



SWIFT Solutions for Securities

CCI over SWIFTNet

The SWIFT Implementation Service for ScreenFlow – Service Description

This document describes the SWIFT Implementation service for ScreenFlow in the context of the Euroclear Single Platform Connectivity Testing. This document also describes the responsibilities of each party to the service and the quality standards that customers can expect from SWIFT.

April 2009

Preface

Purpose of this document

This document describes the SWIFT Implementation service for ScreenFlow in the context of the CCI Connectivity Testing for Single Platform. It includes a description of the benefits of using the service and the procedures that customers must follow to use the service. This document also describes the responsibilities of each party to the service, and the quality standards that customers can expect from SWIFT.

For full details on CCI over SWIFTNet and its implementation process, refer to the SWIFT document “CCI over SWIFTNet Implementation Guide”

Customers can find the latest available version of these documents at www.swift.com/cci.

Audience

This document is for the following audience:

- **CCI project managers** and customers that want to order and establish a SWIFT infrastructure to access the Euroclear Single Platform services over SWIFTNet
- **Technical teams** that are responsible for the preparation and technical setup of the appropriate messaging channels that an organisation requires

This document assumes that the reader has a technical understanding and experience of working with the following technologies and components:

- SWIFT components
- Internet protocols including HTTP and HTTPS

Related SWIFT documentation

Customers can find the following documents useful references in the SWIFT User Handbook Online on www.swift.com/cci.

SWIFTNet messaging documents

- CCI over SWIFTNet Implementation Guide (on www.swift.com/cci)
- SWIFTNet Connectivity Implementation Service Overview
- SWIFTSolutions Implementation Service Overview
- SWIFTNet Service Description
- SWIFTSupport Service Description

SWIFTNet Product and software documents

- *Alliance Gateway Installation Guide*
distributed by SWIFT with the Alliance Gateway software
- *Alliance Gateway Operations Guide*
distributed by SWIFT with the Alliance Gateway software
- *Alliance Gateway 6.1.50 functional update Release Letter and WS Host Adapter Configuration Guide*
distributed by SWIFT with the Alliance Gateway software
- *Alliance WebStation User Guide*
distributed by SWIFT with the Alliance WebStation software

SWIFT General Terms and Conditions

The SWIFT General Terms and Conditions (available from www.swift.com > About Legal > Legal > Contracts) governs the provision of the SWIFT Implementation service for ScreenFlow.

Related Euroclear documentation

The Euroclear website, at www.euroclear.com > **Initiatives** > **Single Platform** > **Publications**, contains a number of documents detailing the CCI project.

Customers must sign a license agreement direct with Euroclear for the ScreenFlow software before using the software. Further details are available on the Euroclear website.

Document conventions

This document uses the following typographical conventions:

Bold	Names of files, parameters, API calls, user logon, and logon groups References to a directory or a menu GUI elements and command names
<i>Italics</i>	Important information and document names
Courier	User input, directory paths, parameter values, place holders, and system output examples

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1 Introduction

Overview

If internal expertise or resources are not available for the ScreenFlow deployment, a customer can request the **SWIFT Implementation Service for ScreenFlow**.

It offers an installation and configuration service for the Web Services Host Adapter or WSHA product and the Euroclear ScreenFlow application on stand alone PCs¹. It is delivered by SWIFT's own technical experts or, at SWIFT's discretion, SWIFT-certified experts from an accredited SWIFTReady service provider.

Service content and duration

The one-day implementation on-site includes:

- The deployment of co-located ScreenFlow (up to 3 instances) and associated WSHA at one customer infrastructure site
- ScreenFlow connectivity testing assistance (assistance for AutoFlow Messaging and File Transfer connectivity testing is not part of the implementation service).

Implementation costs

The fee is EUR 1,500 (excl. VAT), plus reasonable travel, accommodation and out-of-expenses. For applicable invoicing and payment conditions, please refer to the then current SWIFT Pricing and Invoicing documentation.

Centralised ordering

The customer orders the SWIFT implementation service for ScreenFlow from SWIFT directly.

When ordering WSHA by upgrading its Alliance Gateway interface license, SWIFT sends the customer an email describing the service and benefits. To order the SWIFT implementation service for ScreenFlow, the customer simply replies to this email and sends back its acknowledgment to support@swift.com.

Benefits of using the ScreenFlow implementation service

The ScreenFlow implementation service is beneficial to the customer in the following ways:

- SWIFT expertise

If internal expertise or resources are not available, the customer can rely on the expertise of SWIFT's own technical experts or the SWIFT-Certified Experts from an accredited SWIFTReady service provider. This permits a smooth and efficient implementation.

- Efficient and effective implementation

Qualified personnel conduct the implementation efficiently and effectively, to comply with established SWIFT quality standards.

¹ Service not offered for ScreenFlow application deployed on terminal server(s)

- Centralised project management

A single point of contact to co-ordinate supplier deliverables during the implementation

Quality Standards

Staff that provides implementation services adheres to high standards of service quality.

The SWIFT implementation service for ScreenFlow provides adequate assistance for ScreenFlow testing in the context of the connectivity testing for Single Platform.

2 Implementation process

2.1 Parties involved

A SWIFT software implementation involves the following parties:

- The customer: The organisation that orders the SWIFT Implementation Service for ScreenFlow
- SWIFT (or an accredited SWIFTReady service Partner): The implementation service provider

2.2 Minimum software requirements prior to on-site visit

SWIFT connectivity

- A fully operational connectivity to the SWIFT Secure IP Network
- Alliance Gateway 6.0 or 6.1 (Single Window, Automation, Alliance WebStation Concentration, or Starter Set license) fully operational
- Alliance Gateway 6.1.50 functional update software patch (including the Web Services Host Adaptor or WSHA)
- Alliance Gateway 6.1.50 functional update license (not applicable for Alliance Starter Set user)

Euroclear Software

- The ScreenFlow application (downloadable from Euroclear's website)
- Stand-alone PC(s) with satisfactory hardware and software. For more information about recommended specifications, software requirements, and supported operating systems, see the *Euroclear CCI Migration guide* at www.euroclear.com.

2.3 Required Installation Resources

Personnel that must be available on the day of installation

- The Alliance Gateway system administrator
- The Operating System (OS) administrator password holder (**root** for UNIX, a user with **administrator** rights - member of the administrators group - for Windows)
- The Hardware Security Module (HSM) administrator (Luna HSM box customers only)
- The SWIFTNet Security officers holding the Alliance Gateway initialisation passwords.

Materials and information that must be available on the day of installation

- HSM equipment (card readers and cards/tokens/Luna boxes).
- The Alliance Gateway licensing sheets, with Web Server Host Adapter licensed, containing the initialization passwords (not applicable for Alliance Starter Set user)
- The system, with OS and relevant OS patches installed, where you plan to install the Euroclear ScreenFlow application. The system requirements are described in the *Euroclear documentation*
- A full backup of your system and any other important backups. It is your responsibility to make sure that your software and system are fully backed up.
- The operating system administrator password (**root** for UNIX, a user with **administrator** rights - member of the administrators group - for Windows).
- Access to the SWIFTNet Security Officer's profile.
- The Alliance Gateway 6.1.50 functional update (patch)
- The Euroclear CCI Screenflow software and the 2 root operator IDs and passwords from Euroclear
- The signed copy of the Euroclear CCI forms for Single platform connectivity testing “*Order form for Access Provider details (Single Platform connectivity testing platform)*” and “*Order form for Connection via SWIFT(Single Platform connectivity testing platform)*”

2.4 Implementation service overview

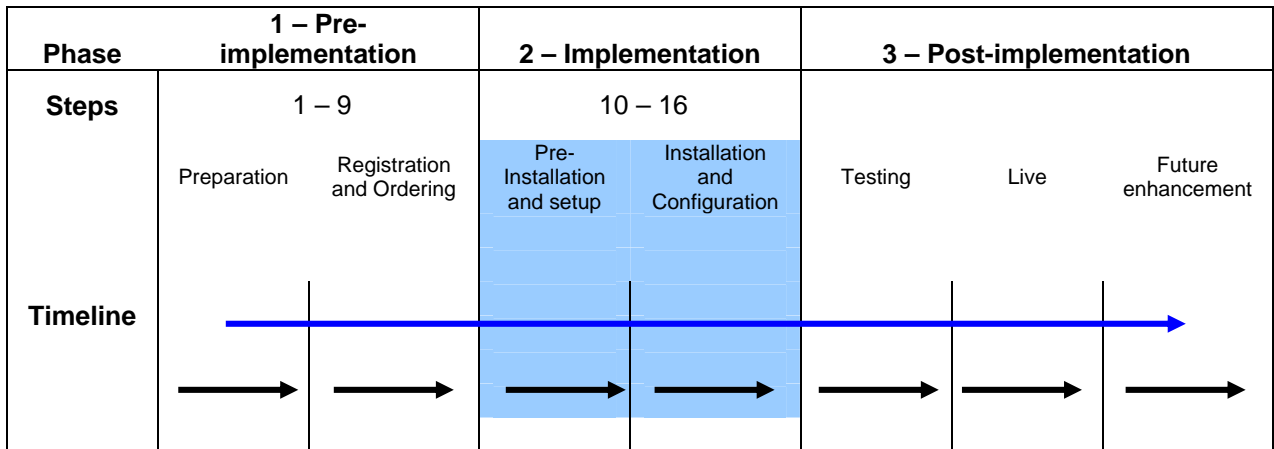
The on-site visit agenda is as follows:

1. Alliance Gateway re-licensing and upgrade with Alliance Gateway 6.1.50 functional update
2. Alliance Gateway Message Partner definition and configuration for the identified ScreenFlow applications
3. SWIFT Connectivity testing (wsha_test_connect)
4. Euroclear ScreenFlow application: installation and configuration (up to 3 co-located instances on stand-alone PCs)
5. ScreenFlow connectivity testing
6. Getting Started Assistance

Full details of the implementation service are described in next section under “Phase 2: Implementation”.

2.5 The implementation service process

The SWIFT implementation service for ScreenFlow is taking place during the pre-installation setup, installation and configuration steps of the implementation process.



The following tables describe the phases and subsequent steps in details.

Phase 1: Pre-implementation

Preparation, registration and ordering

Step	Action
1	<p><u>Order the ScreenFlow implementation service from SWIFT</u> Order the SWIFT implementation service for ScreenFlow from SWIFT directly. When ordering WSHA by upgrading its Alliance Gateway interface license, SWIFT sends you an email describing the service and benefits. To order the SWIFT implementation service for ScreenFlow, reply to this email and send back your acknowledgement to support@swift.com Refer to the CCI over SWIFTNet Implementation guide – “Appendix 1 – CCI Registration and Ordering” for information on the SWIFTNetService Subscription for CCI and Web Services Host Adapter (WSHA) ordering.</p>
2	<p><u>Nominate a project manager</u> Nominate a project manager to co-ordinate internal activities (or project manager appointed during Euroclear’s awareness phase)</p>
3	<p><u>Obtain the ScreenFlow application and register to Euroclear Single Platform services.</u> You must appoint 2 root operators to perform the administrative functions associated with the CCI (for example, the creation of screen and STP operators). You must also ensure that you have registered to Euroclear Single Platform services and received the Access Provider ID and the 2 root operator IDs and passwords from Euroclear. For more information, see the <i>Euroclear documentation</i> at www.euroclear.com.</p>
4	<p><u>Install the required hardware and software</u> Order any necessary hardware (for example, for Euroclear ScreenFlow application) and install operating systems</p>
5	<p><u>Agree implementation planning</u> In line with the slot agreed with Euroclear to conduct the CCI connectivity testing, define an implementation date with SWIFT and ensure that all key personnel (IT admin, security, and operators) are available for the implementation.</p>
6	<p><u>Set up network security as follows:</u> Between the ScreenFlow application and Alliance Gateway: If a concentrator firewall is placed between the applications and Alliance Gateway, then</p>

you must configure the firewall settings. This is to allow traffic between the ScreenFlow application and the machine that runs Alliance Gateway. During the installation of the Alliance Gateway 6.1.50 functional update, you are prompted to specify a single port number to be used by Web services applications connected to WSHA. By default, this TCP port number is 48005 and must be left opened on your firewall. Here are the details of the traffic to allow on your firewall:

Source		Destination		Protocol
Host	Port	Host	Port	SOAP
ScreenFlow GUI Host	>1023/tcp	Alliance Gateway Host	48005/tcp or user defined	

Note: This information is used during installation.

Between any other application and Alliance Gateway:

See the *SWIFT Network Access Control Guidelines* and the *SWIFT Network Configuration Tables Guide*, at www.swift.com/cci.

Between Alliance Gateway and the VPN box:

The following IP's have been provisioned for the Browse part of the Pilot ScreenFlow service (euroclear.screenflow!pu)

149.134.0.70

149.134.0.80

Port used to contact those IP's like for all Browse services is 443

Exact IP's to be provisioned for the Live ScreenFlow service (euroclear.screenflow) will be communicated shortly.

For more information on SWIFTNet access, see the *SWIFT Network Access Control Guidelines* and the *SWIFT Network Configuration Tables Guide*, at www.swift.com/cci.

8	Perform a full backup of your system and any other important backups.
9	<p><u>Perform site readiness checks and notify SWIFT of successful completion</u></p> <p>Confirm to SWIFT that network connectivity is in place with all of the required hardware and software readily available, as defined in section 2.2: Minimum software requirement prior to on-site visit.</p> <p>Confirm that you have received new Alliance Gateway licensing sheets, with Web Server Host Adapter licensed, containing the initialization passwords and Alliance Gateway 6.1.50 software patch (shipment details defined during Alliance Gateway re-licensing), as defined in section 2.3: Required installation resources</p> <p>Confirm that you have downloaded the Euroclear Software and received the 2 root operator IDs and passwords from Euroclear, as defined in section 2.3: Required installation resources</p> <p>Complete and return the <i>Readiness Form</i> (Appendix 1)</p>

Note After you have sent the *Readiness Confirmation Form* and results to SWIFT, you receive an installation confirmation within two weeks.

Phase 2: Implementation

Pre-installation setup, installation and configuration

This phase and the described tasks are covered by SWIFT Implementation Service for ScreenFlow as detailed below:

Step	Action
10	<p><u>Pre-installation checks</u></p> <p>Perform the pre-installation checks, verify network connectivity and software again, and confirm that passwords are correct</p> <p>Note: Issues that arise from network connectivity or lack of necessary materials can result in reduced time for training or cancellation of the implementation</p>
11	<p><u>Perform Alliance Gateway re-licensing and WSHA patch installation</u></p> <p>Follow the instructions in the Alliance Gateway 6.1.50 functional update Release Letter. During the installation, you are prompted to enter the port dedicated to the Alliance Gateway Web Services Host Adaptor. SWIFT recommends that you keep the default value 48005.</p> <p>You will require the following information, which is specified during the installation of the Web Services Host Adaptor, for the installation and configuration of the ScreenFlow application:</p> <p>The Alliance Gateway Web Services Host Adaptor port number (the default value is 48005)</p> <p>A URL in the following form to communicate with Web Services Host Adaptor: <protocol>://<sag_hostname>:<wsa_port>.</p> <p>The ScreenFlow application requires this URL, while the Web Services Host Adaptor endpoint incorporates an IP address or hostname and a port number. For more information, see the <i>SWIFT WSHA Configuration Guide</i>.</p> <p>The SSL certificate used to secure the connection between the ScreenFlow GUI and the Web Services host adaptor must be imported in the ScreenFlow GUI. This certificate is automatically generated during the installation of the Alliance Gateway WSHA patch but can as well be generated later on if needed. For more information about how to secure the connection between the ScreenFlow application and the Web Services Host Adaptor, see section 3.1 of the <i>SWIFT WSHA Configuration Guide</i>.</p> <p>You can find the corresponding setting within the ScreenFlow application in the <i>Detailed Configuration and Installation Information</i> that accompanies the application.</p>
12	<p><u>Configure the SWIFT components for CCI.</u></p> <p>Configure the SWIFT components with the CCI-specific configuration settings, as described in the CCI over SWIFTNet Implementation guide – section 5.3.</p>
13	<p><u>Install and configure ScreenFlow</u></p> <p>For more information, see the <i>Euroclear documentation</i> at www.euroclear.com</p>
14	<p><u>Test the SWIFTNet infrastructure for CCI.</u></p> <p>For more information, see the <i>Euroclear documentation</i> at www.euroclear.com</p>
15	<p>Complete and return the Implementation Acceptance Form (Appendix 2)</p>
16	<p><u>Getting Started assistance</u></p> <p>The Getting Started assistance ensures that the customer has the minimum knowledge necessary to operate and manage the newly installed system. The customer must have gained the knowledge by the time the SWIFT expert leaves the site. Having the basic knowledge necessary to operate and manage the system minimizes the customer's reliance on SWIFTSupport for help with the basic functionality of the system.</p>

Phase 3: Post-implementation

Testing, live, future enhancements

For more information, see the *Euroclear documentation* at www.euroclear.com.

3 Roles and Responsibilities

Introduction

A successful implementation requires the coordinated involvement of the customer and SWIFT. The following section lists the key responsibilities for each party, if the customer has ordered the SWIFT implementation service for ScreenFlow.

Customer responsibilities

If a customer subscribes to the SWIFT implementation service for ScreenFlow, then the customer's responsibilities are as set out in the following table.

Responsibility	Description
Network connectivity	Order and arrange for the implementation of network connectivity.
Hardware and operating system	Provide the computer hardware pre-installed with an operating system that meets the minimum software requirements.
Software and passwords	Providing the software and passwords as defined in the required installation resources
Personnel	Ensure relevant personnel's availability as defined in the required installation resources.
ScreenFlow software license	Sign and return the ScreenFlow software license to Euroclear before the installation date.

Note The customer must inform SWIFT immediately of any changes to information about named security officers or the shipping address.

SWIFT responsibilities

Responsibility	Description
Pre- implementation checks	Perform certain pre-installation checks before the implementation. Pre-installation checks verify the following factors: <ul style="list-style-type: none"> • successful network connectivity to SWIFT • correct hardware and operating system configuration • the customer's installation readiness
Euroclear ScreenFlow application installation	Install the Euroclear ScreenFlow application and confirm the successful connection to SWIFT (assuming that the pre-installation checks are successful)
Getting Started assistance	Provide the necessary Getting Started assistance and handover the installed system to the customer
Survey forms	Initiate a standard implementation survey, by providing the customer with the applicable form

4 Support

Online technical support

SWIFT offers all customers 24-hour support by means of the online support service accessible at www.swift.com. With this tool, customers can easily report, update, and monitor the status of cases. SWIFT advises customers to use online support as the main communication channel to our Support Centre. Customers with urgent problems can contact SWIFT by telephone.

SWIFT-related queries or problems

The following table details the appropriate SWIFT contact for customers to use depending on the nature of the query or the problem.

Query type	Contact reference
Commercial advice (for example, about how to join SWIFT, or how to order SWIFT products)	See www.swift.com/offices for information about how to contact your SWIFT representative or your regional SWIFT office.
Technical assistance	See www.swift.com/support .
Specific CCI queries	See www.swift.com/cci , or e-mail cci@swift.com .

To access the online support services on www.swift.com, customers must first register with Support.

Note Registration of Support is free of charge.

To register with Support

1. Access www.swift.com/support.
2. Click **Register** and the [Register](#) link for Support.
3. Complete the registration form.

Technical support by telephone

When customers contact one of the Support Centres listed in the following table, they must provide a BIC code and registration ID. If the query relates to a previous contact with a support team, then it is helpful to provide a case number.

Centre	Contact details
EMEA Customer Support	Tel: +31 71 582 2822 Fax: +31 71 581 2645 SWIFT BIC: SWHQ NL NL
Americas Customer Support	Tel: +1 540 825 6056 Fax: +1 540 825 7819 SWIFT BIC: SWHQ US US
Asian Pacific Customer Support	Tel: +852 2 852 8777 Fax: +852 2 852 8778 SWIFT BIC: SWHQ HK HK

SWIFT general questions, implementation kit, administration, and provisioning

For all SWIFT administration-related questions (for example, questions about the implementation kit, administration, and provisioning), customers can contact the local SWIFT office.

Customers can find a list of all SWIFT offices on www.swift.com/offices.

Euroclear Help Desk for ScreenFlow assistance

Clients requiring support from Euroclear during CCI connectivity testing can contact the appropriate number/e-mail address from the list below.

Location	Phone Number	e-mail address
Americas	+1 646 835 5404	client_service_newyork@euroclear.com
Asia-Pacific	+852 3966 5555	client_service_hongkong@euroclear.com
France	+33 1 49 31 87 99	sp.connectivity@euroclear.com
Japan	+813 3506 3711	euroclear_tokyo@euroclear.com
UK and Ireland	+44 20 7849 0232	sp.connectivity@euroclear.com
All other countries	+32 2 326 4387	sp.connectivity@euroclear.com

Appendix 1: Readiness confirmation form

Form to be returned to your SWIFT Customer Services Centre before service implementation.

E-mail: support@swift.com

Fax:

- Asia: +852 2 852 8778

- Europe: +31 71 581 2645

- Americas: +1 540 825 7819

The undersigned hereby confirms on behalf of

_____ (*name of Financial institution*)-

_____ (BIC) that:

- the SWIFT Implementation service for ScreenFlow- Service Description has been read, understood, and is accepted. All requirements specified within this description will have been met on the installation date.

- all tasks of the pre-implementation phase activities have been completed.

Notes:

1- If any of the Pre-Implementation phase activities (detailed in the SWIFT document - "The SWIFT Implementation service for ScreenFlow – Service Description", section 2.5 - "The Implementation service process") have not been completed, the installation will not be successful. Subsequent installation visits by the installation engineer will be made at the Customer's expense.

2 - Customer acknowledges that, from time to time and upon as far as reasonably practicable prior notice, technical experts may be absent (typically, in the event of sickness, unplanned absence, resignation or dismissal), and agrees that SWIFT shall have no liability to the Customer in these circumstances provided SWIFT shall manage the replacement of technical experts with a view to mitigate as far as reasonably practicable any adverse effect on the provision of the SWIFT Implementation service for ScreenFlow.

Name : _____ Function : _____

Signature : _____ Date : _____

Appendix 2: The SWIFT Implementation Service for ScreenFlow Acceptance Form

Form to be returned to SWIFT Customer Services Centre when implementation has been completed.

E-mail: support@swift.com

Fax:

- Asia: +852 2 852 8778
- Europe: +31 71 581 2645
- Americas: +1 540 825 7819

The SWIFT Implementation Service for ScreenFlow Acceptance Form

I acknowledge that the SWIFT expert has provided the implementation service in accordance with the contract and our requirements.

Please tick ✓

The implementation of the service is completed.....

Name: _____

BIC: _____

Implementation Date: _____

Signature: _____

Legal Notices

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