description | | |
| Statement Details | | | |
| Statement Id | Shows the Statement Identifier | | |
| | Displayed format is: free text. | | |



| Statement | Shows the Statement Date. |
|-------------------------|--|
| Date | Displayed format is: DD/MM/YYYY |
| Internal Asset | Shows the unique Internal Asset Account Reference. |
| Account | Displayed format is: Max. 35 characters. |
| NCB Parti- | Shows the RIAD Code that uniquely identifies the NCB Participant. |
| cipant | Displayed format is: Max. 30 characters. |
| NCB Parti- | Shows the ECMS Entity Type from the possible values: |
| cipant Type | - Counterparties |
| | - Non-euro Area CB |
| Position Deta | ils |
| ISIN | Shows the ISIN |
| Description | Shows the ISIN description. |
| Quantity | Shows the Quantity in FAMT |
| Denomination Currency | Shows the currency of the quantity. |
| Collateral Valuation | Shows the Collateral Value |
| Issuer CSD | Shows the identifier of the issuer CSD, the Party RIAD Code of the entity with business role equal to NCB Custodian and the flag "Is CSD". |
| NCB Cus- | Shows the RIAD Code of the NCB Custodian. It informs about: |
| todian | The CSD acting as Investor CSD for domestic positions. |
| | The NCB acting as CCB in case of CCBM positions. |
| Statement | Shows the Basis of the Statement between possible values: |
| Basis | - SETT |
| Footprint | |
| Creation Date | Shows the date and time of the creation of the additional code. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the additional code. |
| Update Date | Shows the date and time of the last update of the record. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the record. |
| | |

3.2.11.1.2 U2A Statement of Transactions

3.2.11.1.2. U2A Stament of Transactions – Search Screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the U2A Statement of Transactions Generated. The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |
|---------------------|--|
| Screen Access | Reference Data >> Reports >> U2A Statement of Transactions |





| U2A Stateme | nt of Transactions – Search screen |
|-------------------------------|--|
| Field | Description |
| Internal Asset Account | Enter / Select the Identifier of the Internal Asset Account |
| NCB Parti- cipant | Enter / Select the identifier of the Counterparty in the ECMS. |
| NCB Parti- | Enter the NCB Participant Type from the possible values: |
| cipant Type | Counterparties |
| | Non-euro Area CBs |
| Statement | Enter the statement start date. The calendar icon can also be used. |
| Start Date | Required format is: DD/MM/YYYY |
| Statement | Enter the statement end date. The calendar icon can also be used. |
| End Date | Required format is: DD/MM/YYYY |
| Settlement | Enter the Settlement Type from possible values: |
| Туре | - RECE |
| | - DELI |
| Intended Set- tlement Date | Enter the Intended Settlement date. The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | U2A Statement of Transactions – List Screen. |

3.2.11.1.2. U2A Statement of Transactions – List Screen

| 0 = 2 . 0 | | | | | | | | | | |
|------------------|---|--|--|--|--|--|--|--|--|--|
| Context of Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Report Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. | | | | | | | | | |
| Screen Access | Reference Data >> Reports >> U2A Statement of Transactions >> Click on the search button (after inputting the relevant data, if needed) | | | | | | | | | |
| Screenshot | Search UZA Statement of Transactions | | | | | | | | | |

| U2A Statement of Transactions – List Screen | | | | | |
|---|-------------|--|--|--|--|
| Field | Description | | | | |



| Account Ref- | Shows the Account Reference. | | | | | |
|-------------------------|---|--|--|--|--|--|
| erence | Displayed format is: Max. 35 characters. | | | | | |
| ECMS In- | Shows the Internal Asset Account reference | | | | | |
| ternal Asset Account | Displayed format is: Max. 35 characters. | | | | | |
| Quantity | Shows the Quantity of the asset in the internal asset account | | | | | |
| Currency | Shows the Currency of the ISIN | | | | | |
| Effective Set- | Shows the effective settlement date. | | | | | |
| tlement Date | Displayed format is: DD/MM/YYYY | | | | | |
| ISIN | Shows the Identifier of the asset | | | | | |
| Statement Id | Shows the identifier of the report generated. | | | | | |
| | Displayed format is: Max. 35 characters. | | | | | |
| Report Fre- | Shows the Statement Frequency with possible values: | | | | | |
| quency | - Ad-Hoc | | | | | |
| | - Daily | | | | | |
| | - Monthly | | | | | |
| | - Weekly | | | | | |
| | - Yearly | | | | | |
| Start Date | Shows the statement start date. | | | | | |
| | Displayed format is: DD/MM/YYYY | | | | | |
| Update Date | Shows the update date. | | | | | |
| | Displayed format is: DD/MM/YYYY | | | | | |
| Settlement | Shows the Settlement Type from possible values: | | | | | |
| Туре | - RECE | | | | | |
| | – DELI | | | | | |
| Intended Set- | Shows the Intended Settlement date. | | | | | |
| tlement Date | Displayed format is: DD/MM/YYYY | | | | | |
| End Date | Shows the statement end date. | | | | | |
| | Displayed format is: DD/MM/YYYY | | | | | |
| After selecting | a record, the following buttons are displayed | | | | | |
| Button | Function | | | | | |
| View | This function enables you to view a copy of the Report selected. | | | | | |
| | Next screen: | | | | | |
| | U2A Statement of Transactions – Details Screen | | | | | |
| Export Report Csv | This function enables you to Export the information displayed / selected to csv format | | | | | |
| Export Report Excel | This function enables you to Export the information displayed / selected to excel format. | | | | | |
| Export Report Xml | This function enables you to Export the information displayed / selected to xml format. | | | | | |

3.2.11.1.2. U2A Statement of Transactions – Details Screen

Context of Usage This screen displays a copy of the Report selected. You can check the data and proceed further by clicking on the buttons.



| | Reference Data >> Reports >> U2A Statement of Transactions >> Click on the search button (after inputting the relevant data, if needed) >> Select a Report Generated >> Click on the <i>View</i> button | | | | | | | | |
|------------|---|--|--|--|--|--|--|--|--|
| Screenshot | Search: UZA Statement of Transactions > View: Transaction Bloc ton ATMMADICE2 Statement of STERRILLSONS ACCOUNT Inference ATONCADALA Quently 3,000 | Asset Name Enter Group Bask AS EO-FLE Med. T. No. 1820; 1402 End Date 1384-2824 EAMS TOWN ASSET ASSESSMENT CHORSE EEMA TOWN ASSESSMENT CHORSE EAMT FAMILY | Dar Dire Dava Dire D | | | | | | |
| | Sertiment Type RECE FootPrint | Intended Settlement Date 12442014 | 8 | | | | | | |

| U2A Stateme | nt of Transactions – Details Screen | | | | | | |
|-------------------------|---|--|--|--|--|--|--|
| Field | Description | | | | | | |
| ISIN | Shows the Identifier of the asset | | | | | | |
| Asset Name | Shows the Asset Name. | | | | | | |
| Start Date | Shows the statement start date. | | | | | | |
| | Displayed format is: DD/MM/YYYY | | | | | | |
| Statement Id | Shows the identifier of the report generated. | | | | | | |
| | Displayed format is: Max. 35 characters. | | | | | | |
| End Date | Shows the statement end date. | | | | | | |
| | Displayed format is: DD/MM/YYYY | | | | | | |
| Report Fre- | Shows the Statement Frequency with possible values: | | | | | | |
| quency | - Ad-Hoc | | | | | | |
| | – Daily | | | | | | |
| | - Monthly | | | | | | |
| | - Weekly | | | | | | |
| | - Yearly | | | | | | |
| Account Ref- | Shows the Account Reference. | | | | | | |
| erence | Displayed format is: Max. 35 characters. | | | | | | |
| ECMS In- | Shows the Internal Asset Account reference | | | | | | |
| ternal Asset Account | Displayed format is: Max. 35 characters. | | | | | | |
| Effective Set- | Shows the effective settlement date. | | | | | | |
| tlement Date | Displayed format is: DD/MM/YYYY | | | | | | |
| Quantity | Shows the Quantity of the asset in the internal asset account | | | | | | |
| Currency | Shows the Currency of the ISIN | | | | | | |
| Settlement | Shows the Settlement Type from possible values: | | | | | | |
| Туре | - RECE | | | | | | |
| | – DELI | | | | | | |
| Trade Date | Shows the Trade date. | | | | | | |
| | Displayed format is: DD/MM/YYYY | | | | | | |
| Intended Set- | Shows the Intended Settlement date. | | | | | | |
| tlement Date | Displayed format is: DD/MM/YYYY | | | | | | |
| Footprint | | | | | | | |
| Creation Date | Shows the date and time of the creation. | | | | | | |



| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
|--------------------|---|
| Creation User Id | Shows the identification of the user that did the creation. |
| Update Date | Shows the date and time of the last update. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update. |

3.2.11.1.3 U2A Statement of Pending Transactions

3.2.11.1.3. U2A Stament of Pending Transactions – Search Screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the U2A Statement of Holdings Generated. | | | | | | | |
|--------------------|--|--|--|--|--|--|--|--|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. | | | | | | | |
| Screen Ac- cess | Reference Data >> Reports >> U2A Statement of Pending Transactions | | | | | | | |
| Screen- shot | Search: USA Statement Of Prodoing Transactions Southward Date | | | | | | | |

| U2A Statement of Pending Transactions – Search screen | | | | | | |
|---|--|--|--|--|--|--|
| Field | Description | | | | | |
| Statement Date* | Enter the date of the generated report. The calendar icon can also be used. | | | | | |
| | Required format is: DD/MM/YYYY | | | | | |
| External Asset Account | Enter the Identifier of the External Asset Account | | | | | |
| Is Deliver | Enter / Select if it is delivered or not, you can choose between possible values: | | | | | |
| | - Yes | | | | | |
| | – No | | | | | |
| Impact Mode | Enter the impact mode (possible values: Deliver, Receive) | | | | | |
| Internal Asset Account | Enter / Select the Identifier of the Internal Asset Account | | | | | |
| NCB Parti- cipant | Enter / Select the identifier of the Counterparty in the ECMS. | | | | | |
| NCB Parti- | Enter the NCB Participant Type from the possible values: | | | | | |
| cipant Type | - Counterparties | | | | | |
| | - Non-euro Area CBs | | | | | |
| Button | Function | | | | | |
| Reset | This function enables you to clear the form. | | | | | |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. | | | | | |
| | Next screen: | | | | | |



- U2A Statement of Pending Transactions - List Screen.

3.2.11.1.3. U2A Statement of Pending Transactions – List Screen

| Context of Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Report Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. | | | | | | | | | | | | | | | |
|---------------------|---|--|--|---|---|--------------------------|--|---|---|---|--|----------------------------------|--|--|--|-------------------------|
| | Reference Data >> Reports >> U2A Statement of Pending Transactions >> Click on the search button (after inputting the relevant data, if needed) | | | | | | | | | | | | | | | |
| Screenshot | 10 V BSC+ BSC+ BSC+ BSC+ BSC+ BSC+ | | ECMS Internal ASS BSCHESMMOOX BSCHESMMOOX BSCHESMMOOX BSCHESMMOOX BSCHESMMOOX | Impact Mode © © deliver receive deliver | Quantity © \$\infty\$ 1,000,000 44 12 1,000,000 | EUR EUR | SIN ◆ ES0008L82H52 ES000011676 ES0008L82H52 ES000012021 | Asset Name \$ 0000 STRIP EST. PRINCIPAL OBL. E. CUPON STRIP EST. CUPON STRIP EST. CUPON STRIP EST. CUPON STRIP EST. | Settlement Date ₹ 06/10/2021 14/02/2023 02/02/2023 | Trade Date ◆ 06/16/2021 14/02/2023 02/02/2023 04/10/2021 11/05/2023 | Statement Refere | daily daily daily | Statement Date \$7 01/05/2024 01/05/2024 01/05/2024 01/05/2024 01/05/2024 | Update Date ◆ ▼ 22/05/2024 18 03 23/05/2024 18 03 23/05/2024 18 03 23/05/2024 18 03 23/05/2024 18 02 | Updater User Id ECMSOperational D ECMSOperational D ECMSOperational D ECMSOperational D ECMSOperational D | Ves No Ves No |
| | 88W 88W 88W | ALAA001 ALAA00 | BBVAESMMXXX BBVAESMMXXX BBVAESMMXXX BBVAESMMXXX BBVAESMMXXX BBVAESMMXXX | deliver deliver receive deliver receive | 3 2 22 3 | EUR EUR EUR EUR | ES000BLB2H52 ES0305217004 ES0305217004 ES000BLB2H52 ES0000012023 | CUPON STRIP EST BTN BBVA RMBS 1 BTN BBVA RMBS 1 CUPON STRIP EST | 11/05/2023 11/05/2023 02/02/2023 | 11/05/2023 11/05/2023 02/02/2023 11/05/2023 11/05/2023 | 5006836620 5006836620 5006836620 5006836620 | daily daily daily daily | 01/05/2024 01/05/2024 01/05/2024 01/05/2024 01/05/2024 Export Report Csy | 23/05/2024 18:02 23/05/2024 18:02 23/05/2024 18:02 23/05/2024 18:02 | ECMSOperationalD ECMSOperationalD ECMSOperationalD ECMSOperationalD ECMSOperationalD | Yes Yes No Yes |

| U2A Stateme | nt of Pending Transactions – List Screen | | | | | | |
|-------------------------|---|--|--|--|--|--|--|
| Field | Description | | | | | | |
| External As- | Shows the External Asset account Reference. | | | | | | |
| set Account | Displayed format is: DD/MM/YYYY | | | | | | |
| ECMS In- | Shows the Internal Asset Account reference | | | | | | |
| ternal Asset Account | Displayed format is: Max. 35 characters. | | | | | | |
| Impact Mode | Shows the Type of instruction: | | | | | | |
| | - Receive | | | | | | |
| | - Deliver | | | | | | |
| Quantity | Shows the Quantity of the asset in the internal asset account | | | | | | |
| Currency | Shows the Currency of the ISIN | | | | | | |
| ISIN | Shows the Identifier of the asset | | | | | | |
| Asset Name | Shows the name of the asset | | | | | | |
| Settlement Date | Settlement date of the ECMS Settlement Instruction | | | | | | |
| Trade Date | Shows the trade date. | | | | | | |
| | Displayed format is: DD/MM/YYYY | | | | | | |
| Statement | Shows the identifier of the report generated. | | | | | | |
| Reference | Displayed format is: Max. 35 characters. | | | | | | |
| Statement | Shows the Statement Frequency with possible values: | | | | | | |
| Frequency | - Ad-Hoc | | | | | | |
| | - Daily | | | | | | |
| | - Monthly | | | | | | |
| | - Weekly | | | | | | |
| | - Yearly | | | | | | |
| Statement Date | Shows the date of the generated report. The calendar icon can also be used. | | | | | | |
| | Displayed format is: DD/MM/YYYY | | | | | | |



| Shows the update date. |
|---|
| Displayed format is: DD/MM/YYYY |
| Shows the identification of the user that made the last update. |
| Shows if it is delivered or not (Yes, No values). |
| a record, the following buttons are displayed |
| Function |
| This function enables you to view a copy of the Report selected. |
| Next screen: |
| U2A Statement of Pending Transactions – Details Screen |
| This function enables you to Export the information displayed / selected to csv format |
| This function enables you to Export the information displayed / selected to excel format. |
| This function enables you to Export the information displayed / selected to xml format. |
| |

3.2.11.1.3. U2A Statement of Pending Transactions – Details Screen

| Context of Usage | This screen displays a copy of the Report selected. You can check the data and proceed further by clicking on the buttons. | | | | | | | | |
|------------------|---|--|--|--|--|--|--|--|--|
| Screen Access | Reference Data >> Reports >> U2A Statement of Pending Transactions >> Click on the search button (after inputting the relevant data, if needed) >> Select a Report Generated >> Click on the <i>View</i> button | | | | | | | | |
| Screenshot | Search Result : UZA Statement Of Pending Transactions > View : Pending Transactions representations of the Common | Consider Account Exercise Account Exerci | Is Delive Sis Assert turns CETONSTRIBESTATIO Trade One Seasons Submissed Perference Seasons Submissed Perference | | | | | | |

| U2A Statem | ent of Pending Transactions – Details Screen | | | | | | |
|--------------------|---|--|--|--|--|--|--|
| Field | Description | | | | | | |
| Statement Date | Shows the date of the generated report. The calendar icon can also be used. | | | | | | |
| | Displayed format is: DD/MM/YYYY | | | | | | |
| | Shows the External Asset account Reference. | | | | | | |
| set Account | Displayed format is: DD/MM/YYYY | | | | | | |
| Is Deliver | Shows if it is delivered or not (Yes, No values). | | | | | | |
| Currency | Shows the Currency of the ISIN | | | | | | |
| Quantity | Shows the Quantity of the asset in the internal asset account | | | | | | |
| Asset Name | Shows the name of the asset | | | | | | |
| ISIN | Shows the Identifier of the asset | | | | | | |
| Settlement Date | Settlement date of the ECMS Settlement Instruction | | | | | | |
| Trade Date | Shows the trade date. | | | | | | |



| | Displayed format is: DD/MM/YYYY | | | | | | | | |
|----------------------------------|---|--|--|--|--|--|--|--|--|
| Statement | Shows the Statement Frequency with possible values: | | | | | | | | |
| Frequency | - Ad-Hoc | | | | | | | | |
| | - Daily | | | | | | | | |
| | - Monthly | | | | | | | | |
| | - Weekly | | | | | | | | |
| | - Yearly | | | | | | | | |
| ECMS In- | Shows the identifier of the owner of the Internal Asset Account. | | | | | | | | |
| ternal Asset Account Owner | Displayed format is: Max. 35 characters. | | | | | | | | |
| Impact | Shows the Type of instruction: | | | | | | | | |
| Mode | - Receive | | | | | | | | |
| | - Deliver | | | | | | | | |
| Statement | Shows the identifier of the report generated. | | | | | | | | |
| Reference | Displayed format is: Max. 35 characters. | | | | | | | | |
| Footprint | | | | | | | | | |
| Creation | Shows the date and time of the creation. | | | | | | | | |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | | | | | |
| Creation User Id | Shows the identification of the user that performed the creation. | | | | | | | | |
| Update Date | Shows the update date. | | | | | | | | |
| | Displayed format is: DD/MM/YYYY | | | | | | | | |
| Updater User Id | Shows the identification of the user that made the last update. | | | | | | | | |

3.2.11.1.4 U2A Official SoH

3.2.11.1.4. U2A Official SoH

3.2.11.1.4. U2A Official SoH - Search Screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the U2A Official Statement of Holdings Generated. | | | | | | |
|---------------------|--|--|--|--|--|--|--|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. | | | | | | |
| Screen Ac- cess | Reference Data >> Reports >> U2A Official StoH | | | | | | |
| Screen- shot | Search Criteria : Client Holding Statement Statement Of Holding Statement Statement Of Holding Statement Account Account Q NOS Periopant | | | | | | |

| U2A Official SoH – Search screen | | | | | |
|----------------------------------|-------------|--|--|--|--|
| Field | Description | | | | |



| Statement Date* | Enter the date of the generated report. The calendar icon can also be used. | | | | | | | | |
|---------------------------|--|--|--|--|--|--|--|--|--|
| | Required format is: DD/MM/YYYY | | | | | | | | |
| Internal Asset Account | Enter / Select the Identifier of the Internal Asset Account | | | | | | | | |
| NCB Parti- cipant | Enter / Select the identifier of the Counterparty in the ECMS. | | | | | | | | |
| NCB Parti- | Enter the NCB Participant Type from the possible values: | | | | | | | | |
| cipant Type | Counterparties | | | | | | | | |
| | Non-euro Area CBs | | | | | | | | |
| Button | Function | | | | | | | | |
| Reset | This function enables you to clear the form. | | | | | | | | |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. | | | | | | | | |
| | Next screen: | | | | | | | | |
| | U2A Official SoH – List Screen. | | | | | | | | |

3.2.11.1.4.1. U2A Oficial SoH - List Screen

| Context of Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Report Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. | | | | | | | | | | | | |
|---------------------|---|--|--|---|--|--|---|---|--|---|---|---|------------------------------------|
| Screen Ac- cess | Refere button | | | | | | | | | | Click | on the | e search |
| Screenshot | searchOfficial : Clie | ent Holding | Statement | | | | | | | | | | |
| Screenshot | 10 🔻 | | | | | | | | | | | | Q 95 * # = () |
| | | | | | | | | | The residence of the latest of | | | | |
| | Statement Id Sta | itement Date | Internal Asset A | NCB Participant | NCB Participant | ISIN O | Quantity 🗢 🦻 | Denomination C | Collateral Valuat | Issuer CSD | Update Date 🗢 🖓 | Updater User Id ♥ | Investor CSD Statement Ba |
| | | tement Date* | ABVR009IAA01 | NCB Participant ABVR009 | NCB Participant's COUNTERPARTIES | The second second | | Denomination C: | | AT9900 | 22/09/2023 18:16 | | Investor CSD Statement Ba |
| | SH202392236401 22/ | | | | | The second second | 50 | | 0 | | | ECMSOperational | |
| | SH202392236401 22/0 SH202392236401 22/0 | 09/2023 | ABVR009(AA01 | ABVR009 | COUNTERPARTIES | AT0000A26853 | 50 | EUR EUR | 0 | AT9900 | 22/09/2023 18:16 | ECMSOperational | SETT |
| | SH202392236401 22// SH202392236401 22// SH202392236401 22// | 09/2023 | ABVR009IAA01 ABVR009IAA01 | ABVR009 ABVR009 | COUNTERPARTIES COUNTERPARTIES | AT0000A26853 AT0000A1ASR4 AT0000A26853 | 50 500 | EUR EUR EUR | 0 | AT9900 AT9900 AT9900 | 22/09/2023 18:16 22/09/2023 18:16 | ECMSOperational ECMSOperational ECMSOperational | SETT SETT |
| | SH202392236401 22// SH202392236401 22// SH202392236401 22// SH202392236401 22// | 09/2023 09/2023 09/2023 | ABVR009IAA01 ABVR009IAA01 ABVR009IAA01 | ABVR009 ABVR009 ABVR009 | COUNTERPARTIES COUNTERPARTIES COUNTERPARTIES | AT0000A26853 AT0000A1ASR4 AT0000A26853 AT0000A26895 | 50 500 1,300 | EUR EUR EUR | 0 0 | AT9900 AT9900 AT9900 AT9900 | 22/09/2023 18:16 22/09/2023 18:16 22/09/2023 18:16 22/09/2023 18:16 | ECMSOperational ECMSOperational ECMSOperational | SETT SETT SETT |
| | SH202392236401 22// SH202392236401 22// SH202392236401 22// SH202392236401 22// SH202392236401 22// | 09/2023 09/2023 09/2023 09/2023 | ABVR009IAA01 ABVR009IAA01 ABVR009IAA01 ABVR003IAA01 | ABVR009 ABVR009 ABVR009 ABVR003 | COUNTERPARTIES COUNTERPARTIES COUNTERPARTIES COUNTERPARTIES | AT0000A26853 AT0000A1ASR4 AT0000A26853 AT0000A26895 | 50 500 1,300 1,130,000 | EUR EUR EUR EUR EUR | 0 0 0 1,012,480 892,400 | AT9900 AT9900 AT9900 AT9900 | 22/09/2023 18:16 22/09/2023 18:16 22/09/2023 18:16 22/09/2023 18:16 | ECMSOperational ECMSOperational ECMSOperational ECMSOperational ECMSOperational | SETT SETT SETT SETT |
| | SH202392236401 22// SH202392236401 22// SH202392236401 22// SH202392236401 22// SH202392236401 22// | 09/2023 09/2023 09/2023 09/2023 | ABVR009IAA01 ABVR009IAA01 ABVR009IAA01 ABVR003IAA01 ABVR003IAA01 | ABVR009 ABVR009 ABVR009 ABVR003 ABVR003 | COUNTERPARTIES COUNTERPARTIES COUNTERPARTIES COUNTERPARTIES | AT0000A26853 AT0000A1ASR4 AT0000A26853 AT0000A26895 AT0000A26853 AT0000A1ASR4 | 50 500 1,300 1,130,000 1,568,000 | EUR EUR EUR EUR EUR EUR | 0 0 0 1,012,480 892,400 | AT9900 AT9900 AT9900 AT9900 AT9900 | 22/09/2023 18:16 22/09/2023 18:16 22/09/2023 18:16 22/09/2023 18:16 22/09/2023 18:16 | ECMSOperational ECMSOperational ECMSOperational ECMSOperational ECMSOperational | SETT SETT SETT SETT |
| | SH202392236401 22// SH202392236401 22// SH202392236401 22// SH202392236401 22// SH202392236401 22// SH202392236401 22// SH202392236401 22// | 09/2023 09/2023 09/2023 09/2023 09/2023 | ABVR009(AA01 ABVR009(AA01 ABVR009(AA01 ABVR003(AA01 ABVR003(AA01 ABVR003(AA01) | ABVR009 ABVR009 ABVR009 ABVR003 ABVR003 ABVR003 | COUNTERPARTIES COUNTERPARTIES COUNTERPARTIES COUNTERPARTIES COUNTERPARTIES | AT0000A26853 AT0000A1ASR4 AT0000A26853 AT0000A26895 AT0000A26853 AT0000A1ASR4 | 50 500 1,300 1,130,000 1,568,000 | EUR EUR EUR EUR EUR EUR EUR | 0 0 0 1,012,480 892,400 | AT9900 AT9900 AT9900 AT9900 AT9900 | 22/09/2023 18:16 22/09/2023 18:16 22/09/2023 18:16 22/09/2023 18:16 22/09/2023 18:16 | ECMSOperational ECMSOperational ECMSOperational ECMSOperational ECMSOperational ECMSOperational ECMSOperational ECMSOperational | SETT SETT SETT SETT SETT SETT |
| | SH202392236401. 22// SH202392236401. 22// SH202392236401. 22// SH202392236401. 22// SH202392236401. 22// SH202392236401. 22// SH202392236401. 22// SH202392236401. 22// | 09/2023 09/2023 09/2023 09/2023 09/2023 09/2023 09/2023 09/2023 | ABVR009(AA01 ABVR009(AA01 ABVR009(AA01 ABVR003(AA01 ABVR003(AA01 ABVR003(AA01 ABVR003(AA01 ABVR003(AA01 | ABVR009 ABVR009 ABVR009 ABVR003 ABVR003 ABVR003 ABVR003 ABVR003 | COUNTERPARTIES COUNTERPARTIES COUNTERPARTIES COUNTERPARTIES COUNTERPARTIES COUNTERPARTIES COUNTERPARTIES | AT0000A26853 AT0000A1ASR4 AT0000A26853 AT0000A26895 AT0000A26893 AT0000A1ASR4 AT000B049630 DE000A3H2ZW1 | 50 500 1,300 1,130,000 1,568,000 1,000 | EUR EUR EUR EUR EUR EUR EUR EUR EUR USD | 0 0 1,012,480 892,400 0 287,259,38550424 | AT9900 AT9900 AT9900 AT9900 AT9900 AT9900 AT9900 AT9900 DE05722 | 22/09/2023 18:16_ 22/09/2023 18:16_ 22/09/2023 18:16_ 22/09/2023 18:16_ 22/09/2023 18:16_ 22/09/2023 18:16_ 22/09/2023 18:16_ | ECMSOperational | SETT SETT SETT SETT SETT SETT SETT |

| U2A Official S | SoH – List Screen | | | | | |
|-----------------------|--|--|--|--|--|--|
| Field | Description | | | | | |
| Statement Id | Shows the identifier of the report generated. | | | | | |
| | Displayed format is: Max. 35 characters. | | | | | |
| Statement | Shows the date of the generated report. | | | | | |
| Date | Displayed format is: DD/MM/YYYY | | | | | |
| | Shows the Internal Asset Account reference | | | | | |
| Account | Displayed format is: Max. 35 characters. | | | | | |
| NCB Parti- cipant | Shows the RIAD Code that uniquely identifies the Counterparty in the ECMS. | | | | | |
| | Displayed format is: Max. 30 characters. | | | | | |
| NCB Parti- | Shows the NCB Participant Type from possible values: | | | | | |
| cipant Type | Counterparties | | | | | |
| | - Non-euro Area CBs | | | | | |



| ISIN | Shows the Identifier of the asset | | | | | |
|-------------------------|--|--|--|--|--|--|
| Quantity | Shows the Quantity of the asset in the internal asset account | | | | | |
| Denomination Currency | Shows the Currency of the ISIN | | | | | |
| Collateral Valuation | Shows the Collateral value after haircut of an asset in the internal asset account | | | | | |
| Issuer CSD | Shows the Identifier of the issuer CSD | | | | | |
| Update Date | Shows the update date. | | | | | |
| | Displayed format is: DD/MM/YYYY | | | | | |
| Updater User Id | Shows the identification of the user that made the last update of the record. | | | | | |
| NCB Cus- | Shows the RIAD Code of the NCB Custodian. It informs about: | | | | | |
| todian | The CSD acting as Investor CSD for domestic positions. | | | | | |
| | The NCB acting as CCB in case of CCBM positions. | | | | | |
| Statement | Shows the Basis of the Statement between possible values: | | | | | |
| Basis | - SETT | | | | | |
| After selecting | a record, the following buttons are displayed | | | | | |
| Button | Function | | | | | |
| Official PDF | This function enables you to download the information displayed / selected in PDF with a letter format | | | | | |
| All Official SoH | This function enables you to download all the information in PDF with a letter format | | | | | |

3.2.11.1.5 U2A Official SoT

3.2.11.1.5. U2A Official SoT – Search Screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the U2A Official Statement of Transactions Generated. | | | | | | | | | |
|--------------------|--|------------------------|-----------------------------|--|--|--|--|--|--|--|
| | The search results will be displayed in a list. After selecting an entican proceed further by clicking on the buttons that are shown. | | | | | | | | | |
| Screen Ac- cess | Reference Data > | >> Reports >> U2A Off | icial SoT | | | | | | | |
| Screen- shot | Search : UZA Statement Of Transactions Internal Asset Account Statement Start Date | Q NCB Participant •• ▼ | Q NCB Participant Type •• • | | | | | | | |

| U2A Official S | U2A Official SoT – Search screen | | | | | | | | |
|---------------------------|--|--|--|--|--|--|--|--|--|
| Field | Description | | | | | | | | |
| Internal Asset Account | Enter / Select the Identifier of the Internal Asset Account | | | | | | | | |
| NCB Parti- cipant | Enter / Select the identifier of the Counterparty in the ECMS. | | | | | | | | |
| NCB Parti- cipant Type | Enter the NCB Participant Type from the possible values: - Counterparties | | | | | | | | |
| | Non-euro Area CBs | | | | | | | | |



| Statement | Enter the statement start date. The calendar icon can also be used. | | | | | |
|------------|--|--|--|--|--|--|
| Start Date | Required format is: DD/MM/YYYY | | | | | |
| Statement | Enter the statement end date. The calendar icon can also be used. | | | | | |
| End Date | Required format is: DD/MM/YYYY | | | | | |
| Button | Function | | | | | |
| Reset | This function enables you to clear the form. | | | | | |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. | | | | | |
| | Next screen: | | | | | |
| | - U2A SoT - List Screen. | | | | | |

3.2.11.1.5. U2A Official SoT – List Screen

| Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Report Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. | | | | | | | | | | | | | | |
|---------------|---|--|---|---|------|--|---|--|----------------------------------|--|-------------------------|--|---|--|--|
| Screen Access | | | | | | | ts >> I | | | | ck or | the | searc | h but | ton |
| Screenshot | 11 | Account Reference ABVR019IAA02 ABVR019IAA01 ABVR019IAA01 ABVR019IAA01 ABVR019IAA02 ABVR019IAA02 ABVR019IAA02 ABVR019IAA02 ABVR019IAA02 | ECMS Internal A ABVRATWW019 ABVRATWW019 ABVRATWW019 ABVRATWW019 ABVRATWW019 ABVRATWW019 | Quantity • \$21 100 200,000 100,000 1,000 | FAMT | Currency Cur | Effective Settle 26/06/2023 21/06/2023 05/06/2023 05/05/2023 05/05/2023 | ISIN \$ GR0138017836 AT0000384128 AT0000384128 ES0305213003 ES0305213003 | BTN SANT CAU 1 BTN SANT CAU 1 | Statement id ◆ ▼ ST202362836300 ST202365349009 ST202365349009 ST202365349009 ST202365349009 ST202355334002 | Daily Daily Daily Daily | 7 Start Date \$ 26/06/2023 21/06/2023 05/06/2023 05/06/2023 11/05/2023 | End Date 26/06/2023 21/06/2023 05/06/2023 11/05/2023 05/06/2023 | 18/07/2023 09:4 18/07/2023 09:4 13/07/2023 09:4 28/06/2023 16:1 28/06/2023 19:1 09/06/2023 09:4 | Updater User Id © ECMSOperational ECMSOPERATO ECMS OPERATO ECMS OPERAT |
| | Е | ABVR019IAA02 | ABVRATWW019 | 1,000 | FAMT | EUR | 05/05/2023 | ES0305213003 | BTN SANT CAU 1 | ST202355334002 | | 05/05/2023 oort Report Csv | 05/05/2023 Export Report Excel | 20/05/2023 09:4. | |

| U2A Official S | SoT – List Screen |
|------------------|---|
| Field | Description |
| Statement Id | Shows the identifier of the report generated. |
| | Displayed format is: Max. 35 characters. |
| Statement | Shows the statement start date. |
| Start Date | Displayed format is: DD/MM/YYYY |
| Statement | Shows the statement end date. |
| End Date | Displayed format is: DD/MM/YYYY |
| Internal Asset | Shows the Internal Asset Account reference |
| Account | Displayed format is: Max. 35 characters. |
| | Shows the Internal Asset Account owner |
| Account Owner | |
| ISIN | Shows the Identifier of the asset |
| Asset Name | Shows the name of the asset |
| Quantity | Shows the Quantity of the asset in the internal asset account |
| Currency | Shows the Currency of the ISIN |
| Effective Set- | Shows the effective settlement date. |
| tlement Date | Displayed format is: DD/MM/YYYY |
| Report Fre- | Shows the Statement Frequency with possible values: |
| quency | - Ad-Hoc |



| | - Daily |
|-----------------|--|
| | - Monthly |
| | - Weekly |
| | - Yearly |
| Update Date | Shows the update date. |
| | Displayed format is: DD/MM/YYYY |
| After selecting | a record, the following buttons are displayed |
| Button | Function |
| Official PDF | This function enables you to download the information displayed / selected in PDF with a letter format |

3.2.11.2 User Access Rights Report

This report shows the users and roles granted and it can be requested by NCBs and also by Counterparties in U2A mode:

- In case it is requested by an NCB, this report informs on the roles granted to its community and the roles granted to its own users.
- In case it is requested by a Counterparty, it informs on the roles granted to its own users.

3.2.11.2.1 User Access Rights Report – Search Screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the User Access Rights Report. The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. | | | | |
|---------------------|--|--------------------------------|-----------------|--|--|
| Screen Access | Reference Data >> Repo | rts >> User Access Righ | nts Report | | |
| Screenshot | Search Cutter Access Rights Report Control Coults Access Test Acc | terminous ** Not ** Sen 6 ** | possitions ** * | | |

| User Access Rig | User Access Rights Report – Search screen | | | | | |
|------------------------|---|--|--|--|--|--|
| Field | Description | | | | | |
| Current Groups | Enter a possible group. | | | | | |
| Current Roles | Enter the Security Role from possible values: | | | | | |
| | List of Access Rights Roles in the addendum - ECMS Roles_AARR Matrix NCBs&Entities | | | | | |
| Deleted Groups | Enter a Deleted Group | | | | | |
| Deleted Roles | Enter a Deleted Rol (see possible values in above field Current Roles). | | | | | |
| Deletion Date | Enter the date of Deletion. | | | | | |
| | Required format is: DD/MM/YYYY. | | | | | |
| Ecms Party ID | Enter a Party identificator (Party Internal Id_Party RIAD Code). | | | | | |
| | Required format: Max.71 chars | | | | | |



| Ncb Id | Enter the Party RIAD Code of the NCB. |
|------------|--|
| INCD IG | Effect the Farty NAD Gode of the NOD. |
| | Required format: Max. 35 chars. |
| New Groups | Enter a New Group |
| New Roles | Enter a New Rol (see possible values in above field Current Roles). |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | User Access Rights Report-List Screen. |

3.2.11.2.2 User Access Rights Report – List Screen

| Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below | | | | | | | | | | | | |
|------------|--|---------------------------------------|---|------------------|-----------------------|-------------------------------|-------------|---------------|---------------------------------------|--|--|---------------------|----|
| Screen Ac- | I | | | | | | | | _ | | | Click | on |
| cess | the s | earcn | Dullo | n (ane | er inpu | ung | me re | elevan | ı Dala | , ii ne | eaea) | | |
| Screen- | Search Result : A | Access Rights Report | | | | K < Page | 1 of 71 > > | | | | | Q 70 | |
| shot | Current Groups \$ | Corrent Roles & Super Validator - NCB | Orletted Groups \$ Orletted Grou | Deleted Roles \$ | 23/05/2022.19.17-30.8 | LECMSOPERATOR 1_ECMSOPERATOR | Ncb lid © | New Groups \$ | New Roles & NOB - UZA CREDIT CLadmin | 28/06/2022 11:36:57:0. 27/06/2022 11:09:21:8. 27/06/2022 10:33:22:9. 27/06/2022 09:52:42:0. 24/06/2022 10:21:52:1. 23/06/2022 19:17:30:8. 23/06/2022 18:51:58:4. | 27/06/2022 09 52-42:1. 24/06/2022 10:21:52:2. 23/06/2022 19:19:42:8. 23/06/2022 19:17:30:8. 23/06/2022 18:57:59:6. 23/06/2022 18:51:58:4. | Dew Dew Dew Dew Dew | |

| User Access Rig | ghts – List screen |
|-----------------|--|
| Field | Description |
| Current Groups | Shows current group. |
| Current Roles | Shows current Role from possible values: |
| | List of Access Rights Roles in the addendum - ECMS Roles_AARR Matrix NCBs&Entities |
| Deleted Groups | Shows Deleted Group |
| Deleted Roles | Shows a Deleted Rol (see possible values in above field Current Roles). |
| Deletion Date | Shows the date of Deletion. |
| | Displayed format is: DD/MM/YYYY. |
| Ecms Party ID | Shows Party identificator (Party Internal Id_Party RIAD Code). |
| | Displayed format: Max.71 chars |
| Ncb Id | Shows the Party RIAD Code of the NCB. |
| | Displayed format: Max. 35 chars. |
| New Groups | Shows New Group |
| New Roles | Shows New Rol (see possible values in above field Current Roles). |
| Report Date | Shows the date and time of the report |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation Date | Shows the Creation Date |



| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
|------------------------|---|
| User ID | Shows the identification of the User. |
| | Displayed format: Max. 35 chars. |
| User Update | Possible values: |
| | - New |
| | - Deleted |
| Button | Function |
| View | This function enables you to access to the detailed information of a User Access Rights Report. |
| | Next screen: |
| | User Access Rights Report - Details Screen. |
| Export Re- port.Csv | This function enables you to export the data showed in this list screen to a CSV file. |
| Export Report Excel | This function enables you to export the data showed in this list screen to an Excel file. |
| Export Re- port.Xml | This function enables you to export the data showed in this list screen to a XML file. |

3.2.11.2.2. User Access Rights Report – Details Screen

| Context of Usage | | olays detailed info ou can check the | | | |
|------------------|--|---|-----------------------------------|---|----------|
| Screen Access | the search butto | >> Reports >> U on (after inputting Rights Report >> | the relevant I | Data, if needed) | |
| Screenshot | Search Result : Access Rights Report > View : Access Current Groups Delices fluids No.14.1 No.14.1 No.14.1 No.15.1 No. | Rights Report Current Roles NCB: 12AUS TAXATION EXECU- Deletion Date New Groups | ZON - 186 Super Validator | Ovleted Groups Econs Party ID L Straited New Poles | ⊠ [|
| | Report Date Paper Date Prooffined FoodPrint Updates User of BECS-MIN Company User for BECS-MIN Company User for | One IS DYTAXXwe2 | Update Date 2166-0011 (635-25-007 | User Update len | ~ |

| User Access Rights – Details screen | | | | | |
|-------------------------------------|--|--|--|--|--|
| Field | Description | | | | |
| Current Groups | Shows current group. | | | | |
| Current Roles | Shows current Role from possible values: | | | | |
| | List of Access Rights Roles in the addendum - ECMS Roles_AARR Matrix NCBs&Entities | | | | |
| Deleted Groups | Shows Deleted Group | | | | |
| Deleted Roles | Shows a Deleted Rol (see possible values in above field Current Roles). | | | | |
| Deletion Date | Shows the date of Deletion. | | | | |
| | Displayed format is: DD/MM/YYYY. | | | | |
| Ecms Party ID | Shows Party identificator (Party Internal Id_Party RIAD Code). | | | | |



| | Displayed format: Max.71 chars |
|------------------|---|
| Ncb Id | Shows the Party RIAD Code of the NCB. |
| | Displayed format: Max. 35 chars. |
| New Groups | Shows New Group |
| New Roles | Shows New Rol (see possible values in above field Current Roles). |
| Report Date | Shows the date and time of the report |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| User ID | Shows the identification of the User. |
| | Displayed format: Max. 35 chars. |
| User Update | Possible values: |
| | - New |
| | - Deleted |
| Footprint | |
| Creation Date | Shows the identification of the user that made the last update. |
| Creation User Id | Shows the identification of the user that created the data. |
| Update Date | Shows the date and time of the last update. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update. |

3.2.12 Setup

3.2.12.1 File Channel Configuration

3.2.12.1.1 File Channel Configuration – Search Screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the File Channel Configuration. |
|------------------|--|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |
| Screen Access | Reference Data >> Setup >> File Channel Configuration |
| Screen- shot | Context / Display File Classed Configuration COSS Flag |

| File Channel Configuration – Search screen | | |
|--|---|--|
| Field | Description | |
| , | Enter / Select the RIAD Code that identifies the counterparty in the ECMS. | |
| Use File Chan- nel | Enter / Select if the flag Use File Channel is activated, from possible values: | |
| | - Yes | |
| | - No | |
| Button | Function | |
| Reset | This function enables you to clear the form. | |



| Create | This function enables you to create a new File Channel Configuration. |
|--------|--|
| | Next screen: |
| | File Channel Configuration – Create Screen. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | File Channel Configuration – List Screen. |

3.2.12.1.1. File Channel Configuration – List Screen

| Context of Usage | by the value | s of the 'Update er selecting an er | rch results displaye Date' column in des ntry, you can procee | scending order (def | ault |
|------------------|--|--|---|---|---------------------|
| Screen Access | Reference Data >> Setup >> File Channel Configuration >> Click on the search button (after inputting the relevant Data, if needed) | | | | |
| Screenshot | Search Result : Flow Out Switcher Sta 11 Use File Charmel 8 Yes | © ECMS Party ± Advecto | (7) Updater there til 8 137 | © (Bodier Dane 8 36/35/00/20 1 2 57 62 594 | ▲ QT ★朝() ♥ ▽ |

| File Channel Configuration – List Screen | | | |
|--|--|--|--|
| Field | Description | | |
| ECMS Party | Shows the RIAD Code that identifies the counterparty in the ECMS. | | |
| Use File | Shows if the flag Use File Channel is activated, from possible values: | | |
| Channel | - Yes | | |
| | - No | | |
| Updater User Id | Identifier of the user responsible for the last update of the configuration | | |
| Update Date | Date and time when the configuration was last updated in the ECMS. | | |
| | Display format is: DD/MM/YYYY hh:mm:ss:µs. | | |
| After selecting | a record, the following buttons are displayed | | |
| Button | Function | | |
| Edit | This function enables you to edit a File Channel Configuration. | | |
| | Next screen: | | |
| | File Channel Configuration – Edit Screen. | | |
| View | This function enables you to access to the detailed information of a File Channel Configuration. | | |
| | Next screen: | | |
| | File Channel Configuration – Details Screen. | | |
| Delete | This function enables to delete a specific File Channel Configuration. | | |

3.2.12.1.1. File Channel Configuration – Details Screen

| Usage | This screen displays detailed information on the selected File Channel Configuration. You can check the data and proceed further by clicking on the buttons. |
|-------|--|
| | Jsage |



| | Reference Data >> Setup >> Message Subscription >> File Channel Configuration >> Click on the search button (after inputting the relevant Data, if needed) >> Select a record >> Click on the <i>View</i> button | |
|------------|--|--|
| Screenshot | Search Result: Flow Out Switcher Sta Content EUS Plany ANY 2004 Fees A. Use Flow Out Switcher Sta Year. Use Flow Out Switcher Sta Year. The Custom I Sta | |

| File Channel Configuration – Details Screen | | |
|---|---|--|
| Context | | |
| Field | Description | |
| ECMS Party | Shows the RIAD Code that identifies the counterparty in the ECMS. | |
| Result | | |
| Use File Channel | Shows if the flag Use File Channel is activated, from possible values: - Yes - No | |

3.3 Marketable Asset Instructions and Positions

3.3.1 Marketable Asset Instruction

3.3.1.1 Counterparty Marketable Asset Instructions

Counterparty Marketable Asset Instructions represent the instruction received by the ECMS from the counterparty to mobilise or demobilize a Marketable Asset in or from one of its NCB Participant Asset Accounts.

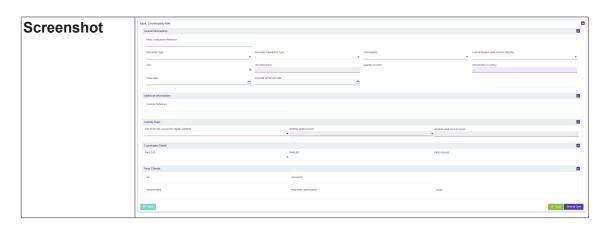
A Refinancing NCB can access to the details of the Counterparty Marketable Asset Instructions originated by the Counterparties of its community through the different screens described in this section.

The "Client Side" of Counterparty Marketable Asset Instructions corresponds to an ECMS Counterparty whereas the "Market Side" corresponds either to a domestic T2S CSD (for domestic (de)mobilization) or to another NCB (for non-domestic (de)mobilization)

3.3.1.1.1 Counterparty Marketable Asset Instruction – Input Screen

| Context of Usage | This screen is used to input manually a Counterparty Marketable Asset Instruction. |
|-----------------------|---|
| Business Case related | Input a Counterparty Marketable Asset (de)Mobilisation Instruction |
| Screen Access | Instructions and Positions >> Instructions and Positions >> MA Instruction >> Input Instruction >> Marketable Asset Instruction |





| Counterpart | y Marketable Asset Instructions –Input screen | | |
|--|--|--|--|
| Field | Description | | |
| General information | | | |
| Party's In- struction Reference* | Enter the Reference of the instruction given by the Instructing Party. | | |
| | Required format is: Max. 16 characters. | | |
| Instruction Type* | To select the Instruction Type from the drop-down menu. The possible values are: | | |
| | Marketable Asset Mobilisation (RECE) | | |
| | Marketable Asset Demobilisation (DELI) | | |
| | Enter the securities transaction type expressed as an ISO 20022 code from possible values: | | |
| Туре | - BSBK | | |
| | - COLI | | |
| | - COLO | | |
| | - MKDW | | |
| | - MKUP | | |
| | - NETT | | |
| | - NSYN | | |
| | – PAIR | | |
| | – PLAC | | |
| | – PORT | | |
| | – REAL | | |
| | - REDM | | |
| | - REPU | | |
| | - RODE | | |
| | - RVPO | | |
| | - SECB | | |
| | - SECL | | |
| | - SUBS | | |
| | - SYND | | |
| | - TBAC | | |
| | - TRAD | | |



| | - TRPO - TRVO - TURN - BYIY - CNCB - OWNE - FCTA - OWNI | |
|--|---|--|
| | RELESBRECORPCLAI | |
| | - AUTO - SWIF - SWIT - CONV | |
| | - ETFT - ISSU - SLRE | |
| Counter | - INSP - SBBK - REDI Enter or to Select the RIAD code of the Counterparty from a drop down | |
| Counter- party* | Enter or to Select the RIAD code of the Counterparty from a drop down menu. Note that if the user capturing the instruction is a counterparty user, the fields will be pre-filled with the RIAD code of that counterparty. | |
| NCB Parti- cipant Asset Account* | Enter or to Select the Reference of NCB Participant Asset Account on which the asset is (de)mobilized from a drop-down menu. | |
| ISIN* | Enter or to search the ISIN of the Marketable Asset (de)mobilized. | |
| ISIN De- scription [#] | Shows the Name of the Marketable Asset (de)mobilized. | |
| Quantity in FAMT* | Enter the Quantity instructed expressed in FAMT | |
| Denomina- tion Cur- rency# | Shows the currency of the instruction (by default euro) | |
| Trade Date* | Enter or Select the Trade Date of the Instruction | |
| | Required format is: DD/MM/YYYY. | |
| Intended | Enter or Select the Intended settlement date of the instruction. | |
| Settlement Date* | Required format is: DD/MM/YYYY. | |
| Additional Informations | | |
| Common Reference | Common Reference of the instruction | |



| Custody Ch | ain |
|------------------------------------|--|
| CSD of the | Enter or search the RIAD code of the CSD where the asset is received |
| | (Receiving CSD in a mobilisation instruction) or from where the asset is delivered (Delivering CSD for a demobilisation instruction). |
| External Asset Account# | Shows the Reference of T2S Account for Regular Collateral or of the ECMS Cross NCB Asset Account depending if the instruction is to be settled in a domestic CSD or not where the Marketable Asset is deposited. |
| External Asset Account owner# | Shows the BIC Code of the owner of the External Asset Account. |
| Counterpart | y Details |
| Party CSD* | Enter or to select the RIAD codeof the CSD of the Delivering party (for mobilisation) or Receiving party (for demobilisation). |
| Party BIC* | Enter the BIC Code of the Delivering party (for mobilisation) or Receiving party (for demobilization). |
| Party Ac- count | Enter the account Reference of the Delivering party (for mobilisation) or Receiving party (for demobilization). |
| Party 2 Deta | ils - Receiving |
| BIC | Enter the Party 2 BIC |
| Account ID | Enter the Party 2 Account ID. If informed, the Party 2 needs to be identified, either with the BIC or with the Issuer and Proprietary Id. |
| Issuer | Enter the Party 2 Issuer |
| Proprietary Identifica- tion | Enter the Party 2 Proprietary Identification |
| Scheme Name | Enter the Party 2 Scheme Name |
| Name | Enter the Party 2 Name |
| Party 2 Deta | ills - Delivering |
| BIC | Enter the Party 2 BIC |
| Account ID | Enter the Party 2 Account ID. If informed, the Party 2 needs to be identified, either with the BIC or with the Issuer and Proprietary Id. |
| Issuer | Enter the Party 2 Issuer |
| Proprietary Identifica- tion | Enter the Party 2 Proprietary Identification |
| Scheme Name | Enter the Party 2 Scheme Name |
| Name | Enter the Party 2 Name |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Save | This function enables you to save the creation of Counterparty Marketable Asset Instruction. |
| Save as Draft | To save under status "Draft" the Counterparty Marketable Asset Instruction. |



3.3.1.1.2 Counterparty Marketable Asset Instruction – Search Screen

| Context of Usage | This screen is used to search Counterparty Marketable Asset Instructions. It contains the fields that can be used as search criteria. |
|-------------------------------|--|
| | The user captures the fields that correspond to its criteria for searching Counterparty Marketable Asset Instructions. |
| | If a field is left blank, the field is not taken into account as a search criteria. |
| | Once search criteria have been filled, by clicking on the search button, the list of instructions fulfilling the criteria will be Showed. |
| Business Case re- lated | Search/List/View Counterparty Marketable Asset (de)Mobilisation Instructions |
| Screen Access | Depending how the screen is accessed, it can be used to search either the valid Instructions, or instructions that requires 4 eyes validation before they can be considered valid in the system. |
| | For valid instructions in any Status: |
| | Instructions and Positions >> Instructions and Positions >> MA Instruction >> Monitor >> Counterparty Instructions |
| | For instructions subject to 4 eyes validation: |
| | Instructions and Positions >> Instructions and Positions >> MA Instruction >> Validation / Rejection >> Validate / Reject MA Instructions |
| Screenshot | Search: Counterparty MAI |
| | Pury interaction 1- Interaction 16 - Interaction 1794 - Interaction 17 |
| | Counterparty •• V Q NGB Participant •• V Q CGO of the T25 •• V Enternil Asset •• V Q Asset Account Objects Colleged |
| | Party CSD • ▼ Trade Date • ▼ |
| | Business Status •• • Business Sub Status •• • Creation Date •• • Disconsistation •• • Q Settlement Nature •• • UDA Right •• • • UDA Right •• • • • • • • • • • • • • • • • • • |
| | Ones Q seems to Q Seems Q |
| | |

| Counterpa | Counterparty Marketable Asset Instructions – Search screen | | | |
|-------------------------------|--|--|--|--|
| Field | Description | | | |
| Party's In- | Enter the Reference of the instruction given by the Instructing Party. | | | |
| struction Reference | Required format is: Max. 16 characters. | | | |
| Instruction Id. | Enter the unique identifier of the instruction given by the ECMS. | | | |
| Instruction Type | Enter or Select the Instruction Type from the drop-down menu. The possible values are: | | | |
| | Marketable Asset Mobilisation (RECE) | | | |
| | Marketable Asset Demobilisation (DELI) | | | |
| | Manual Decrease of Position | | | |
| | Manual Increase of Position | | | |
| Counter- party | Enter or select the RIAD Code of the ECMS Counterparty responsible of the instruction (i.e. for which the asset is (de)mobilized). | | | |
| NCB Participant Asset Account | Enter or Select the Reference of the NCB Participant Asset Account on which the asset is (de)mobilized. | | | |



| ISIN | Enter or Select the ISIN of the Marketable Asset (de)mobilized. |
|---|--|
| | Enter the Trade Date of the Instruction or use the calendar icon. |
| | Required format is: DD/MM/YYYY. |
| Intended | Enter the intended settlement date of the instruction or use the calendar |
| Settlement | icon. |
| Date | Required format is: DD/MM/YYYY. |
| Effective | Enter the effective settlement date of the instruction or use the calendar |
| Settlement Date | |
| | Required format is: DD/MM/YYYY. |
| External Asset Ac- count | Enter or Select the Reference of T2S Account for Regular Collateral or of the ECMS Cross NCB Asset Account depending if the instruction is to be settled in a domestic CSD or not where the Marketable Asset is deposited. |
| CSD of the T2S Se- curities Ac- count for Regular Collateral | Enter or search the RIAD codeof the CSD where the asset is received (Receiving CSD in a mobilisation instruction) or from where the asset is delivered (Delivering CSD for a demobilisation instruction). |
| Party CSD | Enter or search the RIAD codeof the CSD of the Delivering party (for mobilisation) or Receiving party (for demobilisation). |
| Business | Enter or select the business status of the instruction from possible values: |
| Status | - Cancelled |
| | - Sent for Settlement |
| | - Waiting for NCB manual intervention |
| | - Validated |
| | - Matched |
| | - Queued |
| | - Rejected |
| | - Confirmed |
| Business | Enter or select the business substatus from possible values: |
| Sub Status | - Waiting for Global Collateral Position Update |
| | - Waiting for Settlement Date |
| | - Waiting User Validation |
| | - Waiting Deliver Leg Confirmation |
| U2A Input | Shows whether the instruction was captured in U2A mode or not from Possible values: |
| | - Yes |
| | - No |
| Creation Date | Enter the date and time when the instruction was created in the ECMS or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs. |
| Update Date | Enter the date and time when the instruction was last updated in the ECMS or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs. |
| Button | Function |
| Reset | This function enables you to clear the form. |



| Search | This function enables you to start a search according to the criteria entered. The results are Showed in a list on the screen List screen. Next |
|--------|---|
| | screen: |
| | Counterparty Marketable Asset Instruction – List Screen |

3.3.1.1.2.1 Counterparty Marketable Asset Instruction – List Screen

| Context of Usage | This screen contains a list of Counterparty Marketable Asset Instructions. The instructions listed correspond to the search criteria captured in the Counterparty Marketable Asset Instructions – Search screen. | | | | |
|--|--|--|--|--|--|
| Business Case re- lated | Search/List/View Counterparty Marketable Asset (de)Mobilisation Instructions | | | | |
| Screen Access | Depending how the screen is accessed, it can be used to list either the valid Instructions, or instructions that requires 4 eyes validation before they can be considered valid in the system. | | | | |
| | The list Showed can be sorted and filter by the field Showed. | | | | |
| | The list can be exported. | | | | |
| | By clicking on the "View" button or double clicking on the selected line to Shows the <i>Counterparty Marketable Asset Instructions</i> — <i>Details screen</i> with the details of the selected instruction. | | | | |
| | For valid instructions in any Status: | | | | |
| | Instructions and Positions >> Instructions and Positions >> MA Instructions >> Monitor >> Counterparty Instructions >> Search Counterparty Market able Asset Instructions | | | | |
| For instructions subject to 4 eyes validation: | | | | | |
| | Instructions and Positions >> Instructions and Positions >> MA Instruction >> Validation / Rejection >> Validate / Reject MA Instructions >> Search Counterparty Marketable Asset Instructions | | | | |
| Screen- | List Counterparty MAI 13 - | | | | |
| shot | Party 8 Ministration Ministrat | | | | |
| | MAXIND: MARISHS, Melenda, Described MAGGAT MAGGATA, ARTOGOAL 102 (1997)22, 2299/232, A 27990 Cuention AT9900 Cuention No 2109/232, CAMPS 2109/232, 2894/2034, Pre MAADSCA, MARISHS, M | | | | |
| | MACRETO, MALARES, Manimabl. Cancelled MASSAT MOSCATA. AT000017. 1,000 2015-202. 21/05-202. AT0000 Costellars. AT0000 Costellars. 100 2015-202. 3TP 20:05/202. SSATOMA. No MALARES, MACRETO, Manimabl. Represed AT000017. 1,000 2015-202. 21/05-202. AT0000 Costellars. M1000 Costellars. 100 20:05/202. CM-pgp 20:05/202. — No MALARES, MACRETO, Manimabl. MacReto, Manimable MacReto, | | | | |
| | ### MALGOS. Generals. Generals ATOSCAN ATOSCAN. | | | | |
| | Hotory ● Vow | | | | |

| Counterparty Marketable Asset Instructions – List screen | | |
|--|--|--|
| Column | Description | |
| Party's Instruction Reference | Shows the Reference of the instruction given by the Instructing Party. | |
| | Displayed format is: Max. 16 characters. | |
| Instruction Id. | [Only for valid instructions] | |
| | Shows the Unique identifier of the instruction given by the ECMS. | |
| Instruction Type | Shows the Type of Instruction. The possible values are: | |
| | Marketable Asset Mobilisation (RECE) | |
| | Marketable Asset Demobilisation (DELI) | |
| | Manual Decrease of Position | |
| | Manual Increase of Position | |



| Business Status | [Only for valid instructions] |
|---|--|
| | Shows the Business status of the instruction from possible values: |
| | - Cancelled |
| | - Sent for Settlement |
| | - Waiting for NCB manual intervention |
| | - Validated |
| | - Matched |
| | - Queued |
| | - Rejected |
| | - Confirmed |
| Business Sub Status | Shows the Business sub Status of the instruction from possible values: |
| | - Waiting for Global Collateral Position Update |
| | - Waiting for Settlement Date |
| | - Waiting User Validation |
| | - Waiting Deliver Leg Confirmation |
| NCB Participant Asset Account | Shows the reference of the NCB Participant Asset Account on which the asset is (de)mobilized. |
| Counterparty | Shows the ECMS Counterparty responsible of the instruction (i.e. for which the asset is (de)mobilized). |
| ISIN | Shows the ISIN of the Marketable Asset (de)mobilized. |
| Quantity in FAMT | Shows the quantity instructed expressed in FAMT |
| Trade Date | Shows the trade date of the instruction |
| | Displayed format is: DD/MM/YYYY. |
| Intended Settle- | Shows the Intended Settlement Date of the instruction. |
| ment Date | Displayed format is: DD/MM/YYYY. |
| Effective Settle- | Shows the Effective Settlement Date of the instruction. |
| ment Date | Displayed format is: DD/MM/YYYY. |
| CSD of the T2S Securities Ac- count for Regu- lar Collateral | Shows the RIAD code of the CSD where the asset is received (Receiving CSD in a mobilisation instruction) or from where the asset is delivered (Delivering CSD for a demobilisation instruction). |
| CSD of the T2S | Shows the Party Short Name of the CSD where the asset is received |
| Securities Account for Regular Collateral (PSN) | (Receiving CSD in a mobilisation instruction) or from where the asset is delivered (Delivering CSD for a demobilisation instruction). |
| Party CSD | Shows the RIAD code of the CSD of the Delivering Party (for mobilisation) or Receiving party (for demobilisation). |
| Party CSD (PSN) | Shows the Party Short Name of the CSD of the Delivering Party (for mobilisation) or Receiving party (for demobilisation). |
| Being Can- celled | Shows the indicator stating that the cancellation of the instruction has been requested. The possible values are: |
| | - Yes |
| | - No |
| | |



| U2A Input | Shows whether the instruction was captured in U2A mode or not from Possible values: |
|------------------|--|
| | - Yes |
| | - No |
| Creation Date | Date and time when the instruction was created in the ECMS. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id. | Identifier of the user responsible for the last update of the instruction. |
| Update Date | Date and time when the instruction was last updated in the ECMS. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Button | Function |
| View | This function enables you to view the detail of the selected Counterparty Marketable Asset instruction. |
| | Next screen: |
| | Counterparty Marketable Asset Instructions – Details Screen |
| | The Details screen is Showed replacing the current screen. |
| History | [Only for For Valid Information] |
| | This function enables you to view the History of the selected Counterparty Marketable Asset instruction. |
| | Next screen: |
| | Counterparty Marketable Asset Instructions – History Screen. |
| | |

| If the screen is used in the 4 eyes validation context, the following buttons are also displayed when a record is selected | | |
|--|--|--|
| Action to Validate = Creation | | |
| In case of creation of new data by 4-eyes user, the validator user will validate/reject. | | |
| Button | Function | |
| View | This function enables the user/validator user to view the draft record to be validated or rejected. | |
| Validate | This function allows the user to validate the creation or upate of the record so that they can be considered valid in the system | |
| Reject | This function allows the user to reject the creation or update of the record. The draft will be deleted. | |
| In case the record has been rejected the only available options for this record will be: | | |
| View | This function allows the user to view the rejected record. | |

3.3.1.1.2.2 Counterparty Marketable Asset Instruction – History Screen

| Context of Usage | This screen displays historical information that has changed on the selected Counterparty Marketable Asset Instruction. You can check the data, including the user who made the changes, and proceed further by clicking on the buttons that are shown. |
|------------------|---|
| Screen Access | Instructions and Positions >> Instructions and Positions >> MA Instruction >> Monitor >> Counterparty Instructions >> Click on the search button (after inputting the relevant Data, if needed) >> Select a record >> Click on the History button |



| | Instri the s >> S Mark | uction >> Mon earch button (elect a record | itor >> Count after inputting >> Click on t | erparty Instruc g the relevant he <i>View</i> buttor | Positions >> MA ctions >> Click on Data, if needed) on (Counterparty >> Click on the |
|-----------------------|---|---|---|--|--|
| Screenshot | horizontalHistoryResult : Simp | le Client Instruction History | | | Q 4 🔀 🏡 Show All Expans All Compare |
| | Fields | МАСОССОБЕЗЗ18016[2022.05-23 09:54-46.271] □ □ | | ▼ MAU2022052318916;2022-05-23 09 54-42-536;2 □ | МАЛ2022052318916;2022-05-23-09-54-40.76-71 |
| | Status | RejectClearingProcess | RejectClearingProcess | Incomplete | Draft |
| | Bill Date Business Status | 23/05/2022 REJECTED | 23/05/2022 REJECTED | 29/05/2022 INCOMPLETE | |
| | Business Sub Status Client Original Amount | 0 | 0 | 0 | WAITING VALIDATION |
| | Funding Method | NoFunding Van | No-Funding Von | NoFunding Von | No. |
| | Is Auto Committed | Yes | Yes | Yes | No |
| | Last Notification Out Net Amt In C Acc Our | 2429999006 | 242999006 | 0 | |
| | Ot C Traded Ownership Date | true 23/05/2022 | true 23/05/2022 | true 23/05/2022 | |
| | Partial Settlement Indicator | 0 | 0 | 0 | false |
| | Released Quantity | 1 | 1 | 1 | |
| | Securities Transaction Type Intended Settlement date | 23/16/2022 | 23/05/2022 | 23/05/2022 | |
| | Creation Date (18) difference(s) found. | 23/05/2022 09:54:46:271 | 23/05/2022 09:54-44:983 | 23/05/2022 09:54 42:536 | 23/05/2022 09:54:40:767 |
| Field Fields | | Description | | | |
| rieias | | Shows the fields whose information have been updated since the creation of the selected Counterparty MAI. | | | |
| Timestamp | Shows t | he date and tii | me when the | fields have be | en updated. |
| | Displaye | ed format is: D | D/MM/YYYY | hh:mm:ss:µs. | |
| Button | <u> </u> | Description | | | |
| Compare | Shows the differences between the selected records whose data have been updated. | | | | |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected Counterparty MAI. | | | | |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected Counterparty MAI. | | | | |
| Collapse All | | Collapse the expanded information of the fields that have been updated since the creation of the selected Counterparty MAI. | | | |
| Show Differences Only | Shows only the fields whose information have been updated since the creation of the selected Counterparty MAI | | | | |

3.3.1.1.2.3 Counterparty Marketable Asset Instruction – Details Screen

| | This screen is used to view all the details of a Counterparty Marketable Asset Instruction. |
|------------------|--|
| | From this screen the user can access directly to the detailed of the underlying Marketable Asset Instruction or to the related Client Asset Movement. |
| | Search/List/View Counterparty Marketable Asset (de)Mobilisation Instructions |
| Screen Access | Depending how the screen is accessed, it can be used to view in detail either the valid Instructions, or instructions that requires 4 eyes validation before they can be considered valid in the system. |
| | For valid instructions in any Status: |

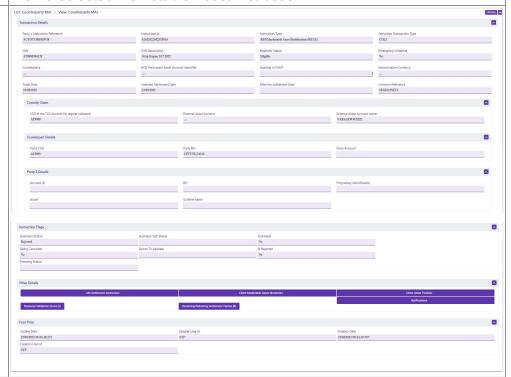


Instructions and Positions >> Instructions and Positions >> MA Instruction >> Monitor >> Counterparty Instructions >> Search >> View a selected Marketable Asset Instruction

For instructions subject to 4 eyes validation:

Instructions and Positions >> Instructions and Positions >> MA Instruction >> Validation / Rejection >> Validate / Reject MA Instructions >> Search >> View a selected Marketable Asset Instruction

Screenshot



| Counterparty Marketable Asset Instructions – Details Screen | | | |
|---|--|--|--|
| Button | Description | | |
| History | [Only for For Valid Information] | | |
| | This function enables you to view the History of the selected Counterparty Marketable Asset instruction. | | |
| | Next screen: | | |
| | Counterparty Marketable Asset Instructions – History Screen. | | |
| Field | Description | | |
| Transaction I | Details | | |
| Party's In- | Shows the Reference of the instruction given by the Instructing Party. | | |
| struction Ref- erence | Displayed format is: Max. 16 characters. | | |
| Instruction Id. | Shows the Unique identifier of the instruction given by the ECMS. | | |
| Instruction | Shows the Type of instruction. The possible values are: | | |
| Туре | Marketable Asset Mobilisation (RECE) | | |
| | Marketable Asset Demobilisation (DELI) | | |
| | Manual Decrease of Position | | |
| | Manual Increase of Position | | |



| Securities | Shows the Securities transaction type expressed as an ISO 20022 code |
|-------------|--|
| Transaction | Shows the Securities transaction type expressed as an ISO 20022 code from possible values: |
| Туре | – BSBK |
| | - COLI |
| | - COLO |
| | - MKDW |
| | - MKUP |
| | - NETT |
| | - NSYN |
| | - PAIR |
| | - PLAC |
| | - PORT |
| | - REAL |
| | - REDM |
| | - REPU |
| | - RODE |
| | - RVPO |
| | - SECB |
| | - SECL |
| | - SUBS |
| | - SYND |
| | - TBAC |
| | - TRAD |
| | - TRPO |
| | - TRVO |
| | - TURN |
| | - BYIY |
| | - CNCB |
| | - OWNE |
| | - FCTA |
| | - OWNI |
| | - RELE |
| | - SBRE |
| | - CORP |
| | - CLAI |
| | - AUTO |
| | - SWIF |
| | - SWIT |
| | - CONV |
| | - ETFT |
| | - ISSU |
| | - SLRE |



| | - INSP | | | | | | |
|--|--|--|--|--|--|--|--|
| | - SBBK | | | | | | |
| | - REDI | | | | | | |
| NCB Parti- cipant Asset Account | Shows the Reference of the NCB Participant Asset Account on which the asset is (de)mobilized. | | | | | | |
| Counterparty | Shows the RIAD Code of the ECMS Counterparty responsible of the instruction (i.e. for which the asset is (de)mobilized). | | | | | | |
| ISIN | Shows the ISIN of the Marketable Asset (de)mobilized. | | | | | | |
| ISIN Description | Shows the Name of the Marketable Asset (de)mobilized. | | | | | | |
| Quantity in FAMT | Shows the Quantity instructed expressed in FAMT | | | | | | |
| Denomina- tion Currency | Shows the Currency of the instruction | | | | | | |
| Emergency Collateral | Shows the emergency collateral from the possible values: -Yes -No | | | | | | |
| Eligibility Status | Shows the Eligibility status of the Marketable Asset In C2D/EA | | | | | | |
| Trade Date | Shows the Trade date of the instruction | | | | | | |
| | Displayed format is: DD/MM/YYYY. | | | | | | |
| | Shows the Intended settlement date of the instruction. | | | | | | |
| tlement Date | Displayed format is: DD/MM/YYYY. | | | | | | |
| Effective Set- | Shows the Effective settlement date of the instruction. | | | | | | |
| tlement Date | Displayed format is: DD/MM/YYYY. | | | | | | |
| Additional In | formations | | | | | | |
| Common Reference | Shows the Common Reference of the instruction | | | | | | |
| Custody Cha | in | | | | | | |
| CSD of the T2S Securit- ies Account for Regular Collateral | Shows the RIAD codeof the CSD where the asset is received (Receiving CSD in a mobilisation instruction) or from where the asset is delivered (Delivering CSD for a demobilisation instruction). | | | | | | |
| External Asset Account | Shows the Reference of T2S Account for Regular Collateral or of the ECMS Cross NCB Asset Account depending if the instruction is to be settled in a domestic CSD or not where the Marketable Asset is deposited. | | | | | | |
| External Asset Account owner | Shows the BIC code of the owner of the External Asset Account. | | | | | | |
| Counterparty | Details | | | | | | |
| Party CSD | Shows the RIAD codeof the CSD of the Delivering party (for mobilisation) or Receiving party (for demobilisation). | | | | | | |
| Party BIC | Shows the BIC Code of the Delivering party (for mobilisation) or Receiving party (for demobilization). | | | | | | |



| Party Ac- count | Shows the Account Reference of the Delivering party (for mobilisation) | | | | | | | | |
|-------------------------------|---|--|--|--|--|--|--|--|--|
| | or Receiving party (for demobilization). | | | | | | | | |
| BIC | Shows the Party 2 PIC | | | | | | | | |
| Account ID | Shows the Party 2 Account ID | | | | | | | | |
| Issuer | Shows the Party 2 Jacquer | | | | | | | | |
| | Shows the Party 2 Preprietory Identification | | | | | | | | |
| Proprietary Identification | Shows the Party 2 Proprietary Identification | | | | | | | | |
| Scheme Name | Shows the Party 2 Scheme Name | | | | | | | | |
| Name | Shows the Party 2 Name | | | | | | | | |
| Party 2 Detail | s - Delivering | | | | | | | | |
| BIC | Shows the Party 2 BIC | | | | | | | | |
| Account ID | Shows the Party 2 Account ID | | | | | | | | |
| Issuer | Shows the Party 2 Issuer | | | | | | | | |
| Proprietary Identification | Shows the Party 2 Proprietary Identification | | | | | | | | |
| Scheme Name | Shows the Party 2 Scheme Name | | | | | | | | |
| Name | Shows the Party 2 Name | | | | | | | | |
| Instruction F | lags | | | | | | | | |
| Business | Shows the business status of the instruction from possible values: | | | | | | | | |
| Status | - Cancelled | | | | | | | | |
| | - Sent for Settlement | | | | | | | | |
| | - Waiting for NCB manual intervention | | | | | | | | |
| | - Validated | | | | | | | | |
| | - Matched | | | | | | | | |
| | - Queued | | | | | | | | |
| | | | | | | | | | |
| | - Rejected | | | | | | | | |
| Dunings Cub | - Confirmed | | | | | | | | |
| Status | Shows the business substatus from possible values: | | | | | | | | |
| | - Waiting for Global Collateral Position Update | | | | | | | | |
| | - Waiting for Settlement Date | | | | | | | | |
| | - Waiting User Validation | | | | | | | | |
| | - Waiting Deliver Leg Confirmation | | | | | | | | |
| U2A Input | Shows whether the instruction was captured in U2A mode or not from Possible values: | | | | | | | | |
| | - Yes | | | | | | | | |
| | - No | | | | | | | | |
| Being can- celled | Shows the Indicator stating that the cancellation of the instruction has been requested. The possible values are: | | | | | | | | |
| | - Yes | | | | | | | | |
| | - No | | | | | | | | |
| Action to Validate | Shows if there is any action waiting for validation in the 4 eyes context. | | | | | | | | |



| Is Rejected | Shows Boolean value "Yes" or "No" | | | | | | | |
|---|--|--|--|--|--|--|--|--|
| Other details | | | | | | | | |
| MA Settle- ment Instruc- | This button allows you to acces to Marketable Asset Settlement Instruction with the details of the underlying settlement instruction | | | | | | | |
| tion | Next Screen: | | | | | | | |
| | Marketable Asset Settlement Instructions - List Screen | | | | | | | |
| Client Mar- ketable Asset Movements | This button allows you to acces to Client Marketable Asset Movement with the details of the underlying underlying Marketable Asset Movement on the Counterparty Asset Account | | | | | | | |
| | Next Screen: | | | | | | | |
| | Client Marketable Asset Movement – List Screen | | | | | | | |
| Client Asset Position | This button allows you to acces to Client Marketable Asset Settled Position with the details of the underlying Marketable Asset Position update on the Counterparty Asset Account. | | | | | | | |
| | Next Screen: | | | | | | | |
| | - Client MA Settled Position - List Screen. | | | | | | | |
| | Section to view the details of the Business Validation Errors. [n] corresponds to the number of Business Validation Errors | | | | | | | |
| Receiving/ Delivering Settlement Parties [n] | Section to view the details of the Settlement Parties. [n] corresponds to the number of Settlement Parties recorded. | | | | | | | |
| Notifications [n] | Section to view the details of the related notifications sent and received. [n] corresponds to the number of Notification. | | | | | | | |
| Foot Print | 12 2 2 | | | | | | | |
| Creation | Date and time when the instruction was created in the ECMS. | | | | | | | |
| Date | Shows format is: DD/MM/YYYY hh:mm:ss:µs. | | | | | | | |
| Creation User Id. | Identifier of the user responsible for the creation of the instruction. | | | | | | | |
| Update Date | Date and time when the instruction was last updated in the ECMS. | | | | | | | |
| | Shows format is: DD/MM/YYYY hh:mm:ss:µs. | | | | | | | |
| Updater User Id. | Identifier of the user responsible for the last update of the instruction. | | | | | | | |
| Business Val | idation Errors [n] | | | | | | | |
| Once you click | on Business Validation Errors following fields are displayed: | | | | | | | |
| Field | Description | | | | | | | |
| BR Name | Name of the Business Rules infringed | | | | | | | |
| Blocking | Indicator stating that if the business error is blocking or not. | | | | | | | |
| Button | Function | | | | | | | |
| View | Button to view the details of the Business Error | | | | | | | |
| Business Valid | dation Errors – View Screen | | | | | | | |
| BR Name | Name of the Business Rules infringed | | | | | | | |
| Blocking | Indicator stating that if the business error is blocking or not. | | | | | | | |
| Footprint | | | | | | | | |
| Creation Date | Shows the Date and time of creation. | | | | | | | |



| 1 | | | | | | | | | |
|---------------------------|--|--|--|--|--|--|--|--|--|
| | Shows format is: DD/MM/YYYY hh:mm:ss:µs. | | | | | | | | |
| Creation User Id. | Identifier of the user responsible for the creation. | | | | | | | | |
| Update Date | Date and time when it was last updated in the ECMS. | | | | | | | | |
| | Shows format is: DD/MM/YYYY hh:mm:ss:µs. | | | | | | | | |
| Updater User Id. | Identifier of the user responsible for the last update. | | | | | | | | |
| Receiving/De | livering Settlement Parties [n] | | | | | | | | |
| Once you click displayed: | k on Receiving/Delivering Settlement Parties button following fields are | | | | | | | | |
| Field | Description | | | | | | | | |
| Sett Party Type | Type of Settlement Party | | | | | | | | |
| BIC | BIC of the Settlement Party | | | | | | | | |
| Account | Account number of the Settlement Party | | | | | | | | |
| Notifications | [n] | | | | | | | | |
| Once you clic | k on Notifications button following fields are displayed: | | | | | | | | |
| Field | Description | | | | | | | | |
| Notification Name | Name of the notification sent or received | | | | | | | | |
| Message Identifier | Reference of the notification message | | | | | | | | |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: | | | | | | | | |
| | - Prepared | | | | | | | | |
| | - Impacted | | | | | | | | |
| | - Impact Failed | | | | | | | | |
| | - Rejected | | | | | | | | |
| | - Archived | | | | | | | | |
| | - Processed | | | | | | | | |
| | - Processed with Failure | | | | | | | | |
| | Waiting Validation | | | | | | | | |
| | | | | | | | | | |

| | Waiting for Retry |
|------------------------|--|
| Direction | Indicator stating that the notification has been received or sent by the ECMS. Possible values: — In — Out |
| Error De- scription | Shows the error description (if it has happened). |
| Creation Date | Date and time when the notification was created in the ECMS. |
| Update Date | Date and time when the notification was last updated in the ECMS |
| Button | Function |

- On Hold



| Download | This function enables you to access to the detailed information of the original message in XML format. |
|----------------------|---|
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| View Mes- sage | This function enables you to access to the detailed information of the messages for same notification. |
| | - View Message - Details Screen |
| View Messag | e – Details Screen |
| Field | Description |
| Message Reference | Shows the reference of the messge. |
| Direction | Shows whether the notification has been an input or output. Possible values: |
| | – In |
| | - Out |
| Status | Shows the status of the message. |
| After selecting | a record, the following buttons are displayed |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |

3.3.1.2 Counterparty MA Cancellation Instructions

3.3.1.2.1 Counterparty MA Cancellation Instructions – Search Screen

| Context of Usage | This screen is used to search Counterparty Marketable Asset Instruction order to be cancelled. It contains the fields that can be used as sear criteria. | | | | | | |
|------------------|--|--|--|--|--|--|--|
| | The user captures the fields that correspond to its criteria for searching Counterparty Marketable Asset Instructions. | | | | | | |
| | If a field is left blank, the field is not taken into account as a search criteria. | | | | | | |
| | Once search criteria have been filled, by clicking on the search button, the list of instructions fulfilling the criteria will be Showed. | | | | | | |
| Screen Access | Depending how the screen is accessed, it can be used to search either the valid Instructions, or instructions that requires 4 eyes validation before they can be considered valid in the system. | | | | | | |
| | For valid instructions: | | | | | | |
| | Instructions and Positions >> Instructions and Positions >> MA Instruction >> Input Instruction >> Counterparty MA Cancellation Instruction | | | | | | |
| | For instructions subject to 4 eyes validation: | | | | | | |
| | Instructions and Positions >> Instructions and Positions >> MA Instruction >> Validation / Rejection >> Validate / Reject - MA Cancellation Instructions Waiting User Validation | | | | | | |





| Counterpa | rty Marketable Asset Cancellation Instructions – Search screen | | | | | | | |
|---|--|--|--|--|--|--|--|--|
| Field | Description | | | | | | | |
| Party's In- struction | Enter the Reference of the instruction given by the Instructing Party. | | | | | | | |
| Reference | Required format is: Max. 16 characters. | | | | | | | |
| Instruction Id. | Enter the unique identifier of the instruction given by the ECMS. | | | | | | | |
| Instruction Type | Enter or Select the Instruction Type from the drop-down menu The possible values are: | | | | | | | |
| | Marketable Asset Mobilisation (RECE) | | | | | | | |
| | Marketable Asset Demobilisation (DELI) | | | | | | | |
| Counter- party | Enter or select the RIAD Code of the ECMS Counterparty responsible of the instruction (i.e. for which the asset is (de)mobilized). | | | | | | | |
| NCB Participant Asset Account | Enter or Select the Reference of the NCB Participant Asset Account on which the asset is (de)mobilized. | | | | | | | |
| ISIN | Enter or Select the ISIN of the Marketable Asset (de)mobilized. | | | | | | | |
| Trade Date | Enter the Trade Date of the Instruction or use the calendar icon. | | | | | | | |
| | Required format is: DD/MM/YYYY. | | | | | | | |
| Intended Settlement | Enter the intended settlement date of the instruction or use the calendar icon. | | | | | | | |
| Date | Required format is: DD/MM/YYYY. | | | | | | | |
| Effective Settlement Date | Enter the effective settlement date of the instruction or use the calendar icon. | | | | | | | |
| | Required format is: DD/MM/YYYY. | | | | | | | |
| External Asset Ac- count | Enter or Select the Reference of T2S Account for Regular Collateral or of the ECMS Cross NCB Asset Account depending if the instruction is to be settled in a domestic CSD or not where the Marketable Asset is deposited. | | | | | | | |
| CSD of the T2S Se- curities Ac- count for Regular Collateral | Enter or search the RIAD codeof the CSD where the asset is received (Receiving CSD in a mobilisation instruction) or from where the asset is delivered (Delivering CSD for a demobilisation instruction). | | | | | | | |
| Party CSD | Enter or search the RIAD codeof the CSD of the Delivering party (for mobilisation) or Receiving party (for demobilisation). | | | | | | | |
| Business | Enter or select the business status of the instruction from possible values: | | | | | | | |
| Status | - Cancelled | | | | | | | |
| | - Sent for Settlement | | | | | | | |
| | - Waiting for NCB manual intervention | | | | | | | |



| | - Validated | | | | | |
|------------------|--|--|--|--|--|--|
| | - Matched | | | | | |
| | | | | | | |
| | - Queued | | | | | |
| | - Rejected | | | | | |
| | - Confirmed | | | | | |
| Business | Enter or select the business substatus from possible values: | | | | | |
| Sub Status | - Waiting for Global Collateral Position Update | | | | | |
| | - Waiting for Settlement Date | | | | | |
| | - Waiting User Validation | | | | | |
| | - Waiting Deliver Leg Confirmation | | | | | |
| Creation Date | Enter the date and time when the instruction was created in the ECMS or use the calendar icon. | | | | | |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs. | | | | | |
| Update Date | Enter the date and time when the instruction was last updated in the ECMS or use the calendar icon. | | | | | |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs. | | | | | |
| Button | Function | | | | | |
| Reset | To clear the search criteria and close the result windows if any | | | | | |
| Search | This function enables you to start a search according to the criteria entered. The results are Showed in a list on the screen List screen. | | | | | |
| | Next screen: | | | | | |
| | Counterparty Marketable Asset Cancellation Instruction – List Screen | | | | | |

3.3.1.2.1.1 Counterparty MA Cancellation Instructions – List Screen

| Context of Usage | This screen contains a list of Counterparty Marketable Asset Instructions. The instructions listed correspond to the search criteria captured in the Counterparty Marketable Asset Cancellation Instructions – Search screen. |
|------------------|--|
| Screen Access | Depending how the screen is accessed, it can be used to list either the valid Instructions, or instructions that requires 4 eyes validation before they can be considered valid in the system. |
| | The list Showed can be sorted and filter by the field Showed. |
| | The list can be exported. |
| | By clicking on the "View" button or double clicking on the selected line to Shows the <i>Counterparty Marketable Asset Cancellation Instructions— Details screen</i> with the details of the selected instruction. |
| | For valid instructions: |
| | Instructions and Positions >> Instructions and Positions >> MA Instruction >> Input Instruction >> Counterparty MA Cancellation Instruction >> Search Counterparty Marketable Asset Cancellation Instructions |
| | For instructions subject to 4 eyes validation: |
| | Instructions and Positions >> Instructions and Positions >> MA Instruction >> Validation / Rejection >> Validate / Reject - MA Cancellation Instructions Waiting User Validation >> Search Counterparty Marketable Asset Cancellation Instructions |



| List: MA | ancellation In: | struction | | | | | | | | | | | | | | | |
|---------------|-----------------|------------------|----------------------------|--------------|----------------|---------------|----------------|----------------|--------------|----------------|----------------|--------------|---------------|-------------|---------------|----------------|---------------|
| 10 🕶 | | | | | | | | K < 013 | | | | | | | (| Q 94 * K | □ () 5 |
| Instruction I | Instruction Ty | 2 Business Stal2 | Business Sub2 NCB Particip | S ISIN C | Quantity in FS | Trade Date 05 | Intended Sett@ | Effective Sett | Party CSD | CSD of the T22 | Being Cancell2 | Updater User | Update Date 🗣 | Denominatio | Creation Date | Party's Instru | Counterparty |
| MAI2022053 | RFP | Matched | ANL001ECMS | AT0000384128 | 44 | 30/06/2022 | 30/06/2022 | | AT9900(Custo | AT9900 | No | STP | 30/06/2022 15 | | 30/05/2022 15 | AU300620221_ | NL001 |
| MAI2022062 | DEP | Sent for Settle | ANL001ECMS | AT0000384128 | 1 | 23/06/2022 | 23/06/2022 | | AT9900(Custo | AT9900 | No | STP | 23/06/2022 17 | | 23/06/2022 17 | AUTOTC00710 | NL001 |
| MAI2022052 | REP | Sent for Settle | ANL001ECMS | AT0000384128 | 44 | 22/06/2022 | 22/06/2022 | | AT9900(Custo | AT9900 | No | STP | 22/06/2022 11 | | 22/05/2022 11 | AUTOUZAZZ06 | NL001 |
| MAI2022062 | REP | Sent for Settle | ANL001ECMS | AT0000384128 | 44 | 22/06/2022 | 22/06/2022 | | AT9900lCusto | AT9900 | No | STP | 22/06/2022 11 | | 22/05/2022 11 | AUTOUZAZZOS | NL001 |
| MAI2022061 | DEP | Sent for Settle | ANL001ECMS | AT0000384128 | 1 | 13/06/2022 | 13/06/2022 | | AT9900lCusto | AT9900 | No | STP | 13/06/2022 09 | | 13/06/2022 09 | AUTOTC00801_ | NL001 |
| MAI2022061 | | Sent for Settle | ANL001ECM: | AT0000384128 | | 13/06/2022 | 13/06/2022 | | AT9900(Custo | AT9900 | No | STP | 13/06/2022 09 | | 13/05/2022 69 | AUTOTCC0601 | NL001 |
| MAI2022050 | REP | Sent for Settle | ANL001ECMS | AT0000384128 | 44 | 06/06/2022 | 06/06/2022 | | AT9900(Custo | AT9900 | No | STP | 06/06/2022 09 | | 06/06/2022 09 | PARTYREF060 | NL001 |
| MAI2022050 | REP | Sent for Settle | ANL001ECMS | AT0000384128 | 44 | 06/06/2022 | 05/05/2022 | | AT9900(Custo | AT9900 | No | STP | 06/06/2022/09 | | 06/05/2022 09 | PARTYREF060 | NL001 |
| MAI2022060 | DFP | Sent for Settle | ANL001ECMS | AT0000384128 | 11 | 01/06/2022 | 01/06/2022 | | AT99000Custo | AT9900 | No | STP | 01/06/2022 13 | | 01/06/2022 13 | PARTYREF010_ | NL001 |
| MAI2022050 | BEP | Sent for Settle | ANLD01ECMS | AT0000384128 | 44 | 01/06/2022 | 01/06/2022 | | AT9900(Custo | AT9900 | No | STP | 01/06/2022 13 | | 01/05/2022 13 | PARTYREF010_ | NL001 |

| Counterparty M | larketable Asset Cancellation Instructions – List screen |
|----------------------------------|---|
| Column | Description |
| | Shows the Reference of the instruction given by the Instructing Party. |
| tion Reference | Displayed format is: Max. 16 characters. |
| Instruction Id. | Shows the Unique identifier of the instruction given by the ECMS. |
| Instruction Type | Shows the Type of Instruction. The possible values are: |
| | Marketable Asset Mobilisation (RECE) |
| | Marketable Asset Demobilisation (DELI) |
| Business | Shows the Business status of the instruction from possible values: |
| Status | - Cancelled |
| | - Sent for Settlement |
| | - Waiting for NCB manual intervention |
| | - Validated |
| | - Matched |
| | - Queued |
| | - Rejected |
| | - Confirmed |
| Business Sub Status | Shows the Business sub Status of the instruction from possible values: |
| | - Waiting for Global Collateral Position Update |
| | - Waiting for Settlement Date |
| | - Waiting User Validation |
| | - Waiting Deliver Leg Confirmation |
| NCB Participant Asset Account | Reference of the NCB Participant Asset Account on which the asset is (de)mobilized. |
| Counterparty | ECMS Counterparty responsible of the instruction (i.e. for which the asset is (de)mobilized). |
| ISIN | ISIN of the Marketable Asset (de)mobilized. |
| Quantity in FAMT | Quantity instructed expressed in FAMT |
| Trade Date | Trade date of the instruction |
| Intended Settle- ment Date | Intended Settlement Date of the instruction. |
| Effective Settle- ment Date | Effective Settlement Date of the instruction. |



| CSD of the T2S Securities Ac- count for Regu- lar Collateral | RIAD codeof the CSD where the asset is received (Receiving CSD in a mobilisation instruction) or from where the asset is delivered (Delivering CSD for a demobilisation instruction). |
|---|---|
| Party CSD | RIAD codeof the CSD of the Delivering Party (for mobilisation) or Receiving party (for demobilisation). |
| Being Can- celled | Shows the indicator stating that the cancellation of the instruction has been requested. The possible values are: — Yes — No |
| Updater User Id. | Identifier of the user responsible for the last update of the instruction. |
| Update Date | Date and time when the instruction was last updated in the ECMS. |
| | Shows format is: DD/MM/YYYY hh:mm:ss:µs. |
| Button | Function |
| View | This function enables you to view the detail of the selected Counterparty Marketable Asset instruction. |
| | Next screen: |
| | Counterparty Marketable Asset Cancellation Instructions – Details Screen |
| History | [Only for For Valid Information] |
| | This function enables you to view the History of the selected Counterparty Marketable Asset instruction. |
| | Next screen: |
| | Counterparty Marketable Asset Cancellation Instructions – History Screen. |
| Cancel | This function enables the user to cancel the selected Counterparty Marketable Asset Instruction. |
| | sed in the 4 eyes validation context, the following buttons are also dis- ecord is selected |
| Action to Valida | ate = Creation |
| In case of creation | on of new data by 4-eyes user, the validator user will validate/reject. |
| Button | Function |
| View | This function enables the user/validator user to view the draft record to be validated or rejected. |
| Validate | This function allows the user to validate the creation or upate of the record so that they can be considered valid in the system |
| Reject | This function allows the user to reject the creation or update of the record. The draft will be deleted. |
| In case the reco | rd has been rejected the only available options for this record will be: |
| View | This function allows the user to view the rejected record. |

3.3.1.2.1.2 Counterparty MA Cancellation Instructions – History Screen

| Context of Usage | This screen displays historical information that has changed on the |
|-------------------------|---|
| | selected Counterparty Marketable Asset Instruction. You can |
| | check the data, including the user who made the changes, and |
| | proceed further by clicking on the buttons that are shown. |



| Screen Access | - Instruction Ins | tion >> struction evant I butto tions a tion >> struction evant I utton (| > Inputons >> Data, in and Posta, in one one of the contract o | t Instru Click f need sitions t Instru Click f need terpart | ction and the ed) >> In action | structi scarce Select structi Searce Select searce | unterpa h butto ons an unterpa h butto et a rec e Asse | arty Mann (after sord >> arty Mann (after sord >> arty Mann (after sord >> arty >> art | A Cander inputed itions > A Cander inputed > Click | cella- tting on the >> MA cella- tting on the |
|--------------------------|---|---|--|--|--|--|--|--|--|--|
| Screenshot | Counterparty MA Concellation Institute | <u> </u> | 011 | CK OII | 110 1110 | Story L | uttori | | | |
| Screenshot | horizontalHistoryResult : Simple Clier | it Instruction History | | | | | | | Q 10 X 4 S | ow All Expand All Compare |
| | Fields | ▼ MA(2022061333987)2022 | MAI 2022061333987/202 | 2 MAI2022061333987[202 | .∵ MAV20220613339367)202 | 12.52 MAI2022061333987)20 | 2. MAV2022061339987;202 | 12. WAI2022061333987)20 | 22.7 MA/2022061333987/202 | 22♥ MAI2022061333987 2022♥ |
| | Status Being Cancelled | WaltingNorification | WaitingNotification | WaitingNotification | WaitingNotification Yes | WaltingNotification Yes | WaitingNetification | WaitingNotification | WaitingNotification | Instructed |
| | Bill Date Business Status | 13/06/2022 COMWITTED | 13/09/2022 COMMITTED | 13/06/2022 COMMITTED | 13/06/2022 COMMITTED | 13/06/2022 COMMITTED | 13/06/2022 COMMITTED | 13/06/2022 COMMITTED | 13/06/2022 INSTRUCTED | 13/06/2022 INSTRUCTED |
| | Business Sub Status Cc BM Type | CCBM CCB | CCBM CCB | CCBM CCB | CCBM CCB | CCBM CCB | осви осв | CCBM CCB | осви осв | CCBM CCB |
| | Client Original Amount Commit Date Commit Time | 0 | 0 | 0 | 0 | 0 13/06/2022 00:00:00:003 | 0 13/06/2022 00:00:00:000 | 0 13/06/2022 00:00:00:000 | 0 | 0 |
| | Commit Time Custodian Funding Method | 55 NoFunding | 55 NeFunding | 55 NoFunding | 55 NoFunding | 55 NoFunding | 55 NoFunding | 55 NoFunding | 55 NoFunding | 55 NaFunding |
| | Generate Market Instruction Is Auto Committed | Yes No | Yes No | Yes No | Yes No | Yes No | Yes No | Yes No | Yes Yes | Yes Yes |
| | ts Committed Last Notification In | Yes 2679999061 | Yes 2679999051 2679999052 | Yes 2679990051 | Yes 2679999051 2679999052 | Yes 2679999051 2679999052 | Yes 2679999047 2679999048 | Yes 2679999047 2679999048 | No 2679999047 2679999048 | No 2679999047 |
| | Last Notification Out Settlement Instruction Id Market Instruction | 2679999060 MIAT000000031264 MIAT000000031263 | 267999932 MIAT000000031264 MIAT000000031263 | 287999002 MIAT000000031264 MIAT000000031263 | 2079999052 MIAT000000031264 MIAT000000031263 | 2679990032 MIAT000000031264 MIAT000000031263 | 267999948 MIAT000000031264 MIAT000000031263 | 267999048 MIAT000000031264 MIAT000000031268 | 257999048 MIAT000000031264 MIAT000000031263 | 287999048 |
| | Net Amt In C Aco Our External Asset Account | 0 (55)(ATCBNL001T2SCR0SS | D SACC (55)(ATCBNL001T2SCR0S | G SACC (55)(ATCBNL001TZSCROS | D ACC (55)IATCBNL001T2SCR0S | 0 SACC (55)(ATCBNL001TZSCR05 | D SACC (55)(ATCBNL001T2SCR0S | 0 SACC (55)(ATCBNL001TZSCR05 | D SACC (SS)ATCBNL001T2SCR0S | 0 SACC (SS)JATCBNL001T2SCROSSAC(|
| | Ot C Traded Ownership Date | 13/06/2022 | 13/06/2022 | 13/06/2022 | 13/06/2022 | 13/06/2022 | true 13/06/2022 | 13/06/2022 | true 13/06/2022 | 11/2 13/06/2022 |
| | Price | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| | Released Quantity Sec Myt Created Sec Met Reference | 900 Yes 00039069CST | 900 Yes 00039066CST | 600 Yes 00099069CST | 600 Yes 00039069CST | 900 Yes 00035069CST | 900 Ves 00039069CST | Ves 00039069CST | Yes 00030069CST | No No |
| | Securities Transaction Type Intended Settlement date | COLI 13/06/2022 | COLI 13/06/2022 | DOLJ 13/06/2022 | COLI 13/06/2022 | COLI 13/06/2022 | COLI 13/06/2022 | 13/06/2022 | 13/05/2022 | 13/06/2022 |
| | Creation Date (29) difference(s) found. | 13/06/2022 09:25:51:598 | 13/06/2022 09:25:48:915 | 13/06/2022/09/25/36/729 | 13/06/2022 09:25:35:135 | 13/06/2022 09:25:17:814 | 13/06/2022 09:24:57:601 | 13/06/2022 09:24 56:470 | 13/06/2022 09:24 52:332 | 13/06/2022 09:24:49:445 |
| Counterparty Mar | ketable As | set C | ancell | ation | Instru | ctions | - His | tory S | creen | |
| Field | 1 | | | | | | | | | |
| | Description | | | | | | | | | |
| Fields | Shows the creation of | | | | | | | update | ed sinc | e the |
| Timestamp | Shows the | | | | | | | | pdated | d. |
| Dutton. | Displayed | | t is: Di | D/MM/ | YYYY | hh:mr | n:ss:µs | S. | | |
| Button | Description | | | | | | | | _ | |
| Compare | Shows the differences between the selected records whose data have been updated. | | | | | | | | | |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected Counterparty MA Cancellation Instruction. | | | | | | | | | |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected Counterparty MA Cancellation Instruction. | | | | | | | | | |
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected Counterparty MA Cancellation Instruction. | | | | | | | | | |
| Show Differences Only | Shows on the creation | • | | | | | | | | |



3.3.1.2.1.3 Counterparty MA Cancellation Instructions – Details Screen

| Context of Usage | This screen is uset Instruction. | sed to vie | ew all the d | etails of a (| Counterpa | arty Marketa | able As- | |
|------------------|--|--|--|--|--|---|------------|--|
| | From this screen ing Marketable A | | | • | | | _ | |
| Screen Access | Depending how the screen is accessed, it can be used to view in detail either the valid Instructions, or instructions that requires 4 eyes validation before they can be considered valid in the system. | | | | | | | |
| | For valid instructions: | | | | | | | |
| | >> Input Instruct Counterparty Ma | Instructions and Positions >> Instructions and Positions >> MA Instruction >> Input Instruction >> Counterparty MA Cancellation Instruction >> Search Counterparty Marketable Asset Cancellation Instructions >> Select a record >> Click on View button | | | | | | |
| | For instructions | subject to | o 4 eyes va | lidation: | | | | |
| | Instructions and >> Validation / F Waiting User Valation Instruction | Rejection alidation > | >> Validate >> Search (| e / Reject - Counterpar | MA Cand ty Market | ellation Inst able Asset | ructions | |
| Caraan | List: MA Cancellation Instruction > View: Validate/R | | | J >> CIICK (| on view b | ullori | History (A | |
| Screen- shot | Transaction Details | | | | | | | |
| shot | | | | | | | | |
| 31101 | Party's Instruction Reference AUTOTC0000101972 | Instruction Id MAI2022061333987 | | Instruction Type RFP Marketable Asset Mobilisation | (RECE) | NCB Participant Asset Account Identifier ANL001ECMSACC01 | | |
| Shot | | Instruction Id MAE2022061333987 ISIN AT0000354128 | | | (RECE) | | | |
| Silot | AUTOTC0660101972 Counterparty | ISIN | | RFP Marketable Asset Mobilisation | (RECE) | ANL001ECMSACC01 Eligibility Status | | |
| SHOT | AUTOT C0460101972 Count exparty NL001 Emergency Collateral | ISIN AT0000384128 | | RFP/Marketable Asset Mobilisation ISIN Description Strip Kupon 15.7.2022 Trade Date | (RECE) | ANLOIECMSACCOI Eligibility Status Eligibile Intended Settlement Date | | |
| Silot | ATTOTCHMORIESTS Controparty Nation Emugency Collateral No Effective Settlement Date Custody Chain | ISIN AT0000384128 | | RFP/Marketable Asset Mobilisation ISIN Description Strip Kupon 15.7.2022 Trade Date | | ANLOIECMSACCOI Eligibility Status Eligibile Intended Settlement Date | 8 | |
| Silot | ACTOTOGOGIBSTS Controporty NASII Emogracy Collateral No Effective Settlement Date | ISIN AT0000384128 | Естатый Азані Ассоції АТСІХІДОІ ТЭССКОВІАССОВІ | RFP/Marketable Asset Mobilisation ISIN Description Strip Kupon 15.7.2022 Trade Date | (DECE) Enemal Asset Account NABLATHWIXXX | ANLOIECMSACCOI Eligibility Status Eligibile Intended Settlement Date | a | |
| Silot | ACTOTOROGOLOGY Contempts Nation Emergency Colleteral Na Effective Settlement Date Costody Chain CSG of the T25 Account for regular colleteral ATMIN Counterpart Details | ISIN AT0000384128 | ATCBNL001T25CROSSACC001 | RFP/Marketable Asset Mobilisation ISIN Description Strip Kupon 15.7.2022 Trade Date | External Asset Account | ANLOIECMSACCOI Eligibility Status Eligibile Intended Settlement Date | A . | |
| | AUTOTORGANISPTS Constreamty NEW Emergency Colliseral Ne Officitive Settlement Date Custody Chain CSD of the TSD Account for regular collisional AT9988 | ISIN AT0000384128 | | RFP/Marketable Asset Mobilisation ISIN Description Strip Kupon 15.7.2022 Trade Date | External Asset Account | ANLOIECMSACCOI Eligibility Status Eligibile Intended Settlement Date | | |
| | ATTOTOGOGIAPPS Contrepany NABIS Energyncy Collateral Ne Effective Settlement Data Custody Chain CID of the TES Account for regular collateral AT990 Counterpant Defaults Pary CID | ISIN AT0000384128 | ATCBNL#01725CROSSACC001 Party BIC | RFP/Marketable Asset Mobilisation ISIN Description Strip Kupon 15.7.2022 Trade Date | External Asset Account | ANLOIECMSACCOI Eligibility Status Eligibile Intended Settlement Date | | |
| | ACTOTCOMMINETS Contemptiny NAMI Emergency collisteral Ne Effective Settlement Date Clostody Chain CSD of the TES Account for regular collisteral A1990 Counterpart Details Party CSD A1990 | ISIN AT0000384128 | ATCBNL#01725CROSSACC001 Party BIC | XTP_Maskvanish Asson Mobilination SSM Conception Tiple Conceptio | External Asset Account | ANLOIECMSACCOI Eligibility Status Eligibile Intended Settlement Date | A | |
| | ACTOTOCOMMISSIPS Contempting STATE Emergency Colleteral Ne Effective Settlement Date Clostody Chain CSS of the TES Account for regular colleteral ATHNO Counterpart Details Party CSD ATHNO Instruction Flags Business States Business States | 1504 AT9909394128 Quantity or FAMT | ATCBNL#01725CROSSACC001 Party BIC | SITPANS-brank Asset Mobilisation (SID Perception) Simple Special States (SID Special States) Trade Dates (SID Special | External Asset Account | ANJANIZANSACCRI Uppliniy Shrane Englah Intended Settlement Date 1384/2022 | A | |
| | ACTOTOCOMORPHY Contrepency STATE Emergency collisteral No Effective Settlement Date Clustedy Chain CIO of the TES Account for regular collisteral AT990 Counterpart Details Party CIO AT990 Instruction Flags Duriness States States Sta | 1504 AT900994129 Quantity in FAMT Business Sub Status | ATCBNL#01725CROSSACC001 Party BIC | XTP_Maskvanish Asson Mobilination SSM Conception Tiple Conceptio | External Asset Account | ANJANIZANSACCRI Uppliniy Shrane Englah Intended Settlement Date 1384/2022 | A | |
| | ACTOTOCOMMISSION Contempting State Emergency collisteral Ne Effection Settlement Date Clostody Chain Clostody Chain Clost of the 125 Account for regular collisional AT9980 Counterpart Details Party CSIO AT9980 Instruction Flags Business States Business States States Underpart Details MA Settlement Settle States Underpart Details Details States Man for Settlement States Underpart Details MA Settlement States Underpart Details MA Settlement States Details States MA Settlement States Man for Settlement States Details States MA Settlement States Man for Settlement States Man for Settlement States MA Settlement States Man for Settlement States Man for Settlement Settl | 1504 AT900994129 Quantity in FAMT Business Sub Status | ATCBNL#01725CROSSACC001 Party BIC | SITPANISHMAN Asser Mobilitation (SITPANISHMAN Asser Mobilitation (SITPANISHMAN Assert Mobilitation (SITPANISHMAN ASSERT (SITPANISHMAN A | External Asset Account | ANJANIZANSACCRI Uppliniy Shrane Englah Intended Settlement Date 1384/2022 | A | |
| | ACTOTOCOMORISOPS Contempting Nation Emergency collateral Ne Effective Settlement Date Effective Settlement Date Clostody Chain CSD of the TES Account for regular collateral ATMR CSD of the TES Account for regular collateral ATMR CSD of the TES Account for regular collateral ATMR CSD of the TES Account for regular collateral ATMR CSD of TES ACCOUNT for regular collateral ATMR Description of TES ACCOUNT for regular collateral ATMR Instruction Flags Instruction Flags Instruction Flags University Station National College University Administration (TES ACCOUNT Flags TES ACCOUNTS | 1504 AT900994129 Quantity in FAMT Business Sub Status | ATCRIL601125CR058ACC081 Pany BiG CFTYN12A101 Con Receiving Delivering Settlement Parties | SITPANISHMAN Asser Mobilitation (SITPANISHMAN Asser Mobilitation (SITPANISHMAN Assert Mobilitation (SITPANISHMAN ASSERT (SITPANISHMAN A | External Asset Account | ANJANIZANSACCRI Uppliniy Shrane Englah Intended Settlement Date 1384/2022 | A | |
| | ACTOTOCOMORISOPS Contempts Nation Emergency Collectual Ne Efficience Settlement Date Efficience Settlement Date Collection Chain Collection of the TSS Account for regular collectual ACTIVIO Counterpart Details Party CSD ACTIVIO ACTIVIO Internation Flags Other Details MA Settlement Internation Internation Station Internation Flags Internation F | 1504 AT900994129 Quantity in FAMT Business Sub Status | ATCRIL601125CR058ACC081 Pany BiG CFTYN12A101 Con Receiving Delivering Settlement Parties | SITPANER rank Auer Mobilisation ISIN Processions Sing Report 15.73622 Trade Date 18.96 2022 18.96 2022 USA imput No Action To Voldere | External Asset Account | ANAMICCAISACCES Eligible Internded Settlement Date 13/46/2022 Lack Of Security Se Clean Alast Posters Chest Footbase | A | |
| | ACTOTOCOMORISOPS Contempting Nation Emergency collateral Ne Effective Settlement Date Effective Settlement Date Clostody Chain CSD of the TES Account for regular collateral ATMR CSD of the TES Account for regular collateral ATMR CSD of the TES Account for regular collateral ATMR CSD of the TES Account for regular collateral ATMR CSD of TES ACCOUNT for regular collateral ATMR Description of TES ACCOUNT for regular collateral ATMR Instruction Flags Instruction Flags Instruction Flags University Station National College University Administration (TES ACCOUNT Flags TES ACCOUNTS | TSM ATBRORDS 128 Quantity in FAMT Dissinces Sub Status It Displicated No. | ATCRIL601125CR058ACC081 Pany BiG CFTYN12A101 Con Receiving Delivering Settlement Parties | SITPANICHMAN Asser Mobilisation ISSI Procession ISSI Processio | External Asset Account | ANAMICANSACCEI Usphilip Steine Intended Settlement Date J.S.Mar.2023 LIACK Of Security Se Client Acart Position | A | |

| Counterparty | Marketable Asset Cancellation Instructions – Details Screen |
|--------------|--|
| Button | Description |
| History | [Only for For Valid Information] |
| | This function enables you to view the History of the selected Counterparty Marketable Asset instruction. |
| | Next screen: |
| | Counterparty Marketable Asset Cancellation Instructions – History Screen. |
| Field | Description |
| Transaction | Details |



| Party's In- struction Ref- | Shows the Reference of the instruction given by the Instructing Party. Displayed format is: Max. 16 characters. |
|--|---|
| erence | Displayed formatio. Max. To characters. |
| Instruction Id. | 1 0 7 |
| Instruction | Shows the Type of instruction. The possible values are: |
| Туре | Marketable Asset Mobilisation (RECE) |
| | Marketable Asset Demobilisation (DELI) |
| NCB Parti- | Shows the Reference of the NCB Participant Asset Account on which |
| cipant Asset | the asset is (de)mobilized. |
| Account | Charge the DIAD Code of the ECMC Counterment, reconcible of the in- |
| Counterparty | Shows the RIAD Code of the ECMS Counterparty responsible of the instruction (i.e. for which the asset is (de)mobilized). |
| ISIN | Shows the ISIN of the Marketable Asset (de)mobilized. |
| ISIN Description | Shows the Name of the Marketable Asset (de)mobilized. |
| Quantity in FAMT | Shows the Quantity instructed expressed in FAMT |
| Denomina- tion Currency | Shows the Currency of the instruction |
| Eligibility Status | Shows the Eligibility status of the Marketable Asset In C2D/EA |
| Trade Date | Shows the Trade date of the instruction |
| Intended Set- tlement Date | Shows the Intended settlement date of the instruction. |
| Effective Set- tlement Date | Shows the Effective settlement date of the instruction. |
| Custody Cha | in |
| CSD of the T2S Securit- ies Account for Regular Collateral | Shows the RIAD codeof the CSD where the asset is received (Receiving CSD in a mobilisation instruction) or from where the asset is delivered (Delivering CSD for a demobilisation instruction). |
| External As- | Shows the Reference of T2S Account for Regular Collateral or of the |
| set Account | ECMS Cross NCB Asset Account depending if the instruction is to be settled in a domestic CSD or not where the Marketable Asset is deposited. |
| External Asset Account owner | ECMS Cross NCB Asset Account depending if the instruction is to be settled in a domestic CSD or not where the Marketable Asset is depos- |
| External Asset Account | ECMS Cross NCB Asset Account depending if the instruction is to be settled in a domestic CSD or not where the Marketable Asset is deposited. Shows the BIC code of the owner of the External Asset Account. |
| External Asset Account owner | ECMS Cross NCB Asset Account depending if the instruction is to be settled in a domestic CSD or not where the Marketable Asset is deposited. Shows the BIC code of the owner of the External Asset Account. |
| External Asset Account owner Counterparty | ECMS Cross NCB Asset Account depending if the instruction is to be settled in a domestic CSD or not where the Marketable Asset is deposited. Shows the BIC code of the owner of the External Asset Account. Details Shows the RIAD codeof the CSD of the Delivering party (for mobilisa- |
| External Asset Account owner Counterparty Party CSD | ECMS Cross NCB Asset Account depending if the instruction is to be settled in a domestic CSD or not where the Marketable Asset is deposited. Shows the BIC code of the owner of the <i>External Asset Account</i> . Petails Shows the RIAD codeof the CSD of the Delivering party (for mobilisation) or Receiving party (for demobilisation). Shows the BIC Code of the Delivering party (for mobilisation) or Receiv- |
| External Asset Account owner Counterparty Party CSD Party BIC Party Ac- | ECMS Cross NCB Asset Account depending if the instruction is to be settled in a domestic CSD or not where the Marketable Asset is deposited. Shows the BIC code of the owner of the <i>External Asset Account</i> . The part of the Delivering party (for mobilisation) or Receiving party (for demobilisation). Shows the BIC Code of the Delivering party (for mobilisation) or Receiving party (for demobilization). Shows the Account Reference of the Delivering party (for mobilisation) or Receiving party (for demobilization). |
| External Asset Account owner Counterparty Party CSD Party BIC Party Account | ECMS Cross NCB Asset Account depending if the instruction is to be settled in a domestic CSD or not where the Marketable Asset is deposited. Shows the BIC code of the owner of the <i>External Asset Account</i> . The part of the Delivering party (for mobilisation) or Receiving party (for demobilisation). Shows the BIC Code of the Delivering party (for mobilisation) or Receiving party (for demobilization). Shows the Account Reference of the Delivering party (for mobilisation) or Receiving party (for demobilization). |



| Sent for SettlementWaiting for NCB manual interventionValidated | |
|---|-----|
| | |
| - Validated | |
| | |
| - Matched | |
| - Queued | |
| - Rejected | |
| - Confirmed | |
| Business Sub Shows the business substatus from possible values: | |
| Status - Waiting for Global Collateral Position Update | |
| - Waiting for Settlement Date | |
| - Waiting User Validation | |
| - Waiting Deliver Leg Confirmation | |
| U2A Input Shows whether the instruction was captured in U2A mode or not from Possible values: | 1 |
| - Yes | |
| - No | |
| Being can- celled Shows the Indicator stating that the cancellation of the instruction has been requested. The possible values are: | ; |
| - Yes | |
| - No | |
| Lack of Se- Shows Lack of Security from possible values: | |
| curity – Yes | |
| - No | |
| Is Duplicated Shows if it is duplicated from possible values: | |
| - Yes | |
| – No | |
| Action to Val- idate Shows if there is any action waiting for validation in the 4 eyes context. | ct. |
| Is Rejected Shows Boolean value "Yes" or "No" | |
| Other details | |
| MA Settle- ment Instruc- tion with the details of the underlying settlement instruction | JC- |
| tion Next Screen: | |
| Marketable Asset Settlement Instructions - List Screen | |
| Client Mar- ketable Asset With the details of the underlying underlying Marketable Asset Move- Movements ment on the Counterparty Asset Account | t |
| Next Screen: | |
| Client Marketable Asset Movement – List Screen | |
| Client Asset Position This button allows you to acces to Client Marketable Asset Settled Position with the details of the underlying Marketable Asset Position updated on the Counterparty Asset Account. | |
| Next Screen: | |
| | |



| | Section to view the details of the Business Validation Errors. [n] corresponds to the number of Business Validation Errors |
|--|--|
| Receiving/ Delivering Settlement Parties [<i>n</i>] | Section to view the details of the Settlement Parties. [n] corresponds to the number of Settlement Parties recorded. |
| Notifications [n] | Section to view the details of the related notifications sent and received. [n] corresponds to the number of Notification. |
| Foot Print | |
| Creation | Date and time when the instruction was created in the ECMS. |
| Date | Shows format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id. | Identifier of the user responsible for the creation of the instruction. |
| Update Date | Date and time when the instruction was last updated in the ECMS. |
| | Shows format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id. | Identifier of the user responsible for the last update of the instruction. |
| Business Val | idation Errors [n] |
| Once you clicl | k on Business Validation Errors following fields are displayed: |
| Field | Description |
| BR Name | Name of the Business Rules infringed |
| Blocking | Indicator stating that if the business error is blocking or not. |
| Button | Function |
| View | Button to view the details of the Business Error |
| Business Valid | dation Errors – View Screen |
| BR Name | Name of the Business Rules infringed |
| Blocking | Indicator stating that if the business error is blocking or not. |
| Footprint | |
| Creation | Shows the Date and time of creation. |
| Date | Shows format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id. | Identifier of the user responsible for the creation. |
| Update Date | Date and time when it was last updated in the ECMS. |
| | Shows format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id. | Identifier of the user responsible for the last update. |
| Receiving/De | elivering Settlement Parties [n] |
| Once you clicl displayed: | k on Receiving/Delivering Settlement Parties button following fields are |
| - | Description |
| Field | , |
| Sett Party | Type of Settlement Party |
| | Type of Settlement Party BIC of the Settlement Party |
| Sett Party Type | · · · · · · · · · · · · · · · · · · · |



| Once you clic | k on Notifications button following fields are displayed: |
|------------------------|--|
| Field | Description |
| Notification Name | Name of the notification sent or received |
| Message Identifier | Reference of the notification message |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: |
| | - Prepared |
| | - Impacted |
| | - Impact Failed |
| | - Rejected |
| | - Archived |
| | - Processed |
| | - Processed with Failure |
| | Waiting Validation |
| | - On Hold |
| | Waiting for Retry |

| Direction | Indicator stating that the notification has been received or sent by the ECMS. Possible values: — In — Out |
|----------------------|---|
| Error De- | 0.00 |
| scription | Shows the error description (if it has happened). |
| Creation Date | Date and time when the notification was created in the ECMS. |
| Update Date | Date and time when the notification was last updated in the ECMS |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| View Mes- sage | This function enables you to access to the detailed information of the messages for same notification. |
| | View Message – Details Screen |
| View Messag | e – Details Screen |
| Field | Description |
| Message Reference | Shows the reference of the messge. |
| Direction | Shows whether the notification has been an input or output. Possible values: |
| | – In |
| | - Out |
| Status | Shows the status of the message. |



| After selecting a record, the following buttons are displayed | | |
|---|---|--|
| Button | Function | |
| | This function enables you to access to the detailed information of the original message in XML format. | |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | |

3.3.1.3 Edit / Validate - Draft Instruction

3.3.1.3.1 Edit / Validate - Draft Instruction - Search Screen

| Context of Usage | This screen is used to search Marketable Asset Instructions saved as Draft. It contains the fields that can be used as search criteria. | | | | | | | |
|---------------------|--|-----------------------------|---|---|---|---|---|-----------|
| | The user captures the fields that correspond to its criteria for searching Marketable Asset Instructions. If a field is left blank, the field is not taken into account as a search criteria. | | | | | | hing | |
| | | | | | | | Once search criteria have been filled, by clicking on the search button, the list of instructions fulfilling the criteria will be Showed. | |
| | Screen Access | Instructions a tion >> Edit | | | | | ositions | >> MA Ins |
| Screenshot | Edit / Validane - Draft Instruction | | | | | | | |
| Screenshot | Search: NCB Marketable Asset Instruction | | | | | | | |
| | Instruction Id ▼ | | Instruction Type • | • | Refinancing NCB ▼ | | NCR Participant * | * ~ |
| | | | | | | | Asset Account Identifier | * · |
| | ISIN •• ▼ | Q | CSD of the T2S ▼ Account for regular collateral | | Party CSD ■■ ▼ | | Asset Account | |
| | ISIN ** ▼ | ۵ | Account for regular | • | Party CSD ★★ ▼ Effective Settlement ★★ ▼ Date | | Asset Account Identifier External Asset *** | * |
| | | Q | Account for regular collateral | | Effective Settlement ▼ | | Asset Account Identifier External Asset ** Account | • |
| | Trade Date ▼ | Q | Account for regular collateral Intended Settlement Date Party's Instruction | 8 | Effective Settlement Date | | Asset Account Identifier External Asset ** Account Business Status ** | • |
| | Trade Dane ▼ Business Sub Status ▼ | Q (1) | Account for regular collateral Intended Settlement Date Party's Instruction | | Effective Settlement Date | 0 | Asset Account Identifier External Asset ** Account Business Status ** | |

| Edit / Valida | te - Draft Instruction – Search screen |
|------------------------|--|
| Field | Description |
| Party's In- | Enter the Reference of the instruction given by the Instructing Party. |
| struction Reference | Required format is: Max. 16 characters. |
| Instruction Id. | Enter the unique identifier of the instruction given by the ECMS. |
| Instruction Type | Enter or Select the Instruction Type from the drop-down menu. The possible values are: |
| | Marketable Asset Mobilisation (RECE) |
| | Marketable Asset Demobilisation (DELI) |
| | Manual Decrease of Position |
| | Manual Increase of Position |
| Counter- party | Enter or select the RIAD Code of the ECMS Counterparty responsible of the instruction (i.e. for which the asset is (de)mobilized). |



| NCB Parti- cipant Asset Account | Enter or Select the Reference of the NCB Participant Asset Account on which the asset is (de)mobilized. |
|--|--|
| Identifier | |
| ISIN | Enter or Select the ISIN of the Marketable Asset (de)mobilized. |
| Trade Date | Enter the Trade Date of the Instruction or use the calendar icon. |
| | Required format is: DD/MM/YYYY. |
| Intended | Enter the intended settlement date of the instruction or use the calendar |
| Settlement | icon. |
| Date | Required format is: DD/MM/YYYY. |
| Effective Settlement Date | Enter the effective settlement date of the instruction or use the calendar icon. |
| | Required format is: DD/MM/YYYY. |
| | Enter or Select the Reference of T2S Account for Regular Collateral or of the ECMS Cross NCB Asset Account depending if the instruction is to be settled in a domestic CSD or not where the Marketable Asset is deposited. |
| CSD of the T2S Securit- ies Account for Regular Collateral | Enter or search the RIAD codeof the CSD where the asset is received (Receiving CSD in a mobilisation instruction) or from where the asset is delivered (Delivering CSD for a demobilisation instruction). |
| Party CSD | Enter or search the RIAD codeof the CSD of the Delivering party (for mobilisation) or Receiving party (for demobilisation). |
| Business Status | Enter or select the business status of the instruction from possible values: |
| | - Cancelled |
| | - Sent for Settlement |
| | - Waiting for NCB manual intervention |
| | - Validated |
| | - Matched |
| | - Queued |
| | - Rejected |
| | - Confirmed |
| Business | Enter or select the business substatus from possible values: |
| Sub Status | - Waiting for Global Collateral Position Update |
| | - Waiting for Settlement Date |
| | - Waiting User Validation |
| | - Waiting Deliver Leg Confirmation |
| Creation Date | Enter the date and time when the instruction was created in the ECMS or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs. |
| Update Date | Enter the date and time when the instruction was last updated in the ECMS or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs. |
| U2A Input | Select whether the instruction was captured in U2A mode or not from Possible values: |



| | - Yes |
|--------|---|
| | - No |
| Button | Function |
| Reset | To clear the search criteria and close the result windows if any |
| Search | This function enables you to start a search according to the criteria entered. The results are Showed in a list on the screen List screen. Next screen: |
| | Edit / Validate - Draft Instruction - List Screen |

3.3.1.3.1.1 Edit / Validate - Draft Instruction - List Screen

| Usage | This screen contains a list of Marketable Asset Instructions in appropriate status. |
|------------------|---|
| | The instructions listed correspond to the search criteria captured in the Edit / Validate - Draft Instruction – Search screen. |
| Screen Access | Instructions and Positions >> Instructions and Positions >> MA Instruction >> Edit / Validate – Draft Instruction >> Search Marketable Asset Instructions |
| Screen- shot | List Counterparty MAI 1 |

| Edit / Validate - | Draft Instruction – List screen |
|-------------------|---|
| Column | Description |
| Instruction Id. | Shows the Unique identifier of the instruction given by the ECMS. |
| Instruction Type | Shows the Type of Instruction. The possible values are: |
| | Marketable Asset Mobilisation (RECE) |
| | Marketable Asset Demobilisation (DELI) |
| | Manual Decrease of Position |
| | Manual Increase of Position |
| Business | Shows the Business status of the instruction from possible values: |
| Status | - Cancelled |
| | - Sent for Settlement |
| | - Waiting for NCB manual intervention |
| | - Validated |
| | - Matched |
| | - Queued |
| | - Rejected |
| | - Confirmed |
| Business Sub | Shows the Business sub Status of the instruction from possible val- |
| Status | Ues: Weiting for Clohal Callatoral Position Undeta |
| | - Waiting for Global Collateral Position Update |
| | - Waiting for Settlement Date |
| | - Waiting User Validation |
| | - Waiting Deliver Leg Confirmation |



| NCB Participant Asset Account Identifier | Reference of the NCB Participant Asset Account on which the asset is (de)mobilized. |
|---|---|
| Counterparty | ECMS Counterparty responsible of the instruction (i.e. for which the asset is (de)mobilized). |
| ISIN | ISIN of the Marketable Asset (de)mobilized. |
| Quantity in FAMT | Quantity instructed expressed in FAMT |
| Denomination Currency | Shows the denomination currency of the quantity in FAMT. |
| Trade Date | Trade date of the instruction |
| Intended Settle- ment Date | Intended Settlement Date of the instruction. |
| Effective Settle- ment Date | Effective Settlement Date of the instruction. |
| CSD of the T2S Securities Ac- count for Regu- lar Collateral | RIAD codeof the CSD where the asset is received (Receiving CSD in a mobilisation instruction) or from where the asset is delivered (Delivering CSD for a demobilisation instruction). |
| Party CSD | RIAD codeof the CSD of the Delivering Party (for mobilisation) or Receiving party (for demobilisation). |
| Being Can- celled | Shows the indicator stating that the cancellation of the instruction has been requested. The possible values are: — Yes |
| | – No |
| Cash Amount | Shows the Cash Amount |
| Cash Currency | Shows the currency of the Cash Amount |
| Creation Date | Date and time when the instruction was created in the ECMS. |
| | Shows format is: DD/MM/YYYY hh:mm:ss:µs. |
| External Asset Account | Shows the External Asset Account. |
| Updater User Id. | Identifier of the user responsible for the last update of the instruction. |
| Update Date | Date and time when the instruction was last updated in the ECMS. |
| | Shows format is: DD/MM/YYYY hh:mm:ss:µs. |
| Button | Function |
| View | This function enables you to view the detail of the selected Counterparty Marketable Asset instruction. |
| | Next screen: |
| | Edit / Validate - Draft Instruction – Details Screen. |
| | The Details screen is Showed replacing the current screen. |
| Edit | This function allows the user to edit and modify the draft. |
| | Next screen: |
| | Edit / Validate - Draft Instruction – Edit Screen. |



3.3.1.3.1.2 Edit / Validate - Draft Instruction - Edit Screen

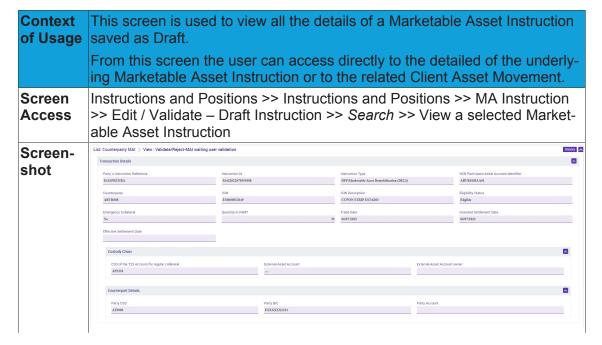
| Context of Us- | This screen is used to set Instruction saved as | and the second s | erparty Marketable A | S- |
|----------------|---|--|--|----------------|
| Screen Access | Instructions and Position struction >> Edit / Valid able Asset Instructions | late - Draft Instruction | >> Search a Market | - |
| Screenshot | Quantity in FAMT | ESIN = E0000012049 Trade Date | Constrainty Advisorous Average Country State Country State Extra Country State Country Account Party Account | |
| | A 190000 Closododain A T | ▼ E500001294 | X Carriel Save as Draft | Validate Draft |

| Edit / Valida | te - Draft Instruction –Edit screen | | |
|--|---|--|--|
| Field | Description | | |
| General info | General information | | |
| Party's In- | Enter the Reference of the instruction given by the Instructing Party. | | |
| struction Reference* | Required format is: Max. 16 characters. | | |
| Instruction Type* | Enter the Instruction Type from the drop-down menu. The possible values are: | | |
| | Marketable Asset Mobilisation (RECE) | | |
| | Marketable Asset Demobilisation (DELI) | | |
| Counter- party* | Enter the RIAD code of the Counterparty from a drop down menu. | | |
| NCB Parti- cipant Asset Account* | Enter the Reference of NCB Participant Asset Account on which the asset is (de)mobilized from a drop-down menu. | | |
| ISIN* | Enter the ISIN of the Marketable Asset (de)mobilized. | | |
| ISIN De- scription# | Shows the Name of the Marketable Asset (de)mobilized. | | |
| Quantity in FAMT* | Enter the Quantity instructed expressed in FAMT | | |
| Trade Date* | Enter the Trade Date of the Instruction | | |
| Intended Settlement Date* | Enter the Intended settlement date of the instruction. | | |
| Additional Informations | | | |
| Common Reference | Enter the Common Reference of the instruction. | | |
| Custody Ch | ain | | |

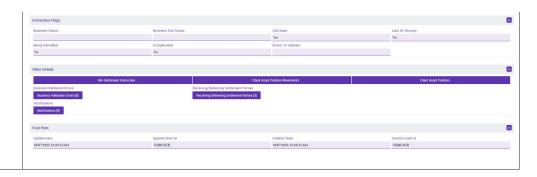


| CSD of the T2S Securit- ies Account for Regular Collateral* | Enter the RIAD codeof the CSD where the asset is received (Receiving CSD in a mobilisation instruction) or from where the asset is delivered (Delivering CSD for a demobilisation instruction). |
|---|--|
| | Shows the Reference of T2S Account for Regular Collateral or of the ECMS Cross NCB Asset Account depending if the instruction is to be settled in a domestic CSD or not where the Marketable Asset is deposited. |
| External Asset Account owner# | Shows the BIC of the owner of the External Asset Account. |
| Counterpart | y Details |
| Party CSD* | Enter the RIAD codeof the CSD of the Delivering party (for mobilisation) or Receiving party (for demobilisation). |
| Party BIC* | Enter the BIC Code of the Delivering party (for mobilisation) or Receiving party (for demobilization). |
| Party Ac- count | Enter the account Reference of the Delivering party (for mobilisation) or Receiving party (for demobilization). |
| Button | Function |
| Cancel | To cancel the modification of the MAI draft. |
| Save as Draft | To save the modified data in the MAI draft. |
| Validate Draft | To advance to next status with the MAI. |

3.3.1.3.1.3 Edit / Validate - Draft Instruction - Details Screen







| Edit / Validate | e - Draft Instruction – Details Screen |
|--|---|
| Field | Description |
| Transaction I | Details |
| Party's In- | Shows the Reference of the instruction given by the Instructing Party. |
| struction Ref- erence | Displayed format is: Max. 16 characters. |
| Instruction Id. | Shows the Unique identifier of the instruction given by the ECMS. |
| Instruction | Shows the Type of instruction. The possible values are: |
| Туре | Marketable Asset Mobilisation (RECE) |
| | Marketable Asset Demobilisation (DELI) |
| | Manual Decrease of Position |
| | Manual Increase of Position |
| NCB Participant Asset Account Identifier | Shows the Reference of the NCB Participant Asset Account on which the asset is (de)mobilized. |
| Counterparty | Shows the RIAD Code of the ECMS Counterparty responsible of the instruction (i.e. for which the asset is (de)mobilized). |
| ISIN | Shows the ISIN of the Marketable Asset (de)mobilized. |
| ISIN Description | Shows the Name of the Marketable Asset (de)mobilized. |
| Quantity in FAMT | Shows the Quantity instructed expressed in FAMT |
| Eligibility Status | Shows the Eligibility status of the Marketable Asset In C2D/EA |
| Trade Date | Shows the Trade date of the instruction |
| Intended Set- tlement Date | Shows the Intended settlement date of the instruction. |
| Effective Set- tlement Date | Shows the Effective settlement date of the instruction. |
| Custody Cha | in |
| CSD of the T2S Securit- ies Account for Regular Collateral | Shows the RIAD codeof the CSD where the asset is received (Receiving CSD in a mobilisation instruction) or from where the asset is delivered (Delivering CSD for a demobilisation instruction). |



| External As- set Account | Shows the Reference of T2S Account for Regular Collateral or of the ECMS Cross NCB Asset Account depending if the instruction is to be settled in a domestic CSD or not where the Marketable Asset is deposited. |
|--------------------------------------|--|
| External As- set Account owner | Shows the BIC code of the owner of the External Asset Account. |
| Counterparty | Details |
| Party CSD | Shows the RIAD codeof the CSD of the Delivering party (for mobilisation) or Receiving party (for demobilisation). |
| Party BIC | Shows the BIC Code of the Delivering party (for mobilisation) or Receiving party (for demobilization). |
| Party Ac- count | Shows the Account Reference of the Delivering party (for mobilisation) or Receiving party (for demobilization). |
| Instruction FI | lags |
| Business Status | Shows the business status of the instruction from possible values: - Cancelled - Sent for Settlement |
| | |
| | - Waiting for NCB manual intervention |
| | - Validated |
| | - Matched |
| | - Queued |
| | - Rejected |
| | - Confirmed |
| Business Sub Status | Shows the business substatus from possible values: |
| Status | - Waiting for Global Collateral Position Update |
| | - Waiting for Settlement Date |
| | - Waiting User Validation |
| | - Waiting Deliver Leg Confirmation |
| U2A Input | Shows whether the instruction was captured in U2A mode or not from Possible values: |
| | - Yes |
| | – No |
| Lack of Se- curity | Indicator stating that the instruction cannot be settled because of lack of security. Shows from possible values: |
| | – Yes |
| | – No |
| Being can- celled | Shows the Indicator stating that the cancellation of the instruction has been requested. The possible values are: |
| | - Yes |
| | – No |
| | Indicates statics that the instruction is duplicated. Chause from a scible |
| Is Duplicated | Indicator stating that the instruction is duplicated. Shows from possible values: |
| Is Duplicated | · · · · · · · · · · · · · · · · · · · |



| Action to Validate | Shows if there is any action waiting for validation in the 4 eyes context. | | | |
|--|--|--|--|--|
| Is Rejected | Shows Boolean value "Yes" or "No" | | | |
| Other details | | | | |
| MA Settle- ment Instruc- | This button allows you to acces to Marketable Asset Settlement Instruction with the details of the underlying settlement instruction | | | |
| tion | Next Screen: | | | |
| | Marketable Asset Settlement Instructions - List Screen | | | |
| Client Mar- ketable Asset Movements | This button allows you to acces to Client Marketable Asset Movement with the details of the underlying underlying Marketable Asset Movement on the Counterparty Asset Account | | | |
| | Next Screen: | | | |
| | Client Marketable Asset Movement – List Screen | | | |
| Client Asset Position | This button allows you to acces to Client Marketable Asset Settled Position with the details of the underlying Marketable Asset Position update on the Counterparty Asset Account. | | | |
| | Next Screen: | | | |
| | - Client MA Settled Position - List Screen. | | | |
| Business Validation Errors [n] | Section to view the details of the Business Validation Errors. [n] corresponds to the number of Business Validation Errors | | | |
| Receiving/ Delivering Settlement Parties [n] | Section to view the details of the Settlement Parties. [n] corresponds to the number of Settlement Parties recorded. | | | |
| Notifications [n] | Section to view the details of the related notifications sent and received. [n] corresponds to the number of Notification. | | | |
| Foot Print | | | | |
| Creation | Date and time when the instruction was created in the ECMS. | | | |
| Date | Shows format is: DD/MM/YYYY hh:mm:ss:µs. | | | |
| Creation User Id. | Identifier of the user responsible for the creation of the instruction. | | | |
| Update Date | Date and time when the instruction was last updated in the ECMS. | | | |
| | Shows format is: DD/MM/YYYY hh:mm:ss:µs. | | | |
| Updater User Id. | Identifier of the user responsible for the last update of the instruction. | | | |
| Business Val | idation Errors [n] | | | |
| Once you click | k on Business Validation Errors following fields are displayed: | | | |
| Field | Description | | | |
| BR Name | Name of the Business Rules infringed | | | |
| Blocking | Indicator stating that if the business error is blocking or not. | | | |
| Button | Function | | | |
| View | Button to view the details of the Business Error | | | |
| | dation Errors – View Screen | | | |
| BR Name | Name of the Business Rules infringed | | | |
| Blocking | Indicator stating that if the business error is blocking or not. | | | |
| Footprint | | | | |
| | | | | |



| Deceiving/De | livering Cettlement Deutice [n] |
|----------------------|---|
| Updater User Id. | Identifier of the user responsible for the last update. |
| • | Shows format is: DD/MM/YYYY hh:mm:ss:µs. |
| Update Date | Date and time when it was last updated in the ECMS. |
| Creation User Id. | Identifier of the user responsible for the creation. |
| Date | Shows format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation | Shows the Date and time of creation. |

Receiving/Delivering Settlement Parties [n]

Once you click on Receiving/Delivering Settlement Parties button following fields are displayed:

| Field | Description |
|------------|--|
| Sett Party | Type of Settlement Party |
| Туре | |
| BIC | BIC of the Settlement Party |
| Account | Account number of the Settlement Party |

Notifications [n]

Once you click on Notifications button following fields are displayed:

| • | |
|------------------------|---|
| Field | Description |
| Notification Name | Name of the notification sent or received |
| Message Identifier | Reference of the notification message |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: - Prepared - Impacted - Impact Failed |
| | Rejected Archived Processed Processed with Failure Waiting Validation On Hold Waiting for Retry |

| Direction | Indicator stating that the notification has been received or sent by the ECMS. Possible values: — In — Out |
|------------------------|--|
| Error De- scription | Shows the error description (if it has happened). |
| Creation Date | Date and time when the notification was created in the ECMS. |
| Update Date | Date and time when the notification was last updated in the ECMS |



Button

| This function enables you to access to the detailed information of the original message in XML format. |
|---|
| Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| This function enables you to access to the detailed information of the messages for same notification. |
| - View Message - Details Screen |
| e – Details Screen |
| Description |
| Shows the reference of the messge. |
| Shows whether the notification has been an input or output. Possible values: |
| – In |
| - Out |
| Shows the status of the message. |
| g a record, the following buttons are displayed |
| Function |
| This function enables you to access to the detailed information of the original message in XML format. |
| Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| |

3.3.2 Marketable Asset Settlement Instructions

Function

Marketable Asset Settlement Instructions represent the instructions generated by the ECMS for the settlement of Marketable Asset Instructions.

Through the different screens described in this section, an NCB can access to the details of the Marketable Asset Settlement Instructions

- Sent to T2S for the settlement on a domestic CSD of Counterparty Marketable Asset Instructions originated by the Counterparties of its community,
- Transfer internally to another NCB for the settlement on a non-domestic T2S CSD of Counterparty Marketable Asset Instructions originated by the Counterparties of its community,
- Sent to T2S for the settlement on a domestic CSD of NCB Marketable Asset Instructions transferred from a refinancing NCB.

The "Client Side" of Counterparty Marketable Asset Instructions corresponds either to an domestic ECMS Counterparty (case i. and ii.) or to a Refinancing NCB (case iii.) whereas the "Market Side" corresponds either to a domestic T2S CSD (case i. and iii.) or to an another NCB (case ii.).

3.3.2.1 Marketable Asset Settlement Instruction – Search Screen

| This screen is used to search Marketable Asset Settlement Instructions. It contains the fields that can be used as search criteria. |
|---|
| The user captures the fields that correspond to its criteria for searching Marketable Asset Settlement Instructions. |



| | If a field is left to teria. Once search cr | iteria | a hav | e be | en filled | l, by clickin | g on the | e search bu | |
|--------------------------|---|--------|---|------|-----------|---|----------|--|----------|
| Business Case related | the list of instru Search/List/Vie | | | | | | | | |
| Screen Access | Instructions and ment Instruction | - | | - | | | | _ | ettle- |
| Screenshot | Monterable Asset Settlement Instructions Search, Marketable Asset Settlement Instructions Instruction Is ** * bistruction Type ** * Account for regalar City State of the TSS ** * Account for regalar City State of the TSS ** Account for regalar City State of the TSS ** Account for regalar City State of the TSS ** Account for regalar City State of the TSS ** Account for regalar City State of the TSS ** Account for regalar City State of the TSS ** Account for regalar City State of the TSS ** Account for regalar City State of the TSS ** Account for regalar City State of the TSS ** Account for regalar City State of the TSS ** Account for regalar City State of the TSS ** Account for regalar City State of the TSS ** Account for regalar City State of the TSS ** Account for regalar City State of the TSS ** Account for regalar City State of the TSS ** Account for regalar City State of the TSS ** Account for regalar City State of the TSS ** City State of the TSS ** Account for regalar City State of the TSS ** City State of the TSS ** City State of the TSS ** Account for regalar City State of the TSS ** Account for regalar City State of the TSS ** City State | | Settlement Instruction lid ISIN Parry CSD Business Status ECMS Counterparry Asset Account | | • | T25 Reference •• ▼ Trade Date •• ▼ Dusiness Sub Status •• ▼ | | Refinancing NGB •• • • Transledd Semlenner •• • Dave Updale Dale •• • | C) Count |

| Marketable A | sset Settlement Instructions – Search screen |
|--|--|
| Field | Description |
| Settlement Instruction Id. | Enter the identifier of the Settlement Instruction given by the ECMS. |
| T2S Refer- ence | Reference of the T2S Instruction as given by T2S |
| Instruction | Select the Instruction Type from the drop-down menu. |
| Туре | Marketable Asset Mobilisation (RECE) |
| | Marketable Asset Demobilisation (DELI) |
| ISIN | Enter or select the ISIN of the Marketable Asset. |
| CSD of the T2S Securit- ies Account for Regular Collateral | Enter or select the RIAD code of the CSD where the asset is received (Receiving CSD for reception instruction) or from where the asset is delivered (Delivering CSD for delivery instruction). |
| External Asset Account | Enter the Reference of T2S Account for Regular Collateral or of the ECMS Cross NCB Asset Account |
| Party CSD | Enter or select the RIAD code of the CSD of the Delivering party (for reception) or Receiving party (for delivery). |
| Instruction Id. | Enter the unique identifier of the instruction given by the ECMS. |
| Trade Date | Enter or select the date at which the trade was made. |
| | Required format is: DD/MM/YYYY. |
| | Enter or select the intended settlement date of the instruction. |
| tlement Date | Required format is: DD/MM/YYYY. |
| Effective Set- | Enter or select the effective settlement date of the instruction. |
| tlement Date | Required format is: DD/MM/YYYY. |
| Refinancing | Enter / Select the RIAD Code of the Refinancing NCB. |
| NCB | Required format is: Max. 35 characters |
| NCB Parti- cipant Asset Account | Enter or Select the Reference of the NCB Participant Asset Account on which the asset is (de)mobilized. |



| Business Status | Enter or Select the business status of the instruction from possible values: | | | |
|--------------------|---|--|--|--|
| | - Sent for Settlement | | | |
| | - Confirmed | | | |
| | - Matched | | | |
| | - Cancelled | | | |
| | - Rejected | | | |
| | - Queued | | | |
| Business | Enter or Select the business substatus from possible values: | | | |
| SubStatus | - Waiting User Validation | | | |
| | - Waiting Deliver Leg Confirmation | | | |
| Update Date | Enter or select the date and time when the instruction was last updated in the ECMS. | | | |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs. | | | |
| Button | Function | | | |
| Reset | This function enables you to clear the form. | | | |
| Search | This function enables you to start a search according to the criteria entered. The results are displayed in a list on the screen List Screen. | | | |
| | Next screen: | | | |
| | Marketable Asset Settlement Instruction – List Screen | | | |

3.3.2.1.1 Marketable Asset Settlement Instruction – List Screen

| Context of Us- | This screen contains a list of Marketable Asset Settlement Instruc- | | | | | | | | |
|-----------------------|--|--|--|--|--|--|--|--|--|
| age | tions. | | | | | | | | |
| | The instructions listed correspond to the search criteria captured in the <i>Marketable Asset Settlement Instructions – Search</i> screen. | | | | | | | | |
| | The list displayed can be sorted and filter by the field displayed. | | | | | | | | |
| | The list can be exported. | | | | | | | | |
| | By clicking on the "View" button or double clicking on the selected line to display the <i>Marketable Asset Settlement Instructions— Details screen</i> with the details of the selected instruction. | | | | | | | | |
| Business Case related | Search/List/View Marketable Asset Settlement Instructions | | | | | | | | |
| Screen Access | Instructions and Positions >> Instructions and Positions >> MA Set- tlement Instruction >> Marketable Asset Settlement Instructions >> Click on Search | | | | | | | | |
| Screenshot | List Marketable Asset Settlement instructions | | | | | | | | |
| | Marcación de Sentimentario 17.5 (Microsco 17.5 (M | | | | | | | | |
| | MACCOSCOI. IMMITROMOM. SECRETARIO. Materiales. Covered ANTONIARIA 90 20400222 210000222 21000222 21000222 21000222 21000222 21000222 21000222 210000222 21000222 21000222 21000222 21000222 21000222 21000222 210000222 21000222 21000222 21000222 21000222 21000222 21000222 210000222 21000222 21000222 21000222 21000222 21000222 21000222 210000222 21000222 21000222 210000222 210000222 210000222 210000222 210000222 210000022 2100000000 | | | | | | | | |
| | MAGDIDAZI, MARSONOM, SERISSIASTI, MARSONOM, S | | | | | | | | |
| | MANDOZOGO SERIOMENTI. MARK MEDICONO. SERIOMENTI. SERIOMENTI. MARK MEDICONO. SERIOMENTI. SERIOMENTI. SERIOMENTI. MARK MEDICONO. SERIOMENTI. SE | | | | | | | | |
| | MACCOSSESS. MANTROCOMO. SESECURIST. Marinatis A. Confirmed ATOCOMISHIZE TO 2006/2022 1. 2006/2022 2. 2306/202 | | | | | | | | |
| | MAZ0200823_ MIAT000000. SESE034SET. Markrable As. Confirmed AT000184128 100 23/04/2022 23/04/2022 21/04/202 21/04/202 21/04/2022 21/04/2022 21/ | | | | | | | | |
| | Mat 2000 | | | | | | | | |
| | History ® Veyw | | | | | | | | |

| Marketable Asset Settlement Instructions – List screen | | |
|--|-------------|--|
| Column | Description | |



| Settlement Instruction Id. | Shows the Identifier of the Settlement Instruction given by the ECMS. |
|---|---|
| T2S Reference | Shows the reference of the T2S Instruction as given by T2S |
| Instruction | Instruction Type: |
| Туре | Marketable Asset Mobilisation (RECE) |
| | Marketable Asset Demobilisation (DELI) |
| Business | Shows the business status of the instruction from possible values: |
| Status | - Sent for Settlement |
| | - Confirmed |
| | - Matched |
| | - Cancelled |
| | - Rejected |
| | - Queued |
| Business | Shows the business substatus from possible values: |
| SubStatus | - Waiting User Validation |
| | - Waiting Deliver Leg Confirmation |
| ISIN | Shows the ISIN of the Marketable Asset settled. |
| Quantity in FAMT | Shows the quantity instructed expressed in FAMT |
| Trade Date | Shows the trade date of the instruction |
| | Displayed format is: DD/MM/YYYY. |
| Intended | Shows the Intended Settlement Date of the instruction. |
| Settlement Date | Displayed format is: DD/MM/YYYY. |
| Effective | Shows the Effective Settlement Date of the instruction. |
| Settlement Date | Displayed format is: DD/MM/YYYY. |
| Party CSD | RIAD code of the CSD of the Delivering Party (for reception) or Receiving party (for delivery). |
| Party CSD (PSN) | Party Short Name of the CSD of the Delivering Party (for reception) or Receiving party (for delivery). |
| Instruction Id. | Enter the unique identifier of the instruction given by the ECMS. |
| CSD of the T2S Securit- ies Account for Regular Collateral | Shows the RIAD code of the CSD where the asset is received (Receiving CSD for reception instruction) or from where the asset is delivered (Delivering CSD for delivery instruction). |
| CSD of the T2S Securit- ies Account for Regular Collateral (PSN) | Shows the Party Short Name of the CSD where the asset is received (Receiving CSD for reception instruction) or from where the asset is delivered (Delivering CSD for delivery instruction). |
| Being Can- celled | Indicator stating that the cancellation of the instruction has been requested. The possible values are: |



| | - Yes |
|---------------------|---|
| | - No |
| Creation | Shows the date and time when the instruction was created in the ECMS. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id. | Identifier of the user responsible for the last update of the instruction. |
| Update Date | Date and time when the instruction was last updated in the ECMS. |
| Button | Function |
| View | This function enables you to view the detailed of the selected instruction. |
| | Next screen: |
| | Marketable Asset Settlement Instructions – Details Screen. |
| History | This function enables you to view the history of the selected instruction. |
| | Next screen: |
| | Marketable Asset Settlement Instructions – History Screen. |

3.3.2.1.2 Marketable Asset Settlement Instruction – History Screen

| | | | | | | • | | | | |
|------------------|--|--|--|---|--|--|--|--|---|--|
| Context of Usage | This screen selected Notes the data, if | Market includi | able A | sset S user v | ettlemo ho ma | ent Ins | tructio e chan | n. You ges, ar | can ch | neck |
| Screen Access | Instructions and Positions >> Instructions and Positions >> MA Settlement Instruction >> Marketable Asset Settlement Instructions >> Click on the search button (after inputting the relevant Data, if needed) >> Select a record >> Click on the History button Instructions and Positions >> Instructions and Positions >> MA Settlement Instruction >> Marketable Asset Settlement Instructions >> Click on the search button (after inputting the relevant Data, if needed) >> Select a record >> Click on the View button (Marketable Asset Settlement Instruction –Details Screen) >> Click on the History Button | | | | | | | | | |
| Screenshot | horizontalHistoryResult : Market Inst | truction History | | | | | | | | E |
| Octobilishot | Fieles | | 2© MATG0000038343(202 | 2 MIAT00000038343/202 | | 22 MIAT00000038343;20 | 2 MIAT00000038343(20) | 22 MAT(0)00038343(202 | Q 2 X | All Expand All Compare MIATCOXCO0038343(2022) |
| | Status Being Cancelled Business Status Counterparty Commit Date Commit Time Instructing Nostro Sec Acc | Cancelled No CANCELLED 19 (55)\ATCBNL001T25CROSS | waitingNotification No COMMITTED 19 SACC (55)(ATCBNL001725CR05 | wastingNotification No COMMITTED 19 SACC (55)(ATCBNLE01725CR055 | waterightodification Yes COMMITTED 19 23/06/2022 00:00:00:00 ACC (SSNATCENL001T2SCROSS | waitingNotification Yes COMMITTED 19 23/06/2022 00:00:0000 SACC (55)ATCBNL001T2SCR0S | waitingNotification No COMMITTED 19 25/05/2022 60/05/00 600 SACC (55)IATCRNL001T25CR06 | matingNotification No. INSTRUCTED 19 SSACC (SSIJATCBNL001T2SCRIOSS | InstructedTeceive No ROSTRUCTED 19 AACC (SSSIATCBNL001T2SCR0SSA | Deaft! No |
| | Instructing Party Instructing Sec Account | 19 ANL001ECMSACC01 | 19 ANL001ECMSACC01 | 19 ANL001ECMSACC01 | 19 ANL001ECMSACC01 | 19 ANL001ECMSACC01 | 19 ANL001ECMSACC01 | 19 ANL001ECMSACC01 | 19 ANL001ECMSACC01 | |
| | Is Committed Is Sent To Market | Yes Yes | Yes Yes | Yes | Yes Yes | Yes Yes | Yes Yes | No No | No No | No No |
| | Last Notification In Last Notification Out T25 Reference | 2829999181 SESE024EXTCAN0000000 | 2829999181 2829999181 | 2829999181 2829999181 | 2829999181 | | | | | |
| | Market Original Amount Miti Reference | 0 SESE024EXTCAN0000000 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | |
| | Ownership Date Price | 23/06/2022 | 23/06/2022 | 23/06/2802 | 23/06/2022 0 | 23/06/2022 | 23/06/2022 | 23/06/2022 0 | 23/06/2022 0 | |
| | Sec Mirt Created Sec Mirt Reference Creation Date | Yes 00047251MST 23/06/2022 17:33:58:297 | Ves 00047251MST 23/06/2022 17:33:36:485 | Yes 00047251MST 23/06/2022 17:33:19:675 | Ws 00047251MST 23/06/2022 17:32:10:366 | Yes 00047251MST 23/06/202217:32:02:289 | Yes 00047251MST 29/06/2022 17:31:01:323 | Visi 00047251MST 2306/2022 17:30:54:060 | No 00047249CST 23/06/2022 17:90:52:427 | No 00047249CST 29/06/2022 17/30/52/415 |
| | Creation Date (21) difference(s) found. | 2.100/2022 11:33:58:297 | a.N/00/2022 17:30/36/485 | 23/09/2022 17:33:19:6/5 | au-96/2022 11:32:10:366 | 23/00/2022 17:32/02/289 | 23/08/2022 17:31:01:373 | 2210012012 11:30:34:000 | au-06/2022 17:30:52:927 | 2006/2022 11:30:32:415 |
| Marketable Asset | Settlemer | nt Inst | ructio | n – Hi | story S | Scree | 1 | | | |
| Field | Descripti | on | | | | | | | | |
| Fields | Shows the fields whose information have been updated since the creation of the selected MA Settlement Instruction. | | | | | | | | | |
| | Shows the date and time when the fields have been updated. | | | | ettien | IGHT III | Structi | OH. | | |
| Timestamp | | | | | | | | | odated | |
| Timestamp | | e date | and tir | ne who | en the | fields | have b | een up | odated | |



| Button | Description |
|--------------------------|--|
| Compare | Shows the differences between the selected records whose data have been updated. |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected MA Settlement Instruction. |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected MA Settlement Instruction. |
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected MA Settlement Instruction. |
| Show Differences Only | Shows only the fields whose information have been updated since the creation of the selected MA Settlement Instruction |

3.3.2.1.3 Marketable Asset Settlement Instruction – Details Screen

| Context of Us- | | | w all the details o | of a Marketabl | e Asset Set- | | | |
|-----------------------|--|---|--|--|---|--|--|--|
| age | dement mou | tlement Instruction. | | | | | | |
| | From this so Asset Mover | | r can access direc | ctly to the rela | ted Market | | | |
| Business Case related | Search/List/ | Search/List/View Marketable Asset Settlement Instructions | | | | | | |
| Screen Access | tlement Instr | ruction >> Ma | s >> Instructions a arketable Asset Se ed Marketable Ass | ettlement Inst | ructions >> | | | |
| Screenshot | List: Marketable Asset Settlement Instruction | ns > View: Marketable Asset Settlement Instructi | on | | History 🔨 | | | |
| Screensnot | Transaction Details | | | | _ | | | |
| | Settlement Currency | Settlement Instruction Id | Instruction Type | CSD of the T25 Arro | unt for regular collateral | | | |
| | EUR Section Currency | MIATOMOMOSSI44 | Marketable Asset Demobilisation (DEI | | unt for regular collaneral | | | |
| | ISIN | ISIN Description | No Automatic Market Claim | T2S Reference | | | | |
| | AT0000384128 | Strip Kupen 15.7.2022 | true | SESE024EX1CAN00 | 000000103264 | | | |
| | Quantity in FAMT | Denomination Currency | Trade Date | Intended Settlement | Date | | | |
| | | 1 | 23/06/2022 | 23/16/2022 | | | | |
| | Effective Settlement Date | External Asset Account AT9900 ATCBNL001725CR08SA | External Asset Account Owner | Party CSD AT9900 | | | | |
| | Party BIC | Party Account | Partial Settlement Indicator | A19900 | | | | |
| | Party and | Party Rossans | false | | | | | |
| | Common Reference SESE023 | | | | | | | |
| | Instruction Flacs | | | | A | | | |
| | T2S Relocation Instruction Id | Rusine | ss Status | Business Sub Status | _ | | | |
| | MAI2022062342181 | Cancel | | | | | | |
| | Being Cancelled | T2S Cer | ntral Bank Cash Account Id | | | | | |
| | No. | | | | | | | |
| | Asset Prouton Details | | | | | | | |
| | Asset Position Details | | | | <u> </u> | | | |
| | | Market Marketalale Asset Movement | | Market Marketablie Asset Position | | | | |
| | Asset Position Details Receiving/Delivering Settlement Parties Receiving/Delivering Settlement Parties | Market Markesable Asset Movement | Notifications Netifications IX | Market Marketabile Asset Position | ۵ | | | |
| | Receiving/Delivering Settlement Parties | Market Manierable Asset Movement | | Market Marketable Asset Position | △ | | | |
| | Receiving/Delivering Settlement Parties Receiving/Delivering Settlement Parties [4] | Market Malematic Asset Movement Creation User Id | | | | | | |
| | Receiving Delivering Settlement Parties Receiving Chebrary Settlement Parties (d) Foot Print | | Neufreatones [2] | Market Marketable Accest Protition Updated User US STP | | | | |

| Marketable Asset Settlement Instructions – Details Screen | | |
|---|--|--|
| Button | Description | |
| History | This function enables you to view the history of the selected instruction. | |
| | Next screen: | |
| | Marketable Asset Settlement Instructions – History Screen. | |
| Field | Description | |
| Transaction I | Details | |
| Settlement Instruction Id | Identifier of the Settlement Instruction given by the ECMS. | |



| T2S Refer- ence | Reference of the T2S Instruction as given by T2S |
|----------------------------|--|
| Instruction | Shows the Type of instruction. The possible values are: |
| Туре | Marketable Asset Mobilisation (RECE) |
| | Marketable Asset Demobilisation (DELI) |
| ISIN | Shows the ISIN of the Marketable Asset (de)mobilized. |
| | Shows the Name of the Marketable Asset (de)mobilized. |
| tion | |
| Quantity in FAMT | Shows the Quantity instructed expressed in FAMT |
| Denomina- tion Currency | Shows the Currency of the instruction |
| Trade Date | Shows the Trade date of the instruction |
| | Displayed format is: DD/MM/YYYY. |
| | Shows the Intended settlement date of the instruction. |
| tlement Date | Displayed format is: DD/MM/YYYY. |
| | Shows the Effective settlement date of the instruction. |
| tlement Date | Displayed format is: DD/MM/YYYY. |
| | Shows the RIAD codeof the CSD where the asset is received (Receiv- |
| | ing CSD in a mobilisation instruction) or from where the asset is delivered (Delivering CSD for a demobilisation instruction). |
| for Regular | invered (Benvering GGB for a demobilisation instruction). |
| Collateral | |
| | Shows the Reference of T2S Account for Regular Collateral or of the |
| 1 | ECMS Cross NCB Asset Account depending if the instruction is to be settled in a domestic CSD or not where the Marketable Asset is depos- |
| 1 | ited. |
| External As- | Shows the BIC code of the owner of the External Asset Account. |
| set Account | |
| owner | Charres the DIC Code of the Delivering worth (for mobilization) or Desciv |
| | Shows the BIC Code of the Delivering party (for mobilisation) or Receiving party (for demobilization). |
| count | Shows the Account Reference of the Delivering party (for mobilisation) or Receiving party (for demobilization). |
| | Shows the RIAD codeof the CSD of the Delivering party (for mobilisation) or Receiving party (for demobilisation). |
| Instruction Fla | <u> </u> |
| | Internal Identifier of the instruction |
| Ctotus | Shows the business status of the instruction from possible values: |
| | - Sent for Settlement |
| | - Confirmed |
| | - Matched |
| | - Cancelled |
| | - Rejected |
| | - Queued |
| Business Sub Status | Shows the business substatus from possible values: |
| | - Waiting User Validation |



| Being cancelled Shows the Indicator stating that the cancellation of the instruction has been requested. The possible values are: - Yes - No Partial Settlement Indicator OPT-OUT Indicator Additional Informations Common Reference Asset Position details Market Asset Positions Movements Movements Market Asset Market Asset Market Asset Market Asset Market Asset Movements Shows the Indicator stating that the cancellation of the instruction has been requested. The possible values are: - Yes - No Fixed value not stored in BBDD only for informative purpose in screen in screen in screen in screen in screen in screen in struction in screen | | - Waiting Deliver Leg Confirmation |
|--|--------------------------|--|
| Partial Settle- ment Indicator OPT-OUT In- dicator Additional Informations Common Reference Asset Position details Market Asset Positions Movements Market Asset Position Market Asset Position Next Screen: — Market Marketable Asset Movement - List Screen Market Asset Position Next Screen: — Market Marketable Asset Movement - List Screen Market Asset Position Next Screen: — Market Marketable Asset Movement - List Screen Market Asset Position Next Screen: — Market Marketable Asset Movement - List Screen Market Asset Position by Position Type - List Screen — Market Marketable Asset Position by Position Type - List Screen T2S Instruction Status Constitus Section to view the details of the Settlement Parties [n] corresponds to the number of Settlement Parties recorded. Section to view the details of the Settlement Parties Section to view the details of the related notifications sent and received. [n] corresponds to the number of Notification. Foot Print Creation Date and time when the instruction was created in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Creation User Id. Update Date Date and time when the instruction was last updated in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Id. Date and time when the instruction was last updated in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Id. Date and time when the instruction was last updated in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Id. Date and time when the instruction was last updated in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Id. Date and time when the instruction was last updated of the instruction. Identifier of the user responsible for the last update of the instruction. Identifier of the user responsible for the last update of the instruction. Identifier of the user responsible for the last update of the instruction. Identifier of the user responsible for the last update of the instruction. Identifier of the user responsible for the last up | Being can- | |
| Partial Settlement Indicator Additional Informations Common Reference Asset Position Sultive details of the underlying settlement instruction Market Asset This button allows you to acces to Market Marketable Asset Movement with the details of the underlying settlement instruction Next Screen: — Market Marketable Asset Movement - List Screen Market Asset This button allows you to acces to Market Marketable Asset Position by Position Type with the details of the underlying Marketable Asset Position by Position Type with the details of the underlying Marketable Asset Position by Position Type with the details of the underlying Marketable Asset Settlement Instruction Next Screen: — Market Marketable Asset Position by Position Type – List Screen T2S Instruction Status Receiving/ Delivering Section to view the details of the Settlement Parties. [n] corresponds to the number of Settlement Parties recorded. Section to view the details of the related notifications sent and received. [n] corresponds to the number of Notification. Foot Print Creation Date and time when the instruction was created in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Update Date Date and time when the instruction was last updated in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Identifier of the user responsible for the last update of the instruction. Id. Receiving/Delivering Settlement Parties [n] Once you click on Receiving/Delivering Settlement Parties button following fields are displayed: Field Description Type of Settlement Party | celled | · |
| Partial Settlement Indicator OPT-OUT Indicator OPT-OUT Indicator OPT-OUT Indicator Additional Informations Common Reference Asset Position Market Asset Positions Movements Very Settlement Instruction Next Screen: - Market Marketable Asset Movement - List Screen Market Asset Position Market Asset Position Market Asset Position Next Screen: - Market Marketable Asset Movement - List Screen Market Asset Position Next Screen: - Market Marketable Asset Movement - List Screen Market Asset Position Next Screen: - Market Marketable Asset Movement - List Screen Market Marketable Asset Movement - List Screen Market Marketable Asset Movement - List Screen Market Marketable Asset Position by Position Type with the details of the underlying Marketable Asset Settlement Instruction Next Screen: - Market Marketable Asset Position by Position Type - List Screen 72S Instruction Status Receiving/ Section to view the details of T2S Instruction Status. Section to view the details of the Settlement Parties. [n] corresponds to the number of Settlement Parties recorded. Section to view the details of the related notifications sent and received. [n] corresponds to the number of Notification. Foot Print Creation Date and time when the instruction was created in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Identifier of the user responsible for the creation of the instruction. User Id. Update Date Shows format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Id. Receiving/Delivering Settlement Parties button following fields are displayed: Field Description Set Party Type Type of Settlement Party | | - Yes |
| ment Indicator OPT-OUT Indicator Additional Informations Common Reference of the instruction Reference Asset Position details Market Asset Positions with the details of the underlying settlement instruction Next Screen: — Market Marketable Asset Movement - List Screen Market Asset Position with the details of the underlying Marketable Asset Position Next Screen: — Market Marketable Asset Movement - List Screen Market Asset Position Upposition Type with the details of the underlying Marketable Asset Position by Position Type with the details of the underlying Marketable Asset Settlement Instruction Next Screen: — Market Marketable Asset Position by Position Type – List Screen T2S Instruction Status Receiving/ Delivering Settlement Parties [n] Corresponds to the number of Settlement Parties recorded. Section to view the details of the Settlement Parties. [n] corresponds to the number of Settlement Parties recorded. Foot Print Creation Date and time when the instruction was created in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Identifier of the user responsible for the creation of the instruction. Update Date Date and time when the instruction was last updated in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Identifier of the user responsible for the last update of the instruction. Receiving/Delivering Settlement Parties [n] Once you click on Receiving/Delivering Settlement Parties button following fields are displayed: Field Description Type of Settlement Party | | 1.00 |
| ator OPT-OUT Indicator Additional Informations Common Reference Asset Position details Market Asset Positions Movements Market Asset Position Market Asset Movement With the details of the underlying settlement instruction Next Screen: - Market Marketable Asset Movement - List Screen Market Asset Position Next Screen: - Market Marketable Asset Movement - List Screen Market Asset Position Next Screen: - Market Marketable Asset Movement - List Screen Market Asset Position Next Screen: - Market Marketable Asset Position by Position Type - List Screen T2S Instruction Status Receiving/ Section to view the details of the Settlement Parties. [n] corresponds to the number of Settlement Parties [n] Notifications [n] Section to view the details of the related notifications sent and received. [n] corresponds to the number of Notification. Foot Print Creation Date and time when the instruction was created in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Creation User Id. Update Date Shows format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Id. Receiving/Delivering Settlement Parties [n] Once you click on Receiving/Delivering Settlement Parties button following fields are displayed: Field Description Type of Settlement Party Type | | Fixed value not stored in BBDD only for informative purpose in screen |
| Additional Informations Common Reference Shows the Common Reference of the instruction Market Asset Position details Market Asset Positions Movements Movements Next Screen: - Market Marketable Asset Movement - List Screen Market Asset Position Position Type with the details of the underlying Marketable Asset Position by Position Type with the details of the underlying Marketable Asset Settlement Instruction Next Screen: - Market Marketable Asset Movement - List Screen Tals Instruction Next Screen: - Market Marketable Asset Position by Position Type – List Screen T2S Instruction Status Receiving/ Delivering Section to view the details of T2S Instruction Status. Receiving/ Delivering Section to view the details of the Settlement Parties. [n] corresponds to the number of Settlement Parties recorded. Section to view the details of the related notifications sent and received. [n] corresponds to the number of Notification. Foot Print Creation Date and time when the instruction was created in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Creation User Id. Update Date Date and time when the instruction was last updated in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Id. Receiving/Delivering Settlement Parties [n] Once you click on Receiving/Delivering Settlement Parties button following fields are displayed: Field Description Set Party Type Type | | |
| Additional Informations Common Reference Asset Position details Market Asset Positions With the details of the underlying settlement instruction Next Screen: - Market Marketable Asset Movement - List Screen Market Asset Position Vext Screen: - Market Marketable Asset Movement - List Screen Market Asset Position Next Screen: - Market Marketable Asset Movement - List Screen This button allows you to acces to Market Marketable Asset Position by Position Type with the details of the underlying Marketable Asset Settlement Instruction Next Screen: - Market Marketable Asset Position by Position Type - List Screen Section to view the details of T2S Instruction Status. Section to view the details of the Settlement Parties. [n] corresponds to the number of Settlement Parties recorded. Section to view the details of the related notifications sent and received. [n] corresponds to the number of Notification. Foot Print Creation Date Shows format is: DD/MM/YYYY hh:mm:ss:µs. Creation User Id. Update Date Date and time when the instruction was created in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Id. Receiving/Delivering Settlement Parties [n] Once you click on Receiving/Delivering Settlement Parties button following fields are displayed: Field Description Set Party Type Type of Settlement Party | OPT-OUT In- | Posible value NOMC. |
| Common Reference Asset Position details Market Asset This button allows you to acces to Market Marketable Asset Movement with the details of the underlying settlement instruction Next Screen: - Market Marketable Asset Movement - List Screen Market Asset Position Position Type with the details of the underlying Marketable Asset Position by Position Type with the details of the underlying Marketable Asset Settlement Instruction Next Screen: - Market Marketable Asset Position by Position Type - List Screen T2S Instruction Status Receiving/ Section to view the details of T2S Instruction Status. Section to view the details of the Settlement Parties. [n] corresponds to the number of Settlement Parties recorded. Section to view the details of the related notifications sent and received. [n] corresponds to the number of Notification. Foot Print Creation Date and time when the instruction was created in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Creation User Id. Update Date Date and time when the instruction was last updated in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Id. Receiving/Delivering Settlement Parties [n] Once you click on Receiving/Delivering Settlement Parties button following fields are displayed: Field Description Set Party Type | | |
| Reference Asset Position details Market Asset Positions Movements Next Screen: - Market Marketable Asset Movement - List Screen Market Asset Position This button allows you to acces to Market Marketable Asset Position by Position Type with the details of the underlying Marketable Asset Settlement Instruction Next Screen: - Market Marketable Asset Position by Position Type - List Screen Section to view the details of T2S Instruction Status. Receiving/ Delivering Section to view the details of the Settlement Parties. [n] corresponds to the number of Settlement Parties recorded. Section to view the details of the related notifications sent and received. [n] corresponds to the number of Notification. Foot Print Creation Date and time when the instruction was created in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:;µs. Creation User Id. Update Date Date and time when the instruction was last updated in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:;µs. Updater User Id. Receiving/Delivering Settlement Parties [n] Once you click on Receiving/Delivering Settlement Parties button following fields are displayed: Field Description Set Party Type Type of Settlement Party | _ | |
| Market Asset Positions Movements This button allows you to acces to Market Marketable Asset Movement with the details of the underlying settlement instruction Next Screen: - Market Marketable Asset Movement - List Screen This button allows you to acces to Market Marketable Asset Position by Position Type with the details of the underlying Marketable Asset Settlement Instruction Next Screen: - Market Marketable Asset Position by Position Type - List Screen T2S Instruction Status Receiving/ Delivering Section to view the details of the Settlement Parties. [n] corresponds to the number of Settlement Parties recorded. Section to view the details of the related notifications sent and received. [n] corresponds to the number of Notification. Foot Print Creation Date and time when the instruction was created in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Creation User Id. Update Date Date and time when the instruction was last updated in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Id. Receiving/Delivering Settlement Parties [n] Once you click on Receiving/Delivering Settlement Parties button following fields are displayed: Field Description Set Party Type | | Shows the Common Reference of the instruction |
| Positions Movements with the details of the underlying settlement instruction Next Screen: - Market Marketable Asset Movement - List Screen This button allows you to acces to Market Marketable Asset Position by Position Type with the details of the underlying Marketable Asset Settlement Instruction Next Screen: - Market Marketable Asset Position by Position Type - List Screen Section to view the details of T2S Instruction Status. Section to view the details of the Settlement Parties. [n] corresponds to the number of Settlement Parties recorded. Section to view the details of the related notifications sent and received. [n] corresponds to the number of Notification. Foot Print Creation Date and time when the instruction was created in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Creation User Id. Update Date Date and time when the instruction was last updated in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Id. Receiving/Delivering Settlement Parties [n] Once you click on Receiving/Delivering Settlement Parties button following fields are displayed: Field Description Type of Settlement Party Type Type of Settlement Party | Asset Position | n details |
| Market Asset Position Next Screen: - Market Marketable Asset Movement - List Screen Tobelivering Section to view the details of the underlying Marketable Asset Settlement Instruction Next Screen: - Market Marketable Asset Position by Position Type – List Screen T2S Instruction Status Receiving/ Delivering Section to view the details of T2S Instruction Status. Receiving/ Delivering Settlement Parties recorded. Section to view the details of the Settlement Parties. [n] corresponds to the number of Settlement Parties recorded. Section to view the details of the related notifications sent and received. [n] [n] corresponds to the number of Notification. Foot Print Creation Date and time when the instruction was created in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Creation User Id. Update Date Date and time when the instruction was last updated in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Id. Updater User Id. Receiving/Delivering Settlement Parties [n] Once you click on Receiving/Delivering Settlement Parties button following fields are displayed: Field Description Type of Settlement Party Type | Positions | • |
| Market Asset Position This button allows you to acces to Market Marketable Asset Position by Position Type with the details of the underlying Marketable Asset Settlement Instruction Next Screen: — Market Marketable Asset Position by Position Type — List Screen T2S Instruction Status Receiving/ Delivering Section to view the details of T2S Instruction Status. Section to view the details of the Settlement Parties. [n] corresponds to the number of Settlement Parties recorded. Section to view the details of the related notifications sent and received. [n] corresponds to the number of Notification. Foot Print Creation Date and time when the instruction was created in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Creation User Id. Update Date Date and time when the instruction was last updated in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Id. Receiving/Delivering Settlement Parties [n] Once you click on Receiving/Delivering Settlement Parties button following fields are displayed: Field Description Type of Settlement Party Type | Movements | Next Screen: |
| Position Position Type with the details of the underlying Marketable Asset Settlement Instruction Next Screen: - Market Marketable Asset Position by Position Type – List Screen T2S Instruction Status Receiving/ Delivering Settlement Parties [n] Notifications [n] corresponds to the number of Notifications sent and received. [n] corresponds to the number of Notification. Foot Print Creation Date and time when the instruction was created in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Creation User Id. Update Date Date and time when the instruction was last updated in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Id. Receiving/Delivering Settlement Parties [n] Once you click on Receiving/Delivering Settlement Party Type Type of Settlement Party Type of Settlement Party Type of Settlement Party Type you click on Receiving/Delivering Settlement Party Type Type of Settlement Party Type of Settlement Party Type of Settlement Party | | Market Marketable Asset Movement - List Screen |
| T2S Instruction Status Receiving/ Delivering Settlement Parties [n] Notifications [n] Date and time when the instruction was created in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Creation User Id. Update Date Date and time when the instruction was last updated in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Id. Receiving/Delivering Settlement Parties [n] Once you click on Receiving/Delivering Settlement Party Type Section to view the details of the Settlement Parties. [n] corresponds to the number of Notifications sent and received. In] corresponds to the related notifications sent and received. In] corresponds to the number of Notification. Foot Print Creation Date and time when the instruction was created in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Id. Receiving/Delivering Settlement Parties [n] Once you click on Receiving/Delivering Settlement Parties button following fields are displayed: Field Description Type of Settlement Party Type | | Position Type with the details of the underlying Marketable Asset Settle- |
| T2S Instruction Status Receiving/ Delivering Settlement Parties [n] Notifications [n] Notifications [n] Date and time when the instruction was created in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Creation User Id. Update Date Date and time when the instruction was last updated in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Id. Updater User Id. Receiving/Delivering Settlement Parties [n] Once you click on Receiving/Delivering Settlement Party Type Section to view the details of the Settlement Parties. [n] corresponds to the number of Notifications sent and received. [n] corresponds to the related notifications sent and received. [n] corresponds to the instruction. Section to view the details of the Settlement Parties [n] ontifications sent and received. [n] corresponds to the related notifications sent and received. [n] corresponds to the related notifications sent and received. [n] corresponds to the related notifications sent and received. [n] corresponds to the related notifications sent and received. [n] corresponds to the related notifications sent and received. [n] corresponds to the related notifications sent and received. [n] corresponds to the related notifications sent and received. [n] corresponds to the related notifications sent and received. [n] corresponds to the related notifications sent and received. [n] corresponds to the related notifications sent and received. [n] corresponds to the related notifications sent and received. [n] corresponds to the related notifications sent and received. [n] corresponds to the related notifications. [n] correspon | | Next Screen: |
| tion Status Receiving/ Delivering Settlement Parties [n] Notifications [n] Section to view the details of the Settlement Parties. [n] corresponds to the number of Settlement Parties recorded. Section to view the details of the related notifications sent and received. [n] Corresponds to the number of Notification. Foot Print Creation Date and time when the instruction was created in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Creation User Id. Update Date Date and time when the instruction was last updated in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Identifier of the user responsible for the last update of the instruction. Id. Receiving/Delivering Settlement Parties [n] Once you click on Receiving/Delivering Settlement Parties button following fields are displayed: Field Description Set Party Type | | Market Marketable Asset Position by Position Type – List Screen |
| Delivering Settlement Parties [n] Notifications [n] Section to view the details of the related notifications sent and received. [n] corresponds to the number of Notification. Foot Print Creation Date and time when the instruction was created in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Creation User Id. Update Date Date and time when the instruction was last updated in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Id. Updater User Id. Receiving/Delivering Settlement Parties [n] Once you click on Receiving/Delivering Settlement Parties button following fields are displayed: Field Description Set Party Type Type of Settlement Party Type | | Section to view the details of T2S Instruction Status. |
| [n] [n] corresponds to the number of Notification. Foot Print Creation Date and time when the instruction was created in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Creation User Id. Update Date Date and time when the instruction was last updated in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Identifier of the user responsible for the last update of the instruction. Id. Receiving/Delivering Settlement Parties [n] Once you click on Receiving/Delivering Settlement Parties button following fields are displayed: Field Description Set Party Type Type of Settlement Party | Delivering Settlement | |
| Creation Date and time when the instruction was created in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Creation User Id. Update Date Date and time when the instruction was last updated in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Identifier of the user responsible for the last update of the instruction. Receiving/Delivering Settlement Parties [n] Once you click on Receiving/Delivering Settlement Parties button following fields are displayed: Field Description Set Party Type Type of Settlement Party | | |
| Date Shows format is: DD/MM/YYYY hh:mm:ss:µs. Creation User Id. Update Date Date and time when the instruction was last updated in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Id. Updater User Id. Receiving/Delivering Settlement Parties [n] Once you click on Receiving/Delivering Settlement Parties button following fields are displayed: Field Description Set Party Type Type of Settlement Party | Foot Print | |
| Creation User Id. Update Date Date and time when the instruction was last updated in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Id. Updater User Id. Receiving/Delivering Settlement Parties [n] Once you click on Receiving/Delivering Settlement Parties button following fields are displayed: Field Description Set Party Type Type Date and time when the instruction was last updated in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Id. Date and time when the instruction was last updated in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Id. Description Set Party Type Type of Settlement Party | | Date and time when the instruction was created in the ECMS. |
| User Id. Update Date Date and time when the instruction was last updated in the ECMS. Shows format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Id. Identifier of the user responsible for the last update of the instruction. Id. Receiving/Delivering Settlement Parties [n] Once you click on Receiving/Delivering Settlement Parties button following fields are displayed: Field Description Set Party Type Type | Date | · |
| Shows format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Id. Receiving/Delivering Settlement Parties [n] Once you click on Receiving/Delivering Settlement Parties button following fields are displayed: Field Description Set Party Type Shows format is: DD/MM/YYYY hh:mm:ss:µs. Identifier of the user responsible for the last update of the instruction. Set Party Type of Settlement Party | | Identifier of the user responsible for the creation of the instruction. |
| Updater User Identifier of the user responsible for the last update of the instruction. Receiving/Delivering Settlement Parties [n] Once you click on Receiving/Delivering Settlement Parties button following fields are displayed: Field Description Set Party Type Type | Update Date | Date and time when the instruction was last updated in the ECMS. |
| Receiving/Delivering Settlement Parties [n] Once you click on Receiving/Delivering Settlement Parties button following fields are displayed: Field Description Set Party Type Type | | Shows format is: DD/MM/YYYY hh:mm:ss:µs. |
| Once you click on Receiving/Delivering Settlement Parties button following fields are displayed: Field Description Set Party Type Type | | Identifier of the user responsible for the last update of the instruction. |
| displayed: Field Description Set Party Type Type | Receiving/De | livering Settlement Parties [n] |
| Set Party Type of Settlement Party Type | | k on Receiving/Delivering Settlement Parties button following fields are |
| Туре | Field | Description |
| | _ | Type of Settlement Party |
| | BIC | BIC of the Settlement Party |



| Account number of the Settlement Party | | | |
|--|--|--|--|
| Shows the Party Issuer code | | | |
| Shows the Party Proprietary Identification | | | |
| Shows the Party Name | | | |
| [n] | | | |
| k on Notifications button following fields are displayed: | | | |
| Description | | | |
| Name of the notification sent or received | | | |
| Reference of the notification message | | | |
| In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: | | | |
| - Prepared | | | |
| - Impacted | | | |
| - Impact Failed | | | |
| - Rejected | | | |
| - Archived | | | |
| - Processed | | | |
| - Processed with Failure | | | |
| Waiting Validation | | | |
| - On Hold | | | |
| Waiting for Retry | | | |
| | | | |

| | , | | | |
|------------------------|---|--|--|--|
| Direction | Indicator stating that the notification has been received or sent by the ECMS. Possible values: — In — Out | | | |
| | - Out | | | |
| Error De- scription | Shows the error description (if it has happened). | | | |
| Creation Date | Date and time when the notification was created in the ECMS. | | | |
| Update Date | Date and time when the notification was last updated in the ECMS | | | |
| Button | Function | | | |
| Download | This function enables you to access to the detailed information of the original message in XML format. | | | |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | | | |
| View Mes- sage | This function enables you to access to the detailed information of the messages for same notification. | | | |
| | View Message – Details Screen | | | |
| View Messag | View Message – Details Screen | | | |
| Field | Description | | | |
| Message Reference | Shows the reference of the messge. | | | |



| Direction | Shows whether the notification has been an input or output. Possible values: |
|-----------------|---|
| | – In |
| | - Out |
| Status | Shows the status of the message. |
| After selecting | a record, the following buttons are displayed |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |

| T2S Instruction Status | | |
|---|--|--|
| Once you click on T2S Instruction Status button following fields are displayed: | | |
| T2S Code | Shows the code of the status reasons generated or received from T2S by ECMS | |
| T2S Status Description | Shows the description of the status reasons generated or received from T2S by ECMS | |

3.3.3 T2S Relocation

Collateral relocation is performed by T2S during its End of Day Cash Management process when the amount available in the T2S Dedicated Cash Accounts of the payment/ settlement bank is not sufficient to reimburse the amount of intraday credit outstanding provided through auto-collateralisation.

When the ECMS is informed of the collateral relocation performed by T2S, it must register the collateral that has been delivered to the T2S Securities Account for Regular Collateral of the liquidity providing central bank in an ECMS Counterparty Asset Account of the Counterparty owning the T2S Dedicated Cash Account where the credit was provided. The ECMS must then increase the collateral position on the ECMS Pool of the Counterparty (and its credit line if necessary according to counterparty setup) at the same time as it sends a (connected) payment to debit the CLM Account of the counterparty to reimburse the refinancing central bank that provided the liquidity in T2S.

3.3.3.1 Relocation Settlement Instruction

T2S generates collateral relocation settlement instructions as part of the reimbursement of the pending intraday credits provided by Central Banks in T2S through auto-collateralisation during the settlement day when there is insufficient cash on the T2S Dedicated Cash Accounts to reimburse the pending intraday credit provided.

The table of Relocation Settlement Instruction is used to record in the ECMS the collateral relocation settlement instructions sent by T2S.

Through the different screens described in this section, an NCB can access to the details of the Relocation Settlement Instruction.

3.3.3.1.1 Relocation Settlement Instruction – Search Screen

| Context of Us- | This screen is used to search Relocation Settlement Instruction. It |
|----------------|---|
| age | contains the fields that can be used as search criteria. |



| | The user captures the fields that correspond to its criteria for searching Relocation Settlement Instruction. | | | | | |
|---------------|---|--|--|--|--|--|
| | If a field is left blank, the field is not taken into account as a search criteria. | | | | | |
| | Once search criteria have been filled, by clicking on the search button, the list of instructions fulfilling the criteria will be displayed. | | | | | |
| Screen Access | Depending how the screen is accessed, it can be used to search either the valid Instructions, or instructions waiting for NCB manual intervention. | | | | | |
| | For valid instructions in any Status: | | | | | |
| | Instructions and Positions >> Instructions and Positions >> T2S Relocation >> Relocation Settlement Instructions | | | | | |
| | For instructions in Status "Waiting for NCB Manual Intervention": | | | | | |
| | Instructions and Positions >> Instructions and Positions >> T2S Relocation >> Recycle / Reject Waiting for NCB Manual Intervention | | | | | |
| | For Information subject to 4 eyes validation: | | | | | |
| | Instructions and Positions >> Instructions and Positions >> T2S Relocation >> Validate / Reject Relocation Settlement Instruction | | | | | |
| Screenshot | Reduces Celebrate Institutes 2 Search Relocation Settlement Institutions 2 Search Relocation Settlement Institutions | | | | | |
| | Ribacins • • • T25 Reference • • • • • • • • • • • • • • • • • • • | | | | | |
| | Trade Date □ Insocked Settlement □ Effective Settlement □ Courtegarry T25 □ Courteg | | | | | |
| | CD0 of the 125 • • • Defend Asset • • • Q Defend Asset • • Party CD0 • • • Account to registe Account Control | | | | | |
| | Party BiC · · · · · · · · · · · · · · · · · · · | | | | | |
| | Q South | | | | | |

| Relocation Settlement Instruction – Search screen | | | | |
|---|--|--|--|--|
| Field | Description | | | |
| | Enter the unique identifier of the Relocation Settlement Instruction as given by the ECMS | | | |
| T2S Reference | Enter the reference of the Relocation Settlement Instruction as given by T2S | | | |
| ISIN | Enter or search the ISIN of the Marketable Asset. | | | |
| Trade Date | Enter or select the date at which the trade was made. | | | |
| | Required format is: DD/MM/YYYY | | | |
| | Enter or select the intended settlement date of the instruction. | | | |
| ment Date | Required format is: DD/MM/YYYY | | | |
| | Enter or select the effective settlement date of the instruction. | | | |
| ment Date | Required format is: DD/MM/YYYY | | | |
| Counterparty T2S DCA Id. | Enter the identifier of the T2S DCA of the counterparty where the cash has been provided through auto-collateralisation. | | | |
| CSD of the T2S Securities Ac- count for Regu- lar Collateral | Enter or search the RIAD code of the CSD where the asset is received. | | | |
| External Asset Account | Enter or select the Reference of T2S Account for Regular Collateral where the asset is received. | | | |



| External Asset Account Owner | Enter the Account Owner of T2S Account for Regular Collateral where the asset is received. | | | |
|------------------------------|---|--|--|--|
| Party CSD | Enter or search the RIAD code of the CSD of the Delivering party. | | | |
| Party BIC | BIC Code of the Delivering party (for mobilisation) or Receiving party (for demobilization). | | | |
| Business Status | Enter or select the status of the instruction from the possible values: | | | |
| | - Confirmed | | | |
| | Waiting for NCB manual intervention | | | |
| | - Rejected | | | |
| | - Instructed | | | |
| | - Matched | | | |
| | - Sent for Settlement | | | |
| | - Cancelled | | | |
| Business Sub Status | Enter or select the sub status of the instruction from the possible values: | | | |
| | Waiting for User Validation | | | |
| Update Date | Enter or select the date and time when the instruction was last updated in the ECMS. | | | |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs. | | | |
| Button | Function | | | |
| Reset | This function enables you to clear the form. | | | |
| Search | This function enables you to start a search according to the criteria entered. The results are displayed in a list on a screen below. | | | |
| | Next Screen: | | | |
| | - Relocation Settlement Instruction - List Screen | | | |
| | Recycle / Reject Waiting for NCB Manual Intervention – List Screen | | | |

3.3.3.1.1.1 Relocation Settlement Instruction – List Screen

| Context of Us- | This screen contains a list of Relocation Settlement Instruction. |
|----------------|--|
| age | The instructions listed correspond to the search criteria captured in the <i>Relocation Settlement Instruction</i> – <i>Search</i> screen. |
| | The list displayed can be sorted and filtered by the field displayed. |
| | The list can be exported. |
| | By clicking on the "View" button or double clicking on the selected line to display the <i>Relocation Settlement Instruction</i> — <i>Details screen</i> with the details of the selected instruction. |
| Screen Access | Depending how the screen is accessed, it can be used to list either the valid Instructions, instructions that requires 4 eyes validation before they can be considered valid in the system, or instructions waiting for NCB manual intervention. |
| | The list Showed can be sorted and filter by the field Showed. |
| | The list can be exported. |
| | By clicking on the "View" button or double clicking on the selected line to Shows the Counterparty Marketable Asset Instructions—Details screen with the details of the selected instruction. |



| | For valid instructions in any Status: | | | |
|------------|---|--|--|--|
| | Instructions and Positions >> Instructions and Positions >> T2S Re- location >> Relocation Settlement Instructions >> Search Relocation Settlement Instruction | | | |
| | For instructions in Status "Waiting for NCB Manual Intervention": | | | |
| | Instructions and Positions >> Instructions and Positions >> T2S Re- location >> Recycle / Reject Waiting for NCB Manual Intervention >> Search Relocation Settlement Instructions | | | |
| | For Information subject to 4 eyes validation: | | | |
| | Instructions and Positions >> Instructions and Positions >> T2S Re- location >> Validate / Reject Relocation Settlement Instruction >> Search Relocation Settlement Instructions | | | |
| Screenshot | List: Relocation Settlement Instructions □ □ □ □ □ □ □ □ □ □ □ □ □ | | | |
| | | | | |

| Relocation Settlement Instruction – List screen | | | | |
|---|--|--|--|--|
| Column | Description | | | |
| Relocation Set- tlement Instruc- tion Id. | Shows the unique identifier of the Relocation Settlement Instruction as given by the ECMS | | | |
| T2S Reference | Shows the Reference of the Relocation Settlement Instruction as given by T2S | | | |
| Instruction Type | Shows the type of instruction (Relocation | | | |
| Business Status | Shows the status of the instruction from the possible values: | | | |
| | Waiting for NCB manual intervention | | | |
| | - Rejected | | | |
| | - Confirmed | | | |
| Business Sub | Shows the sub status of the instruction from the possible values: | | | |
| Status | Waiting for User Validation | | | |
| ISIN | Shows the ISIN of the Marketable Asset Relocated. | | | |
| Quantity in FAMT | Shows the quantity instructed expressed in FAMT | | | |
| Denomination Currency | Shows the currency of the instruction | | | |
| Counterparty T2S DCA Id. | Shows the Identifier of the T2S DCA of the counterparty where the cash has been provided through auto-collateralisation. | | | |
| Settlement Amount | Shows the amount of cash debited from the T2S Central Bank Cash Account for the Relocation | | | |
| Settlement Cur- rency | Currency of the cash amount | | | |
| Trade Date | Shows the Trade date of the instruction | | | |
| | Displayed format is: DD/MM/YYYY. | | | |
| Intended Settle- | Shows the Intended Settlement Date of the instruction. | | | |
| ment Date | Displayed format is: DD/MM/YYYY. | | | |



| Effective Settlement Date | Shows the Effective Settlement Date of the instruction. | | | |
|---------------------------------------|---|--|--|--|
| | | | | |
| 00D -f#- T00 | Displayed format is: DD/MM/YYYY. | | | |
| CSD of the T2S | Shows the RIAD code of the CSD where the asset is received. | | | |
| Securities Ac- | | | | |
| count for Regular Collateral | | | | |
| External Asset | Shows the Reference of T2S Account for Regular Colleteral where | | | |
| Account | Shows the Reference of T2S Account for Regular Collateral where the asset is received. | | | |
| External Asset Account Owner | Shows the Account Ownner of T2S Account for Regular Collateral where the asset is received. | | | |
| Party CSD | Shows the RIAD code of the CSD of the Delivering Party (for reception) or Receiving party (for delivery) | | | |
| Party BIC | Shows the BIC Code of the Delivering party (for mobilisation) or Receiving party (for demobilization). | | | |
| Party Account | Shows the account Reference of the Delivering party (for mobilisation) or Receiving party (for demobilization). | | | |
| Creation Date | Shows the date and time when the instruction was created in the ECMS. | | | |
| Updater User Id. | Identifier of the user responsible for the last update of the instruction. | | | |
| Update Date | Date and time when the instruction was last updated in the ECMS. | | | |
| Button | Function | | | |
| View | This function enables you to view the detailed of the selected instruction. | | | |
| | Next Screen: | | | |
| | - Relocation Settlement Instruction - Details Screen | | | |
| | Recycle / Reject Waiting for NCB Manual Intervention – Details Screen | | | |
| History | [Only for For Valid Information] | | | |
| | This function enables you to view the history of the selected instruction. | | | |
| | Next Screen: | | | |
| | - Relocation Settlement Instruction - History Screen | | | |
| Recycle | [Only in case of Reject/Recycle Waiting For NCB Manual Intervention] | | | |
| | This function enables the user to recycle Relocation Settlement Instruction. | | | |
| Reject | [Only in case of Reject/Recycle Waiting For NCB Manual Intervention] | | | |
| | This function enables the user to Reject Relocation Settlement Instruction. | | | |
| If the screen is us played when a red | sed in the 4 eyes validation context, the following buttons are also discord is selected | | | |
| | | | | |
| Action to Validat | | | | |
| Action to Validat | n of new data by 4-eyes user, the validator user will validate/reject. | | | |
| Action to Validat | n of new data by 4-eyes user, the validator user will validate/reject. Function | | | |



| Validate | This function allows the user to validate the creation or upate of the record so that they can be considered valid in the system | |
|--|--|--|
| Reject | This function allows the user to reject the creation or update of the record. The draft will be deleted. | |
| In case the record has been rejected the only available options for this record will be: | | |
| View | This function allows the user to view the rejected record. | |

3.3.3.1.1.2 Relocation Settlement Instruction – History Screen

| Context of Usage | This screen displays historical information that has changed on the selected Relocation Settlement Instruction. You can check the data, including the user who made the changes, and proceed further by clicking on the buttons that are shown. |
|------------------|---|
| Screen Access | For valid instructions in any Status: |
| | Instructions and Positions >> Instructions and Positions >> T2S Relocation >> Relocation Settlement Instructions >> Click on the search button (after inputting the relevant Data, if needed) >> Select a record >> Click on the History button |
| | Instructions and Positions >> Instructions and Positions >> T2S Relocation >> Relocation Settlement Instructions >> Click on the search button (after inputting the relevant Data, if needed) >> Select a record >> Click on the View button (Relocation Settlement Instruction – Details Screen) >> Click on the History Button |
| | For instructions in Status "Waiting for NCB Manual Intervention": |
| | Instructions and Positions >> Instructions and Positions >> T2S Relocation >> Recycle / Reject Waiting for NCB Manual Intervention >> Click on the search button (after inputting the relevant Data, if needed) >> Select a record >> Click on the History button |
| | Instructions and Positions >> Instructions and Positions >> T2S Relocation >> Recycle / Reject Waiting for NCB Manual Intervention >> Click on the search button (after inputting the relevant Data, if needed) >> Select a record >> Click on the View button (Recycle / Reject Waiting for NCB Manual Intervention – Details Screen) >> Click on the History Button |
| | For Information subject to 4 eyes validation: |
| | Instructions and Positions >> Instructions and Positions >> T2S Relocation >> Validate / Reject Relocation Settlement Instruction >> Click on the search button (after inputting the relevant Data, if needed) >> Select a record >> Click on the History button |
| | Instructions and Positions >> Instructions and Positions >> T2S Relocation >> Validate / Reject Relocation Settlement Instruction >> Click on the search button (after inputting the relevant Data, if needed) >> Select a record >> Click on the View button (Validate / Reject Relocation Settlement Instruction – Details Screen) >> Click on the History Button |



| Screenshot | horizontalHistoryResult : Market Ins | truction History | | | Q.4 21 Store All Emphish Company | |
|--------------------------|--|--|--|---|---|--|
| | Fields | MIAT000000028234/2022-06-07 11 59:26 137 μ | ∇ MIAT00000028234;2022-05-07 11 59:22-351β | ▽ MIAT00000028234/2022-05-07 11 59:13:784/2 | ▼ MIAT00000028234,2022.05-07 11:59.13.481(1 | |
| | | | | | | |
| | Status Businesa Status | EffectiveMarketSettlement SETTLED | waitingNotification INSTRUCTED | InstructedReceive INSTRUCTED | Draft | |
| | Cc BM Type Effective Settlement Date | CCBM CCB | CCBM CCB | CCBM/CCB | | |
| | Instructing Nestro Sec Acc | (M)ATCHNL001T2SCR0SSACC001 | (55)ATCBNL001T2SCR0SSACC001 | (55)(ATCBNL001T25CR05SACC001 | | |
| | Instructing Party Instructing Sec Account | 19 ANLOGIEDMSACCOI | 19 ANLOSTECHISACCOT | 19 ANLODIECHISACCOI | | |
| | Last Sett Data | 319999006 | | | | |
| | Market Original Amount Marching Date | 1,234.98 07/05/2022 | 1,23498 | 1,23498 | | |
| | Matching Time Ot C Traded | 00.00.00.000 True | | | | |
| | Ot C Traded Ownership Date | 07/06/2022 | 07/06/2022 | 07/06/2022 | | |
| | Price Purchase Cost | 37.42363636 1.234.98 | 37.42363636 | 37.42363636 1.794.98 | | |
| | Remaining Ams | 0 | 1,23498 | 1,23498 | 1,234.98 | |
| | Remaining Quantity Sec Myd Cresped | 0 Yes | 33 Yes | 33 No | No | |
| | Sec Mvt Reference | 00033015MST | 00033015MST | | | |
| | Intended Settlement date Creation Date | 07/06/2022 07/06/2022 11:99:26:137 | 07/06/2022 07/06/2022 11:99:22:351 | 07/06/2022 07/06/2022 11:59:13:784 | 07/06/2022 11:59:13:481 | |
| | (21) difference(s) found. | | | | | |
| Relocation Settle | ment Instr | uction – Hist | ory Screen | | | |
| Field | Description | | | | | |
| Fields | | | information ha | | | |
| | | | Relocation Se | | | |
| Timestamp | Shows the | e date and tim | e when the fie | lds have been | updated. | |
| | Displayed | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | |
| Button | Description | | | | | |
| Compare | Shows the differences between the selected records whose data have been updated. | | | | | |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected Relocation Settlement Instruction. | | | | | |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected Relocation Settlement Instruction. | | | | | |
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected Relocation Settlement Instruction. | | | | | |
| Show Differences Only | Shows only the fields whose information have been updated since the creation of the selected Relocation Settlement Instruction | | | | | |

3.3.3.1.1.3 Relocation Settlement Instruction – Details Screen

| Context of Usage | This screen is used to view all the details of a Relocation Settlement Instruction. From this screen the user can access directly to the related Market Asset Movement. |
|------------------|---|
| Screen Access | Depending how the screen is accessed, it can be used to view in detail either the valid Instructions, instructions that requires 4 eyes validation before they can be considered valid in the system, or instructions waiting for NCB manual intervention. For valid instructions in any Status: |
| | Instructions and Positions >> Instructions and Positions >> T2S Re- location >> Relocation Settlement Instructions >> Search Relocation Settlement Instruction >> View the selected Relocation Settlement Instruction |
| | For instructions in Status "Waiting for NCB Manual Intervention": |



Instructions and Positions >> Instructions and Positions >> T2S Relocation >> Recycle / Reject Waiting for NCB Manual Intervention >>
Search Relocation Settlement Instructions
For Information subject to 4 eyes validation:
Instructions and Positions >> Instructions and Positions >> T2S Relocation >> Validate / Reject Relocation Settlement Instruction >>
Search Relocation Settlement Instructions >> View the selected Relocation Settlement Instruction

Screenshot

Screenshot

Screenshot

Instructions and Positions >> Instructions >> View the selected Relocation Settlement Instruction

Screenshot

Instructions and Positions >> View the selected Relocation Settlement Instruction

Instructions | View Manual Instruction |

| Relocation Settlement Instruction – Details Screen | | | |
|--|--|--|--|
| Button | Function | | |
| History | [Only for For Valid Information] | | |
| | This function enables you to view the history of the selected instruction. | | |
| | Next screen: | | |
| | Relocation Settlement Instructions – History Screen. | | |
| Field | Description | | |
| Transaction De | tails | | |
| T2S Relocation Instruction Id. | Shows the Unique identifier of the Relocation Settlement Instruction as given by the ECMS | | |
| T2S Reference | Shows the Reference of the Relocation Settlement Instruction as given by T2S | | |
| Instruction Type | Shows the Type of instruction (Relocation). | | |
| Securities Transaction Type | Shows the Securities transaction type expressed as an ISO 20022 code (only COLI value allowed) | | |
| ISIN | Shows the ISIN of the Marketable Asset settled. | | |
| ISIN Description | Shows the Name of the Marketable Asset Settled | | |
| Quantity in FAMT | Shows the Quantity instructed expressed in FAMT | | |
| Denomination Currency | Shows the Currency of the instruction | | |
| Trade Date | Shows the Trade date of the instruction | | |



| | Displayed format is: DD/MM/YYYY. | | | | |
|---|--|--|--|--|--|
| Intended Settle- | Shows the Intended settlement date of the instruction. | | | | |
| ment Date | Displayed format is: DD/MM/YYYY. | | | | |
| Effective Settle- | Shows the Effective settlement date of the instruction. | | | | |
| ment Date | Displayed format is: DD/MM/YYYY. | | | | |
| Counterparty T2S DCA Id. | Shows the Identifier of the T2S DCA of the counterparty where the cash has been provided through auto-collateralisation. | | | | |
| Settlement Amount | Shows the Amount of cash debited from the T2S Central Bank Cash Account for the Relocation | | | | |
| Settlement Cur- rency | Shows the Currency of the cash amount | | | | |
| Custody Chain | | | | | |
| CSD of the T2S Securities Ac- count for Regu- lar Collateral | Shows the RIAD code of the CSD where the asset is received (Receiving CSD for reception instruction) or from where the asset is delivered (Delivering CSD for delivery instruction). | | | | |
| External Asset Account | Shows the Reference of T2S Account for Regular Collateral where the asset is received (for reception) or delivered (for delivery). | | | | |
| External Asset Account Owner | Shows the BIC of the External Asset Account Owner | | | | |
| Counterparty D | etails | | | | |
| Party CSD | Shows the RIAD code of the CSD of the Delivering Party (for reception) or Receiving party (for delivery). | | | | |
| Party BIC | Shows the BIC Code of the Delivering party (for mobilisation) or Receiving party (for demobilization). | | | | |
| Party Account | Shows the To capture the account Reference of the Delivering party (for mobilisation) or Receiving party (for demobilization). | | | | |
| Instruction Flag | gs | | | | |
| Business Status | Shows the status of the instruction from the possible values: | | | | |
| | Waiting for NCB manual intervention | | | | |
| | - Confirmed | | | | |
| | - Rejected | | | | |
| Business Sub | Shows the sub status of the instruction from the possible values: | | | | |
| Status | Waiting for User Validation | | | | |
| Action to Validate | Shows if there is any action waiting for validation. | | | | |
| Other Details | | | | | |
| Market Asset Positions Move- | This button allows you to acces to Market Marketable Asset Movement with the details of the underlying settlement instruction | | | | |
| ments | Next Screen: | | | | |
| | - Market Marketable Asset Movement - List Screen | | | | |
| Market Asset Position | This button allows you to acces to Market MA Settled Position with the details of the underlying Marketable Asset Position update on the T2S Securities Account | | | | |
| | Next Screen: | | | | |
| | Market MA Settled Position—List Screen | | | | |



| Business Validation Errors [r | Section to view the details of the Business Validation Errors. [n] corresponds to the number of Business Validation Errors | | | | |
|--|--|--|--|--|--|
| Receiving/Del ering Settle- ment Parties [| Section to view the details of the Settlement Parties. [n] corresponds to the number of Settlement Parties recorded. | | | | |
| Notifications [| Section to view the details of the related notifications sent and received. [n] corresponds to the number of Notification. | | | | |
| Foot Print | | | | | |
| Creation Date | Date and time when the instruction was created in the ECMS. | | | | |
| Creation User Id. | Identifier of the user responsible for the creation of the instruction. | | | | |
| Update Date | Date and time when the instruction was last updated in the ECMS. | | | | |
| Updater User Id. | Identifier of the user responsible for the last update of the instruction. | | | | |
| Business Val | lidation Errors [n] | | | | |
| Once you click | k on Business Validation Errors following fields are displayed: | | | | |
| Field | Description | | | | |
| BR Name | Shows the BBRR Identifier | | | | |
| Blocking | Shows the BBRR description | | | | |
| Button | Function | | | | |
| View | Button to view the details of the Business Error | | | | |
| | dation Errors – View Screen | | | | |
| BR Name | Shows the BBRR Identifier | | | | |
| Blocking | Shows the BBRR description | | | | |
| Footprint | | | | | |
| Creation | Shows the Date and time of creation. | | | | |
| Date | nows format is: DD/MM/YYYY hh:mm:ss:µs. | | | | |
| Creation User Id. | Identifier of the user responsible for the creation. | | | | |
| Update Date | Date and time when it was last updated in the ECMS. | | | | |
| | Shows format is: DD/MM/YYYY hh:mm:ss:µs. | | | | |
| Updater User Id. | Identifier of the user responsible for the last update. | | | | |
| Receiving/De | elivering Settlement Parties [n] | | | | |
| Once you click displayed: | k on Receiving/Delivering Settlement Parties button following fields are | | | | |
| Field | Description | | | | |
| Sett Party Type | Type of Settlement Party | | | | |
| BIC | BIC of the Settlement Party | | | | |
| Account | Account number of the Settlement Party | | | | |
| Notifications | [n] | | | | |
| Once you click | k on Notifications button following fields are displayed: | | | | |
| Field | Description | | | | |
| Notification Name | Name of the notification sent or received | | | | |



| Message Identifier | Reference of the notification message | | | | |
|-------------------------------|--|--|--|--|--|
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: | | | | |
| | - Validated | | | | |
| | - Confirmed | | | | |
| | - Matched | | | | |
| | - Sent for Settlement | | | | |
| | - Cancelled | | | | |
| | - Rejected | | | | |
| | Waiting for NCB Manual Intervention | | | | |
| Direction | Indicator stating that the notification has been received or sent by the ECMS. Possible values: | | | | |
| | – In | | | | |
| | - Out | | | | |
| Error De- scription | Shows the error description (if it has happened). | | | | |
| Creation Date | Date and time when the notification was created in the ECMS. | | | | |
| Update Date | Date and time when the notification was last updated in the ECMS | | | | |
| Button | Function | | | | |
| Download | This function enables you to access to the detailed information of the original message in XML format. | | | | |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | | | | |
| View Mes- sage | This function enables you to access to the detailed information of the messages for same notification. | | | | |
| | - View Message - Details Screen | | | | |
| View Messag | ge – Details Screen | | | | |
| Field | Description | | | | |
| Message Reference | Shows the reference of the messge. | | | | |
| Discostinus | Observe wheather the matter than her been an inner transfer to Describe | | | | |
| Direction | Shows whether the notification has been an input or output. Possible values: | | | | |
| Direction | · | | | | |
| Direction | values: | | | | |
| Status | values: - In | | | | |
| Status | values: - In - Out Shows the status of the message. g a record, the following buttons are displayed | | | | |
| Status After selecting Button | values: - In - Out Shows the status of the message. | | | | |
| Status After selecting | values: - In - Out Shows the status of the message. g a record, the following buttons are displayed | | | | |
| Status After selecting Button | values: - In - Out Shows the status of the message. g a record, the following buttons are displayed Function This function enables you to access to the detailed information of the | | | | |



3.3.3.2 Relocation Instructions

Relocation Instruction represent the instruction generated by ECMS for internally management of the impact on the ECMS NCB participant asset account and execution of the debit payment process due to the reception from T2S of a T2S Relocation settlement confirmation.

Through the different screens described in this section, an NCB can access to the details of the Relocation Instruction.

3.3.3.2.1 Relocation Instruction – Search Screen

| Context of Usage | This screen is used to search Relocation Instructions. It contains the fields that can be used as search criteria. | | | | | | | | |
|--------------------------|--|------------|--|--|--|--|--|--|--|
| | The user captures the fields that correspond to its criteria for searcing Relocation Instructions. | | | | | | | | |
| | If a field is left blank, the field is not taken into account as a search criteria. | | | | | | | | |
| | Once search criteria have been filled, by clicking on the search button, the list of instructions fulfilling the criteria will be displayed. | - | | | | | | | |
| | | | | | | | | | |
| Screen Access | Instructions and Positions >> Instructions and Positions >> T2S Relocation >> Relocation Instructions | ÷- | | | | | | | |
| Screen Access Screenshot | | ;- && | | | | | | | |
| | location >> Relocation Instructions Search Reforation Instructions | ₩ 🗖 | | | | | | | |
| | Iocation >> Relocation Instructions | 2 A | | | | | | | |

| Relocation Inst | ructions – Search screen |
|--|--|
| Field | Description |
| Relocation In- struction Id. | Enter the unique identifier of the instruction given by the ECMS. |
| T2S Reference | Enter the reference of the Relocation Instruction as given by T2S |
| NCB Participant | Enter or select the RIAD Code of the ECMS Counterparty responsible of the instruction (i.e. for which the asset is mobilized). |
| NCB Participant Asset Account Identifier | Enter or search the Reference of the NCB Participant Asset Account on which the asset is (de)mobilized. |
| ISIN | Enter or search the ISIN of the Marketable Asset (de)mobilized. |
| Trade Date | Enter or select the trade date of the instruction |
| | Required format is: DD/MM/YYYY |
| Intended Settle- | Enter or select the intended settlement date of the instruction. |
| ment Date | Required format is: DD/MM/YYYY |
| Effective Settle- | Enter or select the effective settlement date of the instruction. |
| ment Date | Required format is: DD/MM/YYYY |



| CSD of the T2S Securities Ac- count for Regu- lar Collateral | Enter or search the RIAD code of the CSD where the asset is received. |
|---|---|
| External Asset Account | Reference of T2S Account for Regular Collateral where the asset is received (for reception) or delivered (for delivery). |
| Party CSD | Enter or search the RIAD code of the CSD of the Delivering party. |
| Business Status | Enter or select the status of the instruction from the possible values:ConfirmedWaiting for NCB manual intervention |
| | - Rejected |
| | - Instructed |
| | - Matched |
| | - Sent for Settlement |
| | - Cancelled |
| Business Sub Status | Enter or select the sub status of the instruction from the possible values: |
| | Waiting for Global Collateral Position Update |
| Creation Date | Enter or select the date and time when the instruction was created in the ECMS. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs. |
| Update Date | Enter or select the date and time when the instruction was last updated in the ECMS. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs. |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the criteria entered. The results are displayed in a list on a screen below. |
| | |

3.3.3.2.1.1 Relocation Instruction – List Screen

| Context of Us- | This screen contains a list of Relocation Instructions. | | | | | | | | |
|----------------|--|--|--|--|--|--|--|--|--|
| age | The instructions listed correspond to the search criteria captured in the <i>Relocation Instructions – Search</i> screen. | | | | | | | | |
| | The list displayed can be sorted and filtered by the field displayed. | | | | | | | | |
| | The list can be exported. | | | | | | | | |
| | By clicking on the "View" button or double clicking on the selected line to display the <i>Relocation Instructions</i> — <i>Details screen</i> with the details of the selected instruction. | | | | | | | | |
| Screen Access | Instructions and Positions >> Instructions and Positions >> T2S Re- location >> Relocation Instructions >> Search Relocation Instructions | | | | | | | | |
| Screenshot | List Relocation Instructions) View Relocation Instructions (| | | | | | | | |
| | | | | | | | | | |
| | MADIZZORO L RELOCATION Confinend | | | | | | | | |
| | Huter Edt ® View | | | | | | | | |



| Relocation Ins | tructions – List screen |
|--|--|
| Field | Description |
| Relocation Instruction Id. | Shows the unique identifier of the instruction given by the ECMS. |
| T2S Refer- ence | Shows the reference of the Relocation Instruction as given by T2S |
| Instruction Type | Type of instruction (by default Relocation) |
| Business Status | Shows the status of the instruction from the possible values: — Confirmed |
| Business Sub Status | Shows the sub status of the instruction from the possible values: – Waiting for Global Collateral Position Update |
| NCB Parti- cipant | Shows the RIAD Code of the ECMS Counterparty responsible of the instruction (i.e. for which the asset is mobilized) |
| NCB Parti- cipant Asset Account Identi- fier | Shows the Reference of the NCB Participant Asset Account on which the asset is (de)mobilized. |
| ISIN | Shows the ISIN of the Marketable Asset (de)mobilized. |
| Quantity in FAMT | Shows the quantity instructed expressed in FAMT |
| Denomination Currency | Shows the currency of the instruction |
| Counterparty T2S DCA Id | Shows the Identifier of the T2S DCA of the counterparty where the cash has been provided through auto-collateralisation. |
| Settlement Amount | Shows the Amount of cash debited from the T2S Central Bank Cash Account for the Relocation |
| Settlement Currency | Currency of the cash amount |
| Trade Date | Shows the trade date of the instruction Displayed format is: DD/MM/YYYY. |
| Intended Set- tlement Date | Shows the Intended Settlement Date of the instruction. |
| | Displayed format is: DD/MM/YYYY. |
| Effective Set- tlement Date | Shows the Effective Settlement Date of the instruction. Displayed format is: DD/MM/YYYY. |
| CSD of the T2S Securities Account for Regular Collat- eral | Shows the RIAD code of the CSD where the asset is received (Receiving CSD in a mobilisation instruction) or from where the asset is delivered (Delivering CSD for a demobilisation instruction). |
| External Asset Account | Shows the Reference of T2S Account for Regular Collateral where the asset is received. |
| External Asset Account Owner | Shows the Account Owner of T2S Account for Regular Collateral where the asset is received. |
| Party BIC | Shows the BIC Code of the Delivering party (for mobilisation) or Receiving party (for demobilization). |



| Party CSD | Shows the RIAD code of the CSD of the Delivering Party (for mobilisation) or Receiving party (for demobilisation). |
|------------------|--|
| Creation Date | Date and time when the instruction was created in the ECMS. |
| Updater User Id. | Identifier of the user responsible for the last update of the instruction. |
| Update Date | Date and time when the instruction was last updated in the ECMS. |
| Button | Function |
| View | This function enables you to view the detailed of the selected instruction. |
| | The Details screen is displayed replacing the current screen. |
| History | This function enables you to view the history of the selected instruction. |
| | The <i>History</i> screen is displayed replacing the current screen. |

3.3.3.2.1.2 Relocation Instruction – History Screen

| Relocation Instruc | tion – Hi | istory Sci | reen | | | | | |
|--------------------|--|--|-------------------------------------|--|--------------------------------------|--|---|--|
| Context of Usage | This screen displays historical information that has changed on the selected Relocation Instruction. You can check the data, including the user who made the changes, and proceed further by clicking on the buttons that are shown. | | | | | | | |
| Screen Access | Reloc butto recor – Instru | Instructions and Positions >> Instructions and Positions >> T2S Relocation >> Relocation Instructions >> Click on the search button (after inputting the relevant Data, if needed) >> Select a record >> Click on the History button Instructions and Positions >> Instructions and Positions >> T2S Relocation >> Relocation Instructions >> Click on the search | | | | | | |
| | butto recor tails S | n (after in d >> Click Screen) > | putting the \ | e relevan ⁄iew butto | t Data, if i n (Reloca | needed) > ation Instri | e searcn >> Select a uction– De- | |
| Screenshot | horizontalHistoryResult : Simple | Client Instruction History | | | | | Q 6 XB 🛧 Show All Expand All Company | |
| | Fields | ▼ MAJ2022061334271[2022-06-1313 | 54:56.7 MAI2022061334271[2022:06:13 | 13:54:53. MAI2022061334271 2022-06-13 | 3.54/52 MAI 2022061334271(2022-06-13 | 13.54.50.7 MA(2022061334271)2022-06-13 | 13:54:48 MAI2022061334271(2022-06-13 13:54:46 5 | |
| | Status | SendSettlementNotification | WaitingNotification | WaitingNotification | WaitingNotification | Instructed | Draft | |
| | Bill Date Business Status | 13/06/2022 SETTLED | 13/06/2022 COMMITTED | 13/06/2022 COMMITTED | 13/05/2022 INSTRUCTED | 13/06/2022 INSTRUCTED | 30.00 | |
| | Business Status Business Sub Status | SETTLED | COMMITTED | COMMITTED | INSTRUCTED | INSTRUCTED | WAITING VALIDATION | |
| | Refinancing NCB Client Original Amount | 19 123458 | 19 | 19 | 19 | 19 | | |
| | Client Original Amount Commit Date | 12/05/2022 | 13/06/2022 | 12/06/2022 | 1,234.98 | 1,234.98 | | |
| | Commit Time Effective Value Date | 13/06/2022 | 00:00:00:000 | 00.00.00.000 | | | | |
| | Effective Value Date Funding Method | 15/06/2022 NoFunding | NoFunding | NoFunding | NeFunding | NoFunding | | |
| | Generate Market Instruction | Yes | Yes | Yes | Yes | Yes | No | |
| | Is Auto Committed Is Committed | No Yes | No Yes | No Yes | Yes No | Yes No | No No | |
| | is internally Matched | Yes | Yes | No | No | No | No | |
| | Last Notification Out Last Sett Data | 2679999159 339999017 | | | | | | |
| | Settlement Instruction Id | MA/2022061334272 | | | | | | |
| | Matching Date Matching Time | 13/05/2022 | | | | | | |
| | Ownership Date | 13/06/2022 | 13/06/2022 | 13/06/2022 | 13/06/2022 | 13/06/2022 | | |
| | Price Purchase Cost | 37.42363636 1.234.98 | 37.42363636 1.234.98 | 37.42363636 1.234.98 | 37.42363636 1.234.68 | 37.42963636 1.234.98 | | |
| | | | | | | | | |
| | Reference Quantity | 13 | 33 1,234.98 | 1,234.98 | 33 1,234.98 | 33 1,234.98 | 123496 | |
| | Remaining Quantity | 0 | 23 | 33 | 33 | 22 | 23 | |
| | Sec Myt Created Sec Myt Reference | Yes 00099303CST | Yes 00039303CST | Ves 000993090ST | Ves 00039309CST | No 00039301MST | No 00099301MST | |
| | Total Prev Sett Amt In C Acc Cur | 0 | | | | | | |
| | Creation Date (29) difference(s) found. | 18/08/2022 13:54:56:958 | 13/06/2022 13:54:54:499 | 13/00/2022 13/54/52 100 | 13/10/2022 13/94/50/528 | 18/06/2022 18:54 48:601 | 13/06/2022 13/94/46/936 | |
| Relocation Instruc | ction – H | istory Sc | reen | | | | | |
| Field | Descript | ion | | | | | | |
| Fields | Shows the fields whose information have been updated since the creation of the selected Relocation Instruction. | | | | | | | |
| Timestamp | Shows th | ne date ar | nd time w | hen the fi | elds have | been upo | dated. | |
| | Displaye | d format i | s: DD/MN | //YYYY h | h:mm:ss: | µs. | | |
| Button | Descript | tion | | | | | | |



| Compare | Shows the differences between the selected records whose data have been updated. |
|--------------------------|---|
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected Relocation Instruction. |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected Relocation Instruction. |
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected Relocation Instruction. |
| Show Differences Only | Shows only the fields whose information have been updated since the creation of the selected Relocation Instruction |

3.3.3.2.1.3 Relocation Instruction – Details Screen

| Context of Usage | This screen is used to view all the details of a Relocation Instruction. From this screen the user can access directly to the detailed of the underlying Relocation Settlement Instruction or to the related Client Asset Movement. | | | | | | | |
|------------------|--|--|--|--|--------|--|--|--|
| Screen Access | Instructions and Positions >> Instructions and Positions >> T2S Re- location >> Relocation Instructions >> Search Relocation Instructions >> Select a record >> Click on View button | | | | | | | |
| Screenshot | | TES Inference Production/TE MOS Participant EXECE EXECUTION Commonstration Currency EXEC Checiese Settlement Cure Execution Account SEXEMITISMACOUNT SEXEMITISMACOUNT SEXEMITISMACOUNT | Interspection Type SELECK_TIDE ISM EXAMORETED Clipting Source Explin Counterparty T15 GCA D | Securities Transaction Type COLI ISIN Description OBLICACIONES ESTATO Trade Done 39849823 Settlement Anount Settlement Anount | 15,600 | | | |
| | Counterparty Details Perry COD EXCESS Instruction Flags Beninnes Stress Confirmed Other Details Research Wildlands Error (3) Research William (3) Research Wildlands Error (3) Research William (3) Research William (3) Re | Purity BIC Buddens Sub Status | v | rry Account 25 mpn to Count Alani Postbus | 8 | | | |

| Relocation | Instructions – Details Screen |
|------------|--|
| Button | Function |
| History | This function enables you to view the history of the selected instruction. |
| | Next screen: |
| | - Relocation Instruction - History Screen. |
| Field | Description |
| Transactio | on Details |



| Relocation In- struction Id. | Unique identifier of the instruction given by the ECMS. |
|--|--|
| T2S Refer- | Shows the reference of the Bolocation Instruction as given by T2S |
| ence | Shows the reference of the Relocation Instruction as given by T2S |
| Instruction Type | Type of instruction (by default Relocation) |
| Securities Transaction Type | Securities transaction type : COLI value always |
| NCB Parti- | RIAD Code of the ECMS Counterparty responsible of the instruction |
| cipant | (i.e. for which the asset is (de)mobilized). |
| NCB Parti- cipant Asset Account Identi- fier | Reference of the NCB Participant Asset Account on which the asset is (de)mobilized. |
| ISIN | ISIN of the Marketable Asset (de)mobilized. |
| ISIN Descrip- tion | Name of the Marketable Asset (de)mobilized. |
| Quantity in FAMT | Quantity instructed expressed in FAMT |
| Denomination Currency | Currency of the instruction |
| Eligibility Status | Eligibility status of the Marketable Asset In C2D/EA |
| Trade Date | Trade date of the instruction |
| | Displayed format is: DD/MM/YYYY. |
| Intended Set- | Intended settlement date of the instruction. |
| tlement Date | Displayed format is: DD/MM/YYYY. |
| Effective Set- | Effective settlement date of the instruction. |
| tlement Date | Displayed format is: DD/MM/YYYY. |
| Counterparty T2S DCA Id. | Shows the Identifier of the T2S DCA of the counterparty where the cash has been provided through auto-collateralisation. |
| Settlement Amount | Amount of cash debited from the T2S Central Bank Cash Account for the Relocation |
| Settlement Currency | Currency of the Settlement amount |
| Custody Chair | 1 |
| CSD of the T2S Securities Account for Regular Collat- eral | RIAD code of the CSD where the asset is received (Receiving CSD in a mobilisation instruction) or from where the asset is delivered (Delivering CSD for a demobilisation instruction). |
| External Asset Account | Reference of T2S Account for Regular Collateral or of the ECMS Cross NCB Asset Account depending if the instruction is to be settled in a domestic CSD or not where the Marketable Asset is deposited. |
| External Asset Account owner | BIC code of the owner of the External Asset Account. |
| Counterparty I | Details |



| Party CSD | RIAD code of the CSD of the Delivering party (for mobilisation) or Receiving party (for demobilisation). |
|--|---|
| Party BIC | BIC Code of the Delivering party (for mobilisation) or Receiving party (for demobilization). |
| Party Account | Account Reference of the Delivering party (for mobilisation) or Receiving party (for demobilization). |
| Instruction Fla | ags |
| Business | Business Status of the Instruction. The possible values are: |
| Status | - Confirmed |
| Business Sub | Business Sub Status of the Instruction. |
| Status | The possible values are: |
| | Waiting for Global Collateral Position Update |
| U2A Input | Shows whether the instruction was capture in U2A mode or not. |
| Being can- celled | Indicator stating that the cancellation of the instruction has been requested. The possible values are: |
| | - Yes |
| | – No |
| Other details | This hower allows on the pole of the Comment to the comment of |
| Relocation Settlement In- | This button allows you to acces to Relocation Settlement Instruction with the details of the underlying settlement instruction |
| struction | Next Screen: |
| | Relocation Settlement Instructions - List Screen |
| Client Asset Positions Movements | This button allows you to acces to Client Marketable Asset Movement with the details of the underlying underlying Marketable Asset Movement on the NCB Participant Asset Account |
| | Next Screen: |
| | Client Marketable Asset Movement – List Screen |
| Client Asset Position | This button allows you to acces to Client Marketable Asset Settled Position with the details of the underlying Marketable Asset Position update on the NCB Participant Asset Account. |
| | Next Screen: |
| | - Client MA Settled Position - List Screen. |
| Business Validation Errors | Section to view the details of the Business Validation Errors. [n] corresponds to the number of Business Validation Errors |
| Receiving/De- livering Settle- ment Parties [n] | Section to view the details of the Settlement Parties. [n] corresponds to the number of Settlement Parties recorded. |
| Notifications [n] | Section to view the details of the related notifications sent and received. [n] corresponds to the number of Notification. |
| Foot Print | |
| Creation Date | Date and time when the instruction was created in the ECMS. |
| Creation User Id. | Identifier of the user responsible for the creation of the instruction. |
| Update Date | Date and time when the instruction was last updated in the ECMS. |



| Updater User Id. | Identifier of the user responsible for the last update of the instruction. |
|------------------------|--|
| Business Val | lidation Errors [n] |
| | k on Business Validation Errors following fields are displayed: |
| Field | Description |
| BR Name | Shows the BBRR Identifier |
| Blocking | Shows the BBRR description |
| Button | Function |
| View | Button to view the details of the Business Error |
| Business Vali | dation Errors – View Screen |
| BR Name | Shows the BBRR Identifier |
| Blocking | Shows the BBRR description |
| Footprint | |
| Creation | Shows the Date and time of creation. |
| Date | Shows format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id. | Identifier of the user responsible for the creation. |
| Update Date | Date and time when it was last updated in the ECMS. |
| | Shows format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User | Identifier of the user responsible for the last update. |
| | livering Settlement Parties [n] |
| | k on Receiving/Delivering Settlement Parties button following fields are |
| Field | Description |
| Sett Party Type | Type of Settlement Party |
| BIC | BIC of the Settlement Party |
| Account | Account number of the Settlement Party |
| Notifications | [n] |
| Once you clic | k on Notifications button following fields are displayed: |
| Field | Description |
| Notification Name | Name of the notification sent or received |
| Message Identifier | Reference of the notification message |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: |
| | - Validated |
| | - Confirmed |
| | - Matched |
| | - Sent for Settlement |
| | - Cancelled |
| | - Rejected |
| | Waiting for NCB Manual Intervention |



| Direction | Indicator stating that the notification has been received or sent by the ECMS. Possible values: |
|------------------------|---|
| | – In |
| | - Out |
| Error De- scription | Shows the error description (if it has happened). |
| Creation Date | Date and time when the notification was created in the ECMS. |
| Update Date | Date and time when the notification was last updated in the ECMS |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| View Mes- sage | This function enables you to access to the detailed information of the messages for same notification. |
| | - View Message - Details Screen |
| View Messag | je – Details Screen |
| Field | Description |
| Message Reference | Shows the reference of the messge. |
| Direction | Shows whether the notification has been an input or output. Possible values: |
| | - In |
| | - Out |
| Status | Shows the status of the message. |
| After selecting | g a record, the following buttons are displayed |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |

3.3.4 Marketable Asset Positions and Movements

3.3.4.1 Client Marketable Asset Position

3.3.4.1.1 Client Marketable Asset Position by Position Type

A Client Marketable Asset Position by Position Type represents the quantity of a given marketable asset held on a given Client Account at a given point in time depending on the context.

Through the different screens described in this section, an NCB can access to the details of the Client Marketable Asset Position

- On a ECMS Counterparty Asset Account opened in its books by a counterparty of its communities,
- On a Cross NCB Asset Account opened in its books by a refinancing NCB.



The ECMS considers 3 different types of position depending on the context:

- An <u>actual position</u> reflects the quantity of asset effectively held on the account at a given point in time taking into account all movements effectively settled.
- A <u>provisional position</u> reflects the forecasted quantity of asset on an account at a
 given point in time taking into account all movements effectively settled and all
 pending movements (i.e. movements instructed but not yet settled, rejected or cancelled).
- A <u>conservative position</u> reflects the quantity of asset that can be counted as collateral on an account at a given point in time taking into account all movements effectively settled and all pending negative movements (i.e. demobilisations for which the asset has been reserved and for which the underlying settlement instruction is not yet settled, rejected or cancelled).

3.3.4.1.1.1 Client Marketable Asset Position by Position Type – Search Screen

| Context of Usage | This screen is used to search Client Marketable Asset Position by Position Type. It contains the fields that can be used as search criteria. |
|--------------------------|--|
| | The user captures the fields that correspond to its criteria for searching Client Marketable Asset Position by Position Type. |
| | If a field is left blank, the field is not taken into account as a search criteria. |
| | Once search criteria have been filled, by clicking on the search button, the list of positions fulfilling the criteria will be displayed. |
| Business Case related | Search/List/View Client Marketable Asset Positions per Position Type |
| Screen Access | Instructions and Positions >> Instructions and Positions >> Client Marketable Asset Position >> Client Marketable Asset Position by Position Type |
| Screenshot | Search Client Marketable Asset Position by Position Type Account Owner External Asset Account United Asset Account Search Client Marketable Asset Position by Position Type External Asset Account United Asset Account On The Search Client Marketable Asset Position by Position Type Committed Asset Account On The Search Client Marketable Asset Position by Position Type Committed Asset Account On The Search Client Marketable Asset Position by Position Type Committed Asset Account On The Search Client Marketable Asset Position by Position Type Committed Asset Account On The Search Client Marketable Asset Position by Position Type Committed Asset Account On The Search Client Marketable Asset Position by Position Type Committed Asset Account On The Search Client Marketable Asset Position by Position Type Committed Asset Account On The Search Client Marketable Asset Position by Position Type Committed Asset Account On The Search Client Marketable Asset Position by Position Type Committed Asset Account On The Search Client Marketable Asset Position by Position Type Committed Asset Account On The Search Client Marketable Asset Position by Position Type Committed Asset Account On The Search Client Marketable Asset Position by Position Type Committed Asset Account On The Search Client Marketable Asset Position by Position Type Committed Asset Account Asset Account On The Search Client Marketable Asset Position Type Committed Asset Account As |
| | |

| Client Marketa | ıble Asset Position by Position Type – Search screen |
|----------------------------|---|
| Field | Description |
| Internal Asset Account* | Enter or select the Reference of the ECMS Counterparty Asset Account or a Cross NCB Asset Account on which the positions are held. |
| ISIN | Enter or search the ISIN of the Marketable Asset in position. |
| External Asset Account | Enter the reference of T2S Account for Regular Collateral or of the ECMS Cross NCB Asset Account where the asset is deposited |
| Position Date* | Enter or select date when the position is valid |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the criteria entered. The results are displayed in a list on a screen below. |
| | Next screen: |
| | Client Marketable Asset Position by Position Type – List Screen. |



3.3.4.1.1.1. Client Marketable Asset Position by Position Type – List Screen

| Context of Usage | This screen contains a list of Client Marketable Asset Position by Position Type. |
|-----------------------|--|
| | The positions listed correspond to the search criteria captured in the Client Marketable Asset Position by Position Type – Search screen. |
| | The list displayed can be sorted and filter by the field displayed. |
| | The list can be exported. |
| | By clicking on the "View" button or double clicking on the selected line to display the <i>Client Marketable Asset Position by Position Type — Details screen</i> with the details of the selected position. |
| Business Case related | Search/List/View Client Marketable Asset Positions per Position Type |
| Screen Access | Instructions and Positions >> Instructions and Positions >> Client Marketable Asset Position >> Client Marketable Asset Position by Position Type >> Search Client Marketable Asset Positions |
| Screenshot | User Clean Marketable Asset Position by Position Type II ** Qui () Interned Asset Account ISSET Vision Asset Account Isset Account I |

| Client Marketa | ble Asset Position by Position Type – List screen |
|---------------------------|---|
| Field | Description |
| Internal Asset Account | Shows the Reference of the ECMS Counterparty Asset Account or the Cross NCB Asset Account on which the position is held. |
| Account owner | Shows the RIAD code of the counterparty owning the Internal Asset account |
| ISIN | Shows the ISIN of the Marketable Asset settled. |
| Denomination Currency | Shows the Currency of denomination of the asset in the position |
| External Asset Account | Shows the Reference of T2S Account for Regular Collateral or of the ECMS Cross NCB Asset Account where the asset is deposited |
| Actual Position | Shows the Quantity of asset effectively held |
| Provisional Position | Shows the forecasted quantity of asset held |
| Conservative Position | Shows the Quantity of asset that can be counted as collateral |
| Validity Date | Shows the Validity End Date of the position |
| | Displayed format is: DD/MM/YYYY. |
| Position Date | Shows the date when the position is valid |
| | Displayed format is: DD/MM/YYYY. |
| Creation Date | Shows the date and time when the instruction was created in the ECMS |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Update Date | Shows the date and time when the instruction was last updated in the ECMS |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Button | Function |
| View | This function enables you to view the detailed of the selected position. |



Next screen:

 Client Marketable Asset Position by Position Type – Details Screen.

3.3.4.1.1.1. Client Marketable Asset Position by Position Type – Details Screen

| Context of Usage | This screen is used to set Position by Position | | Client Marketable As- |
|-----------------------|--|--|---|
| Business Case related | Search/List/View Client Type | : Marketable Asset Pos | sitions per Position |
| Screen Access | Instructions and Positic Marketable Asset Posit Position Type >> Searc Search >> View a selec | ion >> Client Marketab ch Client Marketable A | ole Asset Position by sset Positions >> |
| Screenshot | List Client Marketable Asset Position by Position Type > View Client Marketable Asset Screen Asset Account Marketable Asset Screen Asset Account Marketable Asset Screen Asset | It Position by Position Type Actions Nature Actions Conser | Conservative Position Conservative Position Conservative Position Developmentation Conservative Updater Loan to |

| Client Marketa | ble Asset Position by Position Type – Details Screen |
|---------------------------|---|
| Field | Description |
| Internal Asset Account | Shows the Reference of the ECMS Counterparty Marketable or the Cross NCB Asset Account which the position is held. |
| Account owner | Shows the RIAD code and short name of the counterparty owning the Internal Asset account |
| ISIN | Shows the ISIN of the Marketable Asset settled. |
| Denomination Currency | Shows the Currency of Denomination of the asset in position. |
| External Asset Account | Shows the Reference of T2S Account for Regular Collateral or of the ECMS Cross NCB Asset Account where the asset is deposited |
| Actual Position | Shows the Quantity of asset effectively held |
| Provisional Position | Shows the forecasted quantity of asset held |
| Conservative Position | Shows the Quantity of asset that can be counted as collateral |
| Validity Date | Shows the Validity End Date of the position |
| | Displayed format is: DD/MM/YYYY. |
| Foot Print | |
| Creation Date | Date and time when the instruction was created in the ECMS. |
| Creation User Id. | Identifier of the user responsible for the creation of the instruction. |
| Update Date | Date and time when the instruction was last updated in the ECMS. |
| Updater User Id. | Identifier of the user responsible for the last update of the instruction. |



3.3.4.1.2 Client Marketable Asset Movement

A Client Marketable Asset Movement represents a movement of Marketable Asset impacting a Client Marketable Asset Positions. Those movements can be originated by Marketable Asset (de)Mobilisation Instructions, by Corporate Actions that includes securities movement, by T2S relocation, or by a Manual intervention on the marketable asset positions.

Through the different screens described in this section, an NCB can access to the details of the Client Marketable Asset Movements

- On a ECMS Counterparty Asset Account opened in its books by a counterparty of its communities,
- On a Cross NCB Asset Account opened in its books by a refinancing NCB.

3.3.4.1.2.1 Client Marketable Asset Movement – Search Screen

| Context of Usage | This screen is used to search Client Marketable Asset Movements. It contains the fields that can be used as search criteria. |
|--------------------------|--|
| | The user captures the fields that correspond to its criteria for searching Client Marketable Asset Movement. |
| | If a field is left blank, the field is not taken into account as a search criteria. |
| | Once search criteria have been filled, by clicking on the search button, the list of positions fulfilling the criteria will be displayed. |
| | |
| Screen Access | Instructions and Positions >> Instructions and Positions >> Client Marketable Asset Position >> Client Marketable Asset Movement Details |
| Screen Access Screenshot | Marketable Asset Position >> Client Marketable Asset Movement |
| | Marketable Asset Position >> Client Marketable Asset Movement Details |
| | Marketable Asset Position >> Client Marketable Asset Movement Details Contract Name Name Name Contract Name Name Contract Name Name Name Contract Name Name Name Name Name Name Name Name |
| | Marketable Asset Position >> Client Marketable Asset Movement Details Outdoor Outdoor Outdoor |

| Client Marketable Asset Movement – Search screen | | |
|--|---|--|
| Field | Description | |
| Party's In- struction Ref- erence | Enter the reference given by the counterparty of the instruction that generates the movement. | |
| Instruction Id. | Enter the Internal Identifier of the instruction that generates the movement. | |
| Internal Asset Account | Enter or Select the Reference of the Internal Asset Account on which the asset is (de)mobilized | |
| External Asset Account | Enter the reference of T2S Account for Regular Collateral or of the ECMS Cross NCB Asset Account where the asset is deposited | |
| Account Owner | Enter the RIAD code of the NCB Participant owning the Internal Asset account | |
| ISIN | Enter or search the ISIN of the Marketable Asset concerned by the movement. | |
| Movement status | Select the status of the movement | |
| | Possible values are | |
| | - Instructed | |



| | - Matched |
|--------------|---|
| | |
| | - Impacted |
| | - Cancelled |
| | - Rejected |
| Validity End | Enter the Date and Time when the movement is no longer valid |
| Date | Required format is: DD/MM/YYYY. |
| | Enter the Intended Settlement Date of the movement. |
| tlement Date | Required format is: DD/MM/YYYY |
| | Enter the Effective Settlement Date of the movement. |
| tlement Date | Required format is: DD/MM/YYYY |
| Button | Function |
| Reset | To clear the search criteria and close the result windows if any |
| Search | To start a search according to the criteria entered. The results are displayed in a list on a screen below. |
| | Next screen: |
| | Client Marketable Asset Movement – List Screen |

3.3.4.1.2.1. Client Marketable Asset Movement – List Screen

| Context of Usage | This screen contains a list of Client Marketable Asset Movements. | | |
|-----------------------------|--|--|--|
| | The movements listed correspond to the search criteria captured in the Client Marketable Asset Movement – Search screen. | | |
| | The list displayed can be sorted and filter by the field displayed. | | |
| | The list can be exported. | | |
| | By clicking on the "View" button or double clicking on the selected line to display the Client Marketable Asset Movement – Details screen with the | | |
| | details of the selected movements. | | |
| _ | | | |
| Screen Access Screen- | details of the selected movements. Instructions and Positions >> Instructions and Positions >> Client Marketable Asset Movement Details >> | | |

| Client Marketable Asset Movement – List screen | |
|--|---|
| Field | Description |
| Party's In- struction Ref- erence | Shows the Reference given by the counterparty of the instruction that generates the movement. |
| Instruction Id. | Shows the internal Identifier of the instruction that generates the movement. |
| Internal Asset Account | Shows the Reference of the Internal Asset Account concerned by the movement. |



| External Asset Account | Shows the Reference of T2S Account for Regular Collateral or of the ECMS Cross NCB Asset Account where the asset is deposited |
|--------------------------|---|
| Account Owner | Shows the RIAD code of the NCB Participant owning the Internal Asset account |
| ISIN | Shows the ISIN of the Marketable Asset concerned by the movement. |
| Denomination Currency | Shows the Denomination Currency |
| Quantity in FAMT | Shows the Quantity instructed expressed in FAMT |
| Movement status | Shows the status of the movement. Possible values are |
| | - Instructed |
| | - Matched |
| | - Impacted |
| | - Cancelled |
| | - Rejected |
| Trade Date | Shows the Trade Date of the movement |
| | Displayed format is: DD/MM/YYYY. |
| Intended Set- | Shows the Intended Settlement Date of the movement. |
| tlement Date | Displayed format is: DD/MM/YYYY. |
| Effective Set- | Shows the Effective Settlement Date of the movement. |
| tlement Date | Displayed format is: DD/MM/YYYY. |
| Being Can- celled | Indicator stating that the cancellation of the movement has been requested. |
| | Possible values are |
| | - Yes |
| | - No |
| Impacted | Indicator stating that the position has been updated. |
| | Possible values are |
| | - Yes |
| | - No |
| Validity End | Shows the Date and Time when the movement is no longer valid |
| Date | Displayed format is: DD/MM/YYYY. |
| Creation Date | Shows the Date and Time when the movement has been created |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Update Date | Shows the Date and Time when the movement has been last updated |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Button | Function |
| View | This function enables you to view the detailed of the selected movement. |
| | Next screen: |
| | Client Marketable Asset Movement – Details Screen. |
| | The Details screen is displayed replacing the current screen. |
| _ | |



2

3.3.4.1.2.1. Client Marketable Asset Movement – Details Screen

This screen is used to view all the details of a Client Marketable Asset Movement.

Screen Access

Instructions and Positions >> Instructions and Positions >> Client Marketable Asset Movement Details >> Search Client Marketable Asset Movements >> View

Screenshot

List: Client Marketable Asset Movement >> View Client Marke

| Client Marketable Asset Movement – Details Screen | | |
|---|--|--|
| Field | Description | |
| Party's In- struction Ref- erence | Shows the Reference given by the counterparty of the instruction that generates the movement. | |
| Instruction Id. | Shows the internal Identifier of the instruction that generates the movement. | |
| Movement Origin | Shows the Origin of the movement. It indicates whether the movement is due to a Marketable Asset (de)mobilisation, a T2S Relocation, a Corporate Action or a Manual Intervention | |
| Internal Asset Account | Shows the Reference of the ECMS Counterparty Asset Account or a Cross NCB Asset Account concerned by the movement. | |
| External Asset Account | Shows the Reference of T2S Account for Regular Collateral or of the ECMS Cross NCB Asset Account where the asset is deposited | |
| Account Owner | Shows the RIAD code of the NCB Participant owning the Internal Asset account | |
| ISIN | Shows the ISIN of the Marketable Asset concerned by the movement. | |
| Denomination Currency | Shows the Currency of the instruction | |
| Quantity in FAMT | Shows the Quantity instructed expressed in FAMT | |
| Trade Date | Shows the Trade Date of the movement | |
| | Displayed format is: DD/MM/YYYY | |
| Intended Set- | Shows the Intended Settlement Date of the movement. | |
| tlement Date | Displayed format is: DD/MM/YYYY | |
| Effective Set- | Shows the Effective Settlement Date of the movement. | |
| tlement Date | Displayed format is: DD/MM/YYYY | |
| Being Can- celled | Indicator stating that the cancellation of the movement has been requested. | |
| | Possible values are | |
| | - Yes | |
| | – No | |



| Impacted | Indicator stating that the position has been updated. |
|-------------------|---|
| | Possible values are |
| | - Yes |
| | - No |
| Movement | Shows the status of the movement |
| status | Possible values are |
| | - Instructed |
| | - Matched |
| | - Impacted |
| | - Cancelled |
| | - Rejected |
| Foot Print | |
| Creation Date | Date and time when the movement was created in the ECMS. |
| Creation User Id. | Identifier of the user responsible for the creation of the movement. |
| Update Date | Date and time when the movement was last updated in the ECMS. |
| Updater User Id. | Identifier of the user responsible for the last update of the movement. |

3.3.5 Multi-pooling Marketable Assets (Transfer MA)

The ECMS supports multi-pooling functionalities meaning that depending on the needs, a Counterparty can hold different dedicated pools of collateral for different purposes or specific types of Eurosystem operations. A transfer of asset is also referred to as a reallocation of asset.

There are two functionalities for transferring assets in the same Counterparty:

- Reallocation of assets from one Internal Counterparty Asset Account to another Internal Counterparty Asset Account. These accounts could be within the same pool or belong to two different pools of the same Counterparty. The assets could be in the same or a different T2S Securities Account for Regular Collateral, but held in the same CSD with the same NCB. The assets can be marketable assets. For marketable assets, the quantity amount available to be transferred can be changed, whereas for the other types of assets the actual position is transferred in its entirety. No transfer occurs between CSD accounts, as the transfer is only between internal Counterparty Asset Accounts. The functionality is available to the Counterparty and NCB user.
- Reallocation of assets from an External T2S Securities Account for Regular Collateral to another External T2S Securities Account for Regular Collateral of the same NCB in the same CSD or in a different CSD. These assets belong to a given Counterparty and there is no movement in or between pools or Internal Counterparty Asset Accounts. For marketable assets, the quantity amount to be transferred cannot be changed. The functionality is available to the NCB user.

The same screen is used by the NCB user or Counterparty for both these functionalities for transferring assets in the same Counterparty.

These screens are used either for reallocations generating an asset transfer on a T2S External Asset Account or for reallocations not generating a movement on a T2S External Asset Account as it generates an internal movement only. In this case, some fields might be left blank or not and the ECMS deduces whether or not a market movement has to be generated and sent to T2S for settlement.



There is also a functionality used by the NCB user for transferring assets between Counterparties or between Counterparty and NCB:

 Reallocation of assets between Counterparties, or from one counterparty to an NCB (or vice versa). This results in a reallocation of asset between Internal ECMS Counterparty Asset Accounts (or Internal ECMS Counterparty Asset Account and Internal NCB Internal Asset Account) within the same or a different T2S Securities Account for Regular Collateral in the same CSD or a different CSD.

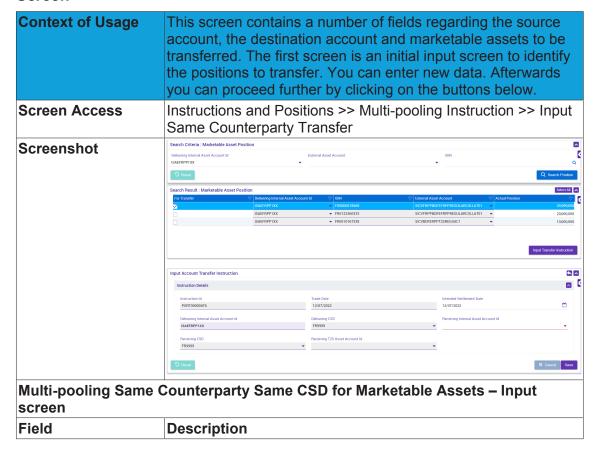
In addition, there is a screen available to NCB users for the demobilisation of marketable assets from an NCB Internal Asset Account.

In case of a transfer (e.g. due to a merger) between 2 counterparties of the same HCB, the transfer includes CCBM mobilised positions in the domestic NCB omnibus account. The positions remain in the NCB omnibus account, so the transfer is like an internal transfer. There is not an impact on the external T2S accounts. The transfer does not involve Cross-NCB accounts or transfers between HCB and CCB.

3.3.5.1 Multi-pooling – Input Same Counterparty (Same CSD) for Marketable Assets

This section describes the Multi-pooling functionalities that can be performed by an NCB user or a Counterparty by transferring marketable assets from one Internal Counterparty Asset Account to another Internal Counterparty Asset Account, or from an External T2S Securities Account for Regular Collateral to another External T2S Securities Account for Regular Collateral of the same Counterparty and same NCB in the same CSD.

3.3.5.1.1 Multi-pooling Same Counterparty Same CSD for Marketable Assets – Input Screen





| Delivering Internal Asset Account Id | Enter/Select the Delivering Internal Asset Account Id where the asset is held (source account). |
|---|--|
| | Displayed format is: Max. 35 characters (Optional) |
| External Asset Account | Enter/Select the External Asset Account where the asset is held (source account). |
| | Displayed format is: Max. 35 characters (Optional) |
| I . | ds above must be selected: The Delivering Internal Asset Acal Asset Account must be filled or the both in order to search the transfer. |
| ISIN | Enter/Select the identification of the marketable asset (ISIN) |
| | Required format is: Max. 12 characters. (Optional) |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| Marketable Asset Po | osition – Search (Sub-Screen) |
| Context of Usage | This screen allows to the user to select the securities position to transfer. |
| Field | Description |
| For Transfer | Check box field to select a position to transfer. |
| Delivering Internal Asset Account Id | The Delivering Internal Asset Account Id where the asset is held (source account). |
| | Displayed format is: Max. 35 characters |
| ISIN | ISIN of the Marketable Asset |
| | Displayed format is: Max. 12 characters |
| External Asset Account | The External Asset Account where the asset is held (source account). |
| | Displayed format is: Max. 35 characters |
| Actual Position | Shows the quantity/Position to be transferred. This can be updated to a lower quantity/position |
| Button | Function |
| Input Transfer Instruction | This button allows to open a subscreen to input the transfer instruction according to the select securities position |
| Instruction input det | ails (Sub-Screen) |
| Context of Usage | This screen contains a number of fields regarding the source account, the user has to select the Receiving Internal Asset Account and the Receiving T2S Asset Account. |
| Field | Description |
| Instruction Id | Field filled automatically by ECMS and cannot be modified by the user |
| Trade Date | Field filled automatically by ECMS = Business Date and cannot be modified by the user |
| | Displayed format is: DD/MM/YYYY |
| Intended Settlement Date | Field filled automatically by ECMS = Business Date and can be modified by the user to put the settlement date in the future if needed |
| | modified by the user to put the settlement date in the futur |



| | Displayed format is: DD/MM/YYYY |
|---|--|
| Delivering Internal Asset Account Id | Field filled automatically by ECMS and cannot be modified by the user |
| | Displayed format is: Max. 35 characters |
| Delivering CSD | Field filled automatically by ECMS and cannot be modified by the user. |
| | Filled in when the transfer is not using CCBM, otherwise empty. |
| • | Receiving internal asset account id to be entered by the user. |
| set Account Id | Required format is: Max. 35 characters |
| Receiving CSD | Field filled automatically by ECMS and cannot be modified by the user |
| Receiving T2S Asset Account Id | Filled automatically by the corresponding T2S Account Id once the Receiving Internal Asset Account Id is entered by the user |
| | Displayed format is: Max. 35 characters |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Cancel | This function enables you to cancel the transfer instruction input |
| Save | This function enables you to save the entered data and the transfer instruction object |

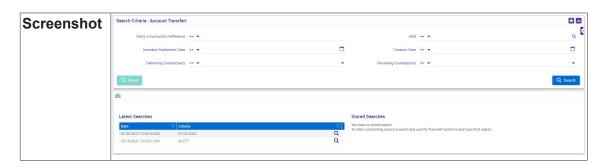
3.3.5.2 Multi-pooling – Display Transfer Instructions

This section provides information on the transfer of assets instructions generated by the ECMS as a result of the request for transfer of a postion entered by the user via the GUI.

3.3.5.2.1 Multi-pooling - Transfer Instructions - Search Screen

| Context of Usage | This screen contains a number of search fields and shows the latest and stored searches. By inputting the relevant data, you can search for the Multi-pooling Instructions. |
|------------------|--|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |
| | Depending how the screen is accessed, it can be used to search the valid information or the information that requires 4 eyes validation before they can be considered valid in the system. |
| Screen Ac- | For valid information: |
| cess | Instructions and Positions >> Multi-pooling Instruction >> Display Transfer |
| | For information subject to a 4 eyes validation: |
| | Instructions and Positions >> Multi-pooling Instruction >> Validate / Reject Transfer |





| Multi-pooling - Transfer Instructions Search screen | | |
|---|---|--|
| Field | Description | |
| Party's In- | Enter the Party's Instruction Reference that identifies the instruction. | |
| struction Ref- erence | Required format is: Max. XX characters. | |
| ISIN | Enter/Select the identification of the marketable asset | |
| | Required format is: Max. 12 characters. | |
| | Enter/Select the business date on which the instruction will be settled. The calendar icon can also be used. | |
| | Required format is: DD/MM/YYYY. | |
| Creation Date | Enter/Select the Creation date of the instruction. Either the current business date or current business date + 1. The calendar icon can also be used. | |
| | Required format is: DD/MM/YYYY. | |
| Delivering Counterparty | Enter/Select the identifier that uniquely identifies the Delivering Counterparty. | |
| ld. | Required format is: Max. XX characters. | |
| Receiving Counterparty Id. | Enter/Select the identifier that uniquely identifies the Receiving Counterparty. | |
| | Required format is: Max. XX characters. | |
| Button | Function | |
| Reset | This function enables you to clear the form. | |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. | |

3.3.5.2.1.1 Multi-pooling – Transfer Instructions - List screen

| Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. |
|---------------|---|
| | Depending how the screen is accessed, it can be used to list the valid information or the information that requires 4 eyes validation before they can be considered valid in the system. |
| Screen Access | For valid information: |



| | | Click on | | | | | truction >> ng the rele | | |
|------------|--|---|--|--|---|---|--|---|--|
| | For in | formatio | n subje | ct to a 4 e | eyes valid | ation: | | | |
| | | | | | | | truction >> ter inputtin | | |
| | | if neede | | on the se | Jaron Dati | | | 5 | |
| Screenshot | | if neede | | | | | | | <u> </u> |
| Screenshot | fields, | if neede | | | Page 1 of 10 > X | | P | | |
| Screenshot | fields, | if neede | | | | Trade Date ¢ | □ Intended Settlement Date 5 □ | | <u> </u> |
| Screenshot | fields, Search Result : A 10 Instruction M • ACCT100 | if neede | ed) Client ♥ FR30001 | ISIN 9 FR0000571119 | Page 1 of 10 > > | Trade Date \$ 30/06/2022 | Intended Settlement Date 30/06/2022. | Update Date | Q 98 ★ ᢂ □ () ♥ ₹ □ Updater User Id • ♥ ECMS OPERATOR 1 |
| Screenshot | fields, Search Result: A 10 Instruction Id © ACCT100 ACCT199 | if neede | © Client • FR30001 FR30001 | ISIN 8 FR0000571119 FR0010167338 | Page 1 of 10 > > | Trade Date \$ 30/06/2022 01/07/2022 | ♥ Intended Settlement Date ♥ 30/06/2022 04/07/2022 | Update Date \$ 30/06/2022 16:51:26:298 30/06/2022 16:04:51:084 | Q 94 * II () V Q Updater User Id 9 |
| Screenshot | fields, Search Result : A Instruction M © ACCTION ACCTION ACCTION | if neede | client • FR30001 FR30001 FR32548 | ISN 8 | Prope 1 of 10 > > | Trade Date \$ 30/06/2022 01/07/2022 01/07/2022 | ▼ Intereded Settlement Date €*, 30/06/2022 04/07/2022 | Update Date 30/06/2022 16:51/26:298 30/06/2022 16:04:51/084 30/06/2022 15:99:40:162 | Q OL * II O F C |
| Screenshot | fields, Search Result: A Intruction Id ACCT100 ACCT99 ACCT98 ACCT97 | if neede ccount Transfert Transfert Transfert App Reference © ACCTI00 ACCTI99 ACCTI98 ACCTI97 | Client • FR30001 FR30001 FR32548 FR12548 | FR0000571119 FR0010167338 FR01136221896 FR0126221896 | Page 1 or 10 > > | Trade Date \$ 30/06/2022 01/07/2022 01/07/2022 01/07/2022 | Intercolad Settlement Date \$ | Update Date \$ 30/06/2022 16:51:26:298 30/06/2022 16:04:51:084 30/06/2022 15:57:40:346 | Update there is \$ \$\infty\$ Ecms operation 1 ECMS OPERATOR 1 ECMS OPERATOR 1 ECMS OPERATOR 1 |
| Screenshot | fields, Search Result: A 10 Instruction to 0 ACCT100 ACCT190 ACCT97 ACCT96 | if neede | Client • FR30001 FR30001 FR3001 FR3004 FR12548 FR12548 FR12548 | ▼ ISSN 4 FR0000571119 FR001016738 FR0126221896 FR0126221896 | Page 1 of 10 3 3 2 5 5 5 5 5 5 5 5 5 5 5 5 5 5 5 5 5 | Trade Date \$ 30/05/2022 01/07/2022 01/07/2022 01/07/2022 01/07/2022 | ▼ Internded Settlement Date ♥ ↑ 30/06/2022 04/07/2022 04/07/2022 01/07/2022 01/07/2022 | Update Date • 30/06/2022 16:51:26:298 30/06/2022 16:51:26:298 30/06/2022 15:54:00 16:2 30/06/2022 15:57:40:346 30/06/2022 15:57:40:346 | Update User 10 C C C Cost OPERATOR 1 ECMS OPERATOR 1 |
| Screenshot | fields, Search Result: A 10 ** Instruction 60 \$ ACCT190 ACCT190 ACCT190 ACCT197 ACCT196 ACCT196 ACCT196 | if neede ccount Transfert V App Reference 9 ACCT00 ACCT09 ACCT08 ACCT09 ACCT09 ACCT06 ACCT06 | Client © FR30001 FR30001 FR32548 FR32548 FR30007 | FR0009571119 FR0009571119 FR010167238 FR0128221096 FR0128221096 FR0128221096 FR0128221096 | Propr 1 of 10 > > Tourselly \$ 0 | Trade Date \$ 30/06/2022 01/07/2022 01/07/2022 01/07/2022 01/07/2022 30/06/2022 | © Intended Semineness Date © 3006/2022 04/07/2022 04/07/2022 04/07/2022 04/07/2022 04/07/2022 04/07/2022 | Update Date \$ 30/06/2022 16:51:26:298 30/06/2022 16:51:26:298 30/06/2022 16:51:26:298 30/06/2022 15:57:40:346 30/06/2022 15:57:40:346 30/06/2022 15:50:633:284 | Q SA |
| Screenshot | fields, Search Result: A The find of the field of the f | if neede coount Transfert Ty Ago Reference 8 ACCT99 ACCT98 ACCT98 ACCT99 ACCT96 ACCT96 ACCT96 ACCT96 | Client \$ FR30001 FR12548 FR12548 FR12548 FR12548 FR13548 FR1368 | FR000571119 FR0010167238 FR0126221896 FR0126221896 FR0126221896 FR0126221896 FR0126251896 FR0126251896 | Pege 1 of 10 3 2 Country \$ 2,997,000 1,500,000 1,500,000 1,500,000 1,500,000 1,500,000 1,500,000 1,500,000 1,500,000 1,500,000 | Trade Date 9 30/06/2022 01/07/2022 01/07/2022 01/07/2022 01/07/2022 30/06/2022 | | Update Date \$ 30/06/2022 1:51:26:298 30/06/2022 1:51:26:298 30/06/2022 1:51:26:298 30/06/2022 1:57:40:346 30/06/2022 1:57:40:348 30/06/2022 1:52:50:780 30/06/2022 1:52:50:780 | CMS OPPRATOR 1 COMS OPPRATOR 1 |
| Screenshot | fields, Search Result: A 10 ** Instruction 60 \$ ACCT190 ACCT190 ACCT190 ACCT197 ACCT196 ACCT196 ACCT196 | if neede ccount Transfert V App Reference 9 ACCT00 ACCT09 ACCT08 ACCT09 ACCT09 ACCT06 ACCT06 | Client © FR30001 FR30001 FR32548 FR32548 FR30007 | FR0009571119 FR0009571119 FR010167238 FR0128221096 FR0128221096 FR0128221096 FR0128221096 | Project 1 of 10 S S S S S S S S S S S S S S S S S S | Trade Date 9 30/06/2022 01/07/2022 01/07/2022 01/07/2022 01/07/2022 30/06/2022 | © Intended Semineness Date © 3006/2022 04/07/2022 04/07/2022 04/07/2022 04/07/2022 04/07/2022 04/07/2022 | Update Date \$ 30/06/2022 16:51:26:298 30/06/2022 16:51:26:298 30/06/2022 16:51:26:298 30/06/2022 15:57:40:346 30/06/2022 15:57:40:346 30/06/2022 15:50:633:284 | Q SA |

| Multi-pooling | -Transfer Instructions List Screen |
|----------------------|--|
| Field | Description |
| Instruction Id | Shows the Instruction Reference that identifies the instruction. |
| | Displayed format is: Max. XX characters. |
| Application | Shows the application reference that uniquely identifies the instruction. |
| Reference Number | Displayed format is: Max. XX characters. |
| Client | Shows the identifier that uniquely identifies the Receiving Party (Counterparty or NCB). |
| | Displayed format is: Max. XX characters. |
| ISIN | Shows the identification of the marketable asset. |
| | Displayed format is: Max. 12 characters. |
| Quantity | Shows the quantity/Position to be transferred. |
| | Displayed format is: Max. XX characters. |
| Trade Date | Shows the Trade date in the ECMS of the instruction from the ECMS Party that initiated the instruction |
| | Displayed format is: DD/MM/YYYY |
| | Shows the business date on which the instruction will be settled. |
| tlement Date | Displayed format is: DD/MM/YYYY |
| Update Date | Date and time when the instruction was last updated in the ECMS. |
| | Display format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id. | Identifier of the user responsible for the last update of the instruction. |
| After selecting | a record, the following buttons are displayed |
| Button | Function |
| View | This function enables you to access to the detailed information of an instruction. |
| | Next screen: |
| | Multi-pooling – Transfer Instructions - Details Screen. |



3.3.5.2.1.2 Multi-pooling – Transfer Instruction - Details Screen

| Context of Usage | This screen displays det Transfer Instructions (Adery Leg). | | . • |
|------------------|---|---|--|
| Screen Access | Instructions and Position Transfer >> Click on the if needed) >> Select a N View button | search button (after inp | utting the relevant fields, |
| Screenshot | Search Criteria: Account Transfert Search Result: Account Transfert > View: Account Transfert Instruction Id ACTS4513600813 Quartity 2.698,889 Party CED TR8999_Fusedase Trace Rocopt og FootPrint | App Reference ACTR0339000033 Trade Date 12082024 Differry Leg | ISIN JEMMOSISTYP Intended Settlement Date 12/04/2024 |

| Multi-pooling | – Transfer Instruction Details screen | |
|--|--|--|
| Field | Description | |
| Instruction Id | Shows the Instruction Reference that identifies the instruction. | |
| | Displayed format is: Max. XX characters. | |
| Application | Shows the application reference that uniquely identifies the instruction. | |
| Reference Number | Displayed format is: Max. XX characters. | |
| ISIN | Shows the identification of the marketable asset. | |
| | Displayed format is: Max. 12 characters | |
| Quantity | Quantity/Position instructed | |
| Trade Date | Trade date of the instruction | |
| | Displayed format is: DD/MM/YYYY | |
| | Intended settlement date of the instruction. | |
| tlement Date | Displayed format is: DD/MM/YYYY | |
| Party CSD | Shows the RIAD code of the CSD of the party for the (de)mobilisation. | |
| | Displayed format is: Max. XX characters. | |
| Receipt Leg / | Delivery Leg (depends on button clicked on) | |
| tions" (access | en is the same as that for the section "Validate/Reject MA Instructed via Instructions and Positions >> Instructions and Positions >> Validon >> Validate/Reject MA Instructions). | |
| The user is directed to the "Validate/Reject MA Instructions" section MISSING LINK | | |
| | | |

3.3.5.3 Multi-pooling – Display MA Transfer Instructions

This section provides information on the MA transfer of assets instructions (Client side) generated by the ECMS for the (de)mobilisations as a result of the Multi-pooling functionalities.



3.3.5.3.1 Multi-pooling – MA Transfer Instructions - Search Screen

| Context of Usage | This screen contains a number of search fields and shows the latest and stored searches. By inputting the relevant data, you can search for the Multi-pooling Instructions. | | | | | |
|------------------|---|--|--|--|--|--|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. | | | | | |
| | Depending how the screen is accessed, it can be used to search the valid information or the information that requires 4 eyes validation before they can be considered valid in the system. | | | | | |
| Screen Ac- | For valid information: | | | | | |
| cess | Instructions and Positions >> Multi-pooling Instruction >> Display Transfer MA Instructions | | | | | |
| | For information subject to a 4 eyes validation: | | | | | |
| | Instructions and Positions >> MA Instruction >> Validation / Rejection >> Validate / Reject MA Instructions | | | | | |
| Screenshot | Search Transfer Multipation | | | | | |
| | Second Description Second | | | | | |
| | ISN ••• Q CS0-of the T2S ••• • Famy CSD ••• • External Accord to regular Accordation regular Continues | | | | | |
| | Todo Case *** | | | | | |
| | Business Sas Dates :: * Party 1 benations :: * Creation Date :: * * * * * * * * * * * * * * * * * * | | | | | |
| | Q tons | | | | | |

| Multi-pooling - | - MA Transfer Instructions Search screen |
|----------------------------|--|
| Field | Description |
| Instruction Id | Enter/Select the Instruction Reference that identifies the instruction. |
| | Required format is: Max. XX characters. |
| Instruction Type | Enter/Select the Instruction Type (Delivery or Receive) that identifies the instruction. |
| | Possible values: |
| | PT-DF Portfolio Transfer Deliver Free of Payment (OWNE) |
| | PT-RF Portfolio Transfer Receive Free of Payment (OWNE) |
| | Required format is: Max. XX characters. |
| Counterparty Id. | Enter/Select the identifier that uniquely identifies the Delivering Counterparty. |
| | Required format is: Max. XX characters. |
| NCB Parti- cipant Asset | Enter/Select the Internal ECMS NCB Participant (Counterparty) Asset Account where the asset is held (source account) |
| Account Id | Required format is: Max. XX characters. |
| ISIN | Enter/Select the identification of the marketable asset |
| | Required format is: Max. 12 characters. |
| CSD of the T2S Account | Enter/Select the CSD of the T2S Account for regular collateral where the asset is held (source account) |
| for regular collateral | Required format is: Max. XX characters. |
| Party CSD | Enter/Select the Party CSD of the T2S Account for regular collateral |
| | Required format is: Max. XX characters. |



| External Asset Account | Enter/Select the External Asset Account (External ECMS Counterparty Asset Account) where the asset is held (source account) |
|--------------------------------|---|
| | Required format is: Max. XX characters. |
| Party's In- | Enter the Party's Instruction Reference |
| struction Ref- erence | Required format is: Max. XX characters. |
| Business | Enter/Select the Business Status of the Instruction. |
| Status | The possible values are: |
| | - Cancelled |
| | - Sent for Settlement |
| | - Waiting for NCB manual intervention |
| | - Instructed |
| | - Matched |
| | - Rejected |
| | - Confirmed |
| | Required format is: Max. XX characters. |
| Business Sub | Enter/Select the Business Sub Status of the Instruction. |
| Status | The possible values are: |
| | - Lacking securities |
| | - Waiting for Settlement Date |
| | - Waiting for Global Collateral Position Update |
| | - Waiting User Validation |
| | Required format is: Max. XX characters. |
| U2A Input | Shows whether the instruction was captured in U2A mode or not from |
| | Possible values: |
| | - Yes |
| | - No |
| Dates | 110 |
| Trade Date | Enter/Select the trade date of the instruction. The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY. |
| Intended Set- tlement Date | Enter/Select the business date on which the instruction will be settled. The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY. |
| Effective Set- tlement Date | Enter/Select the business date on which the instruction was settled. The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY. |
| Creation Date | Enter/Select the Creation date of the instruction. The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY. |
| Update Date | Enter/Select the Update date of the instruction. The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY. |
| Button | Function |



| Reset | This function enables you to clear the form. |
|--------|--|
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |

3.3.5.3.1.1 Multi-pooling – MA Transfer Instructions - List screen

| Context of Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. Depending how the screen is accessed, it can be used to list the valid information or the information that requires 4 eyes validation before they can be considered valid in the system. |
|---------------------|---|
| Screen Ac- | For valid information: |
| cess | Instructions and Positions >> Multi-pooling Instruction >> Display Transfer MA Instructions >> Click on the <i>search</i> button (after inputting the relevant fields, if needed) For information subject to a 4 eyes validation: |
| | Instructions and Positions >> MA Instruction >> Validation / Rejection >> Validate / Reject MA Instructions >> Click on the search button (after inputting the relevant fields, if needed) |
| Screenshot | List: Transfer MA Instruction |

| Multi-pooling - | - MA Transfer Instructions List Screen |
|------------------------|---|
| Field | Description |
| , | Shows the Instruction Reference that identifies the instruction. |
| tion Reference | Displayed format is: Max. XX characters. |
| Instruction ID | Shows the Instruction ID that identifies the instruction. |
| | Displayed format is: Max. XX characters. |
| Instruction Type | Shows the Instruction Type (Delivery or Receive) that identifies the instruction. |
| | Possible values: |
| | PT-DF Portfolio Transfer Deliver Free of Payment (OWNE) |
| | PT-RF Portfolio Transfer Receive Free of Payment (OWNE) |
| | Displayed format is: Max. XX characters. |
| Business Status | Shows the Business Status of the Instruction. |
| | Displayed format is: Max. XX characters. |
| Business Sub Status | Shows the Business Sub Status of the Instruction. |
| | Displayed format is: Max. XX characters. |
| Counterparty | Shows the identifier that uniquely identifies the Delivering Counterparty. |
| | Displayed format is: Max. XX characters. |



| NCB Parti- cipant | Shows the BIC that uniquely identifies the NCB Participant of the Delivering Counterparty. |
|---------------------------|--|
| | Displayed format is: Max. 11 characters. |
| ISIN | Shows the identification of the marketable asset. |
| | Displayed format is: Max. 12 characters. |
| Quantity | Shows the quantity/Position to be transferred. |
| | Displayed format is: Max. XX characters. |
| Trade Date | Shows the Trade date in the ECMS of the instruction from the ECMS Party that initiated the instruction |
| | Displayed format is: DD/MM/YYYY |
| Intended Set- | Shows the business date on which the instruction will be settled. |
| tlement Date | Displayed format is: DD/MM/YYYY |
| Effective Set- | Shows the business date on which the instruction was settled. |
| tlement Date | Displayed format is: DD/MM/YYYY |
| Party CSD | Shows the Party CSD |
| | Displayed format is: Max. XX characters. |
| CSD of the T2S Account | Shows the Identifier of the CSD in which the T2S Securities Account for Regular Collateral are held (Delivering CSD) |
| for Regular Collateral | Displayed format is: Max. XX characters. |
| Being Can- celled | Shows the Indicator stating that the cancellation of the instruction has been requested. The possible values are: — Yes |
| | - No |
| Updater User | Shows the Identifier of the user responsible for the last update of the instruction. |
| Update Date | Shows the Date and time when the instruction was last updated in the ECMS. |
| | Display format is: DD/MM/YYYY hh:mm:ss:µs. |
| Cash Amount | Shows the Cash Amount |
| | Displayed format is: Max. XX characters |
| Denomination | Shows the Denomination Currency |
| Currency | Displayed format is: Max. 3 characters. |
| Creation Date | Date and time when the instruction was created in the ECMS. |
| | Display format is: DD/MM/YYYY hh:mm:ss:µs. |
| External Asset Account | Shows the Reference of T2S Account for Regular Collateral or of the ECMS Asset Account depending if the instruction is to be settled in a domestic CSD or not where the Marketable Asset is deposited. |
| | Displayed format is: Max. XX characters |
| After selecting : | a record, the following buttons are displayed |
| Button | Function |
| History | This function enables you to access to the historical information of an instruction. |
| | Next screen: |
| | Multi-pooling – MA Transfer Instructions - History Screen. |
| Edit | This function enables you to edit an instruction. |



| | Next screen: |
|------|--|
| | Multi-pooling – MA Transfer Instructions - Edit Screen. |
| View | This function enables you to access to the detailed information of an instruction. |
| | Next screen: |
| | Multi-pooling – MA Transfer Instructions - Details Screen. |

3.3.5.3.1.2 Multi-pooling – MA Transfer Instruction - History Screen

| This screen displays historical information that has changed on the selected Multi-pooling Instructions. You can check the data, including the user who made the changes, and proceed further by clicking on the buttons that are shown. | | | | | | | | |
|--|--|--|---|--|---|--|--|--|
| Transfer ting the tions >> Instruction MA Transting the tions >> | r MA Instruction relevant fields Click on the constant Positions and Positions and Positions and Fields Click on the | ons >> Click s, if needed): History button tions >> Multions >> Click s, if needed): View button (| on the search >> Select a M n i-pooling Inst on the search >> Select a M | n button (aft Multi-pooling ruction >> D h button (aft Multi-pooling | er input- Instruc- Display er input- Instruc- | | | |
| Display transfer MA instructions O | | | | | | | | |
| horizontalHistoryResult : Simple Client Inst | ruction History | | | | Q | | | |
| Fields | MAI2023121900002 2024-03-05-11:15-23-209 5 | ▼ MAI2023121900002[2023-12-19 10:24-23.498]4 □ | MAI2023121900002 2023-12-19 10:24:01 009 3 □ | MAI2023121900002(2023-12-19 10:23:01,646f2 | | | | |
| | RejectClearingProcess | | | | ♥ MA(2023121900002)2023-12- | | | |
| | lected Multiuser who mouttons that - Instruction Transferting the tions >> - Instruction MA Transferting the tions >> - Click on | lected Multi-pooling Instruser who made the chan buttons that are shown. - Instructions and Posit Transfer MA Instruction ting the relevant fields tions >> Click on the Instructions and Posit MA Transfer Instruction ting the relevant fields tions >> Click on the Click on the History B | lected Multi-pooling Instructions. You user who made the changes, and probuttons that are shown. - Instructions and Positions >> Mult Transfer MA Instructions >> Click ting the relevant fields, if needed) tions >> Click on the <i>History</i> butto. - Instructions and Positions >> Mult MA Transfer Instructions >> Click ting the relevant fields, if needed) tions >> Click on the <i>View</i> button (Click on the History Button) | lected Multi-pooling Instructions. You can check the user who made the changes, and proceed further buttons that are shown. Instructions and Positions >> Multi-pooling Inst Transfer MA Instructions >> Click on the search ting the relevant fields, if needed) >> Select a Mations >> Click on the History button Instructions and Positions >> Multi-pooling Inst MA Transfer Instructions >> Click on the search ting the relevant fields, if needed) >> Select a Mations >> Click on the View button (Multi-pooling Click on the History Button) | lected Multi-pooling Instructions. You can check the data, incluser who made the changes, and proceed further by clicking obuttons that are shown. Instructions and Positions >> Multi-pooling Instruction >> Documents of the relevant fields, if needed) >> Select a Multi-pooling tions >> Click on the History button Instructions and Positions >> Multi-pooling Instruction >> Documents of MA Transfer Instructions >> Click on the Search button (after ting the relevant fields, if needed) >> Select a Multi-pooling tions >> Click on the View button (Multi-pooling - Details Secondary Button) | | | |

| Multi-pooling – MA Transfer Instruction History Screen | | | | | |
|--|--|--|--|--|--|
| Field | Description | | | | |
| Fields | Shows the fields whose information have been updated since the creation of the selected instruction. | | | | |
| Timestamp | Shows the date and time when the fields have been updated. | | | | |
| Button | Description | | | | |
| Compare | Shows the differences between the selected records whose data have been updated. | | | | |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected instruction. | | | | |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected instruction. | | | | |
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected instruction. | | | | |



| Show Differ- | Shows only the fields whose information have been updated since the |
|--------------|---|
| ences Only | creation of the selected instruction. |

3.3.5.3.1.3 Multi-pooling – MA Transfer Instruction - Details Screen

| Context of Usage | This screen displays detailed information of the selected Multi-pooling Instructions. | | | | | |
|--|---|--|--|--|--|--|
| Screen Access | Instructions and Positions >> Multi-pooling Instruction >> Display Transfer MA Instructions >> Click on the <i>search</i> button (after inputting the relevant fields, if needed) >> Select a MA Instruction >> Click on the <i>View</i> button | | | | | |
| >> Display Transection "Recyclitions and Positions" | n (accessed via Instructions and Positions >> Multipooling Instruction nsfer MA Instructions > Search > View) are the same as those for the le/Reject - Waiting For NCB Manual Intervention" (accessed via Instructions >> Instructions and Positions >> MA Instruction >> Recycle Waitinual Intervention, Reject Waiting for NCB Manual Intervention). | | | | | |
| The user is directed to the "Recycle/Reject - Waiting For NCB Manual Intervention" | | | | | | |

3.3.5.4 Multi-pooling - Display Transfer MA Settlement Instruction

This section provides information on the MA settlement transfer instructions (market/ T2S) generated by the ECMS as a result of the Multi-pooling functionalities.

This screen and its sub-screens (accessed via Instructions and Positions >> Multipooling Instruction >> Display Transfer MA Settlement Instruction) are the same as those for the section "Marketable Asset Settlement Instructions" (accessed via Instructions and Positions >> Instructions and Positions >> MA Settlement Instruction >> Marketable Asset Settlement Instructions).

The user is directed to the "Display Transfer MA Settlement Instruction" section --- MISSING LINK ---.

3.3.6 Messages Monitoring

section --- MISSING LINK ---.

Counterparty Marketable Asset Instructions represent the instruction received by the ECMS from the counterparty to mobilise or demobilize a Marketable Asset in or from one of its NCB Participant Asset Accounts.

A refinancing NCB can access to the details of the Counterparty Marketable Asset Instructions originated by the Counterparties of its community through the different screens described in this section.

The "Client Side" of Counterparty Marketable Asset Instructions corresponds to an ECMS Counterparty whereas the "Market Side" corresponds either to a domestic T2S CSD (for domestic (de)mobilization) or to another NCB (for non-domestic (de)mobilization)

When the ECMS receives a notification from T2S informing of the generation of a T2S collateral relocation settlement instruction, the ECMS creates a T2S Collateral Relocation record in its database.



3.3.6.1 Instructions

3.3.6.1.1 Instructions - Search Screen

| Context of Usage | This screen contains a list of Instructions messages. The allegements listed correspond to the search criteria capture in the search screen. | | | | | | | | |
|------------------|---|--|--|--|--|--|--|--|--|
| | The list displayed can be sorted and filter using by the field displayed. | | | | | | | | |
| | The list can be exported. | | | | | | | | |
| Screen Access | Instructions and Positions >> Messages Monitoring >> Instructions | | | | | | | | |
| Screenshot | Search criteria: Settlement notifications | | | | | | | | |
| | Message Inference • | | | | | | | | |
| | ○ treat | | | | | | | | |

| Instructions | s – Search Screen | | | | | |
|---------------------------------------|--|--|--|--|--|--|
| Field | Description | | | | | |
| Message Reference | Reference of the notification message | | | | | |
| Party's In- struction Reference | Enter the Reference of the instruction given by the Instructing Party. | | | | | |
| Client Sec Account Code | Enter the Account Number where the security is to be (de)mobilised. | | | | | |
| ISIN | Enter or Select the ISIN of the Marketable Asset (de)mobilized. | | | | | |
| Intended Settlement | Enter the intended settlement date of the instruction or use the calendar icon. | | | | | |
| Date | Required format is: DD/MM/YYYY. | | | | | |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: | | | | | |
| | - Prepared | | | | | |
| | - Impacted | | | | | |
| | - Impact Failed | | | | | |
| | - Rejected | | | | | |
| | - Archived | | | | | |
| | - Processed | | | | | |
| | - Processed with Failure | | | | | |
| | Waiting Validation | | | | | |
| | - On Hold | | | | | |
| | - Waiting for Retry | | | | | |
| Direction | Indicator stating that the notification has been received or sent by the ECMS. Possible values: | | | | | |



| | – In |
|------------------|---|
| | – Out |
| Settlement | Select from possible values: |
| Nature | - Receive |
| | - Deliver |
| | - None |
| Creation Date | Enter the date and time when the instruction was created in the ECMS or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs. |
| Update Date | Enter the date and time when the instruction was last updated in the ECMS or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs. |
| Settlement | Select from possible values: |
| Mode | - FreeOfPayment |
| | DeliverPayment |
| | - ReceivePayment |
| Button | Function |
| Reset | To clear the search criteria and close the result windows if any |
| Search | This function enables you to start a search according to the criteria entered. The results are Showed in a list on the screen List screen. Next screen: |
| | - Instructions - List Screen |

3.3.6.1.2 Instructions – List Screen

| Context of Usage | | | | | | | | | | | | | After s belov | | ting |
|------------------|--|--|--|---|---|--|---|--|--|------------------------------------|--------------------|--|---|--|---|
| Screen Access | 1 | | | nd Po ctions | | าร >> | Mes | sage | s Mor | nitorir | ng >> | Instr | uction | าร > | > |
| Screen- | List : Instructio | ns | | | | | | | | | | | | | ^ |
| | 10 ▼ | | | | | | | | | | | | | Q 72 | * 4 日 () 🗟 |
| shot | TESTCUTOFFCLMS TESTCUTOFFCLMS TESTCUTOFFCLMS TESTCUTOFFCLMS TESTCUTOFFCLM MIAT202404100004 | TESTCUTOFFCLM4 TESTCUTOFFCLM2 TESTCUTOFFCLM2 TESTCUTOFFCLM | NEWM NEWM NEWM NEWM NEWM NEWM NEWM | Deliver Deliver Deliver Deliver Deliver Deliver Deliver Deliver Deliver Roceive Receive | AT0000A35ZQ4 | Trace Date \$ 15/04/2024 15/04/2024 15/04/2024 15/04/2024 15/04/2024 15/04/2024 15/04/2024 15/04/2024 10/04/2024 | 15/04/2024 15/04/2024 15/04/2024 15/04/2024 15/04/2024 15/04/2024 15/04/2024 15/04/2024 15/04/2024 15/04/2024 | Out In | Notifications Stat. Processed Impacted Impacted Impacted Impacted Rejected Rejected Processed Impacted | FRUCT#INTFO06 Th #RUCT#INTFO06 Th | 15/04/2024 15:45:2 | STP DNsAZAUser DNsAZAUser ONsAZAUser admin admin STP | 5 | Asig Number © 142 442 442 442 442 442 442 442 442 444 444 440 | Troution Date \$\forall \text{15/04/202416:13.3.} \\ 15/04/202416:13.3. \\ 15/04/202416:13.3. \\ 15/04/202416:09.2. \\ 15/04/202416:09.3. \\ 15/04/202416:06.5. \\ 15/04/202416:06.5. \\ 15/04/202416:05.5. \\ 10/04/202416:05.4. \\ 10/04/202416:05. \\ 10/04/202416:05.4. \\ 10/04/202416:05.4. \\ 10/04/202416:05. \\ 10/04/202416:05.4. \\ 10/04/202416:05. \ |
| | MIAT202404100002 | ECMS14911 INST01 | NEWM | Receive | AT0000A2AKVI | 10/04/2024 | 10/04/2024 | Out | Processed | | 10/04/202413:15-4. | STP | 5 | Download | 10/04/202413:15.4 View Message |

| Instructions – List screen | | | | | | |
|---|--|--|--|--|--|--|
| Column | Description | | | | | |
| Message Reference | Reference of the notification message | | | | | |
| Party's In- struction Ref- erence | Shows the Reference of the instruction given by the Instructing Party. | | | | | |
| Msg Function | Shows the message function from possible values: | | | | | |
| | - NEWM - New Message | | | | | |
| | - REPL - Replacement | | | | | |



| | - RMDR - Reminder |
|-------------------------------|--|
| Settlement | Shows from possible values: |
| Nature | - Receive |
| | - Deliver |
| | - None |
| ISIN | ISIN of the Marketable Asset (de)mobilized. |
| Trade Date | Trade date of the instruction |
| Intended Set- tlement Date | Intended Settlement Date of the instruction. |
| Direction | Indicator stating that the notification has been received or sent by the ECMS. Possible values: |
| | – In |
| | - Out |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: |
| | - Prepared |
| | - Impacted |
| | - Impact Failed |
| | - Rejected |
| | - Archived |
| | - Processed |
| | Processed with Failure |
| | Waiting Validation |
| | - On Hold |
| | Waiting for Retry |

| Error Description | Shows the error description (if there is any). |
|-------------------|---|
| Updater User Id. | Identifier of the user responsible for the last update of the instruction. |
| Update Date | Date and time when the instruction was last updated in the ECMS. |
| | Shows format is: DD/MM/YYYY hh:mm:ss:µs. |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| View Message | This function enables you to access to the detailed information of the messages for same notification. |
| | - View Message - Details Screen |
| View Message | - Details Screen |
| Field | Description |
| Message Reference | Shows the reference of the messge. |



| Direction | Shows whether the notification has been an input or output. Possible values: | | | | |
|---|---|--|--|--|--|
| | – In | | | | |
| | - Out | | | | |
| Status | Shows the status of the message. | | | | |
| After selecting a record, the following buttons are displayed | | | | | |
| Button | Function | | | | |
| Download | This function enables you to access to the detailed information of the original message in XML format. | | | | |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | | | | |

3.3.6.2 Cancellation Instructions

3.3.6.2.1 Cancellation Instructions – Search Screen

| Context of Usage | This screen contains a list of Cancellation Instructions messages. The allegements listed correspond to the search criteria capture in the search screen. The list displayed can be sorted and filter using by the field displayed. The list can be exported. |
|------------------|---|
| Screen Access | Instructions and Positions >> Messages Monitoring >> Cancellation Instructions |
| Screenshot | Search criteria: Settlement nooffications Message Advance • • Client Set Advance • Still • • Constitution Date • • Constitution Date • • Settlement Mode • • Settlement Manage • • • • Settlement Manage • • • • Settlement Manage • • • • • Settlement Manage • • • • • Settlement Manage • • • • Settlement Manage • • • • • • • • • • • • • • • • • • • |

| Cancellation Instructions – Search Screen | | | |
|---|--|--|--|
| Field | Description | | |
| Message Reference | Reference of the notification message | | |
| Party's Instruction Reference | Enter the Reference of the instruction given by the Instructing Party. | | |
| Client Sec Account Code | Enter the Account Number where the security is to be (de)mobilised. | | |
| ISIN | Enter or Select the ISIN of the Marketable Asset (de)mobilized. | | |
| Intended Settlement | Enter the intended settlement date of the instruction or use the calendar icon. | | |
| Date | Required format is: DD/MM/YYYY. | | |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: | | |
| | - Prepared | | |



| - Impacted |
|---------------------------------------|
| - Impact Failed |
| - Rejected |
| - Archived |
| - Processed |
| - Processed with Failure |
| Waiting Validation |
| - On Hold |
| Waiting for Retry |

| | · | | | | | |
|------------------|---|--|--|--|--|--|
| Direction | Indicator stating that the notification has been received or sent by the ECMS. Possible values: | | | | | |
| | — In | | | | | |
| | - Out | | | | | |
| Settlement | Select from possible values: | | | | | |
| Nature | - Receive | | | | | |
| | - Deliver | | | | | |
| | - None | | | | | |
| Creation Date | Enter the date and time when the instruction was created in the ECMS or use the calendar icon. | | | | | |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs. | | | | | |
| Update Date | Enter the date and time when the instruction was last updated in the ECMS or use the calendar icon. | | | | | |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs. | | | | | |
| Settlement | Select from possible values: | | | | | |
| Mode | - FreeOfPayment | | | | | |
| | - DeliverPayment | | | | | |
| | - ReceivePayment | | | | | |
| Button | Function | | | | | |
| Reset | To clear the search criteria and close the result windows if any | | | | | |
| Search | This function enables you to start a search according to the criteria entered. The results are Showed in a list on the screen List screen. Next screen: | | | | | |
| | - Cancellation Instructions - List Screen | | | | | |

3.3.6.2.2 Cancellation Instructions – List Screen

| Context of Usage | | This screen contains the search results displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons below. | | | | | | | | | | | | |
|------------------|---|--|--------------------------------|---|--|---|--|---------------------|---|---------------------|---|---------------|---|--|
| Screen Access | | Instructions and Positions >> Messages Monitoring >> Cancellation Instructions >> Search Cancellation Instructions | | | | | | | | | | | | |
| Screen- | | List: Cancellation Instructions | | | | | | | | | | | | |
| shot | 10 C231103200000021 C231103200000020 C230905000000008 | testinc110912 Test2ECMS12643 | Msg Function © SCANC CANC CANC | Settlement Nature. Receive Receive Receive | ISIN © S ES0305045009 AT0000A2MCA8 AT0000A2MCA8 | 7 Trade Date 4 03/11/2023 05/09/2023 05/09/2023 | antended Settlem6, 03/11/2023 05/09/2023 05/09/2023 | Direction © Out Out | ▼ Notifications Staf Processed Processed Processed | Error Description © | Update Date © 03/11/2023 16:42:5. 05/09/2023 13:33:4. 05/09/2023 13:19:0. | ABVR008guille | Marbet Reference \$ Mag Number \$ 540 540 | ★ □ □ () ♥ Creation Date ● ♥ 03/11/2023 16:42-5 05/09/2023 13:33-4 05/09/2023 13:19:0 View Message |



| Cancellation I | nstructions – List screen | | | | | |
|---|--|--|--|--|--|--|
| Column | Description | | | | | |
| Message Reference | Reference of the notification message | | | | | |
| Party's In- struction Ref- erence | Shows the Reference of the instruction given by the Instructing Party. | | | | | |
| Msg Function | Shows the message function from possible values: | | | | | |
| | - NEWM - New Message | | | | | |
| | - REPL - Replacement | | | | | |
| | - RMDR - Reminder | | | | | |
| Settlement | Shows from possible values: | | | | | |
| Nature | - Received | | | | | |
| | - Deliver | | | | | |
| | - None | | | | | |
| ISIN | ISIN of the Marketable Asset (de)mobilized. | | | | | |
| Trade Date | Trade date of the instruction | | | | | |
| Intended Set- tlement Date | Intended Settlement Date of the instruction. | | | | | |
| Direction | Indicator stating that the notification has been received or sent by the ECMS. Possible values: | | | | | |
| | – In | | | | | |
| | - Out | | | | | |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: | | | | | |
| | - Prepared | | | | | |
| | - Impacted | | | | | |
| | - Impact Failed | | | | | |
| | - Rejected | | | | | |
| | - Archived | | | | | |
| | - Processed | | | | | |
| | - Processed with Failure | | | | | |
| | Waiting Validation | | | | | |
| | - On Hold | | | | | |
| | Waiting for Retry | | | | | |

| Error Description | Shows the error description (if there is any). |
|-------------------|--|
| Updater User Id. | Identifier of the user responsible for the last update of the instruction. |
| Update Date | Date and time when the instruction was last updated in the ECMS. |
| | Shows format is: DD/MM/YYYY hh:mm:ss:µs. |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |



| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | | | |
|-------------------|---|--|--|--|
| View Message | This function enables you to access to the detailed information of the messages for same notification. | | | |
| | - View Message - Details Screen | | | |
| View Message | - Details Screen | | | |
| Field | Description | | | |
| Message Reference | Shows the reference of the messge. | | | |
| Direction | Shows whether the notification has been an input or output. Possible values: | | | |
| | _ In | | | |
| | - Out | | | |
| Status | Shows the status of the message. | | | |
| After selecting | a record, the following buttons are displayed | | | |
| Button | Function | | | |
| Download | This function enables you to access to the detailed information of the original message in XML format. | | | |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | | | |

3.3.6.3 Instructions Status

3.3.6.3.1 Instructions Status - Search Screen

| Context of | This screen contains a list of Instructions Status messages. | | | | | | | | | |
|---------------|--|--|--|--|--|--|--|--|--|--|
| Usage | The allegements listed correspond to the search criteria capture in the search screen. | | | | | | | | | |
| | The list displayed can be sorted and filter using by the field displayed. | | | | | | | | | |
| | The list can be exported. | | | | | | | | | |
| Screen Access | Instructions and Positions >> Messages Monitoring >> Instructions Status | | | | | | | | | |
| Screenshot | Search Criteria : Status Processing Advice | | | | | | | | | |
| | Message Reference Party s Instruction Notifications Status V Linked Mag Ref Reference: | | | | | | | | | |
| | SSN •• ▼ Trade Date •• ▼ | | | | | | | | | |
| | Creation Sure · · · ▼ | | | | | | | | | |
| | Q Seeh | | | | | | | | | |

| Instructions Status – Search Screen | | | | |
|---------------------------------------|--|--|--|--|
| Field | Description | | | |
| Message Reference | Reference of the notification message | | | |
| Party's In- struction Reference | Enter the Reference of the instruction given by the Instructing Party. | | | |



| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: |
|------------------------|--|
| | - Prepared |
| | - Impacted |
| | - Impact Failed |
| | - Rejected |
| | - Archived |
| | - Processed |
| | Processed with Failure |
| | Waiting Validation |
| | - On Hold |
| | Waiting for Retry |

| Linked Msg Ref | Enter the Linked Message Reference. |
|------------------------|---|
| ISIN | Enter or Select the ISIN of the Marketable Asset (de)mobilized. |
| Trade Date | Enter the Trade Date of the Instruction or use the calendar icon. |
| | Required format is: DD/MM/YYYY. |
| Intended Settlement | Enter the intended settlement date of the instruction or use the calendar icon. |
| Date | Required format is: DD/MM/YYYY. |
| Settlement | Select from possible values: |
| Nature | - Receive |
| | - Deliver |
| | - None |
| Creation Date | Enter the date and time when the instruction was created in the ECMS or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs. |
| Update Date | Enter the date and time when the instruction was last updated in the ECMS or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs. |
| Instruction | Enter the Instruction Type from possible values: |
| Туре | Marketable Asset Mobilisation (RECE) |
| | Marketable Asset Demobilisation (DELI) |
| Button | Function |
| Reset | To clear the search criteria and close the result windows if any |
| Search | This function enables you to start a search according to the criteria entered. The results are Showed in a list on the screen List screen. Next screen: |
| | Instructions Status – List Screen |

3.3.6.3.2 Instructions Status - List Screen

Context ofUsage
This screen contains the search results displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons below.



| Screen Access | Instructions and Positions >> Messages Monitoring >> Instructions Status >> Search Instructions Status | | | | | |
|------------------|--|---------------|------------------------|---------------------------|-------------------------|--|
| Screen- | List : Instructions Status | | | | | |
| ocieeii- | <u> 11 ▼</u> | | | | | Q==7 ★ 🗊 🗒 () 🖓 🕻 |
| | Message Reference ® | ○ Direction ® | Notifications Status 8 | © Error Description € | ▽ Creation Date 8 | □ Update Date 9 □ |
| shot | 1000000002168164 | | | | | 03/09/2024 15:42 14:042 |
| 31101 | 1924081200000012 | Out | Processed | | 09/08/202415:8014:513 | 03/08/2024 15:62 14:563 |
| | 1000000002168101 | in . | impected | | 09/08/2024 15:40:01:485 | 03/08/2024 15:40:02:042 |
| | 1534081300000010 | out | Processed | | 03/08/2024 19:40:01:771 | 03/08/2024 15:40:01:617 |
| | 152400130000007 | Out | Processed | | 03/08/202419:39:30:789 | 03/00/2024 15:29:30:911 |
| | 1000000002168096 | in . | impacted | | 09,08/202415:3219:022 | 03/08/2024 15:32:26:123 |
| | 1534081300000006 | Out | Processed With Failure | Missing technical address | 09/08/2024 15:02:25:777 | 03/08/2024 15:02:25:808 |
| | 1000000002168093 | m . | impected | | 03/08/202419:02:11:946 | 03/06/2024 15:02 16:921 |
| | 1524081200000004 | Out | Processed With Failure | Missing technical address | 09/08/202819:3216:897 | 03/08/2024 15:32 18:575 |
| | 1534081300000001 | Out | Processed With Failure | Missing technical address | 09/08/2024 15:31:48:352 | 03/08/2024 15:31:50:827 |
| | | | | | | Download Reprocess Reprocess Al Vent Message |

| Instructions Status – List screen | | | |
|-----------------------------------|---|--|--|
| Column | Description | | |
| Message Reference | Reference of the notification message | | |
| Notification Name | Shows the Notification Name | | |
| Direction | Indicator stating that the notification has been received or sent by the ECMS. Possible values: — In — Out | | |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: - Prepared - Impacted - Impact Failed - Rejected - Archived - Processed - Processed with Failure - Waiting Validation - On Hold - Waiting for Retry | | |

| Error Description | Shows the Error Description. |
|-------------------|---|
| Creation Date | Date and time when the instruction was created in the ECMS. |
| | Shows format is: DD/MM/YYYY hh:mm:ss:µs. |
| Update Date | Date and time when the instruction was last updated in the ECMS. |
| | Shows format is: DD/MM/YYYY hh:mm:ss:µs. |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| View Message | This function enables you to access to the detailed information of the messages for same notification. |
| | - View Message - Details Screen |



| View Message – Details Screen | | | | |
|-------------------------------|---|--|--|--|
| Field | Description | | | |
| Message Reference | Shows the reference of the messge. | | | |
| Direction | Shows whether the notification has been an input or output. Possible values: | | | |
| | – In | | | |
| | – Out | | | |
| Status | Shows the status of the message. | | | |
| After selecting | After selecting a record, the following buttons are displayed | | | |
| Button | Function | | | |
| Download | This function enables you to access to the detailed information of the original message in XML format. | | | |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | | | |

3.3.6.4 Cancellation Status

3.3.6.4.1 Cancellation Status - Search Screen

| Context of Usage | This screen contains a list of Cancellation Status messages. The allegements listed correspond to the search criteria capture in the search screen. The list displayed can be sorted and filter using by the field displayed. The list can be exported. | | | |
|------------------|--|-------|--|--|
| Screen Access | Instructions and Positions >> Messages Monitoring >> Cancellation Status | | | |
| Screenshot | Search Criteria - Status Processing Advice | di di | | |

| Cancellation | Cancellation Status - Search Screen | | | |
|---------------------------------------|---|--|--|--|
| Field | Description | | | |
| Message Reference | Reference of the notification message | | | |
| Party's In- struction Reference | Enter the Reference of the instruction given by the Instructing Party. | | | |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: - Prepared - Impacted | | | |
| | Impact FailedRejected | | | |



| - Archived |
|--|
| - Processed |
| Processed with Failure |
| Waiting Validation |
| - On Hold |
| Waiting for Retry |

| Linked Msg Ref | Enter the Linked Message Reference. |
|------------------------|---|
| ISIN | Enter or Select the ISIN of the Marketable Asset (de)mobilized. |
| Trade Date | Enter the Trade Date of the Instruction or use the calendar icon. |
| | Required format is: DD/MM/YYYY. |
| Intended Settlement | Enter the intended settlement date of the instruction or use the calendar icon. |
| Date | Required format is: DD/MM/YYYY. |
| Settlement | Select from possible values: |
| Nature | - Receive |
| | - Deliver |
| | - None |
| Creation Date | Enter the date and time when the instruction was created in the ECMS or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs. |
| Update Date | Enter the date and time when the instruction was last updated in the ECMS or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs. |
| Instruction | Enter the Instruction Type from possible values: |
| Туре | Marketable Asset Mobilisation (RECE) |
| | Marketable Asset Demobilisation (DELI) |
| Button | Function |
| Reset | To clear the search criteria and close the result windows if any |
| Search | This function enables you to start a search according to the criteria entered. The results are Showed in a list on the screen List screen. Next screen: |
| | - Cancellation Status - List Screen |

3.3.6.4.2 Cancellation Status - List Screen

| Context o | | This screen contains the search results displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons below. | | | | |
|------------------|---------------------|--|--------------------------|---------------------|-------------------------|---|
| Screen Access | | Instructions and Positions >> Messages Monitoring >> Cancellation Status >> Search Cancellation Status | | | | |
| Screen- | reen- | | | | | © 9≈ ★ 朝日 () ▽ |
| | Message Reference 2 | □ Direction 2 | O Actifications Status 2 | First Description 2 | Creation Date 2 | Update Date 2 |
| shot | (53,000)900000009 | O.E. | Processed | | 19/06/2024 12:04:24:570 | 19/05/2004 15:04:29:299 |
| 31101 | 152,4061900000006 | Out | Processed | | 19/06/202414:04:50:442 | 19/05/2024 14:04:50:558 |
| | 1534061900000004 | Out | Processed | | 19/06/202413:56:36:168 | 19/05/202413:56:39:259 |
| | 1524061900000002 | out | Processed | | 19/08/2024 13:48:09:323 | 19/09/2024 13:48:10:403 |
| | 1524050600000010 | Out | Processed | | 06/05/2024 15:15:25:730 | 06/05/202415:15:25:020 |
| | 1524050600000000 | Out | Processed | | 06/05/2024 15:05:41:759 | 06/05/2024 15:05:41:922 |
| | 1934031500000004 | Out | Processed | | 15/08/20241613:45:251 | 15/03/202416/13:47/169 |
| | 100000001954416 | n | impected | | 14/03/202412:37:45:981 | 14/03/2024 12:37:51:148 |
| | 1524031200000013 | Out | Processed | | 14/03/2024 12:37:47:994 | 14/03/2024 12:07.49/701 |
| | 1524031200000010 | Out | Processed | | 14/03/202412:97:28:998 | 14/03/2024 12:07:26:720 |
| | | | | | | Download Reprocess Reprocess All View Message |



| Cancellation Status – List screen | | | | |
|-----------------------------------|--|--|--|--|
| Column | Description | | | |
| Message Reference | Reference of the notification message | | | |
| Notification Name | Shows the Notification Name | | | |
| Direction | Indicator stating that the notification has been received or sent by the ECMS. Possible values: | | | |
| | _ In | | | |
| | - Out | | | |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: | | | |
| | - Prepared | | | |
| | - Impacted | | | |
| | - Impact Failed | | | |
| | - Rejected | | | |
| | - Archived | | | |
| | - Processed | | | |
| | - Processed with Failure | | | |
| | Waiting Validation | | | |
| | - On Hold | | | |
| | Waiting for Retry | | | |

| Error Description | Shows the Error Description. |
|-------------------|---|
| Creation Date | Date and time when the instruction was created in the ECMS. |
| | Shows format is: DD/MM/YYYY hh:mm:ss:µs. |
| Update Date | Date and time when the instruction was last updated in the ECMS. |
| | Shows format is: DD/MM/YYYY hh:mm:ss:µs. |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| View Message | This function enables you to access to the detailed information of the messages for same notification. |
| | - View Message - Details Screen |
| View Message | - Details Screen |
| Field | Description |
| Message Reference | Shows the reference of the messge. |
| Direction | Shows whether the notification has been an input or output. Possible values: |
| | – In |
| | - Out |



| Status | Shows the status of the message. | | | |
|---|---|--|--|--|
| After selecting a record, the following buttons are displayed | | | | |
| Button | Function | | | |
| Download | This function enables you to access to the detailed information of the original message in XML format. | | | |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | | | |

3.3.6.5 Instruction Confirmation

3.3.6.5.1 Instruction Confirmation – Search Screen

| Context of Usage | This screen contains a list of Instruction Confirmation messages. The allegements listed correspond to the search criteria capture in the search screen. The list displayed can be sorted and filter using by the field displayed. The list can be exported. |
|------------------|---|
| Screen Access | Instructions and Positions >> Messages Monitoring >> Instruction Confirmation |
| Screenshot | Seach criteria: Settlement notifications Message Reference ** |

| Instruction | Confirmation – Search Screen |
|---------------------------------------|--|
| Field | Description |
| Message Reference | Reference of the notification message |
| Party's In- struction Reference | Enter the Reference of the instruction given by the Instructing Party. |
| Client Sec Account Code | Enter the Account Number where the security is to be (de)mobilised. |
| ISIN | Enter or Select the ISIN of the Marketable Asset (de)mobilized. |
| Intended Settlement | Enter the intended settlement date of the instruction or use the calendar icon. |
| Date | Required format is: DD/MM/YYYY. |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: |
| | - Prepared |
| | - Impacted |
| | - Impact Failed |
| | - Rejected |
| | - Archived |



| - Processed |
|--|
| Processed with Failure |
| Waiting Validation |
| - On Hold |
| Waiting for Retry |

| Direction | Indicator stating that the notification has been received or sent by the ECMS. Possible values: |
|------------------|---|
| | – In |
| | - Out |
| Settlement | Select from possible values: |
| Nature | - Receive |
| | - Deliver |
| | - None |
| Creation Date | Enter the date and time when the instruction was created in the ECMS or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs. |
| Update Date | Enter the date and time when the instruction was last updated in the ECMS or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs. |
| Settlement | Select from possible values: |
| Mode | - FreeOfPayment |
| | DeliverPayment |
| | ReceivePayment |
| Button | Function |
| Reset | To clear the search criteria and close the result windows if any |
| Search | This function enables you to start a search according to the criteria entered. The results are Showed in a list on the screen List screen. Next screen: |
| | Instruction Confirmation – List Screen |

3.3.6.5.2 Instruction Confirmation – List Screen

| Context of Usage | | | | | | | rch re | | | | | | | | ting |
|---------------------|--|---|---|---|---|--|---|--|---|-----------------------|---|---|---|--|--|
| Screen Access | | | | | | | Messon Co | | | | ıg >> | Insti | ructio | n Co | n- |
| | List Instruction Co | | | | | | | | | | | | | | , |
| Screen- | List Instruction Co | onfirmation | | | | | V (me | 1 du 5 V | | | | | | 0 | |
| | Dist. Insudential of | Perty's Instruction Refe | Mag Function 6 | Settlement Nature 6 | SNe | ▽ Trade Date Φ | K < Pool | 1 of 14 > X | ○ Netifications Status ◆ ○ | Error Description 6 | Update Date 9 | Updater User id 6 | ♥ Market Reference 0 | Q Mag Number 0 | 139) ★ 雪 □ () ▽ |
| | 10 - | | Mag Function # | Settlement Nature 6 | ISIN 0 E50000011975 | Trade Date 6 | | | Notifications Status 6 C | Error Description 6 💮 | Update Date # 000/08/2004 19:40 16:609 | | Market Reference 6 MESSESSMET00004 | | ¹³⁰ * আ 🗆 ে ে ৎ |
| Screen- shot | 10 W | Perty's Instruction Refe | | | | | Intended Settlement Dis | Direction # | | Error Description 9 🔻 | | STP | | Mag Number 0 | 139 * 🗐 🗍 () 🤊 |
| | Message Reference © (| Perty's Instruction Refe | MORN | Receive | E50000011975 | 12/08/2004 | ○ Intended Settlement Da 13/06/2024 | Out Direction 8 | Processed | Enor Description 6 🖓 | 00/06/202419:40:16:669 | STP | MESS252408130004 | Mag Number 6 | 139 ★ 🗐 🗐 (5 🤊 |
| | 10 MANUAL PROPERTY OF THE PROP | Perty's instruction Refe HERMANIA NONREF NONREF NONREF | NEWM NEWM NEWM | Receive Receive Receive | E50000011975 E50000011975 E50000012965 E50000012023 | 12/08/2004 12/08/2004 12/08/2004 02/08/2004 | ************************************** | Overtion 9 Out In In | Impacted impacted impacted impacted | Finar Description 9 🔻 | 03/08/2024 15:40:10:605 03/08/2024 15:40:12:506 03/08/2024 15:22:21:442 02/08/2024 15:52:18:587 | STP STP STP STP | MIEROSACCIOCOS SESECZISETIONO SESECZISETIONO SESECZISETIONO | Mag Number 6 564 564 564 564 | 199 * 4 (1) (1) (2) © Creation Date 6 03/00/224 15-62 16-62 03/00/224 15-62 16-25 03/00/224 15-92 16-25 03/00/2224 15-92 16-25 |
| | 16 | Perty's tradition Refe HERBERTAGE NONREF NONREF NONREF BYCT 38724 | NEWN NEWN NEWN NEWN | Receive Receive Receive Receive | E5000011675 E5000011675 E500001265 E500001263 E500001268 | 12/08/2004 12/08/2004 12/08/2004 00/08/2004 31/07/2004 | ************************************** | Out In In In Out | Processed Impacted Impacted Impacted Impacted Impacted Impacted | | 03/08/2024 15:42:16:609 03/08/2024 15:40:12:506 03/08/2024 15:32:21:442 03/08/2024 15:52:18:587 31/07/2024 13:41:51:006 | 51P 51P 51P 51P | MEDISSARE 30004 SESSO25SET10107 SESSO25SET1009 SESSO25SET10168 MES2S2407Z30004 | Mag Number 6 564 564 564 564 564 564 | 199) ★ □ □ () ○ Creation Date © SNOW2234 15 42 16 62 QA (QC) 2224 15 42 16 22 QA (QC) 2224 15 42 12 24 SNOW2234 15 42 12 24 SNOW2234 15 22 12 24 |
| | 10 | Perty is instruction Perfo 1000000000, NORMOR NORMOR NORMOR NORMOR NORMOR NORMOR NORMOR NORMOR NORMOR NORMOR NORMOR | MEMON NEMON NEMON NEMON NEMON NEMON NEMON | Receive Receive Receive Receive Receive | E50000011975 E50000011975 E50000012965 E50000012923 E50000012985 | 13/04/2024 13/04/2024 13/04/2024 02/04/2024 31/07/2024 21/07/2024 | \$200,000 Annotation and Deliverage Settlement Deliverage Annotation Annotatio | Out in ou | Impacted Impacted Impacted Impacted Impacted Impacted Impacted Impact Failed | | 00/08/2004 15:40:16:609 00/08/2004 15:40:12:506 00/08/2004 15:22:21:442 00/08/2004 15:32:21:442 31/07/2004 15:41:51:006 21/07/2004 12:41:51:006 | 51P 51P 51P 51P 51P | MEDISSAGE 10004 SESECCESETT 6167 SESECCESETT 6169 SESECCESETT 6168 MEDISSECT 6168 SESECCESETT 7761 | Mag Namber 6 564 564 564 564 564 564 564 | 139 |
| | ### MEXISTER REFORMED ### MANAGEMENT ### MEXISTER REFORMED ### MANAGEMENT ### MEXISTER REFORMED ### MANAGEMENT ### ### ### ### | Petry is instruction Peter 10000000AC, NONREET NONREET NORREET INCRESSE INC | MEHM NEHM NEHM NEHM NEHM NEHM NEHM | Receive Receive Receive Receive Receive Receive Receive | E5000011973 E50000011975 E50000012965 E5000012023 E5000012095 E5000012965 E5000012965 | 12/04/2004 12/04/2004 12/04/2004 02/04/2004 31/07/2004 21/07/2004 | ************************************** | Cost on the cost of the cost o | Impacted impacted impacted impacted impacted impacted impact Falled Processed impact Falled Processed | | 00/06/2024 19:40:16:609 02/08/2024 19:80:12:906 08/08/2024 19:32:21:442 02/08/2024 19:32:13:507 31/07/2024 13:41:51:006 21/07/2024 12:20:10:615 06/07/2024 02:22:27:995 | 51P 51P 51P 51P 51P 51P 51P | MEDDIDAGE 30004 SEG00256ET1 6167 SEG00256ET1 6099 SEG00256ET1 0188 MEDDIDAGE 20004 SEG00256ET1 7761 MEDDIDAGE 20004 | Mag Namber 6 564 564 564 564 564 564 564 5 | 1992 * III II () C Creation Date 6 03/09/22/4 19 46 10 e22 03/09/22/4 19 46 10 e22 03/09/22/4 19 46 10 e22 03/09/22/4 19 48 10 e22 03/09/22/4 19 22 10 e29 04/07/22/4 12 22 10 e29 04/07/22/4 12 22 10 e29 |
| | 10 | Perty is instruction Perfo 1000000000, NORMOR NORMOR NORMOR NORMOR NORMOR NORMOR NORMOR NORMOR NORMOR NORMOR NORMOR | MEMON NEMON NEMON NEMON NEMON NEMON NEMON | Receive Receive Receive Receive Receive | E50000011975 E50000011975 E50000012965 E50000012923 E50000012985 | 13/04/2024 13/04/2024 13/04/2024 02/04/2024 31/07/2024 21/07/2024 | \$200,000 Annotation and Deliverage Settlement Deliverage Annotation Annotatio | Out in ou | Impacted Impacted Impacted Impacted Impacted Impacted Impacted Impact Failed | | 00/08/2004 15:40:16:609 00/08/2004 15:40:12:506 00/08/2004 15:22:21:442 00/08/2004 15:32:21:442 31/07/2004 15:41:51:006 21/07/2004 12:41:51:006 | STP STP STP STP STP STP STP STP | MEDISSAGE 10004 SESECCESETT 6167 SESECCESETT 6169 SESECCESETT 6168 MEDISSECT 6168 SESECCESETT 7761 | Mag Namber 6 564 564 564 564 564 564 564 | 139) * 1 |

| Instruction Co | onfirmation – List screen |
|----------------|---------------------------|
| Column | Description |



| Message Reference | Reference of the notification message |
|---|--|
| Party's In- struction Ref- erence | Shows the Reference of the instruction given by the Instructing Party. |
| Msg Function | Shows the message function from possible values: |
| | - NEWM - New Message |
| | - REPL - Replacement |
| | - RMDR - Reminder |
| Settlement | Shows from possible values: |
| Nature | - Receive |
| | - Deliver |
| | - None |
| ISIN | ISIN of the Marketable Asset (de)mobilized. |
| Trade Date | Trade date of the instruction |
| Intended Set- tlement Date | Intended Settlement Date of the instruction. |
| Direction | Indicator stating that the notification has been received or sent by the ECMS. Possible values: |
| | - In |
| | - Out |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: |
| | - Prepared |
| | - Impacted |
| | - Impact Failed |
| | - Rejected |
| | - Archived |
| | - Processed |
| | - Processed with Failure |
| | Waiting Validation |
| | - On Hold |
| | Waiting for Retry |
| | |

| Error Description | Shows the error description (if there is any). |
|-------------------|---|
| Updater User Id. | Identifier of the user responsible for the last update of the instruction. |
| Update Date | Date and time when the instruction was last updated in the ECMS. |
| | Shows format is: DD/MM/YYYY hh:mm:ss:µs. |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |



| View Message | This function enables you to access to the detailed information of the messages for same notification. |
|-------------------|---|
| | - View Message - Details Screen |
| View Message | - Details Screen |
| Field | Description |
| Message Reference | Shows the reference of the messge. |
| Direction | Shows whether the notification has been an input or output. Possible values: |
| | – In |
| | – Out |
| Status | Shows the status of the message. |
| After selecting | a record, the following buttons are displayed |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| | |

3.4 Collateral and Credit

3.4.1 Pool Setup Reference Data

3.4.1.1 Pool General Reference Data

3.4.1.1.1 Display/Update SCP Pool

3.4.1.1.1 SCP Pool General Reference Data – Search Screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the SCP Pool General Reference Data. |
|-------------------------------|---|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |
| Business Case re- lated | Administration of Pools |
| Screen Access | Depending how the screen is accessed, it can be used to search the valid information of the SCP Pool General Reference Data or the information that requires 4 eyes validation before they can be considered valid in the system. |
| | For valid information: |
| | Collateral and Credit >> Pool Structure >> Pool General Reference Data >> Display/Update SCP Pool |
| | For information subject to 4 eyes validation: |
| | Collateral and Credit >> Validation / Rejection >> Pool Structure >> Pool General Reference Data >> Validate / Reject Update SCP Pool |





| SCP Pool Ge | neral Reference Data – Search screen |
|-------------------------------------|--|
| Field | Description |
| Pool Identi- fier | Enter the Pool Identifier, automatically provided by the system |
| Pool Refer- | Enter the reference of the pool given by the refinancing NCB. |
| ence | Required format is: Max. 255 characters. |
| Counterparty | Enter the RIAD Code that identifies the counterparty in the ECMS to whom the pool belongs to. |
| | Required format is: Max. 30 characters. |
| CLM MCA | Enter / Select the identifier of the Counterparty CLM Main Cash Account used for the settlement of this type of operation. |
| CLM CB Account | Enter / Select the identifier of the CLM CB Account used for the settlement of this type of operation. |
| Contingency Cash Ac- count | Enter / Select the identifier of the Counterparty contingency Account to be used |
| CB Contin- gency Cash Account | Enter / Select the identifier of the Contingency CB Account to be used |
| Validity End Date | Enter the date from which the Pool is closed. The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY |
| | The Validity End Date must be equal to or later than the Validity Start Date. |
| Validity Start Date | Enter the reference date of the activation of the Pool. The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY |
| Creation Date | Enter the date and time of the creation of the SCP Pool General Reference Data. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs. |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | SCP Pool General Reference Data – List Screen. |



3.4.1.1.1.1. SCP Pool General Reference Data – List Screen

| Context of Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. | | | | | | | | | | | | | | |
|-------------------------------|---|---|--|--|---|--|------------------|--|--------------------|--------------------|--|--|--|--|--|
| Business Case re- lated | Administration of Pools | | | | | | | | | | | | | | |
| Screen Access | Depending how the screen is accessed, it can be used to list the valid information of the SCP Pool General Reference Data or the information that requires 4 eyes validation before they can be considered valid in the system. | | | | | | | | | | | | | | |
| | For va | alid int | orm | ation |) <i>:</i> | | | | | | | | | | |
| | Collateral and Credit >> Pool Structure >> Pool General Reference Data >> Display/Update SCP Pool >> Click on the search button (after inputting the relevant Data, if needed) | | | | | | | | | | | | | | |
| | For in | forma | tion | subj | ect to | a 4 | eyes | valid | latior | n: | | | | | |
| | Collateral and Credit >> Validation / Rejection >> Pool Structure >> Pool General Reference Data >> Validate / Reject Update SCP Pool >> Click on the search button (after inputting the relevant Data, if needed) | | | | | | | | | | | | | | |
| Screen- | List : Pool General | Reference Data | | | | | | | | | | | | | |
| shot | 10 v Pool Type 8 SCP SCP SCP SCP SCP SCP SCP SC | Pool Identifier 2 Procuposocios. Procupos | ABVR011P00L01 ABVR012P00L01 ABVR013P00L01 ABVR014P00L01 | Counterparty © 0 ASYR003 ASYR010 ASYR011 ASYR013 ASYR013 ASYR013 ASYR014 ASYR015 ASYR002 ASYR003 | CLM MGA © ABVRATWW000 ABVRATWW010 ABVRATWW011 ABVRATWW012 ABVRATWW013 ABVRATWW013 ABVRATWW015 ABVRATWW002 ABVRATWW002 ABVRATWW003 | NOB CLM Main C NABAATWWOOL NABAATWWOOL NABAATWWOOL NABAATWWOOL NABAATWWOOL NABAATWWOOL NABAATWWOOL NABAATWWOOL NABAATWWOOL NABAATWWOOL | Contingency Cass | a or a s s s s s s s s s s s s s s s s s s | Absolute Credit LC | Relative Credit Li | Validity Start Day 01/09/2021 01/09/2021 01/09/2021 01/09/2021 01/09/2021 01/09/2021 01/09/2021 01/09/2021 | Validity End Date 31/12/9999 31/12/9999 31/12/9999 31/12/9999 31/12/9999 31/12/9999 01/03/9999 01/03/9999 01/03/9999 | 01/09/2021 12:18: 01/09/2021 12:19: 01/09/2021 12:20: 01/09/2021 12:21: 01/09/2021 12:22: 01/09/2021 13:14: | Update Date © 2005/2022 19:00 29:05/2022 19:00 29:05/2022 19:00 29:05/2022 19:00 29:05/2022 19:00 29:05/2022 19:00 29:05/2022 19:00 29:05/2022 19:00 29:05/2022 19:00 29:05/2022 19:00 | |

| SCP Pool G | eneral Reference Data – List Screen |
|-------------------------------------|---|
| Field | Description |
| Pool Identi- fier | Pool Id, automatically provided by the system. |
| Pool Refer- | Shows the reference of the pool given by the refinancing NCB. |
| ence | Displayed format is: Max. 255 characters. |
| Counter- party | Shows the RIAD Code that identifies the counterparty in the ECMS to whom the pool belongs to. |
| | Displayed format is: Max. 30 characters. |
| CLM MCA | Shows the identifier of the Counterparty CLM Main Cash Account used for the settlement of this type of operation. |
| CLM CB Account | Shows the identifier of the CLM CB Account used for the settlement of this type of operation. |
| Contin- gency Cash Account | Shows the identifier of the Counterparty contingency Account to be used |
| CB Contin- gency Cash Account | Shows the identifier of the Contingency CB Account to be used |
| Absolute | Shows the Absolute limit on the amount of credit authorized. |
| Credit Limit | Displayed format is: Max. 14 digits. |



| Relative | Shows the relative credit limit as proportion of the total collateral position. | | | | | | | | |
|--------------------|--|--|--|--|--|--|--|--|--|
| Credit Limit | Displayed format is: Percentage. | | | | | | | | |
| Validity | Shows the date from which the pool is open. | | | | | | | | |
| Start Date | Displayed format is: DD/MM/YYYY. | | | | | | | | |
| Validity End | Shows the date from which the pool is closed. | | | | | | | | |
| Date | Displayed format is: DD/MM/YYYY. | | | | | | | | |
| | The Validity End Date must be equal to or later than the Validity Start Date. If the Pool is valid, this field is empty. | | | | | | | | |
| Creation Date | Shows the date and time of the creation of the SCP Pool General Reference Data. | | | | | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | | | | | |
| Update Date | Shows the date and time of the last update of the SCP Pool General Reference Data. | | | | | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | | | | | |
| Updater User Id | Shows the identification of the user that made the last update of the SCP Pool General Reference Data. | | | | | | | | |
| After selecting | ng a record, the following buttons are displayed | | | | | | | | |
| Button | Function | | | | | | | | |
| Edit | This function enables you to edit a SCP Pool General Reference Data. | | | | | | | | |
| | Next screen: | | | | | | | | |
| | SCP Pool General Reference Data – Edit Screen. | | | | | | | | |
| View | This function enables you to access to the detailed information of a SCP Pool General Reference Data. | | | | | | | | |
| | Next screen: | | | | | | | | |
| | SCP Pool General Reference Data – Details Screen. | | | | | | | | |
| | is used in the 4 eyes validation context, the following buttons are also disarccord is selected | | | | | | | | |
| Action to Va | alidate = Creation | | | | | | | | |
| In case of cre | eation of new data by 4-eyes user, the validator user will validate/reject. | | | | | | | | |
| Button | Function | | | | | | | | |
| Edit | This function allows the validator user to edit and modify the draft. | | | | | | | | |
| View | This function enables the validator user to view the draft record to be validated or rejected. | | | | | | | | |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system | | | | | | | | |
| Reject | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. | | | | | | | | |
| In case the r | ecord has been rejected the only available options for this record will be: | | | | | | | | |
| View | This function allows the user to view the rejected record. | | | | | | | | |
| Action to Va | alidate = Update | | | | | | | | |
| | odate of data by 4-eyes user, the validator user can validate/reject/edit. To ds to go first in the show/compare draft button. | | | | | | | | |
| Button | Function | | | | | | | | |
| View | This function enables the user to view the draft record to be validated or rejected. | | | | | | | | |
| Edit Draft | This function allows the user to edit and modify the draft. | | | | | | | | |
| | | | | | | | | | |



| Show Draft | This function enables the validator user to view the draft record to be validated or rejected. | | | | | | | | |
|------------------|--|--|--|--|--|--|--|--|--|
| Compare Draft | In case the 4 eyes validation is required because of an update of the record, this function enables the validator user to display the change that needs to be validated. | | | | | | | | |
| Once you cli | ck on Show Draft or Compare Draft buttons: | | | | | | | | |
| | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. | | | | | | | | |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system | | | | | | | | |
| In case the re | In case the record has been rejected the only available options for this record will be: | | | | | | | | |
| View | This function allows the user to view the rejected record. | | | | | | | | |

3.4.1.1.1.1. SCP Pool General Reference Data- Details Screen

2

| Context of Usage | | | | | | | | | | | |
|------------------|---|---|---------------------------------------|--|--|--|--|--|--|--|--|
| Screen Access | Depending how the screen is accessed, it can be used to view the valid information of the SCP Pool General Reference Data or the information that requires 4 eyes validation before they can be considered valid in the system. | | | | | | | | | | |
| | For valid information: | | | | | | | | | | |
| | Collateral and Credit >> Pool Structure >> Pool General Reference Data >> Display/Update SCP Pool >> Click on the search button (after inputting the relevant Data, if needed) >> Select a Pool >> Click on the View button | | | | | | | | | | |
| | For information subject to | o a 4 eyes validation: | | | | | | | | | |
| | Collateral and Credit >> General Reference Data on the <i>search</i> button (after lect a Pool >> Click on the | >> Validate / Reject Upger inputting the relevant | date SCP Pool >> Click | | | | | | | | |
| Screen- | Pool General Reference Data O | | | | | | | | | | |
| shot | Search: Pool General Reference Data List: Pool General Reference Data > Details: Pool General Reference Data > A | | | | | | | | | | |
| | Pool Type SCP | Pool identifier POOL500050000034 | Pool Peference TrestbildaseReject2 | | | | | | | | |
| | Counterparty CLM Mein Cash Account ABYRATYW065 | NCB CLM Main Cisih Account NABARWWXXX | Contingency Cash Account | | | | | | | | |
| | CB Contingency Clash Account | Counterparty ABVR008,BVR098 | Absolute Credit Limit | | | | | | | | |
| | Relative Credit Limit | Validity Start Date 8189:2011 | Validity End Date \$1(12999) | | | | | | | | |
| | A00003 | | | | | | | | | | |
| | Foot Print Creation Date Creation Date Creation User Id Update Date | | | | | | | | | | |
| | 01.09/2021 12:15:09:305 Updater User Id | STP | 19/08/2022 19:00:32:387 | | | | | | | | |
| | ECMSOperationalDaySchoduler | | | | | | | | | | |
| | | | , | | | | | | | | |

| SCP Pool General Reference Data – Details Screen | | | | | | | |
|--|-------------|--|--|--|--|--|--|
| Button | Description | | | | | | |



| Address | This function enables you to display the subsection Address Details |
|-------------------------------------|---|
| Pool General | Details |
| Field | Description |
| Pool Identi- fier | Pool Id, automatically provided by the system. |
| Pool Refer- | Shows the reference of the pool given by the refinancing NCB. |
| ence | Displayed format is: Max. 255 characters. |
| Pool Type | Shows the Type of Pool from the possible values: |
| | - SCP: Single Collateral Pool |
| | ELA: Emergency Liquidity Assistance |
| Counterparty | Shows the RIAD Code that identifies the counterparty in the ECMS to whom the pool belongs to. |
| | Displayed format is: Max. 30 characters. |
| CLM MCA | Shows the identifier of the Counterparty CLM Main Cash Account used for the settlement of this type of operation. |
| CLM CB Ac- count | Shows the identifier of the CLM CB Account used for the settlement of this type of operation. |
| Contingency Cash Ac- count | Shows the identifier of the Counterparty contingency Account to be used |
| CB Contin- gency Cash Account | Shows the identifier of the Contingency CB Account to be used |
| Absolute Credit Limit | Shows the Absolute limit on the amount of credit authorized. |
| Relative Credit Limit | Shows the relative credit limit as proportion of the total collateral position. |
| Validity Start | Shows the date from which the pool is open. |
| Date | Displayed format is: DD/MM/YYYY. |
| Validity End | Shows the date from which the pool is closed. |
| Date | Displayed format is: DD/MM/YYYY. |
| | The Validity End Date must be equal to or later than the Validity Start Date. |
| Validation de | etails |
| Action To Validate | Shows if there is any action waiting for validation. |
| Rejected | Shows if any action subject to validation has been rejected. The possible values are: |
| | - Yes |
| | – No |
| Foot Print | |
| Creation | Shows the date and time of the creation of the Pool. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the Pool. |
| Update Date | Shows the date and time of the update of the Pool. |



| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | | | |
|---------------------|---|--|--|--|--|--|--|
| Updater User Id | Shows the identification of the user that made the last update of the Pool. | | | | | | |
| Pool Address | 5 | | | | | | |
| The existing a | ddresses of the Pool are displayed. | | | | | | |
| To view the deton. | etails of an existing technical address, select it and click on the View but- | | | | | | |
| Field | Description | | | | | | |
| Purpose | Shows the Purpose of the Address from the possible values: | | | | | | |
| | Credit Freezing | | | | | | |
| Network | Shows the network from the possible values: | | | | | | |
| | - Swift | | | | | | |
| | - SIA Colt | | | | | | |
| Technical | Shows the technical address for the purpose and network selected. | | | | | | |
| Address | Displayed format is: Max. 256 characters | | | | | | |
| Footprint | | | | | | | |
| Creation | Shows the date and time of the creation of the record. | | | | | | |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs | | | | | | |
| Creation User Id | Shows the identification of the user that created the record. | | | | | | |
| Update Date | Shows the date and time of the update of the record. | | | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs | | | | | | |
| Updater User Id | Shows the identification of the user that made the last update of the record. | | | | | | |

3.4.1.1.2 Display/Update ELA Pool

3.4.1.1.2.1 ELA Pool General Reference Data – Search Screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the ELA Pool General Reference Data. |
|-------------------------------|---|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |
| Business Case re- lated | Administration of Pools |
| Screen Access | Depending how the screen is accessed, it can be used to search the valid information of the ELA Pool General Reference Data or the information that requires 4 eyes validation before they can be considered valid in the system. |
| | For valid information: |
| | Collateral and Credit >> Pool Structure >> Pool General Reference Data >> Display/Update ELA Pool |
| | For information subject to 4 eyes validation: |
| | Collateral and Credit >> Validation / Rejection >> Pool Structure >> Pool General Reference Data >> Validate / Reject Update ELA Pool |





| ELA Pool Ge | neral Reference Data – Search screen | | | | | | | |
|------------------------|--|--|--|--|--|--|--|--|
| Field | Description | | | | | | | |
| Pool Identi- fier | Enter the Pool Identifier, automatically provided by the system | | | | | | | |
| Counterparty | Enter the RIAD Code that identifies the counterparty in the ECMS to whom the pool belongs to. | | | | | | | |
| | Required format is: Max. 30 characters. | | | | | | | |
| Currency | Enter the Currency | | | | | | | |
| | Required format is: Max. XX characters. | | | | | | | |
| Balance | Enter the Balance | | | | | | | |
| | Required format is: Max. XX characters. | | | | | | | |
| Negative Bal- | Enter the Negative Balance from possible values: | | | | | | | |
| ance | - Yes | | | | | | | |
| | - No | | | | | | | |
| Total ELA | Enter the Total ELA Credit value | | | | | | | |
| Credit Value | Required format is: Max. XX characters. | | | | | | | |
| ELA Collat- | Enter the ELA Collateral Amount | | | | | | | |
| eral Amount | Required format is: Max. XX characters. | | | | | | | |
| ELA Principal | Enter the ELA Principal value | | | | | | | |
| Value | Required format is: Max. XX characters. | | | | | | | |
| ELA Accrued | Enter the ELA Accrued Interest value | | | | | | | |
| Interest Value | Required format is: Max. XX characters. | | | | | | | |
| Validity Start Date | Enter the reference date of the activation of the Pool. The calendar icon can also be used. | | | | | | | |
| | Required format is: DD/MM/YYYY | | | | | | | |
| Validity End Date | Enter the date from which the Pool is closed. The calendar icon can also be used. | | | | | | | |
| | Required format is: DD/MM/YYYY | | | | | | | |
| | The Validity End Date must be equal to or later than the Validity Start Date. | | | | | | | |
| Button | Function | | | | | | | |
| Reset | This function enables you to clear the form. | | | | | | | |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. | | | | | | | |
| | Next screen: | | | | | | | |
| | ELA Pool general Reference Data – List Screen. | | | | | | | |



3.4.1.1.2.1. ELA Pool General Reference Data – List Screen

| Context of Usage | by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. | | | | | | | | | | | | |
|-------------------------------|--|--|-------------------|---------------------------------------|---|--|---|--|--|--|--|---|--|
| Business Case re- lated | Administration of Pools | | | | | | | | | | | | |
| Screen Access | Depending how the screen is accessed, it can be used to list the valid information of the ELA Pool General Reference Data or the information that requires 4 eyes validation before they can be considered valid in the system. | | | | | | | | | | | | |
| | For valid | l inform | nation: | | | | | | | | | | |
| | Collatera >> Displ the relev | ay/Upo | late EL | A Pool | >> Clic | - | | | - | | | | |
| | For infor | mation | subje | ct to a | 4 eyes ı | /alida | ation: | | | | | | |
| | Collateral and Credit >> Validation / Rejection >> Pool Structure >> Pool General Reference Data >> Validate / Reject Update ELA Pool >> Click on the search button (after inputting the relevant Data, if needed) | | | | | | | | | | | | |
| Screen- | Search Result : ELA Creation | n | | | 14 / | > N | | | | | | | |
| shot | 10 Country party Country | CONTINUE OF THE PROPERTY OF TH | ELA Acctued base. | Hateral Aris. Negative Estator. 1 | ### Page 1 of 2 ### Principal Value Total ### 0 0 0 20,000 0 0 0 0 0 300,000 | Balar V. Bal | xxx e V Validity Start Da D decayno24 D 26/02/2024 D 26/02/2024 18,000 07/12/2023 D 16/11/2023 D 14/11/2023 D 06/11/2023 D 06/11/2023 D 06/11/2023 | 16.2 Validry End Date 31/12/9999 26/02/2024 31/12/9999 07/12/2023 16/11/2023 14/11/2023 22/02/2024 68/11/2023 68/11/2023 | 21/02/2024 14:58:2. 06/12/2023 14:56:4. 15/11/2023 14:45:3. 14/11/2023 14:30:5. 13/11/2023 15:04:5. 08/11/2023 16:36:5. | Creation User id 6 LCMS OPERATOR 1 EXMS OPERATOR 1 | Update Date © 0MXC/2024 10:51. 21/02/2024 17:26:2. 21/02/2024 14:58:2. 06/12/2023 14:58:5. 15/11/2023 14:45:3. 14/11/2023 14:30:5. 22/02/2024 13:57:4. 08/11/2023 17:34:5. 08/11/2023 16:36:5. | ECMS OPERATOR 1 | |

| ELA Pool General Reference Data – List Screen | | | | |
|---|---|--|--|--|
| Field | Description | | | |
| Pool Identi- fier | Pool Id, automatically provided by the system. | | | |
| Counter- party | Shows the RIAD Code that identifies the counterparty in the ECMS to whom the pool belongs to. | | | |
| | Displayed format is: Max. 30 characters. | | | |
| Currency | Shows the Currency | | | |
| | Displayed format is: Max. 3 characters. | | | |
| ELA Ac- | Shows the ELA Accrued Interest Value | | | |
| crued In- terest Value | Displayed format is: Max. XX characters. | | | |
| ELA Collat- | Shows the ELA Collateral Amount | | | |
| eral Amount | Displayed format is: Max. XX characters. | | | |
| Negative | Shows the Negative Balance from possible values: | | | |
| Balance | - Yes | | | |
| | - No | | | |
| ELA Prin- | Shows the ELA Principal Value | | | |
| cipal Value | Displayed format is: Max. XX characters. | | | |



| T-4-1 E1 A | Ob according Table IT A One district | |
|------------------------|---|--|
| Total ELA | Shows the Total ELA Credit Value | |
| | Displayed format is: Max. XX characters. | |
| Balance | Shows the Balance | |
| | Displayed format is: Max. XX characters. | |
| Validity Start Date | Shows the date from which the pool is open. | |
| | Displayed format is: DD/MM/YYYY. | |
| Validity End Date | Shows the date from which the pool is closed. | |
| Date | Displayed format is: DD/MM/YYYY. | |
| | The Validity End Date must be equal to or later than the Validity Start Date. If the Pool is valid, this field is empty. | |
| Creation Date | Shows the date and time of the creation of the ELA Pool general Reference Data. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Creation User Id | Shows the identification of the user that made the creation of the ELA Pool general Reference Data. | |
| Update Date | Shows the date and time of the last update of the ELA Pool general Reference Data. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Updater User Id | Shows the identification of the user that made the last update of the ELA Pool general Reference Data. | |
| After selecting | ng a record, the following buttons are displayed | |
| Button | Function | |
| Edit | This function enables you to edit a Pool general Reference Data. | |
| | Next screen: | |
| | ELA Pool general Reference Data – Edit Screen. | |
| View | This function enables you to access to the detailed information of a Pool general Reference Data. | |
| | Next screen: | |
| | ELA Pool general Reference Data – Details Screen. | |
| | is used in the 4 eyes validation context, the following buttons are also dis a record is selected | |
| Action to Va | alidate = Creation | |
| In case of cr | eation of new data by 4-eyes user, the validator user will validate/reject. | |
| Button | Function | |
| Edit | This function allows the validator user to edit and modify the draft. | |
| View | This function enables the validator user to view the draft record to be validated or rejected. | |
| Validate | This function allows the validator user to validate the creation or upate the record so that they can be considered valid in the system | |
| Reject | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. | |
| In case the r | ecord has been rejected the only available options for this record will be: | |
| View | This function allows the user to view the rejected record. | |
| Action to Va | alidate = Update | |
| • | odate of data by 4-eyes user, the validator user can validate/reject/edit. To ds to go first in the show/compare draft button. | |
| | | |



| Button | Function | |
|------------------|--|--|
| View | This function enables the user to view the draft record to be validated or rejected. | |
| Edit Draft | This function allows the user to edit and modify the draft. | |
| Show Draft | This function enables the validator user to view the draft record to be validated or rejected. | |
| Compare Draft | In case the 4 eyes validation is required because of an update of the record, this function enables the validator user to display the change that needs to be validated. | |
| Once you cli | ck on Show Draft or Compare Draft buttons: | |
| Reject Draft | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. | |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system | |
| In case the r | ecord has been rejected the only available options for this record will be: | |
| View | This function allows the user to view the rejected record. | |

3.4.1.1.2.1. ELA Pool General Reference Data- Details Screen

Context of This screen displays detailed information on the selected ELA Pool Gen-Usage eral Reference Data. You can check the data and proceed further by clicking on the buttons. **Screen Ac-** Depending how the screen is accessed, it can be used to view the valid cess information of the ELA Pool General Reference Data or the information that requires 4 eyes validation before they can be considered valid in the system. For valid information: Collateral and Credit >> Pool Structure >> Pool General Reference Data >> Display/Update ELA Pool >> Click on the search button (after inputting the relevant Data, if needed) >> Select a Pool >> Click on the View button For information subject to a 4 eyes validation: Collateral and Credit >> Validation / Rejection >> Pool Structure >> Pool General Reference Data >> Validate / Reject Update ELA Pool >> Click on the search button (after inputting the relevant Data, if needed) >> Select a Pool >> Click on the View button Search Result : ELA Creation > View : ELA Creation Screen-123TESTPT shot

ELA Pool General Reference Data – Details Screen Pool General Details



| Field | Description | |
|--|---|--|
| Counterparty | Shows the RIAD Code that identifies the counterparty in the ECMS to whom the pool belongs to. | |
| | Displayed format is: Max. 30 characters. | |
| ELA Collat- | Shows the ELA Collateral Amount | |
| eral Amount | Displayed format is: Max. XX characters. | |
| Pool Identi- fier | Pool Id, automatically provided by the system. | |
| | Shows the ELA Principal Value | |
| Value | Displayed format is: Max. XX characters. | |
| ELA Accrued | Shows the ELA Accrued Interest Value | |
| Interest Value | Displayed format is: Max. XX characters. | |
| Total ELA | Shows the Total ELA Credit Value | |
| Credit Value | Displayed format is: Max. XX characters. | |
| Balance | Shows the Balance | |
| | Displayed format is: Max. XX characters. | |
| Negative Bal- | Shows the Negative Balance from possible values: | |
| ance | - Yes | |
| | - No | |
| Currency | Shows the Currency | |
| | Displayed format is: Max. 3 characters. | |
| Validity Start | Shows the date from which the pool is open. | |
| Date | Displayed format is: DD/MM/YYYY. | |
| Validity End | Shows the date from which the pool is closed. | |
| Date | Displayed format is: DD/MM/YYYY. | |
| | The Validity End Date must be equal to or later than the Validity Start Date. | |
| Validation de | etails | |
| Action To Validate | Shows if there is any action waiting for validation. | |
| Rejected | Shows if any action subject to validation has been rejected. The possible values are: | |
| | - Yes | |
| | – No | |
| Foot Print | | |
| Creation Date | Shows the date and time of the creation of the Pool. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Creation User Id | Shows the identification of the user that created the Pool. | |
| Update Date | Shows the date and time of the update of the Pool. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Updater User Shows the identification of the user that made the last update of Pool. | | |



3.4.1.2 Pool – Counterparty Asset Account Links Create / Display

3.4.1.2.1 Pool – Counterparty Asset Account Links – Search Screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the Pool – Counterparty Asset Account Link. | | | |
|-------------------------------|--|--|--|--|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. | | | |
| Business Case re- lated | Administration of Pools | | | |
| Screen Access | Depending how the screen is accessed, it can be used to search the valid information of the Counterparty Asset Account Link or the information that requires 4 eyes validation before they can be considered valid in the system. | | | |
| | For valid information: | | | |
| | Collateral and Credit >> Pool structure >> Collateral Positions >> Pool – Counterparty Asset Account Links Create / Display | | | |
| | For information subject to 4 eyes validation: | | | |
| | Collateral and Credit >> Validation / Rejection >> Validate / Reject Pool Structure Details >> Pool – Counterparty Asset Account Links | | | |
| Screen- | Pool - Counterparty Asset Account Links | | | |
| shot | ECMS Counterparty Asset ** * Pool Identifie ** * Volking Start Date ** * * * * * * * * * * * * * * * * * | | | |
| | Validity End Class ** ■ ** ** ** ** ** ** ** ** ** ** ** * | | | |
| | The Control of the Co | | | |

| Pool – Counterparty Asset Account Links – Search screen | | | | |
|---|--|--|--|--|
| Field | Description | | | |
| ECMS Counterparty Asset | Enter / Select the identifier of the ECMS Counterparty Asset Account that holds the collateral positions. | | | |
| Account Iden- tifier | Required format is: Max. 35 characters | | | |
| Pool Identifier | Enter / Select the identifier of the Pool to which the ECMS Counterparty Asset Account/s are linked. | | | |
| | Required format is: Max. 30 characters. | | | |
| Pool Refer- | Enter the reference of the pool given by the refinancing NCB. | | | |
| ence | Required format is: Max. 255 characters. | | | |
| Validity Start Date | Enter the date from which the Pool – Counterparty Asset Account Link is valid. The calendar icon can also be used. | | | |
| | Required format is: DD/MM/YYYY. | | | |
| Validity End Date | Enter the date from which the Pool – Counterparty Asset Account Link is not valid anymore. The calendar icon can also be used. | | | |
| | Required format is: DD/MM/YYYY. | | | |
| | The Validity End Date must be equal to or later than the Validity Start Date. | | | |
| Creation Date | Enter the reference date of the creation of the Pool Counterparty Asset Account Link. The calendar icon can also be used. | | | |
| | Required format is: DD/MM/YYYY | | | |



| Update Date | Enter the reference date of the last update of the Pool – Counterpar Asset Account Link or use the calendar icon. | | | |
|-------------|--|--|--|--|
| | Required format is: DD/MM/YYYY hh:mm:ss:µs | | | |
| Button | Function | | | |
| Reset | This function enables you to clear the form. | | | |
| Create | This function enables you to create a new Pool – Counterparty Asset Account Link. | | | |
| | Next screen: | | | |
| | Pool – Counterparty Asset Account Link – Create Screen. | | | |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. | | | |
| | Next screen: | | | |
| | Pool – Counterparty Asset Account Link – List Screen. | | | |

3.4.1.2.1.1 Pool – Counterparty Asset Account Links – List Screen

| Context of Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. | | | | | | |
|-------------------------------|--|---|---|--|---|--|--|
| Business Case re- lated | Administra | ation of Po | ools | | | | |
| Screen Access | Ac-Depending how the screen is accessed, it can be used to list formation of the Counterparty Asset Account Link or the information of the Counterparty Asset Account Link or the information of the Counterparty Asset Account Link or the information of the Counterparty Asset Account Link or the information of the Counterparty Asset Account Link or the information of the Counterparty Asset Account Link or the information of the Counterparty Asset Account Link or the information of the Counterparty Asset Account Link or the information of the Counterparty Asset Account Link or the information of the Counterparty Asset Account Link or the information of the Counterparty Asset Account Link or the information of the Counterparty Asset Account Link or the information of the Counterparty Asset Account Link or the information of the Counterparty Asset Account Link or the information of the Counterparty Asset Account Link or the information of the Counterparty Asset Account Link or the information of the Counterparty Asset Account Link or the information of the Counterparty Asset Account Link or the information of the Counterparty Asset Accounterparty As | | | | | or the inforr | mation that |
| | For valid information: | | | | | | |
| | Collateral and Credit >> Pool structure >> Collateral Positions >> Pool Counterparty Asset Account Links Create / Display >> Click on the sea button (after inputting the relevant Data, if needed) | | | | | | |
| | For information subject to a 4 eyes validation: Collateral and Credit >> Validation / Rejection >> Validate / Reject Structure Details >> Pool – Counterparty Asset Account Links >> 0 the search button (after inputting the relevant Data, if needed) | | | | | | |
| | | | | | | s >> Click on | |
| Screen- | List : Pool - Counterparty Asset A | ccount Links | . 10 | ⟨ Page 1 of 2 ⟩ ⟩ | | | (Q18) * 顔目() ? |
| shot | CNCS Counterpairy Asset Account Identify Adminioration Adm | To Proce Severation © PROCESSIONSONS TO PROCESSIONS TO PROCESSIONSONS TO PROCESSIONS | Validary Start Date 6 24-00-0221 21/09/2021 25/09/2021 14-00-0221 01/09/2021 01/09/2021 01/09/2021 01/09/2021 01/09/2021 01/09/2021 01/09/2021 01/09/2021 01/09/2021 01/09/2021 | Peg 1 d2 7 Valdey Find Date 8 310,05909 311,005909 311,005909 311,005909 311,005909 311,005909 311,005909 311,005909 311,005909 311,005909 311,005909 31 | Constituti Date # 2 24/09/2021 16:308-94-466 24/09/2021 16:308-94-466 24/09/2021 17:06-24:239 14/09/2021 17:06-24:239 14/09/2021 18:27/14/12 04/09/2021 18:27/14/12 04/09/2021 13:208-13:81 04/09/2021 13:208-13:81 04/09/2021 13:208-13:81 04/09/2021 13:308-13:81 04/09/2021 13:308-13:81 | □ Update Ober 8 2-00002021 16:30:60-466 2-00002021 16:30:60-466 2-00002021 17:00-61:209 1-00002021 16:20-96:50 010002021 16:20:10-96 010002021 16:20:10-96 010002021 16:20:10-96 010002021 16:20:51-96 010002021 16:20:51-96 010002021 16:90:52-96 010002021 16:90:52-96 010002021 16:90:52-96 | Cons. 7 20 Lipson the st 6 507 509 509 509 509 509 509 509 509 509 509 |

| Pool – Counterparty Asset Account Links – List Screen | | |
|---|-------------|--|
| Field | Description | |



| ECMS Counter- | Shows the identifier of the ECMS Counterparty Asset Account that holds the collateral positions. | | | |
|--------------------------------------|---|--|--|--|
| party Asset Account Identifier | Displayed format is: Max. 35 characters | | | |
| | Shows the identifier of the Pool to which the ECMS Counterparty Asset Account/s are linked. | | | |
| | Displayed format is: Max. 30 characters. | | | |
| Pool Refer- | Enter the reference of the pool given by the refinancing NCB. | | | |
| ence | Displayed format is: Max. 255 characters. | | | |
| Validity Start Date | Shows the date from which the Pool – Counterparty Asset Account Link is valid. | | | |
| | Displayed format is: DD/MM/YYYY. | | | |
| Validity End Date | Shows the date from which the Pool –Counterparty Asset Account Link is not valid anymore. | | | |
| | Displayed format is: DD/MM/YYYY. | | | |
| | The Validity End Date must be equal to or later than the Validity Start Date. | | | |
| Creation Date | Shows the reference date of the creation of the Pool Counterparty Asset Account Link. The calendar icon can also be used. | | | |
| | Displayed format is: DD/MM/YYYY | | | |
| Update Date | Shows the date and time of the last update of the Pool – Counterparty Asset Account Link. | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | |
| Updater User Id | Shows the identification of the user that made the last update of the Pool – Counterparty Asset Account Link. | | | |
| | ng a record, the following buttons are displayed | | | |
| Button | Function | | | |
| History | [Only for valid information] | | | |
| | This function enables you to access to the historical information of a Pool – Counterparty Asset Account Link. | | | |
| | Next screen: | | | |
| | - Pool - Counterparty Asset Account Link - History Screen. | | | |
| Edit | This function enables you to edit a Pool – Counterparty Asset Account Link. | | | |
| | Next screen: | | | |
| \ <i>a</i> | - Pool - Counterparty Asset Account Link - Edit Screen. | | | |
| View | This function enables you to access to the detailed information of a Pool – Counterparty Asset Account Link. | | | |
| | Next screen: | | | |
| 16.0 | - Pool - Counterparty Asset Account Link - Details Screen. | | | |
| played wher | is used in the 4 eyes validation context, the following buttons are also dis- n a record is selected | | | |
| | alidate = Creation | | | |
| | reation of new data by 4-eyes user, the validator user will validate/reject. | | | |
| Button | Function | | | |

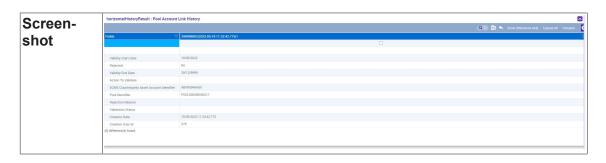


| Edit | This function allows the validator user to edit and modify the draft. | | | |
|------------------|--|--|--|--|
| View | This function enables the validator user to view the draft record to be validated or rejected. | | | |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system | | | |
| Reject | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. | | | |
| In case the | record has been rejected the only available options for this record will be: | | | |
| View | This function allows the user to view the rejected record. | | | |
| Action to V | alidate = Update | | | |
| · · | odate of data by 4-eyes user, the validator user can validate/reject/edit. To eds to go first in the show/compare draft button. | | | |
| Button | Function | | | |
| View | This function enables the user to view the draft record to be validated or rejected. | | | |
| Edit Draft | This function allows the user to edit and modify the draft. | | | |
| Show Draft | This function enables the validator user to view the draft record to be validated or rejected. | | | |
| Compare Draft | In case the 4 eyes validation is required because of an update of the record, this function enables the validator user to display the change that needs to be validated. | | | |
| Once you cl | ick on Show Draft or Compare Draft buttons: | | | |
| Reject Draft | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. | | | |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system | | | |
| In case the | record has been rejected the only available options for this record will be: | | | |
| View | This function allows the user to view the rejected record. | | | |
| | | | | |

3.4.1.2.1.1. Pool – Counterparty Asset Account Links – History Screen

Context of This screen displays historical information that has changed on the selected Pool - Counterparty Asset Account Link. You can check the data, in-Usage cluding the user who made the changes, and proceed further by clicking on the buttons that are shown. Collateral and Credit >> Pool structure >> Collateral Positions >> Pool Screen Ac-- Counterparty Asset Account Links Create / Display >> Click on the cess search button (after inputting the relevant Data, if needed) >> Select a Pool – Counterparty Asset Account Link >> Click on the *History* button Collateral and Credit >> Pool Structure >> Collateral Positions >> Pool - Counterparty Asset Account Links Create / Display >> Click on the search button (after inputting the relevant Data, if needed) >> Select a Pool – Counterparty Asset Account Link >> Click on the View button (Pool – Counterparty Asset Account Links – Details Screen) >> Click on the History Button



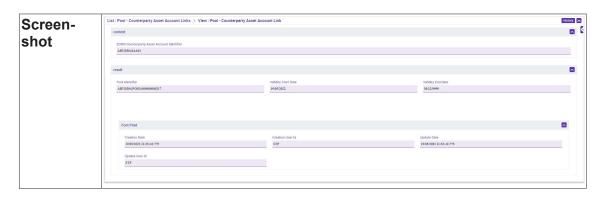


| Pool – Counterparty Asset Account Links – History Screen | | |
|--|---|--|
| Field | Description | |
| Fields | Shows the fields whose information have been updated since the creation of the selected Pool – Counterparty Asset Account Link. | |
| Timestamp | Shows the date and time when the fields have been updated. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Button | Description | |
| Compare | Shows the differences between the selected records whose data have been updated. | |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected Pool – Counterparty Asset Account Link. | |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected Pool – Counterparty Asset Account Link. | |
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected Pool – Counterparty Asset Account Link. | |
| | Shows only the fields whose information have been updated since the creation of the selected Pool – Counterparty Asset Account Link. | |

3.4.1.2.1.2 Pool – Counterparty Asset Account Links – Details Screen

| Context of Usage | This screen displays detailed information on the selected Pool – Counterparty Asset Account Link. You can check the data and proceed further by clicking on the buttons. |
|------------------|--|
| Screen Access | Depending how the screen is accessed, it can be used to view the valid information of the Counterparty Asset Account Link or the information that requires 4 eyes validation before they can be considered valid in the system. |
| | For valid information: |
| | Collateral and Credit >> Pool structure >> Collateral Positions >> Pool – Counterparty Asset Account Links Create / Display >> Click on the search button (after inputting the relevant Data, if needed) >> Select a Pool – Counterparty Asset Account Link >> Click on the <i>View</i> button |
| | For information subject to a 4 eyes validation: |
| | Collateral and Credit >> Validation / Rejection >> Validate / Reject Pool Structure Details >> Pool – Counterparty Asset Account Links >> Click on the <i>search</i> button (after inputting the relevant Data, if needed) >> Select a Pool – Counterparty Asset Account Link >> Click on the <i>View</i> button |





| Pool – Counterparty Asset Account Links – Details Screen | | |
|--|--|--|
| Button | Description | |
| History | [Only for valid information] | |
| | This function enables you to access to the historical information of a Pool – Counterparty Asset Account Link. | |
| | Next screen: | |
| | Pool – Counterparty Asset Account Links – History Screen. | |
| Context | | |
| Field | Description | |
| ECMS Counter- party Asset Account Identifier | Shows the identifier of the ECMS Counterparty Asset Account that holds the collateral positions. | |
| | Displayed format is: Max. 35 characters | |
| Result | | |
| Pool Identi- fier | Shows the identifier of the Pool to which the ECMS Counterparty Asset Account/s are linked. | |
| | Displayed format is: Max. 30 characters. | |
| Validity Start Date | Shows the date from which the Pool – Counterparty Asset Account Link is valid. | |
| | Displayed format is: DD/MM/YYYY. | |
| Validity End Date | Shows the date from which the Pool – Counterparty Asset Account Link is not valid anymore. | |
| | Displayed format is: DD/MM/YYYY. | |
| | The Validity End Date must be equal to or later than the Validity Start Date. | |
| Validation details | | |
| Action To Validate | Shows if there is any action waiting for validation. | |
| Rejected | Shows if any action subject to validation has been rejected. The possible values are: | |
| | - Yes | |
| | - No | |
| Foot Print | | |
| Creation Date | Shows the date and time of the creation of the Pool – Counterparty Asset Account Link. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |



| Creation User Id | Shows the identification of the user that created the Pool – Counterparty Asset Account Link. |
|---------------------|---|
| Update Date | Shows the date and time of the update of the Pool – Counterparty Asset Account Link. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the Pool – Counterparty Asset Account Link. |

3.4.1.3 Pool – Cash Collateral Type Links Create / Display

3.4.1.3.1 Pool – Cash Collateral Type Links – Search Screen

| This screen contains a number of search fields. By inputting the relevant data, you can search for the Pool – Cash Collateral Type Links. | | | | | |
|--|--|--|--|--|--|
| The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. | | | | | |
| Administration of Pools | | | | | |
| Depending how the screen is accessed, it can be used to search the valid information of the Cash Collateral Type Links or the information that requires 4 eyes validation before they can be considered valid in the system. | | | | | |
| For valid information: | | | | | |
| Collateral and Credit >> Pool structure >> Collateral Positions >> Pool – Cash Collateral Type Links Create / Display | | | | | |
| For information subject to 4 eyes validation: | | | | | |
| Collateral and Credit >> Validation / Rejection >> Validate / Reject Pool Structure Details >> Pool – Cash Collateral Type Links | | | | | |
| Poli- Cash Collect Type Link Search Criteria: Pool Cash Collect Type Link | | | | | |
| Selection United it Produces to Contemporary Counterparty •• • Counterparty •• • • • Counterparty •• • • Counterparty •• • • • • Counterparty •• • • • • Counterparty •• • • • Counterparty •• • • • • • Counterparty •• • • • • • • • • • • • • • • • • • | | | | | |
| Validity Sort Date • • • □ Update Date • • • □ Update Date • • • □ Update Date • • • □ | | | | | |
| Creation Date *** ▼ | | | | | |
| | | | | | |

| Pool – Cash Collateral Type Links – Search screen | | |
|---|--|--|
| Field | Description | |
| Pool Identi- fier | Enter / Select the identifier of the Pool for which the use of cash Collateral is authorised. | |
| | Required format is: Max. 30 characters | |
| Pool Refer- | Enter the reference of the pool given by the refinancing NCB. | |
| ence | Required format is: Max. 255 characters. | |
| Counterparty | Enter / Select the RIAD Code that identifies the counterparty in the ECMS to whom the authorisation to use Monetary Policy Operation is granted. | |
| Cash Collat- eral Type | Enter / Select the Type of Cash as Collateral authorized for the pool. The possible values are: | |
| | Only to cover margin call. | |
| | - Anytime. | |



| Validity Start Date | Enter the date from which the Pool – Cash Collateral Type Link is valid. The calendar icon can also be used. |
|------------------------|--|
| | Required format is: DD/MM/YYYY. |
| Validity End Date | Enter the date from which the Pool – Cash Collateral Type Link is not valid anymore. The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY. |
| | The Validity End Date must be equal to or later than the Validity Start Date. |
| Creation Date | Enter the reference date of the creation of the Pool – Cash Collateral Type Link or use the calendar icon. |
| | Required format is: DD/MM/YYYY |
| Update Date | Enter the reference date of the last update of the Pool – Cash Collateral Type Link or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Create | This function enables you to create a new Pool – Cash Collateral Type Link. |
| | Next screen: |
| | Pool – Cash Collateral Type Link – Create Screen. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | Pool – Cash Collateral Type Link – List Screen. |

3.4.1.3.1.1 Pool – Cash Collateral Type Links – List Screen

| Context of Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. |
|-------------------------------|---|
| Business Case re- lated | Administration of Pools |
| Screen Access | Depending how the screen is accessed, it can be used to list the valid information of the Cash Collateral Type Links or the information that requires 4 eyes validation before they can be considered valid in the system. |
| | For valid information: |
| | Collateral and Credit >> Pool structure >> Collateral Positions >> Pool – Cash Collateral Type Links Create / Display >> Click on the search button (after inputting the relevant Data, if needed) |
| | For information subject to a 4 eyes validation: |
| | Collateral and Credit >> Validation / Rejection >> Validate / Reject Pool Structure Details >> Pool – Cash Collateral Type Links >> Click on the search button (after inputting the relevant Data, if needed) |



| Screenshot | Search Result : Pool Cash Collat Type Link | | | | | | | |
|------------|--|-----------------------------------|-------------------|------------------------|-------------------------|-------------------------|------------------|-----------------------|
| | 10 ▼ | | | | K < Page 1 of2 > X | | | |
| | Validity Start Date ♥ | Pool Identifier Pool Identifier | ∇alidity End Date | Cash Collateral Type * | Creation Date © | ♡ Update Date ≎ | ○ Counterparty Φ | ♡ Updater User Id ◆ ♡ |
| | 28/06/2022 | P00L00000000162 | 10/02/9999 | Only Margin Call | 28/06/2022 10:53:22:573 | 28/05/2022 10:53:22:573 | ABVR001 | STP |
| | 22/06/2022 | P00L000000000228 | 31/12/9999 | Only Margin Call | 22/06/2022 08:13:29.907 | 22/06/2022 08:13:29:907 | AT0000000574745 | STP |
| | 21/06/2022 | P00L00000000227 | 31/12/9999 | Only Margin Call | 21/06/2022 09:21:59:471 | 21/06/2022 09:21:59:471 | AT0000000655363 | STP |
| | 20/06/2022 | P00L000000000226 | 31/12/9999 | Any Time | 20/06/2022 08:45:22:332 | 20/06/2022 12:22:19:529 | AT0000000655363 | STP |
| | 19/05/2022 | | | | | | | |
| | 12/05/2022 | P00L000000000075 | 31/12/9999 | Only Margin Call | 12/05/2022 16:25:52:098 | 12/05/2022 16:25:52:098 | AT0000000309375 | STP |
| | 12/05/2022 | P00L000000000211 | 31/12/9999 | Any Time | 12/05/2022 13:30:13:135 | 12/05/2022 13:30:13:135 | ABVR019 | STP |
| | 11/05/2022 | P00L00000000123 | 31/12/9999 | Any Time | 11/05/2022 12:49:53:540 | 11/05/2022 12:49:53:540 | AT00000000309375 | STP |
| | 11/05/2022 | P00L00000000166 | 31/12/9999 | Any Time | 11/05/2022 11:32:37:904 | 11/05/2022 11:32:37:904 | ABVR003 | STP |
| | 05/05/2022 | P00L00000000210 | 31/12/9999 | Only Margin Call | 06/05/2022 10:55:59:187 | 06/05/2022 10:55:59:187 | ABVR404 | STP |

| Pool - Cash | Collateral Type Links – List Screen |
|---------------------------|---|
| Field | Description |
| Pool Identi- fier | Shows the identifier of the Pool for which the use of cash Collateral is authorised. |
| | Displayed format is: Max. 30 characters. |
| Pool Refer- | Shows the reference of the pool given by the refinancing NCB. |
| ence | Displayed format is: Max. 255 characters. |
| Counterparty | Shows the RIAD Code that identifies the counterparty in the ECMS to whom the authorisation to use Monetary Policy Operation is granted. |
| Cash Collat- eral Type | Shows the Type of Cash as Collateral authorized for the pool. The possible values are: |
| | Only to cover margin call. |
| | - Anytime. |
| Validity Start Date | Shows the date from which the Pool – Cash Collateral Type Link is valid. |
| | Displayed format is: DD/MM/YYYY. |
| Validity End Date | Shows the date from which the Pool – Cash Collateral Type Link is not valid anymore. |
| | Displayed format is: DD/MM/YYYY. |
| | The Validity End Date must be equal to or later than the Validity Start Date. |
| Creation Date | Shows the reference date of the creation of the Pool – Cash Collateral Type Link or use the calendar icon. |
| | Displayed format is: DD/MM/YYYY |
| Update Date | Shows the date and time of the last update of the Pool – Cash Collateral Type Link. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the Pool – Cash Collateral Type Link. |
| After selecting | g a record, the following buttons are displayed |
| Button | Function |
| History | [Only for valid information] |
| | This function enables you to access to the historical information of a Pool – Cash Collateral Type Link. |
| | Next screen: |
| | Pool – Cash Collateral Type Link – History Screen. |
| Edit | This function enables you to edit a Pool – Cash Collateral Type Link. |
| | Next screen: |
| | Pool – Cash Collateral Type Link – Edit Screen. |



| View | This function enables you to access to the detailed information of a Pool – Cash Collateral Type Link. | |
|------------------|--|--|
| | Next screen: | |
| | Pool – Cash Collateral Type Link – Details Screen. | |
| | s used in the 4 eyes validation context, the following buttons are also disarecord is selected | |
| Action to Va | lidate = Creation | |
| In case of cre | ation of new data by 4-eyes user, the validator user will validate/reject. | |
| Button | Function | |
| Edit | This function allows the validator user to edit and modify the draft. | |
| View | This function enables the validator user to view the draft record to be validated or rejected. | |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system | |
| Reject | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. | |
| In case the re | cord has been rejected the only available options for this record will be: | |
| View | This function allows the user to view the rejected record. | |
| Action to Va | lidate = Update | |
| • | date of data by 4-eyes user, the validator user can validate/reject/edit. To s to go first in the show/compare draft button. | |
| Button | Function | |
| View | This function enables the user to view the draft record to be validated or rejected. | |
| Edit Draft | This function allows the user to edit and modify the draft. | |
| Show Draft | This function enables the validator user to view the draft record to be validated or rejected. | |
| Compare Draft | In case the 4 eyes validation is required because of an update of the record, this function enables the validator user to display the change that needs to be validated. | |
| Once you clic | k on Show Draft or Compare Draft buttons: | |
| Reject Draft | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. | |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system | |
| In case the re | cord has been rejected the only available options for this record will be: | |
| View | This function allows the user to view the rejected record. | |
| | | |

3.4.1.3.1.1. Pool – Cash Collateral Type Links – History Screen

| Usage | This screen displays historical information that has changed on the selected Pool – Cash Collateral Type Links. You can check the data, including the user who made the changes, and proceed further by clicking on the buttons that are shown. |
|---------------|--|
| Screen Access | Collateral and Credit >> Pool structure >> Collateral Positions >> Pool Cash Collateral Type Links Create / Display >> Click on the search button (after inputting the relevant Data, if needed) >> Select a Pool – Cash Collateral Type Link >> Click on the <i>History</i> button |



| Pool – Cash Collateral Type Links – History Screen | | |
|--|---|--|
| Field | Description | |
| Fields | Shows the fields whose information have been updated since the creation of the selected Pool – Cash Collateral Type Link. | |
| Timestamp | Shows the date and time when the fields have been updated. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Button | Description | |
| Compare | Shows the differences between the selected records whose data have been updated. | |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected Pool – Cash Collateral Type Link. | |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected Pool – Cash Collateral Type Link. | |
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected Pool – Cash Collateral Type Link. | |
| | Shows only the fields whose information have been updated since the creation of the selected Pool – Cash Collateral Type Link. | |

3.4.1.3.1.2 Pool – Cash Collateral Type Links – Details Screen

| Context of Usage | This screen displays detailed information on the selected Pool – Cash Collateral Type Link. You can check the data and proceed further by clicking on the buttons. |
|------------------|---|
| | Depending how the screen is accessed, it can be used to view the valid information of the Cash Collateral Type Links or the information that requires 4 eyes validation before they can be considered valid in the system. |
| | For valid information: |
| | Collateral and Credit >> Pool structure >> Collateral Positions >> Pool – Cash Collateral Type Links Create / Display >> Click on the search button (after inputting the relevant Data, if needed) >> Select a Pool – Cash Collateral Type Link >> Click on the View button |
| | For information subject to a 4 eyes validation: |



Collateral and Credit >> Validation / Rejection >> Validate / Reject Pool Structure Details >> Pool – Cash Collateral Type Links >> Click on the search button (after inputting the relevant Data, if needed) >> Select a Pool – Cash Collateral Type Link >> Click on the View button

Screenshot

Screenshot

Screenshot

Screenshot

Setch Resit: Pool Cash Collat Type Link

Setch Resit: Pool Cash Collat Type Li

| Pool - Cash | Collateral Type Links – Details Screen |
|----------------------------|---|
| Button | Description |
| History | [Only for valid information] |
| | This function enables you to access to the historical information of a Pool – Cash Collateral Type Link. |
| | Next screen: |
| | Pool – Cash Collateral Type Links – History Screen. |
| Context | |
| Field | Description |
| Pool Identi- fier | Shows the identifier of the Pool for which the use of cash Collateral is authorised and the Party RIAD Code that identifies the counterparty in the ECMS to whom the authorisation to use Monetary Policy Operation is granted. |
| | Displayed format is: Max. 70 characters. |
| Result | |
| Cash Collat- eral Type | Shows the Type of Cash as Collateral authorized for the pool. The possible values are: |
| | Only to cover margin call. |
| | - Anytime. |
| Cash Collat- eral Asset | Shows the Asset Identifier for Cash Collateral to be Mobilised on the pool. |
| Identifier | Displayed format is: Max. 12 characters |
| Validity Start Date | Shows the date from which the Pool – Cash Collateral Type Link is valid. |
| | Displayed format is: DD/MM/YYYY. |
| Validity End Date | Shows the date from which the Pool – Cash Collateral Type Link is not valid anymore. |
| | Displayed format is: DD/MM/YYYY. |
| | The Validity End Date must be equal to or later than the Validity Start Date. |
| Validation de | etails |
| Action To Validate | Shows if there is any action waiting for validation. |



| Rejected | Shows if any action subject to validation has been rejected. The possible values are: |
|---------------------|---|
| | - Yes |
| | - No |
| Foot Print | |
| Creation Date | Shows the date and time of the creation of the Pool – Cash Collateral Type Link. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the Pool – Cash Collateral Type Link. |
| Update Date | Shows the date and time of the update of the Pool – Cash Collateral Type Link. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the Pool – Cash Collateral Type Link. |

3.4.1.4 Credit Freezing Types Create / Display

3.4.1.4.1 Credit Freezing Types – Search Screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the Credit Freezing Types. | | | | | |
|------------------|---|------------|--|--|--|--|
| | The search results will be displayed in a list. After selecting an e can proceed further by clicking on the buttons that are shown. | ntry, you | | | | |
| Screen Access | Collateral and Credit >> Pool structure >> Credit Freezing Types Display | s Create / | | | | |
| 2 10 0 0 0 | Dispidy | | | | | |

| Credit Freezing Types – Search screen | | | |
|---------------------------------------|--|--|--|
| Field | Description | | |
| Credit Freez- | Enter the identifier of the Credit Freezing Type. | | |
| ing Type Identifier | Required format is: Max. 35 characters. | | |
| | Enter the name of the type of Credit Freezing | | |
| ing Type Name | Required format is: Max. 225 characters. | | |
| Credit Freez- ing Type Pur- | Enter / Select the purpose of the Credit Freezing Type from the possible values: | | |
| pose | – NCB | | |
| | Counterparty | | |
| | - CLM Contingency | | |
| Validity Start Date | Enter the date from which the Credit Freezing Type is valid. The calendar icon can also be used. | | |
| | Required format is:DD/MM/YYYY. | | |



| Validity End Date | Enter the date from which the Credit Freezing Type is not valid anymore. The calendar icon can also be used. |
|----------------------|--|
| | Required format is:DD/MM/YYYY. |
| | The Validity End Date must be equal to or later than the Validity Start Date. |
| Is Active | Select whether the Credit Freezing Type is active or not from the possible values: |
| | • Yes |
| | • No |
| Creation Date | Enter the reference date of the creation of the Credit Freezing Type or use the calendar icon. |
| | Required format is: DD/MM/YYYY |
| Update Date | Enter the reference date of the last update of the Credit Freezing Type or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | – Pool –Credit Freezing Type – List Screen. |

3.4.1.4.1.1 Credit Freezing Types – List Screen

| Context of Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. | | | | | | | |
|------------------|---|--|--|---|--|--|---|--------|
| Screen Access | | Collateral and Credit >> Pool structure >> Credit Freezing Types Create / Display >> Click on the search button (after inputting the relevant data, if needed) | | | | | | |
| Screen- shot | Search Result : Pool Credit 10 Pool Identifier 9 Pool Identifier 9 Pool 00000000000000000000000000000000000 | EFreezing Link Credit Freezing Type Identifier 8 NCB NCB | ▽ Validiry Start Clare ● 23/99/2021 16/99/2021 | ♥ Validity End Date 9 31/12/9999 31/12/9999 | Cestion Date # 22/90/2021 133327 666 16/96/2021 1005:31:37 | Update Date # 2000/0021 19 20 27 466 16/09/2021 10:05:31:137 | Q Z () = V Update Use id 0 STP STP History Edit | ₹B ★ ♥ |

| Credit Freezing Types – List Screen | | |
|--|---|--|
| Icon | Description | |
| Field | Description | |
| Credit Freezing Type Identi- fier | Shows the identifier of the Credit Freezing Type. Displayed format is: Max. 35 characters. | |
| Credit Freezing Type Name | Shows the name of the type of Credit Freezing Displayed format is: Max. 255 characters. | |



| 0 111 | |
|----------------------|--|
| Credit Freezing | Shows the purpose of the Credit Freezing Type from the possible values: |
| Type Purpose | – NCB |
| | - Counterparty |
| | - CLM Contingency |
| Validity | Shows the date from which the Credit Freezing Type is valid. |
| Start Date | Displayed format is:DD/MM/YYYY. |
| Validity End Date | Shows the date from which the Credit Freezing Type is not valid anymore. |
| | Displayed format is: DD/MM/YYYY. |
| | The Validity End Date must be equal to or later than the Validity Start Date. |
| Is Active | Shows whether the Credit Freezing Type is active or not from the possible values: |
| | • Yes |
| | • No |
| Creation Date | Shows the reference date of the creation of the Credit Freezing Type or use the calendar icon. |
| | Displayed format is: DD/MM/YYYY |
| Update | Shows the date and time of the last update of the Credit Freezing Type. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the Credit Freezing Type. |
| After selecting | ng a record, the following buttons are displayed |
| Button | Function |
| History | This function enables you to access to the historical information of a Credit Freezing Type. |
| | Next screen: |
| | - Credit Freezing Type - History Screen. |
| View | This function enables you to access to the detailed information of a Credit Freezing Type. |
| | Next screen: |
| | Credit Freezing Type – Details Screen. |
| · | |

3.4.1.4.1.1. Credit Freezing Types – History Screen

Context of Usage

This screen displays historical information that has changed on the selected Credit Freezing Type. You can check the data, including the user who made the changes, and proceed further by clicking on the buttons that are shown.

Screen Access

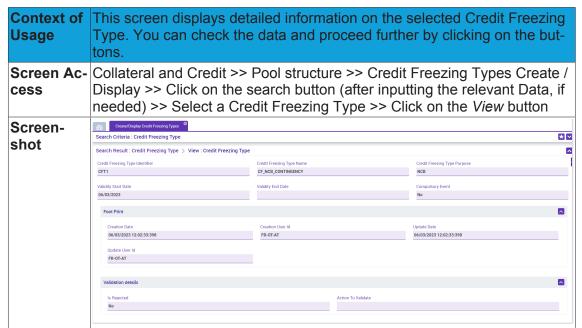
Collateral and Credit >> Pool structure >> Credit Freezing Types Create / Display >> Click on the search button (after inputting the relevant Data, if needed) >> Select a Credit Freezing Type >> Click on the History button



| | Collateral and Credit >> Pool Structure >> Credit Freezing Types Create / Display >> Click on the search button (after inputting the relevant Data, if needed) >> Select a Credit Freezing Type >> Click on the View button (Credit Freezing Types – Details Screen) >> Click on the History Button |
|-----------------|---|
| Screen- shot | |

| Credit Freezing Types – History Screen | | |
|--|---|--|
| Field | Description | |
| Fields | Shows the fields whose information have been updated since the creation of the selected Credit Freezing Type. | |
| Timestamp | Shows the date and time when the fields have been updated. | |
| | Displayed format is: YYYY/MM/DD hh:mm:ss:µs. | |
| Button | Description | |
| Compare | Shows the differences between the selected records whose data have been updated. | |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected Credit Freezing Type. | |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected Credit Freezing Type. | |
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected Credit Freezing Type. | |
| | Shows only the fields whose information have been updated since the creation of the selected Credit Freezing Type. | |

3.4.1.4.1.2 Credit Freezing Types – Details Screen



| Credit Freezing Types- Details Screen | | |
|---------------------------------------|-------------|--|
| Button | Description | |



| History | This function enables you to access to the historical information of a Credit Freezing Type. |
|--------------------------|--|
| | Next screen: |
| | |
| Oug dit Fug | - Credit Freezing Types - History Screen. |
| | ezing Types – Details Screen |
| Field | Description |
| Credit Freezing | Shows the identifier of the Credit Freezing Type. |
| Type Identifier | Displayed format is: Max. 35 characters. |
| Credit | Shows the name of the type of Credit Freezing |
| Freezing Type Name | Displayed format is: Max. 255 characters. |
| Credit | Shows the purpose of the Credit Freezing Type from the possible values: |
| Freezing | - NCB |
| Type Purpose | - Counterparty |
| pood | - CLM Contingency |
| Compuls- ory Event | Select if the credit freezing should be a compulsory event or not. Possible values: |
| | Yes: Compulsory Event |
| | No: Not Compulsory Event |
| Validity | Shows the date from which the Pool – Credit Freezing Type is valid. |
| Start Date | Displayed format is:DD/MM/YYYY. |
| Validity | Shows the date from which the Credit Freezing Type is not valid anymore. |
| End Date | Displayed format is: DD/MM/YYYY. |
| | The Validity End Date must be equal to or later than the Validity Start Date. |
| Is Active | Shows whether the Credit Freezing Type is active or not from the possible values: |
| | • Yes |
| | • No |
| Validation | details |
| Action To Validate | Shows if there is any action waiting for validation. |
| Rejected | Shows if any action subject to validation has been rejected. The possible values are: |
| | - Yes |
| | - No |
| Foot Print | |
| Creation | Shows the date and time of the creation of the Credit Freezing Type. |
| Date | Displayed format is: YYYY/MM/DD hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the Credit Freezing Type. |
| Update | Shows the date and time of the update of the Credit Freezing Type. |
| Date | Displayed format is: YYYY/MM/DD hh:mm:ss:µs. |



| Updater | Shows the identification of the user that made the last update of the Credit |
|---------|--|
| User Id | Freezing Type. |

3.4.1.5 Pool – Credit Freezing Type Links Create / Display

3.4.1.5.1 Pool – Credit Freezing Type Links – Search Screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the Pool – Credit Freezing Type Links. | | | | | |
|-------------------------------|--|--|--|--|--|--|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. | | | | | |
| Business Case re- lated | Administration of Pools | | | | | |
| Screen Access | Depending how the screen is accessed, it can be used to search the valid information of the Credit Freezing Type Links or the information that requires 4 eyes validation before they can be considered valid in the system. | | | | | |
| | For valid information: | | | | | |
| | Collateral and Credit >> Pool structure >> Other Credit Positions >> Pool - Credit Freezing Type Links Create / Display | | | | | |
| | For information subject to 4 eyes validation: | | | | | |
| | Collateral and Credit >> Validation / Rejection >> Validate / Reject Pool Structure Details >> Pool – Credit Freezing Type Links | | | | | |
| Screen- | Pool - Credit Freezing Type Links Create / Display | | | | | |
| shot | Search Criteria: Pool Credit Freezing Link | | | | | |
| | Counterparty ▼ Q Pool Identifier ▼ Pool Reference ▼ | | | | | |
| | Credit Freezing Validity Start Date Validity Start Date Validity End Date Validity End Date | | | | | |
| | Update Date == ▼ | | | | | |
| | ☐ Reset ☐ Q Search | | | | | |
| | | | | | | |

| Pool - Cre | dit Freezing Type Links – Search screen |
|------------------------|--|
| Field | Description |
| Pool Iden- tifier | Enter / Select the identifier of the Pool where the credit freezing is authorised. |
| | Required format is: Max. 30 characters |
| Pool Ref- | Enter the reference of the pool given by the refinancing NCB. |
| erence | Required format is: Max. 255 characters. |
| Credit Freezing | Enter / Select the identifier of the credit freezing type authorised in the ECMS Pool. |
| Type Iden- tifier | Required format is: Max. 255 characters |
| Counter- party | Enter / Select the RIAD Code that identifies the counterparty in the ECMS to whom the authorisation to use Monetary Policy Operation is granted. |
| Validity Start Date | Enter the date from which the Pool – Credit Freezing Type Link is valid. The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY. |



| Validity End Date | Enter the date from which the Pool – Credit Freezing Type Link is not valid anymore. The calendar icon can also be used. |
|----------------------|--|
| | Required format is: DD/MM/YYYY. |
| | The Validity End Date must be equal to or later than the Validity Start Date. |
| Creation Date | Enter the reference date of the creation of the Credit Freezing Type Link or use the calendar icon. |
| | Required format is: DD/MM/YYYY |
| Update Date | Enter the reference date of the last update of the Pool – Credit Freezing Type Link or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Create | This function enables you to create a new Pool –Credit Freezing Type Link. |
| | Next screen: |
| | Dool Credit Francisco Trans Link Create Corner |
| | Pool – Credit Freezing Type Link– Create Screen. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| Search | This function enables you to start a search according to the filled in cri- |

3.4.1.5.1.1 Pool – Credit Freezing Type Links – List Screen

| | , | | | | | | | | |
|-------------------------------|--|--|--|---|--|--|--|---|--|
| Context of Usage | by the setting | values o | f the 'U electing | pdate D | ate' colu | mn in des | scendin | ist, which g order (d er by clicl | default |
| Business Case re- lated | Admini | Administration of Pools | | | | | | | |
| Screen Access | formati | on of the | e Credit | t Freezin | g Type L | inks or th | ne infor | to list the mation th valid in th | at re- |
| | For val | lid inforn | nation: | | | | | | |
| | Collateral and Credit >> Pool structure >> Other Credit Positions >> Pool – Credit Freezing Type Links Create / Display >> Click on the search button (after inputting the relevant Data, if needed) | | | | | | | | |
| | For information subject to a 4 eyes validation: | | | | | | | | |
| | Structu | ıre Detai | ls >> P | ool – Cre | edit Free | | e Links | ate / Reje >> Click ed) | |
| Screen- | Search Result : Pool Credit Prezzing Link | | | | | | | | |
| shot | Pool Identifier 8 PTPL00080000001 PTPL00070000001 PTPD000700000001 PTPL00000000001 POOL0000000001 POOL0000000001 POOL0000000001 | Pool Reference 9 PTPOOL1 PRITA Testing OFPOOLCPTYOID POOLCPTYOID POOLCPTOOOZ POOLOGOOGOOD 57 POOLOGOOGOOD 44 | Credit Freezing Type Ide NCS ABC NCS NCS NCS ECONS | miffier 6" Vallistry Start Date 6 10/05/2024 18/03/2024 28/01/2024 28/01/2024 06/05/2022 07/10/2021 | ▼ Validey End Date € 31/12/9999 31/12/9999 31/12/9999 31/12/9999 31/12/9999 31/12/9999 | Creation Date 6 10/05/2024 15:56:28:676 18/05/2024 15:56:28:676 18/05/2024 12:58:24:89 24/01/2024 12:18:24:990 08/01/2024 12:18:24:990 08/01/2024 12:08:09:990 07/10/2022 15:06:09:990 07/10/2022 17:07:13:965 | Counterparty © PT0150 PT14 PTCPTYON PT3037 PTCPTY001 PTCPTY001 | Update DM# \$ 10/05/2024 15:56:28 676 18/05/2024 11:25:80:481 24/01/2024 13:18:24:950 06/01/2024 13:18:24:950 06/01/2022 13:18:24:950 07/10/2021 17:07:13:965 | Update User Id 6 STP STP ECMS OPERATOR 1 STP ECMS OPERATOR 1 ECMS OPERATOR 1 PTEBOOT Hobbery Edit ® View |
| | | | | | | | | | |



| Start Date Displayed format is: DD/MM/YYYY. Validity End Date Shows the date from which the Pool – Credit Freezing Type Link is not valid anymore. Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. Creation Date Shows the reference date of the creation of the Credit Freezing Type Lin or use the calendar icon. Displayed format is: DD/MM/YYYY Update Date Shows the date and time of the last update of the Pool – Credit Freezing Type Link. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Id Shows the identification of the user that made the last update of the Pool – Credit Freezing Type Link. After selecting a record, the following buttons are displayed Button Function History [Only for valid information] This function enables you to access to the historical information of a Poo – Credit Freezing Type Link. Next screen: - Pool - Credit Freezing Type Link - History Screen. Edit This function enables you to edit a Pool – Credit Freezing Type Link. Next screen: - Pool - Credit Freezing Type Link - Edit Screen. | Pool - Cred | lit Freezing Type Links – List Screen |
|--|-----------------|--|
| Pool Reference Displayed format is: Max. 30 characters Shows the reference of the pool given by the refinancing NCB. Displayed format is: Max. 255 characters. Shows the identifier of the Credit Freezing Type. Displayed format is: Max. 255 characters. Shows the identifier of the Credit Freezing Type. Displayed format is: Max. 255 characters. Displayed format is: Max. 255 characters. Shows the RIAD Code that identifies the counterparty in the ECMS to whom the authorisation to use Monetary Policy Operation is granted. Validity Shows the date from which the Pool – Credit Freezing Type Link is valid. Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. Creation Date or use the calendar icon. Displayed format is: DD/MM/YYYYY Update Shows the date and time of the last update of the Pool – Credit Freezing Type Link. Displayed format is: DD/MM/YYYYY hh:mm:ss:µs. Shows the date and time of the last update of the Pool – Credit Freezing Type Link. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows the identification of the user that made the last update of the Pool – Credit Freezing Type Link. After selecting a record, the following buttons are displayed Button Function History [Only for valid information] This function enables you to access to the historical information of a Pool – Credit Freezing Type Link. Next screen: - Pool - Credit Freezing Type Link – History Screen. Edit This function enables you to access to the detailed information of a Pool – Credit Freezing Type Link. Next screen: - Pool - Credit Freezing Type Link – Edit Screen. This function enables you to access to the detailed information of a Pool Credit Freezing Type Link. Next screen: - Pool - Credit Freezing Type Link – Details Screen. If the screen is used in the 4 eyes validation context, the following buttons are also displayed when a record is selected Action to Validate = Creation In case of creation of new data by 4-eyes user, the validator user will validate/rejec | Field | Description |
| Pool Reference Shows the reference of the pool given by the refinancing NCB. Displayed format is: Max. 255 characters. Credit Freezing Type Identifier Type Identifier Counter-party Whom the authorisation to use Monetary Policy Operation is granted. Validity Start Date Validity Shows the date from which the Pool – Credit Freezing Type Link is valid. Displayed format is: DD/MM/YYYY. Validity Shows the date from which the Pool – Credit Freezing Type Link is not valid anymore. Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. Creation Date Date Displayed format is: DD/MM/YYYY The Validity End Date must be equal to or later than the Validity Start Date. Creation Date Displayed format is: DD/MM/YYYY Update Date Date Displayed format is: DD/MM/YYYY Update Date Date Displayed format is: DD/MM/YYYY Update Date Displayed format is: DD/MM/YYYY hh:mm:ss:jus. Updater User Id Shows the date and time of the last update of the Pool – Credit Freezing Type Link. Displayed format is: DD/MM/YYYY hh:mm:ss:jus. Whom the identification of the user that made the last update of the Pool – Credit Freezing Type Link. After selecting a record, the following buttons are displayed Button Function History [Only for valid information] This function enables you to access to the historical information of a Pool – Credit Freezing Type Link. Next screen: - Pool – Credit Freezing Type Link – History Screen. Edit This function enables you to edit a Pool – Credit Freezing Type Link. Next screen: - Pool – Credit Freezing Type Link – Edit Screen. View This function enables you to access to the detailed information of a Pool Credit Freezing Type Link. Next screen: - Pool – Credit Freezing Type Link – Details Screen. If the screen is used in the 4 eyes validation context, the following buttons are also displayed when a record is selected Action to Validate = Creation In case of creation of new data by 4-eyes user, the validator user will validate/reject. | Pool Identi- | Shows the identifier of the Pool where the credit freezing is authorised. |
| Creation Displayed format is: Max. 255 characters. Credit Freezing Type Identifier Counterparty Shows the RIAD Code that identifies the counterparty in the ECMS to whom the authorisation to use Monetary Policy Operation is granted. Shows the date from which the Pool – Credit Freezing Type Link is valid. Displayed format is: DD/MM/YYYY. Validity Shows the date from which the Pool – Credit Freezing Type Link is not valid anymore. Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. Creation Date Shows the reference date of the creation of the Credit Freezing Type Lin or use the calendar icon. Displayed format is: DD/MM/YYYY Update Date Date Shows the date and time of the last update of the Pool – Credit Freezing Type Link. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Shows the date and time of the user that made the last update of the Pool – Credit Freezing Type Link. After selecting a record, the following buttons are displayed Button Function History [Only for valid information] This function enables you to access to the historical information of a Pool – Credit Freezing Type Link. Next screen: - Pool - Credit Freezing Type Link - History Screen. Edit This function enables you to access to the detailed information of a Pool Credit Freezing Type Link. Next screen: - Pool - Credit Freezing Type Link - Edit Screen. View This function enables you to access to the detailed information of a Pool Credit Freezing Type Link. Next screen: - Pool - Credit Freezing Type Link - Details Screen. If the screen is used in the 4 eyes validation context, the following buttons are also displayed when a record is selected Action to Validate = Creation In case of creation of new data by 4-eyes user, the validator user will validate/reject. | fier | Displayed format is: Max. 30 characters |
| Credit Freezing Type Identifier Counterparty Shows the RIAD Code that identifies the counterparty in the ECMS to whom the authorisation to use Monetary Policy Operation is granted. Shows the RIAD Code that identifies the counterparty in the ECMS to whom the authorisation to use Monetary Policy Operation is granted. Shows the date from which the Pool – Credit Freezing Type Link is valid. Displayed format is: DD/MM/YYYY. Shows the date from which the Pool – Credit Freezing Type Link is not valid anymore. Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. Creation Shows the reference date of the creation of the Credit Freezing Type Lin or use the calendar icon. Displayed format is: DD/MM/YYYY Update Date Shows the date and time of the last update of the Pool – Credit Freezing Type Link. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Id Shows the identification of the user that made the last update of the Pool – Credit Freezing Type Link. After selecting a record, the following buttons are displayed Button Function Function Function enables you to access to the historical information of a Pool – Credit Freezing Type Link. Next screen: – Pool – Credit Freezing Type Link – History Screen. Edit This function enables you to access to the detailed information of a Pool – Credit Freezing Type Link. Next screen: – Pool – Credit Freezing Type Link – Edit Screen. View This function enables you to access to the detailed information of a Pool Credit Freezing Type Link. Next screen: – Pool – Credit Freezing Type Link – Details Screen. If the screen is used in the 4 eyes validation context, the following buttons are also displayed when a record is selected Action to Validate = Creation In case of creation of new data by 4-eyes user, the validator user will validate/reject. | Pool Refer- | Shows the reference of the pool given by the refinancing NCB. |
| Freezing Type Identifier Counterparty Shows the RIAD Code that identifies the counterparty in the ECMS to whom the authorisation to use Monetary Policy Operation is granted. Validity Shows the date from which the Pool – Credit Freezing Type Link is valid. Displayed format is: DD/MM/YYYY. Validity Shows the date from which the Pool – Credit Freezing Type Link is not valid anymore. Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. Creation Shows the reference date of the creation of the Credit Freezing Type Lin or use the calendar icon. Displayed format is: DD/MM/YYYY Update Shows the date and time of the last update of the Pool – Credit Freezing Type Link. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Id Shows the identification of the user that made the last update of the Pool – Credit Freezing Type Link. After selecting a record, the following buttons are displayed Button Function History [Only for valid information] This function enables you to access to the historical information of a Pool – Credit Freezing Type Link. Next screen: — Pool — Credit Freezing Type Link — History Screen. Edit This function enables you to edit a Pool — Credit Freezing Type Link. Next screen: — Pool — Credit Freezing Type Link — Edit Screen. View This function enables you to access to the detailed information of a Pool Credit Freezing Type Link. Next screen: — Pool — Credit Freezing Type Link — Details Screen. If the screen is used in the 4 eyes validation context, the following buttons are also displayed when a record is selected Action to Validate = Creation In case of creation of new data by 4-eyes user, the validator user will validate/reject. | ence | Displayed format is: Max. 255 characters. |
| Type Identifier Counter- party Whom the authorisation to use Monetary Policy Operation is granted. Shows the RIAD Code that identifies the counterparty in the ECMS to whom the authorisation to use Monetary Policy Operation is granted. Validity Start Date Shows the date from which the Pool – Credit Freezing Type Link is valid. Displayed format is: DD/MM/YYYY. Validity End Date Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. Creation Date Shows the reference date of the creation of the Credit Freezing Type Link or use the calendar icon. Displayed format is: DD/MM/YYYY Update Date Shows the date and time of the last update of the Pool – Credit Freezing Type Link. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Id Credit Freezing Type Link. After selecting a record, the following buttons are displayed Button History [Only for valid information] This function enables you to access to the historical information of a Pool – Credit Freezing Type Link. Next screen: Pool – Credit Freezing Type Link – History Screen. Edit This function enables you to edit a Pool – Credit Freezing Type Link. Next screen: Pool – Credit Freezing Type Link – Edit Screen. View This function enables you to access to the detailed information of a Pool Credit Freezing Type Link. Next screen: Pool – Credit Freezing Type Link – Details Screen. If the screen is used in the 4 eyes validation context, the following buttons are also displayed when a record is selected Action to Validate = Creation In case of creation of new data by 4-eyes user, the validator user will validate/reject. | Credit | Shows the identifier of the Credit Freezing Type. |
| party whom the authorisation to use Monetary Policy Operation is granted. Validity Shows the date from which the Pool – Credit Freezing Type Link is valid. Displayed format is: DD/MM/YYYY. Validity Shows the date from which the Pool – Credit Freezing Type Link is not valid anymore. Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. Creation Date Shows the reference date of the creation of the Credit Freezing Type Lin or use the calendar icon. Displayed format is: DD/MM/YYYY Update Shows the date and time of the last update of the Pool – Credit Freezing Type Link. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Id Shows the identification of the user that made the last update of the Pool – Credit Freezing Type Link. After selecting a record, the following buttons are displayed Button Function History [Only for valid information] This function enables you to access to the historical information of a Pool – Credit Freezing Type Link. Next screen: - Pool – Credit Freezing Type Link – History Screen. Edit This function enables you to edit a Pool – Credit Freezing Type Link. Next screen: - Pool – Credit Freezing Type Link – Edit Screen. View This function enables you to access to the detailed information of a Pool Credit Freezing Type Link. Next screen: - Pool – Credit Freezing Type Link – Details Screen. If the screen is used in the 4 eyes validation context, the following buttons are also displayed when a record is selected Action to Validate = Creation In case of creation of new data by 4-eyes user, the validator user will validate/reject. | Type Iden- | Displayed format is: Max. 255 characters. |
| Start Date Displayed format is: DD/MM/YYYY. Shows the date from which the Pool – Credit Freezing Type Link is not valid anymore. Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. Creation Date Shows the reference date of the creation of the Credit Freezing Type Lin or use the calendar icon. Displayed format is: DD/MM/YYYY Update Date Shows the date and time of the last update of the Pool – Credit Freezing Type Link. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Id Shows the identification of the user that made the last update of the Pool – Credit Freezing Type Link. After selecting a record, the following buttons are displayed Button Function History [Only for valid information] This function enables you to access to the historical information of a Pool – Credit Freezing Type Link. Next screen: — Pool – Credit Freezing Type Link – History Screen. Edit This function enables you to edit a Pool – Credit Freezing Type Link. Next screen: — Pool – Credit Freezing Type Link – Edit Screen. View This function enables you to access to the detailed information of a Pool Credit Freezing Type Link. Next screen: — Pool – Credit Freezing Type Link – Details Screen. If the screen is used in the 4 eyes validation context, the following buttons are also displayed when a record is selected Action to Validate = Creation In case of creation of new data by 4-eyes user, the validator user will validate/reject. | | |
| Shows the date from which the Pool – Credit Freezing Type Link is not valid anymore. Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. Creation Date Shows the reference date of the creation of the Credit Freezing Type Link or use the calendar icon. Displayed format is: DD/MM/YYYY Update Shows the date and time of the last update of the Pool – Credit Freezing Type Link. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Id Shows the identification of the user that made the last update of the Pool – Credit Freezing Type Link. After selecting a record, the following buttons are displayed Button Function History [Only for valid information] This function enables you to access to the historical information of a Poolected Freezing Type Link. Next screen: — Pool — Credit Freezing Type Link — History Screen. Edit This function enables you to edit a Pool — Credit Freezing Type Link. Next screen: — Pool — Credit Freezing Type Link — Edit Screen. View This function enables you to access to the detailed information of a Poolected Freezing Type Link. Next screen: — Pool — Credit Freezing Type Link — Details Screen. If the screen is used in the 4 eyes validation context, the following buttons are also displayed when a record is selected Action to Validate = Creation In case of creation of new data by 4-eyes user, the validator user will validate/reject. | , | Shows the date from which the Pool – Credit Freezing Type Link is valid. |
| End Date Displayed format is: DD/MM/YYYY. The Validity End Date must be equal to or later than the Validity Start Date. Creation Date Shows the reference date of the creation of the Credit Freezing Type Lin or use the calendar icon. Displayed format is: DD/MM/YYYY Update Shows the date and time of the last update of the Pool – Credit Freezing Type Link. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Id Credit Freezing Type Link. After selecting a record, the following buttons are displayed Button Function History [Only for valid information] This function enables you to access to the historical information of a Pool – Credit Freezing Type Link. Next screen: — Pool – Credit Freezing Type Link – History Screen. Edit This function enables you to edit a Pool – Credit Freezing Type Link. Next screen: — Pool – Credit Freezing Type Link – Edit Screen. View This function enables you to access to the detailed information of a Pool Credit Freezing Type Link. Next screen: — Pool – Credit Freezing Type Link – Details Screen. If the screen is used in the 4 eyes validation context, the following buttons are also displayed when a record is selected Action to Validate = Creation In case of creation of new data by 4-eyes user, the validator user will validate/reject. | Start Date | Displayed format is: DD/MM/YYYY. |
| The Validity End Date must be equal to or later than the Validity Start Date. Creation Shows the reference date of the creation of the Credit Freezing Type Lin or use the calendar icon. Displayed format is: DD/MM/YYYY Update Shows the date and time of the last update of the Pool – Credit Freezing Type Link. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Updater Shows the identification of the user that made the last update of the Pool – Credit Freezing Type Link. After selecting a record, the following buttons are displayed Button Function History [Only for valid information] This function enables you to access to the historical information of a Pool – Credit Freezing Type Link. Next screen: - Pool – Credit Freezing Type Link – History Screen. Edit This function enables you to edit a Pool – Credit Freezing Type Link. Next screen: - Pool – Credit Freezing Type Link – Edit Screen. View This function enables you to access to the detailed information of a Pool Credit Freezing Type Link. Next screen: - Pool – Credit Freezing Type Link – Details Screen. If the screen is used in the 4 eyes validation context, the following buttons are also displayed when a record is selected Action to Validate = Creation In case of creation of new data by 4-eyes user, the validator user will validate/reject. | | J 71 |
| Date. Creation | | Displayed format is: DD/MM/YYYY. |
| Date or use the calendar icon. Displayed format is: DD/MM/YYYY Update Shows the date and time of the last update of the Pool – Credit Freezing Type Link. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Updater Shows the identification of the user that made the last update of the Pool – Credit Freezing Type Link. After selecting a record, the following buttons are displayed Button Function History [Only for valid information] This function enables you to access to the historical information of a Pool – Credit Freezing Type Link. Next screen: - Pool – Credit Freezing Type Link – History Screen. Edit This function enables you to edit a Pool – Credit Freezing Type Link. Next screen: - Pool – Credit Freezing Type Link – Edit Screen. View This function enables you to access to the detailed information of a Pool Credit Freezing Type Link. Next screen: - Pool – Credit Freezing Type Link – Details Screen. If the screen is used in the 4 eyes validation context, the following buttons are also displayed when a record is selected Action to Validate = Creation In case of creation of new data by 4-eyes user, the validator user will validate/reject. | | |
| Update Date Shows the date and time of the last update of the Pool – Credit Freezing Type Link. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Updater Shows the identification of the user that made the last update of the Pool – Credit Freezing Type Link. After selecting a record, the following buttons are displayed Button Function History [Only for valid information] This function enables you to access to the historical information of a Pool – Credit Freezing Type Link. Next screen: — Pool — Credit Freezing Type Link — History Screen. Edit This function enables you to edit a Pool — Credit Freezing Type Link. Next screen: — Pool — Credit Freezing Type Link — Edit Screen. View This function enables you to access to the detailed information of a Pool Credit Freezing Type Link. Next screen: — Pool — Credit Freezing Type Link — Details Screen. If the screen is used in the 4 eyes validation context, the following buttons are also displayed when a record is selected Action to Validate = Creation In case of creation of new data by 4-eyes user, the validator user will validate/reject. | | Shows the reference date of the creation of the Credit Freezing Type Link or use the calendar icon. |
| Date Type Link. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. Updater User Id Credit Freezing Type Link. After selecting a record, the following buttons are displayed Button Function History [Only for valid information] This function enables you to access to the historical information of a Poo Credit Freezing Type Link. Next screen: Pool - Credit Freezing Type Link - History Screen. Edit This function enables you to edit a Pool - Credit Freezing Type Link. Next screen: Pool - Credit Freezing Type Link - Edit Screen. View This function enables you to access to the detailed information of a Pool Credit Freezing Type Link. Next screen: Pool - Credit Freezing Type Link - Details Screen. If the screen is used in the 4 eyes validation context, the following buttons are also displayed when a record is selected Action to Validate = Creation In case of creation of new data by 4-eyes user, the validator user will validate/reject. | | Displayed format is: DD/MM/YYYY |
| Updater User Id — Credit Freezing Type Link. After selecting a record, the following buttons are displayed Button Function History [Only for valid information] This function enables you to access to the historical information of a Poo — Credit Freezing Type Link. Next screen: — Pool — Credit Freezing Type Link — History Screen. Edit This function enables you to edit a Pool — Credit Freezing Type Link. Next screen: — Pool — Credit Freezing Type Link — Edit Screen. View This function enables you to access to the detailed information of a Pool Credit Freezing Type Link. Next screen: — Pool — Credit Freezing Type Link — Details Screen. If the screen is used in the 4 eyes validation context, the following buttons are also displayed when a record is selected Action to Validate = Creation In case of creation of new data by 4-eyes user, the validator user will validate/reject. | • | · |
| User Id — Credit Freezing Type Link. After selecting a record, the following buttons are displayed Button Function History [Only for valid information] This function enables you to access to the historical information of a Poo — Credit Freezing Type Link. Next screen: — Pool — Credit Freezing Type Link — History Screen. Edit This function enables you to edit a Pool — Credit Freezing Type Link. Next screen: — Pool — Credit Freezing Type Link — Edit Screen. View This function enables you to access to the detailed information of a Pool Credit Freezing Type Link. Next screen: — Pool — Credit Freezing Type Link — Details Screen. If the screen is used in the 4 eyes validation context, the following buttons are also displayed when a record is selected Action to Validate = Creation In case of creation of new data by 4-eyes user, the validator user will validate/reject. | | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Button History [Only for valid information] This function enables you to access to the historical information of a Poo Credit Freezing Type Link. Next screen: Pool – Credit Freezing Type Link – History Screen. Edit This function enables you to edit a Pool – Credit Freezing Type Link. Next screen: Pool – Credit Freezing Type Link – Edit Screen. View This function enables you to access to the detailed information of a Pool Credit Freezing Type Link. Next screen: Pool – Credit Freezing Type Link – Details Screen. If the screen is used in the 4 eyes validation context, the following buttons are also displayed when a record is selected Action to Validate = Creation In case of creation of new data by 4-eyes user, the validator user will validate/reject. | • | Shows the identification of the user that made the last update of the Pool – Credit Freezing Type Link. |
| History [Only for valid information] This function enables you to access to the historical information of a Poo – Credit Freezing Type Link. Next screen: — Pool – Credit Freezing Type Link – History Screen. Edit This function enables you to edit a Pool – Credit Freezing Type Link. Next screen: — Pool – Credit Freezing Type Link – Edit Screen. View This function enables you to access to the detailed information of a Pool Credit Freezing Type Link. Next screen: — Pool – Credit Freezing Type Link – Details Screen. If the screen is used in the 4 eyes validation context, the following buttons are also displayed when a record is selected Action to Validate = Creation In case of creation of new data by 4-eyes user, the validator user will validate/reject. | After selection | ng a record, the following buttons are displayed |
| This function enables you to access to the historical information of a Pool – Credit Freezing Type Link. Next screen: — Pool – Credit Freezing Type Link – History Screen. Edit This function enables you to edit a Pool – Credit Freezing Type Link. Next screen: — Pool – Credit Freezing Type Link – Edit Screen. View This function enables you to access to the detailed information of a Pool Credit Freezing Type Link. Next screen: — Pool – Credit Freezing Type Link – Details Screen. If the screen is used in the 4 eyes validation context, the following buttons are also displayed when a record is selected Action to Validate = Creation In case of creation of new data by 4-eyes user, the validator user will validate/reject. | Button | Function |
| - Credit Freezing Type Link. Next screen: - Pool - Credit Freezing Type Link - History Screen. Edit This function enables you to edit a Pool - Credit Freezing Type Link. Next screen: - Pool - Credit Freezing Type Link - Edit Screen. View This function enables you to access to the detailed information of a Pool Credit Freezing Type Link. Next screen: - Pool - Credit Freezing Type Link - Details Screen. If the screen is used in the 4 eyes validation context, the following buttons are also displayed when a record is selected Action to Validate = Creation In case of creation of new data by 4-eyes user, the validator user will validate/reject. | History | [Only for valid information] |
| - Pool - Credit Freezing Type Link - History Screen. Edit This function enables you to edit a Pool - Credit Freezing Type Link. Next screen: - Pool - Credit Freezing Type Link - Edit Screen. View This function enables you to access to the detailed information of a Pool Credit Freezing Type Link. Next screen: - Pool - Credit Freezing Type Link - Details Screen. If the screen is used in the 4 eyes validation context, the following buttons are also displayed when a record is selected Action to Validate = Creation In case of creation of new data by 4-eyes user, the validator user will validate/reject. | | This function enables you to access to the historical information of a Pool – Credit Freezing Type Link. |
| This function enables you to edit a Pool – Credit Freezing Type Link. Next screen: - Pool – Credit Freezing Type Link – Edit Screen. This function enables you to access to the detailed information of a Pool Credit Freezing Type Link. Next screen: - Pool – Credit Freezing Type Link – Details Screen. If the screen is used in the 4 eyes validation context, the following buttons are also displayed when a record is selected Action to Validate = Creation In case of creation of new data by 4-eyes user, the validator user will validate/reject. | | Next screen: |
| Next screen: - Pool – Credit Freezing Type Link – Edit Screen. View This function enables you to access to the detailed information of a Pool Credit Freezing Type Link. Next screen: - Pool – Credit Freezing Type Link – Details Screen. If the screen is used in the 4 eyes validation context, the following buttons are also displayed when a record is selected Action to Validate = Creation In case of creation of new data by 4-eyes user, the validator user will validate/reject. | | Pool – Credit Freezing Type Link – History Screen. |
| Pool – Credit Freezing Type Link – Edit Screen. View This function enables you to access to the detailed information of a Pool Credit Freezing Type Link. Next screen: - Pool – Credit Freezing Type Link – Details Screen. If the screen is used in the 4 eyes validation context, the following buttons are also displayed when a record is selected Action to Validate = Creation In case of creation of new data by 4-eyes user, the validator user will validate/reject. | Edit | This function enables you to edit a Pool – Credit Freezing Type Link. |
| View This function enables you to access to the detailed information of a Pool Credit Freezing Type Link. Next screen: — Pool — Credit Freezing Type Link — Details Screen. If the screen is used in the 4 eyes validation context, the following buttons are also displayed when a record is selected Action to Validate = Creation In case of creation of new data by 4-eyes user, the validator user will validate/reject. | | Next screen: |
| Credit Freezing Type Link. Next screen: - Pool - Credit Freezing Type Link - Details Screen. If the screen is used in the 4 eyes validation context, the following buttons are also displayed when a record is selected Action to Validate = Creation In case of creation of new data by 4-eyes user, the validator user will validate/reject. | | Pool – Credit Freezing Type Link – Edit Screen. |
| Pool – Credit Freezing Type Link – Details Screen. If the screen is used in the 4 eyes validation context, the following buttons are also displayed when a record is selected Action to Validate = Creation In case of creation of new data by 4-eyes user, the validator user will validate/reject. | View | This function enables you to access to the detailed information of a Pool – Credit Freezing Type Link. |
| If the screen is used in the 4 eyes validation context, the following buttons are also displayed when a record is selected Action to Validate = Creation In case of creation of new data by 4-eyes user, the validator user will validate/reject. | | Next screen: |
| played when a record is selected Action to Validate = Creation In case of creation of new data by 4-eyes user, the validator user will validate/reject. | | Pool – Credit Freezing Type Link – Details Screen. |
| In case of creation of new data by 4-eyes user, the validator user will validate/reject. | | · |
| | Action to V | alidate = Creation |
| Button Function | In case of cr | reation of new data by 4-eyes user, the validator user will validate/reject. |
| | Button | Function |



| Edit This function allows the validator user to edit and modify the draft. View This function enables the validator user to view the draft record to be idated or rejected. Validate This function allows the validator user to validate the creation or upart the record so that they can be considered valid in the system. Reject This function allows the validator user to reject the creation or update the record. The draft will be deleted. In case the record has been rejected the only available options for this record with View This function allows the user to view the rejected record. Action to Validate = Update In case of update of data by 4-eyes user, the validator user can validate/reject/edo so, it needs to go first in the show/compare draft button. | ate of te of |
|---|-----------------|
| Validate This function allows the validator user to validate the creation or upather record so that they can be considered valid in the system Reject This function allows the validator user to reject the creation or update the record. The draft will be deleted. In case the record has been rejected the only available options for this record will view This function allows the user to view the rejected record. Action to Validate = Update In case of update of data by 4-eyes user, the validator user can validate/reject/ed | ate of te of |
| the record so that they can be considered valid in the system Reject This function allows the validator user to reject the creation or update the record. The draft will be deleted. In case the record has been rejected the only available options for this record with view This function allows the user to view the rejected record. Action to Validate = Update In case of update of data by 4-eyes user, the validator user can validate/reject/ed | te of |
| the record. The draft will be deleted. In case the record has been rejected the only available options for this record will view. This function allows the user to view the rejected record. Action to Validate = Update In case of update of data by 4-eyes user, the validator user can validate/reject/ed | |
| View This function allows the user to view the rejected record. Action to Validate = Update In case of update of data by 4-eyes user, the validator user can validate/reject/ed | ill be: |
| Action to Validate = Update In case of update of data by 4-eyes user, the validator user can validate/reject/ed | |
| In case of update of data by 4-eyes user, the validator user can validate/reject/ed | |
| | |
| | dit. To |
| Button Function | |
| View This function enables the user to view the draft record to be validate rejected. | d or |
| Edit Draft This function allows the user to edit and modify the draft. | |
| Show Draft This function enables the validator user to view the draft record to b idated or rejected. | e val- |
| Compare In case the 4 eyes validation is required because of an update of the cord, this function enables the validator user to display the change to needs to be validated. | |
| Once you click on Show Draft or Compare Draft buttons: | |
| Reject This function allows the validator user to reject the creation or update the record. The draft will be deleted. | te of |
| Validate This function allows the validator user to validate the creation or upathe record so that they can be considered valid in the system | ate of |
| In case the record has been rejected the only available options for this record wi | ll be: |
| View This function allows the user to view the rejected record. | |

3.4.1.5.1.1. Pool – Credit Freezing Type Links – History Screen

| Context of Usage | This screen displays historical information that has changed on the selected Pool – Credit Freezing Type Links. You can check the data, including the user who made the changes, and proceed further by clicking on the buttons that are shown. |
|------------------|---|
| Screen Access | Collateral and Credit >> Pool structure >> Other Credit Positions >> Pool – Credit Freezing Type Links Create / Display >> Click on the search button (after inputting the relevant Data, if needed) >> Select a Pool – Credit Freezing Type Link >> Click on the <i>History</i> button Collateral and Credit >> Pool Structure >> Other Credit Positions >> Pool – Credit Freezing Type Links Create / Display >> Click on the search button (after inputting the relevant Data, if needed) >> Select a Pool – Credit Freezing Type Link >> Click on the View button (Pool – Credit Freezing Type Links – Details Screen) >> Click on the History |
| | Button |



| Validary Start Date | horizontalHistoryRe | horizontalHistoryResult: Pool Credit Freezing Link History | | | | |
|--|-------------------------|--|--|--|--|--|
| Voldary Start Date 16/09/2011 Represent to 0 Voldary Start Date 16/09/2011 Represent to 0 Voldary Start Date 21/17/20999 Action to Voldaries 21/17/20999 Action to Voldaries 27/09/2011 Counter Research Type Industrial NCB Prod Startifier PRODUCTION PROSENT Represent PRODUCTION PROSENT Prod Startifier PRODUCTION START Voldaries Starties Consent Date 1 Monte 2011 10:65:31137 | | | | Q 1 Compare Expand All Show Differences Only 🤸 📳 | | |
| Validary Start Clare 16-09-2023 Reyected to 10-09-2023 Reyected to 20-09-2023 Validary Start Clare 3173-1999 Action 15-0-10-10-2023 Consemporary 70 Constit Freezing Type Saverster PGAL00000000090 Rejection Researc PGAL00000000090 Rejection Researc Constit Clare Cl | Fields | ▽ 2/2021-09-16 10 05:31 137/I | | 5 | | |
| Rejected 10 10 10 10 10 10 10 1 | | | | | | |
| Madey for Davie 2017-19999 2017-19999 2017-19999 2017-19999 2017-19999 2017-1999 2017- | lidity Start Date | 16/09/2021 | | | | |
| Accion to Yukinane 70 ACRI Parasing Type Marinfane ACRI Parasing Type Marinfane POL (0000000000198) Pol (000000000198) Pol (000000000198) Pol (000000000198) Pol (000000000198) Pol (000000000198) Pol (000000000198) Pol (0000000000198) Pol (0000000000198) Pol (0000000000198) Pol (00000000000198) Pol (00000000000198) Pol (00000000000198) Pol (000000000000198) Pol (000000000000198) Pol (000000000000000000000000000000000000 | Rejected | No | | | | |
| Toursepary 75 | Validity End Date | 31/12/9999 | | | | |
| Coedit Freezing Type Mentiflaar MCR Pool Secretifler POOL000000000000 Popicion Revenus Voldation Status Creation Date Levenus Date Creation User STP | Action To Validate | | | | | |
| Prod Stendard POOL0000000090 POOL0000000090 POOL0000000090 POOL0000000090 POOL00000000090 POOL0000000000000000000000000000000000 | Counterparty | 70 | | | | |
| Regrotion Reason Validation Status Chronico Date 16-095/2021 10:05:21:127 Chronico User 6 5TP | Credit Freezing Type I | nifier NCB | | | | |
| Validation States | Pool Identifier | P00L000000000000 | | | | |
| Creation Date 14/99/2021 10:06:11:137 Creation User Md STP | Rejection Reason | | | | | |
| Crestion User Id STP | Validation Status | | | | | |
| | Creation Date | 16/09/2021 10:05:31:137 | | | | |
| | Creation User Id | STP | | | | |
|) difference(s) found. | i) difference(s) found. | | | | | |
| | | | | | | |

| Pool - Credit | Pool – Credit Freezing Type Links – History Screen | | | |
|-----------------------|---|--|--|--|
| Field | Description | | | |
| Fields | Shows the fields whose information have been updated since the creation of the selected Pool – Credit Freezing Type Link. | | | |
| Timestamp | Shows the date and time when the fields have been updated. | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | |
| Button | Description | | | |
| Compare | Shows the differences between the selected records whose data have been updated. | | | |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected Pool – Credit Freezing Type Link. | | | |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected Pool – Credit Freezing Type Link. | | | |
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected Pool – Credit Freezing Type Link. | | | |
| Show Differences Only | Shows only the fields whose information have been updated since the creation of the selected Pool – Credit Freezing Type Link. | | | |

3.4.1.5.1.2 Pool – Credit Freezing Type Links – Details Screen

| Context of Usage | This screen displays detailed information on the selected Pool – Credit Freezing Type Link. You can check the data and proceed further by clicking on the buttons. |
|------------------|--|
| Screen Access | Depending how the screen is accessed, it can be used to view the valid information of the Credit Freezing Type Links or the information that requires 4 eyes validation before they can be considered valid in the system. |
| | For valid information: |
| | Collateral and Credit >> Pool structure >> Other Credit Positions >> Pool –Credit Freezing Type Links Create / Display >> Click on the search button (after inputting the relevant Data, if needed) >> Select a Pool – Credit Freezing Type Link >> Click on the <i>View</i> button |
| | For information subject to a 4 eyes validation: |
| | Collateral and Credit >> Validation / Rejection >> Validate / Reject Pool Structure Details >> Pool – Credit Freezing Type Links >> Click on the search button (after inputting the relevant Data, if needed) >> Select a Pool – Credit Freezing Type Link >> Click on the View button |





| Button | Preezing Type Links – Details Screen Description |
|------------------------|--|
| | • |
| History | [Only for valid information] |
| | This function enables you to access to the historical information of a Pool – Credit Freezing Type Link. |
| | Next screen: |
| | Pool – Credit Freezing Type Links – History Screen. |
| Context | |
| Field | Description |
| Credit Freez- | Shows the identifier of the Credit Freezing Type. |
| ing Type Identifier | Displayed format is: Max. 255 characters. |
| Counterparty | Enter / Select the RIAD Code that identifies the counterparty in the ECMS to whom the authorisation to use Monetary Policy Operation is granted. |
| Result | |
| Pool Identi- | Shows the identifier of the Pool where the credit freezing is authorised |
| fier | Displayed format is: Max. 30 characters |
| Validation de | tails |
| Action To Validate | Shows if there is any action waiting for validation. |
| Rejected | Shows if any action subject to validation has been rejected. The possible values are: |
| | - Yes |
| | - No |
| Activation De | etails |
| Validity Start Date | Shows the date from which the Pool – Credit Freezing Type Link is valid. |
| | Displayed format is: DD/MM/YYYY. |
| Validity End Date | Shows the date from which the Pool – Credit Freezing Type Link is no valid anymore. |
| | Displayed format is: DD/MM/YYYY. |
| | The Validity End Date must be equal to or later than the Validity Start Date. |
| Foot Print | |
| Creation Date | Shows the date and time of the creation of the Pool – Credit Freezing Type Link. |



| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
|---------------------|---|
| Creation User Id | Shows the identification of the user that created the Pool – Credit Freezing Type Link. |
| Update Date | Shows the date and time of the update of the Pool – Credit Freezing Type Link. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the Pool – Credit Freezing Type Link. |

3.4.1.6 Pool – Credit Line Setup Create / Display

3.4.1.6.1 Pool – Credit Line Setup – Search Screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the Pool – Credit Line Setup. | | | | | |
|-------------------------------|--|--|--|--|--|--|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. | | | | | |
| Business Case re- lated | Administration of Pools | | | | | |
| Screen Access | Depending how the screen is accessed, it can be used to search the valid information of the Credit Line Setup or the information that requires 4 eye validation before they can be considered valid in the system. | | | | | |
| | For valid information: | | | | | |
| | Collateral and Credit >> Pool structure >> Other Credit Positions >> Pool – Credit Line Setup Create / Display | | | | | |
| | For information subject to 4 eyes validation: | | | | | |
| | Collateral and Credit >> Validation / Rejection >> Validate / Reject Pool Structure Details >> Pool – Credit Line Setup | | | | | |
| Screen- shot | Search Criteria - Credit Line Stup Countryopy Pool Identifier | | | | | |
| | Validity food Date *** | | | | | |

| Pool – Credit Line Setup – Search screen | | | |
|--|--|--|--|
| Field | Description | | |
| Pool Iden- tifier | Enter / Select the identifier of the Pool where maximum credit line value is authorised. | | |
| | Required format is: Max. 30 characters | | |
| Pool Ref- | Enter the reference of the pool given by the refinancing NCB. | | |
| erence | Required format is: Max. 255 characters. | | |
| Counter- party | Enter / Select the RIAD Code that identifies the counterparty in the ECMS to whom the authorisation to use Monetary Policy Operation is granted. | | |
| Validity Start Date | Enter the date from which the Pool – Credit Line Setup is valid. The calendar icon can also be used. | | |
| | Required format is: DD/MM/YYYY. | | |



| Validity End Date | Enter the date from which the Pool – Credit Line Setup is not valid anymore. The calendar icon can also be used. |
|----------------------|--|
| | Required format is: DD/MM/YYYY. |
| | The Validity End Date must be equal to or later than the Validity Start Date. |
| Creation Date | Enter the reference date of the creation of the Pool – Credit Line Setup or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Update Date | Enter the reference date of the last update of the Pool – Credit Line Setup or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Create | This function enables you to create a new Pool – Credit Line Setup. |
| | Next screen: |
| | Pool – Credit Line Setup – Create Screen. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | - Pool - Credit Line Setup - List Screen. |

3.4.1.6.1.1 Pool – Credit Line Setup – List Screen

| by the value setting). Aft | es of the 'Upd er selecting a | ate Date' | column ir | n descend | ing order | (default |
|---|--|--|--|---|---|---|
| Administrati | Administration of Pools | | | | | |
| en Ac- Depending how the screen is accessed, it can be used to list the val formation of the Credit Line Setup or the information that requires 4 validation before they can be considered valid in the system. | | | | | | |
| For valid information: | | | | | | |
| Collateral and Credit >> Pool structure >> Other Credit Positions >> Pool – Credit Line Setup Create / Display >> Click on the search button (after inputting the relevant Data, if needed) | | | | | | |
| For information subject to a 4 eyes validation: | | | | | | |
| Structure D | etails >> Pool | l – Credit | Line Setu | p >> Click | | |
| Search Result : Credit Line Setup | | K < Page 1 | of Z > > | | | △ Q14 ★ 翻 目 目 () 🗟 |
| Pool Identifier ● ▼ NCB Mass ABVRI08[PO0L0000000163 AT0000000674745[PO0L00000000228 AT000000067538[PO0L00000000227 ABVR504[PO0L0000000217 ABVR504[PO0L0000000217 | imum Credit Lino Value 6 V Validay Start Date 6 10,000,000 100072022 1,000,000,000 22705/2022 1,000,000,000 11005/2022 100,000,000 12005/2022 100,000,000 12005/2022 | ▼ Validaty End Date ● 31/12/9998 31/12/9999 31/12/9999 31/12/9999 19/05/2022 | Counterpary © ABVR008 AT0000000674745 AT0000000655953 ABVR504 ABVR019 | Creation Date • 19/07/2022 16:05:41:221 22/06/2022 08:09:22:987 21/06/2022 08:09:42:883 19/05/2022 11:35:15:310 12/05/2022 13:03:99:96 | Update Date © 19/07/2022 16:05:41:221 22/06/2022 08:09:22:987 21/06/2022 08:49:42:883 19/05/2022 11:35:15:310 19/05/2022 17:13:14:697 | ♥ Updater User id ● ♥ STP STP STP STP |
| | by the value setting). Aft the buttons Administration of validation by For valid into Collateral a — Credit Lininputting the For information (after in Collateral a Structure Doton (after in Collateral a Collateral a Structure Doton (after in Collateral a Collatera | by the values of the 'Upd setting). After selecting a the buttons below. Administration of Pools Depending how the screet formation of the Credit Livalidation before they can For valid information: Collateral and Credit >> I Credit Line Setup Creating the relevant Data For information subject to Collateral and Credit >> V Structure Details >> Pool ton (after inputting the relevant Data Structure Details >> Pool ton (after inputting the relevant Data Structure Details >> Pool ton (after inputting the relevant Data Structure Details >> Pool ton (after inputting the relevant Data Structure Details >> Pool ton (after inputting the relevant Data Structure Details >> Pool ton (after inputting the relevant Data Structure Details >> Pool ton (after inputting the relevant Data Structure Details >> Pool ton (after inputting the relevant Data Structure Details >> Pool ton (after inputting the relevant Data Structure Details >> Pool ton (after inputting the relevant Data Structure Details >> Pool ton (after inputting the relevant Data Structure Details >> Pool ton (after inputting the relevant Data Structure Details >> Pool ton (after inputting the relevant Data Structure Details >> Pool ton (after inputting the relevant Data Structure Details >> Pool ton (after inputting the relevant Data Structure Details >> Pool ton (after inputting the relevant Data Structure Details >> Pool ton (after inputting the relevant Data Structure Details >> Pool ton (after inputting the relevant Data Structure Details >> Pool ton (after inputting the relevant Data Structure Details >> Pool ton (after inputting the relevant Data Structure Details >> Pool ton (after inputting the relevant Data Structure Details >> Pool ton (after inputting the relevant Data Structure Details >> Pool ton (after inputting the relevant Data Structure Details >> Pool ton (after inputting the relevant Data Structure Details >> Pool ton (after inputting the relevant Data Structure Details >> Pool ton (after inputting the relevant Data Structure Details >> Pool ton | by the values of the 'Update Date' setting). After selecting an entry, y the buttons below. Administration of Pools Depending how the screen is accessory formation of the Credit Line Setup validation before they can be consisted information: Collateral and Credit >> Pool structure— Credit Line Setup Create / Displainputting the relevant Data, if need for information subject to a 4 eyes. Collateral and Credit >> Validation Structure Details >> Pool— Credit ton (after inputting the relevant Data). Section Result: Credit Line Setup Section Section Section Setup S | by the values of the 'Update Date' column in setting). After selecting an entry, you can protee buttons below. Administration of Pools Depending how the screen is accessed, it conformation of the Credit Line Setup or the information before they can be considered varied information: Collateral and Credit >> Pool structure >> Conformation the Setup Create / Display >> Click inputting the relevant Data, if needed) For information subject to a 4 eyes validation Collateral and Credit >> Validation / Rejection Structure Details >> Pool — Credit Line Setup ton (after inputting the relevant Data, if needed) Secondary Conformation to (after inputting the relevant Data, if needed) Secondary Conformation (after inputting the relevant Data, if needed) | by the values of the 'Update Date' column in descend setting). After selecting an entry, you can proceed furt the buttons below. Administration of Pools Depending how the screen is accessed, it can be use formation of the Credit Line Setup or the information to validation before they can be considered valid in the selection before they can be considered valid in the selection to the considered valid in the selection before they can be considered valid in the selection collateral and Credit >> Pool structure >> Other Credit — Credit Line Setup Create / Display >> Click on the selection to a development of the collateral and Credit >> Validation / Rejection >> Validation: Collateral and Credit >> Validation / Rejection >> Validation (after inputting the relevant Data, if needed) Structure Details >> Pool — Credit Line Setup >> Click ton (after inputting the relevant Data, if needed) | by the values of the 'Update Date' column in descending order setting). After selecting an entry, you can proceed further by clithe buttons below. Administration of Pools Depending how the screen is accessed, it can be used to list the formation of the Credit Line Setup or the information that requir validation before they can be considered valid in the system. For valid information: Collateral and Credit >> Pool structure >> Other Credit Position—Credit Line Setup Create / Display >> Click on the search but inputting the relevant Data, if needed) For information subject to a 4 eyes validation: Collateral and Credit >> Validation / Rejection >> Validate / Rejection (after inputting the relevant Data, if needed) Structure Details >> Pool—Credit Line Setup >> Click on the ston (after inputting the relevant Data, if needed) |



| Pool - C | redit Line Setup – List Screen |
|---|---|
| Field | Description |
| Pool Identifier | Shows the identifier of the Pool where maximum credit line value is authorised. |
| | Displayed format is: Max. 30 characters. |
| Pool | Shows the reference of the pool given by the refinancing NCB. |
| Refer- ence | Displayed format is: Max. 255 characters. |
| Counter- party | Shows the RIAD Code that identifies the counterparty in the ECMS to whom the authorisation to use Monetary Policy Operation is granted. |
| NCB | Shows the Maximum Credit line value authorised set by the NCB. |
| Max- imum Credit Line Value | Displayed format is: Max. 11 integer and 2 decimals (99.999.999.999,99) |
| Validity Start Date | Shows the date from which the Pool – Credit Line Setup is valid. Displayed format is: DD/MM/YYYY. |
| Validity End | Shows the date from which the Pool – Credit Line Setup is not valid anymore. |
| Date | Displayed format is: DD/MM/YYYY. |
| | The Validity End Date must be equal to or later than the Validity Start Date. |
| Creation Date | Shows the reference date of the creation of the Pool – Credit Line Setup or use the calendar icon. |
| | Displayed format is: DD/MM/YYYY |
| Update | Shows the date and time of the last update of the Pool – Credit Line Setup. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the Pool – Credit Line Setup. |
| After sele | ecting a record, the following buttons are displayed |
| Button | Function |
| History | [Only for valid information] |
| | This function enables you to access to the historical information of a Pool – Credit Line Setup. |
| | Next screen: |
| | - Pool - Credit Line Setup - History Screen. |
| Edit | This function enables you to edit a Pool – Credit Line Setup. |
| | Next screen: |
| | - Pool - Credit Line Setup - Edit Screen. |
| View | This function enables you to access to the detailed information of a Pool – Credit Line Setup. |
| | Next screen: |
| | - Pool - Credit Line Setup - Details Screen. |
| | een is used in the 4 eyes validation context, the following buttons are also dis- hen a record is selected |
| Action to | Validate = Creation |



| In case of creation of new data by 4-eyes user, the validator user will validate/reject. | | | |
|--|--|--|--|
| Button | Function | | |
| Edit | This function allows the validator user to edit and modify the draft. | | |
| View | This function enables the validator user to view the draft record to be validated or rejected. | | |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system | | |
| Reject | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. | | |
| In case th | ne record has been rejected the only available options for this record will be: | | |
| View | This function allows the user to view the rejected record. | | |
| Action to | Validate = Update | | |
| | f update of data by 4-eyes user, the validator user can validate/reject/edit. To leeds to go first in the show/compare draft button. | | |
| Button | Function | | |
| View | This function enables the user to view the draft record to be validated or rejected. | | |
| Edit Draft | This function allows the user to edit and modify the draft. | | |
| Show Draft | This function enables the validator user to view the draft record to be validated or rejected. | | |
| Compare Draft | In case the 4 eyes validation is required because of an update of the record, this function enables the validator user to display the change that needs to be validated. | | |
| Once you | click on Show Draft or Compare Draft buttons: | | |
| Reject Draft | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. | | |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system | | |
| In case th | e record has been rejected the only available options for this record will be: | | |
| View | This function allows the user to view the rejected record. | | |
| | | | |

3.4.1.6.1.1. Pool – Credit Line Setup – History Screen

| Context of Usage | This screen displays historical information that has changed on the selected Pool – Credit Line Setup. You can check the data, including the user who made the changes, and proceed further by clicking on the buttons that are shown. |
|------------------|---|
| Screen Access | Collateral and Credit >> Pool structure >> Other Credit Positions >> Pool – Credit Line Setup Create / Display >> Click on the search button (after inputting the relevant Data, if needed) >> Select a Pool – Credit Line Setup >> Click on the <i>History</i> button |
| | Collateral and Credit >> Pool Structure >> Other Credit Positions >> Pool – Credit Line Setup Create / Display >> Click on the search button (after inputting the relevant Data, if needed) >> Select a Pool – Credit Line Setup >> Click on the View button (Pool – Credit Line Setup – Details Screen) >> Click on the History Button |



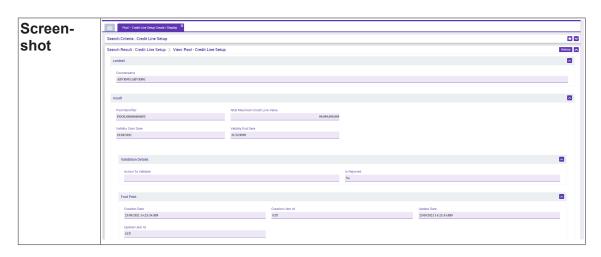
| roon | horizontalHistoryResult : Credit I | ne Configuration SLA History | |
|-------------|------------------------------------|-------------------------------------|---|
| reen- ot | | | Q 1 Compare Expand All Straw Differences Only 🔸 🛂 |
| a t | Fields | ▽ 9999002/2021-09-14-08-30:08-504/1 | |
| JL | | | |
| | Validity Start Date | 14/09/2021 | |
| | Is Rejected | No | |
| | Validity End Date | 31/12/9999 | |
| | Action To Validate | | |
| | Counterparty | 68 | |
| | NCB Maximum Credit Line Value | 9,999,999 | |
| | Pool Identifier | P00L0000000000057 | |
| | Rejection Reason | | |
| | Validation Status | | |
| | Creation Date | 14/09/2021 08:30:08:504 | |
| | Creation User Id | STP | |
| | (0) difference(s) found. | | |
| | | | |

| Pool – Credit Line Setup – History Screen | | |
|---|---|--|
| Field | Description | |
| Fields | Shows the fields whose information have been updated since the creation of the selected Pool – Credit Line Setup. | |
| Timestamp | Shows the date and time when the fields have been updated. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Button | Description | |
| Compare | Shows the differences between the selected records whose data have been updated. | |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected Pool – Credit Line Setup. | |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected Pool – Credit Line Setup. | |
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected Pool – Credit Line Setup. | |
| | Shows only the fields whose information have been updated since the creation of the selected Pool – Credit Line Setup. | |

3.4.1.6.1.2 Pool – Credit Line Setup – Details Screen

| Context of Usage | This screen displays detailed information on the selected Pool – Credit Line Setup. You can check the data and proceed further by clicking on the buttons. |
|------------------|---|
| Screen Access | Depending how the screen is accessed, it can be used to view the valid information of the Credit Line Setup or the information that requires 4 eyes validation before they can be considered valid in the system. |
| | For valid information: |
| | Collateral and Credit >> Pool structure >> Other Credit Positions >> Pool – Credit Line Setup Create / Display >> Click on the search button (after inputting the relevant Data, if needed) >> Select a Pool – Credit Line Setup >> Click on the <i>View</i> button |
| | For information subject to a 4 eyes validation: |
| | Collateral and Credit >> Validation / Rejection >> Validate / Reject Pool Structure Details >> Pool – Credit Line Setup >> Click on the <i>search</i> button (after inputting the relevant Data, if needed) >> Select a Pool – Credit Line Setup >> Click on the <i>View</i> button |





| Pool - Credit | : Line Setup – Details Screen | | |
|---------------------------|---|--|--|
| Button | Description | | |
| History | [Only for valid information] | | |
| j | This function enables you to access to the historical information of a Pool – Credit Line Setup. | | |
| | Next screen: | | |
| | - Pool - Credit Line Setup - History Screen. | | |
| Context | | | |
| Field | Description | | |
| Counterparty | Shows the RIAD Code that identifies the counterparty in the ECMS to whom the authorisation to use Monetary Policy Operation is granted. | | |
| Result | | | |
| Pool Identi- fier | Shows the identifier of the Pool where maximum credit line value is authorised. | | |
| | Displayed format is: Max. 30 characters. | | |
| NCB Max- | Shows the Maximum Credit line value authorised set by the NCB. | | |
| imum Credit Line Value | Displayed format is: Max. 11 integer and 2 decimals (99.999.999,99) | | |
| Validity Start | Shows the date from which the Pool – Credit Line Setup is valid. | | |
| Date | Displayed format is: DD/MM/YYYY. | | |
| Validity End Date | Shows the date from which the Pool – Credit Line Setup is not valid anymore. | | |
| | Displayed format is: DD/MM/YYYY. | | |
| | The Validity End Date must be equal to or later than the Validity Start Date. | | |
| Validation de | Validation details | | |
| Action To Validate | Shows if there is any action waiting for validation. | | |
| Rejected | Shows if any action subject to validation has been rejected. The possible values are: | | |
| | - Yes | | |
| | – No | | |
| Foot Print | | | |



| Creation | Shows the date and time of the creation of the Pool – Credit Line Setup. |
|---------------------|---|
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the Pool – Credit Line Setup. |
| Update Date | Shows the date and time of the update of the Pool – Credit Line Setup. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the Pool – Credit Line Setup. |

3.4.1.7 Pool – External CMS Link Create / Display

3.4.1.7.1 Pool – External CMS Link – Search Screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the Pool – External CMS Link. | | | | | |
|---|--|--|--|--|--|--|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. | | | | | |
| Business Case re- lated | Administration of Pools | | | | | |
| Screen Access | Depending how the screen is accessed, it can be used to search the valid information of the External CMS Link or the information that requires 4 eyes validation before they can be considered valid in the system. | | | | | |
| | For valid information: | | | | | |
| | Collateral and Credit >> Pool structure >> Collateral Positions >> Pool – External CMS Link Create / Display | | | | | |
| | For information subject to 4 eyes validation: | | | | | |
| Collateral and Credit >> Validation / Rejection >> Validate / Rejection >> Validate / Rejection >> Pool – External CMS Link | | | | | | |
| Screen- | Search Criteria: SMC Type Link | | | | | |
| shot | Selection Uniterial Collections Collection C | | | | | |
| | Validity Start Date: •• ▼ | | | | | |
| | O Cream Q Search | | | | | |

| Pool – External CMS Link – Search screen | | | |
|--|--|--|--|
| Field | Description | | |
| Pool Identifier | Enter / Select the identifier of the Pool to which the aggregated value of the collateral position held in the external system managed locally by an NCB is added. | | |
| | Required format is: Max. 30 characters | | |
| Pool Reference | Enter the reference of the pool given by the refinancing NCB. | | |
| | Required format is: Max. 255 characters. | | |
| External CMS Identifier | Enter / Select the identifier of the External CMS where the collateral position is held. | | |
| | Required format is: Max. 35 characters. | | |
| Creation Date | Enter the reference date of the creation of the Pool – External CMS Link or use the calendar icon. | | |



| | Required format is: DD/MM/YYYY | | |
|------------------------|---|--|--|
| Validity Start Date | Enter the date from which the Pool – External CMS Link is valid. The calendar icon can also be used. | | |
| | Required format is: DD/MM/YYYY. | | |
| Validity End Date | Enter the date from which the Pool – External CMS Link is not valid anymore. The calendar icon can also be used. | | |
| | Required format is: DD/MM/YYYY. | | |
| | The Validity End Date must be equal to or later than the Validity Start Date. | | |
| Update Date | Enter the reference date of the last update of the Pool – External CMS Link or use the calendar icon. | | |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs | | |
| | | | |
| Button | Function | | |
| Button Reset | Function This function enables you to clear the form. | | |
| | | | |
| Reset | This function enables you to clear the form. This function enables you to create a new Pool – External CMS | | |
| Reset | This function enables you to clear the form. This function enables you to create a new Pool – External CMS Link. | | |
| Reset | This function enables you to clear the form. This function enables you to create a new Pool – External CMS Link. Next screen: | | |
| Reset | This function enables you to clear the form. This function enables you to create a new Pool – External CMS Link. Next screen: — Pool – External CMS Link – Create Screen. This function enables you to start a search according to the filled | | |

3.4.1.7.1.1 Pool – External CMS Link – List Screen

| Context of Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. | | | | | |
|-------------------------------|---|--|--|--|--|--|
| Business Case re- lated | Administration of Pools | | | | | |
| Screen Access | Depending how the screen is accessed, it can be used to list the valid formation of the External CMS Link or the information that requires 4 eyes validation before they can be considered valid in the system. | | | | | |
| | For valid information: | | | | | |
| | Collateral and Credit >> Pool structure >> Collateral Positions >> Pool – External CMS Link Create / Display >> Click on the search button (after inputting the relevant Data, if needed) | | | | | |
| | For information subject to a 4 eyes validation: | | | | | |
| | Collateral and Credit >> Validation / Rejection >> Validate / Reject Pool Structure Details >> Pool – External CMS Link >> Click on the <i>search</i> button (after inputting the relevant Data, if needed) | | | | | |
| Screenshot | Search Result : EMC Type Link C * C | | | | | |

Pool – External CMS Link – List Screen



| Field | Description | | | | |
|----------------------|---|--|--|--|--|
| Pool Identi- fier | Shows the identifier of the Pool to which the aggregated value of the collateral position held in the external system managed locally by an NCB is added. | | | | |
| | Displayed format is: Max. 30 characters | | | | |
| Pool Refer- | Shows the reference of the pool given by the refinancing NCB. | | | | |
| ence | Displayed format is: Max. 255 characters. | | | | |
| External CMS Identi- | Shows the identifier of the External CMS where the collateral position is held. | | | | |
| fier | Displayed format is: Max. 35 characters. | | | | |
| Creation Date | Shows the reference date of the creation of the Pool – External CMS Link or use the calendar icon. | | | | |
| | Displayed format is: DD/MM/YYYY | | | | |
| Validity | Shows the date from which the Pool – External CMS Link is valid. | | | | |
| Start Date | Displayed format is: DD/MM/YYYY. | | | | |
| Validity End Date | Shows the date from which the Pool – External CMS Link is not valid anymore. | | | | |
| | Displayed format is: DD/MM/YYYY. | | | | |
| | The Validity End Date must be equal to or later than the Validity Start Date. | | | | |
| Update Date | Shows the date and time of the last update of the Pool – External CMS Link. | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | |
| Updater User Id | Shows the identification of the user that made the last update of the Pool – External CMS Link. | | | | |
| After selectir | ng a record, the following buttons are displayed | | | | |
| Button | Function | | | | |
| History | [Only for valid information] | | | | |
| | This function enables you to access to the historical information of a Pool – External CMS Link. | | | | |
| | Next screen: | | | | |
| | Pool – External CMS Link – History Screen. | | | | |
| Edit | This function enables you to edit a Pool – External CMS Link. | | | | |
| | Next screen: | | | | |
| | Pool – External CMS Link – Edit Screen. | | | | |
| View | This function enables you to access to the detailed information of a Pool – External CMS Link. | | | | |
| | Next screen: | | | | |
| | Pool – External CMS Link – Details Screen. | | | | |
| | is used in the 4 eyes validation context, the following buttons are also disarecord is selected | | | | |
| Action to Va | alidate = Creation | | | | |
| In case of cr | eation of new data by 4-eyes user, the validator user will validate/reject. | | | | |
| Button | Function | | | | |
| Edit | This function allows the validator user to edit and modify the draft. | | | | |



| View | This function enables the validator user to view the draft record to be validated or rejected. | | | | |
|------------------|--|--|--|--|--|
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system | | | | |
| Reject | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. | | | | |
| In case the r | ecord has been rejected the only available options for this record will be: | | | | |
| View | This function allows the user to view the rejected record. | | | | |
| Action to Va | alidate = Update | | | | |
| | odate of data by 4-eyes user, the validator user can validate/reject/edit. To ds to go first in the show/compare draft button. | | | | |
| Button | Function | | | | |
| View | This function enables the user to view the draft record to be validated or rejected. | | | | |
| Edit Draft | This function allows the user to edit and modify the draft. | | | | |
| Show Draft | This function enables the validator user to view the draft record to be validated or rejected. | | | | |
| Compare Draft | In case the 4 eyes validation is required because of an update of the record, this function enables the validator user to display the change that needs to be validated. | | | | |
| Once you cli | ck on Show Draft or Compare Draft buttons: | | | | |
| Reject Draft | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. | | | | |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system | | | | |
| In case the r | ecord has been rejected the only available options for this record will be: | | | | |
| View | This function allows the user to view the rejected record. | | | | |

3.4.1.7.1.1. Pool – External CMS Link – History Screen

| Context of Usage | This screen displays historical information that has changed on the selected Pool – External CMS Link. You can check the data, including the user who made the changes, and proceed further by clicking on the buttons that are shown. | | | |
|------------------|---|--|--|--|
| Screen Access | Collateral and Credit >> Pool structure >> Collateral Positions >> Pool External CMS Link Create / Display >> Click on the search button (after inputting the relevant Data, if needed) >> Select a Pool – External CMS Link >> Click on the <i>History</i> button | | | |
| | Collateral and Credit >> Pool Structure >> Collateral Positions >> Pool External CMS Link Create / Display >> Click on the search button (after inputting the relevant Data, if needed) >> Select a Pool – External CMS Link >> Click on the View button (Pool – External CMS Link – Details Screen) >> Click on the History Button | | | |



| croon- | horizontalHistoryResult : EN | AC Type Link History | ^ |
|-----------------|------------------------------|-------------------------|---|
| Screen- shot | | | Q 1 Kill 🔦 Show Differences Only Expand All Compare |
| chot | Fields | | |
| 1101 | | | |
| | | | |
| | Validity Start Date | 08/03/2022 | |
| | Is Rejected | No | |
| | Validity End Date | 31/12/9999 | |
| | Action To Validate | | |
| | Counterparty | 91 | |
| | Em C Type | EFC | |
| | Pool Identifier | P00L0000000075 | |
| | Rejection Reason | | |
| | Validation Status | | |
| | Creation Date | 08/03/2022 13:08:15:395 | |
| | Creation User Id | ATCB007 | |
| | (0) difference(s) found. | | |
| | | | |
| | | | |

| Pool – External CMS Link – History Screen | | | |
|---|---|--|--|
| Field | Description | | |
| Fields | Shows the fields whose information have been updated since the creation of the selected Pool – External CMS Link. | | |
| Timestamp | Shows the date and time when the fields have been updated. | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | |
| Button | Description | | |
| Compare | Shows the differences between the selected records whose data have been updated. | | |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected Pool – External CMS Link. | | |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected Pool – External CMS Link. | | |
| Collapse All | All Collapse the expanded information of the fields that have been updated since the creation of the selected Pool – External CMS Link. | | |
| | fer-Shows only the fields whose information have been updated since the creation of the selected Pool – External CMS Link. | | |

3.4.1.7.1.2 Pool – External CMS Link – Details Screen

| Context of Usage | This screen displays detailed information on the selected Pool – External CMS Link. You can check the data and proceed further by clicking on the buttons. | | | |
|------------------|--|--|--|--|
| Screen Access | Depending how the screen is accessed, it can be used to view the valid information of the External CMS Link or the information that requires 4 eyes validation before they can be considered valid in the system. | | | |
| | For valid information: | | | |
| | Collateral and Credit >> Pool structure >> Collateral Positions >> Pool – External CMS Link Create / Display >> Click on the search button (after inputting the relevant Data, if needed) >> Select a Pool – External CMS Link >> Click on the View button | | | |
| | For information subject to a 4 eyes validation: | | | |
| | Collateral and Credit >> Validation / Rejection >> Validate / Reject Pool Structure Details >> Pool – External CMS Link >> Click on the <i>search</i> button (after inputting the relevant Data, if needed) >> Select a Pool – External CMS Link >> Click on the View button | | | |





| Pool – Exter | rnal CMS Link – Details Screen | | | |
|--|---|--|--|--|
| Button | Description | | | |
| History | [Only for valid information] | | | |
| | This function enables you to access to the historical information of a Pool – External CMS Link. | | | |
| | Next screen: | | | |
| | Pool – External CMS Link – History Screen. | | | |
| Context | | | | |
| Field | Description | | | |
| Pool Identi- fier | Shows the identifier of the Pool to which the aggregated value of the collateral position held in the external system managed locally by an NCB is added. | | | |
| | Displayed format is: Max. 30 characters. | | | |
| Result | | | | |
| | Shows the identifier of the External CMS where the collateral position is held. | | | |
| fier | Displayed format is: Max. 35 characters. | | | |
| Validity | Shows the date from which the Pool – External CMS Link is valid. | | | |
| Start Date | Displayed format is: DD/MM/YYYY. | | | |
| Validity End Date | Shows the date from which the Pool – External CMS Link is not valid anymore. | | | |
| | Displayed format is: DD/MM/YYYY. | | | |
| | The Validity End Date must be equal to or later than the Validity Start Date. | | | |
| Validation d | etails | | | |
| Action To Validate | Shows if there is any action waiting for validation. | | | |
| Rejected | Shows if any action subject to validation has been rejected. The possible values are: | | | |
| | - Yes | | | |
| | - No | | | |
| Foot Print | | | | |
| Creation | Shows the date and time of the creation of the Pool – External CMS Link. | | | |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | |
| Creation User Id | Shows the identification of the user that created the Pool – External CMS Link. | | | |
| Update | Shows the date and time of the update of the Pool – External CMS Link. | | | |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | |
| Updater Shows the identification of the user that made the last update of the I User Id – External CMS Link. | | | | |



3.4.2 Global Collateral Position Management

3.4.2.1 Cash as Collateral

3.4.2.1.1 Cash Collateral Instructions

Cash Collateral Instructions are instructions used to mobilise or demobilise Cash as Collateral on a pool of a Counterparty. These instructions can be sent by a Counterparty or an ECMS Party (including an NCB) acting on behalf of a Counterparty or alternatively generated internally by the ECMS itself.

The ECMS manages the following list of Cash Collateral Instructions:

- Cash Mobilisation Instruction
- Cash Demobilisation Instruction
- Automatic Cash Mobilisation
- Automatic Cash Demobilisation Instruction
- Conversion of Cash to Collateral Instruction

3.4.2.1.1.1 Cash Collateral Instructions – Input Screen

| Context of Usage | This screen is used to input manually a Cash Collateral Instruction. Mandatory fields are underlined in red. | | | | |
|-------------------------------|---|---|-------------------------------|--------|--|
| Business Case re- lated | Input a Cash Collateral (de)Mobilisation Instruction | | | | |
| Screen Access | Collateral and Credit >> Collateral >> Cash Collateral >> Input Cash Collateral Instruction | | | | |
| Screen- shot | Toput Cesh Collateral Instruction Input Cesh Collateral Instruction Counterparty Details Profit inential Adventory April 1997 Instruction Details Cash Collateral Instruction ID G00061818ABANT Collateral Asset III Amount | Partyle Instruction Reference Total Cesh Collaboral Intended Settlement Date 28/06/2022 | Instruction Τχρε 35,981.39 | | |
| | 5 Reset | | | ✓ Save | |

| Cash Collateral Instructions – Input screen | | |
|---|--|--|
| Counterparty Details | | |
| Field | Description | |
| Pool ID* | Enter / Select the identifier of the Pool where the Cash as Collateral is (de)mobilised. | |
| | Required format is: Max. 30 characters | |
| Instruction Deta | ails | |
| Cash Collateral Instruction ID# | Shows the unique reference identifying the Cash Collateral Instruction assigned by the ECMS. | |
| | Displayed format is: Max. 30 characters | |
| Party's Instruc- | Enter the Reference of the instruction given by the Instructing Party. | |
| tion Reference* | Required format is: Max. 30 characters | |



| Instruction | Enter / Select the type of Cash Collateral from the possible values: |
|-------------------------------------|--|
| Type* | - Mobilisation |
| | - Demobilisation |
| | Conversion of cash to collateral |
| Cash Collateral Asset Identifier | Enter the Cash Collateral Asset Id to be used in the Cash Collateral Instruction |
| Total Cash Collateral# | Shows the total Cash Collateral in the Pool. |
| Margin Call Value# | Shows the value of the Margin Call for the Pool |
| Amount* | Enter the amount in Euro of the cash to be (de)mobilised. |
| Intended Settle- ment Date# | Shows the date on which the Cash Collateral Instruction is meant to be settled (set to the current business date). |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Save | This function enables you to save the creation of the Cash Collateral Instruction. |

3.4.2.1.1.2 Cash Collateral Instructions – Search Screen

| Context of Usage | This screen is used to search Cash Collateral Instructions. It contains the fields that can be used as search criteria. |
|-------------------------------|---|
| | The user captures the fields that correspond to its criteria for searching Cash Collateral Instructions. |
| | If a field is left blank, the field is not taken into account as a search criteria. |
| | Once search criteria have been filled, by clicking on the search button, the list of instructions fulfilling the criteria will be displayed. |
| Business Case re- lated | Search/List/View Cash Collateral (de)Mobilisation Instructions |
| Screen Access | Depending how the screen is accessed, it can be used to search the valid information of the Cash Collateral Instructions or the information that requires 4 eyes validation before they can be considered valid in the system. |
| | For valid information: |
| | Collateral and Credit >> Collateral >> Cash Collateral >> Cash Collateral Display |
| | For information subject to 4 eyes validation: |
| | Collateral and Credit >> Validation / Rejection >> Validate / Reject Cash Collateral >> Cash Collateral Display |
| Screenshot | Confidence Deploy 2 Display Cash College II Instruction |
| | Cost Collisional Instruction ** |
| | Counterparty ** * Pool Identifier ** * Instruction Status ** * |
| | Instruction Type ••• Update Date •• Update Date •• Update Date •• Update Date •• Update Date ••• Update Date •• Update Date •• Update Date •• Update Date Date Date Date Date Date Date D |
| | ○ Souts |

Cash Collateral Instructions – Search screen



| Field | Description | | | | |
|--------------------------------|--|--|--|--|--|
| Cash Collateral instruction ID | Enter the unique reference identifying the Cash Collateral Instruction assigned by the ECMS. | | | | |
| | Required format is: Max. 30 characters | | | | |
| Party's Instruc- | Enter the Reference of the instruction given by the Instructing Party. | | | | |
| tion Reference | Required format is: Max. 30 characters | | | | |
| Intended Settle- ment Date | Enter the reference date on which the Cash Collateral Instruction is meant to be settled or use the calendar icon. | | | | |
| | Required format is: DD/MM/YYYY | | | | |
| Pool ID | Enter / Select the identifier of the Pool where the Cash as Collateral is (de)mobilised. The magnifier icon can also be used. | | | | |
| | Required format is: Max. 30 characters | | | | |
| Counterparty | Enter / Select the RIAD Code of the ECMS Counterparty (de)mobilising the Cash as Collateral. | | | | |
| | Required format is: Max. 30 characters | | | | |
| Instruction | Enter / Select the Status of the instruction from the possible values: | | | | |
| Status | - Cash Incomplete | | | | |
| | - Cash Rejected | | | | |
| | - Cash Settled | | | | |
| | - Cash Instructed | | | | |
| | Waiting T2 Confirmation | | | | |
| U2A | Enter / Select whether the instruction was capture in U2A mode or not. The possible values are: | | | | |
| | - Yes | | | | |
| | - No | | | | |
| Instruction Type | Enter / Select the type of Cash Collateral from the possible values: | | | | |
| | - Mobilisation | | | | |
| | - Demobilisation | | | | |
| | Automatic Mobilisitation | | | | |
| | Automatic Demobilisitation | | | | |
| | Conversion of cash to collateral | | | | |
| Update Date | Enter the reference date of the last update of the Cash Collateral Instruction or use the calendar icon. | | | | |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs | | | | |
| Creation Date | Enter the reference date of the creation of the Cash Collateral Instruction or use the calendar icon. | | | | |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs | | | | |
| Button | Function | | | | |
| Reset | This function enables you to clear the form. | | | | |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the Cash Collateral Instruction - List Screen. | | | | |
| | Next screen: | | | | |
| | Cash Collateral Instruction – List Screen. | | | | |



3.4.2.1.1.2. Cash Collateral Instructions – List screen

| Context of Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. | | | |
|-------------------------------|---|--|--|--|
| Business Case re- lated | Search/List/View Cash Collateral (de)Mobilisation Instructions | | | |
| Screen Access | Depending how the screen is accessed, it can be used to list the valid information of the Cash Collateral Instructions or the information that requires 4 eyes validation before they can be considered valid in the system. | | | |
| | For valid information: | | | |
| | Collateral and Credit >> Collateral >> Cash Collateral >> Cash Collateral Display >> Click on the search button (after inputting the relevant data, if needed) | | | |
| | For information subject to a 4 eyes validation: | | | |
| | Collateral and Credit >> Validation / Rejection >> Validate / Reject Cash Collateral >> Cash Collateral Display >> Click on the <i>search</i> button (after inputting the relevant Data, if needed) | | | |
| Screenshot | Cach Colleteral Instructions List (| | | |
| | Composition Composition | | | |

| Cash Collateral Instructions – List screen | | | | |
|--|--|--|--|--|
| Column | Description | | | |
| Cash Collateral instruction ID | Shows the unique reference identifying the Cash Collateral Instruction assigned by the ECMS. | | | |
| | Displayed format is: Max. 30 characters | | | |
| Party's Instruc- | Shows the Reference of the instruction given by the Instructing Party. | | | |
| tion Reference | Displayed format is: Max. 30 characters | | | |
| Intended Settle- ment Date | Shows the reference date on which the Cash Collateral Instruction is meant to be settled. | | | |
| | Displayed format is: DD/MM/YYYY | | | |
| Pool ID | Shows the identifier of the Pool where the Cash as Collateral is (de)mobilised. | | | |
| | Displayed format is: Max. 30 characters | | | |
| Counterparty | Shows the RIAD Code of the ECMS Counterparty (de)mobilising the Cash as Collateral. | | | |
| | Displayed format is: Max. 30 characters | | | |
| Instruction Type | Shows the type of Cash Collateral from the possible values: | | | |
| | - Mobilisation | | | |
| | - Demobilisation | | | |
| | Automatic Mobilisitation | | | |



| | Automatic Demobilisitation |
|------------------------------------|--|
| | Conversion of cash to collateral |
| U2A | Shows whether the instruction was capture in U2A mode or not. The possible values are: |
| | - Yes |
| | - No |
| Instruction | Shows the Status of the instruction from the possible values: |
| Status | - Cash Incomplete |
| | - Cash Rejected |
| | - Cash Settled |
| | - Cash Instructed |
| | Waiting T2 Confirmation |
| Amount | Shows the amount in Euro of the cash (de)mobilised. |
| Action to validate | Present only when the screen is used in the context of 4 eyes validations, |
| | Shows if the validation is required following a creation or an update of the record. |
| Creation Date | Shows the date and time of the creation of the Instruction. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the Instruction. |
| Update Date | Shows the date and time of the last update of the Instruction. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the Instruction. |
| After selecting a | record, the following buttons are displayed |
| Button | Function |
| View | This function enables you to access to the detailed information of the selected Instruction. |
| | Next screen: |
| | Cash Collateral Instructions – Details Screen. |
| History | [Only for valid information] |
| | This function enables you to access to the historical information of the selected Instruction. |
| | Next screen: |
| | Cash Collateral Instructions – History Screen. |
| If the screen is uplayed when a re | sed in the 4 eyes validation context, the following buttons are also dis- ecord is selected |
| Action to Valida | ate = Creation |
| In case of creation | on of new data by 4-eyes user, the validator user will validate/reject. |
| Button | Function |
| View | This function enables the user/validator user to view the draft record to be validated or rejected. |
| Validate | This function allows the user to validate the creation or upate of the record so that they can be considered valid in the system |



| | This function allows the user to reject the creation or update of the record. The draft will be deleted. | | |
|-------------------|--|--|--|
| In case the recor | In case the record has been rejected the only available options for this record will be: | | |
| View | This function allows the user to view the rejected record. | | |

3.4.2.1.1.2.1 Cash Collateral Instructions – History Screen

| Context of Usage | ted Cash user who | Collateral Instr | ruction. You can | check the data | nged on the selec- , including the cking on the but- |
|------------------|--|---|--|---|--|
| Screen Access | eral E data, | Display >> Click | | utton (after inpu | al >> Cash Collat- utting the relevant ion >> Click on |
| | Collateral and Credit >> Collateral >> Cash Collateral >> Cash Collateral Display >> Click on the search button (after inputting the relevant data, if needed) >> Select a Cash Collateral Instruction Click on the View button >> Click on the History button | | | | |
| | eral E data, | Display >> Click if needed) >> S | on the search b Select a Cash Co | utton (after inpu Ilateral Instruct | utting the relevant |
| Screenshot | eral E data, <i>View</i> | Display >> Click if needed) >> S button >> Click | on the search b Select a Cash Co | utton (after inpu Ilateral Instruct | utting the relevant |
| Screenshot | eral E data, View | Display >> Click if needed) >> S button >> Click | on the search b Select a Cash Co on the <i>History</i> b | utton (after inpu Illateral Instruct outton | utting the relevant ion Click on the |
| Screenshot | eral E data, <i>View</i> | Display >> Click if needed) >> S button >> Click | on the search b Select a Cash Co | utton (after inpu Ilateral Instruct | utting the relevant ion Click on the |
| Screenshot | eral E data, View | Display >> Click if needed) >> S button >> Click | on the search b Select a Cash Co on the <i>History</i> b | utton (after inpu Illateral Instruct outton | utting the relevant ion Click on the |
| Screenshot | eral E data, View | Display >> Click if needed) >> S button >> Click | on the search b Select a Cash Co on the <i>History</i> b | utton (after inpu Illateral Instruct outton | utting the relevant ion Click on the |
| Screenshot | eral E data, View | Display >> Click if needed) >> S button >> Click Collateral Movement History | on the search be select a Cash Co on the <i>History</i> b | utton (after inpublicateral Instruct | utting the relevant ion Click on the |
| Screenshot | eral E data, View | Display >> Click if needed) >> S button >> Click **Colleteral Movement History** **CondetisM MY/2022 06 17 18 ve 23 2014 Cash Registed | on the search be select a Cash Co on the <i>History</i> b | utton (after inpublicateral Instructivutton | utting the relevant ion Click on the |

| Cash Colla | Cash Collateral Instructions – History Screen | | | |
|-------------------------------|--|--|--|--|
| Field | Description | | | |
| Fields | Shows the fields whose information have been updated since the creation of the selected Cash Collateral Instruction. | | | |
| Timestamp | Shows the date and time when the fields have been updated | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | |
| Button | Description | | | |
| Compare | Shows the differences between the selected records whose data have been updated. | | | |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected Cash Collateral Instruction. | | | |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected Cash Collateral Instruction. | | | |
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected Cash Collateral Instruction. | | | |
| Show Dif- ferences Only | Shows only the fields whose information have been updated since the creation of the selected Cash Collateral Instruction. | | | |

3.4.2.1.1.2. Cash Collateral Instructions – Details screen

Context of Usage

This screen displays detailed information on the selected Cash Collateral Instruction. You can check the data and proceed further by clicking on the buttons.



| Case re- lated | Search/List/View Cash Collateral (de)Mobilisation Instructions | | | | | | |
|-------------------|--|--|---------------------------|---|--------------------|----------------------|------------------|
| Screen Access | Depending how information of the quires 4 eyes vatem. | he Cash (| Collateral | Instructions | or the in | formation | that re- |
| | For valid inform | ation: | | | | | |
| | Collateral and Credit >> Collateral >> Cash Collateral >> Cash Collateral Display >> Click on the search button (after inputting the relevant data needed) >> Click on the <i>View</i> button | | | | | | |
| | For information | subject to | o a 4 eye | s validation: | | | |
| | Collateral and Credit >> Validation / Rejection >> Validate / Reject Cash Collateral >> Cash Collateral Display >> Click on the <i>search</i> button (after inputting the relevant Data, if needed) >> Click on the <i>View</i> button | | | | | | |
| | Collateral >> Ca | ash Colla | teral Disp | olay >> Click | on the s | <i>earch</i> but | ton (after |
| Screenshot | Collateral >> Ca inputting the rel | ash Colla evant Da | teral Disp | olay >> Click | on the s | <i>earch</i> but | ton (after on |
| Screenshot | Collateral >> Ca inputting the relations ties > Cash Collegeal Institution Details | ash Colla evant Da struction View screen | teral Disp ta, if need | olay >> Click ded) >> Click | on the s | <i>earch</i> but | ton (after on |
| Screenshot | Collateral >> Ca inputting the rel | ash Colla evant Da | teral Disp ta, if need | olay >> Click | on the s | <i>earch</i> but | ton (after on |
| Screenshot | Collateral >> Cainputting the reliable continuiting the reliable continuities of the collaboration of the collabor | ash Collar evant Dar attuction View screen Cash Colleged Instruc- | teral Disp ta, if need | olay >> Click (ded) >> Click | on the s | earch but View butto | ton (after on |
| Screenshot | Collateral >> Cainputting the reliable of the collateral Institution Detail Ceah Collateral Institution Detail Institution Detail Party Institution Detail Party Institution Detail Party Institution Detail Party Institution Detail Security In | ash Collar Levant Dar struction View screen Cush Colleged Instruc- PEALATHELINERSE ATRONOMORBUS STREET NEC Cash Account | teral Disp ta, if need | olay >> Click ded) >> Click | on the s | earch but | ton (after on |
| Screenshot | Collateral >> Cainputting the reliable continuous conti | ash Collar evant Dar atruction View screen | teral Disp ta, if need | olay >> Click ded) >> Click | on the s | earch but View butto | ton (after on |
| Screenshot | Collateral >> Cainputting the reliable of the collateral Institution Detail Ceah Collateral Institution Detail Institution Detail Party Institution Detail Party Institution Detail Party Institution Detail Party Institution Detail Security In | ash Collar Levant Dar struction View screen Cush Colleged Instruc- PEALATHELINERSE ATRONOMORBUS STREET NEC Cash Account | teral Disp ta, if need | olay >> Click ded) >> Click | on the s | earch but View butto | ton (after on |
| Screenshot | Collateral >> Cainputting the reliable continuous conti | ash Collar Levant Dar struction View screen Cush Colleged Instruc- PEALATHELINERSE ATRONOMORBUS STREET NEC Cash Account | teral Disp ta, if need | olay >> Click ded) >> Click | on the s | earch but View butto | ton (after |
| Screenshot | Collateral >> Cainputting the reliable of the collateral instruction Lies > Cash Collateral Instruction Edit > Cash Colla | ash Collar Levant Dar struction View screen Cush Colleged Instruc- PEALATHELINERSE ATRONOMORBUS STREET NEC Cash Account | teral Disp ta, if need | olay >> Click ded) >> Click | on the s | earch but View butto | ton (after |
| Screenshot | Collateral >> Cainputting the reliable of the collateral instruction betals Cash Collateral Instruction Edits > Cash Collateral Instruction Details Party h Instruction Reference Party h Instruction Reference Party Party Party | ash Collar Levant Dar struction View screen Cush Colleged Instruc- PEALATHELINERSE ATRONOMORBUS STREET NEC Cash Account | teral Disp ta, if need | olay >> Click ded) >> Click | on the s on the | earch but View butto | ton (after |
| Screenshot | Collateral >> Cainputting the reliable of the collateral instruction Lies > Cash Collateral Instruction Edit > Cash Colla | ash Collar Levant Dar struction View screen Cush Colleged Instruc- PEALATHELINERSE ATRONOMORBUS STREET NEC Cash Account | teral Disp ta, if need | olay >> Click ded) >> Click | on the s on the | earch but View butto | ton (after |
| Screenshot | Collateral >> Cainputting the reliable of the collateral institution betains institution betains provide a collateral institution betains provide institution betains | ash Collar Levant Dar struction View screen Cush Colleged Instruc- PEALATHELINERSE ATRONOMORBUS STREET NEC Cash Account | teral Disp ta, if need | olay >> Click ded) >> Click Manuacian Type | on the s on the | earch but View butto | ton (after |

| Cash Collateral Instructions – Details Screen | | |
|---|--|--|
| Button | Description | |
| History | [Only for valid information] | |
| | This function enables you to access to the historical information of the selected Cash Collateral Instruction. | |
| | Next screen: | |
| | Cash Collateral Instructions – History Screen. | |
| Instruction D | etails | |
| Field | Description | |
| Party's In- | Shows the Reference of the instruction given by the Instructing Party. | |
| struction Ref- erence | Displayed format is: Max. 30 characters | |
| Cash Collat- eral Instruc- | Shows the unique reference identifying the Cash Collateral Instruction assigned by the ECMS. | |
| tion ID | Displayed format is: Max. 30 characters | |
| Instruction | Shows the type of Cash Collateral from the possible values: | |
| Туре | - Mobilisation | |
| | - Demobilisation | |
| | Automatic Mobilisitation | |
| | Automatic Demobilisitation | |



| | Conversion of cash to collateral |
|-------------------------------|--|
| Pool ID | Shows the identifier of the Pool where the Cash as Collateral is (de)mobilised. |
| | Displayed format is: Max. 30 characters |
| Counterparty | Shows the RIAD Code of the ECMS Counterparty (de)mobilising the Cash as Collateral. |
| | Displayed format is: Max. 30 characters |
| Amount | Shows the amount in Euro of the cash (de)mobilised. |
| Counterparty | Shows the Counterparty External Cash Account reference. |
| Cash Account | Displayed format is: Max. 35 characters. |
| Intended Set- tlement Date | |
| | Displayed format is: DD/MM/YYYY |
| | [For conversion of cash to collateral only] |
| verted ld. | Shows the identifier of the Payment Instruction due to the counterparty to be cancelled because of to the conversion into cash collateral. |
| NCB Cash | Shows the NCB External Cash Account reference. |
| Account | Displayed format is: Max. 35 characters. |
| Status details | 3 |
| Instruction | Shows the Status of the instruction from the possible values: |
| Status | - Cash Incomplete |
| | - Cash Rejected |
| | - Cash Settled |
| | - Cash Instructed |
| | Waiting T2 Confirmation |
| Not Enough Collateral | Shows whether there is enough Collateral in the Pool or not. The possible values are: |
| | - Yes |
| | - No |
| Force Margin Call | Shows whether a Margin Call was forced or not. The possible values are: |
| | - Yes |
| | - No |
| U2A | Shows whether the instruction was capture in U2A mode or not. The possible values are: |
| | - Yes |
| | – No |
| Action To Validate | Shows if there is any action waiting for validation. |
| Rejected | Shows if any action subject to validation has been rejected. The possible values are: |
| | - Yes |
| | - No |
| Foot Print | |



| Creation Date | Shows the date and time of the creation of the Cash Collateral Instruction. |
|------------------------|--|
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the Cash Collateral Instruction. |
| Update Date | Shows the date and time of the update of the Cash Collateral Instruction. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the Cash Collateral Instruction. |
| Notifications | |
| The existing no | otifications of the Instruction are displayed. |
| Field | Description |
| Message Identifier | Shows the reference of the Message sent / received. |
| Notification Name | Shows the Notification Name. |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: |
| | - Prepared |
| | - Impacted |
| | - Impact Failed |
| | - Rejected |
| | - Archived |
| | - Processed |
| | - Processed with Failure |
| | - On Hold |

| · · | Shows the description of the error reported. |
|--------------------|---|
| tion | Displayed format is: Max. 255 characters. |
| Update Date | Shows the date and time of the last update of the Notification. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the Notification. |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| View Mes- sage | This function enables you to access to the detailed information of the messages for same notification. |
| | View Message – Details Screen |
| View Message | e – Details Screen |
| Field | Description |
| Message Reference | Shows the reference of the messge. |



| Direction | Shows whether the notification has been an input or output. Possible values: | | | | | |
|-----------------|---|--|--|--|--|--|
| | – In | | | | | |
| | - Out | | | | | |
| Status | Shows the status of the message. | | | | | |
| After selecting | a record, the following buttons are displayed | | | | | |
| Button | Button Function | | | | | |
| Download | This function enables you to access to the detailed information of the original message in XML format. | | | | | |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | | | | | |

| | · |
|-----------------------------|---|
| Business Val | idation Errors |
| The existing b | usiness validation errors of the Instruction are displayed. |
| To view the de View button. | etails of an existing business validation error, select it and click on the |
| Field | Description |
| Error Mes- | Shows the error message related to the business validation. |
| sage | Displayed format is: Max. 255 characters. |
| Business Rule Id | Shows the identifier of the business validation. |
| Status | Shows the status of the Business Validation. |
| Foot Print | |
| Creation Date | Shows the date and time of the creation of the Notification. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the Notification. |
| Update Date | Shows the date and time of the update of the Notification. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the Notification. |

3.4.2.1.2 Cash Collateral Interest

A Cash Collateral Accrued Interests represents the daily calculation of the accrued interest for cash mobilised as collateral in a Pool.

The ECMS keeps tracks of each daily calculation of the accrued interest.

Through the different screens described in this section, an NCB user can access to the details of the Cash Collateral Accrued Interest.

3.4.2.1.2.1 Cash Collateral Accrued Interest - Search Screen

| Context of Us- | This screen is used to search the calculated Cash Collateral Accrued |
|----------------|---|
| age | Interests. It contains the fields that can be used as search criteria. |
| | The user captures the fields that correspond to its criteria for searching Cash Collateral Accrued Interests. |



| | If a field is left blank, the field is not taken into account as a search criteria. Once search criteria have been filled, by clicking on the search button, the list of instructions fulfilling the criteria will be displayed. | | | | | |
|---------------|---|---|--------------------------------------|---|-----------------------|--------|
| Screen Access | Collateral and Crulateral Interest >> | | | | | |
| Screenshot | Cash Colleted Actual Interest Cash Colleted Actual Interest Movement Reference Date and Time Time Time Time | Ö | Proof identifier → ▼ Update Date → ▼ | 0 | Calculation Dane •• ♥ | C Sust |

| Cash Collateral | Accrued Interest – Search screen |
|------------------------|---|
| Field | Description |
| Pool ID | Enter the identifier of the Pool. |
| | Required format is: Max. 30 characters |
| Calculation Date | Enter the date of calculation of the accrued interest or use the calendar icon. |
| | Required format is: DD/MM/YYYY |
| Movement Reference | Enter the reference of the cash collateral movement generated by the calculation of the accrued interests. |
| | Displayed format is: Max. 30 characters. |
| Update Date | Enter the reference date of the last update of the Cash Collateral Position or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Creation Date | Enter the reference date of the creation of the Cash Collateral Position or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the Cash Collateral Accrued Interest - List Screen. |
| | Next screen: |
| | Cash Collateral Accrued Interest – List Screen. |

3.4.2.1.2.1. Cash Collateral Accrued Interest - List Screen

| age | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. |
|---------------|---|
| Screen Access | Collateral and Credit >> Collateral >> Cash Collateral >> Cash Collateral Interest >> Monitor Cash Collateral Accrued Interests >> Click on the search button (after inputting the relevant data, if needed) |



| Screenshot | Ca | sh Collateral Accrued | Interest List | | | | | | | | | | ^ |
|------------|----------|-----------------------|--------------------------|-----------------|---------------------|---------------------------------|-------------------------------|------------------------|------------|------------------------|----------------------|---------------------|----------------------|
| Screenshot | 3 | | | | | | | | | | | Q 684 | ()□□□★♡ |
| | | Movement Referenc | Movement Type ≠ ▽ | Counterparty | Pool Identifier # 5 | Cash Interest □ Interest F | tate # 💎 Calculation Date # 🤊 | 7 Interest Type \$ | Currency © | ♡ Creation User Id ♦ ♡ | Update Date \$ 5 | Update User Id © 5 | Date and Time # 💟 |
| | 83 | POOLMVT00659668 | Cash Collateral Interes | AT0000000757870 | POGL000000000257 | 836.81 | 10 17/10/2022 | Accrued interest on ca | EUR | ECMSOperational Day | 14/10/2022 19:23:10: | ECMSOperational Day | 14/10/2022 19:23:08 |
| | E3 | POOLMVT00659664 | Cash Collateral Interes. | AT0000000666714 | P00L000000000256 | 418.73 | 10 17/10/2022 | Accrued interest on ca | BUR | ECMSOperationalDay | 14/10/2022 19:23:07: | ECMSOperational Day | 14/10/2022 19:23:03: |
| | | POOLMVT00659659 | Cash Collateral Interes. | AT0000000674745 | P00L000000000228 | 85.99 | 10 17/10/2022 | Accrued interest on ca | BUR | ECMSOperationalDay | 14/10/2022 19:23:03 | ECMSOperational Day | 14/10/2022 19:22:54 |
| | 122 | | | | | | | | | | | | |
| | 25 | P00LMVT00659852 | Cash Collateral Interes | AEVH404 | POOL000000000210 | 2,539.89 | 10 17/10/2022 | Accrued interest on ca | EUR | ECMSOperational Day | 14/10/2022 19:22:43: | ECMSOperational Day | 14/10/2022 19:22:38 |
| | 23 | POOLMVT00659649 | Cash Collateral Interes. | ABVR003 | P00L000000000166 | 53.93 | 10 17/10/2022 | Accrued interest on ca | BUR | ECMSOperationalDay | 14/10/2022 19:22:37: | ECMSOperationalDay | 14/10/2022 19:22:33 |
| | E | P00LMVT00659644 | Cash Collateral Interes | ABVR104 | P00L000000000124 | 215.84 | 10 17/10/2022 | Accrued interest on ca | BUR | ECMSOperationalDay | 14/10/2022 19:22:32: | ECMSOperational Day | 14/10/2022 19:22:25 |
| | E | P00LMVT00659641 | Cash Collateral Interes | AT0000000309375 | P00L000000000123 | 43.51 | 10 17/10/2022 | Accrued interest on ca | BUR | ECMSOperationalDay | 14/10/2022 19:22:25: | ECMSOperational Day | 14/10/2022 19:22:20 |
| | 100 | POOLMVT00659634 | Cash Collateral Interes | AT0000000309375 | POOL000000000075 | 217.25 | 10 17/10/2022 | Accrued interest on ca | EUR | ECMSOperationalDay | 14/10/2022 19:22:20: | ECMSOperational Day | 14/10/2022 19:22:05 |
| | 100 | POOLMVT00659630 | Cash Collateral Interes | ABVR004 | P00L0000000000349 | 1,561.04 | 10 17/10/2022 | Accrued interest on ca | EUR | ECMSOperationalDay | 14/10/2022 19:22:04: | ECMSOperational Day | 14/10/2022 19:21:55: |
| | | | | | | | | | | | | | ● View |

| Cash Collateral | Accrued Interest – List screen |
|------------------------|--|
| Column | Description |
| Counterparty | Shows the RIAD Code that identifies the counterparty in the ECMS to whom the Cash Collateral Position belongs. |
| | Displayed format is: Max. 30 characters. |
| Pool ID | Shows the identifier of the Pool. |
| | Displayed format is: Max. 30 characters |
| Calculation Date | Shows the date of calculation of the accrued interest or use the calendar icon. |
| | Displayed format is: DD/MM/YYYY |
| Movement Reference | Shows the reference of the movement that affects the Cash Collateral Position. |
| | Displayed format is: Max. 30 characters. |
| Interest Type | Shows the type of movement generated by the Accrued Interests from the possible value: |
| | Cash Collateral Interest Decrease |
| | Cash Collateral Interest Increase |
| Currency | Shows the currency of the Accrued Interest Amount. |
| | Displayed format is: Max. 3 characters. |
| Cash Interest | Shows the amount of the Accrued Interest calculated. |
| Interest Rate | Shows the rate that was used for the calculation of the accrued interests. |
| Creation Date | Shows the date and time of the creation of the Cash Collateral Position. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the Cash Collateral Position. |
| Update Date | Shows the date and time of the last update of the Cash Collateral Position. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the Cash Collateral Position. |
| After selecting a | record, the following buttons are displayed |
| Button | Function |
| View | This function enables you to access to the detailed information of the selected Cash Collateral Position. |
| | Next screen: |
| | Cash Collateral Positions – Details Screen. |



3.4.2.1.2.1. Cash Collateral Accrued Interest - Details Screen

This screen displays detailed information on the selected Cash Collateral Accrued Interest. You can check the data and proceed further by clicking on the buttons.

Screen Access

Collateral and Credit >> Collateral >> Cash Collateral >> Click on the search button (after inputting the relevant data, if needed)>> Select a Cash Collateral Accrued Interest >> Click on the View button

Screenshot

Conformation College Accorded Interest Cash Collateral Accrued Interest >> Click on the View button

Screenshot

Conformation College Accorded Interest Cash Collateral Cash

| Cash Collatera | Accrued Interest – Details Screen | | | | | |
|--------------------------|--|--|--|--|--|--|
| Accrued Interest Details | | | | | | |
| Field | Description | | | | | |
| Counterparty | Shows the RIAD Code that identifies the counterparty in the ECMS to whom the Cash Collateral Position belongs. | | | | | |
| | Displayed format is: Max. 30 characters. | | | | | |
| Pool ID | Shows the identifier of the Pool. | | | | | |
| | Displayed format is: Max. 30 characters | | | | | |
| Calculation Date | Shows the date of calculation of the accrued interest or use the calendar icon. | | | | | |
| | Displayed format is: DD/MM/YYYY | | | | | |
| Movement Reference | Shows the reference of the movement that affects the Cash Collateral Position. | | | | | |
| | Displayed format is: Max. 30 characters. | | | | | |
| Interest Type | Shows the type of movement generated by the Accrued Interests from the possible value: | | | | | |
| | Cash Collateral Interest Decrease | | | | | |
| | Cash Collateral Interest Increase | | | | | |
| Currency | Shows the currency of the Accrued Interest Amount. | | | | | |
| | Displayed format is: Max. 3 characters. | | | | | |
| Cash Interest | Shows the amount of the Accrued Interest calculated. | | | | | |
| Interest Rate | Shows the rate that was used for the calculation of the accrued interests. | | | | | |
| Foot Print | | | | | | |
| Creation Date | Shows the date and time of the creation of the Cash Collateral Position. | | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | | |
| Creation User Id | Shows the identification of the user that created the Cash Collateral Position. | | | | | |



| Update Date | Shows the date and time of the update of the Cash Collateral Position. |
|-------------|---|
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| • | Shows the identification of the user that made the last update of the Cash Collateral Position. |

3.4.2.1.3 Cash Collateral Positions

A cash collateral position represents the quantity of cash mobilised on a given ECMS pool at a given point in time.

The ECMS registers the cash mobilised as collateral by Counterparties as Cash Collateral Positions on an ECMS Pool and distinguishes Cash Collateral Detailed Positions that consist in the sum of the quantity of cash per instruction status and per process (Cash Collateral Decrease, Cash Collateral Increase, Cash Collateral Interest Decrease, Cash Collateral Interest Increase) and, under the pool overview, the Cash Collateral Aggregated Positions that reflect the Cash Position in the Pool by position type (actual provisional, conservative).

Through the different screens described in this section, an NCB can access to the details of the Cash Collateral Positions.

The ECMS keeps tracks of each cash collateral (de)mobilisation instruction and of the daily calculation of the accrued interest. The Cash Collateral Position is compounded of the amount of cash mobilised, the amount of cash demobilised and the daily accrued interest.

3.4.2.1.3.1 Cash Collateral Detailed Positions – Search Screen

| Context of Usage | This screen is used to search Cash Collateral Detailed Positions. It contains the fields that can be used as search criteria. | | | | | | | |
|------------------|---|--|--|--|--|--|--|--|
| | The user captures the fields that correspond to its criteria for searching Cash Collateral Positions. | | | | | | | |
| | If a field is left blank, the field is not taken into account as a search criteria. | | | | | | | |
| | Once search criteria have been filled, by clicking on the search button, the list of instructions fulfilling the criteria will be displayed. | | | | | | | |
| Screen Access | Collateral and Credit >> Pool Overview >> Positions >> Cash Collateral Position Details | | | | | | | |
| Screenshot | Cash Colinate all Position Details Search Screen | | | | | | | |
| | Proof Selectifier Coverage by | | | | | | | |
| | Process Valuation •• • Position Type •• • • Movement •• • Position Total •• • • • • • • • • • • • • • • • • • | | | | | | | |
| | Being Concelled · · · · · · · · · · · · · · · · · · · | | | | | | | |
| | O Control Q South | | | | | | | |

| Cash Collateral Detailed Positions – Search screen | | | | |
|--|---|--|--|--|
| Field | Description | | | |
| Pool ID | Enter the identifier of the Pool. | | | |
| | Required format is: Max. 30 characters | | | |
| Counterparty | Enter / Select the RIAD Code that identifies the counterparty in the ECMS to whom the Cash Collateral Position belongs. | | | |
| | Required format is: Max. 30 characters. | | | |



| Position Date | Enter the reference date of the Cash Collateral Position or use the calendar icon. |
|----------------------|---|
| | Required format is: DD/MM/YYYY |
| Process Valu- | Enter the Type of valuation process of the Cash Collateral Position |
| ation Type | Required format is: free text |
| Position Type | Enter / Select the Type of the Cash Collateral Position from the possible values: |
| | - Collateral |
| | - Interest |
| | - Main |
| | Main Standing Facilities |
| | - Interest Standing Facilities |
| | – Margin |
| | - Cash Proceeds |
| | - Cash Proceeds Interest |
| Movement Reference | Enter the reference of the movement that affects the Cash Collateral Position. |
| | Required format is: Max. 30 characters. |
| Position Nature | Enter / Select the nature of the Cash Collateral Position from the possible values: |
| | - Initiation |
| | - Return |
| Being Can- celled | Enter / Select whether the Cash Collateral Position is cancelled or not from the possible values: |
| | - Yes |
| | - No |
| Currency | Enter / Select the currency of the Cash Collateral Position. The magnifier icon can also be used. |
| | Required format is: Max. 3 characters. |
| Position Status | Enter / Select the status of the Cash Collateral Position from the possible values: |
| | - Instructed |
| | - Settled |
| Update Date | Enter the reference date of the last update of the Cash Collateral Position or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Creation Date | Enter the reference date of the creation of the Cash Collateral Position or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the Cash Collateral Position - List Screen. |
| | Next screen: |



- Cash Collateral Detailed Position - List Screen.

3.4.2.1.3.1. Cash Collateral Detalled Positions – List screen

| Context of Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. | | | | | | | | | | | | | |
|------------------|---|--|-------------------|---|---|---|--|---|--|--|---|---|--|---|
| Screen Access | Collateral and Credit >> Pool Overview >> Positions >> Cash Collateral Position Details >> Click on the search button (after inputting the relevant data, if needed) | | | | | | | | | | | | | |
| Screenshot | Movement Refer_ C | POLUDOCODO P | com writing servi | Currency 2 0 EUR Page 20 Property Valuatiful Cash Collisered In. | Position Date 4 1 19/04/2022 19/04/2022 09/05/2022 28/03/2022 28/03/2022 25/03/2022 21/03/2022 19/05/2022 29/03/2022 | | Posicion Type © Collateral | Position Nature 9 Institute of Institution | Being Cancelled # No | 19/04/2022 16:2. 19/04/2022 15:5. 09/05/2022 09:2. 28/03/2022 12:2. 28/03/2022 16:4. 25/03/2022 15:2. 21/03/2022 17:2. 19/03/2022 17:2. | Update User Ist \$ STP STP STP ESCB011 ESCB011 ESCB011 ESCB011 ESCB011 ESCB011 | Update Date 2 20/04/2022 12:2. 20/04/2022 12:1. 09/05/2022 09:3. 28/03/2022 12:2. 24/03/2022 16:4. 25/03/2022 15:2. 22/03/2022 09:0. | ESCENTI ESCENTIVIANA ECMSOperational. |

| Cash Collateral | Detalled Positions – List screen |
|------------------------|--|
| Column | Description |
| Counterparty | Shows the RIAD Code that identifies the counterparty in the ECMS to whom the Cash Collateral Position belongs. |
| | Displayed format is: Max. 30 characters. |
| Pool ID | Shows the identifier of the Pool. |
| | Displayed format is: Max. 30 characters |
| Position Date | Shows the reference date of the Cash Collateral Position. |
| | Displayed format is: DD/MM/YYYY |
| Position Type | Shows the Type of the Cash Collateral Position from the possible values: |
| | - Collateral |
| | - Interest |
| | - Main |
| | Main Standing Facilities |
| | Interest Standing Facilities |
| | - Margin |
| | - Cash Proceeds |
| | Cash Proceeds Interest |
| Position Status | Shows the status of the Cash Collateral Position from the possible values: |
| | - Instructed |
| | - Settled |
| Amount | Shows the sum of the cash collateral amount for the Process Valuation Type and the Position Status |
| Currency | Shows the currency of the amount that increases / decreases the Cash Collateral Position. |
| | Displayed format is: Max. 3 characters. |

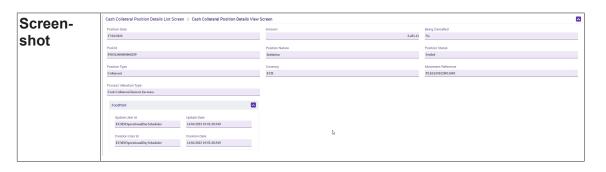


| Process Valuation Type | Shows the Type of valuation process of the Cash Collateral Position from the possible values: |
|------------------------|---|
| | Cash Collateral Decrease |
| | Cash Collateral Increase |
| | Cash Collateral Interest Decrease |
| | Cash Collateral Interest Increase |
| Position Nature | Shows the nature of the Cash Collateral Position from the possible values: |
| | - Initiation |
| | - Return |
| Movement Reference | Shows the reference of the movement that affects the Cash Collateral Position. |
| | Displayed format is: Max. 30 characters. |
| Being Can- celled | Shows whether the Cash Collateral Position is cancelled or not from the possible values: |
| | - Yes |
| | – No |
| Creation Date | Shows the date and time of the creation of the Cash Collateral Position. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the Cash Collateral Position. |
| Update Date | Shows the date and time of the last update of the Cash Collateral Position. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the Cash Collateral Position. |
| After selecting a | record, the following buttons are displayed |
| Button | Function |
| View | This function enables you to access to the detailed information of the selected Cash Collateral Position. |
| | Next screen: |
| | Cash Collateral Detailed Positions – Details Screen. |

3.4.2.1.3.1. Cash Collateral Detailed Positions – Details screen

| Caon Conat | oral Dolanca F collistic Bolanc coroon |
|------------------|--|
| Context of Usage | This screen displays detailed information on the selected Cash Collateral Position. You can check the data and proceed further by clicking on the buttons. |
| Screen Access | Collateral and Credit >> Pool Overview >> Positions >> Cash Collateral Position Details >> Click on the search button (after inputting the relevant data, if needed)>> Select a Cash Collateral Position >> Click on the View button |





| Cash Colla | ateral Detailed Positions – Details Screen |
|----------------------|---|
| Instruction | n Details |
| Field | Description |
| Pool ID | Shows the identifier of the Pool. |
| | Displayed format is: Max. 30 characters |
| Position | Shows the reference date of the Cash Collateral Position. |
| Date | Displayed format is: DD/MM/YYYY |
| Position | Shows the Type of the Cash Collateral Position from the possible values: |
| Туре | - Collateral |
| | - Interest |
| | – Main |
| | Main Standing Facilities |
| | Interest Standing Facilities |
| | - Margin |
| | - Cash Proceeds |
| | - Cash Proceeds Interest |
| Position Status | Shows the status of the Cash Collateral Position from the possible values: |
| | - Instructed |
| | - Settled |
| Position Nature | Shows the nature of the Cash Collateral Position from the possible values: |
| | - Initiation |
| | - Return |
| Amount | Shows the sum of the cash collateral amount for the Process Valuation Type and the Position Status. |
| Currency | Shows the currency of the amount that increases / decreases the Cash Collateral Position. |
| | Displayed format is: Max. 3 characters. |
| Process Valuation | Shows the Type of valuation process of the Cash Collateral Position from the possible values: |
| Туре | - Cash Collateral Decrease |
| | - Cash Collateral Increase |
| | - Cash Collateral Interest Decrease |
| | Cash Collateral Interest Increase |



| Movement Reference | Shows the reference of the movement that affects the Cash Collateral Position. |
|-----------------------|---|
| | Displayed format is: Max. 30 characters. |
| Being Can- celled | Shows whether the Cash Collateral Position is cancelled or not from the possible values: |
| | - Yes |
| | - No |
| Foot Print | |
| Creation | Shows the date and time of the creation of the Cash Collateral Position. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the Cash Collateral Position. |
| Update | Shows the date and time of the update of the Cash Collateral Position. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the Cash Collateral Position. |

3.4.2.2 Externally Managed Collateral and impacts

This process describes how the global value of a collateral position, not managed in the ECMS, is recorded in the ECMS. This functionality can only be used by NCB users or NCB systems, not directly by the Counterparty.

The update of an Externally Managed Collateral position is related to:

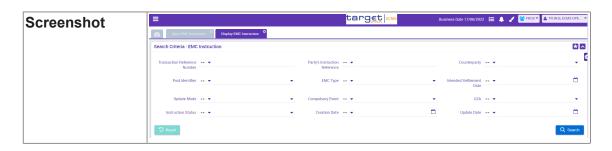
Reception of an A2A instruction from an External Actor and the message has successfully passed the general business validation checks, or;

Capturing the instruction via U2A and the instruction is validated.

3.4.2.2.1 EMC - Display Screen

| Context of Us- age | This screen contains a number of search fields regarding the EMC of the Counterparty sent by the local CMS and shows the latest and stored searches. By inputting the relevant data, you can search for the EMC. |
|-----------------------|--|
| | Depending how the screen is accessed, it can be used to search the valid information of the EMC or the information that requires 4 eyes validation before they can be considered valid in the system. |
| | The search results will be displayed in a list. After selecting an entry, you can proceed futher by clicking on the buttons below. |
| Screen Access | For valid information: |
| | Collateral and Credit >> Collateral and Credit >> Collateral >> Externally Managed Collateral >> Display EMC Instruction |
| | For information subject to 4 eyes validation: |
| | Collateral and Credit >> Validation / Rejection >> Validate / Reject EMC >> EMC Display |





| EMC - Search scr | een een |
|-------------------------------|--|
| Field | Description |
| Transaction Reference Number | Unique identifier of the instruction in the ECMS |
| EMC Type | Type of EMC update requested by the NCB (CC, Individual ACC, Portfolio ACC, EFC, RMDB, ASTD, Other) |
| Counterparty | Enter/Select the unique identifier of the counterparty in the ECMS |
| Pool Identifier | Enter/Select the unique identifier of the pool in the ECMS |
| Update Mode | Enter/Select of the update mode ("Delta" or "Cancel & Replace") |
| Amount | Enter the amount |
| U2A | Enter/Select "Yes" or "No" (if No = to A2A) |
| Intended Settle- ment Date | Enter/Select the ISD (equal or posterior to the current ECMS instruction date) |
| Creation Date | Enter the creation date of the concerend EMC instruction |
| Update Date | Enter the update date of the concerend EMC instruction |
| Instruction Status | Shows the Instruction Status of the EMC instruction. Possibble values are: |
| | - "Received", |
| | - "Validated", |
| | - "Rejected", |
| | - "Confirmed" |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |

3.4.2.2.2 EMC - List Screen

| | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. |
|---------------|---|
| | Depending how the screen is accessed, it can be used to list the valid information of the EMC or the information that requires 4 eyes validation before they can be considered valid in the system. |
| Screen Access | For valid information: |



| | Collateral and Credit >> Collateral and Credit >> Collateral >> Externally Managed Collateral >> Display >> Click on the Search button (after inputting the relevant fields, if needed) |
|------------|--|
| | For information subject to a 4 eyes validation: |
| | Collateral and Credit >> Validation / Rejection >> Validate / Reject |
| | EMC >> Cash Collateral Display >> Click on the <i>search</i> button (after inputting the relevant Reference Data, if needed) |
| Screenshot | |
| Screenshot | (after inputting the relevant Reference Data, if needed) |
| Screenshot | (after inputting the relevant Reference Data, if needed) ResultSearchReprocessExposures : Principal |
| Screenshot | (after inputting the relevant Reference Data, if needed) ResultSearchReprocessExposures: Principal (|
| Screenshot | (after inputting the relevant Reference Data, if needed) ResultSearchReprocessExposures : Principal 10 * |
| Screenshot | (after inputting the relevant Reference Data, if needed) ResultsearchReprocessExposures: Principal Common Common |
| Screenshot | (after inputting the relevant Reference Data, if needed) ResultSearchReprocessExposures : Principal 10 * |
| Screenshot | (after inputting the relevant Reference Data, if needed) ResultSearchReprocessExposures: Principal 10 |

| EMC – List Screen | | | |
|--|---|--|--|
| Field | Description | | |
| Transaction Reference Number | Shows unique identifier of the instruction in the ECMS | | |
| Party's Instruction Reference | Shows the reference of the instruction given by the instructing Party | | |
| Pool Identifier | Shows the unique identifier of the pool id in the ECMS | | |
| Counterparty | Shows the unique identifier of the counterparty id in the ECMS | | |
| Amount | Shows the amount | | |
| Compulsory Event | Shows if the event is compulsory or not ("Yes" or "No") | | |
| EMC Type | Shows the type of EMC (CC, Individual ACC, Portfolio ACC, EFC, RMDB, ASTD, Other) | | |
| Update mode | Shows the update mode ("Delta" or Cancel & replace") | | |
| Instruction Status | Shows the internal ECMS Instruction Status | | |
| Intended Settle- ment Date | Shows the ISD (equal or posterior to the current ECMS instruction date) | | |
| Update Date | Shows the Date and Time | | |
| | Format required is: YYYY/MM/DD hh:mm:ss:µs | | |
| Creation Date | Shows the Date and Time | | |
| | Format required is: YYYY/MM/DD hh:mm:ss:µs | | |
| U2A | Shows "Yes" in case of U2A mode or "No" if A2A mode | | |
| After selecting a red | After selecting a record, the following buttons are displayed | | |
| Button | Function | | |
| History | This function enables you to access to the historical information of the EMC instruction. | | |
| | Next screen: | | |
| | - EMC - History Screen. | | |
| View | This function enables you to access to the detailed information of a EMC instruction. | | |
| | Next screen: | | |
| | - EMC - Details Screen. | | |
| If the screen is used in the 4 eyes validation context, the following buttons are also displayed when a record is selected | | | |



| Function |
|--|
| In case the 4 eyes validation is required because of an update of the record, this function enables the user to display the change that needs to be validated. |
| Next screen: |
| EMC – History Screen. |
| This function enables the user to view the draft record to be validated. |
| Next screen: |
| EMC – Details Screen. |
| This function allows the user to edit and modify the draft. |
| Next screen: |
| EMC – Edit Screen. |
| This function allows the user to validate the creation or update of the record so that they can be considered valid in the system |
| This function allows the user to reject the creation or update of the record. The draft will be deleted. |
| |

3.4.2.2.3 EMC – History Screen

| Context of Usage | This screen displays historical information that has changed on the selected EMC instruction. You can check the data, including the user who made the changes, and proceed further by clicking on the buttons that are shown. |
|------------------|---|
| Screen Access | Collateral and Credit >> Collateral >> Externally Managed Collateral >> Display >> Click on the Search button (after inputting the relevant fields, if needed) >> Select a Transaction Reference Number >> Click on the History button |
| | Collateral and Credit >> Collateral >> Externally Managed Collateral >> Display >> Click on the Search button (after inputting the relevant fields, if needed) >> Select a Transaction Reference Number >> Click on the View button - Details Screen >> Click on the History Button |



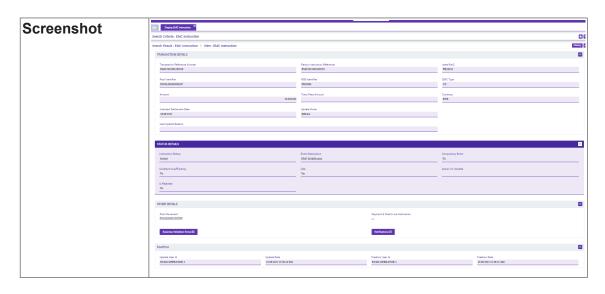
| shot horizontalHistoryResult : EM | C Instruction History | |
|-----------------------------------|-------------------------------------|--|
| | | 🔾 2 Compare Expand All Show Differences Only 🤸 🛭 |
| Fieldo | 939999015 2022-06-15 15:38:24.861 2 | 999999015 2022-06-15 15:38:15.480 1 |
| | | |
| | | |
| Last Notification Out | 3449999133 | |
| Pool Movement | EMC2022061 500558 | |
| Instruction Status | Settled | WaitingValidation |
| Creation Date | 15/06/2022.15:38:24:861 | 15/06/2022.15:38:15:480 |
| Amount | 50,000,000 | \$0,000,000 |
| Compulary Event | No | No |
| Intended Settlement Date | 16/06/2022 | 16/06/2022 |
| lo Rejected | No | No |
| U2A | Yeo | Yeo |
| Update Mode | DELTA | DELTA |
| Action To Validate | | |
| Lest Update Reason | | |
| Bill Date | | |
| Perty's Instruction Reference | EMC2022061500558 | EMC2022061500558 |
| Counterparty | 84 | 84 |
| Currency | EUR | EUR |
| EMC Type | OC C | CC |
| Instructing Party | | |
| Instruction Date | | |
| Lest Notification In | | |
| NCB Identifier | FR30001 | FR30001 |
| Notification Origin | | |
| Object Code | | |
| Object Type | | |
| Pool Identifier | P00L00000000197 | P00L00000000197 |
| Rejection Resson | | |
| Treno Feeo Amount | | |
| Validation Status | | |
| Transaction Reference Number | EMC2022061500558 | EMC2022061500558 |
| Main Reference | | |
| Creation Uper Id | ECMS OPERATOR 1 | ECMS OPERATOR 1 |
| (4) difference(a) found. | | |
| | | |
| | | |

| EMC – History Screen | |
|----------------------|--|
| Object | Description |
| Fields | Shows the fields whose information have been updated since the creation of the selected EMC instruction. |
| Timestamp | Shows the date and time when the fields have been updated. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Button | Description |
| Compare | Shows the differences between the selected records whose data have been updated. |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected EMC. |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected EMC. |

3.4.2.2.4 EMC - Details Screen

| Context of Usage | This screen displays detailed information of the selected EMC instruction. |
|------------------|--|
| | Collateral and Credit >> Collateral and Credit >> Collateral >> Externally Managed Collateral >> Display EMC Instruction >> Click on the Search button >> Select an EMC Instruction and click on the View button |





| EMC – Details screen | | |
|-------------------------------|--|--|
| Button | Description | |
| History | This function enables you to access to the historical information of a EMC instructions. | |
| | Next screen: | |
| | - EMC - History Screen. | |
| General Information | on | |
| Field | Description | |
| Transaction Reference Number | Shows unique identifier of the instruction in the ECMS | |
| Party's Instruction Reference | Shows the reference of the instruction given by the instructing Party | |
| Instructing Party | Shows the instructing party Id that initiated the instruction | |
| Pool Identifier | Shows the unique identifier of the pool id in the ECMS | |
| Counterparty Identifier | Shows the unique identifier of the counterparty id in the ECMS | |
| Counterparty name | Shows the short name of the Counterparty. | |
| NCB Amount | Shows the amount | |
| Compulsory Event | Shows if the event is compulsory or not ("Yes" or "No") | |
| EMC Type | Shows the type of EMC (CC, Individual ACC, Portfolio ACC, EFC, RMDB, ASTD, Other) | |
| Instruction Status | Shows the internal ECMS Instruction Status | |
| Intended Settle- ment Date | Shows the ISD (equal or posterior to the current ECMS instruction date) | |
| Action to Validate | Shows the action to validate | |
| Is Rejected | Shows Boolean value Yes or No | |
| U2A | Shows "Yes" in case of U2A mode or "No" if A2A mode | |
| Footprint | | |
| Creation Date | Shows the date and time of the creation of the EMC. | |
| | Displayed format is: YYYY/MM/DD hh:mm:ss:µs. | |
| Creation User Id | Shows the identification of the user that created the EMC. | |



| Update Date | Shows the date and time of the update of the EMC. |
|-----------------|--|
| | Displayed format is: YYYY/MM/DD hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the EMC. |

3.4.3 Monetary Policy Operations

3.4.3.1 Open Market Operations

The following sections describes the screens for the handling of Liquidity Providing Operations in EUR and in currency.

3.4.3.1.1 Open Market Operation – Screens

3.4.3.1.1.1 Open Market Operation – Search Screen

| Context of Us- age | This screen is used to enter criteria to retrieve the list of operations meeting the entered criteria. The screen contains a number of search fields and shows the latest and stored performed searches. By inputting the relevant data you can search for all operations that fit the input criteria. The search results will be displayed in a list. When selecting a row, you can proceed further by clicking one of the buttons that are shown |
|-----------------------|--|
| | Depending how the screen is accessed, it can be used to search the valid information of the Open Market Operation or the informa- tion that requires 4 eyes validation before they can be considered valid in the system. |
| Screen Access | For valid information : |
| | Collateral and Credit >> Exposure >> Open Market Operations >> Operations >> Display OMO Instruction |
| | For information subject to 4 eyes validation: |
| | Collateral and Credit >> Exposure >> Open Market Operations >> Validate / Reject Operations |
| Screenshot | Search Cheesia Advantuses DE Company Comp |
| | Bibliefé ++ ¥ SeptyateGomén filme ++ ¥ Fi-Center; ++ ¥ |
| | Abbreedber == |
| | UQL == * Upon One == * D |
| | <u> </u> |

| Operations – Search screen | |
|----------------------------|---|
| General Information | |
| Field | Description |
| OMORefNo | Enter the OMO reference number that uniquely identifies the operation in the ECMS. |
| | Required Format: YYYYnnnn |
| Internal Reference ID | Enter the technical reference number that uniquely identifies the operation in the ECMS |
| Pool Identifier | Enter the pool Identifier |



| Bidder ID | Enter the counterparty identifier/ Name or retrieve it with the magnifying glass |
|------------------|--|
| | Enter the operation type you are looking for. |
| Segregated Op- | List of possible values: |
| eration Name | – LTRO |
| | - TLTRO-I |
| | - TLTRO-II |
| | - TLTRO-III |
| | - TLTRO-IV |
| FX Currency | Enter/select the currency of the operation |
| Allotment Date | Enter a date or use the calendar icon to select one |
| | Required format is: DD/MM/YYYY. |
| Settlement Date | Enter a date or use the calendar icon to select one |
| | Required format is: DD/MM/YYYY. |
| Maturity Date | Enter a date or use the calendar icon to select one |
| | Required format is: DD/MM/YYYY. |
| Auction type | Enter/select the auction type from the drop-down menu one of the following values : |
| | - "Fixed Rate Tender" |
| | - "Variable Rate Tender" |
| To be netted | Yes / No |
| Netting Refer- | Enter the application reference number that uniquely identifies the |
| ence | netting result in the ECMS. |
| Allotment Status | Possible values: |
| | - Cancelled |
| | - Closed |
| | Waiting Manual Intervention |
| | - Margin Release |
| | - Margin Reservation |
| | - Partially Reimbursed |
| | - Pending Closure |
| | - Pending Settlement |
| | - Rejected |
| | - Settled |
| | - Validated |
| | - Waiting Validation |
| Is Amended | Enter Yes or No to display amended instructions |
| U2A | Enter Yes or No to display U2A instruction |
| Update date | Enter a date or use the calendar icon to select one |
| D " | Required format is: DD/MM/YYYY. |
| Button | Function This first the problem was to place the forms |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |



3.4.3.1.1.1. Open Market Operation – List Screen

| age | This screen gives the list of operations resulting from the request entered in the display screen after clicking on the button Search. The screen Search is displayed below the query. |
|-----------------------|--|
| | Depending how the screen is accessed, it can be used to search the valid information of the Open Market Operation or the information that requires 4 eyes validation before they can be considered valid in the system |
| Screen Access | For valid information: |
| | Collateral and Credit >> Exposure >> Open Market Operations >> Operations >> Display OMO Instruction >> Click on the Search button (after inputting the relevant fields, if needed) |
| | For information subject to 4 eyes validation: |
| | Collateral and Credit >> Exposure >> Open Market Operations >> Validate / Reject Waiting Validation >> Click on the Search button (after inputting the relevant fields, if needed) |
| | |
| Screenshot | |
| | 2 2000. 1879.0. 1870. 18 |
| | □ 50000, 187900, 19790 1979 19790 1979 19790 19 |
| | 55900, FAVEL 1330 1 1 |
| | |
| Operations – List | screen |
| General Information | |
| Field | Description |
| OMORefNo | Shows the OMO reference number that uniquely identifies the operation in the ECMS. |
| Internal Reference ID | Shows the internal reference identifier. |
| MP Operation Type | Shows the 'Monetary Policy operation type referenced on the allotment from the possible values: |
| | - MRO |
| | - FTRO |
| | - LTRO |
| | – TLTRO-I |
| | - TLTRO-II |
| | - TLTRO-III |
| | - TLTRO-IV |
| | - Non-Euro LPO |
| | |



| Segregated Operation Name | This Field is fulfullied only when Operation Name is equal to Longer term Refinancing. Shows the Segregated Operation Name from the possible values: |
|-------------------------------------|--|
| | - LTRO |
| | - TLTRO-I |
| | - TLTRO-II |
| | - TLTRO-III |
| | - TLTRO-IV |
| Pool Identifier | Shows the identifier that uniquely identifies the Pool of the Coun- |
| l oor identifier | terparty. |
| Bidder ID | Shows the identifier of the Counterparty |
| Allottment date | Shows the date of the allotment |
| Settlement Date | Shows the business date at which the operation was/ will be settled |
| Maturity Date | Shows the business date at which the operation will mature. |
| Nominal | Filled with the alloted amount in EUR. |
| | In case of OMO in EUR: the alloted amount. |
| | In case of NON-EUR OMO : the countervalue in EUR of the FX alloted amount. |
| Initial Margin | Shows the initial margin. |
| Currency | Shows the currency used in the pool (EUR) |
| FX Rate | Shows the Fx Rate used for the operation |
| FX Currency | Shows the Currency when the operation is in foreign currency |
| FX Amount | Shows the amount allotted in Foreign currency |
| Is Interest Rate Dismissed | Shows whether the credit position will be impacted if the interest is negative. |
| | The value of this filed is retrieved from the system parameter "Dismissed rate" Possible values: |
| | Yes: the credit position will not be impacted if the interest is negative. |
| | No: the credit position will be impacted if the interest is negative. |
| Interest Rate | Shows the interest Rate to apply for the calculation of the daily accrued interest. |
| Accrued Interest | Shows the accrued interest. |
| Last Interest Cal- culation Date | Shows the last interest calculation date. |
| Next Interest Cal- culation Date | Shows the next interest calculation date. |
| | |
| To be netted | Yes / No |
| Netting Reference | Shows the netting reference of the netting result. |
| Netting Status | Shows the current status of the netting result. |
| Allotment status | Shows the status of the OMO. |
| Status Reason | Shows the status reason. |



| Update Date | Shows the date of the last update | | | |
|-------------------------------------|--|--|--|--|
| Update User Id | Shows the identifier of the last user updating the operation | | | |
| After selecting a ron right button) | record, the following buttons are displayed (also available with click | | | |
| Button | Function | | | |
| History | This function enables you to access to the historical information of an operation. | | | |
| | Next screen displayed under the list screen: | | | |
| | Operation – History Screen. | | | |
| View | This function enables you to access to the detailed information of an operation. | | | |
| | Next screen displayed under the list screen: | | | |
| | Open Market Operation – details Screen. | | | |
| | sed in the 4 eyes validation context, the following buttons are also record is selected | | | |
| Button | Function | | | |
| Compare Draft | In case the 4 eyes validation is required because of an update of the record, this function enables the user to display the change that needs to be validated. | | | |
| | Next screen: | | | |
| | Open Market Operations – History Screen. | | | |
| View Draft | This function enables the user to view the draft record to be validated. | | | |
| | Next screen: | | | |
| | Open Market Operations – Details Screen. | | | |
| Validate | This function allows the user to validate the creation or update of the record so that they can be considered valid in the system | | | |
| Reject | This function allows the user to reject the creation or update of the record. The draft will be deleted. | | | |
| | | | | |

| 3.4.3.1.1.1. | Open Market Operation – History screen | | | | | |
|--------------|--|--|--|--|--|--|
| 2 | Context of Usage | This screen displays historical information that has changed on the selected Instruction. You can check the data and proceed further by clicking on the buttons that are shown. | | | | |
| | Screen Access | Collateral and Credit >> Exposure >> Open Market Operations Operation>> Display OMO instruction >> Click on the Search button (after inputting the relevant fields, if needed)>> Select an instruction>> Click on the History Button | | | | |
| | | Collateral and Credit >> Exposure >> Open Market Operations Operations >> Display OMO Instruction >> clicking on Search button>> Select an instruction>> Click on the View Button >> Click on the History Button | | | | |



| not | horizontalHistoryResult : Principal Histo | ry | | | | | | | |
|-----|---|--------------------------------|--------------------------------|--------------------------------|--------------------------------|--------------------------------|--------------------------------|---------------------------------|------------------------|
| 101 | Q 🗓 Compare Expand All Stoke Differences Dely 🏍 🗓 | | | | | | | | |
| | lelds 💎 | LP020220614000778(2022-0; | LP0202206140007782022-0 | LP020220614000778(2022-0) | LP020220614000778(2022-0) | LP020220614000778(2022-0); | LP020220614000778(2022-0;) | LP020220614000778(2022-0;) | LP020220614000778(20 |
| | | | | | | | | | |
| | | | | | | | | | |
| | NCB Identifier | 7 | 7 | 7 | 7 | 7 | 7 | 7 | |
| | Remaining Amount To Return + Accrued Intere- | 0 | 15,000 | 15,000 | 15,000 | 15,000 | 15,000 | 15,000 | |
| | Effective Realised Amount | 15,000 | 15,000 | 15,000 | 0 | 0 | 0 | 0 | 0 |
| | Is For Transfer | Yes | Yes | No | No | No | No | No | No |
| | Next Interest Calculation Date | | 15/06/2022 | 15/06/2022 | 15/06/2022 | 15/06/2022 | 15/06/2022 | 15/05/2022 | |
| | Pool identifier | P00L000000000136 | P00L000000000136 | POOL000000000136 | P00L000000000136 | P00L000000000136 | POOL000000000136 | POOL00000000136 | |
| | Provisional Interest in EUR | 0.42 | 0.42 | 0.42 | 0.42 | 0.42 | 0.42 | 0.42 | |
| | Provisional Maturity Amount in EUR | 15,000.42 | 15,000.42 | 15,000.42 | 15,000.42 | 15,000.42 | 15,000.42 | 15,000.42 | |
| | Realisation Date Reached | Yes | Yes | Yes | Yes | Yes | No | No | No |
| | Outstanding Amount in EURO | 0 | 15,000 | 15,000 | 15,000 | 15,000 | 15,000 | 15,000 | |
| | Remaining Value | 0 | 0 | 0 | 15,000 | 15,000 | 15,000 | 15,000 | |
| | Instruction Status | Closed | PendingClosure | Activated | PendingActivation | PendingActivetion | Initiated | Preinitiated | ExposureWeitingVelides |
| | SubStatus | | | | | Weiting Payment Confirmation | Pending | | |
| | Used As Collateral | Yes | No |
| | Creation Date | 14/06/2022 18:12:17:735 | 14/06/2022 18:12:10:053 | 14/06/2022 17:45:08:705 | 14/06/2022 17:45:03:830 | 14/06/2022 17:43:49:428 | 14/06/2022 17:43:05:888 | 14/05/2022 17:42:55:612 | 14/05/2022 17:42:50:19 |
| | Internal Reference ID | LP020220614000778 | LP020220614000778 |
| | Accrued Interest | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| | Can Modify | No | No |
| | Party's Instruction Reference | AINMROtest | AINMROtest |
| | Coverage Rate | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| | Exposure Class Name | Principal | Principal |
| | Exposure Type | com vermeg collateralManagemen | com vermeg collateralManagemen | com vermeg collateralManagemen | com vermeg colleteralManagemen | com vermeg collateralManagemen | com vermeg collateralManagemen | com vermeg collateral Managemen | com.vermeg.collateralM |
| | Generate Loan Schedule | No | No |
| | Has Termination Date | No | No |

| OMO-Instruction – History Screen | | |
|----------------------------------|--|--|
| Field | Description | |
| Fields | Shows the fields whose information have been updated since the creation of the selected instruction. | |
| Timestamp | Shows the date and time when the fields have been updated. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Button | Description | |
| Compare | Shows the differences between the selected records whose data have been updated. | |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected Party. | |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected Party. | |
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected OMO-instruction. | |
| Show Differences Only | Shows only the fields whose information have been updated since the creation of the selected OMO instrution. | |

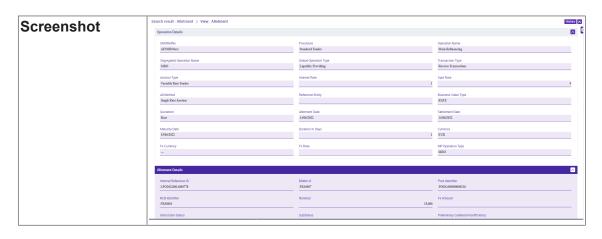
3.4.3.1.1.1. Open Market Operation -- Details screen

3

Context of Usage
This screen gives a view of selected Open Market Operations resulting from the request

- Collateral and Credit >> Exposure >> Open Market Operations >> Operations >> Display OMO Instruction >> clicking on Search button>> Select an instruction>> Click on the View Button





| OMO-Operations- | OMO instruction – Details Screen |
|--------------------------------|--|
| Button | Description |
| History | This function enables you to access to the historical information of an Early repayment instruction. |
| | Next screen: |
| | - OMO Instruction - History Screen. |
| Operation Details | |
| Field | Description |
| OMORefNo | Shows the application reference number that uniquely identifies the operation in the ECMS. |
| Revision | Shows the revision number of the OMO. |
| Procedure | Shows the "Procedure" |
| | Possible values: |
| | Standard Tender |
| | – Quick Tender |
| | _ |
| Operation Name | Possible values: |
| | Main Refinancing |
| | Longer-term Refinancing |
| | - Fine-tuning |
| | - Structural |
| | - Other |
| Segregated Oper- ation Name | This Field is fulfullied only when Operation Name is equal to Longer term Refinancing. Shows the Segregated Operation Name from the possible values: |
| | - LTRO |
| | - TLTRO-I |
| | - TLTRO-II |
| | - TLTRO-III |
| | - TLTRO-IV |
| Operation Type | Shows the Operation Type: "Liquidity Providing" |
| Transaction Type | Shows the Transaction Type: "Reverse Transactions" |
| Auction Type | Shows the type of the auction |



| Allotment Method | - Possible values: | | | |
|------------------------|--|--|--|--|
| | - Single Rate Auction | | | |
| | Multiple Rates Auction | | | |
| Reference Entity | This field is free text in TOP. It defines the underlying interest rate, e.g. average MRO rate used for the computation of the applicable interest rate. This field requires the selection of 'Spread' in the field 'Quotation'. | | | |
| Business Value Type | Shows the Business Value Type. | | | |
| Quotation | Shows the Quotation. | | | |
| | Possible values: | | | |
| | - Spread | | | |
| | - Rate | | | |
| | - Price | | | |
| Allotment Date | Displayed format: DD/MM/YYYY | | | |
| Settlement Date | Displayed format: DD/MM/YYYY | | | |
| Maturity Date | Displayed format: DD/MM/YYYY. | | | |
| Duration In Days | Number of days between the Value Date and the Maturity Date. | | | |
| Currency | EUR (currency used in the pool) | | | |
| FX Currency | Shows the Currency when the operation is in foreign currency | | | |
| FX Rate | Shows the FX Rate when the operation is in foreign currency. | | | |
| Spread | Spread to be applied to the interest rate | | | |
| MP Operation Type | Shows the 'Monetary Policy operation type referenced on the allotment from the possible values – MRO | | | |
| | - FTRO | | | |
| | - LTRO | | | |
| | - TLTRO-I | | | |
| | - TLTRO-II | | | |
| | 1 - 1 - 1 - 1 - 1 - 1 - 1 - 1 - 1 - 1 - | | | |
| | - TLTRO-III | | | |
| | - TLTRO-IV | | | |
| | – Non Euro LPO | | | |
| All () (D) ()! | - SO | | | |
| Allotment Details | To short out of some and the all store out of some has the acceptance | | | |
| Internal Reference | Technical reference of the allotment given by the system | | | |
| Bidder ID | Shows the identifier of the Counterparty | | | |
| Pool Identifier | Shows the identifier of the pool. | | | |
| NCB Identifier | Counterparty's NCB. | | | |
| | The ISO-country code is the SenderReference in the TOP file. | | | |
| Nominal | Filled with the alloted amount in EUR | | | |
| | In case of OMO in EUR: the alloted amount. | | | |
| | In case of NON-EUR OMO: the countervalue in EUR of the FX alloted amount. | | | |
| FX Amount | Amount allotted in Foreign currency | | | |
| | | | | |



| Allotment Status | Shows the status of the allotment. | | | |
|--|--|--|--|--|
| Status Reason | Shows the status reason. | | | |
| Preliminary Collateral Insufficiency | Shows that this Allotment instruction has created an insufficiency of collateral | | | |
| | Values : | | | |
| | Yes: There is not enough collateral to include this movement in CL calculation. | | | |
| | No: There is enough collateral to include this movement in CL calculation. | | | |
| | | | | |
| Is Partially Reim- bursed | Yes or No | | | |
| Is fully Early Repaid | Yes or No | | | |
| Operation Amount | ts in EUR | | | |
| Initial margin | Shows the initial margin | | | |
| Provisional Interest in EUR | Shows the provisional interest in euro. | | | |
| Provisional Maturity Amount in EUR | Shows the Amount of collateral needed on maturity date in euro. | | | |
| Externally Covered Amount | Shows the externally covered amount. | | | |
| Reimbursed Amount in EUR | Shows the amount reimbursed due to early repayment in euro. | | | |
| Outstanding Amount in EUR | Shows the outstanding amount in euro. | | | |
| Amounts in Curre | ncy | | | |
| Provisional Interest in currency | Shows the provisional interest in currency | | | |
| Provisional Matur- ity Amount in | Shows the Amount of collateral needed on maturity date in currency. | | | |
| Reimbursed Amount in Cur- rency | Shows the amount reimbursed due to early repayment in currency. | | | |
| Outstanding Amount in Cur- rency | Shows the outstanding amount in currency. | | | |
| Interest | | | | |
| Reference Rate | Shows the reference rate. | | | |
| Days Basis | Method used for the interest calculation (e.g. Actual On 360) | | | |
| Interest Rate | Shows the interest rate. | | | |
| Accrued Interest | Accrued interest amount. | | | |
| | Accrued interest amount in currency. | | | |
| | Part of interest covered externally. | | | |
| Interest | This field is filled in if externally covered amount is different from 0. | | | |
| Is Interest Rate Dismissed | Shows whether the credit position will be impacted if the interest is negative. | | | |



| | The value of this filed is retrieved from the system parameter "Dismissed rate" Possible values: |
|--------------------------------------|--|
| | Yes: the credit position will not be impacted if the interest is negative. |
| | No: the credit position will be impacted if the interest is negative. |
| Accounting Rate | Shows the accounting Rate. |
| Is Different Ac- | Possible values: |
| countingRate | - Yes |
| | - No |
| Accrued Accounting Interest | Shows the Accrued Accounting Interest |
| Accrued Accounting Interest Currency | Shows the Accrued Accounting Interest in Currency |
| Last Interest Cal- | Last time the process of interest calculation ran. |
| culation Date | Displayed format: DD/MM/YYYY |
| Next Interest Cal- | Next time the process of interest calculation will run. |
| culation Date | Displayed format: DD/MM/YYYY |
| Footprint | |
| Update User Id | Shows the identification of the user that made the last update. |
| Update Date | Shows the date and time of the Early Repayment last update. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the data. |
| Creation Date | Shows the date and time of the Early Repayment creation. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Payments Details | |
| Button | Movement Details |
| To be netted | Yes or No |
| Netted payment ID | Link reference to the global payment resulting from the netted payments. |
| | Technical field fed when the netting process (automatic or manual) is performed. |
| | Empty if the netting indicator is set to NO. |
| Netting Status | Shows the current status of the netting result. |
| Display Movemen | ts |
| App reference | Shows the reference number that uniquely identifies the movement |
| OMORefNo | Shows the OMO reference number that uniquely identifies the operation in the ECMS. |
| Bidder ID | Shows the Identifier of the Counterparty |
| Pool Reference | Shows the Identifier that uniquely identifies the Pool of the Counterparty. |
| 1 | |



| Intended payment date | Shows the Intended payment Date of Initiation movement Format : DD/MM/YYYY | | | |
|-------------------------------------|---|--|--|--|
| Modification reason | Shows the modification reason related to the interest movement | | | |
| Event description | Event type | | | |
| Collateral Insuffi- | Shows the indicator of collateral insufficiency | | | |
| ciency | one we wanted or conditional meaning oney | | | |
| Status | Shows the status of the movement | | | |
| Updator user Id | Shows the identification of the user that made the last update | | | |
| Update date | Shows the date and time of the last update. | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | |
| Initiation & Return | 1 | | | |
| Button | Movements Details | | | |
| Display Movemen | | | | |
| App reference | Shows the reference number that uniquely identifies the move- ment | | | |
| OMORefNo | Shows the OMO reference number that uniquely identifies the operation in the ECMS. | | | |
| Bidder ID | Shows the Identifier of the Counterparty | | | |
| Pool Reference | Shows the Identifier that uniquely iodentifies the Pool of the Counterparty. | | | |
| Amount | Shows the Movement Amount | | | |
| Intended settle- | Shows the Intended settlement Date movement | | | |
| ment date | Format : DD/MM/YYYY | | | |
| Modification reason | Shows the modification reason related to the movement | | | |
| Event description | Event type | | | |
| Collateral Insuffi- ciency check | Shows the indicator of collateral insufficiency | | | |
| Status | Shows the status of the movement | | | |
| Updator user Id | Shows the identification of the user that made the last update | | | |
| Update date | Shows the date and time of the last update. | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | |
| Button | Position Details | | | |
| Search Result : Ca | sh Position | | | |
| Bidder ID | Shows the Identifier of the Counterparty to whom the cash collateral position belongs | | | |
| Process reference | Shows the reference number that uniquely identifies the operation | | | |
| Pool Identifier | Shows the Identifier that uniquely iodentifies the Pool of the Counterparty. | | | |
| Position Date | Shows the Date of the Cash Collateral Position | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs | | | |
| Position Status | Shows the status of the Cash Collateral Position from the possible values : | | | |
| | - Instructed | | | |
| | - Settled | | | |
| | | | | |



| Book Amount | Shows the book amount of the Cash Collateral Position | | |
|---------------------------|---|--|--|
| Margin Amount | Shows the amount of the initial margin | | |
| Amount | Shows the amount of the Cash Collateral Position | | |
| Currency | Shows the currency of the Cash Collateral Position | | |
| Position Type | Shows the type of the Cash Collateral position from the possible value : | | |
| | - Collateral | | |
| | - Interrest | | |
| Validity Date | | | |
| Update Date | Shows the reference date and time of the last update of the cash collateral position. | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | |
| Update User Id | Shows the identification of the user that made the last update | | |
| Creation Date | Shows the reference date and time of the creation of the Cash Collateral Position. | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | |
| Creator User Id | Shows the identification of the user that made the creation | | |
| Process Valuation Type | Shows the Type of valuation process of the Cash Collateral Position from the possible values: | | |
| | - Cash Collateral Decrease | | |
| | - Cash Collateral Increase | | |
| | Cash Collateral Interest Decrease | | |
| | Cash Collateral Interest Increase | | |
| Position Nature | Shows the nature of the Cash Collateral Position from the possible values: | | |
| | - Initiation | | |
| | - Return | | |
| Being cancelled | Shows whether the Cash Collateral Position is cancelled or not from the possible values: | | |
| | - Yes | | |
| | - No | | |
| Business Validation | on Error | | |
| Error Message | Shows the error reason in case of incomplete instruction. | | |
| His rule ID | Has Incomplete Status Identifier. | | |
| Status | Shows the status of the early repayment instruction. | | |
| | · | | |

3.4.3.1.2 Open Market Operation – Interest Rates screens

3.4.3.1.2.1 Open Market Operation – Interest Rate Search Screen

| Context of Us- | This screen is used to enter criteria to retrieve the list of interest |
|----------------|---|
| age | rates input manually. The screen contains a number of searches |
| | fields and shows the latest and stored performed searches. By in- |
| | putting the relevant data, you can search for all interest rates that fit |



| | the input criteria. The search results will be displayed in a list. When selecting a row, you can proceed further by clicking one of the buttons that are shown | | |
|---------------|---|--|--|
| Screen Access | Collateral and Credit >> OMO Interest Rates >> Display | | |
| Screenshot | Search Collection Separation Interestitate Collection 1 | | |

| Interest Rates – Search screen | | | | |
|--------------------------------|--|--|--|--|
| Search Criteria: | Search Criteria : Operation Interest Rate | | | |
| Field | Description | | | |
| OMORefNo | Enter the Transaction Number that uniquely identify the allotment in ECMS. | | | |
| Bidder Id | Enter/select the counterparty identifier. | | | |
| Effective Date | Enter the date from which the input interest rate is applicable regardless of the input date. | | | |
| Update Date | Shows the update date filld in automatically | | | |
| Button | Function | | | |
| Reset | This function enables you to clear the form. | | | |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. | | | |

3.4.3.1.2.2 Open Market Operation – Interest Rates List Screen

| Context of Us- age | This screen gives the list of interest rates input manually and resulting from the request entered in the display screen after clicking on the button Search. The screen Search is displayed below the query. | | | | | |
|-----------------------|---|---|-------------------|--------------------|-------------------------|---------------------------------|
| Screen Access | I | Collateral and Credit >> OMO Interest Rates >> Display >> Click on the Search button (after inputting the relevant fields, if needed) | | | | |
| Canadashat | Search Result : Operation Int | erest Rate | | | | |
| Screenshot | 10 - | | | | | 0∞ ()□ □ ★ ▽ |
| | OMORiethio o | □ Identifier2.¢ | ▽ Interest Rate ø | ♥ Effective Date ø | □ Update Date 6 | □ Update User Id ● □ |
| | DIMD IRU2 | FP50007 | | 20 23/09/2021 | 23/09/2021 12:47:22:194 | ECMS OPERATOR 1 |
| | OMO UI | FR50007 | | 20 23/09/2021 | 23/09/2021 12:54:17:810 | ECMS OPERATOR 1 |
| | OMOREFINATI | FR20007 | | 20 23/09/2021 | 24/09/2021 18:37:29:580 | ECMS OPERATOR 1 |
| | OMOREFINAL | F902007 E090007 | | 20 24/09/2021 | 24/09/2021 18:33:01:623 | ECMS OPERATOR 1 PCMS OPERATOR 1 |
| | FTD04 | E01007 | | 19 14/12/2021 | 14/12/2011 16/52/57/48 | ELMS OPERATOR I |
| | 20221180 | FR0007 | | 15 14/02/2022 | 07/03/2022 19:21:56:219 | ECMS OPERATOR 1 |
| | 20440089 | FR18129 | | 20 17/92/2022 | 12/05/2022 13:55:54:510 | FOMS OPERATION 1 |
| | 23440089 | FR18129 | | 15 18/02/2022 | 12/05/2022 13:59:51:183 | ECMS OPERATOR 1 |
| | 20000005 | FR30007 | | 15 02/03/2022 | 07/03/2022 19:23:24:953 | ECMS OPERATOR 1 |
| | | | | | | |

| Interest Rates – List screen | | |
|---|---|--|
| Search Result : Operation Interest Rate | | |
| Field | Description | |
| OMORefNo | Shows the Reference Number that uniquely identify the operation in ECMS. | |
| Counterparty | Shows the counterparty identifier. | |
| Interest Rate | Shows the interest rate to be used to calculate the daily accrued interest for a given operation. | |



| Effective Date | Shows the date from which the input interest rate is applicable regardless of the input date. |
|-------------------------------------|--|
| Update Date | Shows the date and time of the last update of the operation interest rate. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Update User Id | Shows the identification of the user that made the last update of the operation interest rate. |
| After selecting a ron right button) | ecord, the following buttons are displayed (also available with click |
| Button | Function |
| History | This function enables you to access to the historical information of an operation. |
| | Next screen displayed under the list screen: |
| | Operation – History Screen. |
| View | This function enables you to access to the detailed information of an operation interest rate. |
| | Next screen displayed under the list screen: |
| | Interest Rates – Details screen. |

3.4.3.1.2.3 Open Market Operation – Interest Rate Details Screen

| Context of Us- | This screen displays detailed information of the selected interest | | | | |
|-------------------|--|--|---------------------------------------|-----------------------------------|------|
| age | rate related to an operation. | | | | |
| Screen Access | the Search bu | Collateral and Credit >> OMO Interest Rates >> Display >> Click on the Search button (after inputting the relevant fields, if needed) >> Select an Operation interest rate >> Click on the View button | | | |
| Screenshot | Search Result : Operation Interest Rate > Input Operation Inte | ion Interest Rate | Interest Flate | | E 15 |
| | Effective Date 24/99/2021 | | Bidder Id FR20007FR CPTY 5 FR20007 | | |
| | Foot Print Update Date 2489/021 1990:14-923 | Update User Id ECMS OPERATOR 1 | Crestion Date 24/98/2013/4/923 | Creation User Id ECMS OPERATOR 1 | |
| | | | | | |
| Interest Rate - D | etails screen | | | | |
| View: Operation | Interest Rate | | | | |
| Field | Description | | | | |
| OMORefNo | Shows the reference number that uniquely identifies the operation in the ECMS. | | | | |
| Interest Rate | Shows the interest rate to be used to calculate the daily accrued interest for a given operation. | | | | |
| Effective Date | Shows the date from which the recorded interest rate is applicable regardless of the input date. | | | | |
| | Required/Disp | played format i | s: DD/MM/YYYY | | |
| Bidder Id | Shows the identifier of the counterparty. | | | | |
| | | | | | |
| Footprint | | | | | |



| Creation Date | Shows the date and time of the input of the operation interest rate. |
|------------------|--|
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the interest rate. |
| Update Date | Shows the date and time of the last update of the operation interest rate. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Update User Id | Shows the identification of the user that made the last update of the operation interest rate. |

3.4.3.1.3 Open Market Operation – Netting Result screens

3.4.3.1.3.1 Open Market Operation – Netting Result Search Screen

| Context of Us- age | This screen is used to enter criteria to retrieve the list of netting results stemming from the netting process execution. The screen contains number of searches fields and shows the latest and stored performed searches. By inputting the relevant data, you can search for all netting results rates that meet the input criteria. The search results will be displayed in a list. When selecting a row, you can proceed further by clicking one of the buttons that are shown |
|-----------------------|--|
| Screen Access | Collateral and Credit >>Exposure >> LP Operations Netting >> Netting Result LPO |
| Screenshot | Seach Criteria: Netting Result Courteplanty = * Post Identifier = * Courteplanty = * Courteplanty = * Post Identifier = * Courteplanty = * Cou |

| Interest Rates – Search screen | | | |
|----------------------------------|--|--|--|
| Search Criteria : Netting Result | | | |
| Field | Description | | |
| App Reference | Enter the application reference number that uniquely identifies the netting result in the ECMS. | | |
| Bidder ID | Enter the counterparty identifier or retrieve it with the magnifying glass | | |
| Pool Identifier | Shows the identifier that uniquely identifies the Pool. | | |
| Netting Date | Enter the date when the ECMS nets the operations and their corresponding payments into one single payment. The calendar icon can also be used. | | |
| | Required format is: DD/MM/YYYY | | |
| Netting Type | Enter/Select the type of netting result from the possible values: | | |
| | - LPO (MLOR included) | | |
| | - FTDASCOLLATERAL | | |
| | - FTD | | |
| Netting Currency | ISO-code of the currency | | |



| | e.g.: JPY. |
|-------------|--|
| Status | Enter/Select the status of the netting result |
| Update Date | Select the date and time of the last update of the netting result. The calendar icon can also be used |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |

3.4.3.1.3.2 Open Market Operation – Netting Result List Screen

| Context of Us- age | This screen gives the listing process execution a display screen after click further by clicking on the | and resulting from the liking on the button Sea | request entered in the |
|-----------------------|---|---|------------------------|
| Screen Access | Collateral and Credit >> Netting Result >> Click evant Reference Data, i | on the <i>search</i> button (a | |
| Screenshot | Netting Result Search Criteria : Netting Result | EUR Settled false false EUR Cancelled false false EUR Cancelled false false | ■ |

| Netting Results – List Screen | |
|-------------------------------|--|
| Field | Description |
| App Reference | Shows the application reference number that uniquely identifies the netting result in the ECMS. |
| | Displayed format is: Max. 30 characters. |
| POOL IDENTI- FIER | Shows the identifier that uniquely identifies the Pool of the Counterparty. |
| Bidder ID | Shows the identifier that uniquely identifies the Counterparty. |
| Counterparty short name | Shows the counterparty short name when the counterparty ID is filed in. |
| Netting Date | Shows the date when the ECMS nets the operations and their corresponding payments into one single payment. The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY |
| Amount | Shows the netting amount. |

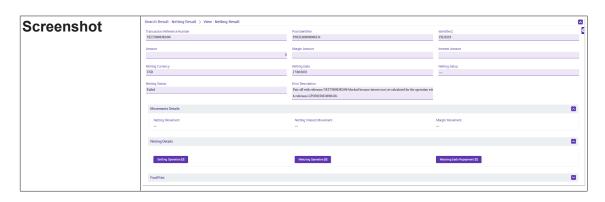


| Netting Currency | Shows the currency of the netting amount. |
|---------------------|---|
| Status | Shows the current status of the netting result. |
| Is Foreign | Shows whether the netting result is belonging to OMO in EUR or in currency. Possible values are: |
| | - Yes |
| | - No |
| Fx Payment Received | Shows whether the FX Payment is received and confirmed or not. Possible values are: |
| | - Yes |
| | - No |
| Creation Date | Shows the date and time of the creation of the netting result. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that initiated the netting process and created the netting result. |
| Update Date | Shows the date and time of the last update of the netting result. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Update User Id | Shows the identification of the user that made the last update of the netting result. |
| After selecting a r | netting result record, the following buttons are displayed |
| Button | Function |
| History | This function enables you to access to the historical information of a Party. |
| | Next screen: |
| | - Parties - History Screen. |
| View | This function enables you to access to the detailed information of a Netting result. |
| | Next screen: |
| | - Netting Results - Details Screen. |
| | |

3.4.3.1.3.3 Open Market Operation – Netting Result Detail Screen

| Context of Us- | This screen displays detailed information of the selected Netting Result. |
|----------------|--|
| | Collateral and Credit >> Exposure >> LP Operations Netting >> Netting Result >> Click on the Search button (after inputting the relevant fields, if needed) >> Select a Netting Result >> Click on the View button |





| Netting Result - | Details screen | |
|---------------------------|--|--|
| View: Netting Result | | |
| Field | Description | |
| Netting Reference | Shows the application reference number that uniquely identifies the netting result in the ECMS. | |
| Pool identifier | Shows the identifier that uniquely identifies the Pool in the ECMS. | |
| Amount | Shows the netting amount stemming from the netting process. | |
| Is Rejected | Shows if any input/update waiting for validation was already rejected. The possible values are: | |
| | - Yes | |
| | - No | |
| Netting Currency | Shows the currency of the netting amount and corresponds to the currency of all operations netted together. | |
| Netting Date | Shows the date when the ECMS nets the operations and their corresponding payments into one single payment. It corresponds to the SD or MD of operations that fits the current business date. | |
| | Displayed format is: DD/MM/YYYY | |
| Action To Validate | Shows if there is any input or update waiting for validation. | |
| Error Description | Shows the error reason in case of failed Netting Result. | |
| Status | Shows the current status of the Netting Result. | |
| Netting Move- ment | Shows the application reference to uniquely identify the movement stemming from the netting of nominal for all OMOs involved in the netting result. | |
| Footprint | | |
| Creation Date | Shows the date and time of the Netting Result creation. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Creation User Id | Shows the identification of the user that created the Netting Result. | |
| Update Date | Shows the date and time of the last update of the Netting Result. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Update User Id | Shows the identification of the user that made the last update of the Netting Result. | |
| Button | Function | |
| Maturing Early Repayments | This function enables you to consult the maturing early repayments involved in the netting result | |
| Maturing Operations | This function enables you to consult the maturing operations involved in the netting result | |



| Settling Opera- | This function enables you to consult the settling operations involved |
|-----------------|---|
| tions | in the netting result |

3.4.3.1.4 Open Market Operation –Fixed Term Deposit: FTD

3.4.3.1.4.1 Open Market Operation –Fixed Term Deposit -Search screen

| Context of Us- age | This screen is used to enter criteria to retrieve the list of operations meeting the entered criteria. | | |
|-----------------------|---|--|--|
| | Depending how the screen is accessed, it can be used to search the valid information of the Open Market Operation or the informa- tion that requires 4 eyes validation before they can be considered valid in the system | | |
| Screen Access | For valid information: | | |
| | Collateral and Credit >> Collateral >> Fixed Term Deposit >> Display FTD Operation | | |
| | For information subject to 4 eyes validation: | | |
| | Collateral and Credit >> Collateral >> Fixed Term Deposit >> FTD Operation Waiting For Validation | | |
| Screenshot | Search Criteria : Fixed Term Deposit | | |
| | Internal Reference ID ** CMOReNia ** FTO Identifier ** Prod Identifier ** Alternet Date ** Alternet Date ** The Control Internation ** | | |
| | Pool Identifier ■ ▼ Bidder Id ■ ▼ All ment Date ■ ▼ Settlement Date ■ ▼ III Medical ■ ▼ III Medical ■ ▼ | | |
| | Used As Colliseral •• ▼ | | |
| | Is Amended ** UDA ** Update Date ** | | |
| | © Read | | |

| Fixed Term Deposit -Search | | |
|--------------------------------------|--|--|
| Search Criteria : Fixed Term Deposit | | |
| Field | Description | |
| Internal Reference ID | Enter Identifier of an allotment given by the user or by the sender in case of A2A process. | |
| | Max. XX characters. | |
| OMORefNo | Enter the Application reference number that uniquely identifies the FTD operation in the ECMS. | |
| | Required Format: YYYYnnnn | |
| FTD Identifier | Enter the <u>technical</u> reference of FTD number that uniquely identifies the FTD instruction in the ECMS. | |
| | Format : | |
| | 2 character ISO code of the country + 12 alphanumeric characters + 1 key number | |
| | Max. 15 characters. | |
| Pool identifier | Enter the Pool identifier. | |
| Bidder ID | Enter the identifier of the Counterparty. | |
| | Required format is: | |



| | Max. XX characters. |
|-------------------|--|
| Allotment Date | Enter the Allotment date of the instruction. |
| | Displayed format : DD/MM/YYYY |
| Settlement Date | Enter the Settlement date of the instruction. |
| | Displayed format : DD/MM/YYYY |
| Maturity Date | Enter the Maturity date of the instruction. |
| | Displayed format : DD/MM/YYYY |
| All Method | Enter the allotment method. |
| | Possible values: |
| | - Single Rate Auction |
| | - Multiple Rate Auction |
| Used as Collat- | Enter if used as collateral or not : |
| eral | - Yes: FTD is used as collateral |
| | - No : FTD is not used as collateral |
| Netting Reference | Enter the Netting Reference |
| To be Netted | Enter if the instruction has to be netted. |
| Allotment Status | Enter the status of the Fixed Term Deposit instruction. |
| Is Amended | Possible Values: |
| | - Yes |
| | - No |
| U2A | Enter if the instruction has been entered via U2A. |
| | Possible Values: |
| | - Yes |
| | - No |
| Update date | Enter the Date of the last update. |
| | Displayed format : DD/MM/YYYY hh:mm:ss:µs |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |

3.4.3.1.4.1. Open Market Operation –Fixed Term Deposit -List screen

| Context of Usage | This screen gives the list of operations resulting from the request entered in the display screen after clicking on the button Search. The screen Search is displayed below the query. |
|------------------|--|
| Screen Access | For valid information: |
| | Collateral and Credit >> Collateral >> Fixed Term Deposit >> Display FTD Operation >> Click on the Search button (after inputting the relevant fields, if needed) |
| | For information subject to 4 eyes validation: |



| | Col Ope (aft | era | itio | n١ | Na | itir | ng I | Fo | r V | ali | dat | tior | אן>> | Cl | ick | or | ı th | | | | | | > FT ton | D |
|------------|--------------------|-------------|-----------|---------|--------|---------|--------|---------|---------|----------|----------|---------|---------------|----------|----------|----------|----------|-----------|----------|----------|----------|----------------------|---------------|------------|
| Caraanahat | Search Re | esult : Fix | ed Term D | eposit | | | | | | | | | | | | | | | | | | | | ^ |
| Screenshot | 10 🕶 | | | | | | | | | | | | | | | | | | | | | Q | | # ★ 🕏 |
| | OMORE. | Internati | Bidder (2 | Pool Id | Counte | NC8 Id© | CLM C♡ | Segreg. | Nomin 🖓 | Curren 5 | Allotme2 | Settle | Maturity Dal. | Used A | First In | Accrue? | Last Int | Next Iri⊋ | To Be 🗢 | Netting2 | Netting2 | Instruc [©] | SubSta Updaté | ☑ Update☑ |
| | testAcc. | FT0202 | FR5000 | P00L00 | | FR3000 | | FTD | 1,850 | EUR | 16/06/2 | 16/06/2 | 17/05/2022 | No | -0.4 | -0.02 | 17/05/2 | | No | NETTOO | Settled | Termina | 15/05/2 | E. STP |
| | testAcc. | | | | | FR3000 | | FTD | 1,850 | EUR | 16/06/2 | 16/06/2 | 17/05/2022 | No | -0.4 | -0.02 | 17/05/2 | | No | | | Termina | | E. STP |
| | ☐ FTD123. | | | | | FR3000 | | FTD | 50,000, | EUR | 16/06/2 | 16/06/2 | 17/05/2022 | No | | 13,888 | | | No | | | Termina | 15/06/2 | E. STP |
| | ☐ OMORE. | | | | | FR3000 | | FTD | 15,000, | EUR | 15/05/2 | 15/06/2 | 16/05/2022 | Yes | 10 | 4,166.67 | 16/05/2 | | No | | | Termina | | E. STP |
| | TESTAC. | | | | | FR3000 | | FTD | 1,950 | | | | 16/05/2022 | Yes | -0.5 | -0.03 | 16/05/2 | | No | NETTOO | Settled | Termina | | E. STP |
| | testAcc | | | | | FR3000 | | FTD | 1,850 | | | | | No | -0.4 | 0 | | 17/06/2 | | | | Termina | | E. ECMS O |
| | TESTAC. | | | POOL00 | | FR3000 | | FTD | 1,950 | | | | | Yes | -0.5 | -0.03 | 16/05/2 | | No | NETT00 | Settled | Termina | | E. ECMS O. |
| | testacc2 | | | | | | | FTD | | EUR | | | 16/06/2022 | No | | | | | No | | | Rejecte | | E. ECMS O |
| | E testacc | | | | | | | FTD | | EUR | | | 16/05/2022 | No No | | | | | No No | | | Rejecte | | E. ECMS O |
| | | | | | | | | | | | | | | | | | | | | | | | | |

| Fixed Term Depo | osit – List screen |
|----------------------------|---|
| Fixed Term Depo | esit |
| Field | Description |
| OMORefNo | Shows application reference number that uniquely identifies the FTD operation in the ECMS. |
| Internal Refer- ence ID | Enter Identifier of an FTD mobilization given by the user in case of manual mobilization, by the sender in case of A2A process. |
| Bidder ID | Shows the identifier of the Counterparty. |
| Pool identifier | Shows the pool identifier. |
| MP Operation Type | Shows the MP Operation Type. |
| Nominal | Shows FTD's instruction principal amount. |
| Currency | Shows the Currency of the instruction. |
| Allotment Date | Shows the Allotment date of the instruction. |
| | Displayed format : DD/MM/YYYY |
| Settlement Date | Shows the Settlement date of the instruction. |
| | Displayed format : DD/MM/YYYY |
| Maturity Date | Shows the Maturity date of the instruction. |
| | Displayed format : DD/MM/YYYY |
| Used as collat- | Shows Type of FTD : if used as collateral or not : |
| eral | - Yes: FTD is used as collateral |
| | - No : FTD is not used as collateral |
| Interest Rate | Shows the Interest Rate. |
| Accrued Interest Rate | Shows the Accrued Interest Rate. |
| Last Interest Cal- | Shows the Date of the last interest calculation date. |
| culation Date | Displayed format : DD/MM/YYYY |
| Next Interest Cal- | Shows the Date of the next interest calculation date. |
| culation Date | Displayed format : DD/MM/YYYY |
| Allotment Status | Shows the status of the allotment |
| Status Reason | Shows the Status Reason. |
| Action to validate | Present only when the screen is used in the context of 4 eyes validations, |
| | Shows if the validation is required following a creation or an update of the record. |



| Update Date | Shows the Date of the last update. |
|--------------------------------------|--|
| | Displayed format : DD/MM/YYYY hh:mm:ss:µs |
| Update User Id | Shows the Identifier of the last user updating the operation |
| After selecting a on right button) | record, the following buttons are displayed (also available with click |
| Button | Function |
| History | This function enables you to access to the historical information of a FTD operation. |
| | Next screen displayed under the list screen: |
| | Fixed Term Deposit – History Screen. |
| View | This function enables you to access to the detailed information of an operation. |
| | Next screen displayed under the list screen: |
| | Fixed Term Deposit – Details screen. |
| If the screen is us played when a re | sed in the 4 eyes validation context, the following buttons are also dis- ecord is selected |
| Button | Function |
| Compare Draft | In case the 4 eyes validation is required because of an update of the record, this function enables the user to display the change that needs to be validated. |
| | Next screen: |
| | - Fixed term Deposit - History Screen. |
| View Draft | This function enables the user to view the draft record to be validated. |
| | Next screen: |
| | F: 14 B " B (" C |
| | Fixed term Deposit – Details Screen. |
| Validate | This function allows the user to validate the creation or update of the record so that they can be considered valid in the system |

3.4.3.1.4.1. Open Market Operation -Fixed Term Deposit -History screen

This screen displays historical information that has changed on the selected Instruction. You can check the data and proceed further by clicking on the buttons that are shown.

Collateral and Credit >> Collateral >> Fixed Term Deposit >> Display>> Click on the Search button (after inputting the relevant fields, if needed)>> Select an instruction>> Click on the History Button

Collateral and Credit >> Collateral >> Fixed Term Deposit >> Display>> Click on the Search button (after inputting the relevant fields, if needed)>> Click on the View Button>> Click on the View History



| Screenshot | horizontalHistoryResult : Fixed Term | Deposit History | | | | | | | | |
|--------------|--------------------------------------|---|---|--|--|--|--|--|--|--|
| ocicciisiiot | | Q Compare Dapard All Show Differences Only 🔩 🖫 | | | | | | | | |
| | Fields | FTD2022061500261 2022-06-15 14:54:09.671 3 | FTD2022061500261 2022-06-15 14:54:09.490 2 | ▼ FTD2022061500261[2022-06-1514:54:09.319[1 | | | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |
| | Instruction Status | RejectedContract | Incomplete Contract | WaitingValidation | | | | | | |
| | Creation Date | 15/06/2022 14:54:09:671 | 15/05/2022 14:54:09:490 | 15/06/2022 14:54:09:319 | | | | | | |
| | Internal Reference ID | FT02022061500261 | FT02022061500261 | FTD2022061500261 | | | | | | |
| | Can Modify | No | No | No | | | | | | |
| | Coverage Rate | 0 | 0 | 0 | | | | | | |
| | Exposure Class Name | FixedTermDeposit | FixedTermDeposit | FixedTermDeposit | | | | | | |
| | Exposure Type | com.vermeg.collateral Management Cons. Fixed Term Deposit | com. wermeg. collateral Management Cons. Fixed Term Deposit | com.vermeg.collateralManagementCons.FixedTermDeposit | | | | | | |
| | Generate Loan Schedule | No | No | No | | | | | | |
| | Has Termination Date | No | No | No | | | | | | |
| | Is Partially Reimbursed | No | No | No | | | | | | |
| | Is Rejected | No | No | No | | | | | | |
| | Loan | | | | | | | | | |
| | Loan Currency Path | currency | currency | currency | | | | | | |
| | Margin Type | Amount | Amount | Amount | | | | | | |
| | Note Contract | | | | | | | | | |
| | Related Contracts | | | | | | | | | |
| | Settlement Date | 15/06/2022 | 15/06/2022 | 15/06/2022 | | | | | | |
| | Accounting Rate | | | | | | | | | |
| | Accrued Accounting Interest | | | | | | | | | |
| | Accrued Accounting Interest Currency | | | | | | | | | |

| Fixed Term Depo | osit – History Screen |
|----------------------------------|--|
| Field | Description |
| Fields | Shows the fields whose information have been updated since the creation of the selected instruction. |
| Timestamp | Shows the date and time when the fields have been updated. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Accrued interest | Value of Accrued interest |
| Nominal | Shows FTD's instruction principal amount. |
| Contract Value to Return | Shows FTD value to be reimbursed. |
| Next interest rate | Date of next interest calculation date. |
| calculation Date | Displayed format : DD/MM/YYYY |
| Pool identifier | Shows the identifier that uniquely identifies the Pool of the Counterparty. |
| Accrued interest at maturity | Shows expected value of accrued interest at maturity date |
| Provisional Ma- turity amount | Shows expected value of accrued interest at maturity date added to nominal amount to be reimbursed. |
| Status | Shows the status of the FTD instruction. |
| Used as collat- | Shows Type of FTD : if used as collateral or not : |
| eral | Yes: FTD is used as collateral |
| | No : FTD is not used as collateral |
| Update Date | Date of the last update. |
| | Displayed format : DD/MM/YYYY hh:mm:ss:µs |
| Button | Description |
| Compare | Shows the differences between the selected records whose data have been updated. |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected Party. |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected Party. |
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected TFD-instruction. |
| Show Differences Only | Shows only the fields whose information have been updated since the creation of the selected FTD instrution. |



| Fixed Term D | eposit –History |
|-----------------------|--|
| Field | Description |
| Internal reference ID | Enter an Identifier for the FTD mobilization |
| | Required format is: |
| | Max. XX characters. |
| OMORefNo | Enter application reference number that uniquely identifies the FTD operation in the ECMS. |
| | Required format is: |
| | Max. XX characters. |

3.4.3.1.4.1. Open Market Operation –Fixed Term Deposit-Details screen

This screen gives a view of selected Fixed Term Deposit instruction resulting from the request

Screen Access

— Collateral and Credit >> Collateral >> Fixed Term Deposit >> Display FTD Operation>> Click on the Search button (after inputting the relevant fields, if needed)>> Select an instruction>> Click on the View Button

Screenshot

Screenshot

Screenshot

Access

Acce

| Fixed Term D | Fixed Term Deposit –Details | | | | | | |
|------------------|--|--|--|--|--|--|--|
| OMO-Fixed Te | OMO-Fixed Term Deposit– Details Screen | | | | | | |
| Button | Description | | | | | | |
| History | This function enables you to access to the historical information of a Fixed term Deposit Operation. | | | | | | |
| | Next screen: | | | | | | |
| | - FTD - History Screen. | | | | | | |
| Fixed Term D | eposit | | | | | | |
| Field | Description | | | | | | |
| OMORefNo | Shows Application reference number that uniquely identifies the FTD operation in the ECMS. | | | | | | |
| Revision | Shows the revision number of the FTD. | | | | | | |
| Transaction Type | Shows the Transaction Type: "Fixed-Term Deposits" | | | | | | |



| Operation | Shows the operation name. |
|------------------------|---|
| Name | |
| Operation Type | Shows the type of the operation: "Liquidity Absorbing". |
| Procedure | Shows the "Procedure" |
| | Possible values: |
| | Standard Tender |
| | - Quick Tender |
| Auction Type | Shows the type of the auction |
| All Method | Shows the allotment method. |
| | - Possible values: |
| | - Single Rate Auction |
| | Multiple Rates Auction |
| Business Value Type | Shows the Business Value Type. |
| Quotation | Shows the Quotation. |
| | Possible values: |
| | - Spread |
| | - Rate |
| | Price |
| Reference Entity | Shows the reference entity. |
| Allotment Date | Displayed format: DD/MM/YYYY |
| Settlement Date | Displayed format: DD/MM/YYYY |
| Maturity Date | Displayed format: DD/MM/YYYY. |
| Duration In Days | Number of days between the Value Date and the Maturity Date. |
| Spread | Spread to be applied to the interest rate |
| MP Operation Type | Shows the MP operation type: "FTD" |
| Allotment Deta | ils |
| Internal Reference ID | Technical reference of the allotment given by the system |
| Counterparty | Shows the identifier of the Counterparty |
| NCB Identifier | Counterparty's NCB. |
| | The ISO-country code is the SenderReference in the TOP file. |
| Pool Identifier | ' |
| Nominal | Filled with the alloted amount in EURO |
| | The alloted amount in EURO : |
| | In case of OMO in EURO: the alloted amount |
| | In case of non-euro OMO : the countervalue in EURO of the FX alloted amount |
| Currency | Shows the Currency |
| FTD Identifier | Shows the identifier of the FTD |



| Amounts in E | UR |
|---|--|
| | Shows the provisional interest in euro. |
| terest in EUR | enove the previous interest in ears. |
| Provisional Maturity Amount in EUR | Shows the Amount of collateral needed on maturity date in euro. |
| Outstanding Amount in EUR | Shows the outstanding amount in euro. |
| Interest Detail | s |
| Reference Rate | Shows the reference rate. |
| Interest rate | Shows FTD interest rate |
| Accrued In- terest | Accrued interest amount. |
| Is Different Accounting Rate | Possible values: - Yes - No |
| Accounting Rate | Shows the accounting Rate. |
| Accrued Accounting Interest | Shows the Accrued Accounting Interest |
| Trans Fee Amount | Shows the fee amount of the transaction. |
| Last interest Calculation Date | Date of last interest calculation date. Displayed format : DD/MM/YYYY |
| Next interest rate calculation Date | Date of next interest calculation date. Displayed format : DD/MM/YYYY |
| Movements D | etails |
| Button | Description |
| Initiation | This function enables you to access to the initiation movement Next screen: View: Fixed Term Deposit Initiation |
| Return | This function enables you to access to the return movement Next screen: View: Fixed Term Deposit Return |
| Interest Initi- ation | This function enables you to access to the interest initiation movement Next screen: View: Fixed Term Deposit Interest Initiation |
| Interest Re- turn | This function enables you to access to the interest return movement Next screen: View: Fixed Term Deposit Return |
| View : Fixed T | erm Deposit Initiation |



| Field | Description |
|--------------------------------|--|
| App Refer- | Shows Application Reference of initiation movement |
| ence | |
| Currency | Shows the currency of initiation movement |
| Status | Shows status of initiation movement |
| View : Fixed T | erm Deposit Initiation Foot print |
| Field | Description |
| Updater User Id | Shows the identification of the user that made the last update. |
| Update Date | Shows the date and time of the last update. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the data. |
| Creation Date | Shows the date and time of the creation. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| View : Fixed T | erm Deposit Initiation Movement |
| Field | Description |
| App Refer- ence | Shows Application Reference of initiation movement |
| MainRefer- ence | Shows the technical reference of FTD number that uniquely identifies the FTD instruction in the ECMS. |
| Pool Identifier | Shows the identifier that uniquely identifies the Pool of the Counterparty. |
| Amount | Shows FTD's instruction initiation movement amount. |
| Movement Currency | Shows the currency of initiation movement |
| Intended set- | Intended settlement date of initiation movement |
| tlement date | Displayed format is: DD/MM/YYYY |
| Status | Shows the status of the FTD instruction. |
| Not Enough Collateral | Shows that this FTD movement has created in case of insufficiency of collateral : |
| | Yes: There is not enough collateral to include this movement in CL calculation. |
| | No: There is enough collateral to include this movement in CL calculation. |
| View : Fixed T | erm Deposit Return |
| ting the relevar | ixed Term Deposit >>Display>> Click on the Search button (after input- nt fields, if needed)>> Select an instruction>> Click on the View But- Returns button >> Select line>> View |
| Field | Description |
| App Refer- ence | Shows Application Reference of return movement |
| Theorical Set- tlement Date | Theorical Settlement Date of return movement |
| Status | Shows status of initiation movement |
| View : Fixed T | erm Deposit return Foot print |
| Field | Description |



| Updater User Id | Shows the identification of the user that made the last update. | |
|-------------------------------|---|--|
| Update Date | Shows the date and time of the movement last update. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Creation User Id | Shows the identification of the user that created the data. | |
| Creation Date | Shows the date and time of the movement. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Fixed Term Denosit Peturn Myt | | |

Fixed Term Deposit Return Mvt

Collateral >> Fixed Term Deposit >> Display>> Click on the Search button (after inputting the relevant fields, if needed)>> Select an instruction>> Click on the View Button>> Click on Returns button >> Select line>> View>>Movement Select line>> View>>

| Field | Description | | | |
|------------------------|---|--|--|--|
| App Refer- ence | Shows Application Reference of return movement | | | |
| Main Refer- ence | Shows the reference of FTD number that uniquely identifies the FTD instruction in the ECMS. | | | |
| Modification Reason | Shows the modification Reason on the Credit Line. | | | |
| Pool Identifier | Shows the identifier that uniquely identifies the Pool of the Counterparty. | | | |
| Counterparty | Shows the identifier of the Counterparty | | | |
| Intended Set- | Intended settlement date of return movement | | | |
| tlement Date | Displayed format is: DD/MM/YYYY | | | |
| Real Settle- | Real settlement date of return movement | | | |
| ment Date | Displayed format is: DD/MM/YYYY | | | |
| Not enough collateral | Shows that this FTD movement has created in case of insufficiency of collateral : | | | |
| | Yes: There is not enough collateral to include this movement in CL calculation. | | | |
| | No: There is enough collateral to include this movement in CL calculation. | | | |
| Status | Shows status of return movement | | | |
| 1 | | | | |

Fixed Term Deposit Interest Initiation

Collateral >> Fixed Term Deposit >> Display>> Click on the Search button (after inputting the relevant fields, if needed)>> Select an instruction>> Click on the View Button>> Click on interest initiation button

| Field | Description |
|------------|---|
| App Refer- | Shows Application Reference of interest initiation movement |
| ence | |
| Status | Shows status of interest initiation movement |

Fixed Term Deposit Interest Initiation Mvt

Collateral >> Fixed Term Deposit >> Display>> Click on the Search button (after inputting the relevant fields, if needed)>> Select an instruction>> Click on the View Button>> Click on interest initiation button>> Movement



| Field | Description | | | |
|-----------------------|---|--|--|--|
| App Refer- ence | Shows Application Reference of interest initiation movement | | | |
| Main Refer- ence | Shows the reference of FTD number that uniquely identifies the FTD instruction in the ECMS. | | | |
| Pool Identifier | Shows the identifier that uniquely identifies the Pool of the Counterparty. | | | |
| Amount | Value of last calculated interest | | | |
| Movement currency | Currency of the movement | | | |
| Intended Set- | Intended settlement date of interest initiation movement | | | |
| tlement Date | Displayed format is: DD/MM/YYYY | | | |
| Status | Shows status of interest initiation movement | | | |
| Not enough collateral | Shows that this FTD movement has created in case of insufficiency of collateral : | | | |
| | Yes: There is not enough collateral to include this movement in CL calculation. | | | |
| | No: There is enough collateral to include this movement in CL calculation. | | | |
| Fixed Term Do | eposit Interest Return | | | |
| ting the relevan | ixed Term Deposit >>Display>> Click on the Search button (after input- nt fields, if needed)>> Select an instruction>> Click on the View But- interest return button | | | |
| Field | Description | | | |
| App Refer- ence | Shows Application Reference of interest return movement | | | |
| Status | Shows status of interest return movement | | | |
| Fixed Term D | eposit Interest Return Mvt | | | |
| ting the relevan | ixed Term Deposit >>Display>> Click on the Search button (after inputnt fields, if needed)>> Select an instruction>> Click on the View Butinterest return button>> Movement | | | |
| Field | Description | | | |
| App Refer- ence | Shows Application Reference of interest return movement | | | |
| Main Refer- ence | Shows the reference of FTD number that uniquely identifies the FTD instruction in the ECMS. | | | |
| Pool Identifier | Shows the identifier that uniquely identifies the Pool of the Counterparty. | | | |
| Amount | Value of last calculated interest | | | |
| Movement currency | Currency of the movement | | | |
| Intended Set- | Intended settlement date of interest initiation movement | | | |
| tlement Date | Displayed format is: DD/MM/YYYY | | | |
| Status | Shows status of interest initiation movement | | | |
| Not enough collateral | Shows that this FTD movement has created in case of insufficiency of collateral : | | | |
| | Yes: There is not enough collateral to include this movement in CL calculation. | | | |



| | No: There is enough collateral to include this movement in CL calculation. | |
|---------------------------|--|--|
| Business Validation Error | | |
| Error Mes- sage | Shows the error reason in case of incomplete instruction. | |
| HIS rule ID | Has Incomplete Status Identifier. | |
| Status | Shows the status of the TFD operation | |

3.4.3.1.4.2 Open Market Operation –Fixed Term Deposit- Contingency screens – Settlement

| Context of Us- | This screen is used to Settle instructions at settlement date in case |
|----------------|---|
| age | of contingency situation. |

| Screen Access | Collateral and Credit >>Collateral >> Fixed Term Deposit >>- Contingency>> Settle |
|---------------|---|
| Screenshot | |

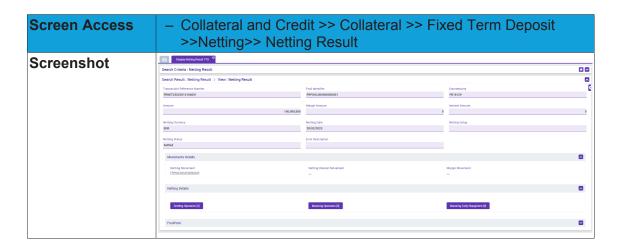
| Fixed Term Deposit –Settle | | | | |
|------------------------------|---|--|--|--|
| Field | Description | | | |
| Position Id | Enter application reference number that uniquely identifies the FTD instruction in the ECMS. | | | |
| | Required format is: | | | |
| | Max. XX characters. | | | |
| | Enter an Identifier for the FTD mobilization | | | |
| Reference | Required format is: | | | |
| | Max. XX characters. | | | |
| Bidder ID | Enter the identifier of the Counterparty. | | | |
| Status | Status of the Fixed Term Deposit. | | | |
| After clicking on S buttons. | After clicking on Search button, you can Select an instruction and press on of available buttons. | | | |
| Fixed Term Depos | sit | | | |
| Button | Description | | | |
| History | This function enables you to access to the historical information of Early repayment instruction. | | | |
| | Next screen: | | | |
| | FTD - History Screen. | | | |
| SettleFixedTerm- Deposit | This function enables you settle selected instruction. | | | |
| View | This function enables you to retrieve selected FTD instruction information. | | | |
| Field | Description | | | |



| Position Id | Shows application reference number that uniquely identifies the FTD operation in the ECMS. | | | |
|---------------------|--|--|--|--|
| | Max. XX characters. | | | |
| Party's instruction | Enter an Identifier for the FTD mobilization | | | |
| Reference | Required format is: | | | |
| | Max. XX characters. | | | |
| Bidder ID | Shows the identifier of the Counterparty. | | | |
| Nominal | Filled with the alloted amount of the FTD. | | | |
| Status | Status of the FTD instruction | | | |
| Used As Collat- | Show is FTD is used as collateral, possible values : | | | |
| eral | Yes: FTD is used as collateral | | | |
| | No : FTD is not used as collateral | | | |
| | | | | |
| Settlement Date | Shows Settlement Date of FTD instruction | | | |
| | Displayed format is: DD/MM/YYYY | | | |
| Maturity date | Shows Maturity Date of FTD instruction | | | |
| | Displayed format is: DD/MM/YYYY | | | |
| Update Date | Shows the date and time of the last update. | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | |
| Update User Id | Shows the identification of the user that made the last update. | | | |
| Next Interest cal- | Shows the next interest calculation date value : | | | |
| culation date | Displayed format is: DD/MM/YYYY | | | |
| | | | | |

3.4.3.1.4.2. Open Market Operation –Fixed Term Deposit- Netting Result

Context of Usage This screen is used to display netting result of FTD (to be discussed if LPO included) operations.



| Search Criteria : Netting Result | | |
|----------------------------------|-------------|--|
| Field | Description | |



| T " D " | | | |
|-------------------------------|---|--|--|
| ence Number | er- Enter application reference number that uniquely identifies the N ting process in the ECMS. | | |
| | Required format is: | | |
| | Max. XX characters. | | |
| Counterparty | Enter the identifier of the Counterparty. | | |
| Pool Identifier | Enter the identifier that uniquely identifies the Pool. | | |
| Netting Currency | Enter the netting currency. | | |
| Netting Date | Enter date of netting or select it from calendar | | |
| | Required format is: DD/MM/YYYY | | |
| Creation Date | Enter the date and time of the creation. | | |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs. | | |
| After clicking on Se buttons. | arch button, you can Select an instruction and press on of available | | |
| Search Result : Ne | tting Result | | |
| Button | Description | | |
| View | This function enables you to retrieve selected FTD instruction information. | | |
| View : Netting Resu | ılt | | |
| Transaction Reference Number | Enter transaction reference number that uniquely identifies the Netting process in the ECMS. | | |
| Pool Identifier | Shows the identifier that uniquely identifies the Pool. | | |
| Counterparty | Shows the counterparty | | |
| Amount | Shows the netting result value. | | |
| Margin Amount | Shows the margin amout. | | |
| Interest Amount | Shows the interest amount. | | |
| Netting Currency | Shoes the netting currency | | |
| Netting Date | Shows the date of netting | | |
| | Displayed format is: DD/MM/YYYY | | |
| Netting Setup | Shows the netting setup. | | |
| Netting Status | Status of the netting process. | | |
| Error Description | Shows error Description in case the netting is Rejected | | |
| Movement Details | | | |
| Netting Movement | The Movement reference on Credit Line | | |
| Netting Interest Rate | Netting Interest Rate | | |
| Margin Amount | Margin Amount | | |
| FootPrint | | | |
| Update Date | Shows the date and time of the last update. | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | |
| Update User Id | Shows the identification of the user that made the last update. | | |
| Creation Date | Shows the date and time of the additional code creation. | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | |
| Creation User Id | Shows the identification of the user that created the data. | | |



After 3 Sections related to netting elements are available, you can have details by clicking on the respective button :

Maturing Early Repayment

Maturing Operation

Settling Operation

3.4.3.1.5 Open Market Operation – Display Calculated Interest screen

| Context of Usage | This screen gives a view of OMO calculated interest. | | | |
|------------------|--|--|--|--|
| Screen Access | Collateral and Credit >> Exposure >> Open Market Operations >> Operations >> Display Calculated Interest >> Click on the Search button (after in-putting the relevant fields, if needed) >> Select an interest >> Click on the View button | | | |
| Screenshot | Search Criteria: Calculated Interest Consistent Information Construction Calculated Interest Calculat | | | |

| Display Calculate | d Interest -Search | |
|---|---|--|
| Search Criteria : Display calculated interest | | |
| Field | Description | |
| Internal reference ID | Enter the Internal reference ID. | |
| Date | Enter the date and time. | |
| | Required format is: DD/MM/YYYY | |
| Transaction type | Enter the transaction type. | |
| | Possible values: | |
| | - Interest Calculation | |
| | Paid Accrued Interest | |
| Creation Date | Enter the creation date and time. | |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Update Date | Enter the update date and time. | |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs. | |
| After clicking on Sebuttons. | earch button, you can Select an instruction and press on of available | |



| ID | |
|--|--|
| Counterpary | Shows the identifier of the Counterparty. |
| Date | Shows the date. |
| | Dislayed format is: DD/MM/YYYY. |
| Transaction Type | Shows the Transaction Type. |
| Amount | Shows the Provisional Interest Amount. |
| Provisional Interest Amount in cur- rency | Shows the Provisional Interest Amount in currency. |
| Accrued Interest | Shows the Accrued Interest. |
| Accrued Interest Amount In Cur- rency | Shows the Accrued Interest Amount In Currency. |
| Outstanding Ac- crued Interest | Shows the Outstanding Accrued Interest. |
| Outstanding Ac- crued Interest In Currency | Shows the Outstanding Accrued Interest In Currency. |
| Paid Accrued In- terest in currency | Shows the Paid Accrued Interest in currency. |
| Externally Covered Interest Amt | Shows the Externally Covered Interest Amt. |
| Not Externally Covered Interest Amt | Shows the Not Externally Covered Interest Amt. |
| Last Interest Cal- | Shows the last time the process of interest calculation ran. |
| culation Date | Displayed format: DD/MM/YYYY |
| Next Interest Cal- culation Date | Shows the next business date the interest calculation will be triggered. |
| | |
| To Be Netted | Possible values: |
| | - Yes |
| | - No |
| Netting Reference | Shows the reference of the netting. |
| Netting Status | Shows the status of the netting. |
| Allotment Status | Shows the status of the allotment. |
| Status Reason | Shows the reason of the status. |
| Update Date | Shows the date and time of the Operation update. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Update User Id | Shows the user identifier who made the update. |
| Button | Function |
| View | This function enables you to access to the detailed information |



Next screen displayed :
Open Market Operation —Details screen

3.4.3.1.6 Open Market Operation –Early repayment

3.4.3.1.6.1 Open Market Operation –Early repayment-Search screen

| Context of Us- age | This screen is used to enter criteria to retrieve the list of operations meeting the entered criteria. | | | | |
|-----------------------|---|--|--|--|--|
| | Depending how the screen is accessed, it can be used to search the valid information of the Open Market Operation or the informa- tion that requires 4 eyes validation before they can be considered valid in the system | | | | |
| Screen Access | For valid information: | | | | |
| | Collateral and Credit >>Exposure >> Open Market Operations >> Early Repayment >> Display Early Repayment Instruction | | | | |
| | For information subject to 4 eyes validation: | | | | |
| | Collateral and Credit >>Exposure >> Open Market Operations >> Early Repayment >> Validate / Reject Waiting validation | | | | |
| Screenshot | Search Criteria : Early Repayment | | | | |
| | OMOReho ** Pod Identifie ** Pod Identifie ** Allottenet Date ** Allottenet Date ** Settlement Date ** | | | | |
| | UZA •• • Update Date •• • Update Date •• • • | | | | |
| | © Read | | | | |

| OMO-Early Repayment-Search | | |
|----------------------------|--|--|
| Search Criteria : | | |
| Field | Description | |
| OMORefNo | Enter Reference of the operation. | |
| | Max. 8 characters (format YYYYnnnn) | |
| Repaid OMORe- | Enter the OMORefNo of the Operation to be repaid. | |
| fNo | Max. 8 characters (format: YYYYnnnn) | |
| Pool Identifier | Enter the pool Identifier | |
| | Required format is: Max. 30 characters | |
| Bidder ID | Enter the counterparty identifier or retrieve it with the magnifying glass. | |
| | Max. XX characters | |
| Allotment Date | Enter/Select the Date of the allotment date. | |
| | Required format : DD/MM/YYYY | |
| | Enter/Select the Date of the settlement date. | |
| Settlement Date | Required format : DD/MM/YYYY | |
| U2A | Enter/Select "Yes" if the instruction has been entered via U2A, otherwise "No"for A2A. | |
| Allotment Status | Enter the Allotment Status. | |



| Update Date | Date of the last update. |
|-------------|--|
| | Required format : DD/MM/YYYY hh:mm:ss:µs |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in |

3.4.3.1.6.2 Open Market Operation –Early repayment-List screen

| Context of Us- age | This screen gives the list of early repayment operations resulting from the request entered in the display screen after clicking on the button Search. The screen Search is displayed below the query. | | | |
|-----------------------|--|--|--|--|
| | Depending how the screen is accessed, it can be used to search the valid information of the Early Repayment or the information that requires 4 eyes validation before they can be considered valid in the system. | | | |
| Screen Access | For valid information | | | |
| | Collateral and Credit >>Exposure >> Open Market Operations >> Early Repayment >> Display Early Repayment Instruction >> Click on the Search button (after inputting the relevant fields, if needed) | | | |
| | For information subject to 4 eyes validation: | | | |
| | Collateral and Credit >>Exposure >> Open Market Operations >> Early Repayment >> Validate / Reject Early Repayment >> Click or the Search button (after inputting the relevant fields, if needed) | | | |
| Screenshot | Search Result : Early Repayment | | | |
| | 1 | | | |

| OMO-Early Repayment – List screen | | |
|-----------------------------------|--|--|
| Search Result : | | |
| Field | Description | |
| Repaid OMORe- | Enter the OMORefNo of the Operation to be repaid. | |
| fNo | Max. 8 characters (format: YYYYnnnn) | |
| OMORefNo | Shows the application reference number that uniquely identifies the early repayment operation in the ECMS. | |
| Bidder ID | Shows the identifier of the Counterparty | |
| Pool Identifier | Shows the identifier that uniquely identifies the Pool of the Counterparty. | |
| Intended settle- ment date | Shows the intended settlement date of the early repayment | |
| Amount | Shows the amount of the Early repayment instruction. | |
| Update User Id | Identifier of the last user updating the operation | |
| Update Date | Date of the last update | |



| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
|---------------------------------------|--|
| Status | Shows the status of the early repayment instruction. |
| | Possible values : |
| | - Received |
| | - Validated |
| | - Rejected |
| | Payments prepared |
| | Pending payment |
| | - Cancelled |
| | - Settled |
| Action to validate | Present only when the screen is used in the context of 4 eyes validations, |
| | Shows if the validation is required following a creation or an update of the record. |
| After selecting a roon right button) | ecord, the following buttons are displayed (also available with click |
| Button | Function |
| History | This function enables you to access to the historical information of an operation. |
| | Next screen displayed under the list screen: |
| | Early Repayment - History Screen. |
| View | This function enables you to access to the detailed information of an operation. |
| | Next screen displayed under the list screen: |
| | Early Repayment - details Screen. |
| If the screen is us played when a red | ed in the 4 eyes validation context, the following buttons are also discord is selected |
| Button | Function |
| Compare Draft | In case the 4 eyes validation is required because of an update of the record, this function enables the user to display the change that needs to be validated. |
| | Next screen: |
| | Open Market Operations – Early Repayment – History Screen. |
| View Draft | This function enables the user to view the draft record to be validated. |
| | Next screen: |
| | Open Market Operations – Early Repayment – Details Screen. |
| Validate | This function allows the user to validate the creation or update of the record so that they can be considered valid in the system |
| Reject | This function allows the user to reject the creation or update of the record. The draft will be deleted. |



3.4.3.1.6.3 Open Market Operation – Early repayment-History screen

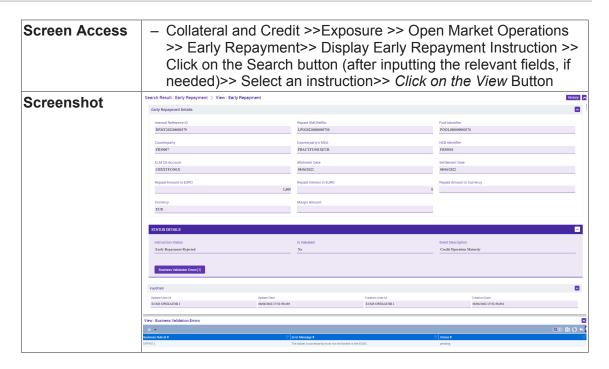
| Context of Usage | This screen displays historical information that has changed on the selected Instruction. You can check the data and proceed further by clicking on the buttons that are shown. | | | | |
|------------------|--|--|---|--|--|
| Screen Access | >> Earl Click or needed - Collater >> Earl | Collateral and Credit >>Exposure >> Open Market Operations >> Early Repayment>> Display Early Repayment Instruction >> Click on the Search button (after inputting the relevant fields, if needed)>> Select an instruction>> Click on the History Button Collateral and Credit >>Exposure >> Open Market Operations >> Early Repayment >> Display >> clicking on Search button>> | | | |
| | Select an instruction>> Click on the View Button>> Click on the View History | | | | |
| | | | | | |
| Screenshot | View Hi | | | QI | Compare Expand All Show Differences Only • 💆 |
| Screenshot | | | RPMT2022060801812022.06.08.18.25.20.131[3 | Q : RPMT202204080181]2022.06-08 18:24-48:983.2 | Compare Espand All Show Differences Only ★ ☑ RPMT202206080181/2022 06.08 18:24 48:244 1 |
| Screenshot | horizontalHistoryResult : Principal | Early Repayment Mvt History | ▽ APM1202200080181)2022-06-08 18 25-20 131)2 | | |
| Screenshot | horizontalHistoryResult : Principal | Early Repayment Mvt History | | | |
| Screenshot | horizontalHistoryResult : Principal | Early Repayment Mvt History RPMT2022060801812022-05-08-18-25-37-72594 | | RPMT202206080181 2022-06-08-18-24-48-983 2 | PPMT202206080181 2022-06-08-18-24-48-244 1 |
| Screenshot | horizontalHistoryResult : Principal Fields Instruction Status | Early Repayment Mvt History RPMT202200000181(2022.06.08.16.25.37.725)4 | ExposureWaitingT2 | RPMT202206080181 2022-06-08-18-24-48-983 2 | PPMT202206080181 2022-06-08-18-24-48-244 1 |
| Screenshot | horizontalHistoryResult : Principal Fields Instruction Status Pool Variation Amount | Early Repayment Mvt History PPMT72022060018112022 06c8 18 25 37 7254 | ExposureWaitingTZ 500 | RPMT202206080181 2022-06-08-18-24-48-983 2 | PPMT202206080181 2022-06-08-18-24-48-244 1 |
| Screenshot | horizontalHistoryResult : Principal Fields Instruction Status Pool Variation Amount Amount With Heir Cut In Lot Curr | Early Repayment Mvr History PRINT/20/2006/00181/002/26/60 18:2537/7264 | ExposureWatingTZ 500 500 | RPMT202206080181 2022-06-08-18-24-48-983 2 | PPMT202206080181 2022-06-08-18-24-48-244 1 |
| Screenshot | horizontalHistoryResult : Principal Friedos Instruction Status Pool Variation Amount Amount With Net Cut In Lot Curr Is valuation. | Early Repayment Mvrt History | Exposure WastingTZ 500 500 Yes | RPMT202206080181 2022-06-08-18-24-48-983 2 | PPMT202206080181 2022-06-08-18-24-48-244 1 |
| Screenshot | horizontal History Result : Principal Tisks Instruction Status Pool Variation Amount Amount With Har Cult In Lot Clarr Le Valuated Last Pool Position | Early Repayment Mvr History PRINT/2004001181/2022/66/09 18:25:97.72544 Semiel 500 200 We PROJPG20002783 | | RPMT202206080181 2022-06-08-18-24-48-983 2 | PPMT202206080181 2022-06-08-18-24-48-244 1 |
| Screenshot | horizontalHistoryResult : Principal Fields Instruction Status Fool Variation Amount Amount White Tool In Lot Clar Is Valuated Last Pool Pestion Update Exposer Value Update Exposer Value | Early Repayment Mvt History or #1732000001411002 06 08 18 26 378 7244 Sensel 500 vo vo vo vocuprossoorras 500 | EsposureWatingT2. 500 500 700 Yes POOLPPS000087383 -500 | RPMT202206080181 2022-06-08-18-24-48-983 2 | PPMT202206080181 2022-06-08-18-24-48-244 1 |
| Screenshot | horizontalHistoryResult : Principal Fields Instruction Status Pod Variation.Amount Amount With Hair Cult In Lot Curr 1s Valuated Last Pod Phiston Update Eppower Value Update Pod Colleteral Value | Early Repayment Mvrt History OF #17202000018110002064 to 18.25.37.7254 Settlee 500 100 1000000000 10000000000 1000000 | Exposure/Wattrog/T2 590 590 Yes POOL/POSSOSTESS -600 1300,00000 1300,00000 PPOTEZEZEZEZEZEZEZEZEZEZEZEZEZEZEZEZEZEZEZ | New | NAME/2000/00/01 1 500 2 (4-5 11 5 x 4 4) |
| Screenshot | horizontal-HistoryResult : Principal Felas Instruction Status Pod Variation Amount Amount Who Amount Amount Who Amount List Natural List Natural Update Reprince Value Update Pod Collateral Value Update Pod Collateral Value Internal Inference ID Is Rejuscad | Early Repayment Mrv History or WT3220000014110002 66 of 12:5 37 7244 Senied 500 700 We POOLP000007383 500 500 500 500 500 500 500 | Euponemanteg12 500 701 900 701 900 900 900 9000000000000 | PR-MT/20200000111/2022 06 68 18 24 48 48 98 92 Confirmed No 0 0866/2022 18 24 48 98 9 | namurazzadeko (h. 18. za 48. z |
| Screenshot | horizontalHistoryResult : Principal Fishia Instruction Status Pool Variation Amount Amount Hear Out to Lot Curr Instruction Status Pool Variation Last Pool Position Update Exposure Value Update Exposure Value Update Pool Colleged Value Instruction Instruction Instruction Update AVV Colleged Update AVV College Update AVV College Update AVV College | Early Repayment Mvt History Por MT 2020600018110002 66 68 18 25 37 7204 Settled Soc Soc | CaposaerWatengt 2 550 750 750 750 750 750 750 750 750 750 | 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 | nPMT202200600111 2022 06 00 11 2 44 3 74411 OperationAncifetating/deficience 160 0 0 00092022 19 2 44 244 RPMT20220600111 10 |
| Screenshot | horizontal-HistoryResult : Principal Felas Instruction Status Pod Variation Amount Amount Who Amount Amount Who Amount List Natural List Natural Update Reprince Value Update Pod Collateral Value Update Pod Collateral Value Internal Inference ID Is Rejuscad | Early Repayment Mvx History | Exposure/NatoryT2 550 550 Yes FOCUP-0900007383 -560 686-90222182333131 PMT202220000181 100 0 | New | NAME/2000/00/01 1 500 2 (4-5 11 5 x 4 4) |
| Screenshot | horizontal History/Result : Principal Fields Instruction Status Pool Variation Amount Amount Marcola Hot Life Life Clar Is Valuated Last Pool Printing Update Epones Value Update Pool Collegeral Value Constitution District International Inference ID In Rejuccia Update AMY Excess Up | Early Repayment Mvt History | | PMT/2020000011112022 06 68 18 24 48 48 9832 Confirmed No 0 08066/2022 18 24 48 983 RPH/2020000111 No 0 | APM_202006001113002 06 01 18 04 43 2443 |
| Screenshot | horizontal History Result : Principal Telela Instruction Status Pool Variation Amount Amount with Hear Carl In Lot Curr Is Valuested Lear Pool Printion Uppter Exposure Value Uppter Pool Colleged Value Creation Date Internal Meleronic ID Is Rijaccad Uppter AM Cocces Uppter AM Cocces Uppter Pool Coc | Early Repayment Mvx History | Exposure/NatoryT2 550 550 Yes FOCUP-0900007383 -560 686-90222182333131 PMT202220000181 100 0 | 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 | NAME/2020/00/00/11/2022 04/00 11/2042 04/00 11/2044 02/440 |
| Screenshot | horizontal/History/Result : Principal Fields Instruction Status Pool Varietion Amount Amount Wind Tool this sol Curr Is Valuated Law Pend Pretition Update Exposure Value Update Pool Onliered Value Constant Date Instruction Amount Instruction Control In Registrat Update Pool Onliered Value Update AND Dicess Update Pool Cascess Value Update AND Dicess Update Pool Cascess Value Update And Undered Accorded Interest | Early Repayment Mvt History | | PMT/2020000011112022 06 68 18 24 48 48 9832 Confirmed No 0 08066/2022 18 24 48 983 RPH/2020000111 No 0 | APM_202006001113002 06 01 18 04 43 2443 |
| Screenshot | horizontal History Result : Principal Telela Instruction Status Pool Variation Amount Amount with Hear Carl In Lot Curr Is Valuested Lear Pool Printion Uppter Exposure Value Uppter Pool Colleged Value Creation Date Internal Meleronic ID Is Rijaccad Uppter AM Cocces Uppter AM Cocces Uppter Pool Coc | Early Repayment Mvt History | | PMT/2020000011112022 06 68 18 24 48 48 9832 Confirmed No 0 08066/2022 18 24 48 983 RPH/2020000111 No 0 | APM_202006001113002 06 01 18 04 43 2443 |

| OMO-Early Repayment – History Screen | | |
|--------------------------------------|--|--|
| Field | Description | |
| Fields | Shows the fields whose information have been updated since the creation of the selected instruction. | |
| Timestamp | Shows the date and time when the fields have been updated. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Button | Description | |
| Compare | Shows the differences between the selected records whose data have been updated. | |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected Party. | |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected Party. | |
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected early repayment. | |
| Show Differences Only | Shows only the fields whose information have been updated since the creation of the selected early repayment | |

3.4.3.1.6.4 Open Market Operation -Early repayment-Details screen

| Context of Us- | This screen gives a view of selected Open Market Operations res- |
|----------------|--|
| age | ulting from the request |





| OMO-Early Repay | yment – Details Screen |
|-------------------------------|---|
| Button | Description |
| History | This function enables you to access to the detailled information of an Early repayment instruction. |
| | Next screen: |
| | Early repayment – History Screen. |
| | |
| Field | Description |
| RepaymentRe- fNo | Application reference number that uniquely identifies the early repayment operation in the ECMS. |
| Repaid OMORe- | Enter the OMORefNo of the Operation to be repaid. |
| fNo | Max. 8 characters (format: YYYYnnnn) |
| Pool Identifier | Shows the identifier that uniquely identifies the Pool of the Counterparty. |
| Bidder ID | Shows the identifier of the Counterparty |
| Repaid Amount in euro | Shows the amount of the Early repayment instruction.(in currency) for euro amount |
| Currency | EUR (currency used in the pool) |
| Repaid Interest in euro | Interest amount calculated for the repayment operation, in euro |
| Repaid Amount in currency | Shows the amount of the early repayment in foreign currency when the operation is in foreign currency |
| FX Currency | Shows the currency when the operation is in foreign currency |
| Repaid Interest in currency | Interest amount calculated for the repayment operation of non-euro credit operations |
| Intended Settle- ment Date | Date of the Settlement date that has been instructed. |
| Real Settlement | Date of the effective Settlement date. |
| Date | Displayed format : DD/MM/YYYY |



| STATUS DETAIL | S |
|-------------------------|---|
| Business Status | Shows the status of the early repayment instruction. |
| | The possible values are : |
| | - Received |
| | Validated |
| | - Rejected |
| | Payments prepared |
| | Pending payment |
| | - Cancelled |
| | - Settle |
| Footprint | |
| Update User Id | Shows the identification of the user that made the last update. |
| Update Date | Shows the date and time of the Early Repayment last update. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the data. |
| Creation Date | Shows the date and time of the Early Repayment creation. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Business Validat | tion Error |
| Error Message | Shows the error reason in case of incomplete instruction. |
| Business rule ID | Has Incomplete Status Identifier. |

3.4.3.2 Standing Facilities

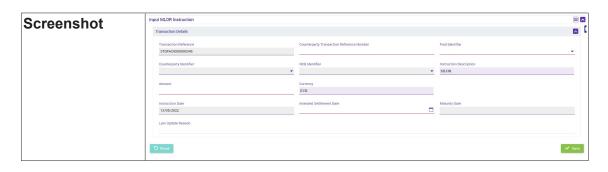
Marginal Lending on Request (MLOR) can be used by Counterparties to receive overnight credit from an NCB at a pre-specified interest rate against eligible assets. Access to Marginal Lending on Request is reserved to Counterparties endorsed to access the marginal lending facilities.

Automatic Marginal Lending (AML) is the automatic transformation of intraday credit in overnight credit, triggered by the CLM at the end of the CLM business day. AML is triggered in CLM when the total amount of all the Counterparty's accounts is not sufficient to cover the intraday credit granted on the Counterparty's MCA. The AML can be updated in the ECMS, however it cannot be created in the ECMS.

3.4.3.2.1 Standing Facilities – Input Screen

| Context of Usage | This screen contains a number of fields regarding the Standing Facilities. You can enter new data for a Marginal Lending on Request Instruction. Afterwards you can proceed further by clicking on the buttons below. |
|------------------|---|
| Screen Access | Collateral and Credit >> Exposure >> Standing Facilities >> Input Standing Facilities Instruction |





| Standing Facilities – Input screen | | |
|------------------------------------|---|--|
| General Information | | |
| Field | Description | |
| Transaction Reference | Shows the reference that uniquely identifies the instruction transaction. | |
| | Required format is: Max. XX characters. | |
| Counterparty Transaction Refer- | Enter/Select the Counterparty Transaction reference that uniquely identifies the Counterparty's instruction. | |
| ence Number* | Required format is: Max. XX characters. | |
| Pool Id* | Enter/Select the identifier of the Pool providing the assets. | |
| Counterparty Id* | Enter/Select the identifier that uniquely identifies the Counterparty. | |
| | Required format is: Max. XX characters. | |
| NCB Id* | Enter/Select the identifier that uniquely identifies the NCB. After entering the Pool Id, the NCB Id is shown. | |
| | Required format is: Max. XX characters. | |
| Instruction De- scription* | Shows "MLOR" | |
| Amount* | Enter the amount. | |
| Currency* | Shows "EUR". | |
| Instruction Date* | Shows the business date on which the instruction is created. | |
| | Required format is: DD/MM/YYYY. | |
| Intended Settle- ment Date* | Enter/Select the business date on which the instruction will be settled. Either the current business date or current business date + 1 Business Date. The calendar icon can also be used. | |
| | Required format is: DD/MM/YYYY. | |
| Maturity Date* | Enter/Select the business date on which the instruction will mature. The calendar icon can also be used. After entering the Intended Settlement Date, the Maturity Date is automatically filled in (Intended Settlement Date +1 Business Date). | |
| | Required format is: DD/MM/YYYY. | |
| Last Update Reason | Enter the description for the creation. | |
| Button | Function | |
| Reset | This function enables you to clear the form. | |
| Save | This function enables you to save the creation of an instruction. | |



3.4.3.2.2 Standing Facilities – Search Screen

| Context of Usage | This screen contains a number of search fields and shows the latest and stored searches. By inputting the relevant data, you can search for the Standing Facilities. |
|----------------------------|--|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |
| | This function is available only in U2A mode. |
| | Depending how the screen is accessed, it can be used to search the valid information or the information that requires 4 eyes validation before |
| | they can be considered valid in the system. |
| Screen Ac- | For valid information: |
| cess | Collateral and Credit >> Exposure >> Standing Facilities >> Display Standing Facilities Instruction |
| | For information subject to 4 eyes validation: |
| | Collateral and Credit >> Exposure >> Standing Facilities >> Standing Facilities Instruction Waiting for Validation |
| | Collateral and Credit >> Exposure >> Standing Facilities >> Recycle Standing Facilities Instruction |
| | Collateral and Credit >> Exposure >> Standing Facilities >> Reject Standing Facilities Instruction |
| Screenshot | |
| Standing Fac | cilities – Search screen |
| Field | Description |
| Transaction Reference | Enter/Select the reference that uniquely identifies the instruction. Required format is: Max. XX characters. |
| Transaction | Enter/Select the Counterparty Transaction reference that uniquely identifies the Counterparty's instruction. |
| Reference Number | Required format is: Max. XX characters. |
| Counterparty Identifier | Enter/Select the identifier that uniquely identifies the Counterparty. |
| Pool Identi- fier | Enter/Select the identifier of the Pool providing the assets. |
| Instruction Description | Enter/Select "AML" or "MLOR" |
| Instruction Date | Enter/Select the business date on which the instruction was entered. The calendar icon can also be used. |
| Intended Settlement | Enter/Select the business date on which the instruction will be settled. The calendar icon can also be used. |
| Date | Required format is: DD/MM/YYYY. |
| Maturity Date | Shows the business date on which the instruction will mature. The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY. |
| Instruction Status | Enter/Select the status of the instruction. |
| U2A | Enter/Select "Yes" if the instruction has been entered via U2A, otherwise "No" for A2A. |
| | |



| Update Date | Enter/Select the business date on which the instruction will be settled. The calendar icon can also be used. Required format is: DD/MM/YYYY. |
|-------------|--|
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |

3.4.3.2.2.1 Standing Facilities – List screen

| Context of Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. This function is available only in U2A mode. Depending how the screen is accessed, it can be used to list the valid information or the information that requires 4 eyes validation before they can be considered valid in the system. | | | |
|---------------------|--|--|--|--|
| Screen Ac- | For valid information: | | | |
| cess | Collateral and Credit >> Exposure >> Standing Facilities >> Display Standing Facilities Instruction >> Click on the <i>search</i> button (after inputting the relevant fields, if needed) | | | |
| | For information subject to a 4 eyes validation: | | | |
| | Collateral and Credit >> Exposure >> Standing Facilities >> Standing Facilities Instruction Waiting for Validation | | | |
| | Collateral and Credit >> Exposure >> Standing Facilities >> Recycle Standing Facilities Instruction | | | |
| | Collateral and Credit >> Exposure >> Standing Facilities >> Reject Standing Facilities Instruction | | | |
| | Then Click on the search button (after inputting the relevant Standing Facilities, if needed) | | | |
| Screenshot | Search Result: Standing Facilities Search Result: Standing Facilities | | | |
| | Titratus Counted Cou | | | |

| Standing Facilities – List Screen | |
|-----------------------------------|---|
| Field | Description |
| Transaction Reference | Shows the reference that uniquely identifies the instruction. |
| | Shows the Counterparty Transaction reference that uniquely identifies the Counterparty's instruction. |



| Counterparty ID | Shows the identifier that uniquely identifies the Counterparty. | | |
|----------------------------|--|--|--|
| Counter- party's MCA | Shows the identifier of the Main Cash Account of the Counterparty | | |
| Pool ID | Shows the identifier that uniquely identifies the Pool. | | |
| NCB Id | Shows the identifier that uniquely identifies the NCB. | | |
| NCB's CB Account | Shows the identifier of the Central Bank Account of the NCB. | | |
| Instruction Description | "AML" or "MLOR" | | |
| Amount | Shows the amount. | | |
| Interest Rate | Shows the Interest Rate of the instruction | | |
| Accrued In- terest | Shows the Accrued Interest of the instruction | | |
| Currency | Shows "EUR". | | |
| Instruction | Shows the business date on which the instruction is created. | | |
| Date | Displayed format is: DD/MM/YYYY. | | |
| | Shows the business date on which the instruction will be settled. Either the current business date or current business date + 1. Displayed format is: DD/MM/YYYY. | | |
| Maturity Date | Shows the business date on which the instruction will mature. Displayed format is: DD/MM/YYYY. | | |
| To be Netted | Shows "Yes" if the instruction has been netted, otherwise "No". | | |
| Netting Ref- erence | Shows the Netting reference if the instruction is netted. | | |
| Netting Status | Shows the Netting status. | | |
| U2A | Shows "Yes" if the instruction has been entered via U2A, otherwise "No" for A2A. | | |
| Instruction | Shows the Instruction status. | | |
| Status | Possible values for MLOR instruction: | | |
| | "Waiting Manual Intervention" in case the message is pending, or the CLM notification has failed, or in case of business validation fail- ures so that the NCB user can update the reference data | | |
| | "Waiting Validation" in case of 4 eyes validation for U2A instruction | | |
| | - "Waiting Settlement Date" in case of Intended Settlement Date = D+1 | | |
| | "Validated" in case of Business validation checks passed | | |
| | "Pending Settlement" in case instruction recycled if Collateral insufficiency check detected or Absolute Credit Limit breached, or in case of payments for which a CLM notification confirmation has not been received | | |
| | "Rejected" based on ECMS validation or NCB user rejection | | |
| | "Cancelled" if requested by NCB user or Counterparty | | |
| | "Pending Closure" in case of payments for which a CLM notification has not been received | | |
| | "Settled" based on CLM notification for the opening and interest | | |



| | "Closed" based on ECMS validation for the closing, after reimbursement of principal and interest on maturity date. |
|--------------------|---|
| | Possible values for AML instruction: |
| | "Waiting Manual Intervention" in case of closing where the limit checks have failed or CLM notification has failed |
| | "Validated" in case of Business validation checks passed |
| | "Pending Settlement" in case instruction recycled if Collateral insufficiency check detected or Absolute Credit Limit breached, or in case of payments for which a CLM notification has not been received |
| | "Rejected" based on ECMS validation or CLM notification |
| | "Settled" based on CLM notification for the opening, principal and interest payment |
| | "Pending Closure" in case of payments for which a CLM notification has not been received |
| | "Closed" based on CLM notification for the closing. |
| Status | Shows the Status Reason. Possible values: |
| Reason | - "Pending" |
| | "Waiting Payment Confirmation" |
| Action to validate | Present only when the screen is used in the context of 4 eyes validations. |
| | Shows if the validation is required following a creation or an update of the record. |
| Update Date | Shows the date and time of the last update. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update. |
| After selecting | g a record, the following buttons are displayed |
| Button | Function |
| History | This function enables you to access to the historical information of an instruction. |
| | Next screen: |
| | Standing Facilities – History Screen. |
| View | This function enables you to access to the detailed information of an instruction. |
| | Next screen: |
| | Standing Facilities – Details Screen. |
| | s used in the 4 eyes validation context, the following buttons are also disarccord is selected |
| Button | Function |
| Compare Draft | In case the 4 eyes validation is required because of an update of the record, this function enables the user to display the change that needs to be validated. |
| | Next screen: |
| | |
| | Standing Facilities – History Screen. |



| | Next screen: |
|----------|--|
| | Standing Facilities - Details Screen. |
| Validate | This function allows the user to validate the creation or update of the record so that they can be considered valid in the system. |
| Reject | This function allows the user to reject the creation or update of the record. The draft will be deleted. |

3.4.3.2.2.1. Standing Facilities – History Screen

| Context of Usage | lected Standi who made th that are show | displays historical information that has changed on the seng Facilities. You can check the data, including the user e changes, and proceed further by clicking on the buttons in available only in U2A mode. |
|---------------------|---|--|
| | | • |
| Screen Access | Standing putting the >> Click of | and Credit >> Exposure >> Standing Facilities >> Display Facilities Instruction >> Click on the search button (after inerelevant fields, if needed) >> Select a Standing Facilities on the History button |
| | Standing putting the >> Click of | and Credit >> Exposure >> Standing Facilities >> Display Facilities Instruction >> Click on the search button (after inerelevant fields, if needed) >> Select a Standing Facilities on the View button (Standing Facilities - Details Screen >> the History Button |
| | Click off the | ile i listory buttori |
| Screenshot | horizontalHistoryResult : Standing Faci | ities History |
| Screenshot | horizontalHistoryResult : Standing Faci | ities History Q_1) Compare Equand Al Store Differences (Int) 🖎 🔯 🕻 |
| Screenshot | | ities History |
| Screenshot | horizontalHistoryResult : Standing Faci Fields | ities History Q 1 Compare Espand All Stow Offinences Only A III Com |
| Screenshot | horizontalHistoryResult : Standing Faci | Titles History Q ↑ Compare Equal All Story Differences (Inly 🖎 🗓 [|
| Screenshot | horizontalHistoryResult : Standing Faci Fields Transaction Reference Can Modify | Titles History Q |
| Screenshot | horizontalHistoryResult : Standing Faci Fields Transaction Reference Can Modify | STDFAC0000000146 |
| Screenshot | horizontalHistoryResult : Standing Facil Fedds Transaction Reference Can Modify Counterparty Transaction Reference Number Coverage Rate Deposure Class Name | |
| Screenshot | horizontalHistoryResult : Standing Faci Felds Transaction Reference Can Modify Counterparty Transaction Reference Number Coverage Rate Exposure Class Name Generate Loan Schedule | Titles History Q 1 Compare Equand Al Store Differences Chily to 20 Compare Equand Al Store Differences Child to 20 Compare Eq |
| Screenshot | horizontalHistoryResult : Standing Faci Fields Transaction Reference Can Modify Counterparty Transaction Reference Number Coverage Rate Esponser Class Name Generate Loan Schedule Has Termination Date | STEP ACCORDIO00346 |
| Screenshot | horizontalHistoryResult : Standing Facil Fedds Transaction Reference Can Modify Counterparty Transaction Reference Number Coverage Rate Deposure Class Name Generate Lan Schedule Has Termination Date Instruction Date | Titles History Q 1 Compare Equand Al Store Differences Chily to 20 Compare Equand Al Store Differences Child to 20 Compare Eq |
| Screenshot | horizontalHistoryResult : Standing Faci Fields Transaction Reference Can Modify Counterparty Transaction Reference Number Coverage Rate Esponser Class Name Generate Loan Schedule Has Termination Date | |
| Screenshot | horizontalHistoryResult: Standing Faci Fields Transaction Reference Can Modify Counterparty Transaction Reference Number Coverage Rate Disposure Class Name Generate Loan Schedule Mas Termination Date Instruction Date Is Partially Reimbursed | STOPA-C0000000346(2)22 65 13 16 47 13 833 |
| Screenshot | horizontalHistoryResult : Standing Facil Fields Transaction Reference Can Mostly Counterparty Transaction Reference Number Coverage Rate Generate Lans Schedule Has Termination Date Instruction Date Is Partially Reimbursed Is Rejicted | Title History Carry Compare Epand Al Over Differences Chi Carry |
| Screenshot | horizontalHistoryResult : Standing Facil Fedds Transaction Reference Can Mostly Counterparty Transaction Reference Number Coverage Rate Deposure Class Name Generate Lans Schedule Has Termination Date Instruction Date Is Partially Reinbursed Is Partially Reinbursed Loan Courterparty Transaction Reference Counterparty Transaction Reference | STEP ACCORDO00346 STEP AC |
| Screenshot | horizontalHistoryResult : Standing Facil Febs Transaction Reference Can Moolly Counteparty Transaction Reference Number Coverage Rate Exposure Class Name Generate Loan Schedule Has Termination Date Instruction Date Is Pariatily Reinstructed Is Rejected Loan Loan Currency Path Counteparty Transaction Reference Marpin Type | Title History Carry Compare Epand Al Over Differences Chi Carry |
| Screenshot | Profes Transaction Reference Can Mootly Counterparty Transaction Reference Number Coverage Rate Exposure Class Name Generate Lans Schedule Has Termination Date Instruction Date Is Partially Reimbursed Is Rejincted Loan Loan Currency Path Counterparty Transaction Reference Margin Type Margin Type More Counterparty Transaction Reference Margin Type More Counterparty Transaction Reference Margin Type More Counterparty Transaction Reference | STEP ACCORDO00346 STEP AC |
| Screenshot | horizontalHistoryResult : Standing Facil Febs Transaction Reference Can Moolly Counteparty Transaction Reference Number Coverage Rate Exposure Class Name Generate Loan Schedule Has Termination Date Instruction Date Is Pariatily Reinstructed Is Rejected Loan Loan Currency Path Counteparty Transaction Reference Marpin Type | |
| Screenshot | horizontalHistoryResult : Standing Facil Feebs Transaction Reference Can Modify Counterparty Transaction Reference Number Coverage Rate Exposure Class Name Generate Lans Ochedule Has Termination Date Instruction Date Is Partially Reimbursed Is Partially Reimbursed Loan Loan Counterparty Transaction Reference Margin Type More Contract Related Contracts | |
| Screenshot | horizontalHistoryResult : Standing Facil Fields Transaction Reference Can Modify Counterparty Transaction Reference Number Coverage Rate Exposure Class Name Exposure Class Name Exposure Class Name Instruction Date Instruction Date Instruction Date Instruction Date Instruction Date Counterparty Transaction Reference Loan Margin Type Note Counter Reference Margin Type Note Counter Reference Accounting Rate Accounting Rate | |
| Screenshot | horizontal History Result : Standing Facil Fields Transaction Reference Can Modify Counterparty Transaction Reference Number Coverage Rate Deposure Class Name Generate Lann Schedule Hass Termination Date Instruction Date Instruction Date Is Partially Reimbursed Is Rejected Loan Counterparty Transaction Reference Margin Type Mose Contract Related Contracts Related Contracts Accounting Ratie Accounting Ratie | |
| Screenshot | horizontalHistoryResult : Standing Facil Fields Transaction Reference Can Modify Counterparty Transaction Reference Number Coverage Rate Exposure Class Name Exposure Class Name (Berestee Loan Schedule Has Termination Date Instruction Date Accounted Counter Accounting Rate Accounted Accounting Interest Accounted Accounting Interest Accounted Accounting Interest Accounted Recogning Interest Accounted Interest Accounted Interest Accounted Interest Currency | |

| Standing Facilities – History Screen | |
|--------------------------------------|--|
| Field | Description |
| Fields | Shows the fields whose information have been updated since the creation of the selected instruction. |
| Timestamp | Shows the date and time when the fields have been updated. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Button | Description |
| Compare | Shows the differences between the selected records whose data have been updated. |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected instruction. |



| Show All | Shows the information that existed before each modification of all the fields regarding the selected instruction. |
|----------------------------|--|
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected instruction. |
| Show Differ- ences Only | Shows only the fields whose information have been updated since the creation of the selected instruction. |

3.4.3.2.2.1. Standing Facilities – Details Screen

Context of This screen displays detailed information of the selected Standing Facil-Usage This function is available only in U2A mode. Collateral and Credit >> Exposure >> Standing Facilities >> Display Screen Ac-Standing Facilities Instruction >> Click on the search button (after inputcess ting the relevant fields, if needed)>> Select a Standing Facilities >> Click on the View button Search Result : Standing Facilities > View : Standing Facilities History Screenshot **.** [INSTRUCTION DETAILS STDFAC0000000341 CBXXTFC001X Currency EUR AMOUNTS & INTEREST ast Interest Calculation Date OTHER DETAILS $\overline{\mathbf{v}}$

| Standing Facilities – Details screen | | | |
|--------------------------------------|--|--|--|
| Button | Description | | |
| History | This function enables you to access to the historical information of an instruction. | | |
| | Next screen: | | |
| | Standing Facilities – History Screen. | | |
| General Information | | | |



| Field | Description | | | | | |
|---|---|--|--|--|--|--|
| Transaction Reference | Shows the reference that uniquely identifies the instruction. | | | | | |
| Counter- party Trans- action Refer- ence Num- ber | Shows the reference that uniquely identifies the Counterparty's Transaction instruction. | | | | | |
| Instruction Description | Shows the Standing Facilities Type "AML" or "MLOR". | | | | | |
| Pool Id | Shows the identifier that uniquely identifies the Pool. | | | | | |
| Counter- party Id | Shows the identifier that uniquely identifies the Counterparty. | | | | | |
| Counter- party's MCA | Shows the identifier of the Main Cash Account of the Counterparty | | | | | |
| NCB Id | Shows the identifier that uniquely identifies the NCB. | | | | | |
| | Required format is: Max. XX characters. | | | | | |
| CLM CB Account | Shows the Identifier of the Account of the Central Bank | | | | | |
| Amount | Shows the amount. | | | | | |
| Currency | Shows "EUR". | | | | | |
| Instruction | Shows the business date on which the instruction is created. | | | | | |
| Date | Displayed format is: DD/MM/YYYY. | | | | | |
| Intended | Shows the business date on which the instruction will be settled. | | | | | |
| Settlement Date | Displayed format is: DD/MM/YYYY. | | | | | |
| Maturity | Shows the business date on which the instruction will mature. | | | | | |
| Date | Displayed format is: DD/MM/YYYY. | | | | | |
| Last Update reason | Reason for update (information provided by the NCB user or Counterparty). | | | | | |
| Amounts an | d Interest | | | | | |
| Reference Rate | Shows the Type of Reference Rate | | | | | |
| Days Base | Shows the Days Base used for the Interest calculation | | | | | |
| Interest Rate | Shows the Interest rate of the Marginal Lending on Request. | | | | | |
| Provisional Interest in EUR | Shows the amount of Provisional Interest Amount at Maturity of the instruction | | | | | |
| Provisional Maturity Amount in EUR | Shows the amount of Provisional Maturity Amount of the instruction | | | | | |
| Accrued In- terest | Shows the amount of Accrued Interest of the instruction | | | | | |
| Last Interest Calculation Date | Shows the last date on which the Interest was calculated. Displayed format is: DD/MM/YYYY. | | | | | |
| Status Detai | Is | | | | | |



| Instruction Status | Shows the Instruction status. | | | | | |
|---|--|--|--|--|--|--|
| Sub-Status | Shows the Sub-status. | | | | | |
| U2A | Shows "Yes" if the instruction has been entered via U2A, otherwise "No" for A2A. | | | | | |
| Action to Validate | Shows if there is an outstanding action to validate for this instruction. | | | | | |
| Is Rejected | Shows if there is this instruction has been rejected. | | | | | |
| Payment De | tails | | | | | |
| To be Net- ted | Shows "Yes" if the instruction has been netted, otherwise "No". | | | | | |
| Netting Reference | Shows the Netting reference if the instruction is netted. | | | | | |
| Netting Status | Shows the Netting status. | | | | | |
| Other Details | s | | | | | |
| Section buttons | Description | | | | | |
| Business Validation Errors [<i>n</i>] | Section to view the details of the Business Validation Errors. [n] corresponds to the number of Business Validation Errors | | | | | |
| Notifications [n] | Section to view the details of the related notifications sent and received. [n] corresponds to the number of Notification. | | | | | |
| Business Va | lidation Errors | | | | | |
| The existing I | business validation errors of the Instruction are displayed. | | | | | |
| To view the dividew button. | letails of an existing business validation error, select it and click on the | | | | | |
| Field | Description | | | | | |
| Error Mes- | Shows the error message related to the business validation rule. | | | | | |
| sage | Displayed format is: Max. 255 characters. | | | | | |
| Business Rule Id | Shows the identifier of the business validation. | | | | | |
| Status | Shows the status of the Business Validation. | | | | | |
| Notifications | s [n] | | | | | |
| Field | Description | | | | | |
| Table with th | ne list of Notification received and sent | | | | | |
| Notification Name | Name of the notification sent or received | | | | | |
| Message Reference | Reference of the notification message | | | | | |
| Notification status | Status of the notification | | | | | |
| Direction | Indicator stating that the notification has been received or sent by the ECMS. | | | | | |
| Update Date | Date and time when the notification was last updated in the ECMS | | | | | |
| Updater User Id | Shows the identification of the user that made the last update of the instruction. | | | | | |
| Action | | | | | | |
| | | | | | | |



| Download | Button to download the Notification Message in case of MLOR Instruction Notification | | | | | |
|-----------------------|---|--|--|--|--|--|
| View Mes- sage | Button to view the Notification Message in case of MLOR Instruction Notification | | | | | |
| View | Button to view the details of the Notification | | | | | |
| Validation de | etails | | | | | |
| Action To Validate | Shows if there is any action waiting for validation. | | | | | |
| Is Rejected | Shows if any action subject to validation has been rejected. The possible values are: | | | | | |
| | - Yes | | | | | |
| | - No | | | | | |
| Footprint | | | | | | |
| Creation | Shows the date and time of the creation of the instruction. | | | | | |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | | |
| Creation User Id | Shows the identification of the user that created the instruction. | | | | | |
| Update Date | Shows the date and time of the update of the instruction. | | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | | |
| Updater User Id | Shows the identification of the user that made the last update of the instruction. | | | | | |
| | | | | | | |

3.4.3.2.2.2 Standing Facilities – Cancel Screen

| Context of Usage | This screen provides the possibility to cancel the selected Standing Facilities. You can check the data, including the user who made the changes, and proceed further by clicking on the buttons that are shown. | | | | | | | |
|------------------|---|--|--|--|--|--|--|--|
| Screen Access | Collateral and Credit >> Exposure >> Standing Facilities >> Cancel Standing Facilities Instruction >> Click on the search button (after inputting the relevant fields, if needed) >> Select a Standing Facilities >> Click on the Cancel button | | | | | | | |
| | Collateral and Credit >> Exposure >> Standing Facilities >> Cancel Standing Facilities Instruction >> Click on the search button (after inputting the relevant fields, if needed) >> Select a Standing Facilities >> Click on the View button (Standing Facilities - Details Screen >> Click on the Cancel Button | | | | | | | |
| Screenshot | ChangeStatus: Standing Facilities 10 \$\to\$ Q1 () \$\to\$ \$\to | | | | | | | |

| Standing Facilities – Cancel Screen | | | | |
|--|---|--|--|--|
| Field | Description | | | |
| Transaction Reference | Shows the reference that uniquely identifies the instruction. | | | |
| Counterparty Transaction Reference Number | Shows the Counterparty Transaction reference that uniquely identifies the Counterparty's instruction. | | | |



| Pool ID | Shows the identifier that uniquely identifies the Pool | | | | | |
|-------------------------------|---|--|--|--|--|--|
| | Shows the identifier that uniquely identifies the Pool. | | | | | |
| Counterparty ID | Shows the identifier that uniquely identifies the Counterparty. | | | | | |
| Counter- party's MCA | Shows the identifier of the Main Cash Account of the Counterparty | | | | | |
| NCB Id | Shows the identifier that uniquely identifies the NCB. | | | | | |
| NCB's CB Account | Shows the identifier of the Cash Account of the NCB. | | | | | |
| Instruction Description | "MLOR" | | | | | |
| Amount | Shows the amount. | | | | | |
| Interest Rate | Shows the Interest Rate of the instruction | | | | | |
| Accrued In- terest | Shows the Accrued Interest of the instruction | | | | | |
| Currency | Shows "EUR". | | | | | |
| Instruction | Shows the business date on which the instruction is created. | | | | | |
| Date | Displayed format is: DD/MM/YYYY. | | | | | |
| Intended Set- tlement Date | Shows the business date on which the instruction will be settled. Either the current business date or current business date + 1. Displayed format is: DD/MM/YYYY. | | | | | |
| Maturity Date | Shows the business date on which the instruction will mature. Displayed format is: DD/MM/YYYY. | | | | | |
| To be Netted | Shows "Yes" if the instruction has been netted, otherwise "No". | | | | | |
| Netting Reference | Shows the Netting reference if the instruction is netted. | | | | | |
| Netting Status | Shows the Netting status. | | | | | |
| Instruction Status | Shows the Instruction status. | | | | | |
| Sub-Status | Shows the Sub-status. | | | | | |
| U2A | Shows "Yes" if the instruction has been entered via U2A, otherwise "No" for A2A. | | | | | |
| Action to validate | Shows if the validation is required following a creation or an update of the record. | | | | | |
| Update Date | Shows the date and time of the last update. | | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | | |
| Updater User Id | Shows the identification of the user that made the last update. | | | | | |
| Last Update reason | Shows the reason for update (information provided by the NCB user or Counterparty). | | | | | |
| After selecting | g a record, the following buttons are displayed | | | | | |
| Button | Function | | | | | |
| History | This function enables you to access to the historical information of an instruction. | | | | | |
| | Next screen: | | | | | |
| | - Standing Facilities - History Screen. | | | | | |
| Cancel | This function allows the user cancel the record so that they can be considered cancelled in the system | | | | | |



| View | This function enables you to access to the detailed information of struction. | | | | | |
|------------------|--|--|--|--|--|--|
| | Next screen: | | | | | |
| | - Standing Facilities - Details Screen. | | | | | |
| | s used in the 4 eyes validation context, the following buttons are also disarecord is selected | | | | | |
| Button | Function | | | | | |
| Compare Draft | In case the 4 eyes validation is required because of an update of the record, this function enables the user to display the change that needs to be validated. | | | | | |
| | Next screen: | | | | | |
| | Standing Facilities - History Screen. | | | | | |
| View Draft | This function enables the user to view the draft record to be validated. | | | | | |
| | Next screen: | | | | | |
| | Standing Facilities – Details Screen. | | | | | |

3.4.4 Global Credit Position Management

3.4.4.1 Credit Freezing

3.4.4.1.1 Credit Freezing – Create Screen

| Context of Us- age | This screen contains several fields regarding a credit freezing instruction. You can enter manually the data and then click in the button Save | | | | |
|-------------------------------|--|----------------------------------|-----------------|--|--|
| Screen Access | Collateral and Credit >> Exposure >> Credit Freezing >> Input Credit Freezing Instruction | | | | |
| Screenshot | Input Credit Freezing instruction | | | | |
| | Transaction Details Transaction Reference Number | Party's Instruction Reference | Pool Identifier | | |
| | CF20220628001151 Counterparty | Credit Freezing Type | Amount | | |
| | Currency | Intended Settlement Date | Update mode | | |
| | EUR Compulsory Event | 28/06/2022 Last Update Reason | | | |
| | | | | | |
| | "D Roset | | ✓ Save | | |
| Credit Freezing - | - Create screen | | | | |
| Field | Description | | | | |
| Transaction Reference Number | Unique transaction identifier in the ECMS. It's always auto-completed when opening the screen to input a new credit freezing instruction. | | | | |
| Party's Instruction Reference | Reference of the instruction given by the instructing Party | | | | |
| Pool Identifier | Identifier of the ECMS Pool where the credit freezing is authorised. | | | | |
| Counterparty | Identifier of the ECMS Party that initiated the instruction. | | | | |
| Credit Freezing Type | Type of credit freezing update requested by the Counterparty / NCB. | | | | |
| Amount | Amount of credit freezing update. | | | | |
| Currency | Always equal to EUR | | | | |



| Intended Settle- ment Date | Intended Settlement Date corresponds to the current ECMS business date as Credit Freezing Instructions are processed during the day-time process. | |
|-------------------------------|---|--|
| Update Mode | "DELTA" or "CANCEL AND REPLACE" | |
| Compulsory Eevent | Yes or No | |
| Last Update Reason | Reason for update (information provided by the NCB user or Counterparty). | |
| Button | Function | |
| Reset | This function enables you to clear the form. | |
| Save | This function enables you to save the creation of a credit freezing instruction. | |

3.4.4.1.2 Credit Freezing – Search Screen

| Context of Us- age | This screen is used to enter criteria to retrieve the list of credit freezing instructions meeting the entered criteria. The screen contains a number of search fields and shows the latest and stored performed searches. By inputting the relevant data you can search for all the instructions that fit the input criteria. The search results will be displayed in a list. When selecting a row, you can proceed further by clicking one of the buttons that are shown | | | | | | | |
|-----------------------|--|-----------------------------|----------|------------------------------|----------|--|--|--|
| | Depending how the screen is accessed, it can be used to search the valid information of the credit freezing instruction or the informa- tion that requires 4 eyes validation before they can be considered valid in the system. | | | | | | | |
| Screen Access | For valid information : | | | | | | | |
| | Collateral and Credit >> Exposure >> Credit Freezing >> Display Credit Freezing Instruction | | | | | | | |
| | For information subject to 4 eyes validation: | | | | | | | |
| | Collateral and Credit >>Exposure >> Credit Freezing >> Credit Freezing Instruction Waiting for validation | | | | | | | |
| Screenshot | Search Criteria : Credit Freezing | | | | ** | | | |
| | Transaction Reference ▼ Number | Party's Instruction • | | Counterparty • | • | | | |
| | Pool Identifier == ▼ | ▼ Credit Freezing Type == ▼ | <u> </u> | ntended Settlement == ▼ Date | <u> </u> | | | |
| | Update mode == ▼ | ▼ Compulsory Event == ▼ | <u>*</u> | U2A == ▼ | · · | | | |
| | Instruction Status == ▼ | ▼ Creation Date == ▼ | | Update Date == ▼ | | | | |
| | "> Reset | | | | Q Search | | | |

| Operations – Search screen | | | | | |
|-------------------------------|--|--|--|--|--|
| General Information | | | | | |
| Field | Description | | | | |
| Transaction Reference Number | Enter the transaction reference number | | | | |
| Party's Instruction Reference | Enter the party's instruction reference | | | | |
| Pool Identifier | Select a pool identifier from the list displayed | | | | |
| Counterparty | Select a counterparty from the list displayed | | | | |



| Credit Freezing Type | Select a credit freezing type from the list displayed |
|-------------------------|--|
| Intended Settle- | Enter a date or use the calendar icon to select one. |
| ment Date | Required format is: DD/MM/YYYY |
| Update Mode | Select an update mode from the list displayed |
| Compulsory Event | Enter Yes or No to display instructions with compulsory events or not. |
| U2A | Enter Yes or No to display U2A instructions |
| Instruction Status | Select one status among the possible list of credit freezing instruction satuses |
| Creation Date | Enter a date or use the calendar icon to select one. |
| | Required format is: DD/MM/YYYY |
| Update Date | Enter a date or use the calendar icon to select one. |
| | Required format is: DD/MM/YYYY |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |

3.4.4.1.2.1 Credit Freezing – List Screen

| age | This screen gives the list of credit freezing instructions resulting from the request entered in the display screen after clicking on the button Search. The screen Search is displayed below the query. | | | | | | | | the | | |
|-----------------------------|--|--|--|--|--------------------------|------------------------|---|---|--|---|--|
| | the vali | Depending how the screen is accessed, it can be used to search the valid information of the credit freezing instructions or the information that requires 4 eyes validation before they can be considered valid in the system | | | | | | | | | |
| Screen Access | For val | id info | ormatio | on: | | | | | | | |
| | | k on t | | | ezing >> [outton (af | | - | | | • | |
| | | , | ion sui | hiect t | o 4 eyes | valid | ation: | | | | |
| | 7 07 11110 | | | - | - | | | | | | |
| | Exposu | ıre >> | Cred | t Free | ezing >> (| Credi | t Free | ezing | Instruc | tion W | /aiting |
| | for valid | dation ields, | >> C | ick or | ezing >> (n the Sea | | | | | | |
| Screenshot | for valid | dation ields, | >> C | ick or ded) | n the Sea | rch b | | | | ng the | rel- |
| Screenshot | for valid | dationields, | >> C | ick or ded) | | rch b | utton | (after | | ng the | e rel- |
| Screenshot | for valid evant fi | dation ields, | dentiler © Counterpa | ick orded) | the Sea | rch b | Update mode \$ CANCEL AND R. | (after | r inputti | ng the | P C Update User F |
| Screenshot | for valid | dation ields, | dentilief © Counterpa | ick orded) | the Sea | rch b | utton | (after | r inputti | ng the | U C) S |
| Screenshot | for valid evant fi | dation ields, | dentilief © Counterpa | ick orded) | The Sea | Intended Settl | Update mode € CANCEL AND R CANCEL AND R | (after | r inputti | ng the | CM COPERAT. ECMS OPERAT. ECMS OPERAT. |
| Screenshot | for valid evant file search Result : Cred to reach the control of | dation ields, | >> C if need dentifie (| ty & credit Freezent cepty cepty cepty cepty cepty cepty cepty | The Sea | rch b | Update mode © CANCEL AND R. CANCEL AND R. CANCEL AND R. DELTA CANCEL AND R. | Computsory E. V. No. V. V. V. V. V. No. V. | TIA \$ \$ Instruction TIA \$ \$ Instruction TIA \$ \$ Settled Tes Settled Tes Settled Tes Settled Tes Settled Tes Settled Tes Settled | Q 3-1 | Update User IC ECMS OPERAT. ECMS OPERAT. ECMS OPERAT. ECMS OPERAT. ECMS OPERAT. ECMS OPERAT. |
| Screenshot | for valid evant fi | dation dields, lit Freezing artys Instruc. Pool Pool Pool Pool Pool Pool Pool Poo | >> C if need | ty 1 Credit Freezen CPTY CPTY CPTY CPTY CPTY CPTY | The Sea | TCh b htended Setf | Utton J Update mode \$\frac{1}{2}\$ CANCEL AND R. | Computery E: U | TRA | Q 551 ★ 26 1606/20215 1606/20000000000000000000000000000000000 | DICIO () CONTROL () CO |
| Screenshot | for valid evant file search Result : Cred to reach the control of | dation dation dields, | >> C if need | ty & credit Freezent cepty cepty cepty cepty cepty cepty cepty | The Sea | rch b | Update mode © CANCEL AND R. CANCEL AND R. CANCEL AND R. DELTA CANCEL AND R. | Computory E. V. No. 19 | TIA \$ \$ Instruction TIA \$ \$ Instruction TIA \$ \$ Settled Tes Settled Tes Settled Tes Settled Tes Settled Tes Settled Tes Settled | Q 551 ★ 26 1606/20215 1606/20000000000000000000000000000000000 | Update User ID COMPANY Update User ID COMPANY ECMS OPERAT. |
| Screenshot | for valid evant file search Result : Cred to the control of the co | dation dields, | >> C if need dentifiers Counterpart 00000000. Friis129 00000000. Friis129 00000000. Friis129 00000000. Friis129 00000000. Friis129 | CONTROL OFFY COPY COPY COPY COPY COPY COPY COPY COP | The Sea | TCh b Itended Sett | Update mode © CANCEL AND R. CANCEL AND R. DELTA CANCEL AND R. | Computory E. V. No. No. No. No. No. No. No. No. No. No | TINDUTTI | ong the onst the ons | Update User ID COMPANY Update User ID COMPANY ECMS OPERAT. |
| Screenshot | for valid evant file vant file van fil | dation ields, ie | sylvania (Continual Continual Continua Continua Continua Continua Continua Continua Continua Con | y Code Freezen | The Sea | TCh b biterded Sett | Update mode © CANCEL AND R | Computary E. V. Computary E. V. | TRA © Instruction TRA © Instruc | Q 551 * 100 M S1 Inpatr bare 6 | PICE TO PORT T |
| Screenshot | Search Result: Cred | dation ields, ie | sylvania (Continual Continual Continua Continua Continua Continua Continua Continua Continua Con | ve contresor | The Sea | rch b | Update mode © CANCEL AND R. | Computary E. V. Computary E. V. | TIA 9 V Instruction res Settled | Q 551 * 100 M S1 Inpatr bare 6 | P rel- |
| Screenshot | Search Result: Cred | dation ields, ie | sylvania (Continual Continual Continua Continua Continua Continua Continua Continua Continua Con | ve contresor | The Sea | rch b | Update mode © CANCEL AND R. | Computary E. V. Computary E. V. | TIA 9 V Instruction res Settled | Q 551 * 100 M S1 Inpatr bare 6 | P rel- |
| Screenshot | Search Result: Cred | dation ields, ie | sylvania (Continual Continual Continua Continua Continua Continua Continua Continua Continua Con | ve contresor | The Sea | rch b | Update mode © CANCEL AND R. | Computary E. V. Computary E. V. | TIA 9 V Instruction res Settled | Q 551 * 100 M S1 Inpatr bare 6 | P rel- |
| Screenshot | Search Result: Cred | dation ields, ie | sylvania (Continual Continual Continua Continua Continua Continua Continua Continua Continua Con | ve contresor | The Sea | rch b | Update mode © CANCEL AND R. | Computary E. V. Computary E. V. V. No. V. V. V. V. No. V. | TIA 9 V Instruction res Settled | Q 551 * 100 M S1 Inpatr bare 6 | P rel- |
| Screenshot Credit Freezing | for valid evant file vant file van fil | dation ields, Ill Freezing IPP's Instance Rod 2202061600 Pool | sylvania (Continual Continual Continua Continua Continua Continua Continua Continua Continua Con | ve contresor | The Sea | rch b | Update mode © CANCEL AND R. | Computary E. V. Computary E. V. V. No. V. V. V. V. No. V. | TIA 9 V Instruction res Settled | Q 551 * 100 M S1 Inpatr bare 6 | P rel- |



| General Information | on | | | |
|---|--|--|--|--|
| Field | Description | | | |
| Transaction Reference Number | | | | |
| Party's Instruction Reference | Reference of the instruction given by the instructing Party | | | |
| Pool Identifier | Pool identifier | | | |
| Counterparty | Counterparty | | | |
| Credit Freezing Type | Type of credit freezing update requested by the Counterparty / NCB | | | |
| Amount | Amount of credit freezing update. | | | |
| Currency | Always equal to EUR. | | | |
| Intended Settle- ment Date | The settlement date of the credit freezing update | | | |
| Update Mode | "DELTA" or "CANCEL AND REPLACE" | | | |
| Compulsory Eevent | Yes or No | | | |
| U2A | Yes or No | | | |
| Instruction Status | Status of the Credit Freezing instruction. Possible values: | | | |
| | - Queued | | | |
| | WaitingValidation | | | |
| | - Incomplete | | | |
| | - Settled | | | |
| | - Rejected | | | |
| | - To Be Recycled | | | |
| | - NotValuated | | | |
| | - InitContingencyEcons | | | |
| Update date | Date of the update of the credit freezing instruction | | | |
| Update User Id | Identifier of the user who updated the credit freezing | | | |
| After selecting a recon right button) | cord, the following buttons are displayed (also available with click | | | |
| Button | Function | | | |
| History | This function enables you to access to the historical information of a credit freezing instruction. | | | |
| | Next screen displayed under the list screen: | | | |
| | Credit Freezing - History Screen. | | | |
| View | This function enables you to access to the detailed information of a credit freezing | | | |
| | Next screen displayed under the list screen: | | | |
| | Credit Freezing – detail Screen. | | | |
| If the screen is used displayed when a re | d in the 4 eyes validation context, the following buttons are also ecord is selected | | | |
| Button | Function | | | |
| Compare Draft | In case the 4 eyes validation is required because of an update of the record, this function enables the user to display the change that needs to be validated. | | | |



| | Next screen: |
|------------|---|
| | Credit Freezing – History Screen. |
| View Draft | This function enables the user to view the draft record to be validated. |
| | Next screen: |
| | - Credit Freezing - detail Screen. |
| Validate | This function allows the user to validate the creation or update of the record so that they can be considered valid in the system |
| Reject | This function allows the user to reject the creation or update of the record. The draft will be deleted. |

3.4.4.1.2.2 Credit Freezing – History screen

| Context of Usage | on the select | displays historical informati ted Instruction. You can ch cking on the buttons that a | · · · · · · · · · · · · · · · · · · · |
|------------------|--|--|--|
| Screen Access | struction | e >> Credit Freezing >> Dis >> Click on the Search but ds, if needed)>> Select an utton | ton (after inputting the rel- |
| Screenshot | horizontalHistoryResult : Credit Freez | ing History | <u></u> ■ |
| Ocicensiiot | | | Q 2 🔀 🌭 Show Differences Only Expand All Compare |
| | Fields | CF20220616001146 2022-06-16 15:39:37:897 2 | © CF20220616001146(2022-06-16 15:39:35:223)1 |
| | | | |
| | | | |
| | Pool Movement | CF20220616001146 | |
| | Instruction Status | Settled | WaitingValidation |
| | Creation Date | 16/06/2022 15:39:37:897 | 16/06/2022 15:39:35:223 |
| | Transaction Reference Number | CF20220616001146 | CF20220616001146 |
| | Is Contingency Init | No | No |
| | Is Reimbursed | No | No No |
| | Is Rejected | No | No |
| | Update mode | CANCEL AND REPLACE | CANCEL AND REPLACE |
| | Action To Validate | | |
| | Amount | 80,000,000 | 80,000,000 |
| | Counterparty | 84 | 84 |
| | Party's Instruction Reference | CF20220616001146 | CF20220616001146 |
| | Credit Freezing Type | CPTY | СРТУ |
| | Currency | EUR | EUR |

| Credit Freezing – History Screen | | |
|----------------------------------|---|--|
| Field | Description | |
| Fields | Shows the fields whose information have been updated since the creation of the selected instruction. | |
| Timestamp | Shows the date and time when the fields have been updated. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Button | Description | |
| Compare | Shows the differences between the selected records whose data have been updated. | |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the credit freezing instruction. | |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected credit freezing instruction. | |
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected credit freezing instruction. | |
| Show Differences Only | Shows only the fields whose information have been updated since the creation of the selected credit freezing instruction. | |



3.4.4.1.2.3 Credit Freezing - Details screen

| Context of Usage | This screen gives ulting from the red | a view of selected o | credit freezing instru | uction res- |
|------------------|---|--|---|-------------|
| Screen Access | Exposure >> Credit Freezing >> Display Credit Freezing Instruction >> clicking on Search button>> Select an instruction>> Click on the View Button | | | |
| Screenshot | Search Result : Credit Freezing > View : Credit Freez INSTRUCTION DETAILS Transaction Reference Number GF222298 Household 16 Pool Selection 16 Currency EUR Last Update Reason STATUS DETAILS OTHER DETAILS FOOIPhint | Party's Instruction Reference GR222961609146 Credit Frecting Type GPTY Intended Settlement Date 16/04/2022 | Counterparity FREEIZD Amount Update mode CANCEL AND REPLACE | 80,000,000 |

| Credit Freezing - I | Details Screen | |
|-------------------------------|---|--|
| Instruction Details | | |
| Field | Description | |
| Transaction Reference Number | Unique transaction identifier in the ECMS | |
| Party's Instruction Reference | Reference of the instruction given by the instructing Party | |
| Counterparty | Unique RIAD identifier of the Counterparty | |
| Pool Identifier | Identifier of the ECMS Pool where the credit freezing is authorised | |
| Credit Freezing Type | Type of credit freezing update requested by the Counterparty / NCB | |
| Amount | Amount of credit freezing update. | |
| Currency | Always equal to EUR | |
| Intended Settle- ment Date | The intended settlement date of the credit freezing instruction | |
| Update Mode | "DELTA" or "CANCEL AND REPLACE" | |
| Last Update Reason | The reason for the last update | |
| Status Details | | |
| Instruction Status | Status of the Credit Freezing instruction. Possible values: | |
| | - Queued | |
| | - WaitingValidation | |
| | - Incomplete | |
| | - Settled | |
| | - Rejected | |
| | - To Be Recycled | |
| | - NotValuated | |



| | - InitContingencyEcons |
|-----------------------------------|---|
| Event Description | Credit Freezing Position increase or decrease |
| Comulsory Event | Yes or No |
| Absolute Credit Limit Breached | Yes or No |
| Collateral Insufficiency | Yes or No |
| U2A | Yes or No |
| Action To Validate | Displays the action to validate when the status of the instruction is "Waiting for Global Credit Position Update" |
| Is Rejected | Yes or No |
| Other Details | |
| Pool Movement | Displays a link to a pool movement related to the credit freezing update |
| Payment & Credit Line Instruction | Displays a link to a payment and credit line instruction related to the credit freezing update |
| Business Valida- tion Errors | Displays a list of business validation errors when the instruction is not yet validated by ECMS |
| Notifications | Displays the list of notifications Incoming and Outgoing: |
| | Message received for credit freezing instruction creation with A2A mode (camt.998) |
| | Message feedback sent from ECMS (camt.025) |
| Footprint | |
| Updater User Id | Shows the identification of the user that made the last update. |
| Update Date | Shows the date and time of the instruction last update. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the instruction. |
| Creation Date | Shows the date and time of the instruction creation. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Pool Movements | |
| Field | Description |
| Pool Movement ID | Shows the reference number that uniquely identifies the movement |
| Counterparty | Shows the Identifier of the Counterparty |
| Pool Identifier | Shows the Identifier that uniquely identifies the Pool of the Counterparty. |
| Event Description | Credit Freezing Position increase or decrease |
| Movement Origin | Initiation or Return |
| Amount | Shows the Movement Instruction Amount |
| Pool Variation Amount | Shows the Pool Variation Amount |
| Intended Settle- ment Date | The intended settlement date of the credit freezing instruction |
| Instruction Status | The status of the instruction |
| Is Valuated | Yes or No |
| Force Margin Call | Yes or No |



| Absolut Credit | Yes or No |
|---------------------------------|---|
| Limit Breached | N/ NI |
| Collateral Insufficiency | Yes or No |
| Payment and Cred | lit Line Instruction |
| Field | Description |
| Transaction Reference Number | Unique transaction identifier in the ECMS |
| Pool Identifier | Identifier of the ECMS Pool where the credit freezing is authorised |
| Counterparty | Unique RIAD identifier of the Counterparty |
| Payment Type | Displays the payment type: MCL, SCL, etc |
| New Credit Line Amount | Displays the new credit line amount once the payment is settled |
| Credit Line Amount Variation | Displays the credit line variation |
| Variation Sign | Decrease or Increase |
| Payment Amount | Displays the payment amount |
| Currency | Always equal to EUR |
| ECMS Reference | The ECMS reference of payment |
| Value Date | The payment value date |
| Cancellation Reference | The cancellation reference if the payment is cancelled |
| Bundling Reference | Displays the bundling reference |
| Instruction Status | Displays the status of the payment instruction: |
| | - Cancelled |
| | - Generated |
| | - Instructed |
| | - Pending |
| | - Rejected |
| | - Settled |
| Status | Displays the status of the payment instruction: |
| | - Cancelled |
| | - Generated |
| | - Instructed |
| | - Pending |
| | - Rejected |
| | - Settled |
| Notifications | Displays the list of notifications Incoming and Outgoing: |
| Business Validation | |
| Field | Description |
| Business Rule Id | Displays the business rule id |
| Error Message | Displays the error description |
| Status | = representation and adda. |
| Notifications | |
| | |



| Field | Description |
|---------------------|--|
| Message Reference | Reference of the outgoing or incoming message |
| Notification Name | Name of the notification: Credit Freezing Instruction Notification |
| Direction | In or Out |
| Notification Status | The status of the notification: |
| | - Processed |
| | Processed With Failure |
| | - Impacted |
| | Impact Failed |
| | - Archived |
| | - Rejected |
| Update Date | Shows the date and time of the notification last update. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Update User Id | Shows the identification of the user that made the last update. |

3.4.4.2 Credit Line and impacts

The ECMS manages different types of internal Credit Lines:

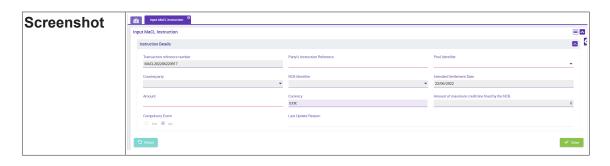
- The Suggested Credit Line (SCL) is calculated by the ECMS, any time during night time and the day time cycle, due to any events impacting the collateral position or the credit position, by calculating the difference between the global value of the collateral position (taking account of the relative limit) and the global value of the credit position.
- The Expected Credit Line (ECL) corresponds to the Last value of SCL sent to CLM in case of Floating Credit Line or to the MaCL taking account the absolute limit if any. The ECL is not relevant for a Counterparty without own MCA, nor for a Counterparty with own MCA on its pools without Credit Line configuration (value always equal to 0).
- The Real Credit Line (RCL) or Current Credit Line corresponds to the last credit line settled in CLM and confirms the credit line value received in the ECMS from CLM.
 The RCL can be different from the ECL value when at least one modification of the credit line is not yet settled from CLM.
- The Maximum Credit Line is performed in the ECMS in cancel and replace mode. The maximum credit line is a cap calculated to the value of the SCL (no impact on the value of the SCL). This cap reduces the value of the ECL sent to CLM. The maximum credit line update instruction can only be received from eligible Counterparties or NCB users.

3.4.4.2.1 Maximum Credit Line

3.4.4.2.1.1 MaCL (for the CPTY) – Create Screen

| Context of Usage | This screen contains a number of fields regarding the MaCL of the Counterparty. You can enter new data. Afterwards you can proceed further by clicking on the buttons below. |
|------------------|--|
| Screen Access | Payment And Credit Line Instruction >> MaCL Instructions >> Input MaCL instruction |





| MaCL (for the CPTY) – Create screen | | | |
|--|--|--|--|
| Instruction Details | | | |
| Field | Description | | |
| Transaction Reference Number | Unique identifier of the instruction in the ECMS: automatically field in | | |
| Party's Instruction Reference | | | |
| | Required format is: Max. 30 characters. | | |
| . , | Automatically field in by the ECMS (once the Pool Identifier is selected) | | |
| Pool Identifier | Enter/Select from the drop-down menu the unique identifier of the pool in the ECMS | | |
| | Required format is: Max. 30 characters. | | |
| Instructing Party | Enter/Select the value: "Counterparty" (when the request is linked to an update of Counterparty MaCL) or "NCB" (when the request is linked to an update of NCB MaCL) | | |
| Amount | Enter the amount of the requested maximum credit line. | | |
| Amount of maximum credit line fixed by NCB | Automatically field in by the ECMS | | |
| Compulsory Event | Automatically field in with "No" (Counterparty) | | |
| Intended Set- tlement Date | Enter/Select the ISD (equal or posterior to the current ECMS instruction date) | | |
| Last Update reason | Enter the reason for update | | |
| Currency | Authomatically field in with "EUR" | | |
| NCB Identifier | Authomatically field in by the ECMS (with the RIAD Code of the refinancing NCB) | | |
| Button | Function | | |
| Save | This function enables you to save the creation of the MaCL counterparty | | |
| Reset | This function enables you to clear the form. | | |



3.4.4.2.1.2 MaCL - Search Screen

| Context of Usage | This screen contains a number of search fields and shows the latest and stored searches. By inputting the relevant data, you can search for the MaCL. | | | | |
|---------------------|---|--|--|--|--|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. | | | | |
| Screen Ac- | For valid information: | | | | |
| cess | Collateral and Credit >> Payment And Credit Line Instruction >> MaCL Instructions >> Display MaCL Instruction | | | | |
| | For information subject to 4 eyes validation: | | | | |
| | Collateral and Credit >> Payment And Credit Line Instruction >> MaCL Instructions >> MaCL Instruction Waiting for validation | | | | |
| Screenshot | © Dayloy McCL retruction ○ | | | | |
| | Display : MacLupdate Instruction Transaction reference == Party Instruction == Counterparty == C | | | | |
| | Pool Identifier ▼ Intended Settlement Date ▼ Computery Event ▼ ▼ ▼ ▼ ▼ ▼ ▼ ▼ ▼ | | | | |
| | Instruction Party = | | | | |
| | Last Update Date and ··· · Creason Date ··· · · | | | | |
| | O Reset | | | | |

| MaCL - Search | n screen |
|-------------------------------|--|
| Field | Description |
| Transaction reference number | Enter the unique identifier of the MaCL instruction |
| Party's Instruction Reference | Enter/select the reference (given by the instructing party) of the MaCL instruction |
| Counterparty identifier | Enter/Select from the drop-down menu the RIAD code identifier that uniquely identifies the Counterparty. |
| | The required format is: Max 30 characters |
| Pool Identifier | Enter/Select from the drop-down menu the Pool ID. |
| Instructing Party | Enter/Select from the drop-down menu the intructing party that iniitated the instruction (NCB or Counterparty) |
| U2A | Enter/Select from the drop-down menu if the instruction was captured in U2A mode ("Yes") or not ("No") |
| Intended Set- | Enter/Select the instruction date of the creation of the MaCL. |
| tlement Date | Required format is: DD/MM/YYYY |
| Creation Date | Enter/Select the Instruction Date of the creation of the MaCL. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Status | Enter/Select the status of the MaCL. |
| | The possible values are : |
| | Wainting validation |
| | Sent for settlement |
| | - Rejected |
| | - Settled |
| | - Canceled |



| Compulsory event | Enter/select from the drop-down menu the Compulsory Event attribute value |
|------------------|--|
| | Possible values are : |
| | - Yes |
| | - No |
| Update Date | Enter/Select an update date of the creation of the MaCL. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |

3.4.4.2.1.3 MaCL- List screen

| Context of Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. | | | | | | | | | |
|---------------------|---|---|---------------------------------------|---------------------|------------------------|--------------------|-----------------|----------------------|-----------------|--------------------|
| | Depending how the screen is accessed, it can be used to search the valid information of the MaCL or the information that requires 4 eyes validation before they can be considered valid in the system | | | | | | | | | |
| Screen Ac- | For valid inform | ation: | | | | | | | | |
| cess | Collateral and Credit >> Payment And Credit Line Instruction >> MaCL Instructions >> Display MaCL Instruction >> Click on the <i>search</i> button (after inputting the relevant fields, if needed) | | | | | | | | | |
| | For information | For information subject to 4 eyes validation: | | | | | | | | |
| | Collateral and Collateral | MaCL | Instruc | tion Wai | ting fo | r valid | ation | >> C | lick or | n the |
| Screenshot | Search Result : MaCL update Instruction | | IZ. | / David 1 of 10 \ \ | | | | | Q 187 (' | |
| | Transaction refere Party's Instruction Identifier 2 ≎ | Pool Identifier 7 | - ' | Page 1 of 19 > > | ne Instructing Party € | Compulsory Event # | Amount of maxim | Instruction Status's | | Last Update Date ♡ |
| | MACL202206210912 MACL202206210912 FR18129 | POOL000000000200 | 99,999,999,999 EUI | 17/06/2022 | NCB | Yes | 99,999,999,999 | Settled | ECMS OPERATOR 1 | 21/06/2022 10:59:2 |
| | MACL202206090905 MACL202206090905 FR18129 MACL202206020901 MACL202206020901 FR18129 | POOL000000000194 | 99,999,999,999 EUI 800,000,000 EUI | | NCB COUNTERPARTY | Yes No | 99,999,999,999 | Rejected Settled | ECMS OPERATOR 1 | 09/06/2022 20:27:4 |
| | MACI 202206020901 MACI 202206020901 FR18129 MACI 202205300897 MACI 202205300897 FR18129 | POOL000000000189 | 99,999,999,999 EUI | | NCB COUNTERPARTY | No Yes | 99,999,999,999 | Settled | ECMS OPERATOR 1 | 30/05/2022 17:18:3 |
| | MACL202205180889 MACL202205180889 FR18129 | POOL000000000185 | 99,999,999,999 EUI | | NCB | Yes | 90,990,990,999 | Settled | ECMS OPERATOR 1 | 18/05/2022 18:54:0 |
| | MACL202205150824 MSG-ISAEFRPPXXX FR18129 | POOL000000000078 | 500,000,000 EUR | 19/06/2022 | COUNTERPARTY | No | 0 | Rejected | ISAEFRA2A01 | 15/05/2022 00:55:2 |
| | MACL202205110817 MACL202205110817 FR30007 | POOL000000000176 | 99,999,999,999 EUI | 11/05/2022 | NCB | Yes | 99,999,999,999 | Rejected | ECMS OPERATOR 1 | 11/05/2022 12:35:4 |
| | MACL202205100816 MACL202205100816 FR18129 | POOL000000000184 | 99,999,999,999 EUI | 10/05/2022 | NCB | Yes | 99,999,999,999 | Settled | ECMS OPERATOR 1 | 10/05/2022 18:47:5 |
| | MACL202205100813 MACL202205100813 FR18129 | POOL000000000183 | 99,999,999,999 EUI | | NCB | Yes | 99,999,999,999 | | STP | 10/05/2022 17:08:2 |
| | MACL202204140778 MACL202204140778 FR18129 | POOL00000000175 | 99,999,999,999 EUR | 14/04/2022 | NCB | Yes | 99,999,999,999 | Rejected | ECMS OPERATOR 1 | 14/04/2022 14:55:1 |
| | I | | | | | | | | | |

| MaCL - List So | MaCL – List Screen | | | | |
|------------------------------------|--|--|--|--|--|
| Field | Description | | | | |
| Transaction Reference Number | Shows unique identifier of the instruction in the ECMS: automatically field in | | | | |
| Party's Instruction Reference | Shows the reference of the instruction given by the instructing Party | | | | |
| Counterparty Identifier | Shows the RIAD code of the counterparty in the ECMS | | | | |



| Pool Identifier | Shows the unique identifier of the pool id in the ECMS |
|--|--|
| Instructing Party | Shows the instructing party Id that initiated the instruction (NCB or Counterparty) |
| Amount | Shows the amount |
| Amount of maximum credit line fixed by the NCB | Shows the NCB amount |
| Currency | Shows the currency ("EUR") |
| Compulsory Event | Shows if the event is compulsory or not ("Yes" or "No") |
| Instruction | Shows the internal ECMS status |
| Status | The possible values are : |
| | Wainting validation |
| | - Sent for settlement |
| | - Rejected |
| | - Settled |
| | - Canceled |
| Intended Set- tlement Date | Shows the ISD (equal or posterior to the current ECMS instruction date) |
| Action to validate | Present only when the screen is used in the context of 4 eyes validations, |
| | Shows if the validation is required following a creation or an update of the record. |
| Update Date | Shows the Date and Time |
| Update User Id | Shows the Updater User Id |
| After selecting | a record, the following buttons are displayed |
| Button | Function |
| History | This function enables you to access to the historical information of the MaCL instruction. |
| | Next screen: |
| | - MaCL - History Screen. |
| View | This function enables you to access to the detailed information of a MaCL instruction. |
| | Next screen: |
| | - MaCL - Details Screen. |
| | used in the 4 eyes validation context, the following buttons are also dis- record is selected |
| Button | Function |
| Compare Draft | In case the 4 eyes validation is required because of an update of the record, this function enables the user to display the change that needs to be validated. |
| | Next screen: |
| | MaCL - History Screen. |
| View Draft | This function enables the user to view the draft record to be validated. |
| 1 | Next screen: |



| | MaCL - Details Screen. |
|----------|---|
| Validate | This function allows the user to validate the creation or update of the record so that they can be considered valid in the system |
| Reject | This function allows the user to reject the creation or update of the record. The draft will be deleted. |

3.4.4.2.1.4 MaCL - History Screen

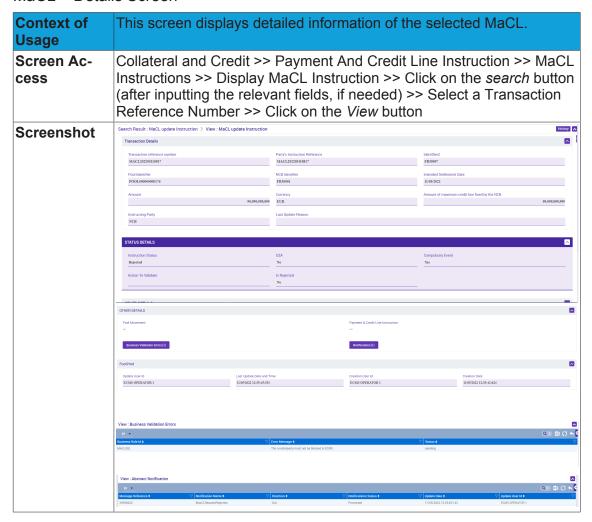
| Context of Usage | This screen displays historical information that has changed on the selected MaCL. You can check the data, including the user who made the changes, and proceed further by clicking on the buttons that are shown. | | | | | | |
|---------------------|--|---|---|---|--|--|--|
| Screen Access | Collateral and Credit >> Payment And Credit Line Instruction >> MaCL Instructions >> Display MaCL Instruction >> Click on the search button (after inputting the relevant fields, if needed) >> Select a Transaction reference number >> Click on the History button Collateral and Credit >> Payment And Credit Line Instruction >> MaCL Instructions >> Display MaCL Instruction >> Click on the search button (after inputting the relevant fields, if needed) >> Select a Transaction reference number >> Click on the View button - Details Screen >> Click on the History Button | | | | | | |
| | | | | | ie view bullon - | | |
| Screenshot | Details S | Screen >> Click | | | | | |
| Screenshot | Details S | Screen >> Click | | / Button | ~ | | |
| Screenshot | Details S Desploy MacL Instruction PhorizontalHistoryResult : Max Ct | Screen >> Click | on the History | / Button | Compare Espand All Show Differences Only • 1 | | |
| Screenshot | Details S | Screen >> Click | | / Button | ~ | | |
| Screenshot | Details S Desploy MacL Instruction PhorizontalHistoryResult : Max Ct | Screen >> Click | on the History | / Button | Compare Espand All Show Differences Only • 1 | | |
| Screenshot | Details S Desploy MacL Instruction PhorizontalHistoryResult : Max Ct | Screen >> Click | on the History | / Button | Compare Espand All Show Differences Only • 1 | | |
| Screenshot | Details S Display MACL Institution Of horizontal History Result : Max Ct Fields | Screen >> Click Request History 4999990022022 05 11 12:35:45:331 4 | on the History | / Button | Compare Espand All Show Differences Only 19 20 20 20 20 21 11 235 42 62411 | | |
| Screenshot | Details S Display MACL Instruction horizontal HistoryResult: Max Ct Fields Instruction Status | Screen >> Click L Request History 409990020202 05 11 12 35 45 33114 Rejected | on the History | / Button | Compare Espand All Show Differences Only 19 20 20 20 20 21 12 25 42 6241 | | |
| Screenshot | Details S Display MacL Instruction of horizontal HistoryResult: Max Ct Finds Instruction Status Last Notification Out | Screen >> Click Request History 49999900020022 65 11 12:36 45:33114 Rescried 294999133 | 499990022022 05-11 12:35-43 8660 | / Button | Compare Capard All Show Differences Only 49999900200022 05-11 12:35-42:62-41 Wanney Validation | | |
| Screenshot | Details S Display MACL Insuracion horizontal History Result: Max Cl Fields Instruction Status Last Horification Out Creation Date | Screen >> Click Request History 4999990022022 0511 1236 45 33114 Hojected 2949999133 11765/2022 12 55 45 331 | 4090900022022 d5 11 12 35 43 8650 | / Button Q.1 49999002002205411235-43 6412 Incomplete 11/05/20021235-43-641 | Compare Espand All Show Differences Only 19 4999900720022 05-11-12-36-42-62-411 WastroyValidation 11/05/2022 12-35-42-62-4 | | |
| Screenshot | Details S Display MoCL Instruction horizontal History Result: Max Ct Fields Instruction Status Last Notification Out Creation Date Compulsory Event | Screen >> Click L Request History 4099990027022 05 11 12 25 45 33114 Rejected 229999133 2109599133 Yes | on the History 9 499990022022 05 11 12 35 43 86602 Rejected 1179570022 12 35 43 865 | / Button | Compare: Especial All. Show Differences Daily 1999 4999990022022 05-11 12 35-42 62-41 Wasters/Validation 11/05/2022 12:35-42 62-4 Ves | | |
| Screenshot | Details S Display MacL Instruction of horizontal HistoryResult: Max Ct Frieds Instruction Status Last Notification Out Crestion Date Compulsory Event UZA | Screen >> Click Request History 49999900202022 65 11 12:56 45:33114 Rejected 2949999133 11105/2022 12:35:45:331 Ves No | 7 4999990222022 05-11 12-35-43 86503 Rejected 11705/2022 12-35-43 865 Vvs. | / Button Q.4 ********************************* | Compare Capand All Show Biferences Only 1999 4999990022022 05-11 12-35-42-62-41 Watersylvalidation 11/05/2022 12-35-42-62-4 Ves No | | |
| Screenshot | Details S property MacL Instruction horizontal History Result : Max Cl Fraids Instruction Status Last Notification Dut Crestion Date Computory Event U2A Is Rejected | Screen >> Click Request History 7 4999900022022 65 11 12 35 45 331H Recurse 296999133 1119672022 72 35 45 331 Ves No No | a on the History 499990022022 05 11 12 35 41 8653 Rejected 11765/2022 12 35 43 865 Ves No | / Button Q.4 *** 49999002202205111235.43.6412** biccomplete 11/05/20221235.43.641 Ves No. No. | Compare Esparal All Show Differences Only 1999 4999990022002 05-11 12:35-42-62411 Washing/kaldustons 11/05/2022 12:35-42-624 Ves No No | | |
| Screenshot | Details Composition of the property of the pro | Screen >> Click L Request History 4099990027022 05 11 12 25 45 33114 Bigecred 299999133 1109502021 12 35 45 331 Yes No No | © 000 the History 499990022022 05 11 12 35 43 865c3 | / Button 2 499990001202265111235456412 blocorgiese 11/05/2022123543641 Ves 100 100 100 100 100 100 100 100 100 10 | Compare Especial All Show Differences Daily 1999/980022022 06-11 12-35-42-62-411 Waster-g/Validation 11/05/2022 12-35-42-62-4 Ves No No No | | |
| Screenshot | Details S Display MacL Instruction of horizontal HistoryResult: Max CI Frieds Instruction Status Last Notification Out Crestion Date Compulsory Event UZA Is Rejected Instruction graty Internded Settlement Date | Screen >> Click L Request History 4099990027022 05 11 12 25 45 33114 Bigecred 299999133 1109502021 12 35 45 331 Yes No No | © 000 the History 499990022022 05 11 12 35 43 865c3 | / Button 2 499990001202265111235456412 blocorgiese 11/05/2022123543641 Ves 100 100 100 100 100 100 100 100 100 10 | Compare Especial All Show Differences Daily 1999/980022022 06-11 12-35-42-62-411 Waster-g/Validation 11/05/2022 12-35-42-62-4 Ves No No No | | |
| Screenshot | Defails C Display MACL Instruction horizontal History Result : Max CI Fields Instruction Status Last Netification Out Creation Date Compulsory Event UZA Is Rejected Instructing Party Intended Settlement Date Action To Validate | Screen >> Click Request History 7 4999900027022 65 11 12 35 45 331 4 Request History 9 49999133 2110502021 23 45 331 Vea No No NO NOB | ### A99990022022 05-11 12:55-41 8653 Rejected | / Button Q.4 10009000200200111235436412 110057002123543641 Ves No NCB 1110572022 | Compare Esperd All Show Differences City 1999990022022 05-11 12:35-42-6241 Washing/Unidation 11/05/2022 12:35-42-624 Ves No No No No 11/05/2022 | | |
| Screenshot | Details Composition of the property of the pro | Screen >> Click L Request History 4/99990027022 05 11 12 25 45 33114 Bigecard 299999333 110592022 12 35 45 331 Yes No No NCB 11/05/2022 99,999,999,999 | © 499990022022 05 1112 35 43 865u3 Rejected 11/95/2022 12 38 43 865 Yes No NCB 11/95/2022 93/99/999999 | / Button 2 | Compare: Especial All Show Differences Only 14999980022022 06-11 12-35-42-62-411 Water-g/Validation 11/05/2022 12-35-42-62-4 Ves No No No NCB 11/05/2022 99.999.999.999 | | |
| Screenshot | Details S orgolay MACL Insurance on horizontal History Result: Max CI Fraids Instruction Status Last Notification Out Creation Date Computiony Event U2A Is Rejected Instructing Party Intended Settlement Date Action To Validate Amount Counterparty | Screen >> Click L Request History 4999900202022 65 11 12 35 45 3314 Rejected 299999133 110502022 12 35 45 331 Yes No No NCB 11/05/2022 99,999,999 39 MACL202205110817 | © 499990022022 05-1112-35-43-865s3 Rejected 11/09/2022 12-38-43-865 Yes No NCB 11/09/2022 99/99/99/99 39 MACL 202209110817 | / Button 2 499999002002405111235436412 10complete 11/05/2022 12/31-43/641 Yes No NCB 11/05/2022 99,999,999,999 39 MACL/20/203110817 | Compare: Especial All. Show Differences Only 149999800212022 06-11 12-35-42-62-411 Watersy/Aldisation 11/65/2022 12-35-42-62-4 Ves. No. No. No. No. No. No. ACB. 11/05/2022 99.992.999.999 39 MACL202209110817 | | |
| Screenshot | Details S posphy MACL Insurucion horizontal History Result : Max Cl Fraids Instruction Status Last Notification Out Crestion Date Compulsory Event UZA Is Rejected Instructing Party Intended Settlement Date Action To Validate Amount Counterparty Party's Instruction Reference Last Update Reason Currency | Screen >> Click Request History | ### ### ############################## | / Button Q.4 49999007207205205 11 235 43 64102 100complete 11/05/2022 1235 43 641 No No No No No MCI 99:99:999:999 99 MACI.202205110817 | Compare Espand All Show Differences Only 1999990072002 05-11-12-35-42-02-41 Wasting/Validation 11/05/2022 12-35-42-02-4 Ves No No No No Mo All 11/05/2022 99.999.999.999 39 MACL_202205110817 EUR | | |
| Screenshot | Details Control of the control of th | Screen >> Click L Request History 4999900202022 65 11 12 35 45 3314 Rejected 299999133 110502022 12 35 45 331 Yes No No NCB 11/05/2022 99,999,999 39 MACL202205110817 | © 499990022022 05-1112-35-43-865s3 Rejected 11/09/2022 12-38-43-865 Yes No NCB 11/09/2022 99/99/99/99 39 MACL 202209110817 | / Button 2 499999002002405111235436412 10complete 11/05/2022 12/31-43/641 Yes No NCB 11/05/2022 99,999,999,999 39 MACL/20/203110817 | Compare: Especial All. Show Differences Only 149999800212022 06-11 12-35-42-62-411 Watersy/Aldisation 11/65/2022 12-35-42-62-4 Ves. No. No. No. No. No. No. ACB. 11/05/2022 99.992.999.999 39 MACL202209110817 | | |

| MaCL - Histo | MaCL - History Screen | | | | |
|--------------|---|--|--|--|--|
| Field | Description | | | | |
| Fields | Shows the fields whose information have been updated since the creation of the selected MaCL. | | | | |
| Timestamp | Shows the date and time when the fields have been updated. | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | |
| Button | Description | | | | |
| Compare | Shows the differences between the selected records whose data have been updated. | | | | |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected MaCL. | | | | |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected MaCL. | | | | |



| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected MaCL. |
|--------------|---|
| | Shows only the fields whose information have been updated since the creation of the selected MaCL. |

3.4.4.2.1.5 MaCL - Details Screen



| MaCL – Details screen | | | | |
|------------------------------------|--|--|--|--|
| Button | Description | | | |
| History | This function enables you to access to the historical information of a MaCL. | | | |
| | Next screen: | | | |
| | - MaCL - History Screen. | | | |
| Transaction | Details | | | |
| Field | Description | | | |
| Transaction Reference Number | Shows the unique identifier of the instruction in the ECMS: automatically field in | | | |



| Party's In- struction Ref- erence | Shows the reference of the instruction given by the instructing Party |
|--|--|
| Counterparty Identifier | Shows the RIAD code of the counterparty in the ECMS |
| Pool Identifier | Shows the unique identifier of the pool id in the ECMS |
| Instructing Party | Shows the instructing party Id that initated the instruction |
| Amount | Shows the amount |
| Currency | Shows the currency ("EUR") |
| Amount of maximum credit line fixed by the NCB | Shows the NCB amount |
| Compulsory Event | Shows if the event is compulsory or not ("Yes" or "No") |
| Instruction | Shows the internal ECMS status |
| Status | The possible values are : |
| | Wainting validation |
| | - Sent for settlement |
| | - Rejected |
| | - Settled |
| | - Canceled |
| Intended Set- tlement Date | Shows the ISD (equal or posterior to the current ECMS instruction date) |
| Last Update reason | Shows the reason for update |
| U2A | Shows if the instruction was captured in U2A mode ("Yes") or not ("No"). |
| Action To Validate | Shows the nature of the action to validate. |
| Is rejected | Shows if the instruction was rejcted. |
| Rejection Reason | Shows the reason of the instruction rejection |
| Other details | |
| Pool Moove- | This link enables to display information about the MaCL Movement: |
| ment | Next screen: MaCL Movement – Details screen |
| Payment & Credit Line in- | This link enables to display information about the Payment and Credit Line Instruction |
| struction | Next screen: Payment and Credit Line Instruction – Details screen |
| Footprint | |
| Creation Date | Shows the date and time of the creation of the MaCL. |
| 0 11 11 | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User | Shows the identification of the user that created the MaCL. |
| Update Date | Shows the date and time of the update of the MaCL. |



| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
|-------------------|---|
| Update User Id | Shows the identification of the user that made the last update of the MaCL. |
| Button | Description |
| Notifications | This function enables you to display the MaCL notifications related to selected MaCL. |
| | Next screen: MaCL Notifications - list screen is displayed. It is possible to view details and download the MaCL notification |
| Business Val- | This function enables you to display the Business Validation Errors |
| idation Error | Next screen : Business Validation Errors – List screen |

3.4.4.2.2 Credit Line & Payment Instructions (MCL, CP & RP)

3.4.4.2.2.1 Credit Line & Payment Instructions – Search Screen

| Context of Usage | This screen contains a number of search fields and shows the latest and stored searches. By inputting the relevant data, you can search for the Credit line history. | r |
|------------------|---|---|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. | |
| Screen Access | Collateral and Credit >> Payment And Credit Line Instruction >> Display Instruction | |
| Screenshot | Search Cotteria Poyment and Credit Line Indirection Transaction Reference Number 22 * Coveragearly 22 * Post Search Cotteria Poyment Search Cotteria | |

| Credit Line & | Credit Line & Payment Instructions – Search screen | | | |
|------------------------------------|---|--|--|--|
| Field | Description | | | |
| Transaction Reference Number | Enter/Select unique transaction identifier | | | |
| Counterparty | Enter/Select from the drop-down menu the RIAD code identifier that uniquely identifies the Counterparty. | | | |
| | The required format is: Max 30 characters. | | | |
| Pool Identifier | Enter/Select from the drop-down menu the Pool ID. | | | |
| Value Date | Enter/Select the value date. | | | |
| Payment Type | Enter/Select the payment type (All/MCL/CP/RP) | | | |
| ECMS Reference | Enter the reference to the related credit or collateral events which moved the pool | | | |
| | In case of netting, the 'ECMS Reference' is filled in with the transaction reference number of the netting result | | | |
| Variation sign | Enter/select the variation sign of the instruction. | | | |
| | Possible values: | | | |
| | - Decrease | | | |



| | - Increase |
|-----------------------|--|
| Instruction Status | Enter/Select the status of the MCL or CP or RP. |
| Update Date | Enter/Select an update date of the creation of the MCL/CP/RP. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |

3.4.4.2.2.2 Credit Line & Payment Instructions – List screen

| Context of Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. | | | | | | | |
|------------------|---|----------------------|--|-----------------|---|---|--|---|
| Screen Access | play Instr | and Crediuction >> 0 | Click on th | | | | | n >> Dis- g the relev- |
| Screenshot | Search Result Psymmet and Cordit Li | | Theo Craft Line Arci. Craft Lion Annual Craft Li | Peer 1 d d 17 | Value foor 8 7 CAMS Indicesce 8 00477/2022 C726222792911540 00477/2022 C72622792911540 00477/2022 POLA-PTESSIGNED 00477/2022 POLA-PTESSIGNED 00477/2022 0099350004,647 00477/2022 209959000,640 00477/2022 20995900 00477/2022 2099590 00477/2022 2099590 00477/2022 2099590 00477/2022 2099590 | Cett Coorgans 6 w State cook State Cest Ferrary Pasts. Seried Cest Ferrary Pasts. Seried Cest Ferrary Pasts. Seried Cest Ferrary Pasts. Seried OND in correct year. Seried Max Cest Line Seried Seried Seried Cest Seried Seried Cest Cest Cest Seried Cest | Status 8 Sertied | © 1 Community 1 Community |

| Credit Line & | Payment Instructions – List Screen |
|--------------------------------------|--|
| Field | Description |
| Transaction Reference Number | Shows unique identifier of the instruction in the ECMS: automatically field in |
| Counterparty | Shows the RIAD code of the counterparty in the ECMS |
| Pool Identifier | Shows the unique identifier of the pool id in the ECMS |
| Payment Type | Shows the payment type. |
| | Possible values: |
| | MCL |
| | Connected payment |
| | Regular payment |
| New Credit Line Amount | Show the new credit line amount. |
| Credit Line Amount Vari- ation | Shows the amount of the variation of the Credit Line (in case of MCL or CP) |
| Payment Amount | Shows the payment amount (in case of CP or RP) |
| Currency | Shows the currency (in case of MCL or CP or RP) |



| Shows of the Value Date |
|--|
| Format required is: DD/MM/YYYY hh:mm:ss:µs |
| Shows the ECMS reference (related to the credit or the collateral event) |
| Shows the description of the event. |
| Shows the internal ECMS status |
| Shows the status of the instruction |
| Shows the update date of the instruction. |
| Shows the creation date of the instruction. |
| a record, the following buttons are displayed |
| Function |
| This function enables you to access to the historical information of the payment or MCL instruction. |
| Next screen: |
| Credit Line & Payment Instructions – History Screen. |
| This function enables you to access to the detailed information of a a payment or MCL instruction. |
| Next screen: |
| Credit Line & Payment Instructions — Details Screen. |
| |

3.4.4.2.2.3 Credit Line & Payment Instructions – History Screen

| Context of Usage | This screen displays historical information that has changed on the selected MCL or CP or RP. You can check the data, including the user who made the changes, and proceed further by clicking on the buttons that are shown. |
|---------------------|---|
| Screen Access | Collateral and Credit >> Payment And Credit Line Instruction >> Display Instruction >> Click on the Search button (after inputting the relevant fields, if needed) >> Select a MCL or CP or RP >> Click on the History button |
| | Collateral and Credit >> Payment And Credit Line Instruction >> Display Instruction >> Click on the Search button (after inpMCL or CP or RP >> Click on the View button - Details Screen >> Click on the History Button |



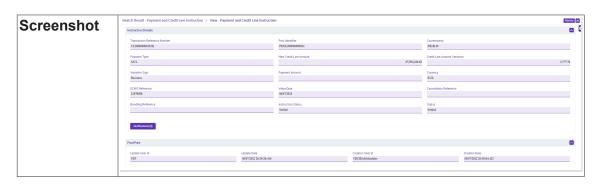
| Caraanahat | (Display Instruction 0 | | | | | | | | |
|------------|------------------------------|---|--|--|---|--------------------------------|-------------------------|--|--|
| Screenshot | | horizonfalHistoryResult : Credit Line Instruction History | | | | | | | |
| | Q 0 0 | | | | | | | | |
| | Fields | C1100000001023210022407-05-20-39-28-4466-1 | CLI0000000102321/2022-07-05 20 39-27-396/5 | CL10000000102321j2022-07-05-20-38-53-982j4 © | CLI000000110232112022-07-05-20-38-50-6993 | | | | |
| | | | | | | | | | |
| | | | | | | | | | |
| | Instruction Status | Settled | Instructed | Instructed | Generated | Generated | | | |
| | Is Confirmation Received | Yes | No | No | No | No | No | | |
| | Is Updated From RTGS | Yes | Yes | No | No | No | No | | |
| | Last Notification in | 3700002146 | 3700002146 | | | | | | |
| | Last Notification Out | 3700002145 | 3700002145 | 3700002145 | | | | | |
| | New Credit Line Amount | 67,594,166.65 | 67,594,166.65 | 67,594,166.65 | 57,594,166.65 | 57,594,166.65 | 57,594,166.65 | | |
| | Sent To RTGS | Yes | Yes | Yes | No | No | No | | |
| | Status | Settled | MCLConfirmed | MCLWeitingConfirmation | Instructed | WeltingForPreviousModification | Instructed | | |
| | Creation Date | 05/07/2022 20:39:28:445 | 05/07/2022 20:39:27:395 | 05/07/2022 20:38:53:982 | 05/07/2022 20:30:50:609 | 05/07/2022 20:38:04:485 | 05/07/2022 20:58:04:423 | | |
| | Creation User Id | STP | STP | STP | STP | FRC8JobScheduler | FRCBJobScheduler | | |
| | Transaction Reference Number | CLI000000102321 | CLI000000102321 | CLI0000000102321 | CL0000000102321 | CLI0000000102321 | CLI000000102321 | | |
| | Is For Adjustement | No | No | No. | No | No | No | | |
| | Is Rejected | No | No | No | No | No | No | | |
| | Action To Validate | | | | | | | | |
| | Asynchronous Sending | No | No | No | No | No | No | | |
| | Counterparty | 84 | 84 | 84 | 84 | 84 | 84 | | |
| | Bundling Reference | | | | | | | | |
| | Cancellation Reference | | | | | | | | |
| | CI Blocking Reference | | | | | | | | |
| | CI Rejected | No | No | No | No | No | No | | |
| | Internal Asset Account | | | | | | | | |
| | Currency | EUR | EUR | EUR | EUR | EUR | EUR | | |
| | Excess ECL | 0 | 0 | 0 | 0 | 0 | 0 | | |
| | Initiate CL | No | No | No | No | No | No | | |
| | Initiation Reference | | | | | | | | |
| | Is Init MCL | No | No | No | No | No | No | | |
| | Is Subject To CL | Yes | Yes | Yes | Yes | Yes | Yes | | |

| Credit Line & Payment Instructions– History Screen | | |
|--|--|--|
| Field | Description | |
| Fields | Shows the fields whose information have been updated since the creation of the selected MCL or CP or RP. | |
| Timestamp | Shows the date and time when the fields have been updated. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Button | Description | |
| Compare | Shows the differences between the selected records whose data have been updated. | |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected MCL or CP or RP. | |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected MCL or CP or RP. | |
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected MCL or CP or RP. | |
| Show Differ- ences Only | Shows only the fields whose information have been updated since the creation of the selected MCL or CP or RP L. | |

3.4.4.2.2.4 Credit Line & Payment Instructions – Details Screen

| Context of Usage | This screen displays detailed information of the selected MCL or CP or RP. |
|------------------|--|
| Screen Access | Collateral and Credit >> Payment And Credit Line Instruction >> Display Instruction >> Click on the Search button (after inputting the relevant fields, if needed) >> Select a MCL or CP or RP >> Click on the View button |





| Credit Line & | Payment Instructions – Details screen |
|--------------------------------------|---|
| Button | Description |
| History | This function enables you to access to the historical information of a MCL or CP or RP. |
| | Next screen: |
| | Credit Line & Payment Instructions – History Screen. |
| General Inform | nation |
| Field | Description |
| Transaction Reference Number | Shows unique identifier of the instruction in the ECMS: automatically field in |
| Pool Identifier | Shows the unique identifier of the pool in the ECMS |
| Counterparty | Shows the RIAD code of the counterparty in the ECMS |
| Payment Type | Shows the payment type. |
| | Possible values: |
| | MCL |
| | Connected payment |
| | Regular payment |
| New Credit Line Amount | Show the new credit line amount. |
| Credit Line Amount Vari- ation | Shows the amount of the variation of the Credit Line (in case of MCL or CP) |
| Variation sign | Shows the variation sign of the instruction. |
| | Possible values: |
| | - Decrease |
| | - Increase |
| Payment Amount | Shows the payment amount (in case of CP or RP) |
| Currency | Shows the currency (in case of MCL or CP or RP) |
| ECMS Reference | Shows the ECMS reference (related to the credit or the collateral event) |
| Value Date | Shows of the Value Date |
| | Format required is: DD/MM/YYYY hh:mm:ss:µs |
| Cancellation Reference | Shows the cancellation reference. |



| Bundling Reference | Shows the bundling reference. |
|-----------------------|---|
| Instruction Status | Shows the internal ECMS status |
| Status | Shows the status of the instruction. |
| Button | Description |
| Notifications | This function enables you to display the notifications related to the selected MCL/CP/RP. |
| | Next screen: MCL Notifications - list screen is displayed. It is possible to view details and download the MCL/CP/RP notifications. |

3.4.4.3 Margin Call and impacts

3.4.4.3.1 Margin Call

3.4.4.3.1.1 Margin Call- Search Screen

| Context of Usage | This screen contains a number of search fields and shows the latest and stored searches. By inputting the relevant data, you can search the margin call. The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |
|------------------|--|
| Screen Access | Collateral and Credit >> Pool Overview >> Display Margin Call |
| Screenshot | Display Margin Call Counterparty == V Pool Identifier == V Margin Call Date == V Creation Date == V Cr |

| Margin Call – Search screen | | | |
|-----------------------------|---|--|--|
| Field | Description | | |
| Counterparty | Enter/Select from the drop-down menu the RIAD code identifier that uniquely identifies the counterparty in the ECMS | | |
| | The required format is: Max 30 characters | | |
| Pool Identifier | Enter/Select from the drop-down menu the unique identifier of the pool id in the ECMS | | |
| Margin Call Date | Enter/Select the date and time of the margin call or specify the date min of the range of dates | | |
| | Required format is: DD/MM/YYYY | | |
| Update Date | Enter/Select the date and time of the update of the margin call or specify the date min of the range of dates | | |
| | Required format is: DD/MM/YYYY | | |
| Creation Date | Enter/Select the date and time of the creation of the margin call or specify the date min of the range of dates | | |
| | Required format is: DD/MM/YYYY | | |
| Button | Function | | |



| Reset | This function enables you to clear the form. |
|--------|--|
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |

3.4.4.3.1.2 Margin Call – List screen

| Context of Usage | is in | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. | | | | | | | |
|------------------|----------|---|--|---|--|--|---|--|--|
| Screen Access | >> | | on the S | | Pool Ove button (aft | | | | |
| Caraanahat | | | | | | | | | |
| Screenshot | Sea | arch Result : Margin C | all | | | | | | ^ |
| Screenshot | | arch Result : Margin C | all | K | ⟨ Page 1 of 266 ⟩ | K | | Q 2656 | |
| Screenshot | | | | K | Page 1 of 266 Margin Call Date | Margin Call Amount \$ | Currency ≎ | Q 2656 | Creation User Id Creation Use |
| Screenshot | 10 | * | | | | | | | |
| Screenshot | 10 | Transaction Reference | Pool Identifier \$ | | | Margin Call Amount \$ | EUR | ▽ Creation Date \$ | Creation User Id |
| Screenshot | 10 | Transaction Reference | Pool Identifier POOL00000000185 | ✓ Identifier2 ¢ FR18129 | ▼ Margin Call Date 14/06/2022 07:11:40:442 | Margin Call Amount \$ \$\times\$ 6,000,000 | EUR EUR | Creation Date | Creation User Id Creation User Id ECMSOperational DaySch |
| Screenshot | 10 2 | Transaction Reference MTOM00002991 MTOM00002990 | Pool Identifier POOL00000000185 POOL000000000171 | ▼ Identifier2 \$ FR18129 FR18129 | ▼ Margin Call Date 14/06/2022 07:11:40:442 14/06/2022 07:11:24:437 | Margin Call Amount ♥ ♥ 6,000,000 4,500,000 | EUR EUR | © Creation Date 14/06/2022 07:11:24:495 | Creation User Id ECMSOperationalDaySch ECMSOperationalDaySch |
| Screenshot | | Transaction Reference MT0M00002991 MT0M00002990 MT0M00002999 | Pool Identifier \$ POOL00000000185 POOL000000000171 POOL000000000084 | FR18129 FR18129 FR18129 | Margin Call Date 14/06/2022 07:11:40.442 14/06/2022 07:11:24:437 14/06/2022 07:09:19:729 | Margin Call Amount \$\(\phi\) 6,000,000 4,500,000 1,436,000 | EUR EUR EUR | Creation Date \$ 14/06/2022 07:11:40:473 14/06/2022 07:11:24:495 14/06/2022 07:09:19:871 | Creation User Id ECMSOperationalDaySch ECMSOperationalDaySch ECMSOperationalDaySch |
| Screenshot | | Transaction Reference MTOM00002991 MTOM00002990 MTOM00002989 MTOM00002988 | Pool Identifier © POOL00000000185 POOL00000000171 POOL00000000084 POOL0000000000020 | FR18129 FR18129 FR18129 FR50007 | Margin Call Date \$ 14/06/2022 07:11:40:442 14/06/2022 07:11:24:437 14/06/2022 07:09:19:729 14/06/2022 07:08:12:806 | Margin Call Amount ◆ ♥ 6,000,000 4,500,000 1,436,000 70,310,000 | EUR EUR EUR EUR EUR | Creation Date ◆ 14/06/2022 07:11:40:473 14/06/2022 07:11:24:495 14/06/2022 07:09:19:871 14/06/2022 07:08:12:996 | Creation User Id ECMSOperationalDaySch ECMSOperationalDaySch ECMSOperationalDaySch ECMSOperationalDaySch |
| Screenshot | | Transaction Reference MTOM00002991 MTOM00002990 MTOM00002989 MTOM00002988 MTOM00002987 | Pool Identifier © POOL00000000185 POOL00000000171 POOL00000000084 POOL0000000000020 POOL000000000010 | FR18129 FR18129 FR18129 FR50007 | Margin Call Date \$\frac{1}{406/2022.07:11:40.442} 14/06/2022.07:11:24:437 14/06/2022.07:01:124:437 14/06/2022.07:09:19:729 14/06/2022.07:07:47:594 | Margin Call Amount ♦ \$\infty\$ 6,000,000 4,500,000 1,436,000 70,310,000 46,000,833,33 | EUR EUR EUR EUR EUR EUR | Creation Date \$ 14/06/2022 07:11-40-473 14/06/2022 07:11:24-495 14/06/2022 07:09:19:871 14/06/2022 07:09:19:876 14/06/2022 07:07:47:927 | Creation User Id ECMSOperationalDaySch ECMSOperationalDaySch ECMSOperationalDaySch ECMSOperationalDaySch ECMSOperationalDaySch ECMSOperationalDaySch |
| Screenshot | | Transaction Reference MT0M00002991 MT0M00002990 MT0M00002989 MT0M00002988 MT0M00002987 MT0M00002986 | Pool Identifier + POOL000000000155 POOL000000000171 POOL000000000004 POOL00000000000000000000000000000000000 | FR18129 FR18129 FR18129 FR18129 FR50007 FR50007 FR18129 | Margin Call Date \$ 14/06/2022 07:11:40:442 14/06/2022 07:11:24:437 14/06/2022 07:09:19:729 14/06/2022 07:09:19:729 14/06/2022 07:07:47:594 14/06/2022 07:07:47:594 | Margin Call Amount ◆ \$ 6,000,000 4,500,000 1,436,000 70,310,000 46,000,833,33 6,000,000 | EUR EUR EUR EUR EUR EUR EUR EUR | Creation Date \$ 14/06/2022 07:11:40:473 14/06/2022 07:11:24:495 14/06/2022 07:09:19:871 14/06/2022 07:09:19:871 14/06/2022 07:07:47:927 14/06/2022 07:07:47:927 | Creation User Id Communication Communicatio |
| Screenshot | | Transaction Reference MT0M00002991 MT0M00002990 MT0M00002989 MT0M00002988 MT0M00002987 MT0M00002986 MT0M00002986 | Pool Identifier © Pool.00000000185 POOL00000000171 POOL000000000020 POOL000000000010 POOL000000000115 POOL000000000171 | TRIB129 FR18129 FR18129 FR18129 FR50007 FR50007 FR18129 FR18129 | Margin Call Date \$\(\phi\) 14/06/2022 07:11:40.442 14/06/2022 07:11:24:437 14/06/2022 07:09:19:729 14/06/2022 07:09:19:729 14/06/2022 07:09:129:00 14/06/2022 07:09:129:363 14/06/2022 07:01:21:921 | Margin Call Amount ♥ 6,000,000 4,500,000 1,435,000 70,310,000 45,000,833.33 6,000,000 4,500,000 | EUR | © Creation Date ◆ 14/08/2022 07:11:40.472 14/08/2022 07:11:24.495 14/08/2022 07:09:19:871 14/08/2022 07:09:19:871 14/08/2022 07:07:47:927 14/08/2022 01:01:59:392 14/08/2022 01:01:29:392 | Creation User Id Creation User Id Compositional DaySch. ECMSOperational DaySch. ECMSOperational DaySch. ECMSOperational DaySch. ECMSOperational DaySch. ECMSOperational DaySch. ECMSOperational DaySch. |

| Margin Call – List Screen | | | | |
|---|--|--|--|--|
| Field | Description | | | |
| Transaction Reference Number | Shows the unique identifier of the instruction in ECMS. | | | |
| Pool Identifier | Shows the unique identifier of the pool id in the ECMS | | | |
| Counterparty | Shows the Counterparty Identifier | | | |
| Margin call Date | Shows the mark to market date (related to the event) of the margin call | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs | | | |
| Margin Call Amout | Shows the remaining amount of the Margin call. The Margin call amount correspond to Credit position value (in euros) – Collateral position value (in euros). | | | |
| Currency | Shows the currency reported in the notification | | | |
| Creation Date | Shows the date and time of the creation of the margin call. | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs | | | |
| Creation User Id | Shows the identification of the user that created the Margin Call | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs | | | |
| After selecting a record, the following buttons are displayed | | | | |
| Button | Function | | | |
| View | This function enables you to access to the detailed information of a margin call history. | | | |
| | Next screen: | | | |
| | Margin call – Details Screen. | | | |



3.4.4.3.1.3 Margin Call – Details Screen

| Context of Usage | This screen displays Call. | detailed information of | of the selected Margin |
|------------------|---|---|---|
| Screen Access | Collateral and Credit >> Click on the Searc if needed) >> Select | ch button (after inputti | ng the relevant fields, |
| Screenshot | Search Result : Margin Call > View : Margin Call Transaction Reference Number INTOA100002591 Margin Call Date 14:06:2022.07.11:40-442 Nostincational [0] FootPrint Update User Ind LECMSOperationalDayScheduler Creation User Id ECMSOperationalDayScheduler | Counterparty FR18129 Margin Call Amount 6,690,0 Update Date 14496/2022 97:11:49:584 Creation Date 14496/2022 97:11:49-873 | Pool Identifier FOOL6000000185 Currency 00 EUR |

| Margin Call - Detai | ils screen | | | |
|--------------------------|--|--|--|--|
| General Information | | | | |
| Field | Description | | | |
| Transaction Reference ID | Shows the unique identifier of the instruction in the ECMS | | | |
| Counterparty | Shows the Counterparty Identifier. | | | |
| Pool Identifier | Shows the unique identifier of the pool in the ECMS. | | | |
| Margin Call Date | Shows the mark to market date (related to the event) of the margin call | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs | | | |
| Margin Call Amout | Shows the remaining amount of the Margin call. The Margin call amount correspond to Credit position value (in euros) – Collateral position value (in euros). | | | |
| Currency | Shows the currency reported in the notification | | | |
| Footprint | | | | |
| Creation Date | Shows the date and time of the creation of the margin call. | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | |
| Creation User Id | Shows the identification of the user that created the margin call. | | | |
| Update Date | Shows the date and time of the update of the margin call. | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | |
| Update User Id | Shows the identification of the user that made the last update of the margin call. | | | |
| Button | Description | | | |
| Notifications | This function enables you to display the Margin call notification related to the selected Margin call. | | | |
| | Next screen: Margin Call Notifications - list screen is displayed. It is possible to view details and download the Margin call notification | | | |



3.4.5 Credit Claims

Credit Claims are part of the collateral accepted in the pool of Counterparties. If the NCB has chosen to manage the CC in the ECMS, their Counterparties send CC files via A2A or CC instructions via U2A to the ECMS to feed the Counterparty pools. The screens described below explain the manual management of Credit Claims (U2A instructions or other manual interventions)

3.4.5.1 Credit Claims

3.4.5.1.1 Credit Claims File - Create Screen

| Context of Usage | This screen is used to manually enter a credit claim file with registration instruction(s), update instruction(s), outstanding amount update instruction(s), rating registration instruction(s), mobilisation or a demobilisation instruction(s) of a credit claim in ECMS. | | | |
|------------------|--|---|-----------------------|---------|
| Screen Access | Collateral >> Credit Cla Credit Claims File | aims >> Credit | : Claim File >> Searc | h/Input |
| Screenshot | bopd Credit Chain File LESS Strand Informace (FRCCS211120000001 Commonsy TUD Cybe FR00000 Contracts Tudor Toyland National III Bodd Credit Tudor Toyland National III Bodd Credit Tudor Nat | For Indicates MCC/2011/120000001 Intered Sentence Care 13/1/2023 Setting Engineering Fig. Not Announce ST Decode Sentence Street Care Decode Sentence Street Care Decode Sentence Street Care To Street Sentence ST Decode Sentence Street Care To Street Sentence ST Decode Sentence Street Care To Street Sentence ST Decode Sentence Street Care To Street Sentence Street Care The Street Sentence ST Decode Sentence ST Decode Sentence Street Care The Street Sentence ST Decode ST | Contributy 114 | C Gard |
| | | | | |

| Credit Claims File – Create Screen | | |
|------------------------------------|--|--|
| Field | Description | |
| ECMS Internal Reference* | The ECMS internal reference of the credit claims file automatically filled by the system which is the unique reference of the file managed internally in ECMS. | |
| | (Mandatory) | |
| File Reference* | Enter the file reference which is the unique reference of the file in counterparty side. | |
| | (Mandatory) | |
| Counterparty* | Enter the counterparty ECMS identifier. | |
| | (Mandatory) | |
| Counterparty RIAD Code* | Counterparty RIAD Code is filled automatically once the Counterparty has been entered by the user. | |
| | (Mandatory) | |
| Intended settle- | Fille automatically with the current business date. | |
| ment date* | Required format is: DD/MM/YYYYY | |

Credit Claim Registration / Update Instruction (For more details refer to the sections:

- Instruction of Credit Claim Registration
- Instruction of Credit Claim Update
- Instruction of Credit Claim Outstanding Amount Update)

Rating Registration / Update Instruction (For more details, refer to the sections:



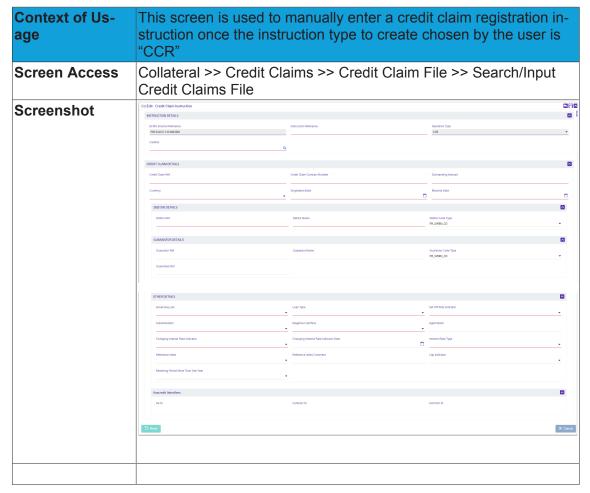
- Instruction of Rating Registration
- Instruction of Rating Update)

Mobilisation Instruction (For more details, refer to the sections: Instruction of Credit Claim Mobilisation)

Demobilisation Instruction (For more details, refer to the sections: Instruction of Credit Claim Demobilisation)

| Action | |
|--------|--|
| Button | Description |
| Reset | This function enables you to clear the form. |
| Save | This function enables you to save the creation of the credit claim file |
| Cancel | This function enables you to cancel the input and return back to the main screen |

3.4.5.1.1.1 Instruction of Credit Claim Registration



| Instruction of Credit Claim Registration | | |
|--|--|--|
| Instruction Deta | nils | |
| Field | Description | |
| ECMS Internal Reference* | The ECMS internal reference of the credit claim registration instruction automatically filled by the system. | |
| | (Mandatory) | |



| ence* (Mandatory) Operation Type* Automatically filled by "CCR". (Mandatory) Creditor* Select the RIAD Code of the creditor from the drop down list. (Mandatory) Credit Claim Details Field Description Credit Claim Reference* (Mandatory) Credit Claim Contract Number Contract Number Outstanding Amount* (Mandatory) Currency* Input the currency of the Credit Claim. By default EUR. (Mandatory) Maturity Date* Input the maturity date of the credit claim. Required format is: DD/MM/YYYYY. (Mandatory) Origination date* Input the National identifier of the debtor (Mandatory) Debtor Details Debtor Name* Input the name of the debtor (Mandatory) Debtor Code Type* Type* (Mandatory) Pre-filled with the national identifier code type of the NCB country location. Example for the FRCB tenant, It's prefilled with FR_SIREN_CD. (Mandatory) | | |
|--|---------------------|---|
| Operation Type* Automatically filled by "CCR". (Mandatory) Creditor* Select the RIAD Code of the creditor from the drop down list. (Mandatory) Credit Claim Details Field Description Credit Claim Reference* (Mandatory) Credit Claim Contract Number (Optional) Outstanding Input the credit claim contract number. (Optional) Outstanding Input the outstanding amount of the credit claims. (Mandatory) Currency* Input the currency of the Credit Claim. By default EUR. (Mandatory) Maturity Date* Input the maturity date of the credit claim. Required format is: DD/MM/YYYYY. (Mandatory) Origination date* Input the origination date of the credit claim. Required format is: DD/MM/YYYYY. (Mandatory) Debtor Details Debtor Details Debtor Name* Input the National identifier of the debtor (Mandatory) Debtor Code Type* Pre-filled with the national identifier code type of the NCB country location. Example for the FRCB tenant, It's prefilled with FR_SIREN_CD. (Mandatory) | | Input the unique reference of the instruction in counterparty side. |
| (Mandatory) Credit Claim Details Field Description Credit Claim Reference* (Mandatory) Credit Claim Contract Number (Optional) Outstanding Amount* (Mandatory) Currency* Input the outstanding amount of the credit claims. (Mandatory) Currency* Input the maturity date of the credit claim. Required format is: DD/MM/YYYYY. (Mandatory) Origination date* Input the origination date of the credit claim. Required format is: DD/MM/YYYYY. (Mandatory) Debtor Details Debtor Ref* Input the National identifier of the debtor (Mandatory) Debtor Code Type* Pre-filled with the national identifier code type of the NCB country location. Example for the FRCB tenant, It's prefilled with FR_SIREN_CD. (Mandatory) | | |
| Credit Claim Details Field Description Credit Claim Reference* (Mandatory) Credit Claim Reference* (Mandatory) Credit Claim Reference* (Mandatory) Credit Claim Reference* (Mandatory) Credit Claim Contract Number (Optional) Outstanding Amount* (Mandatory) Currency* Input the outstanding amount of the credit claims. (Mandatory) Currency* Input the currency of the Credit Claim. By default EUR. (Mandatory) Maturity Date* Input the maturity date of the credit claim. Required format is: DD/MM/YYYYY. (Mandatory) Origination date* Input the origination date of the credit claim. Required format is: DD/MM/YYYYY. (Mandatory) Debtor Details Debtor Details Debtor Name* Input the National identifier of the debtor (Mandatory) Debtor Code Type* Pre-filled with the national identifier code type of the NCB country location. Example for the FRCB tenant, It's prefilled with FR_SIREN_CD. (Mandatory) | Operation Type* | |
| Credit Claim Details | | |
| Credit Claim Details Field Description Credit Claim Reference* (Mandatory) Credit Claim Contract Number (Optional) Outstanding Amount* (Mandatory) Maturity Date* Input the maturity date of the credit claim. Required format is: DD/MM/YYYYY. (Mandatory) Origination date* Required format is: DD/MM/YYYYYY. (Mandatory) Debtor Details Debtor Name* Input the National identifier of the debtor (Mandatory) Debtor Code Type* Pre-filled with the national identifier code type of the NCB country location. Example for the FRCB tenant, It's prefilled with FR_SIREN_CD. (Mandatory) Input the Fredit Claim (Mandatory) Debtor Code Type* Reference (Mandatory) Debtor Code Type* (Mandatory) Debtor Code Type* (Mandatory) Debtor Code Type* (Mandatory) Definition of the credit claim (Mandatory) Debtor Code Type* (Mandatory) Debtor Code Type* (Mandatory) | Creditor* | Select the RIAD Code of the creditor from the drop down list. |
| Field Description Credit Claim Reference* Input the identifier of the credit claim for the Counterparty. (Mandatory) Credit Claim Input the credit claim contract number. (Optional) Outstanding Amount* (Mandatory) Currency* Input the currency of the Credit Claim. By default EUR. (Mandatory) Maturity Date* Input the maturity date of the credit claim. Required format is: DD/MM/YYYYY. (Mandatory) Origination date* Input the origination date of the credit claim. Required format is: DD/MM/YYYYY. (Mandatory) Debtor Details Debtor Ref* Input the National identifier of the debtor (Mandatory) Debtor Name* Input the name of the debtor (Mandatory) Debtor Code Type* Pre-filled with the national identifier code type of the NCB country location. Example for the FRCB tenant, It's prefilled with FR_SIREN_CD. (Mandatory) | <u> </u> | |
| Credit Claim Reference* (Mandatory) Credit Claim Contract Number (Optional) Outstanding Amount* (Mandatory) Currency* Input the currency of the Credit Claim. By default EUR. (Mandatory) Maturity Date* Input the maturity date of the credit claim. Required format is: DD/MM/YYYYY. (Mandatory) Origination date* Input the origination date of the credit claim. Required format is: DD/MM/YYYYY. (Mandatory) Debtor Details Debtor Name* Input the National identifier of the debtor (Mandatory) Debtor Code Type* Pre-filled with the national identifier code type of the NCB country location. Example for the FRCB tenant, It's prefilled with FR_SIREN_CD. (Mandatory) | | |
| erence* (Mandatory) Credit Claim Contract Number (Optional) Outstanding Amount* (Input the outstanding amount of the credit claims. (Mandatory) Currency* Input the currency of the Credit Claim. By default EUR. (Mandatory) Maturity Date* Input the maturity date of the credit claim. Required format is: DD/MM/YYYYY. (Mandatory) Origination date* Input the origination date of the credit claim. Required format is: DD/MM/YYYYYY. (Mandatory) Debtor Details Debtor Ref* Input the National identifier of the debtor (Mandatory) Debtor Name* Input the name of the debtor (Mandatory) Debtor Code Type* Pre-filled with the national identifier code type of the NCB country location. Example for the FRCB tenant, It's prefilled with FR_SIREN_CD. (Mandatory) | | - |
| Credit Claim Contract Number Outstanding Amount* Input the outstanding amount of the credit claims. (Mandatory) Currency* Input the currency of the Credit Claim. By default EUR. (Mandatory) Maturity Date* Input the maturity date of the credit claim. Required format is: DD/MM/YYYYY. (Mandatory) Origination date* Input the origination date of the credit claim. Required format is: DD/MM/YYYYY. (Mandatory) Debtor Details Debtor Ref* Input the National identifier of the debtor (Mandatory) Debtor Name* Input the name of the debtor (Mandatory) Debtor Code Type* Pre-filled with the national identifier code type of the NCB country location. Example for the FRCB tenant, It's prefilled with FR_SIREN_CD. (Mandatory) | | |
| Contract Number Outstanding Amount* Input the outstanding amount of the credit claims. (Mandatory) Currency* Input the currency of the Credit Claim. By default EUR. (Mandatory) Maturity Date* Input the maturity date of the credit claim. Required format is: DD/MM/YYYYY. (Mandatory) Origination date* Input the origination date of the credit claim. Required format is: DD/MM/YYYYY. (Mandatory) Debtor Details Debtor Ref* Input the National identifier of the debtor (Mandatory) Debtor Name* Input the name of the debtor (Mandatory) Debtor Code Type* Pre-filled with the national identifier code type of the NCB country location. Example for the FRCB tenant, It's prefilled with FR_SIREN_CD. (Mandatory) | | |
| Outstanding Amount* Input the outstanding amount of the credit claims. (Mandatory) Currency* Input the currency of the Credit Claim. By default EUR. (Mandatory) Maturity Date* Input the maturity date of the credit claim. Required format is: DD/MM/YYYYY. (Mandatory) Origination date* Input the origination date of the credit claim. Required format is: DD/MM/YYYYY. (Mandatory) Debtor Details Debtor Ref* Input the National identifier of the debtor (Mandatory) Debtor Name* Input the name of the debtor (Mandatory) Debtor Code Pre-filled with the national identifier code type of the NCB country location. Example for the FRCB tenant, It's prefilled with FR_SIREN_CD. (Mandatory) | | · |
| Amount* (Mandatory) Currency* Input the currency of the Credit Claim. By default EUR. (Mandatory) Maturity Date* Input the maturity date of the credit claim. Required format is: DD/MM/YYYYY. (Mandatory) Origination date* Input the origination date of the credit claim. Required format is: DD/MM/YYYYY. (Mandatory) Debtor Details Debtor Ref* Input the National identifier of the debtor (Mandatory) Debtor Name* Input the name of the debtor (Mandatory) Debtor Code Type* Pre-filled with the national identifier code type of the NCB country location. Example for the FRCB tenant, It's prefilled with FR_SIREN_CD. (Mandatory) | Contract Number | |
| Currency* Input the currency of the Credit Claim. By default EUR. (Mandatory) Maturity Date* Input the maturity date of the credit claim. Required format is: DD/MM/YYYYY. (Mandatory) Origination date* Input the origination date of the credit claim. Required format is: DD/MM/YYYYY. (Mandatory) Debtor Details Debtor Ref* Input the National identifier of the debtor (Mandatory) Debtor Name* Input the name of the debtor (Mandatory) Debtor Code Type* Pre-filled with the national identifier code type of the NCB country location. Example for the FRCB tenant, It's prefilled with FR_SIREN_CD. (Mandatory) | | Input the outstanding amount of the credit claims. |
| (Mandatory) Maturity Date* Input the maturity date of the credit claim. Required format is: DD/MM/YYYYY. (Mandatory) Origination date* Input the origination date of the credit claim. Required format is: DD/MM/YYYYY. (Mandatory) Debtor Details Debtor Ref* Input the National identifier of the debtor (Mandatory) Debtor Name* Input the name of the debtor (Mandatory) Debtor Code Type* Pre-filled with the national identifier code type of the NCB country location. Example for the FRCB tenant, It's prefilled with FR_SIREN_CD. (Mandatory) | Amount [*] | (Mandatory) |
| Maturity Date* Input the maturity date of the credit claim. Required format is: DD/MM/YYYYY. (Mandatory) Origination date* Input the origination date of the credit claim. Required format is: DD/MM/YYYYY. (Mandatory) Debtor Details Debtor Ref* Input the National identifier of the debtor (Mandatory) Debtor Name* Input the name of the debtor (Mandatory) Debtor Code Type* Pre-filled with the national identifier code type of the NCB country location. Example for the FRCB tenant, It's prefilled with FR_SIREN_CD. (Mandatory) | Currency* | Input the currency of the Credit Claim. By default EUR. |
| Required format is: DD/MM/YYYYY. (Mandatory) Origination date* Input the origination date of the credit claim. Required format is: DD/MM/YYYYY. (Mandatory) Debtor Details Debtor Ref* Input the National identifier of the debtor (Mandatory) Debtor Name* Input the name of the debtor (Mandatory) Debtor Code Type* Pre-filled with the national identifier code type of the NCB country location. Example for the FRCB tenant, It's prefilled with FR_SIREN_CD. (Mandatory) | | (Mandatory) |
| Origination date* Input the origination date of the credit claim. Required format is: DD/MM/YYYYY. (Mandatory) Debtor Details Debtor Ref* Input the National identifier of the debtor (Mandatory) Debtor Name* Input the name of the debtor (Mandatory) Debtor Code Pre-filled with the national identifier code type of the NCB country location. Example for the FRCB tenant, It's prefilled with FR_SIREN_CD. (Mandatory) | Maturity Date* | Input the maturity date of the credit claim. |
| Origination date* Input the origination date of the credit claim. Required format is: DD/MM/YYYYY. (Mandatory) Debtor Details Debtor Ref* Input the National identifier of the debtor (Mandatory) Debtor Name* Input the name of the debtor (Mandatory) Debtor Code Type* Pre-filled with the national identifier code type of the NCB country location. Example for the FRCB tenant, It's prefilled with FR_SIREN_CD. (Mandatory) | l | Required format is: DD/MM/YYYYY. |
| Required format is: DD/MM/YYYYY. (Mandatory) Debtor Details Debtor Ref* Input the National identifier of the debtor (Mandatory) Debtor Name* Input the name of the debtor (Mandatory) Debtor Code Type* Pre-filled with the national identifier code type of the NCB country location. Example for the FRCB tenant, It's prefilled with FR_SIREN_CD. (Mandatory) | | (Mandatory) |
| (Mandatory) Debtor Details Debtor Ref* Input the National identifier of the debtor (Mandatory) Debtor Name* Input the name of the debtor (Mandatory) Debtor Code Type* Pre-filled with the national identifier code type of the NCB country location. Example for the FRCB tenant, It's prefilled with FR_SIREN_CD. (Mandatory) | Origination date* | Input the origination date of the credit claim. |
| Debtor Details Debtor Ref* Input the National identifier of the debtor (Mandatory) Debtor Name* Input the name of the debtor (Mandatory) Debtor Code Type* Pre-filled with the national identifier code type of the NCB country location. Example for the FRCB tenant, It's prefilled with FR_SIREN_CD. (Mandatory) | l | Required format is: DD/MM/YYYYY. |
| Debtor Ref* Input the National identifier of the debtor (Mandatory) Debtor Name* Input the name of the debtor (Mandatory) Debtor Code Type* Pre-filled with the national identifier code type of the NCB country location. Example for the FRCB tenant, It's prefilled with FR_SIREN_CD. (Mandatory) | l | (Mandatory) |
| (Mandatory) Debtor Name* Input the name of the debtor (Mandatory) Debtor Code Type* Pre-filled with the national identifier code type of the NCB country location. Example for the FRCB tenant, It's prefilled with FR_SIREN_CD. (Mandatory) | Debtor Details | |
| Debtor Name* Input the name of the debtor (Mandatory) Debtor Code Type* Pre-filled with the national identifier code type of the NCB country location. Example for the FRCB tenant, It's prefilled with FR_SIREN_CD. (Mandatory) | Debtor Ref* | Input the National identifier of the debtor |
| (Mandatory) Debtor Code Type* Pre-filled with the national identifier code type of the NCB country location. Example for the FRCB tenant, It's prefilled with FR_SIREN_CD. (Mandatory) | l | (Mandatory) |
| Debtor Code Type* Pre-filled with the national identifier code type of the NCB country location. Example for the FRCB tenant, It's prefilled with FR_SIREN_CD. (Mandatory) | Debtor Name* | Input the name of the debtor |
| Type* location. Example for the FRCB tenant, It's prefilled with FR_SIREN_CD. (Mandatory) | l | (Mandatory) |
| | | · · · · · · · · · · · · · · · · · · · |
| | l | (Mandatory) |
| Guarantor Details | Guarantor Details | S |
| Guarantor Ref Input the National identifier of the Guarantor. | Guarantor Ref | Input the National identifier of the Guarantor. |
| (Optional) | l | (Optional) |
| Guarantor Name Input the name of the Guarantor. | Guarantor Name | Input the name of the Guarantor. |
| (Optional) | l | (Optional) |
| | | Pre-filled with the national identifier code type of the NCB country location. Example for the FRCB tenant, It's prefilled with |
| (Optional) | | (Optional) |
| | | Input the Guarantee reference if existing given by the Counterparty. |
| ence (Optional) | ence | (Optional) |
| Other Details | Other Details | |
| Field Description | Field | Description |



| Governing Law* | Select from the list of county codes the governing law of the registered credit claim. |
|---|---|
| | (Mandatory) |
| Loan Type* | Select the Type of loan from a drop down list |
| | Required format is: 4 characters. |
| | (Mandatory) |
| | Select the set-off risk indicator from the drop down list: |
| ator* | Y(existence of a set off risk) / N or NA (to be used when not applicable for the NCB) |
| | (Mandatory) |
| Subordination* | Select the value true/false from the drop down list. |
| | (Mandatory) |
| Negative Cash- | Select the value true/false from the drop down list. |
| flow* | (Mandatory) |
| Agent Bank | To be filled in in case of syndicated loan. |
| | (Optional) |
| Changing Interest Rate Indicator* | Select from the drop down list the indicator to be used in case the Credit Claim has a condition where the interest type can be changed from Variable into Fixed or vice versa |
| | true/false from the drop down list |
| | (Mandatory) |
| Changing Interest Rate Indicator Date | Input the changing interest rate indicator date to be used in case the Credit Claim has a condition where the interest type can be changed from Variable into Fixed or vice versa |
| | Required format is: DD/MM/YYYYY. |
| | (Optional) |
| Interest Rate | Select from the drop down list FIX or VAR |
| Type* | (Mandatory) |
| Reference Index | Input the Referenced Eurosystem Index. |
| | To be filled in if the Interest RateType is VAR |
| | (Optional) |
| Reference Index | Input the Indication of the Reference Index used. |
| Comment | To be filled if the Reference Index is 'Other'. |
| | (Optional) |
| Cap Indicator | To be filled in if the Interest RateType is VAR. |
| - Сор талошто | Possible values from the drop down list: true/false |
| | (Mandatory) |
| Resetting Period | To be filled in if the Interest RateType is VAR. |
| More Than One | Possible values from the drop down list: true/false |
| Year | (Mandatory) |
| Anacredit Identif | |
| Field | Description |
| Oa Id | Input the observed agent identifier. |
| | (Optional) |
| | (Optional) |



| Contract Id | Input the anacredit contract identifier. |
|--------------|--|
| | (Optional) |
| Instrumnt Id | Input the anacredit instrument identifier. |
| | (Optional) |
| Action | |
| Button | Description |
| Reset | This function enables you to clear the form. |
| Cancel | This function enables you to cancel the input and return back to the main screen |

3.4.5.1.1.2 Instruction of Credit Claim Update

| Context of Us- | | | it claim update instrucen by the user is "CCU" |
|----------------|--|---|--|
| Screen Access | Collateral >> Credit Cla Credit Claims File | aims >> Credit Claim | File >> Search/Input |
| Screenshot | Impact Credit Claims Update Instruction Collect Claims Collect Claims Collect Claims Control Claim Information Collect Claims Collect Claims Control Claim Information Collect Claims Collec | Centr Claim M Variation Reference District Name Guaranto Name New Consisting Amount Malanny Spee | Control Cuent Control Number Control Cuent Control Number Control Type Control Cuent Type Control Cuent Type Control Type |
| | OM The Control of the | Consectiv | National IV |
| | | | |

| Instruction of Credit Claim Update | |
|------------------------------------|---|
| Credit Claim Deta | ails |
| Field | Description |
| Credit Claim* | Input the ECMS credit claim identifier and press on F2 button of the keyboard, or press on the small magnifying glass and select one credit claim. Once selected this attribute will be filled with the Eurosystem credit claim identifier. |
| | (Mandatory) |
| Credit Claim Ref* | Filled automatically with the Credit Claim unique reference communicated by the counterparty once the Credit Claim above is selected. |
| | (Mandatory) |



| Credit Claim Id* Filled automatically with the Eurosystem credit claim identifier once the Credit Claim above is selected. (Mandatory) | | |
|--|-------------------|---|
| Credit Claim Contract Number* Instruction Details Field Description ECMS Internal Reference* Instruction Reference* Instruction Reference* Instruction Reference* Instruction Reference* Input the unique instruction reference communicated by the counterparty. (Mandatory) Instruction Type* Input the unique instruction reference communicated by the counterparty. (Mandatory) Update Date Instruction* Input the update date of the credit claim. Format: DD/MM/YYYY. (Mandatory) Debtor Ref* It's filled automatically with the value of the debtor refonce the credit claim to update is selected. The user can update it. (Mandatory) Debtor Name* It's filled automatically with the debtor name once the credit claim to update is selected. The user can update it. (Mandatory) Debtor Code Type* It's filled automatically with the debtor code type once the credit claim to update is selected. It's already prefilled with the national code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. (Mandatory) Guarantor Ref Guarantor Name It's filled automatically with the value of the guarantor ref once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor name. (Optional) Guarantor Code Type Guarantor Code Type It's filled automatically with the value of the guarantor name once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by f | Credit Claim Id* | |
| Contract Number* Credit Claim above is selected. (Mandatory) Instruction Details Field Description ECMS Internal Reference* It's filled by default with the unique internal reference of the instruction. (Mandatory) Instruction Reference* (Mandatory) Instruction Reference* (Mandatory) Operation Type* Filled by default with CCU. (Mandatory) Update Date Instruction* Format: DD/MM/YYYY. (Mandatory) Debtor Ref* It's filled automatically with the value of the debtor ref once the credit claim to update is selected. The user can update it. (Mandatory) Debtor Name* It's filled automatically with the debtor name once the credit claim to update is selected. It's already prefilled with the national code type of the NCB tenant. For example: For FRCB, It's already prefilled with the guarantor ref. (Optional) Guarantor Name It's filled automatically with the value of the guarantor name once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor name. (Optional) Guarantor Code Type It's filled automatically with the value of the guarantor name once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor name. (Optional) Guarantor Code Type Once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type already prefilled with the national code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. | | (Mandatory) |
| Instruction Details | Contract Num- | |
| It's filled by default with the unique internal reference of the instruction. (Mandatory) | ber* | (Mandatory) |
| ECMS Internal Reference* It's filled by default with the unique internal reference of the instruction. (Mandatory) Instruction Reference* Input the unique instruction reference communicated by the counterparty. (Mandatory) Operation Type* Filled by default with CCU. (Mandatory) Input the update date of the credit claim. Format: DD/MM/YYYY. (Mandatory) Debtor Ref* It's filled automatically with the value of the debtor ref once the credit claim to update is selected. The user can update it. (Mandatory) Debtor Name* It's filled automatically with the debtor name once the credit claim to update is selected. The user can update it. (Mandatory) Debtor Code Type* It's filled automatically with the debtor code type once the credit claim to update is selected. It's already prefilled with the national code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. (Mandatory) Guarantor Ref It's filled automatically with the value of the guarantor ref once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor rame. (Optional) Guarantor Code Type Our automatically with the value of the guarantor name once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. | Instruction Detai | ls |
| Reference* tion. (Mandatory) Instruction Reference* linput the unique instruction reference communicated by the counterparty. (Mandatory) Operation Type* Filled by default with CCU. (Mandatory) Update Date Instruction* Input the update date of the credit claim. Format: DD/MM/YYYY. (Mandatory) Debtor Ref* life automatically with the value of the debtor ref once the credit claim to update is selected. The user can update it. (Mandatory) Debtor Name* life filled automatically with the debtor name once the credit claim to update is selected. The user can update it. (Mandatory) Debtor Code Type* life filled automatically with the debtor code type once the credit claim to update is selected. It's already prefilled with the national code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. (Mandatory) Guarantor Ref credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor ref. (Optional) Guarantor Name life filled automatically with the value of the guarantor name once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor name. (Optional) Guarantor Code Type once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. | | - |
| Instruction Reference* (Mandatory) Operation Type* Filled by default with CCU. (Mandatory) Update Date Instruction* Debtor Ref* It's filled automatically with the value of the debtor ref once the credit claim to update is selected. The user can update it. (Mandatory) Debtor Name* It's filled automatically with the debtor name once the credit claim to update is selected. The user can update it. (Mandatory) Debtor Name* It's filled automatically with the debtor name once the credit claim to update is selected. The user can update it. (Mandatory) Debtor Code It's filled automatically with the debtor code type once the credit claim to update is selected. It's already prefilled with the national code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. (Mandatory) Guarantor Ref It's filled automatically with the value of the guarantor ref once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor name. (Optional) Guarantor Code Type Guarantor Code Type Once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor name. (Optional) Guarantor Code Type Once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. | | tion. |
| ence* terparty. (Mandatory) Operation Type* Filled by default with CCU. (Mandatory) Update Date Instruction* Input the update date of the credit claim. Format: DD/MM/YYYY. (Mandatory) Debtor Ref* It's filled automatically with the value of the debtor ref once the credit claim to update is selected. The user can update it. (Mandatory) Debtor Name* It's filled automatically with the debtor name once the credit claim to update is selected. The user can update it. (Mandatory) Debtor Code It's filled automatically with the debtor code type once the credit claim to update is selected. It's already prefilled with the national code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. (Mandatory) Guarantor Ref It's filled automatically with the value of the guarantor ref once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor name. (Optional) Guarantor Name It's filled automatically with the value of the guarantor name once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. | | |
| Operation Type* Filled by default with CCU. (Mandatory) | | terparty. |
| (Mandatory) Update Date Instruction* Input the update date of the credit claim. Format: DD/MM/YYYY. (Mandatory) Debtor Ref* It's filled automatically with the value of the debtor ref once the credit claim to update is selected. The user can update it. (Mandatory) Debtor Name* It's filled automatically with the debtor name once the credit claim to update is selected. The user can update it. (Mandatory) Debtor Code Type* It's filled automatically with the debtor code type once the credit claim to update is selected. It's already prefilled with the national code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. (Mandatory) Guarantor Ref It's filled automatically with the value of the guarantor ref once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor rame. (Optional) Guarantor Name It's filled automatically with the value of the guarantor name once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor name. (Optional) Guarantor Code Type It's filled automatically with the value of the guarantor code type once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor roame. (Optional) Guarantor Code Type It's filled automatically with the value of the guarantor code type once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type already prefilled with the national code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. | | |
| Update Date Instruction* Input the update date of the credit claim. Format: DD/MM/YYYY. (Mandatory) Debtor Ref* It's filled automatically with the value of the debtor ref once the credit claim to update is selected. The user can update it. (Mandatory) Debtor Name* It's filled automatically with the debtor name once the credit claim to update is selected. The user can update it. (Mandatory) Debtor Code Type* It's filled automatically with the debtor code type once the credit claim to update is selected. It's already prefilled with the national code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. (Mandatory) Guarantor Ref It's filled automatically with the value of the guarantor ref once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor ref. (Optional) Guarantor Name It's filled automatically with the value of the guarantor name once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor name. (Optional) Guarantor Code Type It's filled automatically with the value of the guarantor code type once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. | Operation Type* | Filled by default with CCU. |
| Struction* Format: DD/MM/YYYY. (Mandatory) Debtor Ref* It's filled automatically with the value of the debtor ref once the credit claim to update is selected. The user can update it. (Mandatory) Debtor Name* It's filled automatically with the debtor name once the credit claim to update is selected. The user can update it. (Mandatory) Debtor Code It's filled automatically with the debtor code type once the credit claim to update is selected. It's already prefilled with the national code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. (Mandatory) Guarantor Ref It's filled automatically with the value of the guarantor ref once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor ref. (Optional) Guarantor Name It's filled automatically with the value of the guarantor name once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor name. (Optional) Guarantor Code Type It's filled automatically with the value of the guarantor code type once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type of the Cedit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. | | |
| Debtor Ref* It's filled automatically with the value of the debtor ref once the credit claim to update is selected. The user can update it. (Mandatory) Debtor Name* It's filled automatically with the debtor name once the credit claim to update is selected. The user can update it. (Mandatory) Debtor Code It's filled automatically with the debtor code type once the credit claim to update is selected. It's already prefilled with the national code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. (Mandatory) Guarantor Ref It's filled automatically with the value of the guarantor ref once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor ref. (Optional) Guarantor Name It's filled automatically with the value of the guarantor name once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor name. (Optional) Guarantor Code Type Once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type already prefilled with the national code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. | | Input the update date of the credit claim. |
| Debtor Ref* It's filled automatically with the value of the debtor ref once the credit claim to update is selected. The user can update it. (Mandatory) Debtor Name* It's filled automatically with the debtor name once the credit claim to update is selected. The user can update it. (Mandatory) Debtor Code Type* It's filled automatically with the debtor code type once the credit claim to update is selected. It's already prefilled with the national code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. (Mandatory) Guarantor Ref It's filled automatically with the value of the guarantor ref once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor Name It's filled automatically with the value of the guarantor name once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor name. (Optional) Guarantor Code Type Guarantor Code Type Guarantor Code type once the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type already prefilled with the national code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. | struction* | Format: DD/MM/YYYY. |
| credit claim to update is selected. The user can update it. (Mandatory) Debtor Name* It's filled automatically with the debtor name once the credit claim to update is selected. The user can update it. (Mandatory) Debtor Code It's filled automatically with the debtor code type once the credit claim to update is selected. It's already prefilled with the national code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. (Mandatory) Guarantor Ref It's filled automatically with the value of the guarantor ref once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor Name It's filled automatically with the value of the guarantor name once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor name. (Optional) Guarantor Code Type Guarantor Code It's filled automatically with the value of the guarantor code type once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type already prefilled with the national code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. | | (Mandatory) |
| Debtor Name* It's filled automatically with the debtor name once the credit claim to update is selected. The user can update it. (Mandatory) Debtor Code Type* It's filled automatically with the debtor code type once the credit claim to update is selected. It's already prefilled with the national code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. (Mandatory) Guarantor Ref It's filled automatically with the value of the guarantor ref once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor name. (Optional) Guarantor Name It's filled automatically with the value of the guarantor name once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor name. (Optional) Guarantor Code Type Guarantor Code Type Type Once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type already prefilled with the national code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. | Debtor Ref* | |
| update is selected. The user can update it. (Mandatory) Debtor Code Type* It's filled automatically with the debtor code type once the credit claim to update is selected. It's already prefilled with the national code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. (Mandatory) Guarantor Ref It's filled automatically with the value of the guarantor ref once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor ref. (Optional) Guarantor Name It's filled automatically with the value of the guarantor name once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor name. (Optional) Guarantor Code Type Once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type already prefilled with the national code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. | | (Mandatory) |
| Debtor Code Type* It's filled automatically with the debtor code type once the credit claim to update is selected. It's already prefilled with the national code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. (Mandatory) Guarantor Ref It's filled automatically with the value of the guarantor ref once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor ref. (Optional) Guarantor Name It's filled automatically with the value of the guarantor name once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor name. (Optional) Guarantor Code Type It's filled automatically with the value of the guarantor code type once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type already prefilled with the national code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. | Debtor Name* | · · |
| Claim to update is selected. It's already prefilled with the national code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. (Mandatory) Guarantor Ref It's filled automatically with the value of the guarantor ref once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor ref. (Optional) Guarantor Name It's filled automatically with the value of the guarantor name once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor name. (Optional) Guarantor Code Type Guarantor Code Type It's filled automatically with the value of the guarantor code type once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type already prefilled with the national code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. | | (Mandatory) |
| Guarantor Ref It's filled automatically with the value of the guarantor ref once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor ref. (Optional) Guarantor Name It's filled automatically with the value of the guarantor name once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor name. (Optional) Guarantor Code Type It's filled automatically with the value of the guarantor code type once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type already prefilled with the national code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. | | claim to update is selected. It's already prefilled with the national code type of the NCB tenant. For example: For FRCB, It's already |
| credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor ref. (Optional) Guarantor Name It's filled automatically with the value of the guarantor name once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor name. (Optional) Guarantor Code Type It's filled automatically with the value of the guarantor code type once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type already prefilled with the national code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. | | (Mandatory) |
| Guarantor Name It's filled automatically with the value of the guarantor name once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor name. (Optional) Guarantor Code Type It's filled automatically with the value of the guarantor code type once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type already prefilled with the national code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. | Guarantor Ref | credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor ref. |
| the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor name. (Optional) Guarantor Code Type It's filled automatically with the value of the guarantor code type once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type already prefilled with the national code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. | | , |
| Guarantor Code Type It's filled automatically with the value of the guarantor code type once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type already prefilled with the national code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. | Guarantor Name | the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the |
| Type once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type already prefilled with the national code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. | | (Optional) |
| (Optional) | | once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantor code type already prefilled with the national code type of the NCB tenant. For example: For FRCB, It's already prefilled with FR_SIREN_CD. |
| | | (Optional) |



| Guanrantee Ref | It's filled automatically with the value of the guarantee reference once the credit claim to update is selected. When the credit claim is registered without guarantee data, the user can update it by filling the guarantee reference. |
|-------------------------------------|---|
| | (Optional) |
| Data To Update | |
| Field | Description |
| Governing Law* | It displays the governing law of the credit claim of the selected credit claim asset and could be updated by the user. |
| | (Mandatory) |
| New Outstanding Amount* | It displays the Current Outstanding Amount of the selected credit claim asset and could be updated to a new value. |
| | (Mandatory) |
| Currency* | It displays the Currency of the selected credit claim asset (Value that couldn't be modified) |
| | (Mandatory) |
| Maturity Date* | It displays the Maturity Date of the selected credit claim asset and could be updated to a new date. |
| | (Mandatory) |
| Origination Date* | It displays the Origination Date of the selected credit claim asset and could be updated to a new date. |
| | (Mandatory) |
| Loan Type* | It displays the Loan Type of the selected credit claim asset and could be updated to a new selected loan type value. |
| | (Mandatory) |
| Set Off Risk Indicator* | It displays the Set Off Risk Indicator of the selected credit claim asset and could be updated to a new selected indicator value (Y, N or NA). |
| | (Mandatory) |
| Negative Cash- flow* | It displays the Negative Cashflow of the selected credit claim asset and could be updated to a new selected indicator value (true or false). |
| | (Mandatory) |
| Subordination* | It displays the Subordination of the selected credit claim asset and could be updated to a new selected indicator value (true or false). |
| | (Mandatory) |
| Agent Bank | It displays the Agent Bank of the selected credit claim asset and could be updated to a new agent bank value. |
| | (Optional) |
| Changing Interest Rate Indicator | It displays the Changing Interest Rate Indicator of the selected credit claim asset and could be updated to a new selected indicator value (true or false). |
| | (Optional) |
| Rate Indicator | It displays the Changing Interest Rate Indicator Date of the selected credit claim asset and could be updated to a new date. |
| Date | (Optional) |



| Interest Rate Type* | It displays the Interest Rate Type of the selected credit claim asset (VAR or FIX) and could be updated to a new value. |
|--|--|
| | (Mandatory) |
| Cap Indicator* | It displays the Cap Indicator of the selected credit claim asset and could be updated to a new selected indicator value (true or false). |
| | (Mandatory) |
| Reference Index | It displays the Reference Index of the selected credit claim asset and could be updated to a new selected value. |
| | (Optional) |
| Reference Index Comment | It displays the Reference Index Comment of the selected credit claim asset and could be updated to a new selected value. |
| | (Optional) |
| Resetting Period More Than One Year* | It displays the Resetting Period More Than One Year of the selected credit claim asset and could be updated to a new selected indicator value (true or false). |
| | (Mandatory) |
| Oa Id | It displays the Observed Agent Identifier of the selected credit claim asset and could be updated to a new value. |
| | (Optional) |
| Contract Id | It displays the Contract Identifier of the selected credit claim asset and could be updated to a new value. |
| | (Optional) |
| Instrmnt Id | It displays the Instrument Identifier of the selected credit claim asset and could be updated to a new value. |
| | (Optional) |
| Action | |
| Button | Description |
| Reset | This function enables you to clear the form. |
| Cancel | This function enables you to cancel the input and return back to the main screen |

3.4.5.1.1.3 Instruction of Credit Claim Outstanding Amount Update

| Context of Us- age | This screen is used to manually enter a credit claim outstanding amount update instruction once the instruction type to create chosen by the user is "CCOAU" | | | |
|-----------------------|--|---|---------------------------------|----------|
| Screen Access | Collateral >> Cred Credit Claims File | it Claims >> Cred | dit Claim File >> Sear | ch/Input |
| Screenshot | Input Credit Claim Outstanding Amount Update Instruction INSTRUCTION DETAILS Construction Update Claim Update | ESSI trend blenne PECZETI MORORE Com Observing Amount New Observing Amount | Instruction Reference Convergy | © Fig. |
| | | | | |

| Instruction of Credit Claim Outstanding Amount Update | |
|---|--|
| Instruction Details | |



| Field | Description |
|----------------------------------|---|
| Operation Type* | Filled by default with value "CCOAU". |
| | (Mandatory) |
| ECMS Internal | Filled by default with the internal ECMS identifier of the instruction. |
| Reference* | (Mandatory) |
| Instruction Reference* | Input the counterparty's unique instruction reference of the credit claim outstanding amount update. |
| | (Mandatory) |
| Credit Claim* | Input the ECMS credit claim identifier and press on F2 button of the keyboard, or press on the small magnifying glass and select one credit claim. Once selected this attribute will be filled with the Eurosystem credit claim identifier. |
| | (Mandatory) |
| Current Out- standing Amount* | It displays the outstanding amount value of the credit claim once selected. (The value is grayed and couldn't be modified). |
| | (Mandatory) |
| Update Date In- | Input the update date of the credit claim asset |
| struction* | (Mandatory) |
| New Outstanding | Input the new outstanding amount value. |
| Amount* | (Mandatory) |
| Currency* | It displays the Currency "EUR" of the selected credit claim asset (Value that couldn't be modified) |
| | (Mandatory) |
| Action | |
| Button | Description |
| Reset | This function enables you to clear the form. |
| Cancel | This function enables you to cancel the input and return back to the main screen |

3.4.5.1.1.4 Instruction of Rating Registration

| Context of Us- age | This screen is used to manually enter a rating registration instruction | | |
|-----------------------|--|---|---|
| Screen Access | Collateral >> Credit Claredit Claims File | aims >> Credit Claim F | File >> Search/Input |
| Screenshot | Edit : Rating Instruction ECO Stream Antoniosa FRENCHITISOROM Rating Type Ossign Code Type FRENCHITISOROM Rating One ** ** ** ** ** ** ** ** ** | Cooperation Type Cooper field Control Association of System Code Rating Variety Code | Transcalar Advance Object Name Date Probability R Consti |
| | | | |

| Instruction of Rating Registration | |
|------------------------------------|--|
| Field | Description |
| ECMS Internal | It's filled by default by the internal unique reference in ECMS. |
| Reference* | (Mandatory) |



| Operation Type* | It displays two possible values: RR & RU. For the rating registration, the user has to select the RR value. |
|-------------------------------|--|
| | (Mandatory) |
| Instruction Refer- | It's filled by the counterparty's unique instruction reference. |
| ence* | (Mandatory) |
| Rating Type* | Select from the drop down list the rating type "IRB". |
| | (Mandatory) |
| Obligor Ref* | Input the obligor national identifier. |
| | (Mandatory) |
| Obligor Name* | Input the obligor name. |
| | (Mandatory) |
| Obligor Code Type* | Input the obligor code type already pre-filled with the national code type of the country location of the NCB. For example for FRCB, It's pre-filled with the value (FR_SIREN_CD). |
| | (Mandatory) |
| Credit Assess- ment System | Input the credit assessment system code related to the rating type (IRB) already existing in the referential data. |
| Code* | (Mandatory) |
| Default Probabil- | Input the probability of default. |
| ity* | (Mandatory) |
| Rating Date* | Input the rating date. Format: DD/MM/YYYY. |
| | (Mandatory) |
| Rating Validity | Input the rating validity date. Format: DD/MM/YYYY. |
| Date* | (Mandatory) |
| Action | |
| Button | Description |
| Reset | This function enables you to clear the form. |
| Cancel | This function enables you to cancel the input and return back to the main screen |

3.4.5.1.1.5 Instruction of Rating Update

| Context of Us- | This screen is used to | manually enter a ratin | g update instruction |
|----------------|--|---|--|
| Screen Access | Collateral >> Credit C Credit Claims File | laims >> Credit Claim I | File >> Search/Input |
| Screenshot | Edit Fluiting Instruction CCCS Instruct Microsit TEMPORE/TEMPORE/TEMPORE TEMPORE/TE | Covarion Type Costgor Net Cost Assessment Symm Cost Rangy Vestay Core C | transcare Advances Object have Dotal Probability X Conser |
| | | | |

| Instruction of Rating Update | |
|------------------------------|-------------|
| Field | Description |



| ECMS Internal | It's filled by default by the internal unique reference in ECMS. |
|-------------------------------|--|
| Reference* | (Mandatory) |
| Operation Type* | It displays two possible values: RR & RU. For the rating update, the user has to select the RU value. |
| | (Mandatory) |
| Instruction Refer- | It's filled by the counterparty's unique instruction reference. |
| ence* | (Mandatory) |
| Rating Type* | Select from the drop down list the rating type "IRB". |
| | (Mandatory) |
| Obligor Ref* | Input the obligor national identifier. |
| | (Mandatory) |
| Obligor Name* | Input the obligor name. |
| | (Mandatory) |
| Obligor Code Type* | Input the obligor code type already pre-filled with the national code type of the country location of the NCB. For example for FRCB, It's pre-filled with the value (FR_SIREN_CD). |
| | (Mandatory) |
| Credit Assess- ment System | Input the credit assessment system code related to the rating type (IRB) already existing in the referential data. |
| Code* | (Mandatory) |
| Default Probabil- ity* | Input the probability of default. |
| | (Mandatory) |
| Rating Date* | Input the rating date. Format: DD/MM/YYYY. |
| | (Mandatory) |
| Rating Validity | Input the rating validity date. Format: DD/MM/YYYY. |
| Date* | (Mandatory) |
| Action | |
| Button | Description |
| Reset | This function enables you to clear the form. |
| Cancel | This function enables you to cancel the input and return back to the main screen |

3.4.5.1.1.6 Instruction of Credit Claim Mobilisation

| Context of Usage | This screen is used to manually enter a credit claim mobilisation instruction | | | |
|------------------|--|--|--------------------------------|----------|
| Screen Access | Collateral >> C Credit Claims F | | it Claim File >> Searc | :h/Input |
| Screenshot | Imput Mobilisation Institution CCCS Institut Inheritory (PROCESSTITUTIONISM) Institution Inheritory Institution Inheritory Institution Institution Inheritory Institution Inst | Operation Type [Mode Ocean Claim Beforeces | Ventucios followers VENTUCIOS | ⊞ © Pin |
| | | | | |

| Instruction of Credit Claim Mobilisation |
|--|
| Instruction Details |



| Field | Description |
|--------------------------|--|
| ECMS Internal Reference* | The ECMS Internal Reference is filled automatically. |
| | (Mandatory) |
| Operation Type* | The operation type is filled by default with the value "MOB". |
| | (Mandatory) |
| Instruction Refer- | Input the counterparty's instruction reference. |
| ence* | (Mandatory) |
| Internal asset account* | Select from the list of safekeeping account the internal asset account that will be used to mobilise the credit claim. |
| | (Mandatory) |
| Credit Claim Ref- | Input the registered credit claim unique reference to be mobilised. |
| erence* | (Mandatory) |
| ECMS CC Id | Input the Eurosystem credit claim identifier. |
| | (Optional) |
| Action | |
| Button | Description |
| Reset | This function enables you to clear the form. |
| Cancel | This function enables you to cancel the input and return back to the main screen |

3.4.5.1.1.7 Instruction of Credit Claim Demobilisation

| Context of Us- age | This screen is used to manually enter a credit claim demobilisation instruction | | | |
|-----------------------|--|---|----------------------------|---------|
| Screen Access | Collateral >> C | Credit Claims >> Credi File | : Claim File >> Search | n/Input |
| Screenshot | Imput Demobilisation Instruction LEGIT research theretor PROMINITATIONSON Immunitation Immunitat | Contract Type (EXXX) Cost Contributeses | Notice Subserver EMS CC M | © ⊖ o |

| Instruction of Credit Claim Demobilisation | | |
|--|--|--|
| Instruction Details | | |
| Field | Description | |
| ECMS Internal Reference* | The ECMS Internal Reference of the demobilisation instruction is filled automatically. | |
| | (Mandatory) | |
| Operation Type* | The operation type is filled by default with the value "DEMOB". | |
| | (Mandatory) | |
| Instruction Refer- | Input the counterparty's instruction reference. | |
| ence* | (Mandatory) | |
| Internal asset account* | Select from the list of safekeeping account the internal asset account that will be used to demobilise the credit claim. | |
| | (Mandatory) | |
| Credit Claim Reference* | Input the credit claim reference of the credit claim to be demobilised. | |



| | (Mandatory) |
|------------------------|--|
| ECMS CC ID* | Input the eurosystem credit claim identifier. |
| | (Mandatory) |
| Action | |
| | |
| | |
| Button | Description |
| Button Reset | Description This function enables you to clear the form. |

3.4.5.1.2 Credit Claims File - Search Screen

| Context of Us- age | credit claim files tion instruction(instruction(s), ra | s and the received o s), update instruction | nonitor the manually e nes by A2A mode with n(s), outstanding amou truction(s), mobilisation t claim in ECMS. | registra- unt update |
|-----------------------|--|--|---|-------------------------|
| Screen Access | Collateral >> Co | | lit Claim File >> Searc | h/Input |
| Screenshot | Search Criteria: Credit Claim File ECMS Internal == ▼ Reference Intended Settlement == ▼ UZA == ▼ Tosul | File Reference == • | Countegarty == ▼ CCFile Status == ▼ | Create Q Storch |
| | | | | |

| Credit Claims Fil | e – Search Screen |
|--------------------------|---|
| Field | Description |
| ECMS Internal Reference | Input the ECMS internal unique reference when the file was created by U2A mode |
| File Reference | Input the file reference when the file was received by A2A mode |
| Counterparty | Input the counterparty RIAD Code |
| Intended Settle- | Input the intended settlement date |
| ment Date | Format: DD/MM/YYY |
| Preparation Date | Input the preparation date time |
| Time | Format: DD/MM/YYY hh:mm:ss:sss |
| CC File Status | Input the credit claim file status that could be one from the following statuses: |
| | Pending completion of the previous file process |
| | Pending next day-time process |
| | - Processed |
| | - Rejected |
| | Waiting Settlement Date |
| | Waiting Validation |
| U2A | Input Yes or No |
| Action | |



| Button | Description |
|--------|--|
| Create | This function enables you to create a new credit claim file with manual input of credit claim instructions. |
| Search | This function enables you to start a search according to the criteria entered. The results are displayed in a list on a screen below. Next screen: |
| | Credit Claims file – List Screen |

3.4.5.1.2.1 Credit Claims File - List Screen

| displa | yed c | laims f an be | files – | Searc | nd to th h scre iltered | en. | | | |
|--|---|--|---|---|--|--|--|---|--|
| | | Claim | ıs >> (| Credit | Claim | File > | > Sea | rch/Inp | out |
| Claim File File Reference € CC-M069 M080C0990. CC-M099822002 CC-M069 M080C0990. CC-M069 M080C0990. CC-M069 M080C0990. CC-M069 M080C0990. CC-M069 M080C0990. CC-M069822003 CC-M069822003 CC-M069822003 CC-M069822003 | Counterparty © Finalize | | | CC File Status Processed | No No No No No No No No | 09/08/2022 11:27:32 09/08/2022 11:26:22 09/08/2022 11:25:30 09/08/2022 11:25:32 09/08/2022 11:21:12 09/08/2022 11:19:03 09/08/2022 11:16:20 09/08/2022 11:12:58 09/08/2022 11:11:28 | ISAEFRAZAOI | Creation Date \$ 09/08/2022 11:27:25 09/08/2022 11:26:15 09/08/2022 11:25:25 09/08/2022 11:20:34 09/08/2022 11:18:54 09/08/2022 11:16:14 | ISAEFRA2A01 |
| ne list collater redit C reh Result: Credit (Catis Internal Rec. CCT-incon000068) CCT-incon000068 | ne list can b collateral >> redit Claims rch Result: Credit Claim File CAMB INTERNAL File Reference 2 | ne list can be exponolisteral >> Credit redit Claims File **CEMSINIMATERIAL** **CEMSINIMATERIAL** **CEMBORDO00999 **COMORDO00999 **COMORD | ne list can be exported. collateral >> Credit Claim redit Claims File redit Claims File rch Result: Credit Claim File ***** **** **** *** *** *** * | ne list can be exported. collateral >> Credit Claims >> Credit Claims >> Credit Claims >> Credit Claims File reh Result: Credit Claim File *** ***COMMINISTRATE** Continuous properties and properties | Control Colonia Coloni | Continuos consideration Continuos Cont | Collateral >> Credit Claims >> Credit Claims File >> Sea redit Claims File **Chapter Claims File **Control Control Claims File **Control Claims File | Company Continue Continue |

| Credit Claims Fil | e – Search Screen |
|--------------------------|--|
| Field | Description |
| ECMS Internal Reference | The ECMS internal unique reference when the file was created by U2A mode |
| File Reference | The file reference when the file was received by A2A mode |
| Counterparty | The counterparty RIAD Code |
| Intended Settle- | The intended settlement date |
| ment Date | Format: DD/MM/YYY |
| Settlement Date | The settlement date |
| | Format: DD/MM/YYY |
| CC File Status | The file status that could be one from the following values: |
| | Pending completion of the previous file process |
| | Pending next day-time process |
| | - Processed |
| | - Rejected |
| | - Waiting Settlement Date |
| | Waiting Validation |
| U2A | Yes or No |
| Update Date | Update date of the file |
| Updater User Id | The user that has updated the file |



| Creation Date | Creation date of the file | | | |
|------------------|--|--|--|--|
| Creation User Id | The user that has created the file | | | |
| Action | | | | |
| Button | Description | | | |
| View | This function enables you to view the details of the selected credit claim file. The Details screen is displayed replacing the current screen. | | | |
| | Next screen: | | | |
| | Credit Claim File – Details Screen | | | |
| Excel Export | This function enables you to export the displayed list of the credit claims file(s) in an excel file. | | | |

3.4.5.1.2.2 Credit Claims File – Details Screen

| Context of Us- age | This screen displays do or manually input credi proceed further by click | t claims file. You can | | |
|-----------------------|--|--|--|--|
| | Display the details of a | credit claims file | | |
| Screen Access | Collateral >> Credit Claims >> Credit Claim File >> Search/Input Credit Claims File >> Click on the Search button (after having input the relevant criteria, if needed) >> Select a credit claims file >> Click on the View button | | | |
| Screenshot | Search Result: Credit Claim File > View: Credit Claim File CP File Cetals CDAT stream of Indiventor CDATE stream of Indiventor CDATE stream of Indiventor CDATE stream of Indiventor INDIVERSAL STREAM OF INDIVERSAL STREAM No. No. Nameter of CCOMM Number of CCOMM INDIVERSAL STREAM OF INDIVERSAL | File Infrares CC-606 900CC09031 Number of ICC Registration Number of ICC Registration Number of ICC Midd Proposition between Interesting Date Tree 2800.02222 000000000 Last Hostification Out 45000000000000000000000000000000000000 | Counterparty Partition Number of ACI Signature Anather of ACI Signature ACI Signature Anather of ACI Signature ACI S | |
| | | | | |

| Credit Claims File - Details Screen | | | | |
|-------------------------------------|--|--|--|--|
| CC File Details | | | | |
| Fied | Description | | | |
| ECMS Internal Reference | Displays the ECMS internal reference of the credit claims file automatically filled by the system which is the unique reference of the file managed internally in ECMS | | | |
| File Reference | Displays the file reference which is the unique reference of the file in counterparty side | | | |
| Counterparty | Displays the counterparty RIAD Code | | | |



| U2A | Displays Yes or No | | | |
|---------------------------------|---|--|--|--|
| Number Of CC Registration | Displays the number Of CC Registration | | | |
| Number Of CC Updates | Displays the number Of CC Updates | | | |
| Number Of CCOAU | Displays the number Of CCOAU | | | |
| Number Of RR | Displays the number Of RR | | | |
| Number Of RU | Displays the number Of RU | | | |
| Number Of CC Demob | Displays the number Of CC Demob | | | |
| Dates | | | | |
| Fied | Description | | | |
| Intended Settle- ment Date | Displayes the Intended Settlement Date | | | |
| Preparation Date Time | Displayes the Preparation Date Time | | | |
| Settlement Date | Displayes the Settlement Date | | | |
| Status | | | | |
| Fied | Description | | | |
| CC File Status | Displays the status of the file | | | |
| Business Valida- tion Errors | Displays the business validation errors when the file is not processed | | | |
| Notifications | | | | |
| Fied | Description | | | |
| Last Notification In | Displays the incoming notification identifier (Identifier of the received credit claims file) | | | |
| Last Notification Out | Displays the outgoing notification identifier (Identifier of the Admi.007 for instance when the credit claims file is rejected) | | | |
| Notifications | Displays as a sub-screen the notification details | | | |
| Subscreen | | | | |
| Fied | Description | | | |
| Mobilisation In- struction | Displays the number of the Mobilisation Instructions and the details of these instructions as a sub-screen | | | |
| Demobilisation Instruction | Displays the number of the Demobilisation Instructions and the details of these instructions as a sub-screen | | | |
| Credit Claim In- struction | Displays the number of the Credit Claim Instructions (Registration, Update) and the details of these instructions as a sub-screen | | | |
| Rating Instruction | Displays the number of the Rating Instructions and the details of these instructions as a sub-screen | | | |
| Mobilisation Instru | uction | | | |
| Fied | Description | | | |
| ECMS Internal Reference | Displays the ECMS Internal Reference | | | |
| Operation Type | Displays the operation type with the value "MOB" | | | |
| Instruction Refer- | Displays the instruction reference of the counterparty | | | |



| Internal asset ac- count | Displays the safekeeping account the internal asset account that is used to mobilise the credit claim |
|------------------------------|--|
| Credit Claim | Displays the the credit claim asset to be mobilised |
| ECMS Internal Reference | Displays the ECMS Internal Reference |
| Business Status | Displays the business status of the instruction |
| Demobilisation In | struction |
| Fied | Description |
| ECMS Internal Reference | Displays the ECMS Internal Reference |
| Operation Type | Displays the operation type with the value "DEMOB" |
| Instruction Reference | Displays the instruction reference of the counterparty |
| Internal asset ac- count | Displays the safekeeping account the internal asset account that is used to mobilise the credit claim |
| Credit Claim | Displays the the credit claim asset to be mobilised |
| ECMS Internal Reference | Displays the ECMS Internal Reference |
| Business Status | Displays the business status of the instruction |
| Credit Claims Inst | ruction |
| Fied | Description |
| Instruction Details | 3 |
| Fied | Description |
| ECMS Internal Reference | Displays the ECMS internal reference of the credit claim registration instruction automatically filled by the system |
| Instruction Reference | Displays the unique reference of the instruction in counterparty side |
| Operation Type | Displays the value "CCR", "CCU" or "CCOAU" |
| Governing Law | Displays the country governing law of the credit claim |
| Creditor | Displays the RIAD Code of the creditor |
| Credit Claims Deta | ails |
| Fied | Description |
| Credit Claim Ref- erence | Displays the identifier of the credit claim for the Counterparty |
| Credit Claim Contract Number | Displays the credit claim contract number |
| Outstanding Amount | Displays the outstanding amount of the credit claims. |
| Currency | Displays the currency of the Credit Claim. By default EUR. |
| Maturity Date | Displays the maturity date of the credit claim. |
| Origination date | Displays the origination date of the credit claim. |
| Debtor Details | |
| Fied | Description |
| Debtor ID | Displays the RIAD code of the Creditor. |
| Debtor Code Type | Displays the Debtor Code Type. |
| Guarantor Details | |
| Fied | Description |
| | |



| Guarantor ID | Displays the RIAD code of the Guarantor. |
|---|--|
| Guarantor Code Type | Displays the Guarantor Code Type. |
| Guarantee Refer- ence | Displays the Guarantee reference if existing given by the Counterparty. |
| Other Details | |
| Fied | Description |
| Loan Type | Displays the Type of loan |
| Set-off Risk Indicator | Displays the set-off risk indicator. Y(existence of a set off risk) / N or NA (to be used when not applicable for the NCB) |
| Negative Cashflow | Displays Y or N |
| Subordination | Displays the value Y/N |
| Agent Bank | Displays the Agent bank value |
| Changing Interest Rate Indicator | Displays the value Y/N |
| Changing Interest Rate Indicator Date | Displays the Changing Interest Rate Indicator Date |
| Interest Rate Type | Displays FIX or VAR |
| Reference Index | Displays the Referenced Eurosystem Index. To be filled in if the Interest RateType is VAR |
| Reference Index Comment | Displays the Reference Index Comment. To be filled if the Reference Index is 'Other'. |
| Cap Indicator | Displays the value (True or False). To be filled in if the Interest RateType is VAR. |
| Resetting Period More Than One Year | Displays the value (True or False). To be filled in if the Interest RateType is VAR. |
| Rating Instruction | |
| Fied | Description |
| Debtor | Displays the Debtor RIAD Code |
| Guarantor | Displays the Guarantor national identifier |
| ECMS Internal Reference | Displays the ECMS Internal Reference |
| Instruction Reference | Displays the Instruction Reference |
| Operation Type | Displays "RR" or "RU" |
| Rating Date | Displays the Rating Date |
| Rating Validity Date | Displays the Rating Validity Date |
| Rating Type | Displays the Rating Type |
| Credit Assessment System Code | Displays the Credit Assessment System Code |
| Default Probability | Displays the Default Probability |
| Instruction Status | Displays the Instruction Status |
| Business Status | Displays the Business Status |
| comment | Displays the comment |



| Business Valida- tion Errors | Displays the Business Validation Errors |
|---------------------------------|--|
| Footprint | |
| Updater User Id | Shows the identification of the user that made the last update. |
| Update Date | Shows the date and time of the last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the received EMCC file. |
| Creation Date | Shows the date and time of the received EMCC file creation. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |

3.4.5.1.2.3 Credit Claims File – Validation Screen

| Context of Us- age | This screen contains a list of credit claims files subject to validation. The credit claims files listed correspond to the search criteria captured in the credit claims files – Search screen. The list displayed can be sorted and filtered by the fields displayed. The list can be exported. |
|-----------------------|---|
| Screen Access | Collateral >> Credit Claims >> Credit Claim File >> Validate Credit Claims File |
| Screenshot | SIV37 : Credit Claim File ECMS Internal ** * File Reference ** * Counterparty ** * |
| | |

| Credit Claims File – Validation Screen | | | | |
|--|--|--|--|--|
| Field | Description | | | |
| ECMS Internal Reference | The ECMS internal unique reference when the file was created by U2A mode | | | |
| File Reference | The file reference when the file was received by A2A mode | | | |
| Counterparty | The counterparty RIAD Code | | | |
| Intended Settle- | The intended settlement date | | | |
| ment Date | Format: DD/MM/YYY | | | |
| Preparation Date | The preperation date time | | | |
| Time | Format: DD/MM/YYY hh:mm:ss:sss | | | |
| CC File Status | The file status that could be one from the following values: | | | |
| | - Rejected | | | |
| | - Queued | | | |
| | WaitingCutOffTime | | | |
| | WaitingSettlementDate | | | |
| | - Processed | | | |



| | WaitingPreviousCCFileManageCCFileInstructionDraft |
|------------|--|
| U2A | Yes or No |
| Action | |
| Button | Description |
| Show Draft | This function enables you to view the details of the selected draft credit claim file subject to validation. |
| Validate | This function enables you to validate the entered credit claims file |
| Reject | This function enables you to reject the entered credit claims file |

3.4.5.1.3 Credit Claims Asset – Search Screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for one or several credit claims asset. | | | | | | | |
|-----------------------|--|--|--|--|--|--|--|--|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. | | | | | | | |
| Business Case related | Search/List/View Credit Claims | | | | | | | |
| Screen Access | Collateral >> Credit Claims >> Credit Claims | | | | | | | |
| Screenshot | Search Criteria: Credit Claim Credit Claim Ref Credit Claim Ref Credit Claim D Debtor == Gaurantee Ref == Credit Claim Status == | | | | | | | |
| | ○ Record | | | | | | | |

| Credit Claims Asset – Search screen | | | | |
|-------------------------------------|--|--|--|--|
| Search Criteria | | | | |
| Field | Description | | | |
| Credit Claim Reference | Reference given by the Counterparty | | | |
| Eurosystem Credit Claim ID | Eurosystem reference given by the ECMS | | | |
| Counterparty | RIAD code of the Counterparty | | | |
| Debtor | Debtor Code | | | |
| Guarantor | Guarantor Code | | | |
| Credit Claim | Possible Values: | | | |
| status | - Registered | | | |
| | - Mobilised | | | |
| | - Demobilised | | | |
| | - Blocked For NCB | | | |
| Guarantee Ref | Reference of the guarantee | | | |
| Creation Date | Creation Date range (From and To) | | | |
| FromTo | Format: DD/MM/YYYY hh:mm:ss:sss | | | |
| Action | | | | |



| Button | Function |
|--------|--|
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | Credit claims Asset – List Screen. |

3.4.5.1.3.1 Credit Claims Asset – List Screen

| Context of Usage | This screen contains a list of Credit Claims asset corresponding to the search creteria entered in the search screen. | | | | | | | | | to the | | | |
|--------------------------|--|--|--|---|---|--|------------------------------|--|---|--|---|---|---|
| | The li | The list is displayed after clicking on the Search button | | | | | | | | | | | |
| | The li | ist ca | n be | sort | ed an | d filt | ered (| using l | by the fi | eld dis | splay | ed. | |
| | The li | ist ca | n be | exp | orted. | | | | | | | | |
| Business Case related | Searc | ch/Lis | st/Vi | ew C | redit (| Clain | ns As | set | | | | | |
| Screen Ac- | 1 | | | | | | | | edit Clai | | | • | |
| cess | 1 | | | | the se | | n butt | on (aft | ter input | tting th | ne re | levant | • |
| Screenshot | Search Result | ch crit | | | |) | | ` | ter input | tting th | ne re | | 6 |
| | Search Result | ch crit | teria | , if ne | eeded |) K | ge <u>1</u> of 13 > | K | • | | | Q 125 ★ XI | ○ □ □ ○ ▽ |
| | Search Result | ch crit | Counterparty | , if ne | eeded | K < Pag | ge <u>1</u> of 13 > | ` | Dutstanding A Currency | ► ▽ End Date ◆ | Plack Listed | Q 125 ★ XI | □□() ♥ |
| | Search Result 10 - Eurosystem C(2) FRISAE2213090_ | ch crit t : Credit Claim Credit Claim RC CCREFCCA0908 | Counterparty | , if ne | eeded |) K | ge <u>1</u> of 13 > | K | • | | Black Listed | Q 125 ★ 🔀 | ☐ () ▽ Updater User I♡ |
| | Search Result 10 - Eurosystem C(2) FRISAE2213090_ | ch crit : Credit Claim Credit Claim R CCREFCCA0908 CCREFCCA0908 | Counterparty : | , if ne | Guarantee Ref © GREF-CCA0908 | Credit Claim S | ge <u>1</u> of 13 > | > Z Eligibility Statuz 0 | Outstanding A Currency 5,000,000 EUR | ► ▽ End Date ◆ | Black Listed | Q 125 ★ 図] \$\phi\$ Update Date \$\phi\$ 09/08/2022 11: | Updater User I: ISAEFRAZAO1 ECMSOperation |
| | Search Result 10 - Eurosystem Cf; FRISAE2213090 - FRISAE2270863 - | credit Claim Credit Claim R. CCREFCCA0908 CCREFCCA0908 CCREFCLM0908 | Counterparty: FR18129 FR18129 | FR18129 FR18129 FR18129 FR18129 | Guarantee Ref GREF-CCA0908 GREF-CCA0908 | Credit Claim S Registered Mobilised | ge <u>1</u> of 13 > | > Eligibility Statu. (| Dutstanding A. Currency 5,000,000 EUR 5,000,000 EUR | Find Date \$ 11/08/2022 11/08/2022 10/08/2022 07/08/2023 | Black Listed | Q 125 ★ 図目 | Updater User I: ISAEFRAZAO1 ECMSOperation |
| | Search Result 10 Eurosystem Cr₂ FRISA22213090. FRISA2221120. FRISA2221120. FRISA22243195. FRISA22211030. | credit Claim R. Credit Claim R. CCREFCCA0908 CCREFCCA0908 CCREFCLM0908 CCREFCLM0908 CCREFCLM0908 | Counterparty FR18129 FR18129 FR18129 FR18129 FR18129 FR18129 | FRI8129 FRI8129 FRI8129 FRI8129 FRI8129 FRI8129 | Guarantee Ref * GREF-CCA0908. GREF-CLM0908. GREF-CLM0908. GREF-CLMM02 | Credit Claim S Registered Mobilised Mobilised Mobilised | ge <u>1</u> of 13 > | Pending Eligibili. Pending Eligibili. Pending Eligibili. Pending Eligibili. | Outstanding A | Find Date \$ 11/88/2022 11/08/2022 10/08/2022 07/08/2023 07/08/2022 | No No No No No No No No No | Q 125 * | Updater User For ISAEFRAZAD1 ECMSOperation. ECMSOperation. ECMSOperation. |
| | Search Result 10 Eurosystem Cr FRISAE2213090 FRISAE2270963 FRISAE2270963 FRISAE2270965 FRISAE2270965 FRISAE2270965 FRISAE2270967 | ch crit t: Credit Claim R. CCREFCLA990B. CCREFCLA990B. CCREFCLM990B. CCREFCLM990B. CCREFCLM90B. CCREFCLM90B. | Counterparty FR18129 FR18129 FR18129 FR18129 FR18129 FR18129 FR18129 FR18129 | FRI8129 FRI8129 FRI8129 FRI8129 FRI8129 FRI8129 | GREF-CLM998 GREF-CLM998 GREF-CLM998 | Credit Claim S Registered Mobilised Registered Mobilised Mobilised Mobilised Registered | ge 1 of 13 > | Pending Eligibili. Pending Eligibili. Pending Eligibili. Pending Eligibili. Not Eligible | Dutstanding A Currency 5,000,000 EUR 5,000,000 EUR 5,000,000 EUR 5,000,000 EUR 5,000,000 EUR | End Date • 11/08/2022 11/08/2022 10/08/2022 07/08/2023 07/08/2022 07/08/2022 | No | Q 125 * I Update Date & 09/08/2022 11: 09/08/2022 19: 09/08/2022 19: 09/08/2022 11: 09/08/2022 11: 09/08/2022 13: | Updater User I., ISAEFRAZADI ECMSOperation ECMSOperation ECMSOperation ECMSOperation |
| | Search Result 10 Eurosystem Cr₂ FRISA22213090. FRISA2221120. FRISA2221120. FRISA22243195. FRISA22211030. | ch crit credit Claim credit Claim RC ccreepccA0908 ccr | Counterparty FR18129 FR18129 FR18129 FR18129 FR18129 FR18129 | FRI8129 FRI8129 FRI8129 FRI8129 FRI8129 FRI8129 | Guarantee Ref * GREF-CCA0908. GREF-CLM0908. GREF-CLM0908. GREF-CLMM02 | Credit Claim S Registered Mobilised Mobilised Mobilised | ge <u>1</u> of 13 > | Pending Eligibili. Pending Eligibili. Pending Eligibili. Pending Eligibili. | Outstanding A | Find Date \$ 11/88/2022 11/08/2022 10/08/2022 07/08/2023 07/08/2022 | No No No No No No No No No | Q 125 * | Updater User I., ISAEFRAZAD1 ECMSOperation. ISAEFRAZAD3 ECMSOperation. ECMSOperation. ECMSOperation. ISAEFRAZAD1 ISAEFRAZAD1 |
| | Search Result 10 • Eurosystem Cr. FRISAE2213090. FRISAE227863. FRISAE2211120. FRISAE2211120. FRISAE2211030. FRISAE2211474. | Credit Claim R. Credit Claim R. CCREFCCA998 CCREFCLM998 CCREFCLM998 CCREFCLM908 CCREFCLM908 CCREFCLM908 CCREFCLM908 CCREFCCRESO CCREFCCRUSO CCREFCCRUSO CCREFCCRUSO CCREFCCRUSO | Counterparty FR18129 FR18129 FR18129 FR18129 FR18129 FR18129 FR18129 FR18129 FR18129 | FRIBI29 FRIB129 FRIB129 FRIB129 FRIB129 FRIB129 FRIB129 | GUARANTE REF S GREF-CCA0908 GREF-CLM0908 GREF-CLM0908 GREF-CLM0908 GREF-CCF0208 | Per Credit Claim S Registered Mobilised Mobilised Mobilised Registered Mobilised Mobilised Mobilised Mobilised | ge 1 of 13 > | Pending Eligibili. Pending Eligibili. Pending Eligibili. Pending Eligibili. Not Eligible | Dutstanding Av. Courercy 5,000,000 EUR 5,000,000 EUR 5,000,000 EUR 5,000,000 EUR 5,000,000 EUR 10,000,000 EUR | Three transfer of the transfer of the transfer of tran | Black Listed No | Q 125 ★ \$\frac{1}{2}\$ Update Date \$\frac{1}{2}\$ 09/08/2022 11: 09/08/2022 11: 09/08/2022 11: 09/08/2022 11: 05/08/2022 13: 05/08/2022 11: 05/08/202 11: 05/08/202 11: 05/08/202 11: 05/08/202 11: 05/08/202 11: 05/08/202 11: 05/08/202 11: 05/08/202 11: 05/08/202 11: 05/08/202 11: 05/08/202 11: 05/08/202 11: | Updater User I ISAEFRAZAD1 ECMSOperation ISAEFRAZAD2 ECMSOperation ISAEFRAZAD3 ECMSOperation ISAEFRAZAD3 ISAEFRAZAD3 ISAEFRAZAD3 |
| | Search Result 10 ▼ Eurosystem Cr. FRISAE2213090. FRISAE2211120. FRISAE2211120. FRISAE2211120. FRISAE2211120. FRISAE22112120. FRISAE221121474. FRISAE2219474. | Credit Claim R. Credit Claim R. CCREFCCA0908 CCREFCCA0908 CCREFCLM0908 CCREFCLM0908 CCREFCLAIMO2 CCREFCCF208 CCREFCCRUSD CCREFCCRUSD CCREFCCRUSD | Counterparty FR18129 FR18129 FR18129 FR18129 FR18129 FR18129 FR18129 FR18129 FR18129 | FRI8129 FRI8129 FRI8129 FRI8129 FRI8129 FRI8129 FRI8129 FRI8129 FRI8129 | GUARANTE REF S GREF-CCA0908 GREF-CLM0908 GREF-CLM0908 GREF-CLM0908 GREF-CCF0208 | Pay Credit Claim S Registered Mobilised Registered Mobilised Mobilised Mobilised Mobilised Registered Mobilised Registered Registered Registered | ge 1 of 13 > Credit Claim Ts | Pending Eligibili. Pending Eligibili. Pending Eligibili. Pending Eligibili. Pending Eligibili. Not Eligible Eligible | Doubtlanding A. Curreicy S. 500,000 ELR 5,000,000 ELR 5,0 | End Date • 11/08/2022 11/08/2022 11/08/2022 07/08/2023 07/08/2022 01/08/2022 01/08/2022 | Black Listed No | Q 125 ★ ▼ Update Date € 09/08/2022 11: 09/08/2022 15: 09/08/2022 11: 09/08/2022 11: 09/08/2022 11: 05/08/2022 13: 05/08/2022 13: 05/08/2022 15: 03/08/202 15: 03/08/202 15: 03/08/202 15: 03/08/202 15: 03/08/202 15: 03/08/202 15: 03/08/202 15: 03/08/202 15: 03/08/202 15: 03/ | Updater User I Updater User I UsAsFRAZAD1 ECMSOperation ESASFRAZAD1 ECMSOperation ESASFRAZAD1 ISASFRAZAD1 ISASFRAZAD1 |
| | Search Result 10 • Eurosystem Cr. FRISAE2211090. FRISAE2211090. FRISAE2211090. FRISAE2211120. FRISAE2211120. FRISAE2211120. FRISAE224114. FRISAE224174. FRISAE224274. FRISAE224274. | Credit Claim R. Credit Claim R. CCREFCCA0908 CCREFCCA0908 CCREFCLM0908 CCREFCLM0908 CCREFCLAIMO2 CCREFCCF208 CCREFCCRUSD CCREFCCRUSD CCREFCCRUSD | Counterparty FR18129 | Crestor 4 FR18129 | GUARANTE REF S GREF-CCA0908 GREF-CLM0908 GREF-CLM0908 GREF-CLM0908 GREF-CCF0208 | Credit Claim S Registered Mobilised Registered Mobilised | ge 1 of 13 > Credit Claim Ts | Pending Eligibis. Pending Eligibis. Pending Eligibis. Pending Eligibis. Not Eligible Eligible Eligible | Supplementary Supplementar | End Date © 11/08/2022 11/08/2022 11/08/2022 07/08/2022 07/08/2022 07/08/2022 07/08/2022 01/08/2022 01/08/2022 01/08/2022 01/08/2022 01/08/2022 01/08/2022 01/08/2022 01/08/2022 01/08/2022 01/08/2022 01/08/2022 01/08/2022 | Black Listed No | Q 125 ★ ▼ Update Date € 09/08/2022 11: 09/08/2022 15: 09/08/2022 11: 09/08/2022 11: 09/08/2022 11: 05/08/2022 13: 05/08/2022 13: 05/08/2022 15: 03/08/202 15: 03/08/202 15: 03/08/202 15: 03/08/202 15: 03/08/202 15: 03/08/202 15: 03/08/202 15: 03/08/202 15: 03/08/202 15: 03/ | Updater us ISAEFRAZA ECMSOpera ISAEFRAZA ECMSOpera ECMSOpera ISAEFRAZA ISAEFRAZA ISAEFRAZA ISAEFRAZA ISAEFRAZA ISAEFRAZA |

| Credit Claims Asset – List screen | | | | |
|-----------------------------------|--|--|--|--|
| Content of the list | | | | |
| Field | Description | | | |
| Eurosystem Credit Claim ID | Eurosystem reference given by the ECMS | | | |
| Credit Claim Reference | Reference given by the Counterparty | | | |
| Counterparty | RIAD code of the Counterparty | | | |
| Creditor | RIAD code of the Creditor | | | |
| Guarantee ref | Reference of the guarantee | | | |
| Credit Claim | Possible Values: | | | |
| status | - Registered | | | |
| | - Mobilised | | | |
| | - Demobilised | | | |
| | - Blocked For NCB | | | |
| Credit Claim | Displays the Type of Credit Claim. | | | |
| Туре | Possible values | | | |
| | - CC | | | |

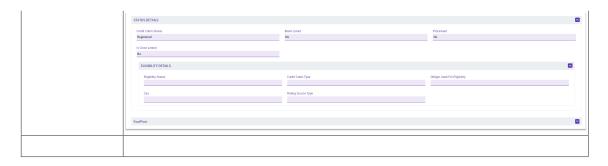


| | - ACC |
|-----------------------|--|
| Eligibility Status | Possible Values: |
| | - Eligible |
| | - Not Eligible |
| Outstanding Amount | Displays the Outstanding Amount |
| Currency | EUR |
| End Date | Displays the end date |
| | Format: DD/MM/YYYY |
| Black Listed | Yes or No |
| Update Date | Displays the update date of the credit claim asset |
| | Format: DD/MM/YYYY hh:mm:ss:sss |
| Updater User Id | Displays the updater user id of the asset |
| Action | |
| Button | Function |
| View | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | Credit claims Asset – detail Screen. |
| History | This function enables you to access to the historical information of a Credit claim. |
| | Next screen: |
| | Credit Claim Asset – History Screen. |

3.4.5.1.3.2 Credit Claims Asset – Details Screen

| Context of Usage | | | nation of the Credit Clain in the previous screen. | m Asset |
|--------------------------|--|---|--|-----------|
| Business Case related | Search/List/Viev | v Credit Claims Asset | | |
| Screen Ac- cess | | utting the relevant sear | claims >> Click on the s ch criteria, if needed)>> | |
| Screenshot | Search Result: Credit Claim > Veer- Credit Claim Controccome Control Controccome Control Controccome Control C | European Confident D FREEZEZIONAL CONSTIT FREEZEZIONAL Guarante FREEZEZIONA N. Cons. Builde No FREEZEZION 1. Cons. Builde No FREEZEZION Lion Type MEGO Context hunder GEGCADRESSEE Pout Section Guarteries list Guarteries Gua | 1,000,000 |
| | N Subordination Make Agent Back CREDIT | Make Cup Indicator New Lipidate Date CC NNRECEEL | Make Classings steemed their indicator Carlo 160(0)222 Reference loader Comment | |





| Credit Claims | Asset – Details screen |
|----------------------------------|---|
| General inforr | |
| Field | Description |
| Credit Claim Reference | Reference given by the Counterparty |
| Eurosystem Credit Claim ID | Eurosystem reference given by the ECMS |
| Contract Num- ber | Contract Number given by the counterparty |
| Counterparty | RIAD code of the Counterparty |
| Creditor | RIAD code of the Creditor |
| Pool Identifier | The pool identifier where the credit claims is or will be mobilised |
| NCB Account | The Internal asset account |
| Obligor Detail | S |
| Field | Description |
| Debtor | Displays the debtor national identifier |
| Guarantor | Displays the guarantor national identifier |
| Guarantee Ref | Displays the guarantee reference |
| Guarantee Amount | Displays the guarantee amount |
| Credit Claim [| Details |
| Field | Description |
| Governing Law | Displays the governing law country code of the credit claim |
| ls Cross Bor- der | Yes or No |
| Outstanding Amount | Displays the Outstanding Amount |
| Currency | EUR |
| Origination Date | Displays the Origination Date |
| End Date | Displays the End Date |
| Interest Rate Type | Displays the Interest Rate Type |



| Changing In- terest Rate In- dicator | True or False |
|---|---|
| Loan Type | Displays the Loan Type |
| Reference Index | Displays the Reference Index |
| Set Off Risk Indicator | "N" or "Y" |
| Negative Cashflow | True or False |
| Resetting Period More Than One Year | True or False |
| Subordination | True or False |
| Cap Indicator | True or False |
| Changing In- terest Rate In- dicator Date | Displays the date when the interest rate changing indicator is filled Format: DD/M/YYYY |
| Agent Bank | Displays the Agent Bank |
| Reference Index Comment | Displays the reference index comment when the interest rate changing indicator is filled |
| Status Details | |
| Field | Description |
| Credit Claim | Possible Values: |
| Status | - Registered |
| | - Mobilised |
| | - Demobilised |
| | - Blocked For NCB |
| Black Listed | Y or N |
| Processed | Y or N |
| Is Close Linked | Y or N |
| Eligibility Deta | ails |
| Field | Description |
| Eligibility Status | Eligible or Not Eligible |
| Footprint | |
| Creation Date | Shows the date and time of the credit claim asset creation. |
| | Displayed format is: DD/MM/YYYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the credit claim asset. |
| Update Date | Shows the date and time of the last update of the credit claim asset. |
| | Displayed format is: DD/MM/YYYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the credit claim asset. |
| | |



3.4.5.1.3.3 Credit Claims Asset – History Screen

| Context of Usage | lected Credit | Claim Asset. You e changes, and pr | can check the data | s changed on the se- , including the user cking on the buttons |
|---------------------|--|--|---|--|
| Screen Access | search bu | utton (after inputtin | >> Credit Claims > g the relevant sear dit Claim Asset >> | |
| Screenshot | horizontalHistoryResult : Credit Clair | n History | | _ |
| Ocicensiiot | | | | Q 3 🗐 🥌 Show Differences Only Expand All Compare |
| | Fields | CCREFCCF0208202239 2022-08-05 13:43:31.575 3 | CCREFCCF0208202239 2022-08-05 13:43:30.616 2 | © CCREFCCF0208202239 2022-08-05 13:42-03.295 1 |
| | | | | |
| | | | | |
| | Eligibility Status | Not Eligible | | |
| | Creation Date | 05/08/2022 13:43:31:575 | 05/08/2022 13:43:30:616 | 05/08/2022 13:42:03:295 |
| | Credit Claim Ref | CCREFCCF0208202239 | CCREFCCF0208202239 | CCREFCCF0208202239 |
| | Changing Interest Rate Indicator | true | true | true |
| | Contract Number | CCCCF0208202239 | CCCCF0208202239 | CCCCF0208202239 |
| | Eurosystem CreditClaim ID | FRISAE224273494 | FRISAE224Z73494 | FRISAE224273494 |
| | End Date | 07/08/2022 | 07/08/2022 | 07/08/2022 |
| | Interest Rate Type | VAR | VAR | VAR |
| | Outstanding Amount | 5,000,000 | 5,000,000 | 5,000,000 |
| | Set Off Risk Indicator | N | N | N |
| | Subordination | false | false | false |
| | Agent Bank | CREDIT | CREDIT | CREDIT |
| | Black Listed | No | No | No |
| | Counterparty | 84 | 84 | 84 |
| | Cap Indicator | true | true | true |
| | Changing Interest Rate Indicator Date | 05/08/2022 | 05/08/2022 | 05/08/2022 |
| | | | | |

| Credit Claim A | Asset – History Screen |
|----------------------------------|--|
| Field | Description |
| Eurosystem Credit Claim ID | Eurosystem reference given by the ECMS |
| Credit Claim Reference | Reference given by the Counterparty |
| Counterparty | RIAD code of the Counterparty |
| Creditor | RIAD code of the Creditor |
| Guarantee ref | Reference of the guarantee |
| Credit Claim | Possible Values: |
| status | - Registered |
| | - Mobilised |
| | - Demobilised |
| | - Blocked For NCB |
| Credit Claim | Displays the Type of Credit Claim. |
| Туре | Possible values |
| | - CC |
| | - ACC |
| Eligibility | Possible Values: |
| Status | - Eligible |
| | - Not Eligible |
| Outstanding Amount | Displays the Outstanding Amount |
| Currency | EUR |



| End Date | Displays the end date |
|--------------------|---|
| | Format: DD/MM/YYYY |
| Black Listed | Yes or No |
| Update Date | Displays the update date of the credit claim asset |
| | Format: DD/MM/YYYY hh:mm:ss:sss |
| Updater User Id | Displays the updater user id of the asset |
| Button | Description |
| Compare | Shows the differences between the selected records whose data have been updated. |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected Credit Claim Asset. |
| Show Differ- | Shows only the fields whose information have been updated since the |

3.4.5.1.4 **Guarantee**

3.4.5.1.4.1 Guarantee - Search Screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the Guarantees. |
|-----------------------|--|
| Business case related | Search/List/View/History Guarantees |
| Screen Access | Collateral >> Credit Claims >> Guarantee |
| Screenshot | Search Criteria : Guarantee Guarantee Ref V Counterparty V Debtor V Debtor V Debtor V Creation Date V Creation Date V Creation Date V Creation Date V Creation Q Sourch |
| | |

| Guarantees - S | Search Screen |
|-------------------------|--|
| Field | Description |
| Guarantee Ref | Enter/Select the reference given by the counterparty for the guarantee. |
| Counterparty Identifier | Enter/Select the RIAD Code of the Counterparty. |
| Debtor Ref | Enter/Select the reference given by the Counterparty for the Obligor as a Debtor |
| Guarantor Ref | Enter/Select the reference given by the Counterparty for the Obligor as a Guarantor. |
| Approval status | Select the status of the guarantee from the possible values: |
| | Approval required |
| | - Approved |
| | - Not approved |
| Creation Date | Enter the reference date of the creation of the guarantee. The calendar icon can also be used. |



| | Required format is: DD/MM/YYYY hh:mm:ss:sss |
|--------|--|
| Button | Function |
| Reset | This function enables you to clear the form. |
| Create | This function enables you to create manually a guarantee. |
| | Next screen: |
| | Guarantees - CreateScreen. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | - Guarantees - List Screen. |

3.4.5.1.4.1. Guarantee – List Screen

| Context of Usage | | | | | e Guar | | | | | | | ecting |
|-----------------------|--|--|---|---|---|------|--|--|---|---|--|---|
| Business case related | Searc | h/List | /View | Guara | antees | | | | | | | |
| Screen Access | Collat ton | eral > | > Cre | dit Cla | aims >> | Guar | antee | e >> Cl | ick on | the S | earch | but- |
| Screenshot | Search Result: 10 Gausantee Ref F1900001 F19000071 F19000074 F19000077 F19000070 GREF-CCA9000220 GREF-CCF0001020 GREF-CCF001020 GREF-CCF0010202 GREF-CCF00100202 GREF-CCF00100202 | Counterparty • 1 41 37 37 41 84 84 84 84 | Debtor • 38 41 38 38 9406410 9406410 9406410 9406410 9406410 | Guarantor 9 37 37 37 37 37 39 9406433 9406433 9406433 9406433 9406433 | Approved Approved Approved Approved Approved Approved Required Approved Approved Approved Approved Approved Approved Approved | | Currency • • • • • • • • • • • • • • • • • • • | Validity Start Date. 13/99/2021 12/94/2022 12/94/2022 21/01/2022 99/08/2022 02/08/2022 02/08/2022 03/08/2022 03/08/2022 | No End Date \$ Yes Yes Yes No No No No No No No No No | Volumeted Amount No No Yes No | Q, 40 ★ Update Date € 04/02/2021 12:04. 12/04/2022 16:28.3. 12/04/2022 16:324. 21/01/2022 16:46.1. 09/08/2022 11:15:1. 09/08/2022 11:55.2. 02/08/2022 18:15.3. 02/08/2022 18:15.3. 02/08/2022 18:15.3. | ECMS OPERATOR 1 ECMS OPERATOR 1 STP ISAEFRAZA01 ISAEFRAZA01 ECMS OPERATOR 1 ECMS OPERATOR 1 ECMS OPERATOR 1 |

| Guarantee – I | List Screen |
|---------------------|---|
| Field | Description |
| Guarantee Ref | Shows the reference given by the counterparty for the guarantee. |
| Counterparty | Shows the RIAD Code of the Counterparty. |
| Debtor | Shows the reference given by the Counterparty for the Obligor as a Debtor |
| Guarantor | Shows the reference given by the Counterparty for the Obligor as a Guarantor. |
| Approval | Shows the status of the guarantee from the possible values: |
| status | Approval required |
| | - Approved |
| | Not approved |
| Guarantee Amount | Shows the amount of the guarantee. |
| Validity Start | Shows the date from when the guarantee is active. |
| Date | Displayed format is: DD/MM/YYYY |



| No end date | Shows whether the guarantee is unlimited in time or not from the possible values: |
|--------------------------|---|
| | – Y |
| | - N (default value) |
| Unlimited Amount Flag | Shows whether the amount of the guarantee is unlimited or not from the possible values: |
| | – Y |
| | - N (default value) |
| Update Date | Shows the reference date of the last update of the guarantee. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:sss |
| Updater User Id | Shows the user identifier who has done the last update of the guarantee |
| Button | Function |
| | |
| View | This function enables you to access to the detailed information of a guarantee. |
| View | |
| View | guarantee. |
| View | guarantee. Next screen: |
| | guarantee. Next screen: - Guarantee - Details Screen. This function enables you to access to the historical information of a |
| | guarantee. Next screen: — Guarantee - Details Screen. This function enables you to access to the historical information of a guarantee. |
| | guarantee. Next screen: — Guarantee - Details Screen. This function enables you to access to the historical information of a guarantee. Next screen: |
| History | guarantee. Next screen: — Guarantee - Details Screen. This function enables you to access to the historical information of a guarantee. Next screen: — Guarantee - History Screen. |
| History | guarantee. Next screen: — Guarantee - Details Screen. This function enables you to access to the historical information of a guarantee. Next screen: — Guarantee - History Screen. This function enables you to update the data of a guarantee. |

3.4.5.1.4.1. Guarantee – Details Screen

2

| Context of Usage | This screen dis | splays detailed informati | on on the selected G | uarantee. |
|--------------------------|---|---|--------------------------------|---------------|
| Business Case related | | | | |
| Screen Ac- cess | 0 0 0 0 | Credit Claims >> Guaran a Guarantee >> Click on | | Search but- |
| Screenshot | Search Result : Guarantee > View : Guara Guarantee Ref FR9X0001 | Counterparty FR80007 Guarantor 37 | Currency EUR Guarantee Amount | 1,513,500,000 |
| | Validity Start Date 13/09/2021 Unlimited Amount No | Validity End Date 16/09/2022 Approval Status Approved | No End Date Yes Comment | |
| | FootPrint | | | |

| Guarantee – Details Screen | | | | | | | |
|----------------------------|--|--|--|--|--|--|--|
| Field | Description | | | | | | |
| Guarantee Ref | Shows the reference given by the counterparty for the guarantee. | | | | | | |



| Counterparty Identifier | Shows the RIAD Code of the Counterparty. |
|-------------------------|---|
| Debtor | Shows the national identifier of the debtor given by the Counterparty for the Obligor as a Debtor |
| Guarantor | Shows the national identifier of the debtor given by the Counterparty for the Obligor as a Guarantor. |
| Guarantee Amount | Shows the amount of the guarantee. |
| Currency | Shows the currency of the guarantee amount. |
| Validity End date | Shows the date until when the guarantee is active. The calendar icon can also be used. |
| | Displayed format is: DD/MM/YYYY |
| Validity End date | Shows the date until when the guarantee is active. The calendar icon can also be used. |
| | Displayed format is: DD/MM/YYYY |
| No end date | Shows whether the guarantee is unlimited in time or not from the possible values: |
| | – Y |
| | - N |
| Unlimited Amount | Shows whether the amount of the guarantee is unlimited or not from the possible values: |
| | – Y |
| | - N |
| Approval | Shows the status of the guarantee from the possible values: |
| status | Approval required |
| | - Approved |
| | - Not approved |
| Comment | Shows an optional free comment about the guarantee. |
| Foot Print | |
| Creation Date | Shows the date/time of the creation of the guarantee. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss |
| Creator User Id | Shows the identification of the user that created the Guarantee. |
| Update Date | Shows the date/time of the last update of the guarantee. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss |
| Updater User Id | Shows the identification of the user that made the last update of the guarantee. |

3.4.5.1.4.1. Guarantee - History Screen

3

Context of Usage

This screen contains the historical data of a Guarantee, displayed in a list which is sorted by the values of the 'Update Date' column in descending order (default setting).

Business case related

Screen AcCollateral >> Credit Claims >> Guarantee >> Click on the Search button >> Select a Guarantee >> Click on the History button



| Screenshot | horizontalHistoryResult : Guaran | itee History | | | | | | | | | | | | |
|--------------|----------------------------------|--|------------------------------------|------------------------------------|------------------------------------|--|--|--|--|--|--|--|--|--|
| 001001101101 | | Q. • 🗖 📞 Stow Differences Drify Expand All Compare | | | | | | | | | | | | |
| | Fields | FR9X0044 2022-04-12 16-28:34.520 4 | FR9X0044 2022-04-12 16:05:31:093 3 | FR9X0044 2022-04-12 14:21:17:950 2 | FR9X0044 2022-04-12 11:47:53.062 1 | | | | | | | | | |
| | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | |
| | Approval Status | Not Approved | Not Approved | Not Approved | | | | | | | | | | |
| | Guarantee Amount | 558 | 45 | 45 | 45 | | | | | | | | | |
| | Guarantor | 37 | IENCB | 9405946 | 9405946 | | | | | | | | | |
| | Creation Date | 12/04/2022 16:28:34:520 | 12/04/2022 16:05:31:093 | 12/04/2022 14:21:17:950 | 12/04/2022 11:47:53:062 | | | | | | | | | |
| | Guarantee Ref | FR9X0044 | FR9X0044 | FR9X0044 | FR9X0044 | | | | | | | | | |
| | Is Active | Yes | Yes | Yes | Yes | | | | | | | | | |
| | Is Rejected | No | No | No | No | | | | | | | | | |
| | Action To Validate | | | | | | | | | | | | | |
| | Validity Start Date | 12/04/2022 | 12/04/2022 | 12/04/2022 | 12/04/2022 | | | | | | | | | |
| | Being Deactivated | No | No | No | No | | | | | | | | | |
| | Counterparty | 37 | 37 | 37 | 37 | | | | | | | | | |
| | Comment | Test DDF | Test DDF | Test DDF | Test DDF | | | | | | | | | |
| | Currency | USD | USD | USD | USD | | | | | | | | | |
| | Deactivated Permanently | No | No | No | No | | | | | | | | | |
| | Debtor | 41 | 41 | 41 | 41 | | | | | | | | | |
| | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | |

| Guarantee - H | History Screen | | | | | | | |
|--------------------------|---|--|--|--|--|--|--|--|
| Field | Description | | | | | | | |
| Guarantee Ref | Shows the reference given by the counterparty for the guarantee. | | | | | | | |
| Counterparty Identifier | Shows the RIAD Code of the Counterparty. | | | | | | | |
| Debtor | Shows the national identifier given by the Counterparty for the Obligor as a Debtor. | | | | | | | |
| Guarantor | Shows the national identifier given by the Counterparty for the Obligor as a Guarantor. | | | | | | | |
| Comment | Shows an optional free comment about the guarantee. | | | | | | | |
| Guarantee Amount | Shows the amount of the guarantee. | | | | | | | |
| Unlimited Amount Flag | Shows whether the amount of the guarantee is unlimited or not from the possible values: — Y — N | | | | | | | |
| Currency | Shows the currency of the guarantee amount. | | | | | | | |
| Validity Start | Shows the date from when the guarantee is active. | | | | | | | |
| Date | Displayed format is: DD/MM/YYYY | | | | | | | |
| Validity End | Shows the date until when the guarantee is active. | | | | | | | |
| date | Displayed format is: DD/MM/YYYY | | | | | | | |
| No end date flag | Shows whether the guarantee is unlimited in time or not from the possible values: - Y - N | | | | | | | |
| Approval | Shows the status of the guarantee from the possible values: | | | | | | | |
| status | Approval required | | | | | | | |
| | - Approved | | | | | | | |
| | Not approved | | | | | | | |
| Creation Date | Shows the reference date of the creation of the guarantee. | | | | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss | | | | | | | |
| Creator User Id | Shows the identification of the user that created the Guarantee. | | | | | | | |



| Update Date | Shows the date/time of the last update of the guarantee. |
|----------------------------|--|
| | Displayed format is: DD/MM/YYYY hh:mm:ss |
| Updater User Id | Shows the identification of the user that made the last update of the guarantee. |
| Button | Description |
| Compare | Shows the differences between the selected records whose data have been updated. |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected Guarantee. |
| Show Differ- ences Only | Shows only the fields whose information have been updated since the creation of the selected Guarantee. |

3.4.5.1.5 Credit Claim Instructions

3.4.5.1.5.1 Credit Claims Instruction – Search Screen

| Context of Us- age | This screen is used to search and monitor the manually entered credit claim instructions and the received ones by A2A mode with registration instruction(s), update instruction(s), outstanding amount update instruction(s) in ECMS |
|-----------------------|--|
| Screen Access | Collateral >> Credit Claims >> Credit Claim Instruction >> Display Credit Claim Instruction |
| Screenshot | Search Criteria: Credit Claim Instruction ECMS Internal == ▼ Instruction Reference == ▼ Credit Claim Ref == ▼ Deference Credit or == ▼ Debtor == ▼ Instruction Status == ▼ Operation Type == ▼ Business Status == ▼ Credit Claim Ref == ▼ Credit or == ▼ Debtor == ▼ Debtor == ▼ Debtor == ▼ Deathor Date == ▼ Deathor Da |

| Credit Claims Ins | struction – Search Screen |
|--------------------------|--|
| Field | Description |
| ECMS Internal Reference | Input the ECMS internal unique reference when the file was created by U2A mode |
| Instruction Reference | Input the instruction reference |
| Credit Claim Ref | Input the credit claims reference |
| Creditor | Input the creditor RIAD Code |
| Debtor | Input the debtor national identifier |
| Operation Type | Input the operation type from the drop down list |
| Business Status | Input the Business Status |
| Creation Date | Input the Creation Date |
| | Format: DD/MM/YYYY hh:mm:ss:sss |
| Action | |
| | |
| | |
| Button | Description |



| Reset | This function enables you to clear the form. | | | |
|--------|--|--|--|--|
| Search | This function enables you to start a search according to the criteria entered. The results are displayed in a list on a screen below. Next screen: | | | |
| | Display Credit Claim Instructions – List Screen | | | |

3.4.5.1.5.1. Credit Claims Instruction – List Screen

| Context of Usage | Th ter Th | This screen contains a list of credit claim instructions. The credit claims instructions listed correspond to the search criteria captured in the credit claims instructions – Search screen. The list displayed can be sorted and filtered by the fields displayed. The list can be exported. | | | | | | | | | | | | | | | | | | | | |
|------------------|-----------------|---|---|--|--------|--|-------------------------------------|---|----------|--------------------------------|--|--|--|---|---|-------------------|---|---------|-------------------------|---|------------------------------|--|
| Screen Access | | | | l >> aim | | | | | ns | >> | Cre | edit | : CI | aim | ı In: | stru | ıcti | on | >> | Dis | pla | ıy |
| Screenshot | 10 | | Rejected CC Waiti CC Waiti Confirme Confirme Rejected | CCInstru ObligorIn ObligorIn ObligorIn | | Credit CL; CCRFR0 | Creditor \$ FR50007 FR50007 FR30007 | Debtor \$ FR20007 | Debtor 🖓 | 37 37 37 37 37 | of 20 Constant FR SIRE | Originati, 10/02/2. 10/02/2. 10/02/2. 10/02/2. 10/02/2. 10/02/2. 10/02/2. 21/03/2. | Operation CCR CCR CCR CCR CCR CCR CCR CCR CCR CC | Governi, FR | Guarant FR9X000 FR9X000 FR9X000 FR9X000 FR9X022 FR9X022 FR9X000 | EUR EUR EUR | Outstan 13,500,0. 13,500,0. 13,500,0. 13,500,0. 13,500,0. 13,500,0. 13,500,0. 18,500,0. 2,600,000 5,870,000 | 03/05/2 | Creation, STP STP | 08/03/2 08/03/2 08/03/2 08/03/2 08/03/2 15/03/2 21/03/2 | Updater STP STP STP | 08/03/2. 08/03/2. 08/03/2. 08/03/2. 08/03/2. 08/03/2. 15/03/2. 21/03/2. |
| | | CC10000 | Rejected | CCInstru. | CCREFO | CCNUMO. | | | | - | | | | | | | | | | 21/03/2 | ECMS O | |

| Credit Claims Ins | Credit Claims Instruction – List Screen | | | | | | |
|---------------------------------|---|--|--|--|--|--|--|
| Field | Description | | | | | | |
| Instruction Reference | Displays the Instruction Reference of the counterparty | | | | | | |
| ECMS Internal Reference | Displays the ECMS unique identifier of the credit claim instruction | | | | | | |
| Business Status | Displays the business status | | | | | | |
| Credit Claim Ref | Displays the reference of the credit claim communicated by the counterparty | | | | | | |
| Credit Claim Contract Number | Displays the reference of the credit claim contract number communicated by the counterparty | | | | | | |
| Creditor | Displays the creditor RIAD Code | | | | | | |
| Debtor | Displays the debtor national identifier | | | | | | |
| Debtor Code Type | Displays the debtor national identifier code type | | | | | | |
| Guarantor | Displays the guarantor national identifier | | | | | | |
| Guarantor Code Type | Displays the guarantor national identifier code type | | | | | | |
| Origination Date | Displays the origination date of the credit claim | | | | | | |
| | Format: DD/MM/YYYY | | | | | | |
| Operation Type | Displays the operation type (CCR/CCU/CCOAU) | | | | | | |
| Governing Law | Displays the governing country code of the credit claim | | | | | | |
| Guarantee Ref | Displays the guarantee reference if existing | | | | | | |
| Currency | EUR | | | | | | |



2

| Outstanding Amount | Outstanding Amount | | | | | |
|-----------------------|---|--|--|--|--|--|
| Maturity Date | Displays the maturity date of the credit claim | | | | | |
| | Format: DD/MM/YYYY | | | | | |
| Creation User Id | The user that has created the instruction | | | | | |
| Creation Date | Creation date of the instruction | | | | | |
| Updater User Id | The user that has updated the instruction | | | | | |
| Update Date | Update date of the instruction | | | | | |
| Action | | | | | | |
| Button | Description | | | | | |
| View | This function enables you to view the details of the selected credit claim instruction. The Details screen is displayed replacing the current screen. | | | | | |
| | Next screen: | | | | | |
| | Credit Claim Instruction – Details Screen | | | | | |
| Excel Export | This function enables you to export the displayed list of the credit claims instruction(s) in an excel file. | | | | | |

3.4.5.1.5.1. Credit Claims Instruction – Details Screen

This screen displays detailed information on the selected received or manually input credit claims instruction. You can check the data and proceed further by clicking on the buttons.

Screen Access

Collateral >> Credit Claims >> Credit Claim Instruction >> Display Credit Claim Instruction >> Click on the Search button (after having input the relevant criteria, if needed) >> Select a credit claims instruction >> Click on the View button

Screenshot

Coredit Claim Instruction >> Click on the View button

Screenshot

Coredit Claim Instruction >> Click on the View button

Coredit Claims Instruction >> Click on the View button

Coredit Claims Instruction >> Click on the View button

Coredit Claims Instruction >> Click on the View button

Coredit Claims Instruction >> Click on the View button

Coredit Claims Instruction >> Click on the View button

Coredit Claims Instruction >> Click on the View button

Coredit Claims Instruction >> Click on the View button

Coredit Claims Instruction >> Click on the View button

Coredit Claims Instruction >> Click on the View button

Coredit Claims Instruction >> Click on the View button

Coredit Claims Instruction >> Click on the View button

Coredit Claims Instruction >> Click on the View button

Coredit Claims Instruction >> Click on the View button

Coredit Claims Instruction >> Click on the View button

Coredit Claims Instruction >> Click on the View button

Coredit Claims Instruction >> Click on the View button

Coredit Claims Instruction >> Click on the View button

Coredit Claims Instruction >> Click on the View button

Coredit Claims Instruction >> Click on the View button

Coredit Claims Instruction >> Click on the View button

Coredit Claims Instruction >> Click on the View button

Coredit Claims Instruction >> Click on the View button

Coredit Claims Instruction >> Click on the View button

Coredit Claims Instruction >> Click on the View button

Coredit Claims Instruction >> Click on the View button

Coredit Claims Instruction | Coredit Claims Instruction | Coredit Clai



| One all Ole in a large | mostice. Details Conserve |
|---|--|
| | ruction – Details Screen |
| Instruction Details | |
| Fied | Description |
| ECMS Internal Reference | Displays the ECMS internal reference of the credit claim registration instruction automatically filled by the system |
| Instruction Reference | Displays the unique reference of the instruction in counterparty side |
| Operation Type | Displays the value "CCR", "CCU" or "CCOAU" |
| Update Date In- | Displays the update date |
| struction | Format: DD/MM/YYYY |
| Credit Claims Deta | ails |
| Fied | Description |
| Credit Claim Reference | Displays the identifier of the credit claim for the Counterparty |
| Credit Claim Contract Number | Displays the credit claim contract number |
| Outstanding Amount | Displays the outstanding amount of the credit claims. |
| Currency | Displays the currency of the Credit Claim. By default EUR. |
| Maturity Date | Displays the maturity date of the credit claim. |
| Origination date | Displays the origination date of the credit claim. |
| Governing Law | Displays the governing country code of the credit claim |
| Comment | Displays the comment |
| Debtor Details | |
| Fied | Description |
| Debtor ID | Displays the RIAD code of the Creditor. |
| Debtor Code Type | Displays the Debtor Code Type. |
| Guarantor Details | , , , , |
| Fied | Description |
| Guarantor ID | Displays the RIAD code of the Guarantor. |
| Guarantor Code Type | Displays the Guarantor Code Type. |
| Guarantee Reference | Displays the Guarantee reference if existing given by the Counterparty. |
| Other Details | <u>, </u> |
| Fied | Description |
| Loan Type | Displays the Type of loan |
| Set-off Risk Indic- | Displays the set-off risk indicator. Y(existence of a set off risk) / N |
| ator | or NA (to be used when not applicable for the NCB) |
| Negative Cashflow | Displays Y or N |
| Subordination | Displays the value Y/N |
| Agent Bank | Displays the Agent bank value |
| Changing Interest Rate Indicator | Displays the value Y/N |
| Changing Interest Rate Indicator Date | Displays the Changing Interest Rate Indicator Date |



| Displays FIX or VAR |
|--|
| Displays the Referenced Eurosystem Index. To be filled in if the Interest RateType is VAR |
| Displays the Reference Index Comment. To be filled if the Reference Index is 'Other'. |
| Displays the value (True or False). To be filled in if the Interest RateType is VAR. |
| Displays the value (True or False). To be filled in if the Interest RateType is VAR. |
| Displays the observed agent identifier of the credit claim |
| Displays the Contract identifier of the credit claim |
| Displays the instrument identifier of the credit claim |
| |
| Shows the identification of the user that made the last update. |
| Shows the date and time of the last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Shows the identification of the user that created the credit claim instruction. |
| Shows the date and time of the credit claim instruction creation. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| |

3.4.5.1.5.2 Credit Claims Mobilisation Instruction – Search Screen

| Context of Us- age | This screen is used to search and monitor the manually entered credit claim mobilisation instructions and the received ones by A2A mode in ECMS | | | | | | | | |
|-----------------------|---|---|-----------------------------|---------------------------|----------|--|--|--|--|
| Screen Access | Collateral >> Crown Mobilisation Inst | | ms >> Credit | Claim Instruction >> D | isplay | | | | |
| Screenshot | Search Criteria : Mobilisation Instruction | | | | ** | | | | |
| | ECMS Internal == ▼ Reference | | nstruction Reference == • | Bill Date == ▼ | | | | | |
| | Client == ▼ | • | Internal Asset == ▼ Account | Q Instruction Status == ▼ | - | | | | |
| | Credit Claim ▼ | Q | Credit Claim Id 🕶 | Creation Date ▼ | | | | | |
| | つ Reset | | | | Q Search | | | | |
| | | | | | | | | | |

| Credit Claims Mobilisation Instruction – Search Screen | | | | |
|--|---|--|--|--|
| Field | Description | | | |
| ECMS Internal Reference | Input the ECMS internal unique reference when the file was created by U2A mode | | | |
| Instruction Reference | Input the instruction reference | | | |
| Counterparty | Input the Counterparty RIAD Code | | | |
| Internal Asset Account | Input the internal asset account on which the mobilisation of credit claims is received | | | |
| Credit Claim Id | Input the ECMS credit claim identifier | | | |
| Business Status | Input the Business Status | | | |
| Instruction Status | Input the Instruction Status | | | |



| Action | |
|--------|--|
| Button | Description |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the criteria entered. The results are displayed in a list on a screen below. Next screen: |
| | Display Credit Claim Mobilisation Instructions – List Screen |

3.4.5.1.5.2. Credit Claims Mobilisation Instruction – List Screen

| Context of Us- age | This screen contains a list of credit claim mobilisation instructions. The credit claims mobilisation instructions listed correspond to the search criteria captured in the credit claims mobilisation instructions – Search screen. The list displayed can be sorted and filtered by the fields displayed. The list can be exported. | | | | | | | | | | | | |
|-----------------------|--|---|---|---|--|---|--|--|-------------|--|--|--------|--|
| Screen Access | Colla | Collateral >> Credit Claims >> Credit Claim Instruction >> Display Mobilisation Instruction | | | | | | | | | | | |
| Screenshot | 10 ▼ ECMS Intern9 MI000000116 MI000000117 MI000000118 MI000000119 MI0000001120 MI000000121 MI000000123 MI000000124 | FRCPTY21133. FRCPTY21133. CCI000000017. CI0000000120 MI000000121 MI0000000123 CMI00000001. MI0000000155 | Business Staft, Rejected Rejected Rejected Confirmed Rejected Confirmed Confirmed Confirmed Confirmed Confirmed | Instruction St. MobRigected MobRigected MobRigected (DE)Mobilisati. MobRigected (DE)Mobilisati. MobRigected (DE)Mobilisati. (DE)Mobilisati. | | Page 1 c memul Asset. ISAEFRPPCC01 CC-FR30007 CC-FR30007 CC-FR30007 CC-FR30007 CC-FR30007 CC-FR30007 | | | Outstanding | No N | Is Reported \$ ' Yes | Q, 172 | STP STP STP ECMS OPERA |

| Credit Claims Mo | obilisation Instruction – List Screen |
|-------------------------|--|
| Field | Description |
| ECMS Internal Reference | Displays the ECMS internal unique reference when the file was created by U2A mode |
| Instruction Reference | Displays the instruction reference |
| Business Status | Displays the Business Status |
| Instruction Status | Displays the Instruction Status |
| Counterparty | Displays the Counterparty RIAD Code |
| Internal Asset Account | Displays the internal asset account on which the mobilisation of credit claims is received |
| Credit Claim Ref | Displays the credit claim reference communicated by the counterparty |
| Credit Claim Id | Displays the ECMS credit claim identifier |
| Outstanding Amount | Displays the outstanding amount value |
| Update Date | Displays the update date of the mobilisation instruction |
| | Format: DD/MM/YYYY hh:mm:ss:sss |



| Updater User Id | Displays the updater user id of the mobilisation instruction | |
|-----------------|--|--|
| Action | | |
| | | |
| | | |
| Button | Description | |
| View | This function enables you to view the details of the selected credit claim mobilisation instruction. The Details screen is displayed replacing the current screen. | |
| | Next screen: | |
| | Credit Claim Mobilisation Instruction – Details Screen | |
| Excel Export | This function enables you to export the displayed list of the credit claims mobilisation instruction(s) in an excel file. | |

3.4.5.1.5.2. Credit Claims Mobilisation Instruction – Details Screen

| Context of Us- age | This screen displays detailed information on the selected received or manually input credit claims mobilisation instruction. You can check the data and proceed further by clicking on the buttons. | | | | | | |
|-----------------------|---|---|--|------------|--|--|--|
| Screen Access | Mobilisation In input the relev | Credit Claims >> Credinstruction >> Click on the criteria, if needed) | he <i>Search</i> button (afto >> Select a credit cla | er having | | | |
| Screenshot | Search Result : Mobilisation Instruction > ECMS Internal Reference | Operation Type | Instruction Reference | 2 2 | | | |
| | Internal Asset Account Trans Fees Amount FootPrint | MoG Credit Claim FREPT/221046403 Business Status Rejected | FROPTY11358542 Outstanding Amount | 13,500,000 | | | |
| | | | | | | | |

| Credit Claims Mok | Credit Claims Mobilisation Instruction – Details Screen | | | | | |
|--------------------------|--|--|--|--|--|--|
| Instruction Details | Instruction Details | | | | | |
| Fied | Description | | | | | |
| ECMS Internal Reference | Displays the ECMS internal reference of the credit claim mobilisation instruction automatically filled by the system | | | | | |
| Instruction Reference | Displays the unique reference of the instruction in counterparty side | | | | | |
| Operation Type | Displays the value "MOB" | | | | | |
| Internal Asset Account | Displays the internal asset account | | | | | |
| Credit Claim Id | Displays the ECMS credit claim identifier | | | | | |
| Outstanding Amount | Displays the outstanding amount value | | | | | |
| Business Status | Displays the business status | | | | | |
| Footprint | | | | | | |
| Updater User Id | Shows the identification of the user that made the last update. | | | | | |



| Update Date | Shows the date and time of the last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
|------------------|--|
| Creation User Id | Shows the identification of the user that created the mobilisation instruction. |
| Creation Date | Shows the date and time of the mobilisation instruction creation. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |

3.4.5.1.5.3 Credit Claims Demobilisation Instruction – Search Screen

| Context of Us- age | This screen is used to search and monitor the manually entered credit claim demobilisation instructions and the received ones by A2A mode in ECMS | | | | | | | |
|-----------------------|---|---|--|-------------|---|----------|--|--|
| Screen Access | Collateral >> Cred Demobilisation In | | | t Claim Ins | struction >> [| Display | | |
| Screenshot | Search Criteria : Demobilisation Instruction ECMS Internal ** Reference Internal Asset ** Account Creation Date ** Creation Date ** ** ** ** ** ** ** ** ** * | Q | Instruction Reference ▼ Credit Claim == ▼ Instruction Status ▼ | Q. | Business Status Credit Claim Id == - Credit Claim Id == - | Q Search | | |

| Credit Claims De | mobilisation Instruction – Search Screen |
|-------------------------|--|
| Field | Description |
| ECMS Internal Reference | Input the ECMS internal unique reference when the file was created by U2A mode |
| Instruction Reference | Input the instruction reference |
| Counterparty | Input the Counterparty RIAD Code |
| Internal Asset Account | Input the internal asset account on which the demobilisation of credit claims is received |
| Credit Claim Id | Input the ECMS credit claim identifier |
| Business Status | Input the Business Status |
| Instruction Status | Input the Instruction Status |
| Action | |
| Button | Description |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the criteria entered. The results are displayed in a list on a screen below. Next screen: |
| | Display Credit Claim Demobilisation Instructions – List Screen |

3.4.5.1.5.3. Credit Claims Demobilisation Instruction – List Screen

| Context of Us- | This screen contains a list of credit claim demobilisation instruc- |
|----------------|---|
| age | tions. |



| | the s struc | searc ctions | ch cri s – S lispla | iteria Searc ayed | car can | nobilis otured creen. be so ed. | in th | ie cr | edit | clain | ns de | emob | ilisat | tion i | n- |
|---------------|---|---|--|--|--|---|--|--|---|--|--|---|--------|--------|--|
| Screen Access | | atera nobili | | | | laims ction | >> C | cred | it Cla | aim I | nstru | iction | >> ן | Disp | lay |
| Screenshot | Search Res 10 ▼ ECMS Intens. DMI0000000. DMI0000000. DMI0000000. DMI0000000. DMI0000000. DMI0000000. DMI0000000. DMI00000000. DMI00000000. | Instruction RC testimal TESTOI AAAA TESTTRINSFRO. TESTINERNA. TESTITRISFROP TESTRINSFRSP TESTRINSFRSP TESTRINSFRSP TESTRINSFRSP TESTRINSFRSP TESTRINSFRSP | Business Stat. Confirmed | Instruction SL. MobConfirmed | Client ◆ FR50007 FR50007 FR50007 FR50007 FR50007 FR50007 FR50007 FR50007 FR50007 | Internal Assetz CPYSFRACC02 CPYSFRACC02 CPYSFRACC02 CPYSFRACC02 CPYSFRACC02 CPYSFRACC02 CPYSFRACC03 CPYSFRACC03 CPYSFRACC03 CPYSFRACC03 | Page 1 of Oxfostanding 77 1 13500,000 11,500 | Amount • 7 13,500,000 13,500,000 13,500,000 13,500,000 13,500,000 13,500,000 | Credit Claim \$ CCRX610 CCRX611 CCRX611 CCRX612 CCRX637 CCRX638 CCRX638 CCRX638 CCRX638 CCRX644 | Credit Claim I.7 FRCPTY21452. FRCPTY2192. FRCPTY2192. FRCPTY21368. FRCPTY21368. FRCPTY21365. FRCPTY21365. FRCPTY21365. FRCPTY21365. FRCPTY21365. | Yes Yes Yes Yes Yes Yes Yes Yos No Yes | Ves | | Q, 21 | Updater User's ECMS OPERAT. |

| | mobilisation Instruction – List Screen |
|-------------------------|--|
| Field | Description |
| ECMS Internal Reference | Displays the ECMS internal unique reference when the file was created by U2A mode |
| Instruction Reference | Displays the instruction reference |
| Business Status | Displays the Business Status |
| Instruction Status | Displays the Instruction Status |
| Counterparty | Displays the Counterparty RIAD Code |
| Internal Asset Account | Displays the internal asset account on which the demobilisation of credit claims is received |
| Credit Claim Ref | Displays the credit claim reference communicated by the counterparty |
| Credit Claim Id | Displays the ECMS credit claim identifier |
| Outstanding Amount | Displays the outstanding amount value |
| Update Date | Displays the update date of the demobilisation instruction |
| | Format: DD/MM/YYYY hh:mm:ss:sss |
| Updater User Id | Displays the updater user id of the demobilisation instruction |
| Action | |
| Button | Description |
| View | This function enables you to view the details of the selected credit claim demobilisation instruction. The Details screen is displayed replacing the current screen. |
| | Next screen: |
| | Credit Claim Demobilisation Instruction – Details Screen |
| Excel Export | This function enables you to export the displayed list of the credit claims demobilisation instruction(s) in an excel file. |



3.4.5.1.5.3. Credit Claims Demobilisation Instruction – Details Screen

| Credit Claims Der | nobilisation Instruction – Details Screen |
|--------------------------|--|
| Instruction Details | S |
| Fied | Description |
| ECMS Internal Reference | Displays the ECMS internal reference of the credit claim demobilisation instruction automatically filled by the system |
| Instruction Reference | Displays the unique reference of the instruction in counterparty side |
| Operation Type | Displays the value "DEMOB" |
| Internal Asset Account | Displays the internal asset account |
| Credit Claim Id | Displays the ECMS credit claim identifier |
| Outstanding Amount | Displays the outstanding amount value |
| Business Status | Displays the business status |
| Footprint | |
| Updater User Id | Shows the identification of the user that made the last update. |
| Update Date | Shows the date and time of the last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the demobilisation instruction |
| Creation Date | Shows the date and time of the demobilisation creation. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |

3.4.5.1.5.4 Credit Rating Instruction – Search Screen

| Context of Us- age | This screen is used to search and monitor the manually entered credit rating instructions and the received ones by A2A mode in ECMS |
|-----------------------|---|
| Screen Access | Collateral >> Credit Claims >> Credit Claim Instruction >> Display Rating Instruction |





| Credit Rating Ins | truction – Search Screen | | | | | | | |
|--|--|--|--|--|--|--|--|--|
| Field | Description | | | | | | | |
| ECMS Internal Reference | Input the ECMS internal unique reference when the file was created by U2A mode | | | | | | | |
| Credit Assess- ment System Code | Input the credit assessment system code "IRB" or "RT" | | | | | | | |
| Instruction Reference | Input the instruction reference | | | | | | | |
| Rating Date | Input the rating date | | | | | | | |
| | Format: DD/MM/YYYY | | | | | | | |
| Rating Type Input the rating type from the drop down list: "IRB" or "RT" | | | | | | | | |
| Rating Validity | Input the rating validity date | | | | | | | |
| Date | Format: DD/MM/YYYY | | | | | | | |
| Operation Type | Input the operation type from the drop down list: "RR" or "RU" | | | | | | | |
| Debtor | Input the debtor national identifier from the drop down list | | | | | | | |
| Creation Date | Input the Creation Date | | | | | | | |
| | Format: DD/MM/YYYY hh:mm:ss:sss | | | | | | | |
| Action | | | | | | | | |
| Button | Description | | | | | | | |
| Reset | This function enables you to clear the form. | | | | | | | |
| Search | This function enables you to start a search according to the criteria entered. The results are displayed in a list on a screen below. Next screen: | | | | | | | |
| | Display Credit Claim Rating Instructions – List Screen | | | | | | | |

3.4.5.1.5.4. Credit Rating Instruction – List Screen

| • | |
|----------------|---|
| Context of Us- | This screen contains a list of credit rating instructions. |
| age | The credit rating instructions listed correspond to the search criteria captured in the credit rating instructions – Search screen. |
| | The list displayed can be sorted and filtered by the fields displayed. |
| | The list can be exported. |
| Screen Access | Collateral >> Credit Claims >> Credit Claim Instruction >> Display Rating Instruction |



| Screenshot | Search F | Result : Rati | ng Instructi | on | | | | | | | | | | | | | | | ^ |
|------------|------------|---------------|--------------|------------|------------|-----------|------------|------------|------------|----------|-----------|-------------|-----------|-----------|------------|------------|-------------|-----------|-----------|
| Screenshot | 10 🔻 | | | | | | | K < 1 | Page 1 of | K < 8 | | | | | | | Q n | * Ø E | 3 () P |
| | ECMS Inte, | Credit Ass | Default Pr | Instructio | Rating Da | Rating Ty | Rating Val | Business 🖫 | Instructio | Debtor | Debtor Co | Guarantor # | Guarantor | Operation | Is Reporte | Credit Ass | comment # | Update Da | Updater U |
| | RI0000000. | FR10007 | 0.566655 | RI0000000 | 25/02/202 | IRB | 10/03/202 | Confirmed | Confirmed | FR20007 | FR_SIREN | | | RR | Yes | 37 | | 25/02/202 | ECMS OPE |
| | R10000000. | FR10007 | 0.566656 | R10000000 | 28/02/202_ | IRB | 23/03/202 | Confirmed | Confirmed | FR20007 | FR_SIREN | | | RR | Yes | 37 | | 25/02/202 | ECMS OPE |
| | R10000000 | . IRB | 0.566656 | R10000000 | 28/02/202 | IRB | 17/03/202 | Confirmed | Confirmed | FR50007 | FR_SIREN | | | RR | Yes | 41 | | 25/02/202 | ECMS OPE |
| | R10000000. | FR18129 | 0.157 | FR30007T | 07/06/202 | IRB | 31/12/202 | Rejected | RIRejected | FR585750 | FR_SIREN | | FR_SIREN | RR | Yes | | | 07/06/202 | STP |
| | R10000000 | FR18129 | 0.157 | FR30007-R | 07/06/202 | IRB | 31/12/202 | Rejected | RIRejected | FR585750 | FR_SIREN | | FR_SIREN | RR | Yes | | | 07/05/202 | STP |
| | R10000000 | IRB-FR181 | 0.157 | FR30007-R | 07/06/202 | IRB | 31/12/202 | Confirmed | Confirmed | FR585750 | FR_SIREN | | FR_SIREN | RR | Yes | 84 | | 07/06/202 | STP |
| | R10000000. | IRB-FR181 | 0.157 | FR30007-R | 08/06/202 | IRB | 31/12/202 | Confirmed | Confirmed | FR585750 | FR_SIREN | | FR_SIREN | RR | Yes | 84 | | 08/06/202 | STP |
| | R10000000 | IRB-FR181 | 0.157 | FR30007-R | 10/06/202 | IRB | 31/12/202 | Rejected | RIRejected | | FR_SIREN | | FR_SIREN | RR | Yes | 84 | Obligor Ine | 10/06/202 | STP |
| | RI0000000. | IRB-FR181 | 0.157 | FR30007-R | 10/06/202 | IRB | 31/12/202 | Rejected | RIRejected | | FR_SIREN | | FR_SIREN | RR | Yes | 84 | Obligor Ine | 10/06/202 | STP |
| | R10000000. | FR18129 | 0.157 | FR30007-H | 07/06/202 | IRB | 31/12/202 | | | FR585750 | FR_SIREN | | FR_SIREN | RR | No | | | 13/06/202 | STP |
| | | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | |

| Credit Rating Ins | truction – List Screen | | | | | | |
|---------------------------------------|--|--|--|--|--|--|--|
| Field | Description | | | | | | |
| ECMS Internal Reference | Displays the ECMS unique identifier of the credit claim instruction | | | | | | |
| Credit Assess- ment System Code | Displays the credit assessment system code: "IRB" or "RT" | | | | | | |
| Default of Probability | Displays the default of probability value | | | | | | |
| Instruction Reference | Displays the Instruction Reference of the counterparty | | | | | | |
| Rating Date | Displays the rating date | | | | | | |
| | Format : DD/MM/YYYY | | | | | | |
| Rating Type | Displays the rating type: "IRB" or "RT" | | | | | | |
| Rating Validity | Displays the rating validity date | | | | | | |
| Date | Format : DD/MM/YYYY | | | | | | |
| Business Status | Displays the business status | | | | | | |
| Instruction Status | Displays the instruction status | | | | | | |
| Debtor | Displays the debtor national identifier | | | | | | |
| Debtor Code Type | Displays the debtor code type | | | | | | |
| Guarantor | Displays the guarantor national identifier | | | | | | |
| Guarantor Code Type | Displays the guarantor code type | | | | | | |
| Operation Type | Displays the operation type: "RR" or "RU" | | | | | | |
| Updater User Id | The user that has updated the instruction | | | | | | |
| Update Date | Update date of the instruction | | | | | | |
| Action | | | | | | | |
| Button | Description | | | | | | |
| View | This function enables you to view the details of the selected credit rating instruction. The Details screen is displayed replacing the current screen. | | | | | | |
| | Next screen: | | | | | | |
| | Credit Rating Instruction – Details Screen | | | | | | |
| Excel Export | This function enables you to export the displayed list of the credit rating instruction(s) in an excel file. | | | | | | |



2

3.4.5.1.5.4. Credit Rating Instruction – Details Screen

This screen displays detailed information on the selected received or manually input credit rating instruction. You can check the data and proceed further by clicking on the buttons.

Screen Access

Collateral >> Credit Claims >> Credit Claim Instruction >> Display Rating Instruction >> Click on the Search button (after having input the relevant criteria, if needed) >> Select a credit rating instruction >> Click on the View button

Screenshot

Screenshot

| Credit Rating Instr | ruction – Details Screen | | | | | | |
|--|--|--|--|--|--|--|--|
| Obligor | | | | | | | |
| Fied | Description | | | | | | |
| Debtor | Displays the debtor national identifier of the debtor | | | | | | |
| Guarantor Displays the debtor national identifier of the guarantor | | | | | | | |
| Fied | Description | | | | | | |
| ECMS Internal Reference | Displays the ECMS internal reference of the credit claim registration instruction automatically filled by the system | | | | | | |
| Instruction Reference | Displays the unique reference of the instruction in counterparty side | | | | | | |
| Operation Type | Displays the value "RR" or "RU". | | | | | | |
| Rating Date | Displays the rating date | | | | | | |
| | Format: DD/MM/YYYY | | | | | | |
| Rating Validity | Displays the rating validity date | | | | | | |
| Date | Format: DD/MM/YYYY | | | | | | |
| Rating Type | Displays the rating type "IRB" or "RT" | | | | | | |
| Credit Assessment System Code | Displays the credit assessment system code | | | | | | |
| Default of Probability | Displays the default of probability value | | | | | | |
| Instruction Status | | | | | | | |
| Fied | Description | | | | | | |
| Instruction Status | Displays the instruction status | | | | | | |
| Business Status | Displays the business status | | | | | | |
| Comment | Displays the comment | | | | | | |
| Business Valida- tion Errors | Displays the business validation errors | | | | | | |



| Footprint | |
|------------------|---|
| Updater User Id | Shows the identification of the user that made the last update. |
| Update Date | Shows the date and time of the last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the credit claim rating instruction. |
| Creation Date | Shows the date and time of the credit claim rating instruction creation. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |

3.4.5.2 Credit Claims Positions

3.4.5.2.1 Credit Claim Position – Search Screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for one or several credit claims position. | | | |
|------------------|--|---|--|--|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. | | | |
| Screen Access | Pool Overview >> Position | ons >> Display Credit C | Claim Position | |
| Screenshot | Search Criteria: Credit Claim Position Pool to ▼▼ Position Date ▼▼ Commony ▼▼ Commony ▼▼ Common Date ▼▼ | Counterparty •• • Credit Claim ID •• • Pasition Status •• • | ECMS Counterpany Asset. ** * Accorded Last Movement (D ** * Prosidion Husture ** * | |

| Credit Claim Position – Search Screen | | | |
|---------------------------------------|---|--|--|
| Search Criter | ia | | |
| Field | Description | | |
| Pool Identifier | Enter the Pool Identifier | | |
| | Required format is: Max. XX characters. | | |
| Counterparty | Enter the RIAD code of the Counterparty. | | |
| | Required format is: Max. XX characters. | | |
| | Enter the ECMS Counterparty Asset Account Id | | |
| terparty As- set Account Id | Required format is: Max. XX characters. | | |
| Position Date | Enter the settlement date of the last Credit Claim Instruction that updates the position. | | |
| | Format: DD/MM/YYYY | | |
| Credit Claim | Enter the Credit Claim ID | | |
| ID | Required format is: Max. XX characters. | | |
| Last Move- | Enter the Last Movement ID | | |
| ment ID | Required format is: Max. XX characters. | | |
| Currency | Enter / Select the Currency | | |
| | Required format is: Max. 3 characters. | | |



| Enter the Status of the Position. |
|--|
| Possible values: |
| - Settled |
| - Instructed |
| - Cancelled |
| Required format is: Max. XX characters. |
| Enter / Select "Initiation" for mobilisation or "Return" for demobilisation |
| Required format is: Max. XX characters. |
| Enter the Creation date of the position |
| Format: DD/MM/YYYY hh:mm:ss:sss |
| |
| Function |
| This function enables you to clear the form. |
| This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| Next screen: |
| Credit Claims Position – List Screen. |
| |

3.4.5.2.1.1 Credit Claim Position - List Screen

| Context of Usage | | | | nding to | | | | |
|------------------|--|--|--|--|--|--|--|--|
| | The list is disp sorted and filte ted. | • | | | | | | |
| Screen Access | Pool Overview on the search needed) | | | - | | | | |
| Screenshot | Search Result : Credit Claim Position | DAC. Pool 18 © Dozszanomy Amdo. PROCUSSISSIO. 1800.000 PROCUSSISSIO. 1800.00 | EUR CUR EUR EUR EUR EUR | 0 10,000,000 0 10,000,000 0 10,000,000 0 25,000,000 0 10,000,000 0 10,000,000 | Initiation Settled Initiation Settled Initiation Settled Initiation Settled Initiation Settled Initiation Settled Initiation Settled | 19/09/2003 19/09/2003 19/09/2003 14/09/2003 14/09/2003 19/09/2003 19/09/2003 | 31/12/9999 14/0 31/12/9999 14/0 31/12/9999 14/0 31/12/9999 14/0 31/12/9999 14/0 31/12/9999 14/0 | Q 194 ★ □ □ () ♥ □ () ♥ 195 with blue 5 * □ Update User 16 \$** 77/2022 2101 SAEFFRAJON 17/2022 SAEFFRAJON 17/2022 SAEFFRAJON 17/2022 SAEFFRAJON 17/2022 SAEFFRAJON 17/2022 SAEFFRAJON 17/2022 SAEFFRAJON 17/202 SAEFFRAJON 17 |
| | | | | | Initiation Settled | 14/03/2023 | 31/12/9999 14/0 | 7/2023 21:01: ISAEFRA2A01 |

| Credit Claim Position – List screen | | |
|-------------------------------------|--|--|
| Content of the | elist | |
| Field | Description | |
| Last Move- | Shows the Last Movement Identifier | |
| ment ID | Displayed format is: Max. XX characters | |
| Credit Claim | Shows the Credit Claim Asset Identifier | |
| ID | Displayed format is: Max. XX characters | |
| Counterparty | Shows the Counterparty RIAD Code | |
| RIAD Code | Displayed format is: Max. XX characters | |
| Pool Id | Shows the Pool identifier impacted by credit claims position | |
| | Displayed format is: Max. XX characters | |

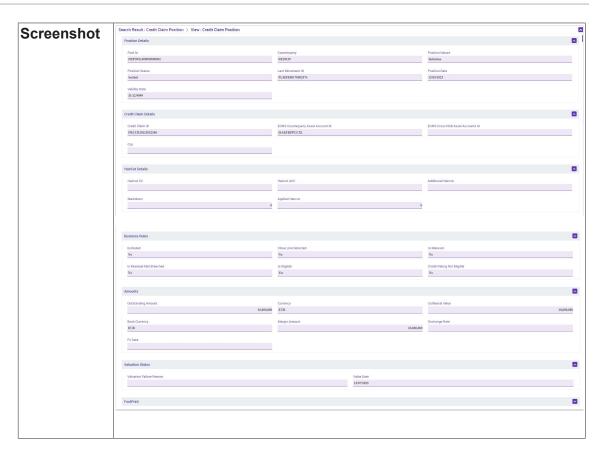


| Outstanding | Shows the Outstanding Amount |
|--------------------|--|
| Amount | Displayed format is: Max. XX characters |
| Currency | Shows the Currency |
| | Displayed format is: Max. 3 characters |
| Exchange | Shows the Exchange Rate |
| Rate | Displayed format is: Max. XX characters |
| Applied Hair- | Shows the Applied Haircut value |
| cut | Displayed format is: Max. XX characters |
| Collateral | Shows the Collateral Amount value of the credit claim after haircut |
| Value | Displayed format is: Max. XX characters |
| Position Nature | Shows "Initiation" for the mobilised credit claims or "Return" for the demobilised credit claims |
| | Displayed format is: Max. XX characters |
| Position Status | Shows the status of the position. |
| | Possible values: |
| | - Settled |
| | - Instructed |
| | - Cancelled |
| | Displayed format is: Max. XX characters |
| Position Date | Shows the Position Date |
| | Displayed format is: DD/MM/YYYY |
| Validity Date | Shows the Validity Date |
| | Displayed format is: DD/MM/YYYY |
| Update Date | Shows the Update Date of the credit claim position |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Updater User | Shows the Updater User Id of the credit claim position |
| ld | Displayed format is: Max. XX characters |
| Action | |
| Button | Function |
| View | This function enables you to show the details of the selected Credit Claim Position. The results are displayed in a list on the Detail Screen. |
| | Next screen: |
| | Credit Claims position – detail Screen. |
| | |

3.4.5.2.1.2 Credit Claims Position – Details Screen

| | This screen contains the detailed information of the Credit Claim selected by clicking on the View button in the previous screen. | |
|------------|---|--|
| Screen Ac- | Pool Overview >> Positions >> Display Credit Claim Position Details >> | |
| | Click on the search button (after inputting the relevant search criteria, i | |
| | needed)>> Select a Credit Claim Position >> Click on the view button | |





| Credit Claims | Position – Details Screen |
|--------------------|--|
| Position Deta | |
| Field | Description |
| Pool Identifier | Shows the Pool identifier impacted by credit claims position. |
| | Displayed format is: Max. XX characters |
| Counterparty | Shows the Counterparty RIAD Code |
| | Displayed format is: Max. XX characters |
| Position Nature | Shows "Initiation" for the mobilised credit claims or "Return" for the demobilised credit claims |
| | Displayed format is: Max. XX characters |
| Position | Shows the status of the position. |
| Status | Possible values: |
| | - Settled |
| | - Instructed |
| | - Cancelled |
| | Displayed format is: Max. XX characters |
| Last Move- | Shows the Last Movement Identifier |
| ment ID | Displayed format is: Max. XX characters |
| Position Date | Shows the Position Date |
| | Displayed format is: DD/MM/YYYY |
| Validity Date | Shows the Validity Date |
| | Displayed format is: DD/MM/YYYY |
| Credit Claim | Details |



| Credit Claim | Shows the credit claim identifier |
|---|---|
| ID | Displayed format is: Max. XX characters |
| ECMS Coun- | Shows the internal asset account identifier |
| terparty Asset Account Id Displayed format is: Max. XX characters | |
| ECMS Cross | Shows the external asset account identifier |
| NCB Asset Accounts Id | Displayed format is: Max. XX characters |
| Cqs | Shows the CQS value |
| | Displayed format is: Max. XX characters |
| Haircut Detail | s |
| Haircut CC | Shows the value of the haircut applied for the credit claim |
| | Displayed format is: Max. XX characters |
| Haircut ACC | Shows the value of the haircut applied additional credit claim |
| | Displayed format is: Max. XX characters |
| Additional | Shows the value of the applied additional haircut |
| Haircut | Displayed format is: Max. XX characters |
| Markdown | Shows the markdown applied haircut |
| | Displayed format is: Max. XX characters |
| Applied Hair- | Shows the total value of the applied haircut |
| cut | Displayed format is: Max. XX characters |
| Business Rul | es |
| Excluded | Shows whether the Credit Claim Position is Excluded |
| | Values "Yes" or "No |
| | Displayed format is: Max. XX characters |
| Close Link | Shows whether the Credit Claim Position has a Close Link Detected |
| Detected | Values "Yes" or "No |
| | Displayed format is: Max. XX characters |
| Is Matured | Shows whether the Credit Claim Position is Matured |
| | Values "Yes" or "No |
| | Displayed format is: Max. XX characters |
| Is Residual | Shows whether the Credit Claim Position is Residual Maturity Breached |
| Mat Breached | Values "Yes" or "No |
| | Displayed format is: Max. XX characters |
| Is Eligible | Shows whether the Credit Claim Position is Eligible |
| 3 | Values "Yes" or "No |
| | Displayed format is: Max. XX characters |
| Credit Rating | Shows whether the Credit Claim Position is Credit Rating Not Eligible |
| Not Eligible | Values "Yes" or "No |
| | |
| Amounts | Displayed format is: Max. XX characters |
| Outstanding | Shows the value of the Outstanding Amount |
| Amount | Displayed format is: Max. XX characters |
| | Shows the Currency |
| Currency | onows the outleticy |



| | Displayed format is: Max. 3 characters |
|-------------------|--|
| Collateral | Shows the amount of the collateral value of the credit claim after haircut |
| Value | Displayed format is: Max. XX characters |
| Book Cur- | Shows the Book Currency |
| rency | Displayed format is: Max. 3 characters |
| Margin | Shows the Margin Amount |
| Amount | Displayed format is: Max. XX characters |
| Exchange | Shows the amount of the Exchange Rate |
| Rate | Displayed format is: Max. XX characters |
| FX Date | Shows the FX Date |
| | Displayed format is: DD/MM/YYYY |
| Valuation Sta | tus |
| Valuation | Shows the failure reason in the case the valuation of the credit claim |
| Failure Reason | fails |
| | Displayed format is: Max. XX characters |
| Value Date | Shows the date of the assessment of the credit claim |
| | Displayed format is: DD/MM/YYYY |
| Foot print | |
| 1 | Shows the identification of the user that made the last update. |
| ld | Displayed format is: Max. XX characters |
| Update Date | Shows the date and time of the movement last update. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| | Shows the identification of the user that created the data. |
| ld | Displayed format is: Max. XX characters |
| Creation Date | Shows the date and time of the movement. |
| | Displayed format is DD/MM/YYYY hh:mm:ss:µs. |
| | |

3.4.6 Multi-pooling (Transfer)

The ECMS supports multi-pooling functionalities meaning that depending on the needs, a Counterparty can hold different dedicated pools of collateral for different purposes or specific types of Eurosystem operations. A transfer of asset is also referred to as a reallocation of asset.

There are two functionalities for transferring assets in the same Counterparty:

Reallocation of assets from one Internal Counterparty Asset Account to another Internal Counterparty Asset Account. These accounts could be within the same pool or belong to two different pools of the same Counterparty. The assets could be in the same or a different T2S Securities Account for Regular Collateral, but held in the same CSD with the same NCB. The assets can be non-marketable assets such as Credit Claims, FTD collateral, or Cash as Collateral. In this case, the actual position is transferred in its entirety. No transfer occurs between CSD accounts, as the transfer is only between internal Counterparty Asset Accounts. The functionality is available to the Counterparty and NCB user.

The same screen is used by the NCB user or Counterparty for both these functionalities for transferring assets in the same Counterparty.



These screens are used either for reallocations generating an asset transfer on a T2S External Asset Account or for reallocations not generating a movement on a T2S External Asset Account as it generates an internal movement only. In this case, some fields might be left blank or not and the ECMS deduces whether or not a market movement has to be generated and sent to T2S for settlement.

There is also a functionality used by the NCB user for transferring assets between Counterparties or between Counterparty and NCB:

 Reallocation of assets between Counterparties, or from one counterparty to an NCB (or vice versa). This results in a reallocation of asset between Internal ECMS Counterparty Asset Accounts (or Internal ECMS Counterparty Asset Account and Internal NCB Internal Asset Account) within the same or a different T2S Securities Account for Regular Collateral in the same CSD or a different CSD.

In addition, there is a screen available to NCB users for the demobilisation of Credit Claims from an NCB Internal Asset Account.

In case of a transfer (e.g. due to a merger) between 2 counterparties of the same HCB, the transfer includes CCBM mobilised positions in the domestic NCB omnibus account. The positions remain in the NCB omnibus account, so the transfer is like an internal transfer. There is not an impact on the external T2S accounts. The transfer does not involve Cross-NCB accounts or transfers between HCB and CCB.

3.4.6.1 Multi-pooling for Credit Claims (Credit Claim Transfer)

This section describes the Multi-pooling functionalities that can be performed by an NCB user or a Counterparty by transferring Credit Claims from one Internal Counterparty Asset Account to another Internal Counterparty Asset Account, of the same Counterparty and same NCB.

3.4.6.1.1 Multi-pooling for Credit Claims (Internal Transfer)

3.4.6.1.1.1 Multi-pooling for Credit Claims (Internal Transfer) – Input Screen

| Context of Usage | This screen contains a number of fields regarding the source account, the destination account and Credit Claims to be transferred. The whole Credit Claims position will be transferred. Afterwards you can proceed further by clicking on the buttons below. | | |
|------------------|---|--|------------------------|
| Screen Access | Transfer >> Credit Claim >> Input Internal Credit Claim Transfer | | |
| Screenshot | CCTransferSameClients : Credit Claim Transfer Purlys Instruction Reference Credit Claim | Delivering Account Outstanding Amount | Receiving Account Som |

| Multi-pooling for Credit Claims (Internal Transfer) – Input Screen | | |
|--|--|--|
| Field | Description | |
| Party's Instruction Reference* | Enter the reference that uniquely identifies the Party's instruction. | |
| Delivering Account Id* | Enter/Select the Delivering Account where the CC is held (source account). | |
| Receiving Account Id* | Enter/Select the Receiving Account where the CC is held (source account). | |
| Credit Claim* | Enter/Select the ECMS Credit Claims Identifier | |



| Out- standingAmount# | Shows the amount of Credit Claims available on the delivering account. |
|-------------------------|--|
| | Required format is: Amount with 2 decimals. |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Save | This function enables you to save the creation of an instruction. |

3.4.6.1.2 Multi-pooling for Credit Claims Transfer - Display

3.4.6.1.2.1 Multi-pooling for Credit Claims Transfer – Search Screen

| Context of Usage | This screen contains a number of search fields and shows the latest and stored searches. By inputting the relevant data, you can search for the Credit Claims Transfer Instructions. |
|------------------|---|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |
| | Depending how the screen is accessed, it can be used to search the valid information or the information that requires 4 eyes validation before they can be considered valid in the system. |
| Screen Access | For valid information: |
| | Transfer >> Credit Calaim >> Display Credit Claim Transfer |
| | For information subject to 4 eyes validation: |
| | Transfer >> Credit Claim >> Validate / Reject Credit Claim Transfer |
| Screenshot | Search Criteria : Credit Claim Transfer Putty's Instruction Delivering Account Percentage Account Delivering Account De |
| | Q Search |

| Multi-pooling for Credit Claims Transfer – Search Screen | |
|--|--|
| Field | Description |
| Party's Instruction Reference | Enter/Select the reference that uniquely identifies the Party's instruction. |
| Delivering Ac- count | Enter/Select the Delivering Account (Counterparty or NCB) where the CC is held (source account) |
| Receiving Account | Enter/Select the Receiving Account (Counterparty or NCB) where the CC will be held |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | Multi-pooling for Credit Claims Transfer – List Screen |



3.4.6.1.2.1. Multi-pooling for Credit Claims Transfer – Validate / Reject Transfer

| Context of Us- age | This screen contains a table with the result of a search of a Credit Claims Transfer instructions, for consultation and selection of an instruction to be validated. |
|-----------------------|--|
| Screen Access | Transfer >> Credit Claim >> Validate / Reject Credit Claim Transfer >> Search Transfer |
| Screenshot | Advanced Validation Screen : Credit Claim Transfer |

| Multi-pooling for Credit Claims Transfer – Validate / Reject Transfer | |
|---|---|
| Field | Description |
| Party's Instruc- tion Reference | Shows the reference that uniquely identifies the Party's instruction. |
| Delivering Ac- count | Shows the Delivering Account (Counterparty or NCB) where the CC is held (source account) |
| Receiving Account | Shows the Receiving Account (Counterparty or NCB) where the CC is transferred (destination account) |
| Credit Claim | Shows the credit claim reference received in the credit claim file |
| Instruction Status | Shows the Instruction Status of the generated instruction |
| Action to Validate | Action required for the validation of the instruction |
| Is Rejected | Indicator stating that the instruction is rejected. |
| Updater User Id | Shows the identification of the user that made the last update. |
| Update Date | Shows the update date or use the calendar icon. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:sss |
| After selecting a record, the following buttons are displayed | |
| Button | Description |
| Validate | This function enables the user to validate the instruction. |
| Reject | This function enables the user to discard the instruction. |

3.4.6.1.2.2 Multi-pooling for Credit Claims Transfer – List screen

| Context of Usage | This screen contains the search results displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons below. | |
|------------------|--|---|
| | Transfer >> Credit Claim >> Display Credit Claims Transfer >> Clic on the <i>search</i> button (after inputting the relevant fields, if needed) | :k |
| Screenshot | Advanced Validation Screen: Credit Claim Transfer 1: ** Party Instruction Referred* Delivering Account 8 | □ □ □ □ □ □ □ □ □ □ □ □ □ |

| Multi-pooling for Credit Claims Transfer – List screen | |
|--|---|
| Field | Description |
| Party's Instruc- | Shows the reference that uniquely identifies the Party's instruction. |
| tion Reference | |



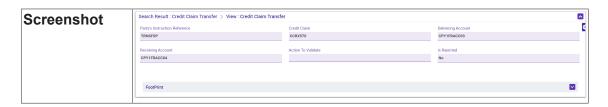
| Button | Function | | | |
|-----------------------|---|--|--|--|
| After selecting a | After selecting a record, the following buttons are displayed | | | |
| | Displayed format is : DD/MM/YYYY hh:mm:ss:sss | | | |
| Update Date | Shows the update date or use the calendar icon. | | | |
| Updater User Id | Shows the identification of the user that made the last update. | | | |
| Is Rejected | Indicator stating that the instruction is rejected. | | | |
| Action to Validate | Action required for the validation of the instruction | | | |
| Instruction Status | Shows the status of the generated transfer instruction | | | |
| Credit Claim | Shows the credit claim reference received in the credit claim file | | | |
| Receiving Account | Shows the Receiving Account (Counterparty or NCB) where the CC is transferred (destination account) | | | |
| Delivering Account | Shows the Delivering Account (Counterparty or NCB) where the CC is held (source account) | | | |

| View | This function enables you to access to the detailed information of a Credit Claims Transfer. Next screen: - Multi-pooling for Credit Claims Transfer – Details screen | | |
|--|---|--|--|
| If the screen is use played when a rec | ed in the 4 eyes validation context, the following buttons are also disord is selected | | |
| Button | Function | | |
| View Draft | This function enables the user to view the draft record to be validated. | | |
| | Next screen: | | |
| | Multi-pooling for Credit Claims Transfer – Details Screen. | | |
| Validate | This function allows the user to validate the creation or update of the record so that they can be considered valid in the system | | |
| Reject | This function allows the user to reject the creation or update of the record. The attribute is Rejected will be set to Yes. | | |
| | The user have to enter the rejection reason. | | |

3.4.6.1.2.2. Multi-pooling for Credit Claims Transfer – Details Screen

| Context of Usage | This screen displays detailed information of the selected Credit Claims Transfer instruction. |
|------------------|---|
| | Collateral and Credit >> Transfer >> Credit Claims >> Display Credit Claims Transfer >> Click on the <i>search</i> button (after inputting the relevant fields, if needed) >> Select a Credit Claims >> Click on the <i>View</i> button |





| Multi-pooling for Credit Claims Transfer – Details Screen | | | | |
|---|---|--|--|--|
| Field | Description | | | |
| Party's Instruction Reference | Shows the reference that uniquely identifies the Party's instruction. | | | |
| Delivering Ac- count | Shows the Delivering Account (Counterparty or NCB) where the CC is held (source account) | | | |
| Receiving Account | Shows the Receiving Account (Counterparty or NCB) where the CC is transferred (destination account) | | | |
| Credit Claim | Shows the Credit Claim reference received in the credit claim file | | | |
| Action to Validate | Indicates if there is an action required for the validation of the instruction | | | |
| Is rejected | Indicator stating that the instruction is rejected or not. (Yes or No) | | | |
| Footprint | | | | |
| Creation Date | Shows the date and time of the creation of the instruction. | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | |
| Creation User Id | Shows the identification of the user that created the instruction. | | | |
| Update Date | Shows the date and time of the update of the instruction. | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | |
| Updater User Id # | Shows the identification of the user that made the last update of the instruction. | | | |

3.4.7 ELA Operations

Emergency Liquidity Assistance (ELA) occurs when a Eurosystem National Central Bank provides central bank money and/or any other assistance that may lead to an increase in central bank money to a financial institution or a group of financial institutions facing liquidity problems, where, in either case, such operation is not part of the single monetary policy.

ELA must be handled according to the Agreement on emergency liquidity assistance.

All operations related to the payment of ELA and to the management of the related collateral (mobilisation, demobilisation, interest calculation and valuation of collateral) are managed outside the ECMS.

The NCB user can record/update the related global credit and collateral value via the ECMS U2A. If any conversion in Euro is necessary, it has to be done previously. The interest calculation is also managed outside the ECMS.



3.4.7.1 ELA Operation – Search Screen

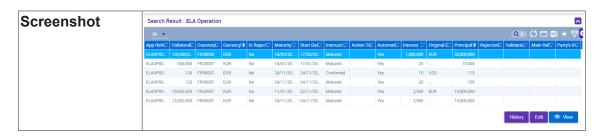
| Context of Us- age | This screen contains a number of fields regarding the search of an ELA operation, for consultation and/or update of the ELA operation data. You can input search criteria. Afterwards you can either reset the search criteria or search for ELA operations by clicking on the buttons below. | | | |
|-----------------------|---|---|--|--|
| Screen Access | Collateral and Credit >> ELA Operation >> Display/Update ELA Operation | | | |
| Screenshot | Control ELA Operation Search Criteria: ELA Operation App Reference ▼ Maturity Date ▼ Pool Identifier ▼ Q Instruction Status ▼ Q Search Q Search Q Search | 2 | | |

| ELA Operation - Search screen | | | | |
|-------------------------------|---|--|--|--|
| Field | Description | | | |
| App Reference | Identifier of the ELA operation. Valuated automatically by the ECMS. | | | |
| Counterparty Iden- tifier | Shows the RIAD code of the counterparty in the ECMS | | | |
| Maturity Date | Maturity date of the ELA operation. | | | |
| | Required format is: DD/MM/YYYY. | | | |
| Start Date | Starting date of the ELA operation. | | | |
| | Required format is: DD/MM/YYYY. | | | |
| Pool Identifier | Shows the identifier that uniquely identifies the Pool. | | | |
| Status | Select the status of the ELA operation among "WaitingValidation", "Confirmed", "Matured". | | | |
| Button | Description | | | |
| Reset | This function enables you to clear the form. | | | |
| Search | This function enables you to search for the ELA operations that are matching the search criteria. | | | |

3.4.7.1.1 ELA Operation – List Screen

| Context of Us- age | This screen contains a table with the result of a search of an ELA operation, for consultation and/or update of the ELA operation data. Each line of the table stands for an ELA operation and each column of the table stands for a field of the ELA operation. You can export the result of the search to an Excel file. You can also select an ELA operation to view or update its data, or view its previous updates. | | | |
|-----------------------|---|--|--|--|
| Screen Access | For valid instructions: | | | |
| | Collateral and Credit >> ELA Operation >> Display/Update ELA Operation >> Click on the Search button | | | |
| | For instructions subject to 4 eyes validation: | | | |
| | Collateral and Credit >> ELA Operation >> Validate/Reject ELA Operation >> Click on the Search button | | | |





| ELA Operation – | List Scroon | | | |
|-------------------------------|---|--|--|--|
| Field | Description | | | |
| App Reference | Identifier of the ELA operation. | | | |
| Collateral Value | Collateral value amount of the ELA operation. | | | |
| Counterparty | • | | | |
| Currency | Shows the RIAD code of the counterparty in the ECMS. Shows EUR. | | | |
| Is Rejected | Boolean. Indicates if the operation is rejected or not | | | |
| 13 rejected | Yes or No | | | |
| Maturity Date | Maturity date of the ELA operation. | | | |
| Maturity Date | · | | | |
| Ctart Data | Required format is: DD/MM/YYYY. | | | |
| Start Date | Starting date of the ELA operation. | | | |
| | Required format is: DD/MM/YYYY. | | | |
| Status | Status of the ELA operation. | | | |
| Action To Validate | If needed, shows the action to be validated (create or update) | | | |
| Automatic Rollover | Indicates whether or not the rollover is done automatically. | | | |
| Interest Amount | Interest amount of the ELA operation. | | | |
| Original ELA Currency | Original currency of the ELA operation. | | | |
| Principal | Principal amount (in Euros) of the ELA operation. | | | |
| Rejection Reason | Indicates the root cause of the rejection of the ELA operation. | | | |
| Validation Status | Indicates the validation status of the ELA operation. | | | |
| Main Reference | Indicates the main reference of the ELA operation. | | | |
| Party's Instruction Reference | Indicates the Party's instruction reference of the ELA operation. | | | |
| Button | Description | | | |
| History | This function enables you to access to the historical information of the ELA operation. | | | |
| | Next screen: | | | |
| | ELA Operation – History Screen. | | | |
| | | | | |
| Edit | This function enables you to access to the detailed information of the ELA operation. | | | |
| | Next screen: | | | |
| | ELA – Details Screen. | | | |
| View | This function enables you to diplay the ELA operation details | | | |
| | | | | |



| If the screen is used in the 4 eyes validation context, the following buttons are displayed when a record is selected | | | |
|---|---|--|--|
| Button | Function | | |
| View Draft | This function enables the user to view the draft record to be validated. | | |
| | Next screen: | | |
| | - ELA Operation - Details Screen | | |
| Edit | This function allows the user to edit and modify the draft. | | |
| Validate | This function allows the user to validate the creation or update of the record so that they can be considered valid in the system | | |
| Reject | This function allows the user to reject the creation or update of the record. The draft will be deleted. | | |

3.4.7.1.2 ELA Operation – Details Screen

| Context of Us- age | This screen contains the information on a single ELA operation, for consultation. | | | | | |
|-----------------------|--|---------------------|------------------|---------------|--------------------|-----------|
| Screen Access | Collateral and Credit >> ELA Operation >> Display/Update ELA Operation >> Click on the <i>Search</i> button >> Select an ELA Operation / Click on the <i>View</i> button | | | | | |
| Screenshot | Search Result : ELA Operation > V ELA GENERAL INFORMATION | iew : ELA Operation | | | | History 2 |
| | App Reference | | Pool Identifier | | Automatic Rollover | |
| | ELAOP0000000025 | | POOL000000000100 | | Yes | |
| | | | | | | |
| | Identifier2 | | Currency | | Is Rejected | |
| | FR30004 | | EUR | | No | |
| | Instruction Status | | | | | |
| | Matured | | | | | |
| | | | | | | _ |
| | ELA DATES | | | | | |
| | Start Date | | | Maturity Date | | |
| | 17/03/2022 | | | 18/03/2022 | | |
| | | | | | | |
| | ELA AMOUNTS | | | | | |
| | Collateral Value | | Principal | | Interest Amount | |
| | | 150,000,000 | | 50,000,000 | | 1,000,000 |
| | Original ELA Currency | | | | | |
| | EUR | | | | | |
| | | | | | | |
| | | | | | | _ |
| | FootPrint | | | | | |

| ELA Operation - Details Screen | | | |
|--------------------------------|--|--|--|
| ELA GENERAL INFORMATION | | | |
| Field | Description | | |
| App Reference | Identifier of the ELA operation. | | |
| Pool Identifier | Shows the identifier that uniquely identifies the Pool. | | |
| Automatic Rollover | Indicates whether or not the rollover is done automatically. | | |
| Counterparty Identifier | Shows the RIAD code of the counterparty in the ECMS. | | |
| Currency | Shows EUR. | | |
| ELA DATES | | | |
| Field | Description | | |
| Start Date | Starting date of the ELA operation. | | |



| | Required format is: DD/MM/YYYY. | | | |
|-----------------------|--|--|--|--|
| Maturity Date | Maturity date of the ELA operation. | | | |
| | Required format is: DD/MM/YYYY. | | | |
| ELA AMOUNTS | | | | |
| Field | Description | | | |
| Collateral Value | Collateral value amount of the ELA operation. | | | |
| Principal | Principal amount (in Euros) of the ELA operation. | | | |
| Interest Amount | Interest amount of the ELA operation. | | | |
| Original ELA Currency | Original currency of the ELA operation. | | | |
| Button | Description | | | |
| History | This function enables you to access to the historical information of an ELA operation. | | | |
| | Next screen: | | | |
| | ELA Operation - History Screen. | | | |

3.4.7.1.3 ELA Operation – History Screen

| Context of Us- age | This screen contains a table with the result of a search of an ELA operation: the table displays the historical values of the ELA operation, for consultation. | | | | |
|-----------------------|---|------------------------------------|------------------------------------|--|--|
| Screen Access | Collateral and Credit >> ELA Operation >> Display/Update ELA Operation >> Click on the Search button >> Select an ELA Opera- tion / Click on the History button Collateral and Credit >> ELA Operation >> Display/Update ELA Operation >> Click on the Search button >> Select an ELA Opera- tion >> Click on the View button (ELA Operation – Details screen)>> Click on the History Button | | | | |
| | | | | | |
| Screenshot | Q_2 Compare Expand All Show Differences Only 🔨 🖼 | | | | |
| 00.000 | Fields | 79999003 2022-03-18 07:34:18.218 2 | 79999003 2022-03-16 19:58:31.402 1 | | |
| | | | | | |
| | | | | | |
| | Instruction Status | Matured | Confirmed | | |
| | Creation Date | 18/03/2022 07:34:18:218 | 16/03/2022 19:58:31:402 | | |
| | Creation User Id | ECMSOperationalDayScheduler | ECMS OPERATOR 1 | | |
| | App Reference | ELAOP0000000025 | ELAOP0000000025 | | |
| | Collateral Value | 150,000,000 | 150,000,000 | | |
| | Is Rejected | No | No | | |
| | Maturity Date | 18/03/2022 | 18/03/2022 | | |
| | Start Date | 17/03/2022 | 17/03/2022 | | |
| | | | | | |
| | Action To Validate | | | | |
| | Automatic Rollover | Yes | Yes | | |
| | Automatic Rollover Counterparty | 131 | 131 | | |
| | Automatic Rollover Counterparty Currency | 131 EUR | 131 EUR | | |
| | Automatic Rollover Counterparty Currency Interest Amount | 131 EUR 1,000,000 | 131 EUR 1,000,000 | | |
| | Automatic Rollover Counterparty Currency Interest Amount Original ELA Currency | 131 EUR 1,000,000 EUR | 131 EUR 1,000,000 EUR | | |
| | Automatic Rollower Counterparty Currency Interest Amount Original ELA Currency Principal | 131 EUR 1,000,000 | 131 EUR 1,000,000 | | |
| | Automatic Rollower Counterparty Currency Interest Amount Original ELA Ourrency Principal Rejection Reason | 131 EUR 1,000,000 EUR | 131 EUR 1,000,000 EUR | | |
| | Automatic Rollower Counterparty Currency Interest Amount Original ELA Currency Principal | 131 EUR 1,000,000 EUR | 131 EUR 1,000,000 EUR | | |
| | Automatic Rollower Counterparty Currency Interest Amount Original ELA Currency Principal Rejection Reason Validation Status | 131 EUR 1,000,000 EUR | 131 EUR 1,000,000 EUR | | |

| ELA Operation – History screen | | |
|--------------------------------|-------------|--|
| Field | Description | |



| Fields | Shows the fields whose information have been updated since the creation of the selected ELA instruction. |
|------------|--|
| Timestamp | Shows the date and time when the fields have been updated. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Button | Description |
| Compare | Shows the differences between the selected records whose data have been updated. |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected ELA. |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected ELA. |

3.4.8 Triparty

3.4.8.1 Triparty Transactions

Triparty collateral Management services (TCMS) are provided by Triparty agents (TPAs) and allow counterparties to optimise the use of their portfolios of securities when collateralising credit and other exposures across different products and instruments.

A Triparty Transaction is an agreement between Collateral Giver and Collateral Taker (Refinancing NCB) that is made to allocate securities and is executed by the Triparty agent.

Triparty transaction can be used for the collateralisation of Central Bank Operations. The collateral mobilised through Triparty Transaction is affected to the Pool of the Counterparty.

A Triparty Transaction is created in the ECMS by a National Central Bank upon the request of a Counterparty. This Triparty Transaction is operated by a Triparty Agent that makes use of it to provide its collateral management services to the Counterparty.

A transaction is initiated, can be updated and terminated. When a transaction is initiated, agreed on by both parties, accepted and declared valid by the Triparty Agent, the lifecycle of the transaction starts. The transaction normally lasts as long as the underlying deal. At the end of its lifecycle a transaction is closed.

3.4.8.1.1 Triparty Transactions – Search Screen

| Context of Usage | This screen is used to search Triparty Transactions. It contains the fields that can be used as search criteria. |
|-----------------------|---|
| | The user captures the fields that correspond to its criteria for searching Triparty Transactions. |
| | If a field is left blank, the field is not taken into account as a search criterion. |
| | Once search criteria have been filled, by clicking on the search button, the list of instructions fulfilling the criteria will be displayed. |
| Business Case related | View Triparty Transaction Related Information |
| Screen Access | Depending how the screen is accessed, it can be used to search the valid information of the Triparty Transactions or the information that requires 4 eyes validation before they can be considered valid in the system. |



| | For valid inform Collateral and C | Credit >> | Collateral | >> Trip | arty > | >> Triparty | Transa | IC- |
|------------|--|-----------|---|-------------|--------|---|--------|----------|
| | tion Create / Dis For information Collateral and C tion | subject t | • | | | >> Triparty | Transa | IC- |
| Screenshot | Triperty Transaction Crees / Display Triperty Transaction Crees / Display Triperty Transaction 4 Collateral Given 14 Triperty Crees NCB Reflacting NCB Triperty Crees NCB T | • | Tributy francacion •• Fidence Pool facotier •• Valety Sunt Date •• Creation Date: from | □ 10 | T T2 | Tripany Agent •• • S bosmal Asset Account •• • Validity for the •• • Update Date: from | | C Starth |

| Triparty Transa | actions – Search screen |
|-------------------------------|---|
| Field | Description |
| Triparty Trans- action Id | Enter the Triparty Transaction Id. automatically assigned by the system. |
| | Required format is: Max. 35 characters |
| Triparty Trans- | Enter the reference of the triparty transaction. |
| action Refer- ence | Required format is: Max. 52 characters |
| Triparty Agent | Enter / Select the RIAD Code of the Triparty Agent. |
| | Required format is: Max. 35 characters |
| Refinancing | Enter / Select the RIAD Code of the Refinancing NCB. |
| NCB | Required format is: Max. 35 characters |
| Collateral Giver Id | Enter / select the identifier of the Collateral Giver as given by the Triparty Agent. |
| | Required format is: Max. 35 characters |
| Pool Identifier | Enter / select the Reference of the Counterparty's Pool or the RIAD Code of the Counterparty to which the amount of the transaction is added. |
| | Required format is: Max. 255 characters |
| T2S External Asset Account | Enter / select the reference of the T2S External Asset Account where the securities allocated to the transaction are held |
| | Required format is: Max. 35 characters |
| Triparty Cross | Enter or Select the RIAD Code of the Cross NCB (if any). |
| NCB | Required format is: Max. 35 characters |
| Validity Start Date | Enter the date from which the Triparty Transaction is valid. The calendar icon can also be used. Required format is: DD/MM/YYYY. |
| Validity End Date | Enter the date from which the Triparty Transaction is not valid anymore. The calendar icon can also be used. Required format is: DD/MM/YYYY. |
| | The Validity End Date must be equal to or later than the current date and equal to or later than the Validity Start Date. |
| Creation Date | Enter the date of the creation of the Triparty Transaction. The calendar icon can also be used. Required format is: DD/MM/YYYY. |
| Update Date | Enter the date of the Triparty Transaction last update. The calendar icon can also be used. Required format is: DD/MM/YYYY. |



| Actions | | | |
|---------|---|--|--|
| Button | Function | | |
| Reset | To clear the search criteria and close the result windows if any | | |
| Search | To start a search according to the criteria entered. The results are displayed in a list on a screen below. | | |
| Create | This function enables the user to Create a new Triparty Transaction. | | |

3.4.8.1.1.1 Triparty Transactions – List Screen

| Context of Us- | This screen contains a list of Triparty transactions. | | | |
|-----------------------|---|--|--|--|
| age | The transactions listed correspond to the search criteria captured in the <i>Triparty transactions</i> – <i>Search</i> screen. | | | |
| | The list displayed can be sorted and filter by the field displayed. | | | |
| | The list can be exported. | | | |
| | By clicking on the "View" button or double clicking on the selected line, the user can display the <i>Triparty Transactions – Details screen</i> with the details of the selected transaction. | | | |
| Business Case related | View Triparty Transaction Related Information | | | |
| Screen Access | Depending how the screen is accessed, it can be used to list the valid information of the Triparty Transactions or the information that requires 4 eyes validation before they can be considered valid in the system. | | | |
| | For valid information: | | | |
| | Collateral and Credit >> Collateral >> Triparty >> Triparty Transaction Create / Display >> Click on the Search button (after inputting the relevant Data, if needed) | | | |
| | For information subject to a 4 eyes validation: | | | |
| | Collateral and Credit >> Validation / Rejection >> Triparty Transaction >> Click on the search button (after inputting the relevant Data, if needed) | | | |
| Screenshot | Search Result : TPA Transaction Setup | | | |
| | 1 | | | |

| Triparty Transactions – List screen | | | |
|-------------------------------------|---|--|--|
| Field | Description | | |
| Triparty Transaction Id | Shows the Triparty Transaction Id. automatically assigned by the system | | |
| | Shows the reference of the triparty transaction. | | |
| tion Reference | Displayed format is: Max. 52 characters | | |
| Triparty Agent | Shows the RIAD Code of the Triparty Agent. | | |
| | Displayed format is: Max. 35 characters | | |
| Refinancing NCB | Shows the RIAD Code of the Refinancing NCB. | | |
| | Displayed format is: Max. 35 characters | | |



| Collateral Giver | Shows the identifier of the Collateral Giver as given by the Triparty Agent. |
|---------------------------------------|---|
| | Displayed format is: Max. 35 characters |
| Pool Identifier | Shows the Reference of the Counterparty's Pool and the RIAD Code of the Counterparty to which the amount of the transaction is added. |
| | Displayed format is: Max. 255 characters |
| T2S External Asset Account | Shows the reference of the T2S External Asset Account where the securities allocated to the transaction are held |
| | Displayed format is: Max. 35 characters |
| Triparty Cross | Shows the RIAD Code of the Cross NCB (if any). |
| NCB | Displayed format is: Max. 35 characters. |
| Validity Start | Shows the date from which the Triparty Transaction is valid. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Validity End Date | Shows the date from which the Triparty Transaction is not valid anymore. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id. | Identifier of the user responsible for the last update of the transaction. |
| Creation Date | Shows the date of the creation of the Triparty Transaction. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Update Date | Date and time when the transaction was last updated in the ECMS. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Actions | |
| Button | Function |
| View | This function enables the user to view the detailed of the selected transaction. |
| | The Details screen is displayed replacing the current screen. |
| Edit | This function enables the user to edit the selected transaction. |
| History | [Only for valid information] |
| | This function enables the user to view the History of the selected transaction. |
| If the screen is us played when a red | ed in the 4 eyes validation context, the following buttons are also discord is selected |
| Action to Validat | e = Creation |
| In case of creation | n of new data by 4-eyes user, the validator user will validate/reject. |
| Button | Function |
| Edit | This function allows the validator user to edit and modify the draft. |
| View | This function enables the validator user to view the draft record to be validated or rejected. |
| Validate | This function allows the validator user to validate the creation or up- |
| | ate of the record so that they can be considered valid in the system |
| Reject | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. |
| - | This function allows the validator user to reject the creation or up- |
| | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. |



| Action to Validate = Update | | | | | |
|--|--|--|--|--|--|
| | In case of update of data by 4-eyes user, the validator user can validate/reject/edit. To do so, it needs to go first in the show/compare draft button. | | | | |
| Button | Function | | | | |
| View | This function enables the user to view the draft record to be validated or rejected. | | | | |
| Edit Draft | This function allows the user to edit and modify the draft. | | | | |
| Show Draft | This function enables the validator user to view the draft record to be validated or rejected. | | | | |
| Compare Draft | In case the 4 eyes validation is required because of an update of the record, this function enables the validator user to display the change that needs to be validated. | | | | |
| Once you click on | Show Draft or Compare Draft buttons: | | | | |
| Reject Draft | This function allows the validator user to reject the creation or update of the record. The draft will be deleted. | | | | |
| Validate | This function allows the validator user to validate the creation or upate of the record so that they can be considered valid in the system | | | | |
| In case the record has been rejected the only available options for this record will be: | | | | | |
| View | This function allows the user to view the rejected record. | | | | |

3.4.8.1.1.2 Triparty Transactions – History Screen

| Context of Usage | selected the user v | en displays historical information that has changed on the Triparty Transaction. You can check the data, including who made the changes, and proceed further by clicking ttons that are shown. | |
|--------------------|--|--|--|
| Screen Access | Collateral and Credit >> Collateral >> Triparty >> Triparty Transaction Create / Display >> Click on the search button (after inputting the relevant Data, if needed) >> Select a Triparty Transaction >> Click on the History button Collateral and Credit >> Collateral >> Triparty >> Triparty Transaction Create / Display >> Click on the search button (after inputting the relevant Data, if needed) >> Select a Triparty Transaction >> Click on the View button (Triparty Transaction -Details Screen) >> Click on the History Button | | |
| | horizontal-History-Result - TPA Trans | ` | |
| Screenshot | TOTAL TIME TOTAL T | Q 1 🛱 th. Scor Difference Crity Expand All Company | |
| | Signery Researchine of Volding Core Date: In Internation In Internation In Internation In Internation In Internation Information Action The Voldings Control | ### ### ### ### ### ### ### ### ### ## | |
| Triparty Transacti | on – Hist | ory Screen | |
| Field | Description | | |
| Fields | Shows the fields whose information have been updated since the creation of the selected Triparty Transaction. | | |
| Timestamp | Shows the date and time when the fields have been updated. | | |



| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
|--------------------------|---|
| Button | Description |
| Compare | Shows the differences between the selected records whose data have been updated. |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected Triparty Transaction. |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected Triparty Transaction. |
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected Triparty Transaction. |
| Show Differences Only | Shows only the fields whose information have been updated since the creation of the selected Triparty Transaction |

3.4.8.1.1.3 Triparty Transactions – Details Screen

| Context of Us- age | This screen displays the details of a Triparty Transactions. | | | | | | |
|-----------------------|---|--|------------------------------|--|--|--|--|
| Business Case related | View Triparty Transaction Related Information | | | | | | |
| Screen Access | Depending how the screen is accessed, it can be used to view the valid information of the Triparty Transactions or the information that requires 4 eyes validation before they can be considered valid in the system. | | | | | | |
| | For valid information: | | | | | | |
| | Collateral and Credit >> Collateral >> Triparty >> Triparty Transaction Create / Display >> Click on the Search button (after inputting the relevant Data, if needed) >> Select a Record >> Click on the View button | | | | | | |
| | For information subject | to a 4 eyes validation |) <i>:</i> | | | | |
| | Collateral and Credit >> Validation / Rejection >> Triparty T tion >> >> Click on the search button (after inputting the rele Data, if needed) >> Select a Record >> Click on the View b | | | | | | |
| Screenshot | Search Result : TPA Transaction Setup > View : TPA Transaction Setup TPA REFERENCES | | iliotory 🗻 | | | | |
| | Toparty Transaction id TPXXTS600000000018 | Triparty Transaction Reference OCSBTPARSTEREXCEN | Triparty Agent OCSDITEARXXXX | | | | |
| | CONTERPART OF DALS | | | | | | |
| | AT990(C39T2AS.CH) | | | | | | |
| | ANTES Valory Start Date | | | | | | |
| | | | | | | | |

| Triparty transactions – Details screen | | | |
|--|--|--|--|
| Button | Description | | |
| History | [Only for valid information] | | |
| | This function enables you to access to the historical information of a Triparty Collateral Movement. | | |
| | Next screen: | | |



| | Triparty Collateral Movements – History Screen | | | |
|--|---|--|--|--|
| Field | Description | | | |
| TPA References | | | | |
| Triparty Transaction Id | Shows the Triparty Transaction Id. automatically assigned by the system | | | |
| Triparty Transac- | Shows the reference of the triparty transaction. | | | |
| tion Reference | Displayed format is: Max. 52 characters | | | |
| Triparty Agent Shows the RIAD Code and the short name of the Triparty Agen | | | | |
| Carrata un auto Da | Displayed format is: Max. 35 characters | | | |
| Counterparty De Refinancing NCB | Shows the RIAD Code and the short name of the Refinancing NCB of the Counterparty. | | | |
| | Displayed format is: Max. 35 characters | | | |
| Collateral Giver Id | Shows the identifier of the Collateral Giver as given by the Triparty Agent. | | | |
| | Displayed format is: Max. 35 characters | | | |
| Pool Identifier | Shows the Reference of the Counterparty's Pool and the RIAD Code of the Counterparty to which the amount of the transaction is added. | | | |
| | Displayed format is: Max. 255 characters | | | |
| T2S External Asset Account | Shows the reference of the T2S External Asset Account where the securities allocated to the transaction are held | | | |
| | Displayed format is: Max. 35 characters | | | |
| Triparty Cross NCB | Shows the RIAD Code and the short name of the NCB in charge of the relation with the Triparty Agent. | | | |
| | Displayed format is: Max. 35 characters | | | |
| Validation Detail | S | | | |
| Action To Validate | Shows if there is any action waiting for validation. | | | |
| Rejected | Shows if any action subject to validation has been rejected. The possible values are: | | | |
| | - Yes | | | |
| | - No | | | |
| Dates | | | | |
| Validity Start | Shows the date from which the Triparty Transaction is valid. | | | |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs | | | |
| Validity End Date | Shows the date from which the Triparty Transaction is not valid anymore. | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs | | | |
| Foot Print | , | | | |
| Creation Date | Shows the date and time when the Transaction was created in the ECMS. | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs | | | |
| Creation User Id. | Shows the Identifier of the user responsible for the creation of the Transaction. | | | |



| • | Shows the date and time when the Transaction was last updated in the ECMS. |
|------------------|--|
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Updater User Id. | Shows the Identifier of the user responsible for the last update of the Transaction. |

3.4.8.2 Triparty Collateral Movements

A Triparty Collateral movement represents the transaction value changes (increases or decreases) of a given Triparty Transaction during a given period. It contains the different figures (transaction amount, collateral value, etc.) used to determine the collateral value of the Triparty Transaction in the Pool of the Counterparty after the movement.

The ECMS keeps track of the history of valuations. For this purpose, a given Triparty Collateral Movement record is only valid for a particular time-lapse.

3.4.8.2.1 Triparty Collateral Movements – Search Screen

| Context of Usage | This screen is used to search Triparty Collateral Movements (increases or decreases). It contains the fields that can be used as search criteria. | | | | | | |
|-----------------------|--|--|--|--|--|--|--|
| | The user captures the fields that correspond to its criteria for searching Triparty Collateral Movements. | | | | | | |
| | If a field is left blank, the field is not taken into account as a search criterion. | | | | | | |
| | Once search criteria have been filled, by clicking on the search button, the list of Collateral Movements fulfilling the criteria will be displayed. | | | | | | |
| Business Case related | View Triparty Transaction Related Information | | | | | | |
| Screen Access | Collateral and Credit >> Collateral >> Triparty >> Triparty Collateral Movements | | | | | | |
| Screenshot | Display Tok collateral movement Disp | | | | | | |

| Triparty Collateral Movements- Search screen | | |
|--|---|--|
| Field | Description | |
| Pool Move- | Enter the Pool Movement Identifier. | |
| ment Id | Required format is: Max. 35 characters | |
| Pool Identi- fier | Enter / Select the Reference of the Counterparty's Pool. | |
| | Required format is: Max. 255 characters | |
| Instruction Reference | Enter or select the instruction reference that originated the movement. | |
| | Required format is: Max. 35 characters | |
| Triparty | Enter the reference of the triparty transaction. | |
| Transaction Reference | Required format is: Max. 52 characters | |



| Triparty Collateral | Select the last related Triparty Collateral Movement Status from possible values: |
|---------------------|--|
| Movement | - Pool Impacted |
| Status | - Instruction Cancelled |
| | - Rejected |
| | Waiting CLM confirmation |
| | Decrease waiting confirmation |
| | - Confirmed |
| | Not enough collateral |
| Value up- | Select the reason of the last transaction value update: |
| date reason | Triparty Collateral Increase |
| | Triparty Collateral Decrease / Closure |
| | Triparty Collateral Cancellation |
| | Triparty Collateral Rejection |
| | Triparty Revaluation |
| Validity | Enter the Validity Start Date/Time of the triparty Collateral Movement. |
| Start Date | Required format is: DD/MM/YYYY |
| | Enter the Validity End Date/Time of the triparty Collateral Movement. |
| Date | Required format is: DD/MM/YYYY |
| | The Validity End Date must be equal to or later than the Validity Start Date. |
| Creation Date | Enter the Date and time when the transaction value was created in the ECMS or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Update Date | Enter the Date and time when the transaction value was last updated in the ECMS or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Button | Function |
| Reset | To clear the search criteria and close the result windows if any |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | - Triparty Collateral Movements- List Screen |
| | |

3.4.8.2.1.1 Triparty Collateral Movements- List Screen

| Context of Us- | This screen contains a list of Triparty Collateral Movements. |
|----------------|--|
| age | The values listed correspond to the search criteria captured in the Triparty Collateral Movements— Search screen. |
| | The list displayed can be sorted and filter by the field displayed. |
| | The list can be exported. |
| | By clicking on the "View" button or double clicking on the selected line, the user can display the <i>Triparty Collateral Movements – Details Screen</i> with the details of the selected transaction value. |



| Business Case related | View Tripa | rty Trans | action | Related | Inform | nation | | | | |
|-----------------------|--|--|---|---|---|---|---|--|--|-----------------------------|
| Screen Access | Collateral a Movement ant Data, i | s >> Clic | k on the | | | | | - | | |
| Screenshot | Search Result : Pool Movement The Trigory Transaction Information | Columnity Pool Movement to € 1 Pool Section 10 Pool Meritanda277 Pool Section 20 Pool Meritanda277 Pool Section 20 Pool Meritanda277 Pool Section 20 Pool Meritanda278 Pool Section 20 | Tripany Collarenal In. Trip | serty Collateral 0 serty Collateral 1 serty Collateral 10,000 serty Collateral 1,000,000 serty Collateral 1,000,000 serty Collateral 1,000,000 serty Collateral 160,000 serty Collateral 150,000 serty Collateral 135,000 | P ECMS Collatoral Vision 19,320 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 | 19,235 0 9,334 0 147,200 135,000 | 19,220 Confirmed 9,384 Confirmed 9,384 Confirmed 0 Confirmed 0 Confirmed 12,210 Confirmed 12,210 Confirmed 12,210 Confirmed | 7 Creation Date 6 V Up 27/04/221 17:36:57 27/ 27/04/221 17:36:57 27/ 27/04/2221 17:05:46 27/ 27/04/2221 16:48:57 27/ 27/04/221 11:31:57 27/ 27/04/221 11:31:57 27/ 24/04/221 11:32:50 27/ 24/04/221 16:55:50 24/ 24/04/221 16:48:53 24/ | potere Dane 7/09/2021 18:00:01 7/09/2021 17:05:58. 7/09/2021 17:05:46. 7/09/2021 11:05:06. 7/09/2021 11:05:06. 7/09/2021 16:50:46. 7/09/2021 16:50:46. | STP STP STP STP STP STP STP |
| | TPATRANSACTIONIA. TPATRANSACTIONIA. | POOLMYT00002507 POOL900000000 POOLMYT00002279 POOL900000000 | 153 Triparty Collaneral In. Trip 153 Triparty Collaneral In. Trip | | | 115,009 111,320 | 3,680 Confirmed 91,320 Confirmed | 24/09/2021 18:40:18. 24/ 23/09/2021 18:52:11 23/ | | |

| Triparty Col | lateral Movements- List screen |
|----------------------------------|---|
| Field | Description |
| Pool Move- | Shows the Pool Movement Identifier. |
| ment Id | Displayed format is: Max. 35 characters |
| Pool Identi- | Shows the Reference of the Counterparty's Pool. |
| fier | Displayed format is: Max. 255 characters |
| Instruction | Shows the instruction reference that originated the movement. |
| Reference | Displayed format is: Max. 35 characters |
| Triparty | Shows the reference of the triparty transaction. |
| Transaction Reference | Displayed format is: Max. 52 characters |
| ECMS Collateral Value | Shows the actual Collateral Value of the allocated securities as calculated by ECMS |
| Transaction Amount | Shows the last Intended Transaction Amount. |
| Collateral Value Ap- plied | Shows the Collateral Value retained in the ECMS pool of the Counterparty. |
| Pool Vari- ation | Shows the variation of the collateral value applied in the Triparty Transaction. |
| lateral | Shows the last related Triparty Collateral Movement Status from possible values: |
| Movement | - Pool Impacted |
| Status | Instruction Cancelled |
| | - Rejected |
| | Waiting CLM confirmation |
| | Decrease waiting confirmation |
| | - Confirmed |
| | Not enough collateral |
| Value up- | Shows the reason of the last transaction value update: |
| date reason | - Triparty Collateral Increase |
| | - Triparty Collateral Decrease / Closure |
| | - Triparty Collateral Cancellation |
| | - Triparty Collateral Rejection |



| | Triparty Revaluation |
|--------------------|--|
| Validity | Shows the Validity Start Date/Time of the triparty Collateral Movement. |
| Start Date | Displayed format is: DD/MM/YYYY |
| Validity End | Shows the Validity End Date/Time of the triparty Collateral Movement. |
| Date | Displayed format is: DD/MM/YYYY |
| Creation Date | Shows the Date and time when the transaction value was created in the ECMS. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Update Date | Shows the Date and time when the transaction value was last updated in the ECMS. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Updater User Id | Shows the Identifier of the user responsible for the last update of the Collateral Movement. |
| Button | Function |
| View | This function enables you to access to the detailed information of a Triparty Collateral Movement. |
| | Next screen: |
| | Triparty Collateral Movements – Details Screen |
| History | This function enables you to access to the historical information of a Triparty Collateral Movement. |
| | Next screen: |
| | Triparty Collateral Movements – History Screen |

3.4.8.2.1.2 Triparty Collateral Movements – History Screen

| Context of Usage | selected including | Triparty Country the user v | ollateral Mo | vements. Yo ne changes, | ou can che | anged on the ck the data, ed further by |
|--------------------|--|--|---|---|--|---|
| Screen Access | Collateral and Credit >> Collateral >> Triparty >> Triparty Collateral Movements >> Click on the search button (after input the relevant Data, if needed) >> Select a Triparty Collateral Movement >> Click on the History button | | | after inputting | | |
| | latera the re Move | Il Moveme elevant Dat ement >> C | nts >> Click ta, if needed Click on the | ollateral >> T on the sear d) >> Select View button) >> Click or | ch button (a Triparty ((<i>Triparty C</i> | after inputting Collateral collateral |
| Screenshot | horizontalHistoryResult : Pool Mo | wement History | | | | Q 5 XII Show All Expand All Company |
| | Fields Instruction Status Amount Last Movement Pool Variation Amount | © POOLMY1000027672221-09-27-11-35-0 Confirmes 0 0 | R 26495 POOLM/T04002767;2021-09-27 11:22.0 Waiting CLM Confirmation 0 | 7 9024 POOLMYT00002767/2521 09 27 11 22 97 170 Credit Lind Rasico And Lock Management 0 | POOLMVT000027672021-09-27 11:31-56 | 11192 POOLMV1006027672821-09-27-11-31:57-1241 |
| | Amount With Heal Out In Lot Our Business Status Content Amount ECMS Collected Value Last Nortification In Last Nortification In Last Nortification Consistent Date Consistent Date Consistent Date (13) officerca(s) found. | 0 Warring 72 CONFRMATION 0 0 0 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 | 0 0 188479 TZ CONFROATON 0 0 18 19 19 19 10000000000000000000000 | U Subarig Settlement Continuation U Washing Settlement Continuation U Ver 1999/000000000 PROX/PROX/ROSTER 2010/00000014 2010/00000014 2010/00000014 | No. 196001093 276902031131-96119 1965ast | 50 2709/2021 1131 57134 1790/2021 |
| Triparty Collatera | Amount With Her Cut In Let Cut Business Status Control Amount (COS) Colleged Value Is Valuessed in Last North-Coston Last North-Coston Coston Cut (Coston Cut (Cos | 0 0 1995 199391999 POLIVIPOSCO00276 279690221 11 35 69 255 5TP | 0 Visi 1960010023 POOL/POOS9002316 27/09/2021 11:02:07:002 TPMLber | 0 0 Ves 190001002 POOLPSS000002216 27/98/2022 11:32:07:170 | | 50 27040201113157134 7990ae |



| Fields | Shows the fields whose information have been updated since the creation of the selected Triparty Collateral Movement. |
|--------------------------|---|
| Timestamp | Shows the date and time when the fields have been updated. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Button | Description |
| Compare | Shows the differences between the selected records whose data have been updated. |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected Triparty Collateral Movement. |
| Show All | Shows the information that existed before each modification of all the fields regarding the selected Triparty Collateral Movement. |
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the selected Triparty Collateral Movement. |
| Show Differences Only | Shows only the fields whose information have been updated since the creation of the selected Triparty Collateral Movement |

3.4.8.2.1.3 Triparty Collateral Movements – Details Screen

| Context of Usage | This screen displays th | e details of a Triparty (| Collateral Movement. |
|-----------------------|--|--|--|
| Business Case related | View Triparty Transaction Related Information | | |
| Screen Access | Collateral and Credit > Movements >> Click or ant Data, if needed) >> | n the search button (aft | er inputting the relev- |
| Screenshot | Secret Front Prof Newton 7 TPR Colleged Monemed Secret Record Prof Newton 7 TPR Colleged Monemed Secret Record Prof Newton 7 TPR Colleged Monemed Prof Newton Prof | Triany Trianger whereod TRIANSACTIONALI INVANIANT CONTROL OF TRIANS FOR Violation Angula FOR Violation Angula FOR Violation Angula FOR Control Angula Control Angula Living Control Productive Street Stree |

| Triparty Colla | Triparty Collateral Movements- Details screen | | |
|-----------------------|--|--|--|
| Button | Description | | |
| History | This function enables you to access to the historical information of a Triparty Collateral Movement. | | |
| | Next screen: | | |
| | Triparty Collateral Movements – History Screen | | |
| Field | Description | | |
| Transaction (| Transaction General Information | | |
| Pool Move- | Shows the Pool Movement Identifier. | | |
| ment Id | Displayed format is: Max. 35 characters | | |



| Pool Identifier | Shows the Reference of the Counterparty's Pool. |
|----------------------------------|---|
| | Displayed format is: Max. 255 characters |
| | Shows the Intended Settlement Date of the Movement. |
| tlement Date | Displayed format is: DD/MM/YYYY |
| Trade Date | Shows the Trade Settlement Date of the Movement. |
| | Displayed format is: DD/MM/YYYY |
| Instruction | Shows the instruction reference that originated the movement. |
| Reference | Displayed format is: Max. 35 characters |
| Collateral Giver Id | Shows the RIAD Code of the Collateral Giver as given by the Triparty Agent. |
| | Displayed format is: Max. 35 characters |
| Triparty | Shows the reference of the triparty transaction. |
| Transaction Reference | Displayed format is: Max. 52 characters |
| ECMS Collateral Value | Shows the actual Collateral Value of the allocated securities as calculated by ECMS |
| MOVEMENT | |
| Transaction Amount | Shows the last Intended Transaction Amount. |
| TPA Collat- eral Value | Shows the Collateral Value of the allocated securities as calculated by the TPA. |
| Collateral Value Ap- plied | Shows the Collateral Value retained in the ECMS pool of the Counterparty. |
| Pool Vari- ation | Shows the variation of the collateral value applied in the Triparty Transaction. |
| Triparty Collateral Move- | Shows the last related Triparty Collateral Movement Status from possible values: |
| ment Status | - Pool Impacted |
| | - Instruction Cancelled |
| | - Rejected |
| | Waiting CLM confirmation |
| | Decrease waiting confirmation |
| | - Confirmed |
| | Not enough collateral |
| Value I Indate | Shows the reason of the last transaction value update: |
| Reason | Triparty Collateral Increase |
| | |
| | - Triparty Colleteral Consollation |
| | - Triparty Collateral Cancellation |
| | - Triparty Collateral Rejection |
| | - Triparty Revaluation |
| Validity Start Date | Shows the Validity Start Date/Time of the triparty Collateral Movement. |
| | Displayed format is: DD/MM/YYYY |
| Data | Shows the Validity End Date/Time of the triparty Collateral Movement. |
| | Displayed format is: DD/MM/YYYY |



| otatao Dotan | Status Details | | | |
|------------------------------------|--|--|--|--|
| Is Valuated | Shows if the movement is valuated from possible values: | | | |
| lo valadica | - Yes | | | |
| | - No | | | |
| Callataral In | 1 | | | |
| Collateral Insufficiency | Shows from possible values: | | | |
| | - Yes | | | |
| | - No | | | |
| Footprint | | | | |
| Creation User Id | Shows the Identifier of the user responsible for the creation of the Collateral Movement. | | | |
| Creation Date | Shows the Date and time when the transaction value was created in the ECMS. | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs | | | |
| Update Date | Shows the Date and time when the transaction value was last updated in the ECMS. | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs | | | |
| Updater User Id | Shows the Identifier of the user responsible for the last update of the Collateral Movement. | | | |
| TPA Details | | | | |
| TPA Details | This button/link is displayed for showing the TPA Transaction details screen. | | | |
| | The Triparty Transactions – Details Screen is displayed | | | |
| Notifications | [n] | | | |
| Once you clic | k on Notifications button following fields are displayed: | | | |
| Field | Description | | | |
| Notification Name | Name of the notification sent or received | | | |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible val- | | | |
| | ues: - Prepared - Impacted - Impact Failed - Rejected - Archived - Processed - Processed - On Hold | | | |
| Message | Prepared Impacted Impact Failed Rejected Archived Processed Processed with Failure | | | |
| Message Identifier Direction | Prepared Impacted Impact Failed Rejected Archived Processed Processed with Failure On Hold | | | |
| Identifier | Prepared Impacted Impact Failed Rejected Archived Processed Processed with Failure On Hold Reference of the notification message Indicator stating that the notification has been received or sent by the | | | |



| Shows the error description (if it has happened). |
|---|
| Date and time when the notification was created in the ECMS. |
| Date and time when the notification was last updated in the ECMS |
| Function |
| This function enables you to access to the detailed information of the original message in XML format. |
| Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| This function enables you to access to the detailed information of the messages for same notification. |
| - View Message - Details Screen |
| e – Details Screen |
| Description |
| Shows the reference of the messge. |
| Shows whether the notification has been an input or output. Possible values: |
| – In |
| – Out |
| Shows the status of the message. |
| a record, the following buttons are displayed |
| Function |
| This function enables you to access to the detailed information of the original message in XML format. |
| Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| |

3.4.8.3 Triparty Collateral Positions

Triparty Collateral Positions represent the assets that have been mobilised as collateral in the context of a triparty transaction.

Together with the allocated securities, the ECMS also records the collateral values of each asset as indicated by the TPA and as calculated internally.

3.4.8.3.1 Triparty Collateral Positions – Search Screen

| Context of Usage | | This screen is used to search Triparty Collateral Positions. It contains the fields that can be used as search criteria. |
|------------------|--|--|
| | | The user captures the fields that correspond to its criteria for searching Triparty Collateral Positions. |
| | | If a field is left blank, the field is not taken into account as a search criterion. |
| | | Once search criteria have been filled, by clicking on the search button, the list of instructions fulfilling the criteria will be displayed. |



| Business Case related | View Tripart | y Transaction Rel | ated Information | | |
|-----------------------|--|--|--|---|----------|
| Screen Access | Collateral ar Positions | d Credit >> Colla | teral >> Triparty | >> Triparty Colla | teral |
| Screenshot | TPA Collateral Position Search TPA Collateral Position Search Proof Identifier ** ** Inclinancing NCS ** ** In Massiv ** ** Proteins Def Date ** ** ** ** ** ** ** ** ** ** | Counterpany • • • Triperty Dece NCB • • • Latest Valuation • • • Process Removal Request • • • | Position takes Triplety Transaction *** Full *** Digitality *** | Topany Agent •• • In trabases •• • Q Position dust place •• • Gree Link •• • | Q Search |

| Triparty Collater | al Positions - Search screen |
|-----------------------------|---|
| Field | Description |
| Pool Identifier | Enter / Select the Reference of the Counterparty's Pool to which the amount of the transaction is added. |
| | Required format is: Max. 255 characters |
| Counterparty | Enter or Select the RIAD Code + Party Short Name of the Counterparty. |
| | Required format is: Max. 70 characters |
| Position Nature | Enter or Select the nature of the position from possible values: |
| | - Return |
| | – Initiation |
| Triparty Agent | Enter or Select the RIAD Code of the Triparty Agent. |
| | Required format is: Max. 35 characters |
| Refinancing NCB | Enter or Select the RIAD Code of the Refinancing NCB. |
| | Required format is: Max. 35 characters |
| Triparty Cross | Enter or Select the RIAD Code of the Cross NCB (if any). |
| NCB | Required format is: Max. 35 characters |
| Triparty Transac- | Enter the reference of the triparty transaction. |
| tion Reference | Required format is: Max. 52 characters |
| Is Valuated | Enter or Select if it is valuated or not. |
| Is Mature | Enter or Select if it is mature or not. |
| Latest Valuation Process | Enter the latest valuation process. |
| ISIN | Enter the identifier of the security. |
| | Required format is: Max. XX characters |
| Position Start Date | Enter the Date/Time when the securities started to be allocated or use the calendar icon. |
| | Required format is: DD/MM/YYYY |
| Position End Date | Enter the Date/Time when the securities ended to be allocated or use the calendar icon. |
| | Required format is: DD/MM/YYYY |
| Removal Request | Select to search only the securities requested to be removed by the refinancing NCB from possible values: |
| | - Yes |
| | - No |



| Eligibility | Select to search only the securities that are eligible or ineligible from possible values: |
|-------------|--|
| | - Yes |
| | - No |
| Close Link | Select if a forbidden close link has been detected from possible values: |
| | - Yes |
| | - No |
| Button | Function |
| Reset | To clear the search criteria and close the result windows if any |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | - Triparty Collateral Positions- List Screen |

3.4.8.3.1.1 Triparty Collateral Positions – List Screen

| Context of Us- | This screen contains a list of Triparty Collateral Positions. |
|-----------------------|---|
| age | The values listed correspond to the search criteria captured in the Triparty Collateral Positions – Search screen. |
| | The list displayed can be sorted and filter by the field displayed. |
| | The list can be exported. |
| | By clicking on the "View" button or double clicking on the selected line, the user can display the <i>Triparty Collateral Positions – Details Screen</i> with the details of the selected securities. |
| Business Case related | View Triparty Transaction Related Information |
| Screen Access | Collateral and Credit >> Collateral >> Triparty >> Triparty Collateral Positions >> Click on the search button (after inputting the relevant Data, if needed) |
| Screenshot | TPA Colleges Production List |

| Triparty Collateral Positions - List screen | |
|---|---|
| Field | Description |
| Pool Identifier | Shows the Reference of the Counterparty's Pool to which the amount of the transaction is added. |
| | Displayed format is: Max. 255 characters |
| Counterparty | Shows the RIAD Code + Party Short Name of the Counterparty. |
| | Displayed format is: Max. 70 characters |
| Price | Shows the Price Applied for the valuation of the security. |
| Currency | Shows the denomination Currency. |
| Triparty Agent | Shows the RIAD Code of the Triparty Agent. |
| | Displayed format is: Max. 35 characters |
| Refinancing NCB | Shows the RIAD Code of the Refinancing NCB. |

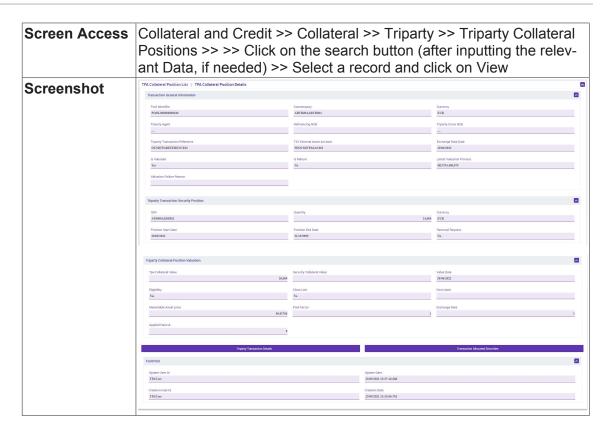


| | Displayed format is: Max. 35 characters |
|--------------------------------|--|
| Triparty Transaction Reference | Shows the reference of the triparty transaction. |
| | Displayed format is: Max. 52 characters |
| T2S External Asset Account | Shows the reference of the T2S External Asset Account where the securities allocated to the transaction are held |
| | Displayed format is: Max. 35 characters |
| ISIN | Shows the identifier of the security. |
| | Displayed format is: Max. XX characters |
| Quantity | Shows the quantity in FAMT of the security allocated. |
| Currency | Shows the currency of denomination of the security |
| Position Start | Shows the Date/Time when the securities started to be allocated. |
| Date | Displayed format is: DD/MM/YYYY |
| Position End | Shows the Date/Time when the securities ended to be allocated. |
| Date | Displayed format is: DD/MM/YYYY |
| Removal Request | Shows only the securities requested to be removed by the refinancing NCB from possible values: |
| | - Yes |
| | – No |
| Security Collat- eral Value | Shows the collateral Value of the security allocated. |
| Valuation Date | Shows the applicable date for the collateral value |
| Eligibility | Shows only the securities that are eligible or ineligible from possible values: |
| | - Yes |
| | – No |
| Close Link | Shows if a forbidden close link has been detected from possible values: |
| | - Yes |
| | – No |
| Updater User Id. | Shows the Identifier of the user responsible for the last update of the allocated security. |
| Update Date | Shows the Date and time when the allocated security was last updated in the ECMS. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Button | Function |
| View | This function enables you to access to the detailed information of a Triparty Collateral Movement. |
| | Next screen: |
| | - Triparty Collateral Positions - Details Screen |

3.4.8.3.1.2 Triparty Collateral Positions – Details Screen

| Context of Us- | This screen displays the details of a Triparty Collateral Position and |
|-----------------------|--|
| age | its value. |
| Business Case related | View Triparty Transaction Related Information |





| Triparty Collater | al Positions - Details screen |
|----------------------------|--|
| Field | Description |
| Transaction Gen | eral Information |
| Pool Identifier | Shows the Reference of the Counterparty's Pool to which the amount of the transaction is added. |
| | Displayed format is: Max. 255 characters |
| Counterparty | Shows the RIAD Code + Party Short Name of the Counterparty. |
| | Displayed format is: Max. 70 characters |
| Price | Shows the Price Applied for the valuation of the security. |
| Security Market Value | Shows the Security Market Value. |
| Currency | Shows the denomination Currency. |
| Triparty Agent | Shows the RIAD Code of the Triparty Agent. |
| | Displayed format is: Max. 35 characters |
| Refinancing NCB | Shows the RIAD Code of the Refinancing NCB. |
| | Displayed format is: Max. 35 characters |
| Triparty Cross NCB | Enter or select the RIAD Code of the NCB in charge of the relation with the Triparty Agent (Only in case of cross NCB) |
| | Displayed format is: Max. 35 characters |
| Triparty Transac- | Shows the reference of the triparty transaction. |
| tion Reference | Displayed format is: Max. 52 characters |
| T2S External Asset Account | Shows the reference of the T2S External Asset Account where the securities allocated to the transaction are held |
| | Displayed format is: Max. 35 characters |



| Exchange Rate | Shows the date of the Exchange Rate. |
|--------------------------------|--|
| Date | Displayed format is: DD/MM/YYYY |
| Is Valuated | Shows if it is valuated or not from possible values: |
| | - Yes |
| | - No |
| Is Mature | Shows if it is mature or not from possible values: |
| | - Yes |
| | - No |
| Latest Valo Pro- cess Id | Shows the latest Valor Process identifier. |
| Triparty Transac | tion Security Position |
| ISIN | Shows the identifier of the security. |
| Quantity | Shows the quantity in FAMT of the security allocated. |
| Currency | Shows the currency of denomination of the security |
| Position Start | Shows the Date/Time when the securities started to be allocated. |
| Date | Displayed format is: DD/MM/YYYY |
| Position End | Shows the Date/Time when the securities ended to be allocated. |
| Date | Displayed format is: DD/MM/YYYY |
| Removal Request | Shows only the securities requested to be removed by the refinancing NCB from possible values: |
| | - Yes |
| | - No |
| Triparty Collater | al Position Valuation |
| TPA Collateral Value | Shows the collateral value after haircut of the securities as calculated by the TPA |
| Security Collat- eral Value | Shows the collateral Value of the security allocated. |
| Eligibility | Shows only the securities that are eligible or ineligible from possible values: |
| | – Yes |
| | - No |
| Close Link | Shows if a forbidden close link has been detected from possible values: |
| | - Yes |
| | - No |
| Own-Used | Shows if the security is considered own-used or not |
| Pool Factor | Shows the Pool Factor used for the ECMS valuation of the security |
| Exchange Rate | Shows the Exchange Rate used for the ECMS valuation of the security |
| Applied Haircut | Shows the haircut use for the ECMS valuation of the asset |
| Valuation Date | Shows the date and time when the eligibility and the valuation of the security was last performed by the ECMS. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Footprint | |



| Creation User Id. | Shows the Identifier of the user responsible for the creation of the allocated security. |
|----------------------------------|---|
| Creation Date | Shows the Date and time when the allocated security was created in the ECMS. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Updater User Id. | Shows the Identifier of the user responsible for the last update of the allocated security. |
| Update Date | Shows the Date and time when the allocated security was last updated in the ECMS. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Button | Function |
| Transaction Allocated Securities | This function enables the user to view the list of securities allocated to the transaction. |
| | Next screen: |
| | Triparty Collateral Movements – List Screen |
| Triparty Transaction Details | This function enables the user to view the transaction details. |
| | Next screen: |
| | - Triparty Transaction - Details Screen |

3.4.8.4 Triparty Transaction Unilateral Asset Removal Requests

A Triparty Transaction Asset Removal Request represents an instruction initiated by the Refinancing NCB to request the removal of a given asset allocated to a transaction.

3.4.8.4.1 Triparty Transaction Unilateral Asset Removal Requests – Search Screen

| Context of Usage | This screen is used to search Triparty Transaction Asset Removal Requests. It contains the fields that can be used as search criteria. |
|------------------|--|
| | The user captures the fields that correspond to its criteria for searching Triparty Transaction Asset Removal Requests. |
| | If a field is left blank, the field is not taken into account as a search criterion. |
| | Once search criteria have been filled, by clicking on the search button, the list of Removal Requests fulfilling the criteria will be displayed. |
| Screen Access | Depending how the screen is accessed, it can be used to search the valid information of the Triparty Transaction Unilateral Asset Removal Requests or the information that requires 4 eyes validation before they can be considered valid in the system. |
| | For valid information: |
| | Collateral and Credit >> Collateral >> Triparty >> Unilateral Asset Removal Request |
| | For information subject to a 4 eyes validation: |
| | Collateral and Credit >> Validation / Rejection >> Unilateral Asset Removal |





| Triparty Tran | saction Unilateral Asset Removal Requests - Search screen |
|-----------------------------|---|
| Field | Description |
| Unilateral Re- moval Re- | Enter or select the identifier of the unilateral removal request in the ECMS. |
| quest Id. | Required format is: Max. 35 characters |
| Triparty | Enter or Select the RIAD Code of the Triparty Agent. |
| Agent | Required format is: Max. 35 characters |
| Triparty | Enter the reference of the triparty transaction. |
| Transaction Reference | Required format is: Max. 52 characters |
| Refinancing | Enter or Select the RIAD Code of the Refinancing NCB. |
| NCB | Required format is: Max. 35 characters |
| Triparty | Enter or Select the RIAD Code of the Cross NCB (if any). |
| Cross NCB | Required format is: Max. 35 characters |
| Pool Identifier | Enter or select the Reference of the Counterparty's Pool to which the amount of the transaction is added. |
| | Required format is: Max. 255 characters |
| ISIN | Enter the identifier of the allocated security to be removed from the transaction. |
| | Required format is: Max. XX characters |
| Reason code | Select the reason for the request to remove the asset: |
| | - CLNK - Close link |
| | CONC – Concentration Limit Breach |
| | - INLG - Ineligibility |
| | - OTHR - Other |
| | Select the status of the removal request: |
| quest Status | - Created |
| | - Terminated |
| Validity Start Date | Enter the date from when the asset should be excluded from the transaction or use the calendar icon. |
| | Required format is: DD/MM/YYYY |
| Validity End Date | Enter or Select the date until when the asset should be excluded from the transaction or use the calendar icon. |
| | Required format is: DD/MM/YYYY |
| | The Validity End Date must be equal to or later than the Validity Start Date. |
| Creation Date | Enter the Creation Start Date/Time of the Removal Request or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |



| Updater User Id | Enter the Identifier of the user responsible for the last update of the Unilateral Removal Request |
|--------------------|--|
| Update Date | Enter the update date of the Removal Request or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Button | Function |
| Reset | To clear the search criteria and close the result windows if any |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | Triparty Transaction Asset Removal Requests – List Screen. |

3.4.8.4.1.1 Triparty Transaction Unilateral Asset Removal Requests – List Screen

| Context of Usage | This screen contains a list of Triparty Transactions Asset Removal Requests. |
|------------------|---|
| | The values listed correspond to the search criteria captured in the Triparty Transaction Asset Removal Requests – Search screen. |
| | The list displayed can be sorted and filter by the field displayed. |
| | The list can be exported. |
| | By clicking on the "View" button or double clicking on the selected line, the user can display the <i>Triparty Transaction Asset Removal Requests – Details Screen</i> with the details of the selected request. |
| Screen Access | Depending how the screen is accessed, it can be used to list the valid information of the Triparty Transaction Asset Removal Requests or the information that requires 4 eyes validation before they can be considered valid in the system. |
| | For valid information: |
| | Collateral and Credit >> Collateral >> Triparty >> Unilateral Asset Removal Request >> Click on the <i>search</i> button (after inputting the relevant Data, if needed) |
| | For information subject to a 4 eyes validation: |
| | Collateral and Credit >> Validation / Rejection >> Unilateral Asset Removal >> Click on the <i>search</i> button (after inputting the relevant Data, if needed) |
| Screenshot | List: Triperty Transactions Unilested Asset Removal Request Q |
| | |
| | |

| Triparty Transaction Unilateral Asset Removal Requests – List screen | |
|--|--|
| Column | Description |
| | Shows the identifier of the unilateral removal request in the ECMS. Displayed format is: Max. 35 characters |
| Triparty Agent | Shows the RIAD Code of the Triparty Agent. Displayed format is: Max. 35 characters |



| Triparty Trans- | Shows the reference of the triparty transaction. |
|-------------------------------|--|
| action Refer- ence | Displayed format is: Max. 52 characters |
| Refinancing NCB | Shows the RIAD Code of the Refinancing NCB. |
| Triparty Cross | Shows the RIAD Code of the Cross NCB (if any). |
| NCB | Displayed format is: Max. 35 characters |
| T2S External Asset Account | Shows the reference of the T2S External Asset Account where the securities allocated to the transaction are held |
| | Displayed format is: Max. 35 characters |
| Counterparty | Shows the RIAD Code of the Counterparty. |
| | Displayed format is: Max. 35 characters |
| Pool Identifier | Shows the Reference of the Counterparty's Pool to which the amount of the of the transaction is added. |
| | Displayed format is: Max. 255 characters |
| ISIN | Shows the identifier of the allocated security to be removed from the transaction. |
| Reason code | Shows the reason for the request to remove the asset: |
| | - CLNK - Close link |
| | CONC – Concentration Limit Breach |
| | - INLG - Ineligibility |
| | - OTHR - Other |
| Validity Start Date | Shows the date from when the asset should be excluded from the transaction |
| | Displayed format is: DD/MM/YYYY |
| Validity End | Shows the date until the asset should be excluded from the transaction |
| Date | Displayed format is: DD/MM/YYYY |
| Removal Re- | Shows the status of the removal request: |
| quest Status | - Created |
| | - Terminated |
| Creation Date | Shows the Date and time when the request was created in the ECMS. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Updater User Id. | Shows the Identifier of the user responsible for the last update of the request. |
| Update Date | Shows the Date and time when the request was last updated in the ECMS. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Button | Function |
| View | This function enables you to access to the detailed information of a Pool general Triparty Transaction Unilateral Asset Removal Request. |
| | Next screen: |
| | Triparty Transaction Unilateral Asset Removal Requests – Details Screen. |
| Terminate | This function allows the user to terminate the record. |
| | used in the 4 eyes validation context, the following buttons are also disrecord is selected |
| | |



| Action to Validate = Creation | | | |
|-------------------------------|--|--|--|
| In case of cre | In case of creation of new data by 4-eyes user, the validator user will validate/reject. | | |
| Button | Function | | |
| View | This function enables the user/validator user to view the draft record to be validated or rejected. | | |
| Validate | This function allows the user to validate the creation or upate of the record so that they can be considered valid in the system | | |
| Reject | This function allows the user to reject the creation or update of the record. The draft will be deleted. | | |
| In case the re | In case the record has been rejected the only available options for this record will be: | | |
| View | This function allows the user to view the rejected record. | | |

3.4.8.4.1.2 Triparty Transaction Unilateral Asset Removal Requests – Details Screen

| o list the val Re- before they |
|--------------------------------------|
| |
| eral Asset putting the View |
| |
| eral Asset ne relevant |
| |
| □ [|
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |

| Triparty Unilateral Asset Removal Request – Details screen | | | | |
|--|--|--|--|--|
| Field | Description | | | |
| Transaction G | Transaction General Information | | | |
| | Shows the identifier of the unilateral removal request in the ECMS. Displayed format is: Max. 35 characters | | | |
| Triparty Agent | Shows the RIAD Code and the short name of the Triparty Agent. Displayed format is: Max. 35 characters | | | |



| Triparty Trans- | Shows the reference of the triparty transaction. |
|-------------------------------------|--|
| action Reference | Displayed format is: Max. 52 characters |
| Collateral Giver Id | Shows the identifier of the Collateral Giver as given by the Triparty Agent. |
| | Displayed format is: Max. 35 characters |
| Counterparty | Shows the RIAD Code and the short name of the Counterparty |
| | Displayed format is: Max. 35 characters |
| T2S External Asset Account | Shows the reference of the T2S External Asset Account where the securities allocated to the transaction are held |
| Ref | Displayed format is: Max. 35 characters |
| Pool Identifier | Shows the Reference of the Counterparty's Pool to which the amount of the of the transaction is added. |
| | Displayed format is: Max. 255 characters |
| Triparty Trans | action Unilateral Asset Removal Requests |
| ISIN | Shows the identifier of the allocated security to be removed from the transaction. |
| | Displayed format is: Max. XX characters |
| Reason code | Shows the reason for the request to remove the asset: |
| | - CLNK - Close link |
| | CONC – Concentration Limit Breach |
| | - INLG - Ineligibility |
| | - OTHR - Other |
| Removal Re- | Shows the status of the removal request: |
| quest Status | - Created |
| | - Terminated |
| Validity Start Date | Shows the date from when the asset should be excluded from the transaction |
| Validity End Date | Shows the date until when the asset should be excluded from the transaction |
| Validation Deta | ails |
| Action to Validate | Shows if there is any action waiting for validation. |
| Rejected | Shows if any action subject to validation has been rejected. The possible values are: |
| | - Yes |
| | - No |
| Triparty Trans | action Unilateral Removal Request Message |
| Triparty Collat- eral Unilateral | Shows the reference of the Triparty Transaction Unilateral Removal Request Message sent. |
| Removal Request Mesage Ref. | Displayed format is: Max. 35 characters |
| Sending Date/ Time | Shows the Date/Time the Tripart Transaction Unilateral Removal Request Message was sent. |
| Updater User Id | Shows the Identifier of the user responsible for the last update |

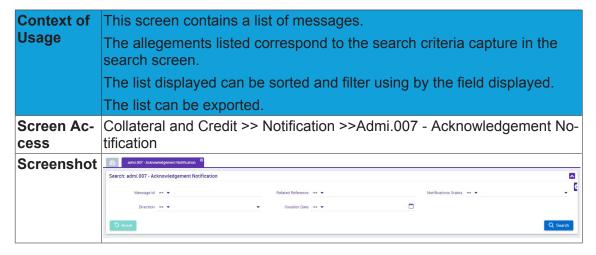


| Collateral Data | Status Advice |
|--|--|
| Collateral Data Status Advice Ref. | Shows the reference of the Collateral Data Status Advice Received. |
| Creation Date | Shows the Date/Time the Collateral Data Status Advice was received |
| Foot Print | |
| Creation Date | Shows the date and time when the Unilateral Removal Request was created in the ECMS. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Creation User Id. | Shows the Identifier of the user responsible for the creation of the Unilateral Removal Request. |
| Update Date | Shows the date and time when the Unilateral Removal Request was last updated in the ECMS. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Updater User Id. | Shows the Identifier of the user responsible for the last update of the Unilateral Removal Request |

3.4.9 Notification

3.4.9.1 admi.007 – Acknowledgement Notification (sent to CPTY)

3.4.9.1.1 admi.007 Sent to CPTY - Search Screen



| Admi.007 Sent to CPTY – Search Screen | | | |
|---------------------------------------|--|--|--|
| Field | Description | | |
| Message Id | Reference of the notification message | | |
| Related Reference | Enter the related reference. | | |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: | | |
| | - Prepared | | |
| | - Impacted | | |



| - Impact Failed |
|--------------------------|
| - Rejected |
| - Archived |
| - Processed |
| - Processed with Failure |
| - On Hold |

| Direction | Indicator stating that the notification has been received or sent by the ECMS. Possible values: — In — Out |
|-----------------------|---|
| Correspondent Type | Enter / Select the correspondent type from possible values: — Client — Market — Other |
| Creation Date | Enter the date and time when the instruction was created in the ECMS or use the calendar icon. Required format is: DD/MM/YYYY hh:mm:ss:µs. |
| Button | Function |
| Reset | To clear the search criteria and close the result windows if any |
| Search | This function enables you to start a search according to the criteria entered. The results are Showed in a list on the screen List screen. Next screen: |
| | - Admi.007 Sent to CPTY - List Screen |

3.4.9.1.2 admi.007 Sent to CPTY - List Screen

| Context o Usage | | | | | | | ed in a lis i the butto | | |
|--------------------|-----------------------|--------------------------|------------------------|-------------------|--------------------|-----------|----------------------------|-------------------------|---------------------|
| Screen Access | | eral and (arch butto | | Notifica | ation >> | Admi.0 | 07 Sent to | CPTY: | >> Click |
| Screen- | Search Result : Swift | Ack Notification | | | | | | | |
| Screen- | 10 🕶 | | | K | C Page 1 of 2 > > | | | | Q 15 * # = () |
| shot | Message Reference ¢ | Related Reference 0 | Related Message Name ¢ | Sender Address \$ | Receiver Address • | Direction | Notifications Status 0 | □ Update Date ◆ | □ Updater User Id Φ |
| SHOL | 65770 | PPQR161112021-TC0006 | 16370592419400591 | NABAATWWXXX | ABVRATWW001 | Out | Processed | 16/11/2021 14:27:32:511 | STP |
| | 45150 | REPORTTPA82 | colc022 | NABAATWWXXX | OCSDATWWXXX | Out | Processed | 24/09/2021 16:51:09:024 | TPAUser |
| | 43760 | AARRAZA782 | colr.020 | NABAATWWXXX | OCSDATWWXXX | Out | Processed | 24/09/2021 09:32:25:969 | CSDUter |
| | 41730 | StatusTPA12 | colr.020 | NABAATWWXXX | OCSDATWWXXXX | Out | Processed | 23/09/2021 14:44:55:775 | TPAUser |
| | 39430 | REPORTTPAI | coir.022 | NABAATWWXXX | OCSDATWWXXX | Out | Processed | 23/09/2021 09:43:33:081 | ATCB005 |
| | 39800 | REPORTTPA3 | coir.022 | NABAATWWXXX | OCSDATWWXXX | Out | Processed | 23/09/2021 10:13:49:022 | TPAUser |
| | 39760 | REPORTTPA3 | colc022 | NABAATWWXXX | OCSDATWWXXX | Out | Processed | 23/09/2021 10:12:48:010 | TPAUser |
| | 39670 | REPORTTPA2 | colc022 | NABAATWWXXX | OCSDATWWXXX | Out | Processed | 23/09/2021 10:04:25:458 | STP |
| | | | pplr 022 | NABAATWWXXX | OCSDATWWXXX | Out | Processed | 23/09/2021 10:03:50:531 | CSDUser |
| | 39650 | AARRA270752 | 000.022 | TONDON LITTERANA | | | | | |

| Admi.007 Sent to CPTY – List screen | | |
|-------------------------------------|---|--|
| Column | Description | |
| Message Iden- tifier | Shows the Reference of the notification message | |
| Related Reference | Shows the related reference. | |
| Related Mes- sage Name | Shows the name of the related message. | |



| Sender Ad- dress | Shows the BIC address of the sender of the message. |
|------------------------|--|
| Receiver Address | Shows the BIC address of the receiver of the message. |
| Direction | Indicator stating that the notification has been received or sent by the ECMS. Possible values: |
| | _ In |
| | - Out |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: |
| | - Prepared |
| | - Impacted |
| | - Impact Failed |
| | - Rejected |
| | - Archived |
| | - Processed |
| | - Processed with Failure |
| | - On Hold |

| Error Descrip- | Shows the error description (if there is any). |
|-------------------|---|
| tion | |
| Updater User | Identifier of the user responsible for the last update of the instruction. |
| ld. | |
| Update Date | Date and time when the instruction was last updated in the ECMS. |
| | Shows format is: DD/MM/YYYY hh:mm:ss:µs. |
| Button | Function |
| Reprocess | [Only for notifications Received] |
| | This function enables the user to reprocess the selected message (only available for users with appropriate rights). |
| Reprocess All | [Only for notifications Received] |
| | This function enables the user to reprocess all the messages in List screen (only available for users with appropriate rights). |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| View Message | This function enables you to access to the detailed information of the messages for same notification. |
| | - View Message - Details Screen |
| View Message | - Details Screen |
| Field | Description |
| Message Reference | Shows the reference of the messge. |
| Direction | Shows whether the notification has been an input or output. Possible values: |
| | – In |



| | - Out | | |
|---|---|--|--|
| Status | Shows the status of the message. | | |
| After selecting a record, the following buttons are displayed | | | |
| Button | Function | | |
| Download | This function enables you to access to the detailed information of the original message in XML format. | | |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | | |

3.4.9.2 Standing Facilities Notifications

The Standing Facilities Notifications functionality provides the NCB users and Counterparty users with notification information on the Marginal Lending instructions that have been processed in the ECMS, according to the following access:

- MLOR Instruction Notifications NCBs and CPTYs
- MLOR Cancellation Notifications NCBs and CPTYs
- MLOR Status Notifications NCBs and CPTYs
- AML Instruction Notifications NCBs only.

3.4.9.2.1 MLOR Instruction Notifications – Search Screen

| This screen contains a number of search fields and shows the latest and stored searches. By inputting the relevant data, you can search for the MLOR Notifications. | | | | |
|---|---|--|---|--|
| | | | | entry, you |
| Collateral and Cre | dit >> Notifica | tions >> Sta | anding Facilities Noti | fications |
| >> MLOR Instructi | on Notification | ns | - | |
| Search Criteria: Exposures Notification Message 1s ** * Pool 4s ** * Instructed Agent ** * Update Date ** * | Instructing Agent | • | End-to-End lid ★★ ▼ Debtor ★★ Settlement Date ▼ ▼ | ₩ A |
| | stored searches. EMLOR Notification The search results can proceed further Collateral and Cre >> MLOR Instructi Search Criteria: Exposures Notification Message ta == * Ped ta == * Instructed Agent == * | stored searches. By inputting the MLOR Notifications. The search results will be displaced proceed further by clicking of Collateral and Credit >> Notification Search Criteria: Exposures Notification Search Criteria: Exposures Notification Massage Is Pool Is The Instruction Agent Control of C | stored searches. By inputting the relevant of MLOR Notifications. The search results will be displayed in a list can proceed further by clicking on the butto Collateral and Credit >> Notifications >> States >> MLOR Instruction Notifications Search Criteria: Exposures Notification Search Criteria: Exposures Notification | stored searches. By inputting the relevant data, you can search MLOR Notifications. The search results will be displayed in a list. After selecting an examproceed further by clicking on the buttons that are shown. Collateral and Credit >> Notifications >> Standing Facilities Notifications Search Criteria: Exposures Notification Search Criteria: Exposures Notification Search Criteria: Exposures Notification |

| MLOR Instruction Notifications – Search screen | | | |
|--|---|--|--|
| Field | Description | | |
| Message Identifier | Enter/Select the reference that uniquely identifies the notification. | | |
| Instruction Identifier | Enter/Select the reference that uniquely identifies the instruction generating the notification. | | |
| End-to-End Identifier | Enter/Select the End-to-End Identifier that uniquely identifies the transaction throughout the lifecycle. | | |
| Pool Id | Enter/Select the identifier of the Pool providing the assets. | | |
| Instructing Agent | Enter/Select the identifier that uniquely identifies the Instructing Agent. | | |
| Debtor | Enter/Select the identifier that uniquely identifies the Debtor. | | |
| Instructed Agent | Enter/Select the identifier that uniquely identifies the Instructed Agent. | | |



| Creditor | Enter/Select the identifier that uniquely identifies the Creditor. |
|-------------|--|
| Settlement | Enter/Select the Settlement date. |
| Date | The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY. |
| Update Date | Enter/Select the date and time of the last update. |
| | The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY. |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |

3.4.9.2.1.1 MLOR Instruction Notifications – List screen

| Context of Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. This function is available only in U2A mode. | | | | | | |
|---------------------|---|---|---|-------------|--|-----------|--|
| Screen Access | | truction Notif | otifications >> ications >> Cli s, if needed) | _ | | | |
| Screenshot | Search Result : Exposures Notification | Octobre 8 Postocucing Ag2 Condition 8 BIDEFERPPOXX CEXCTFCCOIX SAEFFPPOXX BIDEFERPPOXX CEXCTFCCOIX SAEFFPPOXX BOFERPPOXX CEXCTFCCOIX SAEFFPPOXX | Instructed Agr | Amount \$ □ | Notification N2 Notifications 32 Modifications 42 Modification 14 Notifications 42 Mod Notifications 42 Mod Notifications 42 Mod Notification 1 Impacted N | © 100 € 0 | |

| MLOR Instruction Notifications – List Screen | | | | |
|--|--|--|--|--|
| Field | Description | | | |
| Message Identifier | Shows the reference that uniquely identifies the notification. | | | |
| End-to-End Identifier | Shows the End-to-End Identifier that uniquely identifies the transaction throughout the lifecycle. | | | |
| Instruction Identifier | Shows the reference that uniquely identifies the instruction generating the notification. | | | |
| Pool Identifier | Shows the identifier of the Pool providing the assets. | | | |
| Instructing Agent | Shows the identifier that uniquely identifies the Instructing Agent. | | | |
| Debtor | Shows the identifier that uniquely identifies the Debtor. | | | |
| Instructed Agent | Shows the identifier that uniquely identifies the Instructed Agent. | | | |
| Creditor | Shows the identifier that uniquely identifies the Creditor. | | | |
| Instruction Description | Shows the type of instruction. Possible values: "MLOR" | | | |



| Notification | Shows the type of notification. Possible values: |
|-----------------|---|
| Name | "Credit Transfer Notification" |
| | "MLOR Instruction Notification" |
| Amount | Shows the amount. |
| Currency | Shows "EUR". |
| Settlement | Shows the business date on which instruction was settled. |
| Date | Required format is: DD/MM/YYYY. |
| Notification | Shows the status. |
| Status | |
| Update Date | Shows the date and time of the last update. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| • | Shows the identification of the user that made the last update. |
| ld | |
| After selecting | a record, the following buttons are displayed |
| Button | Function |
| View Mes- | This function enables you to access to the detailed information of mes- |
| sage | sage for an instruction. |
| Download | This function enables you to download the instruction selected. |
| | |

3.4.9.2.2 MLOR Cancellation Notifications – Search Screen

| Context of Usage | This screen contains a number of search fields and shows the latest and stored searches. By inputting the relevant data, you can search for the MLOR Cancellation Instructions. |
|------------------|--|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |
| | This function is available only in U2A mode. |
| Screen Access | Collateral and Credit >> Notifications >> Standing Facilities Notifications >> MLOR Cancellation Instruction Status Notifications |
| Screenshot | Mod Consolution Internation Datable Newton Consolution Internation Datable Notification Season Notification International Agent V Internat |

| MLOR Cance | Ilation Notifications – Search screen |
|---------------------------------------|---|
| Field | Description |
| Message Id | Enter/Select the identifier that uniquely identifies the notification. |
| Instructing Agent | Enter/Select the identifier that uniquely identifies the Instructing Agent. |
| Instructed Agent | Enter/Select the identifier that uniquely identifies the Instructed Agent. |
| Cancellation Status | Enter/Select the status of the Cancellation. |
| Original Mes- sage Identi- fier | Enter/Select the reference that uniquely identifies the Original Message. |



| _ | Enter/Select the End-to-End Identifier that uniquely identifies the Original transaction throughout the lifecycle. |
|----------------------------|--|
| Original Mes- sage Name | Enter/Select the name that identifies the Original Message. |
| Notification Status | Enter/Select the status of the notification. |
| Update Date | Enter/Select the update date. |
| | The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY. |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |

3.4.9.2.2.1 MLOR Cancellation Notifications – List screen

| Context of Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. This function is available only in U2A mode. | | | | | | | | | | | | |
|---------------------|---|--|--|---|---|---|---|--|--|---|-------------------------------------|---|---|
| Screen Access | >> ML | OR (| Canc | ellatio | on Ins | otifications truction S (after inp | tatus | Notif | catio | ns >: | > Dis | play > | >> |
| | Search result : Pa | vment Cancellat | ion Status Notif | ication | | | | | | | | | _ |
| Screenshot | | , | | | | | | | | | | | _ |
| Screenshot | 10 🔻 | , | | | | K < Page 1 of 2 > | | | | | | | |
| Screenshot | ■ Message Referé | Instructed Ageni | Instructing AgeS | Cancellation Sta | Original Messag. | Original Messag 2 Original Instruct | Original End-To- | Original UETR 6 | | | | ▽ Update Date Φ ▽ | Update User Id ♥? |
| Screenshot | | Instructed Ageni | | Cancellation State accepted accepted | 2 Original Messag.2 MSG-ISA2402202 MSG-ISA2402202 | | | Original UETR C7777003-0000-4 | Notification Na Standing Facilitie Standing Facilitie | Notifications St Processed Processed | Direction • | | |
| Screenshot | Message Referé | Instructed Agen ISAEFRPPACT | Instructing AgeS | accepted | MSG-ISA2402202 | Original Messag 2 Original Instruct | Original End-To-S E2E-ISA2402202 | c7777003-0000-4_ | Standing Facilitie | Processed | Out | Update Date © 05/04/2022 13:4 | Update User Id \$7 ECMS OPERATO |
| Screenshot | Message Referé CNCL000000000 | Instructed Agent ISAEFRPPAC1 ISAEFRPPAC1 ISAEFRPPAC1 | Instructing AgeS CBXXTFC001X CBXXTFC001X | accepted accepted | MSG-ISA2402202 MSG-ISA2402202 | Original Messag. Original Instruct INST-ISA2402202 INST-ISA2402202 | Original End-To- E2E-ISA2402202 E2E-ISA2402202 | c7777003-0000-4_ c7777003-0000-4_ | Standing Facilitie Standing Facilitie | Processed Processed | Out | Update Date \$ \$\times\$ 05/04/2022 13:4 05/04/2022 13:4 | Update User Id ©? ECMS OPERATO ECMS OPERATO |
| Screenshot | Message Referé | Instructed Agent ISAEFRPPAC1 ISAEFRPPAC1 ISAEFRPPAC1 | Instructing AgeS CBXXTFC001X CBXXTFC001X | accepted accepted accepted | MSG-ISA2402202 MSG-ISA2402202 MSG-ISA2402202 | Original Messag. Original Instruct INSTHSA2402202 INSTHSA2402202 INSTHSA2402202 | Original End-To-2 E2E+ISA2402202 E2E+ISA2402202 E2E+ISA2402202 | c7777003-0000-4_ c7777003-0000-4_ c7777003-0000-4_ | Standing Facilitie Standing Facilitie Standing Facilitie | Processed Processed Processed | Out Out Out | © Update Date ◆ © 05/04/2022 13:4 05/04/2022 13:4 05/04/2022 13:4 | Update User Id ©? ECMS OPERATO ECMS OPERATO ISAEFRA2A01 |
| Screenshot | Message Referé CNCL000000000 CNCL000000000 CNCL0000000000 CNCL0000000000 CNCL0000000000 CNCL00000000000000000000000000000000000 | Instructed Agent ISAEFRPPACT ISAEFRPPACT ISAEFRPPACT ISAEFRPPACT ISAEFRPPACT ISAEFRPPACT ISAEFRPPACT | Instructing AgeS CBXXTFC001X CBXXTFC001X CBXXTFC001X CBXXTFC001X CBXXTFC001X CBXXTFC001X | accepted accepted accepted rejected accepted rejected | MSG-ISA2402202_ MSG-ISA2402202_ MSG-ISA2402202_ MSG-ISA2402202_ MSG-ISA2402202_ MSG-ISA2402202_ | Original Messag. Original Instruct INST4SA2402202 INST4SA2402202 INST4SA2402202 INST4SA2402202 INST4SA2402202 INST4SA2402202 INST4SA2402202 | Original End-To- EZE-ISA2402202 EZE-ISA2402202 EZE-ISA2402202 EZE-ISA2402202 EZE-ISA2402202 EZE-ISA2402202 | c7777003-0000-4_ c7777003-0000-4_ c7777003-0000-4_ c7777003-0000-4_ c7777003-0000-4_ | Standing Facilitie Standing Facilitie Standing Facilitie Standing Facilitie Standing Facilitie Standing Facilitie | Processed Processed Processed Processed Processed Processed | Out Out Out Out Out Out Out | 05/04/2022 13:4 05/04/2022 13:4 05/04/2022 13:4 05/04/2022 13:4 05/04/2022 12:4 05/04/2022 12:2 | Update User Id \$\bigsize\$ ECMS OPERATO ECMS OPERATO ISAEFRA2A01 ISAEFRA2A01 ISAEFRA2A01 ISAEFRA2A01 |
| Screenshot | Message Referé CNCL000000000. CNCL000000000. CNCL000000000. CNCL000000000. CNCL000000000. CNCL000000000. | Instructed Agen ISAEFRPPACI ISAEFRPPACI ISAEFRPPACI ISAEFRPPACI ISAEFRPPACI ISAEFRPPACI ISAEFRPPACI ISAEFRPPACI | Instructing Age. CBXXTFC001X CBXXTFC001X CBXXTFC001X CBXXTFC001X CBXXTFC001X CBXXTFC001X CBXXTFC001X CBXXTFC001X | accepted accepted accepted rejected accepted rejected accepted accepted | MSG-ISA2402202_ MSG-ISA2402202_ MSG-ISA2402202_ MSG-ISA2402202_ MSG-ISA2402202_ MSG-ISA2402202_ MSG-ISA2402202_ MSG-ISA2402202_ | Original Missasg_ | Original End-To-5 E2E-ISA2402202 E2E-ISA2402202 E2E-ISA2402202 E2E-ISA2402202 E2E-ISA2402202 E2E-ISA2402202 E2E-ISA2402202 E2E-ISA2402202 E2E-ISA2402202 | c7777003-0000-4_ c7777003-0000-4_ c7777003-0000-4_ c7777003-0000-4_ c7777003-0000-4_ c7777003-0000-4_ | Standing Facilitie Standing Facilitie Standing Facilitie Standing Facilitie Standing Facilitie Standing Facilitie Standing Facilitie | Processed Processed Processed Processed Processed Processed Processed | Out Out Out Out Out Out Out Out Out | Update Date 4 V 05/04/2022 13:4 05/04/2022 13:4 05/04/2022 13:4 05/04/2022 13:4 05/04/2022 12:2 05/04/2022 12:1 05/04/2022 12:1 05/04/2022 12:0 | Update User Id &? ECMS OPERATO ECMS OPERATO ISAEFRAZA01 ISAEFRAZA01 ISAEFRAZA01 ISAEFRAZA01 ECMS OPERATO |
| Screenshot | Message Referé CNCL000000000 CNCL000000000 CNCL0000000000 CNCL0000000000 CNCL0000000000 CNCL00000000000000000000000000000000000 | Instructed Agent ISAEFRPPACI | Instructing AgeS CBXXTFC001X CBXXTFC001X CBXXTFC001X CBXXTFC001X CBXXTFC001X CBXXTFC001X | accepted accepted accepted rejected accepted rejected | MSG-ISA2402202_ MSG-ISA2402202_ MSG-ISA2402202_ MSG-ISA2402202_ MSG-ISA2402202_ MSG-ISA2402202_ | Original Messag. Original Instruct INST4SA2402202 INST4SA2402202 INST4SA2402202 INST4SA2402202 INST4SA2402202 INST4SA2402202 INST4SA2402202 | Original End-To- EZE-ISA2402202 EZE-ISA2402202 EZE-ISA2402202 EZE-ISA2402202 EZE-ISA2402202 EZE-ISA2402202 | c7777003-0000-4_ c7777003-0000-4_ c7777003-0000-4_ c7777003-0000-4_ c7777003-0000-4_ | Standing Facilitie Standing Facilitie Standing Facilitie Standing Facilitie Standing Facilitie Standing Facilitie | Processed Processed Processed Processed Processed Processed | Out Out Out Out Out Out Out | 05/04/2022 13:4 05/04/2022 13:4 05/04/2022 13:4 05/04/2022 13:4 05/04/2022 12:4 05/04/2022 12:2 | Update User Id \$\bigsize\$ ECMS OPERATO ECMS OPERATO ISAEFRA2A01 ISAEFRA2A01 ISAEFRA2A01 ISAEFRA2A01 |
| Screenshot | Message Referé CNCL000000000. CNCL000000000. CNCL000000000. CNCL000000000. CNCL000000000. CNCL000000000. | Instructed Agen ISAEFRPPACI ISAEFRPPACI ISAEFRPPACI ISAEFRPPACI ISAEFRPPACI ISAEFRPPACI ISAEFRPPACI ISAEFRPPACI | Instructing Age. CBXXTFC001X CBXXTFC001X CBXXTFC001X CBXXTFC001X CBXXTFC001X CBXXTFC001X CBXXTFC001X CBXXTFC001X | accepted accepted accepted rejected accepted rejected accepted accepted | MSG-ISA2402202_ MSG-ISA2402202_ MSG-ISA2402202_ MSG-ISA2402202_ MSG-ISA2402202_ MSG-ISA2402202_ MSG-ISA2402202_ MSG-ISA2402202_ | Original Missasg_ | Original End-To-5 E2E-ISA2402202 E2E-ISA2402202 E2E-ISA2402202 E2E-ISA2402202 E2E-ISA2402202 E2E-ISA2402202 E2E-ISA2402202 E2E-ISA2402202 E2E-ISA2402202 | c7777003-0000-4_ c7777003-0000-4_ c7777003-0000-4_ c7777003-0000-4_ c7777003-0000-4_ c7777003-0000-4_ | Standing Facilitie Standing Facilitie Standing Facilitie Standing Facilitie Standing Facilitie Standing Facilitie Standing Facilitie | Processed Processed Processed Processed Processed Processed Processed | Out Out Out Out Out Out Out Out Out | Update Date 4 V 05/04/2022 13:4 05/04/2022 13:4 05/04/2022 13:4 05/04/2022 13:4 05/04/2022 12:2 05/04/2022 12:1 05/04/2022 12:1 05/04/2022 12:0 | Update User Id ECMS OPERATO ECMS OPERATO ISAEFRA2A01 ISAEFRA2A01 ISAEFRA2A01 ISAEFRA2A01 ECMS OPERATO |

| MLOR Cance | MLOR Cancellation Notifications – List Screen | | | | |
|-----------------------------|--|--|--|--|--|
| Field | Description | | | | |
| Message Reference | Shows the reference that uniquely identifies the notification. | | | | |
| Instructing Agent | Shows the identifier that uniquely identifies the Instructing Agent. | | | | |
| Instructed Agent | Shows the identifier that uniquely identifies the Instructed Agent. | | | | |
| Cancellation Status | Shows the status of the Cancellation. | | | | |
| Original Message Identifier | Shows the reference that uniquely identifies the Original Message. | | | | |



| Original Mes- sage Name | Shows the name that identifies the Original Message. |
|---|---|
| Original In- struction Identifier | Shows the reference that uniquely identifies the Original Instruction. |
| | Shows the End-to-End Identifier that uniquely identifies the Original transaction throughout the lifecycle. |
| Original UETR | Shows the UETR universally unique identifier generated by the initiating party of a transaction that identifies the Original Message. |
| Notification | Shows the type of notification. Possible values: |
| Name | "Standing Facilities Cancellation" |
| Notification Status | Shows the status. |
| Direction | Shows the direction. Possible values: "In", "Out". |
| Update Date | Shows the date and time of the last update. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update. |
| After selecting | a record, the following buttons are displayed |
| Button | Function |
| View Mes- sage | This function enables you to access to the detailed information of message for a notification. |
| Download | This function enables you to download the notification selected. |
| | |

3.4.9.2.3 MLOR Status Notifications – Search Screen

| Context of Usage | This screen contains a number of search fields and shows the latest and stored searches. By inputting the relevant data, you can search for the MLOR Status Notifications. | | | | | |
|--------------------|---|-------|--|--|--|--|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. | | | | | |
| | This function is available only in U2A mode. | | | | | |
| Coroon Ao | Outletonel and Outlites Nieffartian so Otandian Facilities Nieffarti | | | | | |
| Screen Ac- cess | Collateral and Credit >> Notifications >> Standing Facilities Notifications >> MLOR Instruction Status Notifications | ons | | | | |
| | · · · · · · · · · · · · · · · · · · · | ons | | | | |
| cess | >> MLOR Instruction Status Notifications | | | | | |
| cess | >> MLOR Instruction Status Notifications Search Criteria: Payment Status Notification Message ld: " " Criginal Message ld: " " Criginal Message ld: " " Notifications Status " " Notifications Status " " Notifications Status " " " " Notifications Status " " " Notifications Status " " " " " " " " " " " " " " " " " " " | | | | | |
| cess | >> MLOR Instruction Status Notifications Search Criteria : Payment Status Notification Message Id ** * * Original Message Id ** * Original End To God Id ** * | 22 ZZ | | | | |

| MLOR Status Notifications – Search screen | | | | |
|---|---|--|--|--|
| Field | Description | | | |
| Message Identifier | Enter/Select the reference that uniquely identifies the notification. | | | |
| Original Mes- sage Identi- fier | Enter/Select the reference that uniquely identifies the Original Message. | | | |



| | Enter/Select the Original End-to-End Identifier that uniquely identifies the Original transaction throughout the lifecycle. |
|------------------------|--|
| Original Instruction | Enter/Select the reference that uniquely identifies the Original instruction generating the notification. |
| Transaction Status | Enter/Select the status of the Transaction. |
| Notification Status | Enter/Select the status of the notification. |
| Date | Enter/Select the date and time of the processing. |
| | The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY. |
| Update Date | Enter/Select the date and time of the last update. |
| | The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY. |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |

3.4.9.2.3.1 MLOR Status Notifications – List screen

| Context of Usage | te fa in | ed by ault se ng on | reen co the valu tting). A the butt nction is | ies of After so ons be | the 'Up electing elow. | odate E g an er | oate' contry, yo | olumn i ou can | n des | cendin | g orde | r (de- |
|------------------|----------------|---------------------------|---|------------------------------|--|---|-------------------------------|---|--------|--------------------------------------|-----------------------|--------------------|
| 0 | - | | | | | | | | : | :!!!4: | N1-4:6:- | -4: |
| Screen Access | > | > ML(| ral and OR Inst button | ructior | n Status | s Notif | ication | s >> D | isplay | >> Cli | | |
| Screenshot | | | nent Status Notification | | | | | | | | | |
| | 10 | · • | - | | 100 | K < Page 1 | | | | | | ()□□ |
| | E | Message Id ♥ 35056620 | ♥ Original Message Id ◆ MSG-ISA06042022023 | Original Message Na. | ☑ Original Instruction Id: INST-ISA06042022023 | Criginal End-To-End (S) E2E-ISA06042022023 | Transaction Status Rejected | | | Notifications Status ♥ Processed | 15/05/2022 19:51:16:9 | Update User Id • 🔽 |
| | - | 32086620 | MSG-ISAU0042022023 STDFAC0000000342 | pacs.uu9 | STDFAC0000000342 | STDFAC0000000342 | Rejected | Marginal Lending Statu Marginal Lending Statu | | Processed Processed | 12/05/2022 11:14:58:2 | |
| | 8 | 32076620 | STDFAC0000000341 | | STDFAC0000000341 | STDFAC0000000341 | Rejected | Marginal Lending Statu | | Processed | 12/05/2022 10:01:47:4 | |
| | 10 | 31986620 | STDFAC0000000339 | | STDFAC0000000339 | STDFAC0000000339 | Rejected | Marginal Lending Statu | Out | Processed | 11/05/2022 20:42:22:8 | ECMS OPERATOR 1 |
| | | 31976620 | STDFAC0000000338 | | STDFAC0000000338 | STDFAC0000000338 | Rejected | Marginal Lending Statu | Out | Processed | 11/05/2022 20:40:23:8 | ECMS OPERATOR 1 |
| | | 31966620 | STDFAC0000000337 | | STDFAC0000000337 | STDFAC0000000337 | Rejected | Marginal Lending Statu | Out | Processed | 11/05/2022 20:38:17:0 | ECMS OPERATOR 1 |
| | | 31956620 | STDFAC0000000336 | | STDFAC0000000336 | STDFAC0000000336 | Rejected | Marginal Lending Statu | | Processed | 11/05/2022 20:33:01:1 | ECMS OPERATOR 1 |
| | | 31946620 | STDFAC0000000335 | | STDFAC0000000335 | STDFAC0000000335 | Rejected | Marginal Lending Statu | | Processed | 11/05/2022 20:20:47:9 | |
| | | 31936620 | STDFAC0000000334 | | STDFAC0000000334 | STDFAC0000000334 | Rejected | Marginal Lending Statu | | Processed | 11/05/2022 20:17:43:6 | |
| | | 27896620 | | pacs.009 | INST-ISA06042022022 | E2E-ISA05042022022 | Closed | Marginal Lending Statu | out | Processed | 10/05/2022.19:13:49:6 | EURS OFERAIUR I |

| MLOR Status | MLOR Status Notifications – List Screen | | | | | |
|---------------------------------------|--|--|--|--|--|--|
| Field | Description | | | | | |
| Message Identifier | Shows the reference that uniquely identifies the notification. | | | | | |
| Original Mes- sage Identi- fier | Shows the reference that uniquely identifies the Original Message. | | | | | |
| Original Mes- sage Name | Shows the name that identifies the Original Message. | | | | | |



| Original Instruction | Shows the reference that uniquely identifies the Original Instruction. |
|------------------------|---|
| • | Shows the End-to-End Identifier that uniquely identifies the Original transaction throughout the lifecycle. |
| Transaction Status | Shows the status. |
| Notification | Shows the type of notification. Possible values: |
| Name | "Marginal Lending Status", ""Marginal Lending Status Rejection" |
| Direction | Shows the direction. Possible values: "In", "Out". |
| Notification Status | Shows the status. |
| Update Date | Shows the date and time of the last update. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update. |
| After selecting | a record, the following buttons are displayed |
| Button | Function |
| View Mes- sage | This function enables you to access to the detailed information of message for a notification. |
| Download | This function enables you to download the instruction selected. |

3.4.9.3 Credit Freezing Notifications

The Credit Freezing Notifications functionality provides the users with notification information on the Credit Freezing instructions that have been processed in the ECMS.

3.4.9.3.1 Credit Freezing Notifications - Search Screen

| Context of Usage | This screen contains a number of search fields and shows the latest and stored searches. By inputting the relevant data, you can search for the Credit Freezing Notifications. The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. | | | | | |
|------------------|--|---|---------|-------------------------------------|-----------|--|
| Screen Access | Collateral and (| Credit >> Notification > Freezing Instruction | >> Cred | it Freezing N | Notifica- | |
| Screenshot | Search Criteria : Credit Freezing Notification Message M Mode Notifications Status Thosat | Pool Identifier Direction Creation Date | Ď | Credit Freezing Type • Value Date • | ₹ A | |

| Credit Freezing Notifications – Search screen | | | | |
|---|--|--|--|--|
| Field | Description | | | |
| Message Id | Enter/Select the reference that uniquely identifies the message. | | | |
| Pool Identifier | Enter/Select the identifier that uniquely identifies the Pool. | | | |



| Credit Freezing Type | Enter/Select the credit freezing type |
|----------------------|--|
| Mode | Enter/Select the Update mode: |
| | Required: "DELTA" or "CANCEL AND REPLACE". |
| Direction | Enter/Select from a drop-down menu. |
| | Possible values: "In", "Out". |
| Value Date | Enter/Select the value date of the notification (Intended Settlement Date). |
| | The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY. |
| Notification Status | Enter/Select from a drop-down list the possible status that could be: |
| | - Processed |
| | - Processed With Failure |
| | - Impacted |
| | - Impact Failed |
| | - Archived |
| | - Rejected |
| Creation Date | Enter/Select the creation date of the notification. |
| | The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY hh:mm:ss:sss |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | Credit Freezing Notifications – List Screen. |

3.4.9.3.2 Credit Freezing Notifications – List Screen

| Context of Us- age | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. |
|-----------------------|---|
| Screen Access | Collateral and Credit >> Notification >> Credit Freezing Notifications >> >> Credit Freezing Instruction >> Click on the <i>search</i> button (after inputting the relevant fields, if needed) |



| creenshot | Se | arch Result : Credit I | Freezing Notification | | | | | | | | ^ |
|-------------|-----|------------------------|-----------------------|------------------------|-----------|---------------|--------------------|-----------|----------------------|-----------------|-----------------------|
| Cicciisiict | 1 | 0 🔻 | | | | | | | | Q 2085 | * 4 日(5 分 |
| | | Message Id ¢ | Pool Identifier | Credit Freezing Type 🗢 | Amount | Value Date \$ | Mode + 5 | Direction | Notifications Status | Update User Id | Update Date 🗢 🦁 |
| | | 139516620 | POOL000000000204 | | 50000000 | 08/07/2022 | DELTA | Out | Processed | STP | 08/07/2022 16:22:58:4 |
| | | 139456620 | POOL000000000144 | | 100000000 | 08/07/2022 | CANCEL AND REPLACE | Out | Processed | ECMS OPERATOR 1 | 08/07/2022 15:33:55:0 |
| | | 139446620 | POOL000000000144 | | -65000000 | 08/07/2022 | DELTA | Out | Processed | ECMS OPERATOR 1 | 08/07/2022 15:22:48:3 |
| | | 139426620 | POOL000000000204 | CPTY | 54000000 | 08/07/2022 | Delta | Out | Processed | STP | 08/07/2022 14:22:36:1 |
| | | 139396620 | POOL0000000000204 | CPTY | 0 | 08/07/2022 | CancelAndReplace | Out | Processed | STP | 08/07/2022 14:17:29:1 |
| | | 139326620 | POOL000000000204 | CPTY | 54000000 | 08/07/2022 | CancelAndReplace | Out | Processed | STP | 08/07/2022 12:37:44:5 |
| | E3 | 138156620 | POOL000000000204 | DISC | 1000000 | 08/07/2022 | Delta | Out | Processed | STP | 07/07/2022 20:24:43:3 |
| | | ADDRESSCACHE05 | POOL000000000204 | DISC | 1000000 | 08/07/2022 | INCR | In | Impacted | FRCB-A2A-02 | 07/07/2022 20:24:24:1 |
| | E | 138126620 | POOL000000000204 | DISC | 1000000 | 08/07/2022 | Delta | Out | Processed | STP | 07/07/2022 20:22:33:3 |
| | 100 | ADDRESSCACHE01 | PD0L000000000204 | DISC | 1000000 | 08/07/2022 | INCR | In | Impacted | FRCB-A2A-02 | 07/07/2022 20:22:03:9 |

| Credit Freezing N | Credit Freezing Notifications – List Screen | | | | |
|-------------------------------|--|--|--|--|--|
| Field | Description | | | | |
| Message Id | Shows the reference that uniquely identifies the notification. | | | | |
| Pool Id | Shows the identifier that uniquely identifies the Pool. | | | | |
| Credit Freezing Type | Shows the Credit Freezing Type. | | | | |
| Amount | Shows the amount for the notification. | | | | |
| Update mode | Shows the update mode: "DELTA" or "CANCEL AND REPLACE". | | | | |
| Intended Settle- ment Date | Shows the business settlement date on which the instruction will be settled. | | | | |
| | Displayed format is: DD/MM/YYYY. | | | | |
| Notification Status | Shows the notification status of the notification. | | | | |
| Direction | Shows the message direction (In or Out) of ECMS. | | | | |
| Error description | Shows the description of the error. | | | | |
| Update Date | Shows the date and time of the last update. | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | |
| Updater User Id | Shows the identification of the user that made the last update. | | | | |
| | | | | | |
| After selecting a re | ecord, the following buttons are displayed | | | | |
| Button | Function | | | | |
| Download | This function enables you to download the notification selected. | | | | |

3.4.9.4 MaCL Notifications

3.4.9.4.1 MaCL Notification - Search Screen

| Context of Usage | This screen contains a number of search fields and shows the latest and stored searches. By inputting the relevant data, you can search for the notification MaCL. The search results will be displayed in a list. After selecting an entry, |
|------------------|---|
| | you can proceed further by clicking on the buttons that are shown. |
| Screen Ac- | Collateral and Credit >> Notification >> MaCL Notifications >> MACL |
| cess | Instruction |





| MaCL Notifica | MaCL Notification – Search screen | | | | | |
|------------------------------------|--|--|--|--|--|--|
| Field | Description | | | | | |
| Transaction Reference Number | Enter/Selct the unique identifier of the instruction in the ECMS: automatically field in | | | | | |
| Pool Identifier | Enter/Select from the drop-down menu the Pool ID. | | | | | |
| Instructing Party | Enter/Select from the drop-down menu the intructing party That initiated the instruction | | | | | |
| Instruction | Enter/Select the Instruction Date of the creation of the MaCL. | | | | | |
| Date | Required format is: DD/MM/YYYY hh:mm:ss:µs | | | | | |
| Intended Set- tlement Date | Enter/Select the ISD (equal or posterior to the current ECMS instruction date) | | | | | |
| | Required format is: DD/MM/YYYY | | | | | |
| Status | Enter/Select the status of the MaCL. | | | | | |
| In / Out | Enter/Select if the MaCL notification is In or Out from ECMS. | | | | | |
| Button | Function | | | | | |
| Reset | This function enables you to clear the form. | | | | | |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. | | | | | |

3.4.9.4.2 MaCL Notification - List Screen

| Context of Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Creation Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. | | | | | | | |
|---------------------|--|--|--|--|--|---|--|--|
| Screen Ac- | Collat | eral and | | | >> MaCL N | | | |
| cess | | ction >> if neede | Click on the ed) | Search b | outton (after | inputting | g the re | elevant |
| cess | | if neede | | Search b | outton (after | inputting | g the re | elevant |
| | fields, | if neede | | Search b | | inputting | g the re | |
| cess | fields, Search Result : IDL Ma | if neede | (Rithrinoid V Account Owner 3 | K < Prese 1 of 25 > ▽ Proof 10 8 | K C C C C C C C C C C C C C C C C C C C | ▽ Notification Status 6 | ♥ Updsie Dale 8 | Q 242 () \Box Q \star ∇ Q Update User M S |
| cess | fields, Search Result: IDL Me 10 Russness Peference 8 MACLESS2006210012 | if needs | Reference 8 Account Owner 8 TODGS ACCOUNT ORDER TO PROVIDE THE PRO | K | Amount 8 Convection 8 | Notifications Status 6 Processed | Update Date © 27/05/2022 10 59 27/181 | Q.242 () = (1) × 9 (1) (bother bland is sold obstaction in |
| cess | fields, Search Result: IDL Mo 10 * Rusiness Reference 0 MACLIQUIZEDE/19912 MACLIQUIZEDE/19915 | if needs ax Notification Message Reference 8 103246635 90336635 | (Merence 8 / Account Cheer 8 | K < Page 1 das > **ProcL000000000000000000000000000000000000 | Ancert 6 | ♥ Note flusiones Status ® Processed Processed | Update Date 8 21,067,0022 (0.99.27.18) 09/05/2022 20:27.45.142 | Q.242 () I I I I I I I I I I I I I I I I I I |
| cess | Fields, Search Result : IDI. Me III = IDI. Me INACLEDIZACIONE 9 IDI. MACLEDIZACIONE SINCE MACLEDIZACIONE IDI. MACLEDIZACIONE | if needs ax Notification Message Reference 8 102204625 90106629 0006620 | (Motorica) Account Comme & (Motorica) Account (Motorica) Ac | | Amount 6 C Selection 6 500000000000 Out 5000000000 Out | ♥ Not fluctions Status ® Processed Processed Processed | \$2,000,000 to 9 27,181 09,000,000 22,245,142 0,000,000 22,27,85,142 0,000,000 23,759 | C_SES_() III (II + (V) (II |
| cess | Fields, Search Result: IDL Mo 18 Resultes Infraence 8 MACLEDIZENCE 1991 2 MACLEDIZENCE 1999 5 MACLEDIZENCE 1999 5 MACLEDIZENCE 1999 7 | if needs ax Notification Message Ridemone 6 10326625 9030625 2090625 | (Reference 8 | | Cascolor | Notifications Status 8 Processed Processed Processed | ▼ 100414 Date 8 21/06/2022 10 9 27 181 9696/2022 20 7 45 142 20,060/2022 17 18 1979 30/05/2022 12 99 97 486 | Q (242) (3) (2) to Q3 to Q5 (242) (2) (2) (2) (2) (2) (2) (2) (2) (2) (|
| cess | Fields, Search Result : IDI. Me III = IDI. Me INACLEDIZACIONE 9 IDI. MACLEDIZACIONE SINCE MACLEDIZACIONE IDI. MACLEDIZACIONE | if needs ax Notification Massage Reference 6 1000-000000 90036600 00096600 71500000 4367600 | | Not De 1 of 25 Post De Post | Annuar 8 CONSTRUCTION OF CONST | Nutifications Status 9 Processed Processed Processed Processed Processed | V ILDDIAN CILER 8 27/00/2022 10/59/27/18/1 0/00/50/2022 12/7/51-14/2 02/00/2022 17/18/19/27/5 02/00/2022 17/5/6/5/18/5/5/5/6/5/5/5/5/5/5/5/5/5/5/5/5/5/5/5/ | Code () in the x C C C C C C C C C C C C C C C C C C |
| cess | Fields, Search Result: IDL Mo 18 Resultes Infraence 8 MACLEDIZENCE 1991 2 MACLEDIZENCE 1999 5 MACLEDIZENCE 1999 5 MACLEDIZENCE 1999 7 | if needs ax Notification Message Ridemone 6 10326625 9030625 2090625 | (Reference 8 | | Cascolor | Notifications Status 8 Processed Processed Processed | ▼ 100414 Date 8 21/06/2022 10 9 27 181 9696/2022 20 7 45 142 20,060/2022 17 18 1979 30/05/2022 12 99 97 486 | Q (242) (3) (2) to Q3 to Q5 (242) (2) (2) (2) (2) (2) (2) (2) (2) (2) (|
| cess | Fields, Search Result: IDL Mo 18 Resultes Infraence 8 MACLEDIZENCE 1991 2 MACLEDIZENCE 1999 5 MACLEDIZENCE 1999 5 MACLEDIZENCE 1999 7 | if needs xx Motafication Massage Telemore 8 9056403 9056403 9056403 9056403 Motafication | Internal Account Owner 8 Trackada Guttermonx SISSEAD GUTERMONX SISSEAD GUTERMONX Trackada Guttermonx Adrickal Guttermonx Trackada Guttermonx | Post IC 8 | Amount 8 (Section 8) (Section | National Processed Processed Processed Processed Processed Processed Processed Recessed | 2 Tabeler Chare 8 27 (06/2022 10 99 27 101 99/96/2022 20 27 45 142 30/95/2022 12 5 142 30/95/2022 12 5 146 18/95/2022 12 5 146 18/95/2022 18/14 12 500 | QUESTION (*) IN THE REPORT OF |
| cess | Fields, Search Result : IDL Mo 18 ** Names Reference 0 NACLESCORES (1991) NACLESCORES (1991) NACLESCORES (1991) NACLESCORES (1991) NACLESCORES (1991) | if needs xx Notification Massay Pathenor 8 10004603 | | Note 1 of 25 1 of 25 | Amount 8 | Notification Status 8 Processed Processed Processed Record Report | ▼ 13/04/14 Dute 9 21/05/02/22 16/9 27 181 04/05/02/22 20 27 45 142 02/05/02/22 17 18/9 15/9 03/05/02/22 17 18/9 15/9 15/05/02/22 18/9 14/9 15/05/02/20 17 14/9 227 | QUERT () III (1) * V (1) Understanding to the production of the p |

| MaCL Notification – List Screen | | | | |
|------------------------------------|--|--|--|--|
| Field | Description | | | |
| Transaction Reference Number | Shows the unique identifier of the instruction in the ECMS | | | |

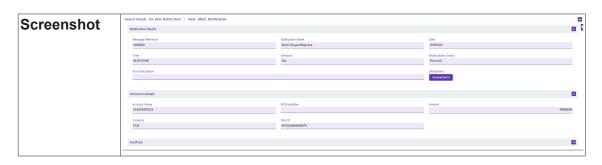


| Message Reference | Shows the message reference of the instruction in the ECMS |
|--|---|
| Counterparty Identifier | Shows the RIAD code of the counterparty in the ECMS |
| Pool Identifier | Shows from the drop-down menu the Pool ID. |
| Instructing Party Id | Shows from the drop-down menu the intructing party that iniitated the instruction |
| Instruction | Shows the Instruction Date of the creation of the MaCL. |
| Date | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Intended Set- tlement Date | Shows the ISD (equal or posterior to the current ECMS instruction date) |
| | Displayed format is: DD/MM/YYYY |
| Status | Shows the status of the MaCL. |
| Amount | Shows the amount of the MaCL (CPTY) |
| Amount of maximum credit line fixed by NCB | Shows the NCB amount |
| Compulsory Event | Shows if the event is compulsory or not ("Yes" or "No") |
| In / Out | Shows if the MaCL notification is In or Out from ECMS. |
| Update User Id | Shows the Updater User Id |
| After selecting a | a record, the following buttons are displayed |
| Button | Function |
| Download | This function enables you to access to the download of the MaCL notification. |
| | Next step: |
| | - Record the MaCL Notification. |
| View | This function enables you to access to the detailed information of a MaCL notification. |
| | Next screen: |
| | MaCL Notification – Details Screen. |
| - | |

3.4.9.4.3 MaCL Notification – Details Screen

| Context of Usage | This screen displays detailed information of the selected MaCL Notification. |
|------------------|---|
| Screen Access | Collateral and Credit >> Notification >> MaCL Notifications >> MaCL Instruction >> Click on the Search button (after inputting the relevant fields, if needed) >> Select a Transaction Reference Number >> Click on the View button |





| MaCL Notification | tion– Details screen |
|--|---|
| General Inform | nation |
| Field | Description |
| Transaction Reference Number | Shows the unique identifier of the instruction in the ECMS |
| Message Reference | Shows the message reference of the instruction in the ECMS |
| Counterparty Identifier | Shows the RIAD code of the counterparty in the ECMS |
| Pool Identifier | Shows from the drop-down menu the Pool ID. |
| Instructing Party Id | Shows from the drop-down menu the intructing party |
| Instruction | Shows the Instruction Date of the creation of the MaCL. |
| Date | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Intended Set- tlement Date | Shows the ISD (equal or posterior to the current ECMS instruction date) |
| | Displayed format is: DD/MM/YYYY |
| Status | Shows the status of the MaCL. |
| Amount | Shows the amount of the MaCL |
| Amount of maximum credit line fixed by NCB | Shows the NCB amount |
| Compulsory Event | Shows if the event is compulsory or not ("Yes" or "No") |
| In / Out | Shows if the MaCL notification is In or Out from ECMS. |
| Instruction Status | Shows the internal ECMS status |
| NSP Date | Shows the date of the notification MaCL |
| NSP Time | Shows the time of the notification MaCL |
| Sender Ad- dress | Shows the Sender Address |
| Receiver Ad- dress | Shows the receiver Address |
| Footprint | |
| Creation Date | Shows the date and time of the creation of the MaCL notifiaction. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |



| Creation User Id | Shows the identification of the user that created the MaCL notification. |
|------------------|--|
| Update Date | Shows the date and time of the update of the MaCL notifiaction. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Update User Id | Shows the identification of the user that made the last update of the MaCL notification. |

3.4.9.5 Pool Position

3.4.9.5.1 Margin Call Notification

3.4.9.5.1.1 Margin Call Notification – Search Screen

| Context of Usage | This screen contains a number of search fields and shows the latest and stored searches. By inputting the relevant data, you can search for the margin call notification. The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. | | | | | | |
|------------------|--|--|--------|---|----------|--|--|
| Screen Access | | redit >> Notification > | > Pool | Position >> | Margin | | |
| Screenshot | Search Criteria : Margin Call Notification Message id == Pool Identifier == Pool Id | Transaction Id == ▼ Margin Call date == ▼ | Ħ | Counterparty BIC == ▼ Creation Date == ▼ | Q Search | | |

| Margin Call Notification – Search screen | | | | | |
|--|--|--|--|--|--|
| Field | Description | | | | |
| Message id | Enter the message reference of the instruction in the ECMS | | | | |
| Transaction Id | Enter the unique identifier of the instruction in the ECMS | | | | |
| Pool Identifier | Enter the Pool ID. | | | | |
| Counterparty BIC | Enter the RIAD code identifier that uniquely identifies the Counterparty. | | | | |
| | The required format is : Max 30 characters | | | | |
| Creation Date | Enter/Select the creation date of the Margin call. | | | | |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs | | | | |
| Margin Call Date | Enter/Select the update Date of the creation of the Margin call. | | | | |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs | | | | |
| Creation date | Enter/Select the update Date of the creation of the Margin call. | | | | |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs | | | | |
| Button | Function | | | | |
| Reset | This function enables you to clear the form. | | | | |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. | | | | |



3.4.9.5.1.2 Margin Call Notification- List screen

| Context of Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Creation Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. | | | | | | | | | | | |
|------------------|---|--|---|--|-----------------------------------|--|---|---------------------------------|--------------------|--|--|---|
| Screen Access | Call | | atior | า >> C | lick o | | | | ol Pos itton (a | | | _ |
| Screenshot | Search Result : 10 Message Id 8 Resolvation 6669159410 6669159410 6669159410 6669150000 6660750000 6660750010 6660750010 6600750000 6600750000 6600750000 6600750000 6600750000 6600750000 6600750000 | Margin Call Notification Temperation III 8 TEMPERATION OF STANDARD OF STANDA | NCB BICLE BOFFERPPOOR | Commence your SEC 1 SUPPRIVATE S | Pool Sentrier & Pool Sentrier & | Margo 1 eritor Margo Tod date # 0.1610224 1903 50011 14/10/2241 1903 50011 14/10/2241 1903 50013 14/10/2241 1903 50013 14/10/2241 1903 40133 16/10/2241 1903 44133 16/10/2241 1903 44133 16/10/2241 1903 44133 16/10/2241 1904 12094 16/10/2241 1904 12094 11/10/2241 12:57 40023 | 25 SA | EUR EUR EUR EUR EUR EUR EUR EUR | Time Description 8 | Notifications Solve 6 Theorems 1 Processed | Update User 14 ° '' Update User 14 ° '' UD/Screen nor ship for the UD/Scree | 08/10/2024 19:04:22:477 08/10/2024 19:04:20:450 08/10/2024 12:57:40:940 |

| Margin call Notifica | tion – List Screen |
|------------------------|--|
| Field | Description |
| Transaction id | Shows the unique identifier of the instruction in the ECMS |
| Message Id | Shows the message reference of the instruction in the ECMS |
| Pool Identifier | Shows the Pool ID. |
| Counterparty BIC | Shows the Counterparty Bic |
| NCB BIC | Shows the NCB BIC |
| Margin Call Date | Shows the Date of the Margin call. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Update Date | Shows the update Date of the creation of the Margin call. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Notification Status | Shows the status of the Margin Call Notification. |
| Currency | Shows the currency reported in the notification |
| Error description | Shows the error description of the Margin Call. |
| Margin Call Amount | Shows the amount of the Margin Call |
| Update User Id | Shows the Updater User Id |
| After selecting a reco | ord, the following buttons are displayed |
| Button | Function |
| Download | This function enables you to access to the download of the Margin call notification. |
| | Next step: |
| | - Record the Margin call Notification. |

3.4.9.5.2 Pool Position Query

This U2A query displays the adhoc A2A Report Query Request admi.005 sent by the Counterparty or NCB to request the A2A colr.016 Pool Position report.



3.4.9.5.2.1 Pool Position Query - Search Screen

| Context of Usage | This screen is used to enter criteria to retrieve the admi.005 Report Query Request for the A2A colr.016 Pool Position report. | | | | | | | |
|------------------|--|-----------|----------------------------------|---------|-----------------|-----------|--|--|
| Screen Access | Collateral and sition Query | Credit >> | Notification | >> Pool | Position >> | Pool Po- | | |
| Screenshot | Search criteria : Pool Position Query Message Id • • • Equal Date • • • | ä | Parry ld •• ▼ Creation Date •• ▼ | Ö | Account id •• ▼ | Q. Search | | |

| Pool Position Query – Search screen | | | | |
|-------------------------------------|--|--|--|--|
| Field | Description | | | |
| Message ID | Enter the Identifier that uniquely identifies the message admi.005. | | | |
| | Required format is: Max. XX characters. | | | |
| Party BIC Code | Enter the BIC Code that identifies the Party | | | |
| | Required format is: Max. 11 characters. | | | |
| Account ID | Enter the Pool ID for the Pool Position report query | | | |
| | Required format is: Max. XX characters. | | | |
| Equal Date | Enter/Select the ECMS Business date requested for the Pool Position report query. The calendar icon can also be used. | | | |
| | Required format is: DD/MM/YYYY. | | | |
| Creation Date | Enter/Select the creation date of the report query. The calendar icon can also be used. | | | |
| | Required format is: DD/MM/YYYY. | | | |
| Button | Description | | | |
| Reset | This function enables you to clear the form. | | | |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. | | | |

3.4.9.5.2.2 Pool Position Query - List Screen

| Context of Usage | S | | ig an e | | | | sults disp I further | | | t. After n the but- |
|------------------|---------|---|---|--|--|--|---|---|---|---|
| Screen Access | | | | > Click | on the S | | | | | Pool Po- g the rel- |
| | | vant fi | elds, if | needed |) | | | | | |
| Screenshot | e | vant fi | | needed | , | | | | | _ |
| Screenshot | e' | | | needed | , | ge <u>1</u> of 16 > > | | | | Q157 \$ 1 () ? |
| Screenshot | Sea | rch Result : Pool Pos | ition Query | Responsible Party Id 0 | , | © Equal Date ♥ | Notifications Status 0 | Update Date 6 | □ Update User Id ● | |
| Screenshot | Sea III | mrch Result : Pool Pos Westage to THEXOSOROUS | Party Id © | Responsible Party Id © | | © Equal Date © 05/01/2023 | Notifications Status Projected | 31/03/2023 16:16:24 792 | ISAEFRA2A01 | ♥ Error Description ◆ PPQR005 The pool identifier |
| Screenshot | Sea | message ld 0 THEXDS0009 TESTPOSIS81441 | Party Id ◆ SAEFRPPXXX ISAEFRPPXXX | Responsible Party Id © 80FEFFPPXXX | | © Equal Date © 05/01/2023 06/03/2023 | Notifications Status Rejected Rejected | 31/03/2023 16 16:24 792 21/03/2023 14:07:33:373 | ISAEFRAZA01 admin | |
| Screenshot | Sea V | Message M 9 THE X0000000 TESTPOSISE1441 TESTPOSISE1441 | Party Id ◆ SAERPPPXXX ISAERPPXXX ISAERPPXXX | Flesponable Purty to © BOFETRIPPIOX BOFETRIPPIOX BOFETRIPPIOX | Account id # POOL9500000000000000000000000000000000000 | © Equal Date © 05/01/2023 06/03/2023 06/03/2023 | Notifications Status Rejected Impacted | 31/03/2023 161624792 21/03/2023 1407:33:373 21/03/2023 1405:40:219 | ISAEFRAZAOI admin admin | PPQR005 The pool identifier Swiftintegrator 0004: #RJCT |
| Screenshot | Sea | Message Id © THEXOXXXXXX TESTPOSIS81441 TESTPOSIS81447 | Party Id © SAFERPPOOX ISAERPPOOX ISAERPPOOX ISAERPPOOX | Responsible Purry Id 6 BOFEFRIPMOX BOFEFRIPMOX BOFEFRIPMOX BOFEFRIPMOX BOFEFRIPMOX | ▼ Account of ® | © Equal Date © 05/01/2023 06/03/2023 06/03/2023 06/03/2023 | Notifications Status ♦ Rejected Pajected Impacted Rejected | 31/03/20/3 16 16:24 79/2 21/03/20/3 14 07:33:373 21/03/20/3 14 05:40:219 06/03/20/3 15:23:30:400 | ISAEFRAZA01 admin admin ISAEFRAZA01 | ♥ Error Description ◆ PPQR005 The pool identifier |
| Screenshot | Sea III | Missings Id © THEXIOCOLO9 TESTPOSISE1441 TESTPOSISE1441 TESTPOSISE447 TESTPOSITIONER TESTPOSISE47 | Party id 4 SAFEPPPOOX ISAEPPPOOX ISAEPPPOOX ISAEPPPOOX ISAEPPPOOX ISAEPPPOOX | Responsible Purry M © CONFESSION MARKET STREET MARKET STREET MARKET MARKET STREET MARKET MARK | Account Id © POCISIONIOCONO FRPOCILONO/00000000000000000000000000000000000 | © Equal Date © 05/01/2023 06/03/2023 06/03/2023 06/03/2023 06/03/2023 06/03/2023 | Notifications Status Payected Payected Impacted Payected Impacted Impacted | 31/03/2023 1616:24 792 21/03/2023 14.07:33.373 21/03/2023 14.05:40.219 06/03/2023 15.23:30.440 06/03/2023 15.22:25:296 | SAETRAZAGI admin admin ISAETRAZAGI ISAETRAZAGI | PPQR005 The pool identifier Swiftintegrator 0004: #RJCT |
| Screenshot | Sea | Message Id © THEXOXXXXX TESTPOSIS81441 TESTPOSIS81447 | Party Id © SAFERPPOOX ISAERPPOOX ISAERPPOOX ISAERPPOOX | Responsible Purry Id 6 BOFEFRIPMOX BOFEFRIPMOX BOFEFRIPMOX BOFEFRIPMOX BOFEFRIPMOX | ▼ Account of ® | © Equal Date © 05/01/2023 06/03/2023 06/03/2023 06/03/2023 | Notifications Status ♦ Rejected Pajected Impacted Rejected | 31/03/20/3 16 16:24 79/2 21/03/20/3 14 07:33:373 21/03/20/3 14 05:40:219 06/03/20/3 15:23:30:400 | ISAEFRAZA01 admin admin ISAEFRAZA01 | ♥ Error Description ● PPQR005 The pool identifier Swiftintegrator 0004_#RJCT |
| Screenshot | e' See | Message 63 © THEXIOLOGOS TESTPOSISE1441 TESTPOSISE1441 TESTPOSISE1441 TESTPOSITIONES TESTPOSITIONES TESTPOSITIONES | Party Id 6 SAFEPPOX ISAEEPPPXX ISAEEPPPXX ISAEEPPPXX ISAEEPPPXX ISAEEPPPXX ISAEEPPPXX | Responsible Purry Md © 80/EEFFPXXX 80/EEFFPXXX 80/EEFFPXXX 80/EEFFPXXX 80/EEFFPXXX 80/EEFFPXXX | | © Equal Date © 05/01/2023 06/03/2023 06/03/2023 06/03/2023 06/03/2023 06/03/2023 | Notifications Status © Rejected Rejected Impacted Rejected Impacted Impacted Impacted Impacted | 31/03/2023 1616.24 792 21/03/2023 14.07.93.373 21/03/2023 14.05.40.219 06/03/2023 15.23.30.460 06/03/2023 15.22.52.295 06/03/2023 15.20.15.116 | SAEFRAZAOI admin admin ISAEFRAZAOI ISAEFRAZAOI ISAEFRAZAOI | From Description 6 FPG/9205 The pool identifier Swiftlintegrator 4004: #RUCT Swiftlintegrator 4005: #RUCT |
| Screenshot | See | Messinge 65 © 1147x000009 TESTPOSISB1441 TESTPOSISB1441 TESTPOSITB441 TESTPOSITB0484 TESTPOSITD0489 TESTPOSITION969 TESTPOSITION967 | Party Id SAETHPPOX The power in the process of the proc | Account of 9 Pool 800000000000000000000000000000000000 | © Equal Date © 05/01/2023 06/03/2023 06/03/2023 06/03/2023 06/03/2023 06/03/2023 06/03/2023 | Notifications Status Pajected Pajected Impacted Impacted Impacted Impacted Impacted Impacted Impacted Rejected | 31/01/20/3 16 16:24 79/2 21/03/20/3 14 07:33 373 21/03/20/3 14 05:40 219 06/03/20/3 15 23:30.460 06/03/20/3 15 22:25 295 06/03/20/2 15 20:15:116 06/03/20/2 15:71:7:111 | EAEFRAZAO1 admin ISAEFRAZAO1 ISAEFRAZAO1 ISAEFRAZAO1 ISAEFRAZAO1 | © Error Description © PPDR005 The pool identifier Swiftsintegrator 6004 #RJCT Swiftsintegrator 6005 #RJCT Swiftsintegrator 4004 #RJCT |

| Pool Position Query – List screen | |
|-----------------------------------|--|
| General Information | |



| Field | Description | | |
|---------------------|--|--|--|
| Message ID | Shows the Identifier that uniquely identifies the message admi.005. | | |
| | Displayed format is: Max. XX characters. | | |
| Party BIC Code | Shows the BIC Code that identifies the Party | | |
| | Displayed format is: Max. 11 characters. | | |
| Responsable Party | Shows the BIC Code that identifies the Responsable Party | | |
| BIC Code | Displayed format is: Max. 11 characters. | | |
| Account ID | Shows the Pool ID for the Pool Position report query | | |
| | Displayed format is: Max. XX characters. | | |
| Equal Date | Shows the ECMS Business date requested for the Pool Position report query. | | |
| | Displayed format is: DD/MM/YYYY. | | |
| Notification Status | Shows the status of the notification. | | |
| | Displayed format is: Max. XX characters. | | |
| Update Date | Shows the Update date of the report query. | | |
| | Displayed format is: DD/MM/YYYY. | | |
| Updater User Id. | Shows the Identifier of the user responsible for the running the Pool Position report query. | | |
| | Displayed format is: Max. 35 characters. | | |
| Error Description | Shows the description of the error (if there has been an error). | | |
| | Displayed format is: Max. XX characters | | |
| Button | Description | | |
| Download | This function enables you to download a copy of the report query. | | |

3.4.9.5.3 Pool Position Report

This U2A query displays the A2A colr.016 Pool Position report, which provides information on a specific Counterparty Pool. This A2A colr.016 Pool Position report:

- Is requested by the Counteparty or NCB user via the A2A Pool Position Report Query admi.005;
- Or it is generated automatically by ECMS based on the subscription (daily, weekly, monthly, yearly) by the Counteparty or NCB user.

The Pool Position Report corresponds to the colr.016 Statement of Pool.

3.4.9.5.3.1 Pool Position Report - Search Screen

| Context of Usage | This screen is ureport. | used to enter criteria to r | etrieve the Pool Po | osition |
|------------------|---|-------------------------------------|---------------------|----------|
| Screen Access | Collateral and of sition Report | Credit >> Notification >> | Pool Position >> F | Pool Po- |
| Screenshot | Search criteria: Pool Postion Report Réference ▼ Update Date == ▼ Theset | Party Bic ▼ Ü Updater User Id == ▼ | Neb Bic •• ▼ | ★ △ { |



| Pool Position Report – Search screen | | | | |
|--------------------------------------|--|--|--|--|
| Field | Description | | | |
| Pool Reference | Enter the Identifier that uniquely identifies the report. | | | |
| | Required format is: Max. 255 characters. | | | |
| Party BIC Code | Enter the BIC Code that identifies the counterparty | | | |
| | Required format is: Max. 11 characters. | | | |
| NCB BIC Code | Enter the BIC Code that identifies the NCB | | | |
| | Required format is: Max. 11 characters. | | | |
| Update Date | Enter/Select the Update date of the report. The calendar icon can also be used. | | | |
| | Required format is: DD/MM/YYYY. | | | |
| Updater User Id. | Enter/Select the Identifier of the user responsible for the last update of the report. | | | |
| | Required format is: Max. 35 characters. | | | |
| Button | Description | | | |
| Reset | This function enables you to clear the form. | | | |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. | | | |

3.4.9.5.3.2 Pool Position Report - List Screen

| Context of Usage | selec | | | | earch resu proceed f | | • | ist. After on the but- |
|------------------|--------------------------------------|--|--|---|--|------------------------|--|---|
| Screen Access | sition | Collateral and Credit >> Notification >> Pool Position >> Pool Position Report >> Click on the <i>Search</i> button (after inputting the relevant fields, if needed) | | | | | | |
| 0 1 1 | Search Result : Pool Position Report | | | | | | | |
| Caraanahat | Search Result | Pool Position Repor | t | | | | | _ |
| Screenshot | Search Result | Pool Position Repor | t | K · | (Page 1 of 39 > X | | | Q 385 🕅 (5 🗟 |
| Screenshot | | | Party Bic \$ | V Nob Bic Φ | Page 1 of 39 > > | | ♥ Update Date ♥ | Q 385 X (5 🖓 |
| Screenshot | 10 🔻 | c\$ \(\nabla \) | | | | Fror Description • | Update Date ♥ 08/08/202219:00:16:639 | |
| Screenshot | 10 ▼ | c\$ \(\nabla \) | Party Bic ¢ | Neb Bic | Notifications Status ¢ | | | □ Updater User Id □ |
| Screenshot | 10 ▼ | e | Party Bic NATXFRPPXXX | ♥ Neb Bie ♥ BDFEFRPPXXX | Notifications Status ◆ Processed | ♥ Error Description ◆ | 08/08/2022 19:00:16:639 | ♥ Updater User Id ◆ ♥ ECMSOperationalDayScheduler |
| Screenshot | Referen | e | Party Bic ◆ NATXFRPPXXX NATXFRPPXXX | Neb Bic ◆ BDFEFRPPXXX BDFEFRPPXXX | Notifications Status Processed Processed | ▽ Error Description \$ | 08/08/2022 19:00:16:639 08/08/2022 19:00:13:550 | Updater User Id ECMSOperationalDayScheduler ECMSOperationalDayScheduler |
| Screenshot | Referen | 178216620 178206620 177476620 | Party Bic ◆ NATXFRPPXXX NATXFRPPXXX NATXFRPPXXX | Nob Bic BOFEFRPPXXX BOFEFRPPXXX BDFEFRPPXXX | Notifications Status Processed Processed Processed | ▽ Error Description ♥ | 08/08/2022 19:00:16:639 08/08/2022 19:00:13:550 07/08/2022 23:14:55:092 | Updater User Id ECMSOperationalDayScheduler ECMSOperationalDayScheduler ECMSOperationalDayScheduler |
| Screenshot | Referen | 178216620 178206620 177476620 | Party Bic © NATXFRPPXXX NATXFRPPXXX NATXFRPPXXX NATXFRPPXXX | Nob Bic © BOFEFRPPXXX BOFEFRPPXXX BOFEFRPPXXX BOFEFRPPXXX | Notifications Status © Processed Processed Processed Processed | © Error Description € | 08/08/2022 19:00:16:639 08/08/2022 19:00:13:550 07/08/2022 23:14:55:092 07/08/2022 23:14:52:053 | Updater User Id ECMSOperationalDayScheduler ECMSOperationalDayScheduler ECMSOperationalDayScheduler ECMSOperationalDayScheduler |
| Screenshot | Referen | 178216620 178206620 177476620 17746620 177126620 177116620 | Party Bic \$ NATXFRPPXXX NATXFRPPXXX NATXFRPPXXX NATXFRPPXXX NATXFRPPXXX NATXFRPPXXX | BDFEFAPPXXX BDFEFAPPXXX BDFEFAPPXXX BDFEFAPPXXX BDFEFAPPXXX BDFEFAPPXXX | Notifications Status Processed Processed Processed Processed Processed | ▼ Error Description ◆ | 08/08/2022 19:00:16:639 08/08/2022 19:00:13:550 07/08/2022 23:14:55:092 07/08/2022 23:14:52:053 05/08/2022 19:00:21:985 | Updater User Id © ECMSOperational DayScheduler ECMSOperational DayScheduler ECMSOperational DayScheduler ECMSOperational DayScheduler ECMSOperational DayScheduler ECMSOperational DayScheduler |
| Screenshot | Referen | 178216620 178206620 177476620 17746620 177126620 177116620 | Party Bic © NATX/FRPPXXX NATX/FRPPXXX NATX/FRPPXXX NATX/FRPPXXX NATX/FRPPXXX NATX/FRPPXXX NATX/FRPPXXX | Nob Bic \$ BDFEFRPPOCK BDFEFRPPOCK BDFEFRPPOCK BDFEFRPPOCK BDFEFRPPOCK BDFEFRPPOCK BDFEFRPPOCK | Notifications Status • Processed Processed Processed Processed Processed Processed Processed | ▽ Erner Description \$ | 08/08/2022 19:00:16:639 08/08/2022 19:00:13:550 07/08/2022 23:14:55:092 07/08/2022 23:14:52:053 05/08/2022 19:00:21:985 05/08/2022 19:00:18:956 | Updater User Id ECMSOperational DayScheduler |
| Screenshot | Reference | 178216620 178206620 177476620 177466620 17716620 177116620 177106620 | Party Bic \$ NATX/FRPPXXX NATX/FRPPXXX NATX/FRPPXXX NATX/FRPPXXX NATX/FRPPXXX NATX/FRPPXXX NATX/FRPPXXX NATX/FRPPXXX NATX/FRPPXXX | BOFEFRIPPOXX BOFEFRIPPOXX BOFEFRIPPOXX BOFEFRIPPOXX BOFEFRIPPOXX BOFEFRIPPOXX BOFEFRIPPOXX BOFEFRIPPOXX | Notifications Status Processed Processed Processed Processed Processed Processed Processed Processed Processed | ▼ Erner Description € | 08/08/2022 19:00:16:639 08/08/2022 19:00:13:550 07/08/2022 23:14:55:092 07/08/2022 23:14:52:053 05/08/2022 19:00:21:985 05/08/2022 19:00:15:777 | Updates User Id \$ ECMSOperationalDayScheduler ECMSOperationalDayScheduler ECMSOperationalDayScheduler ECMSOperationalDayScheduler ECMSOperationalDayScheduler ECMSOperationalDayScheduler ECMSOperationalDayScheduler ECMSOperationalDayScheduler ECMSOperationalDayScheduler |

| Pool Position Report – List screen | | | | |
|------------------------------------|--|--|--|--|
| General Information | | | | |
| Field | Description | | | |
| Pool Reference | Shows the Identifier that uniquely identifies the report | | | |
| | Displayed format is: Max. 255 characters. | | | |
| Party BIC Code | Shows the BIC Code that identifies the counterparty | | | |
| | Displayed format is: Max. 11 characters. | | | |
| NCB BIC Code | Shows the BIC Code that identifies the NCB | | | |
| | Displayed format is: Max. 11 characters. | | | |
| Notification Status | Shows the status of the notification. | | | |
| | Displayed format is: Max. XX characters. | | | |
| Error Description | Shows the description of the error (if there has been an error). | | | |



| | Displayed format is: Max. XX characters. |
|------------------|---|
| Update Date | Shows the Update date of the report. |
| | Displayed format is: DD/MM/YYYY. |
| Updater User Id. | Shows the Identifier of the user responsible for the last update of the report. |
| | Displayed format is: Max. 35 characters. |
| Button | Description |
| Download | This function enables you to download a copy of the report. |

3.4.9.6 Counterparties Notifications

3.4.9.6.1 Cash Collateral Notifications

OPAThe Cash Collateral Notifications functionality provides the users with notification information on the Cash Collateral Instructions that have been processed in the ECMS.

3.4.9.6.1.1 CCOL Instructions (pacs.010) - Search screen

| Context of Usage | This screen is used to contains the fields that | | | ations. It |
|------------------|---|------------------------|----------------------------|------------|
| | The user captures the to Cash Collateral Instruc | | nd to its criteria for sea | rching |
| | If a field is left blank, th teria. | e field is not taken | into account as a searc | ch cri- |
| | Once search criteria hathe list of records fulfilli | | | utton, |
| Business | Search/List/View CCOI | L Instructions Notifi | cations | |
| Case re- | | | | |
| lated | | | | |
| Screen Ac- | Collateral and Credit >: | > Notification >> Co | ounterparty Notifications | s >> |
| cess | Cash Collateral Notifica | ations >> CCOL Ins | structions | |
| Screenshot | ② CCOL Instructions ○ | | | |
| | Search Criteria : Exposures Notification | | | * ~ |
| | Message Id == ▼ | Instruction Id == ▼ | End-to-End Id == ▼ | |
| | Pool Id == ▼ | Instructing Agent == ▼ | Debtor == ▼ | |
| | Instructed Agent == ▼ | Creditor == ▼ | Settlement Date == ▼ | = |
| | Update Date == ▼ | | | |
| | ♡ Reset | | | Q Search |

| CCOL Instructions (pacs.010) – Search screen | | | | |
|--|--|--|--|--|
| Field | Description | | | |
| Message Id | Enter the identifier of the message. | | | |
| | Required format is: Max. 30 characters | | | |
| Instruction Id | Enter the identifier of the instruction. | | | |
| | Required format is: Max. 30 characters | | | |



| End-to-End Id | Enter the Unique identification, as assigned by the initiating party, to unambiguously identify the transaction. This identification is passed on, unchanged, throughout the entire end-to-end chain. |
|----------------------|---|
| Pool ID | Enter the identifier of the Pool where the Cash as Collateral was (de)mobilised. The magnifier icon can also be used. |
| | Required format is: Max. 30 characters |
| Instructing Agent | Enter the agent that instructs the next party in the chain to carry out the (set of) instruction(s). |
| Debtor | Enter the Party that owes an amount of money to the (ultimate) creditor. |
| Instructed Agent | Enter the Agent that is instructed by the previous party in the chain to carry out the (set of) instruction(s). |
| Creditor | Enter the Party to which an amount of money is due. |
| Settlement Date | Enter the Settlement Date. |
| | Required format is: DD/MM/YYYY |
| Update Date | Enter the reference date of the last update of the Cash Collateral Notification or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the CCOL Instructions - List Screen. |
| | Next screen: |
| | - CCOL Instructions (pacs.010) - List Screen. |

3.4.9.6.1.1. CCOL Instructions (pacs.010) - List Screen

Context of This screen contains the search results displayed in a list, which is sorted Usage by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. **Business** Search/List/View CCOL Instructions Notifications Case related Screen Ac-Collateral and Credit >> Notification >> Counterparty Notifications >> Cash Collateral Notifications >> CCOL Instructions >> Click on the cess search button (after inputting the relevant data, if needed) Screenshot

| CCOL Instructions (pacs.010) – List screen | | |
|--|--------------------------------------|--|
| Column | Description | |
| Message Id | Shows the identifier of the message. | |



| | Displayed format is: Max. 30 characters | | | |
|------------------------------|---|--|--|--|
| End-to-End Id | Shows the Unique identification, as assigned by the initiating party, to unambiguously identify the transaction. This identification is passed on, unchanged, throughout the entire end-to-end chain. | | | |
| Instruction Id | Shows the identifier of the instruction. | | | |
| | Displayed format is: Max. 30 characters | | | |
| Debtor | Shows the Party that owes an amount of money to the (ultimate) creditor. | | | |
| Instructing Agent | Shows the agent that instructs the next party in the chain to carry out the (set of) instruction(s). | | | |
| Creditor | Shows the Party to which an amount of money is due. | | | |
| Instructed Agent | Shows the Agent that is instructed by the previous party in the chain to carry out the (set of) instruction(s). | | | |
| Instruction De- scription | Shows the description of the instruction. | | | |
| Pool ID | ows the identifier of the Pool where the Cash as Collateral was e)mobilised. The magnifier icon can also be used. | | | |
| | Displayed format is: Max. 30 characters | | | |
| Amount | Shows the amount of money. | | | |
| Currency | Shows the denomination currency of money's amount. | | | |
| Settlement Date | Shows the Settlement Date. | | | |
| | Displayed format is: DD/MM/YYYY | | | |
| Notification Name | Shows the name of the notification. | | | |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: | | | |
| | - Prepared | | | |
| | - Impacted | | | |
| | - Impact Failed | | | |
| | - Rejected | | | |
| | - Archived | | | |
| | - Processed | | | |
| | - Processed with Failure | | | |
| | - On Hold | | | |

| Error Descrip- tion | Shows the error description (if there is any). | |
|------------------------|---|--|
| Update Date | Shows the reference date of the last update of the Cash Collateral Notification or use the calendar icon. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs | |
| Updater User Id | Shows the identification of the user that made the last update of the Notification. | |
| After selecting a | record, the following buttons are displayed | |
| Button | Function | |
| Download | This function enables you to access to the detailed information of the original message in XML format. | |



| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | |
|-------------------|---|--|
| View Message | This function enables you to access to the detailed information of the messages for same notification. | |
| | - View Message - Details Screen | |
| View Message - | - Details Screen | |
| Field | Description | |
| Message Reference | Shows the reference of the messge. | |
| Direction | Shows whether the notification has been an input or output. Possible values: | |
| | _ In | |
| | - Out | |
| Status | Shows the status of the message. | |
| After selecting a | record, the following buttons are displayed | |
| Button | Function | |
| Download | This function enables you to access to the detailed information of the original message in XML format. | |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | |

3.4.9.6.1.2 CCOL Instruction Status notifications (pacs.002) – Search screen

| Context of Usage | This screen is used to search CCOL Instruction Status Notifications. It contains the fields that can be used as search criteria. | | | | |
|-------------------------------|--|--|--|--|--|
| | The user captures the fields that correspond to its criteria for searching CCOL Instruction Status Notifications. | | | | |
| | If a field is left blank, the field is not taken into account as a search criteria. | | | | |
| | Once search criteria have been filled, by clicking on the search button, the list of records fulfilling the criteria will be displayed. | | | | |
| Business Case re- lated | Search/List/View CCOL Instructions Status Notifications | | | | |
| Screen Access | Collateral and Credit >> Notification >> Counterparty Notifications >> Cash Collateral Notifications >> CCOL Instruction Status notifications | | | | |
| Screen- shot | Case College at the control of the c | | | | |
| 1 | | | | | |

| CCOL Instruction Status notifications (pacs.002) – Search screen | | |
|--|--|--|
| Field | Description | |
| | Enter the unique reference identifying the Cash Collateral Instruction assigned by the ECMS. | |
| | Displayed format is: Max. 30 characters | |
| Party's Instruction Reference | Enter the Reference of the instruction given by the Instructing Party. | |



| | Required format is: Max. 30 characters | | | |
|---------------------------|--|--|--|--|
| Counterparty | Enter / Select the RIAD Code of the ECMS Counterparty (de)mobilising the Cash as Collateral. | | | |
| | Required format is: Max. 30 characters | | | |
| Original Instruction Type | Enter / Select the type of Cash Collateral Instruction from the possible values: | | | |
| | - Mobilisation | | | |
| | - Demobilisation | | | |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: | | | |
| | - Prepared | | | |
| | - Impacted | | | |
| | - Impact Failed | | | |
| | - Rejected | | | |
| | - Archived | | | |
| | - Processed | | | |
| | Processed with Failure | | | |
| | - On Hold | | | |
| Update Date | Enter the reference date of the last update of the Cash Collateral Notification or use the calendar icon. | | | |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs | | | |
| Creation Date | Enter the reference date of the creation of the Cash Collateral Notification or use the calendar icon. | | | |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs | | | |
| Button | Function | | | |
| Reset | This function enables you to clear the form. | | | |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the CCOL Instruction Status Notifications - List Screen. | | | |
| | Next screen: | | | |
| | CCOL Instruction Status notifications (pacs.002) – List Screen. | | | |

3.4.9.6.1.2. CCOL Instruction Status notifications (pacs.002) – List Screen

| Context of Us- age | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. | |
|-----------------------|---|--|
| Business Case related | Search/List/View CCOL Instructions Status Notifications | |
| Screen Access | Collateral and Credit >> Notification >> Counterparty Notifications >> Cash Collateral Notifications >> CCOL Instruction Status notifications >> Click on the search button (after inputting the relevant data, if needed) | |



| Screenshot | List | List: CCOL instruction Status notifications (pace.002) | | | | | | | | |
|------------|----------|--|----------------------------------|-------------------------|-----------------------------|-------------|-------------------------|----------------|-------------------------|----------------------|
| creensnot | 10 | * | | | | | | | | Q ss 🙉 () s |
| | | Cash Collateral Instruction ID © | Party's Instruction Reference #7 | Notifications Status \$ | □ Original Instruction Type | | ▽ Update Date Φ | Update User Id | ▽ Creation Date Φ | ▽ Creation User Id Φ |
| | 83 | PLMAT00120010996 | PLMAT00120010996 | Processed | | ABVRATWW008 | 13/04/2023 16:56:58:779 | STP | 13/04/2023 16:56:57:601 | STP |
| | 83 | PLMAT00120010995 | PLMAT00120010995 | Processed | | RZOGATZLXXX | 13/04/2023 16:56:52:147 | STP | 13/04/2023 16:56:50:849 | STP |
| | E3 | PLMAT00120010546 | PLMAT00120010546 | Processed | | OEKOATWWXXX | 12/04/202316:57:20:007 | STP | 12/04/2023 16:57:18:825 | STP |
| | E3 | PLMAT00120010545 | PLMAT00120010545 | Processed | | RZOOATZLXXX | 12/04/202316:57:07:143 | STP | 12/04/2023 16:57:05:790 | STP |
| | 23 | PLMAT00120010102 | PLMAT00120010102 | Processed | | RZOGATZLXXX | 11/04/2023 16:56:46:724 | STP | 11/04/2023 16:56:45:247 | STP |
| | 23 | PLMAT00120009662 | PLMAT00120009662 | Processed | | RZOGATZLXXX | 10/04/2023 16:56:51:009 | STP | 10/04/2023 16:56:49:438 | STP |
| | W | | | | | | | | | |
| | E | PLMAT00120008454 | PLMAT00120008454 | Processed | | RZ00ATZLXXX | 04/04/202316:56:41:153 | STP | 04/04/2023 16:56:39:114 | STP |
| | 85 | PLMAT00120008011 | PLMAT00120008011 | Processed | | RZOGATZLXXX | 03/04/2023 16:50:52:999 | STP | 03/04/2023 16:56:51:235 | STP |
| | 83 | PLMAT00120007461 | PLMAT00120007461 | Processed | | RZ00ATZLXXX | 31/03/2023 16:56:43:571 | STP | 31/03/2023 16:56:42:119 | STP |
| | | | | | | | | | | |
| | | | | | | | | | | Downloa |

| CCOL Instruction | on Status notifications (pacs.002) – List screen | | |
|--------------------------------|--|--|--|
| Column | Description | | |
| Cash Collateral instruction ID | Shows the unique reference identifying the Cash Collateral Instruction assigned by the ECMS. | | |
| | Displayed format is: Max. 30 characters | | |
| Party's Instruc- | Shows the Reference of the instruction given by the Instructing Party. | | |
| tion Reference | Displayed format is: Max. 30 characters | | |
| Counterparty | Shows the RIAD Code of the ECMS Counterparty (de)mobilising the Cash as Collateral. | | |
| | Displayed format is: Max. 30 characters | | |
| Original Instruction Type | Shows the type of Cash Collateral Instruction from the possible values: | | |
| | Mobilisation | | |
| | - Demobilisation | | |
| Amount | Shows the amount in Euro of the cash (de)mobilised. | | |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: | | |
| | - Prepared | | |
| | - Impacted | | |
| | - Impact Failed | | |
| | - Rejected | | |
| | - Archived | | |
| | - Processed | | |
| | - Processed with Failure | | |
| | - On Hold | | |

| Creation Date | Shows the date and time of the creation of the Notification. | |
|-------------------|--|--|
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Creation User Id | Shows the identification of the user that created the Notification. | |
| Update Date | Shows the date and time of the last update of the Notification. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Updater User Id | Shows the identification of the user that made the last update of the Notification. | |
| After selecting a | record, the following buttons are displayed | |
| Button | Function | |
| Download | This function enables you to access to the detailed information of the original message in XML format. | |



| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | | |
|-------------------|---|--|--|
| View Message | This function enables you to access to the detailed information of the messages for same notification. | | |
| | View Message – Details Screen | | |
| View Message - | - Details Screen | | |
| Field | Description | | |
| Message Reference | Shows the reference of the messge. | | |
| Direction | Shows whether the notification has been an input or output. Possible values: | | |
| | – In | | |
| | - Out | | |
| Status | Shows the status of the message. | | |
| After selecting a | record, the following buttons are displayed | | |
| Button | Function | | |
| Download | This function enables you to access to the detailed information of the original message in XML format. | | |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | | |

3.4.9.7 Triparty Notifications

3.4.9.7.1 List of colr.019 Instruction to TPA

3.4.9.7.1.1 List of colr.019 Instruction to TPA – Search screen

| Context of Usage | This screen is used to search the Instruction sent by the ECMS. It contains a number of search fields. By inputting the relevant data, you can search for the messages corresponding to the entered criteria. The search results will be displayed in a list in the <i>List of colr. 019 Instruction to TPA – List Screen</i> . | | | |
|---------------------|---|--|--|--|
| Screen Access | For colr.019 Instruction to TPA Sent: Collateral and Credit >> Notifications >> Triparty Notifications >> List of colr. 019 Instruction to TPA >> | | | |
| Screen- shot | Collected Tasser • ▼ | Triplety Transaction •• • • Triplety Transaction •• • • Triplety Transaction Trys •• • Triple •• • • Triple •• • • Triple •• • • C. Transaction | | |

| List of colr.019 Instruction to TPA – Search screen | | | | | | |
|---|---|--|--|--|--|--|
| Field | Description | | | | | |
| Message Id | Enter the identification of the Message provided by ECMS. | | | | | |
| | Required format is: Max. 35 characters | | | | | |



| Client Collateral Instruction Identification | Enter the unique reference identifying the collateral management transaction from the client's point of view. Identifies the potential match. |
|--|--|
| | Required format is: Max. 35 characters |
| Allegement | Enter the reference of the Allegement sent by the TPA. |
| Reference | Required format is: Max. 35 characters |
| Triparty Agent Service Pro- vider Collat- eral Transac- | Enter the unique reference identifying the triparty-agent/service-provider collateral management transaction from the triparty-agent's/service-provider's point of view. |
| tion Identifica- | Required format is: Max. 35 characters |
| action Refer- | Enter the unique identification (UTI) agreed upon by the two trade counterparties to identify the trade. |
| ence | Required format is: Max. 35 characters |
| Instruction | Select if the message is: |
| Туре | - PADJ (decrease) |
| | - TERM (Closure) |
| Collateral Giver | Enter the identifier of the Collateral Giver as given by the Triparty Agent. |
| | Required format is: Max. 35 characters |
| Collateral Taker | Enter the identifier of the Collateral Taker as given by the Triparty Agent. |
| | Required format is: Max. 35 characters |
| Triparty Agent | Enter or Select the BIC of the Triparty Agent. |
| | Required format is: Max. 11 characters |
| Closing Date | Enter the closing date populated in the message in case it is a closure. |
| | Required format is: DD/MM/YYYY |
| Creation Date | Enter the reception or the sending Start Date and Time of the message or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: |
| | - Prepared |
| | - Impacted |
| | - Impact Failed |
| | - Rejected |
| | - Archived |
| | - Processed |
| | - Processed with Failure |
| | - On Hold |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |



Next screen:

- List of colr.019 Instruction to TPA - List Screen.

3.4.9.7.1.2 List of colr.019 Instruction to TPA – List Screen

| Context of | This scre | en cor | itains a l | ist of colr.019 m | essages | S | | | | | |
|-----------------|--|--|---|---|------------|--|---|----------------|--|--|--|
| Usage | The messages listed correspond to the search criteria capture in the search screen. | | | | | | | | | | |
| | The list of | displaye | ed can b | e sorted and filte | er using l | by the | field dis | played. | | | |
| | The list of | an be | exported | l. | | | | | | | |
| Screen Ac- | For Tripa | arty Me | ssage S | ent : | | | | | | | |
| cess | List of colr.019 Instruction to TPA Sent: | | | | | | | | | | |
| | _,000 | | | | | | | | | | |
| | Collatera | | | Notifications >> PA >> Click on s | | | cations | >>List of | | | |
| Savaan | Collatera | Instruc | | Notifications >> | | | cations | >>List of | | | |
| Screen- | Collatera | Instruc | | Notifications >> | | | cations | >>List of | | | |
| Screen- shot | Collatera colr.019 | Instruc | tion to T | Notifications >> PA >> Click on | Search b | outton | Cations Processed 4 Processed 4 Processed 4 Processed 4 Processed | Q20 □ a | | | |
| | Collatera colr.019 List: Triparty Collateral Instruction Collateral Instruction Collateral Instruction Collateral Instruction Collateral Instruction Collateral Instruction Collateral Collateral Instruction Collateral Co | Instruction HOLD Allegement Referent TPAINSTROCOCOS TRACOCOCOS TRACOCOCOCOS TRACOCOCOCOS TRACOCOCOCOCO TRACOCOCOCO TRACOCOCOCOCO TRACOCOCOCOCO TRACOCOCOCOCOCO TRACOCOCOCOCOCOCOCOCO TRACOCOCOCOCOCOCO TRACOCOCOCOCOCOCOCOCOCOCOCOCOCOCOCOCOCOCO | tion to T tenucion type 9 © Cotheral C PAD | Notifications >> PA >> Click on S | Search b | Transaction Amount Transaction Tran | Message Salva Processed 4 Processed 4 Processed 4 Processed 4 Sp0748 Processed 40,000 Processed | Q 201 | | | |
| | Collatera colr.019 List: Triparry Collateral Instruction Tribuscins 22229 Tribuscins 22229 Tribuscins 101220 | Instruc tion Allegement Beferen. TPANSTROODO9 TPANSTROOD PRUEBASTPA ClosursTPAASYPOO2. | Internation Type \$ 100 Cotherent Co | Notifications >> PA >> Click on (| Search b | Transaction Amounts Transa | Accion Termin Message Status Processed 4 Processed 4 Processed 45,907.48 Processed | Q29 | | | |
| | Collatera colr.019 List: Triparry Colleteral Instruction 19 "Topart Transaction" Unescaped Transaction of Tr | Instruc tion Allegament Reference TPARISTROOCOS PRIJEBASTPA CIDENSTPAARYP002 TPAROSTOR TPAROSTOR TPAROSTOR TPAROSTOR TPAROSTOR TPAROSTOR TPAROSTOR | Internation Type \$ 100 Cotherent Co | Notifications >> PA >> Click on S K | Search b | Transaction Amount. Transa | Processed 4 Processed 4 Processed 4 Processed 4 Processed 4 Processed 10,000 Processed | Q 20 | | | |
| | Collatera colr.019 List: Triparry Collateral Instruction Collateral Instruction Collateral Instruction Collateral Instruction Collateral Instruction Collateral Instruction Collateral Col | Instruc Instruc Instruc Instruc Instruct Internation to T Internation Type 6 7 Conternal C PADJ PADJ PADJ TERM PADJ PADJ PADJ PADJ TERM | Notifications >> PA >> Click on S WHO IN THE NOTIFICATION STATES AND STATES | Search b | Putton francacion Amous. Tran | Message Stein- Processed | Q > | | | |

| List of colr.01 | 9 Instruction to TPA – List screen |
|---|--|
| Field | Description |
| Message Id | Shows the identification of the Message provided by ECMS. |
| | Displayed format is: Max. 35 characters |
| Client Collateral Instruction Identification | Shows the unique reference identifying the collateral management transaction from the client's point of view. Identifies the potential match. |
| | Displayed format is: Max. 35 characters |
| Allegement | Shows the reference of the Allegement sent by the TPA. |
| Reference | Displayed format is: Max. 35 characters |
| Triparty Agent Service Pro- vider Collat- | Shows the unique reference identifying the triparty-agent/service-provider collateral management transaction from the triparty-agent's/service-provider's point of view. |
| eral Transaction Identification | Displayed format is: Max. 35 characters |
| Triparty Trans- action Refer- | Shows the unique identification (UTI) agreed upon by the two trade counterparties to identify the trade. |
| ence | Displayed format is: Max. 35 characters |
| Instruction Type | Shows if the message is: |
| | - PADJ (decrease) |
| | - TERM (Closure) |
| Collateral Giver | Shows the identifier of the Collateral Giver as given by the Triparty Agent. |
| | Displayed format is: Max. 35 characters |



| Collateral Taker | Shows the identifier of the Collateral Taker as given by the Triparty Agent. |
|------------------------|--|
| | Displayed format is: Max. 35 characters |
| Triparty Agent | Shows the BIC of the Triparty Agent. |
| | Displayed format is: Max. 11 characters |
| Closing Date | Shows the closing date populated in the message in case it is a closure. |
| | Displayed format is: DD/MM/YYYY |
| Transaction | Shows the Transaction Amount populated in the message. |
| Amount | Intended collateral Transaction Amount to be decreased in case of PADJ. |
| | Last transaction amount before the closure request in case of TERM. |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: |
| | - Prepared |
| | - Impacted |
| | - Impact Failed |
| | - Rejected |
| | - Archived |
| | - Processed |
| | - Processed with Failure |
| | - On Hold |
| Error Description | Shows the description of the error (if it has occurred) |
| Creation Date | Shows the reception or the sending Start Date and Time of the message. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Update Date | Shows the date and time of the last update of the message. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id. | Shows the identification of the user that made the last update of the message. |
| After selecting | a record, the following buttons are displayed |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| View Message | This function enables you to access to the detailed information of the messages for same notification. |
| | - View Message - Details Screen |
| | e – Details Screen |
| Field | Description |
| Message Reference | Shows the reference of the messge. |



| Direction | Shows whether the notification has been an input or output. Possible values: | | | | | |
|-----------------|---|--|--|--|--|--|
| | – In | | | | | |
| | - Out | | | | | |
| Status | Shows the status of the message. | | | | | |
| After selecting | a record, the following buttons are displayed | | | | | |
| Button | Function | | | | | |
| Download | This function enables you to access to the detailed information of the original message in XML format. | | | | | |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | | | | | |

3.4.9.7.2 List of colr.020 Status Advice from TPA

3.4.9.7.2.1 List of colr.020 Status Advice from TPA – Search screen

| | This screen is used to search the Status Advice Received by the ECMS. |
|-----------------|---|
| Usage | It contains a number of search fields. By inputting the relevant data, you can search for the messages corresponding to the entered criteria. |
| | The search results will be displayed in a list in the <i>List of colr. 020 Status Advice from TPA – List Screen</i> . |
| Screen | For colr.020 Status Advice from TPA Received: |
| Access | |
| Access | Collateral and Credit >> Notifications >> Triparty Notifications >> List of colr. 020 Status Advice from TPA >> |
| Screen- shot | |

| List of colr.020 Status Advice from TPA – Search screen | | | | | |
|---|--|--|--|--|--|
| Field | Description | | | | |
| | Enter the reference of the triparty transaction. | | | | |
| action Reference | Required format is: Max. 52 characters | | | | |
| Message | Enter the reference of the Message. | | | | |
| Identifier | Required format is: Max. 35 characters | | | | |
| Instruction | Enter the reference of the Instruction sent by the ECMS. | | | | |
| Reference | Required format is: Max. 35 characters | | | | |
| Allegement | Enter the reference of the Allegement sent by the TPA. | | | | |
| Reference | Required format is: Max. 35 characters | | | | |
| Instruction | Select if the message is: | | | | |
| Туре | - PADJ (decrease) | | | | |
| | - TERM (Closure) | | | | |
| Closing Date | Enter the closing date populated in the message in case it is a closure. | | | | |
| | Required format is: DD/MM/YYYY | | | | |



| Collateral Giver | Enter the identifier of the Collateral Giver as given by the Triparty Agent. |
|------------------------|--|
| | Required format is: Max. 35 characters |
| Collateral Taker | Enter the identifier of the Collateral Taker as given by the Triparty Agent. |
| | Required format is: Max. 35 characters |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: |
| | - Impacted |
| | - Impact Failed |
| | - Rejected |
| | - Archived |
| | - Processed |
| | - Processed with Failure |
| Creation Date | Enter the reception or the sending Start Date and Time of the message or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | List of colr.020 Status Advice from TPA – List Screen. |
| | |

3.4.9.7.2.2 List of colr.020 Status Advice from TPA – List Screen

| This | scree | n co | ntain | s a lis | st of colr. | 020 messa | ges. | | | |
|---|--|--|--|--|--|--|--|--|---|--|
| The messages listed correspond to the search criteria capture in the search screen. | | | | | | | | | | |
| The | list dis | splay | ed ca | an be | sorted a | nd filter usi | ng by the | e field dis | played. | |
| The | list ca | n be | expo | orted. | | | | | | |
| For 7 | Tripan | ty Me | essag | ge Re | ceived : | | | | | |
| List | List of colr.020 Status Advice from TPA Received: | | | | | | | | | |
| | | | | | | | | | >>List of | |
| List: Triparty Co | ollateral Status | | | | | | | | | |
| | AARRAZATB2 TPATRANSACTIONIA TPATRANSACTIONIA TPATRANSACTIONIA TPATRANSACTIONIA TPATRANSACTIONIA | Client Colluteral In decreneA996 DecreaseTPA16 DecreaseTPA14 DecreaseTPA12 DecreaseTPA12 DecreaseTPA4 DacreaseTPA2 | PADU TERM TERM TERM PADU PADU PADU PADU PADU PADU | CBC0 CBC0 CBC0 CBC0 CBC0 CBC0 CBC0 CBC0 | | | 22,088 EU 120,000 EU 65,000 EU 65,000 EU 65,000 EU | R Impact Failed | Q 11 | |
| | The search The The The The The The The List of Collac Colr. (Collac Collac Coll | The messa search scr The list dis The list ca For Tripant List of coln Collateral coln.020 S List Tripary Collegeral Seaso Manual Seaso Manua | The messages search screen. The list display The list can be For Triparty Me List of colr.020 Collateral and Colr.020 Collateral status List: Triparty Collected Sta | The messages lister search screen. The list displayed carries and | The messages listed consearch screen. The list displayed can be the list can be exported. For Triparty Message Relation of Collection of Coll | The messages listed correspond search screen. The list displayed can be sorted at the list can be exported. For Triparty Message Received: List of colr.020 Status Advice from Collateral and Credit >> Notification colr.020 Status Advice from TPA: List for colr.020 Status Advice from TPA: List Triparty collateral Status List | The messages listed correspond to the search search screen. The list displayed can be sorted and filter using the list can be exported. For Triparty Message Received: List of colr.020 Status Advice from TPA Received: Collateral and Credit >> Notifications >> Triparty College and Credit >> Collaboration College and Credit Advices from TPA >> Click on College and College an | Search screen. The list displayed can be sorted and filter using by the The list can be exported. For Triparty Message Received: List of colr.020 Status Advice from TPA Received: Collateral and Credit >> Notifications >> Triparty Notifications >> Click on Search II List Triparty Colleged Status Advice from TPA >> Click on Search II List Triparty Colleged Status Advice from TPA >> Click on Search II List Triparty Colleged Status Advice from TPA >> Click on Search II List Triparty Colleged Status Advice from TPA >> Click on Search II List Triparty Colleged Status Advice from TPA >> Click on Search II List Triparty Colleged Status Advice from TPA >> Click on Search II List Triparty Colleged Status Advice from TPA >> Click on Search II List Triparty Colleged Status Advice from TPA >> Click on Search II List Triparty Colleged Status Advice from TPA >> Click on Search II List Triparty Colleged Status Advice from TPA >> Click on Search II List Triparty Colleged Status Advice from TPA >> Click on Search II List Triparty Colleged Status Advice from TPA >> Click on Search II List Triparty Colleged Status Advice from TPA >> Click on Search II List Triparty Colleged Status Advice from TPA >> Click on Search II List Triparty Colleged Status Advice from TPA >> Click on Search II List Triparty Colleged Status Advice from TPA >> Click on Search II List Triparty Colleged Status Advice from TPA >> Click on Search II List Triparty Colleged Status Advice from TPA >> Click on Search II List Triparty Colleged Status Advice from TPA >> Click on Search II List Triparty Colleged Status Advice from TPA >> Click on Search II List Triparty Colleged Status Advice from TPA PA >> Click on Search II List Triparty Colleged Status Advice from TPA PA >> Click on Search II List Triparty Colleged Status Advice from TPA PA >> Click on Search II List Triparty Colleged Status Advice from TPA PA P | The messages listed correspond to the search criteria capture search screen. The list displayed can be sorted and filter using by the field dis The list can be exported. For Triparty Message Received: List of colr.020 Status Advice from TPA Received: Collateral and Credit >> Notifications >> Triparty Notifications > colr.020 Status Advice from TPA >> Click on Search button List Triparty Colleged Status Advice from TPA >> Click on Search button List Triparty Colleged Status Advice from TPA >> Click on Search button | |

| List of colr.020 Status Advice from TPA – List screen | | | | |
|---|-------------|--|--|--|
| Field | Description | | | |



| | Shows the reference of the triparty transaction. |
|------------------------|--|
| action Reference | Displayed format is: Max. 52 characters |
| Message | Shows the reference of the Message. |
| Identifier | Displayed format is: Max. 35 characters |
| Instruction | Shows the reference of the Instruction sent by the ECMS. |
| Reference | Displayed format is: Max. 35 characters |
| Allegement | Shows the reference of the Allegement sent by the TPA. |
| Reference | Displayed format is: Max. 35 characters |
| Instruction | Shows if the message is: |
| Туре | - PADJ (decrease) |
| | - TERM (Closure) |
| Transaction Amount | Shows the Transaction Amount populated in the message. |
| Closing Date | Shows the closing date populated in the message in case it is a closure. |
| Collateral Giver | Shows the identifier of the Collateral Giver as given by the Triparty Agent. |
| | Displayed format is: Max. 35 characters |
| Collateral Taker | Shows the identifier of the Collateral Taker as given by the Triparty Agent. |
| | Displayed format is: Max. 35 characters |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: |
| | - Impacted |
| | - Impact Failed |
| | - Rejected |
| | - Archived |
| | - Processed |
| | Processed with Failure |
| Creation Date | Shows the reception or the sending Start Date and time of the message. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Error Description | Shows the description of the error (if it has occurred) |
| Update Date | Shows the date and time of the last update of the message. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id. | Shows the identification of the user that made the last update of the message. |
| After selecting | a record, the following buttons are displayed |
| Button | Function |
| Reprocess | This function enables the user to reprocess the selected message (only available for users with appropriate rights). |
| Reprocess All | This function enables the user to reprocess all the messages in List screen (only available for users with appropriate rights). |
| | |



| Download | This function enables you to access to the detailed information of the original message in XML format. | | | | | | |
|-------------------|---|--|--|--|--|--|--|
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | | | | | | |
| View Message | This function enables you to access to the detailed information of the messages for same notification. | | | | | | |
| | - View Message - Details Screen | | | | | | |
| View Message | - Details Screen | | | | | | |
| Field | Description | | | | | | |
| Message Reference | Shows the reference of the messge. | | | | | | |
| Direction | Shows whether the notification has been an input or output. Possible values: | | | | | | |
| | – In | | | | | | |
| | - Out | | | | | | |
| Status | Shows the status of the message. | | | | | | |
| After selecting | a record, the following buttons are displayed | | | | | | |
| Button | Function | | | | | | |
| Download | This function enables you to access to the detailed information of the original message in XML format. | | | | | | |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | | | | | | |

3.4.9.7.3 List of colr.021 Decrease/Closure Allegement from TPA

3.4.9.7.3.1 List of colr.021 Decrease/Closure Allegement from TPA – Search screen

| Context of Usage | This screen is used to search the allegements Received by the ECMS. It contains a number of search fields. By inputting the relevant data, you can search for the messages corresponding to the entered criteria. The search results will be displayed in a list in the <i>List of colr.021 Decrease/Closure Allegement from TPA – List Screen</i> . | | | | | | | |
|------------------|--|--|--|--|--|--|--|--|
| Screen Access | For colr.021 allegements from TPA Received: Collateral and Credit >> Notifications >> Triparty Notifications. Colr.021 Decrease/Closure Allegement from TPA | cations >>List of | | | | | | |
| Screen- shot | B | macron · · · · · · · · · · · · · · · · · · · | | | | | | |

| List of colr.021 Decrease/Closure Allegement from TPA – Search screen | | | | | | |
|---|--|--|--|--|--|--|
| Field | Description | | | | | |
| | Enter the reference of the triparty transaction. | | | | | |
| action Reference | Required format is: Max. 52 characters | | | | | |



| Message | Enter the reference of the Message. |
|---|--|
| Identifier | Required format is: Max. 35 characters |
| Allegement | Enter the reference of the Allegement sent by the TPA. |
| Reference | Required format is: Max. 35 characters |
| Client Collateral Transaction Identifica- | Enter the unique reference identifying the collateral management transaction from the client's point of view. Present in case of a decrease. |
| tion | Required format is: Max. 35 characters |
| Instruction | Select if the message is: |
| Туре | - PADJ (decrease) |
| | - TERM (Closure) |
| Eligibility Set Profile Identi- | Enter the number identifying the collateral eligibility set profile of the counterparty. |
| fication | Required format is: Max. 35 characters |
| Collateral Giver | Enter the identifier of the Collateral Giver as given by the Triparty Agent. |
| | Required format is: Max. 35 characters |
| Collateral Taker | Enter the identifier of the Collateral Taker as given by the Triparty Agent. |
| | Required format is: Max. 35 characters |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: |
| | - Impacted |
| | - Impact Failed |
| | - Rejected |
| | - Archived |
| | - Processed |
| | Processed with Failure |
| Creation Date | Enter the reception or the sending Start Date and Time of the message or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | List of colr.021 Decrease/Closure Allegement from TPA – List Screen. |
| | |

3.4.9.7.3.2 List of colr.021 Decrease/Closure Allegement from TPA – List Screen

| | This screen contains a list of colr.021 messages. |
|-------|--|
| Usage | The allegements listed correspond to the search criteria capture in the search screen. |
| | The list displayed can be sorted and filter using by the field displayed. |



| | The lis | st can b | e exp | oorted. | | | | | | | | | |
|-----------------|--|---------------------------------|--------------------|----------------------------------|--------------------------|---------------------------|--------------|----------------------------|--------------------|------------------|----------------|---------------------|---|
| Screen Ac- | - For Tr | For Triparty Message Received : | | | | | | | | | | | |
| cess | List of | colr.02 | 1 De | crease/ | Closur | e Allege | men | ts froi | n TPA | A Re | ecei | ∕ed: | |
| | | | | | | tions >> Jement f | | | | | | | |
| | ton | | | | | | | | | | | | |
| Scroon- | ton | rel Instruction | | | | | | | | | | | |
| Screen- | 1 | ral Instruction | | | | | | | | | | Q4 | (|
| | List: Triparty Collater | ral Instruction | Instruction Type's | Collateral Giver 💭 Collateral Gi | ver 🎏 Collateral Taker 🕏 | Collateral Taker ☑ Date Φ | ▽ Time ‡ | ▽ Closing Date * ▽ | Transaction Artico | insaction Ter. | Message Status | Q 4 | □ |
| | List: Triparty Collatera 10 Triparty Transact TPATRANSACTIO Decrees | age Refere Allegement Refe | PADJ | ABVRATWW001 | NABAATWWXXX | 23/09/2021 | 08.00.00.000 | Closing Date • 23/09/2021 | 65,000 | 65,000 | Impact Falled | Update User id \$ | ☐ 점 ★ ▽ Update Date ♥ ▽ 21/04/2022 12:21. |
| Screen- shot | List: Triparty Collatera 10 Triparty Transaca: Messa 1PATRANSACTIO. Decress 0CSDIPMILETER. 01210 | | | | | | | | | 65,000 15,000 | - | (⊈ Update User id ¢ | □ ⊠ ★ ▽ |

| List of colr.021 | Decrease/Closure Allegement from TPA – List screen | | | | | | |
|-----------------------------------|--|--|--|--|--|--|--|
| Field | Description | | | | | | |
| | Shows the reference of the triparty transaction. | | | | | | |
| action Refer- ence | Displayed format is: Max. 52 characters | | | | | | |
| Message | Shows the reference of the Message. | | | | | | |
| Identifier | Displayed format is: Max. 35 characters | | | | | | |
| | Shows the reference of the Allegement sent by the TPA. | | | | | | |
| | Displayed format is: Max. 35 characters | | | | | | |
| eral Transac- tion Identifica- | Shows the unique reference identifying the collateral management transaction from the client's point of view. Present in case of a decrease. | | | | | | |
| tion | Displayed format is: Max. 35 characters | | | | | | |
| | Shows if the message is: | | | | | | |
| Туре | - PADJ (decrease) | | | | | | |
| | - TERM (Closure) | | | | | | |
| Profile Identi- | Shows the number identifying the collateral eligibility set profile of the counterparty. | | | | | | |
| fication | Displayed format is: Max. 35 characters | | | | | | |
| | Shows the identifier of the Collateral Giver as given by the Triparty Agent. | | | | | | |
| | Displayed format is: Max. 35 characters | | | | | | |
| | Shows the identifier of the Collateral Taker as given by the Triparty Agent. | | | | | | |
| | Displayed format is: Max. 35 characters | | | | | | |
| Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: | | | | | | |
| | - Impacted | | | | | | |
| | Impact Failed | | | | | | |
| | - Rejected | | | | | | |
| | - Archived | | | | | | |
| | - Processed | | | | | | |
| | Processed with Failure | | | | | | |



| Creation Date | Shows the reception or the sending Start Date and time of the message. |
|-----------------------|---|
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Closing Date | Shows the closing date populated in the message in case it is a closure. |
| Transaction Amount | Shows the Transaction Amount populated in the message. |
| Termination Amount | Shows the Termination Amount populated in the message. |
| Error Description | Shows the description of the error (if it has occurred) |
| Update Date | Shows the date and time of the last update of the message. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id. | Shows the identification of the user that made the last update of the message. |
| After selecting | a record, the following buttons are displayed |
| Button | Function |
| Reprocess | This function enables the user to reprocess the selected message (only available for users with appropriate rights). |
| Reprocess All | This function enables the user to reprocess all the messages in List screen (only available for users with appropriate rights). |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| View Message | This function enables you to access to the detailed information of the messages for same notification. |
| | - View Message - Details Screen |
| View Message | e – Details Screen |
| Field | Description |
| Message Reference | Shows the reference of the messge. |
| Direction | Shows whether the notification has been an input or output. Possible values: |
| | – In |
| | - Out |
| Status | Shows the status of the message. |
| After selecting | a record, the following buttons are displayed |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| | |



3.4.9.8 Credit Claim

3.4.9.8.1 Credit Claim File Notification

3.4.9.8.1.1 Credit Claim File Notification – Search Screen

| Context of Usage | This screen contains a list of credit claim file notifications. The credit claim file notifications listed correspond to the search criteria capture in the search screen. The list displayed can be sorted and filter using by the field displayed. The list can be exported. | | | | | | | |
|------------------|---|--|--|--|--|--|--|--|
| Screen Access | Collateral and Credit >> Notification >> Credit Claim >> CC File Notification | | | | | | | |
| Screenshot | Search Criteria: CCF File Notification Common Date 1 | | | | | | | |

| Credit Claim Fil | e Notification – Search Screen | | | | | | |
|----------------------------|---|--|--|--|--|--|--|
| Field | Description | | | | | | |
| Message Id | Input the unique message identifier received from the counterparty | | | | | | |
| Group Reference | Input reference of the group | | | | | | |
| Counterparty Identifier | Input the Counterparty RIAD Code | | | | | | |
| | | | | | | | |
| Intended Sett | Input the settlement date value received in the file | | | | | | |
| Date | Format: DD/MM/YYYY | | | | | | |
| Page Number | Input the number of the page | | | | | | |
| Last Page indicator | Input the indicator of the last page | | | | | | |
| Creation Date | Input the creation date. | | | | | | |
| | Format: DD/MM/YYYY | | | | | | |
| Button | Function | | | | | | |
| Reset | To clear the search criteria and close the result windows if any | | | | | | |
| Search | This function enables you to start a search according to the criteria entered. The results are Showed in a list on the screen List screen. Next screen: | | | | | | |
| | Credit Claim File Notification – List Screen | | | | | | |

3.4.9.8.1.1. Credit Claim File Notification - List Screen

| Context of | This screen contains the search results displayed in a list. After select- |
|------------|--|
| Usage | ing an entry, you can proceed further by clicking on the buttons below. |



| Screen Access | | teral an on >> C | | _ | | | > Cred | it Clair | n >> C | C File | e Noti- |
|---------------|-----------------|----------------------|-----------------------|----------------|---------------------|----------------------|-------------------------|------------------------|----------------------|------------------|----------------------|
| Screenshot | Search Result : | CC File Notification | | | | | | | | | _ |
| Ocicensiiot | 10 🕶 | | | | K < Page | of 391 > > | | | | Q | 3903 ★ 韓 () 🖓 |
| | Message Id ¢ | Group Reference \$ 5 | Counterparty Identifi | Page Number \$ | Last Page Indicator | Intended Sett Date 4 | Notifications Status \$ | Error Description \$ 5 | Update Date \$ | Update User Id ¢ | Preparation Date An |
| | FR12192025.1111 | | | | | | | | | | 01/12/2020 09:02:20: |
| | FR12192025.1110 | FR12192025.1110 | FR18129 | | Yes | 14/10/2024 | Impacted | | 11/10/2024 17:46:06: | ISAEFRA2A01 | 01/12/2020 09:02:20: |
| | FR04102024.1045 | FR04102024.1045 | FR18129 | | Yes | 10/10/2024 | Impacted | | 11/10/2024 15:53:52: | ISAEFRA2A01 | 06/05/2024 07:02:20: |
| | FR04102024.1044 | FR04102024.1044 | FR18129 | | Yes | 14/10/2024 | Rejected | SwiftIntegrator-0004: | 11/10/2024 15:51:15: | ISAEFRA2A01 | 10/10/2024 09:05:20: |
| | FR04102024.1044 | FR04102024.1044 | FR18129 | | Yes | 14/10/2024 | Impacted | | 11/10/2024 15:41:42: | ISAEFRA2A01 | 10/10/2024 09:05:20: |
| | FR04102024.1043 | FR04102024.1043 | FR18129 | | Yes | 14/10/2024 | Impacted | | 11/10/2024 15:18:01: | ISAEFRA2A01 | 10/10/2024 09:05:20: |
| | FR04102024.1042 | FR04102024.1042 | FR18129 | | Yes | 14/10/2024 | Impacted | | 11/10/2024 15:03:09: | ISAEFRA2A01 | 10/10/2024 09:05:20: |
| | NNUCKRQU8888 | NNUCKRQU8888 | FR18129 | | Yes | 09/10/2024 | Impacted | | 10/10/2024 10:42:04: | ISAEFRA2A01 | 25/06/2022 09:02:20: |
| | NNUCCRQU7777 | NNUCCRQU7777 | FR18129 | | Yes | 09/10/2024 | Impacted | | 09/10/2024 17:35:33: | ISAEFRA2A01 | 25/06/2022 09:02:20: |
| | DOUCCRQU7777 | DDUCCRQU7777 | FR18129 | | Yes | 09/10/2024 | Impacted | | 09/10/2024 17:29:03: | ISAEFRA2A01 | 25/06/2022 09:02:20: |

| Credit Claim F | ile Notification – List screen |
|------------------------------|---|
| Column | Description |
| Message Id | Displays the unique message identifier received from the counterparty |
| Group Reference | Display the reference of the group |
| Counterpaty Identifier | Displays the RIAD Code of the counterparty |
| Page Number | Displays the number of the page |
| Last page Number | Display the number of the last page |
| Intended Sett Date | Displays the Intended settlement date received in the credit claim file |
| Notification Status | Displays the notification status |
| | Possible Values: |
| | - Impacted |
| | Impact Failed |
| | - Rejected |
| Error Descrip- tion | Displays the error description when the file is in status "Impact Failed" |
| | |
| Update Date | Displays the update date of the credit claim file |
| | Format: DD/MM/YYYY hh:mm:ss:sss |
| Updater User Id | Displays the update user identifier of the file |
| Preparation Date and Time | Display the preparation date and time of the credit claim file |
| | Format: DD/MM/YYYY hh:mm:ss:sss |
| Button | Function |
| Download | This function enables the user to download a copy of the message. |
| View | This function enables the user to view the detailed attributes of the received notification from the counterparty |
| View Message | This function enables the user to view the detailed attributes of the received message from the counterparty |



2

3.4.9.8.1.1. Credit Claim File Notification – Details Screen

This screen contains the detailed information of the Credit Claim file selected by clicking on the View button in the previous screen.

Screen Access

Collateral and Credit >> Notification >> Credit Claim >> CC File Notification >> Click on View Message button

Screenshot

Screenshot

Tageston Beautic CF File Notification > Werr CC File

| Credit Claims File | Notification – Details Screen | |
|------------------------------|---|--|
| CC File Details | | |
| Fied | Description | |
| Message Reference | Displays the unique message reference received from the counterparty. | |
| Message Number | Displays the technical message number: "colr.xxx.creditclaimsfile" | |
| Preparation Date and Time | Displays the preperation date and time of the received credit claim file | |
| Intended Sett Date | Displays the intended settlement date of the recived credit claim file | |
| Counterparty Identifier | Displays the counterparty RIAD Code | |
| Number Of CC Registration | Displays the number Of CC Registration | |
| Number Of CC Updates | Displays the number Of CC Updates | |
| Number Of CCOAU | Displays the number Of CCOAU | |
| Number Of RR | Displays the number Of RR | |
| Number Of RU | Displays the number Of RU | |
| Number Of CC Demob | Displays the number Of CC Demob | |
| Sender Address | Displays the BIC sender (BIC of the counterparty) | |
| Receiver Address | Displays the BIC receiver (BIC of the NCB) | |
| Direction | Default Value "In" | |
| Notification Status | Displays the notification status | |
| | Possible Values: | |
| | - Impacted | |
| | - Impact Failed | |
| | - Rejected | |
| Error Description | Displays the error description when the file is in status "Impact Failed" | |



| Subscreen | |
|-------------------------------|---|
| Fied | Description |
| Mobilisation In- struction | Displays the number of the Mobilisation Instructions and the details of these instructions as a sub-screen |
| Demobilisation Instruction | Displays the number of the Demobilisation Instructions and the details of these instructions as a sub-screen |
| Credit Claim In- struction | Displays the number of the Credit Claim Instructions (Registration, Update) and the details of these instructions as a sub-screen |
| Rating Instruction | Displays the number of the Rating Instructions and the details of these instructions as a sub-screen |
| Mob Instruction | |
| Fied | Description |
| ECMS Internal Reference | Displays the ECMS Internal Reference |
| Operation Type | Displays the operation type with the value "MOB" |
| Instruction Reference | Displays the instruction reference of the counterparty |
| Internal asset account | Displays the safekeeping account the internal asset account that is used to mobilise the credit claim |
| Credit Claim | Displays the the credit claim asset to be mobilised |
| ECMS Internal Reference | Displays the ECMS Internal Reference |
| Business Status | Displays the business status of the instruction |
| Demob Instructio | n |
| Fied | Description |
| ECMS Internal Reference | Displays the ECMS Internal Reference |
| Operation Type | Displays the operation type with the value "DEMOB" |
| Instruction Reference | Displays the instruction reference of the counterparty |
| Internal asset account | Displays the safekeeping account the internal asset account that is used to mobilise the credit claim |
| Credit Claim | Displays the the credit claim asset to be mobilised |
| ECMS Internal Reference | Displays the ECMS Internal Reference |
| Business Status | Displays the business status of the instruction |
| CC Instruction | |
| Fied | Description |
| Instruction Details | s |
| Fied | Description |
| ECMS Internal | Displays the ECMS internal reference of the credit claim registration instruction automatically filled by the system |
| Reference | |
| Instruction Reference | Displays the unique reference of the instruction in counterparty side |
| Instruction Refer- | |
| Instruction Reference | side |



| Credit Claims Deta | ails |
|--|---|
| Fied | Description |
| Credit Claim Reference | Displays the identifier of the credit claim for the Counterparty |
| Credit Claim Con- tract Number | Displays the credit claim contract number |
| Outstanding Amount | Displays the outstanding amount of the credit claims. |
| Currency | Displays the currency of the Credit Claim. By default EUR. |
| Maturity Date | Displays the maturity date of the credit claim. |
| Origination date | Displays the origination date of the credit claim. |
| Debtor Details | |
| Fied | Description |
| Debtor ID | Displays the RIAD code of the Creditor. |
| Debtor Code Type | Displays the Debtor Code Type. |
| Guarantor Details | |
| Fied | Description |
| Guarantor ID | Displays the RIAD code of the Guarantor. |
| Guarantor Code Type | Displays the Guarantor Code Type. |
| Guarantee Reference | Displays the Guarantee reference if existing given by the Counterparty. |
| Other Details | |
| Fied | Description |
| | 2000 Ption |
| Loan Type | Displays the Type of loan |
| | - |
| Loan Type Set-off Risk Indic- | Displays the Type of loan Displays the set-off risk indicator. Y(existence of a set off risk) / N or NA (to be used when not applicable for the NCB) |
| Loan Type Set-off Risk Indic- ator | Displays the Type of loan Displays the set-off risk indicator. Y(existence of a set off risk) / N or NA (to be used when not applicable for the NCB) |
| Loan Type Set-off Risk Indic- ator Negative Cashflow | Displays the Type of loan Displays the set-off risk indicator. Y(existence of a set off risk) / N or NA (to be used when not applicable for the NCB) Displays Y or N |
| Loan Type Set-off Risk Indicator Negative Cashflow Subordination | Displays the Type of loan Displays the set-off risk indicator. Y(existence of a set off risk) / N or NA (to be used when not applicable for the NCB) Displays Y or N Displays the value Y/N |
| Loan Type Set-off Risk Indicator Negative Cashflow Subordination Agent Bank Changing Interest | Displays the Type of loan Displays the set-off risk indicator. Y(existence of a set off risk) / N or NA (to be used when not applicable for the NCB) Displays Y or N Displays the value Y/N Displays the Agent bank value |
| Loan Type Set-off Risk Indicator Negative Cashflow Subordination Agent Bank Changing Interest Rate Indicator Changing Interest Rate Indicator Date | Displays the Type of loan Displays the set-off risk indicator. Y(existence of a set off risk) / N or NA (to be used when not applicable for the NCB) Displays Y or N Displays the value Y/N Displays the Agent bank value Displays the value Y/N |
| Loan Type Set-off Risk Indicator Negative Cashflow Subordination Agent Bank Changing Interest Rate Indicator Changing Interest Rate Indicator Date | Displays the Type of loan Displays the set-off risk indicator. Y(existence of a set off risk) / N or NA (to be used when not applicable for the NCB) Displays Y or N Displays the value Y/N Displays the Agent bank value Displays the value Y/N Displays the Changing Interest Rate Indicator Date Displays FIX or VAR |
| Loan Type Set-off Risk Indicator Negative Cashflow Subordination Agent Bank Changing Interest Rate Indicator Changing Interest Rate Indicator Date Interest Rate Type Reference Index Reference Index | Displays the Type of loan Displays the set-off risk indicator. Y(existence of a set off risk) / N or NA (to be used when not applicable for the NCB) Displays Y or N Displays the value Y/N Displays the Agent bank value Displays the value Y/N Displays the Changing Interest Rate Indicator Date Displays FIX or VAR Displays the Referenced Eurosystem Index. To be filled in if the Interest RateType is VAR Displays the Reference Index Comment. To be filled if the Reference |
| Loan Type Set-off Risk Indicator Negative Cashflow Subordination Agent Bank Changing Interest Rate Indicator Changing Interest Rate Indicator Date Interest Rate Type Reference Index Comment | Displays the Type of Ioan Displays the set-off risk indicator. Y(existence of a set off risk) / N or NA (to be used when not applicable for the NCB) Displays Y or N Displays the value Y/N Displays the Agent bank value Displays the value Y/N Displays the Changing Interest Rate Indicator Date Displays FIX or VAR Displays the Referenced Eurosystem Index. To be filled in if the Interest RateType is VAR Displays the Reference Index Comment. To be filled if the Reference Index is 'Other'. |
| Loan Type Set-off Risk Indicator Negative Cashflow Subordination Agent Bank Changing Interest Rate Indicator Changing Interest Rate Indicator Date Interest Rate Type Reference Index Reference Index | Displays the Type of loan Displays the set-off risk indicator. Y(existence of a set off risk) / N or NA (to be used when not applicable for the NCB) Displays Y or N Displays the value Y/N Displays the Agent bank value Displays the value Y/N Displays the Changing Interest Rate Indicator Date Displays FIX or VAR Displays the Referenced Eurosystem Index. To be filled in if the Interest RateType is VAR Displays the Reference Index Comment. To be filled if the Reference |
| Loan Type Set-off Risk Indicator Negative Cashflow Subordination Agent Bank Changing Interest Rate Indicator Changing Interest Rate Indicator Date Interest Rate Type Reference Index Comment | Displays the Type of loan Displays the set-off risk indicator. Y(existence of a set off risk) / N or NA (to be used when not applicable for the NCB) Displays Y or N Displays the value Y/N Displays the Agent bank value Displays the value Y/N Displays the Changing Interest Rate Indicator Date Displays FIX or VAR Displays the Referenced Eurosystem Index. To be filled in if the Interest RateType is VAR Displays the Reference Index Comment. To be filled if the Reference Index is 'Other'. Displays the value (True or False). To be filled in if the Interest |
| Loan Type Set-off Risk Indicator Negative Cashflow Subordination Agent Bank Changing Interest Rate Indicator Changing Interest Rate Indicator Date Interest Rate Type Reference Index Reference Index Comment Cap Indicator Resetting Period More Than One | Displays the Type of loan Displays the set-off risk indicator. Y(existence of a set off risk) / N or NA (to be used when not applicable for the NCB) Displays Y or N Displays the value Y/N Displays the Agent bank value Displays the Value Y/N Displays the Changing Interest Rate Indicator Date Displays the Referenced Eurosystem Index. To be filled in if the Interest RateType is VAR Displays the Reference Index Comment. To be filled if the Reference Index is 'Other'. Displays the value (True or False). To be filled in if the Interest RateType is VAR. Displays the value (True or False). To be filled in if the Interest RateType is VAR. Displays the value (True or False). To be filled in if the Interest RateType is VAR. |



| Debtor | Displays the Debtor RIAD Code |
|----------------------------------|--|
| Guarantor | Displays the Guarantor national identifier |
| ECMS Internal Reference | Displays the ECMS Internal Reference |
| Instruction Reference | Displays the Instruction Reference |
| Operation Type | Displays "RR" or "RU" |
| Rating Date | Displays the Rating Date |
| Rating Validity Date | Displays the Rating Validity Date |
| Rating Type | Displays the Rating Type |
| Credit Assessment System Code | Displays the Credit Assessment System Code |
| Default Probability | Displays the Default Probability |
| Instruction Status | Displays the Instruction Status |
| Business Status | Displays the Business Status |
| comment | Displays the comment |
| Business Valida- tion Errors | Displays the Business Validation Errors |
| Footprint | |
| Updater User Id | Shows the identification of the user that made the last update. |
| Update Date | Shows the date and time of the last update. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the received CC file. |
| Creation Date | Shows the date and time of the received CC file creation. Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| | |

3.4.9.8.2 Counterparty Processing Report

3.4.9.8.2.1 Counterparty Processing Report – Search Screen

| This screen contains a list of counterparty processing report. |
|---|
| The counterparty processing report listed correspond to the search criteria capture in the search screen. |
| The list displayed can be sorted and filter using by the field displayed. |
| The list can be exported. |
| Collateral and Credit >> Notification >> Credit Claim >> Counterparty Processing Report |
| Search Criteria : Processing Report |
| File Bel ▼ Counterpart Identifier ▼ |
| Notifications Status == ▼ Creation Date == ▼ |
| ** Q Sourch |
| |

Counterparty Processing Report – Search Screen



| Field | Description |
|----------------------------|---|
| File Ref | Input the unique message reference provided by ECMS. |
| Counterparty Identifier | Input the Counterparty RIAD Code |
| Notification | Select/Input from the drop down list the notification status. |
| Status | Possible values: |
| | - Processed |
| | Processed With Failure |
| Creation Date | Input the creation date and time of the counterparty processing report. |
| | Format: DD/MM/YYYY hh:mm:ss:sss |
| Button | Function |
| Reset | To clear the search criteria and close the result windows if any |
| Search | This function enables you to start a search according to the criteria entered. The results are Showed in a list on the screen List screen. Next screen: |
| | Counterparty Processing Report – List Screen |

3.4.9.8.2.1. Counterparty Processing Report – List Screen

| Context of Usage | | | | | | | After select- ttons below. |
|--------------------|---|---|-------------------------------------|---------------------------------------|---------------------|---|---|
| Screen Ac- cess | | eral and Cressing Repo | | | | Claim >> Co | ounterparty |
| Screenshot | Search Result : Process | sing Report | | | | | <u>.</u> |
| | 10 🕶 | | | K < Page 1 of 690 > X | | | Q 5005 ★ 翔 () ♡ |
| | Message ld \$ | File Ref TESTCOROWA | Counterpart Identifier FR30006 | ∇ Notifications Status Processed | □ Error Description | © Creation Date \$ | ♥ Creation User Id ▼ FFMSQuerationalDayScheduler |
| | 6676837040 | TESTOCRIMORES2 | FR3006 | Processed | | 11/10/2024 17:00 19:00 | ECMSOperational DayScheduler ECMSOperational DayScheduler |
| | 6676832090 | SAHDARYI 007 | ERIONS | Processed | | 11/10/2024 17:00 49:073 | ECMSOnerational DayScheduler |
| | | | | | | | |
| | 6676833000 | TESTOCRAMORESA | EB30006 | Processed | | 11/10/2024 17:00 48:592 | ECMSOnerational DayScheduler |
| | | TESTCCRMOBES4 TESTCCRMOBES | FR30006 FR30006 | Processed Processed | | 11/10/2024 17:00:48:592 11/10/2024 17:00:48:005 | ECMSOperationalDayScheduler ECMSOperationalDayScheduler |
| | 6676831990 | | | | | | |
| | 6676831990 6676831970 | TESTCCRMOBES | FR30006 | Processed | | 11/10/202417:00:48:005 | ECMSOperationalDayScheduler |
| | 6676831990 6676831970 6676831570 | TESTCCRMOBES TESTHOHCBSJ | FR30006 FR30006 | Processed Processed | | 11/10/2024 17:00:48:005 11/10/2024 16:20:17:545 | ECMSOperationalDayScheduler ECMSOperationalDayScheduler |
| | 6676831990 6676831970 6676831570 66768314993 | TESTCCRMOBES TESTHOHCBS.J TESTDCCRVZS.J | FR30006 FR30006 FR18129 | Processed Processed Processed | | 11/10/2024 17:00:48:005 11/10/2024 16:20:17:545 11/10/2024 16:10:17:600 | ECMSOperationalDayScheduler ECMSOperationalDayScheduler ECMSOperationalDayScheduler |

| Counterparty Processing Report – List screen | | |
|--|---|--|
| Field | Description | |
| Message Id | Display the identifier of the message | |
| File Ref | Displays the unique message reference received from the counterparty | |
| Counterpaty Identifier | Displays the RIAD Code of the counterparty | |
| | | |
| Notification | Displays the notification status | |
| Status | Possible Values: | |
| | - Processed | |
| | Processed With Failure | |
| Error Description | Displays the error description when the file is in status "Impact Failed" | |
| Creation Date | Displays the creation date of the counterparty processing report | |



| | Format: DD/MM/YYYY hh:mm:ss:sss |
|------------------|--|
| Creation User Id | Displays the creation user identifier of the file |
| Button | Function |
| Download | This function enables the user to download a copy of the file. |
| View Message | This function enables the user to view the detailed attributes of the sent message to the counterparty |

3.4.10 Reporting

3.4.10.1 Automatic Pool Position Report

This U2A query displays the A2A colr.016 Pool Position report, which provides information on a specific Counterparty Pool. This A2A colr.016 Pool Position report is generated automatically by ECMS based on the subscription (daily, weekly, monthly, yearly) by the Counterparty or NCB user.

3.4.10.1.1 Automatic Pool Position Report - Search Screen

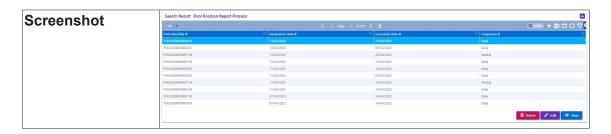
| Context of Usage | This screen is used to enter criteria to retrieve the Pool Position report. | | |
|------------------|--|--|--|
| Screen Access | Collateral and Credit >> Reporting >> Automatic Pool Position Report | | |
| Screenshot | Search Criteria : Poul Position Report Process Poul townfile* ** Q Generation Date *** Q towns Q towns | | |

| Automatic Pool Position Report – Search screen | | |
|--|--|--|
| Field | Description | |
| Pool Identifier | Enter the Identifier that uniquely identifies the report. | |
| Generation Date | Enter/Select the Generation date of the report. The calendar icon can also be used. | |
| | Required format is: DD/MM/YYYY. | |
| Button | Description | |
| Reset | This function enables you to clear the form. | |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. | |

3.4.10.1.2 Automatic Pool Position Report - List Screen

| Context of Usage | This screen contains the search results displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons below. |
|------------------|--|
| Screen Access | Collateral and Credit >> Reporting >> Automatic Pool Position Report >> Click on the <i>Search</i> button (after inputting the relevant fields, if needed) |





| Automatic Pool Position Report – List screen | | |
|--|--|--|
| General Information | | |
| Field | Description | |
| Pool Identifier | Shows the Identifier that uniquely identifies the report. | |
| Generation Date | Shows the Generation date of the report. | |
| | Displayed format is: DD/MM/YYYY. | |
| Execution Date | Shows the Execution date of the report. | |
| | Displayed format is: DD/MM/YYYY. | |
| Frequency | Shows the Frequency of the report. | |
| | Possible values are for Daily, Weekly, Monthly, Yearly. | |
| | Displayed format is: Max. 4 characters. | |
| Button | Description | |
| View | This function enables you to access to the detailed information of the Automatic Pool Position Report. | |
| | Next screen: | |
| | Automatic Pool Position Report – details screen | |

3.4.10.1.3 Automatic Pool Position Report - Details Screen

| Context of Usage | This screen displays detailed information on the selected Automatic Pool Position Report. You can check the data and proceed further by clicking on the buttons. | | | | | |
|------------------|---|--|---|--|--|---|
| Screen Access | Collateral and Credit >> Reporting >> Automatic Pool Position Report >> Click on the Search button (after inputting the relevar fields, if needed) >> Select an Automatic Pool Position Report > Click on the View button | | | | | |
| Screenshot | Details C Search Result : Pool Position Proof Instant Inspect Process Notifical Proof Instant Propert Process Notifical Proof Instant Pool Position Proof Instant Pool Position Proof Process Notifical Proof Instant Pool Position Proof Process Notifical Proof Proof Process Notifical Proof Process Notifical Proof Process Notifical Proof Proof Process Notifical Proof Proof Proof Proof Process Notifical Proof | Report Process > View : Report Process > View : Report Process > View : A31 Citizent Report | Convision Date 1884/2622 Peol Position Report Process Senting Convision Conv | Execution Date 1494/2022 Grant Description 1 | Frequency Dully Dully Substitution of the second of the se | Color |





| Automatic Pool Po | osition Report – Details screen |
|--------------------------|---|
| General Information | on |
| Field | Description |
| Pool Identifier | Shows the Identifier that uniquely identifies the report. |
| Generation Date | Shows the Generation date of the report. |
| | Displayed format is: DD/MM/YYYY. |
| Execution Date | Shows the Execution date of the report. |
| | Displayed format is: DD/MM/YYYY. |
| Frequency | Shows the Frequency of the report. |
| | Possible values are for Daily, Weekly, Monthly, Yearly. |
| | Displayed format is: Max. 4 characters. |
| Footprint | |
| Field | Description |
| Update User Id | Show the identification of the user that made the last update. |
| Update Date | Shows the date and time of the update. |
| Creation User Id | Shows the identification of the user that created the report. |
| Creation Date | Show the date and time of the creation. |
| Notifications | |
| Field | Description |
| Message Id | Shows the reference that uniquely identifies the notification. |
| Notification Name | Shows the Notification Name. |
| Notification Status | Shows the status of the Notification from the possible values: Processed, |
| | Rejected. |
| Error Description | Shows the error description of the Notification. |
| Update Date | Shows the date and time of the update. |
| | Display format is: DD/MM/YYYY hh:mm:ss:µs. |
| Update User Id | Show the identification of the user that made the last update. |
| Button | Description |
| Download | This function enables you to download the notification in XML format. |

3.4.10.2 Losing Eligibility Report

3.4.10.2.1 Losing Eligibility Report – Create Screen

| Context of | This screen contains a number of fields regarding the creation of a Losing |
|-------------------|--|
| Usage | Eligibility Report. You can enter new data. Afterwards you can proceed |
| | further by clicking on the buttons below. |





| Losing Eligib | ility Report – Create Screen |
|------------------------------------|--|
| Field | Description |
| Collateral Value | Enter the collateral value. |
| Counterparty Name | Enter the name of the counterparty. |
| Counterparty Code | Enter the code of the counterparty. |
| CSD | Enter the NCB Custodian. |
| ECB Com- ments | Enter the ECB comments. |
| | Enter the Eligibility end date. |
| Date | Required format is: DD/MM/YYYY |
| ISIN | Enter the ISIN. |
| Issuer Name | Enter the name of the issuer. |
| Maturity Date | Enter the Maturity date. |
| | Required format is: DD/MM/YYYY |
| %Pool Total Collateral Value | Enter the percentage of the Pool total collateral value. |
| Pool Id | Enter the Pool Identifier, automatically provided by the system |
| Quantity | Enter the Quantity |
| Validation Status | Enter the validation Status. |
| Value Date | Enter the Value date. |
| | Displayed format is: DD/MM/YYYY |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Save | This function enables you to save the creation of a Losing Eligibility Report. |

3.4.10.2.2 Losing Eligibility Report – Search Screen

| Context of | This screen contains a number of search fields. By inputting the relevant |
|------------|--|
| Usage | data, you can search for the Losing Eligibility Report. |
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |





| Losing Eligib | ility Report – Search screen |
|------------------------------------|--|
| Field | Description |
| Counterparty Name | Enter the name of the counterparty. |
| Counterparty Code | Enter the code of the counterparty. |
| CSD | Enter the NCB Custodian. |
| ECB Com- ments | Enter the ECB comments. |
| , | Enter / Select the Eligibility end date. |
| Date | Displayed format is: DD/MM/YYYY |
| ISIN | Enter the ISIN. |
| Issuer Name | Enter the name of the issuer. |
| Maturity Date | Enter / Select the Maturity date. |
| | Displayed format is: DD/MM/YYYY |
| %Pool Total Collateral Value | Enter the percentage of the Pool total collateral value. |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | Losing Eligibility Report – List Screen. |
| Create | This function enables you to create a new Losing Elegibility Report. |
| | Next screen: |
| | Losing Eligibility Report – Create Screen. |

3.4.10.2.2. Losing Eligibility Report – List Screen

| Context of Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. |
|------------------|---|
| Screen Ac- | Collateral and Credit >> Reporting >> Losing Eligibility Report >> Click on |
| cess | the search button (after inputting the relevant Data, if needed) |



| Screen- | Search Result : | Search Result : Losing Eligibility | | | | | | | | | | | | | |
|----------|------------------|------------------------------------|--------------|-----------------|-----------------|---------|------------|--------------------|--------------------|------------------|---------------------|-------------------|---------------------|--------------------|--------------------|
| ocieeii- | 10 🔻 | | | | | | | | | | | | | Q 48 | * 準() 🕏 |
| hot | Counterparty Cod | Counterparty Na | ISIN 0 | Issuer Name ¢ 💝 | Maturity Date # | CSD ≎ Ş | Quantity ¢ | Collateral Value 🕏 | % Pool Total Colla | Pool Id ≎ | Validation Status 🕏 | ECB Comments #7 | Eligibility End Dat | Creation Date # 9 | Update Date 🗢 💝 |
| ΠUL | ES4721 | BACR | ES0371622020 | PROGRAMA CEDUL | 10/04/2031 | IBRC | 4,00 | 00 15,421.36 | 27.483863 | ESP00L000030000_ | EAR | | 10/04/2034 | 27/03/202418:30:3 | 27/03/2024 18:30:3 |
| | ES4721 | BADR | E50371622020 | PROGRAMA CEDUL | 10/04/2031 | IBRC | 4,0 | 00 15,421.36 | 27.483863 | ESP00L000030000. | EAR | | 10/04/2034 | 27/03/2024 18:00:0 | 27/03/2024 18:00:0 |
| | ES4721 | BADR | ES0371622020 | PROGRAMA CEDUL | 10/04/2031 | IBRC | 4,0 | 00 15,421.36 | 27.483863 | ESP00L000030000_ | EAR | | 10/04/2034 | 27/03/2024 15:59:3 | 27/03/2024 15:59:3 |
| | ES0001 | | | | | | -10.0 | | | | | | | | 04/01/2024 18:30:3 |
| | ES0001 | ES0001 SHORT NA | ES0305462006 | | 21/08/2062 | 25 | 10 | 0 19,838,344.35 | | POOL00000000017 | EA_DEL11 | | 21/08/2062 | 04/01/2024 18:30:3 | 04/01/2024 18:30:3 |
| | ES0001 | ES0001 SHORT NA | ES0305462006 | | 21/08/2062 | 25 | -10,0 | 00 | 0 | POOL00000000017 | EA_DEL11 | | 21/08/2062 | 03/01/2024 18:00:0 | 03/01/2024 18:00:0 |
| | ES0001 | ES0001 SHORT NA | ES0305462006 | | 21/08/2062 | 25 | | 0 | 0 | POOL00000000017 | EALDEL11 | | 21/08/2062 | 03/01/2024 18:00:0 | 03/01/2024 18:00:0 |
| | ES0001 | ES0001 SHORT NA | ES0305462006 | | 21/08/2062 | 25 | -10,0 | 00 | 0 | POOL00000000017 | EA_DEL11 | | 21/08/2062 | 02/01/2024 18:00:0 | 02/01/2024 18:00:0 |
| | ES0001 | ES0001 SHORT NA | ES0305462006 | | 21/08/2062 | 25 | | 0 | 0 | POOL00000000017 | EA_DEL11 | | 21/08/2062 | 02/01/2024 18:00:0 | 02/01/2024 18:00:0 |
| | ES0001 | ES0001 SHORT NA | ES0305462006 | | 21/08/2062 | 25 | -10,0 | 00 | 0 | POOL00000000017 | EALDEL11 | | 21/08/2062 | 01/01/2024 18:00:0 | 01/01/2024 18:00:0 |
| | | | | | | | | | | | Export Rep | ort Csv Export Ro | port Excel Expor | t Report Xml | Edit |

| Losing Eligib | pility Report – List Screen |
|------------------------------------|---|
| Field | Description |
| Counterparty Code | Shows the code of the counterparty. |
| Counterparty Name | Shows the name of the counterparty. |
| ISIN | Shows the ISIN. |
| Issuer Name | Shows the name of the issuer. |
| Maturity Date | Shows the Maturity date. |
| | Displayed format is: DD/MM/YYYY |
| CSD | Shows the NCB Custodian. |
| Quantity | Shows the Quantity |
| Collateral Value | Shows the collateral value. |
| %Pool Total Collateral Value | Shows the percentage of the Pool total collateral value. |
| Pool Id | Shows the Pool Identifier, automatically provided by the system |
| Validation Status | Shows the validation Status. |
| ECB Com- ments | Shows the ECB comments. |
| Eligibility End | Shows the Eligibility end date. |
| Date | Displayed format is: DD/MM/YYYY |
| Creation | Shows the date and time when the report was created in the ECMS. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Update Date | Shows the date and time when the report was last updated in the ECMS. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| After selecting | g a record, the following buttons are displayed |
| Button | Function |
| View | This function enables you to access to the detailed information of a Losing Eligibility Report. |
| | Next screen: |
| | Losing Eligibility Report – Details Screen. |
| Export Re- port Csv | This button enables you to export the data on screen to a file with CSV format. |
| Export Report Excel | This button enables you to export the data on screen to a file with excel format. |



| Export Re- | This button enables you to export the data on screen to a file with XML |
|------------|---|
| port Xml | format. |

3.4.10.2.2. Losing Eligibility Report – Edit Screen

Context of Usage

This screen contains a number of fields regarding Losing Eligibility Report that you can edit. Afterwards you can proceed further by clicking on the buttons below.

Screen Accompany Screen and Credit >> Reporting >> Losing Eligibility Report >> Click on the search button (after inputting the relevant Data, if needed) >> Select a record >> Click on the Edit button

Screenshot

Scre

| Losing Eligib | ility Report – Edit Screen |
|------------------------------------|--|
| Field | Description |
| Collateral Value | Enter the collateral value. |
| Counterparty Name | Enter the name of the counterparty. |
| Counterparty Code | Enter the code of the counterparty. |
| CSD | Enter the NCB Custodian. |
| ECB Com- ments | Enter the ECB comments. |
| | Enter the Eligibility end date. |
| Date | Required format is: DD/MM/YYYY |
| ISIN | Enter the ISIN. |
| Issuer Name | Enter the name of the issuer. |
| Maturity Date | Enter the Maturity date. |
| | Required format is: DD/MM/YYYY |
| %Pool Total Collateral Value | Enter the percentage of the Pool total collateral value. |
| Pool Id | Enter the Pool Identifier, automatically provided by the system |
| Quantity | Enter the Quantity |
| Validation Status | Enter the validation Status. |
| Value Date | Enter the Value date. |
| | Displayed format is: DD/MM/YYYY |
| Button | Function |
| Cancel | This function enables you to cancel the modification of a Losing Eligibility Report. |



| Save | This function enables you to save the modification of a Losing Eligibility Report. |
|---------------------|--|
| Footprint | |
| Creation | Shows the date and time when the report was created in the ECMS. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Creation User Id | Shows the identifier of the user that does the creation. |
| Update Date | Shows the date and time when the report was last updated in the ECMS. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Updater User Id | Shows the identifier of the user that does the last update. |

3.4.10.2.2. Losing Eligibility Report – Details Screen

| Context of Usage | This screen displays detailed information on the selected Losing Eligibility Report. You can check the data and proceed further by clicking on the buttons. | | | | |
|------------------|---|--|--|--|--|
| Screen Access | Collateral and Credit >> Reporting >> Losing Eligibility Report >> Click on the search button (after inputting the relevant Data, if needed) >> Select a record >> Click on the View button | | | | |
| Screen- shot | Search Result : Losing Eligibility > View : Losing Eligibility Collected Value 13AMAHAM CSD 28 Intel EXMERISION S You'd Tool Collected Value 6 | Counterparty Name Exost SHORT NAME ECG Comments ISSUE Name Port of Procure Name Front of | Countrypary Code E30691 E0ptility for Date 11069501 11069501 Committy Committy 11069501 | | |
| | Validation Status EA_BEL11 | Value Date 64/91/2024 | FootPrint | | |

| Losing Eligibility Report – Details Screen | | |
|--|--|--|
| Field | Description | |
| Collateral Value | Shows the collateral value. | |
| Counterparty Name | Shows the name of the counterparty. | |
| Counterparty Code | Shows the code of the counterparty. | |
| CSD | Shows the NCB Custodian. | |
| ECB Com- ments | Shows the ECB comments. | |
| | Shows the Eligibility end date. | |
| Date | Displayed format is: DD/MM/YYYY | |
| ISIN | Shows the ISIN. | |
| Issuer Name | Shows the name of the issuer. | |
| Maturity Date | Shows the Maturity date. | |
| | Displayed format is: DD/MM/YYYY | |
| %Pool Total Collateral Value | Shows the percentage of the Pool total collateral value. | |



| Pool Id | Shows the Pool Identifier, automatically provided by the system |
|----------------------|---|
| Quantity | Shows the Quantity |
| Validation Status | Shows the validation Status. |
| Value Date | Shows the Value date. |
| | Displayed format is: DD/MM/YYYY |
| Footprint | |
| Creation | Shows the date and time when the report was created in the ECMS. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Creation User Id | Shows the identifier of the user that does the creation. |
| Update Date | Shows the date and time when the report was last updated in the ECMS. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Updater User Id | Shows the identifier of the user that does the last update. |

3.4.10.3 Outstanding Credit Operations Report

This U2A report is available to NCB users and Counterparties.

3.4.10.3.1 Outstanding Credit Operations Report - Search Screen

| Context of Usage | This screen is used to enter criteria to retrieve the Outstanding Credit Operations report. | | |
|------------------|---|--------------|--|
| Screen Access | Collateral and Credit >> Reporting >> Credit Operation >> Outstanding Credit Operations | - | |
| Screenshot | ReportActualDate Searchings 1: Credit Operations Report Pool Inforces ** * * * * * * * * * * * * * * * * * | ★ △ € | |

| Outstanding Credit Operations Report – Search screen | | |
|--|--|--|
| Field | Description | |
| Pool Reference | Enter the Identifier that uniquely identifies the Pool. | |
| Riad Code | Enter the RIAD Code that identifies the counterparty | |
| | Displayed format is: Max. 30 characters. | |
| Position Date | Enter the position date or use the calendar icon to select one. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs | |
| Button | Description | |
| Reset | This function enables you to clear the form. | |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. | |

3.4.10.3.2 Outstanding Credit Operations Report - List Screen

| Context of Usage | This screen contains a list of Settled and Reimbursed Credit Op- |
|-------------------------|--|
| | erations Reports. |



| | The Settled and Reimbursed Credit Operations Reports listed correspond to the search criteria captured in the Settled and Reimbursed Credit Operations Reports – Search screen. | | | | | | | |
|---------------|---|--|--|---|---------------------------------|--|--|---|
| | | The list displayed can be sorted and filtered by the fields displayed. | | | | | | |
| | The li | ist can | be expor | ted. | | | | |
| Screen Access | stand | ling Cre | edit Oper | >> Reporting ations >> Clications >> Clications if needs. | ck on the S | | | |
| Screenshot | Search Result : Cred | dit Operations Report | © Position Date ♥ | K < Page 1 or 5000 > X | Street Account 9 Streets Take 9 | Marturity Date 6 | Settlement Date 9 | Q 8574 * D C () P |
| | POOL000000009 POOL000000009 POOL000000009 POOL000000009 POOL000000009 | FRISOST FRISOST FRISOST FRISOST FRISOST FRISOST | 28/03/2023 28/03/2023 28/03/2023 28/03/2023 28/03/2023 28/03/2023 | EUR EUR EUR EUR | STORY ACCOUNTS | 1 24/11/2021 1 01/11/2021 2 27/10/2021 1 24/11/2021 1 01/11/2021 2 27/10/2021 | 17/11/2021 22/10/2021 22/10/2021 17/11/2021 22/10/2021 22/10/2021 | PredingActivation PredingActivation PredingActivation PredingActivation PredingActivation PredingActivation PredingActivation PredingActivation |
| | POOL0000000009 POOL000000009 | FR50007 FR50007 FR50007 | 28/03/2023 28/03/2023 28/03/2023 | EUR EUR FUR | | 1 24/11/2021 1 01/11/2021 2 27/10/2021 | 17/11/2021 22/10/2021 22/10/2021 | PendingActivation PendingActivation PendingActivation |

| Outstanding Credit | Operations Report – List screen | |
|---------------------------|--|--|
| General Information | | |
| Field | Description | |
| Pool Reference | Shows the reference of the pool with which the cash account is linked where the payment is debited | |
| | Displayed format is: Max. XX characters | |
| RIAD Code | Shows the RIAD identifier | |
| | Displayed format is: Max. 30 characters. | |
| Position Date | Shows the position date. | |
| Amount | Shows the amount | |
| | Displayed format is: Max. XX characters. | |
| Currency | Show the currency of the payment | |
| Credit Account | Shows the reference of the cash account where the payment is to be paid | |
| | Displayed format is: Max. XX characters. | |
| Interest Rate | Shows the applied interest rate for the accrued interest calculation. | |
| Maturity Date | Shows the Maturity Date | |
| | Displayed format is: DD/MM/YYYY. | |
| Settlement Date | Shows the Settlement date or use the calendar icon. | |
| | Displayed format is: DD/MM/YYYY | |
| Instruction Status | Shows the Instruction Status | |
| Button | Description | |
| Export Report Csv | This function enables you to export the displayed list of the in a CSV file. | |
| Export Report Excel | This function enables you to export the displayed list of the in an Excel file. | |
| Export Report XML | This function enables you to export the displayed list of the in an XML file. | |
| View | This function enables you to access to the detailed information of the <i>Outstanding Credit Operations Report</i> . | |



Next screen:

- Outstanding Credit Operations Report - details screen

3.4.10.3.3 Outstanding Credit Operations Report - Details Screen

| Context of Usage | This screen contains the search results displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons below. | | | |
|------------------|---|---|---------------------------------------|--|
| Screen Access | Collateral and Credit >> Reporting >> Credit Operation >> Outstanding Credit Operations >> Click on the Search button (after inputting the relevant fields, if needed) >> Select an Outstanding Credit Operations Operations Report >> Click on the View button | | | |
| Screenshot | © Outstanding Credit Operations | | | |
| | Search Result : Credit Operations Report > View : Credit Operations Report Accounting Interest Plate | Allotment Amount | Allotment Maturity Dane | |
| | | 1000000 | 61/1/2021 | |
| | Allosment Rate | Allotment Status PredinaArchation | Allotment Value Date | |
| | Ameuro | Auction Pure | Coursement Name | |
| | Amount | Autton type ER | ER CFTY'S FER0007 | |
| | Credited Account | Currency | Debined Account | |
| | | EUR | | |
| | Duration Of Operation 10 | Ecms Internal Reference LPO20211022000210 | Effective Payment Date | |
| | Fx Currency | tritial Margin | Interest Currency | |
| | | | EUR | |
| | Interest Rate | Maturity Date 61/11/2021 | MI Type | |
| | Netted Payment ID | Netting Indicator | Norminal | |
| | | No. | 10000000 | |
| | Nominal Reimbursed In Currency | Nominal Reimbursed In Euro | One Reference No TESTOMOTESNE | |
| | Operation Type | Outstanding Accrued Interest | Outstanding Amount in Currency | |
| | LP | | | |
| | Outstanding Amount in Euro | Paid Accrued Interest | Party Internal Reference 2269418 | |
| | 29428600 Pastment Cuttricky | Parmeré Status | 22000413 | |
| | Payment Currency EUR | CTLeckGruted | Percentage 101al Amount 88,29286397 | |
| | Pool Reference | Position Date | Principal Interest Indicator | |
| | POOL(40000000209 | 02/09/2022 | Principal | |
| | Procedure S | Report Time 04/88/2022 (4:07:52:566 | Riad Code FRISI29 | |
| | Segregated Operation Type | Settlement Date | Spread | |
| | TLTRO-IV | 02/08/2022 | 0 | |
| | Instruction Status Activated | Transaction Reference Number CL30000000124297 | Transaction Type Reverse Transactions | |
| | FootPrint | | | |
| | Lockment User Id Update Date | | | |
| | Update Date STP 04/08/2022 14:07:52:045 | | | |
| | Creation User Id Creation Date | | | |
| | STP 04/08/2022 14:07:92:945 | | | |
| | | | | |

| Outstanding Credit Operations Report – Details screen | | | |
|---|---|--|--|
| General Information | General Information | | |
| Field | Description | | |
| Accounting Interest | Shows the Accounting Interest Rate | | |
| Rate | Displayed format is: Max. XX characters. | | |
| Allotment Amount | Shows the nominal value of the OMO | | |
| | Displayed format is: Max. XX characters. | | |
| Allotment Maturity | Shows the date at which the operation will be matured | | |
| Date | Displayed format is: DD/MM/YYYY. | | |
| Allotment Rate | Shows the Allotment Rate | | |
| | Displayed format is: Max. XX characters. | | |
| Allotment Status | Shows the Allotment Status | | |
| | Displayed format is: Max. XX characters. | | |
| Allotment Value Date | Shows the Allotment Value Date | | |
| | Displayed format is: DD/MM/YYYY. | | |
| Amount | Shows the amount | | |



| | Displayed format is: Max. XX characters. |
|-------------------------------------|---|
| Auction Type | Shows the Auction Amount. The possible values are: |
| 71. | - "Fixed Rate Tender" |
| | - "Variable Rate Tender" |
| | |
| Countarnarty Nama | Displayed format is: Max. XX characters. |
| Counterparty Name | . , |
| O | Displayed format is: Max. XX characters. |
| Credit Account | Shows the reference of the cash account where the payment is to be paid |
| | Displayed format is: Max. XX characters. |
| Currency | Show the currency of the payment |
| Debited Account | Shows the reference of the cash account where the payment is debited |
| | Displayed format is: Max. XX characters |
| Duration of Operation | Shows the Duration of Operation |
| ECMS Internal Reference | Shows the application reference that uniquely identifies the instruction. |
| | Displayed format is: Max. XX characters. |
| Effective Payment | Shows the Effective Payment Date |
| Date | Displayed format is: DD/MM/YYYY. |
| FX Currency | Shows the FX Currency |
| - | Displayed format is: Max. 3 characters |
| Initial Margin | Shows the Initial Margin |
| Interest Currency | Shows the applied interest rate for the accrued interest calculation |
| Interest Rate | Shows the applied interest rate for the accrued interest calculation. |
| Maturity Date | Shows the Maturity Date |
| - | Displayed format is: DD/MM/YYYY. |
| MI Type | Shows the MI Type |
| Netted Payment ID | Shows the Netted Payment Id, if the payment was netted. |
| Netting Indicator | Shows if the payment is netted via the netting process. |
| | The possible values are: |
| | - Yes |
| | – No. |
| Nominal | Shows the Nominal Amount |
| Nominal Reim- bursed in Currency | Shows the Nominal Reimbursed in Currency |
| Nominal Reim- bursed in Euro | Shows the Nominal Reimbursed in Euro |
| OMO Reference No | Shows the application reference that uniquely identifies the instruction. |
| | Displayed format is: Max. XX characters. |
| Operation Type | Shows the Operation Type |
| | 1 |



| Outstanding Accrued Interest | Shows the Outstanding Accrued Interest | |
|--------------------------------|--|--|
| Outstanding Amount in Currency | Shows the Outstanding Amount in Currency | |
| Outstanding Amount in Euro | Shows the Outstanding Amount in Euro | |
| Paid Accrued In- terest | Shows the Paid Accrued Interest | |
| Party Internal Reference | Shows the Party Internal Reference | |
| Payment Currency | Shows the Payment Currency | |
| Payment Status | Shows the Payment Status | |
| Percentage Total Amount | Shows the Percentage Total Amount | |
| Pool Reference | Shows the reference of the pool with which the cash account is linked where the payment is debited | |
| | Displayed format is: Max. XX characters | |
| Position Date | Show the date of Position Date. | |
| Principal Interest Indicator | Show the Principal Interest Indicator. | |
| Procedure | Shows the Procedure | |
| Report Time | Shows the Report Date and Time | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| RIAD Code | Shows the RIAD identifier | |
| | Displayed format is: Max. 30 characters. | |
| Segregated Operation Name | Shows the Segregated Operation Name | |
| Settlement Date | Shows the Settlement date or use the calendar icon. | |
| | Displayed format is: DD/MM/YYYY | |
| Spread | Shows the Spread | |
| Instruction Status | Shows the Instruction Status | |
| Transaction Reference Number | Shows the Transaction Reference Number | |
| Transaction Type | Shows the Transaction Type | |
| Footprint | | |
| Field | Description | |
| Update User Id | Show the identification of the user that made the last update. | |
| Update Date | Shows the date and time of the update. | |
| | Display format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Creation User Id | Shows the identification of the user that created the report. | |
| Creation Date | Show the date and time of the creation. | |
| | Display format is: DD/MM/YYYY hh:mm:ss:µs. | |

3.4.10.4 Settled and Reimbursed Credit Operations Report

This U2A report is available to NCB users and Counterparties.



3.4.10.4.1 Settled and Reimbursed Credit Operations - Search Screen

| Context of Usage | This screen is used to enter criteria to retrieve the Settled and Reimbursed Credit Operations report. | | | | | | | | | |
|------------------|---|----------|--|--|--|--|--|--|--|--|
| Screen Access | Collateral and Credit >> Reporting >> Credit Operation >> Settled and Reimbursed Credit Operations | | | | | | | | | |
| Screenshot | Report Cost Destroy Cost Destroy Report Fred Ending Cost - * * Paster Date * * Paster Date * | 1 | | | | | | | | |

| Settled and Reimbursed Credit Operations Report – Search screen | | | | | | |
|---|--|--|--|--|--|--|
| Field | Description | | | | | |
| Pool Reference | Shows the Identifier that uniquely identifies the Pool. | | | | | |
| Riad Code | Shows the RIAD Code that identifies the counterparty | | | | | |
| | Displayed format is: Max. 30 characters. | | | | | |
| Position Date | Shows the Date of the Cash Collateral Position | | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs | | | | | |
| Button | Description | | | | | |
| Reset | This function enables you to clear the form. | | | | | |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. | | | | | |

3.4.10.4.2 Settled and Reimbursed Credit Operations - List Screen

| Context of Usage | This screen contains the search results displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons below. Collateral and Credit >> Reporting >> Credit Operation >> Settled and Reimbursed Credit Operations >> Click on the Search button (after inputting the relevant fields, if needed) | | | | | | | | | |
|------------------|---|----------------------|-----------------|--------------------------------|--------------------------|-------------------|-----------------|-------------------|---------------------------|--|
| Screen Access | | | | | | | | | | |
| Screenshot | Search Result : Cred | it Operations Report | | ¿ ⟨ Pson : | 1 of 215 > X | | | | Q3141 ★ 甜 □ (5 ▽ [| |
| | Pool Reference 9 | Riad Code 0 | Position Date 0 | | ♥ Credited Account ® | ▽ Interest Rate 0 | Maturity Date 0 | Settlement Date 9 | ▽ Instruction Status Φ ▽ | |
| | FRPOOL000070000001 | FR30007 | 27/03/2023 | EUR | | | 10 23/03/2023 | 22/03/2023 | Closed | |
| | FRPOOL000070000001 | FR30007 | 27/03/2023 | EUR | | | 10 23/03/2023 | 22/03/2023 | Closed | |
| | FRP00L000070000001 | FR30007 | 27/03/2023 | EUR | | | 10 23/03/2023 | 22/03/2023 | Closed | |
| | FRP00L000070000001 | FR30007 | 27/03/2023 | BUR | | | 10 23/03/2023 | 22/03/2023 | Closed | |
| | FRP00L000070000001 | FR30007 | 24/03/2023 | 4,109.58 EUR | CBXXTFC001X | | 10 24/03/2023 | 23/03/2023 | Closed | |
| | FRP00L000070000001 | FR30007 | 24/03/2023 | 4,109.58 EUR | CBXXTFC001X | | 10 24/03/2023 | 23/03/2023 | Closed | |
| | FRPOCL000070000001 | FR30007 | 24/03/2023 | 4,109.50 EUR 5,000.000 EUR | CEXIXTFCEOIX | | 10 24/03/2023 | 23/03/2023 | Closed | |
| | FRPOOLEGEO70000001 | FR30007 | 23/03/2023 | 5,000,000 DUR 5,000,000 DUR | NATHERPECK NATHERPECK | | 10 24/03/2023 | 23/03/2023 | Activated | |
| | | PROPERTY. | 2.0-wal 2023 | 5,000,000 BOR | MATAPPP900 | | 10 2004/2023 | earner 2023 | | |
| | FRPOCL000070000001 | FR30007 | | 5,000,000 EUR | NATIOFREPPIOCE | | 10 24/03/2023 | 23/03/2023 | Activated | |

| Settled and Reimbursed Credit Operations – List screen | | | | | | | | |
|--|--|--|--|--|--|--|--|--|
| General Information | | | | | | | | |
| Field | Description | | | | | | | |
| Pool Reference Shows the reference of the cash account where the payme debited | | | | | | | | |
| | Displayed format is: Max. XX characters | | | | | | | |
| RIAD Code | Shows the RIAD identifier | | | | | | | |
| | Displayed format is: Max. 30 characters. | | | | | | | |
| Position Date | Shows the position date. | | | | | | | |
| Amount | Shows the amount | | | | | | | |

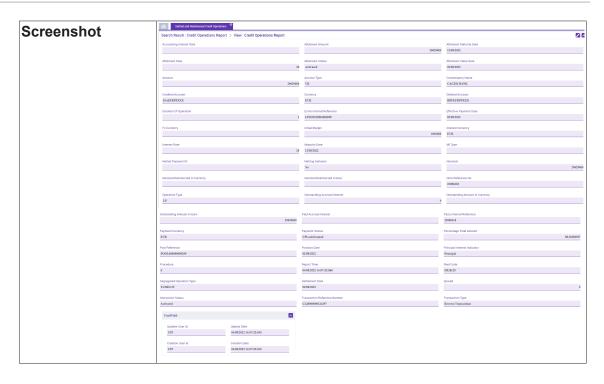


| | Displayed format is: Max. XX characters. | | | | | |
|---------------------|---|--|--|--|--|--|
| Currency | Show the currency of the payment | | | | | |
| Credit Account | Shows the reference of the cash account where the payment is to be paid | | | | | |
| | Displayed format is: Max. XX characters. | | | | | |
| Interest Rate | Shows the applied interest rate for the accrued interest calculation. | | | | | |
| Maturity Date | Shows the Maturity Date | | | | | |
| | Displayed format is: DD/MM/YYYY. | | | | | |
| Settlement Date | Shows the Settlement date or use the calendar icon. | | | | | |
| | Displayed format is: DD/MM/YYYY | | | | | |
| Instruction Status | Shows the Instruction Status | | | | | |
| Button | Description | | | | | |
| Export Report Csv | This function enables you to export the displayed list of the in a CSV file. | | | | | |
| Export Report Excel | This function enables you to export the displayed list of the in an Excel file. | | | | | |
| Export Report Xml | This function enables you to export the displayed list of the in an XML file. | | | | | |
| Delete | This function enables you to delete the Settled and reimbursed Credit Operations Report. | | | | | |
| Edit | This function enables you to edit the Settled and reimbursed Credit Operations Report. | | | | | |
| View | This function enables you to access to the detailed information of the Settled and Reimbursed Credit Operations report. | | | | | |
| | Next screen: | | | | | |
| | Settled and Reimbursed Credit Operations - Details details | | | | | |

3.4.10.4.3 Settled and Reimbursed Credit Operations - Details Screen

| Context of Usage | This screen contains the search results displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons below. |
|------------------|---|
| Screen Access | Collateral and Credit >> Reporting >> Credit Operation >> Settled and Reimbursed Credit Operations >> Click on the Search button (after inputting the relevant fields, if needed) >> Select a Settled and Reimbursed Credit Operations Report >> Click on the View button |





| Settled and Reimbu | ursed Credit Operations – Details screen | | | |
|---------------------|---|--|--|--|
| General Information | n | | | |
| Field | Description | | | |
| Accounting Interest | Shows the Accounting Interest Rate | | | |
| Rate | Displayed format is: Max. XX characters. | | | |
| Allotment Amount | Shows the nominal value of the OMO | | | |
| | Displayed format is: Max. XX characters. | | | |
| Allotment Maturity | Shows the date at which the operation will be matured | | | |
| Date | Displayed format is: DD/MM/YYYY. | | | |
| Allotment Rate | Shows the Allotment Rate | | | |
| | Displayed format is: Max. XX characters. | | | |
| Allotment Status | Shows the Allotment Status | | | |
| | Displayed format is: Max. XX characters. | | | |
| Allotment Value | Shows the Allotment Value Date | | | |
| Date | Displayed format is: DD/MM/YYYY. | | | |
| Amount | Shows the amount | | | |
| | Displayed format is: Max. XX characters. | | | |
| Auction Type | Shows the Auction Amount. The possible values are: | | | |
| | - "Fixed Rate Tender" | | | |
| | - "Variable Rate Tender" | | | |
| | Displayed format is: Max. XX characters. | | | |
| Counterparty Name | Shows the short name of the Counterparty | | | |
| | Displayed format is: Max. XX characters. | | | |
| Credit Account | Shows the reference of the cash account where the payment is to be paid | | | |
| | Displayed format is: Max. XX characters. | | | |



| Currency | Show the currency of the payment |
|-------------------------------------|---|
| Debited Account | Shows the reference of the cash account where the payment is |
| | debited |
| | Displayed format is: Max. XX characters |
| Duration of Operation | Shows the Duration of Operation |
| ECMS Internal Reference | Shows the application reference that uniquely identifies the instruction. |
| | Displayed format is: Max. XX characters. |
| Effective Payment | Shows the Allotment Value Date |
| Date | Displayed format is: DD/MM/YYYY. |
| FX Currency | Shows the FX Currency |
| | Displayed format is: Max. 3 characters |
| Initial Margin | Shows the Initial Margin |
| Interest Currency | Shows the applied interest rate for the accrued interest calculation |
| Interest Rate | Shows the applied interest rate for the accrued interest calculation. |
| Maturity Date | Shows the Maturity Date |
| | Displayed format is: DD/MM/YYYY. |
| MI Type | Shows the MI Type |
| Netted Payment ID | Shows the Netted Payment Id, if the payment was netted. |
| Netting Indicator | Shows the Netting Indicator. The possible values are: |
| | - Yes |
| | – No. |
| Nominal | Shows the Nominal Amount |
| Nominal Reim- bursed in Currency | Shows the Nominal Reimbursed in Currency |
| Nominal Reim- bursed in Euro | Shows the Nominal Reimbursed in Euro |
| OMO Reference No | Shows the application reference that uniquely identifies the instruction. |
| | Displayed format is: Max. XX characters. |
| Operation Type | Shows the Operation Type |
| Outstanding Accrued Interest | Shows the Outstanding Accrued Interest |
| Outstanding Amount in Currency | Shows the Outstanding Amount in Currency |
| Outstanding Amount in Euro | Shows the Outstanding Amount in Euro |
| Paid Accrued In- terest | Shows the Paid Accrued Interest |
| Party Internal Reference | Shows the Party Internal Reference |
| Payment Currency | Shows the Payment Currency |
| Payment Status | Shows the Payment Status |



| Percentage Total Amount | Shows the Percentage Total Amount |
|------------------------------|--|
| Pool Reference | Shows the reference of the cash account where the payment is debited |
| | Displayed format is: Max. XX characters |
| Position Date | Show the date of Position Date. |
| Principal Interest Indicator | Show the Principal Interest Indicator. |
| Procedure | Shows the Procedure |
| Report Time | Shows the Report Date and Time |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| RIAD Code | Shows the RIAD identifier |
| | Displayed format is: Max. 30 characters. |
| Segregated Operation Name | Shows the Segregated Operation Name |
| Settlement Date | Shows the Settlement date or use the calendar icon. |
| | Displayed format is: DD/MM/YYYY |
| Spread | Shows the Spread |
| Instruction Status | Shows the Instruction Status |
| Transaction Reference Number | Shows the Transaction Reference Number |
| Transaction Type | Shows the Transaction Type |
| Footprint | |
| Field | Description |
| Updater User Id | Show the identification of the user that made the last update. |
| Update Date | Shows the date and time of the update. |
| | Display format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the report. |
| Creation Date | Show the date and time of the creation. |
| | Display format is: DD/MM/YYYY hh:mm:ss:µs. |

3.4.10.5 MPO Expected Payments Screens

This U2A report is available to NCB users and Counterparties.

3.4.10.5.1 MPO Expected Payments – search Screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the Expected payments related to Monetary Policy Operations. |
|------------------|--|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |
| Screen Access | Collateral and Credit >> Reporting >> Monetary Policy Operations >> MPO Expected Payments |
| Screenshot | Search Criteria: LMPO Expected Payments Counterpary Mod Code: Princip derinder: Operation Type: Princip derinder: Operation Type: Princip derinder: Operation Type: Oper |



| MPO Expected | payments – Search screen |
|----------------------------|--|
| Field | Description |
| Counterparty RIAD code | Enter/select the counterparty RIAD code. |
| Pool identifier | Enter/select the pool identifier. |
| Operation Reference | Enter the operation reference. |
| Operation Type | Enter/select the operation type. |
| | Possible values: |
| | - OMO |
| | Early Repayment |
| | Marginal Lending |
| Principal or In- | Enter/select the principal or interest indicator. |
| terest Indicator | Possible values: |
| | - Principal |
| | - Interest |
| Intended Pay- ment Date | Enter/select the intended payment date. |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | MPO Expected payments – List Screen |

3.4.10.5.2 MPO Expected Payments – List Screen

| Context of Usage | sorte (defa | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order default setting). After selecting an entry, you can proceed further by clicking on the buttons below. | | | | | | | | | | |
|------------------|----------------|--|--|---|---|--|-----------------------------|--|--|---|--|---|
| Screen Access | MPO | Collateral and Credit >> Reporting >> Monetary Policy Operations >> MPO Expected Payments >> Click on the search button (after inputng the relevant Reference Data, if needed) | | | | | | | | | | |
| Screenshot | 10 🕶 | 1 | | Early Repayment Early Repayment Early Repayment MLOR | Counterparty RAO Cs. FRISCOT | Amount 9 Commony 9 Services 9 Ser | -11 11 11 11 11 | ###################################### | Principal of bit in Philosophia of bit in Ph | Out | Parent Development 9 (*) Contribution of the Contribution of C | Semind Semind Semind Expected Expected Semind Expected |



| MPO Expected | payments – List Screen | | |
|----------------------------|--|--|--|
| Field | Description | | |
| Payment reference | Shows the reference of the payment | | |
| Internal Reference ID | Shows the internal reference ID. | | |
| Operation Reference | Shows the reference of the operation | | |
| Operation Type | Shows the operation type. | | |
| Counterparty RIAD code | Shows the counterparty RIAD code. | | |
| Amount | Shows the outstanding amount of the expected payment. | | |
| Currency | Shows the currency of the expected payment. | | |
| Interest Rate | Shows the interest rate of the expected payment. | | |
| Intended Pay- ment Date | Shows the date on which the cash payment will be made and, when relevant, the corresponding value of collateral will be encumbered/un-encumbered | | |
| | Displayed format is: DD/MM/YYYY. | | |
| Principal or in- | Shows the principal or interest indicator. | | |
| terest Indicator | Possible values: | | |
| | - Principal | | |
| | - Interest | | |
| Sign | Shows the sign. The sign depends on whether the Counterparty's MCA will be credited or debited. Possible values: | | |
| | In (means that the Counterparty's MCA will be credited) | | |
| | Out (means that the Counterparty's MCA will be debited) | | |
| Event Description | Shows the event description. | | |
| Payment status | Shows the payment status. | | |
| After selecting a | record, the following buttons are displayed | | |
| Button | Function | | |
| View | This function enables you to access to the detailed information of an expected payment related to monetary policy operations. | | |
| | Next screen: | | |
| | MPO Expected payments – Details Screen. | | |
| Export Report Csv | This function enables you to export the displayed list of the MPO expected payments in an CSV file. | | |
| Export Report Excel | This function enables you to export the displayed list of the MPO expected payments in an Excel file. | | |

3.4.10.5.3 MPO Expected Payments – Details Screen



| Context of Usage | This screen displays detailed information on the selected expected payment related to monetary policy operations. You can check the data and proceed further by clicking on the buttons. | | |
|------------------|--|--|--|
| Screen Access | MPO Expected Payme | ents >> Click on the sea ence Data, if needed) > | |
| Screenshot | Search Criteria: LPO Expected Payments Search Result: MPO Expected Payments Search Result: MPO Expected Payments > View: MPO Expected Payment Payment Principles LUMINOSAGE SEARCH S | Internal Infrance D FAMMOSTOROGAT No. Oscillar FAMMOSTOROGAT No. Oscillar FAMMOSTOROGAT Internal Faymon Data (C)740-0828 Operation Type Early Represent Control Account CANADOROGAT CANADOROGAT No. Oscillar No. Osc | Counterpary HAD Code Amount 1,309.86 Interest Russ Intere |

| MPO Expect | ed payments – Details Screen | | |
|---|---|--|--|
| Field | Description | | |
| Payment ref- erence | Shows the reference of the payment | | |
| Internal Reference ID | Shows the internal reference ID. | | |
| Counter- party RIAD code | Shows the counterparty RIAD code. | | |
| Pool identi- fier | Shows the identifier that uniquely identifies the Pool of the counter- party. | | |
| NBC identi- fier | Shows the identifier that uniquely identifies the NCB. | | |
| Amount | Shows the outstanding amount of the expected payment. | | |
| Currency | Shows the currency of the expected payment. | | |
| Intended Payment Shows the date on which the cash payment will be made and, we evant, the corresponding value of collateral will be encumbered/cumbered | | | |
| | Displayed format is: DD/MM/YYYY. | | |
| Interest Rate | Shows the interest rate of the expected payment. | | |
| Operation Reference | Shows the reference of the operation | | |
| Operation Type | Shows the operation type. | | |
| Principal or | Shows the principal or interest indicator. | | |
| interest in- dicator | Possible values: | | |
| | - Principal | | |
| | - Interest | | |
| Sign | Shows the sign. The sign depends on whether the Counterparty's MCA will be credited or debited. | | |
| | Possible values: | | |



| | Possible values: | |
|---|---|--|
| | In (means that the Counterparty's MCA will be credited) | |
| Out (means that the Counterparty's MCA will be debited) | | |
| Credit Ac- count | Shows the credit account. | |
| Debitor Ac- count | Shows the debitor account. | |
| Netting in- | Shows if the payment is netted via the netting process. | |
| dicator | Possible values: | |
| | - Yes | |
| | – No. | |
| Netting pay- ment ID | Shows the netting payment identifier. | |
| Event De- scription | Shows the event description. | |
| Payment status | Shows the payment status. | |
| Foot Print | | |
| Creation | Shows the date and time of the creation of the expected payment. | |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Creation User Id | Shows the identification of the user that created the expected payment. | |
| Update Date | Shows the date and time of the update of the expected payment. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Updater User Id | Shows the identification of the user that made the last update of the expected payment. | |

3.4.11 Setup

1

3.4.11.1 Process Configuration

3.4.11.1.1 Pool Position Report Subscription

3.4.11.1.1. Pool Position Report Subscription - Search Screen

| | This screen contains a number of search fields. By inputting the relevant |
|--------------------|---|
| Usage | data, you can search for the Pool Position Report Subscription. The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |
| Screen Ac- cess | Collateral And Credit >> Setup >> Process Configuration >> Pool Position Report Subscription |
| Screen- shot | Search Citeria : Pool Position Report Periodic Config |

Pool Position Report Subscription – Search screen



| Field | Description |
|-----------------|--|
| Pool Identifier | Enter / Select the Pool Identifier that identifies the pool in the ECMS. |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Create | This function enables you to create a new Pool Position Report Subscription. |
| | Next screen: |
| | Pool Position Report Subscription – Create Screen. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | - Pool Position Report Subscription - List Screen. |

3.4.11.1.1. Pool Position Report Subscription - List Screen

1.1

| Context of Usage | This screen contains the search results displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons below. | | | | |
|------------------|--|---|---------------|----------------------|-------------------------|
| Screen Access | tion Repo | Collateral And Credit >> Setup >> Process Configuration >> Pool Position Report Subscription >> Click on the search button (after inputting the relevant data, if needed) | | | |
| Screenshot | Search Result : Pool Position Report Periodic Config | | | で (Q3) ★ 顔 □ () ♡ | |
| | Pool Identifier 2 | Start Date 2 | © Frequency Φ | □ Undate User id © | □ Landade Date \$ |
| | P00L00000000191 | 26/05/2022 | Daily | UBCL025 | 26/05/2022 17:05:15:709 |
| | P00L000000000218 | 31/05/2022 | Daily | STP | 31/05/2022 16/32/28 913 |
| | | | | | |

| Pool Position | Report Subscription – List Screen | |
|----------------------|---|--|
| Field | Description | |
| Pool Identifier | Shows the Pool Identifier that identifies the pool in the ECMS. | |
| Start Date | Shows the date from which the Pool Position Report Subscription is valid. | |
| Frequency | Shows the generation frequency for the Pool Position Report from possible values: | |
| | - Yearly | |
| | - Weekly | |
| | - Daily | |
| | - Monthly | |
| Updater User Id | Identifier of the user responsible for the last update of the record. | |
| Update Date | Date and time when the record was last updated in the ECMS. | |
| | Shows format is: DD/MM/YYYY hh:mm:ss:µs. | |
| After selecting | a record, the following buttons are displayed | |
| Button | Function | |
| Edit | This function enables you to edit a Pool Position Report Subscription. | |
| | Next screen: | |
| | Pool Position Report Subscription – Edit Screen. | |
| View | This function enables you to access to the detailed information of a Pool Position Report Subscription. | |



| Next screen: | |
|--------------|---|
| | Pool Position Report Subscription – Details Screen. |
| Delete | This button allows you to delete the selected record. |

3.4.11.1.1. Pool Position Report Subscription - Details Screen

1.2

| | This screen displays detailed information on the selected Pool Position Report Subscription. You can check the data and proceed further by clicking on the buttons. |
|------------|---|
| | Collateral And Credit >> Setup >> Process Configuration >> Pool Position Report Subscription >> Click on the search button (after inputting the relevant data, if needed) >> Select a record >> Click on the View button |
| Screenshot | Search Result : Pool Position Report Periodic Config > View : Pool Position Report Periodic Config context Prod Search Result : Pool Search Report Periodic Config > View : Pool Position Report Periodic Config Prod Search Result : Pool Search Report Periodic Config > View : Pool Position Report Periodic Config Prod Search Result : Pool Position Report Periodic Config Search Result : Pool Position Report Periodic Config > View : Pool Position Report Periodic Config Search Result : Pool Position Report Periodic Config Search Result : Pool Position Report Periodic Config Search Result : Pool Search Result : Pool Position Report Periodic Config Search Result : Pool Search Result : Pool Position Report Periodic Config Search Result : Pool Search Result : Pool Position Report Periodic Config Search Result : Pool |

| Pool Position | Report Subscription – Details Screen | |
|----------------------|---|--|
| Button | Description | |
| Context | | |
| Field | Description | |
| Pool Identifier | Shows the Pool Identifier that identifies the pool in the ECMS. | |
| Result | | |
| Start Date | Shows the date from which the Pool Position Report Subscription is valid. | |
| Frequency | Shows the generation frequency for the Pool Position Report from possible values: | |
| | - Yearly | |
| | - Weekly | |
| | - Daily | |
| | - Monthly | |

3.5 Corporate Actions

The ECMS stores the necessary information to process CA Events in its reference data.

CA Events needs to be created if and only if the Corporate Actions affects a Marketable Asset in position in a T2S Securities Account.

The responsible for maintaining the data of CA Event linked to a CSD is the NCB in relation with that CSD.

3.5.1 CA Announcements

A Corporate Action Announcement is a message sent by the CSD to inform the owner of a Marketable Asset about an upcoming corporate action.

Once processed, the CA Announcements are sent to the Counterparties in order to inform them about the CA Events and its details.



The ECMS manages the following lists of CA Announcement:

Corporate Action Notification (CANO) to notify/remind/update the upcoming corporate action.

Corporate Action Cancellation Advice (CANC) to cancel a previously announced CA Event.

3.5.1.1 CA Events

CA Events needs to be created if and only if the Corporate Actions affects a Marketable Asset in position in a T2S Securities Account.

3.5.1.1.1 CA Event by Counterparty

3.5.1.1.1.1 CA Event by Counterparty – Search Screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the CA Event by Counterparty. |
|-------------------------------|--|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |
| Business Case re- lated | CA Announcement |
| Screen Access | Corporate Actions >> Announcements >> CA Event by Counterparty |
| Screen- shot | Search: CA Event by Counterparty CA EXAST Event by Counterpar |

| CA Event by c | CA Event by counterparty – Search Screen | | |
|----------------------|---|--|--|
| Field | Description | | |
| CA ECMS Event Id. | Enter the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. | | |
| | Required format is: Max. 35 characters. | | |
| CA Event | Enter / Select the type of CA Event. | | |
| Туре | Required format is: Max. 4 characters. | | |
| Participation | Enter / Select the CA Event Type from the possible values: | | |
| Туре | MAND - Mandatory | | |
| | CHOS - Mandatory with choice | | |
| | VOLU - Voluntary | | |
| Asset Account Id | Enter the identifier of the ECMS Counterparty Asset Account Id where the eligible is held. | | |
| | Required format is: Max. 35 characters. | | |
| ISIN | Enter / Select the ISIN of the security concerned by the CA Event. | | |
| Creation Date | Enter the reference date of the creation of the CA Event or use the calendar icon. | | |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs | | |



| Button | Function |
|--------|--|
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | - CA Event By counterparty - List Screen. |

3.5.1.1.1.1. CA Event by Counterparty – List Screen

| Context of Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. | | | | | | |
|-------------------------------|--|---|---|--|---|--|---|
| Business Case re- lated | CA Anno | ouncemen | ts | | | | |
| Screen Access | | | | | >> CA Eve | • | |
| Screen- shot | List : CA Event by Counte III CA TOMS Press to 8 CA TOMS PRESS TO 9 CA TOMS PRESS | CA From Type 6 FOR CORP ACTOR FOR FOR FOR FOR FOR | Familyamin Type 8 WAND GRIS MAND MAND MAND MAND MAND MAND MAND MAND | Office 9 Fig. Section (Control of Control o | TO Adom Account of 8 VETERSTAND USERSTAND | ************************************** | Application of the Conference |

| CA Event by c | CA Event by counterparty – List Screen | | | |
|----------------------|---|--|--|--|
| Field | Description | | | |
| CA ECMS Event Id. | Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. | | | |
| | Displayed format is: Max. 35 characters. | | | |
| CA Event | Shows the type of CA Event. | | | |
| Туре | Displayed format is: Max. 4 characters. | | | |
| Participation | Shows the CA Event Type from the possible values: | | | |
| Туре | MAND - Mandatory | | | |
| | CHOS - Mandatory with choice | | | |
| | VOLU - Voluntary | | | |
| ISIN | Shows the ISIN of the security concerned by the CA Event. | | | |
| NCB Cus- todian | Shows the RIAD Code of the NCB Custodian to which the CA Event is linked. | | | |
| | Displayed format is: Max. 30 characters. | | | |
| Asset Account Id | Shows the Account number where the security concerned by the CA Event is hold. | | | |
| | Displayed format is: Max. 35 characters. | | | |
| Update Date | Shows the date and time of the last update of the CA Event. | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | |
| Updater User Id | Shows the identification of the user that made the last update of the CA Event. | | | |



| After selecting a record, the following buttons are displayed | | |
|---|--|--|
| Button | Function | |
| View | This function enables you to access to the detailed information of a CA Event By counterparty. | |
| | Next screen: | |
| | - CA Event - Details Screen. | |

3.5.1.1.1.1. CA Event by Counterparty – Details Screen

| Context of Usage | This screen contains a number of fields regarding the CA Events. You can View detailed information of a selected CA Event | | | |
|-------------------------------|---|---|-------------------------|-----|
| Business Case Re- lated | CA Announcements | | | |
| Screen Access | Corporate Actions >> Announcements >> CA Event by Counterparty >> Click on the search button (after inputting the relevant Reference Data, if needed) >> Select a CA Event >> Click on the <i>View</i> button | | | |
| Screen- shot | List: CA Event by Counterparty > Details: CA Event by Counterparty CA COMS Serent M INTERMENDIAL ECHAL CHARLES ACCOUNT EXHIBITION Detailed CA Information | CA Count Type INTR ISIN ISIN INSINIESSEES FootPrint | Participation Type MAND | E 2 |

| CA Event by cou | interparty – Details screen |
|------------------------|---|
| Field | Description |
| CA ECMS Event Id. | Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. |
| | Displayed format is: Max. 35 characters. |
| CA Event Type | Shows the type of CA Event. |
| | Displayed format is: Max. 4 characters. |
| Participation | Shows the CA Event Type from the possible values: |
| Туре | MAND - Mandatory |
| | CHOS - Mandatory with choice |
| | VOLU - Voluntary |
| ISIN | Shows the ISIN of the security concerned by the CA Event. |
| NCB Custodian | Shows the RIAD Code of the NCB Custodian to which the CA Event is linked. |
| | Displayed format is: Max. 30 characters. |
| Asset Account Id | Shows the Account number where the security concerned by the CA Event is hold. |
| | Displayed format is: Max. 35 characters. |
| Footprint | |
| Creation Date | Shows the date and time of the creation of the CA Event. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the CA Event. |
| Update Date | Shows the date and time of the update of the CA Event. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |



| Updater User Id | Shows the identification of the user that made the last update of the CA Event. |
|-------------------------|---|
| Button | Description |
| Detailed CA Information | This function enables you to access to the detailed information of a CA Event. |
| | Next screen: |
| | - CA Event - Details Screen. |

3.5.2 CA Positions

3.5.2.1 Monitor Client Eligible Position by CA

The Client Eligible Position by CA is determined each time a new CA Announcement is received from the CSD and each day until the record date is reached or upon an NCB user request.

3.5.2.1.1 Monitor Client Eligible Position by CA - Search screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the Client Eligible Positions by CA. | | |
|-------------------------------|--|--|--|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. | | |
| Business Case re- lated | CA Positions | | |
| Screen Access | Corporate Actions >> CA Position >> Monitor Client Eligible Position by CA | | |
| Screen- shot | Monter Cent Eighe Position by CA Client Eighe Position by Exert CA ECMS Event M → ▼ | | |

| Client Eligib | Client Eligible Position by CA – Search screen | | |
|-------------------------|--|--|--|
| Field | Description | | |
| CA ECMS Event Id* | Enter the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. | | |
| | Required format is: Max. 35 characters. | | |
| ECMS Counter- | Enter the identifier of the ECMS Counterparty Asset Account Id where the eligible position is held. | | |
| party Asset Account Id. | Required format is: Max. 35 characters. | | |
| | Enter / Select the Cross NCB or the T2S Security Account identifier. | | |
| set Account | Required format is: Max. 35 characters. | | |
| Record | Enter /Select the type of record from the possible values: | | |
| Туре | - Position | | |
| | - Pending Movement | | |
| Process | Enter / Select to specify which process to base on when displaying eligible position from the possible values: | | |



| | Client Eligible Position: include only position. |
|--------|--|
| | Client Notification: include pending mvt in addition to position. |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | - Monitor Client Eligible Position by CA - List Screen. |

3.5.2.1.1.1 Monitor Client Eligible Position by CA – List Screen

| Context of Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. |
|-------------------|---|
| Business | CA Positions |
| Case re- lated | |
| Screen Access | Corporate Actions >> CA Position >> Monitor Client Eligible Position by CA >> Click on the search button (after inputting the relevant data, if needed) |
| Screen- shot | Client Eligible Position by Event Result A V |

| Client Elig | Client Eligible Position by CA – List Screen | | |
|-----------------------|---|--|--|
| Field | Description | | |
| ISIN | Shows the ISIN of the security concerned by the CA Event. | | |
| Asset Ac- count Id | Shows the identifier of the Account where the eligible position is held. The account type depends on the type of Movement (Client/Market) and can be: | | |
| | ECMS Counterparty Asset Account Id | | |
| | - T2S Securities Account Id | | |
| | - ECMS Cross NCB Asset Account | | |
| | Displayed format is: Max. 35 characters. | | |
| External | Shows the Cross NCB or the T2S Security Account identifier. | | |
| Asset Ac- count | Displayed format is: Max. 35 characters. | | |
| Quantity | Shows the quantity expressed in face amount of the asset. | | |
| Record | Shows the type of record from the possible values: | | |
| Туре | - Position | | |
| | Pending Movement | | |
| Position | Shows from possible Values: | | |
| Nature | - Settled | | |



3.5.3 CA Instructions

In case of elective CA events, a Corporate Action Instruction contains all the relevant information conveyed by the relevant account holder concerning a Corporate Action Option. Based on that information, the ECMS may create or cancel the Corporate Action Choice to be sent to the CSD.

Both, mandatory CA Events with options and voluntary CA Events, offer the possibility to explicitly choose between one or more options or, on the contrary, follow the default option indicated in the CA Event.

Once the CA Choices have been processed, the ECMS forwards the CA Instructions to the corresponding CSD.

3.5.3.1 CA Client Instructions

The ECMS receives from the entitled Counterparties account holders CA Instructions (CAIN) to inform of their CA Choice about a particular CA Option available for a CA Event.

3.5.3.1.1 CA Client Instructions - Create / Display

3.5.3.1.1.1 CA Client Instructions – Input screen

| Context of Us- age | This screen contains a number of fields regarding the CA Instructions Received. You can enter new data. Afterwards you can proceed further by clicking on the buttons below. | | | |
|-----------------------|--|--|---|--------------------------------------|
| Business Case related | Input a new CA Instruction | | | |
| Screen Access | Corporate Action Instruction >> Inp | | | ructions >> Input |
| Screenshot | Inguir Client Instruction Inguir Client Instruction Party's Instruction Individual CAR CASAS Seet 19 NGSI Controlles COuntry Instructed in FAMT Additional Informations Instruction Comment Instruction Comment Instruction Comment II So Invent | Option Type and Number 3 10N ** ** ** ** ** ** ** ** ** | CA best Type Perly RAD Cide Remaining Quantity G | ECNAS Countergarry Arean Accounts Q |

| CA Client Instructions – Input screen | | | |
|--|--|--|--|
| CA Client Inst | CA Client Instructions | | |
| Field | Description | | |
| CA ECMS Event Id.* | Enter / Select the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. | | |
| | Required format is: Max. 35 characters. | | |
| Party's Instruction Enter the Reference of the instruction given by the Instructing Party. tion Reference* | | | |
| NCB Custodian from which the nouncement of the CA Event is received. | | | |
| | Displayed format is: Max. 30 characters | | |



| CA Event | Shows the type of CA Event. | | | |
|--|---|--|--|--|
| Type# | Displayed format is: Max. 4 characters | | | |
| Party RIAD | Enter the RIAD Code of the Counterparty owning the position. | | | |
| Code | Displayed format is: Max. 30 characters. | | | |
| ISIN# | Shows the ISIN that identifies the Asset concerned by the CA Client Instruction. | | | |
| Option Type and Number* | Enter / Select the number identifying the option number and the type within the CA Event. | | | |
| ECMS Counterparty Asset | Enter / Select the identifier of the ECMS Counterparty Asset Account where the Asset is mobilised. | | | |
| Account* | Required format is: Max. 35 characters | | | |
| Quantity In- structed in FAMT* | Enter the quantity of securities to which this instruction applies. | | | |
| Total Eligible Balance [#] | Shows the total Eligible balance calculated by ECMS | | | |
| Remaining Quantity [#] | Shows the remaining quantity equal to Total Eligible Quantity – Total Quantity Instructed | | | |
| Instruction | Enter the comment to be sent to the CSD. | | | |
| Comment | Required format is: Max. 255 characters. | | | |
| Button | Function | | | |
| Reset | This function enables you to clear the form. | | | |
| Save | This function enables you to save a new CA Client Instruction Received. | | | |
| Beneficial Owner Details | In case the instruction is related to CA events for TREC and WTRC types, this button is showed and enables the user to access to Beneficial Owner Details subsection. | | | |
| Beneficial Ow | ner Details | | | |
| Button | Function | | | |
| Create | This function enables you to save some Beneficial Owner Details. | | | |
| Field | Description | | | |
| Tax Rate | Enter the tax rate. | | | |
| Quantity | Enter the quantity | | | |
| Bic Code | Enter the BIC Code. | | | |
| | | | | |

3.5.3.1.1.2 CA Client Instructions – Search Screen

| | This screen contains a number of search fields. By inputting the relevant data, you can search for the CA Client Instructions. |
|-------------------------------|---|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |
| Business Case re- lated | Search / List / View CA Client Instructions |
| Screen Access | Depending how the screen is accessed, it can be used to search the valid information of the CA Instructions or the information that requires 4 eyes validation before they can be considered valid in the system. |
| | For valid information: |



| | Corporate Acti Monitor Client | | ns >> CA Client I | nstructions >> Moni | itor >> |
|---------|---|---|------------------------------------|-------------------------|----------|
| | For information | n subject to 4 eye | es validation: | | |
| | Corporate Acti | ons >> Instructio | ns >> Validate / I | Reject CA Client Ins | truc- |
| | | actions related to or their own Sear | | ns use this same def | finition |
| | | nstruction: Corpo | | Instructions >> CA (| Client |
| Screen- | Monitor Client Instructions Search: Client Instruction | | | | # A |
| shot | CA Client Instruction ** * | CA EDMS Event Id. ■■ ▼ | Party's Instruction ■■ ▼ Reference | CA CSD Event Ref •• ▼ | |
| | NCB Custodian ▼ | ▼ CA Event Type ▼ | ▼ Option Type ▼ | ▼ Option Number ▼ | |
| | ISIN ¥ | Q ECMS Counterparty ▼ Asset Account | Q Instruction Type • | ▼ Party RIAD Code ▼ | ٩ |
| | Business Status ▼ | ▼ Creation Date ▼ | ☐ Update Date ▼ | <u> </u> | |
| | "D Reset | | | | |

| CA Client Ins | tructions – Search screen | |
|---|--|--|
| Field | Description | |
| CA Client In- struction Id | Enter the reference of the CA Client Instruction given by the Counterparty for the CA event. | |
| | Required format is: Max. 35 characters. | |
| CA ECMS Event Id. | Enter / Select the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. | |
| | Required format is: Max. 35 characters. | |
| Party's In- struction Ref- erence | Enter the Reference of the instruction given by the Instructing Party. | |
| CA CSD | Enter the Reference of the CA Event given by the CSD. | |
| Event Ref | Required format is: Max. 35 characters. | |
| NCB Cus- todian | Enter / Select the RIAD Code of the NCB Custodian from which the announcement of the CA Event is received. | |
| | Required format is: Max. 30 characters. | |
| CA Event | Shows the type of CA Event. | |
| Туре | Displayed format is: Max. 4 characters | |
| Party RIAD | Shows the RIAD Code of the Counterparty owning the position. | |
| Code | Displayed format is: Max. 30 characters. | |
| ISIN | Enter / Select the ISIN that identifies the Asset concerned by the CA Client Instruction. | |
| Option Type | Enter / Select the option type within the CA Event. | |
| Option Num- ber | Enter / Select the number identifying the option number within the CA Event. | |
| terparty As- | Enter / Select the identifier of the ECMS Counterparty Asset Account where the Asset is mobilised. | |
| set Account | Required format is: Max. 35 characters | |
| Instruction | Enter / Select the Instruction Type from possible values: | |
| Туре | - Generated | |
| | - Manual | |



| | - Received |
|--------------------|--|
| Business Status | Enter / Select the status of the CA Client Instruction from the possible values are: |
| | Draft (in case of manual input, the client instruction will be created in status "Draft" in case of 4 eyes validation) |
| | Rejected (The client instruction can be rejected automatically due to some business errors) |
| | Waiting MI Cancellation Confirmation (Cancellation of instruction waiting confirmation) |
| | Pending CSD Confirmation (If the instruction is accepted without any error, it will be sent to the CSD and the status will be updated to "Pending CSD Confirmation") |
| | Confirmed by CSD (if the acknowledgment is received from the CSD) |
| | Cancelled (The client instruction could be cancelled by the client (seev.040) or manually by the user) |
| Creation Date | Enter the date and time when the CA Instruction was created in the ECMS. The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs. |
| Update Date | Enter the reference date of the last update of the CA Instruction or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | - CA Client Instructions - List Screen. |

3.5.3.1.1.2. CA Client Instructions – List Screen

| Context of Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. |
|-------------------------------|---|
| Business Case re- lated | Search / List / View CA Client Instructions |
| Screen Access | Depending how the screen is accessed, it can be used to list the valid information of the CA Events or the information that requires 4 eyes validation before they can be considered valid in the system. |
| | For valid information: |
| | Corporate Actions >> Instructions >> CA Client Instructions >> Monitor >> Monitor Client Instructions >> Click on the search button (after inputting the relevant data, if needed) |
| | For information subject to 4 eyes validation: |
| | Corporate Actions >> Instructions >> Validate / Reject CA Client Instructions >> Click on the search button (after inputting the relevant data, if needed) |



| | | | | | | | | | | ent In Scre | | | is us | se this | same | defir | ni- |
|---------|----------|----------------------------------|-----------------|--------------------------|----------------|-----------------|--------------|----------------|-----------------|----------------|-----------------|------------------|------------------------|---------------------|----------------------------------|----------------|--------------------|
| | | | | | | | | | | | | | | | ns >> C. rch buti | | ient |
| Screen- | Li | st : Client Instru | ction | | | | | | | | | | | | | | ~ |
| Screen- | | 10 🔻 | | | | | | | | | | | | | | Q | |
| shot | - | CA Client Instr | CA ECMS Even | CA CSD Event S | NC8 Custodian, | CA Event Type 🕏 | ISIN ¢ 5 | Option Type an | Party RIAD Cod. | ECMS Counter® | Quantity Instru | Party's Instruct | Instruction Typ: | Business Statú Acti | on To Valid Creation Date | Update Date ¢♡ | Updater User (🖓 |
| SHOL | E3 | ISCI2024052311 | BIDS000000236 | HUGOBIDS | AT9900 | BIDS | AT0000172747 | CTEN-002 | ATOSCAR | ATOSCARIAACA | 5,000 | ATOSCARSEEV3 | Received | Confirmed by Cu | 23/05/2024 12: | 23/05/2024 13: | CAOscar |
| | | ISCI2024052311 | . BIDS000000236 | . HUGOBIDS | AT9900 | BIDS | AT0000172747 | CASH-001 | HUGOAT | HUGOATIAACA | 10,000 | HUGOATSEEV33 | Received | Cancelled | 23/05/2024 12: | 23/05/202413: | CSDUser |
| | | | . BIDS000000235 | | AT9900 | BIDS | AT0000325550 | CASH-001 | HUGOAT | HUGOATIAACA | | | Received | Pending Custodi | | 22/05/2024 15: | - |
| | <u> </u> | | | | | BIDS | AT0000325550 | CTEN-002 | ATOSCAR | ATOSCARIAACA | | | Received | Pending Custodi | 22/05/2024 13: | 22/05/2024 13: | CAOscar |
| | | ISCI2024052210 | . BID5000000235 | . BIDSATHUGGAT | AT9900 | BIDS | AT0000325550 | CASH-001 | HUGOAT | HUGOATIAACA | 10,000 | ISC12024052210 | Generated | Confirmed by Cu | 22/05/2024 13: | 22/05/2024 13: | ATCBJobSched |
| | | | | | | | | | | | | | | | | | |
| | 8 | | BIDS000000235 | | AT9900 | BIDS | AT0000325550 | CASH-001 | ATOSCAR | ATOSCARIAACA | | | Generated | Confirmed by Cu | 22/05/2024 13 | 22/05/202413 | ATCBJobSched |
| | 8 | ISCI2024052180 | . BIDS000000234 | ATBIOSHUGO | AT9900 | BIDS | AT0000172747 | CASH-001 | ATOSCAR | ATOSCARIAACA | 5,000 | ISCI2024052180 | Generated | Created | 21/05/2024 13 | 22/05/2024 13: | User1CA |
| | 5 | ISCI2024052180 ISCI2024052180 | . BIDS000000234 | ATBIDSHUGO ATBIDSHUGO | | | | | | | 5,000 10,000 | ISCI2024052180 | Generated Generated | | 21/05/2024 13: 21/05/2024 13: | | User1CA User1CA |

| CA Client Insti | ructions – List Screen |
|-------------------------------------|---|
| Field | Description |
| CA Client In- struction Id. | Shows the reference of the CA Client Instruction given by the Counterparty for the CA event. |
| | Displayed format is: Max. 35 characters. |
| CA ECMS Event Id. | Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. |
| | Displayed format is: Max. 35 characters. |
| Party's Instruction Reference | Shows the Reference of the instruction given by the Instructing Party. |
| | Shows the Reference of the CA Event given by the CSD. |
| Ref | Displayed format is: Max. 35 characters. |
| NCB Cus- todian | Shows the RIAD Code of the NCB Custodian from which the announcement of the CA Event is received. |
| | Displayed format is: Max. 30 characters. |
| CA Event | Shows the type of CA Event. |
| Туре | Displayed format is: Max. 4 characters |
| Party RIAD | Shows the RIAD Code of the Counterparty owning the position. |
| Code | Displayed format is: Max. 30 characters. |
| ISIN | Shows the ISIN that identifies the Asset concerned by the CA Client Instruction. |
| Option Type and Number | Shows the option type as ISO Code and the option number. |
| ECMS Coun- terparty Asset | Shows the identifier of the ECMS Counterparty Asset Account where the Asset is mobilised. |
| Account | Displayed format is: Max. 35 characters |
| Quantity in- structed in FAMT | Shows the quantity of securities to which this instruction applies. |
| Instruction | Shows the Instruction Type from possible values: |
| Туре | - Generated |
| | – Manual |
| | - Received |
| Business Status | Shows the status of the CA Client Instruction from the possible values are: |



| | - Draft |
|--------------------|--|
| | - Rejected |
| | Waiting MI Cancellation Confirmation |
| | - Pending CSD Confirmation |
| | - Confirmed by CSD |
| | - Cancelled |
| Action to validate | Present only when the screen is used in the context of 4 eyes validations, |
| | Shows if the validation is required following a creation or an update of the record. |
| Creation Date | Shows the date and time of the creation of the CA Client Instruction. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Update Date | Shows the date and time of the last update of the CA Client Instruction. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the CA Client Instruction. |
| After selecting | a record, the following buttons are displayed |
| Button | Function |
| Cancel | [Only in Cancel Client Instruction functionality] |
| | This function enables you to cancel the selected CA Client Instruction. |
| View | This function enables you to access to the detailed information of a CA Client Instruction. |
| | Next screen: |
| | - CA Client Instruction - Details Screen. |
| | used in the 4 eyes validation context, the following buttons are also disrecord is selected |
| Action to Valid | date = Creation |
| In case of crea | tion of new data by 4-eyes user, the validator user will validate/reject. |
| Button | Function |
| View | This function enables the user/validator user to view the draft record to be validated or rejected. |
| Validate | This function allows the user to validate the creation or upate of the record so that they can be considered valid in the system |
| Reject | This function allows the user to reject the creation or update of the record. The draft will be deleted. |
| In case the rec | ord has been rejected the only available options for this record will be: |
| View | This function allows the user to view the rejected record. |

3.5.3.1.1.2. CA Client Instructions – Details Screen

Context of Usage
This screen displays detailed information on the selected CA Client Instructions. You can check the data and proceed further by clicking on the buttons.

Business
Case re-lated
Search / List / View CA Client Instructions



Screen Ac- Depending how the screen is accessed, it can be used to view the valid information of the CA Events or the information that requires 4 eyes validcess ation before they can be considered valid in the system. For valid information: Corporate Actions >> Instructions >> CA Client Instructions >> Monitor >> Monitor Client Instructions >> Click on the search button (after inputting the relevant data, if needed) >> Click on the View button For information subject to 4 eyes validation: Corporate Actions >> Instructions >> Validate / Reject CA Client Instructions >> Click on the search button (after inputting the relevant data, if needed) >> Click on the View button The following actions related to Client Instructions use this same definition of the screen for their own Details Screens: Cancel Client Instruction: Corporate Actions >> Instructions >> CA Client Instructions >> Cancel Client Instructions >> Click on the search button (after inputting the relevant data, if needed) >> Click on the View button Screenshot

| CA Client Instructions – Details Screen | | | | | | |
|---|---|--|--|--|--|--|
| CA Client Instructions | | | | | | |
| Field | Description | | | | | |
| CA Client In- struction Id. | Shows the reference of the CA Client Instruction given by the Counterparty for the CA event. | | | | | |
| | Displayed format is: Max. 35 characters. | | | | | |
| CA ECMS Event Id. | Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. | | | | | |
| | Displayed format is: Max. 35 characters. | | | | | |
| Party's Instruction Reference | Shows the Reference of the instruction given by the Instructing Party. | | | | | |
| CA CSD Event Ref. | Shows the reference of the CA Event given by the Custodian to the CA event. | | | | | |
| | Required format is: Max. 35 characters. | | | | | |
| NCB Cus- todian | Shows the RIAD Code of the NCB Custodian from which the announcement of the CA Event is received. | | | | | |
| | Displayed format is: Max. 30 characters. | | | | | |
| CA Event | Shows the type of CA Event. | | | | | |
| Туре | Displayed format is: Max. 4 characters | | | | | |



| Party RIAD | Shows the RIAD Code of the Counterparty owning the position. |
|-------------------------------------|---|
| Code | Displayed format is: Max. 30 characters. |
| ISIN | Shows the ISIN that identifies the Asset concerned by the CA Client Instruction. |
| Option Type and Number | Shows the option type as ISO Code and the option number. |
| ECMS Coun- terparty Asset | Shows the identifier of the ECMS Counterparty Asset Account where the Asset is mobilised. |
| Account | Displayed format is: Max. 35 characters |
| Quantity In- structed in FAMT | Shows the quantity of securities to which this instruction applies. |
| Total Eligible Balance | Shows the total Eligible balance calculated by ECMS |
| Instruction | Shows the Instruction Type from possible values: |
| Туре | - Generated |
| | - Manual |
| | - Received |
| Business | Shows the status of the CA Client Instruction from the possible values |
| Status | are: |
| | - Draft |
| | - Rejected |
| | Waiting MI Cancellation Confirmation |
| | - Pending CSD Confirmation |
| | - Confirmed by CSD |
| D | - Cancelled |
| Reason | Shows the reason of the status. |
| Tax Reclaim Rate | [Only in case of Valid Information Screen and for WTRC and TREC events] |
| - | Shows the Tax Reclaim Rate. |
| Tax Reclaim Rate Currency | _ |
| | Shows the Tax Reclaim Rate Currency. |
| Instruction Comment | Shows the comment to be sent to the CSD. |
| | Displayed format is: Max. 255 characters. |
| Validation det | - |
| Action To Validate | Shows if there is any action waiting for validation. |
| Rejected | Shows if any action subject to validation has been rejected for validation was already rejected. The possible values are: |
| | - True |
| | - False |
| Footprint | |
| Creation Date | Shows the date and time of the creation of the CA Client Instruction. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |



| Creation User Id | Shows the identification of the user that created the CA Client Instruction. |
|-------------------------|--|
| Update Date | Shows the date and time of the update of the CA Client Instruction. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the CA Client Instruction. |
| Button | Function |
| Notifications | This function enables you to display the subsection "Notifications". |
| His Rule Error | This function enables you to display the subsection "His Rule Error". |
| Notifications | |
| The existing no | tifications of the CA Client Instructions are displayed. |
| | oad a copy of an existing notification of the CA Client Instructions by seicking on the Download button. |
| Field | Description |
| Message Iden- tifier | Shows reference of the message received. |
| Notification Name | Shows the description of the type of message received. |
| Direction | Shows the direction of the message from the possible values: |
| | Out |
| | In |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: |
| | - Prepared |
| | - Impacted |
| | - Impact Failed |
| | - Rejected |
| | - Archived |
| | - Processed |
| | Processed with Failure |
| | - On Hold |
| | |

| Error Description | Shows the description of the error in case of error when receiving the message. |
|--------------------|---|
| Update Date | Shows the date and time of the last update of the CA Client Instruction. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the CA Client Instruction. |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| View Message | This function enables you to access to the detailed information of the messages for same notification. |



| | - View Message - Details Screen | | | | |
|-------------------------------|---|--|--|--|--|
| View Message – Details Screen | | | | | |
| Field | Description | | | | |
| Message Reference | Shows the reference of the messge. | | | | |
| Direction | Shows whether the notification has been an input or output. Possible values: | | | | |
| | – In | | | | |
| | - Out | | | | |
| Status | Shows the status of the message. | | | | |
| After selecting | a record, the following buttons are displayed | | | | |
| Button | Function | | | | |
| Download | This function enables you to access to the detailed information of the original message in XML format. | | | | |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | | | | |

| His Rule Error | | | | | |
|--|---|--|--|--|--|
| The existing His Rule Rule errors of the CA Client Instructions are displayed. | | | | | |
| If you click on View button following fields are displayed: | | | | | |
| Field | Description | | | | |
| Error Message | Shows error message. | | | | |
| His Rule Id | Shows the identifier of the business rule. | | | | |
| Status | Shows the current status. | | | | |
| Footprint | | | | | |
| Creation Date | Shows the date and time of the creation. | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | |
| Creation User Id | Shows the identification of the user that does the creation. | | | | |
| Update Date | Shows the date and time of the last update. | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | |
| Updater User Id | Shows the identification of the user that made the last update. | | | | |

3.5.3.1.2 Monitor Uninstructed Balance

3.5.3.1.2.1 Monitor Uninstructed Balance – Search Screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the Client Uninstructed Balance. |
|-------------------------------|--|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |
| Business Case re- lated | Search / List / View Monitor Uninstructed Balance |
| Screen Access | Corporate Actions >> Instructions >> CA Client Instructions >> Monitor Uninstructed Balance |





| Monitor Ur | ninstructed Balance – Search screen |
|-----------------------|--|
| Field | Description |
| CA ECMS Event Id.* | Enter / Select the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. |
| | Required format is: Max. 35 characters. |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | Monitor Uninstructed Balance – List Screen. |

3.5.3.1.2.1. Monitor Uninstructed Balance - List Screen

| Context of Usage | by the setting) | values of | the 'Upda electing ar | ate Date' | column in | descendi | ing orde | ich is sorte r (default licking on | d |
|-------------------------------|--------------------|--------------------------|------------------------------------|------------|-----------|-------------|------------|--|------------|
| Business Case re- lated | Search | / List / V | iew Monit | or Uninst | ructed Ba | lance | | | |
| | 1 | | | | | | | | |
| Screen Access | Uninstr | ructed Ba | ns >> Inst llance >> needed) | | | | | | |
| cess | Uninstr | ructed Ba nt data, if | lance >> | | | | | utting the | |
| cess Screen- | Uninstr relevan | ructed Ba nt data, if | lance >> | | | | | | > C |
| cess Screen- | Uninstructed Balan | ructed Bant data, if | needed) | Click on t | | button (a | | utting the | > < |
| cess | Uninstr relevan | ructed Ba nt data, if | nlance >> needed) | Click on t | he search | n button (a | after inpu | utting the | △ |

| Monitor Uni | nstructed Balance- List Screen |
|-----------------------|---|
| Field | Description |
| CA ECMS Event Id. | Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. |
| | Displayed format is: Max. 35 characters. |
| Is Instructed | Shows whether the Counterparty has sent instructions for part of the eligible position or not. The possible values are: |
| | - Yes |
| | - No |
| Party RIAD | Shows the RIAD Code of the Counterparty owning the position. |
| Code | Displayed format is: Max. 30 characters. |
| Asset Ac- count Id | Shows the identifier of the ECMS Counterparty Asset Account where the Asset is mobilised. |
| | Displayed format is: Max. 35 characters |



| Remaining Quantity | Shows quantity of securities of the Total Eligible Quantity that the Counterparty has not sent instructions. |
|--------------------------------------|--|
| Quantity Instructed in FAMT | Shows the quantity of securities to which instruction has been received. |
| Total Eli- gible Bal- ance | Shows the total Eligible balance calculated by ECMS. |
| Generation Date | Shows the Generation Date |
| After selecting | ng a record, the following buttons are displayed |
| Button | Function |
| Generate Reminder Notification | This function enables you to generate a message to remind to the Counterparty the uninstructed balance for the CA Event. |
| View | This function enables you to access to the detailed information of an Uninstructed Balance. |
| | Next screen: |
| | Monitor Uninstructed Balance – Details Screen. |

3.5.3.1.2.1. Monitor Uninstructed Balance – Details Screen

Context of This screen displays detailed information on the selected Uninstructed Usage Balance. You can check the data and proceed further by clicking on the buttons. Search / List / View Monitor Uninstructed Balance Business Case related **Screen Ac-** | Corporate Actions >> Instructions >> CA Client Instructions >> Monitor cess Uninstructed Balance >> Click on the search button (after inputting the relevant data, if needed) >> Select a record >> Click on the View button Screenshot Generation Date 24/04/2023 11:57:16:95

| Monitor Uninstructed Balance – Details Screen | | |
|---|---|--|
| Monitor Uninstructed Balance | | |
| Field | Description | |
| CA ECMS Event Id. | Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. | |
| | Displayed format is: Max. 35 characters. | |
| Is Instructed | Shows whether the Counterparty has sent instructions for part of the eligible position or not. The possible values are: | |
| | - Yes | |
| | - No | |
| Party RIAD Code | Shows the RIAD Code of the Counterparty owning the Uninstructed Balance. | |

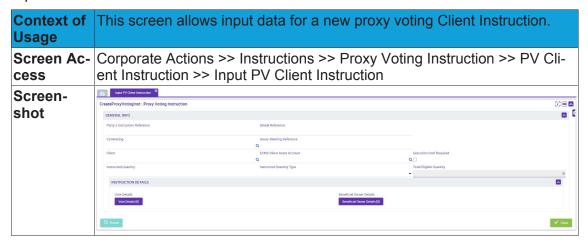


| | Displayed format is: Max. 30 characters. |
|-------------------------------------|--|
| Asset Ac- count Id | Shows the identifier of the ECMS Counterparty Asset Account where the Asset is mobilised. |
| | Displayed format is: Max. 35 characters |
| Remaining Quantity | Shows quantity of securities of the Total Eligible Quantity that the Counterparty has not sent instructions. |
| Quantity In- structed in FAMT | Shows the quantity of securities to which instruction has been received. |
| Total Eli- gible Bal- ance | Shows the total Eligible balance calculated by ECMS. |
| ISIN | Shows the appropriate ISIN. |
| Generation | Shows the date and time of generation of the instructed balance. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |

3.5.3.2 Proxy Voting Instruction

3.5.3.2.1 PV Client Instruction

3.5.3.2.1.1 Input PV Client Instruction



| Input PV Client Instruction | | |
|-------------------------------|--|--|
| GENERAL INFO | | |
| Field | Description | |
| Party's Instruction Reference | Enter the Reference of the instruction given by the Instructing Party. | |
| Global Reference | Enter the global reference. | |
| Ca Meeting | Enter / Select the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. (Also called CA ECMS Event Id.) | |
| | Required format is: Max. 35 characters. | |
| Issuer Meeting Reference | Enter the reference of the Issuer Meeting. | |



| Enter or to Select the RIAD code of the Counterparty from a drop down menu. ECMS Client Asset Account where the Asset is mobilised. Required format is: Max. 35 characters Execution Conf Required Instructed Quantity Instructed Quantity Type | Ol: 1 | |
|--|---------------|--|
| Asset Account Required format is: Max. 35 characters Execution Enter / Select whether the execution confirmation is required or not. Conf Required Instructed Quantity Instructed Quantity Type Enter / Select the type of the quantity instructed from possible values: FAMT UNIT AMOR Total Eligible Quantity# INSTRUCTION DETAILS Button Function Vote Details Button Function Save This function enables you to save the modified data. Reset This function enables you to clear the form. Vote Details Once you click on Vote Details button you see following fields (data record depending on Ca Meeting field): Resolution Shows Abstain information Against Anagement Blank Shows Against Management information Blank Shows Blank Information Ca Meeting Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. Chairman Shows No Action information Remaining Quantity Three Years Thise Years information Shows Remaining Quantity Shows Remaining Quantity Shows Three Years information Shows the Total Instructed Quantity | Client | |
| Execution Conf Required Instructed Quantity Instructed Quantity Instructed Quantity Type Enter / Select the type of the quantity instructed from possible values: FAMT UNIT - WAMOR Total Eligible Quantity# INSTRUCTION DETAILS Button Function Vote Details Beneficial Owner Details Button Function Save This function enables you to clear the form. Vote Details Once you click on Vote Details button you see following fields (data record depending on Ca Meeting field): Resolution Namber Abstain Against Management Blank Shows Against Management information Against Management Blank Shows Blank Information Ca Meeting Code Code Code Code Code Code Code Code | | · · · |
| Conf Required Instructed Quantity Instructed Quantity Type Enter / Select the type of the quantity instructed from possible values: FAMT UNIT AMOR Total Eligible Quantity# INSTRUCTION DETAILS Button Function Vote Details Button Function Save This function enables you to save the modified data. This function enables you to clear the form. Vote Details Once you click on Vote Details button you see following fields (data record depending on Ca Meeting field): Resolution Shows Abstain information Against Management Blank Shows Against Management Blank Shows Blank Information Ca Meeting Code event to be used by counterparties. Chairman Shows Discretionary information Discretionary Shows No Action information Remaining Quantity No Action Shows Remaining Quantity Shows Remaining Quantity Three Years Total Instructed Quantity Shows The Total Instructed Quantity Shows The Total Instructed Quantity Shows The Total Instructed Quantity Shows Total Instructed Quantity Shows The Total Instructed Quantity | | Required format is: Max. 35 characters |
| Quantity Instructed Quantity Type Enter / Select the type of the quantity instructed from possible values: - FAMT - UNIT - AMOR Total Eligible Quantity# INSTRUCTION DETAILS Button | | Enter / Select whether the execution confirmation is required or not. |
| Quantity Type | | Enter the quantity of securities to which this instruction applies. |
| Total Eligible Quantity# INSTRUCTION DETAILS Button Function Vote Details This button allows to access to Vote Details section Beneficial This button allows to access to Beneficial Owner Details section Save This function enables you to save the modified data. Reset This function enables you to clear the form. Vote Details Once you click on Vote Details button you see following fields (data record depending on Ca Meeting field): Resolution Number Abstain Shows Abstain information Against Management Shows Against Management information Against Management Blank Shows Blank Information Ca Meeting Code Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. Chairman Shows Discretionary information Discretionary Shows No Action information Discretionary Shows No Action information One Year Shows One Year information Remaining Quantity Total Instructed Quantity This button allows to access to Vote Details section Beneficial Owner Details Shout on Vote Details button you save the modified data. Resolution Nore Jearily Shows Resolution Number Number Abstain Shows Resolution Number Shows Against Information Against Management information Shows Blank Information Shows Blank Information Shows Chairman information Shows Chairman information Shows The Quantity Instructed, Shows The Quantity Shows Remaining Quantity Three Years Shows Three Years information Total Instructed Quantity | | Enter / Select the type of the quantity instructed from possible values: |
| - AMOR Total Eligible Quantity# INSTRUCTION DETAILS Button Function Vote Details This button allows to access to Vote Details section Beneficial Owner Details Button Function Save This function enables you to save the modified data. Reset This function enables you to clear the form. Vote Details Once you click on Vote Details button you see following fields (data record depending on Ca Meeting field): Resolution Number Abstain Shows Abstain information Against Management Shows Against Management allank Blank Shows Blank Information Ca Meeting Code event to be used by counterparties. Chairman Shows Chairman information Discretionary Shows No Action information Discretionary Shows No Action information Remaining Quantity This button allows to access to Vote Details section Details Section Bauton Function Save This function enables you to save the modified data. Resolution Nome This function enables you to save the modified data. Resolution Shows Resolution Number Shows Against Information Number Shows Abstain information Shows Against Information Shows Against Management information Shows Learn information Shows Chairman information Shows Chairman information Shows Discretionary information Shows the quantity Instructed, Shows Three Years information Remaining Quantity Three Years Shows Three Years information Total Instructed Quantity Shows the Total Instructed Quantity | Quantity Type | - FAMT |
| Total Eligible Quantity# INSTRUCTION DETAILS Button Vote Details Beneficial Owner Details Button Function This button allows to access to Vote Details section Owner Details Button Function Save This function enables you to save the modified data. Reset This function enables you to clear the form. Vote Details Once you click on Vote Details button you see following fields (data record depending on Ca Meeting field): Resolution Number Abstain Shows Abstain information Against Against Management Blank Shows Blank Information Ca Meeting Code Code Code Code Code Code Code Code | | – UNIT |
| INSTRUCTION DETAILS | | - AMOR |
| Button Function Vote Details This button allows to access to Vote Details section Beneficial Owner Details This button allows to access to Beneficial Owner Details section Button Function Save This function enables you to save the modified data. Reset This function enables you to clear the form. Vote Details Once you click on Vote Details button you see following fields (data record depending on Ca Meeting field): Resolution Number Shows Resolution Number Abstain Shows Abstain information Against Shows Against information Against Management Shows Against Management information Blank Shows Blank Information Ca Meeting Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. Chairman Shows Chairman information. Discretionary Shows Discretionary information Instructed Quantity Shows No Action information One Year Shows One Year information Shows Remaining Quantity Shows Remaining Quantity Three Years Shows Three Years information Total Instructed Quantity | _ | Shows the total Eligible quantity calculated by ECMS |
| Vote Details Beneficial Owner Details Button This button allows to access to Vote Details section This button allows to access to Beneficial Owner Details section Button Save This function enables you to save the modified data. Reset This function enables you to clear the form. Vote Details Once you click on Vote Details button you see following fields (data record depending on Ca Meeting field): Resolution Number Abstain Shows Resolution Number Number Abstain Shows Abstain information Against Against Shows Against information Against Blank Shows Blank Information Ca Meeting Code Code Event to be used by counterparties. Chairman Discretionary Shows Discretionary information Discretionary Instructed Quantity No Action One Year Shows Three Years information Shows the Total Instructed Quantity | INSTRUCTION | DETAILS |
| Beneficial Owner Details Button Function Save This function enables you to save the modified data. Reset This function enables you to clear the form. Vote Details Once you click on Vote Details button you see following fields (data record depending on Ca Meeting field): Resolution Number Number Abstain Shows Resolution Number Number Abstain Shows Abstain information Against Management Blank Shows Against Management information Ca Meeting Code event to be used by counterparties. Chairman Shows Chairman information Discretionary Instructed Quantity No Action Shows No Action information Chairman Shows One Year information Shows Remaining Quantity Three Years Shows Three Years information Shows the Total Instructed Quantity | Button | Function |
| Owner Details Button Function Save This function enables you to save the modified data. Reset This function enables you to clear the form. Vote Details Once you click on Vote Details button you see following fields (data record depending on Ca Meeting field): Resolution Number Shows Resolution Number Abstain Shows Abstain information Against Shows Against information Against Management Shows Against Management information Blank Shows Blank Information Ca Meeting Code event to be used by counterparties. Chairman Shows Chairman information Discretionary Shows Discretionary information Discretionary Shows No Action information One Year Shows Chearing Quantity Three Years Shows Three Years information Shows the Total Instructed Quantity Shows the Total Instructed Quantity | Vote Details | This button allows to access to Vote Details section |
| Save This function enables you to save the modified data. Reset This function enables you to clear the form. Vote Details Once you click on Vote Details button you see following fields (data record depending on Ca Meeting field): Resolution Shows Resolution Number Abstain Shows Abstain information Against Shows Against information Against Management Shows Against Management information Blank Shows Blank Information Ca Meeting Code Shows Chairman information. Discretionary Shows Discretionary information Discretionary Shows Discretionary information Instructed Quantity No Action Shows No Action information Remaining Quantity Three Years Shows Three Years information Shows the Total Instructed Quantity Shows the Total Instructed Quantity | | This button allows to access to Beneficial Owner Details section |
| Reset This function enables you to clear the form. Vote Details Once you click on Vote Details button you see following fields (data record depending on Ca Meeting field): Resolution Shows Resolution Number Abstain Shows Abstain information Against Shows Against information Against Management Shows Against Management information Blank Shows Blank Information Ca Meeting Code Shows Chairman information. Discretionary Shows Discretionary information Discretionary Shows No Action information Shows No Action information One Year Shows One Year information Remaining Quantity Three Years Shows the Total Instructed Quantity Shows the Total Instructed Quantity Shows the Total Instructed Quantity | Button | Function |
| Vote Details Once you click on Vote Details button you see following fields (data record depending on Ca Meeting field): Resolution Shows Resolution Number Abstain Shows Abstain information Against Shows Against information Against Management Shows Against Management information Blank Shows Blank Information Ca Meeting Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. Chairman Shows Chairman information Discretionary Shows Discretionary information Instructed Quantity No Action Shows No Action information One Year Shows One Year information Remaining Quantity Three Years Shows Three Years information Shows the Total Instructed Quantity | Save | This function enables you to save the modified data. |
| Once you click on Vote Details button you see following fields (data record depending on Ca Meeting field): Resolution Number Abstain Shows Abstain information Against Shows Against information Against Management Shows Against Management information Shows Blank Information Ca Meeting Code Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. Chairman Shows Discretionary information Discretionary Shows Discretionary information Instructed Quantity No Action Shows No Action information One Year Shows One Year information Remaining Quantity Three Years Shows Three Years information Shows the Total Instructed Quantity | Reset | This function enables you to clear the form. |
| on Ca Meeting field): Resolution Number Abstain Abstain Shows Abstain information Against Management Blank Shows Blank Information Ca Meeting Code Chairman Shows Chairman information Discretionary Instructed Quantity No Action One Year Shows Three Years information Shows the Total Instructed Quantity | Vote Details | |
| Number Abstain Shows Abstain information Against Shows Against information Against Management Blank Shows Blank Information Ca Meeting Code event to be used by counterparties. Chairman Shows Chairman information Discretionary Shows Discretionary information Instructed Quantity No Action Shows No Action information One Year Shows One Year information Remaining Quantity Three Years Shows Three Years information Shows the Total Instructed Quantity | • | |
| Abstain Shows Abstain information Against Shows Against information Against Management Blank Shows Blank Information Ca Meeting Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. Chairman Shows Chairman information. Discretionary Shows Discretionary information Instructed Quantity No Action Shows No Action information One Year Shows One Year information Remaining Quantity Three Years Shows Three Years information Shows the Total Instructed Quantity Shows the Total Instructed Quantity Shows the Total Instructed Quantity | | Shows Resolution Number |
| Against Management Shows Against Management information Blank Shows Blank Information Ca Meeting Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. Chairman Shows Chairman information. Discretionary Shows Discretionary information Instructed Quantity Shows the quantity Instructed, Quantity No Action Shows No Action information One Year Shows One Year information Remaining Quantity Three Years Shows Three Years information Total Instructed Quantity Shows the Total Instructed Quantity | Abstain | Shows Abstain information |
| Against Management Blank Shows Blank Information Ca Meeting Code Event to be used by counterparties. Chairman Shows Chairman information Discretionary Instructed Quantity No Action One Year Remaining Quantity Three Years Total Instructed Chairman Shows Against Management information Shows Blank Information CA Event given by the ECMS to the CA E | | |
| Blank Shows Blank Information Ca Meeting Code Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. Chairman Shows Chairman information. Discretionary Shows Discretionary information Instructed Quantity No Action Shows No Action information One Year Shows One Year information Remaining Quantity Three Years Shows Three Years information Total Instructed Quantity Shows the Total Instructed Quantity | | |
| Ca Meeting Code Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. Chairman Shows Chairman information. Discretionary Instructed Quantity No Action Shows No Action information One Year Shows One Year information Remaining Quantity Three Years Shows Three Years information Shows the Total Instructed Quantity Shows the Total Instructed Quantity | | |
| Code event to be used by counterparties. Chairman Shows Chairman information. Discretionary Shows Discretionary information Instructed Shows the quantity Instructed, Quantity No Action Shows No Action information One Year Shows One Year information Remaining Quantity Three Years Shows Three Years information Total Instructed Quantity Shows the Total Instructed Quantity | Blank | Shows Blank Information |
| Discretionary Shows Discretionary information Instructed Shows the quantity Instructed, Quantity No Action Shows No Action information One Year Shows One Year information Remaining Quantity Three Years Shows Three Years information Total Instructed Quantity Shows the Total Instructed Quantity | | |
| Instructed Quantity No Action Shows No Action information One Year Shows One Year information Remaining Quantity Three Years Shows Three Years information Shows the Total Instructed Quantity | Chairman | Shows Chairman information. |
| Quantity No Action Shows No Action information One Year Shows One Year information Remaining Quantity Three Years Shows Three Years information Total Instructed Quantity Shows the Total Instructed Quantity | Discretionary | Shows Discretionary information |
| One Year Shows One Year information Remaining Quantity Three Years Shows Three Years information Total Instructed Quantity Shows the Total Instructed Quantity | | Shows the quantity Instructed, |
| Remaining Quantity Shows Remaining Quantity Three Years Shows Three Years information Total Instructed Quantity Shows the Total Instructed Quantity | No Action | Shows No Action information |
| Quantity Three Years Shows Three Years information Total Instructed Quantity Shows the Total Instructed Quantity | One Year | Shows One Year information |
| Total Instructed Quantity ted Quantity | _ | Shows Remaining Quantity |
| ted Quantity | Three Years | Shows Three Years information |
| · | | Shows the Total Instructed Quantity |
| | Two Years | Shows Two Years information |



| Vote For | Shows Vote For information |
|---------------------------------|--|
| With Manage- | Shows With Management information |
| ment | Shows with Management Information |
| Withhold | Shows Withhold information |
| Button | Function |
| Edit | This function enables you to modify the selected vote details record. |
| | Next Screen: |
| | - Vote Details - Edit Screen |
| View | |
| view | This function enables you to view the details of the selected vote details record. |
| | Next Screen: |
| | Vote Details - Details Screen |
| Vote Details – I | Edit Screen |
| Resolution Number | Enter Resolution Number |
| Ca Meeting | Enter the reference of the CA Event given by the ECMS to the CA |
| Code | event to be used by counterparties. |
| Instructed Quantity | Enter the quantity Instructed, |
| Total Instruc- ted Quantity# | Shows the Total Instructed Quantity |
| Remaining | Shows Remaining Quantity |
| Quantity# | Chows remaining quartity |
| Abstain | Enter Abstain information |
| Against# | Shows Against information |
| Against Man- agement# | Shows Against Management information |
| Blank# | Shows Blank Information |
| Chairman# | Shows Chairman information. |
| Discretionary# | Shows Discretionary information |
| No Action# | Shows No Action information |
| One Year# | Shows One Year information |
| Two Years# | Shows Two Years information |
| Three Years# | Shows Three Years information |
| Vote For | Enter Vote For information |
| With Manage- | Shows With Management information |
| ment# | Chows With Management Information |
| Withhold# | Shows Withhold information |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Cancel | This function enables you to cancel the creation of data. |
| Vote Details – I | Details Screen |
| Resolution Number | Shows Resolution Number |
| Abstain | Shows Abstain information |
| Against | Shows Against information |
| | 1 - |



| Against Management | Shows Against Management information |
|--|---|
| Blank | Shows Blank Information |
| Ca Meeting Code | Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. |
| Chairman | Shows Chairman information. |
| Discretionary | Shows Discretionary information |
| Instructed Quantity | Shows the quantity Instructed, |
| No Action | Shows No Action information |
| One Year | Shows One Year information |
| Remaining Quantity | Shows Remaining Quantity |
| Three Years | Shows Three Years information |
| Total Instructed Quantity | Shows the Total Instructed Quantity |
| Two Years | Shows Two Years information |
| Vote For | Shows Vote For information |
| With Manage- | Shows With Management information |
| ment | |
| Withhold | Shows Withhold information |
| Beneficial Ow | ner Details |
| Once you click | on Beneficial Owner Details button you see following fields: |
| Quantity | Shows Quantity |
| Alternate ID | Shows Alternate ID |
| Beneficial Identifier Code | Shows the identifier code of the Beneficial |
| Beneficial Name and Address | Shows Beneficial Name and Address |
| Bic Code | Shows Bic Code |
| Certification Type | Shows Certification Type |
| Country Code | Shows Country Code |
| Country of Domicile | Shows Country of Domicile |
| Country of Non Domicile | Shows Country of Non Domicile |
| Data Source Scheme | Shows Data Source Scheme |
| Legal Entity Identifier | Shows Legal Entity Identifier |
| Tax Rate | Shows Tax Rate |
| Type Of ID | Shows from possible values: |
| | – ARNU |
| | - CCPT |
| | - CORP |
| T. Control of the Con | ı |



| | - DRLC |
|--------------------------------|--|
| | – FIIN |
| | - TXID |
| Button | Function |
| Create | This function enables you to create a Beneficial Owner Details record. |
| | Next Screen: |
| | Beneficial Owner Details – Create Screen |
| Delete | This function enables you to delete the selected Beneficial Owner Details record. |
| Edit | This function enables you to modify the selected Beneficial Owner Details record. |
| | Next Screen: |
| | - Beneficial Owner Details - Edit Screen |
| View | This function enables you to view the details of the selected Beneficial Owner Details record. |
| | Next Screen: |
| | Beneficial Owner Details – Details Screen |
| Beneficial Own | er Details – Create Screen |
| Quantity* | Enter the Quantity |
| Alternate ID | Enter the Alternate ID |
| Beneficial Identifier Code | Enter the identifier code of the Beneficial |
| Beneficial Name and Address | Enter the Beneficial Name and Address |
| Bic Code | Enter the Bic Code |
| Certification Type | Enter the Certification Type |
| Country Code | Enter the Country Code |
| Country of Domicile | Enter/Select the Country of Domicile |
| Country of Non Domicile | Enter/Select the Country of Non Domicile |
| Data Source Scheme | Enter the Data Source Scheme |
| Legal Entity Identifier | Enter the Legal Entity Identifier |
| Tax Rate | Enter the Tax Rate |
| Type Of ID | Enter/Select from possible values: |
| | – ARNU |
| | - CCPT |
| | - CORP |
| | - DRLC |
| | - FIIN |
| | - TXID |
| Button | Function |



| Reset | This function enables you to clear the form. |
|--|--|
| Cancel | This function enables you to cancel the creation of data. |
| Beneficial Owner Details Narrative | This button/tab allows the user to access to Beneficial Owner Details Narrative. |
| Beneficial Own | er Details Narrative |
| Once you click fields: | on Beneficial Owner Details Narrative button/tab you see following |
| Narrative | Shows the Narrative of the Beneficial Owner. |
| Button | Function |
| Create | This function enables you to create a Beneficial Owner Details Narrative record. |
| | Next Screen: |
| | Beneficial Owner Details Narrative – Create Screen |
| Delete | This function enables you to delete the selected Beneficial Owner Details Narrative record. |
| Edit | This function enables you to modify the selected Beneficial Owner Details Narrative record. |
| | Next Screen: |
| | - Beneficial Owner Details Narrative - Edit Screen |
| View | This function enables you to view the details of the selected Beneficial Owner Details Narrative record. |
| | Next Screen: |
| | Beneficial Owner Details Narrative – Details Screen |
| Beneficial Own | er Details Narrative – Create Screen |
| Narrative | Enter the Narrative |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Cancel | This function enables you to cancel the creation of data. |
| Beneficial Own | er Details – Edit Screen |
| Quantity* | Enter the Quantity |
| Alternate ID | Enter the Alternate ID |
| Beneficial Identifier Code | Enter the identifier code of the Beneficial |
| Beneficial Name and Address | Enter the Beneficial Name and Address |
| Bic Code | Enter the Bic Code |
| Certification Type | Enter the Certification Type |
| Country Code | Enter the Country Code |
| Country of Domicile | Enter/Select the Country of Domicile |
| Country of Non Domicile | Enter/Select the Country of Non Domicile |
| Data Source Scheme | Enter the Data Source Scheme |
| | |



| Legal Entity | Enter the Legal Entity Identifier | | | |
|----------------------------|---|--|--|--|
| Identifier | | | | |
| Tax Rate | Enter the Tax Rate | | | |
| Type Of ID | Enter/Select from possible values: | | | |
| | – ARNU | | | |
| | - CCPT | | | |
| | - CORP | | | |
| | - DRLC | | | |
| | - FIIN | | | |
| | - TXID | | | |
| Button | Function | | | |
| Reset | This function enables you to clear the form. | | | |
| Cancel | This function enables you to cancel the creation of data. | | | |
| Beneficial | This button/Tab allows the user to access to Beneficial Owner Details | | | |
| | Narrative. | | | |
| Narrative | D ('', N | | | |
| | er Details Narrative – Edit Screen | | | |
| Narrative | Enter the Narrative | | | |
| Button | Function This function enables you to clear the form | | | |
| Reset | This function enables you to clear the form. | | | |
| Cancel | This function enables you to cancel the creation of data. | | | |
| | er Details – Details Screen | | | |
| Quantity | Shows the Quantity | | | |
| Alternate ID | Shows the Alternate ID | | | |
| Beneficial Identifier Code | Shows the identifier code of the Beneficial | | | |
| Beneficial Name and Ad- | Shows the Beneficial Name and Address | | | |
| dress | | | | |
| Bic Code | Shows the Bic Code | | | |
| Certification Type | Shows the Certification Type | | | |
| Country Code | Shows the Country Code | | | |
| Country of Domicile | Shows the Country of Domicile | | | |
| Country of Non Domicile | Shows the Country of Non Domicile | | | |
| Data Source Scheme | Shows the Data Source Scheme | | | |
| Legal Entity Identifier | Shows the Legal Entity Identifier | | | |
| Tax Rate | Shows the Tax Rate | | | |
| Type Of ID | Shows from possible values: | | | |
| | – ARNU | | | |
| | - CCPT | | | |
| | - CORP | | | |
| I. | ı | | | |



| | - DRLC |
|--|---|
| | – FIIN |
| | - TXID |
| Button | Function |
| Beneficial Owner Details Narrative | This button/tab allows the user to access to Beneficial Owner Details Narrative |
| Beneficial Own | er Details Narrative – Details Screen |
| Narrative | Shows the Narrative |

3.5.3.2.1.2 Monitor PV Client Instruction

3.5.3.2.1.2. Monitor PV Client Instruction - Search Screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the PV Client Instructions. |
|------------------|---|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |
| Screen Access | Depending how the screen is accessed, it can be used to search the valid information of the PV Instructions or the information that requires 4 eyes validation before they can be considered valid in the system. |
| | For valid information: |
| | Corporate Actions >> Instructions >> Proxy Voting Instruction >> PV Client Instruction >> Monitor PV Client Instruction |
| | For information subject to 4 eyes validation: |
| | Corporate Actions >> Instructions >> Proxy Voting Instruction >> PV Client Instruction >> Validate / Reject — Waiting User Validation >> Validate / Reject PV CI Creation |
| | The following actions related to PV Client Instructions use this same definition of the screen for their own Search Screens: |
| | Cancel PV Client Instruction: |
| | Corporate Actions >> Instructions >> Proxy Voting Instruction >> PV Client Instruction >> Cancel PV Client Instruction |
| | Rejected Confirmed: |
| | Corporate Actions >> Instructions >> Proxy Voting Instruction >> PV Client Instruction >> Rejected Confirmed |
| | Confirm Vote Execution: |
| | Corporate Actions >> Instructions >> Proxy Voting Instruction >> PV Client Instruction >> Confirm Vote Execution |
| Screen- | Search Criteria : Proxy Voting Instruction |
| shot | CA ESMS Event M. • • • App Reference • • • App Reference • • • |
| | Perly's Instruction Perly Set Instruction |
| | Creation Date: from 🗂 10 🗂 |
| | Q Sorris. |

Monitor PV Client Instruction – Search Screen



| Field | Description | | | | | |
|-------------------------------|--|--|--|--|--|--|
| CA ECMS Event Id. | Enter / Select the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. (Also called CA ECMS Event Id.) | | | | | |
| | Required format is: Max. 35 characters. | | | | | |
| Meeting Reference | Enter the reference of the Meeting. | | | | | |
| | Enter the App reference. | | | | | |
| Party's Instruction Reference | Enter the Reference of the instruction given by the Instructing Party. | | | | | |
| Global Refer- ence | Enter the global reference. | | | | | |
| Status | Enter/Select from possible values: | | | | | |
| | - WaitingPositionControl | | | | | |
| l | WaitingPVMICancellationConfirmation | | | | | |
| | - Cancelled | | | | | |
| | - FreezeAccepted | | | | | |
| | - FreezeRejected | | | | | |
| | - WaitingFreezeConfirmation | | | | | |
| | - Created | | | | | |
| | - Rejected | | | | | |
| | - PossibleRejected | | | | | |
| | - Executed | | | | | |
| | - Draft | | | | | |
| | - InvalidData | | | | | |
| | - WaitingPVMIConfirmation | | | | | |
| | - WaitingUpdate | | | | | |
| | - BlockedForCutOffTime | | | | | |
| | - WaitingUnfreezeConfirmation | | | | | |
| | - UnfreezeAccepted | | | | | |
| | - UnfreezeRejected | | | | | |
| | - WaitingCancellationValidation | | | | | |
| Client | Enter or to Select the RIAD code of the Counterparty from a drop down menu. | | | | | |
| ECMS Client Asset Account | Enter / Select the identifier of the ECMS Counterparty Asset Account where the Asset is mobilised. | | | | | |
| | Required format is: Max. 35 characters | | | | | |
| | Enter / Select the External Asset Account. | | | | | |
| Account | Required format is: Max. 35 characters. | | | | | |
| Creation Date | Enter the date and time when the Instruction was created in the ECMS. The calendar icon can also be used. | | | | | |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs. | | | | | |
| Button | Function | | | | | |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. | | | | | |



| | | Next screen: |
|---|-------|--|
| | | - Monitor PV Client Instruction - List Screen. |
| F | Reset | This function enables you to clear the form. |

3.5.3.2.1.2. Monitor PV Client Instruction - List Screen

| 2 |
|---|
| _ |
| |

| TOTAL T | One it instruction - List selecti |
|------------------|---|
| Context of Usage | This screen contains the search results displayed in a list, which is sorted by the values of the 'Update Date' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. |
| Screen Access | Depending how the screen is accessed, it can be used to list the valid information of the PV Instructions or the information that requires 4 eyes validation before they can be considered valid in the system. |
| | For valid information: |
| | Corporate Actions >> Instructions >> Proxy Voting Instruction >> PV Client Instruction >> Monitor PV Client Instruction >> Click on Search button (after filling in appropriate data if needed) |
| | For information subject to 4 eyes validation: |
| | Corporate Actions >> Instructions >> Proxy Voting Instruction >> PV Client Instruction >> Validate / Reject — Waiting User Validation >> Validate / Reject PV Cl Creation >> Click on Search button (after filling in appropriate data if needed) |
| | The following actions related to PV Client Instructions use this same definition of the screen for their own List Screens: |
| | Cancel PV Client Instruction: |
| | Corporate Actions >> Instructions >> Proxy Voting Instruction >> PV Client Instruction >> Click on Search button (after filling in appropriate data if needed) |
| | Rejected Confirmed: |
| | Corporate Actions >> Instructions >> Proxy Voting Instruction >> PV Client Instruction >> Rejected Confirmed >> Click on Search button (after filling in appropriate data if needed) |
| | Confirm Vote Execution: |
| | Corporate Actions >> Instructions >> Proxy Voting Instruction >> PV Client Instruction >> Confirm Vote Execution >> Click on Search button (after filling in appropriate data if needed) |
| Screen- | Search Result : Proxy Voring Instruction |

| J | CI | G | ۲ı | !- |
|---|----|---|----|----|
| S | hc | t | | |

| | 10 💌 | | | | | | | | | | | | Q 21 | * 日日のり |
|---|------|---------------|---------------------|-----------------|------------------------|----------------------|----------|---------------------|-----------------------|------------------------|---------------------|------------------------|----------------------|---------------------|
| Ē | Ca | Meeting # 💮 | Meeting Reference 🕏 | App Reference © | Party's Instruction #2 | Global Reference # 🖓 | Client © | ECMS Client Asset A | Business Status 🕈 🖓 | Reason ≎ 💮 | Instructed Quantity | Instructed Quantity 12 | Update Date ◆ | Updater User Id # 🔗 |
| E | PR | IOX0000000196 | PR0X0000000196 | PRV100000021 | BMETVOLU032XX | 005113 | ABVR002 | ABVR0021AA01 | Execution Confirmed | Inst_Accepted | 500,000 | FAMT | 26/07/2022 15:41:50 | STP |
| E | PR | IOX0000000163 | PR0X000000163 | PRV100000020 | BMETVOLU029XXX | 005053 | ABVR002 | ABVR002IAA01 | Execution Confirmed | Inst, Accepted | 500,000 | FAMT | 26/07/2022 11:58:01 | STP |
| ľ | PR | IOX0000000162 | PR0X0000000162 | PRV100000019 | BMETVOLU028XXX | 005051 | ABVR002 | ABVR0021AA01 | Rejected | Inst_Rejected_Insuffic | 500,000 | EAMT | 26/07/2022 11:51:22 | STP |
| E | PR | IOX0000000155 | PR0X0000000155 | PRV100000018 | BMETVOLU027XXX | 005027 | ABVR002 | ABVR002IAA01 | Execution Confirmed | Inst_Accepted | 500,000 | FAMT | 21/09/2021 17:11:25 | STP |
| E | PR | 10X0000000153 | PR0X0000000153 | PRVI00000017 | BMETVOLU028XXX | 006025 | ABVR002 | ABVR002IAA01 | Confirmed by Custodi | Inst_Accepted | 500,000 | FAMT | 21/09/2021 16:27:55 | STP |
| E |] PR | IOX0000000152 | PR0X0000000152 | PRV100000016 | BMETVOLU025XXX | 005023 | ABVR002 | A8VR0021AA01 | Confirmed by Custodi | Inst_Accepted | 500,000 | FAMT | 21/09/2021 15:55:23 | STP |
| | | | | | | 006010 | | ABVR002IAA01 | Execution Confirmed | Inst_Accepted | 500,000 | | | STP |
| l | PR | IOX0000000142 | PR0X0000000142 | PRV100000014 | BMETVOLU022XXX | 005005 | ABVR002 | ABVR002IAA01 | Confirmed by Custodi | Inst_Accepted | 500,000 | FAMT | 20/09/2021 12:41:23: | STP |
| E | PR | IOX0000000141 | PR0X0000000141 | PRVI00000013 | BMETVOLU021XXX | 006002 | ABVR002 | ABVR002IAA01 | Waiting PVMI Cancella | Canc_Accepted_From | 500,000 | FAMT | 20/09/2021 10:34:27 | STP |
| E | PR | IOX0000000140 | PR0X0000000140 | PRVI00000012 | BMETIACXX2 | jnnvin1 | ABVR001 | ABVR001IAA01 | Pending Custodian Co | Inst,Accepted | 200,000 | FAMT | 17/09/2021 16:25:47 | STP |
| | | | | | | | | | | | | | | ② View |

| Monitor PV Client Instruction – List Screen | | | | |
|---|---|--|--|--|
| Field | Description | | | |
| Ca Meeting | Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. (Also called CA ECMS Event Id.) | | | |
| | Displayed format is: Max. 35 characters. | | | |



| Meeting Reference | Shows the reference of the Meeting. |
|-------------------------------|--|
| App Reference | Shows the App Reference. |
| Party's Instruction Reference | Shows the Reference of the instruction given by the Instructing Party. |
| Global Reference | Shoes the global reference. |
| Client | Shows the RIAD code of the Counterparty from a drop down menu. |
| ECMS Client Asset Account | Shows the identifier of the ECMS Counterparty Asset Account where the Asset is mobilised. |
| | Displayed format is: Max. 35 characters |
| Business Status | Shows the status of the PV Client Instruction from the possible values are: |
| | Confirmed by Custodian |
| | - Execution Confirmed |
| | - Invalid Data |
| | Pending Custodian Confirmation |
| | - Pending Rejection |
| | - Rejected |
| | Waiting PVMI Cancellation Confirmation |
| Reason | Shows the reason from possible values: |
| | - Inst_Accepted |
| | - Inst_Rejected_InsufficientPosition |
| | - Inst_Rejected |
| | Canc_Accepted_FromClient |
| Instructed Quantity | Shows the quantity of securities to which this instruction applies. |
| Instructed | Shows the type of the quantity instructed from possible values: |
| Quantity Type | - FAMT |
| | – UNIT |
| | - AMOR |
| Update Date | Shows the date and time of the last update of the PV Client Instruction. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the PV Client Instruction. |
| After selecting | g a record, the following buttons are displayed: |
| Button | Function |
| View | This function enables you to access to the detailed information of a PV Client Instruction. |
| | Next screen: |
| | - Monitor PV Client Instruction - Details Screen. |
| requestClient- | [Only in case of Cancel PV Client Instruction] |
| Cancellation | This function enables you to request the cancellation of a PV Client Instruction. |
| | |



| rejectedCon- | [Only in case of Rejected Confirmed] | | | |
|-----------------|--|--|--|--|
| firmed | This function enables you to confirm the rejection of a PV Client Instruction. | | | |
| editSear- | [Only in case of Confirm Vote Execution] | | | |
| chResultItem | This function enables you to confirm the vote execution of a PV Client Instruction. | | | |
| | Next Screen: | | | |
| | - Confirm Vote Execution - Edit Screen | | | |
| | used in the 4 eyes validation context, the following buttons are also disrecord is selected | | | |
| Action to Valid | date = Creation | | | |
| In case of crea | tion of new data by 4-eyes user, the validator user will validate/reject. | | | |
| Button | Function | | | |
| View | This function enables the user/validator user to view the draft record to be validated or rejected. | | | |
| Validate | This function allows the user to validate the creation or upate of the record so that they can be considered valid in the system | | | |
| Reject | This function allows the user to reject the creation or update of the record. The draft will be deleted. | | | |
| In case the rec | ord has been rejected the only available options for this record will be: | | | |
| View | This function allows the user to view the rejected record. | | | |
| | | | | |

3.5.3.2.1.2. Monitor PV Client Instruction - Details Screen

| Context of Usage | This screen displays detailed information on the selected PV Client Instructions. You can check the data and proceed further by clicking on the buttons. |
|---------------------|--|
| Screen Ac- cess | Depending how the screen is accessed, it can be used to see the detailed valid information of the PV Instructions or the information that requires 4 eyes validation before they can be considered valid in the system. |
| | For valid information: |
| | Corporate Actions >> Instructions >> Proxy Voting Instruction >> PV Client Instruction >> Monitor PV Client Instruction >> Click on Search button (after filling in appropriate data if needed) >> Select a Record >> Click on View button |
| | For information subject to 4 eyes validation: |
| | Corporate Actions >> Instructions >> Proxy Voting Instruction >> PV Client Instruction >> Validate / Reject — Waiting User Validation >> Validate / Reject PV CI Creation >> Click on Search button (after filling in appropriate data if needed) >> Select a Record >> Click on View button |
| | The following actions related to PV Client Instructions use this same definition of the screen for their own Details Screens: |
| | Cancel PV Client Instruction: |
| | Corporate Actions >> Instructions >> Proxy Voting Instruction >> PV Client Instruction >> Click on Search button (after filling in appropriate data if needed) >> Select a Record >> Click on View button |
| I | Rejected Confirmed: |



Corporate Actions >> Instructions >> Proxy Voting Instruction >> PV Client Instruction >> Rejected Confirmed >> Click on Search button (after filling in appropriate data if needed) >> Select a Record >> Click on View button

Confirm Vote Execution:

Corporate Actions >> Instructions >> Proxy Voting Instruction >> PV Client Instruction >> Confirm Vote Execution >> Click on Search button (after filling in appropriate data if needed) >> Select a Record >> Click on View button

Screensshot

Screensshot

Screensshot

Instruction >> View Proxy Voting Instruction >> PV Client Instruction >> Click on View button

Screensshot

Instruction >> Confirm Vote Execution >> Click on Search button (after filling in appropriate data if needed) >> Select a Record >> Click on View button

Screensshot

Instruction >> View Instruction >

| Monitor PV Cli | ent Instruction – Details Screen |
|-------------------------------|---|
| Field | Description |
| Ca Meeting | Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. (Also called CA ECMS Event Id.) |
| | Displayed format is: Max. 35 characters. |
| Meeting Reference | Shows the reference of the Meeting. |
| Party's Instruction Reference | Shows the Reference of the instruction given by the Instructing Party. |
| App Reference | Shows the App Reference. |
| Global Reference | Shows the global reference. |
| Business Status | Shows the status of the PV Client Instruction from the possible values are: |
| | Confirmed by Custodian |
| | - Execution Confirmed |
| | - Invalid Data |
| | Pending Custodian Confirmation |
| | Pending Rejection |
| | - Rejected |
| | Waiting PVMI Cancellation Confirmation |
| Reason | Shows the reason from possible values: |
| | - Inst_Accepted |
| | Inst_Rejected_InsufficientPosition |
| | - Inst_Rejected |
| | Canc_Accepted_FromClient |



| Execution Conf Required | Shows whether the execution confirmation is required or not. | |
|---|--|--|
| Voted By All Agenda Resol- utions | Shows whether the Voted By All Agenda Resolutions is required or not. | |
| Client | Shows the RIAD code of the Counterparty from a drop down menu. | |
| ECMS Client Asset Account | | |
| | Displayed format is: Max. 35 characters | |
| Mod Of Count- ing | Shows the model of counting from possible values: | |
| 119 | – EVAM | |
| | – EVBM | |
| | - PVBM | |
| | - PVAM | |
| Requested Exec Date | Shows the Requested Execution Date. | |
| | Displayed format is: DD/MM/YYYY | |
| Instructed Quantity | Shows the quantity of securities to which this instruction applies. | |
| Instructed | Shows the type of the quantity instructed from possible values: | |
| Quantity Type | - FAMT | |
| | – UNIT | |
| | – AMOR | |
| Other Details | | |
| Button | Function The first transfer of the control of the c | |
| Complete State Error [n] | This function enables you to display the subsection "Complete State Error". | |
| His Rule Error [n] | This function enables you to display the subsection "His Rule Error". | |
| Inst Notif Reason [n] | This function enables you to display the subsection "Inst Notif Reason". | |
| Notifications [n] | This function enables you to display the subsection "Notifications". | |
| PV Details [n] | This function enables you to display the subsection "PV Details". | |
| Vote Details | This function enables you to display the subsection "Vote Details". | |
| Footprint | | |
| Creation Date | Shows the date and time of the creation of the PV Client Instruction. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Creation User Id | Shows the identification of the user that created the PV Client Instruction. | |
| Update Date | Shows the date and time of the last update of the PV Client Instruction. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Updater User Id | Shows the identification of the user that made the last update of the PV Client Instruction. | |
| Complete State Error | | |
| The existing Complete State errors of the PV Client Instructions are displayed. | | |
| Field | Description | |
| · | | |



| | Shows error message. | | |
|---------------------------------|--|--|--|
| Field Name | Shows the name of the field. | | |
| His Rule Error | | | |
| The existing Bu | usiness Rule errors of the PV Client Instructions are displayed. | | |
| If you click on \ | /iew button following fields are displayed: | | |
| His Rule Error – Details Screen | | | |
| Field | Description | | |
| Error Message | Shows error message. | | |
| His Rule Id | Shows the identifier of the business rule. | | |
| Status | Shows the current status. | | |
| Footprint | Footprint | | |
| Creation Date | Shows the date and time of the creation. | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | |
| Creation User Id | Shows the identification of the user that does the creation. | | |
| Update Date | Shows the date and time of the last update. | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | |
| Updater User Id | Shows the identification of the user that made the last update. | | |
| Inst Notif Reas | son | | |
| The existing Insplayed. | struction Notifications Reasons of the PV Client Instructions are dis- | | |
| Field | Description | | |
| Identifier | Shows the Identifier. | | |
| Description | Shows the description. | | |
| Updater User Id | Shows the identification of the user that made the last update. | | |
| Update Date | Shows the date and time of the last update. | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | |
| Creation User ID | Shows the identification of the user that does the creation. | | |
| Notifications | | | |
| The existing no | tifications of the PV Client Instructions are displayed. | | |
| You can downle | oad a copy of an existing notification of the PV Client Instructions by seicking on the Download button. | | |
| Field | Description | | |
| Message Iden- tifier | Shows reference of the message received. | | |
| Notification Name | Shows the description of the type of message received. | | |
| Direction | Shows the direction of the message from the possible values: | | |
| | - Out | | |
| | - In | | |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: | | |



| - Prepared |
|--------------------------|
| - Impacted |
| - Impact Failed |
| - Rejected |
| - Archived |
| - Processed |
| - Processed with Failure |
| - On Hold |

| Error Description | Shows the description of the error in case of error when receiving the message. |
|--------------------|---|
| Update Date | Shows the date and time of the last update of the PV Client Instruction. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the PV Client Instruction. |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| View Message | This function enables you to access to the detailed information of the messages for same notification. |
| | - View Message - Details Screen |
| View Message | - Details Screen |
| Field | Description |
| Message Reference | Shows the reference of the messge. |
| Direction | Shows whether the notification has been an input or output. Possible values: |
| | – In |
| | - Out |
| Status | Shows the status of the message. |
| After selecting | a record, the following buttons are displayed |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |

| PV Details | | |
|---|--|--|
| The existing P | V Details of the PV Client Instructions are displayed. | |
| If you click on View button following fields are displayed: | | |
| Consolidated Status | Shows the Consolidated Status | |
| Quantity | Shows the Quantity | |
| Quantity Type | Shows the Quantity Type | |



| External Asset Account | Shows the External Asset Account |
|---|---|
| Eligible Quant- ity | Shows the Eligible Quantity |
| Position Nature | Shows the Position Nature |
| Acked | Shows from possible values: |
| | - Yes |
| | - No |
| Nacked | Shows from possible values: |
| | - Yes |
| | - No |
| Consolidation (PV Market In- struction View Screen) | This is a link to PV Market Instruction -View Screen. |
| Footprint | |
| Creation Date | Shows the date and time of the creation. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that does the creation. |
| Update Date | Shows the date and time of the last update. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| | |
| Updater User Id | Shows the identification of the user that made the last update. |
| | Shows the identification of the user that made the last update. Description |
| Id | · |
| Button Beneficial | Description This function enables you to view the selected Beneficial Owner De- |
| Button Beneficial Owner Details | Description This function enables you to view the selected Beneficial Owner Details record. |
| Button Beneficial Owner Details | Description This function enables you to view the selected Beneficial Owner Details record. Next Screen: |
| Button Beneficial Owner Details [n] PV Details by | Description This function enables you to view the selected Beneficial Owner Details record. Next Screen: — Beneficial Owner Details — Details Screen This function enables you to view the details of the selected PV Details |
| Button Beneficial Owner Details [n] PV Details by | Description This function enables you to view the selected Beneficial Owner Details record. Next Screen: — Beneficial Owner Details — Details Screen This function enables you to view the details of the selected PV Details by Option record. |
| Button Beneficial Owner Details [n] PV Details by Option [n] | Description This function enables you to view the selected Beneficial Owner Details record. Next Screen: — Beneficial Owner Details — Details Screen This function enables you to view the details of the selected PV Details by Option record. Next Screen: |
| Button Beneficial Owner Details [n] PV Details by Option [n] | Description This function enables you to view the selected Beneficial Owner Details record. Next Screen: — Beneficial Owner Details — Details Screen This function enables you to view the details of the selected PV Details by Option record. Next Screen: — PV Details by Option — Details Screen |
| Button Beneficial Owner Details [n] PV Details by Option [n] | Description This function enables you to view the selected Beneficial Owner Details record. Next Screen: — Beneficial Owner Details — Details Screen This function enables you to view the details of the selected PV Details by Option record. Next Screen: — PV Details by Option — Details Screen Option — Details Screen |
| Button Beneficial Owner Details [n] PV Details by Option [n] PV Details by O Allowed Vote | Description This function enables you to view the selected Beneficial Owner Details record. Next Screen: — Beneficial Owner Details — Details Screen This function enables you to view the details of the selected PV Details by Option record. Next Screen: — PV Details by Option — Details Screen Option — Details Screen Shows the Allowed Vote |
| Id Button Beneficial Owner Details [n] PV Details by Option [n] PV Details by O Allowed Vote Quantity | Description This function enables you to view the selected Beneficial Owner Details record. Next Screen: — Beneficial Owner Details — Details Screen This function enables you to view the details of the selected PV Details by Option record. Next Screen: — PV Details by Option — Details Screen Option — Details Screen Shows the Allowed Vote Shows the Quantity |
| Id Button Beneficial Owner Details [n] PV Details by Option [n] PV Details by O Allowed Vote Quantity Quantity Type Consolidated Status | Description This function enables you to view the selected Beneficial Owner Details record. Next Screen: - Beneficial Owner Details - Details Screen This function enables you to view the details of the selected PV Details by Option record. Next Screen: - PV Details by Option - Details Screen Option - Details Screen Shows the Allowed Vote Shows the Quantity Shows the Quantity Type |
| Button Beneficial Owner Details [n] PV Details by Option [n] PV Details by O Allowed Vote Quantity Quantity Type Consolidated Status External Asset | Description This function enables you to view the selected Beneficial Owner Details record. Next Screen: - Beneficial Owner Details - Details Screen This function enables you to view the details of the selected PV Details by Option record. Next Screen: - PV Details by Option - Details Screen Shows the Allowed Vote Shows the Quantity Shows the Consolidated Status |
| Button Beneficial Owner Details [n] PV Details by Option [n] PV Details by Allowed Vote Quantity Quantity Type Consolidated Status External Asset Account | Description This function enables you to view the selected Beneficial Owner Details record. Next Screen: - Beneficial Owner Details - Details Screen This function enables you to view the details of the selected PV Details by Option record. Next Screen: - PV Details by Option - Details Screen Option - Details Screen Shows the Allowed Vote Shows the Quantity Shows the Quantity Type Shows the Consolidated Status Shows the External Asset Account |
| Button Beneficial Owner Details [n] PV Details by Option [n] PV Details by Allowed Vote Quantity Quantity Type Consolidated Status External Asset Account | Description This function enables you to view the selected Beneficial Owner Details record. Next Screen: - Beneficial Owner Details - Details Screen This function enables you to view the details of the selected PV Details by Option record. Next Screen: - PV Details by Option - Details Screen Option - Details Screen Shows the Allowed Vote Shows the Quantity Shows the Quantity Type Shows the Consolidated Status Shows from possible values: |



| | - Yes | |
|--|--|--|
| | – No | |
| Vote Details | | |
| The existing Vo | ote Details of the PV Client Instructions are displayed. | |
| f you click on View button following fields are displayed: | | |
| Meeting Resolutions | Shows the concatenation of CA ECMS Event Id, " " and the Resolution Number | |
| Is Global Vote | Shows from possible values: | |
| | - Yes | |
| | - No | |
| Vote Option | Shows information about the Vote Option | |
| Vote Option by Resolution | Shows information about the Vote Option by Resolution. | |
| Footprint | | |
| Creation Date | Shows the date and time of the creation. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Creation User Id | Shows the identification of the user that does the creation. | |
| Update Date | Shows the date and time of the last update. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Updater User Id | Shows the identification of the user that made the last update. | |
| Button | Description | |
| Complete State Error [n] | This function enables you to view the selected Complete State Error record. | |
| | Next Screen: | |
| | Complete State Error – Details Screen | |
| His Rule Error [n] | This function enables you to view the details of the selected His Rule Error record. | |
| | Next Screen: | |
| | - His Rule Error - Details Screen | |
| Vote by Resolution [n] | This function enables you to view the details of the selected Vote by Resolution record. | |
| | Next Screen: | |
| | Vote by Resolution – Details Screen | |
| Vote by Resol | ution | |
| The existing Vo | te by Resolution of the PV Client Instructions are displayed. | |
| If you click on \ | /iew button following fields are displayed: | |
| Vote Instruc- tion Type | Shows the concatenation of CA ECMS Event Id, " ", the Resolution Number, " ", and the Vote. | |
| Instructed Quantity | Shows the Instructed Quantity | |
| Footprint | | |
| Creation Date | Shows the date and time of the creation. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |



| Creation User Id | Shows the identification of the user that does the creation. |
|--------------------------|---|
| Update Date | Shows the date and time of the last update. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update. |
| Button | Description |
| PV Details by Option [n] | This function enables you to view the selected PV Details by Option record. |
| | Next Screen: |
| | - PV Details by Option- Details Screen |

3.5.3.2.1.2. Confirm Vote Execution - Edit Screen

| Context of Usage | This screen con a PV Instruction | ntains the data for reques n Client. | ting the confirm Vote e | xecution of |
|------------------|----------------------------------|---|---------------------------------------|-------------|
| Screen Access | ent Instruction > | ns >> Instructions >> Pro >> Confirm Vote Execution Opropriate data if needed | on >> Click on Search b | outton |
| | editSearchResu | | ij Ocieci a recora | - Click Oli |
| Scroon | , , | | y Geleet a record | ©⊞⊠⊠ |
| Screen- shot | editSearchResu | | ECMS Client Asset Account ASYRODOMANI | |

| Confirm Vote Execution – Edit Screen | | |
|--------------------------------------|--|--|
| Field | Description | |
| Ca Meeting | Enter/Select the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. (Also called CA ECMS Event Id.) | |
| | Required format is: Max. 35 characters. | |
| Execution Conf Required | Select if the execution confirmation is required from possible values: - Yes - No | |
| ECMS Client Asset Account | Enter/Select the identifier of the ECMS Counterparty Asset Account where the Asset is mobilised. | |
| | Required format is: Max. 35 characters | |
| Mod Of Counting | Enter/Select the model of counting from possible values: - EVAM - EVBM - PVBM - PVAM | |
| Button | Function | |
| confirmExecu- tion | This function enables you to Confirm the Vote Execution of the PV Client Instruction. | |



3.5.4 CA Entitlements

A Corporate Action Entitlement represents the upcoming cash and security postings due at payment date when a Corporate Action Event is processed.

The ECMS calculates the entitlements when the Record Date is reached or when a CA Movement Preliminary Advice (CAPA) is received from the CSD.

Each time a CA Movement Preliminary Advice received is processed, the ECMS sends the corresponding CA Movement Preliminary Advice message to the Counterparties to advise them about the entitled cash or securities movements.

Corporate Action Movement Preliminary Advice can also be used by the CSD to preadvice the account owner of the reversal of the security and/or cash postings.

3.5.4.1 CA Entitlements – Search Screens

| Contout of | This carean is used to search Cornerate Action Entitlements, Depending |
|-------------------|---|
| Usage | This screen is used to search Corporate Action Entitlements. Depending on the context, it can be used to search CA Market Entitlement Received in a CA Movement Preliminary Advice (Monitor information or Cancelling), CA Market Entitlements Calculated internally by the ECMS (Monitor information or Cancelling) or CA Client Entitlements also calculated by the ECMS (Monitor information or Cancelling). It can also be used to search the valid information of the CA Client Entitlement or the information that requires 4 eyes validation before they can be considered valid in the system. It contains the fields that can be used as search criteria. The user captures the fields that correspond to its criteria for searching CA Entitlements. If a field is left blank, the field is not considered as a search criterion. |
| | Once search criteria have been filled, by clicking on the search button, the list of instructions fulfilling the criteria will be displayed. |
| Business | Search/List/View CA Market Entitlements Received |
| Case re- lated | Search/List/View CA Market Entitlements Calculated |
| iateu | Search/List/View Client CA Entitlements |
| Screen | For Monitoring data CA Market Entitlements Received: |
| Access | Corporate Actions >> CA Entitlements >> Received Market Entitlements >> Monitor Received Entitlements |
| | For Cancelling CA Market Entitlements Received: |
| | Corporate Actions >> CA Entitlements >> Received Market Entitlements >> Cancel Received Entitlements >> Cancel Received Market Entitlement |
| | For Monitoring data CA Market Entitlements Calculated: |
| | Corporate Actions >> CA Entitlements >> Calculated Market Entitlements >> Monitor Market Entitlement |
| | For Cancelling CA Market Entitlements Calculated: |
| | Corporate Actions >> CA Entitlements >> Calculated Market Entitlements >> Cancel Market Entitlement |
| | For Monitoring data CA Client Entitlements: |
| | Corporate Actions >> CA Entitlement >> Client Entitlements >> Monitor Client Entitlement |
| | For Cancelling CA Client Entitlements: |





| CA Entitleme | ents – Search screen |
|-----------------------|---|
| Field | Description |
| CA ECMS Event Id | Enter / Select the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. |
| | Required format is: Max. 35 characters. |
| CA CSD Event Ref. | Enter/Select the reference of the CA Event given by the Custodian |
| NCB Cus- todian | Enter/Select the RIAD Code of the Custodian (i.e the CSD or the NCB in relation with the CSD) |
| CA Event | Enter/Select the Type of CA Event. |
| Туре | Required format is: Max. 4 characters. |
| Participation Type | Enter / Select the code identifying whether participation in the CA event is: |
| | - mandatory (MAND) |
| | - mandatory with options (CHOS) |
| | - voluntary (VOLU) |
| Option Type | Enter / Select the option type within the CA Event. |
| Option Num- ber | Enter / Select the number identifying the option type within the CA Event. |
| ISIN | Enter/Select the identification of the security concerned by the corporate action. |
| Asset Ac- | [Only for client Entitlements] |
| count Id. | Enter/Select the identifier of the Account where the eligible position is held. The account type depends on the type of entitlement (Client/Market) and can be: |
| | - a ECMS Counterparty Asset Account Id |
| | - a T2S Securities Account Id |
| | - a ECMS Cross NCB Asset Account Id. |
| External As- | Enter / Select the External Asset Account. |
| set Account | Required format is: Max. 35 characters. |
| Status | Select from possible values: |
| | - Cancelled |
| | - Confirmed |
| | - NotConfirmed |
| | - PartiallyConfirmed |
| | - WaitingValidation |
| Creation Date | Date and time when the CA Entitlement was created in the ECMS. |



| Button | Function |
|--------|---|
| Reset | This function enables the user to clear the form. |
| Search | This function enables the user to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | - CA Entitlements - List Screen. |

3.5.4.1.1 CA Entitlements – List Screen

| Context of | This screen contains a list of CA Entitlements. |
|-----------------|--|
| Usage | The entitlement listed correspond to the search criteria captured in the <i>CA Entitlements</i> – <i>Search</i> screen. |
| | The list displayed can be sorted and filter by the field displayed. |
| | The list can be exported. |
| | By clicking on the "View" button or double clicking on the selected line, the user can display the <i>CA Entitlements – Details screen</i> with the details of the selected entitlement. |
| Business | Search/List/View CA Market Entitlements Received |
| Case re- | Search/List/View CA Market Entitlements Calculated |
| iateu | Search/List/View Client CA Entitlements |
| | For Monitoring data CA Market Entitlements Received: |
| cess | Corporate Actions >> CA Entitlements >> Received Market Entitlements >> Monitor Received Entitlements >> Search CA Entitlements |
| | For Cancelling CA Market Entitlements Received: |
| | Corporate Actions >> CA Entitlements >> Received Market Entitlements >> Cancel Received Entitlements >> Cancel Received Market Entitlement >> Search CA Entitlements |
| | For Monitoring data CA Market Entitlements Calculated: |
| | Corporate Actions >> CA Entitlements >> Calculated Market Entitlements >> Monitor Market Entitlement >> Search CA Entitlements |
| | For Cancelling CA Market Entitlements Calculated: |
| | Corporate Actions >> CA Entitlements >> Calculated Market Entitlements >> Cancel Market Entitlement >> Search CA Entitlements |
| | For Monitoring data CA Client Entitlements: |
| | Corporate Actions >> CA Entitlement >> Client Entitlements >> Monitor Client Entitlement >> Search CA Entitlements |
| | For Cancelling CA Client Entitlements: |
| | Corporate Actions >> CA Entitlement >> Client Entitlements >> Cancel Client Entitlement >> Search CA Entitlements |
| Screen- shot | List: CA Client Entitlements |
| | ■ PRAIAMOND/19 PRAIAMON/19 PRA |



| CA Entitleme | ents – List Screen |
|------------------------|--|
| Field | Description |
| CA ECMS Event Id | Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. |
| | Displayed format is: Max. 35 characters. |
| CA CSD Event Ref. | Shows the reference of the CA Event given by the Custodian |
| NCB Cus- todian | Shows the RIAD Code of the Custodian (i.e the CSD or the NCB in relation with the CSD) |
| CA Event Type | Shows the type of CA Event. |
| Participation Type | Shows the code identifying whether participation in the CA event is: — mandatory (MAND) |
| | mandatory with options (CHOS)voluntary (VOLU) |
| Option Type | Shows the option type as ISO Code and the option number. |
| and Number | |
| ISIN | Shows the identification of the security concerned by the corporate action. |
| Asset Ac- | [For client entitlements only] |
| count Id | Shows the identifier of the Account where the eligible position is held. The account type depends on the type of entitlement (Client/Market) and can be: |
| | - a ECMS Counterparty Asset Account Id |
| | - a T2S Securities Account Id |
| | - a ECMS Cross NCB Asset Account |
| External Asset Account | Shows the External Asset Account. |
| Status | Shows from possible values: |
| | - Created |
| | - Cancelled |
| Allocation | [For Client Entitlement only] |
| Source Status | Shows from Possible Values: |
| Otatas | - Allocated |
| | - Wait Allocation |
| | - Partially Allocated |
| | - Not Applicable |
| REPE Re- | [For Calculated Market Entitlement only] |
| conciliation Status | Shows the REPE reconciliation status : |
| | - Not reconciled |
| | - ReconciledTotally |
| | - ReconciledPartially |
| | Not Applicable |
| Reconcili- | [For Market Entitlement only] |
| ation Status | Shows the reconciliation status : |

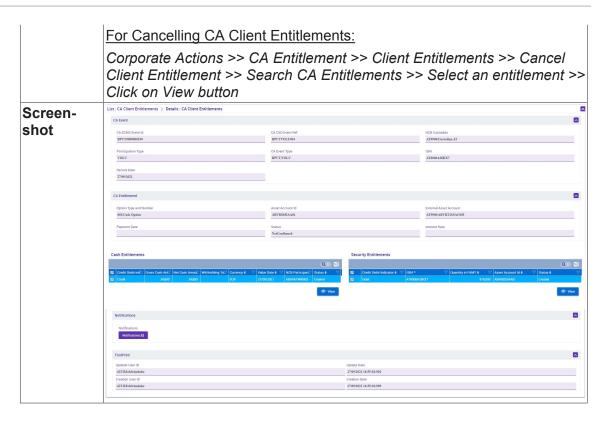


| | Not reconciled |
|---|--|
| | - ReconciledTotally |
| | - ReconciledPartially |
| | - Not Applicable |
| Creation Date | Date and time when the CA Entitlement was created in the ECMS. |
| Updater User Id. | Identifier of the user responsible for the last update of the CA Entitlement. |
| Update Date | Date and time when the CA Entitlement was last updated in the ECMS. |
| After selecting a record, the following buttons are displayed | |
| Button | Function |
| View | This function enables the user to access to the detailed information of a CA Entitlement. |
| | Next screen: |
| | - CA Entitlements - Details Screen. |
| Cancel | [Only for Cancel Client Entitlement, Cancel Received Market Entitlement, Cancel Calculated Market Entitlement] |
| | This button allows the user to cancel the selected entitlement. |

3.5.4.1.2 CA Entitlements – Details Screen

| Combourt of | This course displays the details of a CA Entitlements |
|-------------------------------|---|
| Context of Usage | This screen displays the details of a CA Entitlements. |
| Business Case re- lated | Search/List/View CA Market Entitlements Received |
| | Search/List/View CA Market Entitlements Calculated |
| | Search/List/View Client CA Entitlements |
| Screen Ac- | For Monitoring data CA Market Entitlements Received: |
| cess | Corporate Actions >> CA Entitlements >> Received Market Entitlements >> Monitor Received Entitlements >> Search CA Entitlements >> Select an entitlement >> Click on View button |
| | For Cancelling CA Market Entitlements Received: |
| | Corporate Actions >> CA Entitlements >> Received Market Entitlements >> Cancel Received Entitlements >> Cancel Received Market Entitlement >> Search CA Entitlements >> Select an entitlement >> Click on View button |
| | For Monitoring data CA Market Entitlements Calculated: |
| | Corporate Actions >> CA Entitlements >> Calculated Market Entitlements >> Monitor Market Entitlement >> Search CA Entitlements >> Select an entitlement >> Click on View button |
| | For Cancelling CA Market Entitlements Calculated: |
| | Corporate Actions >> CA Entitlements >> Calculated Market Entitlements >> Cancel Market Entitlement >> Search CA Entitlements >> Select an entitlement >> Click on View button |
| | For Monitoring data CA Client Entitlements: |
| | Corporate Actions >> CA Entitlement >> Client Entitlements >> Monitor Client Entitlement >> Search CA Entitlements >> Select an entitlement >> Click on View button |





| CA Entitlemen | t – Details Screen |
|----------------------|--|
| Field | Description |
| CA Event | |
| CA ECMS Event Id | Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. |
| | Required format is: Max. 35 characters. |
| CA CSD Event Ref. | Shows the reference of the CA Event given by the Custodian |
| NCB Cus- todian | Shows the RIAD Code of the Custodian (i.e the CSD or the NCB in relation with the CSD) |
| CA Event Type | Shows the type of CA Event. |
| Participation | Shows the code identifying whether participation in the CA event is: |
| Туре | - mandatory (MAND) |
| | mandatory with options (CHOS) |
| | - voluntary (VOLU) |
| ISIN | Shows the identification of the security concerned by the corporate action. |
| | [For Client Entitlements only] |
| ld. | Shows the identifier of the Account where the eligible position is held. The account type depends on the type of entitlement (Client/Market) and can be: |
| | a ECMS Counterparty Asset Account Id |
| | - a T2S Securities Account Id |
| | - a ECMS Cross NCB Asset Account |



| External Asset Account | Shows the External Asset Account. |
|---|--|
| Status | Shows from possible values: |
| | - Created |
| | - Cancelled |
| Quantity | Shows the Quantity of the Entitlement. |
| Record Date / Entitlement Fixing Date | Shows the date at which positions are struck to note which parties will receive the relevant amount of entitlement, due to the distribution on payment date. |
| | Displayed format is: DD/MM/YYYY. |
| Payment Date | Shows the Payment Date. |
| | Displayed format is: DD/MM/YYYY. |
| Action to Val- idate | Shows if there is any action waiting for validation. |
| Is Rejected | Shows if any action subject to validation has been rejected. The possible values are: |
| | •Yes |
| | ■No |
| CA Entitlemen | |
| Option Type and Number | Shows the option type as ISO Code and the option number. |
| Reconciliation | [For Market Entitlement only] |
| Status | Shows the reconciliation status : |
| | - Not reconciled |
| | - ReconciledTotally |
| | - ReconciledPartially |
| | - Not Applicable |
| Cash Entitlem | ents |
| A table displays | s the list of cash entitlements |
| Field | Description |
| Credit/Debit in- dicator | Shows whether the cash payment is a debit or a credit. |
| Gross Cash Amount | Shows the amount of cash due before deductions and allowance |
| Net Cash Amount | Shows the net cash amount to be paid at the payment date |
| Currency | Show the currency of the payment |
| Withholding | [Only for Client Entitlements] |
| Tax Amount | Shows the Amount of a cash distribution that will be withheld by the tax authorities of the jurisdiction of the issuer, for which a relief at source and/or reclaim may be possible. |
| Value Date | Shows the date when calculating economic benefit for a cash amount. |
| Cash Account Id | Shows the reference of the cash account where the payment is to be paid |
| Status | Shows from possible values: |
| | - Created |



| I | W ''' D 10 C '' |
|-----------------------------|--|
| | Waiting Payment Confirmation |
| | Payment Confirmation Rejected |
| | Waiting Pool Confirmation |
| | Reversal Waiting Payment Confirmation |
| | Reversal Payment Confirmation Rejected |
| | - Sent |
| After selecting | a record, the following button is displayed |
| Button | Function |
| View | This function enables the user to view the details of the CA Cash Entitlement. |
| l | Next screen: |
| | CA Cash Entitlements – Details Screen. |
| Security Entitl | ements |
| A table displays | s the list of security entitlements |
| Field | Description |
| Credit/Debit in- dicator | Shows whether the security payment is a debit or a credit |
| ISIN | Shows the identifier of the entitled financial instrument. |
| Quantity in FAMT | Shows the entitled quantity in FAMT |
| Status | Shows the status from possible values: |
| | - Sent |
| | - Created |
| l | Waiting Valuation |
| Asset Account | [For Client Entitlements only] |
| ld. | Shows the reference of the security account where the movement is to be done |
| After selecting | a record, the following button is displayed |
| Button | Function |
| View | This function enables the user to access to the detailed information of a CA Security Entitlement. |
| | Next screen: |
| | - CA Security Entitlements - Details Screen. |
| Foot Print | |
| Creation Date | Shows the date and time of the creation of the CA Entitlement. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the CA Entitlement. |
| Update Date | Shows the date and time of the update of the CA Entitlement. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the CA Entitlement. |
| [For Received I | Market Entitlements only] |
| Notifications | |
| The existing no | tifications of the CA Entitlements are displayed. |
| | |



| You can download a copy of an existing notification of the CA Entitlement by selecting it and clicking on the Download button. | |
|--|--|
| Field | Description |
| Message Iden- tifier | Shows reference of the message received. |
| Notification Name | Shows the description of the type of message received. |
| Direction | Shows the direction of the message from the possible values: |
| | •Out |
| | -In |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: |
| | - Prepared |
| | - Impacted |
| | - Impact Failed |
| | - Rejected |
| | - Archived |
| | - Processed |
| | - Processed with Failure |
| | - On Hold |

| Error Description | Shows the description of the error in case of error when receiving the message. | | |
|--------------------|---|--|--|
| Update Date | Shows the date and time of the last update of the CA Movement. | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | |
| Updater User Id | Shows the identification of the user that made the last update of the CA Entitlement. | | |
| Button | Function | | |
| Download | This function enables you to access to the detailed information of the original message in XML format. | | |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | | |
| View Message | This function enables you to access to the detailed information of the messages for same notification. | | |
| | - View Message - Details Screen | | |
| View Message | - Details Screen | | |
| Field | Description | | |
| Message Reference | Shows the reference of the messge. | | |
| Direction | Shows whether the notification has been an input or output. Possible values: | | |
| | - In | | |
| | - Out | | |
| Status | Shows the status of the message. | | |
| After selecting | After selecting a record, the following buttons are displayed | | |
| Button | Function | | |
| | | | |



| Download | This function enables you to access to the detailed information of the original message in XML format. |
|----------|---|
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |

3.5.4.1.3 CA Cash Entitlements – Details Screen

| | Tititiements – Details Screen | | |
|------------------|---|---|-----------------------------------|
| Context of Usage | This screen displays the details of a | CA Cash Entitleme | ents. |
| Screen Ac- | For Monitoring data CA Market Entit | lements Received: | |
| cess | Corporate Actions >> CA Entitlements >> Received Market Entitlements >> Monitor Received Entitlements >> Search CA Entitlements >> Select an entitlement >> Click on View button >> Click on View Cash Entitlement | | |
| | For Cancelling CA Market Entitleme | nts Received: | |
| | Corporate Actions >> CA Entitlemer >> Cancel Received Entitlements >> >> Search CA Entitlements >> Select button >> Click on View Cash Entitle | > Cancel Received ct an entitlement >> | Market Entitlement |
| | For Monitoring data CA Market Entit | lements Calculated | <u>l:</u> |
| | Corporate Actions >> CA Entitlement >> Monitor Market Entitlement >> Se entitlement >> Click on View button | earch CA Entitleme | ents >> Select an |
| | For Cancelling CA Market Entitleme | nts Calculated: | |
| | Corporate Actions >> CA Entitlements >> Calculated Market Entitlements >> Cancel Market Entitlement >> Search CA Entitlements >> Select an entitlement >> Click on View button >> Click on View Cash Entitlement | | |
| | For valid information -> Monitor data CA Client Entitlements: | | |
| | Corporate Actions >> CA Entitlement >> Client Entitlements >> Monitor Client Entitlement >> Search CA Entitlements >> Select an entitlement >> Click on View button >> Click on View Cash Entitlement | | |
| | For information subject to 4 eyes validation -> Monitor data CA Client Entitlements: | | |
| | Corporate Actions >> CA Entitlement >> Client Entitlements >> Monitor Client Entitlement >> Search CA Entitlements >> Select an entitlement >> Click on View button >> Click on View Cash Entitlement | | |
| | For Cancelling CA Client Entitlements: | | |
| | Corporate Actions >> CA Entitlement Client Entitlement >> Search CA En Click on View button >> Click on View | titlements >> Selec | t an entitlement >> |
| Screen- | Search: CA Client Entitlements List: CA Client Entitlements > Details: CA Client Entitlements | | ₩ ♥ |
| shot | View - Client Cash Existlement | Credit Debit indicator | Gross Cash Amount |
| | ## 55 ## 55 | Credit Withholding Tax Amount | 34,900 Value Date 2199/2021 |
| | NCB Participier Cash Account Id Sortion ABYRATYWWW Cresied | Exchange Rase | |
| | TAXES Taxes Toos ID | | • |
| | Allocation | | a |
| | Eritted Amoure Allocated Amoure | Allocation Source Status Wait-Allocation | |
| | FoodPrince Usedone User fol ATCINERATE Annual Food | Update Date 27/8/2021 16:35:02:310 | |
| | Constitution ID ATCRIBAtion-below | Creation Date 27/98/2023 16:55:03:999 | |
| | | | |



| CA Cash Ent | itlement – Details Screen |
|-------------------------|--|
| Field | Description |
| CA Event | • |
| CA CSD Event Ref. | Shows the reference of the CA Event given by the Custodian |
| NCB Cus- todian | Shows the RIAD Code of the Custodian (i.e the CSD or the NCB in relation with the CSD) |
| Allocated | [For Client Entitlement only] |
| Amount | Shows the amount allocated. |
| Allocation | [For Client Entitlement only] |
| Source | Shows from possible values: |
| Status | - Allocated |
| | - Wait Allocation |
| | - Partially Allocated |
| | - Not Applicable |
| Cash Entitler | nents |
| Credit/Debit indicator | Shows whether the cash payment is a debit or a credit |
| Gross CashAmount | Shows the amount of cash due before deductions and allowance |
| Withholding Tax Rate | Shows the percentage of a cash distribution that will be withheld. |
| Net Cash Amount | Shows the net cash amount to be paid at the payment date |
| Currency | Show the currency of the payment |
| Exchange Rate | Shows the Exchange rate. |
| Reversal Date | [For all types except for Cancel Client Entitlement and Calculated Mar- ket Entitlement] |
| | Shows the date when the reversal of the entitlement is done. |
| Withholding | [Only for Client Entitlements] |
| Tax Amount | Shows the Amount of a cash distribution that will be withheld by the tax authorities of the jurisdiction of the issuer, for which a relief at source and/or reclaim may be possible. |
| Value Date | Shows the date when calculating economic benefit for a cash amount. |
| Cash Ac- count Id | Shows the reference of the cash account where the payment is to be paid |
| Status | Shows from possible values: |
| | - Created |
| | Waiting Payment Confirmation |
| | Payment Confirmation Rejected |
| | Waiting Pool Confirmation |
| | Reversal Waiting Payment Confirmation |
| | Reversal Payment Confirmation RejectedSent |
| | |



| Button | Function |
|---------------------------------|--|
| Taxes | [For all types except for Monitor and Cancel Received Market Entitlements] |
| | This button allows you to display the subsection Taxes. |
| FootPrint | |
| Creation | Shows the date and time of the creation of the CA Cash Entitlement. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the Cash CA Entitlement. |
| Update Date | Shows the date and time of the update of the CA Cash Entitlement. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the CA Cash Entitlement. |
| Taxes | |
| The existing T | axes of the CA Cash Entitlements are displayed. |
| If you click on | View button following fields are displayed: |
| Book Cur- | Shows the Book currency of the Taxes. |
| rency | Displayed format is: Max. 3 characters. |
| Original Cur- | Shows the Original currency of the Taxes. |
| rency | Displayed format is: Max. 3 characters. |
| Exchange | Shows the Exchange Rate. |
| Rate | Displayed format is: number with up to 5 decimal places (max. 99.9999) |
| Fiscal Cat- egory | Shows the Fiscal Category. |
| Fiscal Classi- fication Name | Shows the Fiscal Classification Name |
| Fiscal Origin | Shows the Fiscal Origin |
| Identifier | Shows the Identifier |
| Effect Date | Shows the Effect Date |
| Withheld Amount | Shows the Withheld Amount |
| Exchange | Shows the Exchange Date |
| Date | Displayed format is: DD/MM/YYYY |
| Taxation Rate | Shows the Taxation Rate |
| Calculation Rule | Shows the Calculation Rule. |
| Taxable Amount | Shows the Taxable Amount |
| Foot Print | |
| Creation | Shows the date and time of the creation. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that does the creation. |
| Update Date | Shows the date and time of the last update. |



| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
|--------------------|---|
| Updater User Id | Shows the identification of the user that made the last update. |

3.5.4.1.4 CA Security Entitlements – Details Screen

| Context of | This screen displays the details of a (| CA Security Entitlements. |
|---------------|--|---|
| Usage | | |
| Screen Access | For Monitoring data CA Market Entitle | ements Received: |
| | Corporate Actions >> CA Entitlement >> Monitor Received Entitlements >> an entitlement >> Click on View butto ment | > Search CA Entitlements >> Select |
| | For Cancelling CA Market Entitlemen | nts Received: |
| | Corporate Actions >> CA Entitlement >> Cancel Received Entitlements >> >> Search CA Entitlements >> Select button >> Click on View Security Entitlements | Cancel Received Market Entitleme t an entitlement >> Click on View |
| | For Monitoring data CA Market Entitle | ements Calculated: |
| | Corporate Actions >> CA Entitlement >> Monitor Market Entitlement >> Se entitlement >> Click on View button > | earch CA Entitlements >> Select an |
| | For Cancelling CA Market Entitlemen | nts Calculated: |
| | Corporate Actions >> CA Entitlement >> Cancel Market Entitlement >> Sea entitlement >> Click on View button > | arch CA Entitlements >> Select an |
| | For valid information -> Monitor data | CA Client Entitlements: |
| | Corporate Actions >> CA Entitlement Client Entitlement >> Search CA Enti Click on View button >> Click on View | itlements >> Select an entitlement > |
| | For information subject to 4 eyes valid titlements: | dation -> Monitor data CA Client Er |
| | Corporate Actions >> CA Entitlement Client Entitlement >> Search CA Enti Click on View button >> Click on View | itlements >> Select an entitlement > |
| | For Cancelling CA Client Entitlements | <u>s:</u> |
| | Corporate Actions >> CA Entitlement Client Entitlement >> Search CA Enti Click on View button >> Click on View | itlements >> Select an entitlement > |
| Screen- | | Credit Debè Indicator ISIN |
| shot | ### 1500 ANY PRINT ANY PRINT | Debt ATRONALISCY Stenor Varie Dire Cristel 21602011 |
| | Not Paid Quentity STU999 | |
| | Allocation Allocated Amount | Allocation Source Status Wald Movement |
| | Notifications | |
| | Netformore E | |
| | | Update Date |
| | Credition User ID | 2100-2021 1455-03-070 Creation Date 2700-2021 1455-03-090 |



| CA Security I | Entitlement – Details Screen | | |
|------------------------|--|--|--|
| Field | Description | | |
| CA Event | CA Event | | |
| CA CSD Event Ref. | Shows the reference of the CA Event given by the Custodian | | |
| NCB Cus- todian | Shows the RIAD Code of the Custodian (i.e the CSD or the NCB in relation with the CSD) | | |
| Security Enti | tlements | | |
| Credit/Debit indicator | Shows whether the security payment is a debit or a credit | | |
| ISIN | Shows the identifier of the entitled financial instrument. | | |
| Quantity in FAMT | Shows the entitled quantity in FAMT | | |
| Value Date | Shows the date when calculating economic benefit for a cash amount. | | |
| Status | Shows from possible values: | | |
| | - Sent | | |
| | - Created | | |
| | Waiting Valuation | | |
| FootPrint | | | |
| Creation | Shows the date and time of the creation of the CA Security Entitlement. | | |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | |
| Creation User Id | Shows the identification of the user that created the Security CA Entitlement. | | |
| Update Date | Shows the date and time of the update of the CA Security Entitlement. | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | |
| Updater User Id | Shows the identification of the user that made the last update of the CA Security Entitlement. | | |

3.5.5 CA Movements

A Corporate Action Movement represents a cash or security postings emanating from the payment of the corporate actions.

Once the corporate action event has been completed and the appropriate postings to the account owner's safekeeping account(s) have been completed, one or more CA Movement Confirmation messages are sent on the payment date from the account servicer to the relevant parties who will then reflect the cash/securities movements in their internal accounts.

Regarding split elections between options, a separate CA Movement Confirmation message will be sent for each option elected.

Upon receipt of the Movement Confirmation message, a reconciliation between the amounts confirmed in the Movement Confirmation message and those pre-advised in the Movement Preliminary Advice message is performed.



3.5.5.1 Market Client Movements

3.5.5.1.1 CA Movements - Search Screens

| Context of Usage | This screen is used to search Corporate Action Movements. Depending on the context, it can be used to search a CA Market Movement (i.e. initiated by the Custodian) or CA Client Movements (i.e. initiated by the ECMS), also you can use them for cancelling the corresponding movements. | | |
|---------------------|--|--|--|
| | It contains the fields that can be used as search criteria. The user captures the fields that correspond to its criteria for searching CA Movements. | | |
| | If a field is left blank, the field is not considered as a search criterion. | | |
| | Once search criteria have been filled, by clicking on the search button, the list of instructions fulfilling the criteria will be displayed. | | |
| Business | Search / List / View CA Market Movements | | |
| Case re- lated | Search / List / View CA Client Movements | | |
| Screen | For Market Movements: | | |
| Access | Corporate Actions >> Movement >> Market Movements >> Monitor Market Movements | | |
| | For CA Client Movements (to display only confirmed payment): | | |
| | Corporate Actions >> Movement >> Client Movements >> List Confirmed Payment | | |
| Screen- | Monitor Marine Movements Search : Market Movements * | | |
| shot | CA SOMS Event Id •• • CA CSD Event Ref •• • NOB Controllers •• • External Asset •• • Account | | |
| | SSIN Q CASHIETTYPE Option Type Payment Data | | |
| | Operation is a supplementation of the supplem | | |
| 1 | | | |

| CA Movements – Search screen | | |
|------------------------------|--|--|
| Field | Description | |
| CA ECMS Event Id. | Enter the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. | |
| | Required format is: Max. 35 characters. | |
| CA CSD | Enter the reference of the CA Event given by the Custodian | |
| Event Ref. | Required format is: Max. 35 characters. | |
| NCB Cus- todian | Enter/Select the RIAD Code of the Custodian (i.e the CSD or the NCB in relation with the CSD) | |
| | Enter / Select the External Asset Account. | |
| set Account | Required format is: Max. 35 characters. | |
| CA Event | Enter/Select the Type of CA Event. | |
| Туре | Required format is: Max. 4 characters. | |
| ISIN | Enter/Select the identification of the security concerned by the corporate action. | |
| Asset Account Id. | [Only for Client Movements] | |
| | Enter/Select the identifier of the Account where the eligible position is held. The account type depends on the type of Movement (Client/Market) and can be: | |



| | - a ECMS Counterparty Asset Account Id |
|------------------|---|
| | - a T2S Securities Account Id |
| | a ECMS Cross NCB Asset Account Id. |
| Party RIAD | [Only for Client Movements] |
| Code | Enter/Select the RIAD Code of the Counterparty/Cross NCB that holds |
| | the eligible position |
| Option Type | Enter/Select the option type as ISO Code |
| Option Number | Enter the number of the option type |
| Payment Date | Enter/Select the date of the Corporate Action Payment. |
| Movement | Enter / Select the movement status from possible values: |
| Status | For Client Movements: |
| | Waiting Margin Call Resolution |
| | Waiting payment confirmation |
| | Payment confirmation rejected |
| | Waiting pool valuation |
| | - Created |
| | - Sent |
| | Reversal waiting payment confirmation |
| | Reversal execute waiting T2S confirmation |
| | Reversal payment confirmation rejected |
| | - Cancelled |
| | Waiting pool confirmation |
| | Reversal waiting pool confirmation |
| | For Market Movements: |
| | - Received |
| | - Validated |
| | Waiting for NCB manual intervention |
| | - Discarded |
| | Reconciliation Failure detected |
| | - Reconciled |
| | - Settled |
| | - To be reversed |
| | - Reversed |
| Creation Date | Date and time when the CA movement was created in the ECMS. |
| Update Date | Date and time when the CA movement was last updated in the ECMS. |
| Button | Function |
| Reset | This function enables the user to clear the form. |
| Search | This function enables the user to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |



- CA Movements - List Screen.

3.5.5.1.1.1 CA Movements - List Screen

| Context of | This screen contains a list of CA Movements. | | | | | | | | | | | | |
|-------------------|---|--|-------------------------|--|---|--|---------------------|--|--------------------|--|---|------------------------|---------|
| Usage | The CA Movements listed correspond to the search criteria captured in the CA Movements – Search screen. | | | | | | | | | | | | |
| | The lis | The list displayed can be sorted and filter by the field displayed. | | | | | | | | | | | |
| | The lis | t can | be ex | ported | d. | | | | | | | | |
| | | er can | disp | lay the | CA | | | | | | | ted line, he detail | S |
| Business | Search | ı / Lis | t / Vie | w CA | Mark | et Mo | veme | nts | | | | | |
| Case re- lated | Search | n / Lis | t / Vie | w CA | Clier | it Mov | emen | its | | | | | |
| Screen Ac- | For Ma | For Market Movements: | | | | | | | | | | | |
| cess | Corporate Actions >> Movement >> Market Movements >> Monitor Market Movements >> Search CA Movements For CA Client Movements: | | | | | | | | | | | | |
| | Corpoi Payme | rate A ent >> | ctions | s >> M | lover | | | ent Mo | veme | ents > | > List | Confirme | ed |
| Screen- | List : Market Movemer | | 10 | | | K < Page | | | an and | | | Q 93 * × | |
| shot | CA EDMS Evern to 0* 21 BISSONDONOUSES FREEMODODOOTS0 INTROCODOOTS2 INTROCODOOTS2 FREEMODODOOTS8 FREEMODODOOTS8 FREEMODODOOTS8 FREEMODODOOTS8 FREEMODODOOTS8 FREEMODODOOTS9 FREEMODODOOTS9 FREEMODODOOTS9 FREEMODODOOTS9 | CA CSIO Event Ref © circinosis 202018 (CSI) 06620202018 (CSI) 0662020201 (CRI) 069202201 (CSI) 066202201 (CSI) 066202202 (CSI) 069202202 (CSI) 06920202 (CSI) 069202 (CSI) 069202 (CSI) 069202 (CSI) 069202 (CSI) 069202 (CSI) | NCB Custodian © A1900 | Stermal Assert Acco ANN/TIZSACC (MAT) ATG100000128 ATG90000005 ATG90000005 ATG900000128 ATG90000005 ATG912122226 ATG912122226 ATG90000001 ATG90000005 | CA Event Type 6 BIDS REDM INTR INTR REDM REDM REDM REDM REDM REDM REDM | Option Type and Nu. | Central Reversal/WatingPaym. Created Created Reversal/WatingPaym. Created Reversal/WatingPaym. Created | Reconciled Totally | Payment Date © 10/05/2022 10/05/2022 | 20/06/7022 18:19:10:3 10:06/2022 13:70:92:2 10:06/2022 13:17:92:2 07:06/2022 12:17:19:7 07:06/2022 12:15:23:6 09:06/2022 13:44:4 08:06/2022 10:16:11:5 07:06/2022 15:19:38:2 | | r M ◆ ▽ |

| CA Movements – List Screen | | | | |
|----------------------------|---|--|--|--|
| Field | Description | | | |
| CA ECMS Event Id. | Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. | | | |
| | Displayed format is: Max. 35 characters. | | | |
| | Shows the reference of the CA Event given by the Custodian | | | |
| Ref. | Displayed format is: Max. 35 characters. | | | |
| CA Payment | [Only for Client Movements] | | | |
| ld | Shows the Identifier of the CA Payment. | | | |
| NCB Cus- todian | Shows the RIAD Code of the Custodian (i.e the CSD or the NCB in relation with the CSD) | | | |
| External Asset | Shows the External Asset Account. | | | |
| Account | Displayed format is: Max. 35 characters. | | | |
| CA Event Type | Shows the Type of CA Event. | | | |
| | Required format is: Max. 4 characters. | | | |
| Asset Account Id. | [Only for Client Movements] | | | |



| | Shows the identifier of the Account where the eligible position is held. The account type depends on the type of Movement (Client/Market) and can be: |
|------------------------|---|
| | a ECMS Counterparty Asset Account Id |
| | - a T2S Securities Account Id |
| | - a ECMS Cross NCB Asset Account |
| Party RIAD | [Only for Client Movements] |
| Code | Shows the RIAD Code of the Counterparty/Cross NCB that holds the eligible position |
| ISIN | Shows the identification of the security concerned by the corporate action. |
| Option Type and Number | Shows the option type as ISO Code and the option number. |
| Payment Date | Shows the date of the Corporate Action Payment. |
| Movement | Shows the movement status from possible values: |
| Status | For Client Movements: |
| | Waiting Margin Call Resolution |
| | Waiting payment confirmation |
| | Payment confirmation rejected |
| | Waiting pool valuation |
| | - Created |
| | - Sent |
| | Reversal waiting payment confirmation |
| | Reversal execute waiting T2S confirmation |
| | Reversal payment confirmation rejected |
| | - Cancelled |
| | Waiting pool confirmation |
| | Reversal waiting pool confirmation |
| | For Market Movements: |
| | - Received |
| | - Validated |
| | Waiting for NCB manual intervention |
| | - Discarded |
| | Reconciliation Failure detected |
| | - Reconciled |
| | - Settled |
| | - To be reversed |
| | - Reversed |
| Reconciliation | [Only for Market Movements] |
| Status | Shows the reconciliation status from possible values: |
| | - Not Applicable |
| | - ReconciledTotally |
| | - ReconciledPartially |



| | - ToBeReconciled | | | |
|-----------------------------|--|--|--|--|
| Quantity | [Only for Client Movements] | | | |
| | Shows the Quantity in FAMT. | | | |
| Creation Date | Date and time when the CA Movement was created in the ECMS | | | |
| Updater User Id. | Identifier of the user responsible for the last update of the CA Movement. | | | |
| Update Date | Date and time when the CA Movement was last updated in the ECMS. | | | |
| After selecting | a record, the following buttons are displayed | | | |
| Button | Function | | | |
| View | This function enables the user to access to the detailed information of a CA Movement. | | | |
| | Next screen: | | | |
| | - CA Movements - Details Screen. | | | |
| Cancel | [Only for Cancel functionality] | | | |
| | This function enables the user to cancel a selected Movement. | | | |
| requestFor- Cancellation | [Only for Request For Cancellation functionality] | | | |
| | This function enables the user to request the cancellation of a selected Movement. | | | |
| confirmCan- | [Only for Confirm Cancellation functionality] | | | |
| cellation | This function enables the user to confirm the cancellation of a selected Movement. | | | |

3.5.5.1.1.2 CA Movements – Details Screen

| Context of Usage | This screen displays | the details of a C | A Movement. | | |
|-------------------------------|--|--------------------|--|--|--|
| Business Case re- lated | Search / List / View CA Market Movements Search / List / View CA Client Movements | | | | |
| Screen Access | For Market Movements: Corporate Actions >> Movement >> Market Movements >> Monitor Market Movements >> Search CA Movements >> Select a record >> Click on View button For CA Client Movements: Corporate Actions >> Movement >> Client Movements >> List Confirmed Payment >> Search CA Movements >> Select a record >> Click on View button | | | | |
| Screen- shot | Column C | Q I di | ASPARCAMINA Z ASPARC | an inter 6 1 1 Ingeneral to the Ingeneral Total Tot | |



| CA Movement | - Details Screen | |
|------------------------|---|--|
| Field | Description | |
| CA Event | | |
| CA ECMS Event Id. | Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. | |
| | Displayed format is: Max. 35 characters. | |
| | Shows the reference of the CA Event given by the Custodian | |
| Ref. | Displayed format is: Max. 35 characters. | |
| NCB Cus- todian | Shows the RIAD Code of the Custodian (i.e the CSD or the NCB in relation with the CSD) | |
| | [Only for client Movements] | |
| ld. | Shows the identifier of the Account where the eligible position is held. The account type depends on the type of Movement (Client/Market) and can be: | |
| | - a ECMS Counterparty Asset Account Id | |
| | - a T2S Securities Account Id | |
| | - a ECMS Cross NCB Asset Account | |
| External Asset | Shows the External Asset Account. | |
| Account | Displayed format is: Max. 35 characters. | |
| Party RIAD | [Only for client Movements] | |
| Code | Shows the RIAD Code of the Counterparty/Cross NCB that holds the eligible position | |
| ISIN | Shows the identification of the security concerned by the corporate action. | |
| CA Movement | | |
| Option Type and Number | Shows the option type as ISO Code and the option number. | |
| Movement | Shows the movement status from possible values: | |
| Status | For Client Movements: | |
| | Waiting Margin Call Resolution | |
| | Waiting payment confirmation | |
| | Payment confirmation rejected | |
| | Waiting pool valuation | |
| | - Created | |
| | - Sent | |
| | Reversal waiting payment confirmation | |
| | Reversal execute waiting T2S confirmation | |
| | Reversal payment confirmation rejected | |
| | - Cancelled | |
| | Waiting pool confirmation | |
| | | |
| | Reversal waiting pool confirmation For Market Mayamanta: | |
| | For Market Movements: | |
| | - Received | |



| 1 | \/_lideted |
|----------------------------|--|
| | - Validated |
| | Waiting for NCB manual intervention |
| | - Discarded |
| | Reconciliation Failure detected |
| | - Reconciled |
| | - Settled |
| | - To be reversed |
| | - Reversed |
| Reconciliation | [Only for Market Movements] |
| Status | Shows the reconciliation status from possible values: |
| | - Not Applicable |
| | - ReconciledTotally |
| | - ReconciledPartially |
| | - ToBeReconciled |
| Payment Date | Shows the date of the Corporate Action Payment. |
| Cash Moveme | ents |
| | s the list of cash Movements |
| Field | Description |
| Credit Debit Indicator | Shows whether the cash payment is a debit or a credit |
| NCB Parti- | [Only for client Movements] |
| cipant Cash Account Id. | Shows the reference of the cash account where the payment is to be paid. |
| Gross Cash Amount | Shows the amount of cash due before deductions and allowance |
| Net Cash Amount | Shows the net cash amount to be paid at the payment date |
| Currency | Shows the currency of the payment |
| Posting Date | [Only for client Movements] |
| | Date of the posting (credit or debit) to the account. |
| Value Date | Date/time when calculating economic benefit for a cash amount. |
| Status | Shows from possible values: |
| | - Created |
| | Waiting Payment Confirmation |
| | Payment Confirmation Rejected |
| | Waiting Pool Confirmation |
| | Reversal Waiting Payment Confirmation |
| | Reversal Payment Confirmation Rejected |
| | - Sent |
| | Reversal Waiting MegaCM Confirmation |
| | Reversal Waiting MegaCM Valuation |
| | Cancelled |
| Payment to be Reversed | Shows the payment to be reversed. |
| | I . |



| | [Only for Market Movements] | | | | |
|---------------------------|--|--|--|--|--|
| ld. | Shows the reference of the cash account where the payment is to be paid | | | | |
| Withholding Tax Amount | Amount of a cash distribution that will be withheld by the tax authorities of the jurisdiction of the issuer, for which a relief at source and/or reclaim may be possible. | | | | |
| After selecting | a record, the following button is displayed | | | | |
| Button | Function | | | | |
| View | This function enables the user to view the details of the CA Cash Movement. | | | | |
| | Next screen: | | | | |
| | - CA Cash Movements - Details Screen. | | | | |
| Security Move | ments | | | | |
| A table displays | s the list of Security Movements | | | | |
| Field | Description | | | | |
| Credit Debit Indicator | Shows whether the cash payment is a debit or a credit | | | | |
| ISIN | Shows the identifier of the entitled financial instrument. | | | | |
| Quantity in FAMT | Shows the entitled quantity in FAMT | | | | |
| Payment to be Reversed | Shows the Payment to be reversed. | | | | |
| Status | Shows from possible values: | | | | |
| | - Sent | | | | |
| | - Created | | | | |
| | Waiting Valuation | | | | |
| | - Waiting Ack | | | | |
| | Reversal Waiting Ack | | | | |
| Posting Date | Date of the posting (credit or debit) to the account. | | | | |
| Asset Account | [Only for Client Movements] | | | | |
| ld. | Shows the reference of the security account where the movement is to be done | | | | |
| After selecting | a record, the following button is displayed | | | | |
| Button | Function | | | | |
| View | This function enables the user to access to the detailed information of a CA Security Movement. | | | | |
| | Next screen: | | | | |
| | - CA Security Movements - Details Screen. | | | | |
| Foot Print | | | | | |
| Creation Date | Shows the date and time of the creation of the CA Movement. | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | |
| Creation User Id | Shows the identification of the user that created the CA Movement. | | | | |
| Update Date | Shows the date and time of the update of the CA Movement. | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | |
| | | | | | |



| Updater User Id | Shows the identification of the user that made the last update of the CA Movement. |
|--------------------------|---|
| Button | Function |
| Notifications | This function enables you to display the subsection "Notifications". |
| Notifications | |
| The existing no | tifications of the CA Movements are displayed. |
| | oad a copy of an existing notification of the CA Movement by selecting on the Download button. |
| Field | Description |
| Message Iden- tifier. | Shows reference of the message received. |
| Notification Name | Shows the description of the type of message received. |
| Direction | Shows the direction of the message from the possible values: - Out - In |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: - Prepared - Impacted |
| | Impact Failed Rejected Archived Processed Processed with Failure On Hold |
| Error Description | Shows the description of the error in case of error when receiving the message. |
| Update Date | Shows the date and time of the last update of the CA Movement. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the CA Movement. |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| View Message | This function enables you to access to the detailed information of the messages for same notification. |
| | - View Message - Details Screen |
| View Message | - Details Screen |
| Field | Description |
| Message Reference | Shows the reference of the messge. |



| Direction | Shows whether the notification has been an input or output. Possible values: - In - Out |
|-----------------|---|
| Status | Shows the status of the message. |
| After selecting | a record, the following buttons are displayed |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |

3.5.5.1.1.3 CA Cash Movements – Details Screen

| Context of Usage | This screen displays the details of a CA Cash Movement. | | | | | |
|------------------|---|--|---|--|--|--|
| Screen Ac- | For Market Movements: | | | | | |
| cess | Corporate Actions >> Movement >> Market Movements >> Monitor Market Movements >> Search CA Movements >> Select a record >> Click on View button >> View Cash Movement | | | | | |
| | For CA Client Movement | <u>s:</u> | | | | |
| | Corporate Actions >> Movement >> Client Movements >> List Confirmed Payment >> Search CA Movements >> Select a record >> Click on View button >> View Cash Movement | | | | | |
| Screen- | Details: Received Market Movements Cash CA Fewel | | | | | |
| shot | CA CSD Evoir Port GROSSOCIUS | CA ECANS Event Id BETISH000000837 | NES Custocidan AT9000Custocidan AT | | | |
| | Esternal Asset Account AssetWetters Acrins | Cash Account Id. | Status Status | | | |
| | Option Type And Number CASH-649 | Payment Date | Payment To Be Reversed fable | | | |
| | Peversal Date | Received Entitlement/Payment Reconciliation Status | | | | |
| | Cash Movements | | <u> </u> | | | |
| | Credit Dabit indicator Credit | Gross Cash Amount 950,666 | Withholding Tax Amount 0 | | | |
| | Net Cesh Arrount. 560,000 | Currency | Value Date 28/60/2922 | | | |
| | FootPrint | | 8 | | | |
| | Creation Date 2006/2021 18:19:30:552 | Creation User ID CSDUser | Updated Date 2004;500 1 1 2 2 1 4 2 2 2 4 4 5 7 9 9 | | | |
| | Updater Uper Id STP | | | | | |
| | | | | | | |

| CA Cash Move | CA Cash Movement – Details Screen | | | | |
|----------------------|---|--|--|--|--|
| Field | Description | | | | |
| CA Event | | | | | |
| CA ECMS Event Id. | Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. | | | | |
| | Displayed format is: Max. 35 characters. | | | | |
| CA CSD Event Ref. | Shows the reference of the CA Event given by the Custodian | | | | |
| | Displayed format is: Max. 35 characters. | | | | |
| NCB Cus- todian | Shows the RIAD Code of the Custodian (i.e the CSD or the NCB in relation with the CSD) | | | | |
| Asset Account Id. | [Only for Client Movements] | | | | |



| | Shows the identifier of the Account where the eligible position is held. The account type depends on the type of Movement (Client/Market) and can be: — a ECMS Counterparty Asset Account Id |
|------------------------|---|
| | - a T2S Securities Account Id |
| | |
| Dorty DIAD | - a ECMS Cross NCB Asset Account |
| Party RIAD Code | [Only for client Movements] |
| | Shows the RIAD Code of the Counterparty/Cross NCB that holds the eligible position |
| ISIN | [Only for client Movements] |
| | Shows the identification of the security concerned by the corporate action. |
| | Shows the External Asset Account. |
| Account | |
| CA Movement | |
| Option Type and Number | Shows the option type as ISO Code and the option number. |
| Movement | Shows the movement status from possible values: |
| Status | For Client Movements: |
| | Waiting Margin Call Resolution |
| | Waiting payment confirmation |
| | Payment confirmation rejected |
| | Waiting pool valuation |
| | - Created |
| | - Sent |
| | Reversal waiting payment confirmation |
| | Reversal execute waiting T2S confirmation |
| | Reversal payment confirmation rejected |
| | - Cancelled |
| | Waiting pool confirmation |
| | Reversal waiting pool confirmation |
| | For Market Movements: |
| | - Received |
| | - Validated |
| | Waiting for NCB manual intervention |
| | - Discarded |
| | Reconciliation Failure detected |
| | - Reconciled |
| | - Settled |
| | To be reversed |
| | - Reversed |
| Payment Date | Shows the date of the Corporate Action Payment. |
| Cash Moveme | nts |



| Credit Debit Indicator | Shows whether the cash payment is a debit or a credit |
|---------------------------|--|
| Gross Cash Amount | Shows the amount of cash due before deductions and allowance |
| Withholding Tax Amount | Amount of a cash distribution that will be withheld by the tax authorities of the jurisdiction of the issuer, for which a relief at source and/or reclaim may be possible. |
| Net Cash Amount | Shows the net cash amount to be paid at the payment date |
| Currency | Shows the currency of the payment |
| Cash Account | [Only for market Movements] |
| ld. | Shows the reference of the cash account where the payment is to be paid |
| Posting Date | [Only for client Movements] |
| | Date of the posting (credit or debit) to the account. |
| Value Date | Date/time when calculating economic benefit for a cash amount. |
| Payment to be Reversed | Shows the payment to be reversed. |
| Status | Shows from Possible Values: |
| | -Created |
| | -Waiting Payment Confirmation |
| | - Payment Confirmation Rejected |
| | - Waiting Pool Confirmation |
| | - Reversal Waiting Payment Confirmation |
| | - Reversal Payment Confirmation Rejected |
| | - Sent |
| | - Reversal Waiting MegaCM Confirmation |
| | - Reversal Waiting MegaCM Valuation |
| | - Cancelled |
| FootPrint | |
| Creation Date | Shows the date and time of the creation of the CA Cash Movement. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the Cash CA Movement. |
| Update Date | Shows the date and time of the update of the CA Cash Movement. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the CA Cash Movement. |
| | |

3.5.5.1.1.4 CA Security Movements – Details Screen

| Context of Usage | This screen displays the details of a CA Security Movements. |
|------------------|--|
| Screen Access | For Market Movements: |



Corporate Actions >> Movement >> Market Movements >> Monitor Market Movements >> Search CA Movements >> Select a record >> Click on View button >> View Security Movement

For CA Client Movements:

Corporate Actions >> Movement >> Client Movements >> List Confirmed Payment >> Search CA Movements >> Select a record >> Click on View button >> View Security Movement

Screenshot

Screenshot

Interface Confirmed Market Movements are a confirmed and
| CA Security M | ovement – Details Screen | | | | | | |
|---------------------------|---|--|--|--|--|--|--|
| Field | Description | | | | | | |
| CA Event | | | | | | | |
| CA ECMS Event Id. | Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. | | | | | | |
| | Displayed format is: Max. 35 characters. | | | | | | |
| | Shows the reference of the CA Event given by the Custodian | | | | | | |
| Ref. | Displayed format is: Max. 35 characters. | | | | | | |
| NCB Cus- todian | Shows the RIAD Code of the Custodian (i.e the CSD or the NCB in relation with the CSD) | | | | | | |
| | [Only for Client Movements] | | | | | | |
| ld. | Shows the identifier of the Account where the eligible position is held. The account type depends on the type of Movement (Client/Market) and can be: | | | | | | |
| | a ECMS Counterparty Asset Account Id | | | | | | |
| | - a T2S Securities Account Id | | | | | | |
| | - a ECMS Cross NCB Asset Account | | | | | | |
| External Asset Account | Shows the External Asset Account. | | | | | | |
| Option Type and Number | Shows the option type as ISO Code and the option number. | | | | | | |
| Movement | Shows the movement status from possible values: | | | | | | |
| Status | For Client Movements: | | | | | | |
| | Waiting Margin Call Resolution | | | | | | |
| | Waiting payment confirmation | | | | | | |
| | Payment confirmation rejected | | | | | | |
| | Waiting pool valuation | | | | | | |
| | - Created | | | | | | |



| Sent Reversal waiting payment confirmation Reversal execute waiting T2S confirmation Reversal payment confirmation rejected | |
|--|----------|
| Reversal execute waiting T2S confirmation | |
| | |
| | |
| | |
| - Cancelled | |
| Waiting pool confirmation | |
| Reversal waiting pool confirmation | |
| For Market Movements: | |
| - Received | |
| - Validated | |
| Waiting for NCB manual intervention | |
| - Discarded | |
| Reconciliation Failure detected | |
| - Reconciled | |
| - Settled | |
| - To be reversed | |
| - Reversed | |
| Payment Date Shows the date of the Corporate Action Payment. | |
| Security Movements | |
| Credit Debit Shows whether the cash payment is a debit or a credit Indicator | |
| ISIN Shows the identifier of the entitled financial instrument. | |
| Quantity in Shows the entitled quantity in FAMT | |
| Payment to be Shows the payment to be reversed. Reversed | |
| Posting Date Date of the posting (credit or debit) to the account. | |
| Status Shows from possible values: | |
| - Sent | |
| - Created | |
| - Waiting Valuation | |
| - Waiting Ack | |
| Reversal Waiting Ack | |
| Asset Account [Only for Client Movements] | |
| Shows the reference of the security account where the movement is to be done | nt is to |
| FootPrint | |
| Creation Date Shows the date and time of the creation of the CA Security Movement | ement. |
| Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Creation User Shows the identification of the user that created the Security CA Mov ment. | Move- |
| Update Date Shows the date and time of the update of the CA Security Movement | ment. |
| | |



| Updater User | Shows the identification of the user that made the last update of the |
|--------------|---|
| ld | CA Security Movement. |

3.5.5.2 Client Movements

3.5.5.2.1 Monitor Client Movements – Search Screens

| Context of Usage | This screen is used to search all Corporate Action Client Movements (cash and secu). | | | | | | |
|------------------|--|--|--|--|--|--|--|
| | It contains the fields that can be used as search criteria. The user captures the fields that correspond to its criteria for searching CA Movements. | | | | | | |
| | If a field is left blank, the field is not considered as a search criterion. | | | | | | |
| | Once search criteria have been filled, by clicking on the search button, the list of instructions fulfilling the criteria will be displayed. | | | | | | |
| | not of mode double familing and officeria thin be displayed. | | | | | | |
| Screen Access | Corporate Actions >> Movement >> Client Movements >> Monitor Client Movements | | | | | | |

| Monitor Clie | ent Movements – Search screen |
|----------------------|--|
| Field | Description |
| CA ECMS Event Id. | Enter the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. |
| | Required format is: Max. 35 characters. |
| CA CSD | Enter the reference of the CA Event given by the Custodian |
| Event Ref. | Required format is: Max. 35 characters. |
| NCB Cus- todian | Enter/Select the RIAD Code of the Custodian (i.e the CSD or the NCB in relation with the CSD) |
| | Enter / Select the External Asset Account. |
| set Account | Required format is: Max. 35 characters. |
| Asset Account Id. | Enter/Select the identifier of the Account where the eligible position is held. The account type depends on the type of Movement (Client/Market) and can be: |
| | a ECMS Counterparty Asset Account Id |
| | - a T2S Securities Account Id |
| | - a ECMS Cross NCB Asset Account Id. |
| ISIN | Enter/Select the identification of the security concerned by the corporate action. |
| Party RIAD Code | Enter/Select the RIAD Code of the Counterparty/Cross NCB that holds the eligible position |
| Movement | Enter / Select the movement status from possible values: |
| Status | Waiting Margin Call Resolution |
| | Waiting payment confirmation |



| | Payment confirmation rejected | | | | | |
|------------------|---|--|--|--|--|--|
| | Waiting pool valuation | | | | | |
| | - Created | | | | | |
| | - Sent | | | | | |
| | Reversal waiting payment confirmation | | | | | |
| | Reversal execute waiting T2S confirmation | | | | | |
| | Reversal payment confirmation rejected | | | | | |
| | - Cancelled | | | | | |
| | Waiting pool confirmation | | | | | |
| | Reversal waiting pool confirmation | | | | | |
| CA Event | Enter/Select the Type of CA Event. | | | | | |
| Туре | Required format is: Max. 4 characters. | | | | | |
| Option Type | Enter/Select the option type as ISO Code | | | | | |
| Option Number | Enter the number of the option type | | | | | |
| Payment Date | Enter/Select the date of the Corporate Action Payment. | | | | | |
| Creation Date | Date and time when the CA movement was created in the ECMS. | | | | | |
| Update Date | Date and time when the CA movement was last updated in the ECMS. | | | | | |
| Button | Function | | | | | |
| Reset | This function enables the user to clear the form. | | | | | |
| Search | This function enables the user to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. | | | | | |
| | Next screen: | | | | | |
| | - Monitor Client Movements - List Screen. | | | | | |

3.5.5.2.1.1 Monitor Client Movements – List Screen

| Context of | This scre | een cor | ntains | s a list | of C | CAC | lient | Mov | eme | nts. | | | | | |
|-----------------|---|------------------------------------|---|---|--|--|---|---|--|--|--------------------------------------|--|---|--|---|
| Usage | The CA Movements listed correspond to the search criteria captured in the <i>Monitor Client Movements</i> – <i>Search</i> screen. | | | | | | | | | | | | | | |
| | The list of | displaye | ed ca | n be s | sorte | d ar | nd filt | ter by | the | field | displa | aye | d. | | |
| | The list of | can be | ехро | rted. | | | | | | | | | | | |
| | By clicking the user the detail | can dis | splay | the M | lonit | or C | lient | | | _ | | | | | |
| Screen Access | Corporat Moveme | | | | | | | | <i>love</i> | mer | nts >> | Мо | nitor | Cli | ent |
| Screen- shot | List: Confirmed Payment 13 CA ECMS Everi. CA GSD Ever. INTR000000173. INTRIMANOD21E. INTRO0000173. INTRIMANOD21E. INTRO0000183. INTRIDOMOCOL | . IBRC E50009T25S IBRC E50009T25S. | C. ES000HAA01 C. ES000HAA01 C. ES000HAA01 | | 9087 INTR 9087 INTR 8044 INTR | K < Page 1 ype © Option Type | of 21 > XI En (2 | Cuantity © Go | 2005 Cash Arti. Nes 499,890 499,893 2,000 | Cash Amo. Wither 499.530 499.530 2,000 1,000 | Cancelled ReversalExecute 0 Sent | 14/09/2023 13/03/2023 30/00/2023 | 14/03/2023 12 13/03/2023 16 30/03/2023 13 | Q, 210) Update Date \$ 30/03/2023 16 30/03/2023 16 30/03/2023 14 | I II () 🖓 Updater User II STP |
| | OTC-00000018. OTC-0110A OTC-00000018. OTC-0110A OTC-0110A | IERC | | CR4345JLQ1 E500000 CR4345JLQ1 E500000 CR4345JLQ1 E500000 CR4345JLQ1 E500000 CR4345JLQ1 E500000 CR4345JLQ1 E500000 | 12,07 DTCH 12,07 BIDS 12,07 BIDS 12,07 BIDS | CASH-001 CTEN-002 CTEN-002 CASH-001 CASH-001 | Security Cash Security Cash Security Cash | 8,000 8,000 8,000 8,000 8,000 | 8,000 7,600 | 8,000 7,600 | 0 Sent Sent 0 Sent Sent Created Sent | 29/03/2023 29/03/2023 28/05/2023 28/05/2023 28/05/2023 28/05/2023 | 29/03/2023 17 29/03/2023 11: | 29/03/2023 18: 29/03/2023 11: 29/03/2023 11: 29/03/2023 11: 29/03/2023 11: | ECMSOperation ECMSOperation ECMSOperation ECMSOperation JLQ-OFBIATOR ECMSOperation |

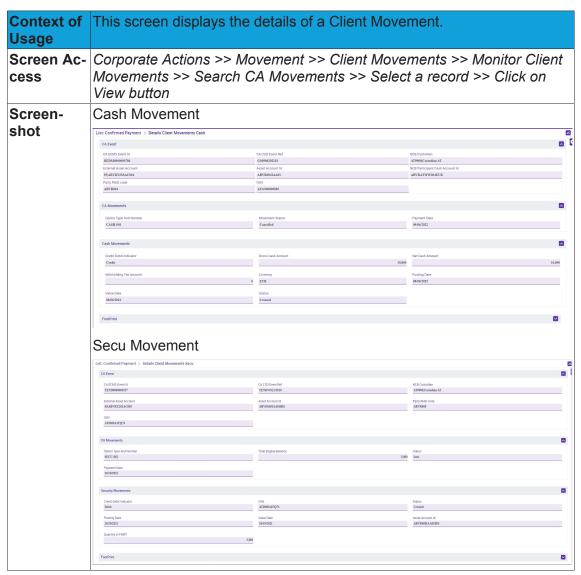


| Monitor Client | Movements – List Screen | | | | | | |
|---------------------------|---|--|--|--|--|--|--|
| Column | Description | | | | | | |
| CA ECMS Event Id. | Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. | | | | | | |
| | Displayed format is: Max. 35 characters. | | | | | | |
| | Shows the reference of the CA Event given by the Custodian | | | | | | |
| Ref. | Displayed format is: Max. 35 characters. | | | | | | |
| NCB Cus- todian | Shows the RIAD Code of the Custodian (i.e the CSD or the NCB in relation with the CSD) | | | | | | |
| | Shows the External Asset Account. | | | | | | |
| Account | Displayed format is: Max. 35 characters. | | | | | | |
| Asset Account Id. | Shows the identifier of the Account where the eligible position is held. The account type depends on the type of Movement (Client/Market) and can be: | | | | | | |
| | a ECMS Counterparty Asset Account Id | | | | | | |
| | a T2S Securities Account Id | | | | | | |
| | - a ECMS Cross NCB Asset Account | | | | | | |
| Party RIAD Code | Shows the RIAD Code of the Counterparty/Cross NCB that holds the eligible position | | | | | | |
| ISIN | Shows the identification of the security concerned by the corporate action. | | | | | | |
| CA Event | Shows the Type of CA Event. | | | | | | |
| Туре | Required format is: Max. 4 characters. | | | | | | |
| Option Type and Number | Shows the option type as ISO Code and the option number. | | | | | | |
| Mvt Type | Shows the Type of the movement. Possible values are: | | | | | | |
| | - Cash | | | | | | |
| | - Security | | | | | | |
| Quantity | Shows the Quantity in FAMT. | | | | | | |
| Gross Cash Amount | Shows the Gross Cash Amount | | | | | | |
| Net Cash Amount | Shows the Net Cash Amount | | | | | | |
| Withholding Tax Amount | Shows the Withholding Tax Amount | | | | | | |
| Movement | Shows the movement status from possible values: | | | | | | |
| Status | Waiting Margin Call Resolution | | | | | | |
| | Waiting payment confirmation | | | | | | |
| | Payment confirmation rejected | | | | | | |
| | Waiting pool valuation | | | | | | |
| | - Created | | | | | | |
| | - Sent | | | | | | |
| | Reversal waiting payment confirmation | | | | | | |
| | Reversal execute waiting T2S confirmation | | | | | | |
| | Reversal payment confirmation rejected | | | | | | |
| 1 | | | | | | | |



| | - Cancelled | | | | | | |
|------------------|---|--|--|--|--|--|--|
| | Waiting pool confirmation | | | | | | |
| | Reversal waiting pool confirmation | | | | | | |
| Payment Date | Shows the date of the Corporate Action Payment. | | | | | | |
| Creation Date | Date and time when the CA Movement was created in the ECMS | | | | | | |
| Updater User Id. | Identifier of the user responsible for the last update of the CA Movement. | | | | | | |
| Update Date | Date and time when the CA Movement was last updated in the ECMS. | | | | | | |
| After selecting | a record, the following buttons are displayed | | | | | | |
| Button | Function | | | | | | |
| View | This function enables the user to access to the detailed information of a selected Monitor Client Movement. | | | | | | |
| | Next screen: | | | | | | |
| | Monitor Client Movements – Details Screen. | | | | | | |

3.5.5.2.1.2 Monitor Client Movements – Details Screen





| Monitor Client | Movement – Details Screen | | | | | | | |
|-------------------------------|---|--|--|--|--|--|--|--|
| Field | Description | | | | | | | |
| CA Event | | | | | | | | |
| CA ECMS Event Id. | Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. | | | | | | | |
| | Displayed format is: Max. 35 characters. | | | | | | | |
| | Shows the reference of the CA Event given by the Custodian | | | | | | | |
| Ref. | Displayed format is: Max. 35 characters. | | | | | | | |
| NCB Cus- todian | Shows the RIAD Code of the Custodian (i.e the CSD or the NCB in relation with the CSD) | | | | | | | |
| | Shows the External Asset Account. | | | | | | | |
| Account | Displayed format is: Max. 35 characters. | | | | | | | |
| Asset Account Id. | Shows the identifier of the Account where the eligible position is held. The account type depends on the type of Movement (Client/Market) and can be: | | | | | | | |
| | a ECMS Counterparty Asset Account Id | | | | | | | |
| | - a T2S Securities Account Id | | | | | | | |
| | - a ECMS Cross NCB Asset Account | | | | | | | |
| Party RIAD Code | Shows the RIAD Code of the Counterparty/Cross NCB that holds the eligible position | | | | | | | |
| ISIN | Shows the identification of the security concerned by the corporate action. | | | | | | | |
| CA Movement | s | | | | | | | |
| Option Type and Number | Shows the option type as ISO Code and the option number. | | | | | | | |
| Movement | Shows the movement status from possible values: | | | | | | | |
| Status | Waiting Margin Call Resolution | | | | | | | |
| | Waiting payment confirmation | | | | | | | |
| | Payment confirmation rejected | | | | | | | |
| | Waiting pool valuation | | | | | | | |
| | - Created | | | | | | | |
| | - Sent | | | | | | | |
| | Reversal waiting payment confirmation | | | | | | | |
| | Reversal execute waiting T2S confirmation | | | | | | | |
| | Reversal payment confirmation rejected | | | | | | | |
| | - Cancelled | | | | | | | |
| | Waiting pool confirmation | | | | | | | |
| | Reversal waiting pool confirmation | | | | | | | |
| Payment Date | Shows the date of the Corporate Action Payment. | | | | | | | |
| Depending on Security Move | the type of movement the user will see Cash Movement section or ment section. | | | | | | | |
| Cash Moveme | | | | | | | | |
| Credit Debit Indicator | Shows whether the cash payment is a debit or a credit | | | | | | | |



| Gross Cash Amount | Shows the amount of cash due before deductions and allowance |
|---------------------------|--|
| Net Cash Amount | Shows the net cash amount to be paid at the payment date |
| Withholding Tax Amount | Amount of a cash distribution that will be withheld by the tax authorities of the jurisdiction of the issuer, for which a relief at source and/or reclaim may be possible. |
| Currency | Shows the currency of the payment |
| Posting Date | Date of the posting (credit or debit) to the account. |
| Value Date | Date/time when calculating economic benefit for a cash amount. |
| Status | Shows from possible values: |
| | Waiting payment confirmation |
| | Payment confirmation rejected |
| | Waiting pool valuation |
| | - Created |
| | - Sent |
| | Reversal waiting payment confirmation |
| | Reversal execute waiting T2S confirmation |
| | Reversal payment confirmation rejected |
| | - Cancelled |
| | Waiting pool confirmation |
| | Reversal waiting pool confirmation |
| Payment to be Reversed | Shows the payment to be reversed. |
| Security Move | ments |
| Field | Description |
| Credit Debit Indicator | Shows whether the cash payment is a debit or a credit |
| ISIN | Shows the identifier of the entitled financial instrument. |
| Status | Shows from possible values: |
| | - Sent |
| | - Created |
| | Waiting Valuation |
| | - Waiting Ack |
| | - Reversal Waiting Ack |
| Posting Date | Date of the posting (credit or debit) to the account. |
| | Displayed format is: DD/MM/YYYY |
| Asset Account Id. | Shows the reference of the security account where the movement is to be done |
| Quantity in FAMT | Shows the entitled quantity in FAMT |
| Foot Print | |
| Creation Date | Shows the date and time of the creation of the CA Movement. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| | |



| Creation User Id | Shows the identification of the user that created the CA Movement. |
|--------------------|--|
| Update Date | Shows the date and time of the update of the CA Movement. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the CA Movement. |

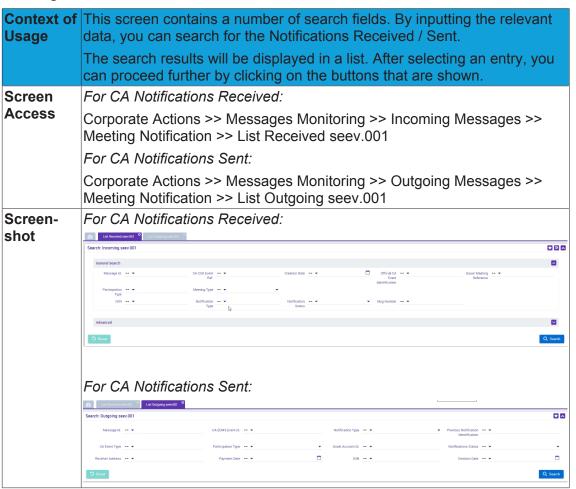
3.5.6 CA Message Monitoring

3.5.6.1 Incoming / Outgoing Messages

3.5.6.1.1 Meeting Notification

3.5.6.1.1.1 Meeting Notification seev.001

3.5.6.1.1.1. Meeting Notification seev.001 - Search screen



| Meeting Notification seev.001 - Search screen | | | |
|---|-------------|--|--|
| Field | Description | | |
| General Search | | | |



| Message id | Enter the identifier of the message. | | | | | | |
|------------------------------|---|--|--|--|--|--|--|
| | Required format is: Max. 35 characters. | | | | | | |
| CA CSD | [Only for notifications Received] | | | | | | |
| Event Ref. | Enter the Reference of the CA Event given by the CSD. | | | | | | |
| | Required format is: Max. 35 characters. | | | | | | |
| CA ECMS | [Only for notifications Sent] | | | | | | |
| Event Id. | Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. | | | | | | |
| | Displayed format is: Max. 35 characters. | | | | | | |
| Official CA | [Only for notifications Received] | | | | | | |
| Event Identi- fication | Enter the official CA Event Identification. | | | | | | |
| Issuer Meet- | [Only for notifications Received] | | | | | | |
| ing Refer- ence | Enter the reference of the Issuer meeting | | | | | | |
| Participation | Enter if the CA Event is: | | | | | | |
| Туре | - MAND - Mandatory | | | | | | |
| | CHOS – Mandatory with Choice | | | | | | |
| | VOLU – Voluntary | | | | | | |
| Meeting | [Only for notifications Received] | | | | | | |
| Туре | Enter / select the type of the meeting from possible values: | | | | | | |
| | - BMET | | | | | | |
| | - CMET | | | | | | |
| | [Only for notifications Sent] | | | | | | |
| tification Identification | Enter the identification of the previous notification in case the Notification Type is REPL or RMDR. | | | | | | |
| CA Event | [Only for notifications Sent] | | | | | | |
| Туре | Enter the type of CA Event (values should be related to PROX events). | | | | | | |
| | Required format is: Max. 4 characters. | | | | | | |
| Asset Ac- | [Only for notifications Sent] | | | | | | |
| count Id | Enter the Account number where the security concerned by the CA Event is hold. | | | | | | |
| | [Only for notifications Sent] | | | | | | |
| dress | Enter the BIC address of the receiver of the message. | | | | | | |
| ISIN | Enter the ISIN of the security concerned by the CA Event. | | | | | | |
| Notification Type | Enter the information specifying the type of notification from the possible values: | | | | | | |
| | NEWM – New notification | | | | | | |
| | REPL – notification replacing a previously sent notification | | | | | | |
| | RMDR – notification sent as a reminder of an event taking place | | | | | | |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in othercases shows the Status of the Notification from the possible values: | | | | | | |
| | - Manually Repaired | | | | | | |
| | - Automatically Repaired | | | | | | |

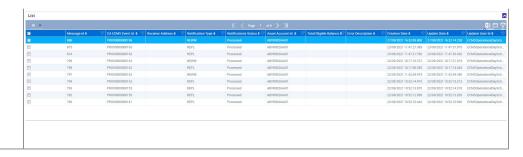


| | - Processed | | | | |
|---------------------|--|--|--|--|--|
| | - Processed with Failure | | | | |
| Msg Number | [Only for notifications Received] | | | | |
| | Enter the number of the message | | | | |
| Creation | Enter the date and time of the creation of the CA Notification. | | | | |
| Date | Required format is: DD/MM/YYYY hh:mm:ss:µs. | | | | |
| Advanced | | | | | |
| Sender Ad- dress | Enter the BIC address of the sender of the message. | | | | |
| Reference | Enter the reference. | | | | |
| Button | Function | | | | |
| Reset | This function enables you to clear the form. | | | | |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. | | | | |
| | Next screen: | | | | |
| | - Meeting Notification seev.001 - List Screen. | | | | |

3.5.6.1.1.1. Meeting Notification seev.001 – List Screen

| | | h scr | | | d cor | resp | ond | to th | e sea | rch c | riter | ia ca | pture | e in th | е | | |
|------------|---|----------------------------|--------------------|------------------|---|-----------------|------------------------|----------------------------|-------------------------------|------------------------------|---------------------------------|----------------------------|------------------------|---------------------|-----------------|------------------|--|
| | The li | - 4 - di | | | The seev.001 listed correspond to the search criteria capture in the search screen. | | | | | | | | | | | | |
| | | st als | splay | ed c | an b | e so | rted | and | filter | using | by t | the fi | eld d | lisplay | /ed. | | |
| | The li | st ca | n be | ехр | orte | d. | | | | | | | | | | | |
| Screen Ac- | For C | A No | otifica | ation | s Re | ceiv | ed: | | | | | | | | | | |
| | Corporate Actions >> Messages Monitoring >> Incoming Messages >> Meeting Notification >> List Received seev.001>> Click on the search button (after inputting the relevant data, if needed) | | | | | | | | | | | | | | | | |
| | For CA Notifications Sent: | | | | | | | | | | | | | | | | |
| | Corpo Meeti buttor | ng N n (aft | otific er in | atior putti | n >> ng th | List ne re | Out | going | g seev | /.001 | >> (| | | | | | |
| shot | Search Result: inco | | | | | 00,1 | . | | | | | | | | | | |
| | 10 🔻 | | | | | | | K < Page | 1 of4 > X | | | | | | | Q | |
| | ■ Message id MA/811 | CA CSD Event RS | Official CA Everi? | Issuer Meeting S | Msg Number o | Notification Ty | p ☐ Meeting Typ EMET | e ♦♥ Meeting Class CLAS | sifi Participation Ty VOLU | AT0000A1CEU4 | Sender Address © OCSDATWWXXX | Receiver Addres | Notification Statz | Error Descriptio Up | dater User Id 6 | 26/11/2021 12:3. | |
| | D 006116 | BMETVOLU033 | | | seev.001 | REPL | BMET | CLAS | VOLU | AT0000A1CEU4 | OCSDATWWXXX | NABAATWWXXX | Processed | ad | min | 27/09/2021 16:5. | |
| | © 006112 © 006110 | BMETVOLU033 BMETVOLU032 | | | seev.001 | NEWM | BMET | CLAS | VOLU | AT0000ATCEU4 | OCSDATWWXXX | NABAATWWXXX | Processed Processed | | min min | 27/09/2021 16:2. | |
| | D06108 | BMETVOLU031 | | | seev.001 | NEWM | BMET | CLAS | VOLU | AT0000ATCEU4 | OCSDATWWXXX | | Processed | | min | 27/09/2021 15:5. | |
| | 006105 006052 | BMETVOLU030 BMETVOLU029 | BMETVOLU029 | DMETHOLLIDGO | seev.001 | NEWM | BMET | CLAS | VOLU | AT0000A1CEU4 AT0000A1CEU4 | OCSDATWWXXX | NABAATWWXXX NABAATWWXXX | Processed Processed | | min min | 27/09/2021 15:0. | |
| | 006050 | | | BMETVOLU028 | seev.001 | NEWM | BMET | CLAS | VOLU | AT0000ATCEU4 | OCSDATWWXXX | NABAATWWXXX | Processed | | min | 22/09/2021 11:3. | |
| | E 006026 | BMETVOLU027 | | | seev.001 | NEWM NEWM | BMET | CLAS | VOLU | AT0000A1CEU4 | OCSDATWWXXX | NABAATWWXXX NABAATWWXXX | Processed Processed | | min | 21/09/2021 17:0. | |
| | E 006024 | BMETVOLU026 | | | | | | | | | OCSUATWWXXX | NABAATWWALK | Processed | 80 | | 21/09/2021 16:2. | |





| | fication seev.001 - List screen | | | | | | |
|---------------------------|---|--|--|--|--|--|--|
| Field | Description | | | | | | |
| Message id | Shows the identifier of the message. | | | | | | |
| | Displayed format is: Max. 35 characters. | | | | | | |
| CA CSD | [Only for notifications Received] | | | | | | |
| Event Ref. | Shows the Reference of the CA Event given by the CSD. | | | | | | |
| | Displayed format is: Max. 35 characters. | | | | | | |
| CA ECMS | [Only for notifications Sent] | | | | | | |
| Event Id. | Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. | | | | | | |
| | Displayed format is: Max. 35 characters. | | | | | | |
| Sender Ad- | [Only for notifications Received] | | | | | | |
| dress | Shows the BIC address of the sender of the message. | | | | | | |
| Receiver Address | Shows the BIC address of the receiver of the message. | | | | | | |
| Official CA | [Only for notifications Received] | | | | | | |
| Event Identi- fication | Shows the official CA Event Identification. | | | | | | |
| Issuer Meet- | [Only for notifications Received] | | | | | | |
| ing Refer- ence | Shows the reference of the Issuer meeting | | | | | | |
| Msg Number | [Only for notifications Received] | | | | | | |
| | Shows the number of the message | | | | | | |
| Notification Type | Shows the information specifying the type of notification from the possible values: | | | | | | |
| | - NEWM - New notification | | | | | | |
| | REPL – notification replacing a previously sent notification | | | | | | |
| | RMDR – notification sent as a reminder of an event taking place | | | | | | |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in othercases shows the Status of the Notification from the possible values: | | | | | | |
| | - Manually Repaired | | | | | | |
| | Automatically Repaired | | | | | | |
| | - Processed | | | | | | |
| | - Processed with Failure | | | | | | |
| Meeting | [Only for notifications Received] | | | | | | |
| Туре | Shows the type of the meeting from possible values: | | | | | | |



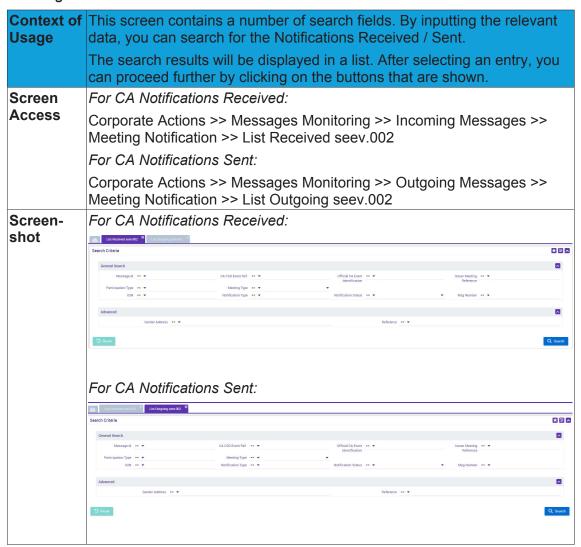
| | - BMET | | | | | | |
|------------------------|---|--|--|--|--|--|--|
| | - CMET | | | | | | |
| Meeting | [Only for notifications Received] | | | | | | |
| Classification | Shows the classification of the meeting | | | | | | |
| Participation | [Only for notifications Received] | | | | | | |
| Туре | Shows if the CA Event is: | | | | | | |
| | – MAND – Mandatory | | | | | | |
| | CHOS – Mandatory with Choice | | | | | | |
| | - VOLU - Voluntary | | | | | | |
| ISIN | Shows the ISIN of the security concerned by the CA Event. | | | | | | |
| Asset Ac- | [Only for notifications Sent] | | | | | | |
| count ld. | Shows the Account number where the security concerned by the CA Event is hold. | | | | | | |
| Total Eligible | [Only for notifications Sent] | | | | | | |
| Balance | Shows the total balance of securities eligible on the Account for the CA Event. | | | | | | |
| Error De- scription | Shows the description of the error (if it has occurred) | | | | | | |
| Update Date | Shows the date and time of the last update of the CA Notification. | | | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | | | |
| Creation | Shows the date and time of the creation of the CA Notification. | | | | | | |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | | | |
| Updater User Id | Shows the identification of the user that made the last update of the CA Notification. | | | | | | |
| After selecting | g a record, the following buttons are displayed | | | | | | |
| Button | Function | | | | | | |
| Download | This function enables you to access to the detailed information of the original message in XML format. | | | | | | |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | | | | | | |
| View Mes- sage | This function enables you to access to the detailed information of the messages for same notification. | | | | | | |
| | - View Message - Details Screen | | | | | | |
| View Messag | je – Details Screen | | | | | | |
| Field | Description | | | | | | |
| Message Reference | Shows the reference of the messge. | | | | | | |
| Direction | Shows whether the notification has been an input or output. Possible values: | | | | | | |
| | – In | | | | | | |
| | - Out | | | | | | |
| Status | Shows the status of the message. | | | | | | |
| | g a record, the following buttons are displayed | | | | | | |
| Button | Function | | | | | | |
| Download | This function enables you to access to the detailed information of the original message in XML format. | | | | | | |



Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI

3.5.6.1.1.2 Meeting Cancellation seev.002

3.5.6.1.1.2. Meeting Cancellation seev.002 - Search screen



| Meeting Cancellation seev.002 - Search screen | | | | | | |
|---|---|--|--|--|--|--|
| Field | Description | | | | | |
| General Sear | rch | | | | | |
| Message id | Enter the identifier of the message. | | | | | |
| | Required format is: Max. 35 characters. | | | | | |
| CA CSD | Enter the Reference of the CA Event given by the CSD. | | | | | |
| Event Ref. | Required format is: Max. 35 characters. | | | | | |
| Official CA | Enter the official CA Event Identification. | | | | | |
| Event Identi- | | | | | | |
| fication | | | | | | |



| Issuer Meet- ing Refer- ence | Enter the reference of the Issuer meeting | | | | | |
|------------------------------------|--|--|--|--|--|--|
| Participation | Enter if the CA Event is: | | | | | |
| Туре | - MAND - Mandatory | | | | | |
| | CHOS – Mandatory with Choice | | | | | |
| | - VOLU - Voluntary | | | | | |
| Meeting | Enter / select the type of the meeting from possible values: | | | | | |
| Туре | - BMET | | | | | |
| | - CMET | | | | | |
| ISIN | Enter the ISIN of the security concerned by the CA Event. | | | | | |
| Notification Type | Enter the information specifying the type of notification from the possible values: | | | | | |
| | NEWM – New notification | | | | | |
| | REPL – notification replacing a previously sent notification | | | | | |
| | RMDR – notification sent as a reminder of an event taking place | | | | | |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: | | | | | |
| | - Impacted | | | | | |
| | - Impact Failed | | | | | |
| | - Rejected | | | | | |
| | - Archived | | | | | |
| | - Processed | | | | | |
| | - Processed with Failure | | | | | |
| | - On Hold | | | | | |

| Msg Number | Enter the number of the message |
|---------------------|--|
| Advanced | |
| Sender Ad- dress | Enter the BIC address of the sender of the message. |
| Reference | Enter the reference. |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | Meeting Cancellation seev.002 – List Screen. |

3.5.6.1.1.2. Meeting Cancellation seev.002 – List Screen

| Context of | This screen contains the list of Notifications. |
|-------------------|---|
| Usage | The seev.002 listed correspond to the search criteria capture in the search screen. |
| | The list displayed can be sorted and filter using by the field displayed. |
| | The list can be exported. |



| For CA Notifications Received: |
|--|
| Corporate Actions >> Messages Monitoring >> Incoming Messages >> Meeting Notification >> List Received seev.002 >> Click on the search button (after inputting the relevant data, if needed) |
| For CA Notifications Sent: |
| Corporate Actions >> Messages Monitoring >> Outgoing Messages >> Meeting Notification >> List Outgoing seev.002 >> Click on the search button (after inputting the relevant data, if needed) |
| For CA Notifications Received: |
| Search: seev 002 II ** Unessay if \$1 CACO tream* Officed CATAC* Innover Memory. Meal Memory Sys \$1 Memory States* (Memory Sys \$2 Memory States* (Memory Sys \$3 Memory States* (Memory Sys \$4 Memory States* (Memory States |
| For CA Notifications Sent: |
| List List L |
| |

| Meeting Can | cellation seev.002 - List screen |
|---------------------------|---|
| Field | Description |
| Message id | Shows the identifier of the message. |
| | Displayed format is: Max. 35 characters. |
| CA CSD Event Ref. | [Only for notifications Received] |
| | Shows the Reference of the CA Event given by the CSD. |
| | Displayed format is: Max. 35 characters. |
| CA ECMS | [Only for notifications Sent] |
| Event Id. | Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. |
| | Displayed format is: Max. 35 characters. |
| | [Only for notifications Sent] |
| dress | Shows the BIC address of the receiver of the message. |
| Official CA | [Only for notifications Received] |
| Event Identi- fication | Shows the official CA Event Identification. |
| Issuer Meet- | [Only for notifications Received] |
| ing Refer- ence | Shows the reference of the Issuer meeting |
| Msg Number | [Only for notifications Received] |
| | Shows the number of the message |
| Notification Type | Shows the information specifying the type of notification from the possible values: |
| | - NEWM - New notification |
| | REPL – notification replacing a previously sent notification |
| | RMDR – notification sent as a reminder of an event taking place |



| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: |
|------------------------|--|
| | - Impacted |
| | - Impact Failed |
| | - Rejected |
| | - Archived |
| | - Processed |
| | Processed with Failure |
| | - On Hold |

| N.A 4: | FOut of a markification and Department |
|------------------------|---|
| Meeting Type | [Only for notifications Received] |
| Турс | Shows the type of the meeting from possible values: |
| | - BMET |
| | - CMET |
| Meeting | [Only for notifications Received] |
| Classification | Shows the classification of the meeting |
| Participation | [Only for notifications Received] |
| Туре | Shows if the CA Event is: |
| | - MAND - Mandatory |
| | CHOS – Mandatory with Choice |
| | - VOLU - Voluntary |
| ISIN | [Only for notifications Received] |
| | Shows the ISIN of the security concerned by the CA Event. |
| Direction | [Only for notifications Received] |
| | Shows the direction of the message from possible values: |
| | – In |
| | - Out |
| Cancellation | [Only for notifications Received] |
| Reason | Shows the Cancellation Reason Code from possible values: |
| Code | – QORM - Quorum |
| | - PROC - Processing |
| | - WITH - Withdrawal |
| Cancellation | [Only for notifications Received] |
| Reason Nar- rative | Shows the Cancellation Reason narrative. |
| Asset Ac- | [Only for notifications Sent] |
| count ld. | Shows the Account number where the security concerned by the CA Event is hold. |
| Total Eligible | [Only for notifications Sent] |
| Balance | Shows the total balance of securities eligible on the Account for the CA Event. |
| Error De- scription | Shows the description of the error (if it has occurred) |
| Update Date | Shows the date and time of the last update of the CA Notification. |



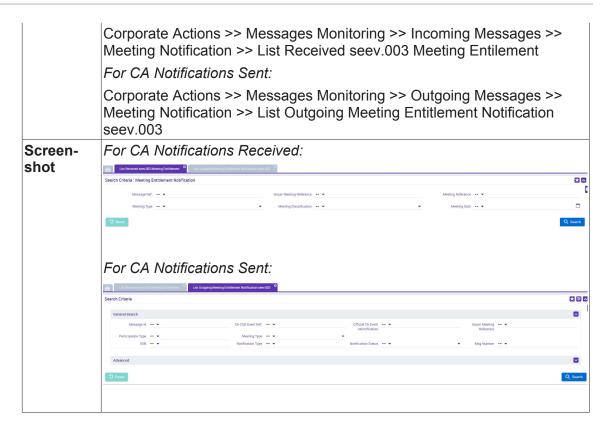
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
|----------------------|---|
| Creation | Shows the date and time of the creation of the CA Notification. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the CA Notification. |
| After selecting | g a record, the following buttons are displayed |
| Button | Function |
| Reprocess | [Only for notifications Received] |
| | This function enables the user to reprocess the selected message (only available for users with appropriate rights). |
| Reprocess | [Only for notifications Received] |
| All | This function enables the user to reprocess all the messages in List screen (only available for users with appropriate rights). |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| View Mes- sage | This function enables you to access to the detailed information of the messages for same notification. |
| | - View Message - Details Screen |
| View Messag | je – Details Screen |
| Field | Description |
| Message Reference | Shows the reference of the messge. |
| Direction | Shows whether the notification has been an input or output. Possible values: |
| | _ In |
| | - Out |
| Status | Shows the status of the message. |
| After selecting | g a record, the following buttons are displayed |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |

3.5.6.1.1.3 Meeting Entitlement Notification seev.003

3.5.6.1.1.3. Meeting Entitlement Notification seev.003 - Search screen

| Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the Notifications Received / Sent. The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |
|------------------|---|
| Screen Access | For CA Notifications Received: |





| Meeting Entire | tlement Notification seev.003 - Search screen | | | | | | | |
|------------------------------------|--|--|--|--|--|--|--|--|
| Field | Description | | | | | | | |
| General Sear | ch | | | | | | | |
| Message id | Enter the identifier of the message. | | | | | | | |
| | Required format is: Max. 35 characters. | | | | | | | |
| CA CSD | [Only for notifications Sent] | | | | | | | |
| Event Ref. | Enter the Reference of the CA Event given by the CSD. | | | | | | | |
| | Required format is: Max. 35 characters. | | | | | | | |
| Official CA | [Only for notifications Sent] | | | | | | | |
| Event Identi- fication | Enter the official CA Event Identification. | | | | | | | |
| Issuer Meet- ing Refer- ence | Enter the reference of the Issuer meeting | | | | | | | |
| Participation | [Only for notifications Sent] | | | | | | | |
| Туре | Enter if the CA Event is: | | | | | | | |
| | - MAND - Mandatory | | | | | | | |
| | CHOS – Mandatory with Choice | | | | | | | |
| | - VOLU - Voluntary | | | | | | | |
| Meeting Ref- | [Only for notifications Received] | | | | | | | |
| erence | Enter the reference of the meeting. | | | | | | | |
| Meeting | Enter / select the type of the meeting from possible values: | | | | | | | |
| Туре | - BMET | | | | | | | |
| | - CMET | | | | | | | |



| Meeting | [Only for notifications Received] |
|----------------|---|
| Classification | Enter the classification of the meeting from possible values: |
| | - AMET |
| | - OMET |
| | - CLAS |
| | - ISSU |
| | – VRHI |
| | - CORT |
| Meeting Date | [Only for notifications Received] |
| | Enter the date of the meeting. |
| ISIN | [Only for notifications Sent] |
| | Enter the ISIN of the security concerned by the CA Event. |
| Notification | [Only for notifications Sent] |
| Туре | Enter the information specifying the type of notification from the possible values: |
| | NEWM – New notification |
| | REPL – notification replacing a previously sent notification |
| | RMDR – notification sent as a reminder of an event taking place |

| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: |
|------------------------|--|
| | - Impacted |
| | - Impact Failed |
| | - Rejected |
| | - Archived |
| | - Processed |
| | - Processed with Failure |
| | - On Hold |

| Msg Number | [Only for notifications Sent] | | | | | | |
|------------|--|--|--|--|--|--|--|
| | Enter the number of the message | | | | | | |
| Advanced | | | | | | | |
| Sender Ad- | [Only for notifications Sent] | | | | | | |
| dress | Enter the BIC address of the sender of the message. | | | | | | |
| Reference | [Only for notifications Sent] | | | | | | |
| | Enter the reference. | | | | | | |
| Button | Function | | | | | | |
| Reset | This function enables you to clear the form. | | | | | | |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. | | | | | | |
| | Next screen: | | | | | | |
| | - Meeting Entitlement Notification seev.003 - List Screen. | | | | | | |



2

3.5.6.1.1.3. Meeting Entitlement Notification seev.003 – List Screen

Context of This screen contains the list of Notifications. **Usage** The seev.002 listed correspond to the search criteria capture in the search screen. The list displayed can be sorted and filter using by the field displayed. The list can be exported. Screen Ac- For CA Notifications Received: cess Corporate Actions >> Messages Monitoring >> Incoming Messages >> Meeting Notification >> List Received seev.003 Meeting Entilement >> Click on the search button (after inputting the relevant data, if needed) For CA Notifications Sent: Corporate Actions >> Messages Monitoring >> Outgoing Messages >> Meeting Notification >> List Outgoing Meeting Entitlement Notification seev.003 >> Click on the search button (after inputting the relevant data, if needed) Screen-For CA Notifications Received: shot For CA Notifications Sent:

| Meeting Entit | tlement Notification seev.003 - List screen | | | | | | | |
|----------------------|---|--|--|--|--|--|--|--|
| Field | Description | | | | | | | |
| Message id | Shows the identifier of the message. | | | | | | | |
| | Displayed format is: Max. 35 characters. | | | | | | | |
| Meeting Ref- | [Only for notifications Received] | | | | | | | |
| erence | Shows the reference of the meeting | | | | | | | |
| CA ECMS Event Id. | [Only for notifications Sent] | | | | | | | |
| | Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. | | | | | | | |
| | Displayed format is: Max. 35 characters. | | | | | | | |
| Sender Ad- | [Only for notifications Received] | | | | | | | |
| dress | Shows the BIC address of the sender of the message. | | | | | | | |
| Receiver Address | Shows the BIC address of the receiver of the message. | | | | | | | |



| Official CA | [Only for notifications Received] | | | | | | | | |
|---------------------------|--|--|--|--|--|--|--|--|--|
| Event Identi- fication | Shows the official CA Event Identification. | | | | | | | | |
| Issuer Meet- | [Only for notifications Received] | | | | | | | | |
| ing Refer- ence | Shows the reference of the Issuer meeting | | | | | | | | |
| Msg Number | [Only for notifications Received] | | | | | | | | |
| | Shows the number of the message | | | | | | | | |
| Notification Type | Shows the information specifying the type of notification from the possible values: | | | | | | | | |
| | NEWM – New notification | | | | | | | | |
| | REPL – notification replacing a previously sent notification | | | | | | | | |
| | RMDR – notification sent as a reminder of an event taking place | | | | | | | | |
| Meeting | [Only for notifications Received] | | | | | | | | |
| Туре | Shows the type of the meeting from possible values: | | | | | | | | |
| | - BMET | | | | | | | | |
| | - CMET | | | | | | | | |
| Meeting | [Only for notifications Received] | | | | | | | | |
| Classification | Shows the classification of the meeting | | | | | | | | |
| Meeting Date | [Only for notifications Received] | | | | | | | | |
| | Shows the date of the meeting | | | | | | | | |
| Msg Function | [Only for notifications Received] | | | | | | | | |
| | Shows the function of the message. | | | | | | | | |
| Participation | [Only for notifications Received] | | | | | | | | |
| Туре | Shows if the CA Event is: | | | | | | | | |
| | – MAND – Mandatory | | | | | | | | |
| | CHOS – Mandatory with Choice | | | | | | | | |
| | - VOLU - Voluntary | | | | | | | | |
| Security | [Only for notifications Received] | | | | | | | | |
| Identifier | Shows the ISIN of the security concerned by the CA Event. | | | | | | | | |
| Security De- | [Only for notifications Received] | | | | | | | | |
| scription | Shows the ISIN description of the security concerned by the CA Event. | | | | | | | | |
| Direction | [Only for notifications Received] | | | | | | | | |
| | Shows the direction of the message from possible values: | | | | | | | | |
| | – In | | | | | | | | |
| | - Out | | | | | | | | |
| Asset Ac- | [Only for notifications Sent] | | | | | | | | |
| count ld. | Shows the Account number where the security concerned by the CA Event is hold. | | | | | | | | |
| Total Eligible | [Only for notifications Sent] | | | | | | | | |
| Balance | Shows the total balance of securities eligible on the Account for the CA Event. | | | | | | | | |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: | | | | | | | | |



| - Impacted |
|--------------------------|
| - Impact Failed |
| - Rejected |
| - Archived |
| - Processed |
| - Processed with Failure |
| - On Hold |

| | - On Hold | | | | | | | |
|------------------------|---|--|--|--|--|--|--|--|
| Error De- scription | Shows the description of the error (if it has occurred) | | | | | | | |
| Update Date | Shows the date and time of the last update of the CA Notification. | | | | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | | | | |
| Creation | Shows the date and time of the creation of the CA Notification. | | | | | | | |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | | | | |
| Updater User Id | Shows the identification of the user that made the last update of the CA Notification. | | | | | | | |
| After selecting | g a record, the following buttons are displayed | | | | | | | |
| Button | Function | | | | | | | |
| Reprocess | [Only for notifications Received] | | | | | | | |
| | This function enables the user to reprocess the selected message (only available for users with appropriate rights). | | | | | | | |
| Reprocess | [Only for notifications Received] | | | | | | | |
| All | This function enables the user to reprocess all the messages in List screen (only available for users with appropriate rights). | | | | | | | |
| Download | This function enables you to access to the detailed information of the original message in XML format. | | | | | | | |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | | | | | | | |
| View Mes- sage | This function enables you to access to the detailed information of the messages for same notification. | | | | | | | |
| | View Message – Details Screen | | | | | | | |
| View Messag | e – Details Screen | | | | | | | |
| Field | Description | | | | | | | |
| Message Reference | Shows the reference of the messge. | | | | | | | |
| Direction | Shows whether the notification has been an input or output. Possible values: | | | | | | | |
| | – In | | | | | | | |
| | - Out | | | | | | | |
| Status | Shows the status of the message. | | | | | | | |
| After selecting | g a record, the following buttons are displayed | | | | | | | |
| Button | Function | | | | | | | |
| Download | This function enables you to access to the detailed information of the original message in XML format. | | | | | | | |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | | | | | | | |



3.5.6.1.1.4 Meeting Instruction seev.004 / Meeting Inst Cancel Request seev.005

3.5.6.1.1.4. Meeting Instruction seev.004 / Meeting Inst Cancel Request seev.005 - Search 1 screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the Notifications Received / Sent. | | | | | | | | | |
|---------------------|--|--|--|--|--|--|--|--|--|--|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. | | | | | | | | | |
| Screen | For CA Notifications Received: | | | | | | | | | |
| Access | Corporate Actions >> Messages Monitoring >> Incoming Messages >> Meeting Notification >> List Received Proxy Instruction seev.004/seev.005 | | | | | | | | | |
| | For CA Notifications Sent: | | | | | | | | | |
| | Corporate Actions >> Messages Monitoring >> Outgoing Messages >> Meeting Notification >> List Outgoing Proxy Instruction seev.004/seev.005 | | | | | | | | | |
| Screen- | For CA Notifications Received: | | | | | | | | | |
| shot | Last Received Printy Instruction sees (IDL 7 over IDL 7 | | | | | | | | | |
| | Search Criteria : Proxy Instruction Massage Fed. ••• Creation Date: from to | | | | | | | | | |
| | [©] treat | | | | | | | | | |
| | | | | | | | | | | |
| | For CA Notifications Sent: | | | | | | | | | |
| | Batch Circle if a Flory Instruction Batch Capacity Batch Capacity Batch Capacity Batch Circle if a Flory Instruction Batch Circle if a | | | | | | | | | |
| | Message Ref. ** * Mesting Reference ** * | | | | | | | | | |
| | Creation Date: from 10 to 10 Counts | | | | | | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |

| Meeting Instruction seev.004 / Meeting Inst Cancel Request seev.005 - Search screen | | | | | | | | | |
|---|---|--|--|--|--|--|--|--|--|
| Field | Description | | | | | | | | |
| General Sear | rch | | | | | | | | |
| Message id | Enter the identifier of the message. | | | | | | | | |
| | Required format is: Max. 35 characters. | | | | | | | | |
| Main Refer- | [Only for notifications Received] | | | | | | | | |
| ence | Enter the Main Reference of the CA Event. | | | | | | | | |
| | Required format is: Max. 35 characters. | | | | | | | | |
| Meeting Ref- | [Only for notifications Sent] | | | | | | | | |
| erence | Enter the reference of the Meeting. | | | | | | | | |
| | Required format is: Max. 35 characters. | | | | | | | | |
| Creation | Enter the creation Date or use the calendar icon. | | | | | | | | |
| Date | Required format is: DD/MM/YYYY hh:mm:ss:µs | | | | | | | | |
| Button | Function | | | | | | | | |
| Reset | This function enables you to clear the form. | | | | | | | | |



| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
|--------|--|
| | Next screen: |
| | Meeting Instruction seev.004 / Meeting Inst Cancel Request seev.005 – List Screen. |

3.5.6.1.1.4. Meeting Instruction seev.004 / Meeting Inst Cancel Request seev.005 – List 2 Screen

| Context of | This screen contains the list of Notifications. | | | | | | | | | | |
|------------|--|--|---|---|--|---|------------------|--|--|--|---|
| Usage | The notifications listed correspond to the search criteria capture in the search screen. | | | | | | | | | | |
| | The li | st displ | ayed c | an be | sorte | d and f | ilter us | ing by th | ne field | display | ed. |
| | The li | st can l | ре ехр | orted. | | | | | | | |
| Screen Ac- | For C | A Notif | ication | s Rec | eived: | | | | | | |
| cess | Corporate Actions >> Messages Monitoring >> Incoming Messages >> Meeting Notification >> List Received Proxy Instruction seev.004/ seev.005>> Click on the search button (after inputting the relevant data, if needed) | | | | | | | | | | |
| | For C | A Notif | ication | s Sen | t: | | | | | | |
| | Corporate Actions >> Messages Monitoring >> Outgoing Messages >> Meeting Notification >> List Outgoing Proxy Instruction seev.004/ seev.005 >> Click on the search button (after inputting the relevant data, if needed) | | | | | | | | | | |
| Screen- | For C | A Notif | ication | s Rec | eived: | | | | | | |
| shot | Search : Proxy Ins | struction | Main Reference | ♥ Msq Number Φ | | K < Page 1 of 8 | K < | cation \$ 9 Security \$ | Northcations Status | | Reprocess All |
| | GRUSDIFT A GROSIOGEO2201 C GRZ003 GRZ0030202201 2c GRP4003 GR4003 GRP4003 GRU001 GRU001 GRU001 | PV\$0000000000228 PV\$0000000000228 PV\$0000000000228 PV\$00000000000224 PV\$00000000027 PV\$00000000027 PV\$000000000027 PV\$000000000027 PV\$0000000000027 PV\$00000000000028 | PROXIDODODES3 PROXIDODODES2 PROXIDODODES2 PROXIDODODES9 PROXIDODODES9 BINETECMSDODODES9 BINETECMSDODODES9 BINETECMSDODODES9 PROXIDODODDES8 PROXIDODODDES8 PROXIDODODDES8 PROXIDODODDES8 | serv.004 seav.004 serv.004 serv.004 serv.004 serv.004 serv.004 serv.004 | In I | BMET BMET BMET BMET BMET BMET BMET BMET | | ATG00000129 ATG10000129 ATG10000129 ATG00000129 ATG00000129 ATG10000129 ATG00000129 ATG00000129 ATG00000129 ATG00000129 ATG00000129 | impacted impact Failed impact Failed impacted im | MegaCor-0151: CORP-080 MegaCor-0152: CORP-079 Swiftlittegrator 0004: 4RJC. | 10/09/2022 17:27:31:123 30/09/2022 15:57:27:210 30/09/2022 15:57:27:210 30/09/2022 15:25:21:007 20/09/2022 15:25:21:007 20/09/2022 15:25:21:007 20/09/2022 15:37:54:00 16/09/2022 15:33:58:457 15/09/2022 19:15:09/20 |
| | For C Search: Proxy Ind 1. 2 Mesosprid 6 1228403 1238403 1058406 1058406 1058406 0074403 0072840 | CA Notification ***Compilement 1** **Principlement 1** **Principlem | Meeting Inference 8 BARTICAMS0000003 BARTICAMS0000003 BARTICAMS0000003 BARTICAMS0000003 BARTICAMS0000003 BARTICAMS0000003 BARTICAMS0000003 BARTICAMS0000003 BARTICAMS0000003 | S Sen Mag Number 9 secrotia | Committee of the commit | K Prop 1 of DATE DATE DATE DATE DATE DATE DATE DATE | Meeting Glassife | Affonced 3 (2) Sectory 8 Affonced 13 Affon | Nonfration Status Processed | 8 © Erro Description 9 | □ Consistent Select © 1300-000-0021 (17.00-000) (17.0 |
| | | | | | | | | | | | |

| Meeting Instruction seev.004 / Meeting Inst Cancel Request seev.005 - List screen | | | |
|---|--|--|--|
| Field | Description | | |
| Message id | Shows the identifier of the message. | | |
| | Displayed format is: Max. 35 characters. | | |



| App Refer- | Shows the App Reference. | | | | | |
|---------------------------|--|--|--|--|--|--|
| ence | Displayed format is: Max. 35 characters. | | | | | |
| Main Refer- | [Only for notifications Received] | | | | | |
| ence | Shows the Main Reference of the CA Event. | | | | | |
| | Displayed format is: Max. 35 characters. | | | | | |
| • | [Only for notifications Sent] | | | | | |
| erence | Shows the reference of the Meeting. | | | | | |
| | Displayed format is: Max. 35 characters. | | | | | |
| Msg Number | Shows the number of the message | | | | | |
| Direction | Shows the direction of the message from possible values: | | | | | |
| | - Yes | | | | | |
| | - No | | | | | |
| Meeting | Shows the type of the meeting from possible values: | | | | | |
| Туре | - BMET | | | | | |
| | - CMET | | | | | |
| Meeting Classification | Shows the classification of the meeting | | | | | |
| Security | Shows the ISIN of the security concerned by the CA Event. | | | | | |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: | | | | | |
| | - Impacted | | | | | |
| | - Impact Failed | | | | | |
| | - Rejected | | | | | |
| | - Archived | | | | | |
| | - Processed | | | | | |
| | - Processed with Failure | | | | | |
| | - On Hold | | | | | |
| - | | | | | | |

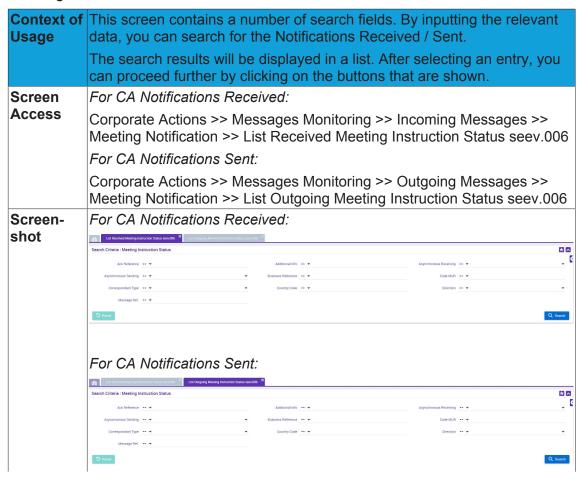
| Error De- scription | Shows the description of the error (if it has occurred) |
|------------------------|---|
| Creation | Shows the date and time of the creation of the CA Notification. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| After selecting | g a record, the following buttons are displayed |
| Button | Function |
| Reprocess | [Only for notifications Received] |
| | This function enables the user to reprocess the selected message (only available for users with appropriate rights). |
| Reprocess | [Only for notifications Received] |
| All | This function enables the user to reprocess all the messages in List screen (only available for users with appropriate rights). |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |



| This function enables you to access to the detailed information of the messages for same notification. |
|---|
| - View Message - Details Screen |
| e – Details Screen |
| Description |
| Shows the reference of the messge. |
| Shows whether the notification has been an input or output. Possible values: |
| – In |
| - Out |
| Shows the status of the message. |
| g a record, the following buttons are displayed |
| Function |
| This function enables you to access to the detailed information of the original message in XML format. |
| Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| |

3.5.6.1.1.5 Meeting Instruction Status seev.006

3.5.6.1.1.5. Meeting Instruction Status seev.006 - Search screen





| Meeting Instruc | ction Status seev.006 - Search screen | | | | |
|------------------------|--|--|--|--|--|
| Field | Description | | | | |
| General Search | | | | | |
| Message id | Enter the identifier of the message. | | | | |
| | Required format is: Max. 35 characters. | | | | |
| Ack Reference | Enter the Ack Reference. | | | | |
| Additional Info | Enter the additional information. | | | | |
| Asynchronous | Select from possible values: | | | | |
| Receiving | - Yes | | | | |
| | - No | | | | |
| Asynchronous | Select from possible values: | | | | |
| Sending | - Yes | | | | |
| | - No | | | | |
| Business Reference | Enter the business reference. | | | | |
| Code MUR | Enter the Code MUR | | | | |
| Correspondent | Enter the type of the correspondent from possible valus: | | | | |
| Туре | - Client | | | | |
| | - Market | | | | |
| | - Other | | | | |
| Country Code | Enter the country of location. | | | | |
| | Required/Displayed format is: Max. 2 characters (SWIFT-x). | | | | |
| Direction | Enter the direction of the message from possible values: | | | | |
| | – In | | | | |
| | - Out | | | | |
| Button | Function | | | | |
| Reset | This function enables you to clear the form. | | | | |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. | | | | |
| | Next screen: | | | | |
| | Meeting Instruction Status seev.006 – List Screen. | | | | |

3.5.6.1.1.5. Meeting Instruction Status seev.006 – List Screen

| _ | |
|------------|---|
| Context of | This screen contains the list of Notifications. |
| Usage | The seev.002 listed correspond to the search criteria capture in the search screen. |
| | The list displayed can be sorted and filter using by the field displayed. |
| | The list can be exported. |
| Screen Ac- | For CA Notifications Received: |
| cess | Corporate Actions >> Messages Monitoring >> Incoming Messages >> Meeting Notification >> List Received Meeting Instruction Status seev.006 >> Click on the search button (after inputting the relevant data, if needed) |



| | Meet | ting N | lotific | ation | >> Li | st Ou | tgoing | g Mee | eting | Instru | iction | Messa Statua data, | s see | v.00 |
|-----|--|--|--|---------------------------------|------------------------------|---|--|---|---|--|--|--|--|--|
| en- | For (| CA N | otifica | itions | Rece | eived: | | | | | | | | |
| | SearchEailedAh | etractNotification | · Meeting Instruct | on Statue | | | | | | | | | | |
| | 10 ¥ | January Commension | . meeting instruct | on status | | | | | | | | 0.00 | B 🗆 () Reproces | |
| | | | | | | | Notifications Statu | | | □ Instruction Cance | | App Reference 2 | Creation Date 6 | Creation Us |
| | GRJ3105BA | Message Ref. © GRJP012 | Security Identifier ATG000000129 | Sender Address © OCSDATWWXXX | NASAATWWXXX | Msg Function 6 | Notifications Status Impacted | Error Description ♥ | 32978410 | o instruction Cance | Msg Number 0 | MISTODODODODOSO | 31/05/2022 15:45:05 | |
| | GR2305202201A | GR2305220123A | ATG100000128 | OCSDATWWXXX | NABAATWWXXX NABAATWWXXX | CANC | Impacted | | 22970410 | 24138410 | serv 006 | MIST00000000000053 | 23/05/2022 12:34:04 | |
| | GR2504202201A | GR25042209A | ATG00000129 | OCSDATWWXXX | NABAATWWXXX | STAT | Rejected | SwiftIntegrator-0004: | 292430 | | seex 006 | MIST00000000000049 | 26/04/2022 09:07:39. | |
| | GR2504202201A | GR25042209A | ATG000000129 | OCSDATWWXXX | NABAATWWXXX | STAT | Impacted | | 292430 | | seex 006 | MIST00000000000047 | 25/04/2022 12:17:43. | |
| | PR0X000000505 | SP99AARR005 | AT0000A1DDM1 | OCSDATWWXXX | NABAATWWXXX | STAT | Rejected | Access Rights#AAR | 206930 | | seex 006 | MIST00000000000045 | 12/04/2022 12:28:26 | . ATCB-A2A00 |
| | PR0X0000000569 | AAAA | AT0000384128 | OCSDATWWXXX | NABAATWWXXX | STAT | Impact Failed | PALM-42008: Error w | 206930 | | seev.006 | MIST00000000000043 | 24/03/2022 12:08:23. | . STP |
| | PR0X000000505 | SP97AARR011 | AT0000A1DDM1 | OCSDATWWXXX | NABAATWWXXX | STAT | Impact Failed | Access Rights#AAR | 200930 | | seex.006 | MIST00000000000042 | 21/02/2022 16:24:44. | . ATCB-AZA00 |
| | | | | | NABAATWWYOO | STAT | Impacted | | 205930 | | seex 006 | MIST00000000000041 | 21/02/2022 12:16:17 | STP |
| | PR0X0000000505 | SP97AARR009 | AT0000A1CEU4 | OCSDATWWXXX | NASSAAT WYYOUR | | | | | | | | | |
| | PROX000000505 PROX0000000505 | SP97AARR009 SP97AARR003 | AT0000A1CEU4 | OCSDATWWXXX | NABAATWWXXX | STAT | Impact Failed | MegaCor11-0015: No | SP97AARR00 | | seev.006 | MIST00000000000039 | 21/02/2022 12:09:34 | . STP |
| | 1110000000000 | | | | | STAT STAT | Impact Failed Impact Failed | MegaCor11-0015: No PALM-42003: Error w | | | seex 006 seex 006 | | 21/02/2022 12:09:34 08/10/2021 16:46:01 | |
| | PROXX000000595 BMETVDLU043 | SP07AAR9008 006323 | AT0000A1CELI4 AT0000A1NWQ1 | OCSDATWWXXX | NASAATWWXXXX NASAATWWXXXX | STAT | and and a second | Integration and a contract | | | | | | |
| | For (| SP07AAR9008 006323 | ATGGGGAICEGA ATGGGGAINWGI | OCSDATWWXXX OCSDATWWXXX | NASAATWWXXXX NASAATWWXXXX | STAT | and and a second | Integration and a contract | | | | | 08/10/2021 16-46-01. | . CSDUser |
| | For (| SP97AAR9008 006323 CA No Meeting Instruction | ATGGGGAICEGA ATGGGGAINWGI | OCSDATWWXXX OCSDATWWXXX | NASAATWWXXXX NASAATWWXXXX | STAT | Impact Failed | World (8002+MJA) | 72870 | | | | 08/10/2021 16-46-01. | |
| | For (Search Result: Mering Inferred: | SP97AAR9008 006323 CA No Meeting Instruction Meestage Ref. 4 | ATGOGGALCELM ATGOGGALNWG1 Otifica on Status | ocsdatiwixxx ocsdatiwixxx | NASAATWWXXXX NASAATWWXXXX | STAT Mag Function 8 | Impact Failed Fage 1 of 3 Nonficeroms Status | PALM-42008: Error w | 72870 | Secretary Secretary | seek 006 | MISTOCOCCOCCO | 08/10/2021 16-46-01. | ★ 本語 ■ (Cration User |
| | For (Search Result: Merry Information | SP97AAR9003 006323 CA No Meeting Instructic | ATGOGGAI CELH ATGOGGAI NWGI | ocsdatiwixxx ocsdatiwixxx | NABAATWWXXXX NABAATWWXXXX | STAT Mag Function © CANC | Impact Failed Page 1 of 3 2 Nonficerions Status | World (8002+MJA) | 72870 | Mistruction Cancel GR2903 | Seev.006 Msg Number & seev.004_htmSts | App Reference 9 MISTODODODOSO3 | Q 25 1 creation Balta \$ 2004/2022 18 9012. | |
| | FOR (Search Result: Merry Address of the Search Result: Merry Address of the Search Result: PROSCOCCOCCES II | SP97AA/99008 006323 CA No Meeting Instructic 199 Message Ref. 9 159 | ATGOGGALCELM ATGOGGALNWG1 Otifica on Status | ocsdatiwixxx ocsdatiwixxx | NABAATWWXXXX NABAATWWXXXX | STAT Mag Function © CANC STAT | Impact Failed Page 1 or3 Nonincarons Statu Processed | World (8002+MJA) | 72870 | ************************************** | Msg Number • seev.005_hstrSts seev.005_hstrSts | Agg Reference 9 Mrs100000000014 Mrs100000000017 | Q 25) Ceeding Date 6 (2) 2006/2022 19-912, 2006/2022 17-9607. | ★ 型图 □ (Creation Uses STP STP |
| | FOR (Search Result: 19 V Mercy (Mer | SP97AMPROSI 006223 CA No Meeting Instructic 199 199 158 156 | ATGOGGAI CELH ATGOGGAI NWGI | ocsdatiwixxx ocsdatiwixxx | NABAATWWXXXX NABAATWWXXXX | STAT Msg Function © CANC STAT STAT | Page 1 or 3 Nonficarions Statu Processed Processed Processed | World (8002+MJA) | 72870 Instruction lid © | mistruction Cancell | Msg Number 0 seev.000, 341575 seev.000, 341575 | App Reference 9 MIST00000000014 MIST00000000017 MIST000000000017 MIST000000000017 | Q 25 Ceesion Date 9 2006-2022 17-90-7 1606-2022 17-59-7 | ★ 型图 □ (Creation Uses STP ABVR004-0224 |
| | FOR (Search Result: METERSONOMIS METERSONOMIS METERSONOMIS METERSONOMIS | CA Note that the state of the s | ATIO000AL CELA ATIO000AL NAWQ1 Otifica Oscalary Mention ATIO00000129 ATIO00000128 | ocsdatiwixxx ocsdatiwixxx | NABAATWWXXXX NABAATWWXXXX | STAT STAT Mag Function © CANC STAT STAT STAT | Page 1 era > Nonfocasion Statu_Processed Processed | World (8002+MJA) | Instruction Id @ | Individen Calcel (RICOS) | Mag Number # seev.000, hastifus seev.000, hastifus seev.000, hastifus seev.000, hastifus | App Reference 8 MIST00000000073 MIST00000000073 MIST000000000073 MIST000000000077 | Q 25 Cecanion Date \$ 2006-2022 1 6912 2 2006-2022 1 75907 - 1606-2022 1 75907 - 1606-2022 1 75907 - | Cration Use STP ABVR004-02A ABVR004-02A |
| | FOR (| CA No. Meeting instruction Westage Ref. 4 159 156 155 151 | ATIO000A1 ETAI ATIO000A1 MW021 Otifice on Status Security Memoritor ATIO00000129 ATIO00000129 | ocsdatiwixxx ocsdatiwixxx | NABAATWWXXXX NABAATWWXXXX | STAT Mag Function & CANC CANC STAT STAT | Processed Processed Processed Processed Processed | World (8002+MJA) | Training to the structure of \$\delta\$ GRM003 GRM003 GRM003 GRM003 GRM003 | September Character Charac | Co. Mag Number 8 see 600, Initists | App Reference 8 MIST0000000073 MIST0000000073 MIST00000000072 MIST00000000072 | Q 25 1 64601. | Cration Uses STP ABVR004-A2A ABVR004-A2A |
| | FOOT (Search Result: Marca Britando Marca Britand | SP07A49808 (00022) CA No Meeting Instruction 159 (159 (159 (159 (159 (159 (159 (159 | AT0000041 EEJ4 AT0000041 NWC11 Otifica Otifica Otifica Otifica AT000000129 AT000000129 AT000000129 AT000000129 | ocsdatiwixxx ocsdatiwixxx | NABAATWWXXXX NABAATWWXXXX | STAT K Mag Function B CANC STAT STAT STAT STAT STAT | Processed | World (8002+MJA) | 7:2870 Innotraction id © | PRODUCTION CARCEL GRIZZOS | Co Mag Number 6 see (50, min5) | App Reference 8 App Reference 8 App Reference 8 MRST00000000071 MRST00000000071 MRST00000000071 MRST00000000071 | Q 25 1 54601. Q 25 1 7 Cecino Sans 2 2006/2021 1800 12 2 2006/2021 1800 12 2 2006/2021 1800 12 1 1006/2021 1910 10 2 1 1006/2021 1910 10 2 1 1006/2021 1910 10 1 1006/2021 1910 10 1 1006/2021 1910 10 1 1006/2021 1910 10 1 1006/2021 1910 10 1 1 1006/2021 1910 10 1 1 1006/2021 1910 10 1 1 1 1006/2021 1910 10 1 1 1 1 1006/2021 1910 10 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 | Creation Use STP ABVR004-A2A ABVR004-A2A STP |
| | FOR (| SPETAMENDO ON OCCUPANTIAL STATEMENT OF THE STATEMENT OF T | AT0000041 ELM AT000041 NW011 Otifica Otifica AT00000129 AT010000129 AT000000129 AT000000129 | ocsdatiwixxx ocsdatiwixxx | NABAATWWXXXX NABAATWWXXXX | STAT K Wag Punction # CANC STAT STAT STAT STAT STAT STAT STAT STA | Page 1 of 3) Page 1 of 3) Reference Solid Interest Solid Inter | World (8002+MJA) | 72870 Restruction ld ® GRM003 GRM003 GR001 GR001 | Profession Cancell GR2003 | Col. Mag Number 9 1840 (Mag Number 9 1840 (M | And Distriction 8 Mis Telephonocopi 14 Mis | Q 223 3 GOOD 10 GOOD 1 | CSDUser Creation User STP ABVR004-A2A ABVR004-A2A ABVR004-A2A STP STP |
| | FOOT (Search Result: Search Result: HOUSE SEARCH | CA No. Meeting Instructic Meeting Instructic Meeting Instructic 159 159 159 159 159 151 151 15 | AT000001190 AT000001190 AT0000001190 AT000000119 AT0000000129 AT0000000129 | ocsdatiwixxx ocsdatiwixxx | NABAATWWXXXX NABAATWWXXXX | K To Mag Panction CANC STAT STAT STAT STAT STAT STAT STAT STAT STAT | Impact Falls Figure 1 at 3 Moderators State Processed Processed Processed Processed Processed Processed Processed | World (8002+MJA) | POSITION IN SECULIAR | Annucian Cancel (61,000) | Mag Number 6 | MeT00000000013 App Informor 8 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 | Q 223 15 4407. Creation Stens 8 2046/2022 18 6407. Creation Stens 8 2046/2022 18 607 12. 2046/2022 18 13 14 40. 15 506/2022 13 13 14 40. 15 506/2022 13 13 14 40. 15 506/2022 19 25 15 14 40. 15 506/2022 19 25 15 14 40. | CSDUser CCULTION USE STP STP STP STP STP STP STP |
| | FOR (| SPETAMENDO ON OCCUPANTIAL STATEMENT OF THE STATEMENT OF T | AT0000041 ELM AT000041 NW011 Otifica Otifica AT00000129 AT010000129 AT000000129 AT000000129 | ocsdatiwixxx ocsdatiwixxx | NABAATWWXXXX NABAATWWXXXX | STAT K Wag Punction # CANC STAT STAT STAT STAT STAT STAT STAT STA | Page 1 of 3) Page 1 of 3) Reference Solid Interest Solid Inter | World (8002+MJA) | 72870 Restruction ld ® GRM003 GRM003 GR001 GR001 | Profession Cancell GR2003 | Col. Mag Number 9 1840 (Mag Number 9 1840 (M | MeTrococcoccis | Q 223 3 GOOD 10 GOOD 1 | CSDUser Cration Use STP ASVR004-A22 STP STP STP STP STP |

| Meeting Instr | ruction Status seev.006 - List screen |
|-----------------------------------|--|
| Field | Description |
| Message id | Shows the identifier of the message. |
| | Displayed format is: Max. 35 characters. |
| Meeting Reference | Shows the reference of the meeting |
| Security Identifier | Shows the ISIN of the security concerned by the CA Event. |
| Sender Ad- dress | Shows the BIC address of the sender of the message. |
| Receiver Address | Shows the BIC address of the receiver of the message. |
| Msg Function | Shows the function of the message. |
| Error De- scription | Shows the description of the error (if it has occurred) |
| Instruction Id | Shows the identifer of the instruction. |
| Instruction Cancellation Id | Shows the identifier of the cancellation Instruction. |
| Msg Number | Shows the number of the message |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: |
| | - Impacted |
| | - Impact Failed |



| - Rejected |
|--------------------------|
| - Archived |
| - Processed |
| - Processed with Failure |
| - On Hold |

| | 0111010 | | | |
|----------------------|---|--|--|--|
| App Refer- ence | Shows the App Reference. | | | |
| Creation | Shows the date and time of the creation of the CA Notification. | | | |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | |
| Creation User Id | Shows the identification of the user that made the creation of the CA Notification. | | | |
| After selecting | g a record, the following buttons are displayed | | | |
| Button | Function | | | |
| Reprocess | [Only for notifications Received] | | | |
| | This function enables the user to reprocess the selected message (only available for users with appropriate rights). | | | |
| Reprocess | [Only for notifications Received] | | | |
| All | This function enables the user to reprocess all the messages in List screen (only available for users with appropriate rights). | | | |
| Download | This function enables you to access to the detailed information of the original message in XML format. | | | |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | | | |
| View Mes- sage | This function enables you to access to the detailed information of the messages for same notification. | | | |
| | - View Message - Details Screen | | | |
| View Messag | ge – Details Screen | | | |
| Field | Description | | | |
| Message Reference | Shows the reference of the messge. | | | |
| Direction | Shows whether the notification has been an input or output. Possible values: | | | |
| | – In | | | |
| | - Out | | | |
| Status | Shows the status of the message. | | | |
| After selecting | g a record, the following buttons are displayed | | | |
| Button | Function | | | |
| Download | This function enables you to access to the detailed information of the original message in XML format. | | | |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | | | |

3.5.6.1.1.6 Meeting Vote Execution Confirmation seev.007



3.5.6.1.1.6. Meeting Vote Execution Confirmation seev.007 - Search screen

Context of This screen contains a number of search fields. By inputting the relevant data, you can search for the Notifications Received / Sent. Usage The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. Screen For CA Notifications Received: Access Corporate Actions >> Messages Monitoring >> Incoming Messages >> Meeting Notification >> List Received Meeting Vote Execution Confirmation seev.007 For CA Notifications Sent: Corporate Actions >> Messages Monitoring >> Outgoing Messages >> Meeting Notification >> List Outgoing Vote Execution Confirmation seev.007 Screen-For CA Notifications Received: shot Message Ref. -- ▼ For CA Notifications Sent: Search Criteria : Meeting Vote Exe Conf * ^

| Meeting Vote Execution Confirmation seev.007 - Search screen | | | |
|--|--|--|--|
| Field | Description | | |
| General Sear | rch | | |
| Message id | Enter the identifier of the message. | | |
| | Required format is: Max. 35 characters. | | |
| Party's In- struction Ref- erence | Reference given by the counterparty of the instruction. | | |
| Meeting Reference | Enter the reference of the meeting | | |
| Issuer Meet- ing Refer- ence | Enter the reference of the Issuer meeting | | |
| Meeting Type | Enter / select the type of the meeting from possible values: - BMET - CMET | | |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: | | |



| - Impacted |
|--|
| - Impact Failed |
| - Rejected |
| - Archived |
| - Processed |
| Processed with Failure |
| - On Hold |

| Meeting Classification | Enter the classification of the meeting from possible values: - AMET - OMET - CLAS - ISSU - VRHI - CORT |
|---------------------------|--|
| Security Identifier | Enter the ISIN of the security concerned by the CA Event. |
| Creation Date | Enter the date and time of the creation of the notification. Required format is: DD/MM/YYYY hh:mm:ss:µs. |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | Meeting Vote Execution Confirmation seev.007 – List Screen. |

3.5.6.1.1.6. Meeting Vote Execution Confirmation seev.007 – List Screen

| Context of Usage | This screen contains the list of Notifications. The seev.007 listed correspond to the search criteria capture in the |
|------------------|--|
| | search screen. |
| | The list displayed can be sorted and filter using by the field displayed. |
| | The list can be exported. |
| Screen Ac- | For CA Notifications Received: |
| cess | Corporate Actions >> Messages Monitoring >> Incoming Messages >> Meeting Notification >> List Received Vote Execution Confirmation seev.007 >> Click on the search button (after inputting the relevant data, if needed) |
| | For CA Notifications Sent: |
| | Corporate Actions >> Messages Monitoring >> Outgoing Messages >> Meeting Notification >> List Outgoing Vote Execution Confirmation seev.007 >> Click on the search button (after inputting the relevant data, if needed) |
| Screen- shot | For CA Notifications Received: |





| Meeting Vote | Execution Confirmation seev.007 - List screen |
|---|---|
| Field | Description |
| Message id | Shows the identifier of the message. |
| | Displayed format is: Max. 35 characters. |
| Party's In- struction Ref- erence | Shows the Reference given by the counterparty of the instruction. |
| Meeting Reference | Shows the reference of the meeting |
| Issuer Meet- ing Refer- ence | Shows the reference of the Issuer meeting |
| Meeting Type | Shows the type of the meeting from possible values: - BMET - CMET |
| Meeting Classification | Shows the classification of the meeting from possible values: - AMET - OMET - CLAS - ISSU - VRHI |
| Meeting Type | CORTShows the type of the meeting from possible values:BMETCMET |
| Security Identifier | Shows the ISIN of the security concerned by the CA Event. |
| Sender Ad- dress | Shows the BIC address of the receiver of the message. |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: — Impacted — Impact Failed |



| - Rejected |
|--|
| - Archived |
| - Processed |
| Processed with Failure |
| - On Hold |

| | - Un Hold |
|------------------------|---|
| Error De- scription | Shows the description of the error (if it has occurred) |
| Update Date | Shows the date and time of the last update of the CA Notification. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation | Shows the date and time of the creation of the CA Notification. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the CA Notification. |
| After selecting | g a record, the following buttons are displayed |
| Button | Function |
| Reprocess | [Only for notifications Received] |
| | This function enables the user to reprocess the selected message (only available for users with appropriate rights). |
| Reprocess | [Only for notifications Received] |
| All | This function enables the user to reprocess all the messages in List screen (only available for users with appropriate rights). |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| View Mes- sage | This function enables you to access to the detailed information of the messages for same notification. |
| | - View Message - Details Screen |
| View Messag | e – Details Screen |
| Field | Description |
| Message Reference | Shows the reference of the messge. |
| Direction | Shows whether the notification has been an input or output. Possible values: |
| | - In |
| | - Out |
| Status | Shows the status of the message. |
| After selecting | g a record, the following buttons are displayed |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |



3.5.6.1.1.7 Meeting Result Dissemination seev.008

3.5.6.1.1.7. Meeting Result Dissemination seev.008 - Search screen

| | I | | | | |
|------------------|--|--|---|------------------------|----------|
| Context of Usage | | | of search fields. By ifications Received | | evant |
| | | | yed in a list. After son the buttons that | • | y, you |
| Screen | For CA Notificat | tions Received: | | | |
| Access | • | • | Monitoring >> Inc eived Meeting Res | | |
| | For CA Notificat | tions Sent: | | | |
| | | • | Monitoring >> Ou going Meeting Res | 0 0 | |
| Screen- | For CA Notificat | tions Received: | | | |
| shot | List Received Meeting Result Dissemination seev 008 Search Criteria: Meeting Result Dissemination | List Outgoing Meeting Result Dissembilition sees 008 | | | # 5 |
| | Message Ref. == ▼ | CA Event Id == ▼ | Issuer Meeting == ▼ Reference | Meeting Reference ■■ ▼ | |
| | Security ** ▼ | Notifications Status ■■ ▼ | ▼ Creation Date : from | | |
| | ** Preset | | | | Q Search |
| | For CA Notificat | tions Sent: | | | |
| | | List Outgoing Meeting Result Dissemination seev.008 | | | |
| | Search Criteria | | | | #8 |
| | General Search Message id * | CA CSD Event Ref ▼ | Official CA Event ▼ | Issuer Meeting ▼ | |
| | Participation Type •• ▼ | Meeting Type ■■ ▼ | Identification • | Reference | |
| | ISIN *** ¥ | Notification Type ■■ ▼ | Notification Status → ▼ | ▼ Msg Number ** ▼ | |
| | Advanced | | | | <u> </u> |
| | Sender Address == ▼ | | Reference == ▼ | | |
| | つ Reset | | | | Q Search |
| | | | | | |
| | | | | | |

| Meeting Result Dissemination seev.008 - Search screen | | | | |
|---|---|--|--|--|
| Field | Description | | | |
| General Sear | rch | | | |
| Message id | Enter the identifier of the message. | | | |
| | Required format is: Max. 35 characters. | | | |
| CA Event Id | [Only for notifications Received] | | | |
| | Enter the Reference of the CA Event. | | | |
| | Required format is: Max. 35 characters. | | | |
| CA CSD | [Only for notifications Sent] | | | |
| Event Ref. | Enter the Reference of the CA Event given by the CSD. | | | |
| | Required format is: Max. 35 characters. | | | |
| Official CA | [Only for notifications Sent] | | | |
| Event Identi- fication | Enter the official CA Event Identification. | | | |



| Issuer Meet- ing Refer- ence | Enter the reference of the Issuer meeting |
|------------------------------------|--|
| Meeting Ref- | [Only for notifications Received] |
| erence | Enter the reference of the meeting. |
| Security / ISIN | Enter the ISIN of the security concerned by the CA Event. |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: |
| | - Impacted |
| | - Impact Failed |
| | - Rejected |
| | - Archived |
| | - Processed |
| | Processed with Failure |
| | - On Hold |

| Creation Date | | | | | | |
|--|------------|---|--|--|--|--|
| Required format is: DD/MM/YYYY hh:mm:ss:µs. Participation [Only for notifications Sent] Type Enter if the CA Event is: - MAND - Mandatory - CHOS - Mandatory with Choice - VOLU - Voluntary Meeting [Only for notifications Sent] Type Enter / select the type of the meeting from possible values: - BMET - CMET Notification [Only for notifications Sent] Type Enter the information specifying the type of notification from the possible values: - NEWM - New notification - REPL - notification replacing a previously sent notification - RMDR - notification sent as a reminder of an event taking place Msg Number [Only for notifications Sent] Enter the number of the message Advanced Sender Address [Only for notifications Sent] Enter the BIC address of the sender of the message. Reference [Only for notifications Sent] | | [Only for notifications Received] | | | | |
| Participation Type [Only for notifications Sent] Enter if the CA Event is: - MAND – Mandatory - CHOS – Mandatory with Choice - VOLU - Voluntary [Only for notifications Sent] Enter / select the type of the meeting from possible values: - BMET - CMET [Only for notifications Sent] Enter the information specifying the type of notification from the possible values: - NEWM – New notification - REPL – notification sent as a reminder of an event taking place [Only for notifications Sent] Enter the number of the message Advanced Sender Address [Only for notifications Sent] Enter the BIC address of the sender of the message. [Only for notifications Sent] Enter the BIC address of the sender of the message. | Date | Enter the date and time of the creation of the notification. | | | | |
| Type Enter if the CA Event is: - MAND – Mandatory - CHOS – Mandatory with Choice - VOLU - Voluntary Meeting Type [Only for notifications Sent] Enter / select the type of the meeting from possible values: - BMET - CMET Notification Type Enter the information specifying the type of notification from the possible values: - NEWM – New notification - REPL – notification replacing a previously sent notification - RMDR – notification sent as a reminder of an event taking place Msg Number [Only for notifications Sent] Enter the number of the message Advanced Sender Address [Only for notifications Sent] Enter the BIC address of the sender of the message. Reference [Only for notifications Sent] | | Required format is: DD/MM/YYYY hh:mm:ss:µs. | | | | |
| — MAND – Mandatory — CHOS – Mandatory with Choice — VOLU - Voluntary Meeting Type Enter / select the type of the meeting from possible values: — BMET — CMET Notification Type Enter the information specifying the type of notification from the possible values: — NEWM – New notification — REPL – notification sent as a reminder of an event taking place Msg Number [Only for notifications Sent] Enter the number of the message Advanced Sender Address [Only for notifications Sent] Enter the BIC address of the sender of the message. Reference [Only for notifications Sent] Enter the BIC address of the sender of the message. | · · | [Only for notifications Sent] | | | | |
| - CHOS - Mandatory with Choice - VOLU - Voluntary Meeting Type [Only for notifications Sent] Enter / select the type of the meeting from possible values: - BMET - CMET Notification [Only for notifications Sent] Enter the information specifying the type of notification from the possible values: - NEWM - New notification - REPL - notification replacing a previously sent notification - RMDR - notification sent as a reminder of an event taking place Msg Number [Only for notifications Sent] Enter the number of the message Advanced Sender Address Enter the BIC address of the sender of the message. Reference [Only for notifications Sent] | Type | Enter if the CA Event is: | | | | |
| - VOLU - Voluntary [Only for notifications Sent] Enter / select the type of the meeting from possible values: - BMET - CMET Notification Type [Only for notifications Sent] Enter the information specifying the type of notification from the possible values: - NEWM - New notification - REPL - notification replacing a previously sent notification - RMDR - notification sent as a reminder of an event taking place Msg Number [Only for notifications Sent] Enter the number of the message Advanced Sender Address [Only for notifications Sent] Enter the BIC address of the sender of the message. Reference [Only for notifications Sent] | | - MAND - Mandatory | | | | |
| Meeting Type [Only for notifications Sent] Enter / select the type of the meeting from possible values: - BMET - CMET Notification Type [Only for notifications Sent] Enter the information specifying the type of notification from the possible values: - NEWM - New notification - REPL - notification replacing a previously sent notification - RMDR - notification sent as a reminder of an event taking place [Only for notifications Sent] Enter the number of the message Advanced Sender Address Enter the BIC address of the sender of the message. Reference [Only for notifications Sent] | | CHOS – Mandatory with Choice | | | | |
| Type Enter / select the type of the meeting from possible values: - BMET - CMET Notification Type Enter the information specifying the type of notification from the possible values: - NEWM – New notification - REPL – notification replacing a previously sent notification - RMDR – notification sent as a reminder of an event taking place Msg Number [Only for notifications Sent] Enter the number of the message Advanced Sender Address of the sender of the message. Reference [Only for notifications Sent] | | - VOLU - Voluntary | | | | |
| Notification Type Enter the information specifying the type of notification from the possible values: New New notification REPL – notification replacing a previously sent notification RMDR – notification sent as a reminder of an event taking place Msg Number [Only for notifications Sent] Enter the number of the message Advanced Sender Address [Only for notifications Sent] Enter the BIC address of the sender of the message. Reference [Only for notifications Sent] | _ | [Only for notifications Sent] | | | | |
| Notification Type Enter the information specifying the type of notification from the possible values: - NEWM – New notification - REPL – notification replacing a previously sent notification - RMDR – notification sent as a reminder of an event taking place Msg Number [Only for notifications Sent] Enter the number of the message Advanced Sender Address Enter the BIC address of the sender of the message. Reference [Only for notifications Sent] | Type | Enter / select the type of the meeting from possible values: | | | | |
| Notification Type [Only for notifications Sent] Enter the information specifying the type of notification from the possible values: - NEWM – New notification - REPL – notification replacing a previously sent notification - RMDR – notification sent as a reminder of an event taking place [Only for notifications Sent] Enter the number of the message Advanced Sender Address [Only for notifications Sent] Enter the BIC address of the sender of the message. Reference [Only for notifications Sent] | | - BMET | | | | |
| Enter the information specifying the type of notification from the possible values: - NEWM – New notification - REPL – notification replacing a previously sent notification - RMDR – notification sent as a reminder of an event taking place Msg Number [Only for notifications Sent] Enter the number of the message Advanced Sender Address of the sender of the message. Reference [Only for notifications Sent] | | - CMET | | | | |
| Values: - NEWM – New notification - REPL – notification replacing a previously sent notification - RMDR – notification sent as a reminder of an event taking place Msg Number [Only for notifications Sent] Enter the number of the message Advanced Sender Address of the sender of the message. Reference [Only for notifications Sent] | | [Only for notifications Sent] | | | | |
| - REPL - notification replacing a previously sent notification - RMDR - notification sent as a reminder of an event taking place Msg Number [Only for notifications Sent] Enter the number of the message Advanced Sender Address [Only for notifications Sent] Enter the BIC address of the sender of the message. Reference [Only for notifications Sent] | Туре | Enter the information specifying the type of notification from the possible values: | | | | |
| - RMDR – notification sent as a reminder of an event taking place Msg Number [Only for notifications Sent] Enter the number of the message Advanced Sender Address [Only for notifications Sent] Enter the BIC address of the sender of the message. Reference [Only for notifications Sent] | | NEWM – New notification | | | | |
| Msg Number [Only for notifications Sent] Enter the number of the message Advanced Sender Ad- dress [Only for notifications Sent] Enter the BIC address of the sender of the message. Reference [Only for notifications Sent] | | REPL – notification replacing a previously sent notification | | | | |
| Enter the number of the message Advanced Sender Ad- dress [Only for notifications Sent] Enter the BIC address of the sender of the message. Reference [Only for notifications Sent] | | RMDR – notification sent as a reminder of an event taking place | | | | |
| Advanced Sender Ad- dress [Only for notifications Sent] Enter the BIC address of the sender of the message. Reference [Only for notifications Sent] | Msg Number | [Only for notifications Sent] | | | | |
| Sender Address [Only for notifications Sent] Enter the BIC address of the sender of the message. Reference [Only for notifications Sent] | | Enter the number of the message | | | | |
| dress Enter the BIC address of the sender of the message. Reference [Only for notifications Sent] | Advanced | | | | | |
| Reference [Only for notifications Sent] | | [Only for notifications Sent] | | | | |
| | dress | Enter the BIC address of the sender of the message. | | | | |
| Enter the reference. | Reference | [Only for notifications Sent] | | | | |
| | | Enter the reference. | | | | |
| Button Function | Button | Function | | | | |
| Reset This function enables you to clear the form. | Reset | This function enables you to clear the form. | | | | |



| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
|--------|--|
| | Next screen: |
| | - Meeting Result Dissemination seev.008 - List Screen. |

3.5.6.1.1.7. Meeting Result Dissemination seev.008 – List Screen

| Context of | This screen contains the list of Notifications. | | | | | | | | | |
|----------------|--|--|--|--|--|--|--|--|--|--|
| Jsage | The seev.002 listed correspond to the search criteria capture in the search screen. | | | | | | | | | |
| | searcr | i scree | n. | | | | | | | |
| | The lis | st displa | ayed ca | an be so | rted an | d filter ι | using by | y the field | d displa | ayed. |
| | The lis | st can b | e expo | orted. | | | | | | |
| Screen Ac- | For C | 4 Notifi | cations | s Receiv | ed: | | | | | |
| cess | Meetir | ng Noti 008 >> | fication | >> List | Receive | ed Mee | ting Re | coming Nesult Dissulting the | emina | tion |
| | For C | 4 Notifi | cations | s Sent: | | | | | | |
| | Meetir | | Clials a | - a dt a | anala la c | .44 ~ ~ / - 4 | Harin: | uttion or the c | | |
| Screen- | seev.0 | 008 >> ded) | | | | ıtton (al | ter inpu | utting the | releva | ant data, |
| Screen- | seev.0 if need | 008 >> ded) | ications | on the se | | utton (at | ter inpu | utting the | releva | ant data, |
| Screen- hot | seev.0 if need | 008 >> ded) A <i>Notifi</i> | ications | s Receiv | | utton (at | Ter inpu | utting the | releva | |
| | Seev.C if need SearchFailedAbstrac SearchFailedAbstrac SearchFailedAbstrac SearchFailedAbstrac SearchFailedAbstrac SearchFailedAbstrac SearchFailedAbstrac | DOS >> ded) A Notifia Notifiation: Meeting to Meeting to Meeting to GRBMETWOUZ21102 GRBMETWOUZ21102 GRBMETWOUZ21102 | CLAS | S Receive | Page 1 of 2 > 3/ Security Description 0 Lococco | Similar Address & OCSDATWWXXX OCSDATWWXXX | ▼ Hotifications Status € Impacted Impacted | 9 77 (Spotes Davi 8 1606/2021 1231 01 034 1606/2022 1143 8569 | Q 15 ★ 図 □ Updater Uner id CSDUcer CSDUcer | 7 Preprocess Reprocess All Process All Pro |
| | Seev.C if need For CA SearchFailedAbstract 18 Management 8 SearchFailedAbstract 19 SearchFailedAbstrac | DOS >> ded) A Notifia thotification: Meeting 12 Meeting Inference 6 GRBMETPOOLUZI 102 GRBMETPOOLUZI 102 GRBMETPOOLUZI 102 GRBMETPOOLUZI 102 | CLAS CLAS CLAS CLAS | S Receive K On 8 Metrograps 8 BACT BACT BACT | Page 1 of 2 > 3 | SIMPLE Address & OCSDATWINDOX OCSDATWINDOX OCSDATWINDOX OCSDATWINDOX | ▼ Hotifications Status € Impacted Impa | 5 72 Supulate Date 6 16/06/2022 1 2 2 3 00 (2)4 16/06/2022 1 2 3 16/06 20/04/2022 1 (0)7 4 (6)3 20/04/2022 0 (6)7 4 (6)9 | Q 15 | © Reprocess Reprocess All 1606-2022 1-231-01-014 1606-2022 1-231-01-014 1606-2022 1-4819-805 220642022 10-014-4-053 220642022 00-014-014-015 220642022 00-014-014-015 220642022 00-014-014-015 220642022 00-014-015 2206420 |
| | Seev.C if need For C/ SearchFalledabstrac SearchFalledabstrac 10 V Measure Int 8 Servi 12022061006 2005642000002 20056419000001 20056419000001 | DOS >> ded) A Notifia thotification: Meeting 1 Westing Inference 8 GRBMETPOCUL221102 GRBMETPOCUL221102 GRBMETPOCUL221102 GRBMETPOCUL221102 GRBMETPOCUL221102 | CLAS CLAS CLAS CLAS CLAS CLAS CLAS CLAS | BACT BACT BACT BACT | Figs 1 at 2 3 X Security Descriptions 1 Locotto Locotto Locotto Locotto Locotto Locotto Locotto Locotto Locotto | CISATYWOOD CISATYWOOD CISATYWOOD CISATYWOOD CISATYWOOD CISATYWOOD CISATYWOOD CISATYWOOD CISATYWOOD | Temperate Impacted Impact Faited | 9 77 Topiden Dani 8 16/09/2022 2331 01:234 16/09/2022 2331 01:234 2004/2022 10:01 44:033 2004/2022 10:01 46:03 10/04/2022 13:33 56:06 12/04/2022 13:01 56:06 | Q is * Z0 DUpdate bow is 0 CSDUper CSD | ☐ Q Preprocess Preprocess AI To Construct pare 8 1 1666/0222 3 13 01 01 14 16 1665/2022 13 16 01 14 03 22 24 14 22 16 01 14 03 2 22 14 16 16 16 16 17 16 16 16 17 16 16 16 17 16 16 16 17 16 16 16 17 16 16 16 16 17 16 16 16 16 16 17 16 16 16 16 16 16 16 17 16 16 16 16 16 16 16 16 16 16 16 16 16 |
| | Seev.C if need For C/ | DOS >> ded) A Notifia thotification: Meeting II Meeting Indirence () GRANETYOUZ21102 GRANETYOUZ21102 GRANETYOUZ21102 | ications the total Dissemination the total D | S Receive | ed: Page 1 of 2 > X Descript Description 0 Lococco Lococco Lococco Lococco Lococco Lococco Lococco Lococco Lococco | Sender Address 9 OCIDATWINCOX OCIDATWINCOX OCIDATWINCOX OCIDATWINCOX OCIDATWINCOX OCIDATWINCOX | Notifications Status 6 impacted impacte | \$\times\$\tag{5}\tag{1}\tag{1}\tag{1}\tag{2}\tag{2}\tag{2}\tag{1}\tag{1}\tag{2}\tag{2}\tag{2}\tag{2}\tag{1}\tag{2}\ | Q 15 * To | Commission date 6 1606/2021 2-31 0 102 204/2021 1-48 90 90 204/2021 0-564-300 1904/2021 3-31 5-564-300 |
| | Seev.C if need for the seever of the seever | DOS >> ded) A Notification: Meeting II Mentry Reference 6 GRANTPOLUZZI 102 | CATIONS Weeting Classification CLAS CLAS CLAS CLAS CLAS CLAS CLAS CLA | BACT BACT BACT BACT | ed: Prop. L of 2 X | Service Address 8 OCISIAT WINKOX | Neoffsections Status & Impacted Impac | Topolow Date 8 16/09/2022 2:33 to 204 16/09/2022 1:33 to 204 16/09/2022 1:33 to 204 2020/4/2022 0:00 4:603 2020/4/2022 0:00 4:603 12/04/2022 0:00 4:00 12/04/2022 1:31 to 6:604 12/04/2022 1:31 to 6:604 | Q 15 X To CODUcer CSDUcer CSDUcer CSDUcer CSDUcer CSDUcer CSDUcer CSDUcer CSDUcer | © Removes: Removes to No. (Consistent Date 1) [Consistent Date 1] [Indexistent Date 2] |
| | Seev.C if need to find the seed of the see | DOS >> Ided) A Notification: Meeting Introduction: Meeting Introd | CLAS CLAS CLAS CLAS CLAS CLAS CLAS CLAS | S Receive S Receive S Receive S Sections S Section | Propri 1 w2 2 X X Tourist Control of the Control of | COLDAT PROVISCO COLDAT PROVISC | Windfactions Status & Impacted | \$100,000 to 100 | Q 13 * Q 20 Q | © Consent laws 8 1669/2221.31.31.31.31.31 1669/2221.31.31.31.31.31 2669/2221.31.31.31.31 2669/2221.31.31.31.31 2669/2221.31.31.31.31 2669/2221.31.31.31.31 2669/2221.31.31.31.31 2669/2221.31.31.31.31 2669/2221.31.31.31.31 2669/2221.31.31.31.31 2669/2221.31.31.31.31 2669/2221.31.31.31.31 2669/2221.31.31.31.31 2679/2221.31.31.31.31 2679/2221.31.31.31.31 2679/2221.31.31.31.31 2679/2221.31.31.31.31 2679/2221.31.31.31.31 2679/2221.31.31.31.31 2679/2221.31.31.31.31 2679/2221.31.31.31.31 2679/2221.31.31.31.31 2679/2221.31.31.31.31 2679/2221.31.31.31.31 2679/2221.31.31.31.31 2679/2221.31.31.31.31 2679/2221.31.31.31.31 2679/2221.31.31.31.31 2679/2221.31.31.31 2679/2221.31.31.31 2679/2221.31.31.31 2679/2221.31.31.31 2679/2221.31.31.31 2679/2221.31.31.31 2679/2221.31.31.31 2679/2221.31.31.31 2679/2221.31.31.31 2679/2221.31.31.31 2679/2221.31.31.31 2679/2221.31.31 2679/2221.31.31 2679/2221.31.31 2679/2221.31 2679/ |
| | Seev.C if need to find the control of the control o | DOS >> Ided) A Notification: Meeting to the total flower of the t | Teautions Teautions Teautions To Meeting Classification CLAS CLAS CLAS CLAS CLAS CLAS CLAS CLAS | S Receive S Receive S Receive S Sections BAST BAST BAST BAST BAST BAST BAST BAS | Propriated Processed Proce | CESSAT PRIVISOR CESSAT | Windfactions Status & Impacted | \$100,000 Syches Data \$ \$100,0000 233 (1) 034 \$100,0000 233 (1) 034 \$100,0000 230 (1) | Q (1) ★ (2) (1) (1) (1) (1) (1) (1) (1) (1) (1) (1 | Q (3) Represent |
| | Seev.C if need to find the control of the control o | DOS >> DOS >> DOS >> DOS >> DOS DOS SERVICIOS DE LA NOTIFICATION DE LA NOTIFICATION DE LA CASA DE LA NOTIFICATION DE LA NOTIFIC | Result Dissemination To Numering Caussification CLAS CLAS CLAS CLAS CLAS CLAS CLAS CLA | S Received S Rece | Processed | СТВАТИЧНОЙ АВВЕНЬ В ОСБЕКТИЧНОЙ АВРИМОВИЛЬНОЙ АВРИМОВИТЬНОЙ АВРИМОВИТЬНОМ АВРИМОВНОМ АВРИМОВНО | Windfactions Status & Impacted | 10 Sychem Part 8 | © 13 ★ © © Quyener shows 8 € CSDBare CSDBare CSDBare CSDBare CSDBare CSDBare CSDBare ATTS-ADMIT CSDBare ATTS-ADMIT ADMIT ATTS-ADMIT ADMIT ATTS-ADMIT ADMIT ADMIT ATTS-ADMIT ADMIT ATTS-ADMIT ADMIT A | Q 3 ★ 23 1-21 237-26 CMG/Generous Reprocessing 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 |

| Meeting Result Dissemination seev.008 - List screen | | | | | |
|---|---|--|--|--|--|
| Field | Description | | | | |
| Message id | Shows the identifier of the message. | | | | |
| | Displayed format is: Max. 35 characters. | | | | |
| Meeting Ref- | [Only for notifications Received] | | | | |
| erence | Shows the reference of the meeting | | | | |
| CA ECMS | [Only for notifications Sent] | | | | |
| Event Id. | Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. | | | | |



| | Displayed format is: Max. 35 characters. | | | | | |
|----------------|---|--|--|--|--|--|
| Sender Ad- | [Only for notifications Received] | | | | | |
| dress | Shows the BIC address of the sender of the message. | | | | | |
| Receiver Ad- | [Only for notifications Sent] | | | | | |
| dress | Shows the BIC address of the receiver of the message. | | | | | |
| Meeting | [Only for notifications Received] | | | | | |
| Classification | Shows the classification of the meeting | | | | | |
| Meeting | [Only for notifications Received] | | | | | |
| Туре | Shows the type of the meeting from possible values: | | | | | |
| | - BMET | | | | | |
| | - CMET | | | | | |
| Notification | In case of a Search Screen you can enter the Status of the Notification, | | | | | |
| Status | in other cases shows the Status of the Notification from the possible values: | | | | | |
| | - Impacted | | | | | |
| | - Impact Failed | | | | | |
| | - Rejected | | | | | |
| | - Archived | | | | | |
| | - Processed | | | | | |
| | Processed with Failure | | | | | |
| | - On Hold | | | | | |

| Security De- | [Only for notifications Received] |
|------------------------|--|
| scription | Shows the ISIN description of the security concerned by the CA Event. |
| Notification Type | Shows the information specifying the type of notification from the possible values: |
| | NEWM – New notification |
| | REPL – notification replacing a previously sent notification |
| | RMDR – notification sent as a reminder of an event taking place |
| Asset Ac- | [Only for notifications Sent] |
| count ld. | Shows the Account number where the security concerned by the CA Event is hold. |
| Total Eligible | [Only for notifications Sent] |
| Balance | Shows the total balance of securities eligible on the Account for the CA Event. |
| Error De- scription | Shows the description of the error (if it has occurred) |
| Update Date | Shows the date and time of the last update of the CA Notification. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation | Shows the date and time of the creation of the CA Notification. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the CA Notification. |
| After selecting | a record, the following buttons are displayed |
| Button | Function |



| Reprocess | [Only for notifications Received] |
|--|--|
| | This function enables the user to reprocess the selected message (only available for users with appropriate rights). |
| Reprocess | [Only for notifications Received] |
| All | This function enables the user to reprocess all the messages in List screen (only available for users with appropriate rights). |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| View Mes- sage | This function enables you to access to the detailed information of the messages for same notification. |
| | - View Message - Details Screen |
| View Messag | ge – Details Screen |
| Field | Description |
| Message | |
| Reference | Shows the reference of the messge. |
| | Shows the reference of the messge. Shows whether the notification has been an input or output. Possible values: |
| Reference | Shows whether the notification has been an input or output. Possible |
| Reference | Shows whether the notification has been an input or output. Possible values: |
| Reference | Shows whether the notification has been an input or output. Possible values: — In |
| Reference Direction Status | Shows whether the notification has been an input or output. Possible values: — In — Out |
| Reference Direction Status | Shows whether the notification has been an input or output. Possible values: - In - Out Shows the status of the message. |
| Reference Direction Status After selecting | Shows whether the notification has been an input or output. Possible values: — In — Out Shows the status of the message. g a record, the following buttons are displayed |
| Reference Direction Status After selecting | Shows whether the notification has been an input or output. Possible values: — In — Out Shows the status of the message. g a record, the following buttons are displayed Function This function enables you to access to the detailed information of the |

3.5.6.1.2 CA Notifications (seev.031)

The ECMS receives from the CSDs Corporate Action Notifications (CANO) to inform about upcoming CA Events.

Depending on the function of the message, the ECMS processes the notification in a different way.

NEWM: the ECMS processes the creation of the CA Event and afterwards forwards the message to the entitled Counterparties.

REPL or RMDR: when applicable, the ECMS processes the update of the CA Event and afterwards forwards the message to the entitled Counterparties.

Once processed, the CA Announcements are sent to the Counterparties in order to inform them about the CA Events and its details.

3.5.6.1.2.1 CA Notifications (seev.031) - Search screen

| Context of | This screen contains a number of search fields. By inputting the relevant |
|-------------------|--|
| Usage | data, you can search for the CA Notifications Received / Sent. |
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |



| Business Case re- lated | CA Notification | S | | | |
|-------------------------------|---|---|---|---|-----------|
| Screen | For CA Notifica | tions Received: | | | |
| Access | • | ons >> Messages cifications Receive | • | coming Messages | >> |
| | For CA Notifica | tions Sent: | | | |
| | • | ons >> Messages difications Sent (se | • | utgoing Messages | >> |
| Screen- | For CA Notifica | tions Received: | | | |
| shot | Monitor CA Notifications Received (seev.031) Search: Incoming seev.031 | | | | |
| | Message Id. ■■ ▼ | CA CSD Event Ref. ■■ ▼ | Notification Type ■■ ▼ | ▼ Previous Notification == ▼ Identification | E |
| | CA Event Type !• ▼ PROX | Participation Type | ▼ Asset Account Id ▼ | Notification Status ▼ | <u> </u> |
| | Sender Address == ▼ | ISIN ¥ | Creation Date ▼ | ☐ Update Date ▼ | Q. Search |
| | For CA Notifica | tions Sent: | | | |
| | Search: Outgoing seev.031 | | | | 2 |
| | Message Id ▼ CA Event Type ▼ | CA ECMIS Event Id Particlication Type | Notification Type Asset Account Id. ** Asset Account Id. ** | Previous Notification Identification Notifications Status | |
| | Receiver Address | ISIN | Creation Date *** | PROGRESSION V | |
| | □ Reset | | | | Q Search |
| | | | | | |

| CA Notificati | ons (seev.031) - Search screen |
|--|--|
| Field | Description |
| Message | Enter the identifier of the message. |
| Identifier | Required format is: Max. 35 characters. |
| CA CSD | [Only for notifications Received] |
| Event Ref. | Enter the Reference of the CA Event given by the CSD. |
| | Required format is: Max. 35 characters. |
| CA ECMS | [Only for notifications Sent] |
| Event Id. | Enter the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. |
| | Required format is: Max. 35 characters. |
| Sender Ad- | [Only for notifications Received] |
| dress | Enter the BIC address of the sender of the message. |
| Receiver Ad- | [Only for notifications Sent] |
| dress | Enter the BIC address of the receiver of the message. |
| Notification Type | Enter the information specifying the type of notification from the possible values: |
| | NEWM – New notification |
| | REPL – notification replacing a previously sent notification |
| | RMDR – notification sent as a reminder of an event taking place |
| Previous No- tification Identification | Enter the identification of the previous notification in case the Notification Type is REPL or RMDR. |



| CA Event | Enter the type of CA Event. | | | | | |
|------------------------|--|--|--|--|--|--|
| Туре | Required format is: Max. 4 characters. | | | | | |
| Participation | Enter if the CA Event is: | | | | | |
| Туре | - MAND - Mandatory | | | | | |
| | - CHOS - Mandatory with Choice | | | | | |
| | - VOLU - Voluntary | | | | | |
| ISIN | Enter the ISIN of the security concerned by the CA Event. | | | | | |
| Asset Account Id. | Enter the Account number where the security concerned by the CA Event is hold. | | | | | |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: | | | | | |
| | - Manually Repaired | | | | | |
| | Automatically Repaired | | | | | |
| | - Processed | | | | | |
| | Processed with Failure | | | | | |
| Creation Date | Enter the reference date of the creation of the CA Notification or use the calendar icon. | | | | | |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs | | | | | |
| Update Date | [Only for notifications Received] | | | | | |
| | Enter the reference date of the last update of the CA Notification or use the calendar icon. | | | | | |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs | | | | | |
| Button | Function | | | | | |
| Reset | This function enables you to clear the form. | | | | | |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. | | | | | |
| | Next screen: | | | | | |
| | - CA Notifications (seev.031) - List Screen. | | | | | |
| | | | | | | |

3.5.6.1.2.2 CA Notifications (seev.031) - List Screen

| | This screen contains the list of CA Notifications. |
|-------------------------------|--|
| Usage | The seev.031 listed correspond to the search criteria capture in the search screen. |
| | The list displayed can be sorted and filter using by the field displayed. |
| | The list can be exported. |
| Business Case re- lated | CA Notifications |
| Screen Ac- | For CA Notifications Received: |
| cess | Corporate Actions >> Messages Monitoring >> Incoming Messages >> Monitor CA Notifications Received (seev.031) >> Click on the search button (after inputting the relevant data, if needed) |
| | For CA Notifications Sent: |



| | Mon | itor CA | A Not | ificati | ons | Sent | es Mo (seev. ita, if n | .031) > | >> Cli | | | | | |
|----|--|---|--|---|-----------|--|---|--|---|--|----------------------|--|--|--|
| n- | For CA Notifications Received: | | | | | | | | | | | | | |
| | List: Incoming | seev.031 | | | | | | | | | | | | |
| | 10 🕶 | | | | | | K < Page 1 | | | | | | | Q775 🗐 🗓 |
| | Message Id. | Notification Type 🖘 | Sender Address # 1 | CA CSD Event Ref. | O Down To | and C Business | Type ♥ ISIN Φ | Asset Account Id. \$7 | Total Civilia Dates | Marifestina Particol | Para Paradialism AC | Durlan Date A C | Updater User Id 5 | _ |
| | 1003170A | NEWM | IRRCESMMXXX | MCALRM23122102 | MCAL. | MAND | ES0415306093 | ESCROMNIBUS2 | 776,000 | Processed With Failu | | | | 24/04/2024 13:29:56. |
| | 1419220240423F | NEWM | IBBCESRAGEC | 1419220240423F | INTR | MAND | PS0000000077 | ESCROMNIBUSE ESCROMNIBUSE | 1,000,000 | | Swittitegiatur-0004 | 23/04/2024 17:14:41 | | 23/04/2024 17:14:40 |
| | 1419220240423A | NEWM | IBRCESBAOFC | 1419220240423A | INTR | MAND | ES000099087 | ESCBOMNIBUS2 | 3.131.000 | | | 23/04/2024 16:32:58 | | 23/04/2024 16:32:49 |
| | 202442377A | REPL | IBRCESBADEC | 2024423277 | INTR | MAND | FS0405574002 | ES0002T2SSAC001 | 1105000 | | | 23/04/2024 13:16:01 | | 23/04/2024 13:15:56 |
| | 2024423722 | NEWM | IBROESBADEC | 2024423ZZZ | INTR | MAND | E50405524002 | ES0002T2SSAC001 | | Processed | | 23/04/2024 13:14:50 | | 23/04/2024 13:14:49 |
| | 20240423ASD | NEWM | IBRCESBAOFC | 20240423ASD | BPUT | VOLU | ES0000012F19 | ESCBOMNIBUS2 | | Processed | | 23/04/2024 11:02:02 | | 23/04/2024 11:01:51 |
| | 1481520242288 | REPL | IBRCESBAOFC | 14815202422AW | INTR | MAND | ES0L02408091 | OMCR4345 | | Processed | | 22/04/2024 16:22:24 | | 22/04/2024 16:22:18 |
| | 1481520242286 | NEWM | IBRCESBAOFC | 14815202422AW | INTR | MAND | ESOL02408091 | OMCR4545 | | Processed With Failu | Swittletonrator 0004 | 22/04/2024 16:20:09 | | 22/04/2024 16:20:08 |
| | | | | 14815202422001 | INTR | MAND | F501.02408091 | OMCR4345 | | Processed With Failu | | | | 22/04/2024 16:17:15 |
| | | | | | | | | | | | | | | |
| | 148152024228 14815202422AA | REPL NEWM | IBRCESBAOPC IBRCESBAOPC | 14815202422AW | INTR | MAND | ESOL02408091 | OMCR4345 | | Processed | | 22/04/2024 16:05:36 | Down | 22/04/2024 16:05:35. |
| | For (| CA No | IBRCESBAOFC | 14815202422AW | INTR | nt: | E50L02401091 | OMCR4345 | | Processed | | 22/04/282416-05:36 | Down | view Message |
| | For (| CA No | tifica | 14815202422AW | INTR | nt: | | OMCR4345 | | Processed | | 22/04/202416-05:36. | CSDUser Down | view Message |
| | For (List: Outgoing 19 × Message Id 4 | CA NO | tifica | tions | INTR | nt: | ESOL02401091 | OMERASAS Notification Type 9 | 5,000 | ss ⊕ ▽ Asset Accoun | | ecription # 📅 Updar | Q 883 Mile Date & | Oxed View Message BegontStarthResure V Updater User Id 3 |
| | For (List: Outgoing 19 Visionage Id. 8 | CA NO | tifica | tions Per 4 Parising CHOS | Ser | nt: Receive Address & ADVIALTWINGOOD | ESOL02400031 | OMCRESS Notification Type 8 Notification Type 8 | 5,000 Norifications Start Processed | ASSIS ACCOUNT | 105 | cription 6 😙 Upda | Q 33 \$\frac{1}{2}\$ to Date \$\frac{1}{2}\$ \tag{2023} 13.47.94.866 | exportSearshResus Updater User Id \$ EXMSQrendons(Gr)Sch. |
| | For (List: Outgoing 19 × Message Id 4 | CA NO | tifica | tions | Ser | nt: | ESOL02401091 | OMERASAS Notification Type 9 | 5,000 | ss ⊕ ▽ Asset Accoun | 105 | cription 6 😙 Upda | Q 883 Mile Date & | Oxed View Message BegontStarthResure V Updater User Id 3 |
| | For (List: Outgoing 19 Visionage Id. 8 | CA NO | tifica | tions Per 4 Parising CHOS | Ser | nt: Receive Address & ADVIALTWINGOOD | ESOL02400031 | OMCRESS Notification Type 8 Notification Type 8 | 5,000 Norifications Start Processed | ASSIS ACCOUNT | 10S 10S | ecryption 6 💎 Upda 00/03 | Q 33 \$\frac{1}{2}\$ to Date \$\frac{1}{2}\$ \tag{2023} 13.47.94.866 | exportSearshResus Updater User Id \$ EXMSQrendons(Gr)Sch. |
| | For (| CA NO seev.031 CA ECMS Switt IS INTROCOCO1718 INTROCOCO1718 | ERCESBAOFC CACHELLY CACHELLY RITE STIR | 14819202422AW tions Personal Chiefs (2185) | Ser | PRECEIVE ADDITION B AUTOLOT WINNESS B AUTOLOT WI | ESOLUZADIO91 | OMERSASS Nontification Type 8 PROPER HUNDER | 5,000 Notifications State Processed Processed | ASSET ACCOUNTS ASSISTANCE AS | 10S 10S | Upda 08/03 08/03 08/03 | Q 883 2 10 Date 9 | View Message sepont-searchinesus: sepont-s |
| | For (List: Outgoing 18 Wessapple 9 10274 10472 | CA NO seev.031 CAECMS SWIN INTROCOCO1766 INTROCOCO1766 | EBRCESBAOFC CACHELLY STR STR | 14815202422AW **Tions** CHOS. CHOS. CHOS. CHOS. | Ser | PROCEIVES AND TO SEE AND THE S | ESGL02-0010931 | CONCENSARS Vision Notifications State Processed Processed Processed | ASSER ACCOUNT ABSTRACE ABSTRAC | 10S 10S | Upda On/03 On/03 On/03 On/03 On/03 | Cown te Date \$\frac{1}{2}\$ te Date \$\frac{1}{2}\$ \text{vious 13.44.04 MH} vious 13.47.05.068 | SEPONTSERREPRISE TO SEPONT |
| | For (List: Outgoing Messape id @ 100172 100170 | CA NO Seev.031 CACCAS EVERES INTROCOCO1780 INTROCOCO1780 INTROCOCO1780 INTROCOCO1780 | ERICESBAOFC * CADMIT NIN | 14815202422AW | Ser | Processes Andreas & ABUNETYWNOODS ABUNETYWNOODS ABUNETYWNOODS ABUNETYWNOODS | ESGL02-080931 | ORIGINATES Notification Type 8 REVINA REVINA REVINA REVINA | Motifications State Processed Processed Processed Processed | ASSOCIACE ASSOCIACE ASSOCIACE ASSOCIACE ASSOCIACE ASSOCIACE ASSOCIACE | 10S 10S | Upda 08/02 08/03 08/03 08/03 08/03 | Count | View Message prooffstarchitestum prooffstarchites |
| | For (List: Outgoing 18 - Mescape 18 4 10472 10472 10472 | CA NO seev.031 CAECMS FORTE 10 INTROCO001760 INTROCO001760 INTROCO001760 INTROCO001760 INTROCO001760 | EDICESBADEC STATEMENT TYPE STITE S | 14915002422AW tions 9 Paricip G105 G105 CM05 VMUI | Ser | PROCESSES ADDITIONS OF ADDITION | ESGL02-000931 | CONCENSARS Notification Type 8 NEUMA NE | 5,000 Notifications Start Processed Processed Processed Certific | Asset Account As | 10S 10S | Congress © TV Update 08/03 (08/03 08/00 08 | CQ 553 2 1 to Date 6 7 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 | esportSent/Nesse EsportSent/Nesse ExportSent/Nesse ExportSent/Ne |
| | For (List: Outgoing 10 List: Outgoing 10 Mecage is 0 10074 10072 10470 10460 | CA NO Seev.031 CA ECMS Swins is INTROCO001780 INTROCO001780 INTROCO001780 INTROCO001780 INTROCO001780 INTROCO001780 INTROCO001780 INTROCO0001820 PCAL000001820 | EBRICESBAOFC CA Favor I'V NUR NUR NUR NUR OUTCH | 16915202422AFF | Ser | TOTAL ADVIATORIOS FSGL02406091 Propr 1 or 89 In 18 US912796459 US912796459 US912796459 US912796459 US912796459 US912796459 | OMETHEAMS Notification Type 8 NOVAM N | 5,000 Notice of the control of the | ADVISIONAL ACCOUNTS AND ACCOUNTS AND ACCOUNTS AC | 10S 10S | Dode | Downs 6 | seport-searchineau seport-searchineau Lipidaer Liber 18 2 Lipidaer Liber 18 3 Lipidaer Liber 18 4 Lipidaer |
| | For (List: Outgoing 18 * Message 16 6 Total 10 T | CA NO Seev.031 **CATCAS Curto M INTERCOPORT TO DITCH000001012 FPALMOROUTH INTERCOPORT TO DITCH0000010102 | tifica | 16915203422AW tions ps 3 77 Participa CHOS CHOS MAND MAND MAND MAND | Ser | TOTAL TOCOMY ADDRESS FOCUME ADDRESS ADVIATIVENESS ADVIATIVENESS ADVIATIVENESS ADVIATIVENESS ADVIATIVENESS | © Page 1 or 89 > □ SIN 8 US912796649 US912796649 US912796649 US912796649 ATOSONALMAN ATTOSONALMAN ATTOSONALM | ORICHISAS Notification Type 6 RESING RISSING RI | 1,000 Nonflactions State Processed Processed Cressed Cressed Cressed Cressed Cressed Cressed Cressed | TO S AGES ACCOUNTS ADDITIONAL ADD | 10S 10S | Update | B Date 8 70 2023 13 47 94 800 2023 13 47 94 800 2023 13 27 94 800 2023 13 27 95 803 2023 13 27 95 803 2023 13 27 95 803 2023 13 27 95 803 2023 13 27 95 803 2023 13 27 95 803 2033 13 2003 1 | Total View Mossage Septimization of the Control of |

| CA Notificati | ons (seev.031) - List screen |
|----------------------|---|
| Field | Description |
| Message | Shows the identifier of the message. |
| Identifier | Displayed format is: Max. 35 characters. |
| CA CSD | [Only for notifications Received] |
| Event Ref. | Shows the Reference of the CA Event given by the CSD. |
| | Displayed format is: Max. 35 characters. |
| CA ECMS | [Only for notifications Sent] |
| Event Id. | Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. |
| | Displayed format is: Max. 35 characters. |
| Sender Ad- | [Only for notifications Received] |
| dress | Shows the BIC address of the sender of the message. |
| | [Only for notifications Sent] |
| dress | Shows the BIC address of the receiver of the message. |
| Notification Type | Shows the information specifying the type of notification from the possible values: |
| | NEWM – New notification |
| | REPL – notification replacing a previously sent notification |
| | RMDR – notification sent as a reminder of an event taking place |
| CA Event | Shows the type of CA Event. |
| Туре | Displayed format is: Max. 4 characters. |
| Participation | Enter if the CA Event is: |
| Туре | – MAND – Mandatory |
| | CHOS – Mandatory with Choice |
| | - VOLU - Voluntary |



| ISIN | Shows the ISIN of the security concerned by the CA Event. | | | | |
|------------------------|--|--|--|--|--|
| Asset Ac- count Id. | Shows the Account number where the security concerned by the CA Event is hold. | | | | |
| Total Eligible | [Only for notifications Received] | | | | |
| Balance | Shows the total balance of securities eligible on the Account for the CA Event. | | | | |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: | | | | |
| | - Manually Repaired | | | | |
| | Automatically Repaired | | | | |
| | - Processed | | | | |
| | - Processed with Failure | | | | |
| Error De- scription | Shows the description of the error (if it has occurred) | | | | |
| Update Date | Shows the date and time of the last update of the CA Notification. | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | |
| Updater User Id | Shows the identification of the user that made the last update of the CA Notification. | | | | |
| Creation | [Only for notifications Received] | | | | |
| Date | Shows the date and time of the creation of the CA Notification. | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | |
| After selecting | g a record, the following buttons are displayed | | | | |
| Button | Function | | | | |
| Download | This function enables you to access to the detailed information of the original message in XML format. | | | | |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | | | | |
| View Mes- sage | This function enables you to access to the detailed information of the messages for same notification. | | | | |
| | - View Message - Details Screen | | | | |
| View Messag | e – Details Screen | | | | |
| Field | Description | | | | |
| Message Reference | Shows the reference of the messge. | | | | |
| Direction | Shows whether the notification has been an input or output. Possible values: | | | | |
| | _ In | | | | |
| | - Out | | | | |
| Status | Shows the status of the message. | | | | |
| After selecting | g a record, the following buttons are displayed | | | | |
| Button | Function | | | | |
| Download | This function enables you to access to the detailed information of the original message in XML format. | | | | |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | | | | |



3.5.6.1.3 CA Event Processing Status Advice (seev.032)

The CSD sends a Corporate Action Event Processing Status Advice to the ECMS to report the processing status of a corporate action event.

Once processed, the ECMS sends a Corporate Action Event Processing Status Advice to the Counterparty to report the processing status of a corporate action event and provide a reason as to why a corporate action event has not been fully completed by the announced payment dates.

3.5.6.1.3.1 CA Event Processing Status Advice (seev.032) - Search screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the CA Event Processing Status Advice Received / Sent. | | | | | | |
|---------------------|---|--|--|----------|--|--|--|
| | The search results will be can proceed further by | | st. After selecting an entry, ons that are shown. | you | | | |
| Screen | For CA Event Processir | ng Status Advice R | eceived: | | | | |
| Access | Corporate Actions >> M Monitor CA Event Proce | | g >> Incoming Messages : ce Received (seev.032) | >> | | | |
| | For CA Event Processir | ng Status Advice S | ent: | | | | |
| | Corporate Actions >> Messages Monitoring >> Outgoing Messages >> List Outgoing seev.032 CA Event Processing Status Advice | | | | | | |
| Screen- | For CA Event Processir | ng Status Advice R | eceived: | | | | |
| shot | Monitor CA Event Processing Status Advice Received (seek 032) | CA Event Processing Status Advice [©] | | | | | |
| | Search | | | * 🗷 | | | |
| | Message ID ▼ CA Event Type ▼ | CA CSD Event Ref ▼ Notifications Status ▼ | Creation Date | | | | |
| | ♡ Reset | | | Q Search | | | |
| | | | | | | | |
| | | | | | | | |
| | For CA Event Processing Status Advice Sent: | | | | | | |
| | Monitor CA Event Processing Status Advice Received (sees 0.02) | CA Event Processing Status Advice | | | | | |
| | Search: Outgoing seev.032 | | | | | | |
| | Message ID ▼ CA Event Type ▼ | CA ECMS Event Id Notifications Status | Creation Date | 0 | | | |
| | "D Resist | | | Q Search | | | |
| | | | | | | | |
| | | | | | | | |

| CA Event P | rocessing Status Advice (seev.032) - Search screen | | | | | | | | |
|-------------------|---|--|--|--|--|--|--|--|--|
| Field | Description | | | | | | | | |
| Message | Enter the identifier of the message. | | | | | | | | |
| Identifier | Required format is: Max. 35 characters. | | | | | | | | |
| CA CSD | [Only for notifications Received] | | | | | | | | |
| Event Ref. | Enter the Reference of the CA Event given by the CSD. | | | | | | | | |
| | Required format is: Max. 35 characters. | | | | | | | | |
| CA ECMS | [Only for notifications Sent] | | | | | | | | |
| Event Id. | Enter the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. | | | | | | | | |
| | Required format is: Max. 35 characters. | | | | | | | | |
| Sender Ad- | [Only for notifications Received] | | | | | | | | |
| dress | Enter the BIC address of the sender of the message. | | | | | | | | |



| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: |
|------------------------|--|
| | - Impacted |
| | - Impact Failed |
| | - Rejected |
| | - Archived |
| | - Processed |
| | - Processed with Failure |
| | - On Hold |

| Receiver | [Only for notifications Sent] | | | | | |
|------------------|--|--|--|--|--|--|
| Address | Enter the BIC address of the receiver of the message. | | | | | |
| CA Event | Enter the type of CA Event. | | | | | |
| Туре | Required format is: Max. 4 characters. | | | | | |
| Creation Date | Enter the reference date of the creation of the CA Notification or use the calendar icon. | | | | | |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs | | | | | |
| Button | Function | | | | | |
| Reset | This function enables you to clear the form. | | | | | |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. | | | | | |
| | Next screen: | | | | | |
| | - CA Event Processing Status Advice (seev.032) - List Screen. | | | | | |

3.5.6.1.3.2 CA Event Processing Status Advice (seev.032) – List Screen

| | This screen contains the list of CA Event Processing Status Advices. | | | | | | | |
|------------|---|--|--|--|--|--|--|--|
| Usage | The seev.032 listed correspond to the search criteria capture in the search screen. | | | | | | | |
| | The list displayed can be sorted and filter using by the field displayed. | | | | | | | |
| | The list can be exported. | | | | | | | |
| Screen Ac- | For CA Event Processing Status Advice Received: | | | | | | | |
| cess | Corporate Actions >> Messages Monitoring >> Incoming Messages >> Monitor CA Event Processing Status Advice Received (seev.032) >> Click on the search button (after inputting the relevant data, if needed) | | | | | | | |
| | For CA Event Processing Status Advice Sent: | | | | | | | |
| | Corporate Actions >> Messages Monitoring >> Outgoing Messages >> List Outgoing seev.032 CA Event Processing Status Advice >> Click on the search button (after inputting the relevant data, if needed) | | | | | | | |
| Screen- | For CA Event Processing Status Advice Received: | | | | | | | |
| shot | List Incoming seev.032 19 2 | | | | | | | |
| | For CA Event Processing Status Advice Sent: | | | | | | | |





| CA Event P | rocessing Status Advice (seev.032) - List screen | | | | |
|------------------------|--|--|--|--|--|
| Field | Description | | | | |
| Message | Shows the identifier of the message. | | | | |
| Identifier | Displayed format is: Max. 35 characters. | | | | |
| CA CSD | [Only for notifications Received] | | | | |
| Event Ref. | Shows the Reference of the CA Event given by the CSD. | | | | |
| | Displayed format is: Max. 35 characters. | | | | |
| CA ECMS | [Only for notifications Sent] | | | | |
| Event Id. | Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. | | | | |
| | Displayed format is: Max. 35 characters. | | | | |
| Sender Ad- | [Only for notifications Received] | | | | |
| dress | Shows the BIC address of the sender of the message. | | | | |
| Receiver | [Only for notifications Sent] | | | | |
| Address | Shows the BIC address of the receiver of the message. | | | | |
| CA Event | Shows the type of CA Event. | | | | |
| Туре | Displayed format is: Max. 4 characters. | | | | |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: | | | | |
| | - Impacted | | | | |
| | - Impact Failed | | | | |
| | - Rejected | | | | |
| | - Archived | | | | |
| | - Processed | | | | |
| | - Processed with Failure | | | | |
| | - On Hold | | | | |

| Error De- scription | Shows the description of the error (if it has occurred) | | | | | | | | |
|------------------------|--|--|--|--|--|--|--|--|--|
| Update | Shows the date and time of the last update of the CA Notification. | | | | | | | | |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | | | | | |
| Updater User Id | Shows the identification of the user that made the last update of the CA lotification. | | | | | | | | |
| After selecting | After selecting a record, the following buttons are displayed | | | | | | | | |
| Button | Function | | | | | | | | |
| Reprocess | [Only for notifications Received] | | | | | | | | |
| | This function enables the user to reprocess the selected message (only available for users with appropriate rights). | | | | | | | | |
| Reprocess All | [Only for notifications Received] | | | | | | | | |



| | This function enables the user to reprocess all the messages in List screen (only available for users with appropriate rights). | | | | | | | | |
|----------------------|---|--|--|--|--|--|--|--|--|
| Download | This function enables you to access to the detailed information of the original message in XML format. | | | | | | | | |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | | | | | | | | |
| View Mes- sage | This function enables you to access to the detailed information of the messages for same notification. | | | | | | | | |
| | - View Message - Details Screen | | | | | | | | |
| View Messa | nge – Details Screen | | | | | | | | |
| Field | Description | | | | | | | | |
| Message Reference | Shows the reference of the messge. | | | | | | | | |
| Direction | Shows whether the notification has been an input or output. Possible values: | | | | | | | | |
| | - In | | | | | | | | |
| | - Out | | | | | | | | |
| Status | Shows the status of the message. | | | | | | | | |
| After selecting | ng a record, the following buttons are displayed | | | | | | | | |
| Button | Function | | | | | | | | |
| Download | This function enables you to access to the detailed information of the original message in XML format. | | | | | | | | |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | | | | | | | | |

3.5.6.1.4 CA Instruction (seev.033)

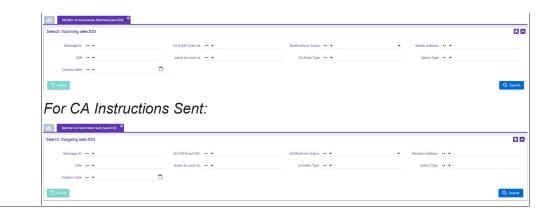
The ECMS may receive CA Instructions (CAIN) from the Counterparties to inform of their CA Choice about a particular CA Option available for a CA Event.

Once processed, the ECMS sends a Corporate Action Instruction (CAIN) message to the CSD in order to inform of its counterparty's CA Choice about a particular CA Option available for an elective CA Event.

3.5.6.1.4.1 CA Instruction (seev.033) - Search screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the CA Instructions Received / Sent. | | | | | | |
|------------------|--|--|--|--|--|--|--|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. | | | | | | |
| Screen | For CA Instructions Received: | | | | | | |
| Access | Corporate Actions >> Messages Monitoring >> Incoming Messages >> Monitor CA Instructions Received (seev.033) | | | | | | |
| | For CA Instructions Sent: | | | | | | |
| | Corporate Actions >> Messages Monitoring >> Outgoing Messages >> Monitor CA Instructions Sent (seev.033) | | | | | | |
| Screen- shot | For CA Instructions Received: | | | | | | |





| CA Instruct | ion (seev.033) - Search screen | | | | | | |
|------------------------|--|--|--|--|--|--|--|
| Field | Description | | | | | | |
| Message | Enter the identifier of the message. | | | | | | |
| Identifier | Required format is: Max. 35 characters. | | | | | | |
| CA CSD | [Only for notifications Sent] | | | | | | |
| Event Ref. | Enter the Reference of the CA Event given by the CSD. | | | | | | |
| | Required format is: Max. 35 characters. | | | | | | |
| CA ECMS | [Only for notifications Received] | | | | | | |
| Event Id. | Enter the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. | | | | | | |
| | Required format is: Max. 35 characters. | | | | | | |
| Sender Ad- | [Only for notifications Received] | | | | | | |
| dress | Enter the BIC address of the sender of the message. | | | | | | |
| Receiver | [Only for notifications Sent] | | | | | | |
| Address | Enter the BIC address of the receiver of the message. | | | | | | |
| Asset Ac- count ld. | Enter the Account number where the security concerned by the CA Event is hold. | | | | | | |
| ISIN | Enter the ISIN of the security concerned by the CA Event. | | | | | | |
| CA Event | Enter the type of CA Event. | | | | | | |
| Туре | Required format is: Max. 4 characters. | | | | | | |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: | | | | | | |
| | - Impacted | | | | | | |
| | Impact Failed | | | | | | |
| | - Rejected | | | | | | |
| | - Archived | | | | | | |
| | - Processed | | | | | | |
| | Processed with Failure | | | | | | |
| | - On Hold | | | | | | |
| | | | | | | | |

| Option Type | Enter the CA Option Type chosen by the Counterparty. |
|-------------|---|
| | Enter the reference date of the creation of the CA Notification or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |



| Button | Function |
|--------|--|
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | - CA Instruction (seev.033) - List Screen. |

3.5.6.1.4.2 CA Instruction (seev.033) - List Screen

| Context of | This sc | reen co | ntains | the list | of CA | Instruct | tions. | | | | | |
|------------|---|---|---|---|---------------------|--|------------------------------|---------------------------------------|---|--|---|--|
| Usage | The seev.033 listed correspond to the search criteria capture in the search screen. | | | | | | | | | | | |
| | The list | display | ed cai | n be sor | ted an | d filter | using b | y the fi | eld dis | splaye | d. | |
| | The list can be exported. | | | | | | | | | | | |
| Screen Ac- | For CA | Instruct | tions F | Receive | d: | | | | | | | |
| cess | Monitor | Corporate Actions >> Messages Monitoring >> Incoming Messages >> Monitor CA Instructions Received (seev.033) >> Click on the search button (after inputting the relevant data, if needed) | | | | | | | | | | |
| | For CA | Instruct | tions S | Sent: | | | | | | | | |
| | Monitor | ate Action CA Instruction | tructio | ns Sen | (seev | .033) > | > Click | | | | | |
| Screen- | For CA | Instruct | tions F | Receive | d: | | | | | | | |
| shot | List | | | | K / n | ge_1_of7 > X | | | | | <u>^</u> | |
| | ■ Message Id GR20052022012A | CA CSD Event Ref. ¢▽ CA ECMS BIDS0000 | Event Id. 47 Msg Funct | ion ♥ ♥ Sender Address ♥ ABVRATWW004 | CA Event Type 🗣 🔗 I | ption Type • SIN • | Notifications | s Status ♥ Error Description € | 20/05/2022 08:51:48 | Creation Date \$ \$\footnote{\text{C}}\$ 20/05/2022 08:51:48: | Updater User Id © ABVR004-A2ACA | |
| | GR120522016A GR21042022018 | >GR12062 INTRO000 | | ABVRATWW004 ABVRATWW004 ABVRATWW001 | INTR | ASH ATG200 ASH ATG100 ASE ATG100 | 1000128 Impacted | | 12/05/2022 16:46:26: 21/04/2022 09:23:33: 06/04/2022 17:59:58 | 12/05/2022 16:46:26: 21/04/2022 09:23:33: 05/04/2022 17:59:58: | ABVR004-A2ACA ABVR004-A2ACA ABVR001-A2ACA | |
| | CR058332 | TENDOOC TENDOOC | 1000589 NEWM | ABVRATWW001 ABVRATWW001 | TEND | ASE AT0000 ASE AT0000 | MODXH1 Impacted | | 06/04/2022 17:42:55: | 06/04/2022 17:42:55 06/04/2022 17:41:53 | ABVR001-A2ACA | |
| | CRHR117gft807 | TENDOODO BIDSCODO | 000575 NEWM | ABVRATWW001 ABVRATWW001 | BIDS | ASH AT0000 ASH AT0000 | I/G0XH1 Impacted | | 25/03/2022 17:36:50: 17/00/2022 09:50:46: | 25/03/2022 17:36:50: 17/03/2022 09:50:46: | ABVR001-AZACA ABVR001-AZACA | |
| | CRHR117g8g | BIDS0000 | 000554 NEWM 000545 NEWM | ABVRATWW008 | | ASH AT0000 IOAC AT0000 | | | | . 09/03/2022 17:41:20: | ABVR001-A2ACA STP mload | |
| | | | | | | | | | | | | |
| | For CA | Instruct | tions S | Sent: | | | | | | | | |
| | List | | | | K < r | ige 1 of 3 > > | | | | | <u>^</u> | |
| | Message ld. 132 | CA CSD Event Ref. • CA E | CMS Event Id. • 💛 Msc 0000000715 NEV | g Function © Receiver A VM OCSDATW | ddress | ◆ ♥ Option Type ◆ CASH | SIN \$ ATGS00000005 | Notifications Status ♥▽ Processed | Error Description ♥ ▽ | Update Date \$ 7 20/05/2022 08:52:11:245 | Updater User Id ABVR004-AZACA | |
| | 129 127 | BIDS | 00000000575 NEV 0000000555 NEV | | 1000 | CASH CASH NOAD | AT0000A0DXH1 AT0000A0DXH1 | Processed Processed | | 25/03/2022 17:37:09:428 17/03/2022 09:51:04:534 | ABVR001-AZACA ABVR001-AZACA | |
| | 122 120 | BIDS BIDS | 0000000545 NEV 0000000544 NEV | VM OCSDATWV | XXXXX BIDS | CASH NOAC | ATGGGGAGDXH1 ATGGGGAGDXH1 | Processed Processed | | 09/03/2022 17:40:39:760 09/03/2022 12:24:19:949 | STP | |
| | 119 117 | | 0000000544 NEV 00000000498 NEV | VM OCSDATWY | XXXXX TEND | CASH CASE | ATGGGGAGDXH1 ATGGGGATEEY2 | Processed Processed | | 09/03/2022 12:18:24:467 17/02/2022 11:23:38:089 | STP | |
| | 116 115 | TENI | 00000000498 NEV 00000000498 NEV | | | CASH | AT0000A1EEY2 AT0000A1EEY2 | Processed Processed | | 17/02/2022 11:23:33:996 17/02/2022 11:23:27:461 | | |
| | | | | | | | | | | Do | wnload | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |

| CA Instruction (seev.033) - List screen | | | |
|---|---|--|--|
| Field | Description | | |
| Message Identifier | Shows the identifier of the message. | | |
| | Displayed format is: Max. 35 characters. | | |
| CA CSD | [Only for notifications Sent] | | |
| Event Ref. | Shows the Reference of the CA Event given by the CSD. | | |
| | Displayed format is: Max. 35 characters. | | |



| CA ECMS | [Only for notifications Received] | | | | |
|-----------------------------|--|--|--|--|--|
| Event Id. | Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. | | | | |
| | Displayed format is: Max. 35 characters. | | | | |
| Sender Ad- | [Only for notifications Received] | | | | |
| dress | Shows the BIC address of the sender of the message. | | | | |
| Receiver | [Only for notifications Sent] | | | | |
| Address | Shows the BIC address of the receiver of the message. | | | | |
| Asset Account Id. | Shows the Account number where the security concerned by the CA Event is hold. | | | | |
| ISIN | Shows the ISIN of the security concerned by the CA Event. | | | | |
| CA Event | Shows the type of CA Event. | | | | |
| Туре | Displayed format is: Max. 4 characters. | | | | |
| Option Type | Shows the CA Option Type chosen by the Counterparty. | | | | |
| Quantity Instructed in FAMT | Shows the quantity of securities to which the instruction applies. | | | | |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: | | | | |
| | - Impacted | | | | |
| | - Impact Failed | | | | |
| | - Rejected | | | | |
| | - Archived | | | | |
| | - Processed | | | | |
| | - Processed with Failure | | | | |
| | - On Hold | | | | |
| | | | | | |

| Error De- scription | Shows the description of the error (if it has occurred) |
|------------------------|---|
| Update | Shows the date and time of the last update of the CA Notification. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the CA Notification. |
| After selection | ng a record, the following buttons are displayed |
| Button | Function |
| Reprocess | [Only for notifications Received] |
| | This function enables the user to reprocess the selected message (only available for users with appropriate rights). |
| Reprocess | [Only for notifications Received] |
| All | This function enables the user to reprocess all the messages in List screen (only available for users with appropriate rights). |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |



| View Mes- sage | This function enables you to access to the detailed information of the messages for same notification. |
|----------------------|---|
| | - View Message - Details Screen |
| View Messa | ige – Details Screen |
| Field | Description |
| Message Reference | Shows the reference of the messge. |
| Direction | Shows whether the notification has been an input or output. Possible values: |
| | – In |
| | - Out |
| Status | Shows the status of the message. |
| After selecting | ng a record, the following buttons are displayed |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |

3.5.6.1.5 CA Instruction Status Advice (seev.034)

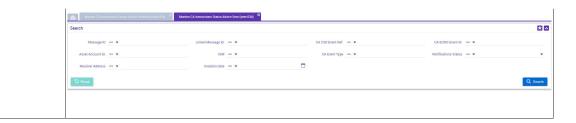
The ECMS sends a CA Instruction Status Advice to the Counterparty to inform about the status of a CA Instruction.

The CA Instruction Status Advice message could be received from CSD in response to the message (seev.033) previously sent to the CSD, and then forwarded to the Counterparty in response to their seev.033.

3.5.6.1.5.1 CA Instruction Status Advice (seev.034) - Search screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the CA Instructions Status Advice Received / Sent. | | | | | | | |
|------------------|--|--|--|--|--|--|--|--|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. | | | | | | | |
| Screen | For CA Instructions Status Advice Received: | | | | | | | |
| Access | Corporate Actions >> Messages Monitoring >> Incoming Messages >> Monitor CA Instructions Status Advice Received (seev.034) | | | | | | | |
| | For CA Instructions Status Advice Sent: | | | | | | | |
| | Corporate Actions >> Messages Monitoring >> Outgoing Messages >> Monitor CA Instructions Status Advice Sent (seev.034) | | | | | | | |
| Screen- | For CA Instructions Status Advice Received: | | | | | | | |
| shot | Montar CA Instructions Status Advice Received (service) . Montar CA Instruction Statu | | | | | | | |
| | Search Carlot | | | | | | | |
| | Message ID ** ▼ | | | | | | | |
| | Sender Address •• ▼ Instruction •• ▼ Oration Date: •• ▼ Processing Status | | | | | | | |
| | O South | | | | | | | |
| | For CA Instructions Status Advice Sent: | | | | | | | |





| CA Instruct | ion Status Advice (seev.034) - Search screen | | | | | |
|------------------------|--|--|--|--|--|--|
| Field | Description | | | | | |
| Message | Enter the identifier of the message. | | | | | |
| Identifier | Required format is: Max. 35 characters. | | | | | |
| CA CSD Event Ref. | [Only for notifications Received] | | | | | |
| | Enter the Reference of the CA Event given by the CSD. | | | | | |
| | Required format is: Max. 35 characters. | | | | | |
| CA ECMS | [Only for notifications Sent] | | | | | |
| Event Id. | Enter the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. | | | | | |
| | Required format is: Max. 35 characters. | | | | | |
| Sender Ad- | [Only for notifications Received] | | | | | |
| dress | Enter the BIC address of the sender of the message. | | | | | |
| Receiver | [Only for notifications Sent] | | | | | |
| Address | Enter the BIC address of the receiver of the message. | | | | | |
| Asset Ac- count Id. | Enter the Account number where the security concerned by the CA Event is hold. | | | | | |
| ISIN | Enter the ISIN of the security concerned by the CA Event. | | | | | |
| CA Event | Enter the type of CA Event. | | | | | |
| Туре | Required format is: Max. 4 characters. | | | | | |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: | | | | | |
| | - Impacted | | | | | |
| | - Impact Failed | | | | | |
| | - Rejected | | | | | |
| | - Archived | | | | | |
| | - Processed | | | | | |
| | Processed with Failure | | | | | |
| | - On Hold | | | | | |

| Creation Date | Enter the reference date of the creation of the CA Notification or use the calendar icon. Required format is: DD/MM/YYYY hh:mm:ss:µs |
|------------------|--|
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |



- CA Instruction Status Advice (seev.034) - List Screen.

3.5.6.1.5.2 CA Instruction Status Advice (seev.034) - List Screen

| Context of | This screen contains the list of CA Instruction Status Advice. | | | | | | | | | | | | |
|-----------------|--|--|--|--|--|---|---|--|--|--|---|--|--|
| Usage | | seev.03 ch scre | | ted c | orres | pond | to the s | earch | crite | ria cap | oture i | n the | |
| | The I | ist disp | olayed | d can | be s | orted | and filte | er usir | ng by | the fie | eld dis | playe | d. |
| | The I | ist can | be ex | xport | ed. | | | | | | | | |
| Screen Ac- | For C | CA Inst | ructio | ns S | tatus | Advic | e Rece | ived: | | | | | |
| cess | Moni | tor CA | Instru | uction | ns Sta | atus A | Monito dvice F the rel | Receiv | ed (s | eev.03 | 34) >> | | |
| | For C | CA Inst | ructio | ns S | tatus | Advic | e Sent: | | | | | | |
| | Moni | tor CA | Instru | uction | ns Sta | atus A | Monito dvice S relevai | sent (s | seev.0 | 034) > | > Clic | | |
| | search button (after inputting the relevant data, if needed) For CA Instructions Status Advice Received: | | | | | | | | | | | | |
| Screen- | For C | A Inst | ructio | 118 3 | เลเนร | AUVIC | e Rece | ıvea: | | | | | |
| Screen- shot | List | JA INST | ructio | 118 3 | lalus | Advic | e Rece | ivea: | | | 0.4 | Beginness All Begin | |
| | List 10 Message ID 1006014 | CA CSD Event Ref | Sender Address © | Asset Accoun | K Id. ♦ ♥ ISIN ♦ | | se ● ▽ Option Type ● CASH | Notifications Status | Firer Description 4 MegaCor11-0015: N | | Updater User Id CSDUser | Reprocess All Repro Creation Date \$ 27/09/2021 3.27.03. | occos |
| | List 10 ▼ Message ID Φ | | f. ¢⊋ Sender Address ¢ | Asset Accoun | R Id. ♥ ♥ ISIN ♥ 103 AT0000A28KG 102 AT0000A1CEI 102 ATT000A1CO | CA Event Tys X7 BPUT BM TEND M 112ND | se \$ 💎 Opnion Type \$ | Notifications Status | © Error Description of MegaCor11-0015; N MegaCor11-0015; N MegaCor11-0015; N MegaCor11-0015; N | 1 | Updater User Id | 27/09/2021 13:27:08:32: 27/09/2021 13:08:32: 27/09/2021 10:57:46: | □ Update Date ◆ □ □ 27/09/2021 13:27:03: |
| | List 10 Message ID 1006014 005102 005095 | CA CSD Event Ref BPUT000000190 TENDVOLU042 TENDVOLU040 | 7. ♦♥ Sender Address ♦ OCSDATWWOOK OCSDATWWOOK OCSDATWWOOK | ASSIST ACCOUNT ABVRT2SSACO ABVRT2SSACO ABVRT2SSACO | R Id. ♥ ♥ ISIN ♥ 103 AT0000A28KG 102 AT0000A1CEI 102 ATT000A1CO | CA Event Tys X7 BPUT BM TEND M 112ND | CASH CASH | Notifications Status Impact Failed Impact Failed Impact Failed | MegaCor11-0015: N MegaCor11-0015: N | 1 | Updater User Id CSDUser STP STP | 27/09/2021 13:27:08:32: 27/09/2021 13:08:32: 27/09/2021 10:57:46: | Update Date • 27/09/2021 13:27:03: 27/09/2021 13:08:32: 27/09/2021 10:57:46: |
| | List 10 Message ID 1006014 005102 005095 | CA CSD Event Ref BPUT000000190 TENDVOLU042 TENDVOLU040 | 7. ♦♥ Sender Address ♦ OCSDATWWOOK OCSDATWWOOK OCSDATWWOOK | ASSIST ACCOUNT ABVRT2SSACO ABVRT2SSACO ABVRT2SSACO | R Id. ♥ ♥ ISIN ♥ 103 AT0000A28KG 102 AT0000A1CEI 102 ATT000A1CO | CA Event Tys X7 BPUT BM TEND M 112ND | CASH CASH | Notifications Status Impact Failed Impact Failed Impact Failed | MegaCor11-0015: N MegaCor11-0015: N | 1 | Updater User Id CSDUser STP STP | 27/09/2021 13:27:08:32: 27/09/2021 13:08:32: 27/09/2021 10:57:46: | Update Date • 27/09/2021 13:27:03: 27/09/2021 13:08:32: 27/09/2021 10:57:46: |
| | List 10 Message 10 2 1006014 000102 000505 0005052 | CACSO FreeE Ref BPUT00000190 TREMOVOLUME TREMOVOLUME TEMOVOLUME | Sender Address 6 OCSDATHWOOD OCSDATHWOOD OCSDATHWOOD OCSDATHWOOD OCSDATHWOOD | Asset Account ABVRT2SSACC ABVRT2SSACC ABVRT2SSACC | E Id. 6 T EDIN 6 AT0000042840 AT0000041CB AT0000041CB | | CASH CASH | Notifications Status Impact Failed Impact Failed Impact Failed Impact Failed | MegaCor11-0015: N MegaCor11-0015: N | 1 | Updater User Id CSDUser STP STP | 27/09/2021 13:27:08:32: 27/09/2021 13:08:32: 27/09/2021 10:57:46: | Update Date • 27/09/2021 13:27:03: 27/09/2021 13:08:32: 27/09/2021 10:57:46: |
| 00.00 | List 10 0 | O CACCO E-MICE RATE PART OF THE PART OF TH | Sender Address 6 OCSDATHWOOD OCSDATHWOOD OCSDATHWOOD OCSDATHWOOD OCSDATHWOOD | Asset Account ABVRT2SSACC ABVRT2SSACC ABVRT2SSACC | E Id. 6 T EDIN 6 AT0000042840 AT0000041CB AT0000041CB | CAEVER TYPE OXT BPUT BPUT BBUT THE THE Advice | case case case case case case case case | Notifications Status Impact Failed Impact Failed Impact Failed Impact Failed | MegaCor11-0015: N MegaCor11-0015: N | 1 | Updater User Id CSDUser STP STP | Creation Date 6 27/09/2021 13/27/09 27/09/2021 13/27/09 27/09/2021 10/09/2021 12/04/52- | Update Date • 27/09/2021 13:27:03: 27/09/2021 13:08:32: 27/09/2021 10:57:46: |
| | List Macagain Toolida Oostoo Oostoo Coostoo Oostoo Oosto | CALCAD Event left PUTDOSCORISH THEOPOLISE THEOPOLISE THEOPOLISE THEOPOLISE THEOPOLISE THEOPOLISE TO BE A LINE LEFT CARCAD Event left LOCATION | Seriour Address of Constant Address of Constan | ABWITZSSACO ABWITZSSACO ABWITZSSACO ABWITZSSACO ABWITZSSACO | Rail 6 7 IZBN 6 IZBN 6 | CA best 27 | CSP CSP SENT: | Hotifications Station Impact Pailed Impact Pailed Impact Failed | MegaCor11-0015: N MegaCor11-0015: N MegaCor11-0015: N | 1 | Updater User Id CSDUser STP STP | 27/09/2021 13:27:08:32: 27/09/2021 13:08:32: 27/09/2021 10:57:46: | Update Date • 27/09/2021 13:27:03: 27/09/2021 13:08:32: 27/09/2021 10:57:46: |
| | List 10 0 | S CASSI EVEN IN THE PROTOCOLORS THEORY CLOSS TO THE PROTOCOLORS TO THE | Seriour Address of Constant Address of Constan | ABINITISSACIO ABINITISSACIO ABINITISSACIO ABINITISSACIO CALLUMINITISSACIO CALLUMINIT | END 6 TO TONN 6 201 ATTORNAY OF TONN 6 ATTORNAY OF TONN 6 ATTORNAY OF TONN 6 ATTORNAY OF TONN 6 TONN 6 ATTORNAY OF TONN 6 ATTORNAY OF TONN 6 TONN 6 ATTORNAY OF TONN 6 TONN 6 ATTORNAY OF TONN 6 T | CAEVER TYPE OXT BPUT BPUT BBUT THE THE Advice | Apple Sent: | White constraints are a second property and a second property and prop | MegaCor11-0015: N MegaCor11-0015: N MegaCor11-0015: N | Neifforishris Status Processed With Failure | Updater User Nd 4 CSOUSEr STP STP STP Core Core Core Core Core Core Core Core | CHARGO DATA 8 2700/2821 1302 25 2700/2821 1302 2 | Special Date 6 Colored |
| 00.00 | List Metalogist 100144 00001 000002 000002 000002 | 2 CA (CA) Event 3 of PUT (CA) (CA) Event 3 | Seriour Address of Constant Address of Constan | ABWITISSACE ABWITISSACE ABWITISSACE ABWITISSACE ABWITISSACE ABWITISSACE LOD LOD LOD LOD LOD | THE STATE CASE | CA best 2p CA | COPY CASE SENT: | The Manufacture States | Megacar1 0015 N Megacar1 0015 N Megacar1-0015 N | Hoficecion Status Processed Win Falue | Option Date of a Cooper STP | CRASSON DATE 8 2 TOWNSON THE TOWNSON TO THE TOWNSON THE TOWN THE TOWNSON THE TOWN THE TOWNSON THE TOWNSON THE TOWNSON THE TOWNSON THE TOWNSON THE TOW | Oppdate Date C |
| 00.00 | List Mesopolo Mospolo Mospolo | 2 CASCO Credit Set 1 CASCO C | Seriour Address of Constant Address of Constan | ABMITISSACCI AMMITISSACCI AMMITISSACCI AMMITISSACCI AMMITISSACCI AMMITISSACCI LUCU LUCU LUCU LUCU LUCU LUCU LUCU L | CASE | CA best 3p CA | CONTROLLAND STATE OF THE STATE | Description of States S | MegaCar11 0015 M MegaCar11 0015 M MegaCar11 0015 M MegaCar11 0015 M | Processed With Falser | Concentration \$ 100 per concen | Character 6 2 200000201 12 0 0 0 2 2 2 2 2 2 2 2 2 | Update Date C |
| | List Mesopola | 20 CA COL Credit Aid SPUT DOSCORDED TO TRESPONDED TO TRESPONDE TO TRESPONDED TO TRESPO | Seriour Address of Control Addre | American Ame | CASE CASE CASE CASE CASE CASE CASE CASE | CANONIC PR | CAPI CAPI CAPI CAPI CAPI CAPI CAPI CAPI | Nortifications States | Megaciant 2015 M Megaciant 2015 M Megaci | Noticed to State S | Oppose them in a COOker STP STP STP STP STP STP STP The althous plant (cu. The althous plant, (cu. The | Charge Care | Update Date C |

| CA Instruction Status Advice (seev.034) - List screen | | | | |
|---|---|--|--|--|
| Field | Description | | | |
| Message Identifier | Shows the identifier of the message. | | | |
| | Displayed format is: Max. 35 characters. | | | |
| CA CSD | [Only for notifications Received] | | | |
| Event Ref. | Shows the Reference of the CA Event given by the CSD. | | | |
| | Displayed format is: Max. 35 characters. | | | |
| CA ECMS Event Id. | [Only for notifications Sent] | | | |
| | Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. | | | |
| | Displayed format is: Max. 35 characters. | | | |
| Sender Ad- | [Only for notifications Received] | | | |
| dress | Shows the BIC address of the sender of the message. | | | |
| Receiver Address | [Only for notifications Sent] | | | |



| | Shows the BIC address of the receiver of the message. |
|-----------------------------|--|
| Asset Account Id. | Shows the Account number where the security concerned by the CA Event is hold. |
| Quantity Instructed in FAMT | Shows the quantity instructed in FAMT. |
| ISIN | Shows the ISIN of the security concerned by the CA Event. |
| CA Event | Shows the type of CA Event. |
| Туре | Displayed format is: Max. 4 characters. |
| Option Type | Shows the CA Option Type chosen by the Counterparty. |
| Option Number | Shows the CA Option Number chosen by the Counterparty. |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: |
| | - Impacted |
| | - Impact Failed |
| | - Rejected |
| | - Archived |
| | - Processed |
| | Processed with Failure |
| | - On Hold |

| Error De- scription | Shows the description of the error (if it has occurred) | | | | | |
|------------------------|---|--|--|--|--|--|
| Update | Shows the date and time of the last update of the CA Notification. | | | | | |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | | |
| Updater User Id | Shows the identification of the user that made the last update of the CA Notification. | | | | | |
| After selecting | ng a record, the following buttons are displayed | | | | | |
| Button | Function | | | | | |
| Reprocess | [Only for notifications Received] | | | | | |
| | This function enables the user to reprocess the selected message (only available for users with appropriate rights). | | | | | |
| Reprocess | [Only for notifications Received] | | | | | |
| All | This function enables the user to reprocess all the messages in List screen (only available for users with appropriate rights). | | | | | |
| Download | This function enables you to access to the detailed information of the original message in XML format. | | | | | |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | | | | | |
| View Mes- sage | This function enables you to access to the detailed information of the messages for same notification. | | | | | |
| | - View Message - Details Screen | | | | | |
| View Messa | ge – Details Screen | | | | | |
| Field | Description | | | | | |
| Message Reference | Shows the reference of the messge. | | | | | |



| Direction | Shows whether the notification has been an input or output. Possible values: | | |
|-----------------|---|--|--|
| | – In | | |
| | - Out | | |
| Status | Shows the status of the message. | | |
| After selecting | After selecting a record, the following buttons are displayed | | |
| Button | Function | | |
| Download | This function enables you to access to the detailed information of the ginal message in XML format. | | |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | | |

3.5.6.1.6 CA Movement Preliminary Advice (seev.035)

3.5.6.1.6.1 CA Movement Preliminary Advice (seev.035) - Search screen

| Context of Usage | This screen is used to search CA Movement Preliminary Advice Receiver Sent by the ECMS. | | | | |
|----------------------|--|--|--|--|--|
| | It contains a number of search fields. By inputting the relevant data, you can search for the messages corresponding to the entered criteria. | | | | |
| | The search results will be displayed in a list in the <i>CA Movement Preliminary Advice</i> (seev.035) – <i>List Screen</i> . | | | | |
| Business Case Re- | Custody >> Corporate Actions >> CA Entitlements >> Search / List CA Movement Preliminary Advice Received | | | | |
| lated | Custody >> Corporate Actions >> CA Entitlements >> Search / List CA Movement Preliminary Advice Sent | | | | |
| Screen | For CA Movement Preliminary Advice Received: | | | | |
| Access | Corporate Actions >> Messages Monitoring >> Incoming Messages >> Monitor CA Movement Preliminary Advice Received seev.035 | | | | |
| | For CA Movement Preliminary Advice Sent: | | | | |
| | Corporate Actions >> Messages Monitoring >> Outgoing Messages >> Monitor CA Movement Preliminary Advice Sent seev.035 | | | | |
| Screen- | For CA Movement Preliminary Advice Received: | | | | |
| shot | Models CA Manuscri Pridicitary Addres Technol see DD 9 | | | | |
| | Search: Incoming seev.035 Messagrid • • Advice Type • • • CA CSD Deer Ref • • • Asser Account id • • | | | | |
| | 151N · · · CA Event Type · · · Notifications Status · · · · Sender Address · · · | | | | |
| | Q such | | | | |
| | | | | | |
| | For CA Movement Preliminary Advice Sent: | | | | |
| | Moder CA Monter Principle Jakas Brothel Bertill Monter CA Monter C | | | | |
| | Search Search | | | | |
| | General Search Message id ■ ▼ CA ECA/S Event M ■ ▼ Advice Type ■ ▼ Previous Inconfication ■ ▼ Inconfication | | | | |
| | Neofficialises Status •• CA Event Type •• | | | | |
| | ⊋ Read | | | | |
| | | | | | |
| | | | | | |



| CA Moveme | ent Preliminary Advice (seev.035) - Search screen |
|------------------------|--|
| Field | Description |
| Message | Enter the identifier of the message. |
| Identifier | Required format is: Max. 35 characters. |
| CA CSD | [Only for notifications Received] |
| Event Ref. | Enter the Reference of the CA Event given by the CSD. |
| | Required format is: Max. 35 characters. |
| CA ECMS | [Only for notifications Sent] |
| Event Id. | Enter the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. |
| | Required format is: Max. 35 characters. |
| Advice Type | Enter / Select the function of the message from possible values: |
| | - CAST |
| | - NEWM |
| | - REPL |
| | - REVR |
| Sender Ad- | [Only for notifications Received] |
| dress | Enter the BIC address of the sender of the message. |
| Receiver | [Only for notifications Sent] |
| Address | Enter the BIC address of the receiver of the message. |
| Asset Ac- count ld. | Enter the Account number where the security concerned by the CA Event is hold. |
| ISIN | Enter the ISIN of the security concerned by the CA Event. |
| CA Event | Enter the type of CA Event. |
| Туре | Required format is: Max. 4 characters. |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: |
| | - Impacted |
| | Impact Failed |
| | - Rejected |
| | - Archived |
| | - Processed |
| | Processed with Failure |
| | - On Hold |
| | |

| Creation Date | Enter the reference date of the creation of the CA Notification or use the calendar icon. Required format is: DD/MM/YYYY hh:mm:ss:µs | | |
|--|---|--|--|
| Creation User Id | [Only for notifications Sent] | | |
| | Enter the identification of the user that made the creation of the CA Notification. | | |
| Button | Function | | |
| Reset | This function enables you to clear the form. | | |
| Search This function enables you to start a search according to the fiteria. The results are displayed in a list on the List Screen. | | | |



Next screen:

- CA Movement Preliminary Advice (seev.035) - List Screen.

3.5.6.1.6.2 CA Movement Preliminary Advice (seev.035) – List Screen

| Context of Usage | This screen contains the list of CA Movement Preliminary Advices. The seev.035 listed correspond to the search criteria capture in the search screen. | | | | |
|----------------------|--|--|--|--|--|
| | The list displayed can be sorted and filter using by the field displayed. | | | | |
| | The list can be exported. | | | | |
| Business Case Re- | Custody >> Corporate Actions >> CA Entitlements >> Search / List CA Movement Preliminary Advice Received | | | | |
| lated | Custody >> Corporate Actions >> CA Entitlements >> Search / List CA Movement Preliminary Advice Sent | | | | |
| Screen Ac- | For CA Movement Preliminary Advice Received: | | | | |
| cess | Corporate Actions >> Messages Monitoring >> Incoming Messages >> List Received seev.035 >> Click on the search button | | | | |
| | For CA Movement Preliminary Advice Sent: | | | | |
| | Corporate Actions >> Messages Monitoring >> Outgoing Messages >> List Outgoing seev.035 >> Click on the search button | | | | |
| Screen- shot | For CA Movement Preliminary Advice Received: List | | | | |
| | S0006 S0074MA0000 EOF AT5000ACCQ14 ANTOTECHNOOD fear S00,000 COCCENTRANCE Import Faller Access Registrate ² , 200,0021 10014. STP 230,0021 10014. STP 2 | | | | |
| | For CA Movement Preliminary Advice Sent: | | | | |
| | 15 V | | | | |
| | 477 NETROCOCOUTTS NETROCOCOUTTS NETRON NETRO NETROCOCOUTTS NETROCOCOCOUTTS NETROCOCOCOUTTS NETROCOCOCOCOCOCOCOCOCOCOCOCOCOCOCOCOCOCOC | | | | |
| | | | | | |
| | 423 NETROSCOCCAR | | | | |
| | | | | | |

| CA Movement Preliminary Advice (seev.035) - List screen | | |
|---|---|--|
| Field | Description | |
| Message Identifier | Shows the identifier of the message. | |
| | Displayed format is: Max. 35 characters. | |
| CA CSD Event Ref. | [Only for notifications Received] | |
| | Shows the Reference of the CA Event given by the CSD. | |
| | Displayed format is: Max. 35 characters. | |
| CA ECMS Event Id. | [Only for notifications Sent] | |



Date

| | Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. |
|------------------------|--|
| | Displayed format is: Max. 35 characters. |
| Advice Type | Shows the function of the message from possible values: |
| , , , | - CAST |
| | – NEWM |
| | - REPL |
| | – REVR |
| Fligibility In- | Shows whether the message is final [Yes] or not [No] |
| dicator | chows whether the message is final [163] of hot [No] |
| Sender Ad- | [Only for notifications Received] |
| dress | Shows the BIC address of the sender of the message. |
| Receiver | [Only for notifications Sent] |
| Address | Shows the BIC address of the receiver of the message. |
| Asset Ac- count Id. | Shows the Account number where the security concerned by the CA Event is hold. |
| ISIN | Shows the ISIN of the security concerned by the CA Event. |
| Eligible Bal- ance | Shows the balance of securities eligible for this corporate action event. The entitlement calculation is based on this balance |
| Reversal | Shows the reason for the reversal from possible values: |
| Reason Code | Day Count Basis Difference - DCBD |
| Code | Incorrect Value Date - IVAD |
| | - Incorrect Record Date - IRED |
| | - Incorrect Price - IPRI |
| | - Undue Payment - UPAY |
| | Incorrect Event Level Tax Rate - IETR |
| | - Funds Not Received - FNRC |
| | - Payment Outside Clearing System - POCS |
| | - Incorrect Payment Currency - IPCU |
| CA Event | Shows the type of CA Event. |
| Туре | Displayed format is: Max. 4 characters. |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: |
| | - Impacted |
| | - Impact Failed |
| | - Rejected |
| | - Archived |
| | - Processed |
| | - Processed with Failure |
| | - On Hold |
| Error De- scription | Shows the description of the error (if it has occurred) |
| Update | Shows the date and time of the last update of the CA Notification. |
| Date | The sale and and and or the last apacts of the or thousand. |

Displayed format is: DD/MM/YYYY hh:mm:ss:µs.



| Updater User Id | Shows the identification of the user that made the last update of the CA Notification. | | | |
|---|---|--|--|--|
| After selecting a record, the following buttons are displayed | | | | |
| Button | Function | | | |
| Reprocess | [Only for notifications Received] | | | |
| | This function enables the user to reprocess the selected message (only available for users with appropriate rights). | | | |
| Reprocess | [Only for notifications Received] | | | |
| All | This function enables the user to reprocess all the messages in List screen (only available for users with appropriate rights). | | | |
| Download | This function enables you to access to the detailed information of the original message in XML format. | | | |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | | | |
| View Mes- sage | This function enables you to access to the detailed information of the messages for same notification. | | | |
| | - View Message - Details Screen | | | |
| View Messa | age – Details Screen | | | |
| Field | Description | | | |
| Message Reference | Shows the reference of the messge. | | | |
| Direction | Shows whether the notification has been an input or output. Possible values: | | | |
| | - In | | | |
| | - Out | | | |
| Status | Shows the status of the message. | | | |
| After selecting | After selecting a record, the following buttons are displayed | | | |
| Button | Function | | | |
| Download | This function enables you to access to the detailed information of the original message in XML format. | | | |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | | | |
| | | | | |

3.5.6.1.7 CA Movement Confirmation (seev.036)

3.5.6.1.7.1 CA Movement Confirmation (seev.036) - Search screen

| Context of Usage | This screen is used to search CA Movement Confirmation Received or Sent by the ECMS. |
|----------------------|---|
| | It contains a number of search fields. By inputting the relevant data, you can search for the messages corresponding to the entered criteria. |
| | The search results will be displayed in a list in the CA Movement Confirmation (seev.036) – List Screen. |
| Business Case Re- | Custody >> Corporate Actions > CA Movements >> Search / List CA Movement Confirmation Received |
| lated | Custody >> Corporate Actions > CA Movements >> Search / List CA Movement Confirmation Sent |



| Screen | For CA Movement Confirmation Received: | | | | | |
|---------|---|---|--------------------------------|------------------------|----------|--|
| Access | Corporate Actions >> Messages Monitoring >> Incoming Messages >> List Received seev.036 | | | | | |
| | For CA Movem | ent Confirmation | Sent: | | | |
| | · · | Corporate Actions >> Messages Monitoring >> Outgoing Messages >> List Outgoing seev.036 | | | | |
| Screen- | For CA Movem | ent Confirmation | Received: | | | |
| shot | Ust Received sees 016 O List Outgoing cares 016 E | ribit Authorisation Response | | | ** | |
| | Message Ref ▼ | CA CSD Event Ref ▼ | Sender Address ▼ | Notifications Status ▼ | • | |
| | Asset Account Id ▼ | CA Event Type ▼ Creation Date ▼ | Option Number ▼ Update Date ▼ | Option Type ▼ | | |
| | "D Reset | | | | Q Search | |
| | | | | | | |
| | For CA Movement Confirmation Sent: | | | | | |
| | List Received seev 036 Clast Outgoing carm 036 Search | Debit Authorisation Résponse 🌼 | | | * * | |
| | CA ECIMS Event Id. → ▼ | Message Ref. == ▼ | App Reference → ▼ | Instruction *** * | | |
| | Value Date : from 🖺 to | | ▼ Update Date ▼ | Ö | | |
| | CO Reset | | | | Q Search | |

| CA Moveme | ent Confirmation (seev.036) - Search screen | | |
|------------------------|--|--|--|
| Field | Description | | |
| Message | Enter the identifier of the message. | | |
| Identifier | Required format is: Max. 35 characters. | | |
| CA CSD | [Only for notifications Received] | | |
| Event Ref. | Enter the Reference of the CA Event given by the CSD. | | |
| | Required format is: Max. 35 characters. | | |
| CA ECMS | [Only for notifications Sent] | | |
| Event Id. | Enter the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. | | |
| | Required format is: Max. 35 characters. | | |
| Sender Ad- | [Only for notifications Received] | | |
| dress | Enter the BIC address of the sender of the message. | | |
| Receiver | [Only for notifications Sent] | | |
| Address | Enter the BIC address of the receiver of the message. | | |
| Asset Ac- count Id. | Enter the Account number where the security concerned by the CA Event is hold | | |
| ISIN | Enter the ISIN of the security concerned by the CA Event. | | |
| CA Event | Enter the type of CA Event. | | |
| Туре | Required format is: Max. 4 characters. | | |
| Option Type | Enter the CA Option Type chosen by the Counterparty. | | |
| Option Number | Enter the CA Option Number chosen by the Counterparty. | | |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: | | |
| | - Impacted | | |



| - Impact Failed |
|--------------------------|
| - Rejected |
| - Archived |
| - Processed |
| - Processed with Failure |
| - On Hold |

| Creation Date | Enter the reference date of the creation of the CA Movement Confirmation Received / Sent or use the calendar icon. |
|------------------|--|
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Update Date | Enter the date and time of the last update of the CA Movement Confirmation Received / Sent or use the calendar icon. |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs. |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | - CA Movement Confirmation (seev.036) - List Screen. |

3.5.6.1.7.2 CA Movement Confirmation (seev.036) - List Screen

| Context of | This screen contains the list of CA Movement Confirmations. |
|----------------------|---|
| Usage | The CACO listed correspond to the search criteria capture in the search screen. |
| | The list displayed can be sorted and filter using by the field displayed. |
| | The list can be exported. |
| Business Case Re- | Custody >> Corporate Actions > CA Movements >> Search / List CA Movement Confirmation Received |
| lated | Custody >> Corporate Actions > CA Movements >> Search / List CA Movement Confirmation Sent |
| Screen Ac- | For CA Movement Confirmation Received: |
| cess | Corporate Actions >> Messages Monitoring >> Incoming Messages >> List Received seev.036 >> Click on the search button |
| | For CA Movement Confirmation Sent: |
| | Corporate Actions >> Messages Monitoring >> Outgoing Messages >> List Outgoing seev.036 >> Click on the search button |
| Screen- | For CA Movement Confirmation Received: |
| shot | List List |
| | For CA Movement Confirmation Sent: |





| CA Moveme | ent Confirmation (seev.036) – List screen |
|----------------------------------|--|
| Field | Description |
| Message | Shows the identifier of the message. |
| Identifier | Displayed format is: Max. 35 characters. |
| CA CSD | [Only for notifications Received] |
| Event Ref. | Shows the Reference of the CA Event given by the CSD. |
| | Displayed format is: Max. 35 characters. |
| CA ECMS | [Only for notifications Sent] |
| Event Id. | Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. |
| | Displayed format is: Max. 35 characters. |
| Sender Ad- | [Only for notifications Received] |
| dress | Shows the BIC address of the sender of the message. |
| Receiver | [Only for notifications Sent] |
| Address | Shows the BIC address of the receiver of the message. |
| Option Type | Shows the CA Option Type chosen by the Counterparty. |
| Option Number | Shows the CA Option Number chosen by the Counterparty. |
| Asset Account Id. | Shows the Account number where the security concerned by the CA Event is hold |
| ISIN | Shows the ISIN of the security concerned by the CA Event. |
| CA Event | Shows the type of CA Event. |
| Туре | Displayed format is: Max. 4 characters. |
| Total Eli- gible Bal- ance | Shows the Total balance of securities eligible for this corporate action event. The entitlement calculation is based on this balance. |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: |
| | - Impacted |
| | Impact Failed |
| | - Rejected |
| | - Archived |
| | - Processed |
| | Processed with Failure |
| | - On Hold |

| Error De- scription | Shows the description of the error (if it has occurred) |
|------------------------|--|
| Update Date | Shows the date and time of the last update of the CA Notification. |



| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
|----------------------|---|
| Updater User Id | Shows the identification of the user that made the last update of the CA Notification. |
| After selection | ng a record, the following buttons are displayed |
| Button | Function |
| Reprocess | [Only for notifications Received] |
| | This function enables the user to reprocess the selected message (only available for users with appropriate rights). |
| Reprocess | [Only for notifications Received] |
| All | This function enables the user to reprocess all the messages in List screen (only available for users with appropriate rights). |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| View Mes- sage | This function enables you to access to the detailed information of the messages for same notification. |
| | - View Message - Details Screen |
| View Messa | age – Details Screen |
| Field | Description |
| Message Reference | Shows the reference of the messge. |
| Direction | Shows whether the notification has been an input or output. Possible values: |
| | – In |
| | - Out |
| Status | Shows the status of the message. |
| After selection | ng a record, the following buttons are displayed |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |

3.5.6.1.8 CA Movement Reversal Advice (seev.037)

The ECMS receives from the CSDs Corporate Action Movement Reversal Advice (CARE) to confirm the reversal of the postings sent in the seev.035 (cash and/or securities) made to the account owner's safekeeping and / or cash accounts.

The ECMS processes the reversal of the posting and afterwards forwards the message to the entitled Counterparties.

3.5.6.1.8.1 CA Movement Reversal Advice (seev.037) - Search screen

| Context of | This screen contains a number of search fields. By inputting the relevant |
|------------|--|
| Usage | data, you can search for the CA Movement Reversal Advice Received / |
| | Sent. |
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |



| Screen | For CA Moven | nent Reversal Ad | vice Received: | | |
|---------|--|---|---|---|-----------|
| Access | | • | s Monitoring >> Inc Il Advice Received | 0 | >> |
| | For CA Moven | nent Reversal Ad | vice Sent: | | |
| | | • | s Monitoring >> Ou Il Advice Sent (see | 0 0 | >> |
| Screen- | For CA Moven | nent Reversal Ad | vice Received: | | |
| shot | Monitor CA Movement Reversal Advice Received (seex C | 037) O Moritor CA Movement Reversal Advice Strit (seex 037) | | | |
| | Search | | | | * * |
| | Message Ref ▼ | CA CSD Event Ref ▼ | Sender Address ▼ | Notifications Status ▼ | • |
| | ISIN ▼ Creation Date ▼ | Asset Account Id ▼ | CA Event Type ▼ | Option Type 🕶 | |
| | ⊃ Resust | | | | Q Search |
| | For CA Moven | ment Reversal Ad | vice Sent: | | |
| | Search | | | | * ~ |
| | | | | | |
| | Message Ref ▼ | CA ECMS Event Ref ▼ | Receiver Address ▼ | Notifications Status 👓 🔻 | · |
| | Asset Account Id ▼ | CA Event Type → ▼ | Option Type • | Notifications Status ▼ Option Number ▼ | · |
| | | | | | Q. Search |
| | Asset Account Id ▼ ISIN ▼ | CA Event Type → ▼ | Option Type • | | Q Searth |

| CA Moveme | ent Reversal Advice (seev.037) – Search screen | | | | | |
|------------------------|---|--|--|--|--|--|
| Field | Description | | | | | |
| Message | Enter the identifier of the message. | | | | | |
| Identifier | Required format is: Max. 35 characters. | | | | | |
| CA CSD | [Only for notifications Received] | | | | | |
| Event Ref. | Enter the Reference of the CA Event given by the CSD. | | | | | |
| | Required format is: Max. 35 characters. | | | | | |
| CA ECMS | [Only for notifications Sent] | | | | | |
| Event Id. | Enter the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. | | | | | |
| | Required format is: Max. 35 characters. | | | | | |
| Sender Ad- | [Only for notifications Received] | | | | | |
| dress | Enter the BIC address of the sender of the message. | | | | | |
| Receiver | [Only for notifications Sent] | | | | | |
| Address | Enter the BIC address of the receiver of the message. | | | | | |
| Asset Ac- count Id. | Enter the identifier of the T2S Securities Account where financial instruments are maintained. | | | | | |
| | Required format is: Max. 35 characters. | | | | | |
| ISIN | Enter the ISIN of the security concerned by the CA Event. | | | | | |
| CA Event | Enter the type of CA Event. | | | | | |
| Туре | Required format is: Max. 4 characters. | | | | | |
| Option Type | Enter the CA Option Type chosen by the Counterparty. | | | | | |
| Option Number | Enter the CA Option Number chosen by the Counterparty. | | | | | |



| In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: |
|--|
| - Impacted |
| - Impact Failed |
| - Rejected |
| - Archived |
| - Processed |
| - Processed with Failure |
| - On Hold |
| |

| Creation Date | Enter the reference date of the creation of the CA Instruction Cancellation Request Received / Sent or use the calendar icon. |
|---------------|--|
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | - CA Movement Reversal Advice (seev.037) - List Screen. |

3.5.6.1.8.2 CA Movement Reversal Advice (seev.037) – List Screen

| | | | versa | ent Re | vioveme | CA N | e list of | ains the | conta | reen c | his so | |
|--|--|--|--|--|--|--|--|--|--|--|--|---------------|
| The list can be exported. Screen Accords Corporate Actions >> Messages Monitoring >> Incoming Messages Monitor CA Movement Reversal Advice Received (seev.037) >> Click the search button (after inputting the relevant data, if needed) For CA Movement Reversal Advice Sent: Corporate Actions >> Messages Monitoring >> Outgoing Messages Monitor CA Movement Reversal Advice Sent: Corporate Actions >> Messages Monitoring >> Outgoing Messages Monitor CA Movement Reversal Advice Sent (seev.037) >> Click or search button (after inputting the relevant data, if needed) Screenshot For CA Movement Reversal Advice Received: Screenshot For CA Movement Reversal Advice Received: Screenshot S | the | apture ir | eria c | ch crit | he sear | d to th | respon | ed cor | | | | |
| Screen Ac- cess Corporate Actions >> Messages Monitoring >> Incoming Messages Monitor CA Movement Reversal Advice Received (seev.037) >> Clin the search button (after inputting the relevant data, if needed) For CA Movement Reversal Advice Sent: Corporate Actions >> Messages Monitoring >> Outgoing Messages Monitor CA Movement Reversal Advice Sent: Corporate Actions >> Messages Monitoring >> Outgoing Messages Monitor CA Movement Reversal Advice Sent (seev.037) >> Click or search button (after inputting the relevant data, if needed) Screen- shot Tor CA Movement Reversal Advice Received: Screen- shot Tutto Comming served? Tutto Co | ayed. | field dis | y the | sing b | d filter u | d and | e sorte | can b | ayed | t displa | he list | |
| Corporate Actions >> Messages Monitoring >> Incoming Messages Monitor CA Movement Reversal Advice Received (seev.037) >> Clin the search button (after inputting the relevant data, if needed) For CA Movement Reversal Advice Sent: Corporate Actions >> Messages Monitoring >> Outgoing Messages Monitor CA Movement Reversal Advice Sent (seev.037) >> Click or search button (after inputting the relevant data, if needed) Screenshot For CA Movement Reversal Advice Received: Shot Screenshot Comparison Comp | | | | | | | d. | portec | e ex | t can b | he list | |
| Monitor CA Movement Reversal Advice Received (seev.037) >> Clinthe search button (after inputting the relevant data, if needed) For CA Movement Reversal Advice Sent: Corporate Actions >> Messages Monitoring >> Outgoing Messages Monitor CA Movement Reversal Advice Sent (seev.037) >> Click or search button (after inputting the relevant data, if needed) Screen- shot For CA Movement Reversal Advice Received: String St | | | | ed: | Receiv | dvice | ersal A | nt Reve | men | Move | or CA | creen Ac- |
| Corporate Actions >> Messages Monitoring >> Outgoing Messages Monitor CA Movement Reversal Advice Sent (seev.037) >> Click or search button (after inputting the relevant data, if needed) Screen-shot Screen-shot | _ | Monitor CA Movement Reversal Advice Received (seev.037) >> | | | | | | | | | | |
| Monitor CA Movement Reversal Advice Sent (seev.037) >> Click or search button (after inputting the relevant data, if needed) Screen-shot For CA Movement Reversal Advice Received: List: Incoming seev.037 List: Incoming | , , , | | | | | | | | | | | |
| List: Incoming see/.037 | | | | | onitoring | es Mo | lessage | s >> M | ctions | ate Ac | Corpor | |
| | N OII LIIE | , | | • | | | Revers | ment I | /love | r CA N | /lonito | |
| | | , | | latà, if | levant c | ne rel | Revers utting tl | ment I ter inp | /lovei | r CA N buttor | /lonito | |
| GOLDSTALLAND GOLD | Contine | , | | latà, if | levant c | ne rel | Revers utting tl | ment I ter inp | /lovei | r CA N buttor Move | Monito earch or CA | creen- |
| | M. epontantéessi 🛍 ★ 🖓 | ed) | | latà, if ed: | levant c | ne rel dvice | Revers utting tl | ment I ter inp nt Reve | /lovei | r CA N buttor Move | Monitonic search For CA | creen- |
| GENERALIZED GENERALIZED CASH REEM ATGROSCOPIC ON CIGARWRXXX ARRESTSACCED INpacted DESCRIPTION CASH REEM DESCRIPTION CA | Id emportsearchhosan □ ★ ♡ | ed) | need | atà, if | Receiv | ne rel | Revers utting the | ement I ter inpu | Movein (after | r CA N buttor Move | Monito earch For CA | creen- |
| 6510963022295 G50906322291 CASH PREM AT0900000095 OCT OCENTWHYXXX ABURT2S4AC004 Impacted 100962022196932.723 69060222995 G5096032299 CASH PREM AT0900000095 OCT OCENTWHYXXX ABURT2S4AC004 Impacted October 2011 OCENTWHYXXX ABURT2S4AC004 Impact October 2011 OCENTWHYXXX ABURT2S4AC004 Impact October 2011 OCENTWHYXXX ABURT2S4AC004 Impact OCENTWHYXXXX ABURT2S4AC004 Impact OCENTWHYXXXX ABURT2S4AC004 Impact | IM eportseart/Assut 頃 ★ 分 bans 5 ▽ injudent Unit is 5 22122035859 IOZNITM | ed) | need | lata, if | levant concerns to Receive | ne rel | Revers utting the ersal Ac | ement I ter input nt Reve | Mover n (after emen | r CA Nouttor Move 7 CAGGORGEROSCETA | Monitole earch For CA ist incoming seev.03 10 (STREADER HU) (STREADER HU) (STREADER HU) (STREADER HU) | creen- |
| 50060222995 55006022291 CASH REIM AT000000005 001 OCIGATWR0XX ABUTESIACO04 Impacted 00000202155511228 Impacted 00000202155511228 Impacted 000002021575 CASH BITT AT020000002 001 OCIGATWR0XX ABUTESIACO04 Impact field Megic-0011 No CAs. 1000020215 001 OCIGATWR0XX ABUTESIACO04 Impact field Megic-0011 No CAs. 1000020215 001 OCIGATWR0XX ABUTESIACO04 Impact field Megic-0011 No CAs. 1000020215 001 OCIGATWR0XX ABUTESIACO04 Impact field Megic-0011 No CAs. 1000020215 001 OCIGATWR0XX ABUTESIACO04 Impact field Megic-0011 No CAs. 1000020215 001 OCIGATWR0XX ABUTESIACO04 Impact field Megic-0011 No CAs. 1000020215 001 OCIGATWR0XX ABUTESIACO04 Impact field Megic-0011 No CAs. 1000020215 001 OCIGATWR0XX ABUTESIACO04 Impact field Megic-0011 No CAs. 1000020215 001 OCIGATWR0XX ABUTESIACO04 Impact field Megic-0011 No CAs. 1000020215 001 OCIGATWR0XX ABUTESIACO04 Impact field Megic-0011 No CAs. 1000020215 001 OCIGATWR0XX ABUTESIACO04 Impact field Megic-0011 No CAS. 1000020215 001 OCIGATWR0XX ABUTESIACO04 Impact field Megic-0011 No CAS. 1000020215 001 OCIGATWR0XX ABUTESIACO04 Impact field Megic-0011 No CAS. 1000020215 001 OCIGATWR0XX ABUTESIACO04 Impact field Megic-0011 No CAS. 1000020215 001 OCIGATWR0XX ABUTESIACO04 Impact field Megic-0011 No CAS. 1000020215 001 OCIGATWR0XX ABUTESIACO04 Impact field Megic-0011 No CAS. 1000020215 001 OCIGATWR0XX ABUTESIACO04 Impact field Megic-0011 No CAS. 1000020215 001 OCIGATWR0XX ABUTESIACO04 Impact field Megic-0011 No CAS. 1000020215 001 OCIGATWR0XX ABUTESIACO04 Impact field Megic-0011 No CAS. 1000020215 001 OCIGATWR0XX ABUTESIACO04 Impact field Megic-0011 NO CAS. 1000020215 001 OCIGATWR0XX ABUTESIACO04 Impact field Megic-0011 NO CAS. 1000020215 001 OCIGATWR0XX ABUTESIACO04 Impact field Megic-0011 NO CAS. 1000020215 001 OCIGATWR0XX ABUTESIACO04 Impact field Megic-0011 NO CAS. 1000020215 001 OCIGATWR0XX ABUTESIACO04 Impact field Megic-0011 NO CAS. 1000020215 001 OCIGATWR0XX ABUTESIACO04 Impact field Megic-0011 NO CAS. 1000020215 001 OCIGATWR0XX ABUTESIACO04 IMPACT ABUTESIACO04 IMPACT ABUTESIACO0 | | MegaCord 104: BRACO- 2 Swittersgrace COO4: RF. | Notifications Statute Impact Failed Impact Failed Impact Failed Impact Failed Rejected | ASSIT ACCOUNT IN I | Received Statement of Received Statement of Received Statement of Stat | Page 1 ot2 > Option Number of Otto | Revers utting to | ement I ter inputer in | Mover n (after emen | T CA Nobuttor Move 7 CACCDEMINE (MILE) GREEDINGOZZENIA GREEDINGOZZENIA GREEDINGOZZENIA | Monito search For CA ist Incoming seev.03 18 Montage M. GROWDERSCALH GROWDERSCALH GROWDERSCALH GROWDERSCALH GROWDERSCALH GROWDERSCALH GROWDERSCALH | creen- hot |
| GR10092213U GR10092213U CASH INTR ATG;20000002 001 OCSOATWXXXX ADVITZESAXODA Impact Failed MegaCo-0101 to CA So. 10-05/2021 5/32-8-172 | ** experiment *** ** ** ** ** ** ** ** ** ** ** ** * | ed) ### Princ Description 8 | Neidifications Status Impact Falled Impact Falled Impact Falled Impacted Impacted | Asont Account (d. 9 Asont Acc | PReceived Senter Address 8 OCEDAT WYDOX OCED | ne reli dvice | Revers utting to | ement I ter input Revenue Transporter Tran | Movemen (after cash cash cash cash cash | T CA Nobultor Move 7 CACCIDENTED TO BE SERVICE TO CHESSION OCCUPANT A CHESSION OCCU | Monito cearch For CA ist Incoming seev.03* Metalogist 6 GS200676022J841J GS200676022J8 GS200676022J8 GS20067602ZJ8 GS20067602ZJ8 | creen- hot |
| | | Megicar Olds (Britico) Megicar Olds (Britico) Megicar Olds (Britico) Megicar Olds (Britico) Suffittenguero Olds (Britico) 2 | Notifications Status Impact Failed Impact Failed Impact Failed Impact Failed Impacted Impacted Impacted | ABWITZSSACIOA ABWITZSSACIOA ABWITZSSACIOA ABWITZSSACIOA ABWITZSSACIOA ABWITZSSACIOA ABWITZSSACIOA ABWITZSSACIOA | PRECEIVED STATE OF THE PROPERTY OF THE PROPERT | ne reli dvice Pogr 1 ot2 > Option Number oot oot oot oot oot oot oot o | Revers utting to ersal Action Action (National Control | ement I ter input at Reve | Mover n (after emen | T CA Nobuttor Move 7 CACGUE WAR PART 9 CACGUE W | Monito search For CA ist Incoming seev.03* Monage in 1 | creen- hot |
| | 18 opportionant/result □ ★ ♥ Johns □ □ opportionant Mar M 8 21 10 005 515 10 107779 22 15 40 11 10 10 10 10 10 10 10 10 10 10 10 10 | ed) *** Free discrepant *** *** ** *** *** *** *** *** ** *** *** *** *** *** *** *** *** *** *** *** *** ** *** *** *** *** *** *** *** *** *** *** *** *** ** *** *** *** *** *** *** *** *** *** *** *** *** ** *** *** *** *** *** *** *** *** *** *** *** *** ** *** *** * | Notifications Status Impact Falsed Impact Falsed Impact Falsed Impacted Impacted Impacted Impacted Impacted Impacted | ASMITACOURT IS SAUTHER ACCOUNT IS SAUTHER ACCOUNT IS SAUTHER ACCOUNT IS SAUTHER ACCOUNT ACCOUN | PRECEIVED TO STATE THE PROPERTY OF THE PROPERT | Pop 1 or 2 > V Option Number of Oil | Revers utting to ersal Acceptage Acc | ement I ter input ter input ter input total Reve | Movel (after after | T CA N buttor Move 7 CACSDEWERRIT GREENOGOZZII A | Monito Search For CA ist Incoming seev.03* 10 ** Manager Int. 9 Manager Int. 9 GEOGRAPHICAL HILL GEOGRAPHICAL HIL | creen- hot |
| Constant Paper | 18 opportionant/result □ ★ ♥ Johns □ □ opportionant Mar M 8 21 10 005 515 10 107779 22 15 40 11 10 10 10 10 10 10 10 10 10 10 10 10 | Megicar of list. Bind. Co | Netfleation Status Impact Faled Impact Faled Impact Faled Impacted Impacted Impacted Impacted Impacted Impacted Impacted Impacted Impact Faled | ANNITESSACODA | PRECEIV A Receiv A result of the control of the c | Popr 1 or2 > Or | Revers utting tl ersal Ac | ement Inter input eter | Movel (after emen | T CA N buttor Move 7 CACCDYNA PRI 9 CACCDY | Monito search For CA ist Incoming seev.03* 19 19 Montage 18 GST20ER002JH 13 GST20ER002JH 23 GST20ER002JH 23 GST20ER002JH 24 GST20ER002 | creen- hot |





| Field Do | t Reversal Advice (seev.037) – List screen Description Chows the identifier of the message. |
|---------------------|--|
| Message SI | shows the identifier of the message. |
| I al a sa kifi a sa | • |
| · · · D | |
| CA CSD /C | Displayed format is: Max. 35 characters. Only for notifications Received] |
| Event Def | shows the Reference of the CA Event given by the CSD. |
| | • • |
| | Displayed format is: Max. 35 characters. |
| Event Id | Only for notifications Sent] |
| Si | shows the reference of the CA Event given by the ECMS to the CA event be used by counterparties. |
| Di | Displayed format is: Max. 35 characters. |
| _ | Only for notifications Received] |
| dress | shows the BIC address of the sender of the message. |
| - | Only for notifications Sent] |
| Address SI | shows the BIC address of the receiver of the message. |
| Option Type SI | shows the CA Option Type chosen by the Counterparty. |
| Option SI Number | shows the CA Option Number chosen by the Counterparty. |
| | shows the identifier of the T2S Securities Account where financial instru- nents are maintained. |
| Di | Displayed format is: Max. 35 characters. |
| ISIN SI | shows the ISIN of the security concerned by the CA Event. |
| CA Event SI | shows the type of CA Event. |
| Type Di | Displayed format is: Max. 4 characters. |
| | n case of a Search Screen you can enter the Status of the Notification, in ther cases shows the Status of the Notification from the possible values: |
| _ | - Impacted |
| _ | - Impact Failed |
| - | - Rejected |
| | - Archived |
| | - Processed |
| | - Processed with Failure |
| | - On Hold |
| | shows the description of the error (if it has occurred) |

Error De-Shows the description of the error (if it has occurred) scription



| Update | Shows the date and time of the last update of the CA Notification. |
|----------------------|---|
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the CA Notification. |
| After selection | ng a record, the following buttons are displayed |
| Button | Function |
| Reprocess | [Only for notifications Received] |
| | This function enables the user to reprocess the selected message (only available for users with appropriate rights). |
| Reprocess | [Only for notifications Received] |
| All | This function enables the user to reprocess all the messages in List screen (only available for users with appropriate rights). |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| View Mes- sage | This function enables you to access to the detailed information of the messages for same notification. |
| | - View Message - Details Screen |
| View Messa | ge – Details Screen |
| Field | Description |
| Message Reference | Shows the reference of the messge. |
| Direction | Shows whether the notification has been an input or output. Possible values: |
| | – In |
| | - Out |
| Status | Shows the status of the message. |
| After selecting | ng a record, the following buttons are displayed |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| | |

3.5.6.1.9 CA Cancellation Advice (seev.039)

The ECMS receives from the CSDs Corporate Action Cancellation Advice (CANC) to inform on the cancellation of upcoming CA Events.

The ECMS processes the cancellation of the CA Event and afterwards forwards the message to the entitled Counterparties.

3.5.6.1.9.1 CA Cancellation Advice (seev.039)- Search screen

| Context of | This screen contains a number of search fields. By inputting the relevant |
|------------|--|
| Usage | data, you can search for the CA Cancellation Advice Received / Sent. |
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |



| Screen | For CA Cancellatio | n Advice Received: | | | | | | |
|-----------------|---|--|--|------------|--|--|--|--|
| Access | Corporate Actions >> Messages Monitoring >> Incoming Messages >> Monitor CA Cancellation Advice Received (seev.039) | | | | | | | |
| | For CA Cancellatio | n Advice Sent: | | | | | | |
| | • | >> Messages Monitorion lation Advice Sent (see | ng >> Outgoing Messag ev.039) | jes >> | | | | |
| Screen- shot | For CA Cancellatio | n Advice Received: | | | | | | |
| | Search: Incoming seev.039 | | | # 5 | | | | |
| | Message Reference ▼ | CA CSD Evers Ref ▼ | Notifications Status 🕶 | | | | | |
| | Sender Address ▼ | isin ▼ | CA Event Type Cancellation Reason Code | | | | | |
| | Participation Type ▼ □ Renet | Creation Date | Cancellation Reason Code ▼ | | | | | |
| | ○ Brant | | | | | | | |
| | For CA Cancellatio | n Advice Sent: | | | | | | |
| | Monitor CA Concellation Advice Received (sens.035) Monitor CA Car | cellation Advice Sent (seek 039) | | | | | | |
| | Search: Outgoing seev.039 | | | ₩ 🗷 | | | | |
| | Message Id. == ▼ | CA ECMS Event Id. ■■ ▼ | Notifications Status == ▼ | | | | | |
| | Receiver Address *** Participation Type *** | SIN ** ▼ Cancellation Reason Code ** ▼ | CA Event Type ■■ ▼ Creation Date ■■ ▼ | _ | | | | |
| | ⊃ Reset | | | Q Search | | | | |
| | O nesei | | | Q sealor | | | | |
| | | | | | | | | |
| | | | | | | | | |

| CA Cancella | ation Advice (seev.039) – Search screen |
|------------------|---|
| Field | Description |
| Message | Enter the identifier of the message. |
| Identifier | Required format is: Max. 35 characters. |
| CA CSD | [Only for notifications Received] |
| Event Ref. | Enter the Reference of the CA Event given by the CSD. |
| | Required format is: Max. 35 characters. |
| CA ECMS | [Only for notifications Sent] |
| Event Id. | Enter the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. |
| | Required format is: Max. 35 characters. |
| Sender Address | [Only for notifications Received] |
| | Enter the BIC address of the sender of the message. |
| Receiver | [Only for notifications Sent] |
| Address | Enter the BIC address of the receiver of the message. |
| ISIN | Enter the ISIN of the security concerned by the CA Event. |
| CA Event | Enter the type of CA Event. |
| Туре | Required format is: Max. 4 characters. |
| Option Type | Enter the CA Option Type chosen by the Counterparty. |
| Option Number | Enter the CA Option Number chosen by the Counterparty. |
| | Enter if the CA Event is: |
| Туре | – MAND – Mandatory |
| | CHOS – Mandatory with Choice |
| | - VOLU - Voluntary |



| Cancellation Reason | Enter the code of the Cancellation Reason of the CA Event from the possible values: |
|------------------------|--|
| Code | WITH – Withdrawal |
| | PROC - Processing |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: |
| | - Impacted |
| | Impact Failed |
| | - Rejected |
| | - Archived |
| | - Processed |
| | Processed with Failure |
| | - On Hold |

| Creation Date | Enter the reference date of the creation of the CA Instruction Cancellation Request Received / Sent or use the calendar icon. | | | | |
|------------------|--|--|--|--|--|
| | Required format is: DD/MM/YYYY hh:mm:ss:µs | | | | |
| Button | Function | | | | |
| Reset | This function enables you to clear the form. | | | | |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. | | | | |
| | Next screen: | | | | |
| | - CA Cancellation Advice (seev.039) - List Screen. | | | | |

3.5.6.1.9.2 CA Cancellation Advice (seev.039)– List Screen

| Screen Ac- cess | Corporate Monitor CA | een. played be expected ncellate Action Cance | d can xporte tion A s >> | be so ed. advice | rted a | nd filt | | | | | | d. |
|--------------------------------|---|---|-----------------------------------|--|-----------------------|------------------------------|----------------------|---------------------------|-------------------------|-----------------------|---|--------------------|
| Screen Ac- cess C | The list care For CA Ca Corporate Monitor CA | n be ex ncellar Action | xporte tion A s >> | ed. Idvice | | | er usi | ng by | the fie | ld dis | played | d. |
| Screen Ac- cess C M s | For CA Ca Corporate Monitor CA | ncella: Action Cand | tion A s >> | dvice | Rece | ived: | | | | | | |
| cess C | Corporate Monitor CA | Action Cano | s >> | | Rece | ived: | | | | | | |
| N Se | Nonitor CA | Cano | | 1/ | | ivou. | | | | | | |
| _ | | ton (af | | Corporate Actions >> Messages Monitoring >> Incoming Messages >> Monitor CA Cancellation Advice Received (seev.039) >> Click on the search button (after inputting the relevant data, if needed) | | | | | | | | |
| <i> </i> | For CA Cancellation Advice Sent: | | | | | | | | | | | |
| l N | Corporate Monitor CA outton (after | Cano | ellati | on Ad | vice S | Sent (s | seev.C | 39) >> | | | | |
| Screen- F shot | For CA Ca | | | | Rece | | | , | | | | × 9 |
| | Message Reference \$ | CA CSD Event Ref. • 💎 | Sender Address \$ | ☐ CA Event Type ☐ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ | Participation Type \$ | ♥ ISIN ¢ | Notification Type \$ | Notifications Status \$ | Error Description \$ 9 | Creation Date \$ | Update Date \$ | Updater User Id \$ |
| | BPUT08150041 BPUT08150041 | GRI1407202201B GRI1407202201B | ABVRATWW004 OCSDATWWXXX | BPUT | VOLU | ATG551012127 ATG551012127 | WITH | Impacted Rejected | #RJCT#INTF006 The 8 | 26/07/2022 19:32:34:6 | 26/07/2022 19:32:34:6. | CSDUser admin |
| E | BPUT06150041 | GRI1407202201B | OCSDATWWXXX | BPUT | VOLU | ATG551012127 | WITH | Rejected | #RJCT#INTF005 The s | 26/07/2022 19:27:44:6 | | |
| □ Ø | BPUT06150041 | GRI1407202201B | BSCHESMMOOX | BPUT | VOLU | ATG551012127 | WITH | Impacted | Switchiegrator-0004; # | | 26/07/2022 19:26:03:9 | |
| | | GRI14072022018 GRI14072022018 | OCSDATWWXXX | BPUT | VOLU | ATG551012127 ATG551012127 | WITH | Rejected Impacted | Swiftiniegrator-0004;# | | 26/07/2022 19:20:380. 14/07/2022 17:23:35:6. | CSDUser CSDUser |
| | GRH0707202201T | GRH0707202201A | OCSDATWWXXX | EXOF | CHOS | ATG620000004 | WITH | Impacted | | | 07/07/2022 15:14:09:7 | CSDUser |
| | | HREV983 HREV983 | OCSDATWWXXX | BIDS | VOLU | ATDOODAGDXH1 | WITH | Impacted Impact Failed | Described conv. 020.001 | 09/03/2022 14:16:22:1 | 09/03/2022 14:16:22:1 | |
| | | HREV983 | OCSDATWWXXX | INTR | MAND | AT0000A0DXHT | WITH | Impact Failed | | 09/03/2022 14:13:51:7 | | |
| | Reprocess All Reprocess | | | | | | | | | | | Download |
| - | | | | | | | | | | | | |
| | | | | | | | | | | | | |





| CA Cancella | ation Advice (seev.039) – List Screen |
|------------------------|--|
| Field | Description |
| Message | Shows the identifier of the message. |
| Identifier | Displayed format is: Max. 35 characters. |
| CA CSD | [Only for notifications Received] |
| Event Ref. | Shows the Reference of the CA Event given by the CSD. |
| | Displayed format is: Max. 35 characters. |
| CA ECMS | [Only for notifications Sent] |
| Event Id. | Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. |
| | Displayed format is: Max. 35 characters. |
| Sender Ad- | [Only for notifications Received] |
| dress | Shows the BIC address of the sender of the message. |
| Receiver | [Only for notifications Sent] |
| Address | Shows the BIC address of the receiver of the message. |
| ISIN | Shows the ISIN of the security concerned by the CA Event. |
| CA Event | Shows the type of CA Event. |
| Туре | Displayed format is: Max. 4 characters. |
| • | Shows if the CA Event is: |
| Туре | – MAND – Mandatory |
| | CHOS – Mandatory with Choice |
| | - VOLU - Voluntary |
| Cancellation Reason | Enter the code of the Cancellation Reason of the CA Event from the possible values: |
| Code | WITH – Withdrawal |
| | - PROC - Processing |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: |
| | - Impacted |
| | - Impact Failed |
| | - Rejected |
| | - Archived |
| | - Processed |
| | Processed with Failure |
| | - On Hold |



| Error De- | Shows the description of the error (if it has occurred) | | | | | |
|----------------------|---|--|--|--|--|--|
| Scription | Shows the date and time of the creation of the CA Notification. | | | | | |
| Creation Date | | | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | | |
| Update Date | Shows the date and time of the last update of the CA Notification. | | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | | | |
| Updater User Id | Shows the identification of the user that made the last update of the CA Notification. | | | | | |
| After selecting | ng a record, the following buttons are displayed | | | | | |
| Button | Function | | | | | |
| Reprocess | [Only for notifications Received] | | | | | |
| | This function enables the user to reprocess the selected message (only available for users with appropriate rights). | | | | | |
| Reprocess | [Only for notifications Received] | | | | | |
| All | This function enables the user to reprocess all the messages in List screen (only available for users with appropriate rights). | | | | | |
| Download | This function enables you to access to the detailed information of the original message in XML format. | | | | | |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | | | | | |
| View Mes- sage | This function enables you to access to the detailed information of the messages for same notification. | | | | | |
| | - View Message - Details Screen | | | | | |
| View Messa | nge – Details Screen | | | | | |
| Field | Description | | | | | |
| Message Reference | Shows the reference of the messge. | | | | | |
| Direction | Shows whether the notification has been an input or output. Possible values: | | | | | |
| | – In | | | | | |
| | - Out | | | | | |
| Status | Shows the status of the message. | | | | | |
| After selecting | ng a record, the following buttons are displayed | | | | | |
| Button | Function | | | | | |
| Download | This function enables you to access to the detailed information of the original message in XML format. | | | | | |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI | | | | | |

3.5.6.1.10 CA Instruction Cancellation Request (seev.040)

The ECMS receives Corporate Action Instruction Cancellation Request (CAIC) from the Counterparty to request the cancellation of a previously sent corporate action instruction

The ECMS sends a Corporate Action Instruction (CAIC) message to the CSD in order to cancel a previously sent corporate action instruction.



3.5.6.1.10. CA Instruction Cancellation Request (seev.040) - Search screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the CA Instruction Cancellation Request Received / Sent. | | | | | |
|---------------------|---|---|---------------------------------------|----------|--|--|
| | | s will be displayed in a liser by clicking on the button | | ry, you | | |
| Screen Access | For CA Instruction | Cancellation Request R | eceived: | | | |
| | Corporate Actions >> Messages Monitoring >> Incoming Messages >> Monitor CA Instruction Cancellation Request Received (seev.040) | | | | | |
| | For CA Instruction | Cancellation Request S | ent: | | | |
| | | >> Messages Monitoring | | s >> | | |
| Screen- | | Cancellation Request R | · · · · · · · · · · · · · · · · · · · | | | |
| shot | Monitor CA Instruction Cancellation Request Received (seev 040) | Munitor CA Instruction Cancellation Reguest Sent (seev 04t) | | | | |
| | Search | | | ** | | |
| | Message Reference ▼ | CA CSD Event Ref • | Linkage Ref ▼ | | | |
| | Sender Address ▼ | Asset Account Id ▼ | ISIN ▼ | | | |
| | CA Event Type • | Option Type 🕶 | Option Number 🕶 | | | |
| | Notifications Status ▼ | ▼ Creation Date ▼ | | | | |
| | C Reseas | | | Q Search | | |
| | | | | | | |
| | For CA Instruction | Cancellation Request S | ent: | | | |
| | Monitor CA Instruction Cancellation Request Received (seev.040) | Monitor CA Instruction Cancellation Request Sent (seer 046) | | | | |
| | Search | | | # 2 | | |
| | Message Id. == ▼ | Linkage Ref ▼ | CA ECMS Event id → ▼ | <u> </u> | | |
| | Receiver Address == ▼ | Asset Account Id. == ▼ | ISIN == ¥ | | | |
| | CA Event Type ■■ ▼ | Option Type • | Option Number == ▼ | | | |
| | Notifications Status → ▼ | ▼ Creation Date == ▼ | | | | |
| | □ Resid | | | Q Search | | |
| | | | | | | |
| | | | | | | |

| CA Instruct | CA Instruction Cancellation Request (seev.040) – Search screen | | | | |
|----------------------|---|--|--|--|--|
| Field | Description | | | | |
| Message | Enter the identifier of the message. | | | | |
| Identifier | Required format is: Max. 35 characters. | | | | |
| Linkage Ref. | Enter the identifier of the CA Instruction previously sent by the Counterparty. | | | | |
| | Required format is: Max. 35 characters. | | | | |
| CA CSD | [Only for notifications Received] | | | | |
| Event Ref. | Enter the Reference of the CA Event given by the CSD. | | | | |
| | Required format is: Max. 35 characters. | | | | |
| CA ECMS Event Id. | [Only for notifications Sent] | | | | |
| | Enter the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. | | | | |
| | Required format is: Max. 35 characters. | | | | |
| Sender Ad- | [Only for notifications Received] | | | | |
| dress | Enter the BIC address of the sender of the message. | | | | |
| Receiver | [Only for notifications Sent] | | | | |
| Address | Enter the BIC address of the receiver of the message. | | | | |



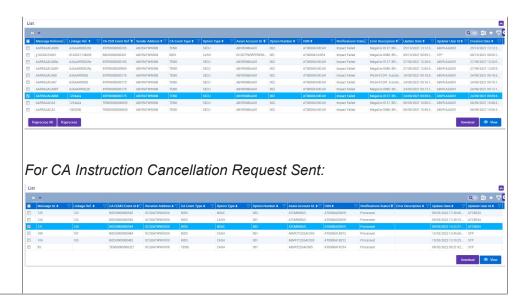
| Asset Ac- count ld. | Enter the identifier of the T2S Securities Account where financial instruments are maintained. | | | | | | |
|------------------------|--|--|--|--|--|--|--|
| | Required format is: Max. 35 characters. | | | | | | |
| ISIN | Enter the ISIN of the security concerned by the CA Event. | | | | | | |
| CA Event | Enter the type of CA Event. | | | | | | |
| Туре | Required format is: Max. 4 characters. | | | | | | |
| Option Type | Enter the CA Option Type chosen by the Counterparty. | | | | | | |
| Option Number | Enter the CA Option Number chosen by the Counterparty. | | | | | | |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: | | | | | | |
| | - Impacted | | | | | | |
| | - Impact Failed | | | | | | |
| | - Rejected | | | | | | |
| | - Archived | | | | | | |
| | - Processed | | | | | | |
| | Processed with Failure | | | | | | |
| | - On Hold | | | | | | |
| Creation Date | Enter the reference date of the creation of the CA Instruction Cancellation Request Received / Sent or use the calendar icon. | | | | | | |
| | Required format is: DD/MM/YYYY hh:mm:ss:µs | | | | | | |
| Button | Function | | | | | | |
| Reset | This function enables you to clear the form. | | | | | | |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. | | | | | | |
| | Next screen: | | | | | | |

3.5.6.1.10. CA Instruction Cancellation Request (seev.040) – List Screen

Context of This screen contains the list of CA Instruction Cancellation Request. **Usage** The seev.040 listed correspond to the search criteria capture in the search screen. The list displayed can be sorted and filter using by the field displayed. The list can be exported. Screen Ac- For CA Instruction Cancellation Request Received: cess Corporate Actions >> Messages Monitoring >> Incoming Messages >> Monitor CA Instruction Cancellation Request Received (seev.040) >> Click on the search button (after inputting the relevant data, if needed) For CA Instruction Cancellation Request Sent: Corporate Actions >> Messages Monitoring >> Outgoing Messages >> Monitor CA Instruction Cancellation Request Sent (seev.040) >> Click on the search button (after inputting the relevant data, if needed) For CA Instruction Cancellation Request Received: Screenshot

- CA Instruction Cancellation Request (seev.040)- List Screen.





| CA Instructi | ion Cancellation Request (seev.040) – List screen |
|------------------------|--|
| Field | Description |
| Message | Shows the identifier of the message. |
| Identifier | Displayed format is: Max. 35 characters. |
| Linkage Ref. | Shows the identifier of the CA Instruction previously sent by the Counterparty. |
| | Displayed format is: Max. 35 characters. |
| CA CSD | [Only for notifications Received] |
| Event Ref. | Shows the Reference of the CA Event given by the CSD. |
| | Displayed format is: Max. 35 characters. |
| CA ECMS | [Only for notifications Sent] |
| Event Id. | Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. |
| | Displayed format is: Max. 35 characters. |
| Sender Ad- | [Only for notifications Received] |
| dress | Shows the BIC address of the sender of the message. |
| Receiver | [Only for notifications Sent] |
| Address | Shows the BIC address of the receiver of the message. |
| Asset Ac- count Id. | Shows the identifier of the T2S Securities Account where financial instruments are maintained. |
| | Displayed format is: Max. 35 characters. |
| ISIN | Shows the ISIN of the security concerned by the CA Event. |
| CA Event | Shows the type of CA Event. |
| Туре | Displayed format is: Max. 4 characters. |
| Option Type | Shows the CA Option Type chosen by the Counterparty. |
| Option Number | Shows the CA Option Number chosen by the Counterparty. |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: |
| | - Impacted |



| - Impact Failed |
|--------------------------|
| - Rejected |
| - Archived |
| - Processed |
| - Processed with Failure |
| - On Hold |

| | - On Hold |
|---------------------------------------|---|
| Error De- scription | Shows the description of the error (if it has occurred) |
| Update | Shows the date and time of the last update of the CA Notification. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater | Shows the identification of the user that made the last update of the CA |
| User Id | Notification. |
| Button | ng a record, the following buttons are displayed Function |
| Reprocess | [Only for notifications Received] |
| Кергосса | This function enables the user to reprocess the selected message (only available for users with appropriate rights). |
| Reprocess | [Only for notifications Received] |
| All | This function enables the user to reprocess all the messages in List screen (only available for users with appropriate rights). |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| View Mes- sage | This function enables you to access to the detailed information of the messages for same notification. |
| | - View Message - Details Screen |
| View Messa | age – Details Screen |
| Field | Description |
| Message Reference | Shows the reference of the messge. |
| Direction | Shows whether the notification has been an input or output. Possible values: |
| | – In |
| | - Out |
| Status | Shows the status of the message. |
| After selecting | ng a record, the following buttons are displayed |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| · · · · · · · · · · · · · · · · · · · | |

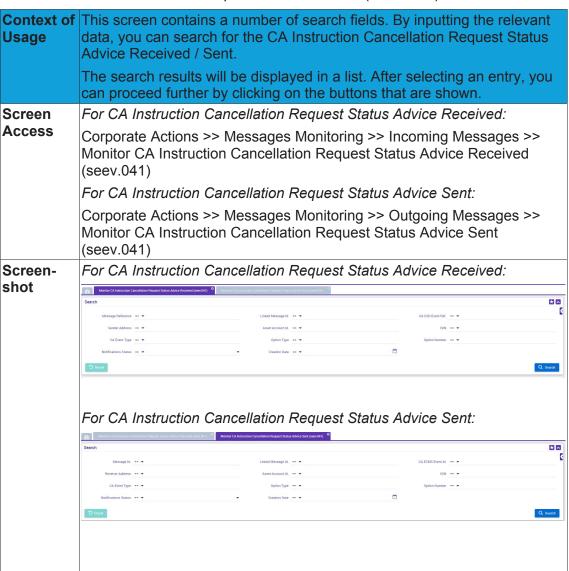


3.5.6.1.11 CA Instruction Cancellation Request Status Advice (seev.041)

The ECMS receives a Corporate Action Instruction Cancellation Request Status Advice from the CSD to receive status updates of a Corporate Action Instruction Cancellation Request message previously sent from ECMS to the CSD.

The ECMS sends a Corporate Action Instruction Cancellation Request Status Advice to the Counterparty to inform about the current status of a Corporate Action Instruction Cancellation Request message (seev.040) previously sent to the CSD or about the rejection of it by the ECMS.

3.5.6.1.11. CA Instruction Cancellation Request Status Advice (seev.041)- Search screen



| CA Instruction Cancellation Request Status Advice (seev.041) – Search screen | |
|---|--|
| Field | Description |
| Message | Enter the identifier of the message. |
| Identifier | Required format is: Max. 35 characters. |
| Linkage Ref. | Enter the identifier of the CA Instruction Cancellation Request previously sent by the Counterparty. |
| | Required format is: Max. 35 characters. |



| CA CSD Event Ref. [Only for notifications Received] Enter the Reference of the CA Event given by the CSD. Required format is: Max. 35 characters [Only for notifications Sent] Event Id. Enter the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. Required format is: Max. 35 characters. [Only for notifications Received] Enter the BIC address of the sender of the message. Receiver Address Enter the BIC address of the receiver of the message. [Only for notifications Sent] Enter the BIC address of the receiver of the message. Account Account Id. Enter the identifier of the T2S Securities Account where financial instruments are maintained. Required format is: Max. 35 characters. ISIN Enter the ISIN of the security concerned by the CA Event. Type Required format is: Max. 4 characters. Option Type Enter the CA Option Type chosen by the Counterparty. Enter the CA Option Number chosen by the Counterparty. Enter the CA Option Number chosen by the Notification from the possible values: In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: Impacted Impact Failed Rejected Archived Processed Processed Processed Processed Processed with Failure On Hold Creation Enter the reference date of the creation of the CA Instruction Cancellation Request Status Advice Received / Sent or use the calendar icon. | | |
|---|--------------|--|
| Required format is: Max. 35 characters [Only for notifications Sent] Event Id. Enter the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. Required format is: Max. 35 characters. [Only for notifications Received] Enter the BIC address of the sender of the message. Receiver Address [Only for notifications Sent] Enter the BIC address of the receiver of the message. Account Account Account Id. Enter the identifier of the T2S Securities Account where financial instruments are maintained. Required format is: Max. 35 characters. ISIN Enter the ISIN of the security concerned by the CA Event. CA Event Type Enter the type of CA Event. Required format is: Max. 4 characters. Option Type Enter the CA Option Type chosen by the Counterparty. Doption Number Enter the CA Option Number chosen by the Counterparty. In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification, in other cases shows the Status of the Notification, in other cases shows the Status of the Notification, in other cases shows the Status of the Notification, in other cases with Failure — Impacted — Impacted — Rejected — Archived — Processed — Processed — Processed — Processed — Processed with Failure — On Hold Creation Enter the reference date of the creation of the CA Instruction Cancella- | | [Only for notifications Received] |
| CA ECMS Event Id. [Only for notifications Sent] Enter the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. Required format is: Max. 35 characters. [Only for notifications Received] Enter the BIC address of the sender of the message. Receiver Address [Only for notifications Sent] Enter the BIC address of the receiver of the message. Account Account Id. Enter the identifier of the T2S Securities Account where financial instruments are maintained. Required format is: Max. 35 characters. [SIN Enter the ISIN of the security concerned by the CA Event. Enter the type of CA Event. Required format is: Max. 4 characters. Option Type Option Type Option Type Enter the CA Option Number chosen by the Counterparty. Enter the CA Option Number chosen by the Counterparty. In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: — Impacted — Impact Failed — Rejected — Archived — Processed — Processed — Processed with Failure — On Hold Creation Enter the reference date of the creation of the CA Instruction Cancella- | Event Ref. | Enter the Reference of the CA Event given by the CSD. |
| Event Id. Enter the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. Required format is: Max. 35 characters. Sender Address Enter the BIC address of the sender of the message. Receiver Address Enter the BIC address of the receiver of the message. Account Account Id. Enter the identifier of the T2S Securities Account where financial instruments are maintained. Required format is: Max. 35 characters. ISIN Enter the ISIN of the security concerned by the CA Event. Type Required format is: Max. 4 characters. Option Type Option Type Enter the CA Option Type chosen by the Counterparty. Option Number Notification Status In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: — Impacted — Impacted — Impact Failed — Rejected — Archived — Processed — Processed — Processed — Processed — Processed with Failure — On Hold Creation Enter the reference date of the creation of the CA Instruction Cancella- | | Required format is: Max. 35 characters |
| Either the reference of the CA event given by the Eckis to the CA event to be used by counterparties. Required format is: Max. 35 characters. Sender Address Enter the BIC address of the sender of the message. Receiver Address Enter the BIC address of the receiver of the message. Account Account Account Id. Required format is: Max. 35 characters. ISIN Enter the ISIN of the security concerned by the CA Event. CA Event Type Required format is: Max. 4 characters. Option Type Option Number Derivon Number Notification Status In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: Impacted Impacted Rejected Archived Processed Processed Processed with Failure On Hold Creation Enter the reference date of the creation of the CA Instruction Cancella- | | [Only for notifications Sent] |
| Sender Address | Event Id. | |
| dress | | Required format is: Max. 35 characters. |
| Receiver Address [Only for notifications Sent] Enter the BIC address of the receiver of the message. Account Account Id. Enter the identifier of the T2S Securities Account where financial instruments are maintained. Required format is: Max. 35 characters. ISIN Enter the ISIN of the security concerned by the CA Event. CA Event Type Required format is: Max. 4 characters. Option Type Enter the CA Option Type chosen by the Counterparty. Enter the CA Option Number chosen by the Counterparty. Enter the CA Option Number chosen by the Notification, in other cases shows the Status of the Notification from the possible values: — Impacted — Impacted — Impacted — Rejected — Archived — Processed — Processed with Failure — On Hold Creation Enter the reference date of the creation of the CA Instruction Cancella- | Sender Ad- | [Only for notifications Received] |
| Account Account Id. Enter the BIC address of the receiver of the message. Enter the identifier of the T2S Securities Account where financial instruments are maintained. Required format is: Max. 35 characters. ISIN Enter the ISIN of the security concerned by the CA Event. CA Event Type Required format is: Max. 4 characters. Option Type Enter the CA Option Type chosen by the Counterparty. Enter the CA Option Number chosen by the Counterparty. Enter the CA Option Number chosen by the Notification, in other cases shows the Status of the Notification from the possible values: Impacted Impact Failed Rejected Archived Processed Processed Enter the reference date of the creation of the CA Instruction Cancella- | dress | Enter the BIC address of the sender of the message. |
| Account Account Id. Enter the identifier of the T2S Securities Account where financial instruments are maintained. Required format is: Max. 35 characters. ISIN Enter the ISIN of the security concerned by the CA Event. CA Event Type Required format is: Max. 4 characters. Option Type Enter the CA Option Type chosen by the Counterparty. Enter the CA Option Number chosen by the Counterparty. Enter the CA Option Number chosen by the Notification, in other cases shows the Status of the Notification from the possible values: Impacted Impacted Impact Failed Rejected Archived Processed Processed with Failure On Hold Enter the reference date of the creation of the CA Instruction Cancella- | Receiver Ad- | [Only for notifications Sent] |
| count Id. Required format is: Max. 35 characters. ISIN Enter the ISIN of the security concerned by the CA Event. CA Event Type Enter the type of CA Event. Required format is: Max. 4 characters. Option Type Enter the CA Option Type chosen by the Counterparty. Option Number Enter the CA Option Number chosen by the Counterparty. In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: - Impacted - Impact Failed - Rejected - Archived - Processed - Processed - Processed with Failure - On Hold Creation Enter the reference date of the creation of the CA Instruction Cancella- | dress | Enter the BIC address of the receiver of the message. |
| ISIN Enter the ISIN of the security concerned by the CA Event. CA Event Type Enter the type of CA Event. Required format is: Max. 4 characters. Option Type Enter the CA Option Type chosen by the Counterparty. Option Number the CA Option Number chosen by the Counterparty. In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: Impacted Impact Failed Rejected Rejected Rejected Processed Processed Processed with Failure On Hold Creation Enter the reference date of the creation of the CA Instruction Cancella- | | |
| CA Event Type Enter the type of CA Event. Required format is: Max. 4 characters. Option Type Enter the CA Option Type chosen by the Counterparty. Enter the CA Option Number chosen by the Counterparty. In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: Impacted Impact Failed Rejected Rejected Archived Processed Processed On Hold Creation Enter the reference date of the creation of the CA Instruction Cancella- | | Required format is: Max. 35 characters. |
| Type Required format is: Max. 4 characters. Option Type Enter the CA Option Type chosen by the Counterparty. Option Number Enter the CA Option Number chosen by the Counterparty. In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: - Impacted - Impact Failed - Rejected - Archived - Processed - Processed - Processed with Failure - On Hold Creation Enter the reference date of the creation of the CA Instruction Cancella- | ISIN | Enter the ISIN of the security concerned by the CA Event. |
| Option Type | | Enter the type of CA Event. |
| Option Number Notification Status In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: - Impacted - Impact Failed - Rejected - Archived - Processed - Processed with Failure - On Hold Creation Enter the CA Option Number chosen by the Counterparty. In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: - Impacted - Impact Failed - Processed - Processed - Processed with Failure - On Hold | Туре | Required format is: Max. 4 characters. |
| Notification Status In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: - Impacted - Impact Failed - Rejected - Archived - Processed - Processed with Failure - On Hold Creation Enter the reference date of the creation of the CA Instruction Cancella- | Option Type | Enter the CA Option Type chosen by the Counterparty. |
| Status in other cases shows the Status of the Notification from the possible values: Impacted Impact Failed Rejected Archived Processed Processed On Hold Creation Enter the reference date of the creation of the CA Instruction Cancella- | | Enter the CA Option Number chosen by the Counterparty. |
| Impact Failed Rejected Archived Processed Processed with Failure On Hold Creation Enter the reference date of the creation of the CA Instruction Cancella- | | in other cases shows the Status of the Notification from the possible val- |
| - Rejected - Archived - Processed - Processed with Failure - On Hold Creation Enter the reference date of the creation of the CA Instruction Cancella- | | - Impacted |
| Archived Processed Processed with Failure On Hold Creation Enter the reference date of the creation of the CA Instruction Cancella- | | - Impact Failed |
| Processed Processed with Failure On Hold Creation Enter the reference date of the creation of the CA Instruction Cancella- | | - Rejected |
| Processed with Failure On Hold Creation Enter the reference date of the creation of the CA Instruction Cancella- | | - Archived |
| Processed with Failure On Hold Creation Enter the reference date of the creation of the CA Instruction Cancella- | | - Processed |
| On Hold Creation Enter the reference date of the creation of the CA Instruction Cancella- | | |
| Creation Enter the reference date of the creation of the CA Instruction Cancella- | | |
| | Crootics | |
| Descripted formers in DD/AMAGGGG/blumpropers | | tion Request Status Advice Received / Sent or use the calendar icon. |

| Creation Date | Enter the reference date of the creation of the CA Instruction Cancellation Request Status Advice Received / Sent or use the calendar icon. |
|------------------|---|
| | Required format is: DD/MM/YYYY hh:mm:ss:µs |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | CA Instruction Cancellation Request Status Advice (seev.041) – List Screen. |

3.5.6.1.11. CA Instruction Cancellation Request Status Advice (seev.041) – List Screen

Context of Usage This screen contains the list of CA Instruction Cancellation Request Status Advice.



| | The seev.041 listed correspond to the search criteria capture in the search screen. |
|------------|---|
| | The list displayed can be sorted and filter using by the field displayed. |
| | The list can be exported. |
| Screen Ac- | For CA Instruction Cancellation Request Status Advice Received: |
| cess | Corporate Actions >> Messages Monitoring >> Incoming Messages >> Monitor CA Instruction Cancellation Request Status Advice Received (seev.041) >> Click on the search button (after inputting the relevant data, if needed) |
| | For CA Instruction Cancellation Request Status Advice Sent: |
| | Corporate Actions >> Messages Monitoring >> Outgoing Messages >> Monitor CA Instruction Cancellation Request Status Advice Sent (seev.041) >> Click on the search button (after inputting the relevant data, if needed) |
| Screen- | For CA Instruction Cancellation Request Status Advice Received: |
| shot | In |
| | For CA Instruction Cancellation Request Status Advice Sent: List |

| CA Instruct | CA Instruction Cancellation Request Status Advice (seev.041) – List screen | |
|---------------------|--|--|
| Field | Description | |
| Message | Shows the identifier of the message. | |
| Identifier | Displayed format is: Max. 35 characters. | |
| Linkage Ref. | Shows the identifier of the CA Instruction Cancellation Request previously sent by the Counterparty. | |
| | Displayed format is: Max. 35 characters. | |
| CA CSD | [Only for notifications Received] | |
| Event Ref. | Shows the Reference of the CA Event given by the CSD. | |
| | Displayed format is: Max. 35 characters | |
| CA ECMS | [Only for notifications Sent] | |
| Event Id. | Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. | |
| | Displayed format is: Max. 35 characters. | |
| Sender Ad- dress | [Only for notifications Received] | |
| | Shows the BIC address of the sender of the message. | |
| Receiver Address | [Only for notifications Sent] | |
| | Shows the BIC address of the receiver of the message. | |



| Account Account Id. | Shows the identifier of the T2S Securities Account where financial instruments are maintained. |
|------------------------|--|
| | Displayed format is: Max. 35 characters. |
| ISIN | Shows the ISIN of the security concerned by the CA Event. |
| CA Event | Shows the type of CA Event. |
| Туре | Displayed format is: Max. 4 characters. |
| Option Type | Shows the CA Option Type chosen by the Counterparty. |
| Option Number | Shows the CA Option Number chosen by the Counterparty. |
| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: |
| | - Impacted |
| | - Impact Failed |
| | - Rejected |
| | - Archived |
| | - Processed |
| | Processed with Failure |
| | - On Hold |

| | - On Hold |
|------------------------|--|
| Error De- scription | Shows the description of the error (if it has occurred) |
| Update Date | Shows the date and time of the last update of the CA Instruction Cancellation Request Status Advice Received / Sent. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the CA Instruction Cancellation Request Status Advice Received / Sent. |
| After selecting | ng a record, the following buttons are displayed |
| Button | Function |
| Reprocess | [Only for notifications Received] |
| | This function enables the user to reprocess the selected message (only available for users with appropriate rights). |
| Reprocess | [Only for notifications Received] |
| All | This function enables the user to reprocess all the messages in List screen (only available for users with appropriate rights). |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
| View Mes- sage | This function enables you to access to the detailed information of the messages for same notification. |
| | - View Message - Details Screen |
| View Messa | ige – Details Screen |
| Field | Description |
| Message Reference | Shows the reference of the messge. |
| Direction | Shows whether the notification has been an input or output. Possible values: |



| | – In |
|---------------|---|
| | - Out |
| Status | Shows the status of the message. |
| After selecti | ng a record, the following buttons are displayed |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |

3.5.6.1.12 CA Movement Preliminary Advice Cancellation Advice (seev.044)

The ECMS receives from the CSDs Corporate Action Movement Preliminary Advice Cancellation Advice to cancel a Corporate Action Movement Preliminary Advice (CAPA) previously sent to the ECMS.

The ECMS processes the cancelation of the posting and afterwards forwards the message to the entitled Counterparties.

3.5.6.1.12. CA Movement Preliminary Advice Cancellation Advice (seev.044) - Search 1 screen

| Context of Usage | This screen contains a number of search fields. By inputting the relevant data, you can search for the CA Movement Preliminary Advice Cancellation Advice Received / Sent. The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |
|------------------|--|
| Screen Access | For CA Movement Preliminary Advice Cancellation Advice Received: Corporate Actions >> Messages Monitoring >> Incoming Messages >> Monitor CA Movement Preliminary Advice Cancellation Advice Received (seev.044) For CA Movement Preliminary Advice Cancellation Advice Sent: Corporate Actions >> Messages Monitoring >> Outgoing Messages >> Monitor CA Movement Preliminary Advice Cancellation Advice Sent (seev.044) |
| Screen- shot | For CA Movement Preliminary Advice Cancellation Advice Received: State Cancel State Cance |



| CA Movement Preliminary Advice Cancellation Advice (seev.044) – Search screen | |
|---|---|
| Field | Description |
| Message Identifier | Enter the identifier of the message. |
| | Required format is: Max. 35 characters. |
| CA CSD | [Only for notifications Received] |
| Event Ref. | Enter the Reference of the CA Event given by the CSD. |
| | Required format is: Max. 35 characters. |
| CA ECMS | [Only for notifications Sent] |
| Event Id. | Enter the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. |
| | Required format is: Max. 35 characters. |
| Asset Account Id. | Enter the identifier of the T2S Securities Account where financial instruments are maintained. |
| | Required format is: Max. 35 characters. |
| ISIN | Enter the ISIN of the security concerned by the CA Event. |
| CA Event | Enter the type of CA Event. |
| Туре | Required format is: Max. 4 characters. |
| Participa- | Enter if the CA Event is: |
| tion Type | - MAND - Mandatory |
| | CHOS – Mandatory with Choice |
| | - VOLU - Voluntary |
| Sender | [Only for notifications Received] |
| Address | Enter the BIC address of the sender of the message. |
| Receiver Address | [Only for notifications Sent] |
| | Enter the BIC address of the receiver of the message. |
| N. 1161 11 | |

| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: |
|------------------------|--|
| | - Impacted |
| | - Impact Failed |
| | - Rejected |
| | - Archived |
| | - Processed |
| | - Processed with Failure |
| | - On Hold |

| Creation Date | Enter the reference date of the creation of the CA Movement Preliminary Advice Cancellation Advice Received / Sent or use the calendar icon. Required format is: DD/MM/YYYY hh:mm:ss:µs |
|------------------|--|
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |



Next screen:

 CA Movement Preliminary Advice Cancellation Advice (seev.044)— List Screen.

3.5.6.1.12. CA Movement Preliminary Advice Cancellation Advice (seev.044) – List Screen

Context of This screen contains the list of CA Movement Preliminary Advice Cancel-**Usage** lation Advice. The seev.044 listed correspond to the search criteria capture in the search screen. The list displayed can be sorted and filter using by the field displayed. The list can be exported. Screen Ac- For CA Movement Preliminary Advice Cancellation Advice Received: cess Corporate Actions >> Messages Monitoring >> Incoming Messages >> Monitor CA Movement Preliminary Advice Cancellation Advice Received (seev.044) >> Click on the search button (after inputting the relevant data. if needed) For CA Movement Preliminary Advice Cancellation Advice Sent: Corporate Actions >> Messages Monitoring >> Outgoing Messages >> Monitor CA Movement Preliminary Advice Cancellation Advice Sent (seev.044) >> Click on the search button (after inputting the relevant data, if needed) Screen-For CA Movement Preliminary Advice Cancellation Advice Received: shot For CA Movement Preliminary Advice Cancellation Advice Sent:

| CA Movement Preliminary Advice Cancellation Advice (seev.044) – List screen | |
|---|---|
| Field | Description |
| Message Identifier | Shows the identifier of the message. |
| | Displayed format is: Max. 35 characters. |
| CA CSD Event Ref. | [Only for notifications Received] |
| | Shows the Reference of the CA Event given by the CSD. |
| | Displayed format is: Max. 35 characters. |
| CA ECMS Event Id. | [Only for notifications Sent] |
| | Shows the reference of the CA Event given by the ECMS to the CA event to be used by counterparties. |



| | Displayed format is: Max. 35 characters. |
|-------------------|--|
| Asset Account Id. | Shows the identifier of the T2S Securities Account where financial instruments are maintained. |
| | Displayed format is: Max. 35 characters. |
| ISIN | Shows the ISIN of the security concerned by the CA Event. |
| CA Event | Shows the type of CA Event. |
| Туре | Displayed format is: Max. 4 characters. |
| Sender | [Only for notifications Received] |
| Address | Shows the BIC address of the sender of the message. |
| Receiver | [Only for notifications Sent] |
| Address | Shows the BIC address of the receiver of the message. |

| Notification Status | In case of a Search Screen you can enter the Status of the Notification, in other cases shows the Status of the Notification from the possible values: |
|------------------------|--|
| | - Impacted |
| | - Impact Failed |
| | - Rejected |
| | - Archived |
| | - Processed |
| | - Processed with Failure |
| | - On Hold |

| Error De- scription | Shows the description of the error (if it has occurred) |
|------------------------|--|
| Update | Shows the date and time of the last update of the CA Notication. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update of the CA Notification. |
| After select | ing a record, the following buttons are displayed |
| Button | Function |
| Reprocess | [Only for notifications Received] |
| | |
| | This function enables the user to reprocess the selected message (only available for users with appropriate rights). |
| Reprocess | |

| Download | This function enables you to access to the detailed information of the original message in XML format. Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |
|-------------------------------|---|
| View Mes- sage | This function enables you to access to the detailed information of the messages for same notification. |
| | - View Message - Details Screen |
| View Message – Details Screen | |
| Field | Description |



| Message Reference | Shows the reference of the messge. |
|---|---|
| Direction | Shows whether the notification has been an input or output. Possible values: |
| | – In |
| | - Out |
| Status | Shows the status of the message. |
| After selecting a record, the following buttons are displayed | |
| Button | Function |
| Download | This function enables you to access to the detailed information of the original message in XML format. |
| | Internal messages between different tenants, which correspond to CCBM cases, are not available to be download from ECMS GUI |

3.6 Support Functionalities

3.6.1 Pool Position

The ECMS provides the Counterparty and the NCB user with information on the Counterparty Pool positions. The Pool position is either the actual position based on the current value of the Counterparty Pool or is a position at a specific ECMS Business date in the past (the maximum business days in the past is set as a system parameter).

The Pool position can be viewed via several gueries:

- Pool Overview, for the current ECMS Business Date, available to the Counterparty or NCB user:
- Provides an overview of all the Counterparty Pools for an NCB user
- Provides an overview of all its Pools for a Counterparty.
- Pool Position History, for the current ECMS Business Date or Past ECMS Business Date, available to the Counterparty or NCB user:
- Provides an overview of all the Counterparty Pools on a specific Business Date for an NCB user.
- Provides an overview of all its Pools on a specific Business Date for a Counterparty.
- Actual / Past Pool Position, for the current ECMS Business Date or Past ECMS Business Date, available to the Counterparty or NCB user:
- Provides an overview of a single Counterparty Pool on a specific Business Date for a Counterparty or an NCB user.
- Consolidated Pool Position, for the current ECMS Business Date or Past ECMS Business Date, available to the NCB user.
- Consolidated Pool Position on Banking Group level, for the current ECMS Business
 Date or Past ECMS Business Date, available to the Counterparty designated as the
 Manager of the Banking Group or the NCB of the Counterparty designated as the
 Manager of the Banking Group.



3.6.1.1 Pool Overview – Search Screen

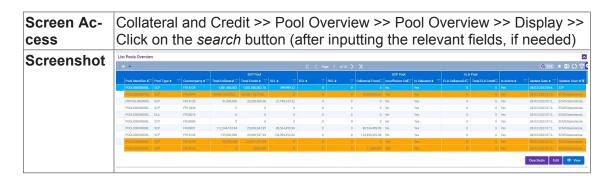
| Context of Usage | This screen contains a number of search fields and shows the latest a stored searches. By inputting the relevant data, you can search for the Pool Overview for a specific Pool for the current ECMS Business Date. The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. | e e. |
|---------------------|--|--------------|
| Screen Access | Collateral and Credit >> Pool Overview >> Pool Overview >> Display | |
| Screenshot | Display: Counterparty Pool Pool Service ** Pool Reference ** Counterparty ** Pool Style ** V Insulficient Collated ** V In Active ** V Validity Start Date ** V In Active ** V ** ** ** ** ** ** ** ** * | ★ △ C |

| Pool Overvie | w – Search screen |
|------------------------|--|
| Field | Description |
| Pool Identifier | Enter/Select the unique identifier of the Pool provided by the system |
| | Required format is: Max. 16 characters. |
| Pool Reference | Enter/Select the reference of the Pool given by the refinancing NCB.Required format is: Max. 255 characters. |
| Counterparty | Enter/Select the unique RIAD identifier of the Counterparty |
| RIAD Id* | Required format is: Max. XX characters. |
| Pool Type | Enter/Select the type of Pool |
| | Either "ELA" or "SCP" |
| Insufficient | Indicates if the Pool has sufficient collateral, so is in margin call or not. |
| Collateral | Displayed format is: "YES" or "NO" |
| Is Active | Enter/Select whether the Pool is active or not. |
| | Displayed format is: "YES" or "NO" |
| Validity Start Date | Enter the Validity Start Date of the Pool. The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY |
| Validity End Date | Enter the Validity End Date of the Pool. The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY. |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | Pool Overview – List Screen. |

3.6.1.1.1 Pool Overview - List screen

| Context of | This screen contains the search results of the Pool Overview displayed |
|------------|---|
| Usage | in a list. After selecting an entry, you can proceed further by clicking on |
| | the buttons below. |



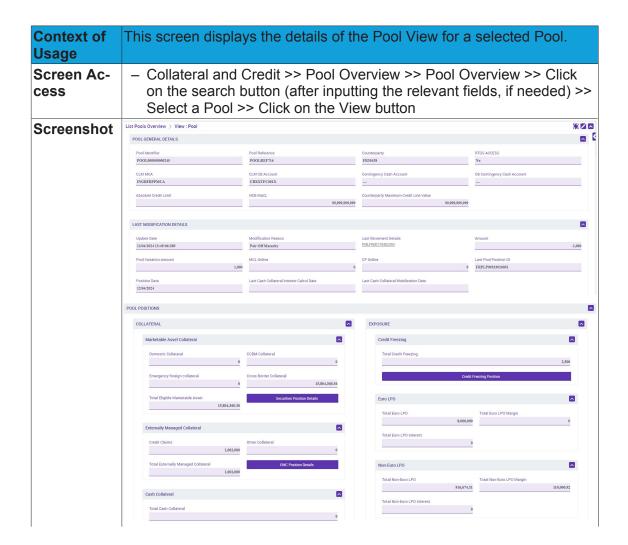


| Pool Overvie | w – List screen |
|-------------------------|---|
| Field | Description |
| Pool Identifier | Shows the unique identifier of the Pool provided by the system |
| | Displayed format is: Max. 16 characters. |
| Pool Type | Shows the type of Pool |
| | Either "ELA" or "SCP" |
| Counterparty RIAD Id | Shows the unique RIAD identifier of the Counterparty |
| | Displayed format is: Max. XX characters. |
| SCP | |
| Total Collat- | Shows the Total Pool Collateral value |
| eral Value | Displayed format is: Max. XX characters. |
| Total Credit | Shows the Total Credit value |
| | Displayed format is: Max. XX characters. |
| SCL | Shows the Suggested Credit Line |
| | Displayed format is: Max. XX characters. |
| ECL | Shows the Expected Credit Line value |
| RCL | Shows the Real Credit Line value |
| Collateral Ex- cess | Shows the Total Collateral Excess value .This corresponds to the collateral excess in case the Credit Line is capped by a MaCL or an Absolute Credit limit. The collateral not used following the cap is stocked in this field. |
| | Displayed format is: Max. XX characters. |
| Insufficient | Indicates if the Pool has sufficient collateral, so is in margin call or not. |
| Collateral | Displayed format is: "YES" or "NO" |
| Is Valuated | Flag to show whether the Pool is valuated. Shows if the position was successfully valuated or not during the valuation process. |
| | Displayed format is: "YES" or "NO" |
| ELA | |
| ELA Collat- | Shows the Total ELA Pool Collateral value |
| eral Value | Displayed format is: Max. XX characters. |
| Total ELA Credit | Shows the Total ELA Credit value |
| | Displayed format is: Max. XX characters. |
| Is Active | Shows whether the Pool is active or not. |
| | Displayed format is: "YES" or "NO" |
| Update Date | Shows the Updated Date of the Position |

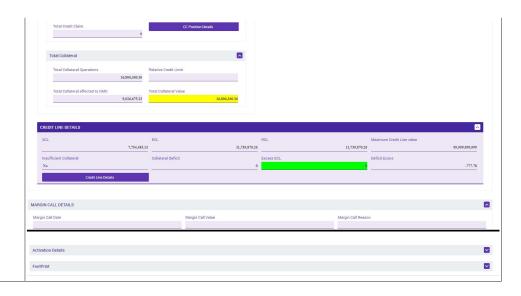


| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs | |
|---|---|--|
| المأ | Shows the Updater User Id | |
| | Displayed format is: Max. XX characters. | |
| After selecting a record, the following buttons are displayed | | |
| Button | Description | |
| View | This function enables you to access to the detailed information of a Pool Overview. | |
| | Next screen: | |
| | Pool Overview – Details Screen. | |

3.6.1.1.1.1 Pool Overview – Details Screen







| Pool Overviev | w – Details screen |
|-----------------------|--|
| Field | Description |
| Pool Position | Details |
| Pool Identifier | Shows the unique identifier of the Pool provided by the system |
| | Displayed format is: Max. 16 characters. |
| Pool Refer- ence | Shows the reference of the Pool given by the refinancing NCB. |
| | Displayed format is: Max. 255 characters. |
| Counterparty | Shows the unique RIAD identifier of the Counterparty |
| RIAD Id | Displayed format is: Max. XX characters. |
| CLM Access | Flag indicating use of CLM |
| | Either "YES" or "NO" |
| Counterparty | Shows the linked Counterparty CLM Main Cash Account |
| CLM Main Cash Ac- | Displayed format is: Max. XX characters. |
| count | |
| NCB CLM | Shows the linked NCB CLM Main Cash Account |
| Main Cash | Displayed format is: Max. XX characters. |
| Account | · • |
| Contingonov | Shows the linked Counterparty Contingency Cash Account |
| Contingency Cash Ac- | Displayed format is: Max. XX characters. |
| count | |
| NCB Contin- | Shows the linked NCB Contingency Cash Account |
| gency Cash Account | Displayed format is: Max. XX characters. |
| Absolute | Shows the Absolute Credit Limit |
| Credit Limit | Displayed format is: Max. XX characters. |
| NCB MaCL | Shows the NCB Maximum Credit Limit |
| | Displayed format is: Max. XX characters. |
| Counterparty MaCL | Shows the Counterparty Maximum Credit Limit |
| | Displayed format is: Max. XX characters. |
| Last Modifica | tion Details |
| | |



| Update Date | Shows the Updated Date of the Pool |
|--|--|
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Modification Reason | Shows the event that has resulted in the update of the Pool Position. Possible values: |
| | Add Cash Collateral |
| | - Cancel Credit Freezing |
| | - Cash Collateral Interest |
| | Cash Collateral Interest Decrease |
| | Cash Collateral Interest Increase |
| | - Cash Collateral Out |
| | Collateral Settlement |
| | Credit Freezing Decrease |
| | Credit Freezing Increase |
| | Delivery of Collateral |
| | Displayed format is: Max. XX characters. |
| Last Move- ment Details | Shows the details on the event that has resulted in the update of the Pool Position. Click on to access the details. |
| | Displayed format is: Max. XX characters. |
| Amount | Shows the amount of the Last Movement. |
| | Displayed format is: Max. XX characters. |
| Pool Vari- | Shows the amount of the Pool Variation. |
| ation Amount | Displayed format is: Max. XX characters. |
| MCL Online | Shows the amount of the Modify Credit Line. |
| | Displayed format is: Max. XX characters. |
| CP Online | Shows the amount of the Connected Payment. |
| | Displayed format is: Max. XX characters. |
| | Shows the reference that uniquely identifies the last Pool Position. |
| sition ID | Displayed format is: Max. XX characters. |
| Position Date | Shows the Position Date of the Pool |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Last Cash | Shows the Last Cash Collateral Interest Calculation Date |
| Collateral In- terest Calcul Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Last Cash | Shows the Last Cash Collateral Mobilisation Date |
| Collateral Mobilisation Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Collateral De | tails |
| Marketable A | sset Collateral |
| Domestic Eli- gible Market- able Asset | Shows the Domestic Eligible Marketable Asset value. |
| | Displayed format is: Max. XX characters. |
| CCBM Eli- | Shows the CCBM Eligible Marketable Asset value. |
| gible Market- able Asset | Displayed format is: Max. XX characters. |



| Cross-Border Eligible Mar- ketable Asset | Shows the Cross-Border Eligible Marketable Asset value. |
|--|--|
| | Displayed format is: Max. XX characters. |
| Total Eligible | Shows the Total Mobilised Marketable Assets Collateral value. |
| Marketable Assets Col- lateral | Displayed format is: Max. XX characters. |
| Externally Ma | anaged Collateral |
| Credit Claims | Shows the Credit Claims value |
| | Displayed format is: Max. XX characters. |
| Other Collat- eral | Shows the Total Externally Managed Collateral apart from Credit Claims value |
| | Displayed format is: Max. XX characters. |
| Total Extern- | Shows Total Externally Managed Collateral |
| ally Managed Collateral | Displayed format is: Max. XX characters. |
| Cash Collate | |
| Total Cash Collateral | Shows Total mobilised Cash Collateral value |
| | Displayed format is: Max. XX characters. |
| Fixed Term D | - |
| Total Fixed- Term Deposit | Shows the Total Fixed-Term Deposit (FTD) collateral value |
| used as Col- lateral | Displayed format is: Max. XX characters. |
| | Shows the Total Interest Fixed-Term Deposit (FTD) used as collateral |
| for Fixed- Term Deposit | value |
| used as Col- | Displayed format is: Max. XX characters. |
| lateral | |
| Triparty Colla | |
| Total Triparty Collateral | Shows the Total Triparty Collateral value |
| | Displayed format is: Max. XX characters. |
| Credit Claims | |
| Total Do- | Shows the Total Domestic Credit Claims value |
| mestic Credit Claims | Displayed format is: Max. XX characters. |
| Total Do- | Shows the Total Domestic Additional Credit Claims value |
| mestic Addi- tional Credit Claims | Displayed format is: Max. XX characters. |
| Total Cross | Shows the Total Cross Border Credit Claims value |
| Border Credit Claims | Displayed format is: Max. XX characters. |
| Total Cross Border Addi- tional Credit Claims | Shows Total Cross Border Additional Credit Claims value |
| | Displayed format is: Max. XX characters. |
| Total Credit | Shows Total Credit Claims value |
| Claims | Displayed format is: Max. XX characters. |
| | - |



| Total Collator | Total Callatoval | | |
|---|---|--|--|
| | Total Collateral | | |
| tions | Total Collateral Operations value = | | |
| | sum of the Collateral affected to operations | | |
| | Displayed format is: Max. XX characters. | | |
| Total Collat- eral affected to OMO | Total Collateral affected to OMO value = | | |
| | sum of the Collateral affected to OMO | | |
| | Displayed format is: Max. XX characters. | | |
| Relative | Relative Credit Limit in percentage (%) | | |
| Credit Limit in percentage (%) | Displayed format is: Max. XX characters. | | |
| Total Collat- eral Value | Shows Total Collateral Value after application of the Relative Credit Limit | | |
| | Displayed format is: Max. XX characters. | | |
| Exposure | | | |
| Credit Freezi | | | |
| Total Credit | Shows Total Credit Freezing | | |
| Freezing | Displayed format is: Max. XX characters. | | |
| Euro LPO | | | |
| Total Open | Shows Total Open Market Credit Operations (LPO) – Euro value | | |
| Market Credit Operation | Segregated by type of operations and operation | | |
| (Euro) | Displayed format is: Max. XX characters. | | |
| Total Open | Shows Total Open Market Credit Operations (LPO) Margin – Euro value | | |
| Market Credit | Segregated by type of operations and operation | | |
| Operation Margin (Euro) | Displayed format is: Max. XX characters. | | |
| Total Open Market Credit | Shows Total Open Market Credit Operations (LPO) Interest – Euro | | |
| Operation In- | Segregated by type of operations and operation | | |
| terest (Euro) | Displayed format is: Max. XX characters. | | |
| Non-Euro LP | 0 | | |
| Total Open | Shows Total Open Market Credit Operations (LPO) – non-Euro value | | |
| Market Credit | Segregated by type of operations and operation | | |
| Operation (non-Euro) | Displayed format is: Max. XX characters. | | |
| Total Open Market Credit | Shows Total Open Market Credit Operations (LPO) Margin – non-Euro value | | |
| Operation | Segregated by type of operations and operation | | |
| Margin (non- Euro) | Displayed format is: Max. XX characters. | | |
| Total Open Market Credit Operation In- terest (non- Euro) | Shows Total Open Market Credit Operations (LPO) Interest – non-Euro value | | |
| | Segregated by type of operations and operation | | |
| | Displayed format is: Max. XX characters. | | |
| Marginal Len | ding Facility | | |
| Total Mar- ginal Lending | Shows Total Marginal Lending | | |



| Displayed format is: Max. XX characters. Total Marginal Lending Interest Displayed format is: Max. XX characters. Displayed format is: Max. XX characters. | | |
|--|--------|--|
| Interest Displayed format is: Max. 700 characters. | | |
| Interest | | |
| | | |
| Total Exposure | | |
| Total Credit Shows sum of the Total Credit | | |
| Displayed format is: Max. XX characters. | | |
| Credit Line Details | | |
| Suggested Shows Suggested Credit Line (SCL) Credit Line Displayed format is: Max XX sharactors | | |
| Displayed format is. Max. AA characters. | | |
| Expected Shows Expected Credit Line (ECL) Credit Line Displayed format in May XX abarrators | | |
| Displayed format is. Max. AA characters. | | |
| Real Credit Shows Real Credit Line (RCL) Line Displayed format is: Max XX sharactors | | |
| Displayed format is. Max. AA characters. |) - fi | |
| NCB Max- imum Credit Shows Optional Maximum Credit line value authorised set by the F ancing Central Bank | ketin- | |
| Line Value Displayed format is: Max. XX characters. | | |
| Counterparty Shows Optional Maximum Credit line value set by the Counterpart | У | |
| Maximum Credit Line Value Displayed format is: Max. XX characters. | | |
| Insufficient Indicates if the Pool has sufficient collateral, so is in margin call or | not. | |
| Collateral Displayed format is: "YES" or "NO" | | |
| Collateral De- Shows the Collateral Deficit | | |
| Displayed format is: Max. XX characters. | | |
| Excess ECL Shows the Excess of the Expected Credit Line (ECL) | | |
| Displayed format is: Max. XX characters. | | |
| Deficit Shows the deficit for the ECONS | | |
| Displayed format is: Max. XX characters | | |
| Margin Call Details | | |
| Margin Call Shows the Date/hour of the Margin Call. | | |
| Date & Time Displayed Format is: YYYYMMDD hh:mm:ss:µs | | |
| Margin Call Value of the Margin Call | | |
| Value Displayed format is: Max. XX characters. | | |
| Margin Call Shows the reason of the Margin Call | | |
| Reason Displayed format is: Max. XX characters. | | |
| Activation details | | |
| Is Active Shows whether the Party is active or not. The possible values are: | | |
| - YES | | |
| – NO | | |
| (De)Activation Reason Shows the reason informed when the Party was (de)activated. | | |
| Validity Start Shows the date from which the Party is active. | | |
| Date Displayed format is: DD/MM/YYYY. | | |
| If the Party is not active (Is Active field = "NO"), this field is empty. | | |



| Validity End Date | Shows the date from which the Party is closed. |
|----------------------|--|
| | Displayed format is: DD/MM/YYYY. |
| | The Validity End Date must be equal to or later than the current date and later than the Validity Start Date. If the Party is active, this field is empty. |
| Footprint | |
| Creation Date | Shows the date and time of the creation. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created. |
| Update Date | Shows the date and time of the update. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update. |

| Section But- | Description |
|--|--|
| ton | |
| Credit Freez- ing Position | Section to view the list of the Credit Freezing Position of the Pool. |
| Securities Position De- tails | Section to view the list of the Securities Position of the Pool. |
| EMC Position | Section to view the list of the EMC Position of the Pool. |
| Aggregated Cash Collat- eral Positions | Section to view the list of the Aggregated Cash Collateral Position of the Pool. |
| FTD Posi- tions | Section to view the list of the FTD Positions of the Pool. |
| Credit Claims Positions | Section to view the list of the Credit Claims Position of the Pool. |
| Triparty Securities Positions | Section to view the list of the Triparty Securities Position of the Pool. |
| Credit Line Details | Section to view the list of the Credit Line Details of the Pool. |
| Credit Freezi | ng Position List - Tab |
| Field | Description |
| Position Date | Shows the Position Date of the Pool |
| | Displayed format is: DD/MM/YYYY |
| Pool Id | Shows the identifier that uniquely identifies the Pool. |
| | Displayed format is: Max. 16 characters. |
| Counterparty | Shows the unique RIAD identifier of the Counterparty |
| | Displayed format is: Max. XX characters. |
| | Shows the Credit Freezing Type. |
| ing Type | Displayed format is: Max. XX characters. |
| Amount | Shows the amount. |



| | Displayed format is: Max. XX characters. |
|------------------------------|--|
| Currency | Shows Currency. |
| | Displayed format is: Max 3 characters |
| Process Reference | Shows the Process Reference. |
| | Displayed format is: Max. XX characters. |
| Process Valuation Type | Shows Process Valuation Type. |
| Validity Date | Shows the Validity Date of the Pool |
| | Displayed format is: DD/MM/YYYY |
| Update Date | Shows the Update Date of the Pool |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Updater User Id | Shows the identification of the user that made the last update. |
| After selecting | a record, the following buttons are displayed |
| Button | Description |
| View | This function enables you to access to the detailed information of a Credit Freezing Position. |
| | Next screen: |
| | Credit Freezing Position View – Details Screen. |
| Credit Freezi | ng Position View – Details Screen |
| Field | Description |
| Position Date | Shows the Position Date of the Pool |
| | Displayed format is: DD/MM/YYYY |
| Cash Posi- | Shows the Cash Position Id of the Credit Freezing Position. |
| tion Id | Displayed format is: Max. XX characters. |
| Amount | Shows the amount. |
| | Displayed format is: Max. XX characters. |
| Being Can- celled | Shows whether the Position is cancelled or not from the possible values: |
| | – YES |
| | – NO |
| Pool Id | Shows the identifier that uniquely identifies the Pool. |
| | Displayed format is: Max. 16 characters. |
| Position Nature | Shows the nature of the Position from the possible values: |
| Nature | – Initiation |
| | - Return |
| Position Status | Shows the status of the Position. |
| | Displayed format is: Max. XX characters. |
| Position Type | Shows the Position Type. |
| _ | Displayed format is: Max. XX characters. |
| Currency | Shows Currency. |
| | Displayed format is: Max 3 characters |
| Movement Reference | Shows the Movement Reference. |



| | Displayed format is: Max. XX characters. |
|----------------------|--|
| Process Valuation | Shows Process Valuation Type. |
| Туре | |
| Footprint | |
| Creation Date | Shows the date and time of the creation. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created. |
| Update Date | Shows the date and time of the update. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update. |
| Securities Po | sition Details - Tab |
| Field | Description |
| ISIN Code | Shows the ISIN of the Security |
| | Displayed format is: Max. XX characters. |
| Asset Posi- | Shows the quantity of the Security |
| tions | Displayed format is: Max. XX characters. |
| ECMS Coun- | Shows the unique RIAD identifier of the Counterparty |
| terparty | Displayed format is: Max. XX characters. |
| CSD | Shows the identifier of the CSD holding the position |
| | Displayed format is: Max. XX characters. |
| T2S Securit- | Shows the identifier of the T2S Securities Account holding the position |
| ies Account | Displayed format is: Max. XX characters. |
| Value Before | Shows the value Before Haircut of the Security. |
| Haircut | Displayed format is: Max. XX characters. |
| | Shows the Collateral Position. |
| sition | Displayed format is: Max. XX characters. |
| Is Eligible | Shows if the asset is Eligible or not from the possible values: |
| | - YES |
| | - NO |
| Is Mature | Shows if the asset is mature or not from the possible values: |
| | - YES |
| | - NO |
| Close Link | Shows the Close Link. |
| Subject to CL | Shows if the asset is subject to Close Link or not from the possible values: |
| | - YES |
| | - NO |
| Is Valuated | Shows if the asset is Valuated or not from the possible values: |
| | - YES |
| | - NO |
| Position Date | Shows the Position Date of the Pool |



| | Displayed format is: DD/MM/YYYY |
|---------------------|---|
| Validity Date | Shows the Validity Date of the Pool |
| | Displayed format is: DD/MM/YYYY |
| Update Date | Shows the date and time of the update. |
| opaato Bato | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| After selecting | g a record, the following buttons are displayed |
| Button | Description |
| View | This function enables you to access to the detailed information of a Securities Position. |
| | Next screen: |
| | Securities Position View – Details Screen. |
| Securities Po | esition View – Details Screen |
| Field | Description |
| Position Date | Shows the Position Date of the Pool |
| | Displayed format is: DD/MM/YYYY |
| Amount | Shows the amount. |
| | Displayed format is: Max. XX characters. |
| Position | Shows the Position Owner Type. |
| Owner Type | Displayed format is: Max. XX characters. |
| Position | Shows the nature of the Position from the possible values: |
| Nature | – Initiation |
| | - Return |
| Position | Shows the status of the Position. |
| Status | Displayed format is: Max. XX characters. |
| Position Type | Shows the Position Type. |
| , | Displayed format is: Max. XX characters. |
| Process Ref- | Shows the Process Reference. |
| erence | Displayed format is: Max. XX characters. |
| Value | Shows the value. |
| Currency | Shows Currency. |
| | Displayed format is: Max 3 characters |
| Counterparty | Shows the unique RIAD identifier of the Counterparty |
| RIAD Id | Displayed format is: Max. XX characters. |
| Footprint | |
| Creation | Shows the date and time of the creation. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created. |
| Update Date | Shows the date and time of the update. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update. |
| EMC Position | Details - Tab |
| Field | Description |
| | |



| Process Ref- | Shows the Process Reference. |
|----------------------|---|
| erence | Displayed format is: Max. XX characters. |
| Pool Id | Shows the identifier that uniquely identifies the Pool. |
| | Displayed format is: Max. 16 characters. |
| Counterparty | Shows the unique RIAD identifier of the Counterparty |
| RIAD Id | Displayed format is: Max. XX characters. |
| EMC Type | Shows the EMC TYpe |
| | Displayed format is: Max. XX characters. |
| Amount | Shows the amount. |
| | Displayed format is: Max. XX characters. |
| Currency | Shows Currency. |
| | Displayed format is: Max 3 characters |
| Position Date | Shows the Position Date of the Pool |
| | Displayed format is: DD/MM/YYYY |
| Validity Date | Shows the Validity Date of the Pool |
| | Displayed format is: DD/MM/YYYY |
| Update Date | Shows the date and time of the update. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User | Shows the identification of the user that made the last update. |
| Id | |
| | g a record, the following buttons are displayed |
| Button | Description |
| View | This function enables you to access to the detailed information of an Externally Managed Collateral Position. |
| | Next screen: |
| | Externally Managed Collateral Position View – Details Screen. |
| Externally Ma | anaged Collateral (EMC) Position View – Details Screen |
| Field | Description |
| Position Date | Shows the Position Date of the Pool |
| | Displayed format is: DD/MM/YYYY |
| Cash Posi- | Shows the Cash Position Id of the Credit Freezing Position. |
| tion Id | Displayed format is: Max. XX characters. |
| Amount | Shows the amount. |
| | Displayed format is: Max. XX characters. |
| Being Can- celled | Shows whether the Position is cancelled or not from the possible values: |
| | - YES |
| | - NO |
| Pool Id | Shows the identifier that uniquely identifies the Pool. |
| | Displayed format is: Max. 16 characters. |
| | |
| Position | Shows the nature of the Position from the possible values: |
| Position Nature | |
| | Shows the nature of the Position from the possible values: |



| Position Status | Shows the status of the Position. |
|------------------------------|--|
| | Displayed format is: Max. XX characters. |
| Position Type | Shows the Position Type. |
| | Displayed format is: Max. XX characters. |
| Currency | Shows Currency. |
| | Displayed format is: Max 3 characters |
| Movement | Shows the Movement Reference. |
| Reference | Displayed format is: Max. XX characters. |
| Process Valuation Type | Shows Process Valuation Type. |
| Footprint | |
| Creation | Shows the date and time of the creation. |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created. |
| Update Date | Shows the date and time of the update. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Updater User Id | Shows the identification of the user that made the last update. |
| Aggregated (| Cash Collateral Position Details - Tab |
| Field | Description |
| Pool Id | Shows the identifier that uniquely identifies the Pool. |
| | Displayed format is: Max. 16 characters. |
| Counterparty | Shows the unique RIAD identifier of the Counterparty |
| | Displayed format is: Max. XX characters. |
| Actual Posi- | Shows the Actual Position |
| tion | Displayed format is: Max. XX characters. |
| Provisional | Shows the Provisional Position |
| Position | Displayed format is: Max. XX characters. |
| Conservative | Shows the Conservative Position |
| Position | Displayed format is: Max. XX characters. |
| After selecting | a record, the following buttons are displayed |
| Button | Description |
| View | This function enables you to access to the detailed information of an Aggregated Cash Collateral Position. |
| | Next screen: |
| | Aggregated Cash Collateral Position View - Details Screen. |
| Aggregated (| Cash Collateral Position View – Details Screen |
| Field | Description |
| Actual Posi- | Shows the Actual Position |
| tion | Displayed format is: Max. XX characters. |
| Provisional | Shows the Provisional Position |
| Position | Displayed format is: Max. XX characters. |
| | |



| Conservative | Shows the Conservative Position |
|---|--|
| Position | Displayed format is: Max. XX characters. |
| Pool Id | Shows the identifier that uniquely identifies the Pool. |
| | Displayed format is: Max. 16 characters. |
| Position Date | Shows the Position Date of the Pool |
| | Displayed format is: DD/MM/YYYY |
| Position Type | Shows the Position Type. |
| ļ , , , , , , , , , , , , , , , , , , , | Displayed format is: Max. XX characters. |
| Validity Date | Shows the Validity Date of the Pool |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| FTD Position | Details - Tab |
| Field | Description |
| Pool Id | Shows the identifier that uniquely identifies the Pool. |
| | Displayed format is: Max. 16 characters. |
| Counterparty | Shows the unique RIAD identifier of the Counterparty |
| | Displayed format is: Max. XX characters. |
| Position Date | Shows the Position Date of the Pool |
| | Displayed format is: DD/MM/YYYY |
| Actual Posi- | Shows the Actual Position |
| tion | Displayed format is: Max. XX characters. |
| Provisional | Shows the Provisional Position |
| Position | Displayed format is: Max. XX characters. |
| Conservative | Shows the Conservative Position |
| Position | Displayed format is: Max. XX characters. |
| After selecting | a record, the following buttons are displayed |
| Button | Description |
| View | This function enables you to access to the detailed information of a FTD Position. |
| | Next screen: |
| | FTD Position View – Details Screen. |
| FTD Position | View - Details Screen |
| Field | Description |
| Actual Posi- | Shows the Actual Position |
| tion | Displayed format is: Max. XX characters. |
| Provisional | Shows the Provisional Position |
| Position | Displayed format is: Max. XX characters. |
| Conservative | Shows the Conservative Position |
| Position | Displayed format is: Max. XX characters. |
| Pool Id | Shows the identifier that uniquely identifies the Pool. |
| | Displayed format is: Max. 16 characters. |
| Position Date | Shows the Position Date of the Pool |
| | Displayed format is: DD/MM/YYYY |
| Position Type | Shows the Position Type. |



| | Displayed format is: Max. XX characters. |
|---------------------------|--|
| Validity Date | Shows the Validity Date of the Pool |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Credit Claims | s Position Details - Tab |
| Field | Description |
| Credit Claim | Shows the identifier that identifies the Credit Claim. |
| ld | Displayed format is: Max. 16 characters. |
| Outstanding | Shows the Outstanding amount. |
| Amount | Displayed format is: Max. XX characters. |
| Currency | Shows Currency. |
| | Displayed format is: Max 3 characters |
| Collateral | Shows the Collateral Value |
| Value | Displayed format is: Max. XX characters. |
| Position Date | Shows the Position Date of the Pool |
| | Displayed format is: DD/MM/YYYY |
| Validity Date | Shows the Validity Date of the Pool |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| After selecting | a record, the following buttons are displayed |
| Button | Description |
| View | This function enables you to access to the detailed information of a Credit Claims Position. |
| | Next screen: |
| | Credit Claims Position View - Details Screen. |
| Credit Claims | s Position View – Details Screen |
| Field | Description |
| Credit Claim Reference | Shows the Reference given by the Counterparty |
| Credit Claim Id | Shows the Eurosystem reference given by the ECMS |
| Credit Claim | Shows the Type of Credit Claim. |
| Туре | Possible values: |
| | - CC |
| | - ACC |
| Cross-Border | Shows whether the Credit Claims is Cross-Border. |
| indicator | Possible values: Y or N |
| Counterparty RIAD code | Shows the RIAD code of the Counterparty |
| Account Identifier | Shows the Identifier of the account in which the CC are managed |
| Debtor Ref | Reference of the debtor known by the Counterparty |
| Debtor RIAD Code | RIAD code of the debtor |
| Debtor Name | Name of the debtor |
| Guarantor Ref | Reference of the garantor known by the Counterparty |



| Maturity Date | Maturity date of the Credit claims |
|--------------------|---|
| Outstanding | Outstanding amount of the Credit claim |
| Amount | |
| Actual Posi- | Shows the Actual Position |
| tion | Displayed format is: Max. XX characters. |
| Provisional | Shows the Provisional Position |
| Position | Displayed format is: Max. XX characters. |
| Conservative | Shows the Conservative Position |
| Position | Displayed format is: Max. XX characters. |
| Pool Id | Shows the identifier that uniquely identifies the Pool. |
| | Displayed format is: Max. 16 characters. |
| Position Date | Shows the Position Date of the Pool |
| | Displayed format is: DD/MM/YYYY |
| Position Type | Shows the Position Type. |
| | Displayed format is: Max. XX characters. |
| Validity Date | Shows the Validity Date of the Pool |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Triparty Secu | rities Position Details - Tab |
| Field | Description |
| Pool Identifier | Shows the identifier that uniquely identifies the Pool. |
| | Displayed format is: Max. 16 characters. |
| Counterparty | Shows the RIAD code of the Counterparty |
| Currency | Shows the currency of the Position. |
| | Displayed format is: Max. XX characters. |
| Price | Shows the Price of the Position. |
| | Displayed format is: Max. XX characters. |
| Triparty | Shows the Triparty Agent of the Position. |
| Agent | Displayed format is: Max. XX characters. |
| Refinancing | Shows the Refinancing NCB of the Position. |
| NCB | Displayed format is: Max. XX characters. |
| T2S External | Shows the T2S External Asset Account |
| Asset Ac- count | Displayed format is: Max. XX characters. |
| ISIN | Shows the ISIN of the Security |
| | Displayed format is: Max. XX characters. |
| Position | Shows the status of the Position. |
| Status | Displayed format is: Max. XX characters. |
| Position End | Shows the Position End Date of the Pool |
| Date | Displayed format is: DD/MM/YYYY |
| Removal Re- | Shows the Removal Request |
| quest | Displayed format is: Max. XX characters. |
| Security Col- | Shows the Security Collateral Value |
| lateral Value | Displayed format is: Max. XX characters. |
| | = p, |



| Valuation | Shows the Valuation Date of the Position | |
|--|--|--|
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Eligible | Shows if the asset is Eligible or not from the possible values: | |
| | - YES | |
| | - NO | |
| Close Link | Shows if the asset has Close Link or not from the possible values: | |
| | - YES | |
| | - NO | |
| Quantity | Shows the Securities quantity. | |
| | Displayed format is: Max. XX characters. | |
| Currency | Shows Currency. | |
| | Displayed format is: Max 3 characters | |
| Update Date | Shows the date and time of the update. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Updater User | Shows the identification of the user that made the last update. | |
| Id | · · | |
| After selecting | a record, the following buttons are displayed | |
| Button | Description | |
| View | This function enables you to access to the detailed information of a Triparty Securities Position. | |
| | Next screen: | |
| | Triparty Securities Position View – Details Screen. | |
| Triparty Secu | irities Position View – Details Screen | |
| Field | Description | |
| Pool Id | Shows the identifier that uniquely identifies the Pool. | |
| | Displayed format is: Max. 16 characters. | |
| Position Date | Shows the Position Date of the Pool | |
| | Displayed format is: DD/MM/YYYY | |
| Position Type | Shows the Position Type. | |
| | Displayed format is: Max. XX characters. | |
| Validity Date | Shows the Validity Date of the Pool | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Credit Line P | osition Details - Tab | |
| Field | Description | |
| Transaction | Shows the Transaction Reference. | |
| Reference | Displayed format is: Max. XX characters. | |
| Counterparty | Shows the unique RIAD identifier of the Counterparty | |
| | Displayed format is: Max. XX characters. | |
| Pool Identifier | Shows the identifier that uniquely identifies the Pool. | |
| | Displayed format is: Max. 16 characters. | |
| Payment Shows the Payment Type, possible values: | | |
| Type | - MCL | |
| | - Connected Payment | |
| t | ı | |



| New Credit | Shows the New Credit Line amount. |
|--|--|
| Line Amount | Displayed format is: Max. XX characters. |
| Credit Line Amount vari- | Shows the Credit Line Amount variation between previous Credit Line and current Credit Line. |
| ation | Displayed format is: Max. XX characters. |
| Payment | Shows the payment amount. |
| Amount | Displayed format is: Max. XX characters. |
| Currency | Shows the currency. |
| | Displayed format is: Max. XX characters. |
| Value Date | Shows the Value Date of the Credit Line Instruction |
| l | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| ECMS Refer- | Shows the identifier that uniquely identifies the Credit Line Instruction. |
| ence | Displayed format is: Max. XX characters. |
| ECMS De- scription | Shows the description that identifies event underlying the Credit Line Instruction. |
| | Displayed format is: Max. XX characters. |
| Instruction | Shows the status of the Credit Line Instruction. |
| Status | Displayed format is: Max. XX characters. |
| Status | Shows the status of the update. |
| | Displayed format is: Max. XX characters. |
| Update Date | Shows the Update Date of the Credit Line Instruction |
| l | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation | Shows the Creation Date of the Credit Line Instruction |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. |
| After selecting | a record, the following buttons are displayed |
| Button | Description |
| View | This function enables you to access to the detailed information of a Credit Line Position. |
| | Next screen: |
| | Credit Line Position View - Details Screen. |
| Credit Line P | osition View – Details Screen |
| Field | Description |
| Transaction | Shows the Transaction Reference. |
| Reference | Displayed format is: Max. XX characters. |
| Pool Identifier | Shows the identifier that uniquely identifies the Pool. |
| | Displayed format is: Max. 16 characters. |
| Counterparty | Shows the unique RIAD identifier of the Counterparty |
| | Displayed format is: Max. XX characters. |
| Payment | Shows the Payment Type, possible values: |
| Type | - MCL |
| <u> </u> | - Connected Payment |
| New Credit | Shows the New Credit Line Amount |
| Line Amount | Displayed format is: Max. XX characters. |



| Credit Line | Shows the Credit Line Amount Variation |
|------------------|--|
| Amount Variation | Displayed format is: Max. XX characters. |
| Variation | Shows the Credit Line Variation, possible values: |
| Sign | - Increase |
| | - Decrease |
| Payment | Shows the Payment Amount |
| Amount | Displayed format is: Max. XX characters. |
| Currency | Shows the Currency |
| | Displayed format is: Max. 3 characters. |
| Status | Shows the status of the Credit Line Instruction. |
| | Displayed format is: Max. XX characters. |
| | Shows the identifier that uniquely identifies the Credit Line Instruction. |
| ence | Displayed format is: Max. XX characters. |
| Value Date | Shows the Value Date of the update |
| | Displayed format is: DD/MM/YYYY |
| Cancellation | Shows the Cancellation reference. |
| Reference | Displayed format is: Max. XX characters. |
| • | Shows the Bundling reference. |
| erence | Displayed format is: Max. XX characters. |
| Instruction | Shows the status of the Credit Line Instruction |
| Status | Displayed format is: Max. XX characters. |
| Status | Shows the status of the update |
| | Displayed format is: Max. XX characters. |

3.6.1.2 Pool Position History – Search Screen

| Context of Us- age | This screen contains a number of search fields and shows the latest and stored searches. By inputting the relevant data, you can search for a specific Pool. The search results will be displayed in a list. After selecting an | | | | | |
|-----------------------|--|--------------------|-----------------------------------|------------|--|--|
| | entry, you can proceed shown. | | | | | |
| Screen Access | Collateral and Credit > tion >> Pool Position H | | >> Positions >> Pool | Posi- | | |
| Screenshot | Pool Position Event Reference Position Date Advanced Search | Counterparty ▼ | ▼ Pool identifier ▼ | . C | | |
| | Update Date | Pool Position ID 🔻 | Pool Position Date 8 == ▼ Time | CQ. Search | | |

| Pool Position History – Search screen | | | | |
|---------------------------------------|---|--|--|--|
| Field | Description | | | |
| Event Reference | Enter the event reference of the Pool Position | | | |
| Counterparty | Enter/Select the unique RIAD identifier of the Counterparty | | | |



| Pool Identifier | Enter/Select the unique identifier of the Pool provided by the system |
|-----------------------------|--|
| | Required format is: Max. 16 characters. |
| Position Date | Enter/Select the Business Date of the Pool Position. Either the current Business Date or a Past Business Date. |
| | The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY |
| Update Date | Enter/Select the Update Date of the Pool Position. Either the current Business Date or a Past Business Date. |
| | The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY hh:mm:ss:sss |
| Pool Position ID | Enter/Select the unique identification of the Pool Position. |
| Pool Position Date and Time | Enter/Select the Pool Position Date and Time. Either the current Business Date or a Past Business Date. |
| | The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY hh:mm:ss:sss |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | Pool Position History – List Screen. |

3.6.1.2.1 Pool Position History – List screen

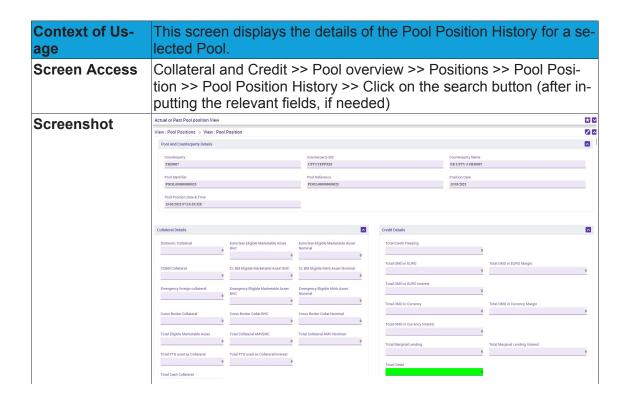
| Context of Us- age | disp | olaye | d in | | t. Af | ter s | elect | ing a | | | | | sition ceed | | , |
|-----------------------|-------------|-------|------|--|---|-----------------------|--|--|---|------------------------------------|--|---|----------------|---|---|
| Screen Access | tion | >> [| Pool | | ition | Hist | ory : | >> C | lick | | | | Poo otton | _ | - |
| Screenshot | Search Resi | | | EVERT REFERENCE PLAFFROOT 700. | CreditClaimVal CreditClaimVal CreditClaimVal CreditClaimVal CreditClaimVal CreditClaimVal CreditClaimVal CreditClaimVal | Pool Variation.2 0 | Total Collate: 0 0 10,000,169,935, 0 10,000,000 11,001,000,000 1152,044(10,184 1152,000,000 0 10,000,000 10,000,000 | 1 or1000 > 1 or1000 + 0 0 0 1,011,274,833.4 0 1,000,002.78 2,000,547.94 122,611,975.86 3,000,000 | 0 0 0 0,990,158,660,7 0 0 0,6534,459,99 134,999,452,06 | No No No No Yes Yes | 7 SCL # 0 0 0,999,158,6607. 999,999,997,22 6,553,4499 134,999,452,06 0 | 0 | Excess ECL | | © 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 |

| Pool Position History – List screen | | | | | |
|-------------------------------------|--|--|--|--|--|
| Field | Description | | | | |
| Pool Position ID | Show the unique identifier of the Pool position | | | | |
| Counterparty | Shows the unique RIAD identifier of the Counterparty | | | | |
| Position Date | Shows the Date of the Position | | | | |
| | Displayed format is: DD/MM/YYYY | | | | |
| Event Reference | Shows the unique event reference of the Pool Position. | | | | |

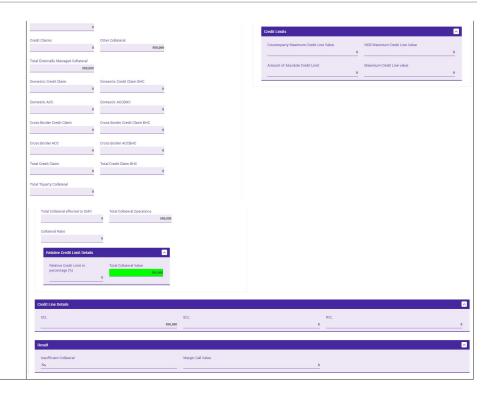


| Modification Reason | Shows the modification reason that could be a (Credit Claim Valuation) or a (Valuation Event) |
|---------------------------|---|
| Pool Variation Amount | Shows the variation of the pool amount between different events |
| Total Collateral Value | Shows the value of the total of the collateral |
| Total Credit | Shows the total credit value |
| Collateral Excess | Show the Collateral excess value when the pool is in margin call |
| Insufficient Collateral | Indicates if the Pool has sufficient collateral, so is in margin call or not. |
| SCL | Shows the Suggested Credit Line value |
| ECL | Shows the Expected Credit Line value |
| RCL | Shows the Real Credit Line value |
| Excess ECL | Shows the excess of the Expected Credit Line value |
| Updater User Id | Shows the Updater User Id |
| Update Date | Shows the Updated Date of the Position |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| After selecting a re | ecord, the following buttons are displayed |
| Button | Description |
| View | This function enables you to access to the detailed information of a Pool Position History. |
| | Next screen: |
| | Pool Position History – Details Screen. |

3.6.1.2.1.1 Pool Position History – Details Screen







| Pool Position His | story – Details screen | | | | | |
|--|---|--|--|--|--|--|
| Field | Description | | | | | |
| Pool Position History Details | | | | | | |
| Counterparty | Shows the unique RIAD identifier of the Counterparty | | | | | |
| Counterparty BIC | Shows the Counterparty BIC code to whom the Pool belongs | | | | | |
| Counterparty Name | Shows the Name of the Counterparty to whom the Pool belongs | | | | | |
| Pool Identifier | Shows the unique identifier of the Pool provided by the system | | | | | |
| | Displayed format is: Max. 16 characters. | | | | | |
| Pool Reference | Shows the unique identifier of the Pool given by the refinancing NCB. | | | | | |
| | Displayed format is: Max. 255 characters. | | | | | |
| Position Date | Shows the Position Date of the Pool | | | | | |
| | Displayed format is: DD/MM/YYYY | | | | | |
| Pool Position | Shows the Position Date and Time of the Pool | | | | | |
| Date & Time | Displayed format is: DD/MM/YYYY hh:mm:ss:sss | | | | | |
| Collateral Details | ; | | | | | |
| Domestic Collateral | Shows the Domestic Collateral value | | | | | |
| Domestic Eligible Marketable Asset BHC | Shows the Domestic Eligible Marketable Asset BHC (Before Haircut) value | | | | | |
| Domestic Eligible Marketable Asset Nominal | Shows the Domestic Eligible Marketable Asset Nominal value | | | | | |
| CCBM Collateral | Shows the CCBM Collateral value | | | | | |



| CCBM Eligible Marketable Asset BHC | Shows the CCBM Eligible Marketable Asset BHC (Before Haircut) value |
|---|--|
| CCBM Eligible Mktb Asset Nom- inal | Shows the CCBM Eligible Mktb Asset Nominal value |
| Cross Border Collateral | Shows the Cross Border Collateral value |
| Cross Border Collat BHC | Shows the Cross Border Collat BHC (Before Haircut) value |
| Cross Border Collat Nominal | Shows the Cross Border Collat Nominal value |
| Total Eligible Marketable Asset | Shows the Total Eligible Marketable Asset value |
| Total Collateral AMV BHC | Shows the Total Collateral AMV (Asset Marketable Value) BHC (Before Haircut) value |
| Total Collateral AMV Nominal | Shows the Total Collateral AMV (Asset Marketable Value) Nominal value |
| Total FTD used as Collateral | Shows the Total FTD used as Collateral value |
| Total FTD used as Collateral Interest | Shows the Total FTD used as Collateral Interest value |
| Total Cash Collateral | Shows the Total Cash Collateral value |
| Credit Claims | Shows the Credit Claims value |
| Other Collateral | Shows the Other Collateral value |
| Total Externally Managed Collat- eral | Shows the Total Externally Managed Collateral value |
| Domestic Credit Claim | Shows the Domestic Credit Claim value |
| Domestic Credit Claim BHC | Shows the Domestic Credit Claim BHC (Before Haircut) value |
| Domestic ACC | Shows the Domestic ACC (Additional Credit Claims) value |
| Domestic ACC BHC | Shows the Domestic ACC (Additional Credit Claims) BHC (Before Haircut) value |
| Cross Border Credit Claim | Shows the Cross Border Credit Claim value |
| Cross Border Credit Claim BHC | Shows the Cross Border Credit Claim BHC (Before Haircut) value |
| Cross Border ACC | Shows the Cross Border ACC (Additional Credit Claims) value |
| Cross Border ACC BHC | Shows the Cross Border ACC (Additional Credit Claims) BHC (Before Haircut) value |
| Total Credit Claim | Shows the Total Credit Claim value |
| Total Credit Claim BHC | Shows the Total Credit Claim BHC (Before Haircut) value |



| Total Triparty Collateral | Shows the Total Triparty Collateral value |
|---|--|
| Total Collateral affected to OMO | Shows the Total Collateral affected to OMO value |
| Total Collateral Operations | Shows the Total Collateral Operations value |
| Collateral Ratio | Shows the Collateral Ratio value |
| Relative Credit Li | imit Details |
| Relative Credit Limit in percent- age | Shows the relative credit limit in percentage |
| Total Collateral Value | Shows the total collateral value |
| Credit Details | |
| Total Credit Freezing | Shows the value of the Total Credit Freezing |
| Total OMO in EURO | Shows the value of the Total OMO in EURO |
| Total OMO in EURO Margin | Shows the value of the Total OMO in EURO Margin |
| Total OMO in EURO Interest | Shows the value of the Total OMO in EURO Interest |
| Total OMO in Currency | Shows the value of the Total OMO in Currency |
| Total OMO in Currency Margin | Shows the value of the Total OMO in Currency Margin |
| Total OMO in Currency Interest | Shows the value of the Total OMO in Currency Interest |
| Total Marginal Lending | Shows the value of the Total Marginal Lending |
| Total Marginal Lending Interest | Shows the value of the Total Marginal Lending Interest |
| Total Credit | Shows the value of the Total Credit |
| Credit Limits | |
| Counterparty Maximum Credit Line Value | Shows the Counterparty Maximum Credit Line Value |
| NCB Maximum Credit Line Value | Shows the NCB Maximum Credit Line Value |
| Amount of Abso- lute Credit Limit | Shows the Amount of Absolute Credit Limit |
| Maximum Credit Line value | Shows the Maximum Credit Line value |
| Credit Line Detail | ls |
| SCL | Shows the value of the Suggested Credit Line |
| ECL | Shows the value of the Expected Credit Line |
| RCL | Shows the value of the Real Credit Line |
| Result | |



| | Indicates if the Pool has sufficient collateral, so is margin call or not. |
|-------------------|--|
| lateral | Format: Yes / No |
| Margin Call Value | Shows the Margin Call Value |

3.6.1.3 Actual / Past Pool Position View – Search Screen

| Context of Usage | This screen contains a number of search fields and shows the latest and stored searches. By inputting the relevant data, you can search for the actual / past pool position view for a specific Pool for the current ECMS Business Date or a previous ECMS Business Date limited to the System Parameter "Past Pool Position Days Limit". The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. This U2A query "Display Actual or Past Pool Position" corresponds to the Collateral and Credit (pool) summary for all active Counterparties report. |
|------------------|--|
| Screen Access | Collateral and Credit >> Pool Overview >> Positions >> Pool Position >> Display Actual or Past Pool position |
| Screenshot | Actual or Past Pool position View Position Date: Pool Identifier: Pool Identifier: Q. Search |

| Actual / Past Pool Position View – Search screen | |
|--|--|
| Field | Description |
| Position Date* | Enter/Select the Business Date of the Pool Position. Either the current Business Date or a Past Business Date. |
| | The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY |
| Pool Identifier* | Enter/Select the unique identifier of the Pool provided by the system |
| | Required format is: Max. 16 characters. |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | Acutal / Past Pool Position Overview – List Screen. |

3.6.1.3.1 Actual / Past Pool Position View - List screen

| age | This screen contains the search results of the Actual / Past Pool Position View displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons below. |
|-----|--|
| | Collateral and Credit >> Pool Overview >> Positions >> Pool Position >> Display Actual or Past Pool position >> Click on the <i>search</i> button (after inputting the relevant fields, if needed) |





| Actual / Past Po | ool Position View – List screen |
|---|--|
| Field | Description |
| | Shows the Date of the Position |
| | Displayed format is: DD/MM/YYYY |
| Counterparty | Shows the unique RIAD identifier of the Counterparty |
| Pool Identifier | Shows the unique identifier of the Pool provided by the system |
| | Displayed format is: Max. 16 characters. |
| Pool Reference | Shows the unique identifier of the Pool given by the refinancing NCB. |
| | Displayed format is: Max. 255 characters. |
| Total Collateral Operations | Shows the total collateral operations |
| Relative Credit Limit in percent- age (%) | Shows the relative credit limit in percentage |
| Total Collateral Value | Shows the total collateral value of the selected pool |
| Total Credit | Shows the total credit value of the selected pool |
| SCL | Shows the Suggested Credit Line value |
| Amount of Absolute Credit Limit | Shows the Amount of Absolute Credit Limit |
| Maximum Credit Line Value | Shows the Maximum Credit Line value |
| ECL | Shows the Expected Credit Line value |
| RCL | Shows the Real Credit Line value |
| Insufficient Collateral | Indicates if the Pool has sufficient collateral, so is in margin call or not |
| Margin Call Value | Shows the Margin Call Value |
| Pool Position | Shows the date and time of the pool position |
| Date and Time | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| After selecting a | record, the following buttons are displayed |
| Button | Description |
| View | This function enables you to access to the detailed information of a Actual / Past Pool Position View. |
| | Next screen: |
| | Actual / Past Pool Position View – Details Screen. |
| Export Report Csv | This function enables you to export the displayed list of pool position in Csv format |



| Export Report | This function enables you to export the displayed list of pool position |
|---------------|---|
| Excel | in Excel format |

3.6.1.3.1.1 Actual / Past Pool Position View - Details Screen



Actual / Past Pool Position View - Details screen



| Field | Description |
|--|---|
| Pool and Counte | rparty Details |
| Counterparty | Shows the unique RIAD identifier of the Counterparty |
| Counterparty BIC | Shows the Counterparty BIC code to whom the Pool belongs |
| Counterparty Name | Shows the Name of the Counterparty to whom the Pool belongs |
| Pool Identifier | Shows the unique identifier of the Pool provided by the system |
| | Displayed format is: Max. 16 characters. |
| Pool Reference | Shows the unique identifier of the Pool given by the refinancing NCB. |
| | Displayed format is: Max. 255 characters. |
| Position Date | Shows the Position Date of the Pool |
| | Displayed format is: DD/MM/YYYY |
| Pool Position | Shows the Position Date and Time of the Pool |
| Date & Time | Displayed format is: DD/MM/YYYY hh:mm:ss:sss |
| Collateral Details | |
| Domestic Collateral | Shows the Domestic Collateral value |
| Domestic Eligible Marketable Asset BHC | Shows the Domestic Eligible Marketable Asset BHC value |
| Domestic Eligible Marketable Asset Nominal | Shows the Domestic Eligible Marketable Asset Nominal value |
| CCBM Collateral | Shows the CCBM Collateral value |
| CCBM Eligible Marketable Asset BHC | Shows the CCBM Eligible Marketable Asset BHC value |
| CCBM Eligible Mktb Asset Nom- inal | Shows the CCBM Eligible Mktb Asset Nominal value |
| Cross Border Collateral | Shows the Cross Border Collateral value |
| Cross Border Collat BHC | Shows the Cross Border Collat BHC value |
| Cross Border Collat Nominal | Shows the Cross Border Collat Nominal value |
| Total Eligible Marketable Asset | Shows the Total Eligible Marketable Asset value |
| Total Collateral AMVBHC | Shows the Total Collateral AMVBHC value |
| Total Collateral AMV Nominal | Shows the Total Collateral AMV Nominal value |
| Total FTD used as Collateral | Shows the Total FTD used as Collateral value |
| Total FTD used as Collateral Interest | Shows the Total FTD used as Collateral Interest value |



| Total Cash Collateral | Shows the Total Cash Collateral value |
|---|---|
| Credit Claims | Shows the Credit Claims value |
| Other Collateral | Shows the Other Collateral value |
| Total Externally Managed Collat- eral | Shows the Total Externally Managed Collateral value |
| Domestic Credit Claim | Shows the Domestic Credit Claim value |
| Domestic Credit Claim BHC | Shows the Domestic Credit Claim BHC value |
| Domestic ACC | Shows the Domestic ACC value |
| Domestic AC- CBHC | Shows the Domestic ACCBHC value |
| Cross Border Credit Claim | Shows the Cross Border Credit Claim value |
| Cross Border Credit Claim BHC | Shows the Cross Border Credit Claim BHC value |
| Cross Border ACC | Shows the Cross Border ACC value |
| Cross Border AC- CBHC | Shows the Cross Border ACCBHC value |
| Total Credit Claim | Shows the Total Credit Claim value |
| Total Credit Claim BHC | Shows the Total Credit Claim BHC value |
| Total Triparty Collateral | Shows the Total Triparty Collateral value |
| Total Collateral affected to OMO | Shows the Total Collateral affected to OMO value |
| Total Collateral Operations | Shows the Total Collateral Operations value |
| Collateral Ratio | Shows the Collateral Ratio value |
| Relative Credit L | imit Details |
| Relative Credit Limit in percent- age | Shows the relative credit limit in percentage |
| Total Collateral Value | Shows the total collateral value |
| Credit Details | |
| Total Credit Freezing | Shows the value of the Total Credit Freezing |
| Total OMO in EURO | Shows the value of the Total OMO in EURO |
| Total OMO in EURO Margin | Shows the value of the Total OMO in EURO Margin |
| Total OMO in EURO Interest | Shows the value of the Total OMO in EURO Interest |
| | |



| Total OMO in Currency | Shows the value of the Total OMO in Currency | | |
|--|--|--|--|
| Total OMO in Currency Margin | Shows the value of the Total OMO in Currency Margin | | |
| Total OMO in Currency Interest | Shows the value of the Total OMO in Currency Interest | | |
| Total Marginal Lending | Shows the value of the Total Marginal Lending | | |
| Total Marginal Lending Interest | Shows the value of the Total Marginal Lending Interest | | |
| Total Credit | Shows the value of the Total Credit | | |
| Credit Limits | | | |
| Counterparty Maximum Credit Line Value | Shows the Counterparty Maximum Credit Line Value | | |
| NCB Maximum Credit Line Value | Shows the NCB Maximum Credit Line Value | | |
| Amount of Absolute Credit Limit | Shows the Amount of Absolute Credit Limit | | |
| Maximum Credit Line value | Shows the Maximum Credit Line value | | |
| Credit Line Detai | Credit Line Details | | |
| SCL | Shows the value of the Suggested Credit Line | | |
| ECL | Shows the value of the Expected Credit Line | | |
| RCL | Shows the value of the Real Credit Line | | |
| Result | | | |
| Insufficient Collateral | Indicates if the Pool has sufficient collateral, so is margin call or not. | | |
| Margin Call Value | Shows the Margin Call Value | | |

3.6.1.4 Consolidated Banking Group Pool Position – Search Screen

| Context of Usage | This screen contains a number of search fields and shows the latest and stored searches. By inputting the relevant data, you can search for a specific Banking Group. |
|------------------|---|
| | The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |
| | This screen is available in the following cases: |
| | The Pool of Accounts can be accessed by the Counterparty designated |
| | as the Manager of the Banking Group and the NCB of the Counter- party |
| | designated as the Manager of the Banking Group; |
| | The Single Pool can be accessed by the Counterparty designated as |
| | the Manager of the Banking Group and the NCB of the Counter- party |
| | designated as the Manager of the Banking Group. |



| | This function is available only in U2A mode. |
|---------------|---|
| Screen Access | Collateral and Credit >> Pool Overview >> Positions >> Pool Position >> Display Consolidated Banking Group Pool Position |
| Screenshot | Consolidated Banking Group Peal Position View Banking Group Manager Member Peasing Group Manager Member Peasing Group Manager Member Q Seath |

| Consolidated I | Consolidated Banking Group Pool Position – Search screen | |
|----------------|--|--|
| Field | Description | |
| | Enter/Select the Banking Group Manager | |
| Manager | Required format is: Max. XX characters. | |
| Position Date | Enter/Select the Business Date of the Pool Position. Either the current Business Date or a Past Business Date. | |
| | The calendar icon can also be used. | |
| | Required format is: DD/MM/YYYY | |
| Button | Function | |
| Reset | This function enables you to clear the form. | |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. | |
| | Next screen: | |
| | Consolidated Banking Group Pool Position – List Screen. | |

3.6.1.4.1 Consolidated Banking Group Pool Position – List screen

| Context of Usage | This screen contains the search results of the Pools belonging to a Banking Group displayed in a list, which is sorted by the values of the 'Pool Id' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. |
|---------------------|---|
| | This screen is available in the following cases: |
| | The Pool of Accounts can be accessed by the Counterparty designated |
| | as the Manager of the Banking Group and the NCB of the Counter- party |
| | designated as the Manager of the Banking Group; |
| | The Single Pool can be accessed by the Counterparty designated as |
| | the Manager of the Banking Group and the NCB of the Counter- party |
| | designated as the Manager of the Banking Group. |
| | This function is available only in U2A mode. |
| Screen Access | Collateral and Credit >> Pool Overview >> Positions >> Pool Position >> Display Consolidated Banking Group Pool Position >> Click on the search button (after inputting the relevant fields, if needed) |
| Screenshot | Search Result : Consolidated Pool Position View 1 |

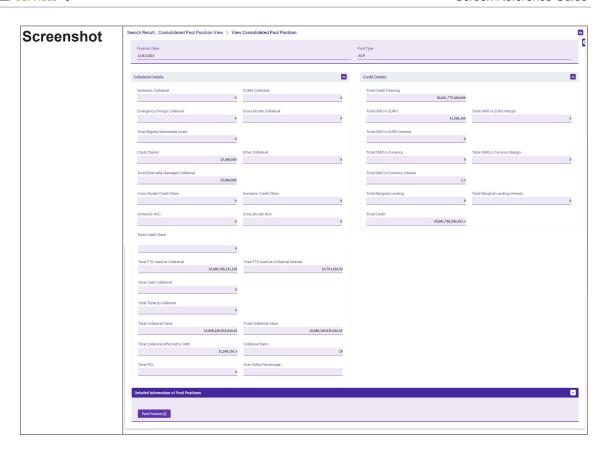


| Consolidated | Banking Group Pool Position – List screen | | | | | |
|-------------------|--|--|--|--|--|--|
| Field | Description | | | | | |
| Position Date | Shows the Business Date for the Consolidated Banking Group Pool Position | | | | | |
| | Shows the value of the Pool Collateral | | | | | |
| Value | Displayed format is: Max. XX characters. | | | | | |
| Total Credit | Shows the value of the Credit | | | | | |
| | Displayed format is: Max. XX characters. | | | | | |
| After selecting a | a record, the following buttons are displayed | | | | | |
| Button | Description | | | | | |
| View | This function enables you to access to the detailed information of a Consolidated Banking Group Pool Position. | | | | | |
| | Next screen: | | | | | |
| | Consolidated Banking Group Pool Position – Details Screen. | | | | | |

3.6.1.4.1.1 Consolidated Banking Group Pool Position – Details Screen

| Context of Usage | This screen displays the consolidated view of the Pool Positions for the Counterparty and Counterparties belonging to a selected Banking Group. |
|------------------|--|
| | This screen is available in the following cases: |
| | The Pool of Accounts can be accessed by the Counterparty designated |
| | as the Manager of the Banking Group and the NCB of the Counter- party |
| | designated as the Manager of the Banking Group; |
| | The Single Pool can be accessed by the Counterparty designated as |
| | the Manager of the Banking Group and the NCB of the Counter- party |
| | designated as the Manager of the Banking Group. |
| | This function is available only in U2A mode. |
| Screen Access | Collateral and Credit >> Pool Overview >> Positions >> Pool Position >> Display Consolidated Banking Group Pool Position >> Click on the search button (after inputting the relevant fields, if needed) >> Select a Pool >> Click on the View button |





| Consolidated | Banking Group Pool Position – Details screen | | | | |
|--|---|--|--|--|--|
| Field | Description | | | | |
| Banking Group | Pool Position Details | | | | |
| Position Date | Shows the Position Date of the Consolidated Banking Group Pool Position | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs | | | | |
| Collateral Deta | nils | | | | |
| Domestic Eli- gible Market- able Asset | Shows the Domestic Eligible Marketable Asset value. | | | | |
| CCBM Eligible Marketable Asset | Shows the CCBM Eligible Marketable Asset value. | | | | |
| Cross Border Eligible Mar- ketable Asset Collateral | Shows the Cross Border Eligible Marketable Asset Collateral value | | | | |
| Total Eligible Marketable As- set Collateral | Shows the Total Eligible Marketable Asset Collateral value | | | | |
| Total Extern- ally Managed Collateral | Shows Total Externally Managed Collateral value | | | | |
| Cross Border Credit Claims | Shows the Cross Border Credit Claims value | | | | |



| Domestic Credit Claims | Shows the Domestic Credit Claims value |
|---|---|
| Domestic Additional Credit Claims | Shows the Domestic Additional Credit Claims value |
| Cross Border Additional Credit Claims | Shows the Cross Border Additional Credit Claims value |
| Total Credit Claims | Shows Total Credit Claims value |
| Total Fixed- Term Deposit used as Collat- eral | Shows the Total Fixed-Term Deposit (FTD) collateral value |
| Total Interest for Fixed-Term Deposit used as Collateral | Shows the Total Interest Fixed-Term Deposit (FTD) used as collateral value |
| Total Triparty Collateral | Shows the Total Triparty Collateral value |
| Total Cash Collateral | Shows Total mobilised Cash Collateral value |
| Total Collateral Operations | Shows Total Collateral Operations |
| Total Collateral Value | Shows Total Collateral Value after application of the Relative Credit Limit |
| Collateral Ra- tio | Shows the Collateral Ratio |
| Credit Details | |
| Total Credit Freezing | Shows Total Credit Freezing |
| Total Open | Shows Total Open Market Credit Operations (OMO) – Euro value |
| Market Credit Operation (Euro) | Segregated by type of operations and operation |
| Total Open Market Credit | Shows Total Open Market Credit Operations (OMO) Margin – Euro value |
| Operation Margin (Euro) | Segregated by type of operations and operation |
| Total Open Market Credit | Shows Total Open Market Credit Operations (OMO) Interest – Euro value |
| Operation In- terest (Euro) | Segregated by type of operations and operation |
| Total Open | Shows Total Open Market Credit Operations (OMO) – non-Euro value |
| Market Credit Operation (non-Euro) | Segregated by type of operations and operation |
| Total Open Market Credit | Shows Total Open Market Credit Operations (OMO) Margin – non- Euro value |
| Operation Margin (non-Euro) | Segregated by type of operations and operation |



| Total Open Market Credit Operation In- terest (non- Euro) | Shows Total Open Market Credit Operations (OMO) Interest – non- Euro value Segregated by type of operations and operation |
|---|---|
| Total Marginal Lending | Shows Total Marginal Lending |
| Total Marginal Lending In- terest | Shows Total Marginal Lending Interest |
| Total Credit | Shows sum of the Total Credit |
| Section But- ton | Description |
| Pool Position | Section to view the list of the different individual Counterparty Pool Positions of the Consolidated Pool Position. |

3.6.1.5 EMC Position

3.6.1.5.1 EMC Position – Search Screen

| Context of Us- age | This screen contains a number of search fields and shows the latest and stored searches. By inputting the relevant data, you can search for a EMC position. The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. | | | | | | |
|-----------------------|---|--|--|--|--|--|--|
| Screen Access | Collateral and Credit >> Pool Overview >> Positions >> Display EMC Position | | | | | | |
| Screenshot | Search Criteria : BAC Position Fusi issender | | | | | | |

| EMC Position – Search screen | | | | | | |
|------------------------------|--|--|--|--|--|--|
| Field | Description | | | | | |
| Pool Identifier | Enter the unique identifier of the Pool provided by the system | | | | | |
| | Required format is: Max. 16 characters. | | | | | |
| Counterparty | Enter/Select the unique RIAD identifier of the Counterparty | | | | | |
| EMC Type | Enter the EMC Type. | | | | | |
| Position Date | Enter/Select the Position Date | | | | | |
| | The calendar icon can also be used. | | | | | |
| | Required format is: DD/MM/YYYY | | | | | |
| Process Refer- | Enter the reference of the Process. | | | | | |
| ence | | | | | | |
| Creation Date | Enter/Select the Creation Date of the EMC Position. | | | | | |
| | The calendar icon can also be used. | | | | | |



| | Required format is: DD/MM/YYYY hh:mm:ss: µs | | | |
|--------|--|--|--|--|
| Button | Function | | | |
| Reset | This function enables you to clear the form. | | | |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. | | | |
| | Next screen: | | | |
| | • EMC Position – List Screen. | | | |

3.6.1.5.2 EMC Position – List screen

| Context of Us- age | This screen contains the search results of the EMC position displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons below. | | | | | | | | | |
|-----------------------|--|---|---|---|---------------------|--|---|--|--|---|
| Screen Access | Collateral and Credit >> Pool Overview >> Positions >> Display EMC Position >> Click on the <i>search</i> button (after inputting the relevant fields, if needed) | | | | | | | | | |
| Screenshot | Search Result: EMC Positi | on | | | K < Page 1 of 2 > > | | | | 0 | |
| | Process Inference | Pool (3000000000000000000000000000000000000 | © Counterparty € FR00007 FR00007 FR00007 FR00007 FR010120 FR10120 FR10120 FR10120 FR10120 FR10120 FR10120 | EMCType 6 Intrivisual ACC CC | Mnount 4 | Currency ¢ EUR EUR EUR EUR EUR EUR EUR EUR | © Position Date © 20/09/2021 28/09/2021 28/09/2021 24/09/2021 27/09/2021 11/10/2021 11/10/2021 11/10/2021 11/10/2021 11/10/2021 22/10/2021 | ™akidry Date ◆ 31/12/9999 31/12/9999 31/12/9999 31/12/9999 31/12/9999 31/12/9999 31/12/9999 31/12/9999 31/12/9999 31/12/9999 | ** Update Oute # 2009/0021 09/00 54-827 27/00/2021 14/3 18-91 24/00/2021 14/3 18-91 24/00/2021 14/3 18-91 24/00/2021 14/3 18-91 24/00/2021 14/3 18-94 04/2021 14/2021 14/2021 14/2021 14/2021 14/2021 14/2021 14/2021 14/2021 14/2021 14/2021 14/2021 14/2021 14/202 | CEMSOPERATOR! COMSOPERATOR!

| EMC Position – L | List screen | | | | | |
|-------------------------|--|--|--|--|--|--|
| Field | Description | | | | | |
| Process Reference | Shows the unique identifier of the Process. | | | | | |
| Pool identifier | Shows the unique identifier of the Pool provided by the system | | | | | |
| | Displayed format is: Max. 16 characters. | | | | | |
| Counterparty | Shows the unique RIAD identifier of the Counterparty | | | | | |
| EMC Type | Shows the EMC Type of the EMC Position. | | | | | |
| Amount | Shows the amount of the EMC Position. | | | | | |
| Currency | Shows the currency of the EMC Position. | | | | | |
| Position Date | Shows the Date of the Position. | | | | | |
| | Displayed format is: DD/MM/YYYY | | | | | |
| Validity Date | Shows the Validity Date of the EMC Position. | | | | | |
| | Displayed format is: DD/MM/YYYY | | | | | |
| Updater User Id | Shows the Updater User Id. | | | | | |
| Update Date | Shows the Updated Date of the EMC Position. | | | | | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs | | | | | |
| After selecting a re | ecord, the following buttons are displayed | | | | | |
| Button | Description | | | | | |
| View | This function enables you to access to the detailed information of a EMC Position. | | | | | |
| | Next screen: | | | | | |
| | EMC Position – Details Screen. | | | | | |



3.6.1.5.3 EMC Position – Details Screen

| Context of Usage | This screen disp | olays th | e details c | of the EMC F | Position. | | |
|------------------|---|---|-------------------------|-------------------------|---------------------------------|----------|--|
| Screen Access | EMC Position relevant field | Collateral and Credit >> Pool Overview >> Positions >> Display EMC Position >> Click on the search button (after inputting the relevant fields, if needed) >> Select an EMC Position >> Click on the <i>View</i> button | | | | | |
| Screenshot | Search Result: EMC Position > View : EMC Position | | | | | | |
| Screenshot | Position Date 11/19/2021 | | Counterparty FRIS129 | | Pool Identifier POOL60000000077 | | |
| | 11/10/2021 | | FR(8129 | | POGE00000007/ | | |
| | Amount | | EMC Type CC | | Currency EUR | | |
| | Process Reference | | Validity Date | | | | |
| | EMC2021101109106 | | 31/12/9999 | | | | |
| | FootPrint | | | | | <u> </u> | |
| | Updater User Id | | | Update Date | | | |
| | ECM5OperationalDayScheduler | | | 11/10/2021 17:31:15:590 | | | |
| | Creation User M | | Creation Date | | | | |
| | CIMATION USAF IO | | | Creation Date | | | |

| EMC Position – I | Details screen | | | |
|-------------------------|---|--|--|--|
| Field | Description | | | |
| Position Date | Shows the Date of the Position. | | | |
| | Displayed format is: DD/MM/YYYY | | | |
| Counterparty | Shows the unique RIAD identifier of the Counterparty. | | | |
| Pool identifier | Shows the unique identifier of the Pool provided by the system | | | |
| | Displayed format is: Max. 16 characters. | | | |
| Amount | Shows the amount of the EMC Position. | | | |
| EMC Type | Shows the EMC Type of the EMC Position. | | | |
| Currency | Shows the currency of the EMC Position. | | | |
| Process Refer- | Shows the unique identifier of the Process. | | | |
| ence | | | | |
| Validity Date | Shows the Validity Date of the EMC Position. | | | |
| | Displayed format is: DD/MM/YYYY | | | |
| Footprint | | | | |
| Field | Description | | | |
| Updater User Id | Show the identification of the user that made the last update. | | | |
| Update Date | Shows the date and time of the update. | | | |
| | Display format is: DD/MM/YYYY hh:mm:ss:µs. | | | |
| Creation User Id | Shows the identification of the user that created the EMC Position. | | | |
| Creation Date | Show the date and time of the creation. | | | |
| | Display format is: DD/MM/YYYY hh:mm:ss:µs. | | | |

3.6.1.6 Credit Freezing Position

These screens provide information on the Credit Freezing Positions of Pools.



3.6.1.6.1 Credit Freezing Position – Search Screen

| Context of Us- age | This screen contains a number of search fields and shows the latest and stored searches. By inputting the relevant data, you can search for a Credit Freezing position. The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. | | | |
|-----------------------|---|--|--|--|
| Screen Access | Collateral and Credit >> Pool Overview >> Positions >> Display Credit Freezing Position | | | |
| Screenshot | Search Criteria : Credit Freezing Position | | | |
| | Pool Identifier → ▼ Contemporty → ▼ Credit Freezing Type → ▼ | | | |
| | Position Date == ▼ Update Date == ▼ Update Date == ▼ | | | |
| | ○ Reset | | | |

| Credit Freezing F | Position – Search screen | | | | |
|--------------------------|--|--|--|--|--|
| Field | Description | | | | |
| Pool Identifier | Enter the unique identifier of the Pool provided by the system | | | | |
| | Required format is: Max. 16 characters. | | | | |
| Counterparty | Enter/Select the unique RIAD identifier of the Counterparty | | | | |
| | Required format is: Max. 30 characters. | | | | |
| Credit Freezing | Enter the Credit Freezing Type. | | | | |
| Туре | Required format is: Max. XX characters. | | | | |
| Position Date | Enter/Select the Position Date of the Credit Freezing Position. | | | | |
| | The calendar icon can also be used. | | | | |
| | Required format is: DD/MM/YYYY | | | | |
| Process Refer- | Enter the reference of the Process. | | | | |
| ence | Required format is: Max. XX characters. | | | | |
| Update Date | Enter/Select the Update Date of the Credit Freezing Position. | | | | |
| | The calendar icon can also be used. | | | | |
| | Required format is: DD/MM/YYYY hh:mm:ss: µs | | | | |
| Button | Function | | | | |
| Reset | This function enables you to clear the form. | | | | |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. | | | | |
| | Next screen: | | | | |
| | Credit Freezing Position – List Screen. | | | | |

3.6.1.6.2 Credit Freezing Position – List screen

| age | This screen contains the search results of the Credit Freezing position displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons below. |
|-----|--|
| | Collateral and Credit >> Pool Overview >> Positions >> Display Credit Freezing Position >> Click on the <i>search</i> button (after inputting the relevant fields, if needed) |



| Screenshot | Search Result : Cred | lit Freezing Position | | | | | | | | |
|--------------|----------------------|-----------------------|------------------------------------|--------------------|----------|----------------------|-----------------------|-----------------|---------------------|---------------------|
| ocicciisiiot | 10 🔻 | | | | | | | | Q 58 🛨 🗵 | |
| | Position Date | Pool Identifier Cour | interparty 🗢 🤝 Credit Freezing Typ | Amount \$ | Currency | Process Reference \$ | Process Valuation | Validity Date ¢ | ▽ Update Date Φ ▽ | Updater User Id ♥ 🤊 |
| | 08/06/2022 | P00L000000000224 FR50 | 0007 ECONS | 100,000 | EUR | CF20220608000965 | Credit Freezing Incre | 31/12/9999 | 08/06/2022 18:31:52 | ECMS OPERATOR 1 |
| | 08/06/2022 | P00L000000000222 FR50 | 0007 ECONS | 200,000 | EUR | CF20220608000947 | Credit Freezing Incre | 31/12/9999 | 08/06/2022 16:04:27 | ECMS OPERATOR 1 |
| | 31/05/2022 | P00L000000000079 FR30 | 0007 NCB | 15,315,521,315,315 | EUR | CF20220531000868 | Credit Freezing Incre | 31/12/9999 | 31/05/2022 11:51:13 | ECMS OPERATOR 1 |
| | 30/05/2022 | P00L000000000207 FR50 | 0007 ECONS | 50,000 | EUR | CF20220530000865 | Credit Freezing Incre | 31/12/9999 | 30/05/2022 17:11:51 | ECMS OPERATOR 1 |
| | 19/05/2022 | P00L000000000213 FR50 | 0007 DISC | 50,000 | EUR | CF20220519000827 | Credit Freezing Incre | 31/12/9999 | 19/05/2022 10:54:52 | ECMS OPERATOR 1 |
| | 02/05/2022 | P00L000000000204 FR50 | 0007 DISC | 200,995,756,000 | EUR | CF20220502000809 | Credit Freezing Incre | 31/12/9999 | 02/05/2022 06:35:30 | ECMS OPERATOR 1 |
| | 27/04/2022 | P00L000000000202 FR50 | 0007 DISC | 120,000 | EUR | CF20220427000792 | Credit Freezing Incre | 31/12/9999 | 27/04/2022 08:13:01 | ECMS OPERATOR 1 |
| | 26/04/2022 | P00L000000000199 FR50 | 0007 DISC | 460,000 | EUR | CF20220426000790 | Credit Freezing Incre | 31/12/9999 | 26/04/2022 09:09:41 | ECMS OPERATOR 1 |
| | 25/04/2022 | P00L000000000187 FR50 | 0007 DISC | 90,000 | EUR | CF20220425000787 | Credit Freezing Incre | 31/12/9999 | 25/04/2022 14:46:26 | ECMS OPERATOR 1 |
| | 11/03/2022 | P00L000000000183 FR50 | 0007 DISC | 0 | EUR | CF20220311000758 | Credit Freezing Decr | 31/12/9999 | 11/03/2022 16:14:26 | ECMS OPERATOR 1 |

| Credit Freezing F | Position – List screen |
|-----------------------------|--|
| Field | Description |
| Position Date | Shows the Date of the Position. |
| | Displayed format is: DD/MM/YYYY |
| Pool identifier | Shows the unique identifier of the Pool provided by the system |
| | Displayed format is: Max. 16 characters. |
| Counterparty | Shows the unique RIAD identifier of the Counterparty |
| | Displayed format is: Max. 30 characters. |
| Credit Freezing | Shows the Credit Freezing Type of the Credit Freezing Position. |
| Туре | Displayed format is: Max. XX characters. |
| Amount | Shows the amount of the Credit Freezing Position. |
| | Displayed format is: Max. XX characters. |
| Currency | Shows the currency of the Credit Freezing Position. |
| | Displayed format is: Max. XX characters. |
| Process Refer- | Shows the unique identifier of the Process. |
| ence | Displayed format is: Max. XX characters. |
| Process Valu- ation Type | Shows the process valuation type of the Credit Freezing Position provided by the system. |
| | Displayed format is: Max. XX characters. |
| Position Date | Shows the Date of the Position. |
| | Displayed format is: DD/MM/YYYY |
| Validity Date | Shows the Validity Date of the Credit Freezing Position. |
| | Displayed format is: DD/MM/YYYY |
| Update Date | Shows the Updated Date of the Credit Freezing Position. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Updater User Id | Shows the Updater User Id. |
| After selecting a re | ecord, the following buttons are displayed |
| Button | Description |
| View | This function enables you to access to the detailed information of a Credit Freezing Position. |
| | Next screen: |
| | Credit Freezing Position - Details Screen. |



3.6.1.6.3 Credit Freezing Position – Details Screen

| Context of Us- age | This screen displays the details of the Credit Freezing Position. | | | | |
|-----------------------|--|---|--|--|--|
| Screen Access | Collateral and Credit >> Pool Overview >> Positions >> Display Credit Freezing Position >> Click on the search button (after inputting the relevant fields, if needed) >> Select an Credit Freezing Position >> Click on the View button | | | | |
| Screenshot | Search Result: Credit Freezing Position > View: Credit Freezing P Position Date Issnitzel Issnitzel Credit Freezing Type RCONS Process Valuation Type Credit Freezing Extrasse Position Status Status Status Status | osition Peol Sentition POOL Remotes Amount 1,600,000 Piocess Reference (CF2016715000064 | Counterparty EXEMPT Currency EXE Position Malare Taitastice | | |
| | FootPrint | | | | |

| Credit Freezing F | Position – Details screen |
|--------------------------|--|
| Field | Description |
| Position Date | Shows the Date of the Position. |
| | Displayed format is: DD/MM/YYYY |
| Pool identifier | Shows the unique identifier of the Pool provided by the system |
| | Displayed format is: Max. 16 characters. |
| Counterparty | Shows the unique RIAD identifier of the Counterparty. |
| | Displayed format is: Max. 30 characters. |
| Credit Freezing | Shows the Credit Freezing Type of the Credit Freezing Position. |
| Туре | Displayed format is: Max. XX characters. |
| Amount | Shows the amount of the Credit Freezing Position. |
| Currency | Shows the currency of the Credit Freezing Position. |
| Process Valuation Type | Shows the process valuation type provided by the ECMS of the Credit Freezing Position. |
| | Displayed format is: Max. XX characters. |
| Process Refer- | Shows the unique identifier of the Process. |
| ence | Displayed format is: Max. XX characters. |
| Position Nature | Shows the Position Nature of the Credit Freezing Position. |
| | Displayed format is: Max. XX characters. |
| Position Status | Shows the Position Status of the Credit Freezing Position. |
| | Displayed format is: Max. XX characters. |
| Footprint | |
| Field | Description |
| Updater User Id | Show the identification of the user that made the last update. |
| Update Date | Shows the date and time of the update. |
| | Display format is: DD/MM/YYYY hh:mm:ss:µs. |
| Creation User Id | Shows the identification of the user that created the Credit Freezing Position. |
| Creation Date | Show the date and time of the creation. |
| | Display format is: DD/MM/YYYY hh:mm:ss:µs. |



3.6.1.7 Cash Position

These screens provide information on the Cash Positions of Pools.

3.6.1.7.1 Cash Position - Search Screen

| Context of Us- age | This screen contains a number of search fields and shows the latest and stored searches. By inputting the relevant data, you can search for a Credit Freezing position. The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |
|-----------------------|---|
| Screen Access | Collateral and Credit >> Pool Overview >> Positions >> Cash Position >> Cash Position Details |
| Screenshot | Cash Position Details Search Screen Position Date == Position Date == |

| Cash Position - | Search screen | | | |
|------------------------|--|--|--|--|
| Field | Description | | | |
| Pool Identifier | Enter the unique identifier of the Pool provided by the ECMS Required format is: Max. 16 characters. | | | |
| Counterparty | Enter/Select the unique RIAD identifier of the Counterparty | | | |
| | Required format is: Max. 30 characters. | | | |
| Position Date | Enter/Select the Position Date of the Cash Position. | | | |
| | The calendar icon can also be used. | | | |
| | Required format is: DD/MM/YYYY | | | |
| Creation Date | Enter/Select the Creation Date of the Cash Position. | | | |
| | The calendar icon can also be used. | | | |
| | Required format is: DD/MM/YYYY | | | |
| Process Valuation Type | Enter/Select the process valuation type provided by the ECMS of the Cash Position. | | | |
| | Required format is: Max. XX characters. | | | |
| Position Type | Enter the Position Type from possible values: | | | |
| | - Collateral | | | |
| | - Main | | | |
| | - Interest | | | |
| | Main Standing Facilities | | | |
| | Interest Standing Facilities | | | |
| | - Margin | | | |
| | - Cash Proceeds | | | |
| | Cash Proceeds Interest. | | | |
| | Required format is: Max. XX characters. | | | |



| | Enter the reference of the movement that affects the Cash Position. |
|------------------|--|
| ence | Required format is: Max. 30 characters. |
| Position Nature | Enter / Select the Position Nature from possible values: |
| | – Initiation |
| | - Return |
| | Required format is: Max. XX characters. |
| Being Cancelled | Enter / Select whether the Cash Position is cancelled or not from possible values: |
| | - Yes |
| | - No |
| | Required format is: Max. XX characters. |
| Currency | Enter / Select the currency of the amount that increases / decreases the Cash Position. |
| | Required format is: Max. 3 characters. |
| Position Status | Enter / Select the status of the Cash Position from the possible values: |
| | - Instructed |
| | - Settled |
| | Required format is: Max. XX characters. |
| Update Date from | Enter/Select the Start of the Update Date of the Cash Position. |
| | The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY hh:mm:ss: µs |
| Update Date to | Enter/Select the End of the Update Date of the Cash Position. |
| | The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY hh:mm:ss: µs |
| Process Refer- | Enter the reference of the Process. |
| ence | Required format is: Max. XX characters. |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | Cash Position – List Screen. |
| | |

3.6.1.7.2 Cash Position – List screen

| Context of Us- age | This screen contains the search results of the Cash position displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons below. |
|-----------------------|---|
| Screen Access | Collateral and Credit >> Pool Overview >> Positions >> Cash Position >> Cash Position Details >> Click on the <i>search</i> button (after inputting the relevant fields, if needed) |



| Screenshot | Search Re | sult : Credit Freezing Position | | | | | | | | | |
|--------------|-----------|---------------------------------|------------------|---------------------|--------------------|------------|-------------------|-----------------------|---------------|---------------------|-----------------|
| ocicciisiiot | 10 🕶 | | | | | | | | | Q 58 * X | |
| | Positio | on Date 🗢 🤝 Pool Identifier 🗢 🦠 | Counterparty • 5 | Credit Freezing Typ | Amount \$ | Currency ¢ | Process Reference | Process Valuation 🖓 | Validity Date | Update Date 🗢 💝 | Updater User Id |
| | m 08/06/ | 2022 P00L00000000224 | FR50007 | ECONS | 100,000 | EUR | CF20220608000965 | Credit Freezing Incre | 31/12/9999 | 08/06/2022 18:31:52 | ECMS OPERATOR 1 |
| | E 08/06/ | 2022 POOL00000000222 | FR50007 | ECONS | 200,000 | EUR | CF20220608000947 | Credit Freezing Incre | 31/12/9999 | 08/06/2022 16:04:27 | ECMS OPERATOR 1 |
| | 31/05/ | 2022 POOL00000000079 | FR30007 | NCB | 15,315,521,315,315 | EUR | CF20220531000868 | Credit Freezing Incre | 31/12/9999 | 31/05/2022 11:51:13 | ECMS OPERATOR 1 |
| | 30/05/ | 2022 P00L000000000207 | FR50007 | ECONS | 50,000 | EUR | CF20220530000865 | Credit Freezing Incre | 31/12/9999 | 30/05/2022 17:11:51 | ECMS OPERATOR 1 |
| | E 19/05/ | 2022 P00L000000000213 | FR50007 | DISC | 50,000 | EUR | CF20220519000827 | Credit Freezing Incre | 31/12/9999 | 19/05/2022 10:54:52 | ECMS OPERATOR 1 |
| | E 02/05/ | 2022 P00L000000000204 | FR50007 | DISC | 200,995,756,000 | EUR | CF20220502000809 | Credit Freezing Incre | 31/12/9999 | 02/05/2022 06:35:30 | ECMS OPERATOR 1 |
| | 27/04/ | 2022 P00L00000000202 | FR50007 | DISC | 120,000 | EUR | CF20220427000792 | Credit Freezing Incre | 31/12/9999 | 27/04/2022 08:13:01 | ECMS OPERATOR 1 |
| | E 26/04/ | 2022 P00L00000000199 | FR50007 | DISC | 460,000 | EUR | CF20220426000790 | Credit Freezing Incre | 31/12/9999 | 26/04/2022 09:09:41 | ECMS OPERATOR 1 |
| | 25/04/ | 2022 P00L00000000187 | FR50007 | DISC | 90,000 | EUR | CF20220425000787 | Credit Freezing Incre | 31/12/9999 | 25/04/2022 14:46:26 | ECMS OPERATOR 1 |
| | E 11/03/ | 2022 POOL00000000183 | FR50007 | DISC | 0 | EUR | CF20220311000758 | Credit Freezing Decr | 31/12/9999 | 11/03/2022 16:14:26 | ECMS OPERATOR 1 |

| 0 1 5 ''' | |
|-----------------------------|---|
| Cash Position – | |
| Field | Description |
| Movement Reference | Shows the reference of the movement that affects the Cash Position. |
| | Displayed format is: Max. 30 characters. |
| Counterparty | Shows the unique RIAD identifier of the Counterparty |
| | Displayed format is: Max. 30 characters. |
| Pool identifier | Shows the unique identifier of the Pool provided by the system |
| | Displayed format is: Max. 16 characters. |
| MI Position | Shows the MI Position Owner Type |
| Owner Type | Displayed format is: Max. XX characters. |
| Amount | Shows the amount of the Cash Position. |
| | Displayed format is: Max. XX characters. |
| Currency | Shows the currency of the Cash Position. |
| | Displayed format is: Max. 3 characters. |
| Process Valu- ation Type | Shows the process valuation type provided by the ECMS of the Cash Position. |
| | Displayed format is: Max. XX characters. |
| Position Date | Shows the Date of the Position. |
| | Displayed format is: DD/MM/YYYY |
| Validity Date | Shows the Validity Date of the Cash Position. |
| | Displayed format is: DD/MM/YYYY |
| Position Status | Shows the status of the Position from the possible values: |
| | - Instructed |
| | - Settled |
| | Displayed format is: Max. XX characters. |
| Position Type | Shows the Position Type from possible values: |
| | - Collateral |
| | - Main |
| | - Interest |
| | Main Standing Facilities |
| | Interest Standing Facilities |
| | - Margin |
| | - Cash Proceeds |
| | - Cash Proceeds Interest. |
| | Displayed format is: Max. XX characters. |
| | 1 1 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 |

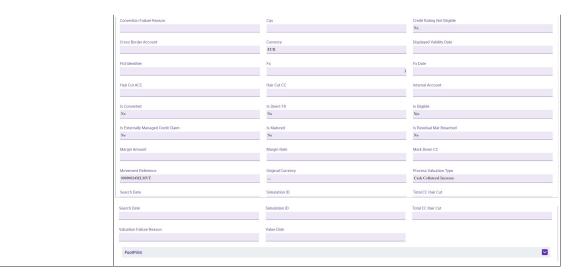


| Position Nature | Shows the nature of the Position from the possible values: |
|---------------------|---|
| | - Initiation |
| | - Return |
| | Displayed format is: Max. XX characters. |
| Being Cancelled | Enter / Select whether the Cash Position is cancelled or not from possible values: |
| | - Yes |
| | - No |
| | Required format is: Max. XX characters. |
| Creation Date | Shows the Creation Date of the Cash Position. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Update Date | Shows the Updated Date of the Cash Position. |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Updater User Id | Shows the Updater User Id. |
| Creation User Id | Shows the Creation User Id. |
| After selecting a r | ecord, the following buttons are displayed |
| Button | Description |
| View | This function enables you to access to the detailed information of a Cash Position. |
| | Next screen: |
| | Cash Position - Details Screen. |
| | |

3.6.1.7.3 Cash Position - Details Screen

| Context of Us- age | This screen dis | plays the details of the Cash F | Position Position | ۱. | | |
|-----------------------|---|--|---|-----------|--|--|
| Screen Access | Position >> (after inputti | nd Credit >> Pool Overview >> Cash Position Details >> Click on the relevant fields, if needs sition >> Click on the <i>View</i> but | k on the search ed) >> Select ar | button | | |
| Screenshot | Cash Position Details List Screen > Cash Position Details View Screen | | | | | |
| Ocicciisiiot | Position Date | Amount | ₹ | | | |
| | 15/07/2021 | initiation [collateral] Instructed [false] POOL 00000000008 [BDF-FR10007-CASHMOB00000000000000] [BDF-FR10007-CASHMOB000000000000000000000000000000000000 | | 5,000,000 | | |
| | | 1 | | | | |
| | 0:00 | 2 111 17 | | | | |
| | Being Cancelled No | Pool Identifier POOL0000000008 | MI Position Owner Type com.vermer.services.megalend.pool.Pool | | | |
| | | 10023000000000 | com.rei meg.sei vicezinegaienu.pootz ooi | | | |
| | Position Nature | Position Status | Position Type | | | |
| | Initiation | Instructed | Collateral | | | |
| | Process Reference | Addi Hair Cut CC | Adjustment Rate | | | |
| | BDF-FR10007-CASHMOB01 | Audi Hall Cut CC | Aujustinent nate | 1 | | |
| | | | | | | |
| | Black Listed | Book Amount | Book Currency | | | |
| | No | 5,000,000 | EUR | | | |
| | Counterparty | Close Link Detected | Convertable | | | |
| | 37 | No | No | | | |
| | | | | | | |
| | Convertion Failure Reason | Cqs | Credit Rating Not Eligible | | | |
| | | | | | | |





| Cash Position - | Details screen |
|------------------|--|
| Field | Description |
| Position Date | Shows the Date of the Position. |
| | Displayed format is: DD/MM/YYYY |
| Cash Position Id | Shows the Cash Position Id of the Cash Position. |
| | Displayed format is: Max. XX characters. |
| Amount | Shows the amount of the Credit Freezing Position. |
| | Displayed format is: Max. XX characters. |
| Being Cancelled | Shows whether the Position is cancelled or not from the possible values: |
| | - Yes |
| | - No |
| | Displayed format is: Max. XX characters. |
| Pool Identifier | Shows the unique identifier of the Pool provided by the system |
| | Displayed format is: Max. 16 characters. |
| MI Position | Shows the MI Position Owner Type |
| Owner Type | Displayed format is: Max. XX characters. |
| Position Nature | Shows the nature of the Position from the possible values: |
| | - Initiation |
| | - Return |
| | Displayed format is: Max. XX characters. |
| Position Status | Shows the status of the Position from the possible values: |
| | - Instructed |
| | - Settled |
| | Displayed format is: Max. XX characters. |
| Position Type | Shows the Position Type from possible values: |
| | - Collateral |
| | - Main |
| | - Interest |
| | Main Standing Facilities |



| | Interest Standing Facilities |
|------------------------|---|
| | - Margin |
| | Cash Proceeds |
| | |
| | Cash Proceeds Interest. |
| D D (| Displayed format is: Max. XX characters. |
| Process Reference | Shows the unique identifier of the Process. |
| | Displayed format is: Max. XX characters. |
| Additional Hair | Shows the Additional Hair Cut for Credit Claims. |
| Cut CC | Displayed format is: Max. XX characters |
| Adjustment Rate | Shows the Adjustment Rate. |
| | Displayed format is: Max. XX characters. |
| Is Excluded | Shows whether it is excluded or not from possible values: |
| | - Yes |
| | - No |
| | Displayed format is: Max. XX characters. |
| Book Amount | Shows the Book Amount. |
| | Displayed format is: Max. XX characters. |
| Book Currency | Shows the Book currency of the Cash Position. |
| | Displayed format is: Max. 3 characters. |
| Counterparty | Shows the unique RIAD identifier of the Counterparty. |
| | Displayed format is: Max. 30 characters. |
| Close Link Detec- | Shows if a forbidden close link has been detected from possible val- |
| ted | ues: |
| | - Yes |
| | - No |
| | Displayed format is: Max. XX characters. |
| Process Valuation Type | Shows the process valuation type provided by the ECMS of the Cash Position. |
| | Displayed format is: Max. XX characters. |
| Convertable | Shows if the Position is convertable from the possible values: |
| | - Yes |
| | - No |
| | Displayed format is: Max. XX characters. |
| Convertion Fail- | Shows the Convertion Failure Reason, if exists |
| ure Reason | Displayed format is: Max. XX characters. |
| CQS | Shows the Credit Quality Step of the CC |
| | Displayed format is: Max. XX characters. |
| Credit Rating Not | Shows if the Credit Rating is not eligible from the possible values: |
| Eligible | - Yes |
| | – No |
| | |
| 0 0 1 4 | Displayed format is: Max. XX characters. |
| | Show the Cross Border Assount |
| Cross Border Account | Show the Cross Border Account Displayed format is: Max. XX characters. |



| Currency | Shows the Currency of the Cash Position. |
|---------------------------------|---|
| | Displayed format is: Max. 3 characters. |
| Displayed Validity | Shows the Displayed Validity Date of the Position. |
| Date | Displayed format is: DD/MM/YYYY |
| FTD Identifier | Shows the FTD Identifier. |
| | Displayed format is: Max. XX characters. |
| FX | Shows the FX, if this is the case. |
| | Displayed format is: Max. XX characters. |
| FX Date | Shows the FX Date of the Position, if this is the case. |
| | Displayed format is: DD/MM/YYYY |
| Hair Cut ACC | Shows the Hair Cut for Additional Credit Claims, if this is the case. |
| | Displayed format is: Max. XX characters |
| Hair Cut CC | Shows the Hair Cut for Credit Claims, if this is the case. |
| | Displayed format is: Max. XX characters |
| Internal Account | Shows the Identifier of the Internal account in which the Position is managed |
| | Displayed format is: Max. XX characters |
| Is Converted | Shows if the Position is converted from the possible values: |
| | - Yes |
| | - No |
| | Displayed format is: Max. XX characters |
| Is Direct FX | Shows if the Position is Direct FX from the possible values: |
| | - Yes |
| | - No |
| | Displayed format is: Max. XX characters |
| Is Eligible | Shows if the asset is Eligible or not from the possible values: |
| | - Yes |
| | - No |
| | Displayed format is: Max. XX characters |
| Is Externally Managed Credit | Shows if the asset is Externally Managed Credit Claims or not from the possible values: |
| Claims | - Yes |
| | - No |
| | Displayed format is: Max. XX characters |
| Is Matured | Shows if the asset is matured or not from the possible values: |
| | - Yes |
| | - No |
| | Displayed format is: Max. XX characters |
| Is Residual Mat Breached | Shows if the Residual Maturity is breached or not from the possible values: |
| | - Yes |
| | - No |
| | Displayed format is: Max. XX characters |
| L | |



| Margin Amount | Shows the Margin Amount. | | | |
|------------------------------|--|--|--|--|
| | Displayed format is: Max. XX characters | | | |
| Margin Rate | Shows the Margin Rate | | | |
| | Displayed format is: Max. XX characters | | | |
| Mark Down CC | Shows the Mark Down for Credit Claims | | | |
| | Displayed format is: Max. XX characters | | | |
| Movement Reference | Shows the reference of the movement that affects the Cash Position. | | | |
| | Displayed format is: Max. 30 characters. | | | |
| Original Currency | Shows the Original currency of the movement of the Cash Position. | | | |
| | Displayed format is: Max. 3 characters. | | | |
| Process Valuation Type | Shows the process valuation type provided by the ECMS of the Cash Position. | | | |
| | Displayed format is: Max. XX characters. | | | |
| Search Date | Shows the Search Date of the Cash Position. | | | |
| | Displayed format is: DD/MM/YYYY | | | |
| | Shows the Simulation Identifier. | | | |
| fier | Displayed format is: Max. XX characters. | | | |
| Total Hair Cut CC | Shows the Total Hair Cut for Credit Claims, if this is the case. | | | |
| | Displayed format is: Max. XX characters | | | |
| Validation Failure Reason | Shows the Validation Failure Reason (if the status is Validation Failure Detected) | | | |
| | Displayed format is: Max. XX characters | | | |
| Value Date | Shows the Value Date of the Cash Position | | | |
| | Displayed format is: DD/MM/YYYY | | | |
| Footprint | | | | |
| Field | Description | | | |
| Updater User Id | Show the identification of the user that made the last update. | | | |
| Update Date | Shows the date and time of the update. | | | |
| | Display format is: DD/MM/YYYY hh:mm:ss:µs. | | | |
| Creation User Id | Shows the identification of the user that created the Cash Position. | | | |
| Creation Date | Show the date and time of the creation. | | | |
| | Display format is: DD/MM/YYYY hh:mm:ss:µs. | | | |
| | | | | |

3.6.2 Pool Projection

- The ECMS provides the Counterparty and the NCB user with a projection of the Counterparty Pool for a date in the future. The projection is limited to n ECMS business days posterior to the current ECMS business date.
- The ECMS displays the Pool projection based on the selected search criteria chosen by the Counterparty/NCB user. The ECMS provides the Pool projection results for the projected ECMS business date (the maximum business days in the future is set as a system parameter).
- The Pool projection can be viewed via a query, for a specified Business Date from ECMS current Business Date + n, by the Counterparty or the NCB user. First the user launches the query, then the results are available to be viewed.



3.6.2.1 Launch Pool Projection – Search Screen

| This screen contains a number of search fields and shows the latest and stored searches. By inputting the relevant data, you can search for a specific Pool or search for the different Pools available for a Counterparty. |
|---|
| The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. |
| This function is available only in U2A mode. |
| Collateral and Credit >> Pool Overview >> Pool Projection >> Launch Pool Projection |
| Launch Pool projection Fool Identifier Counterparty Projection Date Launch Projection Launch Projection Launch Projection Launch Projection Launch Projection Launch Projection |
| |

| Launch Pool | Projection – Search screen |
|--------------------|---|
| Object | Description |
| Pool Identifier | Enter/Select the unique identifier of the Pool provided by the system |
| | Required format is: Max. 16 characters. |
| Counterparty | Enter/Select the RIAD identifier of the Counterparty to whom the Pool belongs |
| | Required format is: Max. XX characters. |
| Projection Date | Enter/Select the Business Date of the Pool Projection. The Business Date can be the current ECMS business date + 1 and is up to n business days maximum as defined by a system parameter. |
| | The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | Pool Projection Result – Search Screen. |

3.6.2.2 Pool Projection Result – Search Screen

| Context of Usage | This screen contains a number of search fields and shows the latest and stored searches. By inputting the relevant data, you can search for a specific Pool or for a specific date. The search results will be displayed in a list. After selecting an entry, you can proceed further by clicking on the buttons that are shown. | | | |
|---------------------|--|--|--|--|
| | This function is available only in U2A mode. | | | |
| Screen Access | Collateral and Credit >> Pool Overview >> Pool Projection >> Pool Projection Result | | | |
| Screenshot | Search Criteria: Pool Projection Result Projection Date Proof Reference Proof | | | |



| Pool Projecti | on Result – Search screen |
|-----------------------------|---|
| Field | Description |
| Projection Date | Enter/Select the Business Date of the Pool Projection. The Business Date can be the current ECMS business date + 1 and is up to n business days maximum as defined by a system parameter. |
| | The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY |
| Process Ref- | Enter the Process Reference produced by the Launch Pool Projection. |
| erence | Required format is: Max. XX characters. |
| Pool Identifier | Shows the unique identifier of the Pool provided by the system |
| | Displayed format is: Max. 16 characters. |
| Counterparty | Enter/Select the RIAD identifier of the Counterparty to whom the Pool belongs |
| | Required format is: Max. XX characters. |
| Pool Projection Date & Time | Enter/Select the Business Date of the Pool Projection. The Business Date can be the current ECMS business date + 1 and is up to n business days maximum as defined by a system parameter. |
| | The calendar icon can also be used. |
| | Required format is: DD/MM/YYYY |
| Button | Function |
| Reset | This function enables you to clear the form. |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. |
| | Next screen: |
| | Pool Projection Result – List Screen. |

3.6.2.2.1 Pool Projection Result - List screen

| Context of Usage | This screen contains the search results of the Pool Projection displayed in a list, which is sorted by the values of the 'Pool Id' column in descending order (default setting). After selecting an entry, you can proceed further by clicking on the buttons below. This function is available only in U2A mode. | | | | | | | | | | | |
|---------------------|--|-----------------|--------------------------|--------------------|--------------------|----------------|-----------------|---------------------------|-------------------|-----------------------|-----------------------|--|
| Screen Access | Collateral and Credit >> Pool Overview >> Pool Projection >> Pool Projection Result >> Click on the <i>search</i> button (after inputting the relevant fields, if needed) | | | | | | | | | | | |
| Screenshot | Search Result : Pool Projection Result > View : Pool Projection Result 18 | | | | | | <u>م</u> و ي | | | | | |
| | | Process Referen | | Pool Identifier \$ | Counterparty © | Blocked Status | Closed Status • | Total Collateral After To | otal Exposure 🗣 🔝 | Projection result | Update Date 🗢 💮 | Update User Id ♥ 💮 |
| | | | 06/07/2022 | P00L0000000000090 | FR10007 | | | 0 | 0 | | 07/07/2022 18:00:50:2 | ECMSOperationalDayS |
| | 6 | PRO IR3 | 05/07/2022 07/07/2022 | POOL0000000000090 | FR10007 FR18129 | | | 0 | 0 | | 06/07/2022 18:00:50:4 | ECMSOperationalDayS ECMS OPERATOR 1 |
| | E2 | PROJES | 07/07/2022 | POOL00000000000110 | FR50007 | | | 100,000,000 | 20,000,000 | Sufficient Collateral | 06/07/2022 14:07:57:0 | ECMS OPERATOR 1 |
| | = | PROJ83 | 07/07/2022 | P00L000000000097 | FR50007 | | | 0 | | Sufficient Collateral | | ECMS OPERATOR 1 |
| | | PROJ83 | 07/07/2022 | POOL0000000000088 | FR50007 | | | 0 | 0 | Sufficient Collateral | 06/07/2022 14:07:55:4 | ECMS OPERATOR 1 |
| | | PROJ83 | 07/07/2022 | P00L0000000000086 | FR50007 | | | 130 | 130 | Sufficient Collateral | 06/07/2022 14:07:54:7 | ECMS OPERATOR 1 |
| | 8 | PROJ83 | 07/07/2022 | P00L000000000069 | FR50007 | | | 0 | 0 | Failed | 06/07/2022 14:07:53:9 | ECMS OPERATOR 1 |
| | | PROJ83 | 07/07/2022 | P00L0000000000068 | FR50007 | | | 310,000,000 | | Sufficient Collateral | 06/07/2022 14:07:53:5 | |
| | 100 | PROJ83 | 07/07/2022 | P00L000000000067 | FR50007 | | | 0 | 0 | Sufficient Collateral | 06/07/2022 14:07:52:7 | ECMS OPERATOR 1 |
| | | | | | | | | | | | | View |

| Pool Projection Result – List screen | | |
|--------------------------------------|-------------|--|
| Field | Description | |

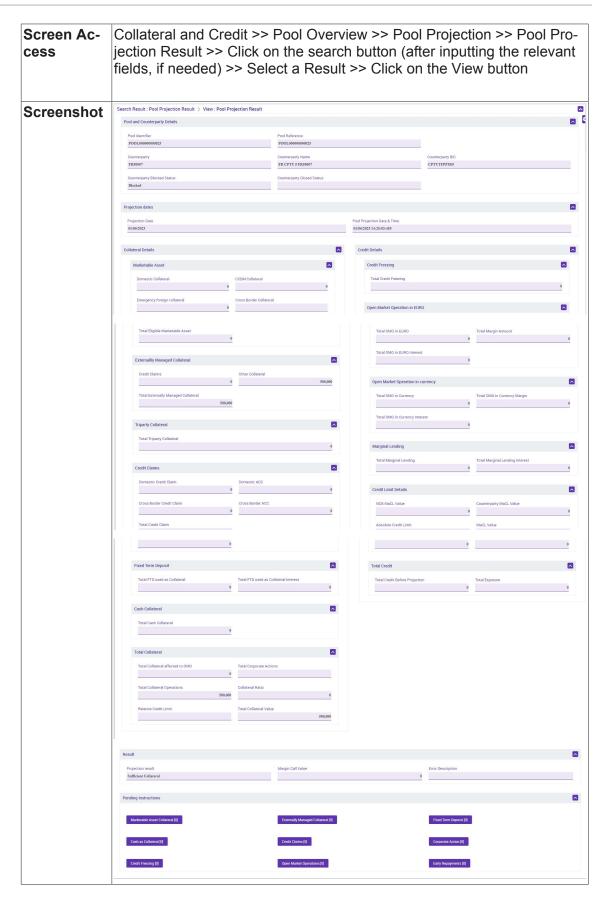


| Process Reference | Shows the Process Reference produced by the Launch Pool Projection. |
|--------------------------------|--|
| | Displayed format is: Max. XX characters. |
| Projection Date | Shows the Business Date of the Pool Projection. |
| | Displayed format is: DD/MM/YYYY |
| Pool Identifier | Shows the unique identifier of the Pool provided by the system |
| | Displayed format is: Max. 16 characters. |
| Counterparty | Shows the RIAD identifier of the Counterparty to whom the Pool belongs |
| | Displayed format is: Max. XX characters. |
| Blocked Status | Shows the Counterparty Blocked Status. |
| | In case the Counterparty Blocked Status is "YES" and the Projection Date is between the Blocked Start Date and the Blocked End Date, the field has "Blocked", otherwise blank. |
| | Displayed format is: Max. XX characters |
| Closed Status | Shows the Counterparty Closed Status. |
| | In case the Counterparty Closed Status is "YES" and the Projection Date is between the Closed Start Date and the Closed End Date, the field has "Closed", otherwise blank. |
| | Displayed format is: Max. XX characters |
| Total Collateral | Shows Total Collateral after Relative Credit Limit |
| after Relative Credit Limit | Displayed format is: Max. XX characters. |
| Total Exposure | Shows Total Exposure |
| | Displayed format is: Max. XX characters. |
| Projection Result | Shows the Collateral value for the projection, possible values: |
| | - Sufficient Collateral |
| | - Insufficient Collateral |
| | Displayed format is: Max. XX characters. |
| Update Date | Shows the Updated Date |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Update User Id | Shows the identification of the user that made the last update. |
| After selecting a | record, the following buttons are displayed |
| Button | Description |
| View | This function enables you to access to the detailed information of a Pool Projection. |
| | Next screen: |
| | Pool Projection Result - Details Screen. |

3.6.2.2.1.1 Pool Projection Result – Details Screen

| This screen displays the details of the Pool Projection for a selected Pool. |
|--|
| This function is available only in U2A mode. |





| Pool Projection Re | esult – Details screen |
|---------------------------|------------------------|
| Field | Description |



| Pool Projection Re | esult Details |
|--|--|
| Pool Identifier | Shows the unique identifier of the Pool provided by the system |
| | Displayed format is: Max. 16 characters. |
| Pool Reference | Shows the reference of the Pool given by the refinancing NCB. |
| | Displayed format is: Max. 255 characters. |
| Counterparty RIAD | Shows the RIAD identifier of the Counterparty to whom the Pool belongs |
| | Displayed format is: Max. XX characters. |
| Counterparty BIC | Shows the Counterparty BIC code to whom the Pool belongs |
| | Displayed format is: Max. XX characters. |
| Counterparty | Shows the Name of the Counterparty to whom the Pool belongs |
| Name | Displayed format is: Max. XX characters. |
| Counterparty | Shows the Counterparty Blocked Status. |
| Blocked Status | In case the Counterparty Blocked Status is "YES" and the Projection Date is between the Blocked Start Date and the Blocked End Date, the field has "Blocked", otherwise blank. |
| | Displayed format is: Max. XX characters |
| Counterparty | Shows the Counterparty Closed Status. |
| Closed Status | In case the Counterparty Closed Status is "YES" and the Projection Date is between the Closed Start Date and the Closed End Date, the field has "Closed", otherwise blank. |
| | Displayed format is: Max. XX characters |
| Projection Dates | |
| Projection Date | Shows the Business Date of the Pool Projection. |
| | Displayed format is: DD/MM/YYYY |
| Pool Projection | Shows the Pool Projection Date & Time of the launched process. |
| Date & Time | Displayed format is: DD/MM/YYYY hh:mm:ss:µs |
| Collateral Details | |
| Marketable Assets | |
| Domestic Eligible | Shows the Domestic Eligible Marketable Asset value. |
| Marketable Asset | Displayed format is: Max. XX characters. |
| CCBM Eligible | Shows the CCBM Eligible Marketable Asset value. |
| Marketable Asset | Displayed format is: Max. XX characters. |
| Cross Border Eli- gible Marketable | Shows the Cross Border Eligible Marketable Asset Collateral value. |
| Asset Collateral | Displayed format is: Max. XX characters. |
| Total Eligible Mar- | Shows the Total Eligible Marketable Asset value |
| ketable Asset | Displayed format is: Max. XX characters. |
| Externally Manage | d Collateral |
| Credit Claims | Shows the Credit Claims value |
| | Displayed format is: Max. XX characters. |
| Other Collateral | Shows the Other Collateral value |
| | Displayed format is: Max. XX characters. |
| Total Externally Managed Collateral | Shows the Total Externally Managed Collateral value |



| | Displayed format is: Max. XX characters. |
|---|---|
| Triparty Collateral | 11.20 |
| Total Triparty Col- | Shows the Total Triparty Collateral value |
| lateral | Displayed format is: Max. XX characters. |
| Credit Claims | |
| Total Domestic | Shows the Total Domestic Credit Claims value |
| Credit Claims | Displayed format is: Max. XX characters. |
| Total Domestic Ad- | Shows the Total Domestic Additional Credit Claims value |
| ditional Credit Claims | Displayed format is: Max. XX characters. |
| Total Cross Border | Shows the Total Cross Border Credit Claims value |
| Credit Claims | Displayed format is: Max. XX characters. |
| Total Cross Border | Shows the Total Cross Border Additional Credit Claims value |
| Additional Credit Claims | Displayed format is: Max. XX characters. |
| Total Credit Claims | Shows the Total Credit Claims value |
| | Displayed format is: Max. XX characters. |
| Fixed Term Depos | it |
| Total Fixed-Term | Shows the Total Fixed-Term Deposit (FTD) collateral value |
| Deposit used as Collateral | Displayed format is: Max. XX characters. |
| Total Interest for | Shows the Total Interest Fixed-Term Deposit (FTD) used as col- |
| Fixed-Term De- posit used as Col- | lateral value |
| lateral | Displayed format is: Max. XX characters. |
| Cash Collateral | |
| Total Cash Collat- | Shows Total mobilised Cash Collateral value |
| eral | Displayed format is: Max. XX characters. |
| Total Collateral | |
| Total Collateral af- | Shows the Total Collateral affected to OMO |
| fected to OMO | Displayed format is: Max. XX characters. |
| Total Corporate | Shows the sum of the Total Corporate Actions |
| Actions | Displayed format is: Max. XX characters. |
| Total Collateral Op- | Shows the sum of the Total collateral Operations |
| erations | Displayed format is: Max. XX characters. |
| Collateral Ratio | Shows the Collateral Ratio |
| | Displayed format is: Max. XX characters. |
| Relative Credit Limit in percentage (%) | In case the NCB has set a Relative Credit Limit as a discretionary measure |
| | Displayed format is: Max. XX characters. |
| Total Collateral Value after Relat- | Shows the Total Collateral Value after application of the Relative Credit Limit |
| ive Credit Limit | Displayed format is: Max. XX characters. |
| Credit Details | |
| Credit Freezing | |



| | Shows the Total Credit Freezing |
|--|---|
| ing | Displayed format is: Max. XX characters. |
| Open Market Oper | ations (Euro) |
| Total Open Market Credit Operation in Euro | Shows the Total Open Market Credit Operations (OMO) value in Euro |
| | Displayed format is: Max. XX characters. |
| Total Open Market Credit Operations Margin Amount in | Shows the Open Market Credit Operations Margin Amount value in Euro Displayed format is: Max. XX characters. |
| Euro | Dioplayed formation max. 70% orial actors. |
| Total Open Market Credit Operation Interest in Euro | Shows the Total Open Market Credit Operations (OMO) Interest value in Euro |
| | Displayed format is: Max. XX characters. |
| Open Market Oper | |
| Total Open Market Credit Operations (non-Euro) | Shows the Total Open Market Credit Operations (non-Euro) Displayed format is: Max. XX characters. |
| Total Open Market Credit Operations | Shows the Total Open Market Credit Operations (non-Euro) Margin Amount |
| (non-Euro) Margin Amount | Segregated by type of operations and operation |
| Amount | Displayed format is: Max. XX characters. |
| Total Open Market Credit Operations | Shows the Total Open Market Credit Operations (non-Euro) Interest |
| (non-Euro) Interest | Segregated by type of operations and operation |
| | Displayed format is: Max. XX characters. |
| Marginal Lending | |
| Total Marginal | Shows Total Marginal Lending |
| Lending | Displayed format is: Max. XX characters. |
| Total Marginal | Shows Total Marginal Lending Interest |
| Lending Interest | Displayed format is: Max. XX characters. |
| Credit Line Details | |
| NCB Maximum Credit Line Value | Shows Optional Maximum Credit line value authorised set by the Refinancing Central Bank |
| | Displayed format is: Max. XX characters. |
| Counterparty Max- imum Credit Line | Shows Optional Maximum Credit line value set by the Counterparty |
| Value | Displayed format is: Max. XX characters. |
| Absolute Credit | Shows the Amount of Absolute Credit Limit |
| Limit | Displayed format is: Max. XX characters. |
| MACL Value | Shows the Maximum Credit Line Value |
| | Displayed format is: Max. XX characters. |
| Total Credit | |
| Total Credit Before Projection | Shows the total Credit value before executing the future Projection (equal to Total Collateral for ECMS Current Business Day) |
| | Displayed format is: Max. XX characters. |
| Total Exposure | Shows Total Credit Exposure |



| | Displayed format is: Max. XX characters. |
|--|---|
| Result | |
| Projection Result | Shows the Collateral value for the projection, possible values: |
| | "Sufficient Collateral" |
| | "Insufficient Collateral" |
| | Displayed format is: Max. XX characters. |
| Margin Call Value | Shows the value of the Margin Call for the Pool, if a Margin Call exists |
| | Displayed format is: Max. XX characters. |
| Error Description | Shows the Error Description, if exists |
| | Displayed format is: Max. XX characters. |
| Section Button | Description |
| Credit Freezing Position | Section to view the list of the Credit Freezing Position of the Pool. |
| Marketable Asset Collateral Details | Section to view the list of the Marketable Asset Collateral Position of the Pool. |
| Externally Managed Collateral Position | Section to view the list of the Externally Managed Collateral (EMC) Position of the Pool. |
| Cash Collateral Positions | Section to view the list of the Cash Collateral Position of the Pool. |
| FTD Positions | Section to view the list of the FTD Positions of the Pool. |
| Credit Claims Positions | Section to view the list of the Credit Claims Position of the Pool. |
| Corporate Action Positions | Section to view the list of the Corporate Action Position of the Pool. |
| Open Market Operations | Section to view the list of the Open Market Operations Details of the Pool. |
| Early Repayments | Section to view the list of the Early Repayment Details of the Pool. |

3.6.3 System Parameters

The System Parameters are configured by the ECMS Operator in the case of System Parameters maintained by the ECMS Operator, or by the NCB in the case of System Parameters (Business Parameters) maintained by the NCB.

The ECMS Actors can search, list and view the details on the System Parameters.

3.6.3.1 Overview System Parameters – Search Screen

| Context of Usage | This screen shows the System Parameters information available to Counterparties and NCB users allowing an overview of the configuration of the ECMS. This function is available only in U2A mode. |
|-------------------------------|--|
| Business Case re- lated | Search/List/View the System Parameters |
| Screen Access | Reference Data >> System Parameters >> Overview System Parameters >> Display |





| System Parameters – Search screen | | | |
|-----------------------------------|--|--|--|
| Field | Description | | |
| Parameter | Enter part of the Parameter Name. | | |
| Name | Required format is: Max. XX characters | | |
| Description | Enter part of the Parameter Description. | | |
| | Required format is: Max. XX characters. | | |
| Update Date | Enter/Select the Update Date. Either the current Business Date or a Past Business Date. | | |
| | The calendar icon can also be used. | | |
| | Required format is: YYYYMMDD hh:mm:ss:µs | | |
| Button | Function | | |
| Reset | This function enables you to clear the form. | | |
| Search | This function enables you to start a search according to the filled in criteria. The results are displayed in a list on the List Screen. | | |
| | Next screen: | | |
| | System Parameters – List Screen. | | |

3.6.3.1.1 System Parameters – List screen

| Context of Usage | pla | | st. After se ittons belo | electing ar ow. | entry, | you can p | stem Paran proceed fur | neters dis- ther by click- |
|---------------------|--------|---|--|---|-----------------------|------------|--|-------------------------------|
| Screen Access | | eference D arch butto | | | | | ay >> Click f needed) | on the |
| Screenshot | Search | ı Result : System Parameter | | V / - | 1 of 16 X | | | 2 156 () □ 胡 ★ ♡ |
| | | Parameter Name \$ | Parameter Value S | 2 Description # | Action To Validate \$ | □ Rejected | □ Update Date \$ | □ Updater User Id \$ |
| | 23 | DTT_SLA_MESSAGE_DESCRIPTION_NAMES | | DTT_SLA_MESSAGE_DESCRIPTION_NAMES | | No | 28/04/2022 11:12:06:229 | admin |
| | 10 | CREDIT_LINE_NEEDED | false | CREDIT_LINE_NEEDED | | No | 28/04/2022 11:12:02:234 | admin |
| | | AZACFROLE | NCB - A2A CREDIT FREEZING EXECUTION | NCB - AZA CREDIT FREEZING EXECUTION | | No | 27/04/2022 20:09:48:399 | admin |
| | B | DTT_QUEUE_NAME_MDB | MegaLendServicesMDB | DTT_QUEUE_NAME_MDB | | No | 28/04/2022 11:12:00:912 | admin |
| | 10 | DTT_MULTI_ISMULTIMACHINE_ACTIVE | true | DTT_MULTI_ISMULTIMACHINE_ACTIVE | | No | 31/03/2022 11:32:16:811 | admin |
| | 10 | DTT_MAX_CHARACTERS_SPLIT | 2000 | maximum number of characters within a chu | | No | 31/03/2022 11:32:16:479 | admin |
| | | AUTO_FILL_INPUT_MKT_PAYMENT | false | AUTO_FILL_INPUT_MKT_PAYMENT | | No | 30/03/2022 13:28:15:363 | admin |
| | 8 | MAX_ALLOW_VARIATION_PRICE | 15 | Tolerance value from which the marketable a | | No. | 28/04/2022 11:12:00:728 | admin |
| | 8 | DTT_XSD_PATH ClientSecAccountBICAddressForECMSEntity | /home/ecms/megara/XSD/DataTransferToo official | ECMS: Physical path where xsd of Data tran ClientSecAccountBlCAddressForECMSEntity | | No. | 30/03/2022 13:54:37:578 03/03/2022 14:15:01:354 | admin admin |
| | | | | | | | 11.11.11.11.11.11.11.11.11.11.11.11.11. | |

| System Parameters – List screen | | |
|---------------------------------|--|--|
| Field | Description | |
| Parameter Name | Shows the Parameter Name. | |
| Parameter Value | Shows the Parameter Value. | |
| Description | Shows the Parameter Description. | |
| Action to Validate | Shows the outstanding action to validate the System Parameter. | |



| Rejected | Shows the status of the validation (possible values: YES/NO). |
|-------------|--|
| Update Date | Shows the Update Date and time: |
| | Displayed format is: YYYYMMDD hh:mm:ss:µs |
| Updater | Shows the user that changed the System Parameter. |
| User Id | |
| | |
| Button | Description |
| View | This function enables you to access to the detailed information of a System Parameter entry. |
| | Next screen: |
| | System Parameter – Details Screen. |
| History | This function enables you to access to the historical information. |
| | Next screen: |
| | System Parameters – History Screen. |

3.6.3.1.1.1 System Parameters – History Screen

| Context of Usage | This screen displays historical information that has changed on the selected System Parameters. You can check the data and proceed further by clicking on the buttons that are shown. This screen is not available for Counterparty users. This function is available only in U2A mode. |
|--------------------------|---|
| Screen Access Screenshot | Reference Data >> System Parameters >> Display >> Click on the search button (after inputting the relevant fields, if needed) >> Select an System Parameter >> Click on the <i>History</i> button |
| | |

| System Parameters – History screen | | |
|------------------------------------|---|--|
| Field | Description | |
| Fields | Shows the fields whose information have been updated since the creation of the selected System Parameter. | |
| Timestamp | Shows the date and time when the fields have been updated. | |
| | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | |
| Button | Description | |
| Compare | Shows the differences between the selected records whose data have been updated. | |
| Expand All | Shows the expanded information of the fields whose information have been updated since the creation of the selected System Parameter. | |
| Show All | Shows the information that existed before each modification of all the fields regarding the System Parameter. | |
| Collapse All | Collapse the expanded information of the fields that have been updated since the creation of the System Parameter. | |
| Show Differ- ences Only | Shows only the fields whose information have been updated since the creation of the selected System Parameter. | |



3.6.3.1.1.2 System Parameters – Details Screen

| Context of | This screen displays the details of a specific System Parameter. | | | |
|---------------|---|--|--|--|
| Usage | This function is available only in U2A mode. | | | |
| Screen Access | Reference Data >> System Parameters >> Display >> Click on the search button (after inputting the relevant fields, if needed) >> Select an item >> Click on the View button | | | |
| Screenshot | Create / Diaglay: System Parameter Search Result: System Parameter > View: System Parameter | | | |
| | Payament Name DIT_MA_MESSAGE_DESCRIPTION_NAMES | Parameter Voles Mic Crantin L. Ed., Bourtplann and Creatin. SCT. Description, Links, extremal, sort, account, each, account, class, lateral, loos Account J. Sarend, Call, Account, Description, Sentement, Persilikitie, Description, Lobin, Bairway, Description, Luplande, Edirara, Ser., ACC, Description, Lutherinde, assestory, polity, systemian, Description, Counterpare, C. All, Pederara, Description, Counterpare, Description, Create Proceedings, Conference, Description, Counterpare, Description, Create, Jaine, Conference, Description, Counterpare, Conference, Bairway, Co | | |
| | Description DTT_MA_MESSAGE_DESCRIPTION_NAMES Actions to violitate FoodPrist. | Referend No. | | |
| | | | | |

| System Parameters – Details screen | | | | |
|------------------------------------|---|--|--|--|
| Field | Description | | | |
| Parameter Name | Shows the Parameter Name. | | | |
| Parameter Value | Shows the Parameter Value. | | | |
| Description | Shows the Parameter Description. | | | |
| Action to Validate | Shows the outstanding action to validate the System Parameter. | | | |
| Rejected | Shows the status of the validation (possible values: YES, NO). | | | |
| Footprint | | | | |
| Creation | Shows the date and time of the creation. | | | |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | |
| Creation User Id | Shows the identification of the user that performed the creation. | | | |
| Update | Shows the date and time of the update. | | | |
| Date | Displayed format is: DD/MM/YYYY hh:mm:ss:µs. | | | |
| Updater User Id | Shows the identification of the user that made the last update. | | | |



4 Screen User Guide

4.1 General

4.2 Reference Data

4.2.1 Party Management

4.2.1.1 Administration of Parties and NCB Participants

| Overview | This section describes all activities that a NCB can perform for the administration of its Parties and assigning the business role NCB Participant (i.e. to create the Counterparty). |
|-----------|--|
| | The administration of NCB Participants has the aim of making sure that all NCB participants are registered in the ECMS and that their reference data are always up to date. |
| | After the initial creation of NCB Participant, the NCB has to edit the previously entered reference data whenever a change takes place. The NCB Participant administrator can also decide to deactivate a NCB Participant in the ECMS. |
| | To administer your NCB Participant, carry out the following business scenarios in the predefined order: |
| Business | 1. Create a new Party |
| Scenarios | 2. Create a new NCB Participant Business Role |
| | 3. Edit an existing NCB Participant Business Role |

4.2.1.1.1 Create a new Party

| | This business scenario describes how to create a new Party. |
|--------------|--|
| Usage | Creating a new Party is mandatory for the administration of the Parties before assigning an Entity Business Role. |
| | Before you start, check whether the Party has not already been created by someone else. |
| Reference | Parties – Create Screen |
| | Parties – Search Screen |
| | Parties – List Screen |
| Instructions | - Go to the <i>Parties</i> - <i>Search</i> Screen |
| | Reference Data >> Reference Data >> Parties Reference Data >> Create/Display Parties |
| | - Click on the <i>Create</i> button. |
| | The Parties – Create Screen is displayed. |
| | Enter all mandatory information in the 'General Information', 'Additional codes' and 'Address Details' sections. The fields in the 'Contact Information' section are optional. |



Before moving to the next section, all mandatory fields of the current section should be properly populated.

- To add an additional code, click on the *Create* button in the 'Additional codes' section and enter all the mandatory information.
- Click on the Save button.

The new Party has been created.

Alternatives

- To set all fields to default value and blank out all optional fields, click on the Reset button.
- To cancel the process and return to the previous screen, click on the cancel button.

4.2.1.1.2 Create a new NCB Participant Business Role

| | W NOB I articipant business Noic |
|------------------|---|
| Context of Usage | This business scenario describes how to create a new NCB Participant Business Role by assigning the role to an existing Party. |
| | Creating a new NCB Participant is mandatory for the administration of NCB Participant before creating and assigning it an account. |
| | Before you start, check whether the Party has not already been assigned to the NCB Participant Business Role. |
| Reference | NCB Participant- Create screen |
| | NCB Participant– Search screen |
| | NCB Participant– List screen |
| Instructions | Go to the NCB Participant – Search Screen |
| | Reference Data >> Reference Data >> Parties Reference Data >> Entities Business Roles Create/Display >> NCB Participant Create/Display |
| | - Click on the <i>create</i> button. |
| | - The NCB Participant - Create screen is displayed. |
| | Enter the mandatory information in the 'General Information', 'Additional codes' and 'Address Details' sections. |
| | Before moving to the next section, all mandatory fields of the current section should be properly populated. |
| | - Click on the save button. |
| | The new NCB Participant Business Role has been created. |
| | Alternatives |
| | To set all fields to default value and blank out all optional fields, click on the Reset button. |
| | To cancel the process and return to the previous screen, click on the cancel button. |

4.2.1.1.3 Edit an existing NCB Participant Business Role

| Context of | This business scenario describes how to edit the reference data of an |
|------------|--|
| Usage | existing NCB Participant Business Role. Each NCB is able to update the |
| | reference data for its NCB Participants. |



| | Editing an existing NCB Participant is optional for the administration of NCB Participants. |
|--------------|---|
| Reference | Further information on the involved screens can be found in the screen reference part: |
| | - NCB Participant- Create Screen |
| | - NCB Participant- Search Screen |
| | - NCB Participant- List Screen |
| | - NCB Participant- Details Screen |
| Instructions | Go to NCB Participant – Search screen |
| | Reference Data >> Reference Data >> Parties Reference Data >> Entities Business Roles Create/Display >> NCB Participant Create/Display |
| | Enter the search criteria known to you about the NCB Participant you want to edit. |
| | Click on the Search button. The NCB Participant— List screen is displayed. A list containing the search results is displayed on the screen. |
| | Select the relevant NCB Participant from the search results by click- ing on an entry in the list. |
| | - Click on the Edit button. |
| | - The NCB Participant– Edit screen is displayed. |
| | To add or change current values in the 'General Information', 'Additional codes', or 'Address Details' sections, enter the new values in the respective fields. |
| | Before moving to the next section, all mandatory fields of the current section should be properly populated. |
| | Alternatives |
| | To cancel the process and return to the previous screen, click on the Cancel button. |
| | - Click on the Save button. |
| | The edited NCB Participant reference data are stored. |

4.2.2 Account Management

4.2.2.1 Administration of Internal Asset Account Management

| Overview | This section describes the administration of an Internal Asset Account. |
|-----------|--|
| | NCBs open and maintain (i.e. edit or deactivate) Internal Asset Accounts in their books for their NCB Participants and other NCBs to bookkeeping collateral positions. |
| | To administer your Internal Asset Accounts, carry out the following business scenarios in the predefined order: |
| Business | Create a new Internal Asset Account |
| Scenarios | 2. Edit an existing Internal Asset Account |



4.2.2.1.1 Create a new Internal Asset Account

| Context of Usage | This business scenario describes how to create a new Internal Asset Account. Each NCB is responsible for opening the accounts in its books for their NCB Participants and other NCBs. Before you start, check whether the Internal Asset Account has not already been created by someone else. |
|---------------------|---|
| Reference | Internal Asset Accounts – Create screen |
| | Internal Asset Accounts - Search screen |
| Instructions | Go to the Internal Asset Accounts – Search Screen |
| | Reference Data >> Accounts Reference Data >> Create / Display Internal Asset Account |
| | - Click on the <i>create</i> button. |
| | The Internal Asset Account – Create screen is displayed. |
| | Enter all mandatory information. |
| | - Click on the Save button. |
| | The new Internal Asset Account has been created. |
| | Alternatives |
| | To set all fields to default value and blank out all optional fields, click on the Reset button. |
| | To cancel the process and return to the previous screen, click on the Cancel button. |

4.2.2.1.2 Edit an existing Internal Asset Account

| Context of Usage | This business scenario describes how to edit the reference data of an existing Internal Asset Account. Each NCB is able to update the reference data for the Internal Asset Accounts under its scope belonging to NCB Participants and other NCBs. |
|---------------------|--|
| | Editing an existing Internal Asset Account is optional for the administration of Internal Asset Accounts. |
| Reference | Further information on the involved screens can be found in the screen reference part: |
| | - Internal Asset Account - Create screen |
| | Internal Asset Account – Search screen |
| | Internal Asset Account – List screen |
| | Internal Asset Account – Details screen |
| Instructions | Go to the Internal Asset Accounts – Search screen |
| | Reference Data >> Accounts Reference Data >> Create/Display Internal Asset Account |
| | Enter all search criteria known about the Internal Asset Account you want to edit. |
| | Click on the search button. The Internal Asset Accounts – List screen is displayed. A list containing the search results is displayed on the Internal Asset Account – List screen. |
| | Select the relevant Internal Asset Account from the search results by clicking on an entry in the list. |
| | - Click on the edit button |



| The Internal Asset Account – Edit screen is displayed To add or change current values regarding the Internal Asset Accounts, enter the new values in the respective fields |
|---|
| Alternatives |
| To cancel the process and return to the previous screen, click on the cancel button. |
| - Click on the Save button. |
| The edited Internal Asset Account reference data are stored. |

4.2.2.2 Administration of External Asset Account Management

| Overview | This section describe the administration of an External Asset Account. |
|-----------|--|
| | NCBs open and maintain (i.e. edit or deactivated) External Asset Accounts that are needed to be setup in the ECMS. To administer your External Asset Accounts, carry out the following business scenarios in the predefined order: |
| Business | Create a new External Asset Account |
| Scenarios | 2. Edit an existing External Asset Account |
| | |

4.2.2.2.1 Create a new External Asset Account

| Context of Usage | This business scenario describes how to create a new External Asset Account. Each NCB is responsible for opening External Asset Accounts. |
|------------------|---|
| | Before you start, check whether the External Asset Account has not already been created by someone else. |
| Reference | External Asset Accounts - Create screen |
| | External Asset Accounts – Edit screen |
| | External Asset Accounts - Search screen |
| Instructions | Go to the External Asset Account – Search screen: |
| | Reference Data >> Accounts Reference Data >> External Asset Account |
| | - Click on the <i>Create</i> button. |
| | - The External Asset Accounts - Create Screen is displayed. |
| | - Enter all mandatory information. |
| | - Click on the Save button. |
| | The new External Asset Account has been created. |
| | Alternatives |
| | To set all fields to default value and blank out all optional fields, click on the Reset button. |
| | To cancel the process and return to the previous screen, click on the cancel button. |



4.2.2.2.2 Edit an existing External Asset Account

| Context of Usage | This business scenario describes how to edit the reference data of an existing External Asset Account. Each NCB is able to update the reference data for the External Asset Accounts under its scope belonging to Counterparties and other NCBs. Editing an existing External Asset Account is optional for the administration of External Asset Accounts. |
|---------------------|---|
| Reference | Further information on the involved screens can be found in the screen reference part: |
| | External Asset Account - Create screen External Asset Account - Search screen |
| | - External Asset Account - Search screen |
| | - External Asset Account - Details screen |
| Instruc- | Go to the External Asset Account – Search screen: |
| tions | Reference Data >> Reference Data >> Accounts Reference Data External Asset Account |
| | Enter all search criteria known about the External Asset Account you want to edit. |
| | Click on the Search button. The External Asset Accounts – List screen is displayed. A list containing the search results is dis- played on the External Asset Accounts – List screen. |
| | Select the relevant External Asset Account from the search results by clicking on an entry in the list. |
| | - Click on the edit button |
| | The External Asset Account – Edit screen is displayed |
| | To add or change current values regarding the External Asset Accounts enter the new values in the respective fields. |
| | Alternatives |
| | To cancel the process and return to the previous screen, click on the cancel button. |
| | - Click on the Save button. |
| | The edited External Asset Account reference data are stored. |

4.2.2.3 Administration of External Cash Account Management

| Overview | This section describe the administration of a External Cash Accounts, which are not opened in the ECMS but are a reference to an accounts existing outside the ECMS. |
|-----------|--|
| | NCBs open and maintain (i.e. edit or deactivate) NCB Cash Accounts and NCB Participant Cash Account. |
| | To administer your External Cash Accounts, carry out the following business scenarios in the predefined order: |
| Business | Create a new NCB Cash Account / NCB Participant Cash Account |
| Scenarios | 2. Edit an existing NCB Cash Account / NCB Participant Cash Account |



4.2.2.3.1 Create a new NCB Cash Account / NCB Participant Cash Account

| Context of Usage | This business scenario describes how to create a new NCB Cash Account / NCB Participant Cash Account. Each NCB is responsible for opening those accounts outside the ECMS. |
|------------------|--|
| | Before you start, check whether they have not been created by someone else. |
| Reference | NCB Cash Accounts - Create screen |
| | NCB Participant Cash Account – Create screen |
| | NCB Cash Accounts – Search screen |
| | NCB Participant Cash Account – Search screen |
| Instructions | Go to the NCB Cash Account or to NCB Participant Cash Account – Search screen: |
| | Reference Data >> Reference Data >> Accounts Reference Data >> NCB Cash Accounts Create/Display |
| | - Or |
| | Reference Data >> Reference Data >> Accounts Reference Data >> NCB Participant Cash Accounts Create/Display |
| | - Click on the <i>Create</i> button. |
| | The NCB Cash Accounts – Create screen or NCB Participant Cash Accounts - Create screen is displayed. |
| | Enter all mandatory information. |
| | Click on the Save button. |
| | The new NCB Cash Account or NCB Participant Cash Account has been created. |
| | Alternatives |
| | To set all fields to default value and blank out all optional fields, click on the Reset button. |
| | To cancel the process and return to the previous screen, click on the Cancel button. |

4.2.2.3.2 Edit an existing NCB Cash Account / NCB Participant Cash Account

| Context of Usage | This business scenario describes how to edit the reference data of an existing External Cash Account. Each NCB is able to update the reference data for the Accounts under its scope belonging to Counterparties and other NCBs. Editing an existing NCB Cash Account or NCB Participant Cash Ac- |
|------------------|--|
| | count is optional for their administration. |
| Reference | Further information on the involved screens can be found in the screen reference part: |
| | - NCB Cash Account - Create screen |
| | - NCB Cash Account - Search screen |
| | - NCB Cash Account - List screen |
| | - NCB Cash Account - Details screen |
| | NCB Participant Cash Account – Create screen |
| | NCB Participant Cash Account – Search screen |



| 1 | |
|--------------|--|
| | NCB Participant Cash Account – List screen |
| | NCB Participant Cash Account – Details screen |
| Instructions | Go to the NCB Cash Account – Search screen or to NCB Participant Cash Account – Search screen: |
| | Reference Data >> Accounts Reference DataNCB Cash Accounts Create/Display |
| | - Or |
| | Reference Data >> Accounts Reference Data NCB Participant Cash Accounts Create/Display |
| | Enter all search criteria known about the Account you want to edit. |
| | Click on the Search button. The NCB Cash Accounts – List screen or NCB Participant Cash Account – List screen is displayed. A list containing the search results is displayed. |
| | Select the relevant NCB Cash Account or NCB Participant Cash Account from the search results by clicking on an entry in the list. |
| | - Click on the <i>Edit</i> button |
| | - The NCB Cash Account - Edit screen or NCB Participant Cash Account - Edit screen is displayed |
| | To add or change current values regarding the Accounts enter the new values in the respective fields |
| | Alternatives |
| | To cancel the process and return to the previous screen, click on the cancel button. |
| | - Click on the Save button. |
| | The edited External Cash Account reference data are stored. |
| | |

4.2.3 Settlement Possibilities Management

4.2.3.1 Administration of Settlement Possibilities

| Overview | This describes all activities that an NCB can perform for the administration of the Settlement Possibilities of its Parties lifecycle. |
|-----------|---|
| | The Administration of Settlement Possibilities has the aim to determine the settlement possibility for the marketable assets Mobilisation Instructions and if that settlement possibility is eligible or not. |
| | After the initial creation of the Settlement Possibilities, the NCB has to edit the previously entered Settlement Possibility whenever a change takes place. |
| | In case of cross border, both the refinanincing NCB and the NCB in relation with the receiving CSD have to create a different leg of the "end to end" Settlement Possibility. |
| Business | Create a new domestic Settlement Possibility |
| Scenarios | Create a new cross border Settlement Possibility |
| | Edit an existing Settlement Possibility |



4.2.3.1.1 Create a new domestic Settlement Possibility

| Context of Usage | This business scenario describes how to create a new domestic Settlement Possibility. |
|------------------|---|
| | Creating a new domestic Settlement Possibility is mandatory to determine the T2S Securities Account that receives the asset for the processing of a Marketable Asset Mobilisation Instruction received from a NCB Participant. |
| | Before you start, check whether the Settlement Possibility has not |
| | already been created by someone else. |
| Reference | Settlement Possibilities – Create Screen |
| | Settlement Possibilities – Search Screen |
| Instructions | Go to the Settlement Possibilities – Search Screen |
| | Reference Data >> Reference Data >> Settlement Possibilities and Eli- gible Links >> Settlement Possibilities Reference Data Create/Display |
| | - Click on the <i>Create</i> button. |
| | The Settlement Possibilities – Create Screen is displayed. |
| | Enter all mandatory information necessary to determine the potential settlement possibility for a Marketable Asset Mobilisation Instruction. |
| | Only one of the following fields must be filled in: |
| | "Internal Asset Account". In this case, only the instructions set for this account will be settled in a specific T2S Securities Account. |
| | The "Account Type" of the "Client Account" to be selected must be "ECMS Counterparty Asset Account". |
| | "NCB Participant". In this case, all the instructions set for this counterparty will be settled in a specific T2S Securities Account. |
| | "NCB Participant Type". All the instructions set for a type of counter- party will be settled in a specific T2S Securities Account. |
| | The CSD to be selected is the receiving CSD, i.e. the CSD where the collateral is received. |
| | Before clicking on the "External Asset Account" button, all mandatory fields of the screen should be properly populated. |
| | To add an External Asset Account, click on the External Asset Account button. The External asset Account screen is displayed. Click on the Create button and select the appropriate External Asset Account. |
| | - Click on the Save button. |
| | The new domestic Settlement Possibility has been created. |
| | Alternatives |
| | To set all fields to default value and blank out all optional fields, click on the Reset button. |
| | To cancel the process and return to the previous screen, click on the cancel button. |

4.2.3.1.2 Create a new cross border Settlement Possibility

| Context of | This business scenario describes how to create a new cross border Set- |
|------------|--|
| Usage | tlement Possibility. |



Creating a new cross border Settlement Possibility is mandatory to determine the Cross NCB Asset Account where the cross-border mobilisation is to be materialised and the T2S Securities Account that receives the asset for the processing of a Marketable Asset Mobilisation Instruction received from a Counterparty.

Two NCBs are involved:

- Refinancing NCB for creating the settlement possibility between the counterparty asset account and the cross NCB asset account
- The NCB in relation with the CSD for creating the settlement possibility between the cross NCB asset account and the T2S Securities accounts

Before you start, check whether the Settlement Possibility has not already been created by someone else.

Reference

Settlement Possibilities – Create Screen

Settlement Possibilities - Search Screen

Instructions

Go to the Settlement Possibilities – Search Screen

Reference Data >> Reference Data >> Settlement Possibilities and Eligible Links >> Settlement Possibilities Reference Data Create/Display

- Click on the Create button.

The Settlement Possibilities – Create Screen is displayed.

Enter all mandatory information necessary to determine the potential settlement possibility for a Marketable Asset Mobilisation Instruction.

Only one of the following fields must be filled in:

 "Internal Asset Account". In this case, only the instructions set for this account will be settled in a specific T2S Securities Account.

The "Account Type" of the "Client Account" to be selected must be "ECMS Counterparty Asset Account".

- "NCB Participant". In this case, all the instructions set for this counterparty will be settled in a specific T2S Securities Account.
- "NCB Participant Type". All the instructions set for a type of counterparty will be settled in a specific T2S Securities Account.

The CSD to be selected is the receiving CSD, i.e. the CSD where the collateral is received.

Before clicking on the "External Asset Account" button, all mandatory fields of the screen should be properly populated.

To add an External Asset Account, click on the External Asset Account button.

The External asset Account screen is displayed. Click on the *Create* button and enter all the mandatory information. The "Account Type" of the "External Asset Account" to be selected must be "ECMS Cross NCB Asset Account"

- Click on the Save button.
- The NCB user of the NCB in relation with the CSD where the assets will be received must follow the same steps to create the Settlement Possibilities taking into account the following:

The "Account Type" of the "Client Account" to be selected must be "ECMS Cross NCB Asset Account".



The "Account Type" of the "External Asset Account" to be selected must be "T2S Securities Account for Regular Collateral".

The new cross border Settlement Possibility has been created.

Alternatives

- To set all fields to default value and blank out all optional fields, click on the Reset button.
- To cancel the process and return to the previous screen, click on the cancel button.

4.2.3.1.3 Edit an existing Settlement Possibility

| Context of Usage | This business scenario describes how to edit the reference data of an existing Settlement Possibility. Each NCB is able to update the reference data for its ECMS Entities. |
|------------------|--|
| | Editing an existing Settlement Possibility is optional for the administration of Settlement Possibilities. |
| Reference | Further information on the involved screens can be found in the screen reference part: |
| | - Settlement Possibilities- Create Screen |
| | - Settlement Possibilities- Search Screen |
| | - Settlement Possibilities- List Screen |
| | - Settlement Possibilities- Details Screen |
| Instructions | Go to the Settlement Possibilities Search screen |
| | Reference Data >> Reference Data >> Settlement Possibilities and Eli- gible Links >> Settlement Possibilities Reference Data Create/Display |
| | Enter the search criteria known to you about the Settlement Possibility you want to edit. |
| | Click on the Search button. The Settlement Possibilities – List screen is displayed. A list containing the search results is displayed on the screen. |
| | Select the relevant Settlement Possibility from the search results by clicking on an entry in the list. |
| | - Click on the <i>Edit</i> button. |
| | - The Settlement Possibilities - Edit screen is displayed. |
| | To add or change current values on the Settlement Possibility setup, enter the new values in the respective fields. |
| | Before adding or changing the Market Account that applies for the Settlement Possibility, all mandatory fields of the current screen should be properly populated. |
| | Alternatives |
| | To cancel the process and return to the previous screen, click on the Cancel button. |
| | Click on the External Asset Account button. |
| | The list of External Asset Accounts that applies for the current Settlement Possibility is displayed. |



- Select the relevant External Asset Account from the search results by clicking on an entry in the list.
- Click on the *Edit* button.
- The External Asset Account Edit screen is displayed.
- Click on the Save button.
- The edited Settlement Possibility are stored.

4.2.4 Pool Management

4.2.4.1 Administration of Pools

4.2.4.1.1 Edit an existing Pool

| Overview | The business scenarios under the Edit and Existing Pool section cover possible activities to edit the different features of an already existing ECMS Pool. |
|-----------------------|--|
| | The pool configuration aims at defining, for a Counterparty, where the collateral is mobilised to cover given authorised types of credit operations. |
| Business Scenarios | Edit the Pool general Reference Data |
| | Edit the Authorised Monetary Policy Operations |
| | Edit the Pool – Counterparty Asset Account Links |
| | Edit the Pool – Cash Collateral Type Links |
| | Edit the Pool – External CMS Links |
| | Edit the Pool – Credit Freezing Type Links Setup |
| | Edit the Pool – Credit Line Setup |

4.2.4.1.1.1 Edit the Pool general Reference Data

| Context of Usage | This business scenario describes how to edit the reference data of an existing Pool. Each NCB is able to update the reference data for its Parties. |
|------------------|--|
| | Editing an existing Pool is optional for the administration of Pools. |
| Reference | Further information on the involved screens can be found in the screen reference part: |
| | Pool general Reference Data – Edit Screen |
| | Pool general Reference Data – Search Screen |
| | Pool general Reference Data – List Screen |
| | Pool general Reference Data – Details Screen |
| Instructions | Go to the Pool general Reference Data – Search screen |
| | Collateral and Credit >> Pool structure >> Pool general Reference Data |
| | Enter the search criteria known to you about the Pool you want to edit. |
| | Click on the Search button. The Pool general Reference Data – List screen is displayed. A list containing the search results is displayed on the screen. |



| Select the relevant Pool from the search results by clicking on an entry in the list. |
|---|
| - Click on the <i>Edit</i> button. |
| - The <i>Pool general Reference Data</i> - <i>Edit</i> screen is displayed. |
| To add or change current values of the Pool, enter the new values in the respective fields. |
| Alternatives |
| To cancel the process and return to the previous screen, click on the Cancel button. |
| - Click on the Save button. |
| The edited Pool general Reference Data are stored. |

4.2.4.1.1.2 Edit the Pool – Counterparty Asset Account Links

| | . , |
|------------------|--|
| Context of Usage | This business scenario describes how to edit the Counterparty Asset Account of an existing Pool. Each NCB is able to update the reference data for its Parties. |
| | Editing an existing Counterparty Asset Account Link of an existing Pool is optional. |
| Reference | Further information on the involved screens can be found in the screen reference part: |
| | Pool – Counterparty Asset Account Links – Edit Screen |
| | - Pool - Counterparty Asset Account Links - Search Screen |
| | - Pool - Counterparty Asset Account Links - List Screen |
| | - Pool - Counterparty Asset Account Links - Details Screen |
| Instructions | - Go to the Pool - Counterparty Asset Account Links - Search screen |
| | Collateral and Credit >> Pool structure >> Collateral Positions >> Pool – Counterparty Asset Account Links Create / Display |
| | Enter the search criteria known to you about the Pool – Counterparty Asset Account Links you want to edit. |
| | Click on the Search button. The Pool – Counterparty Asset Account Links – List screen is displayed. A list containing the search results is displayed on the screen. |
| | Select the relevant Pool – Counterparty Asset Account Links from the search results by clicking on an entry in the list. |
| | - Click on the <i>Edit</i> button. |
| | The Pool – Counterparty Asset Account Links – Edit screen is displayed. |
| | To add or change current values of the Pool – Counterparty Asset Account Links, enter the new values in the respective fields. |
| | Alternatives |
| | To cancel the process and return to the previous screen, click on the Cancel button. |
| | - Click on the Save button. |
| | The edited Pool – Counterparty Asset Account Links are stored. |



4.2.4.1.1.3 Edit the Pool – Cash Collateral Type Links

| Context of Usage | This business scenario describes how to edit the Cash Collateral Type of an existing Pool. Each NCB is able to update the reference data for its Parties. |
|------------------|--|
| | Editing an existing Cash Collateral Type of an existing Pool is optional. |
| Reference | Further information on the involved screens can be found in the screen |
| | reference part: |
| | Pool – Cash Collateral Type Links – Edit Screen |
| | Pool – Cash Collateral Type Links – Search Screen |
| | Pool – Cash Collateral Type Links – List Screen |
| | Pool – Cash Collateral Type Links – Details Screen |
| Instructions | Go to the Pool – Cash Collateral Type Links – Search screen |
| | Collateral and Credit >> Pool structure >> Collateral Positions >> Pool – Cash Collateral Type Links Create / Display |
| | Enter the search criteria known to you about the Pool – Cash Collateral Type Links you want to edit. |
| | Click on the Search button. The Pool – Cash Collateral Type Links – List screen is displayed. A list containing the search results is displayed on the screen. |
| | Select the relevant Pool – Cash Collateral Type Links from the search results by clicking on an entry in the list. |
| | - Click on the <i>Edit</i> button. |
| | - The Pool - Cash Collateral Type Links - Edit screen is displayed. |
| | To add or change current values of the Pool – Cash Collateral Type Links, enter the new values in the respective fields. |
| | Alternatives |
| | To cancel the process and return to the previous screen, click on the Cancel button. |
| | - Click on the Save button. |
| | The edited Pool – Cash Collateral Type Links are stored. |

4.2.4.1.1.4 Edit the Pool – External CMS Links

| Context of Usage | This business scenario describes how to edit the External CMS of an existing Pool. Each NCB is able to update the reference data for its Parties. |
|------------------|---|
| | Editing an existing External CMS of an existing Pool is optional. |
| Reference | Further information on the involved screens can be found in the screen reference part: |
| | – Pool – External CMS Links – Edit Screen |
| | – Pool – External CMS Links – Search Screen |
| | – Pool – External CMS Links – List Screen |
| | – Pool – External CMS Links – Details Screen |
| Instructions | Go to the Pool – External CMS Links – Search screen |
| | Collateral and Credit >> Pool structure >> Collateral Positions >> Pool – External CMS Links Create / Display |



| Enter the search criteria known to you about the Pool – External CMS Links you want to edit. |
|--|
| Click on the Search button. The Pool – External CMS Links – List screen is displayed. A list containing the search results is displayed on the screen. |
| Select the relevant Pool – External CMS Links from the search results by clicking on an entry in the list. |
| - Click on the <i>Edit</i> button. |
| The Pool – External CMS Links – Edit screen is displayed. |
| To add or change current values of the Pool – External CMS Links, enter the new values in the respective fields. |
| Alternatives |
| To cancel the process and return to the previous screen, click on the Cancel button. |
| - Click on the Save button. |
| The edited Pool – External CMS Links are stored. |

4.2.4.1.1.5 Edit the Pool – Credit Freezing Type Links

| Contact | This business according describes how to salit the Oscalit Force: |
|------------------|--|
| Context of Usage | This business scenario describes how to edit the Credit Freezing Type of an existing Pool/Counterparty. Each NCB is able to update the refer- |
| Coago | ence data for its Parties. |
| | Editing an existing Credit Freezing Type of an existing Pool is optional. |
| Reference | Further information on the involved screens can be found in the screen reference part: |
| | Pool – Credit Freezing Type Links – Edit Screen |
| | Pool – Credit Freezing Type Links – Search Screen |
| | - Pool - Credit Freezing Type Links - List Screen |
| | Pool – Credit Freezing Type Links – Details Screen |
| Instructions | Go to the Pool – Credit Freezing Type Links – Search screen |
| | Collateral and Credit >> Pool structure >> Other Credit Positions >> Pool – Credit Freezing Type Links Create / Display |
| | Enter the search criteria known to you about the Pool – Credit Freezing Type Links you want to edit. |
| | Click on the Search button. The Pool – Credit Freezing Type Links – List screen is displayed. A list containing the search results is displayed on the screen. |
| | Select the relevant Pool – Credit Freezing Type Links from the search results by clicking on an entry in the list. |
| | - Click on the <i>Edit</i> button. |
| | The Pool – Credit Freezing Type Links – Edit screen is displayed. |
| | To add or change current values of the Pool – Credit Freezing Type Links, enter the new values in the respective fields. |
| | Alternatives |
| | To cancel the process and return to the previous screen, click on the Cancel button. |
| | - Click on the Save button. |



- The edited Pool - Credit Freezing Type Links is stored.

4.2.4.1.1.6 Edit the Pool – Credit Line Setup

| Context of Usage | This business scenario describes how to edit the Maximum Credit Line Value of an existing Pool/Counterparty. Each NCB is able to update the reference data for its Parties. |
|------------------|---|
| | Editing an existing Maximum Credit Line of an existing Pool is optional. |
| Reference | Further information on the involved screens can be found in the screen reference part: |
| | - Pool - Credit Line Setup - Edit Screen |
| | Pool – Credit Line Setup – Search Screen |
| | - Pool - Credit Line Setup - List Screen |
| | – Pool – Credit Line Setup – Details Screen |
| Instructions | - Go to the Pool - Credit Line Setup - Search screen |
| | Collateral and Credit >> Pool structure >> Other Credit Positions >> Pool – Credit Line Setup Create / Display |
| | Enter the search criteria known to you about the Pool – Credit Line Setup you want to edit. |
| | Click on the Search button. The Pool – Credit Line Setup – List screen is displayed. A list containing the search results is displayed on the screen. |
| | Select the relevant Pool – Credit Line Setup from the search results by clicking on an entry in the list. |
| | - Click on the <i>Edit</i> button. |
| | The Pool – Credit Line Setup – Edit screen is displayed. |
| | To add or change current values of the Pool – Credit Line Setup, enter the new values in the respective fields. |
| | Alternatives |
| | To cancel the process and return to the previous screen, click on the Cancel button. |
| | - Click on the Save button. |
| | - The edited Pool - Credit Line Setup is stored. |

4.2.5 User Management

4.2.5.1 Administration of ECMS Users

| Overview | This describes all activities that an NCB can perform for the administration of the users that needs to manage its Parties lifecycle. |
|----------|---|
| | The Administration of Users has the aim to manage users with appropriate rights: |
| | To ensure the access only to the seggregated data that this user is allowed to work with. |
| | To access only the functionality that this user is granted. |
| | For achieving above goals, four different concepts has to be set in the creation of a user: |



| | Groups: when a user is assigned to a group, the user inherit the roles and Properties assigned to this group, making user management easier. |
|-----------|--|
| | Security Properties: for assigning to the user specific properties. |
| | Security Roles: for assigning to the user specific roles. |
| | User Multi Tenancy: in case of users that are allowed to manage data from different tenants. |
| Business | - Create a new User |
| Scenarios | Edit an existing User |

4.2.5.1.1 Create a new User

| | J. 300. |
|------------|--|
| Context of | This business scenario describes how to create a new User. |
| Usage | Before you start, check whether the User has not already been created by someone else. |
| Reference | Users - Create Screen |
| | Users – Search Screen |
| Instruc- | - Go to the Users - Search Screen |
| tions | Reference Data >> Access Right Reference Data >> Users Create/Display |
| | - Click on the <i>Create</i> button. |
| | The <i>Users – Create</i> Screen is displayed. |
| | Enter all mandatory information necessary to determine the potential user. |
| | Following fields must be filled in: |
| | "ECMS System User Reference". To unequivocally identify the user. |
| | - "Name". To assign an appropriate name to the user |
| | - "Is Active". To set if the user is active or not. |
| | Next step is related to assign groups, roles and/or security properties or User Multi Tenancy if needed |
| | "Groups". In this case, all the groups of users in the system will be displayed in order the user (with appropriate rigths to create user) can select the needed ones for this user. |
| | "Security Property". In this case, all the security properties in the system will be displayed in order the user (with appropriate rights to create user) can select the needed ones for this user. |
| | "Security Roles". In this case, all the security roles in the system will be displayed in order the user (with appropriate rigths to create user) can select the needed ones for this user. |
| | "User Multi Tenancy". This button will be only shown if logged user is an ECMS Operator, then this kind of user could select from the sys- tem the different tenants in the system where the "in creation" user will work. |
| | Alternatives |
| | To set all fields to default value and blank out all optional fields, click on the Reset button. |



 To cancel the process and return to the previous screen, click on the cancel button.

4.2.5.1.2 Edit an existing User

| Context of | |
|------------|---|
| Usage | isting User. Each NCB is able to update the reference data for its Users. |
| D (| Editing an existing User is optional for the administration of Users. |
| Reference | Further information on the involved screens can be found in the screen reference part: |
| | - Users- Create Screen |
| | - Users- Search Screen |
| | - Users- List Screen |
| | - Users- Details Screen |
| Instruc- | - Go to the Users- Search screen |
| tions | Reference Data >> Access Right Reference Data >> Users Create/Display |
| | Enter the search criteria known to you about the User you want to edit. |
| | Click on the Search button. The Users – List screen is displayed. A list containing the search results is displayed on the screen. |
| | Select the relevant User from the search results by clicking on an entry in the list. |
| | - Click on the <i>Edit</i> button. |
| | - The <i>Users</i> - <i>Edit</i> screen is displayed. |
| | To add or change current values on the User setup, enter the new values in the respective fields. |
| | Before adding or changing the Group, security Role, Security Property or User Multi Tenancy, all mandatory fields of the current screen should be properly populated. |
| | Alternatives |
| | To cancel the process and return to the previous screen, click on the Cancel button. |
| | Click on the Group button. |
| | The list of Groups that applies for the current User is displayed. |
| | If adding a new group is needed click on Create button: |
| | The Group- Create screen is displayed, select the needed one. |
| | Click on the Save button. |
| | The added group is stored. |
| | If removing the link to a group is needed. |
| | Select the group to be removed from the ones displayed. |
| | Click on Delete button |
| | The group is not displayed in the list of groups |
| | Click on the Security Role button. |
| | - The list of Roles that applies for the current User is displayed. |
| | If adding a new Role is needed click on Create button: |



| The Role- Create screen is displayed, select the needed one. Click on the Save button. The added Role is stored. If removing the link to a Role is needed. Select the Role to be removed from the ones displayed. Click on Delete button |
|---|
| The Role is not displayed in the list of Roles |
| Click on the Security Property button. The list of Security Properties that applies for the surrount Hear is dis- |
| The list of Security Properties that applies for the current User is dis- played. |
| If adding a new Security Property is needed click on Create button: |
| The Security Property– Create screen is displayed, select the needed one. |
| Click on the Save button. |
| The added Security Property is stored. |
| If removing the link to a Security Property is needed. |
| Select the Security Property to be removed from the ones displayed. Click on Delete button |
| The Security Property is not displayed in the list of Security Properties |
| Click on the User Multi Tenancy button. |
| The list of Tenants that applies for the current User is displayed. |
| If adding a new Tenant is needed click on Create button: |
| The <i>User Multi Tenancy</i> — <i>Create</i> screen is displayed, select the needed one. |
| Click on the Save button. |
| The added Tenant is stored. |
| If removing the link to a Tenant is needed. |
| Select the Tenant to be removed from the ones displayed. |
| Click on Delete button |
| The Tenant is not displayed in the list of tenants |

4.3 Monetary Policy Operations

4.3.1 Standing Facilities

4.3.1.1 Marginal Lending on Request

| Overview | This section describes the Marginal Lending on Request activities that can be performed by an NCB user or a Counterparty. |
|----------|---|
| | After the initial creation of a Marginal Lending on Request instruction, the NCB user or the Counterparty can edit it. To manage a Marginal Lending on Request instruction, carry out the following business scenarios in the predefined order: |



| | Create a new Marginal Lending on Request instruction |
|-----------|---|
| Scenarios | 2. Edit an existing Marginal Lending on Request instruction |
| | |

4.3.1.1.1 Create a new Standing Facilities instruction

| Context of Usage | This business scenario describes how to create a new Marginal Lending on Request instruction. |
|------------------|--|
| Reference | Standing Facilities - Input Screen |
| Instructions | Through the main menu, go to the Standing Facilities – Input Screen. Click on the Input button. |
| | The Standing Facilities – Input Screen is displayed. |
| | Enter all fields. |
| | - Click on the Save button. |
| | The new Standing Facilities instruction has been created. |
| | Alternatives |
| | To set all fields to default value and blank out all optional fields, click on the Reset button. |
| | To cancel the process and return to the previous screen, click on the cancel button. |
| | |

4.3.1.1.2 Edit an existing Standing Facilities instruction

| Context of Usage | This business scenario describes how to edit a Marginal Lending on Request instruction. Each NCB user and Counterparty is able to update its Marginal Lending on Request instructions. Editing an existing Marginal Lending on Request instruction is optional |
|------------------|---|
| | for the management of Marginal Lending on Request instructions. |
| Reference | Further information on the involved screens can be found in the screen reference part: |
| | Standing Facilities – Input Screen |
| | Standing Facilities – Search Screen |
| | Standing Facilities – List Screen |
| | Standing Facilities – Details Screen |
| Instructions | Through the main menu, go to the Standing Facilities – Search screen |
| | Collateral and Credit >> Exposure >> Standing Facilities >> Display |
| | Enter the search criteria known to you about the Marginal Lending on Request instruction you want to edit. Enter search fields with the cri- teria "MLOR" for the Instruction Description. |
| | Click on the Search button. The Standing Facilities – List screen is displayed. A list containing the search results is displayed on the screen. |



| Select the relevant Marginal Lending on Request instruction from the search results by clicking on an entry in the list. Click on the <i>Edit</i> button. The <i>Standing Facilities – Edit</i> screen is displayed. You can also access to the <i>Standing Facilities – Edit</i> screen: Click on the <i>View</i> button. The <i>Standing Facilities – Details</i> screen is displayed. |
|--|
| - Click on the icon. |
| To add or change current values in fields, enter the new values in the respective fields. |
| Alternatives |
| To cancel the process and return to the previous screen, click on the Cancel button. |
| _ |
| - Click on the Save button. |
| The edited Marginal Lending on Request instruction is stored. |

4.3.1.2 Standing Facilities Notifications - MLOR Notifications

| Overview | This section describes the MLOR Notifications activities that can be performed by an NCB user or a Counterparty. |
|-----------------------|--|
| | After the initial creation of a MLOR instruction by the ECMS, the NCB user or the Counterparty can view the notifications. To manage a MLOR Notifications, carry out the following business scenarios in the predefined order: |
| Business Scenarios | View a MLOR Notification View the details of a MLOR Notification. |
| | 2. View the details of a MLOR Notification. |

4.3.1.2.1 View a MLOR Notification

| Context of Usage | This business scenario describes how to view a MLOR Notification. |
|------------------|--|
| Reference | MLOR Notification – Search Screen |
| Instructions | Through the main menu, go to the MLOR Notification – Search Screen. Click on the button. |
| | The MLOR Notification – Search Screen is displayed. |
| | Enter search fields. |
| | Click on the Search button. |
| | The MLOR Notification are displayed. |
| | Alternatives |
| | To set all fields to default value, click on the Reset button. |
| | |



4.3.1.3 Standing Facilities Notifications – MLOR Cancellation Notifications

| Overview | This section describes the MLOR Cancellation Notifications activities that can be performed by an NCB user or a Counterparty. |
|-----------|---|
| | After the initial creation of a MLOR instruction by the ECMS and then the cancellation, the NCB user or the Counterparty can view the notifications. To manage a MLOR Cancellation Notifications, carry out the following business scenarios in the predefined order: |
| Business | View a MLOR Cancellation Notification |
| Scenarios | 2. View the details of a MLOR Cancellation Notification. |
| | |

4.3.1.3.1 View a MLOR Cancellation Notification

| Context of Usage | This business scenario describes how to view a MLOR Cancellation Notification. |
|------------------|--|
| Reference | MLOR Cancellation Notification – Search Screen |
| Instructions | Through the main menu, go to the MLOR Notification – Search Screen. |
| | Click on the button. |
| | - The MLOR Cancellation Notification - Search Screen is displayed. |
| | Enter search fields. |
| | - Click on the Search button. |
| | The MLOR Cancellation Notification are displayed. |
| | Alternatives |
| | - To set all fields to default value, click on the <i>Reset</i> button. |
| | |
| | |

4.3.1.4 Standing Facilities Notifications - MLOR Status Notifications

| Overview | This section describes the MLOR Status Notifications activities that can be performed by an NCB user or a Counterparty. |
|-----------------------|--|
| | After the initial creation of a MLOR instruction by the ECMS, the NCB user or the Counterparty can view the status notifications. To manage a MLOR Status Notifications, carry out the following business scenarios in the predefined order: |
| Business Scenarios | View a MLOR Status Notification View the details of a MLOR Status Notification. |

4.3.1.4.1 View a MLOR Status Notification

| Context of | This business scenario describes how to view a MLOR Status Notifica- |
|------------|--|
| Usage | tion. |
| Reference | MLOR Status Notification - Search Screen |



| Instructions | Through the main menu, go to the MLOR Status Notification – Search Screen |
|--------------|--|
| | - Click on the button. |
| | The MLOR Status Notification – Search Screen is displayed. |
| | Enter search fields. |
| | - Click on the Search button. |
| | The MLOR Status Notification are displayed. |
| | Alternatives |
| | To set all fields to default value, click on the Reset button. |
| | |
| | |

4.4 Collateral

4.4.1 Marketable Asset Instructions and Positions

4.4.1.1 Marketable Asset Instructions

| Overview | This describes the activities that a user can perform to monitor the processing of Marketable Asset Instructions in the ECMS. |
|-----------------------|--|
| | The monitoring of Marketable Asset Instructions aims at having a detailed view on the Marketable Asset Instructions received by the ECMS and at following their different processing status. |
| Business Scenarios | Search/List/View the Counterparty Marketable Asset (de)Mobilisation Instructions |
| | Search/List/View the NCB Marketable Asset Instructions |
| | Search/List/View the Marketable Asset Settlement Instructions |
| | Input a Counterparty Marketable Asset (de)Mobilisation Instruction |

4.4.1.1.1 Search/List/View Counterparty Marketable Asset (de)Mobilisation Instructions

| Context of Usage | This business scenario describes how to Search to List and to View Counterparty Marketable Asset (de)Mobilisation Instructions. |
|-------------------|--|
| | Counterparty Marketable Asset (de)Mobilisation Instructions are the instruction received by the ECMS for the mobilisation and the demobilisation of Marketable Asset Collateral on an ECMS Counterparty Asset Account. |
| Reference | Counterparty Marketable Asset Instructions – Search Screen |
| | Counterparty Marketable Asset Instructions – List Screen |
| | Counterparty Marketable Asset Instructions – Details screen |
| Instruc- tions | Through the main menu, go to the Counterparty Marketable Asset In- structions – Search Screen |
| | Instructions and Positions >> MA Instruction >> Monitor >> Counterparty Instruction |



 Capture the criteria corresponding to the search or leaves them blank to display all the Counterparty Marketable Asset (de)Mobilisation Instructions.

Click on the "Search" button.

The list of all the Counterparty Marketable Asset (de)Mobilisation Instructions answering the captured criteria is displayed in the *Counterparty Marketable Asset Instructions—List Screen*.

Alternatives

Alternatively, click on the "Reset" button to clear the search criteria and close the *Counterparty Marketable Asset Instructions*— *List Screen*.

- Once a Counterparty Marketable Asset (de)Mobilisation Instruction has been selected in the list, a "View" button is available.
- Click on the "View" button or double clicking on the selected line to display the Counterparty Marketable Asset Instructions— Details screen with the details of the selected Counterparty Marketable Asset (de)Mobilisation Instruction.

Alternatives

Alternatively, click on the "Download" button to download the notification message.

 Click on the Details heading to go back to the list of "Marketable Asset (de)Mobilisation Instructions"

4.4.1.1.2 Search/List/View Marketable Asset Settlement Instructions

| Context of Usage | This business scenario describes how to Search to List and to View Marketable Asset Settlement Instructions. |
|-------------------|---|
| | Marketable Asset Settlement Instructions are the instructions sent for the settlement of a Marketable Asset Instruction. |
| Reference | Marketable Asset Settlement Instructions – Search Screen |
| | Marketable Asset Settlement Instructions – List Screen |
| | Marketable Asset Settlement Instructions – Details screen |
| Instruc- tions | Through the main menu, go to the Marketable Asset Settlement In- structions – Search Screen |
| | Instructions and Positions >> MA Settlement Instruction >> Marketable Asset Settlement Instructions |
| | Capture the criteria corresponding to the search or leaves them blank to display all the Marketable Asset Settlement Instructions. |
| | Click on the "Search" button. |
| | The list of all the Marketable Asset Answering Instructions answering the captured criteria is displayed in the <i>Marketable Asset Settlement Instructions—List Screen</i> is displayed. |
| | Alternatives |
| | Alternatively, click on the "Reset" button to clear the search criteria and close the Marketable Asset Settlement Instructions— List Screen. |
| | |



- Once a Marketable Asset Settlement Instruction has been selected in the list, a "View" button is available.
- Click on the "View" button or double clicking on the selected line to display the Counterparty Marketable Asset Settlement Instructions-Details screen with the details of the selected Marketable Asset Settlement Instruction.
- Click on the Details heading to go back to the list of "Marketable Asset Settlement Instructions"

4.4.1.1.3 Input a Counterparty Marketable Asset (de)Mobilisation Instruction

Context of This business scenario describes how to input a new Counterparty Mar-Usage ketable Asset (de)Mobilisation Instruction. Counterparty Marketable Asset (de)Mobilisation Instructions are the instruction received by the ECMS for the mobilisation and the demobilisation of Marketable Asset Collateral on an ECMS Counterparty Asset Account. This scenario is applicable for Counterparty or NCB users acting on behalf on the counterparty as long as they have the appropriate user rights. Counterparty Marketable Asset (de)Mobilisation Instructions – Input Reference Screen

Instructions

 Through the main menu, go to the Counterparty Marketable Asset (de)Mobilisation Instructions – Input Screen

Instructions and Positions >> MA Instruction >> Input Instruction >> Marketable Asset Instruction

 Capture the General Information fields of the Counterparty Marketable Asset Instruction:

Note that

- If a Counterparty has been selected, only the NCB Participant Asset Account of that counterparty can be captured or selected.
- If no Counterparty has been selected, when the NCB Participant Asset Account the field Counterparty will be filled automatically with the Counterparty owning that account.
- When the field ISIN is captured with an ISIN valid in the ECMS reference data, the field ISIN description will be automatically displayed.
- Capture the Custody Chain fields of the Counterparty Marketable Asset Instruction:

Note that when the "CSD of the T2S Securities Account for Regular Collateral" will be filled in, the field External Asset Account and the External Asset Account Owner will be filled in automatically will be automatically displayed using the settlement possibility for mobilisation or the custody chain for demobilization.

- Capture the Counterparty Details fields of the Counterparty Marketable Asset Instruction:
- Click on the "Save" button and the Counterparty Marketable Asset Instruction will be saved.
- If the business validation are passed successfully, it will be automatically processed



 If the business validation fails, and pop-up screen with the errors will be displayed. The user still have to click on the "ok" button of the error screen to come back to the Counterparty Marketable Asset Instruction – input screen

Alternatives

Alternatively, click on the "Reset" button to clear the fields captured in the Counterparty Marketable Asset Instructions— Input Screen.

4.4.1.2 Marketable Asset Positions

| Overview | This describes the activities that a user can perform to monitor the Marketable Asset Positions in the ECMS. |
|----------------------|---|
| | The monitoring of Marketable Asset Positions aims at having a detailed view on the Marketable Asset Positions in the following Accounts : |
| | - Counterparty Asset Account |
| | - Cross NCB Asset Account |
| | - T2S Securities Account |
| Business Scenario | Search/List/View the Client Marketable asset Position per Position Type |
| | Search/List/View the Market Marketable asset Position per Position Type |

4.4.1.2.1 Search/List/View Client Marketable Asset Positions per Position Type

| Context of Usage | This business scenario describes how to Search to List and to View Client Marketable Asset Positions per Position Type. |
|-------------------|--|
| | Client Marketable Asset Position by Position Type represents the quantity of a given marketable asset held |
| | On a ECMS Counterparty Asset Account opened in its books by a counterparty of its communities, |
| | On a Cross NCB Asset Account opened in its books by a refinancing NCB. |
| Reference | Client Marketable Asset Positions per Position Type – Search Screen |
| | Client Marketable Asset Positions per Position Type – List Screen |
| | Client Marketable Asset Positions per Position Type – Details screen |
| Instruc- tions | Through the main menu, go to the Client Marketable Asset Positions per Position Type – Search Screen |
| | Instructions and Positions >> Client Marketable Asset Position >> Client Marketable Asset Position by Position Type |
| | Capture the criteria corresponding to the search. |
| | Click on the "Search" button. |
| | The list of all the Client Marketable Asset Positions per Position Type answering the captured criteria is displayed in the <i>Client Marketable Asset Positions per Position Type – List</i> screen is displayed. |
| | Alternatives |
| | Alternatively, click on the "Reset" button to clear the search criteria and close the <i>Client Marketable Asset Positions per Position Type – List</i> screen. |



- Once a Client Marketable Asset Position per Position Type has been selected in the list, a "View" button is available.
- Click on the "View" button or double clicking on the selected line to display the Client Marketable Asset Positions per Position Type – Details screen with the details of the selected position.
- Click on the Details heading to go back to the list of "Client Marketable Asset Position per Position Type".

4.4.2 Cash Collateral Instructions and Positions

4.4.2.1 Cash Collateral Instructions

| Overview | This section describes the activities that a NCB user can perform to monitor the processing of Cash Collateral Instructions in the ECMS. |
|-----------|---|
| | Also the monitoring of the Payment Notifications send to CLM and the manual input of a Cash Collateral (de)Mobilisation Instruction. |
| | The monitoring of Cash Collateral Instructions and Notifications aim at having a detailed view on the Cash Collateral Instructions/Notifications received/sent by the ECMS. |
| Business | Search/List/View the Cash Collateral (de)Mobilisation Instructions |
| Scenarios | Search/List/View the CCOL Instructions Notifications |
| | Search/List/View the CCOL Instructions Status Notifications |
| | Input a Cash Collateral (de)Mobilisation Instruction |
| | Recycle a Cash Collateral (de)Mobilisation Instruction |
| | Reject a Cash Collateral (de)Mobilisation Instruction |

4.4.2.1.1 Search/List/View Cash Collateral (de)Mobilisation Instructions

| Context of Usage | This business scenario describes how to Search to List and to View Cash Collateral (de)Mobilisation Instructions. |
|------------------|---|
| | Cash Collateral (de)Mobilisation Instructions are the instruction received by the ECMS for the mobilisation and the demobilisation of Cash as Collateral on the ECMS. |
| Reference | Cash Collateral Instructions – Search Screen |
| | Cash Collateral Instructions – List Screen |
| | Cash Collateral Instructions – Details screen |
| Instructions | Through the main menu, go to the Cash Collateral Instructions – Search Screen |
| | Collateral and Credit >> Collateral >> Cash Collateral >> Cash Collateral Display |
| | Capture the criteria corresponding to the search or leave them blank to display all the Cash Collateral Instructions. |
| | Click on the "Search" button. |
| | The list of all the Cash Collateral Instructions answering the captured criteria is displayed in the Cash Collateral Instructions— List Screen. |
| | Alternatives |



Alternatively, click on the "Reset" button to clear the search criteria and close the Cash Collateral Instructions— List Screen.

- Once a Cash Collateral Instruction has been selected in the list, a "View" button is available.
- Click on the "View" button or double clicking on the selected line to display the Cash Collateral Instructions— Details screen with the details of the selected Cash Collateral Instruction.
- Click on the Details heading to go back to the list of "Cash Collateral Instructions"

4.4.2.1.2 Search/List/View CCOL Instructions Notifications

| Context of Usage | This business scenario describes how to Search to List and to View CCOL Instructions Notifications. |
|-------------------|--|
| | You can also download the message sent to CLM. |
| | CCOL Instructions Notifications are the messages sent by the ECMS to CLM to instruct the payment for the (de)mobilisation of Cash as Collateral on the ECMS. |
| Reference | CCOL Instructions - Search Screen |
| | CCOL Instructions – List Screen |
| Instruc- tions | Through the main menu, go to the CCOL Instructions – Search Screen. |
| | Collateral and Credit >> Notification >> Counterparties Notifications >> Cash Collateral Notifications >> CCOL Instructions |
| | Capture the criteria corresponding to the search or leave them blank to display all the CCOL Instructions Notifications. |
| | Click on the "Search" button. |
| | The list of all the CCOL Instructions answering the captured criteria is displayed in the CCOL Instructions – List Screen. |
| | Alternatives |
| | Alternatively, click on the "Reset" button to clear the search criteria and close the CCOL Instructions – List Screen. |
| | Once a CCOL Instructions has been selected in the list, the "Download" button is available. |
| | Click on the "Download" button to download the message sent to CLM. |

4.4.2.1.3 Search/List/View CCOL Instructions Status Notifications

| Context of Usage | This business scenario describes how to Search to List and to View CCOL Instruction Status Notifications. |
|------------------|---|
| | You can also download the message sent by CLM. |
| | CCOL Instruction Status Notifications are the messages sent by CLM to ECMS to confirm the payment for the mobilisation of Cash as Collateral on the ECMS. |
| Reference | CCOL Instruction Status Notifications – Search Screen |



| | CCOL Instruction Status Notifications – List Screen |
|-------------------|--|
| Instruc- tions | - Through the main menu, go to the CCOL Instruction Status Notifications - Search Screen. |
| | Collateral and Credit >> Notification >> Counterparties Notifications >> Cash Collateral Notifications >> CCOL Instructions Status Notifications |
| | Capture the criteria corresponding to the search or leave them blank to display all the CCOL Instruction Status Notifications. |
| | Click on the "Search" button. |
| | The list of all the CCOL Instruction Status Notifications answering the captured criteria is displayed in the CCOL Instruction Status Notifications – List Screen. |
| | Alternatives |
| | Alternatively, click on the "Reset" button to clear the search criteria and close the CCOL Instruction Status Notifications – List Screen. |
| | Once a CCOL Instruction Status Notifications has been selected in the list, the "Download" button is available. |
| | Click on the "Download" button to download the message sent to CLM. |

4.4.2.1.4 Input a Cash Collateral (de)Mobilisation Instruction

| Context of Usage | This business scenario describes how to manually input a new Cash Collateral (de)Mobilisation Instruction. |
|-------------------|--|
| | Cash Collateral (de)Mobilisation Instructions are the instructions received by the ECMS for the mobilisation and the demobilisation of Cash Collateral in the ECMS. |
| Reference | Cash Collateral Instructions – Input Screen |
| Instruc- tions | Through the main menu, go to the Cash Collateral Instructions – Input Screen |
| | Collateral and Credit >> Collateral >> Cash Collateral >> Input Instruction |
| | Enter all the required information of the Cash Collateral Instruction: |
| | Click on the "Save" button and the Cash Collateral Instruction will be saved. |
| | If the business validation are passed successfully, it will be automatically processed |
| | If the business validation fails, a pop-up screen with the errors will be displayed. The user will have to click on the "ok" button of the error screen to come back to the Cash Collateral Instruction – input screen |
| | Alternatives |
| | Alternatively, click on the "Reset" button to clear the fields captured in the Cash Collateral Instructions— Input Screen. |



4.4.3 Credit Claims

4.4.3.1 Credit Claims Instructions

| Overview | This section describes the activities that a NCB user can perform to monitor the processing of Credit Claims Instructions in the ECMS. In addition, the monitoring of the of the credit claim file received from counterparties, the processing report send to the counterparties and the manual input of Credit Claim Instructions |
|-----------------------|--|
| Business Scenarios | Search/List/View the Credit Claims file Recycle the Credit Claim (de)Mobilisation Instruction Confirm a Credit Claim (de)Mobilisation Instruction Reject a Credit Claim (de)Mobilisation Instruction Recycle a Credit Claim (de)Mobilisation Instruction Recycle a Credit Claim Registration / update Instruction Input a Credit Claim Exclusion Instruction Input an Obligor Exclusion Instruction Input an Obligor Exclusion Instruction Confirm a Credit Claim Registration / Update Instruction Reject a Credit Claim Registration / Update Instruction Recycle a Credit Claim Registration / Update Instruction Input a Credit Claim Rating registration / update Instruction Confirm a Credit Claim Rating registration / update Instruction Confirm Reject a Credit Claim Rating registration / update Instruction Recycle a Credit Claim Rating registration / update Instruction Search/List/View the Credit Claim registration / Rating update Instructions Search/List/View the Credit Claim (de)Mobilisation Instructions Search/List/View the Credit Claims Create a Guarantee |
| | Search/List/View Guarantee Edit an existing Guarantee Create Obligor Search/List/View/ Obligor Edit an existing Obligor Create Creditor Search/List/View Creditor Edit an existing Creditor |



4.4.3.1.1 Search/List/View Credit Claims file

4.4.3.1.1.1 New Node

| Context of Usage | This business scenario describes how to Search , List and View the Credit Claims file received by the ECMS from the counterparties and containing the counterparties credit claims instructions |
|---------------------|--|
| Reference | Credit Claims file – Search Screen |
| | Credit Claims file – List Screen |
| | Credit Claims file – Details screen |
| Instructions | Through the main menu, go to the Credit Claims file – Search Screen |
| | Collateral and Credit >> Credit Claims >> Credit Claims file Display |
| | Capture the criteria corresponding to the search or leave them blank to display all received Credit Claims file. |
| | Click on the "Search" button. |
| | The list of all the Credit Claims file answering the captured criteria is displayed in the <i>Credit Claims file – List Screen</i> . |
| | Alternatives |
| | Alternatively, click on the "Reset" button to clear the search criteria and close the <i>Credit Claims file – List Screen.</i> |
| | _ |
| | |
| | Once a Credit Claims file has been selected in the list, a "View" but- ton is available. |
| | Click on the "View" button or double clicking on the selected line to display the Credit Claims file – Details screen with the details of the selected Credit Claims file. |
| | Click on the Details heading to go back to the list of "Credit Claims files" |
| | Alternatives |
| | Alternatively, click on the "History" button to view the history of the changes having affecting the instruction in the <i>Credit Claims file – History Screen</i> . |

4.4.3.1.2 Input a Credit Claim (de)Mobilisation Instruction

4.4.3.1.2.1 New Node

| Context of Usage | This business scenario describes how to input manually a new Credit Claim (de)Mobilisation Instruction. |
|------------------|---|
| | Credit Claim (de)Mobilisation Instruction are the instructions received by the ECMS for the mobilisation and the demobilisation of Credit Claims as collateral in the ECMS. |



| Reference | Credit Claim (de)Mobilisation Instruction – Input Screen |
|--------------|---|
| | |
| Instructions | Through the main menu, go to the Credit Claim (de)Mobilisation In- struction – Input Screen |
| | Collateral and Credit >> Collateral >> Credit Claims >> Credit Claim (de)Mobilisation Instruction - Input |
| | Enter all the required information of the Credit Claim (de)Mobilisation Instruction. |
| | Click on the "Save" button and the Credit Claim (de)Mobilisation In- struction will be saved. |
| | If the business validation are passed successfully, it will be further processed |
| | If the business validation fails, a pop-up screen with the errors will be displayed. The user will have to click on the "ok" button of the error screen to come back to the Credit Claim (de)Mobilisation Instruction – input screen. |
| | Alternatives |
| | Alternatively, click on the "Reset" button to clear the fields captured in the <i>Credit Claim (de)Mobilisation Instruction – Input</i> Screen or amend the instruction data and click again on the "Save" button. |
| | _ |

4.4.3.1.3 Search/List/View Credit Claim (de)Mobilisation Instructions

4.4.3.1.3.1 New Node

| Context of Usage | This business scenario describes how to Search, List and View Credit Claims (de)Mobilisation Instructions. The Credit Claims (de)Mobilisation are created within reception of the Credit Claims file from counterparties or manually by an authorized user. |
|---------------------|--|
| Reference | Credit Claim (de)Mobilisation Instruction – Search Screen |
| | Credit Claim (de)Mobilisation Instruction – List Screen |
| | Credit Claim (de)Mobilisation Instruction – Details screen |
| Instructions | - Through the main menu, go to the Credit Claim (de)Mobilisation Instruction - Search Screen |
| | Collateral and Credit >> Collateral >> Credit Claims >> Credit Claims (de)Mobilisation Instructions Display |
| | Capture the criteria corresponding to the search or leave them blank to display all the Credit Claim (de)Mobilisation Instruction. |
| | Click on the "Search" button. |
| | The list of all the Credit Claim (de)Mobilisation Instructions answering the captured criteria is displayed in the <i>Credit Claim (de)Mobilisation Instruction – List Screen</i> . |
| | Alternatives |



Alternatively, click on the "Reset" button to clear the search criteria and close the *Credit Claim (de)Mobilisation Instruction – List Screen.*- Once a Credit Claim (de)Mobilisation Instruction has been selected in the list, the "View" button is available.

- Click on the "View" button or double clicking on the selected line to display the *Credit Claim (de)Mobilisation Instruction – Details screen* with the details of the selected Credit Claim (de)Mobilisation Instruction.

(de)Mobilisation Instructions"

- Click on the Details heading to go back to the list of "Credit Claim"

4.4.3.1.4 Confirm a Credit Claim (de)Mobilisation Instruction

4.4.3.1.4.1 New Node

| quired by the NCB. |
|---|
| Credit Claim (de)Mobilisation Instruction Confirm – Search screen Credit Claim (de)Mobilisation Instruction Confirm – List screen Credit Claim (de)Mobilisation Instruction Confirm – Details screen |
| Go to the Credit Claim (de)Mobilisation Instruction Confirm - List screen: Collateral and Credit >> Collateral >> Credit Claims >> Credit Rating Registration/update Instructions - Confirm Enter all search criteria known about the Credit Claim (de)Mobilisation Instruction you want to confirm. Click on the Search button. The Credit Claim (de)Mobilisation Confirm - List screen is displayed. A list containing the search results is displayed. Select the relevant Credit Claim (de)Mobilisation Instruction from the search results by clicking on an entry in the list. Click on the Confirm button to validate the Credit Claim (de)Mobilisation instruction. The Credit Claim (de)Mobilisation instruction is further processed. |
| |



4.4.3.1.5 Search/List/View Credit Claim Registration/update Instructions

4.4.3.1.5.1 New Node

| Context of Usage | This business scenario describes how to Search to List and to View Credit Claim registration/update Instructions. |
|------------------|--|
| | Credit Claim registration/update instructions are created within the reception of the Credit Claim file from counterparties or manually by an authorized user. |
| Reference | Credit Claim Registration/update Instruction – Search Screen |
| | Credit Claim Registration/update Instruction – List Screen |
| | Credit Claim Registration/update Instruction – Details screen |
| Instructions | Through the main menu, go to the Credit Claim Registration/update Instructions – Search Screen |
| | Collateral and Credit >> Collateral >> Credit Claims >> Credit Claim Registration/update Instructions Display |
| | Capture the criteria corresponding to the search or leave them blank to display all the Credit Claim Registration/update Instruction. |
| | Click on the "Search" button. |
| | The list of all the Credit Claims Registration/update Instructions answering the captured criteria is displayed in the <i>Credit Claim Registration/update Instruction – List Screen</i> . |
| | Alternatives |
| | Alternatively, click on the "Reset" button to clear the search criteria and close the Credit Claim Registration/update Instruction – List Screen. |
| | |
| | |
| | Once a Credit Claim Registration/update Instruction has been selected in the list, the "View" and History buttons are available. |
| | Click on the "View" button or double clicking on the selected line to display the Credit Claim Registration/update Instruction – Details screen with the details of the selected Credit Claim Registration/up- date Instruction. |
| | Click on the Details heading to go back to the list of "Claims Registration/update Instruction" |

4.4.3.1.6 Search/List/View Credit Rating registration/update Instruction

4.4.3.1.6.1 New Node

| Context of | This business scenario describes how to Search to List and to View |
|------------|--|
| Usage | Credit Rating registration/update instruction Instructions. |



| | Credit Rating registration/update instruction instructions are created within the reception of the Credit Claim file from counterparties or manually by an authorized user. |
|--------------|--|
| Reference | Credit Rating registration/update instruction – Search Screen |
| | Credit Rating registration/update instruction – List Screen |
| | Credit Rating registration/update instruction – Details screen |
| Instructions | Through the main menu, go to the Credit Rating registration/update Instructions – Search Screen |
| | Collateral and Credit >> Collateral >> Credit Claims >> Credit Rating registration/update Instruction Display |
| | Capture the criteria corresponding to the search or leave them blank to display all the Credit Rating registration/update Instruction. |
| | Click on the "Search" button. |
| | The list of all the Credit Rating registration/update instructions answering the captured criteria is displayed in the <i>Credit Rating registration/update instruction – List Screen</i> . |
| | Alternatives |
| | Alternatively, click on the "Reset" button to clear the search criteria and close the <i>Credit Rating registration/update instruction – List Screen.</i> |
| | _ |
| | Once a Claims (de)Mobilisation Instruction has been selected in the list, the "View" and History buttons are available. |
| | Click on the "View" button or double clicking on the selected line to display the Credit Rating registration/update instruction – Details screen with the details of the selected Credit Rating registration/up- date Instruction. |
| | Click on the Details heading to go back to the list of "Credit Rating registration/update instructions" |

4.4.3.1.7 Search/List/View Processing Report file

| Context of Usage | This business scenario describes how to Search to List and to View processing report file. |
|------------------|---|
| | The user can also download the message sent to the counterparty. |
| | The Processing report file is sent by the ECMS to the counterparty providing detailed status of the credit claims instructions received on the credit claim file. |
| Reference | Processing Report file – Search Screen |
| | Processing Report file – List Screen |
| | Processing Report file – Details screen |
| | |



Instructions - Through the main menu, go to the *Processing Report file* - Search Screen. Collateral and Credit >> Credit Claims >> Processing Report files - Display Capture the criteria corresponding to the search or leave them blank to display all the Processing Report files. Click on the "Search" button. The list of all the Processing Report files answering the captured criteria is displayed in the Processing Report file - List Screen. **Alternatives** Alternatively, click on the "Reset" button to clear the search criteria and close the Processing Report file - List Screen. - Once a Processing Report files has been selected in the list, the "View" and "Download" buttons are available. - Click on the "View" button or double clicking on the selected line to display the Processing Report file - Details screen with the details of the selected Processing Report file. - Click on the "Download" button to download the file sent to the counterparty. - Click on the Details heading to go back to the list of "Processing Report files"

4.4.3.1.8 Search/List/View Credit Claims

4.4.3.1.8.1 New Node

| Context of Usage | This business scenario describes how to Search, to List and to View the detailed information of the Credit Claim Assets. Credit Claims are non-marketable assets that can be mobilised by the counterparties on their collateral pools. |
|---------------------|--|
| Reference | Credit Claims – Search Screen |
| | Credit Claims – List Screen |
| | Credit Claims – Details Screen |
| Instructions | Through the main menu, go to the Monitor Credit Claims – Search Screen |
| | Collateral and Credit >> Credit Claims >> Monitor Credit Claims - Display |
| | Capture the criteria corresponding to the search or leave them blank to display all the Credit Claims. |
| | Click on the "Search" button. |



The list of all the Credit Claims answering the captured criteria is displayed in the *Monitor Credit Claims – List Screen* is displayed.

Alternatives

Alternatively, click on the "Reset" button to clear the search criteria and close the *Monitor Credit Claims – List Screen*.

Once a Credit Claim has been selected in the list, a "View" button is available.

- Click on the "View" button or double clicking on the selected line to display the *Monitor Credit Claims – Details screen* with the details of the selected Credit Claim.

- Click on the Details heading to go back to the list of "Credit Claims".

4.4.3.1.9 Search/List/View Guarantee

4.4.3.1.9.1 New Node

| Context of Usage | This business scenario describes how to Search, to List, to View an already existing guarantee. |
|---------------------|---|
| Reference | Guarantee – Search Screen |
| | Guarantee – List Screen |
| | Guarantee – Details Screen |
| Instructions | Through the main menu, go to the Guarantees – Search Screen |
| | Collateral and Credit >> Collateral >> Credit Claims >> Guarantees - Create/Display |
| | Capture the criteria corresponding to the search. |
| | - Click on the "Search" button. |
| | The list of all the Guarantees answering the captured criteria is displayed in the <i>Guarantee – List</i> Screen is displayed. |
| | Alternatives |
| | Alternatively, click on the "Reset" button to clear the search criteria and close the <i>Guarantee – List</i> Screen screen. |
| | _ |
| l | |
| | Once a Guarantee has been selected in the list, a "View" button is available. |
| | Click on the "View" button or double clicking on the selected line to display the <i>Guarantee</i> – Details screen with the details of the selected guarantee. |
| | Click on the Details heading to go back to the list of "Guarantee". |



_

4.4.3.2 Credit Claims Positions

| | This section describes the activities that a NCB user can perform to monitor the Credit Claim Collateral position in ECMS. The monitoring of Credit Claims Collateral position aims at having a detailed view on the Credit Claims (de)mobilised as collateral by Counterparties. |
|----------------------|--|
| Business Scenario | Search/List/View the Credit Claims Position |

4.4.3.2.1 Search/List/View Cash Collateral Positions

| Context of Usage | This business scenario describes how to Search, to List and to View Credit Claim Collateral Positions. |
|------------------|---|
| Ü | The Credit Claims Positions are created within the reception of the Credit Claims file after the business validation checks and eligibility checks are successfully passed. |
| | The user can access to the details of the valorized position. |
| Reference | Credit Claims Position – Search Screen |
| | Credit Claims Position – List screen |
| | Credit Claims Position – Detail Screen |
| | |
| Instructions | Through the main menu, go to the Credit Claims Positions – Search Screen |
| | Collateral and credit >> Collateral >> Credit Claims >> credit Claims Position Display |
| | Capture the criteria corresponding to the search. |
| | Click on the "Search" button. |
| | The list of all the Credit Claims Positions answering the captured criteria is displayed in the <i>Credit Claims Positions – List</i> screen is displayed. |
| | Alternatives |
| | Alternatively, click on the "Reset" button to clear the search criteria and close the <i>Credit Claims Positions – List</i> screen. |
| | _ |
| | |
| | |
| | Once a Credit Claims Position has been selected in the list, a "View" button is available. |
| | Click on the "View" button or double clicking on the selected line to display the Credit Claims Positions – Details screen with the details of the selected position. |
| | Click on the Details heading to go back to the list of "Credit Claims Positions". |



4.4.4 Triparty

| Overview | This section describes the activities that an NCB user can perform to monitor the Triparty Transactions in the ECMS. |
|-----------|--|
| | The monitoring of Triparty Transaction aims at having a detailed view on the lifecycle of the transaction from the ECMS point of view. |
| Business | 1. Search Triparty Transactions |
| Scenarios | 2. List Triparty Transactions |
| | 3. View Triparty Transactions |
| | 4. List / View the collateral movements of a Triparty Transactions |
| | 5. List / View Securities Allocated to a Triparty Transaction |

4.4.4.1 Triparty Transactions

4.4.4.1.1 View Triparty Transaction Related Information

| Context of | This business scenario describes how to Search to List and to View the |
|-------------------|--|
| Usage | all the information related to a Triparty Transaction. |
| Reference | Triparty Transactions – Search screen |
| | Triparty Transactions - List Screen |
| | Triparty Transactions - Details Screen |
| | Triparty Collateral Movements – List Screen |
| | Triparty Collateral Movements – Details Screen |
| | Triparty Collateral Positions- List Screen |
| | Triparty Collateral Positions- Details Screen |
| | Unilateral Asset Removal – Create Screen |
| Instruc- tions | Through the main menu, go to the Triparty Transactions – Search Screen |
| | Collateral and Credit >> Collateral >> Triparty >> Triparty Transaction Create / Display |
| | Capture the criteria corresponding to the search or leaves them blank to display all the Triparty Transactions. |
| | Click on the "Search" button. |
| | The list of all the Triparty Transactions answering the captured criteria is displayed in the <i>Triparty Transactions – List Screen</i> is displayed. |
| | Alternatives |
| | Alternatively, click on the "Reset" button to clear the search criteria and close the <i>Triparty Transactions – List Screen</i> . |
| | A pop-up screen will be displayed for the user to confirm or not the reinitialisation. Click on the Button "Yes" to confirm or "No" to cancel. |
| | Once a Triparty Transaction has been selected in the list, a "View" button is available. |



- Click on the "View" button or double clicking on the selected line to display the *Triparty Transactions – Details Screen* with the details of the selected Transaction.
- Click on the Details heading to go back to the list of Triparty Transactions
- Through the main menu, go to the Triparty Collateral Movements Search Screen

Collateral and Credit >> Collateral >> Triparty >> Triparty Collateral Movements

 Capture the criteria corresponding to the search or leaves them blank to display all the Triparty Collateral Movements.

Click on the "Search" button.

The list of all the Triparty Collateral Movements answering the captured criteria is displayed in the *Triparty Collateral Movements – List Screen* is displayed.

Alternatives

Alternatively, click on the "Reset" button to clear the search criteria and close the *Triparty Collateral Movements – List Screen.*

- A pop-up screen will be displayed for the user to confirm or not the reinitialisation. Click on the Button "Yes" to confirm or "No" to cancel.
- Once a Triparty Transaction has been selected in the list, a "View" button is available.
- Click on the "View" button or double clicking on the selected line to display the *Triparty Collateral Movements – Details Screen* with the details of the selected Transaction.
- Click on the Details heading to go back to the list of Triparty Collateral Movements.
- Through the main menu, go to the Triparty Collateral Positions –
 Search Screen

Collateral and Credit >> Collateral >> Triparty >> Triparty Collateral Positions

 Capture the criteria corresponding to the search or leaves them blank to display all the Triparty Collateral Positions.

Click on the "Search" button.

The list of all the Triparty Collateral Positions answering the captured criteria is displayed in the *Triparty Collateral Movements – List Screen* this allows to list all the securities allocated to the triparty transaction.

Alternatives

Alternatively, click on the "Reset" button to clear the search criteria and close the *Triparty Collateral Positions – List Screen*.

 A pop-up screen will be displayed for the user to confirm or not the reinitialisation. Click on the Button "Yes" to confirm or "No" to cancel.

From the Unilateral Asset Removal Request – Create Screen a button allows the user to request for a unilateral removal of the asset.

Through the main menu, go to the Triparty Collateral Positions –
 Search Screen



Collateral and Credit >> Collateral >> Triparty >> Unilaterla Asset Removal request

4.4.5 Multi-pooling

4.4.5.1 Multi-pooling Same Counterparty for Marketable Assets

| Overview | This section describes the Multi-pooling functionalities that can be performed by an NCB user or a Counterparty by transferring marketable assets from one Internal Counterparty Asset Account to another Internal Counterparty Asset Account, or from an External T2S Securities Account for Regular Collateral to another External T2S Securities Account for Regular Collateral of the same Counterparty and same NCB in the same CSD or in a different CSD. |
|-----------------------|---|
| | After the initial creation of a Multi-pooling instruction, the NCB user or the Counterparty can edit it. To manage a Multi-pooling instruction, carry out the following business scenarios in the predefined order: |
| Business Scenarios | Create a new Multi-pooling Same Counterparty instruction |
| | Search/List/View Multi-pooling Same Counterparty instruction |
| | Edit an existing Multi-pooling Same Counterparty instruction |

4.4.5.1.1 Create a Multi-pooling Same Counterparty Same CSD instruction for Marketable Assets

| Context of Usage | This business scenario describes how to create a new Multi-pooling Same Counterparty Same CSD instruction for Marketable Assets. |
|------------------|--|
| Reference | Multi-pooling Same Counterparty Same CSD – Input Screen |
| Instructions | Through the main menu, go to the Multi-pooling Same Counterparty Same CSD – Input Screen |
| | Click on the Input button. |
| | The Multi-pooling Same Counterparty Same CSD – Input Screen is displayed. |
| | Enter all fields. |
| | - Click on the Save button. |
| | The new <i>Multi-pooling</i> Same Counterparty <i>Same CSD</i> instruction has been created. |
| | Alternatives |
| | To set all fields to default value and blank out all optional fields, click on the Reset button. |
| | To cancel the process and return to the previous screen, click on the cancel button. |
| | |



4.4.5.1.2 Search/List/View Multi-pooling Same Counterparty instruction for Marketable Assets

| | - |
|------------------|---|
| Context of Usage | This business scenario describes how to Search, List and View a Multi-pooling Same Counterparty instruction for Marketable Assets. Each NCB user and Counterparty is able to access its Multi-pooling Same Counterparty instructions for Marketable Assets. |
| Reference | Further information on the involved screens can be found in the screen reference part: |
| | Multi-pooling Same Counterparty – Search Screen |
| | - Multi-pooling Same Counterparty - List Screen |
| | Multi-pooling Same Counterparty – Details Screen |
| Instructions | Through the main menu, go to the Multi-pooling Same Counter- party – Search screen |
| | Instructions and Positions >> Multi-pooling >> Same Counterparty >> Display |
| | Enter the search criteria known to you about the Multi-pooling Same Counterparty instruction you want to edit. |
| | Click on the Search button. The Multi-pooling Same Counterparty List screen is displayed. A list containing the search results is displayed on the screen. |
| | Alternatives |
| | Alternatively, click on the "Reset" button to clear the search criteria and close the <i>Multi-pooling Same Counterparty – List Screen.</i> |
| | A pop up screen will be displayed for the user to confirm or not the reinitialisation. Click on the Button "Yes" to confirm or "No" to can- cel. |
| | Once a Multi-pooling Same Counterparty Instruction has been selected in the list, a "View" button is available. |
| | Click on the "View" button or double clicking on the selected line to display the Multi-pooling Same Counterparty – <i>Details screen</i> with the details of the selected Multi-pooling Same Counterparty Instruction. |
| | Alternatives |
| | Alternatively, click on the "Download" button to download the Multipooling Same Counterparty Instruction. |
| | Alternatively, click on the "View" button to see the Multi-pooling Same Counterparty Instruction. |
| | |
| | - |
| | _ |

4.4.5.1.3 Edit an existing Multi-pooling Same Counterparty instruction for Marketable Assets

| Context of Usage | This business scenario describes how to edit a Multi-pooling Same Counterparty instruction for Marketable Assets. Each NCB user and |
|------------------|---|
| Cougo | Counterparty is able to update its Multi-pooling Same Counterparty instructions for Marketable Assets. |



| | Editing an existing Multi-pooling Same Counterparty instruction is optional for the management of Multi-pooling Same Counterparty instructions for Marketable Assets. |
|-----------|--|
| Reference | , |
| | Search screen Instructions and Positions >> >> Multi-pooling >> Same Counterparty >> Display Enter the search criteria known to you about the Multi-pooling Same Counterparty instruction you want to edit. Click on the Search button. The Multi-pooling Same Counterparty – List screen is displayed. A list containing the search results is displayed on the screen. Select the relevant Multi-pooling Same Counterparty instruction from the search results by clicking on an entry in the list. Click on the Edit button. The Multi-pooling Same Counterparty – Edit screen is displayed. You can also access to the Multi-pooling Same Counterparty – Edit screen: Click on the View button. The Multi-pooling Same Counterparty – Details screen is displayed. Click on the View button. The Multi-pooling Same Counterparty – Details screen is displayed. Click on the icon. To add or change current values in fields, enter the new values in the respective fields. Alternatives |
| | To set all fields to default value, click on the <i>Reset</i> button. To cancel the process and return to the previous screen, click on the <i>Cancel</i> button. |
| | Click on the Save button. The edited Multi-pooling Same Counterparty instruction is stored. |



4.5 Global Credit and Collateral Position Management

4.5.1 Global Credit Position Management

4.5.1.1 Credit Freezing

| Overview | This section describes the Credit Freezing activities that can be performed by an NCB user or a Counterparty. |
|-----------------------|---|
| | After the initial creation of a Credit Freezing instruction, the NCB user or the Counterparty can edit it. To manage a Credit Freezing instruction, carry out the following business scenarios in the predefined order: |
| Business Scenarios | Create a new Credit Freezing instruction |

4.5.1.1.1 Create a new Credit Freezing instruction

| Context of Usage | This business scenario describes how to create a new Credit Freezing instruction. |
|------------------|--|
| Reference | Credit Freezing - Create Screen |
| Instructions | - Through the main menu, go to the <i>Credit Freezing</i> - <i>Create</i> Screen. |
| | - Click on the <i>Create</i> button. |
| | The Credit Freezing - Create Screen is displayed. |
| | Enter all fields. |
| | - Click on the Save button. |
| | The new Credit Freezing instruction has been created. |
| | Alternatives |
| | To set all fields to default value and blank out all optional fields, click on the Reset button. |
| | To cancel the process and return to the previous screen, click on the cancel button. |
| | |
| | |

4.5.1.2 Credit Freezing Notifications

| Overview | This section describes the Credit Freezing Notifications activities that can be performed by an NCB user or a Counterparty. After the initial creation of a Credit Freezing instruction by the ECMS, the |
|-----------------------|---|
| | NCB user or the Counterparty can view the notifications. To manage a Credit Freezing Notifications, carry out the following business scenarios in the predefined order: |
| Business Scenarios | Search/List/View a Credit Freezing Notification |



4.5.1.2.1 Search/List/View a Credit Freezing Notification

| Context of Usage | This business scenario describes how to search, list and view a Credit Freezing Notification. |
|------------------|--|
| Reference | Credit Freezing Notification |
| | |
| Instructions | Through the main menu, go to the Credit Freezing Notifications – Search Screen. |
| | Enter the criteria fields. |
| | - Click on the Search button. |
| | The Credit Freezing Notifications –List Screen is displayed. |
| | Alternatives |
| | - To set all fields to default value, click on the <i>Reset</i> button. |
| | |
| | |

_

- Once a Credit Freezing Notification has been selected in the list, the "View" and the "Download" buttons are available.
- Click on the "View" button or double clicking on the selected line to display the Credit Freezing Notifications – Details screen with the details of the selected Credit Freezing Notification.

Click on the "Download" button to download a copy of the Credit Freezing Notification.

4.5.2 Global Collateral Position Management

4.5.2.1 MaCL for the Counterparty

| Overview | This section describes the Counterparty MaCL activities that can be performed by a Counterparty or an NCB user, on behalf of the Counterparty. |
|-----------|---|
| | After the initial creation of a Counterparty MaCL instruction, the Counterparty or the NCB user, on behalf of the Counterparty, can edit it. To manage a Counterparty MaCL instruction, carry out the following business scenarios in the predefined order: |
| Business | Create a new Counterparty MaCL instruction |
| Scenarios | 2. Display an existing Counterparty MaCL instruction |
| | 3. Recycle an existing Counterparty MaCL instruction |
| | 4. Reject an existing Counterparty MaCL instruction |

4.5.2.1.1 Create a new Counterparty MaCL instruction

| | This business scenario describes how to create a new Counterparty MaCL instruction. |
|--------------|---|
| Reference | Input MaCL request Instruction - Input Screen |
| Instructions | Go to the Input MaCL request Instruction – Input Screen: |
| | Credit line >> MaCL Instruction >> Input MaCL Instruction |



The MaCL request Instrcution – Input Screen is displayed.
Enter all fields.
Click on the Save button.
The new Credit Line instruction has been created.
Alternatives
To set all fields to default value and blank out all optional fields, click on the Reset button.
To cancel the process and return to the previous screen, click on the cancel button.

4.5.2.1.2 Display an existing Counterparty MaCL instruction

| Context of Usage | This business scenario describes how to consult a Counterparty MaCL instruction by a Counterparty, or by the NCB user on behalf of the Counterparty. |
|------------------|---|
| Reference | Further information on the involved screens can be found in the screen reference part: — Credit Line – Create Screen |
| | - Credit Line - Search Screen |
| | - Credit Line - List Screen |
| | - Credit Line –History Screen |
| | - Credit Line - Details Screen |
| Instructions | Go to the Counterparty MaCL Instruction – Display screen |
| | Credit Line >> MaCL Instruction >> Display MaCL Instruction |
| | Enter the search criteria known to you about the Counterparty MaCL instruction you want to consult. |
| | Click on the Search button. The Counterparty MaCL – List screen is displayed. A list containing the search results is displayed on the screen. |
| | Select the relevant Counterparty MaCL instruction from the search results by clicking on an entry in the list. |
| | - Click on the View button. |
| | - The Counterparty MaCL Instruction - Detail screen is displayed. |
| | You can also access to the Counterparty MaCLInstruction – Detail screen by clicking on right and click on View button. The Counter- party MaCL Instruction – Details screen is displayed. |
| | |
| | _ |



4.6 Custody

4.6.1 Corporate Actions

| Overview | This section describes the activities that an NCB user can perform to monitor the full lifecycle of Corporate Actions in the ECMS. |
|-----------|---|
| | The monitoring of Corporate Actions aims at having a detailed view on the creation of a CA Event received by the ECMS and the following steps that the NCB user can perform until the Corporate Action is closed. |
| Business | 1. Administration of CA Event Management |
| Scenarios | 2. Search / List / View CA Event information |
| | 3. Search / List / View CA Eligible Positions |
| | 4. Search / List / Download CA Notification (seev.031) |
| | 5. Search / List / View Entitlements |
| | 6. Search / List / View Movements |
| | 7. Search / List / View Cash Movements |

4.6.1.1 CA Positions

| Overview | This business scenario describes the activities that an NCB user can perform to monitor the CA Positions calculated in the ECMS (Client Eligible Position by CA) and the positions received in the EMCS (Market Eligible Position). |
|-----------|---|
| | The monitoring of CA Positions aims at having a detailed view on the CA Positions received and calculated by the ECMS. |
| Business | Client Eligible Position by CA. |
| Scenarios | Market Eligible Position by CA. |

4.6.1.1.1 Search / List Client Eligible Position by CA

| Context of Usage | This business scenario describes how to Search and to List Client Eligible Position by CA. |
|------------------|---|
| | Client Eligible Positions by CA are calculated by the ECMS when a CA Event is created. |
| Reference | Client Eligible Position by CA – Search screen |
| | Client Eligible Position by CA - List Screen |
| Instructions | Through the main menu, go to the Client Eligible Position by CA – Search Screen |
| | Corporate Actions >> CA Position >> Monitor Client Eligible Position by CA |
| | Capture the criteria corresponding to the search or leaves them blank (at least the CA ECMS Event Ref. is needed) to display all the Client Eligible Positions by CA for the selected CA Event. |
| | Click on the "Search" button. |
| | The list of all the Client Eligible Positions by CA answering the captured criteria is displayed in the <i>Client Eligible Position by CA – List Screen</i> is displayed. |
| | Alternatives |



Alternatively, click on the "Reset" button to clear the search criteria and close the *Client Eligible Position by CA – List Screen.*

4.6.1.2 CA Instructions

| Overview | This business scencario describes the activities that an NCB user can perform to input an instruction as well as to monitor the CA Instructions received from the Counterparty in the ECMS and sent to the CSD. The monitoring of CA Instructions aims at having a detailed view on the CA Instructions received and sent by the ECMS or to download a copy of the messages. |
|-----------|---|
| Business | - Input a new CA Instruction |
| Scenarios | Search / List / View CA Client Instructions |
| | Search / List / View Monitor Uninstructed Balance |
| | Search / List / View CA Market Instructions |

4.6.1.2.1 Input a new CA Instruction

| Context of Usage | This business scenario describes how to input a new CA Instruction. This scenario is applicable for Counterparty or NCB users acting on behalf on the counterparty as long as they have the appropriate user rights. |
|---------------------|---|
| Reference | CA Client Instructions— Input screen |
| Instructions | Go to the CA Client Instructions- Input screen |
| | Corporate Actions >> Instructions >> CA Client Instructions >> Input Instructions >> Input Client Instructions |
| | - The CA Client Instructions - Input screen is displayed. |
| | - Enter all mandatory information. |
| | - Click on the Save button. |
| | The new CA Client Instruction has been created. |
| | Alternatives |
| | To set all fields to default value and blank out all optional fields, click on the Reset button. |
| | To cancel the process and return to the previous screen, click on the Cancel button. |

4.6.1.2.2 Search / List / View CA Client Instructions

| Context of Usage | This business scenario describes how to Search, to List and to View CA Instructions (seev.033). |
|------------------|---|
| | NCB users can view the details of the CA Instructions received or to download a copy of the message seev.033. |
| Reference | CA Client Instructions – Search screen |
| | CA Client Instructions – List Screen |
| | CA Client Instructions – Details Screen |
| Instructions | - Through the main menu, go to the CA Instructions - Search Screen |
| | Corporate Actions >> Instructions >> CA Client Instructions >> Monitor >> Monitor Client Instructions |



 Capture the criteria corresponding to the search or leave them blank to display all the CA Instructions.

Click on the "Search" button.

The list of all the CA Instructions received answering the captured criteria is displayed in the CA Instructions – List Screen.

Alternatives

Alternatively, click on the "Reset" button to clear the search criteria and close the *CA Instructions – List Screen*.

- Once a CA Instruction has been selected in the list, the "View" button is available.
- Click on the "View" button or double clicking on the selected line to display the Monitor Client Instructions – Details screen with the details of the selected Client Instruction.
- Click on the Details heading to go back to the list of "CA Instructions".

4.6.1.2.3 Search / List / View Monitor Uninstructed Balance

| Context of | This business scenario describes how to Search, to List and to View the |
|--------------|--|
| Usage | Uninstructed balance on the Counterparties side. |
| | NCB users can view the details of the Uninstructed balance of the |
| | Counterparties for an specific CA Event. |
| Reference | Monitor Uninstructed Balance – Search screen |
| | Monitor Uninstructed Balance – List Screen |
| | Monitor Uninstructed Balance – Details screen |
| Instructions | Through the main menu, go to the Monitor Uninstructed Balance – Search Screen |
| | Corporate Actions >> Instructions >> CA Client Instructions >> Monitor >> Monitor Uninstructed Balance |
| | Capture the criteria corresponding to the search or leave them blank to display all the Uninstructed balance. |
| | Click on the "Search" button. |
| | The list of all the Uninstructed balance answering the captured criteria is displayed in the <i>Monitor Uninstructed Balance – List Screen</i> is displayed. |
| | Alternatives |
| | Alternatively, click on the "Reset" button to clear the search criteria and close the <i>Monitor Uninstructed Balance – List Screen</i> . |
| | Once an Uninstructed balance has been selected in the list, the "View" button is displayed. |
| | Click on the "View" button or double clicking on the selected line to display the Monitor Uninstructed Balance – Details screen with the details of the selected Uninstructed balance. |
| | Click on the Details heading to go back to the list of "Monitor Unin- structed Balance". |



4.6.1.3 CA Notifications

| Overview | This business scenario describes the activities that an NCB user can perform to monitor the CA received and sent by the ECMS. The monitoring of CA Notifications aims at having a detailed view on the CA Notifications received and by the ECMS or to download a copy of the messages. |
|-----------|--|
| Business | Search / List / View CA Notifications received |
| Scenarios | Search / List / View CA Notifications sent. |

4.6.1.3.1 Search / List / View CA Notifications received

| Oranto t | |
|--------------|--|
| Context of | This business scenario describes how to Search, to List and to View CA |
| Usage | notifications received (seev.031). |
| | NCB users can view the details of the CA Notifications received or to |
| | download a copy of the message seev.031. |
| Reference | CA Notifications – Search screen |
| | CA Notifications – List Screen |
| | CA Notifications – Details Screen |
| Instructions | - Through the main menu, go to the CA Notifications - Search Screen |
| | Corporate Actions >> Messages Monitoring >> Incoming Messages >> Monitor CA Notifications Received (seev.031) |
| | Capture the criteria corresponding to the search or leaves them blank to display all the CA Notifications received. |
| | Click on the "Search" button. |
| | The list of all the CA Notifications received answering the captured criteria is displayed in the <i>CA Notifications – List Screen</i> is displayed. |
| | Alternatives |
| | Alternatively, click on the "Reset" button to clear the search criteria and close the <i>CA Notifications – List Screen</i> . |
| | Once a CA Notifications received has been selected in the list, the "View" and the "Download" buttons are available. |
| | Click on the "View" button or double clicking on the selected line to display the CA Notifications – Details screen with the details of the selected CA Notifications. |
| | Click on the "Download" button to download a copy of the seev.031 received. |
| | Click on the Details heading to go back to the list of "CA Notifications received". |

4.6.1.3.2 Search / List / View CA Notifications sent

| Context of Usage | This business scenario describes how to Search, to List and to View CA notifications sent to the Counterparties (seev.031). |
|------------------|---|
| | NCB users can view the details of the CA Notifications sent or to download a copy of the message seev.031. |
| Reference | CA Notifications – Search screen |



| | CA Notifications – List Screen |
|--------------|--|
| | CA Notifications – Details screen |
| Instructions | Through the main menu, go to the CA Notifications – Search Screen |
| | Corporate Actions >> Messages Monitoring >> Outgoing Messages >> Monitor CA Notifications Sent (seev.031) |
| | Capture the criteria corresponding to the search or leaves them blank to display all the CA Notifications sent. |
| | Click on the "Search" button. |
| | The list of all the CA Notifications sent answering the captured criteria is displayed in the <i>CA Notifications – List Screen</i> is displayed. |
| | Alternatives |
| | Alternatively, click on the "Reset" button to clear the search criteria and close the <i>CA Notifications – List Screen</i> . |
| | Once a CA Notifications sent has been selected in the list, the "View" and the "Download" buttons are available. |
| | Click on the "View" button or double clicking on the selected line to display the CA Notifications – Details screen with the details of the selected CA Notifications. |
| | Click on the "Download" button to download a copy of the seev.031sent. |
| | Click on the Details heading to go back to the list of "CA Notifications sent". |

4.6.1.4 CA Entitlements

4.6.1.4.1 CA Entitlements Scenarios

| Overview | This business scenario describes the activities that an NCB user can perform to monitor the CA Entitlements in the ECMS. |
|-----------------------|--|
| | The monitoring of CA Entitlements aims at having a detailed view on the CA Entitlements received and calculated by the ECMS and at following their different status. |
| Reference | CA Entitlements – Search screen |
| | CA Entitlements – List Screen |
| | CA Entitlements – Details screen |
| Business Scenarios | Search / List CA Movement Preliminary Advice Received |
| | Search / List / view CA Market Entitlement received |
| | Search / List / view CA Market Entitlement calculated |
| | Search / List / view CA Client Entitlements |
| | Search / List CA Movement Preliminary Advice Sent. |
| | Search / List / View CA Entitlement Reconciliation Process |

4.6.1.4.2 Search / List CA Movement Preliminary Advice received

| Context of | This business scenario describes how to Search, to List and to Down- |
|------------|--|
| Usage | load CA Movement Preliminary Advice received (seev.035). |



| | NCB users can view the details of the CA Movement Preliminary Advices received or to download a copy of the message seev.035. |
|--------------|---|
| Reference | CA Movement Preliminary Advices – Search screen |
| | CA Movement Preliminary Advices – List Screen |
| Instructions | Through the main menu, go to the CA Movement Preliminary Advices – Search Screen |
| | Corporate Actions >> Messages Monitoring >> Incoming Messages >> Monitor CA Movement Preliminary Advice Received seev.035 |
| | Capture the criteria corresponding to the search or leaves them blank to display all the CA Movement Preliminary Advices received. |
| | Click on the "Search" button. |
| | The list of all the CA Movement Preliminary Advices received answering the captured criteria is displayed in the <i>CA Movement Preliminary Advices – List Screen</i> is displayed. |
| | Alternatives |
| | Alternatively, click on the "Reset" button to clear the search criteria and close the CA Movement Preliminary Advices – List Screen. |
| | Once a CA Movement Preliminary Advices received has been selected in the list, the "Download" button is available. |
| | Click on the "Download" button to download a copy of the seev.035 received. |

4.6.1.4.3 Search / List / View CA Client Entitlements

| Context of Usage | This business scenario describes how to Search to List and to View CA Client Entitlements. |
|------------------|---|
| | CA Client Entitlements are computed by the ECMS when a CA Movement Preliminary Advice is received or when the record date of a CA event is reached (same as for the CA Market Entitlements Calculated). |
| Reference | CA Entitlements – Search screen |
| | CA Entitlements – List Screen |
| | CA Entitlements – Details screen |
| Instructions | Follow the same instructions as for Market Entitlements Received scenario but starting with the Client Entitlement Search Screen |
| | Corporate Actions >> CA Entitlements >> Client Entitlements >> Monitor Client Entitlement |

4.6.1.4.4 Search / List CA Movement Preliminary Advice sent

| Context of Usage | This business scenario describes how to Search, to List and to Download CA Movement Preliminary Advice sent (seev.035). |
|------------------|---|
| | NCB users can view the details of the CA Movement Preliminary Advices sent or to download a copy of the message seev.035. |
| Reference | CA Movement Preliminary Advices – Search screen |
| | CA Movement Preliminary Advices – List Screen |
| Instructions | Through the main menu, go to the CA Movement Preliminary Advices – Search Screen |



Corporate Actions >> Messages Monitoring >> Outgoing Messages >> Monitor CA Movement Preliminary Advice Sent seev.035

 Capture the criteria corresponding to the search or leaves them blank to display all the CA Movement Preliminary Advices sent.

Click on the "Search" button.

The list of all the CA Movement Preliminary Advices sent answering the captured criteria is displayed in the CA Movement Preliminary Advices – List Screen is displayed.

Alternatives

Alternatively, click on the "Reset" button to clear the search criteria and close the *CA Movement Preliminary Advices – List Screen*.

- Once a CA Movement Preliminary Advices sent has been selected in the list, the "View" and the "Download" buttons are available.
- Click on the "Download" button to download a copy of the seev.035 sent.

4.6.1.5 CA Movements

4.6.1.5.1 CA Movements Scenarios

| Overview | This business scenario describes the activities that an NCB user can perform to monitor the CA Movements in the ECMS. |
|-----------------------|--|
| | The monitoring of CA Movements aims at having a detailed view on the CA Movements received and calculated by the ECMS and at following their different status. |
| Reference | CA Movements – Search screen |
| | CA Movements – List Screen |
| | CA Movements – Details screen |
| Business Scenarios | Search / List CA Movement Confirmations Received |
| | Search / List / View CA Market Movements |
| | Search / List / View CA Client Movement |
| | Search / List CA Movement Confirmations Sent. |
| | Search / List / View CA Movement Reconciliation Process |

4.6.1.5.2 Search / List CA Movement Confirmation received

| Context of Usage | This business scenario describes how to Search, to List and to Download CA Movement Confirmations received (seev.036). |
|------------------|--|
| | NCB users can download a copy of the message seev.036. |
| Reference | CA Movement Confirmations – Search screen |
| | CA Movement Confirmations – List Screen |
| Instructions | Through the main menu, go to the CA Movement Confirmations – Search Screen |
| | Corporate Actions >> Messages Monitoring >> Incoming Messages >> List Received seev.036 |



 Capture the criteria corresponding to the search or leaves them blank to display all the CA Movement Confirmations received.

Click on the "Search" button.

The list of all the CA Movement Confirmations received answering the captured criteria is displayed in the *CA Movement Confirmations – List Screen* is displayed.

Alternatives

Alternatively, click on the "Reset" button to clear the search criteria and close the *CA Movement Confirmations – List Screen*.

- Once a CA Movement Confirmations received has been selected in the list, the "Download" button is available.
- Click on the "Download" button to download a copy of the seev.036 received.

4.6.1.5.3 Search / List / View CA Client Movements

| Context of Usage | This business scenario describes how to Search to List and to View CA Client Movements. |
|------------------|--|
| | CA Client Movements are computed by the ECMS when a CA Movement Confirmation (and a CA Payment Confirmation (camt.054) Received if the CA Event includes Cash entitlements) is received. |
| Reference | CA Movements – Search screen |
| | CA Movements – List Screen |
| | CA Movements – Details screen |
| Instructions | Follow the same instructions as for CA Market Movements scenario but starting with the CA Client Movement – Search Screen |
| | Corporate Actions >> Movements >> Client Movements >> Monitor Client Movements |

4.6.1.5.4 Search / List CA Movement Confirmation sent

| Context of Usage | This business scenario describes how to Search, to List and to View CA Movement Confirmation sent (seev.036). |
|------------------|---|
| | NCB users can download a copy of the message seev.036. |
| Reference | CA Movement Confirmations – Search screen |
| | CA Movement Confirmations – List Screen |
| | CA Movement Confirmations – Download Screen |
| Instructions | Through the main menu, go to the CA Movement Confirmations – Search Screen |
| | Corporate Actions >> Messages Monitoring >> Outgoing Messages >> List Outgoing seev.036 |
| | Capture the criteria corresponding to the search or leaves them blank to display all the CA Movement Confirmations sent. |
| | Click on the "Search" button. |
| | The list of all the CA Movement Confirmations sent answering the captured criteria is displayed in the <i>CA Movement Confirmations – List Screen</i> is displayed. |



| Alternatives |
|--|
| Alternatively, click on the "Reset" button to clear the search criteria and close the CA Movement Confirmations – List Screen. |
| Once a CA Movement Confirmations sent has been selected in the list, the "Download" button is available. |

Click on the "Download" button to download a copy of the seev.036

4.6.1.6 CA Cash Movements

4.6.1.6.1 Search / List / View CA Client Cash Movements

sent.

| Context of Usage | This business scenario describes how to Search to List and to View CA Client Cash Movements. |
|------------------|---|
| | CA Client Cash Movements are generated by the ECMS when a CA Movement Confirmation and a CA Movement Confirmation is received. |
| Reference | CA Cash Movements – Search screen |
| | CA Cash Movements – List Screen |
| | CA Cash Movements – Details screen |
| Instructions | Follow the same instructions as for CA Market Cash Movements scenario but starting with the CA Client Cash Movement – Search Screen |
| | Corporate Actions >> Movement >> Client Movements >> Monitor Client Movements >> Search CA Movements >> Select a record >> Click on View button >> View Cash Movement |

4.7 Support Functionalities

4.7.1 Pool Position

| Overview | This section describes the Pool Position functionalities that can be performed by an NCB user or a Counterparty. |
|-----------|--|
| | The monitoring of a Pool aims at having a detailed view on the movements impacting a Pool. To view a Pool Position, carry out the following business scenario: |
| Business | Search/List/View an Overview Pool Position |
| Scenarios | 2. Search/List/View a Consolidated Pool Position |
| | 3. Search/List/View a Banking Group Pool Position |
| | |

4.7.1.1 Search/List/View a Overview Pool Position

| | This business scenario describes how to Search, List and View a Pool Position. |
|-----------|--|
| Reference | Overview Pool Position - Search Screen |



| | Overview Pool Position - List Screen |
|--------------|--|
| | Overview Pool Position – Details screen |
| Instructions | Through the main menu, go to the Overview Pool Position – Search Screen |
| | Enter the criteria about the Pool you wish to view. Either the current Business Date can be used, or a past ECMS Business Date can be entered. |
| | Click on the Search button. |
| | The Overview Pool Position – List Screen is displayed. |
| | Select the Pool you wish to view by clicking the "View" button or by clicking on an entry in the list. |
| | Alternatives |
| | To set all fields to default value and blank out all optional fields, click on the <i>Reset</i> button. |
| | |
| | |

_

4.7.1.2 Search/List/View a Pool Position History

| Context of Usage | This business scenario describes how to Search, List and View a Pool Position History. |
|------------------|--|
| Reference | Pool Position History – Search Screen |
| | Pool Position History - List Screen |
| | Pool Position History – Details screen |
| Instructions | Through the main menu, go to the Pool Position History – Search Screen |
| | Enter the criteria about the Pool you wish to view. Either the current Business Date can be used, or a past ECMS Business Date can be entered. |
| | Click on the Search button. |
| | The Pool Position History – List Screen is displayed. |
| | Select the Pool you wish to view by clicking the "View" button or by clicking on an entry in the list. |
| | Alternatives |
| | To set all fields to default value and blank out all optional fields, click on the <i>reset</i> button. |
| | - |
| | |



4.7.1.3 Search/List/View a Actual / Past Pool Position

| Context of Usage | This business scenario describes how to Search, List and View a Actual / Past Pool Position. |
|------------------|--|
| Reference | Actual / Past Pool Position – Search Screen |
| | Actual / Past Pool Position – List Screen |
| | Actual / Past Pool Position – Details screen |
| Instructions | Through the main menu, go to the Actual / Past Pool Position – Search Screen |
| | Enter the criteria about the Pool you wish to view. Either the current Business Date can be used, or a past ECMS Business Date can be entered. |
| | - Click on the Search button. |
| | The Actual / Past Pool Position – List Screen is displayed. |
| | Select the Pool you wish to view by clicking the "View" button or by clicking on an entry in the list. |
| | Alternatives |
| | To set all fields to default value and blank out all optional fields, click on the <i>reset</i> button. |
| | |
| | |

4.7.1.4 Search/List/View a Consolidated Banking Group Pool Position

| Context of Usage | This business scenario describes how to Search, List and View a Consolidated Banking Group Pool Position. |
|------------------|--|
| Reference | Consolidated Banking Group Pool Position – Search Screen |
| | Consolidated Banking Group Pool Position – List Screen |
| | Consolidated Banking Group Pool Position – Details screen |
| Instructions | Through the main menu, go to the Consolidated Banking Group Pool Position – Search Screen |
| | Enter the criteria about the Pool for which you wish to view the Con- solidated Banking Group view. Either the current Business Date can be used, or a past ECMS Business Date can be entered. |
| | Click on the Search button. |
| | The Consolidated Banking Group Pool Position – List Screen is displayed. |
| | Select the Pool you wish to view by clicking the "View" button or by clicking on an entry in the list. |
| | Alternatives |
| | To set all fields to default value and blank out all optional fields, click on the Reset button. |



4.7.2 Pool Projection

| Overview | This section describes the Pool Projection functionalities that can be performed by an NCB user or a Counterparty. The monitoring of a Pool aims at having a detailed view on the movements impacting a Pool. To view a Pool Position, carry out the following business scenario: |
|-----------------------|--|
| Business Scenarios | Search/List/View a Pool Position. |

4.7.2.1 Launch a Pool Projection

| Context of Usage | This business scenario describes how to launch a Pool Projection. |
|------------------|--|
| Reference | Pool Projection – Launch Screen |
| Instructions | Through the main menu, go to the Pool Projection – Search Screen |
| | Enter the criteria about the Pool for which you wish to view the projection. A future Business Date is used. |
| | Click on the Search button. |
| | A pop-up screen is displayed with the information that the Pool Projection has been launched for the input criteria. |
| | Alternatives |
| | To set all fields to default value and blank out all optional fields, click on the reset button. |
| | _ |
| | |
| | |

4.7.2.2 Search/List/View a Pool Projection

| Context of Usage | This business scenario describes how to Search, List and View a Pool Projection. |
|------------------|--|
| Reference | Pool Projection – Search Screen |
| | Pool Projection – List Screen |
| | Pool Projection – Details screen |
| Instructions | Through the main menu, go to the Pool Projection – Search Screen |
| | Enter the criteria about the Pool for which you wish to view the projection. A future Business Date is used. |
| | Click on the Search button. |
| | The Overview Pool Projection – List Screen is displayed. |
| | Select the Pool for which you wish to view the projection by clicking on an entry in the list. |
| | Alternatives |



| | To set all fields to default value and blank out all optional fields, click on the <i>Reset</i> button. |
|---|---|
| - | |
| | |

4.7.3 System Parameters

| Overview | This section describes the functionalities that can be performed by an NCB user or Counterparty. The monitoring of the System Parameters allows the user to check the configuration of the System Parameters for processes and data. To check the System Parameters, carry out the following business scenario: |
|-----------------------|--|
| Business Scenarios | 1. Search/List/View the System Parameters. |

4.7.3.1 Search/List/View the System Parameters

| Context of Usage | This business scenario describes how to Search, List and View the System Parameters. |
|------------------|---|
| Reference | System Parameters – Search Screen |
| | System Parameters – List Screen |
| | System Parameters – Details screen |
| Instructions | Through the main menu, go to the System Parameters – Search Screen |
| | Enter the criteria about the System Parameters or leave them blank to display all the records. |
| | Click on the Search button. |
| | The System Parameters – List Screen is displayed. |
| | Select the specific record you wish to view by clicking the "View" but- ton or by clicking on an entry in the list. |
| | Alternatives |
| | To set all fields to default value and blank out all optional fields, click on the Reset button. |
| | |
| | |