

Euronext Securities Digital App for Participants

User Guide

26 APRIL 2023



EURONEXT SECURITIES

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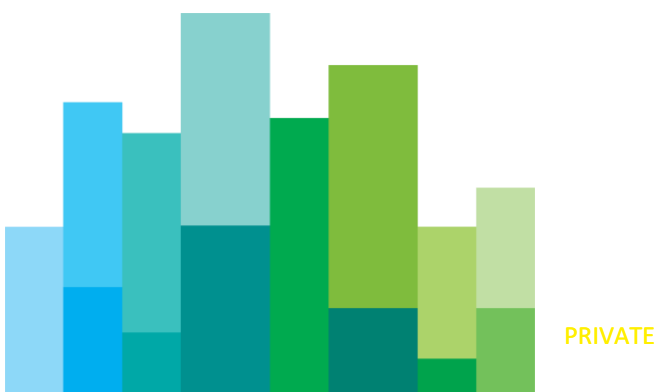
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1 INTRODUCTION



1.1 Purpose

This document is designed to provide all market participants of **Euronext Securities Copenhagen** (ES-CPH) and **Euronext Securities Porto** (ES-PTO) with a first set of details on the methods of testing, functional and technical requirements for client testing activities of the SCoRE Corporate Actions standards and the Euronext Securities common corporate action platform (later "Corporate Actions Platform").

1.2 Foreword

Euronext Securities Copenhagen and **Euronext Securities Porto** are the first two central securities depositories (CSDs) of the Euronext Securities to converge toward a common corporate action processing platform.

The new corporate actions platform harmonizes processing of the corporate actions events and provides compliance with the SCoRE Corporate Actions standards and with the other European Corporate Actions standards. It will be first implemented for debt securities in November 2023, to meet the milestones for the implementation of the ECMS platform that will go live in April 2024, [according to the new plan announced by ECB](#).

In the future, Euronext will expand the platform to manage corporate actions events for other type of securities, namely Equities, Structured Investment Products (SIP) and Funds.

Until the future implementation is completed, corporate actions events for the other type of securities will follow the current processes in each CSD within the existing platforms.

In Phase 1 Euronext Securities will introduce Digital App for the Participants, which will be available only for the clients of the **Euronext Securities Porto**.

The current version of the document will be updated in the future, with clarification of the already described features based on client questions, and with any features that will become available in the future.

1.3 Associated Documents

The following table lists the associated documents, which either should be read in conjunction with this document, or which provide other relevant information.

A dedicated document will be published for the Digital App for the Issuer / Paying Agent.

Please refer to the latest version of the documents.

CSD	Document Title
Euronext Securities Copenhagen and Euronext Securities Porto	Euronext Securities Common Corporate Actions Processes (Process Handbook)

1.4 Latest Update

The following lists only the most recent modifications made to this document.

Version No.	Date	Change Description
1.0	27/04/2023	First publication for Euronext Securities Porto.

1.5 Timeline and Milestones

The milestones below are focusing on the Digital App for Participants.

This timeline provides milestones in line with the original planning for ECMS, with the go live on 20 November 2023. Euronext Securities aims to keep the initial plan for the go live covering the SCoRE Corporate Actions standards.

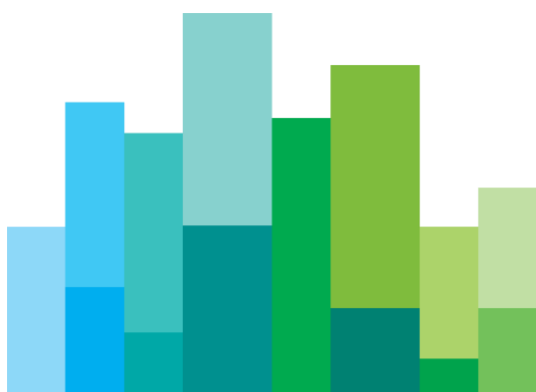
Progress of client testing activities will be discussed in the agreed client test meetings / calls.

The main implementation milestones are the following:

Topic	Expected Date
Client test period ¹	ES-CPH: between 17 April 2023 to October 2023 ES-PTO: between 2 May 2023 to October 2023
Clients can start requesting user account creation for the Digital App for Participants in UAT	24 April 2023
Digital App for Participants – available in UAT	2 May 2023
Clients can start requesting user account creation for the Digital App for Participants in Production	6 November 2023
Production Go-live	20 November 2023

¹ Additional milestones may be included during the client test period, in line with the dependencies on other changes, e.g., T2S Releases, ECMS, etc.

2 DIGITAL APP FOR PARTICIPANTS



PRIVATE

2.1 What is a “Digital App”?

The Digital App for Participants is screens accessible by clients via a web browser, to provide screens and downloadable information about the Corporate Actions in progress and processed. In the Digital App for Participants, it will be possible to view the Corporate Actions, associated CA notifications, entitlements (preliminary and final) and payments. It will be also possible to send and manage instructions for elective events. This document provides information on how the application works, the available features and some FAQs.

2.2 Available Screens and Use Cases

The table below provides the list of screens expected to be available in the Digital App for Participants accompanied by a brief description of each. Each screen in most cases represents main use cases for this application. Features for each use case are explained in more details in other sections of this document

Screen Name	Brief Description
Homepage	Once connected, the Digital App for Participants displays the <i>Corporate Actions Dashboard</i> .
Corporate Action Dashboard	The dashboard allows to view all items that potentially needs the CSD participant attention. Processing indicators are displayed on top and completed with a calendar view of all on-going corporate actions. Events key-dates are pinned on the calendar view. By clicking on a pin, you will view the corresponding list of events.
CA Instruction Creation	Screen allowing to submit instructions by a web screen, one instruction at a time.
CA Instructions by File upload	The screen for Corporate Actions Instruction Upload enables bulk uploads of instructions based on the CSD provided template. Based on this template, users will fill in the required information (e.g., chosen option) and submit the file for further processing. The same business rules will apply as for individual instructions (e.g., 4-eyes validation).
CA Monitoring	The corporate actions monitoring screen contains all registered corporate actions events (whenever the participant is eligible or not).

Screen Name	Brief Description
	<p>By default, it presents the most recent events and allows clients to filter by type, name or underlying securities.</p> <p>Corporate actions details are also provided for selected CA references.</p>
CA Instruction Monitoring	<p>The screen for Corporate Actions Instruction Monitoring shows the complete list of the CSD participant instructions sent to view their current status. You are able to view the instructions details and request its cancellation.</p> <p>As for corporate actions instruction monitoring, clients can filter by corporate action reference or client account references and sort from highest to lowest/alphabetical order.</p>
CA Instruction Validation	<p>The screen for Corporate Actions Instruction Validation allows you to view and search for instructions requiring your validation according to the 4-eyes principles.</p>
Payment Details Monitoring	<p>The screen for Payment Details Monitoring displays the list of the most recent payments for the Corporate Actions. List of payments contains the minimum information about payments as high level view of what has been generated by the Corporate Actions platform, before they are settled.</p>
Entitlement Detail Monitoring	<p>The screen for Entitlement Detail Monitoring displays the list of the most recent corporate actions entitlements. As for the other monitoring screen, you can search and apply filters on the resulting list.</p>
Eligible CA Monitoring: Mandatory Events	<p>The screen for Mandatory events displays the existing mandatory corporate actions events for which the CSD participant is eligible.</p> <p>By default, newest mandatory events are shown first. Clients can filter by type, name or underlying securities.</p> <p>Corporate action event details can be viewed from the screen.</p> <p>This screen will also display the:</p> <ol style="list-style-type: none"> 1) Entitlements report and 2) CA Reversal report
Eligible CA Monitoring: Elective Events	<p>The screen for elective events displays the existing elective corporate actions events for which the CSD participant is eligible.</p> <p>By default, newest mandatory events are shown first. Clients can filter by type, name or underlying securities.</p> <p>Corporate action event details can be viewed from the screen.</p>

Screen Name	Brief Description
	This screen will also display the: <ol style="list-style-type: none"> 1) Entitlements report and 2) CA Reversal report
Settlement Information Report	The screen for Settlement Information Report displays the list of corporate actions payments. On this screen, users can search for a specific corporate action payment and review the payment details. They also can extract the payment list in a dedicated report file.
Notification Report	The screen for Notification report displays the list of the Notifications sent about the creation, update and cancellation of CA events.

2.3 Terminology

The following terms are used throughout the document, and they have the meaning as described below.

Term	Brief Description
User	A set of username and password that is assigned to a particular individual belonging to the Participant ID. A Participant may have multiple users created in the Digital App for Participants.
Entity	An organization / company that is a Participant of the CSD.
CORP and COAF	Throughout the document references are made to CORP and COAF. These are identifiers of the CA events. For Issuer CSD cases these two values are the same. For the Investor CSD cases, the CORP represents the identifier set by ES-PTO, and COAF represents the identifier set by the Issuer CSD.

2.4 Hours of Availability (Digital App)

Digital App for Participants is expected to be available for clients during the CSD working days, for which calendar is published in the beginning of each year.

Unavailability of the Digital App for technical operations will be announced in advance.

Features in the Digital App will function in line with the Deadlines identified below.

Support for the Digital App for Participants will be available only during the standard support hours.

2.5 Timetable

For Notification report

The Notification report will be made available in the Digital App for Participants within a few minutes of the announcement of the event via the ISO messages. In general, sending out of notifications via ISO messages is expected during the working hours of Euronext Securities Porto, on an hourly basis.

Data and status updates to the CA event (Update, Cancellation, etc.) will also be published within a few minutes of that announcement or settlement update, that is being also published via ISO messages and follow a similar timetable.

For Entitlement report

The Notification report will be made available in the Digital App for Participants within a few minutes of the calculation of the entitlements for the event. In general entitlements are calculated at the End of day, after confirmation of all the positions for the day.

This report for Preliminary entitlements will be provided as of EOD 5 days prior to the Record date of the individual events, and will be available for up to 18 months from the creation from the report.

For the Final entitlements the report will be made available at the EOD on the Record date.

For the events created outside of the normal timelines of event creation, i.e. created intra-day for the same date as Record date, the report will be made available intra-day, after the event creation, from 11:00 WET on Record date.

For CA Reversal report

Reversals report should be available once the reversal date is known, validated and the pre-announcement of reversal is communicated via the ISO messages.

This report for will be available for up to 18 months from the creation from the report.

For Settlement report

The Settlement report will be made available in the Digital App for Participants at the end of the day on the Record Date. In general this report should be generated after the receipt of the response from T2S.

The report should be available for up to 18 months from the creation from the report.

2.6 Deadlines

Applicable to Instructions for Elective Events

The Client / Market deadlines will be identified in the event details. Any client instructions submitted on any day during the election period, including on the Market deadline must be submitted before 16:00 WET.

For details of CSD platform availability clients should refer to the Euronext Securities Porto website ([link](#)).

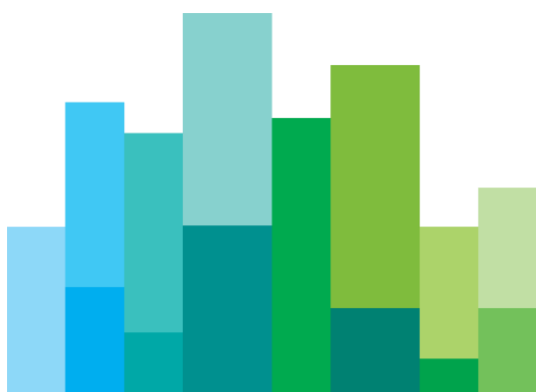
2.7 Support and Contact Information

The support hours for Digital App follow the normal support hours for the CSD platforms, and any request should be sent as follows:

Testing: test-ca4u-pto@euronext.com

Production: pto-clientsupport@euronext.com

3 HOW TO USE THE DIGITAL APP



PRIVATE

3.1 Accessing Digital App

Digital App is the web-based interface for Participants implemented with the new Corporate Actions solution by Euronext Securities Porto.

The Digital App will be accessible from any web-browser.

Users created for a client will be granted an access to the application through specific tool (Okta). These users will receive their credentials to log on the application and start with monitoring the corporate actions according to their requests.

3.1.1 Access Management and Process

To have access to the Digital App for Participants, clients must request in advance the credentials for the login by filling in a specific form ("*ES-PTO_Form_CA4U_Digital App*"). Access to the Digital App for Participants is managed via a specific tool (Okta) for users' management.

The section below provides the description of the currently setup process for the access to the Digital App.

NOTE: In the future an update to this process may be provided for a more seamless process and addressing the needs of features like the multi-factor authentication.

Upon creation of a user's account, the user will receive an email identifying that the user was created and inviting them to activate their account by clicking in the link provided. This link expires after 7 days.

As part of the activation process the user will need to setup their password and configure the methods of authentication and recovery of their account.

The tool for user management allows clients to manage their access for different applications via a single sign-on, and to manage their forgotten password in a self-service mode, in real-time.

When accessing the URL for the Digital App for Participants, user will be automatically redirected to the authentication screen.

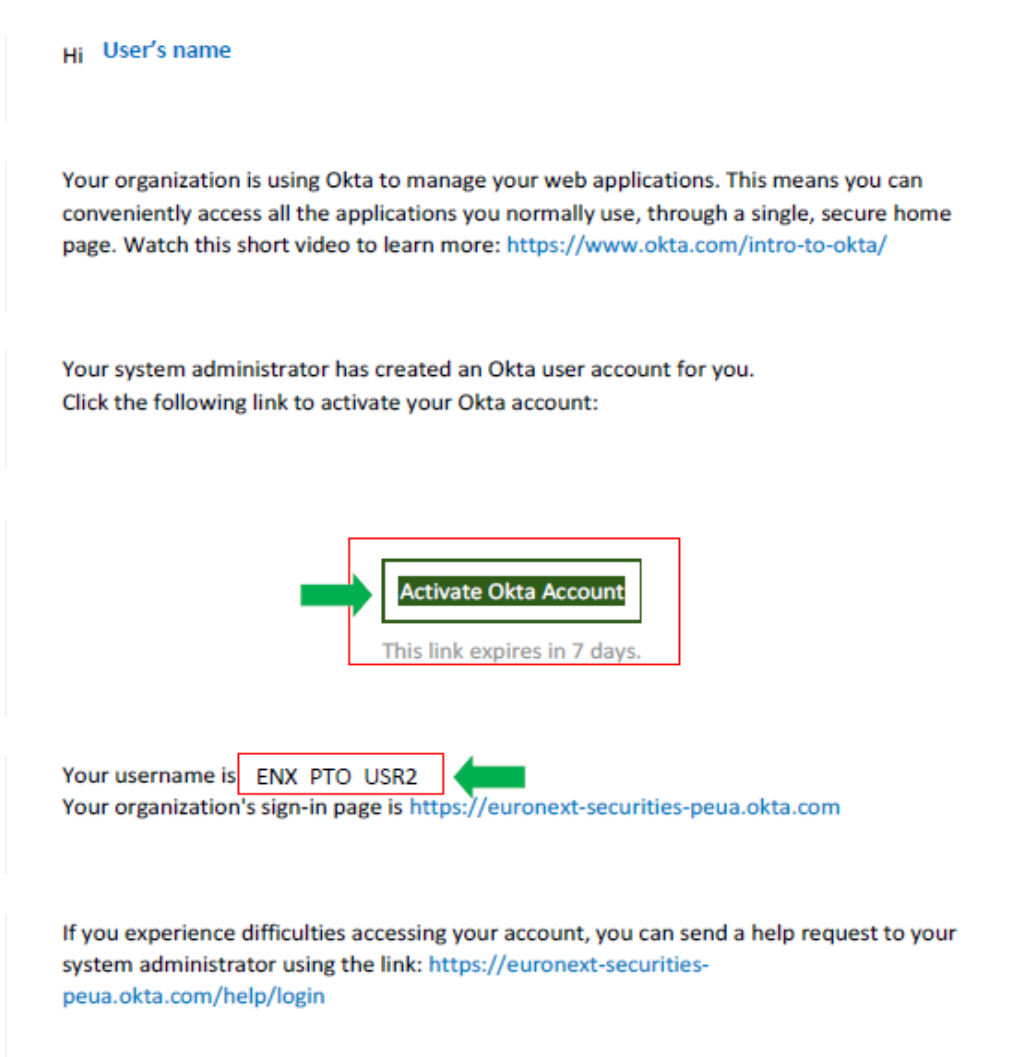
If the account has already been activated – then user can follow through the screens to access the Digital App (e.g., Login / selection of the app).

Step 1: Activate the account

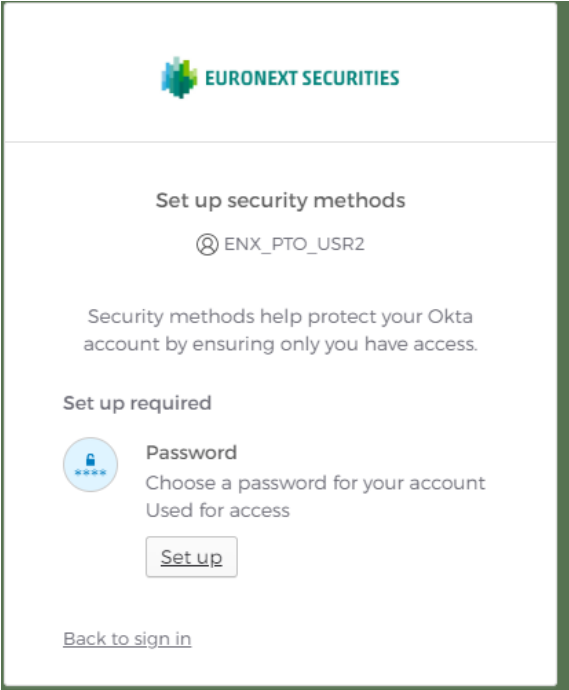
User ID setup is the one displayed at the bottom of the email.

In the following example it is "ENX_PTO_USR2".

The user ID is also shown at the top of the screen displayed after the user clicks on the link to activate their account.



Step 2: Password setup



Upon Activation of the account page user needs to Click on "Set up" under the Password.

User will choose their own password, which must comply with the password policy. User will need to enter the password and the confirmation of the password.

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Set up password

@ ENX_PTO_USR2

Password requirements:

- At least 8 characters
- A lowercase letter
- An uppercase letter
- A number
- No parts of your username
- Your password cannot be any of your last 4 passwords

Enter password

Re-enter password

Next

[Return to authenticator list](#)

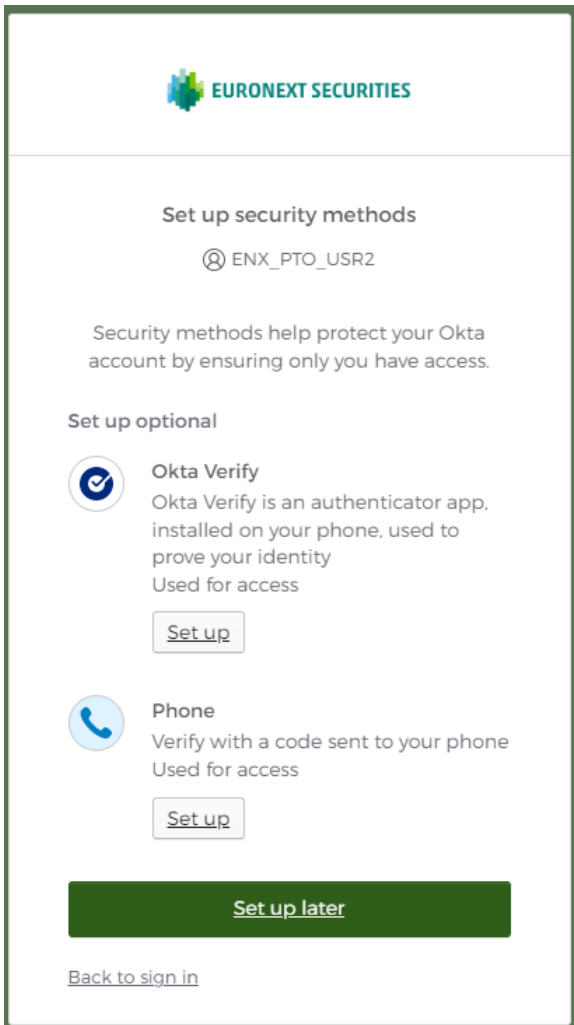
[Back to sign in](#)

The password must comply with the following password policy rules:

- Password must:
 - Be at minimum 8 characters long
 - Contain at least one of the following:
 - lower case letter
 - Upper case letter
 - Number
 - Symbol (!#% ^&*)
- Password must not contain
 - Any part or whole content of the username
 - First name
 - Last name
 - Simple know common passwords, e.g., Password.
- Passwords, when changed, must not be equivalent to the previously set passwords

If the user submits incorrect password more than 10 times, they will be locked out, and the authorized user will receive notification of their account being locked.

Step 3: Complete setup (optional)



On the next screen the rest of the setup is optional and users should click on "back to sign in".

User will then see the sign in screen.

Username would be pre-populated, and the user should enter the password, the one setup in the steps immediately before, to sign in.

Step 4: Digital App for Participants Sign In

User can choose “Keep me signed in” if they want to remain signed in for the allowed duration of the session and click in the “Next” bottom. “Keep me signed in” allows the application to remember the user’s password and bypass the need to login in future accesses to the Digital app, until the session expires due to inactivity. The time set for session to expire is after two (2) hours of inactivity.

User will need to provide their password when the session expires.

Upon successful login, user will be presented with the list of applications for which were granted access and needs to click on the name of the required application. After selecting the needed application, user will be automatically redirected to the application.

This may be followed by Multi-Factor Authentication (MFA) steps. More details for this will be provided in the future version of this document.

3.1.2 Screen Access Profile

The ability of a user to view screens, submit or validate instructions previously submitted by other users of the same client, is first controlled by the Screen Access Profile that is assigned to that particular user.

When requesting an account for the Digital App for Participants, clients will need to identify which Screen Access profile should be assigned to each user being created.

Clients may request users with access to the Digital App for Participants that are setup with one of the available Screen Access profiles:

- Read Only
- Update

Read Only

As the name suggests, users assigned the Read only profile can only view content on the screens in the Digital App for Participants, and can’t submit, cancel or validate any of the instructions for the elective events.

4-eye validation profile is not required for users with Screen Access profile of "Read Only".

Update

The users assigned the Update profile are able to view all the data in the Digital App, and additionally, are able to submit instructions (by screen or file), request cancellation of instructions and depending on the 4-eye validation profile, may be able to validate or reject submitted instructions for 4-eye validation feature.

NOTE: More details are presented in section 4.3.2.

3.2 General Description of Processes

After logging into the Digital App for Participants users will be shown the homepage which displays a Dashboard, with an overview of corporate action instructions submitted by the client in various states (e.g., rejected, to validate), and a calendar view of upcoming events where they have holdings.

In the Digital App for Participants – users will be able to:

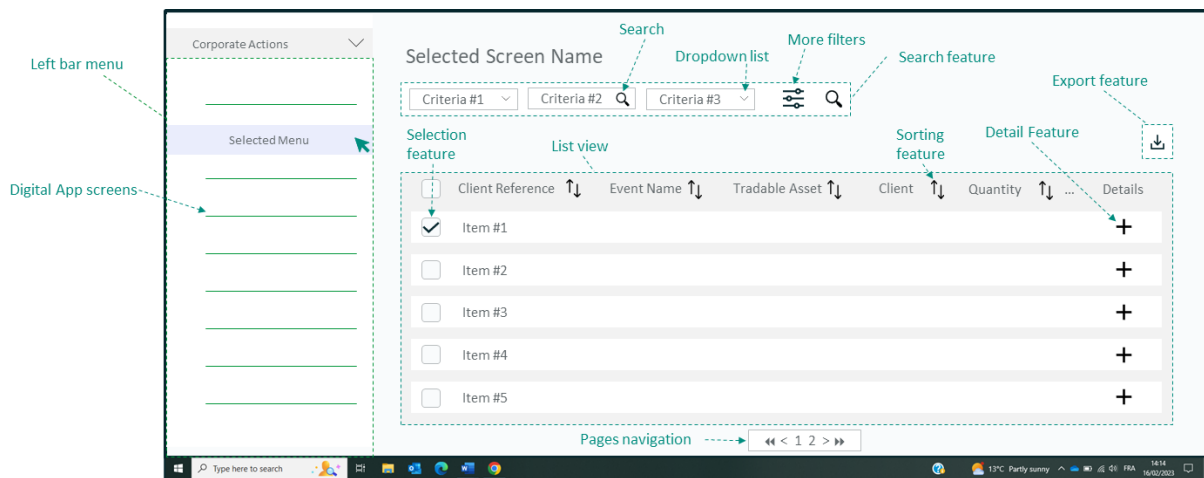
- View a general list of corporate actions events with minimum details,
- View list and details of the active mandatory and elective events,
- View the list and status of their submitted instructions for elective events,
- Submit instructions for elective events for which they have holdings, in line with their Screen Access and four (4) eyes validation profiles assigned to the users,
- Submit requests to cancel previously submitted instructions for elective events,
- View the payment details for events on which they have holdings,
- Download predefined corporate actions reports.

3.3 Navigation, Menu and Transversal Features

Features described in this section apply to most screens in the Digital App and follow a similar logic.

Type Features on Digital App

The diagram below has a generalized view of possible display of features in the Digital app.



The following features will be used in many screens to simplify the navigation:

- Sidebar menu to go to the monitoring screens
- **Search feature** with basic criteria (fields) and more advanced filters via:
 - **Drop down menu**, or
 - **Search**
- **Export feature** that allows to download/export the information displayed via an Excel file
- **List view** presenting an overview of the corporate actions data (e.g., Client Reference, Event Name, etc)
- **Sorting** (ascending or descending) feature in the List view
- **Selection feature**, to select one or more items in the List
- **Detail feature** displays additional available details for the selected item
- **Pagination** on the bottom of the screen.

3.3.1 Menu and Site Navigation

In the Digital App screens are accessible from the vertical sidebar menu located on the left side of the screen.

Clients are able to switch between screens (e.g., CA Dashboard and CA Instruction Creation screens) using this left-side menu.

The features of each screen are displayed in the centre of the screen.

Depending on the amount of data available on screen, clients may be shown pagination that would appear at the bottom of the screen. Clients can navigate through additional pages of results (e.g., page 1, 2, 3...) by clicking on:

- the page number
- next ">" or previous "<" button
- last ">>" or first "<<" button.

When clients have been looking at corporate action details, they are able to go back to the previous list screen, by clicking on the "back" button above the detailed information.

3.3.2 Search, Filters Results and View of Additional Details

Most screens in the Digital App display a set of fields that are used as criteria to search for and narrow down the data to be displayed.

Search feature appears on top of the main screen. Search criteria are provided as fields where content needs to be entered by the clients (e.g., Corporate Action identifier) or via pre-defined dropdown lists or calendar fields.

To perform a search at least some criteria must be provided.

For fields where information needs to be entered by the client, like "CA Reference", to find the complete information if client doesn't remember the full reference, they can enter the starting part of the reference (e.g., PTINTR) and then click on the search loop button to see the available references and click to select the specific reference to use for the search.

For fields that are populated via pull-down list of values, like "CA Name" – it is possible to reduce the list of values by typing a part of the text and clicking on the loop in the field, to show the available values, to select it as a criteria to perform the search.

After adding the needed search criteria, client can either click on:

- "See Result" to display the result screen, or
- "Cancel" to hide the criteria and not perform the search.

3.3.2.1 Result screens

Search results can be displayed on several result screens. If the number of resulting lines exceeds the number of lines chosen by default (5 lines by default).

As a result, a pagination appears with the total number of result lines at the bottom of the page.

Clients can also modify the number of items displayed on screen by changing the indicator under the List View (e.g., from 5 to 20 items).

3.3.3 Quick View vs. Detailed Reports

Digital App screens display a List view or “quick view” showing the most important information (e.g., Client Reference, Tradable Asset [i.e., ISIN]) but not the detailed information.

To view the detailed information, client must click on the «+» in the column “Details”.

This detailed information is displayed on screen and clients can go through each section (e.g., Date Details, Client Details, etc) to better monitor the corporate actions events.

Clients can also export these detailed data from the “List View” (see next section).

3.3.4 Download Data

Most Digital App screens allow clients to export the detailed data behind the listed items on screen.

From the list view, clients can select one or more items (e.g., corporate actions event).

To download the data from the selected items of (by default) the full list of items:

1. Click on the “Export” button
2. Select the expected format: .csv or .xls
3. Click on “Export” button.

The download will start immediately. The progression will be shown on screen. Once the download is complete, the file is ready to be used.

4 MAIN FEATURES



4.1 Supported Event Types

4.1.1 What is Present in the Digital App?

In Phase 1 the Digital App for Participants will provide features that may apply on any of the corporate actions event types listed below for **Debt Instruments** managed by **Euronext Securities Porto**.

ISO Code	Event	View CA Details, Notifications, View / Download Entitlements, Settlement reports	Submit Instructions
BIDS	Repurchase Offer / Issuer Bid / Reverse Rights	Yes	Yes
BPUT	Put Redemption	Yes	Yes
BRUP	Bankruptcy	Yes	-
CAPI	Capitalisation	Yes	-
CHAN	Change	Yes	-
CONV	Conversion option - Convertible Bonds	Yes	Yes
EXOF	Exchange	Yes	Yes
EXTM	Maturity Extension	Yes	-
INCR	Increase in Value	Yes	-
INTR	Interest Payment	Yes	-
MCAL	Full Call / Early Redemption	Yes	-
OTHR	Other Event	Yes	-
PARI	Pari-Passu	Yes	-
PRED	Partial Redemption With Pool Factor Reduction	Yes	-
REDM	Final Maturity	Yes	-
TEND	Tender / Acquisition / Takeover / Purchase Offer	Yes	Yes
WRTH	Worthless	Yes	-

Additional Corporate Actions event types may be supported in the Digital App in the future.

4.1.2 Information for Equities and other asset classes

In Phase 1 Digital App for Participants will support features only for the debt securities (e.g., Bonds). Equities and asset classes other than debt securities will continue being managed in the existing applications without changes. Until completion of migration of these asset classes fully to the new Corporate Actions platform, clients need to use two different applications.

4.2 Home page

Once signed in on the Digital App, Participants will be automatically directed to the Corporate Actions Dashboard.

From the Dashboard, the client can navigate via the widgets or the main menu on the left side of the screen.

The widgets available on the home page include the following, providing:

- **Useful documents:** links to useful documents, like the user guide, or terms & conditions of the CSD.
- **CA Missing Instructions:** the number of currently active CA events, for which client has not yet submitted any instructions, a.k.a. the number of the uninstructed events.
- **CA Rejected Instructions:** the number of instructions that were rejected based on the business rule checks in CSD system or T2S. In the future this widget may also display the instructions rejected after 4 eye validation review.
- **CA Instruction To Be Validated:** the number of instructions currently awaiting 4 eye validation.
- **Corporate Actions Calendar View:** listing the current month with key dates for upcoming CA events displayed for each date. The calendar view can be changed from displaying a month, a week or a day, and be used to see the previous, current and past dates of events.

Note: *Invalid CA Instructions* widget currently appears on the dashboard. It is not applicable for clients and will be removed in the future.

4.3 Four (4) Eye Validation Principles

4.3.1 Setting up a four (4) eye Profile

When requesting the setup of a user for the Digital App for Participant, the CSD Participants should identify which 4-eye validation profile should be setup for each requested user.

The 2 possible profiles to select are those listed and described above

- 1) Maker
- 2) Checker

4.3.2 4-eye Profile and What It Allows?

The ability of a user to validate (or not) someone else's instruction submissions are controlled by the 4-eye validation Profile that is assigned to that user.

When requesting an account for the Digital App for Participants, the entity will need to identify which profile should be assigned to each user being created.

Digital App for Participants provides the following profiles for the four-eye validation:

- 1) Maker
- 2) Checker

4.3.2.1 Maker profile

Any user with profile "Maker" can NOT validate or reject any instructions that were created by any other user, or by themselves. The user with profile "Maker" can perform the following actions:

- Can Create (submit) instructions;
- Can submit requests to Cancel instructions previously sent and accepted;
- Can NOT validate any instruction previously created in the platform;
- Can NOT reject any instruction previously created in the platform.

4.3.2.2 Checker profile

Any user with profile "Checker" can create instructions without any validation step needed. Additionally, such user can validate or reject all instructions that were created by another user for the same Participant. The user with profile "Checker" can perform the following actions:

- Can Create (submit) instructions;
- Can submit requests to Cancel instructions previously sent and accepted;
- Any instructions created by such user is not subject to validation;

- Can validate an instruction, but only if it was submitted by another user created for the same Participant;
- Can reject an instruction, but only if it was submitted by another user setup for this Participant.

4.3.3 Four (4) Eyes Validation Main Principles

The four-eye validation is a feature that allows a second user of the Participant (with a Checker 4-eye profile) to review and validate / reject instructions submitted by another user of the same entity, before those instructions are fully submitted to the CSD.

The four-eye validation features apply to different users that belong to the same entity, i.e., that are assigned the same Participant ID. Meaning, users can only validate or reject instructions submitted by the users of the same Participant. Additionally, the ability to validate is controlled by the 4-eye validation profile assigned to the user.

The Dashboard of the Digital App homepage will display the number of instructions awaiting validation, which will link towards the screen where the validation of instructions can be done.

The Corporate Actions Instruction Validation screen is provided in the Digital App for Participants to view instructions that need a review and validation.

From this screen, users that have 4-eye Profile with ability to validate instructions (Checker), can validate or reject the instruction submitted by the other users of the same entity.

To see instructions that are awaiting validation, clients will need to select search criteria and click on the search button to see instructions that they can validate or reject.

To review and validate or reject an instruction, you must select the instruction, by clicking on the check box next to the instruction and click on the buttons to Validate instruction or to Reject the instruction.

Clients can select multiple instruction to either validate or reject.

If an instruction is validated, the Digital App will display a message to the user validating the instruction that the instruction has been either submitted for further processing to the CSD or cancelled by the CSD.

The status of the instruction will change automatically. It will be immediately updated on the screen of the individual instruction, on the CA Instruction Monitoring screen, and that instruction will no longer be flagged in the dashboard. Both the user submitting the instruction and the one validating the instruction, will see the status updated in these screens.

User that validated instructions will be displayed on the screen of instruction details.

If an instruction is rejected, the Digital App will display a message that the instruction has been rejected and will not be submitted for further processing. The same instruction will be visible in the CA Instruction Monitoring screen with the status "Rejected".

User that rejected instructions will be displayed on the screen of instruction details.

4.4 View All CA Events

4.4.1 List of All Ongoing Events

All ongoing corporate actions, in which clients may have holdings, and also those where clients do not have holdings, are shown in the screen *CA Monitoring*. Only this screen displays ALL events independent of whether the client has or not eligible holdings. All events are displayed in a chronological order in the list at the centre of the screen. If a different order is required, it can be obtained by sorting data. To do so users can click on titles of the fields visible in the screen.

To reduce the scope of events, you must select one or more filters to update the list and click on the magnifying glass button.

To export the list shown on screen, click on the button "Export Notification Report", where clients have a choice to download the report in either Excel (.xlsx) or Comma delimited (.csv) formats.

4.5 View Eligible CA Events

CSD participant can view the list of any active corporate actions, for which their organisation is eligible², on two screens:

- 1 Eligible CA Monitoring: Mandatory Events, and
- 2 Eligible CA Monitoring: Elective Events.

All eligible CAs will be displayed in a chronological order.

From the Eligible CA Monitoring screens, clients can also search for a specific corporate action by:

1. Populating the fields with the relevant search criteria, e.g., the event name or the underlying security (ISIN).
2. Clicking on the magnifying glass button, to display the search results.

² With a settled position (holding) on the underlying security before or on the CA record-date or market deadline (for elective CA).

On both screens, and also within the Notification report, the event statuses will be displayed with the following possible values:

- **CA Creation:** for announcement of newly created CA events.
- **CA Update:** for the update of previously announced CA events.
- **CA New Position:** for the notification sent to participants that become eligible to the CA event upon obtaining new positions, after the event has previously been announced as a new creation. In this case the CA Creation was not present in the Participant's notification screen and report.
- **CA Cancel:** for the cancellation of a previously announced CA event.

4.5.1 Eligible Mandatory Events

All active mandatory corporate actions are displayed in the Eligible CA Monitoring: Mandatory Events screen.

Since the list of events is presented in a chronological order, users can search for a specific event and possibly add on "More Filter" to refine the results.

All the events will be displayed on one or many pages if need be. Clients can navigate between pages by clicking on the page number and scrolling down the current list.

From the main screen, clients can export the displayed list by clicking on the "Export Notification Report" button at the top right-hand corner of the screen. Depending on the setup of your web browser, the report will be either downloaded or created in a new tab.

The button "+" on the far right of each element in the list allows the client to view the corporate action details, including the clients entitlements if already calculated.

The events are displayed with an internal status, with the following values:

Status	Brief Description
Cross Checked	Official event has enough information to be communicated, but information is not fully complete.
Preliminary	Event is not yet flagged as Official or Completed, and is communicated as preliminary notification.
Closed	All processing, including cancellation and settlement for the event has been fully completed. No changes for this event are possible.
Activated	Event is Official and Complete, and has all required information.
Cancelled	Event has been cancelled.

"Paid" and "Cancelled" (meaning Payment is cancelled) statuses for the event is displayed on the "Payment Details Monitoring" screen.

“Settled” status of the event is only displayed on the “Settlement report”.

Please note, the “eligible positions” display the status as of the last known previous end of day positions.

4.5.2 Eligible Elective Events

All active elective corporate actions are displayed in the “Eligible CA Monitoring: Elective Events” screen.

Since the list of events is presented in a chronological order, users can search for a specific event and possibly add on “More Filter” to refine the results.

All the events will be displayed on one or multiple pages if need be. You can navigate between pages by clicking on the page number and scrolling down the current list.

From the main screen, clients can export the current list by clicking on the “Export Notification Report” button at the top right-hand corner of the screen. Depending on the setup of your web browser, the report will be either downloaded or created in a new tab.

The button “+” on the far right of each element in the list allows the client to view the corporate action details, including the clients entitlements if already calculated.

The events are displayed with an internal status, with the following values:

Status	Brief Description
Cross Checked	Official event has enough information to be communicated, but information is not fully complete.
Preliminary	Event is not yet flagged as Official or Completed, and is communicated as preliminary notification.
Closed	All processing, including cancellation and settlement for the event has been fully completed. No changes for this event are possible.
Activated	Event is Official and Complete, and has all required information.
Cancelled	Event has been cancelled.

“Paid” status of the event is displayed on the “Payment Details Monitoring” screen.

“Settled” status of the event is only displayed on the “Settlement report”.

Please note, the “eligible positions” display the status as of the last known previous end of day positions.

4.5.3 View Details of an Eligible CA Event

To view corporate action details from the one Eligible CA Monitoring screen, the client can:

- 1 Click on the "+" button at the end of any corporate actions event row in the list. A new view will be automatically generated on the same tab of your web browser.
- 2 Scroll up and down the screen to view the event data.
- 3 Click on "-" button to reduce the detailed information (e.g., Dates details or Option details) and simplify your view.
- 4 Click on "+" button to expand the detailed information into a breakdown and display the details.

To go back to the list, click on the "<< Back" button, on the top right-hand corner of the screen.

4.5.4 View Options Available for an Event

Clients can view the available options of a corporate actions event from the "Eligible CA Monitoring: Elective Events" screen.

To view the different options, clients can:

1. Select the corporate action in the list of events.
2. Click on the "+" button in the column "Details" to view the event details on screen. All details will be displayed in different sections. Clients can either collapse or expand these sections.
3. Expand the "Option" section to view the list of available options (e.g., Cash or Securities).

4.5.5 View Option Details

Eligible corporate actions event details are directly accessible from the "Eligible CA Monitoring: Elective Events" screen.

By selecting their desired corporate action in the list provided on screen clients will be able to quickly view the detailed event details.

The "Option" section presents the available options. To view the details of each option, click on the "+" button in the "Details" column.

The next screen will be displayed, allowing the client to see:

- Chosen option (e.g., Cash)
- Instruction date
- Instructed quantity
- Beneficial owner ID.

4.6 Instructions for Elective Events

Elective corporate actions require the owners of entitled accounts (Participants clients) to instruct their choice for the event. In addition to the possibility of submitting instructions via ISO messages, the Participants can also use the Digital App to submit their instructions as:

- Individual client instruction by screen, or
- Individual or multiple instructions via file upload.

All instructions submitted via the Digital App for Participants, will go through a set of checks for technical and functional consistency within the Digital App. Following they need to pass additional checks within the CSD platforms, and also the checks expected from T2S. The status of the instructions will indicate to the clients when the instructions have been fully processed.

4.6.1 Submitting Individual Instructions

Participants can manually create and submit individual instructions (for one specific client) through the «CA Instruction Creation» screen.

Navigating from the left menu, by simply clicking on the CA Instruction Creation screen. The instruction fields will appear on the main screen.

To create an instruction, it is necessary to:

1. **Fill in all mandatory fields:**
 - CA reference (CORP / COAF)
 - Chosen option to be instructed (e.g., CASH), among the list shown in the drop-down menu
 - Client's securities account reference (automatically populated based on the information assigned to the client's user)
 - Instructed quantity
 - Quantity type

Note: The underlying and the outturn ISINs for the instruction are not present in the screen. They will be selected by the platform automatically based on the ISIN for the identified event reference and the selected option.

2. **Complete the optional fields**, including:

- Beneficial owner Identifier – PLEASE NOTE: Additional information on Beneficial owner section is provided below.

While this section of the instruction submission is identified as optional, we request that all Participants to provide the Beneficial Owner identifier and the associated quantity.

For the creation of individual instructions by form, the platform will automatically assign the Client Reference in order to avoid duplicates.

3. **Save the instruction.**

Notes: mandatory fields are highlighted on the screen with an orange star (*).

The Digital App will perform limited checks involving the CA reference, Client securities account reference and the chosen option.

If those checks are carried out successfully, the instruction will be created. Depending on the Participant setup, manual instructions may require a four (4) eyes validation before sending these instructions for further processing.

As part of the checks the platform will also not allow to submit instruction:

- with incorrect format of the fields,
- that are non-compliant with the identified conditions for the fields,
- that do not meet data and dates setup for the event,
- that have a duplicate instruction reference,
- submitted after the deadline to send instructions.

Such instructions would be rejected.

A pop-up message will be displayed on screen and clients will be able to amend and resubmit the instruction on screen.

Beneficial Owner section

In order to submit information for Beneficial Owner, user should click on the Plus icon (+) below the instruction details to open the Beneficial Owner "section" of the screen.



One instruction may be submitted for multiple beneficial owners. To add additional owners, user can click on the plus (+) icon to add additional beneficial owner records.

The Instruction details include a field “Incoming Quantity”, which includes the total quantity for the instruction.



If instruction is being submitted for a single beneficial owner – then the field “Instructed Quantity” in the Beneficial Owner section must be equal to the value indicated for the Incoming quantity.

If instruction is being submitted for multiple beneficial owners – then the sum of values provided in the field “Instructed Quantity” for all the Beneficial Owners must be equal to the value indicated for the Incoming quantity.

Example 1:

Correct Submission	Incorrect Submission
Incoming Quantity: 100 Beneficial Owner 1: ABC123 Instructed Quantity: 100 	Incoming Quantity: 100 Beneficial Owner 1: ABC123 Instructed Quantity: 90 

Example 2:

Correct Submission	Incorrect Submission
Incoming Quantity: 100 Beneficial Owner 1: ABC123 Instructed Quantity: 75 Beneficial Owner 2: ABC987 Instructed Quantity: 25 	Incoming Quantity: 100 Beneficial Owner 1: ABC123 Instructed Quantity: 75 Beneficial Owner 2: ABC987 Instructed Quantity: 20 

4.6.2 Submitting Instructions by File

Participants can upload multiple corporate action instructions in Excel format through the “CA Instructions by File upload” screen.

These instructions shall be inserted in the CSD template file, gathering all the required information. The details on how to complete the template and the associated rules are described in section 4.10.

To upload such a corporate action instruction file:

1. Go the "CA Instructions by File upload" screen from the left menu bar. The file upload integrated screen opens.
2. Click on "Choose File" in the drag and drop zone in the centre of the screen, or drag and drop the required .xls file.
3. Browse for the instruction file, or drag and drop the file, and click on the "Upload" button to start the data acquisition.

Once the upload is completed, the Digital App will perform several checks based on CA references, Client account references and the chosen options.

If the checks are performed successfully, the instructions will be created. If a four (4) eyes validation is required, the uploaded instructions will be submitted for validation.

If no four (4) eyes validation is required, the instructions will be automatically submitted for further processing.

The instructions status will be reflected in the CA Instruction Monitoring screen.

In case of error, a popup message will be raised on screen and will block the creation of the client instruction(s) failing the technical or functional checks. In order to resubmit instructions, client will be able to amend each individual instruction and resubmit. These instructions will not appear in the Rejected state and are only shown with error in the pop-up.

4.6.3 View All Instructions

On the CA Instruction Monitoring screen, clients can view all instructions that have been submitted for the entity, the basic details and status of these instructions.

The screen will display all instructions that were submitted via the Digital App for Participants (by screen and by file) as well as the instructions that were submitted via the ISO messages (if any).

From this screen, clients can:

1. View instruction details of the individual instructions
2. Export the list of instructions
3. Request an instruction cancellation.

4.6.4 View Instruction Details

Corporate action instructions details are accessible from the "CA Instruction Monitoring" screen.

After identifying the instruction needed to check, client is able to view the instruction details by clicking on the "+" button in the "details" column.

The details covering the client instruction details, displayed in the following screen, will include:

- Date details
- Position details
- Beneficial owner ID, and
- Option details.

4.6.5 4-eye Validation for Instruction(s)

Both manual and file upload of instruction can be subject to a four (4) eyes validation. If required, a second person (with a different user) must verify and approve the instruction(s) before further processing.

In order to proceed with the validation of an instruction, the user needs to be assigned with the profile that allows to validate instructions (please refer to the section "4-eye validation Profiles and What They Allows?" for more details).

Note: the ability of a user to validate or reject instructions will depend on the screen access and 4-eye validation profile assigned to them.

When instructions are submitted by a user with profile Marker, they will be created in the Digital App with the status "Waiting for Validation" and are displayed on the "CA Instruction Validation" screen. These instructions are not displayed on the overall "CA Instruction Monitoring" screen until they are validated.

To review and approve or reject an instruction (or instructions), clients should use the "CA Instruction Validation" screen.

On this screen, clients are able to:

- either trigger validation or rejection of one or more instructions from the list provided immediately on the screen, or
- review the details of individual instruction and validate or reject that specific instruction from the details view.

From the list view, the validators can:

1. View the list of pending instruction, waiting for a validation (or rejection),

2. Search for a specific instruction by populating the fields with the required search criteria,
3. View details of a specific instruction by clicking on the "+" button in the Details column,
4. Validate or Reject one or multiple instruction by clicking on the "Validate" or "Reject" buttons.

From the list view of instructions, the validators will be able to select one or multiple instructions, by selecting the checkbox next to the instruction, and Validate or Reject them, by clicking on the appropriate button.

The same buttons appear on the screen displaying details of a specific instruction allowing to Validate or Reject this instruction.

After clicking on the "Validate" or "Rejection" button a pop up window appears prompting the client to confirm their selected action, by clicking "Yes" or cancel their action by clicking "No".

After the instruction is validated, it will no longer appear on the "CA Instruction Validation" screen and will start being displayed on the "CA Instruction Monitoring" screen with status "Pending". The instruction will remain in the Pending status until it is validated or rejected by the CSD system or T2S.

If a client submits their instruction via ISO messages, they are not subject to 4-eye validation. They may also be displayed in the screens of the Digital App for Participants. If such instructions:

- do not pass technical checks in the CSD platform – they will not appear in the Digital App. In this case clients will receive an ISO message with the rejection.
- passed the technical checks in the CSD platform, but are rejected for not passing the business rule (e.g., Instruction was submitted after the instruction deadline) in the CSD platform or by T2S (e.g., not enough positions), these instructions will be displayed in the Digital App in the Rejected status on the "CA Instruction Monitoring" screen.
- passed all technical and functional checks, they will be displayed in the Digital App in Pending or Validated status, on the "CA Instruction Monitoring" screen.

The rejected instruction submitted via ISO messages will be displayed in the CA Instruction Monitoring, with status "Rejected", and the business rule they have breached.

The possible displayed values are in the table below. Please note some of these may be displayed in Digital App but apply only to the submitted ISO messages.

Rejected Value	Associated ISO code
Inst Rejected Insufficient Position	LACK
Instructed quantity is not a multiple of the parity out	NARR
Invalid conditional quantity	DQUA
Inst received after Client Deadline	ADEA
Inst received after Market Deadline	LATE
Unrecognized or Invalid Tradable Asset	DSEC
Unrecognized Client Account	SAFE
Invalid Offered Price	NARR
Tax Rate to Be Validated	NARR
Invalid Option Number	OPNM
Mismatch between Option Number and Option Type	NMTY
Unrecognized CA Event Number	EVNM
Invalid sender for the account number	NARR
Invalid instructed quantity	DQUA
Invalid Option Type	OPTY
Narrative included	NARR
Disclosure option instructed and no narrative included in the received instruction	NARR
Before Instruction Period	BSTR
Rejected Since Already Cancelled	DCAN
Rejected Since In Progress	DPRG
Currency Rejection	DQCC
Duplicate Instruction	DUPL
Shareholder Number Missing	SHAR
Unknown	ULNK

If there are multiple rejection reasons, they will be displayed one after another.

If a user assigned the 4-eye validation profile of "Checker" submits an instruction, it will bypass the 4-eye validation, and will be immediately submitted to the CSD platform for processing. They would also be immediately displayed on the "CA Instruction Monitoring" screen in status "Pending" until confirmed by the CSD Platform and T2S.

4.6.6 Request to Cancel Instruction(s)

Clients can submit a request to cancel instructions previously sent and accepted from the CA Instruction Monitoring screen by performing the following actions:

1. Query a specific instruction by populating the fields with the relevant search criteria.
2. View the instruction for which the cancellation request is to be submitted in the list view.
3. Click on the button "(x)" in the Cancel column.

In case of acceptance or rejection of the cancellation the status will be displayed only after the validation of the instruction by the Corporate Action platform and T2S, and only after that the status will be displayed in the Digital App.

4.7 Payment Details Monitoring (quick view)

The "Payment Details Monitoring" screen allows clients to view the payments status and main information (e.g., COAF related to the processed payment).

It provides a simplified view of the cash and securities to be received upon the SSS reporting.

Full details of payments are available on screen, if the client click on the "+" button in the column "Details".

This screen offers search criteria that help the clients to filter the data to be viewed.

Clients can also extract the settlement information from the list view by clicking on the button "Export Report".

For more details on the Digital App reports, please refer to the section 4.9 "Download Reports".

4.7.1 Payment details

To view the payment details of the related corporate actions event, clients can:

1. Query a specific corporate actions event by populating the fields with the relevant search criteria (e.g., COAF or underlying security ISIN);
2. Click on the "+" button to view the payment details on screen.

Payment details are displayed in three (3) sections:

- Event details
- Payment details
- Date details.

Clients can collapse or expand these sections to improve their view.

4.8 Entitlement Detail Monitoring (quick view)

The "Entitlement Details Monitoring" screen allows the clients to view the entitlements status and main information (e.g., client securities account entitled to the corporate action).

It provides a simplified view of the clients entitlements related to one specific corporate action.

Full details of the entitlements are available on screen if a client click on the "+" button in the column "Details".

Please note, the preliminary entitlements provided display the status as of the last known previous end of day positions.

4.8.1 Entitlements details

To view the Entitlements details of a specific corporate actions event, clients can:

1. Query a specific corporate actions event by populating the fields with the relevant search criteria (e.g., COAF or underlying security ISIN);
2. Click on the "+" button to view the entitlements details on screen.

Entitlements details include details on the expected cash and securities movements (i.e., to be received on the clients account or to be debited from the clients account).

The details of the entitlements presented in the screen will be further listed in the next release of this document.

4.9 Download Reports

Digital App offers detailed view of the CA Notifications, Entitlements, Settlement, and if it occurs, event Reversal.

4.9.1 CA Notifications

The CA Notification report gathers the details of the corporate action notifications sent to the participants. This report will list all the generated notifications for a corporate actions event and the entitled securities account position held by the entity that the user is associated. If a client searches for multiple events the report may include notification records for multiple events.

It will include, but not restricted to, the corporate action reference and the notification reasons (e.g., corporate actions update).

The report will be available in Excel format.

Screen: Clients will be able to download the report via a dedicated screen "Notification Report".

Report Availability

The report will become available from the first publication of details about the CA event by the CSD. At the same time as the generation of the ISO messages with the same content.

The report is expected to stop being available on the Digital app after 18 months after its creation.

4.9.2 CA Preliminary and Final Entitlements

The CA Preliminary and Final Entitlements report gathers the details of the corporate actions entitlements. This report will list all the calculated entitlements for a specific corporate actions event and the entitled securities account position held by the entity that the user is associated.

Preliminary and final entitlements will be included in the list generated for one specific corporate actions event.

It will include, but not restricted to, the entitlement status (i.e., preliminary or final) and the expected movement details (e.g., total amount to be received).

The report will be available in Excel format.

Screen: Entitlements report will be available in the "Eligible CA Monitoring", with a dedicated button for the report.

Report Availability

The report will become available upon generation of the entitlements for notification to clients at the same time as generation of the entitlement ISO messages. The entitlements, both preliminary and final, are generated at the EOD, around the switch of the business day.

Preliminary entitlements will be generated at the end of the day from 4 days before the Record date. The information for the preliminary entitlements will be updated only if there is a change in client's positions for the associated security.

Final entitlements will be generated in all cases at the end of the Record date. The report for Preliminary and Final entitlements is the same, and upon generation of the Final entitlements the Preliminary information will no longer be displayed.

The report is expected to stop being available on the Digital app after 18 months after its creation.

4.9.3 CA Reversals

The CA Reversals report provides the status and reversal date of a corporate actions reversal. The report is generated for a specific CA event. This report will list all the reversed entitlements for a specific corporate actions event and the entitled securities accounts position held by the entity that the user is associated.

The report structure will be based on the Preliminary and Final Entitlements report with two additional fields:

- Reversal status,
- Reversal date.

The report will be available in Excel format.

Screen: Reversal report will be available in the "Eligible CA Monitoring", with a dedicated button for the report.

Report Availability

The report will become available once the reversal date is known and communicated by the CSD to the participants. The report will be generated at the same time as the ISO messages for the announcement of the Reversal.

The report is expected to stop being available on the Digital app after 18 months after its creation.

4.9.4 CA Settlement

The CA Settlement report gathers the settlement messages information for one or more corporate action events. If a user searches for a specific event the report will provide information for that event only. If multiple events are searched for, any settlement information available for them will be provided in a single report.

This report will list all the relevant settlement data and fields for a specific corporate action event and a specific participant.

It will include, but not restricted to, the corporate action reference and the settlement status (e.g., Settled or Pending).

The report will be available in Excel format.

Screen: Clients will be able to download the report via a dedicated screen "Settlement Information Report".

Report Availability

For information on any specific corporate action event, the report will become available at the end of the day on the Payment date – 1 business day. (In most cases PD-1 is equivalent to the RD). The report will become first available upon generation of payment ISO messages for the event and will be updated with any additional settlement response messages received.

The report is expected to stop being available on the Digital app after 18 months after its creation.

4.10 Upload of Instructions by File (Elective Events)

Besides providing instructions by ISO messages, clients can also submit them via Digital App by Screen or by File upload.

For more information on submitting instructions by screen please view the dedicated chapter for this screen / use case in this document. This section provides more details on how to submit instructions by uploading an Excel file.

4.10.1 Details and Rules for Uploads

Instructions can be uploaded by file only for elective events.

Only Instruction Submission can be created by file upload. Requests to process cancellation of previously accepted instructions is possible by screen only from the "Corporate Action Instruction Monitoring" screen.

The file used for instructions upload through the Digital App will not be visible or downloadable by the clients. Only the incorporated instructions will be visible on the Instruction related screens.

As for ISO messages, update of instructions is not possible, and would require for the original instruction to be cancelled and then be re-submitted with new information.

The quantity of securities and their status for a submitted instruction will go through the same process, as instructions submitted by ISO messages. After being accepted, instructed quantity will be blocked in T2S.

The upload of instructions by file in the Digital App is subject of four (4) eyes validation, depending on the profile associated to the user that uploads the file.

In case of error, a popup message will be raised to the CSD Participant and will block the creation of the client instruction. In order to resubmit, CSD Participant will have the possibility to fix the incorrect information and re-upload the file. Clients will have only to re-submit the instructions that generated the error.

Following data will be checked for consistency and correction in the Digital App for client instructions created manually or via excel file, to ensure they match the events and client details:

- Client's securities account matches the one setup for them with the CSD,
- Corporate action reference matches an existing Elective Event,
- Option provided in the file is one that is setup for the event,
- Election period is active and ongoing for the identified event.

Uploaded instructions file may contain multiple lines for the same or different events in a single file, and as such the correct CA event reference in each line is crucial.

Files can be submitted for an event only during the election period.

The underlying and the outturn ISINs for the instruction are not present in the Instruction file upload - they will be selected by the platform automatically based on the ISIN for the identified event reference and the selected option.

For clients using or familiar with the ISO messages, the following fields that are mandatory in the ISO messages are not necessary for the instruction by file upload either as not in use, or is data that will be automatically calculated by the platform:

- Participant ID
 - This data is provided as IBL5 + ### of the participant ID
 - For example, if the client's participant ID is 510, the code to be entered should be IBL5510.
- Referential Date,

- App Reference,
- Status,
- Eligible Quantity,
- Instruction Price Currency.

4.10.2 Files Structure and Format

The details of the Excel template to use for this feature will be communicated in the future version of this document.

4.10.3 File Validation and Errors

If any Mandatory fields are not populated, or if content of any optional fields do not match the identified conditions, the file will not pass the technical or functional checks and will be rejected.

Submission of any unspecified / unexpected values will result in the rejection of the whole file.

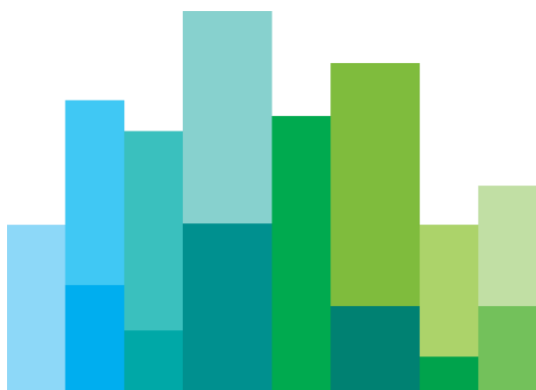
If multiple rows are submitted and some pass functional and technical checks and others do not, Digital App will display a pop-up to the client, identifying the Errors for specific lines. For each error, a separate row will be displayed identifying the error. If the same row / instruction has multiple errors, then each individual error will be displayed as a separate line in the pop-up.

This pop-up will allow clients to choose whether to cancel the upload, or the proceed only with the Valid records.

If client selects "Cancel upload" nothing will be incorporated into the Digital App and client can correct the file and try uploading it again.

If client selects "Process only valid Records" then Digital App will try to incorporate only the records for which errors were not raised. In this case, after processing, the CA Instruction Monitoring screen will only display the instructions that were incorporated, and those that failed will not be displayed. If needed, clients will have to re-submit the instructions not incorporated, after being corrected.

5 FREQUENTLY ASKED QUESTIONS



PRIVATE

The section below provides some frequently asked questions for the Digital App for Participants. The information in the FAQs is also available throughout this document in description of the Digital App features. The content of the FAQs may be updated in the future.

5.1 Access and Documentation

Q Where can I find the other information about the Corporate Actions processes for ES Porto?

A Information regarding the current processes is available in Euronext Securities Porto website ([link](#)).

Documentation regarding the new Corporate Actions Platform was sent to clients by email and is also in the Dashboard of the Digital App.

Q How can I get access to the Digital App for Participants?

A To obtain access to the Digital App for Participants, the authorized contact for the Participant should contact Euronext Securities Porto with the request for creation after filling in the specific form ("*ES-PTO_Form_CA4U_Digital App*").

For clients testing the request must be submitted to:

test-ca4u-pto@euronext.com

with the headline:

Digital App for Participants – Users setup - Tests of CA4U

In the request clients should identify a Screen Access and a 4-eye validation setup that should be assigned to the user, through the specific template.

The available list of profiles is as follows.

Screen Access:

- Read Only
- Update

4-eye Validation (application for Updater Screen access only):

- Maker

- Checker

For Screen Access profile "Read only" the 4-eye validation profile should not be provided.

For the Screen Access profile "Update" user request should also include one of the possible values for the 4-eye validation profile.

For more details regarding the access of each profile go to section 4.3.2 of the Digital App for Participants - User Guide.

Q

Is there any minimum requirement for web-browser the Digital App? Any limitation on Chrome, MS Edge?

A

No limitation was currently identified. However, we advise clients to use the latest version of their browsers.

5.2 Instructions for Elective Events

Q

How do I submit an instruction for an Elective Events?

A

To submit an instruction clients can create an instruction via a form on the screen, or by uploading a file with instructions in the Digital App for Participants, and clients can also submit instructions with ISO messages.

For creation of a single instruction client can navigate to the screen "CA Instruction Creation" to create instructions via the screen with a form, one instruction at a time.

For creation of multiple instructions by file upload, client can navigate to the screen "Corporate Action Instruction Upload" screen, via which the instructions can be submitted using a file that follows rules and instructions provided in the dedicated section for Upload of Instruction by File.

For creation of instruction via ISO messages, clients should review My Standards for the structure of the messages.

Q

How do I cancel an instruction?

A Clients can submit a request to cancel a previously submitted instruction. Cancellation would need to be confirmed by the rules in the CSD platform and T2S.

To send a request to cancel an instruction clients may do so via the screen "CA Instruction Monitoring" in the Digital App for Participants or submit the ISO message for the cancellation of a previously submitted instruction.

On the "CA Instruction Monitoring" one of the previously submitted instructions and accepted by the platform can be selected and click on the "Cancel" button next to the needed instruction. Please note that all instructions sent by different means would be displayed on this screen, including those submitted via the ISO messages. Request for cancellation can be submitted for all such messages, if they comply with associated business rules (e.g., Client/Market deadline has not passed yet).

Once the cancellation request is submitted the instruction will change to status "Waiting Cancellation Validation" until its full validation and settlement.

Via the ISO messages clients can send the appropriate message to cancel a previously submitted instruction.

Requests for cancellation of an instructions previously sent and accepted is not possible by file.

Q How do I validate an instruction submitted by another user of the same entity?

A If the user that initially submitted the instruction is assigned a profile of "Maker", their submitted instructions are subject to 4-eye validation.

To validate such instructions another user of the same entity with a profile of "Checker" should:

- login into the Digital App for Participants,
- navigate to the "Corporate Action Instruction Validation" screen,
- select the needed instruction in status "Waiting Validation",
- click on "Validate" button for the instruction to be submitted to CSD for processing.

Q How do I check instructions status in the Digital App for Participants?

A To view a status of a previously submitted instruction clients may navigate to the screen "CA Instruction Monitoring" in the Digital App for Participants and

view the status of the instruction in the list. For additional details click on the "+" (plus) icon to see further details of the instruction.

5.3 4-eye Validation

Q

How do I reject [or validate] an instruction creation via 4-eye validation?

A

The home page of the Digital App for Participants will have a widget that will display the number of instructions awaiting validation, which will link towards the screen where the validation of instructions can be done.

A dedicated screen is provided in the Digital App for Participants to view instructions that need a review and validation. From this screen, users that have 4-eye validation profile with ability to validate instructions (Checker) can validate or reject the instruction submitted by the other user of this Participant.

To do so, the validator (not the submitter) will need to go to the "Corporate Action Instruction Validation" screen that will display all the instructions in status "Waiting Validation".

The validator should locate the instruction that needs to be reviewed, and then the validator can select the needed instruction and click on Reject [or Validate] button.

Q

Can I skip 4-eye validation?

A

If a user is setup with the 4-eye validation profile of Checker – then the submission of instructions for elective events by this user will not be subject of 4 eye validation.

Q

Can I validate or reject my own instruction creation?

A

4-eye validation is meant to allow another person to review, provide an additional 2-eyes, to ensure accuracy of the submitted instructions. The instructions that are subject to 4-eye validation need to be validated or rejected by another user within your entity with profile Checker.

Q Can I modify an incorrectly submitted instruction?

A No, instructions that are subject for 4-eye validation can only be Validated or Rejected by another user with profile Checker. If a correction is required, the previous instruction must be cancelled or rejected and a new instruction with corrected information should be submitted.

5.4 Corporate Actions monitoring

Q Will it be possible in any screen to filter by CAMV (CA type: mandatory or with choices or voluntary)?

A Currently this feature is not available in the Digital App for Participants. If additional requests for this are received from the clients, it will be investigated for future implementation.

Q Can we see "closed" events from the Eligible CA Monitoring screens?

A Currently this feature is not available in the Digital App for Participants. A request for this has already been received from the clients and is under investigation. Please feel free to provide additional input for this request to Euronext Securities Porto.



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