

List of Known Limitations for C7 CAS (1/4)

Topic	Description	Impact	Date Published
Clearer Cash Accounts for LSOC clients cannot be requested/maintained via CAS	Clearer Cash Accounts for the LSOC model cannot be provided/changed via C7 CAS for the XSTANDARD Pool.	Setup/changes of Clearer Cash Accounts have to be processed manually via form.	3-May-24
Clearer Cash Accounts for ISA pools are not displayed in CAS, in case the setting "use existing prop accounts" is being selected	When defining the pool attributes for ISA collateral pools and the setting "use existing prop accounts" is selected the Clearer Cash Accounts tab does not display the cash accounts. C7 CAS doesn't replicate the clearer cash accounts which are setup for the XSTANDARD pool.	Changes to existing clearer cash accounts for ISA collateral pools can only be processed outside of CAS via form.	3-May-24
Collateral pools of IDCMs and IDLLHs are not displayed in C7 CAS	Setup and maintenance of IDCM and IDLLH collateral pool IDs is not supported in CAS.	Maintenance for IDLLH and IDCMs pool IDs (clearer cash, securities accounts etc.) has to be done via forms.	3-May-24
New Authorized Managers and Mass Upload functionality for DCs under that AM cannot be requested on same day	When setting up additional Disclosed Clients via the mass onboarding functionality, the Authorized Manager has to be accepted and a data synch has to have finished before the AM can be selected in the dropdown for the mass upload.	Clearing Members will have to first submit the admission request for a new Authorized Manager which then needs to be accepted by the Onboarding Manager (the go live date does not matter). Only after the next data synch the CM can request a mass onboarding of DCs under that Authorized Manager. Note: For already existing Authorized Manager admissions there is no impact.	15-Apr-24

List of Known Limitations for C7 CAS (2/4)

Topic	Description	Impact	Date Published
Only 1 Omnibus Collateral Pool per Mass Upload (Applies to ECM by Asset, ECM CASS, ECM EU clearing models)	To reduce complexity the upload functionality is limited to a single omnibus collateral pool per upload file. Either an existing or a new omnibus collateral pool.	<p>If CMs want to upload clients to multiple omnibus pools they can either use separate sheets in separate mass upload requests or change the account-pool assignment manually in the GUI after upload.</p> <p>ISA, ISA CASS and ISA EU are not impacted. Here multiple collateral pools can be uploaded.</p>	15-Apr-24
Request status "Finalized" missing for functional requests (Settlement Account, Buy-in, ETD Product Capacities)	C7 CAS does not validate the request against data which has been setup in production (status finalized).	Status does not clearly represent, if the request has been processed successfully in the core system. Status will remain as "accepted", but as soon as the data is setup in the C7 GUI, it will appear in "My Current Setup".	23-Feb-24
Multiple AMs for the same DC admission under the same CM not possible	C7 CAS does not allow for a Disclosed client to have multiple Authorized Managers under the same Clearing Member (i.e. the same member ID of the DC or the admission w/o member ID). This limitation will be fixed in Q3.	Onboarding such scenarios via C7 CAS is currently not possible. When setting it up outside of the tool, C7 CAS will randomly choose any of the admissions in SAP CRM and show this AM as the AM for all accounts of the DC under that CM. Set up in C7 RDS is possible and not affected. Each case has to be tracked and reported to IT when adjustments to the downstream files are needed.	18-Sep-23

List of Known Limitations for C7 CAS (3/4)

Topic	Description	Impact	Date Published
Multiple access types for the same DC/CM relation on different markets not possible	A given DC under a given CM can have distinct access types per market (e.g. DCMP on EUREX and DC on OTC IRS). C7 CAS, however, can only capture one Access Type per DC and CM relation.	As a result, C7 CAS will randomly choose one of the Access Types and reflect it as such in the GUI.	18-Sep-23
Multiple Clearing Models for the same DC/CM relation not possible	A Disclosed Client admission can only have 1 clearing model under the same CM. E.g. a DC w/o member ID can only be in one clearing model under the same CM, even if he sits in a classical fund manager setup with 2 different AMs which would like to opt for different clearing models. This limitation will be fixed in Q3.	Core system and SAP CRM not affected. But C7 CAS will ignore on of the client setups and not add it to the files sent downstream.	18-Sep-23
Open requests are not been taken into account	C7 CAS does not validate among open requests, e.g. that two requests do contain the same cash account, settlement account etc.	C7 CAS will not prevent the submission of both requests, even though data could be conflicting.	31-Aug-23
DEF and TIN usage for Settlement Accounts are displayed in the same record	Account usages are combined in one line per Settlement Account. The user can only send a combined deletion request across TIN and DEF.	The deletion of the TIN account only works with a workaround, creating a change request to remove TIN usage ("account will be used for Italian Bonds" from yes to no).	31-Aug-23

List of Known Limitations for C7 CAS (4/4)

Topic	Description	Impact	Date Published
No access to C7 CAS for any Third party (Cash Account Holder, Settlement Account Holder, Settlement Institutions, Collateral Account Holder)	Third party approvals still have to be collected via form (and signature).	Forms to be downloaded and uploaded by CM in C7 CAS.	31-Aug-23
CMs do not have access to C7 CAS Simulation.	C7 CAS works with production data only. Simulation setups will not be reflected in Current Setups.	Until a dedicated simulation environment for C7 CAS is in place for CMs, simulation setup requests will have to be processed by the KAM on behalf of the CMs in C7 CAS simulation	31-Aug-23
IDCM Pool ID is not available	IDCM pool IDs are not displayed in the pool attributes in C7 CAS.	Clearer Cash Accounts for an IDCM cannot be defined. Therefore, clearer cash accounts for the IDCM pool needs to be requested via form.	31-Aug-23