

Access to Euroclear's ESES platform via SWIFTNet - technical specification

Introduction

With ESES (Euroclear Settlement of Euronext-zone Securities), all Euroclear Belgium, Euroclear France and Euroclear Nederland clients can access a number of services through the following communication channels:

- **A screen channel.** The following screen channel options will be available to ESES clients:
 - **CCI screen channel**, using Euroclear's CCI Screen channel desktop application to submit ISO settlement, corporate actions and payments messages
 - **eRGV**: this manual interface can be used for settlement, payments and custody, but only in RGV proprietary formats.

and

- **A Straight-Through Processing (STP) channel.** The following STP channels will be available to ESES clients:
 - An STP message-by-message channel, using **SWIFTNet FIN** (based on ISO 15022 messaging)
 - Euroclear France users can continue to use their **E2A** communication channel, based on RGV proprietary message formats, via SWIFTNet InterAct and/or FileAct.

Each institution will need to assess any of the above channels required for its Euroclear ESES business activities. Euroclear mandates the usage of the CCI screen channel using Euroclear's CCI Screen channel desktop application. The usage of the other channels is dependent on the institution's business decisions.

SWIFTNet Channels

All of the above-mentioned channels are available via SWIFTNet using a 'standard' SWIFTNet Single Window configuration, including SWIFTNet VPN boxes and lines, SWIFTNet PKI, a SWIFTNet link and SWIFTAlliance Gateway.

ESES channel requirements include:

- **The CCI screen channel** requires (refer to picture below – red components): Euroclear's CCI Screen channel desktop application, which is configured to talk to SWIFTAlliance Gateway with WSHA (Web Services Host Adapter, for the main message flow). The configuration of these components is described in Euroclear's "CCI Pre-requisites application Guide – Screen Interface."
- **SWIFTNet FIN** requires (refer to picture below – green components): A SWIFTNet FIN interface, as most institutions run today. However, note that your back-office needs to be capable of exchanging the relevant ISO15022 messages with the ESES platform. Refer to Euroclear's "CCI Deployment Guide – STP" for more detailed information.
- **eRGV** requires (refer to picture below – yellow components): A SWIFTAlliance WebStation, configured to use SWIFTNet Browse in a standard fashion, i.e., through the SWIFTAlliance Gateway and Proxy. Refer to Euroclear's "eRGV Technical Guide" for detailed information.
- **E2A communication** requires (refer to picture below – white components): Access to the euroclearfr.e2acom service, using TDA application (for SWIFTNet InterAct) and/or a File Application (for SWIFTNet FileAct). Refer to Euroclear's "Euroclear Access Application - E2A" guide for more detailed information.



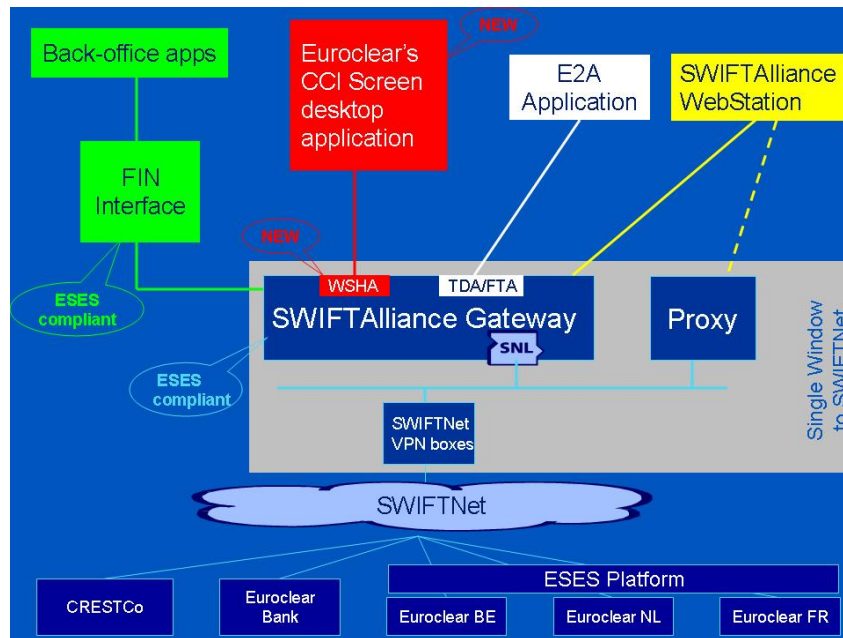


Figure 1 – the ESES channels on SWIFTNet

Euroclear's CCI Screen channel desktop application

For questions related to the Euroclear software and documentation, please contact Euroclear.

WSHA

SWIFTAlliance Gateway has different host adapters, allowing integration of your applications with the SWIFTAlliance Gateway and SWIFTNet:

- MQHA (MQ Host Adapter) allows integration of applications by means of IBM WebSphere® MQ.
- RAHA (Remote API Host Adapter), for example used by SAA FIN interface and SWIFTAlliance WebStation
- WSHA (Web Services Host Adapter) allows for the exchange of requests/responses in SOAP format (here: generated by Euroclear's CCI Screen desktop application) with SWIFTAlliance Gateway over HTTP(S). Automatic mapping of the SOAP format to/from real-time SWIFTNet InterAct request/response format is performed transparently by the SWIFTAlliance Gateway.

WSHA is a licensable component of the SWIFTAlliance Gateway and has been generally available since Release 6.0.

Note that all customers will have to extend their SWIFTAlliance Gateway license to also include the WSHA component, re-license the SWIFTAlliance Gateway and install the WSHA software (detailed information is provided in the WSHA Release letter and in Euroclear's "CCI Pre-requisites application Guide – Screen Interface").

Communication between Euroclear CCI Screen desktop application and the SWIFTAlliance Gateway

Euroclear's CCI Screen desktop application addresses traffic to WSHA on the SWIFTAlliance Gateway. Default TCP port on SWIFTAlliance Gateway machine is port 48005, but this is configurable by the user (port number is requested during WSHA installation).



Availability

All SWIFT software is available today.

The SWIFTNet Service(s) (Closed User Group(s)) to which the client institutions need to subscribe, will be set-up in line with Euroclear's ESES program timescales.

For availability of Euroclear software and documentation, please contact Euroclear.

Impact on your SWIFTNet infrastructure?

If you don't expect that your overall traffic volume will increase (e.g. if you already have all traffic to/from Euroclear over SWIFTNet today), you don't need to upgrade your SWIFTNet infrastructure. The processing overhead of WSHA software on the SAG is considered minimal and does not impact the hardware sizing.

If ESES will bring new traffic or extra volumes onto SWIFTNet, you should forecast your traffic growth (both FIN volumes and non-FIN volumes), calculate the TPS requirements this results in, and assess the impact on your FIN interface, SWIFTAlliance Gateway platform and bandwidth usage. Please refer to SWIFT's "Connectivity Pack" document for TPS calculations.

If you need help with those calculations, please contact SWIFT.

Questions?

Please find more information and links on <http://www.swift.com/eses>. You can also find a FAQ-document here.

If you don't find the information you are looking for or would like to share any feedback related to ESES, please send an email to eses@swift.com.

ESES information is updated regularly, therefore we invite you to return to the website on a regular basis for the most recent documents.

