

SECTRAS

SECTRAS AST COMPONENT

ACCOUNT STATISTICS (AST)

SECURITIES ACCOUNT STATISTICS

Deutsche Bundesbank requires statistics by the end of each fiscal term, listing the deposited securities of domestic and foreign depositors maintained by reporting institutions. In addition, the domestic bank is obligated to report its own holdings.

The securities account statistics is based on a security protocol system listing individual securities. Reportable securities are classified according to business sector and the country of origin of the clients. In addition, the number of client portfolios according to business sector are listed.

The SECTRAS-AST component performs this classification method stipulated by Deutsche Bundesbank, converts the recorded data into the XML format published by the supervisory authority and enables the produced reportable file to be uploaded via the ExtraNet of Deutsche Bundesbank.

The SECTRAS-AST component cannot only be used as an integrated component of the SECTRAS securities handling system but also as a stand-alone application.

Fundamentally relevant

- Securities
 - Securities inventories
 - and portfolios
- are received and processed via a published interfaces.



SECTRAS

Stringent plausibility checks ensure that defective data constellations will be recognized before the notification is eventually transferred to Deutsche Bundesbank.

SCOPE OF FUNCTIONS

• AST General Input Interface

The user supplies the relevant data on securities, portfolios and securities inventories via well documented open interfaces. Depending on the origin of data and the specific business procedures, both generic information and information appertaining to securities or securities inventories may be accepted from different source systems.

The following file formats are supported:

- CSV
- XML
- Indication of relevant details pertaining to accepted portfolios
 - ESVG-Code (German abbreviation for European System of Accounts)
 - Nostro- 1 Lora portfolio
 - Repo/ loan portfolio
 - Depositor's place of residence
- Indication of relevant details pertaining to accepted types of securities
 - ISIN or internal securities identification number
 - Code identifying reportable securities types
 - All additional attributes needed for internally identifiable classes
- Process is triggered by a workflow engine
- Extensive plausibility checks and identification of data records as correct or incorrect
- Possibility of correcting incorrect data on the screen
- The accepted data is added to the portfolio statistics only if 100 % correct.

- Data is presented on the basis of the reporting scheme for portfolio statistics published by Deutsche Bundesbank

I. General information

II. Number of customer portfolios organized by trade lines

III. Information on securities pertaining to customer portfolios and own holdings.

• In-depth navigation

All collected data records can be broken down to reveal elementary information..

• Conversion of portfolio statistics into XML format

• Unlimited number of corrected records can be submitted per reporting quarter

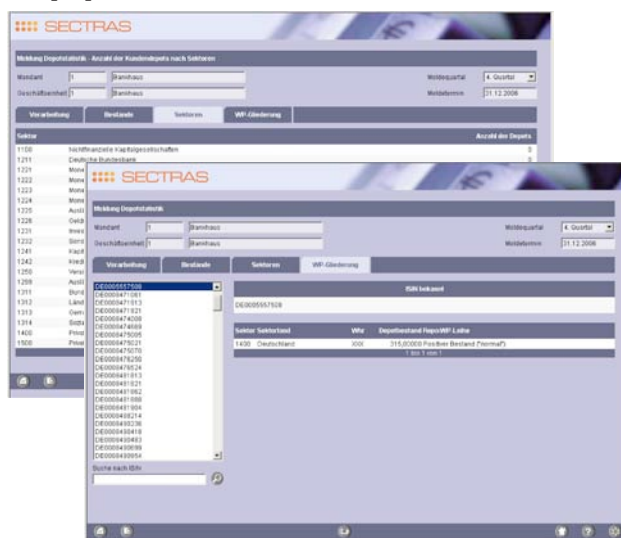
• Composition of negative reports, stating all non-reportable positions including corresponding explanations

• Comparison with previous quarter

SERVICE OFFER

On request, CPB SOFTWARE (GERMANY) GMBH will physically perform data transfers via ExtraNet to Deutsche Bundesbank.

We have obtained a qualification approval as a data centre for this purpose.



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