

Corporate Actions

Test Guideline for ECMS

Test cases: ECMS_TC_CPTY_CSD_25 to ECMS_TC_CPTY_CSD_30

Version	Date	Amendments
1.0	11.03.2024	Initial version

1. Testing guidelines and background information
2. Test case description

1. Testing guidelines and background information

Test scenarios:

- **Mandatory corporate actions (MAND)** for counterparties.
- The following event types are taken into account: **INTR** (interest payment), **REDM** (redemption) and **PRED** (partial redemption with pool factor reduction).
- Clearstream creates one corporate action (CA) event per event type which will be uploaded to ECMS.
- For each CA event type **two test cases** need to be completed (seev.031 and seev.036).

Required user roles:

- For U2A user:

**ECMS ENTITY - U2A CORPORATE ACTIONS AND TAX MANAGEMENT
(Execution #78 oder Read Only #79)**

1. Testing guidelines

Holding:

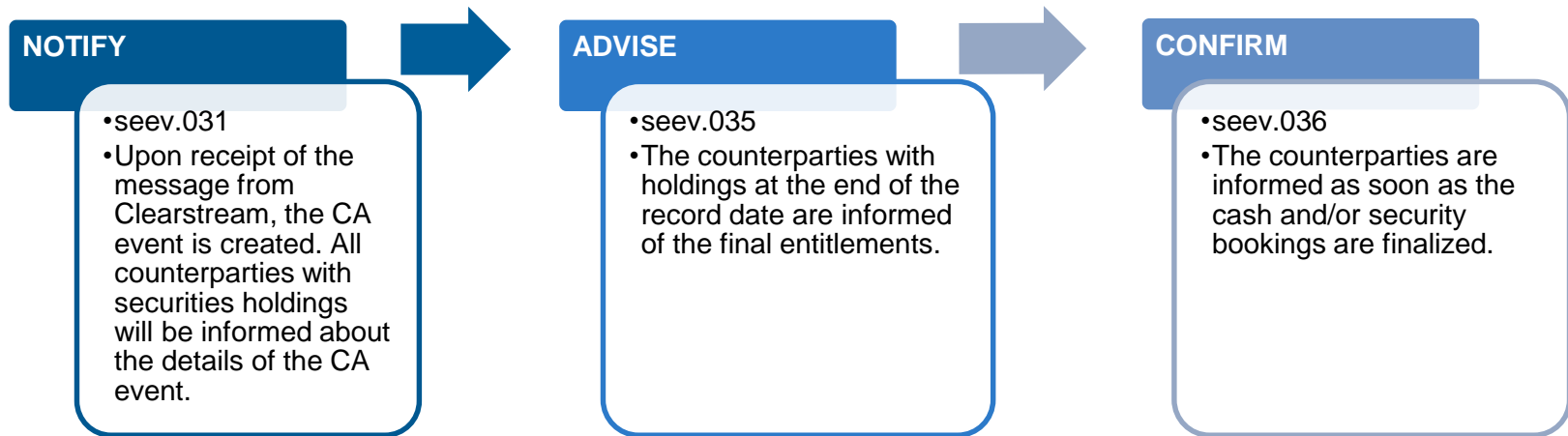
- For each event type **one CA event with one ISIN code** is tested.
- The **creation of holdings** for these ISIN codes on your collateral account (Internal Asset Account) and in T2S (External Asset Account) **is handled by the Bundesbank or Clearstream.**

Please note:

- The ISIN codes provided for the corporate action tests **cannot be used** for other testing activities, e.g. mobilization or de-mobilization.
- Please note that Bundesbank will send out **individual information letters** on the execution of the test. Individual ISIN codes and dates will be announced for each counterparty separately.

1. CA lifecycle (MAND)

- The **CA lifecycle** for mandatory CA events is divided into **three main steps** with **corresponding business processes**:



- More detailed information can be found here: [Schulungsmaterial](#).



1. Overview SWIFT messages

Overview of MT Number ↔ MX ID			
MT Number	MT Name	MX ID	MX Name
MT 564	Corporate Action Notification	seev.031	Corporate Action Notification
		seev.035	Corporate Action Movement Preliminary Advice
MT 566	Corporate Action Confirmation	seev.036	Corporate Action Movement Confirmation

- The applicable business processes and associated SWIFT ISO 20022 messages may vary depending on the type of CA event and the step in the CA lifecycle.

2. Test case description

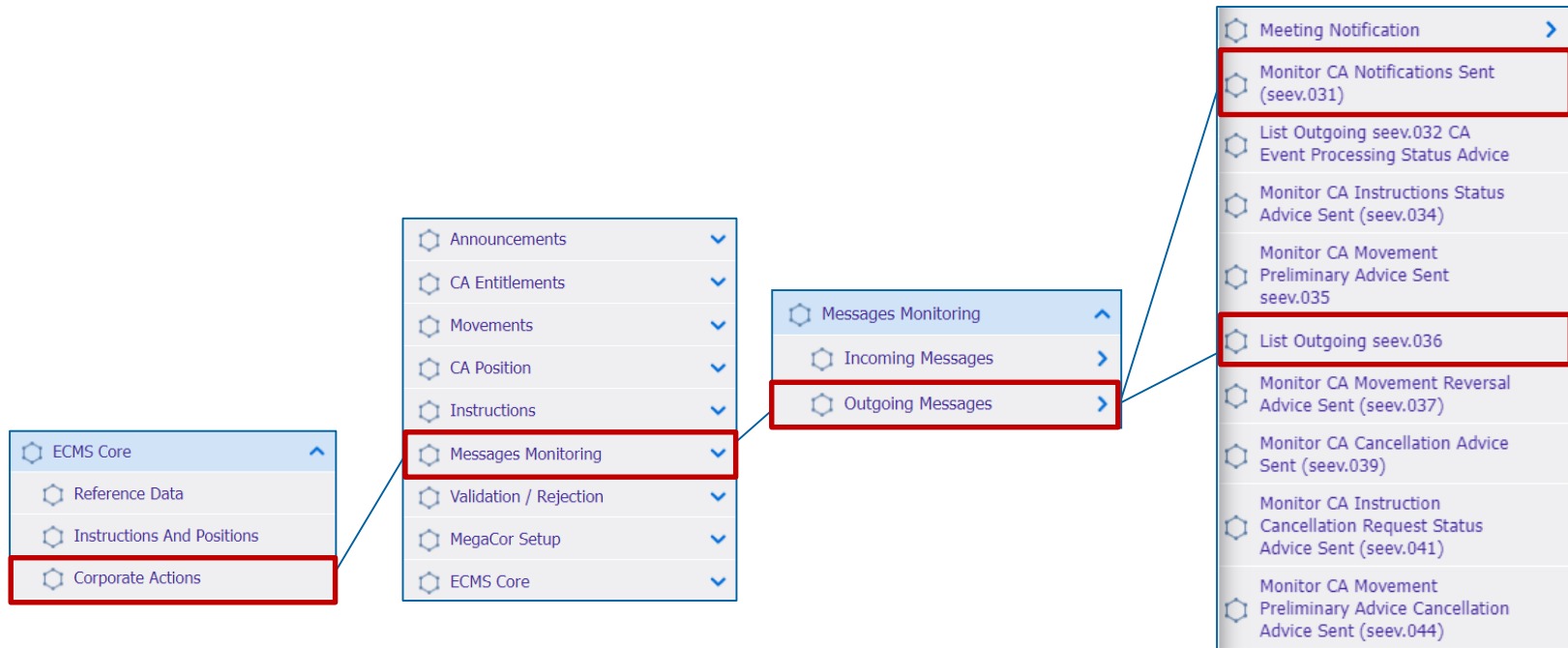
2. Fundamental test cases and testing status

Fund. Test Case ID	Functionality	Test Case Description	Successful Execution
ECMS_TC_CPTY_25	CA Announcement	Successful creation of CA event and sending of seev.031 to counterparties (INTR event)	seev.031 has been uploaded to ECMS and is available to counterparties. 
ECMS_TC_CPTY_26	CA Announcement	Successful creation of CA event and sending of seev.031 to counterparties (PRED event)	
ECMS_TC_CPTY_27	CA Announcement	Successful creation of CA event and sending of seev.031 to counterparties (REDM event)	
ECMS_TC_CPTY_28	CA Confirmation	Successful payment and sending of seev.036 to counterparties (INTR event)	seev.036 has been uploaded to ECMS and is available to counterparties. 
ECMS_TC_CPTY_29	CA Confirmation	Successful payment and sending of seev.036 to counterparties (PRED event)	
ECMS_TC_CPTY_30	CA Confirmation	Successful payment and sending of seev.036 to counterparties (REDM event)	

➤ Please note that there is no explicit test case for the seev.035.

2. Retrieval of seev.031 and seev.036 messages

- The retrieval of seev.031 and seev.036 is possible and shown in below screenshots. All messages for all event types (INTR, PRED, REDM) can be retrieved here.
- **IMPORTANT:** Please search primarily in the "Outgoing" menu item. These messages are the messages sent to you by ECMS.



2. Retrieval of seev.031 and seev.036 messages

- Click the row to be checked. The "Download" button appears.
- By clicking the „Download“ button the respective message is downloaded in XML format.
- The procedure is the same for seev.036 and all other SWIFT messages in the Corporate Action module.
- **The test case is successfully completed when the respective seev.03x message is retrieved.**

Monitor CA Notifications Sent (seev.031)

Search: Outgoing seev.031

List : Outgoing seev.031

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Message Id.	CA ECMS Event Id.	CA Event Type	Participation Type	Receiver Address	ISIN	Notification Type	Notifications Statu...	Asset Account Id.	Error Description	Update Date	Updater User Id
760015001	INTR0000002930	INTR	MAND		PTOTEGOE0009	NEWM	Processed			11/03/2024 13:42:1...	ECMSOperationalDa...
760014001	INTR0000002930	INTR	MAND		PTOTEGOE0009	NEWM	Processed			11/03/2024 13:42:0...	ECMSOperationalDa...
760013001	PCAL0000002916	PCAL	MAND		DE0001102382	REPL	Processed			11/03/2024 12:07:0...	ECMSOperationalDa...
760012001	PCAL0000002916	PCAL	MAND		DE0001102382	REPL	Processed			11/03/2024 12:07:0...	ECMSOperationalDa...
760011001	PCAL0000002916	PCAL	MAND		DE0001102382	REPL	Processed			11/03/2024 12:07:0...	ECMSOperationalDa...
760010001	INTR0000002915	INTR	MAND		DE000A0B1K04	NEWM	Processed			11/03/2024 10:02:2...	ECMSOperationalDa...
760009001	INTR0000002915	INTR	MAND		DE000A0B1K04	NEWM	Processed			11/03/2024 10:02:2...	ECMSOperationalDa...
760008001	PCAL0000002916	PCAL	MAND		DE0001102382	NEWM	Processed			11/03/2024 10:02:2...	ECMSOperationalDa...
760007001	PCAL0000002916	PCAL	MAND		DE0001102382	NEWM	Processed			11/03/2024 10:02:1...	ECMSOperationalDa...
760006001	PRED0000002913	PRED	MAND		DE0001142602	NEWM	Processed			11/03/2024 10:02:1...	ECMSOperationalDa...

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