

Securities Services Online

[Securities Services Online \[1.0.0\] \(kbc.be\)](#)

April 2022



Securities Services Online (SSO) is a web interface KBC Securities Services makes available to its professional clients on a free-of-cost basis. It is being made available for the mere convenience of the client, as one of the manners to consult portfolios or to give instructions, next to other ones.

The tool supports different modules that can be activated or de-activated in function of the needs of a (type of) client. KBC invests great effort in keeping the application stable and secure, the Client from its perspective must see to it that it protects the devices with which it accesses the application against viruses, abuse or unauthorised access, and must undertake to inform KBC immediately if it discovers or even suspects that the access is being compromised.

The user will strictly comply with any user manual, security instructions or system requirements notified to it by KBC. KBC endeavors to make the tool available permanently to its Clients, not guaranteeing to its clients availability in excess of 99% on an annual basis. In case of interruption of the service, KBC will prosper business resumption in accordance with its business continuity program. KBC may restrict the access to the application or even shut it down for reasons of security or maintenance.

Making available the application does not confer any intellectual property rights to the client, except for a limited, temporary, non-exclusive and revocable right to use the application for the purposes for which it was designed. KBC may at its own discretion and without prior notice, restrict access to the application, amongst others, but not restricted to, the discontinuation of the service, in case of security threats or extended periods of inactivity of the client. The application is made available as is, without any guarantee for its merchantability or adequateness for the use it was designed for. KBC cannot be held liable for any consequences of the temporary unavailability of the system, or even for erroneous or out dated information that may at any time be displayed by the system.

1 Contents

1	Contents.....	3
2	Introduction	6
3	Logging on	8
3.1	Homepage.....	9
4	Accounts	10
4.1	General principles	10
4.2	Overview Securities accounts	10
4.3	Overview Cash accounts	12
4.4	Assets Overview.....	14
5	Cash movements	16
5.1	Pending cash transfers	16
5.2	External Cash transfers.....	16
5.2.1	External cash transfer to a reference account	16
5.2.2	External cash transfers to other accounts.....	17
5.3	Internal cash transfers.....	18
5.4	Technical cash transfers	19
5.5	Forex	24
6	Orders	26
6.1	Create Order	26
6.1.1	Find and select financial instrument.....	26
6.1.2	Fill in order form	27
6.1.3	Simulate order	29
6.1.4	Register order.....	31
6.1.5	Sign order.....	32
6.1.6	Orderbook	32
7	Static data	34
7.1.1	Standing Instructions.....	34
7.1.2	Sign Standing Instructions	35
8	Sign.....	36
8.1	Sign orders	36
8.1.1	View.....	36
8.1.2	Actions.....	36
8.2	Sign Forex.....	39
8.2.1	View.....	39
8.2.2	Actions.....	39
8.3	Sign Cash movements	41

8.3.1	View.....	41
8.3.2	Actions.....	41
8.4	Sign Plans	43
8.4.1	View.....	43
8.4.2	Actions.....	43
8.5	Sign Technical cash movements	45
8.5.1	View.....	45
8.5.2	Actions.....	45
8.6	Sign Settlement Instructions	47
8.6.1	View.....	47
8.6.2	Actions.....	47
8.7	Sign Standing Instructions	49
	View.....	49
8.7.1	49
8.7.2	Actions.....	50
9	Client acceptance	51
9.1	Overview	51
9.2	Actions.....	52
9.2.1	View/add remark	52
9.2.1.1	Accept client.....	53
9.2.2	Reject client.....	54
10	Plans (Investment and Income Plans)	55
10.1	Overview	55
10.1.1	Actions.....	56
10.2	Create Investment Plans.....	61
10.2.1	Selection list 'Securities'	62
10.2.2	Selection list 'Models'	64
10.3	Create Income Plans.....	67
11	Settlement Instructions.....	71
11.1	General principles	71
11.2	Overview	71
11.3	Create Internal SI	73
11.4	Create External SI	74
11.5	Settlement Upload.....	78
11.5.1	Trade Details	79
11.5.2	Settlement Details	79
11.5.3	REAG/DEAG Details.....	80
11.5.4	BUYER/SELLER Details	81
11.5.5	Upload	82

11.5.6	Error messages	85
12	Product	86
12.1	Product Information	86
13	Reporting	89
13.1	Securities Transactions	90
13.2	Securities Positions	90
13.3	Cash Movements	91
13.4	Cash Balances	91
13.5	Dividend Overview	91

2 Introduction

With Securities Services Online (SSO), KBC Securities Services has developed a web-interface for all professional clients. The different modules of SSO can be activated to support the individual needs of every client.

Via SSO, clients have direct access to the backend system of KBC Securities Services . They will be able to perform real-time queries on account information and download reports.

With the module for settlement instructions, clients have an online view on all settlement instructions. The extensive trading module in SSO allows clients to simulate and input orders in a wide range of products and markets. The orderbook offers an online view on the status of all orders and allows clients to cancel or edit existing orders.

With the forex module, it's possible to create foreign exchange transactions and open accounts in other currencies.

The product information module offers access to KID and Target Market info. Finally, cash transfers can be created via SSO.

System requirements:

SSO does not require any additional software and is supported by the following browsers:

- Google Chrome
- Firefox
- Internet Explorer 10 and higher

Contact:

In case of any questions or issues, please contact our Customer Support: customersupport@kbc.be

Overview modules SSO:

- 1) Accounts
 - Cash accounts
 - Securities accounts
 - Assets Overview
- 2) Cash movements
 - Pending cash transfers
 - Internal cash transfers
 - Forex
- 3) Orders
 - Create order
 - Orderbook
- 4) Sign
 - Orders
 - Cash movements
 - Settlements
 - Forex
 - Plans
- 5) Plans
 - Overview
 - Create Saving Plan
 - Create Income Plan
- 6) Settlement Instructions
 - Overview
 - Create Internal Settlement Instruction
 - Create External Settlement Instruction
- 7) Product
 - Product Information

3 Logging on

For access to Securities Services Online (SSO), you need a personal digipass and PIN. To obtain your personal digipass, please contact clientadministration@kbc.be.


Do not share your digipass and PIN with any other persons. Keep the card in a secure place, in case of card theft, loss or damage, immediately contact clientadministration@kbc.be.

In case you forgot your PIN or locked your digipass, please also contact clientadministration@kbc.be.

To log on, please enter a valid user ID and response code in the logon-screen of Securities Services Online (SSO) on the website <https://bpo-app.securitiesservices.kbc.be>.



1. Enter your User-ID

2. To unlock your digipass, press and hold  and  at the same time.

3. Type in your pincode

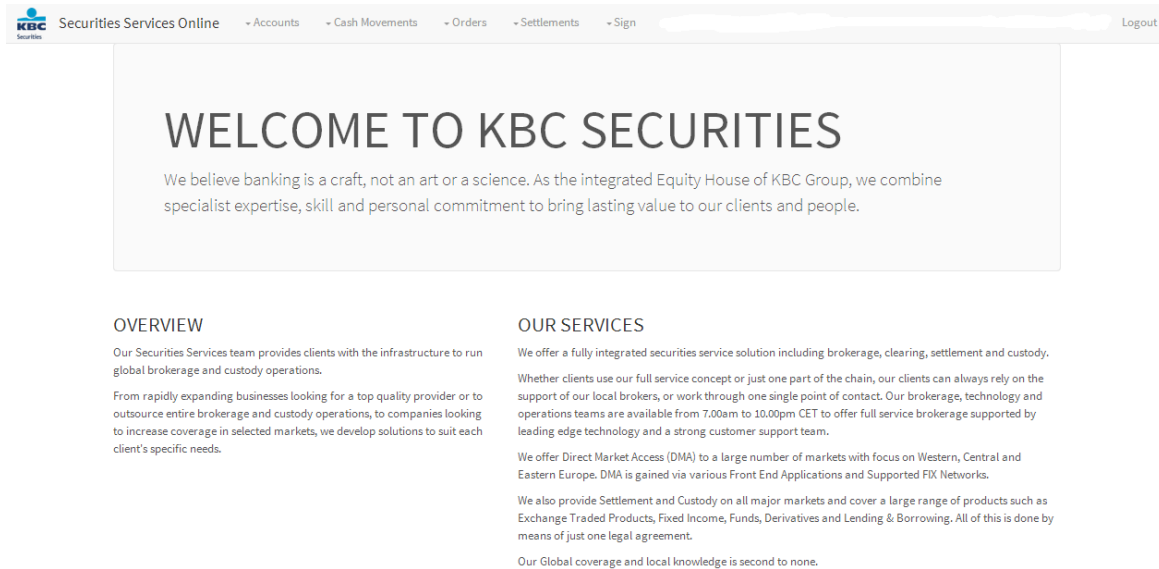
4. Press **1** to choose **APPLI 1**

5. Fill in the response code

LOGIN

3.1 Homepage

On the homepage of Securities Services Online (SSO), clients can find general information about KBC Securities Services, contact persons and the Standard Settlement Instructions of KBC Securities Services.



The screenshot shows the KBC Securities Services Online (SSO) homepage. At the top is a navigation bar with the KBC logo, the text "Securities Services Online", and links for "Accounts", "Cash Movements", "Orders", "Settlements", "Sign", and "Logout". Below the navigation bar is a large white box with the heading "WELCOME TO KBC SECURITIES" and a paragraph: "We believe banking is a craft, not an art or a science. As the integrated Equity House of KBC Group, we combine specialist expertise, skill and personal commitment to bring lasting value to our clients and people." Below this box are two columns of text. The left column is titled "OVERVIEW" and describes the team's infrastructure and services. The right column is titled "OUR SERVICES" and lists various services including brokerage, clearing, settlement, custody, and Direct Market Access (DMA).

Securities Services Online Accounts Cash Movements Orders Settlements Sign Logout

WELCOME TO KBC SECURITIES

We believe banking is a craft, not an art or a science. As the integrated Equity House of KBC Group, we combine specialist expertise, skill and personal commitment to bring lasting value to our clients and people.

OVERVIEW

Our Securities Services team provides clients with the infrastructure to run global brokerage and custody operations.

From rapidly expanding businesses looking for a top quality provider or to outsource entire brokerage and custody operations, to companies looking to increase coverage in selected markets, we develop solutions to suit each client's specific needs.

OUR SERVICES

We offer a fully integrated securities service solution including brokerage, clearing, settlement and custody.

Whether clients use our full service concept or just one part of the chain, our clients can always rely on the support of our local brokers, or work through one single point of contact. Our brokerage, technology and operations teams are available from 7.00am to 10.00pm CET to offer full service brokerage supported by leading edge technology and a strong customer support team.

We offer Direct Market Access (DMA) to a large number of markets with focus on Western, Central and Eastern Europe. DMA is gained via various Front End Applications and Supported FIX Networks.

We also provide Settlement and Custody on all major markets and cover a large range of products such as Exchange Traded Products, Fixed Income, Funds, Derivatives and Lending & Borrowing. All of this is done by means of just one legal agreement.

Our Global coverage and local knowledge is second to none.

4 Accounts

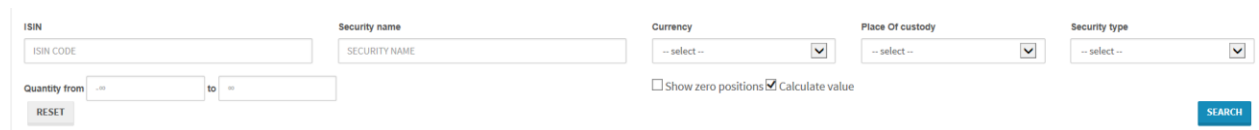
4.1 General principles

With the accounts module, clients have an online view on their accounts to see the current securities and cash positions. All accounts will be visible, also blocked and margin accounts. Securities and cash movements can easily be queried online on several search criteria. Clients can also view and download XLS- and PDF reports and send reports to their email-address.

4.2 Overview Securities accounts

Clients have an online view on all securities accounts that have been set up. Clients can query movements on several criteria or a combination of these criteria, and see the details of the different security movements.

Possible search criteria:



ISIN

In this field, the user can input the ISIN-code of the security.

Security name

In this field, the user can input the name of the security.

Currency

A list of all currencies will be shown, the client can select a specific currency in the list or type the currency code.

Place of custody


A list of all possible places of custody will be shown; the client can select a specific place of custody.

Security Type

A list of all possible security types will be shown, the client can select a specific security type.

Quantity from – Quantity to

In this numerical field, the client can fill in the quantity from/to.

From the Securities accounts overview, clients also have a direct link to the order form, via the “Create Order” button , provided that the security is tradable. The client will immediately be presented with the order form, see 3.1.2 “Create Order”.

Select client:

Securities Services Online ▾ Accounts ▾ Cash Movements ▾ Orders ▾ Settlements ▾ Sign ▾ Client Acceptance ▾ Plans Logout

Securities Accounts for client ▾

No client selected.

- *ALL - All accounts
- 9451091 -
- 9451201 -
- 9452349 -
- 9452283 -
- 9451292 -
- 9452555 -

View Securities positions:

Securities Services Online ▾ Accounts ▾ Cash Movements ▾ Orders ▾ Settlements ▾ Sign ▾ Client Acceptance ▾ Plans TEST USER (testusers) Logout

Securities Accounts for client ▾ 6321000 - DOE-DOE ×

Securities 22 DOWNLOAD XLS DOWNLOAD PDF SEND REPORT

ISIN Security name Currency Place Of custody Security type

Quantity from to ☐ Show zero positions ☒ Calculate value RESET SEARCH

Client	Client name	Account Description	ISIN	Security name	Curr	Type	Quantity	Price	Value	Tax Relevant
6321000/000	DOE-DOE	SECURITIES IN CUSTODY	NO0010657398	AKER ASA 12-22 VAR%	NOK	EUROBONDS	500,000.0000	108.3750	541,875.0000	
6321000/000	DOE-DOE	SECURITIES IN CUSTODY	BE0974258874	BEKAERT NV	EUR	SHARES	850.0000	45.8050	38,934.2500	

View Securities movements:

Securities Services Online ▾ Accounts ▾ Cash Movements ▾ Orders ▾ Settlements ▾ Sign ▾ Client Acceptance ▾ Plans

Securities Accounts for client ▾

Securities 0 DOWNLOAD XLS DOWNLOAD PDF

ISIN Security name Currency ☐ Show zero positions ☒ Show untradable p RESET

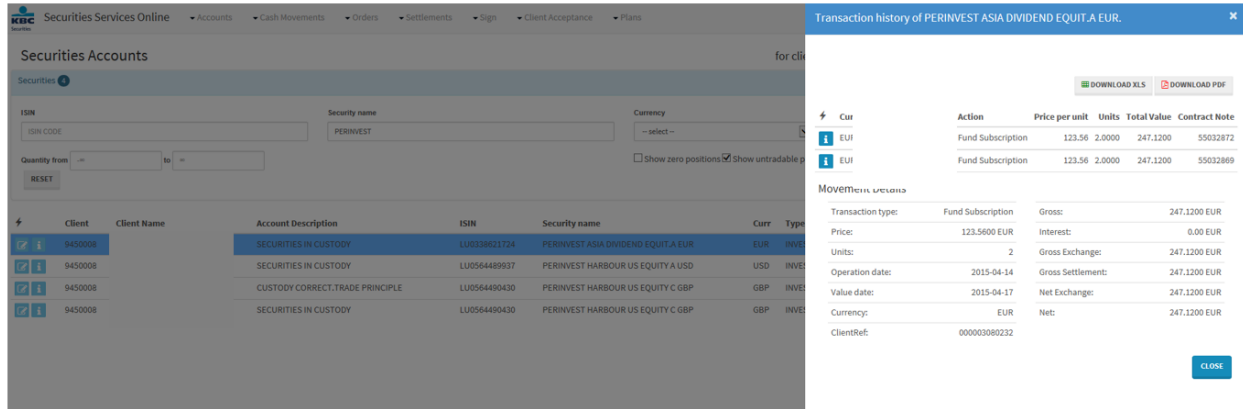
Client	Client Name	Account Description	ISIN	Security name	Curr	Type
9450008		SECURITIES IN CUSTODY	LU0338621724	PERINVEST ASIA DIVIDEND EQUIT A EUR	EUR	INVE
9450008		SECURITIES IN CUSTODY	LU0564409537	PERINVEST HARBOUR US EQUITY A USD	USD	INVE
9450008		CUSTODY CORRECT.TRADE PRINCIPLE	LU0564409430	PERINVEST HARBOUR US EQUITY C GBP	GBP	INVE
9450008		SECURITIES IN CUSTODY	LU0564409430	PERINVEST HARBOUR US EQUITY C GBP	GBP	INVE

Transaction history of PERINVEST ASIA DIVIDEND EQUIT A EUR. ×

DOWNLOAD XLS DOWNLOAD PDF

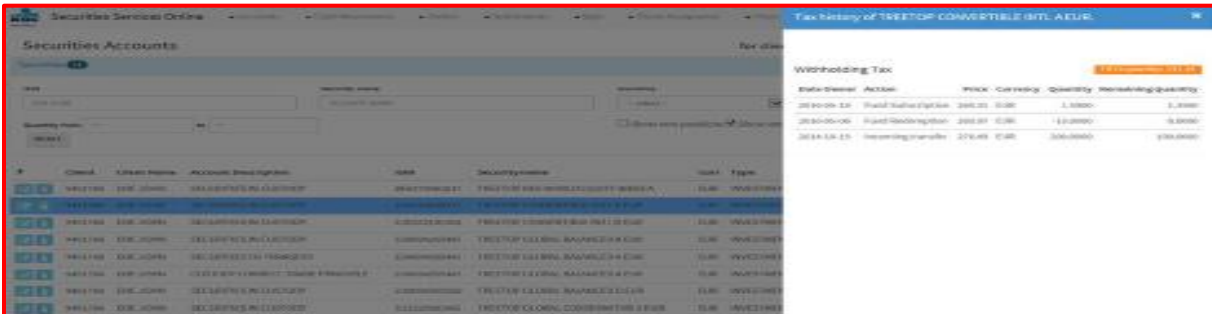
Action	Price per unit	Units	Total Value	Contract Note
Fund Subscription	123.56	2.0000	247.1200	55032872
Fund Subscription	123.56	2.0000	247.1200	55032869

View detail Securities movements:



The button **WITH FDS** (Withholding Tax on Funds) next to a securities position indicates the tax relevancy of the security. Behind this button, the historical movements and their tax relevant information will be provided:

- o Date ownership
- o Action (= Transaction type)
- o Price (= initial or historical price)
- o Currency (price currency)
- o Quantity (= initial transaction quantity)
- o Remaining Quantity (= initial quantity minus sell transactions or other debit movements)



4.3 Overview Cash accounts

Clients have an online view on all cash accounts that have been set up. Clients can query movements on several criteria or a combination of these criteria, and see the details of the different cash movements.

Possible search criteria:

Balance
 to

Description

Currency

Positions
 ☐ Zero Pos ☐ Blocked Pos

CLEAR

FILTER

Balance

In this field, the user can filter on the balance of a cash account.

Description

In this field, the user can input the name of the account.

Currency

A list of all currencies will be shown, the client can select a specific currency in the list or type the currency code.

Select client:

KBC

Securities Services Online

Accounts
 Cash Movements
 Orders
 Settlements
 Sign
 Client Acceptance
 Plans

Logout

Cash Accounts
 for client

No client selected.

*ALL - All accounts
 9451091
 9451201
 9452349
 9452283
 9451292
 9452555

View Cash positions:

KBC

Securities Services Online

Accounts
 Cash Movements
 Orders
 Settlements
 Sign
 Client Acceptance
 Plans

Logout

Cash Accounts
 for client
 9451327 - DOE JOHN

DOWNLOAD XLS
 DOWNLOAD PDF

Cash accounts

Balance
 Description
 Currency
 Positions

	Client	Client name	Account	Name Account	Cash Balance	Exch. Rate	Balance Eur
1	9451327	DOE JOHN	9451327401000978	AMOUNTS ON VALUE DATE	65,742,3400 EUR	1,0000	65,742,3400

View Cash movements:

Securities Services Online				
Accounts Cash Movements Orders Settlements Sign Client Acceptance Plans				
Cash Accounts				
Cash accounts 1				
Balance		Description		
-		DESCRIPTION		
RESET				
Client	Client name	Account	Name Account	
9451327	DOE JOHN	9451327401000978	AMOUNTS ON VALUE DATE	

14 cash movements for account 9451327401000978.				
DOWNLOAD XLS DOWNLOAD PDF				
Amount from	to	Date from	to	
RESET		SEARCH		
Transaction type	Debit/Credit	Cur	Value Date	
Redemption payment	3,825.0000	EUR	16/09/2015	
Payment dividends	-3,774.5100	EUR	16/09/2015	
Payment dividends	3,774.5100	EUR	16/09/2015	
Redemption payment	48,023.8400	EUR	5/05/2015	
Deposit on current account client	25,000.0000	EUR	1/12/2012	
Deposit on current account client	25,000.0000	EUR	1/07/2013	
Fund Subscription	-10,008.8600	EUR	21/01/2015	
Fund Subscription	-21,124.8500	EUR	10/07/2013	
Fund Subscription	-25,009.0100	EUR	14/12/2012	
Fund Subscription	-39,947.1500	EUR	15/02/2013	
Fund Subscription	-20,008.6400	EUR	28/11/2014	
Fund Subscription	-50,007.9900	EUR	17/09/2014	
Deposit on current account client	60,000.0000	EUR	1/01/2014	
Deposit on current account client	50,000.0000	EUR	1/01/2013	

View detail Cash movements:

Securities Services Online				
Accounts Cash Movements Orders Settlements Sign Client Acceptance Plans				
Cash Accounts				
Cash accounts 1				
Balance		Description		
-		DESCRIPTION		
RESET				
Client	Client name	Account	Name Account	
9450008		9450008401000826	AMOUNTS ON VALUE DATE	
9450008		9450008401000849	AMOUNTS ON VALUE DATE	
9450008		9450008401000978	AMOUNTS ON VALUE DATE	
9450008		9450008445403978	MISCELLANEOUS DEBTS	

Redemption payment	-152,939.9000	USD	6/07/2015	
Payment dividends	2,247.6500	USD	6/07/2015	
Redemption payment	152,939.9000	USD	6/07/2015	
Fund Redemption	1,557.8500	USD	3/07/2015	
Ingoing corporate action	-4.3200	USD	15/05/2015	
Transfer between clients	111.1100	USD	26/05/2015	
Redemption payment	5,977.5700	USD	22/05/2015	
Fund Subscription	2,976.5700	USD	20/05/2015	

Movement Details				
Amount:	2,976.5700	Creation Date:	2015-05-15	
Currency:	USD	Value Date:	2015-05-20	
Balance:	3537.85	Transaction Date:	2015-05-15	

Transaction Details for PERINVEST ASIA DIVIDEND EQUIT.B USD				
Contract Note:	55941927	ClientRef:		
Price:	11.2340 USD	Total:	2,976.5700 USD	
Units:	251.333	Operation date:	2015-05-15	
Total:	2,976.5700 USD	Value date:	2015-05-20	

Fund Subscription	-2,976.5700	USD	20/05/2015	
Transfer between clients	-1.0000	USD	28/04/2015	
Fund Subscription	-399.8500	USD	17/04/2015	
Fund Redemption	3,938.7000	USD	3/03/2015	

4.4 Assets Overview

Clients have an online view on the combined cash and securities accounts that have been set up.



Securities Services

Assets overview

for client

*ALL - All accounts

More accounts are found for this client. This overview shows only the first 50 items. 59

[DOWNLOAD XLS](#)
[DOWNLOAD PDF](#)

	Client	Client name	Agent	Management type	Total Cash	Total Securities	Total
			TEST USER	OTAD	4,705.3700 EUR	9,244.5700 EUR	13,949.9400 EUR
			TEST USER	OTAD	16,230.9100 EUR	51,374.5300 EUR	67,605.4400 EUR
			TEST USER	OTAD	4,543.8400 EUR	200,780.7300 EUR	205,324.5700 EUR

Using the envelope button before each line, a PDF or Excel report can be send to the predefined email address of the client.

Securities Services Online

Accounts
Cash Movements
Orders
Settlements
Sign
Client Acceptance

Assets overview

Assets 1

	Client	Client name	Agent	Management type
			TEST USER	ORDER TRANSMISSION/ADVISORY

Send Portfolio Report.

Generate a report and send it to your configured e-mailaddress.

Filetype * PDF

Calculation date * 29/06/2017

Report * Operation Date

CLOSE
SEND REPORT

Securities Services Online

Accounts
Cash Movements
Orders
Settlements
Sign
Client Acceptance
Plans

Cash Accounts

Cash accounts 1

Balance
Description

RESET
DESCRIPTION

	Client	Client name	Account	Name Account
	9450008		9450008401000826	AMOUNTS ON VALUE DATE
	9450008		9450008401000840	AMOUNTS ON VALUE DATE
	9450008		9450008401000978	AMOUNTS ON VALUE DATE
	9450008		945000845403978	MISCELLANEOUS DEBTS

Redemption payment
Payment dividends
Redemption payment
Fund Redemption
Ingoing corporate action
Transfer between clients
Redemption payment
Fund Subscription

-152,939.9000
2,247.6500
152,939.9000
1,557.8500
-4.3200
111.1100
5,977.5700
2,976.5700

USD
USD
USD
USD
USD
USD
USD
USD

6/07/2015
6/07/2015
6/07/2015
3/07/2015
15/05/2015
26/05/2015
22/05/2015
20/05/2015

Movement Details

Amount: 2,976.5700
Currency: USD
Balance: 3537.85

Creation Date: 2015-05-15
Value Date: 2015-05-20
Transaction Date: 2015-05-15

Transaction Details for PERINVEST ASIA DIVIDEND EQUIT.B USD

Contract Note: 55041927
Price: 11.2340 USD
Units: 251.333
Total: 2,976.5700 USD

ClientRef:
Total: 2,976.5700 USD
Operation date: 2015-05-15
Value date: 2015-05-20

Fund Subscription
Transfer between clients
Fund Subscription
Fund Redemption

-2,976.5700
-1.0000
-399.8500
3,938.7000

USD
USD
USD
USD

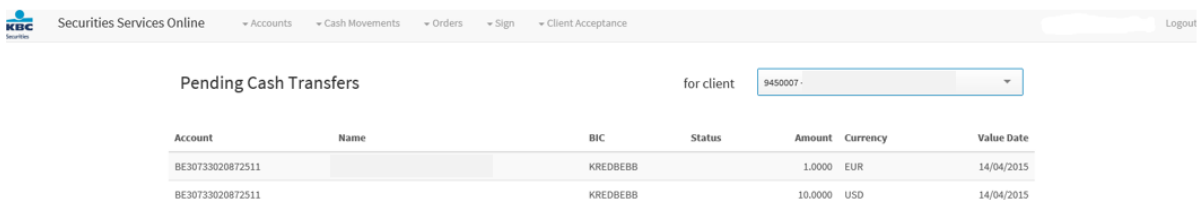
20/05/2015
28/04/2015
17/04/2015
3/03/2015

5 Cash movements

5.1 Pending cash transfers

In the overview of pending cash transfers, clients can see cash transfers that have been created, but have not been booked yet. These cash transfers have not been processed automatically, because there are validation issues. KBC Securities Services will follow up these pending cash transfers, and will contact the client if any action has to be taken.

In the overview screen, clients have a view on the pending cash transfers, It's not possible to perform any actions here.



Account	Name	BIC	Status	Amount	Currency	Value Date
BE30733020872511		KREDBEBB		1.0000	EUR	14/04/2015
BE30733020872511		KREDBEBB		10.0000	USD	14/04/2015


5.2 External Cash transfers

With the “external cash transfer” module, clients can transfer cash to an external reference account. With the “internal cash transfer” module, clients can shift cash from one account to another.

5.2.1 External cash transfer to a reference account

The reference account (set up in the system of KBC Securities Services) can be selected in a list of possible accounts. To register the cash transfer, the amount, currency and comment (optional) have to be filled in.

After validation, the cash transfer will have to be signed in the “sign” screen by the same user or another user (if the 4-eyes principle has been set up for this client), see 4.2. After signing the cash transfer, it will automatically be routed to KBC Securities Services backend system for further processing.


KBC
 Securities Services

Create external cash transfer

for client 6321110 -

Create external cash transfer

Amount: *

amount for transfer

CURRENCY▼

Account number: *

-- select --

▼

AUD

CHF

EUR

GBP

HKD

NOK

NZD

PLN

SEK

USD

Amounts on value date

	0.00
	0.00
	31,413.65
	0.00
	1,349.38
	3,087.50
	0.00
	0.00
	0.00
	3,871.12

RESET

CREATE TRANSFER

5.2.2 External cash transfers to other accounts

This functionality is only available for BPO clients.

With the “external cash transfers” module, clients are also able to transfer cash to an account which has not been set up as a reference account by KBC Securities Services.

In this case, clients have to fill in the amount, currency, the IBAN and BIC and full name and address of the beneficiary (mandatory for USD and CAD, not for other currencies), and a comment (optional).

After validation, the cash transfer will have to be signed in the “sign” screen by the same user or another user (if the 4-eyes principle has been set up for this client), see 4.2. After signing the cash transfer, it will automatically be routed to KBC Securities Services backend system for further processing.

Create external cash transfer

for client

9450007 -

Register external cash transfer

Amount: *	Currency: *	Account: *
1000	EUR - EURO	BEO 0026 3
Account number: *		BIC: *
-- select --		KREDBEBB
		Name:
		jkjdjfskldfj
		First name:
		kdfjkskldfj
		Street and number:
		kdfjsk 525
		Zip Code:
		1080
		City:
		Brussels

BIC: * bic code	
Name: name	
First name: first name	
Street and number: address	
Zip Code: zipcode	
City: city	
Country: -- select --	
Comment: transfer EUR 1000	
Cash transfer successfully registered, please note that the cash transfer has to be signed.	
You can CREATE A NEW TRANSFER or SIGN	

5.3 Internal cash transfers

With the “internal cash transfer” module, clients can transfer cash between different client accounts.

Clients have to select the client “from” and client “to”, fill in the amount and currency, and add a comment (optional). After validation, the cash transfer will have to be signed in the “sign” screen by the same user or another user (if the 4-eyes principle has been set up for this client), see 4.2. After signing the cash transfer, it will automatically be routed to KBC Securities Services backend system for further processing.

KBC Securities Services Online Accounts Cash Movements Orders Settlements Sign Logout

Create internal cash transfer for client 9451607

Create internal cash transfer

Amount: * 100 Currency: * EUR EUR - EURO Transfer type: * 01 - Current to Current To Client: * 9451749-TESTING TEST

Comment: TEST

RESET CREATE TRANSFER

KBC Securities Services Online Accounts Cash Movements Orders Settlements Sign Logout

Create internal cash transfer

Cash transfer successfully registered, please note that the cash transfer has to be signed.

Create internal cash transfer

Amount: * 100 Currency: * EUR EUR - EURO Transfer type: * 01 - Current to Current To Client: * 9451771-DOE JOHN

Comment: TEST

Cash transfer successfully created, please note that the cash transfer has to be signed.

You can [CREATE A NEW TRANSFER](#)

5.4 Technical cash transfers

With the 'Technical cash transfer' module, clients can enter cash movements on internal waiting accounts.

The client can select the type of technical cash transfer. KBC Securities Services is able to create other types of technical cash transfers upon request of the client.

After validation of the booking instruction, the cash booking will have to be signed in the "sign" screen by the same user or another user (if the 4-eyes principle has been set up for this client), see 4.5. After signing the cash transfer, it will automatically be routed to KBC Securities Services backend system for further processing.

Securities Services Online | Accounts | Cash Movements | Orders | Settlements | Sign | Client Acceptance | Plans | Logout

Create technical cash transfer

Transfer type: *

Amount: *

amount for transfer CURRENCY

From Client: *

Comment:

COMMENT

RESET

CREATE TRANSFER

select transfer type

- 06 - Commercial concession
- 08 - Transfer from general waiting accou
- 09 - Stock exchange tax
- 10 - Local withholding tax
- 11 - VAT
- 12 - Transfer commission to TreeTop
- 13 - Transfer own assets to TreeTop (prv

Securities Services Online | Accounts | Cash Movements | Orders | Settlements | Sign | Client Acceptance | Plans | Logout

Technical cash transfer successfully registered, please note that the technical cash transfer has to be signed.

Create technical cash transfer

Transfer type: *

06 - Commercial concession

Value Date:

21/06/2016

To Client: *

34 - 8

Amount: *

50 EUR

From Client: *

34 - 50

Comment:

COMMENT

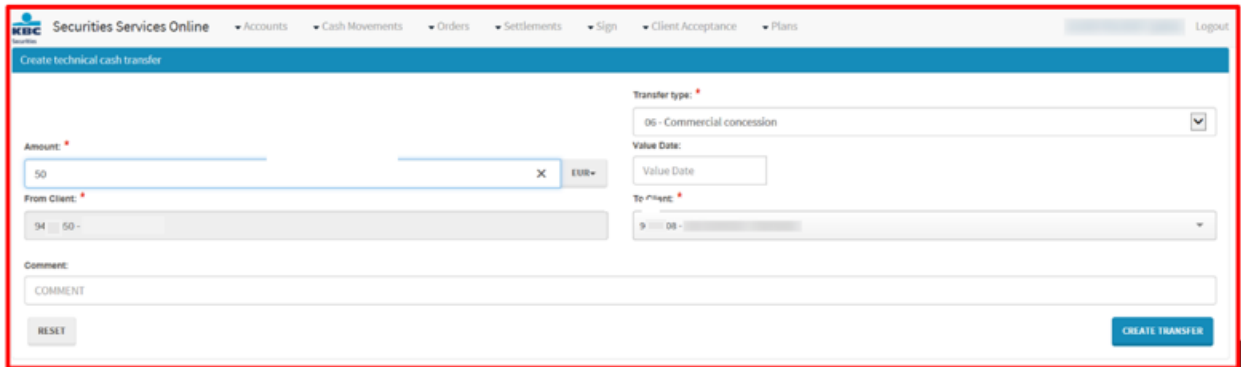
Cash transfer successfully created, please note that the cash transfer has to be signed.

You can CREATE A NEW TRANSFER

Following 'transfer types' are available:

06 'commercial concession'

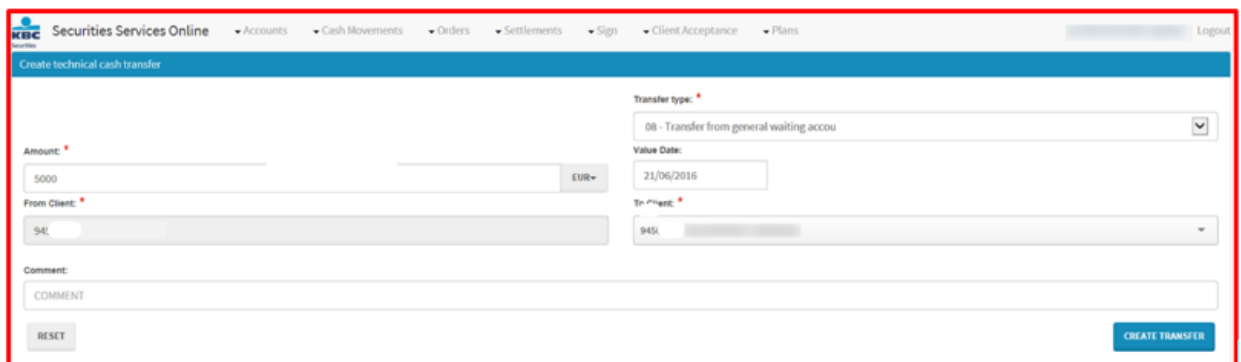
- ⇒ This transfer type allows the client to book a commercial concession to the end-customer cash account in EUR. Other currencies are possible under the condition that the end-customer has a cash account in the currency and the BPO client has transferred the amount in the same currency to their KBC Bank cash account.
(e.g. from account 9xxxxxx 499 978 978 to account 9xxxxxx 401 000 978)
- ⇒ The client completes following fields
 - Amount per account (mandatory)
 - Currency (mandatory)
 - Value date (optional): if not completed, the system will take the current date as value date.
 - Beneficiary account end-customer (select in 'to client') (mandatory)
 - Comment (optional). The comment is not reported to the end-customer, but is only captured in the back end.



08 'Transfer from general waiting account'

- ⇒ This transfer type allows the client to book an amount on the general waiting account (e.g. incoming cash transfer with AML checks to perform) to the end-customer cash account in EUR. Other currencies are possible under the condition that the end-customer has a cash account in the currency and BPO client has received the amount in the same currency on their KBC Bank cash account.
(e.g. from account 9xxxxxx 499 978 978 to account 9xxxxxx 401 000 978)

- ⇒ The client completes following fields
- Amount per account (mandatory)
 - Currency (mandatory)
 - Value date (optional): if not completed, the system will take the current date as value date.
 - Beneficiary account end-customer (select in 'to client') (mandatory)
 - Comment (optional). The comment is not reported to the end-customer, but is only captured in the back end.



09 'Stock Exchange Tax'

- ⇒ This transfer type allows the client to confirm the payment in EUR of this tax to the financial authorities
- ⇒ Debit account is defaulted by the system
- ⇒ Credit account is defaulted by the system
- ⇒ The client completes following fields
- Amount (mandatory)



Securities Services

- Value date (optional): if not completed, the system will take the current date as value date.
- Comment (optional). The comment is not reported in the movements, but is only captured in the back end for information.

10 'Local Withholding tax'

- ⇒ This transfer type allows the client to confirm the payment in EUR of this tax to the financial authorities
- ⇒ Debit account is defaulted by the system
- ⇒ Credit account is defaulted by the system
- ⇒ The client completes following fields
 - Amount (mandatory)
 - Value date (optional): if not completed, the system will take the current date as value date.
 - Comment (optional). The comment is not reported in the movements, but is only captured in the back end for information.

11 'VAT'

- ⇒ This transfer type allows the client to confirm the payment in EUR of this tax to the financial authorities
- ⇒ Debit account is defaulted by the system
- ⇒ Credit account is defaulted by the system
- ⇒ The client completes following fields
 - Amount (mandatory)
 - Value date (optional): if not completed, the system will take the current date as value date.



Securities Services

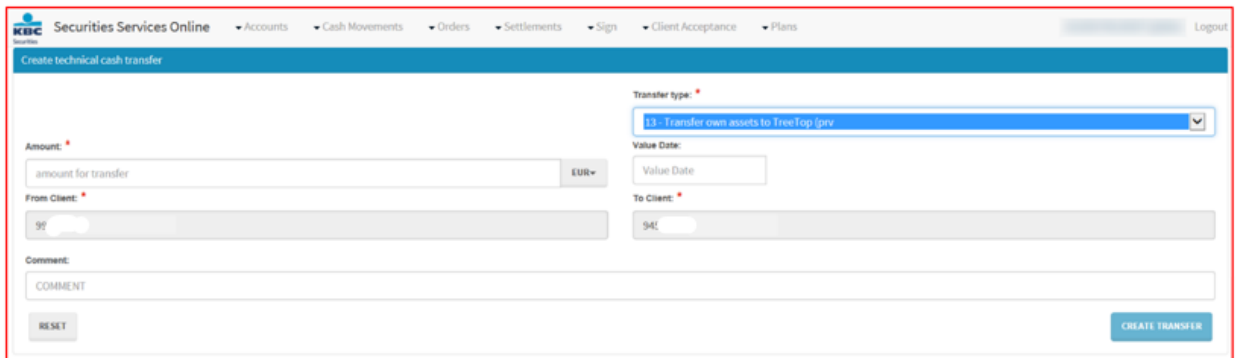
- Comment (optional). The comment is not reported in the movements, but is only captured in the back end for information.

12 'Transfer commission to BPO client'

- ⇒ This transfer type allows the client to confirm the transfer of commissions in EUR to the clients entity account.
- ⇒ Debit account is defaulted by the system
- ⇒ Credit account is defaulted by the system
- ⇒ The client completes following fields
 - Amount (mandatory)
 - Value date (optional): if not completed, the system will take the current date as value date.
 - Comment (optional). The comment is not reported in the movements, but is only captured in the back end for information.

13 'Transfer own assets to BPO client'

- ⇒ This transfer type allows the client to confirm the transfer of own assets of the previous fiscal year in EUR to the clients entity account.
- ⇒ Debit account is defaulted by the system
- ⇒ Credit account is defaulted by the system
- ⇒ The client completes following fields
 - Amount (mandatory)
 - Value date (optional): if not completed, the system will take the current date as value date.
 - Comment (optional). The comment is not reported in the movements, but is only captured in the back end for information.



The screenshot shows the 'Create technical cash transfer' form. The form includes the following fields and options:

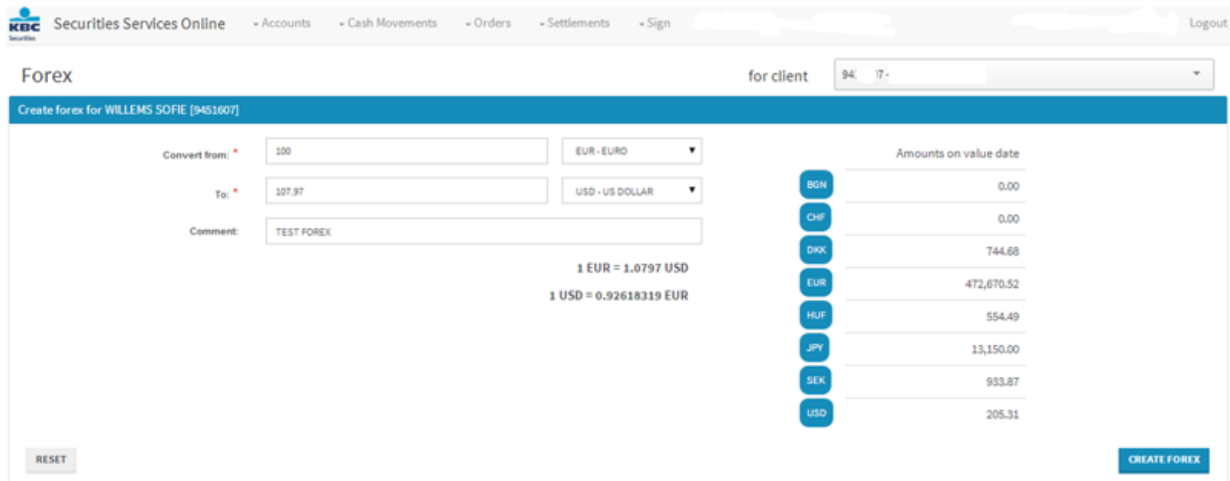
- Transfer type:** A dropdown menu with the selected option '13 - Transfer own assets to TreeTop (pre)'.
- Value Date:** A text input field.
- Amount:** A text input field with the placeholder 'amount for transfer' and a currency selector set to 'EUR'.
- From Client:** A dropdown menu with the selected client '99'.
- To Client:** A dropdown menu with the selected client '94'.
- Comment:** A text input field with the placeholder 'COMMENT'.
- Buttons:** 'RESET' and 'CREATE TRANSFER'.

5.5 Forex

With the “Forex” module, clients can create currency exchange instructions.

The client has an online view on the cash amount in different currencies.

To create a forex instruction, he can select the currencies in a list of possible currencies supported by KBC Securities Services, fill in the amount and add a comment (optional).



The screenshot shows the 'Forex' form for client 'WILLEMS SOFIE [9451607]'. The form includes the following fields and options:

- Convert from:** A text input field with the value '100' and a currency selector set to 'EUR - EURO'.
- To:** A text input field with the value '107.97' and a currency selector set to 'USD - US DOLLAR'.
- Comment:** A text input field with the value 'TEST FOREX'.
- Exchange Rates:**
 - 1 EUR = 1.0797 USD
 - 1 USD = 0.92618319 EUR
- Amounts on value date:** A table showing the cash amount in various currencies.

Currency	Amount
BGN	0.00
CHF	0.00
DKK	744.68
EUR	472,670.52
HUF	554.49
JPY	13,150.00
SEK	933.87
USD	205.31
- Buttons:** 'RESET' and 'CREATE FOREX'.

When pressing the “Create Forex” button, the instruction will be validated (check the available amount, user authorities and limits). The client will receive confirmation of the registration or an error message in case of any issues.

Securities Services Online Accounts Cash Movements Orders Settlements Sign Logout

Forex for client 94 17

Create forex for [9451607]

Convert from: * 100 EUR - EURO

To: * 107.97 USD - US DOLLAR

Comment: TEST FOREX

1 EUR = 1.0797 USD
1 USD = 0.92618319 EUR

Amounts on value date


RON	0.00
CHF	0.00
DKK	744.68
EUR	472,670.52
HUF	554.49
JPY	13,150.00
SEK	933.87
USD	205.31

After signing the instruction in the “Sign”, the currency exchange will be processed and booked by KBC Securities Services. The transaction will immediately be visible in the cash account movements, showing the full details of the currency exchange transaction.

DOWNLOAD XLS DOWNLOAD PDF

Amount from .00 to .00 Date from to

RESET SEARCH

Transaction type	Debit/Credit	Cur	Value Date	Contract Note
 Exchange transaction	88.0300	GBP	21/06/2017	

Movement Details

Debit Currency:	EUR	Credit Currency:	GBP
Debit Amount:	100	Credit Amount:	88.03
Exchange Rate:	* 0.8803	Transaction Date:	2017-06-21
Debit Value Date:	2017-06-21	Credit Value Date:	2017-06-21
Debit Comment:		Credit Comment:	

CLOSE

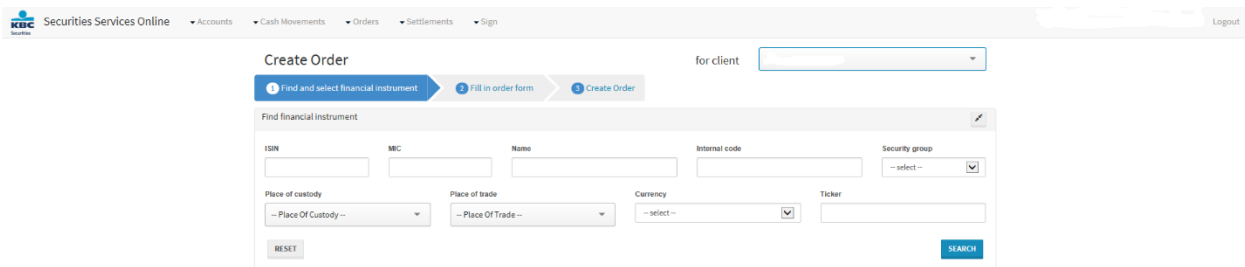
6 Orders

6.1 Create Order

With the “create order” module, clients can create orders in a wide range of products. After signing the order, it will be sent to KBC Securities Services order book, where it will be processed immediately and automatically.

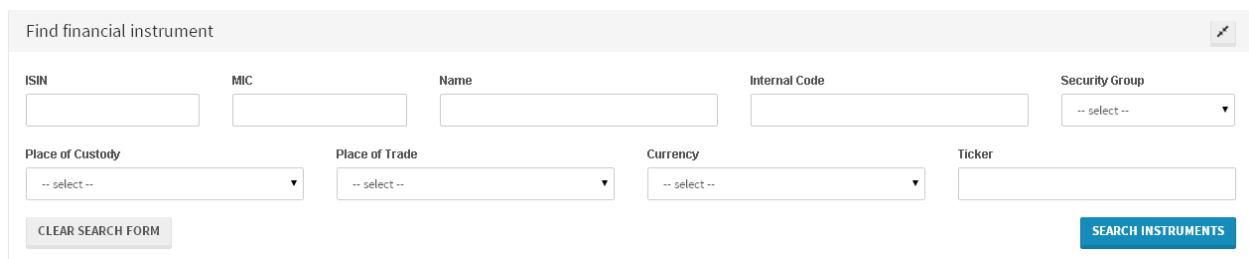
To create an order, the following steps have to be completed:

1. **Find and select financial instrument:** select the financial instrument
2. **Fill in order form:** complete the order form
3. **Register order:** register the order



6.1.1 Find and select financial instrument

Possible search criteria:



ISIN

In this field, the user can fill in the ISIN-code of the security.

MIC

In this field, the user can fill in the MIC-code of the market.

Security name

In this field, the user can fill in the name of the security.

Internal code

In this field, the user can fill in the internal code of the security; this is the internal code in the system of KBC Securities.

Security Group

A list of all possible security Groups will be shown, the client can select a specific security Group.

Place of custody

A list of all possible places of custody will be shown; the client can select a specific place of custody.

Place of trade

A list of all possible places of trade will be shown; the client can select a specific place of trade.

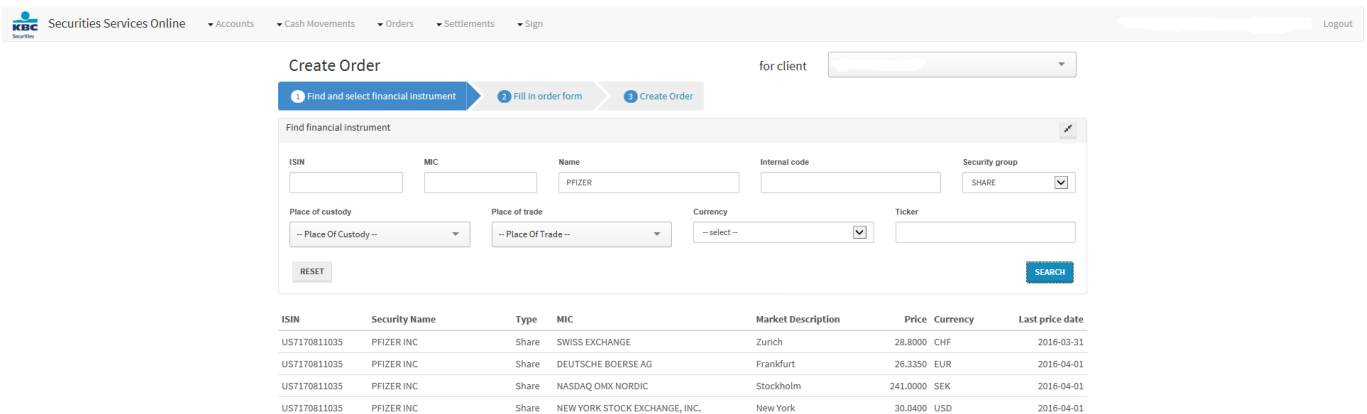
Currency

A list of all currencies will be shown; the client can select a specific currency in the list or type the currency code.

Ticker

In this field, the client can look for a ticker code.

Based on one or more of these search criteria, a list of securities will be shown.



ISIN	Security Name	Type	MIC	Market Description	Price	Currency	Last price date
US7170811035	PFIZER INC	Share	SWISS EXCHANGE	Zurich	28.8000	CHF	2016-03-31
US7170811035	PFIZER INC	Share	DEUTSCHE BOERSE AG	Frankfurt	26.3350	EUR	2016-04-01
US7170811035	PFIZER INC	Share	NASDAQ OMX NORDIC	Stockholm	241.0000	SEK	2016-04-01
US7170811035	PFIZER INC	Share	NEW YORK STOCK EXCHANGE, INC.	New York	30.0400	USD	2016-04-01

6.1.2 Fill in order form

After choosing the correct security, the client will have to fill in the order form to create the order.

1 Find and select financial instrument
2 Fill in order form
3 Create Order

Fill in good till date market order

ISIN

BE0974258874

Security name

BEKAERT NV

Operation *

☒ Buy

☒ Use Best Execution

Order type *

▼

Place Of trade *

NYSE Euronext - Euronext Brussels (XBRU)

Quantity *

Currency client *

▼

Available cash: 215,650.70 EUR

Validity date *

Decision maker

Shortselling indicator

External reference

RESET

CREATE ORDER

In the input screen, all mandatory fields are marked with *.

Fields order form:

ISIN

Filled in automatically based on the security.

Security Name

Filled in automatically based on the security.

Operation

Buy or Sell / Subscribe or Redeem (for OTC funds).

Use Best Execution

The client can select Best Execution or not.

Order Type

The client can select the Order Type in a list of possible Order Types.

Place of trade

Filled in automatically, based on the security and Best Execution indicator.

Quantity or Amount

Quantity or amount to be filled in. It's only possible to create orders in amounts for OTC Funds if orders in amounts are allowed for the security and transfer agent.

Limit price

The client can fill in a limit price (only for limit order).

Decision Maker

The field will be pre-filled with the possible decision makers for this account, according to the Mifid II regulation. The client can choose the decision maker based upon this.

Shortselling Indicator

In case a Sell is chosen, the client can choose a Shortselling indicator according to the Mifid II regulation.

Settlement Currency

The client can select the currency he wants the order to be booked in. The available currencies are listed; these are currencies in which the client has opened a cash account.

Validity Date

The client can select a validity date. The default Validity Date is the last business day of the next month, but the client can choose any other date. For OTC funds (redemption/subscription), the validity date will be fixed at 1 year.

External Reference

The client can add his own reference (optional, only capital letters).

After completing the order form, the order can be created ("register order" button), simulated ("simulate order" button) or the screen can be cleared ("reset" button).

6.1.3 Simulate order

The client can simulate the order and all costs involved by clicking on the "create order" button. An overview of all transaction details and fees will be shown.

Also the Ex-Ante Cost projection is shown in this screen and available to download as pdf file. Attention! The Ex-Ante Cost Projection provides an estimate of the cost for buy/sell orders, this can be different from the effective costs that will be applied.

1 Find and select financial instrument

2 Fill in order form

3 Create Order

Order to create

Operation	Buy
Best Execution	Yes
Order Type	Market order
Validity	One Day
Quantity	10
Currency Client	EUR

Transaction Overview

Gross:	238.2000 EUR
Gross Exchange:	238.2000 EUR
Gross Settlement:	238.2000 EUR
Brokerage Fee:	15.0000 EUR
Stamp Duty:	0.8300 EUR
Net Exchange:	254.0300 EUR
Net:	254.0300 EUR

Security

Name	BEKAERT NV
Isin	BE0974258874
Market	Euronext Brussels
Price	23.82
Currency	EUR

Ex-Ante Cost Projection

	On sale after 1 year	
Charges paid for investment services	31.86 EUR	13.38%
One-off charges VAT included	0.00 EUR	0.00%
Recurring charges VAT included	0.20 EUR	0.08%
Recurring charges - KBC Securities Services	0.00 EUR	0.00%
Recurring charges - Asset manager	0.20 EUR	0.08%
Transaction charges	31.66 EUR	13.29%
Brokerage fees - KBC Securities Services	30.00 EUR	12.59%
Brokerage fees - Asset manager	0.00 EUR	0.00%
Stock exchange fees and taxes	1.66 EUR	0.70%
Exchange rate margin	0.00 EUR	0.00%
Charges for related services VAT included	0.00 EUR	0.00%
Incidental charges VAT included	0.00 EUR	0.00%
Product charges	0.00 EUR	0.00%
One-off charges	0.00 EUR	0.00%
Ongoing charges	0.00 EUR	0.00%
Transaction charges	0.00 EUR	0.00%
Incidental charges	0.00 EUR	0.00%
Third-party payments	0.00 EUR	0.00%
Total charges including taxes	31.86 EUR	13.38%

i KBC Securities Services is legally obliged to give you, before placing an order, an overview of the possible impact that costs and taxes might have on the return on your investment in case of different scenarios. This impact is carefully estimated based on the information available to KBC Securities Services at the time the order was placed. Certain costs and taxes (corporate actions costs, external transfer costs and costs and taxes related to dividends) are not included. The exchange rate margin used is an estimate based on the current exchange rate. Your order will of course be executed at the price of the moment of execution.

[DOWNLOAD EX-ANTE SIMULATION](#)
[CREATE ORDER](#)

6.1.4 Register order

After registration of the order (create order button in the above screen), the client gets an overview of the order, with an overview of the transaction details and fees.

Once the order has been created, you have the option to create a new order or sign the order.

1 Find and select financial instrument
2 Fill in order form
3 Create Order

Order to create

Operation	Buy
Best Execution	Yes
Order Type	Market order
Validity	Good Till Date
Validity Date	2019-04-30
Quantity	10
Currency Client	EUR

Transaction Overview

Gross:	222.8000 EUR
Gross Exchange:	222.8000 EUR
Gross Settlement:	222.8000 EUR
Brokerage Fee:	15.0000 EUR
Stamp Duty:	0.7800 EUR
Net Exchange:	238.5800 EUR
Net:	238.5800 EUR

Security

Name	Share	BEKAERT NV
Isin		BE0974258874
Market		Euronext Brussels
Price		22.28
Currency		EUR

Ex-Ante Cost Projection

	On sale after 1 year	
Fees paid for investment services	31.74 EUR	14.25%
One-off fees VAT included	0.00 EUR	0.00%
Recurring fees VAT included	0.18 EUR	0.08%
Recurring fees KBC - Securities Services	0.00 EUR	0.00%
Recurring fees - Asset manager	0.18 EUR	0.08%
Transaction fees	31.56 EUR	14.17%
Broker's fees - KBC Securities Services	30.00 EUR	13.46%
Broker's fees - Asset manager	0.00 EUR	0.00%
Belgian and foreign stock exchange market taxes	1.56 EUR	0.70%
Exchange rate margin	0.00 EUR	0.00%
Fees for ancillary services VAT included	0.00 EUR	0.00%
Incidental fees VAT included	0.00 EUR	0.00%
Fees paid for investment products	0.00 EUR	0.00%
One-off fees	0.00 EUR	0.00%
Recurring fees	0.00 EUR	0.00%
Transaction fees	0.00 EUR	0.00%
Incidental fees	0.00 EUR	0.00%
Distribution fees	0.00 EUR	0.00%
Total fees including taxes	31.74 EUR	14.25%



Securities Services

i KBC Securities Services is legally obliged to give you, before placing an order, an overview of the possible impact that costs and taxes might have on the return on your investment in case of different scenarios. This impact is carefully estimated based on the information available to KBC Securities Services at the time the order was placed. Certain costs and taxes (corporate actions costs, external transfer costs and costs and taxes related to dividends) are not included. The exchange rate margin used is an estimate based on the current exchange rate. Your order will of course be executed at the price of the moment of execution.

[DOWNLOAD EX-ANTE SIMULATION](#)

We successfully created the order.

You can

[CREATE A NEW ORDER](#)

or

[SIGN](#)

6.1.5 Sign order

After validating the order, it will have to be signed in the “sign” screen by the same user or another user (if the 4-eyes principle has been set up for this client). After signing the order, it will automatically be routed to KBC Securities Services backend system for further processing. Sign screen: see 4.1.

6.1.6 Orderbook

In the order book, the client can see all orders for his accounts, regardless of the source (created via SSO or manually by KBC Securities Services).

By default, clients will see all pending of the selected account for the last month, but he can filter on a series of search criteria.

Possible search criteria:

Orderbook for client 6321000 - DOE-DOE

Orders [DOWNLOAD XLS](#) [DOWNLOAD PDF](#) [EDIT](#)

ISIN <input type="text" value="ISIN CODE"/>	Order status <input type="text" value="-- select --"/>	Currency <input type="text" value="-- select --"/>	Place Of Trade <input type="text" value="-- select --"/>	Security Type <input type="text" value="-- select --"/>	External Reference <input type="text" value="EXTERNAL REFERENCE"/>
Date from <input type="text" value="12/11/2017"/>	to <input type="text" value="to date"/>	Amount from <input type="text" value="0"/>	to <input type="text" value=""/>	Order Type <input type="text" value="-- select --"/>	Validity Type <input type="text" value="-- select --"/>

☐ Cancelled Orders ☒ Pending Orders ☐ Executed Orders

[CLEAR](#) [SEARCH](#)

ISIN

In this field, the user can input the ISIN-code of the security.

Order Status

The client can select a status.

Currency

A list of all currencies will be shown; the client can select a specific currency in the list or type the currency code.

Place of trade

A list of all possible places of trade will be shown; the client can select a specific place of trade.

Security Type

A list of all possible Security Types will be shown; the client can select a specific security Group.

External Reference

The client can search on his own reference.

Date From/To

The client can filter on input date.

Amount From – Amount to

In this numerical field, the client can fill in the amount.

Order Type

The client can filter on Order Type.

Validity Type

The client can filter on Validity Type.

Additionally, the client can select the following orders:

- Cancelled orders
- Pending orders
- Executed orders

7 Static data

7.1.1 Standing Instructions

Via the Standing Instructions module it is possible to register/edit client's standing instructions for corporate actions (DRIP – Dividend Reinvestment and DVOP – Dividend Option).



Currently, standing instructions can only be registered/edited for individual client accounts. Any standing instruction that has already been set up in our back-office system will be visible in SSO:

Standing Instruction for Corporate Actions for client

Create Standing Instructions for

DRIP (Dividend Reinvestment):

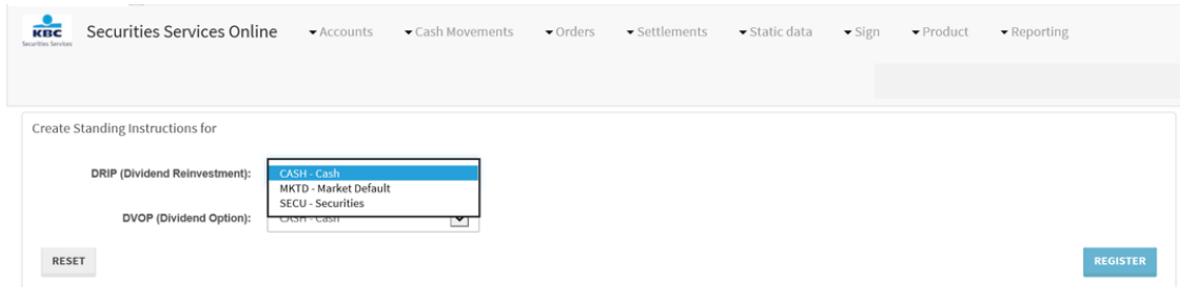
DVOP (Dividend Option):

If the client account does not have a standing instruction yet, the fields will be blank:

DRIP (Dividend Reinvestment): *

DVOP (Dividend Option): *

3 options are available: cash, securities and market default

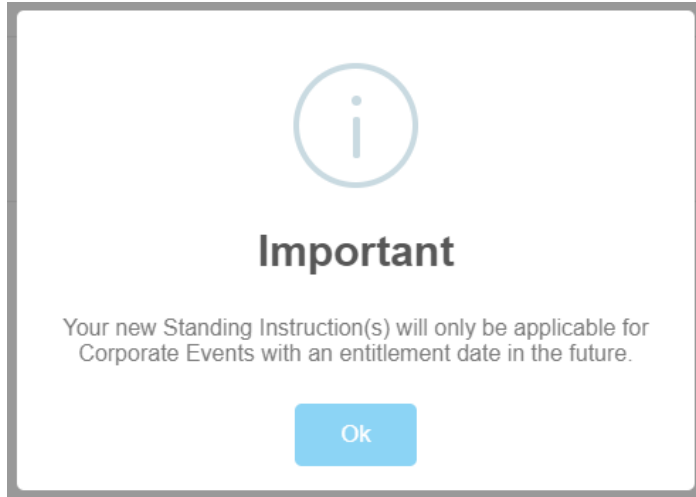


Clients can explicitly elect to always receive the market default, thus avoiding the need to ever send us their election for DRIP or DVOP events. In this case the Market Default ("MKTD") option has to be selected.

If standing instructions are registered via SSO, they need to be registered both for DRIP (Dividend Reinvestment) and DVOP (Dividend Option).

When standing instructions are modified, but not registered yet, the 'reset' button can be used to go back to the initial situation.

Upon registration of a new standing instruction, a warning message will indicate that the end client's standing instruction will only be applicable for FUTURE corporate actions.



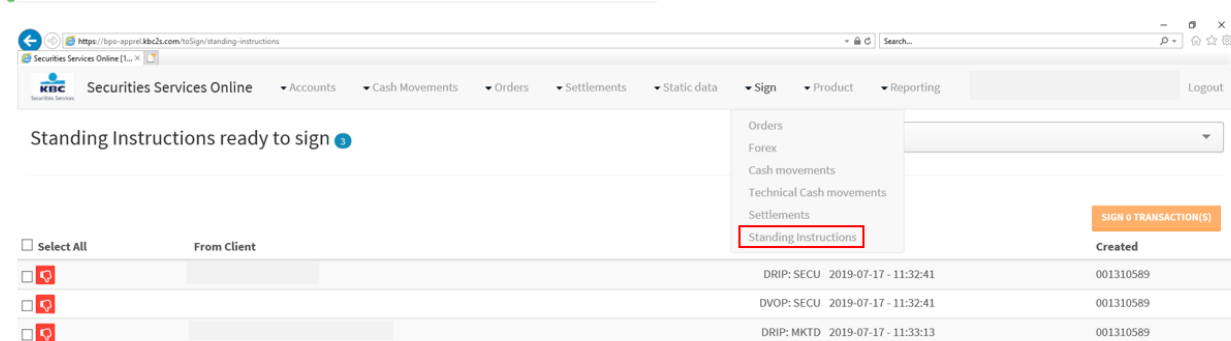
!! Careful !! For corporate actions with short deadlines, notifications will be sent before entitlement date. It will not be possible to register/edit standing instructions in SSO for these events. Standing instructions for a corporate event are downloaded upon creation of the notification. Therefore, once a notification has been received, it is no longer possible to register/edit standing instructions for this specific event.

7.1.2 Sign Standing Instructions

When standing instructions are modified and registered via the 'register' button, they will have to be signed in the sign module. Other standing instructions can be registered before signing.

We successfully registered the Standing Instruction(s).

You can **REGISTER NEW STANDING INSTRUCTION** or **SIGN**



The screenshot shows the 'Sign Standing Instructions' page in the KBC Securities Services Online application. The page has a navigation bar at the top with links for Accounts, Cash Movements, Orders, Settlements, Static data, Sign, Product, and Reporting. The 'Sign' link is highlighted. Below the navigation bar, the page title is 'Standing Instructions ready to sign'. A dropdown menu is open, showing options: Orders, Forex, Cash movements, Technical Cash movements, Settlements, and Standing Instructions (which is highlighted with a red box). On the right side, there is a button labeled 'SIGN 0 TRANSACTION(S)'. Below this, there is a table with columns for 'From Client', 'Created', and 'Transaction ID'. The table contains three rows of data:

From Client	Created	Transaction ID
DRIP: SECU 2019-07-17 - 11:32:41	001310589	
DVOP: SECU 2019-07-17 - 11:32:41	001310589	
DRIP: MKTD 2019-07-17 - 11:33:13	001310589	

8 Sign

In SSO, all instructions (orders, forex, cash movements and settlement instructions) will have to be signed by digipass. If the 4-eyes principle has been set up, another user will have to sign the instructions. If the 4-eyes principle has not been set up, a user can sign his own instructions.

In the sign screen, the user can sign instructions individually or in bulk. When signing orders or cash movements, all validation rules will be checked again (user authorities, account setup, sufficient cash and securities, security open for trading ...)

There is a sign screen for:

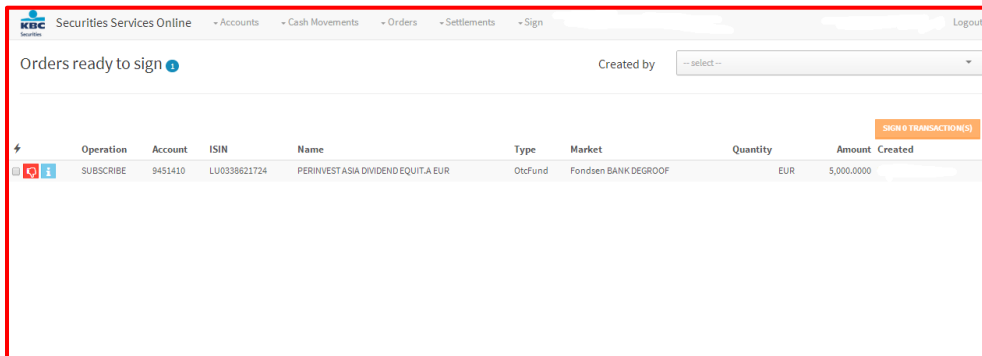
- Orders
- Forex
- Cash movements
- Settlement Instructions

8.1 Sign orders

8.1.1 View

All orders or cancellations of orders that have been created by any user will have to be signed in the “sign screen”.




By default, all orders that need to be signed will be shown. Additionally, a filter can be used to filter on the user who created the order.



Operation	Account	ISIN	Name	Type	Market	Quantity	Amount	Created
SUBSCRIBE	9451410	LU0338621724	PERINVEST ASIA DIVIDEND EQUITA EUR	Otfund	Fondsen BANK DEGROEF	EUR	5,000.0000	

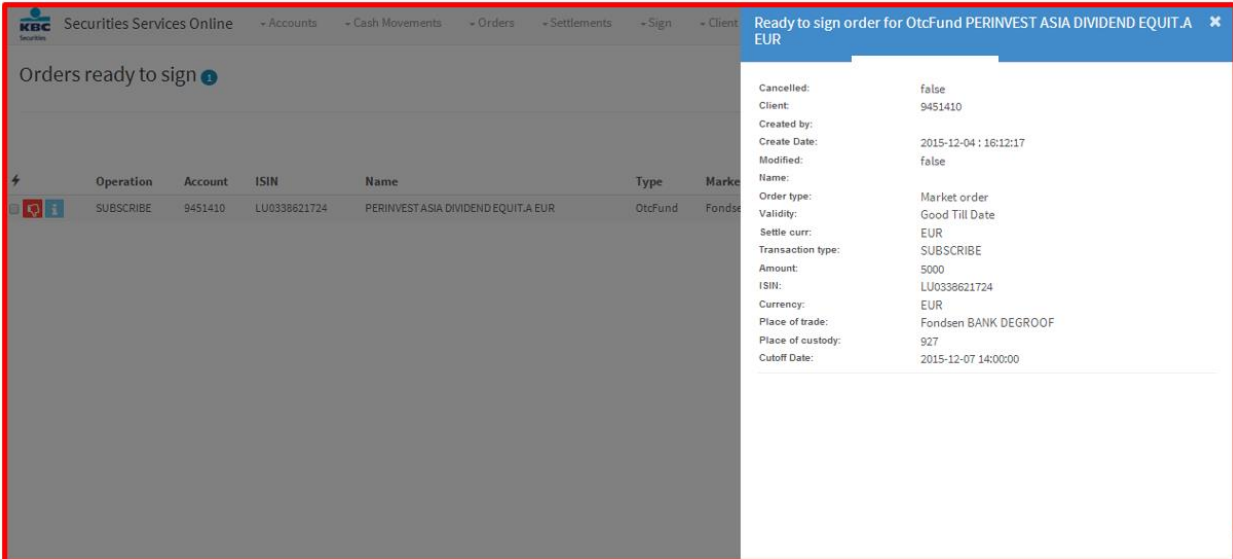
8.1.2 Actions

The following actions are possible:

-  View details order
-  Cancel registration
-  SIGN 1 TRANSACTION(S) Sign order(s)

8.1.2.1 View details order

Before signing the order, the user can check all details of the order.



The screenshot shows the 'Orders ready to sign' section of the KBC Securities Services Online interface. A table lists the order details:

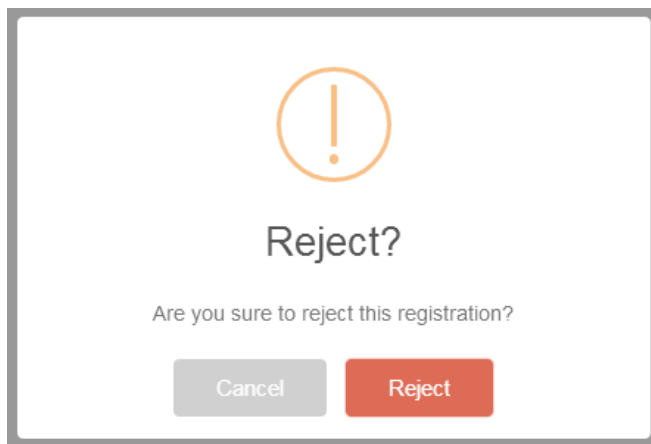
Operation	Account	ISIN	Name	Type	Market
SUBSCRIBE	9451410	LU0338621724	PERINVEST ASIA DIVIDEND EQUITY A EUR	OtcFund	Fondse

On the right, a detailed view of the order is shown:

- Cancelled: false
- Client: 9451410
- Created by:
- Create Date: 2015-12-04 16:12:17
- Modified: false
- Name:
- Order type: Market order
- Validity: Good Till Date
- Settle curr: EUR
- Transaction type: SUBSCRIBE
- Amount: 5000
- ISIN: LU0338621724
- Currency: EUR
- Place of trade: Fondsen BANK DEGROOF
- Place of custody: 927
- Cutoff Date: 2015-12-07 14:00:00

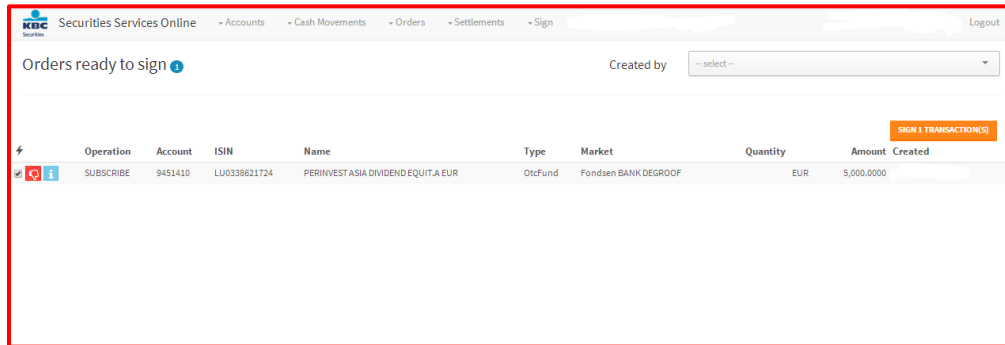
8.1.2.2 Cancel registration

The user can reject the order. A pop-up will appear to ask for confirmation of the rejection.



3.1.1.1 Sign order

The user can sign the order(s) individually or in bulk. The order(s) to be signed can be selected by the user, the number of selected orders will be shown in the upper right corner.



Securities Services Online

Accounts Cash Movements Orders Settlements Sign Logout

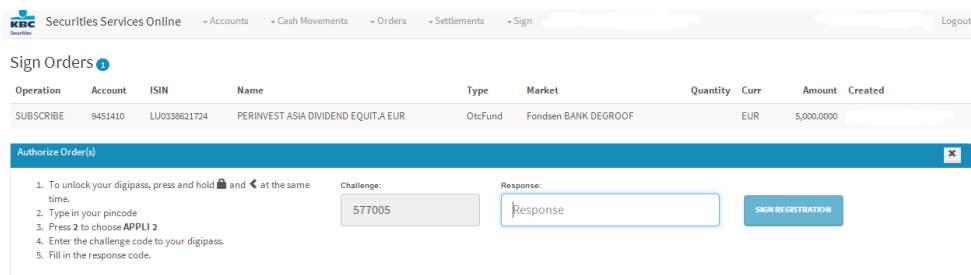
Orders ready to sign 1

Created by --select--

Operation	Account	ISIN	Name	Type	Market	Quantity	Amount	Created
SUBSCRIBE	9451410	LU0338621724	PERINVEST ASIA DIVIDEND EQUITY A EUR	OtcFund	Fondsen BANK DEGROOF	EUR	5,000.0000	

SIGN 1 TRANSACTION(S)

For the selected orders, the details will be shown when signing the order by digipass. The user has to fill in the response on his digipass, and sign registration. The orders will be validated one by one, the user will get a message of successful signing or error message in case of validation errors.





Securities Services Online

Accounts Cash Movements Orders Settlements Sign Logout

Sign Orders 1

Operation	Account	ISIN	Name	Type	Market	Quantity	Curr	Amount	Created
SUBSCRIBE	9451410	LU0338621724	PERINVEST ASIA DIVIDEND EQUITY A EUR	OtcFund	Fondsen BANK DEGROOF	EUR		5,000.0000	

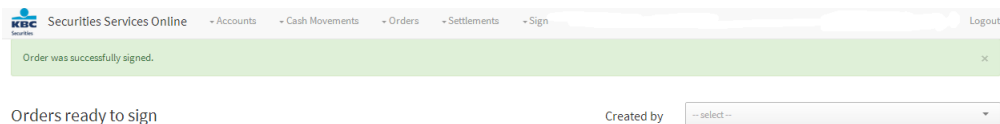
Authorize Order(s)

1. To unlock your digipass, press and hold  and  at the same time.
2. Type in your pincode
3. Press 2 to choose APPLI 2
4. Enter the challenge code to your digipass.
5. Fill in the response code.

Challenge: 577005

Response:

SIGN REGISTRATION



Securities Services Online

Accounts Cash Movements Orders Settlements Sign Logout

Order was successfully signed.

Orders ready to sign

Created by --select--

8.2 Sign Forex

8.2.1 View

All Forex instruction that have been created by any user, will have to be signed in the “sign screen”. By default, all Forex instructions that need to be signed will be shown. Additionally, a filter can be used to filter on the user who created the Forex.

KBC

Securities

Securities Services Online

→ Accounts

→ Cash Movements

→ Orders

→ Settlements

→ Sign

Logout

Forex ready to sign2

Created by



-- select --

SIGN 0 TRANSACTION(S)

	From Client	Rate	From	To	Comment	Date	Created
<div><div></div><div></div></div>	(9451607)	1.08930	100.0000 EUR	108.9300 USD	test	2015-12-04 - 16:34:37	
<div><div></div><div></div></div>	(9451607)	0.13379	100.0000 DKK	13.3800 EUR	test 2	2015-12-04 - 16:35:48	

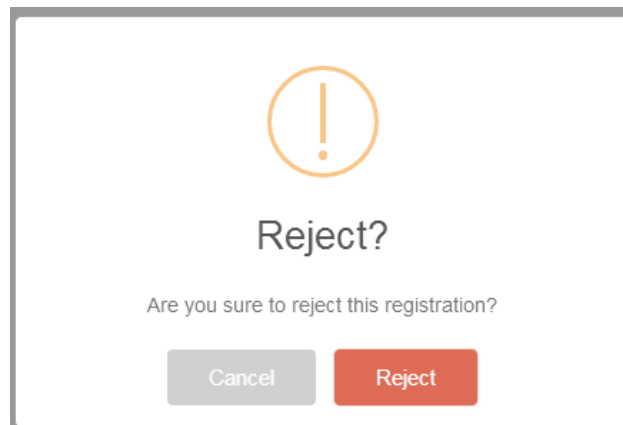
8.2.2 Actions

The following actions are possible:

-  Cancel registration
-  Sign Transactions(s)

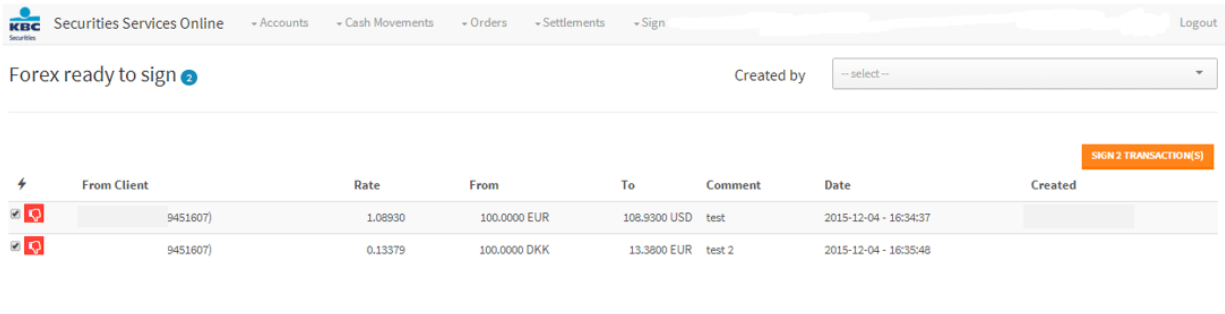
8.2.2.1 Cancel registration

The user can reject Forex. A pop-up will appear to ask for confirmation of the rejection.



3.1.1.2 Sign forex

The user can sign the Forex instructions(s) individually or in bulk. The Forex instruction(s) to be signed can be selected by the user, the number of selected Forex instructions will be shown in the upper right corner.

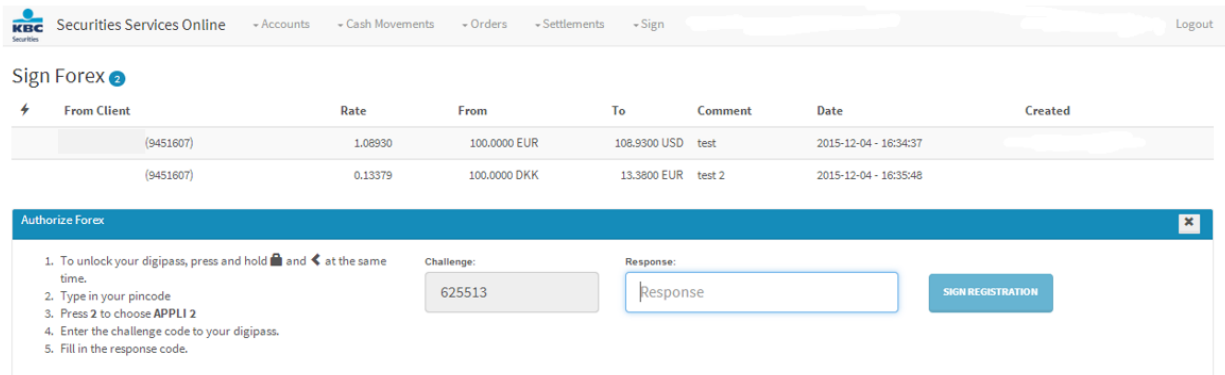


Forex ready to sign 2 Created by -- select --

From Client	Rate	From	To	Comment	Date	Created
<input checked="" type="checkbox"/> (9451607)	1.08930	100.0000 EUR	108.9300 USD	test	2015-12-04 - 16:34:37	
<input checked="" type="checkbox"/> (9451607)	0.13379	100.0000 DKK	13.3800 EUR	test 2	2015-12-04 - 16:35:48	

SIGN 2 TRANSACTION(S)



For the selected Forex instruction(s), the details will be shown when signing the Forex instruction(s) by digipass. The user has to fill in the response on his digipass, and sign registration. The Forex instructions will be validated one by one; the user will get a message of successful signing or error message in case of validation errors.



Sign Forex 2

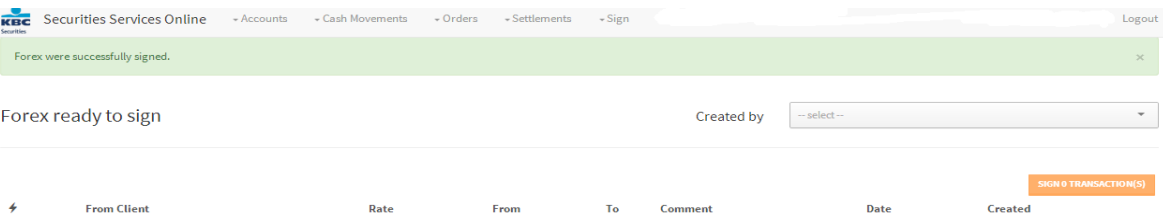
From Client	Rate	From	To	Comment	Date	Created
(9451607)	1.08930	100.0000 EUR	108.9300 USD	test	2015-12-04 - 16:34:37	
(9451607)	0.13379	100.0000 DKK	13.3800 EUR	test 2	2015-12-04 - 16:35:48	

Authorize Forex

- To unlock your digipass, press and hold  and  at the same time.
- Type in your pincode
- Press **2** to choose **APPLI 2**
- Enter the challenge code to your digipass.
- Fill in the response code.

Challenge: 625513 Response:

SIGN REGISTRATION



Forex were successfully signed.

Forex ready to sign Created by -- select --

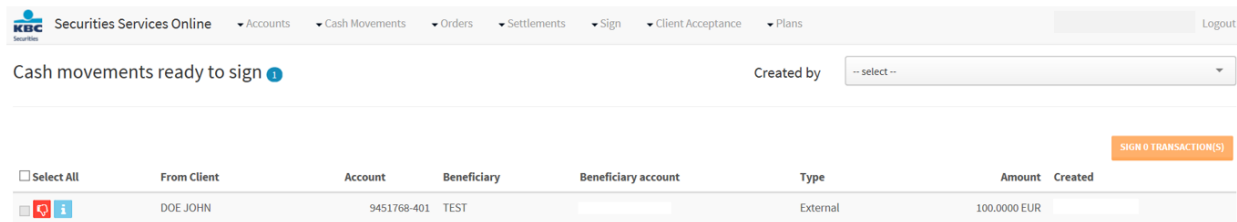
From Client	Rate	From	To	Comment	Date	Created
-------------	------	------	----	---------	------	---------

SIGN 0 TRANSACTION(S)

8.3 Sign Cash movements

8.3.1 View




All cash movements that have been created by any user, will have to be signed in the “sign screen”. By default, all cash movements that need to be signed will be shown. Additionally, a filter can be used to filter on the user who created the cash movement.



Select All	From Client	Account	Beneficiary	Beneficiary account	Type	Amount	Created
<input type="checkbox"/>	DOE JOHN	9451768-401	TEST		External	100.0000 EUR	

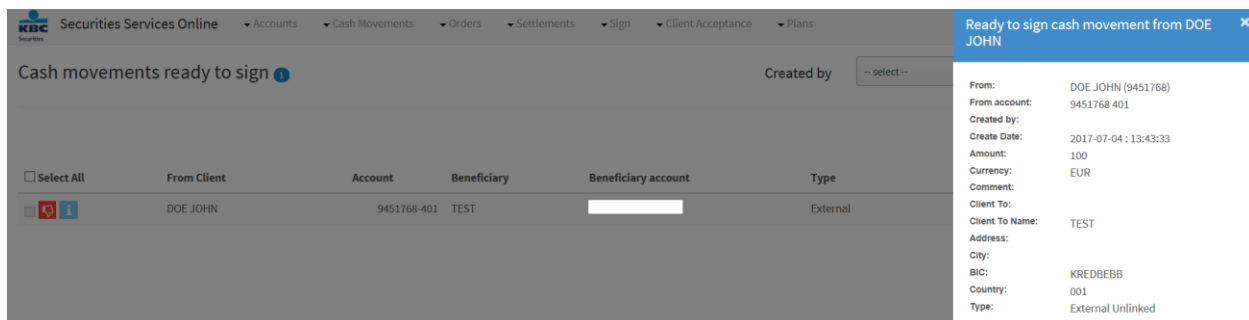
8.3.2 Actions

The following actions are possible:

-  View details cash movement
-  Cancel registration
-  Sign cash movement(s)

3.1.1.3 View details cash movement

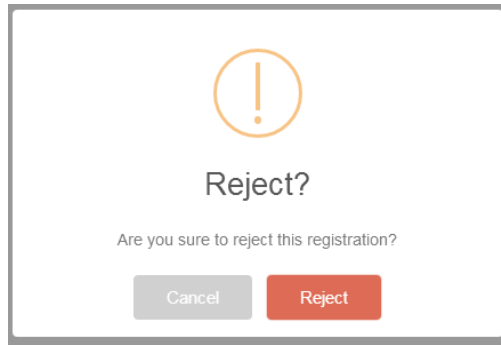
Before signing the cash movement, the user can check all details of the cash movement.



Ready to sign cash movement from DOE JOHN	
From:	DOE JOHN (9451768)
From account:	9451768 401
Created by:	
Create Date:	2017-07-04:13:43:33
Amount:	100
Currency:	EUR
Comment:	
Client To:	
Client To Name:	TEST
Address:	
City:	
BIC:	KREDBEBB
Country:	001
Type:	External Unlinked

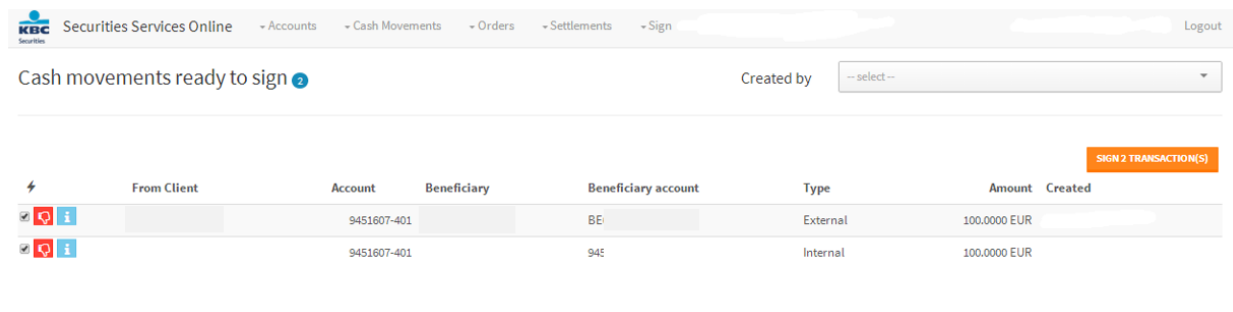
3.1.1.4 Cancel registration

The user can reject the cash movement. A pop-up will appear to ask for confirmation of the rejection.



3.1.1.5 Sign cash movement

The user can sign the cash movement(s) individually or in bulk. The cash movement(s) to be signed can be selected by the user, the number of selected cash movements will be shown in the upper right corner.

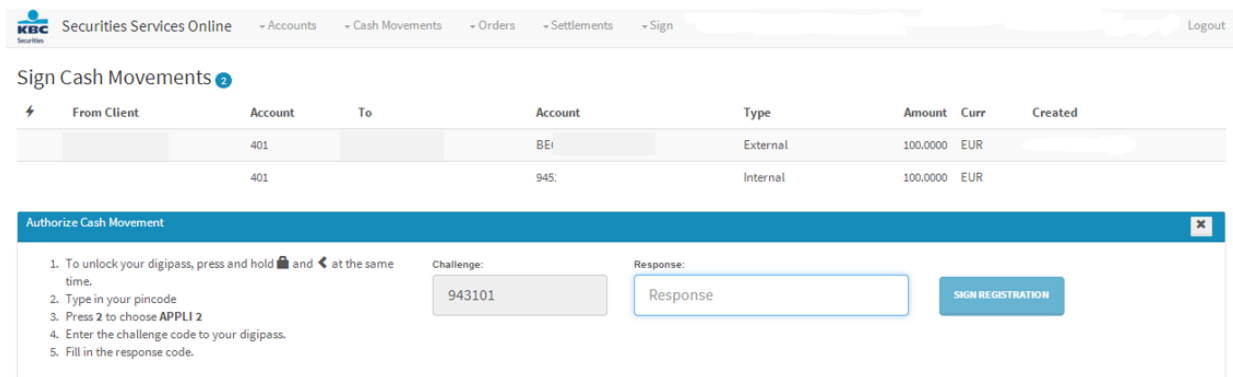


Cash movements ready to sign 2 Created by: -- select --

⚡	From Client	Account	Beneficiary	Beneficiary account	Type	Amount	Created
<input checked="" type="checkbox"/>		9451607-401		BE	External	100.0000 EUR	
<input checked="" type="checkbox"/>		9451607-401		945	Internal	100.0000 EUR	

SIGN 2 TRANSACTION(S)

For the selected cash movement(s), the details will be shown when signing the cash movement(s) by digipass. The user has to fill in the response on his digipass, and sign registration. The cash movements will be validated one by one; the user will get a message of successful signing or error message in case of validation errors.



Sign Cash Movements 2

⚡	From Client	Account	To	Account	Type	Amount	Curr	Created
		401		BEI	External	100.0000	EUR	
		401		945	Internal	100.0000	EUR	

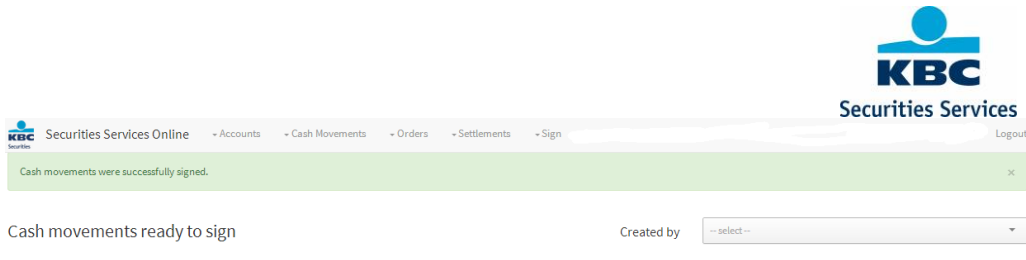
Authorize Cash Movement

- To unlock your digipass, press and hold and at the same time.
- Type in your pincode
- Press 2 to choose APPLI 2
- Enter the challenge code to your digipass.
- Fill in the response code.

Challenge:

Response:

SIGN REGISTRATION



KBC Securities Services Online

Accounts Cash Movements Orders Settlements Sign Logout

Cash movements were successfully signed.

Cash movements ready to sign

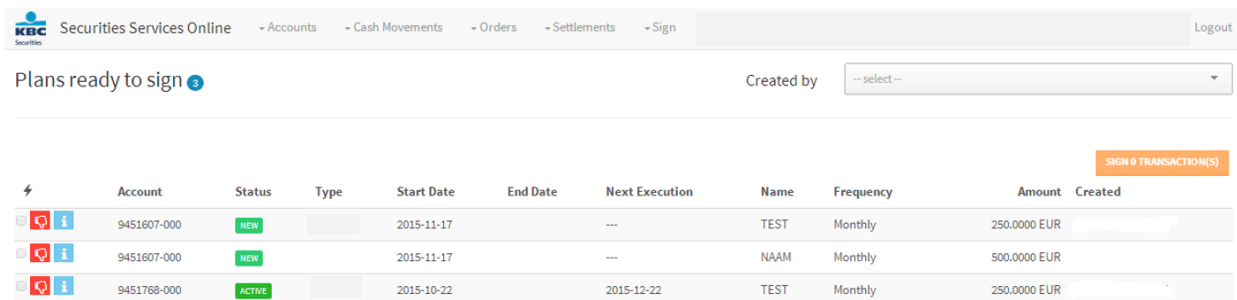
Created by --select--

8.4 Sign Plans

8.4.1 View

All plans (saving plans or income plans) that have been created by any user, will have to be signed in the “sign screen” by a different user.

By default, all plans that need to be signed will be shown.



KBC Securities Services Online

Accounts Cash Movements Orders Settlements Sign Logout

Plans ready to sign 3

Created by --select--

	Account	Status	Type	Start Date	End Date	Next Execution	Name	Frequency	Amount	Created	SIGN 0 TRANSACTION(S)
	9451607-000	NEW		2015-11-17		---	TEST	Monthly	250.0000 EUR		
	9451607-000	NEW		2015-11-17		---	NAAM	Monthly	500.0000 EUR		
	9451768-000	ACTIVE		2015-10-22		2015-12-22	TEST	Monthly	250.0000 EUR		

8.4.2 Actions

The following actions are possible:

- View details plan
- Cancel registration
- SIGN 1 TRANSACTION(S) Sign plan(s)

8.4.2.1 View details plan

Before signing the plan, the user can check all details of the plan.

Securities Services Online

Accounts Cash Movements Orders Settlements Sign Client Acceptance Plans

Ready to sign plan

Plans ready to sign 6 Created by

Select All	Account	Status	Type	Start Date	End Date	Next Execution	Name
<input type="checkbox"/>	9451099-000	SUSPENDED → ACTIVE	INVESTMENT	2018-12-05	2018-12-05	2018-12-05	INV
<input type="checkbox"/>	9451099-000	SUSPENDED	INVESTMENT	2018-12-05	2018-12-05	2018-12-05	INV
<input type="checkbox"/>	9451099-000	SUSPENDED → ACTIVE	INVESTMENT	2018-12-05	2018-12-05	2018-12-05	INV
<input type="checkbox"/>	9451099-000	ACTIVE → SUSPENDED	INCOME	2018-12-05	2018-12-05	2018-12-05	IP
<input type="checkbox"/>	9451099-000	SUSPENDED → CANCELLED	INVESTMENT	2018-12-05	2018-12-05	2018-12-05	INV
<input type="checkbox"/>	9451099-000	NEW	INVESTMENT	2018-12-05	---	---	AB

INVESTMENT PLAN

Created by: 2018-11-28 : 14:02:23

Client: 9451099

name: 1000 EUR

Amount: Monthly

Frequency: NEW

Status: 2018-12-05

Start Date: 2018-12-05

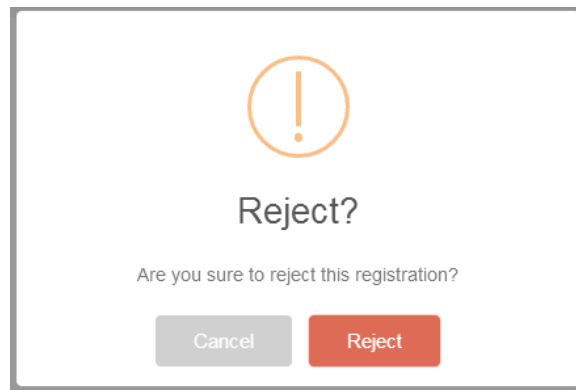
End Date: 2018-12-05

Next Execution:

ISIN	Name	Amount	%
LU0694355214	TREETOP GLOB. SIC DYNAMIC -AH EUR-K	500 EUR	50.00
LU1229301061	TREETOP GLOBAL CONSERVATIVE A EUR	250 EUR	25.00
LU0694355487	TREETOP GLOB. SIC BALANCED -AH EUR-K	250 EUR	25.00

8.4.2.2 Cancel registration

The user can reject the plan. A pop-up will appear to ask for confirmation of the rejection.



8.4.2.3 Sign plan

The user can sign the plans(s) individually or in bulk. The plan(s) to be signed can be selected by the user, the number of selected plans will be shown in the upper right corner.

Securities Services Online

Accounts Cash Movements Orders Settlements Sign

Plans ready to sign 5 Created by -- select --

SIGN 3 TRANSACTION(S)

	Account	Status	Type	Start Date	End Date	Next Execution	Name	Frequency	Amount	Created
<input checked="" type="checkbox"/>	9451607-000	NEW		2015-11-17	---	---	TEST	Monthly	250.0000 EUR	
<input checked="" type="checkbox"/>	9451607-000	NEW		2015-11-17	---	---	NAAM	Monthly	500.0000 EUR	
<input checked="" type="checkbox"/>	9451768-000	ACTIVE		2015-10-22	---	2015-12-22	TEST	Monthly	250.0000 EUR	



Securities Services

For the selected plan(s), the details will be shown when signing the plan(s) by digipass. The user has to fill in the response on his digipass, and sign registration. The plan(s) will be validated one by one, the user will get a message of successful signing or error message in case of validation errors.

KBC Securities Services Online | Accounts | Cash Movements | Orders | Settlements | Sign | Logout

Sign Mandates

Client	Status	Type	Start Date	End Date	Next E	Plan Name	Frequency	Amount	Created By
9451607	NEW		2015-11-17		---	TEST	Monthly	250.0000 EUR	
9451607	NEW		2015-11-17		---	NAAM	Monthly	500.0000 EUR	
9451768	ACTIVE		2015-10-22		2015-12-22	TEST	Monthly	250.0000 EUR	

Authorize Plans

- To unlock your digipass, press and hold and at the same time.
- Type in your pincode
- Press 2 to choose APPLI 2
- Enter the challenge code to your digipass.
- Fill in the response code.

Challenge: 366465
Response:

SIGN REGISTRATION

KBC Securities Services Online | Accounts | Cash Movements | Orders | Settlements | Sign | Logout

Plan was successfully signed.

Plans ready to sign 1 Created by: -- select --

[SIGN 0 TRANSACTION\(S\)](#)

8.5 Sign Technical cash movements

8.5.1 View

All technical cash movements that have been created by any user, will have to be signed in the “sign screen”.

By default, all instructions that need to be signed will be shown. Additionally, a filter can be used to filter on the user who created the movement.

KBC Securities Services Online | Accounts | Cash Movements | Orders | Settlements | Sign | Client Acceptance | Plans | Logout

Technical cash movements ready to sign 2



Created by: -- select --

[SIGN 0 TRANSACTION\(S\)](#)

	From Client	Account	Beneficiary	Beneficiary account	Type	Amount	Created
<input type="checkbox"/>				941 / 581	Stock exchange tax	500.0000 EUR	
<input type="checkbox"/>				941 / 581	VAT	500.0000 EUR	

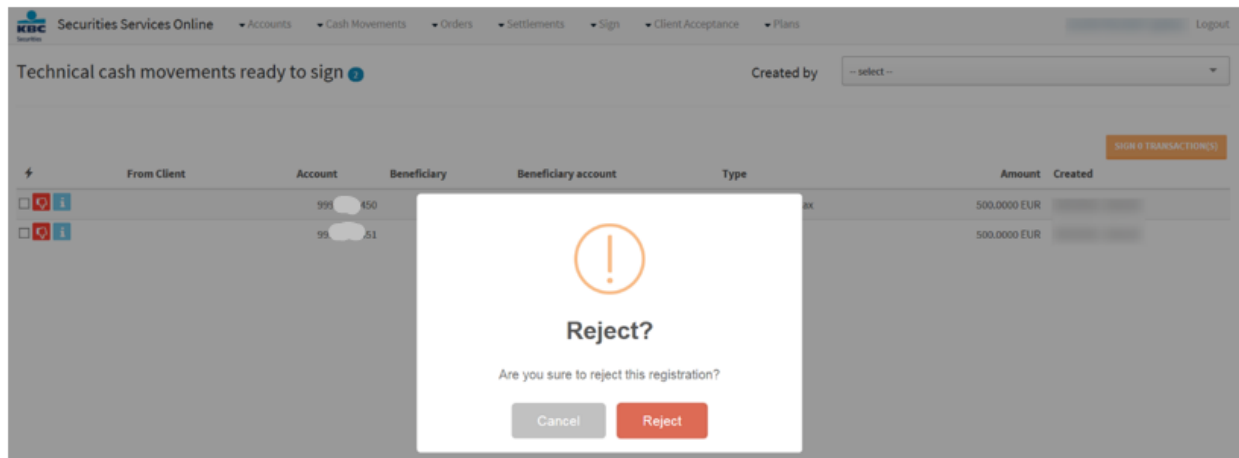
8.5.2 Actions

The following actions are possible:

-  Cancel registration
-  Sign Transactions(s)

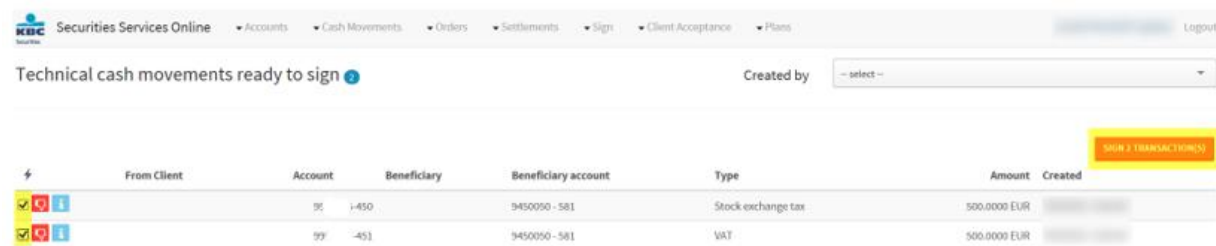
8.5.2.1 Cancel registration

The user can reject a technical cash movement. A pop-up will appear to ask for confirmation of the rejection.



3.1.1.6 Sign Technical cash movement

The user can sign the instructions(s) individually or in bulk. The instruction(s) to be signed can be selected by the user, the number of selected Forex instructions will be shown in the upper right corner.





For the selected instruction(s), the details will be shown when signing the instruction(s) by digipass. The user has to fill in the response on his digipass, and sign registration. The instructions will be validated one by one; the user will get a message of successful signing or error message in case of validation errors.

Securities Services Online Accounts Cash Movements Orders Settlements Sign Client Acceptance Plans Logout

Sign Cash Movements

From Client	Account	To	Account	Type	Amount	Curr	Created
99	450	9450050 - 581	9450050 - 581	Stock exchange tax	500.0000	EUR	
996	451	9450050 - 581	9450050 - 581	VAT	500.0000	EUR	

Sign Cash Movement(s)

- To unlock your digipass, press and hold  and  at the same time.
- Type in your pincode
- Press 2 to choose **APPLI 2**
- Enter the challenge code to your digipass.
- Fill in the response code.

Challenge: 957456
Response:

Securities Services Online Accounts Cash Movements Orders Settlements Sign Client Acceptance Plans Logout

Technical cash movements ready to sign Created by --select--

Cash movements were successfully signed.




8.6 Sign Settlement Instructions

8.6.1 View

All settlement instructions that have been created by any user, will have to be signed in the “sign screen”. By default, all settlement instructions that need to be signed will be shown. Additionally, a filter can be used to filter on the user who created the instruction.



Settlement instructions ready to sign Created by --select--

SIGN 0 TRANSACTION(S)

Select All	Type	Action	Sender reference	Account	Beneficiary	ISIN	Quantity	Amount	TD	SD	Place of custody
<input type="checkbox"/>	RFP		TESTCOMMENT1	8450535-000		AU000000BEN6	100.0000		2017-06-14	2017-06-14	Sydney
<input type="checkbox"/>	RFP			6321000-000	8450535000	FR0010208488	15.0000		2017-06-08	2017-06-12	Euronext Paris
<input type="checkbox"/>	DFP			6321110-000	6321000000	BE0003797140	10.0000		2017-06-19	2017-06-21	Germany Deutsche Bank

8.6.2 Actions

The following actions are possible:

-  View details settlement instruction
-  Cancel registration
-  Sign settlement instruction(s)

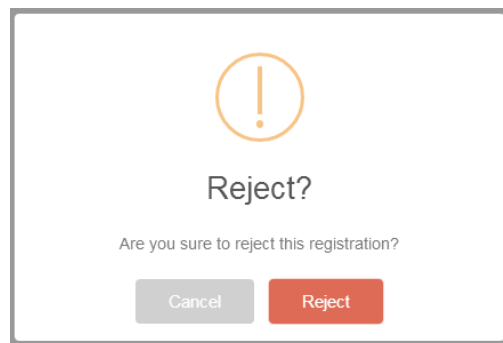
8.6.2.1 View details settlement instruction

Before signing the settlement instruction, the user can view all details concerning this instruction.

Securities Services Online								Ready to sign settlement settlementInstruction	
Select All	Type	Action	Sender reference	Account	Beneficiary	ISIN	Quantity		
<input type="checkbox"/>	RFP	cancel	TEST	6321844-000		BE0003764785	5.0000	Trade Details Client: TEST USER Created by: TEST USER Create Date: 2017-12-12 : 16:04:18 Name: Settlement type: External settlement settlementInstruction type: Receive free of payment Financial instrument: ISIN: BE0974258874 Place of custody: Euroclear Belgium Sender reference: Safekeeping account: Quantity: 25 (UNIT) Trade date: 2017-12-11 Settlement date: 2017-12-13 Settlement Details Place of settlement: CIKBBEBB Receiving/Delivering agent: DEAG - BIC - CEKOCZPP - Receiving/Delivering custodian: DECU - BIC - KREDBEBB -	
<input type="checkbox"/>	RFP			6321000-000	8450535000	FR0010208488	15.0000		
<input type="checkbox"/>	RFP			6321110-000		GB0031348658	10.0000		
<input type="checkbox"/>	RFP			6321110-000		CNE000000R36	10.0000		
<input type="checkbox"/>	RVP			6321110-000		BE0003797140	10.0000		
<input type="checkbox"/>	RFP			6321000-000		FR0010208488	10.0000		
<input type="checkbox"/>	DFP	cancel	000038773383	6321110-000		BE0003797140	10.0000		
<input type="checkbox"/>	RVP			6321000-000		XS0875304189	1,000.0000		
<input type="checkbox"/>	RFP	cancel	TEST	6321844-000		BE0003764785	5.0000		
<input type="checkbox"/>	RVP			6321000-000		BE0974258874	10.0000		
<input type="checkbox"/>	DFP	cancel	000038975688	6321000-000		US46428Q1094	100.0000		
<input type="checkbox"/>	DFP			6321000-000	6321110000	FR0010208488	100.0000		
<input type="checkbox"/>	DFP			6321000-000		BE0974258874	100.0000		
<input type="checkbox"/>	DFP			6321000-000	6321110000	BE0974258874	10.0000		

8.6.2.2 Cancel registration

The user can reject the settlement instruction. A pop-up will appear to ask for confirmation of the rejection.



3.1.1.7 Sign settlement instruction

The user can sign the instruction(s) individually or in bulk. The settlement instruction(s) to be signed can be selected by the user, the number of selected settlement instructions will be shown in the upper right corner.

Settlement instructions ready to sign 4

Created by

-- select --

SIGN 2 TRANSACTION(S)

<input type="checkbox"/> Select All	Type	Action	Sender reference	Account	Beneficiary	ISIN	Quantity	Amount	TD	SD	Place of custody
<input checked="" type="checkbox"/>	RFP		TESTCOMMENT1	8450535-000		AU000000BEN6	100.0000		2017-06-14	2017-06-14	Sydney
<input checked="" type="checkbox"/>	RFP			6321000-000	8450535000	FR0010208488	15.0000		2017-06-08	2017-06-12	Euronext Paris

For the selected settlement instruction(s), the details will be shown when signing the cash movement(s) by the selected sign method (digipass/4 eyes). The instructions will be validated one by one; the user will get a message of successful signing or error message in case of validation errors.

Settlement instructions ready to sign 4

Created by


-- select --

Settlement instruction were successfully signed.

8.7 Sign Standing Instructions

8.7.1 View

When standing instructions are modified and registered via the 'register' button, they will have to be signed in the sign module. Other standing instructions can be registered before signing.


Securities Services Online
▼ Accounts
▼ Cash Movements
▼ Orders
▼ Settlements
▼ Static data
▼ Sign
▼ Product
▼ Reporting

Create Standing Instructions for

DRIP (Dividend Reinvestment):

CASH - Cash
 MKTD - Market Default
 SECU - Securities

DVOP (Dividend Option):

CASH - Cash

RESET
REGISTER

We successfully registered the Standing Instruction(s).

You can REGISTER NEW STANDING INSTRUCTION or SIGN



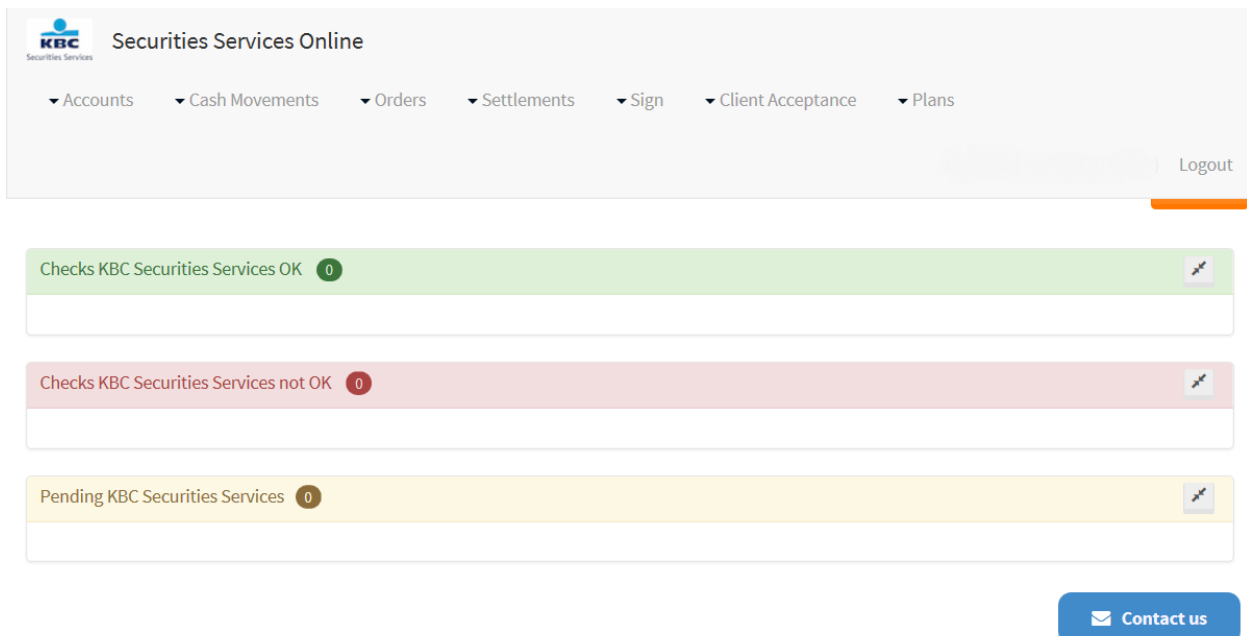
-  Cancel registration
-  Sign settlement instruction(s)

9 Client acceptance

9.1 Overview

With the client acceptance screen in SSO, clients will be able to have the final decision to accept or reject the account opening of clients. All pending accounts will be visible in the “client acceptance module”, showing the status within the system of KBC Securities Services:

- **Pending KBC Securities Services:** The client has completed the onboarding process via the onboarding website, but KBC Securities Services is still waiting for the documents via mail. At this stage, it's not possible to accept the client.
- **Checks KBC Securities Services NOK:** The client has completed the onboarding process via the onboarding website, KBC Securities Services received the documents via mail. The client has not been validated yet, for example because some documents are missing or are not correct.
- **Checks KBC Securities Services OK:** The client has completed the onboarding process via the onboarding website, KBC Securities Services received all documents via mail, and the client has been validated by KBC Securities Services.



The screenshot shows the 'Securities Services Online' interface. At the top, there is a navigation bar with the KBC logo and the text 'Securities Services Online'. Below this, a horizontal menu contains several options: 'Accounts', 'Cash Movements', 'Orders', 'Settlements', 'Sign', 'Client Acceptance', and 'Plans'. The 'Client Acceptance' option is currently selected. To the right of the menu is a 'Logout' button. Below the navigation bar, there are three main sections, each with a colored header bar and a corresponding table below it:

- Checks KBC Securities Services OK** (Green header bar with a green circle containing '0'). Below it is an empty table.
- Checks KBC Securities Services not OK** (Red header bar with a red circle containing '0'). Below it is an empty table.
- Pending KBC Securities Services** (Yellow header bar with a yellow circle containing '0'). Below it is an empty table.

At the bottom right of the interface, there is a blue button with a white envelope icon and the text 'Contact us'.

The following information is visible for each client opening:

- **Registration date:** Date of registration via the client onboarding website. The oldest registration dates are on top.
- **Account:** Account within the system of KBC Securities Services, after validation this will be the client account
- **Name:** First and last name of all parties involved in the account opening (holders, proxy holders, legal representatives, minor ...).
- **Birth Date:** Birth date of all parties involved in the account opening (holders, proxy holders, legal representatives, minor, ...)
- **Email :** Email address of all parties involved in the account opening (holders, proxy holders, legal representatives, minor, ...)
- **Mobile:** Mobile of all parties involved in the account opening (holders, proxy holders, legal representatives, minor, ...)
- **Remark:** A remark added by KBC Securities Services is visible for TT
- **Action TT:** Possible actions by TT, depending on the status of the account opening.

9.2 Actions

Depending on the status of the account opening, the following actions are possible via SSO, if the profile of the user allows this:

- **Pending KBC Securities Services:**



View/add remark



Reject client

- **Checks KBC Securities Services NOK:**



View/add remark



Reject client

- **Checks KBC Securities Services OK:**







Accept client







Reject client

9.2.1 View/add remark









The BPO client can add a remark for every account opening. This remark will be stored in the system and can be viewed in the “client acceptance” screen.

Status	Reg Date	Acc	Name	Birth Date	Action TT
OK	2015-04-24	9451160		1975-04-01	 
OK	2015-04-27	9451189		1997-11-26 1949-04-24 1974-01-30	 

Checks KBC Securities not OK 2

Reg Date	Acc	Name	Mobile	Remark	Action TT
2015-05-11	9452086		0497 0497 0485	test kevin	 
2015-05-11	9452089				 

Pending KBC Securities 45





Reg Date	Acc	Name	Birth Date	eMail	Mobile	Action TT
2015-05-12	9452103		1975-04-01	@GMAIL.COM		 
2015-05-12	9452104		1975-04-01	@KBCSECURITIES.BE		 
2015-05-12	9452108		1975-04-01	@GMAIL.COM		 
2015-05-15	9452114		1975-04-01	@KBCSECURITIES.BE		 

5.1.1 Accept client

The BPO client can accept a client, and add a comment on this action (optional). The user, who accepts the client, also has to indicate if the full details of the account opening have been read or not. This field will also be stored in the system.

Overview REFRESH

Checks KBC Securities OK 2

Status	Reg Date	Acc	Birth Date	Action TT
OK	2015-04-24	9451160	1975-04-01	 
OK	2015-04-27	9451189	1997-11-26 1949-04-24 1974-01-30	 

Accept client

Are you sure you want to accept all clients under account 9451160 ?





Remark *

Full details read by ☒





TreeTop *

DISMISS ACCEPT CLIENT

Checks KBC Securities not OK 2

Reg Date	Acc	Name	Birth Date	Mobile	Remark	Action TT
2015-05-11	9452086		2000-04-01 1975-04-01 1975-04-01	@KBCSECURITIES.BE @KBCSECURITIES.BE @KBCSECURITIES.BE	0497 0497 0485	test kevin  
2015-05-11	9452089		1975-04-01	TESTUSER@KBCSECURITIES.BE		 

Pending KBC Securities 45





Reg Date	Acc	Name	Birth Date	eMail	Mobile	Action TT
2015-05-12	9452103		1975-04-01			 
2015-05-12	9452104		1975-04-01			 

9.2.2 Reject client

The BPO client can reject a client, and add a comment on this action (optional). The user, who rejects the client, also has to indicate if the full details of the account opening have been read or not. This field will also be stored in the system.

Overview REFRESH

Checks KBC Securities OK 2

Status	Reg Date	Acc	Birth Date	Action TT
OK	2015-05-06	9451160	1978-02-27	 
OK	2015-05-14	9451160	2000-04-01 1975-04-01	 

Reject client

Are you sure you want to reject client 128267 ?











Remark *

Full details read by ☐

TreeTop *

DISMISS REJECT CLIENT

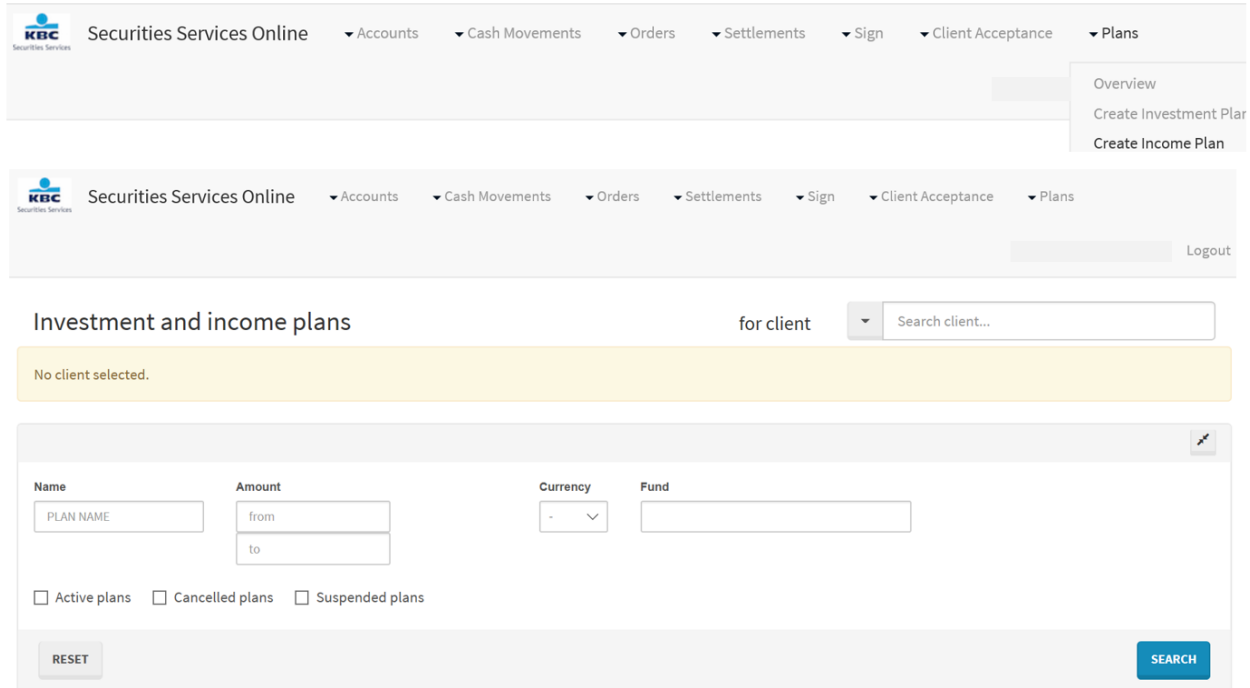
Checks KBC Securities not OK 5

Reg Date	Acc	Name	Birth Date	eMail	Mobile	Remark	Action TT
2015-04-30			1946-11-23		0479		 
2015-04-30			1952-08-17		0479		 
2015-04-30			1952-11-07 1988-08-01		0479 0479		 
2015-05-05	9451610		1975-04-01		0497		 
2015-05-14			2014-08-19 1974-08-04		0479		 

10 Plans (Investment and Income Plans)

10.1 Overview

In the Plan overview, the client can see all plans of a specific selected account, regardless of the source (created via SSO, manually by KBC Securities Services or via the Client Portal). By default, clients will see all plans of the selected account, but he can filter on some search criteria for the selected account.



The screenshot displays the KBC Securities Services Online interface. At the top, there is a navigation bar with the KBC logo and the text 'Securities Services Online'. Below this, a menu bar contains several options: Accounts, Cash Movements, Orders, Settlements, Sign, Client Acceptance, and Plans. The 'Plans' menu is expanded, showing 'Overview', 'Create Investment Plan', and 'Create Income Plan'. Below the navigation bar, there is a section titled 'Investment and income plans' for a client. A search bar is present with the text 'Search client...'. Below this, a yellow box indicates 'No client selected.'.

The main content area contains a search filter section. It has four input fields: 'Name' (with a placeholder 'PLAN NAME'), 'Amount' (with 'from' and 'to' sub-fields), 'Currency' (with a dropdown arrow), and 'Fund'. Below these fields, there are three checkboxes: 'Active plans', 'Cancelled plans', and 'Suspended plans'. At the bottom of the filter section, there is a 'RESET' button on the left and a 'SEARCH' button on the right.

Name

The client can enter a name in order to filter on the name of the investment or income plan.

Amount

The client can search for a plan between or equal to a range of 2 amounts (from – to).

Currency

A list of all currencies will be shown; the client can select a specific currency in the list or type the currency code.

Fund

The client can enter a fund name in order to filter by fund.

Additionally, the client can select the following plans:

- Active Plans
- Cancelled Plans
- Suspended Plans









Securities Services Online ▼ Accounts ▼ Cash Movements ▼ Orders ▼ Settlements ▼ Sign ▼ Client Acceptance ▼ Plans Logout

Investment and income plans for client ▼ 9451099 -

Name Amount Currency Fund






☐ Active plans ☐ Cancelled plans ☐ Suspended plans

2 plans found

	Id	Status	Start	End	Name	Amount	Securities	Type
   	74	SUSPENDED	2018-12-05	0001-01-01	INV PLAN	1,000 EUR	TREETOP SEQUOIA EQUITY B USD, TREETOP GLOBAL OPPORTUNITIES B USD	<input type="button" value="SAVING"/>
   	75	ACTIVE	2018-12-05	0001-01-01	IP TEST	500 EUR	TREETOP GL.SIC SEQUOIA EQ.-AH EUR-K, TREETOP GLOB.SIC TR.GL.DYNAMIC-DH	<input type="button" value="INCOME"/>

10.1.1 Actions

In the overview screen following actions are possible depending on the user's authority rights:

-  View plan
-  Edit plan
-  Activate plan
-  Suspend plan
-  Cancel plan

10.1.1.1 View plan

The client can view more details of the plan via the button .



Securities Services Online

Accounts Cash Movements Orders Settlements Sign Client Acceptance

Investment and income plans

for client

Name: PLAN NAME Amount: from to Currency: - Fund:

☐ Active plans ☐ Cancelled plans ☐ Suspended plans

RESET

2 plans found

Id	Status	Start	End	Name	Amount	Securities
74	SUSPENDED	2018-12-05	0001-01-01	INV PLAN	1,000 EUR	TREETOP SEQUOIA EQUITY B USD, TREETOP GLOB.SIC TR.GL.DYNAMIC-DH D
75	ACTIVE	2018-12-05	0001-01-01	IP TEST	500 EUR	TREETOP GL.SIC SEQUOIA EQ.-AH EUR-K, TRE

INCOME PLAN IP TEST

Client: 9451099
 Amount: 500 EUR
 Frequency: Monthly
 Status: **ACTIVE**
 Start Date: 2018-12-05
 End Date:
 Next Execution: 2018-12-05

ISIN	Name	Amount	%
LU0257173335	TREETOP GL.SIC SEQUOIA EQ.-AH EUR-K	250 EUR	50.00
LU0694355305	TREETOP GLOB.SIC TR.GL.DYNAMIC-DH D	250 EUR	50.00

10.1.1.2 Edit Plan

The client can edit () following data in a plan. More details on each field can be found in section 9.2 'Create investment plan' and section 9.3 'Create income plan'.
 A modified plan has to be signed by a different user in order to be confirmed. More details on the signing of a plan can be found in section 4.

Name

Comment

Amount

Currency

Frequency ('Running')

Start Date ('From')

End Date ('To')

Selected Funds (delete a fund, add a fund)

Securities Services Online ▾ Accounts ▾ Cash Movements ▾ Orders ▾ Settlements ▾ Sign ▾ Client Acceptance ▾ Plans Log

Edit Investment plan

for client 9451099

Securities Models

ISIN	Name	Currency
+	LU0694355214 TREETOP GLOB. SIC DYNAMIC -AH EUR-K	EUR
+	LU0694355487 TREETOP GLOB. SIC BALANCED-AH EUR-K	EUR
+	LU0305892035 TREETOP CV SIC CONVER.INT.-CH GBP-K	GBP
+	LU0694355560 TREETOP GLOB. SIC BALANCED-DH EUR-D	EUR
+	LU0338400046 TREETOP GLOBAL OPPORTUNITIES C GBP	GBP
+	LU0675136062 TREETOP PORT.SIC PATRIM.CONSER.-P-K	EUR
+	LU0694355305 TREETOP GLOB.SIC TR.GL.DYNAMIC-DH D	EUR
+	LU0285817697 TREETOP SEQUOIA EQUITY C GBP	GBP
+	LU0564489937 PERINVEST HARBOUR US EQUITY A USD	USD
+	LU0564490273 PERINVEST HARBOUR US EQUITY B EUR	EUR
+	LU0564490430 PERINVEST HARBOUR US EQUITY C GBP	GBP
+	LU0675135841 TREETOP PATRIMOINE INTERNAT.P EUR	EUR
+	LU0257173335 TREETOP GL.SIC SEQUOIA EQ.-AH EUR-K	EUR
+	LU0221833030 TREETOP CV SIC CONVER.INT.-BH USD-K	USD
+	LU0332191302 TREETOP CONV SIC TR.CON.INT.-DH EURD	

Contact us

Name INV PLAN Cash account 9451099 404 000 EUR

Comment 123 Security account 9451099 - TRADING ACC. IN CUSTOD

Amount 1000 EUR

running Quarterly from 05/12/2018 to End date

Next run date is 2018-12-05.

Selected funds	ISIN	Currency	Amount	Percentage
TREETOP SEQUOIA EQUITY B USD	LU0257174143	USD	600.00 EUR	60 %
TREETOP GLOBAL OPPORTUNITIES B USD	LU0338394058	USD	400.00 EUR	40 %
			1,000.00 EUR	100%

Calculations are indicative.

MODIFY INVESTMENT PLAN

Securities Services Online ▾ Accounts ▾ Cash Movements ▾ Orders ▾ Settlements ▾ Sign ▾ Client Acceptance ▾ Plans

Edit Investment plan

We successfully modified the plan.

You can [CREATE A NEW PLAN](#) or [SIGN](#)

Name INV PLAN Cash account 9451099 404 000 EUR

Comment 123 Security account 9451099 - TRADING ACC. IN CUSTODY (AVAILABLE POSITION)

Amount 1500 EUR

running Quarterly from 05/12/2018 to End date


Next run date is 2018-12-05.

Selected funds	ISIN	Currency	Amount	Percentage
TREETOP SEQUOIA EQUITY B USD	LU0257174143	USD	750.00 EUR	50 %
TREETOP GLOBAL OPPORTUNITIES B USD	LU0338394058	USD	450.00 EUR	30 %
TREETOP GLOBAL OPPORTUNITIES C GBP	LU0338400046	GBP	300.00 EUR	20 %
			1,500.00 EUR	100%

Calculations are indicative.

MODIFY INVESTMENT PLAN

10.1.1.3 Activate Plan

The client can activate () a plan that previously has been suspended.

An activated plan has to be signed by a different user in order to be confirmed. More details on the signing of a plan can be found in section 4.

Securities Services Online [Accounts](#) [Cash Movements](#) [Orders](#) [Settlements](#) [Sign](#) [Client Acceptance](#) [Plans](#) [Logout](#)









Investment and income plans for client 9451099

Name: PLAN NAME Amount: from to Currency: - Fund:

☐ Active plans ☐ Cancelled plans ☐ Suspended plans

[RESET](#) [SEARCH](#)

2 plans found

	Id	Status	Start	End	Name	Amount	Securities	Type
   	74	SUSPENDED	2018-12-05	0001-01-01	INV PLAN	1,000 EUR	TREETOP SEQUOIA EQUITY B USD, TREETOP GLOBAL OPPORTUNITIES B USD	SAVING
   	75	ACTIVE	2018-12-05	0001-01-01	IP TEST	500 EUR	TREETOP GL.SIC SEQUOIA EQ.-AH EUR-K, TREETOP GLOB.SIC TR.GL.DYNAMIC-DH	INCOME

Securities Services Online [Accounts](#) [Cash Movements](#) [Orders](#) [Settlements](#) [Sign](#) [Client Acceptance](#) [Plans](#) [Logout](#)









Investment and income plans for client 9451099


Name: PLAN NAME Amount: from to Currency: - Fund:

☐ Active plans ☐ Cancelled plans ☐ Suspended plans

[RESET](#) [SEARCH](#)

2 plans found

	Id	Status	Start	End	Name	Amount	Securities	Type
   	74	SUSPENDED	2018-12-05	0001-01-01	INV PLAN	1,000 EUR	TREETOP SEQUOIA EQUITY B USD, TREETOP GLOBAL OPPORTUNITIES B USD	SAVING
   	75	ACTIVE	2018-12-05	0001-01-01	IP TEST	500 EUR	TREETOP GL.SIC SEQUOIA EQ.-AH EUR-K, TREETOP GLOB.SIC TR.GL.DYNAMIC-DH	INCOME



Activate this plan?

Are you sure? Click "OK" to activate this plan.

[Cancel](#) [OK](#)









Securities Services Online [Accounts](#) [Cash Movements](#) [Orders](#) [Settlements](#) [Sign](#) [Client Acceptance](#) [Plans](#) [Logout](#)

Investment and income plans for client 9451099


Activated plan "INV PLAN"

Proceed to the [SIGN](#) page to confirm the transaction.

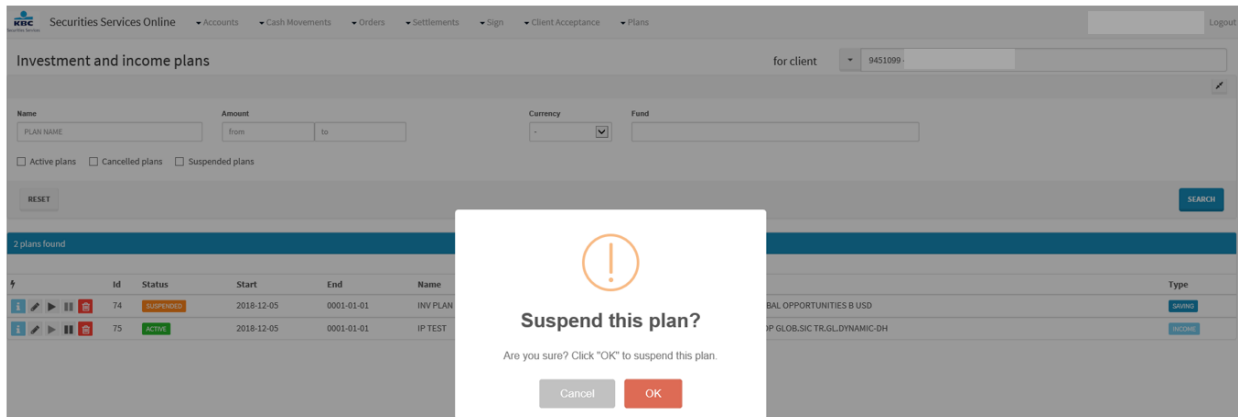
2 plans found

	Id	Status	Start	End	Name	Amount	Securities	Type
   	74	SUSPENDED	2018-12-05	0001-01-01	INV PLAN	1,000 EUR	TREETOP SEQUOIA EQUITY B USD, TREETOP GLOBAL OPPORTUNITIES B USD	SAVING
   	75	ACTIVE	2018-12-05	0001-01-01	IP TEST	500 EUR	TREETOP GL.SIC SEQUOIA EQ.-AH EUR-K, TREETOP GLOB.SIC TR.GL.DYNAMIC-DH	INCOME

10.1.1.4 Suspend Plan

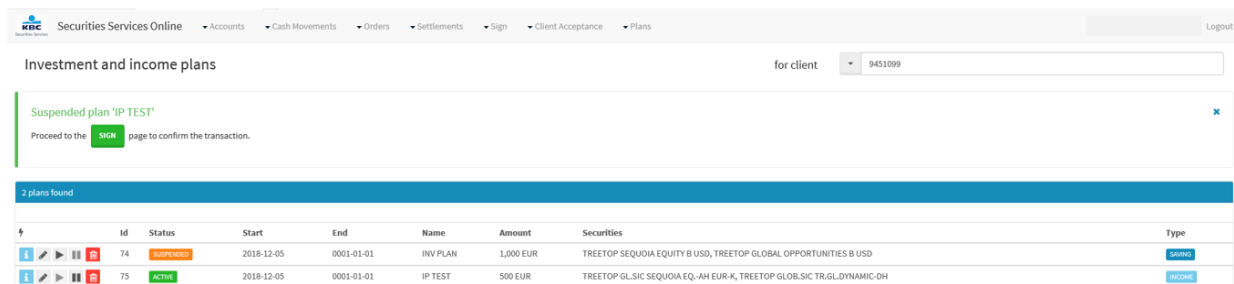
The client can suspend () a plan in case the end-customer requires putting a plan on hold for a limited period of time.

A suspended plan has to be signed by a different user in order to be confirmed. More details on the signing of a plan can be found in section 4.



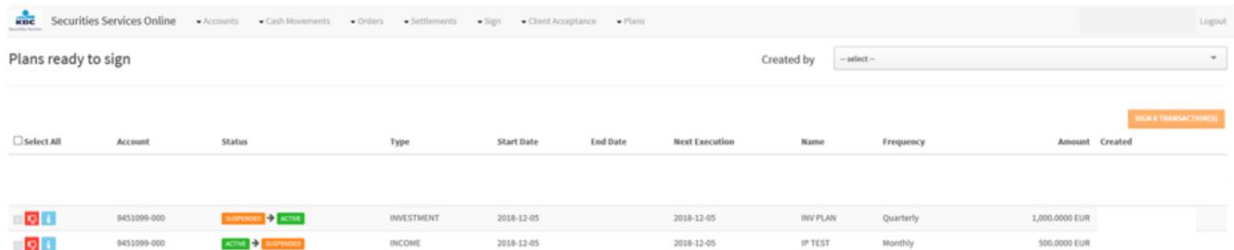
The screenshot shows the 'Investment and income plans' page for client 9451099. A modal dialog titled 'Suspend this plan?' is displayed, asking for confirmation to suspend plan 'IP TEST'. The dialog includes a warning icon and buttons for 'Cancel' and 'OK'.

Id	Status	Start	End	Name	Type
74	SUSPENDED	2018-12-05	0001-01-01	INV PLAN	INV PLAN
75	ACTIVE	2018-12-05	0001-01-01	IP TEST	IP TEST



The screenshot shows the 'Investment and income plans' page for client 9451099. A confirmation message is displayed: 'Suspended plan "IP TEST"'. It instructs the user to proceed to the 'SIGN' page to confirm the transaction. Below the message, the table of plans is updated to show plan 74 as 'SUSPENDED' and plan 75 as 'ACTIVE'.


Id	Status	Start	End	Name	Amount	Securities	Type
74	SUSPENDED	2018-12-05	0001-01-01	INV PLAN	1,000 EUR	TREETOP SEQUOIA EQUITY B USD, TREETOP GLOBAL OPPORTUNITIES B USD	INV PLAN
75	ACTIVE	2018-12-05	0001-01-01	IP TEST	500 EUR	TREETOP GL.SIC SEQUOIA EQ.-AH EUR-K, TREETOP GLOB.SIC TR.GLDYNAMIC-OH	IP TEST




The screenshot shows the 'Plans ready to sign' page. It displays a table of plans that are ready for signing, including their account, status, type, start and end dates, next execution date, name, frequency, and amount.

Account	Status	Type	Start Date	End Date	Next Execution	Name	Frequency	Amount	Created
9451099-000	SUSPENDED	INVESTMENT	2018-12-05	2018-12-05	2018-12-05	INV PLAN	Quarterly	1,000,000 EUR	
9451099-000	ACTIVE	INCOME	2018-12-05	2018-12-05	2018-12-05	IP TEST	Monthly	500,000 EUR	

10.1.1.5 Cancel Plan

The client can cancel/stop () a plan. Note that a plan with an end date will be closed automatically at the end date.

A manually cancelled/stopped plan has to be signed by a different user in order to be confirmed. More details on the signing of a plan can be found in section 4.


Securities Services Online

Accounts
Cash Movements
Orders
Settlements
Sign
Client Acceptance
Plans

[Logout](#)

Plans ready to sign

Created by


-- select --

☐ Select All

Account	Status	Type	Start Date	End Date	Next Execution	Name	Frequency	Amount	Created
<div> <div>9451099-000</div> <div> <div>SUSPENDED</div> <div>CANCELLED</div> </div> </div>	INVESTMENT	2018-12-05	2018-12-05	INV PLAN	Quarterly	1,000,000 EUR			

[SIGN 0 TRANSACTION\(S\)](#)

The client can create an investment plan by selecting an end-customer account.

 Securities Services Online

▼ Accounts

▼ Cash Movements

▼ Orders

▼ Settlements

▼ Sign

▼ Client Acceptance

▼ Plans

Logout

Investment and income plans

Overview

Create Investment Plan

Create Income Plan

for client

▼ 9451099

Name

PLAN NAME

Amount

from

to

Currency

▼

Fund

☐ Active plans


☐ Cancelled plans

☐ Suspended plans

Following fields have to be completed when creating a saving plan.


Field Name	Description	Mandatory/Optional
Name	Enter a name of the saving plan.	mandatory
Comment	Enter some specific comments for internal use.	optional
Amount	Enter an amount for the saving plan. This amount is checked on predefined minimum and maximum amounts allowed for a saving plan. A warning is given when the entered amount is not in the range of these minimum and maximum amounts for a plan.	mandatory
Currency	Select the currency of the amount entered for the saving plan. For end-customers with only 1 currency account (online end-customers) the currency is entered automatically and cannot be changed. For end-customers with more than 1 currency cash account (wealth end-customers), the currency has to be selected	mandatory
Cash Account	The cash account is entered automatically when selecting the currency of the plan amount. This field cannot be changed.	mandatory
Securities Account	The securities account is filled automatically. This field cannot be changed.	mandatory
Running	Enter the frequency of the saving plan. Possible frequencies depend on the end-customer type (online or Wealth)	Mandatory
From	Enter the start date of the plan.	Mandatory
To	Enter the end date of the plan.	Optional
Securities	Select a fund from the list	
Models	Select a model with one or more funds	
Percentage	Enter a percentage of the total plan amount to invest per fund. The sum of percentages for all selected funds in a plan has to be equal to 100. When entering a percentage the amount per fund is calculated automatically.	Mandatory

The client can select funds out of a list 'Securities' or a portfolio model 'Models' on the right of the screen.


Adding a fund or a model is possible via the button  before the fund or the model.

Up to 5 funds can be added to the saving plan. A fund can only be added once to the same plan.

10.2.1 Selection list 'Securities'

Select a fund from the 'securities' list via . The fund will then be added to the 'selected funds' area. The client can add up to 5 funds.

A selected fund can be removed via the button .

Complete the percentage for the selected fund(s). Default there is no percentage completed. In this case the amount of the fund is 0,00. Via the 'mouse over' on the warning button  the client sees a warning related to the required minimum investment amount of the fund.

CREATE INVESTMENT PLAN

Create the plan by clicking on the button . Error messages are shown when mandatory fields are not correctly filled in.

A created plan has to be signed by a different user in order to be confirmed. More details on the signing of a plan can be found in section 4.

Securities Services Online [Accounts](#) [Cash Movements](#) [Orders](#) [Settlements](#) [Sign](#) [Client Acceptance](#) [Plans](#) [Logout](#)

Create Investment Plan

for client

Securities Models

ISIN	Name	Currency
+ LU0694355214	TREETOP GLOB. SIC DYNAMIC -AH EUR-K	EUR
+ LU0694355487	TREETOP GLOB. SIC BALANCED-AH EUR-K	EUR
+ LU0305892035	TREETOP CV SIC CONVER.INT.-CH GBP-K	GBP
+ LU0694355560	TREETOP GLOB. SIC BALANCED-DH EUR-D	EUR
+ LU0338400046	TREETOP GLOBAL OPPORTUNITIES C GBP	GBP
+ LU0675136062	TREETOP PORT.SIC PATRIM.CONSER.-P-K	EUR
+ LU0257174143	TREETOP SEQUOIA EQUITY B USD	USD
+ LU0694355305	TREETOP GLOB.SIC TR.GL.DYNAMIC-DH D	EUR
+ LU0285817697	TREETOP SEQUOIA EQUITY C GBP	GBP
+ LU0564489937	PERINVEST HARBOUR US EQUITY A USD	USD
+ LU0564490273	PERINVEST HARBOUR US EQUITY B EUR	EUR

Name **Cash account**

Comment **Security account**

Amount **CURRENCY**

running ☐ from to

No securities selected! Select a security on the right by clicking the 'plus' button.

Calculations are indicative.

[RESET](#) [CREATE INVESTMENT PLAN](#)

Securities Services Online [Accounts](#) [Cash Movements](#) [Orders](#) [Settlements](#) [Sign](#) [Client Acceptance](#) [Plans](#) [TEST TREETOP 1 \(RELT01\)](#) [Logout](#)

Create Investment Plan

for client

Securities Models


ISIN	Name	Currency
+ LU0694355214	TREETOP GLOB. SIC DYNAMIC -AH EUR-K	EUR
+ LU0305892035	TREETOP CV SIC CONVER.INT.-CH GBP-K	GBP
+ LU0694355560	TREETOP GLOB. SIC BALANCED-DH EUR-D	EUR
+ LU0338400046	TREETOP GLOBAL OPPORTUNITIES C GBP	GBP
+ LU0675136062	TREETOP PORT.SIC PATRIM.CONSER.-P-K	EUR
+ LU0257174143	TREETOP SEQUOIA EQUITY B USD	USD
+ LU0694355305	TREETOP GLOB.SIC TR.GL.DYNAMIC-DH D	EUR
+ LU0285817697	TREETOP SEQUOIA EQUITY C GBP	GBP
+ LU0564489937	PERINVEST HARBOUR US EQUITY A USD	USD
+ LU0564490273	PERINVEST HARBOUR US EQUITY B EUR	EUR
+ LU0564490430	PERINVEST HARBOUR US EQUITY C GBP	GBP
+ LU0675135841	TREETOP PATRIMOINE INTERNAT.P EUR	EUR
+ LU0257173335	TREETOP GL.SIC SEQUOIA EQ.-AH EUR-K	EUR
+ LU0338394058	TREETOP GLOBAL OPPORTUNITIES B USD	USD

Name **Cash account**

Comment **Security account**

Amount **EUR**

running ☐ from to

Selected funds	ISIN	Currency	Amount	Percentage
 TREETOP GLOB. SIC BALANCED-AH EUR-K	LU0694355487	EUR	0.00 EUR	<input type="text" value=""/> %
			0.00 EUR	0%

Calculations are indicative.

[RESET](#) [CREATE INVESTMENT PLAN](#)

Securities Services Online [Accounts](#) [Cash Movements](#) [Orders](#) [Settlements](#) [Sign](#) [Client Acceptance](#) [Plans](#) [Logout](#)

Create Investment Plan

for client

Name
Cash account

Comment
Security account

Amount

Selected funds	ISIN	Currency	Amount	Percentage
TREETOP GLOB. SIC BALANCED-AH EUR-K	LU0694355487	EUR	500.00 EUR	50 %
TREETOP GLOB. SIC OPPORTUN.-AH EUR-K	LU0338386468	EUR	500.00 EUR	50 %
			1,000.00 EUR	100%

Calculations are indicative.

Securities

Models

ISIN	Name	Currency
LU0694355214	TREETOP GLOB. SIC DYNAMIC -AH EUR-K	EUR
LU0305892035	TREETOP CV SIC CONVER.INT.-CH GBP-K	GBP
LU0694355560	TREETOP GLOB. SIC BALANCED-DH EUR-D	EUR
LU0338400046	TREETOP GLOBAL OPPORTUNITIES C GBP	GBP
LU0675136062	TREETOP PORT.SIC PATRIM.CONSER.-P-K	EUR
LU0257174143	TREETOP SEQUOIA EQUITY B USD	USD
LU0694355305	TREETOP GLOB.SIC TR.GL.DYNAMIC-DH D	EUR
LU0285817697	TREETOP SEQUOIA EQUITY C GBP	GBP
LU0564489937	PERINVEST HARBOUR US EQUITY A USD	USD
LU0564490273	PERINVEST HARBOUR US EQUITY B EUR	EUR
LU0564490430	PERINVEST HARBOUR US EQUITY C GBP	GBP
LU0675135841	TREETOP PATRIMOINE INTERNAT.P EUR	EUR
LU0257173335	TREETOP GL.SIC SEQUOIA EQ.-AH EUR-K	EUR
LU0338394058	TREETOP GLOBAL OPPORTUNITIES B USD	USD

10.2.2 Selection list 'Models'

Select a model from the 'Models' list via . The fund will then be added to the 'selected funds' area. The client can add up to 5 funds. A fund can only be added once to the same plan.

A selected fund can be removed via the button .

The percentage per fund is completed automatically. In case the minimum amount per fund is not OK a warning ('mouse over' on the warning button) is shown to change the percentage per fund or to change the plan amount. It is ofcourse also possible to remove a selected fund via the button .

Create the plan by clicking on the button . Error messages are shown when mandatory fields are not correctly filled in. A created plan has to be signed by a different user in order to be confirmed. More details on the signing of a plan can be found in section 4.

KBC Securities Services Online Accounts Cash Movements Orders Settlements Sign Client Acceptance Plans

Create Investment Plan

for client: 9451099 -

Securities **Models**

Model Name

- + Conservative Patrimo**
 - LU1229301061 TREETOP GLOBAL CONSERVATIVE A EUR 100%
- + Balanced Patrimonial**
 - LU0694355487 TREETOP GLOB. SIC BALANCED-AH EUR-K 100%
- + Growth Patrimonial**
 - LU0694355214 TREETOP GLOB. SIC DYNAMIC -AH EUR-K 50%
 - LU0694355487 TREETOP GLOB. SIC BALANCED-AH EUR-K 50%
- + Dynamic Patrimonial**
 - LU0694355214 TREETOP GLOB. SIC DYNAMIC -AH EUR-K 100%
- + Balanced II**
 - BE6275981817 TREETOP BEV WORLD EQUITY INDEX A 20%
 - LU0694355214 TREETOP GLOB. SIC DYNAMIC -AH EUR-K 20%
 - LU1229301061 TREETOP GLOBAL CONSERVATIVE A EUR 60%

No securities selected! Select a security on the right by clicking the 'plus' button.

Calculations are indicative.

RESET **CREATE INVESTMENT PLAN**

KBC Securities Services Online Accounts Cash Movements Orders Settlements Sign Client Acceptance Plans

Create Investment Plan

for client: 9451099 -

Securities **Models**

Model Name

- + Conservative Patrimo**
 - LU1229301061 TREETOP GLOBAL CONSERVATIVE A EUR 100%
- + Balanced Patrimonial**
 - LU0694355487 TREETOP GLOB. SIC BALANCED-AH EUR-K 100%
- + Growth Patrimonial**
 - LU0694355214 TREETOP GLOB. SIC DYNAMIC -AH EUR-K 50%
 - LU0694355487 TREETOP GLOB. SIC BALANCED-AH EUR-K 50%
- + Dynamic Patrimonial**
 - LU0694355214 TREETOP GLOB. SIC DYNAMIC -AH EUR-K 100%
- + Balanced II**
 - BE6275981817 TREETOP BEV WORLD EQUITY INDEX A 20%
 - LU0694355214 TREETOP GLOB. SIC DYNAMIC -AH EUR-K 20%
 - LU1229301061 TREETOP GLOBAL CONSERVATIVE A EUR 60%
- + Growth II**
 - BE6275981817 TREETOP BEV WORLD EQUITY INDEX A 25%

Name: ABC Cash account: 9451099 404 000 EUR

Comment: COMMENT Security account: 9451099 - TRADING ACC. IN CUSTC

Amount: 500 EUR

running from: Start date to: End date

Selected funds	ISIN	Currency	Amount	Percentage
TREETOP GLOB. SIC DYNAMIC -AH EUR-K	LU0694355214	EUR	250.00 EUR	50 %
TREETOP GLOBAL CONSERVATIVE A EUR	LU1229301061	EUR	125.00 EUR	25 %
TREETOP GLOB. SIC BALANCED-AH EUR-K	LU0694355487	EUR	125.00 EUR	25 %
			500.00 EUR	100%

Calculations are indicative.

RESET **CREATE INVESTMENT PLAN**

Securities Services Online [Accounts](#) [Cash Movements](#) [Orders](#) [Settlements](#) [Sign](#) [Client Acceptance](#) [Plans](#)

Create Investment Plan

for client 9451095

Securities **Models**

Model Name

- + Conservative Patrimo**
 - LU1229301061 TREETOP GLOBAL CONSERVATIVE A EUR 100%
- + Balanced Patrimonial**
 - LU0694355487 TREETOP GLOB. SIC BALANCED-AH EUR-K 100%
- + Growth Patrimonial**
 - LU0694355214 TREETOP GLOB. SIC DYNAMIC -AH EUR-K 50%
 - LU0694355487 TREETOP GLOB. SIC BALANCED-AH EUR-K 50%
- + Dynamic Patrimonial**
 - LU0694355214 TREETOP GLOB. SIC DYNAMIC -AH EUR-K 100%
- + Balanced II**
 - BE6275981817 TREETOP BEV WORLD EQUITY INDEX A 20%
 - LU0694355214 TREETOP GLOB. SIC DYNAMIC -AH EUR-K 20%
 - LU1229301061 TREETOP GLOBAL CONSERVATIVE A EUR 60%
- + Growth II**
 - BE6275981817 TREETOP BEV WORLD EQUITY INDEX A 25%

Name Cash account

Comment Security account

Amount EUR

running from to

Selected funds	ISIN	Currency	Amount	Percentage
TREETOP GLOB. SIC DYNAMIC -AH EUR-K	LU0694355214	EUR	500.00 EUR	50 %
TREETOP GLOBAL CONSERVATIVE A EUR	LU1229301061	EUR	250.00 EUR	25 %
TREETOP GLOB. SIC BALANCED-AH EUR-K	LU0694355487	EUR	250.00 EUR	25 %
			1,000.00 EUR	100%

Calculations are indicative.

[RESET](#) [CREATE INVESTMENT PLAN](#)

Create Investment Plan

We successfully created the plan.

You can [CREATE A NEW PLAN](#) or [SIGN](#)

Name Cash account

Comment Security account

Amount EUR

running from to

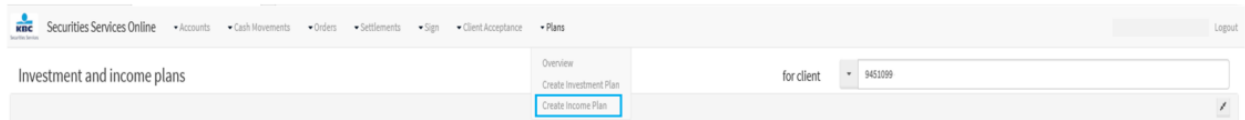
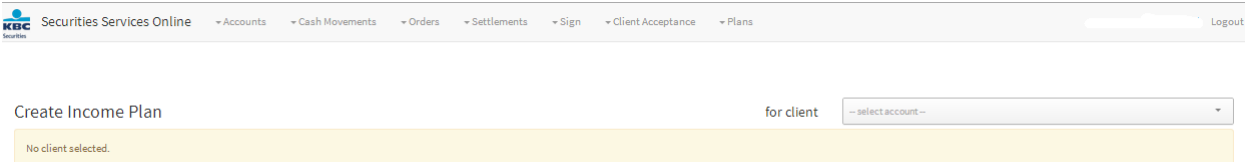
Selected funds	ISIN	Currency	Amount	Percentage
TREETOP GLOB. SIC DYNAMIC -AH EUR-K	LU0694355214	EUR	500.00 EUR	50 %
TREETOP GLOBAL CONSERVATIVE A EUR	LU1229301061	EUR	250.00 EUR	25 %
TREETOP GLOB. SIC BALANCED-AH EUR-K	LU0694355487	EUR	250.00 EUR	25 %
			1,000.00 EUR	100%

Calculations are indicative.

[RESET](#) [CREATE INVESTMENT PLAN](#)

10.3 Create Income Plans

The client can create an income plan by selecting an end-customer account.






Following fields have to be completed when creating an income plan.


Field Name	Description	Mandatory/Optional
Name	Enter a name of the income plan.	mandatory
Comment	Enter some specific comments for internal use.	optional
Amount	Enter an amount for the income plan. This amount is checked on predefined minimum and maximum amounts allowed for an income plan. A warning is given when the entered amount is not in the range of these minimum and maximum amounts for a plan.	mandatory
Currency	Select the currency of the amount entered for the saving plan. For end-customers with only 1 currency account (online end-customers) the currency is entered automatically and cannot be changed. For end-customers with more than 1 currency cash account (wealth end-customers), the currency has to be selected	mandatory
Cash Account	The cash account is entered automatically when selecting the currency of the plan amount. This field cannot be changed.	mandatory
Securities Account	The securities account is filled automatically. This field cannot be changed.	mandatory
Running	Enter the frequency of the saving plan. Possible	Mandatory


	frequencies depend on the end-customer type (online or Wealth)	
From	Enter the start date of the plan.	Mandatory
To	Enter the end date of the plan.	Optional
Securities	Select a fund from the list. This list is limited to the holdings in the securities account of the end-customer.	
Percentage	Enter a percentage of the total plan amount to invest per fund. The sum of percentages for all selected funds in a plan has to be equal to 100. When entering a percentage the amount per fund is calculated automatically.	Mandatory

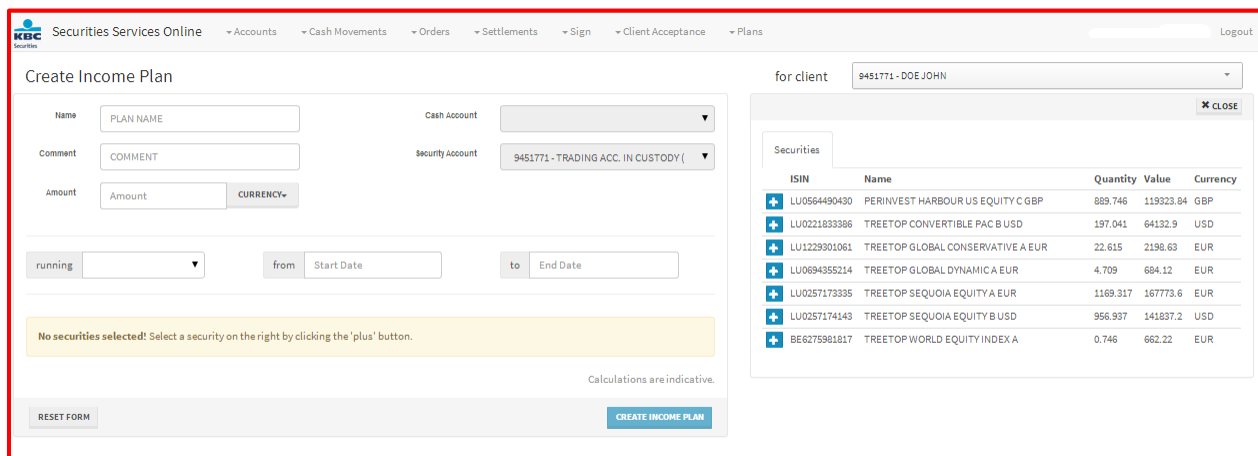
The client can select funds out of a list 'Securities' on the right of the screen.

Select a fund from the 'securities' list via . The fund will then be added to the 'selected funds' area. The client can add up to 5 funds. A fund can only be added once to the same plan.

A selected fund can be removed via the button .

Complete the percentage for the selected fund(s). Default there is no percentage completed. In this case the amount of the fund is 0,00. Via the 'mouse over' on the warning button  the client sees a warning related to the required minimum sell amount of the fund.

Create the plan by clicking on the button . Error messages are shown when mandatory fields are not correctly filled in. A created plan has to be signed by a different user in order to be confirmed. More details on the signing of a plan can be found in section 4.



Securities Services Online

Accounts Cash Movements Orders Settlements Sign Client Acceptance Plans Logout

Create Income Plan

Name: PLAN NAME

Comment: COMMENT

Amount: Amount CURRENCY

Cash Account: [Dropdown]

Security Account: 9451771 - TRADING ACC. IN CUSTODY [Dropdown]

running [Dropdown] from Start Date to End Date

No securities selected! Select a security on the right by clicking the 'plus' button.

Calculations are indicative.

RESET FORM CREATE INCOME PLAN

for client: 9451771 - DOE JOHN

Securities

ISIN	Name	Quantity	Value	Currency
LU0564490430	PERINVEST HARBOUR US EQUITY C GBP	889.746	119323.84	GBP
LU0221833386	TREETOP CONVERTIBLE PAC B USD	197.041	64132.9	USD
LU1229301061	TREETOP GLOBAL CONSERVATIVE A EUR	22.615	2196.63	EUR
LU0694355214	TREETOP GLOBAL DYNAMIC A EUR	4.709	684.12	EUR
LU0257173335	TREETOP SEQUOIA EQUITY A EUR	1169.317	167773.6	EUR
LU0257174143	TREETOP SEQUOIA EQUITY B USD	956.937	141837.2	USD
BE6275981817	TREETOP WORLD EQUITY INDEX A	0.746	662.22	EUR

Securities Services Online Accounts Cash Movements Orders Settlements Sign Client Acceptance Plans Logout

Create Income Plan

Name: Cash Account:

Comment: Security Account:

Amount:

running: from: to:

No securities selected! Select a security on the right by clicking the 'plus' button.

Calculations are indicative.

for client:

Securities

ISIN	Name	Quantity	Value	Currency
LU0564490430	PERINVEST HARBOUR US EQUITY C GBP	889.746	119323.84	GBP
LU0221833386	TREETOP CONVERTIBLE PAC B USD	197.041	64132.9	USD
LU1229301061	TREETOP GLOBAL CONSERVATIVE A EUR	22.615	2198.63	EUR
LU0257173335	TREETOP GLOBAL DYNAMIC A EUR	4.709	684.12	EUR
LU0257173335	TREETOP SEQUOIA EQUITY A EUR	1169.317	167773.6	EUR
LU0257174143	TREETOP SEQUOIA EQUITY B USD	956.937	141837.2	USD
BE6275981817	TREETOP WORLD EQUITY INDEX A	0.746	662.22	EUR

Securities Services Online Accounts Cash Movements Orders Settlements Sign Client Acceptance Plans Logout

Create Income Plan

Name: Cash Account:

Comment: Security Account:

Amount:

running: from: to:

Selected funds	ISIN	Currency	Amount	Percentage
<input type="checkbox"/> TREETOP GLOBAL CONSERVATIVE A EUR	LU1229301061	EUR	0.00 EUR	<input type="text" value=""/>

The amount of every security should be at least 50 EUR. Change the total amount of money or increase the percentage.

Calculations are indicative.

for client:

Securities

ISIN	Name	Quantity	Value	Currency
LU0564490430	PERINVEST HARBOUR US EQUITY C GBP	889.746	119323.84	GBP
LU0221833386	TREETOP CONVERTIBLE PAC B USD	197.041	64132.9	USD
LU0694355214	TREETOP GLOBAL DYNAMIC A EUR	4.709	684.12	EUR
LU0257173335	TREETOP SEQUOIA EQUITY A EUR	1169.317	167773.6	EUR
LU0257174143	TREETOP SEQUOIA EQUITY B USD	956.937	141837.2	USD
BE6275981817	TREETOP WORLD EQUITY INDEX A	0.746	662.22	EUR

Securities Services Online Accounts Cash Movements Orders Settlements Sign Client Acceptance Plans Logout

Create Income Plan

Name: Cash Account:

Comment: Security Account:

Amount:

running: from: to:


Selected funds	ISIN	Currency	Amount	Percentage
<input checked="" type="checkbox"/> TREETOP GLOBAL CONSERVATIVE A EUR	LU1229301061	EUR	500.00 EUR	<input type="text" value="100"/>
			500.00 EUR	<input type="text" value="100%"/>

Calculations are indicative.

for client:

Securities

ISIN	Name	Quantity	Value	Currency
LU0564490430	PERINVEST HARBOUR US EQUITY C GBP	889.746	119323.84	GBP
LU0221833386	TREETOP CONVERTIBLE PAC B USD	197.041	64132.9	USD
LU0694355214	TREETOP GLOBAL DYNAMIC A EUR	4.709	684.12	EUR
LU0257173335	TREETOP SEQUOIA EQUITY A EUR	1169.317	167773.6	EUR
LU0257174143	TREETOP SEQUOIA EQUITY B USD	956.937	141837.2	USD
BE6275981817	TREETOP WORLD EQUITY INDEX A	0.746	662.22	EUR


Securities Services Online

Accounts
Cash Movements
Orders
Settlements
Sign
Client Acceptance
Plans

Logout

Create Income Plan

for client 9451771 - DOE JOHN


We successfully registered the plan.

You can [CREATE A NEW PLAN](#) or [SIGN](#)

Name
Cash Account







Comment
Security Account

Amount

Selected funds	ISIN	Currency	Amount	Percentage
 TREETOP GLOBAL CONSERVATIVE A EUR	LU1229301061	EUR	500.00 EUR	<input type="text" value="100"/> %
			500.00 EUR	<input type="text" value="100%"/>

Calculations are indicative.

Securities

ISIN	Name	Quantity	Value	Currency
 LU0564490430	PERINVEST HARBOUR US EQUITY C GBP	889.746	119323.84	GBP
 LU0221833386	TREETOP CONVERTIBLE PAC B USD	197.041	64132.9	USD
 LU0694355214	TREETOP GLOBAL DYNAMIC A EUR	4.709	684.12	EUR
 LU0257173335	TREETOP SEQUOIA EQUITY A EUR	1169.317	167773.6	EUR
 LU0257174143	TREETOP SEQUOIA EQUITY B USD	956.937	141637.2	USD
 BE6275961817	TREETOP WORLD EQUITY INDEX A	0.746	662.22	EUR

Close

11 Settlement Instructions

11.1 General principles

- All instructions that are entered in SSO will follow a **4-eye principle**: first one user enters the instruction details. The system stores the instruction in a waiting room. Then a user needs to check and authorize the instruction before it is delivered to the back-end of KBC Securities Services. The same 4-eyes principle also applies to cancelling an instruction. Information about who created and who authorized an instruction is available in the instruction follow-up overviews.
- **Cancel instructions are not shown** as a separate instruction. Only New instruction will be shown, with status "Cancel Pending" or "Cancelled".
- **Archived** settlement instructions **can not be viewed** in SSO. A settlement instruction will be archived 3 months after settlement or cancellation.
- **Basic validations** are performed during instruction creation. The full SI validation is performed only when the instruction is delivered to TPS.
- Changes in instruction data are sent to the front-end using a **push mechanism**. This means that the user will have up-to-date information about the status of his instructions, without having to refresh manually.
- When creating an **internal settlement** instruction, only one instruction is needed.

11.2 Overview

In the overview, all settlement instructions of the client are shown, regardless of where they have been created: via Swift, SSO or manually by KBC Securities Services. By default, all open settlement instructions are visible. Open instructions are settlement instructions that are not settled or have not been cancelled. The instructions are ranked by input date, which means that the most recent settlement instructions are at the top.

Securities Services Online

Accounts Cash Movements Orders Settlements Sign Logout

Active Settlement Instructions 10

Status: Open

Sender reference: SENDER REFERENCE

ISIN: ISIN

Account: 9451607

Created by: --select user--

Instruction type: --select instruction type--

Place of custody: --select place of custody--

Quantity from: 0 to: =

Amount from: 0 to: =

Currency: --select currency--

Trade date from: dd/MM/yyyy to: dd/MM/yyyy

Settlement date from: dd/MM/yyyy to: dd/MM/yyyy

RESET SEARCH

Type	Status	Held	Sender reference	Account	ISIN	Quantity	Amount	TD	SD	Place of custody	Created	On
DFP	Validated		TEST SVR 3	9451607	BE0003876936	12.0000		2015-11-16	2015-11-19	Euroclear Belgium		2015-11-16
DFP	Validated		TESTFBSSO281010	9451607	LU0012006317	400.0000		2015-10-27	2015-10-28	BANK DEGROOF LU		2015-10-28
RVP	Validated		TESTFBSSO28103	9451607	LU0694355580	100.0000	11,900.0000 EUR	2015-10-28	2015-10-29	BANK DEGROOF LU		2015-10-28
DFP	Validated		TESTFBSSO28102	9451607	LU0012006317	100.0000		2015-10-28	2015-10-29	BANK DEGROOF LU		2015-10-28
RFP	Validated		TESTFBSSO28101	9451607	LU1117688860	100.0000		2015-10-28	2015-10-29	BANK DEGROOF LU		2015-10-28
RVP	Validated		SVR TEST 22	9451607	US5949181045	12.0000	1,200.0000 USD	2015-10-27	2015-10-29	US BONY		2015-10-27
RFP	Validated		SVR TEST 21	9451607	BE0003876936	12.0000		2015-10-26	2015-10-26	Euroclear Belgium		2015-10-27
DFP	Validated		SVR SPERRINGEN	9451607	BE0003876936	12.0000		2015-10-27	2015-10-30	Euroclear Belgium		2015-10-27
RFP	Validated		SVR TEST TT	9451607	BE6275985859	20.0000		2015-10-27	2015-10-30	CACEIS BELGIUM (CB)		2015-10-27
DFP	Validated		TEST SVR	9451607	BE0003876936	1.0000		2015-10-27	2015-10-29	Germany Deutsche Bank		2015-10-27

An extensive list of search criteria has been added in the active overview. The client can filter on one or more search criteria. The selected search criteria can easily be deleted by pressing the "clear" button.

Possible search criteria:

Status

Possible parameters:

- Cancel Pending
- Cancelled
- Matched
- Open
- Settled
- Validated

Instruction type

Possible parameters:

- Deliver against payment
- Deliver free of payment
- Receive against payment
- Receive free of payment

Sender reference

In this field, a client can search on the sender reference. Automatically a wildcard will be added at the end, which means that all instructions starting with this reference will be shown.

Account

In this field, the client can select the safekeeping account with KBC Securities Services. All accounts that have been setup for the user will be visible and can be selected. The format of the safekeeping account is always 7 digits + 000.

ISIN

In this field, the user can input the ISIN-code of the security.

Place of custody

A list of all possible places of custody will be shown; the client can select a specific place of custody.

Currency

A list of all currencies will be shown; the client can select a specific currency in the list or type the currency code.

Quantity from – Quantity to

In this numerical field, the client can fill in the quantity.

Amount from – Amount to


In this numerical field, the client can fill in the amount.

Trade Date from – Trade Date to

The client can select a trade date in the calendar, or type a specific trade date.

Settlement Date from – Settlement Date to

The client can select a settlement date in the calendar, or type a specific settlement date.

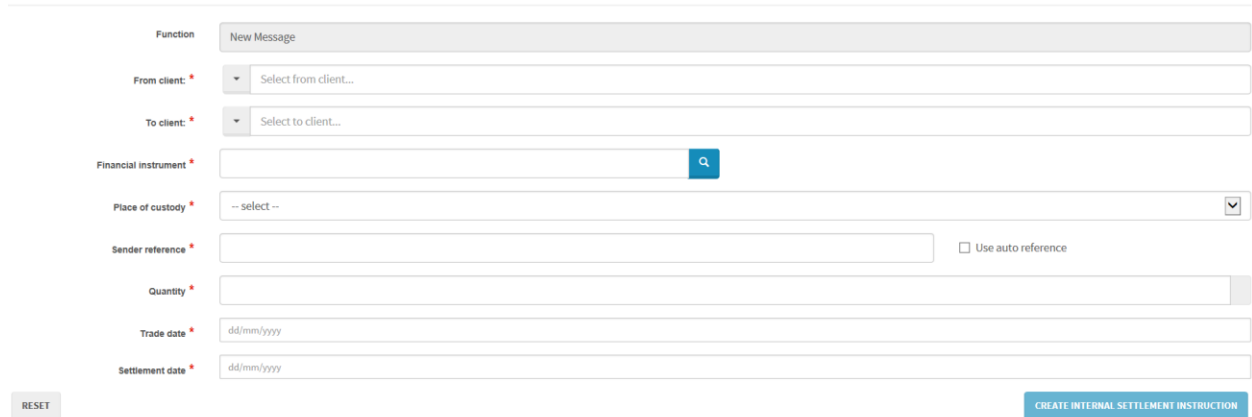
With the  “View details” button, the client can see the details of the settlement instructions.

11.3 Create Internal SI

It is possible to create an Internal Settlement Instruction, to settle between two Client Accounts.

Create Internal Settlement Instruction

Trade Details



The form contains the following fields and controls:

- Function:** A dropdown menu with 'New Message' selected.
- From client:** A dropdown menu with 'Select from client...' as the placeholder.
- To client:** A dropdown menu with 'Select to client...' as the placeholder.
- Financial instrument:** A text input field with a magnifying glass icon on the right.
- Place of custody:** A dropdown menu with '-- select --' as the placeholder.
- Sender reference:** A text input field with a checkbox labeled 'Use auto reference' to its right.
- Quantity:** A text input field.
- Trade date:** A text input field with the placeholder 'dd/mm/yyyy'.
- Settlement date:** A text input field with the placeholder 'dd/mm/yyyy'.
- RESET:** A button located at the bottom left of the form.
- CREATE INTERNAL SETTLEMENT INSTRUCTION:** A button located at the bottom right of the form.

Trade Details:

Function

The function will always be NEWM (new message). Clients will be able to cancel instructions via the “overview” screen, not via the “create” screen.

From Client

Client account where the security is to be transferred from.

To Client

Client account where the security is to be transferred to.

Financial Instrument

In this field, the user can manually input the ISIN-code of the security, or he can select a security by clicking on the magnifying glass:

- Select from my accounts: the client can query on the securities positions on his account.
- Select a security with the following parameters (uncheck the “select from my accounts” box):
 - o ISIN
 - o Name
 - o Internal Code KBC Securities Services
 - o Security Group (share, bond, ...)
 - o Place of Custody (list of possible places of custody)

Place of custody

A list of places of custody that are possible for the selected security will be shown. If the chosen security has only one place of custody, then this place of settlement will be filled in automatically.

Sender Reference

In this field, a client can fill in the sender reference, or he can choose to select an automatically generated reference. The sender reference has to be a unique reference per safekeeping account.

Quantity

In this numerical field, the client can fill in the quantity.

Settlement Amount

In this numerical field, the client can fill in the settlement amount.
This field is only mandatory for instructions against payment.

Trade Date

The client can select a trade date in the calendar, or type a specific trade date.

Settlement Date

The client can select a settlement date in the calendar, or type a specific settlement date.

11.4 Create External SI

Create External Settlement Instruction

Trade Details

Function	New Message		
Instruction type *	-- select --		
Safekeeping account *	Search account...		
Financial instrument *	<input type="text"/> <input type="button" value="Q"/>		
Place of custody *	-- select --		
Sender reference *	<input type="text"/>	<input type="checkbox"/> Use auto reference	
Quantity *	<input type="text"/>		
Settlement amount	<input type="text"/>	-- select --	
Trade date *	<input type="text" value="dd/mm/yyyy"/>		
Settlement date *	<input type="text" value="dd/mm/yyyy"/>		

RESET
CREATE

Trade Details:

Function

The function will always be NEWM (new message). Clients will be able to cancel instructions via the “overview” screen, not via the “create” screen.

Instruction Type

Possible parameters:

- Deliver against payment
- Deliver free of payment
- Receive against payment
- Receive free of payment

Safekeeping Account

In this field, the client can select the safekeeping account with KBC Securities Services. All accounts that have been setup for the user will be visible and can be selected. The format of the safekeeping account is always 7 digits + 000.

Financial Instrument

In this field, the user can manually input the ISIN-code of the security, or he can select a security by clicking on the magnifying glass:

- Select from my accounts: the client can query on the securities positions on his account.
- Select a security with the following parameters (uncheck the “select from my accounts” box):
 - o ISIN
 - o Name
 - o Internal Code KBC Securities Services
 - o Security Group (share, bond, ...)
 - o Place of Custody (list of possible places of custody)

Place of custody

A list of places of custody that are possible for the selected security will be shown. If the chosen security has only one place of custody, then this place of settlement will be filled in automatically.

Sender Reference

In this field, a client can fill in the sender reference, or he can choose to select an automatically generated reference. The sender reference has to be a unique reference per safekeeping account.

Quantity

In this numerical field, the client can fill in the quantity.

Settlement Amount

In this numerical field, the client can fill in the settlement amount.
This field is only mandatory for instructions against payment.

Trade Date

The client can select a trade date in the calendar, or type a specific trade date.

Settlement Date

The client can select a settlement date in the calendar, or type a specific settlement date.

Settlement details:

Place of Settlement

The place of settlement is linked to the place of custody in combination with the type of security (bonds, shares, ...) and will be filled in automatically.

Receiving/Delivering Agent (REAG/DEAG) = Custodian counterparty Party

The client can fill in the receiving or delivering agent, depending on the type of instruction (receive or deliver).

- BIC-code: the BIC-code has to be typed by the client
- External code: the external code of the place of settlement will automatically be offered, for example DTC, DAKV, The client can select the specific external code and fill in the code.
- Name: if the receiving/delivering agent does not have a BIC-code or an external identifier code, the client can type the name of the receiving/delivering agent.

Account

In this field, the client can fill in the account of the receiving/delivering agent with the global custodian.

Buyer/Seller (BUYR/SELL) = Counterparty Party

A client can fill in the buyer/seller, depending on the type of instruction (receive or deliver).

- BIC-code: the BIC-code has to be typed by the client
- External code: the external code of the place of settlement will automatically be offered, for example DTC, DAKV, The client can select the specific external code and fill in the code.
- Name: if the counterparty does not have a BIC-code or an external identifier code, the client can type the name of the receiving/delivering agent.

Account

In this field, the client can fill in the account of the buyer/seller with the receiving/delivering agent.

Settlement Details

Place of settlement SICVFRPP

Delivering agent [DEAG]

Party *	BIC	<input type="checkbox"/>	PARTY CODE
Account	<input type="text"/>		

Seller [SELL]

Party	-- select --	<input type="checkbox"/>	PARTY CODE
Account	<input type="text"/>		

Optional parameters:

Receiving/Delivering Custodian (RECU/DECU) = Global Custodian of the Counterparty Party

A client can fill in the receiving/delivering custodian, depending on the type of instruction (receive or deliver).

- BIC-code: the BIC-code has to be typed by the client
- External code: the external code of the place of settlement will automatically be offered, for example DTC, DAKV, The client can select the specific external code and fill in the code.
- Name: if the receiving/delivering custodian does not have a BIC-code or an external identifier code, the client can type the name of the receiving/delivering agent.

Account

In this field, the client can fill in the account of the buyer/seller with the receiving/delivering agent.

After completing all mandatory details, the client can confirm the transaction by clicking on the “Create” button. The screen can be cleared by clicking on the “Clear” button.

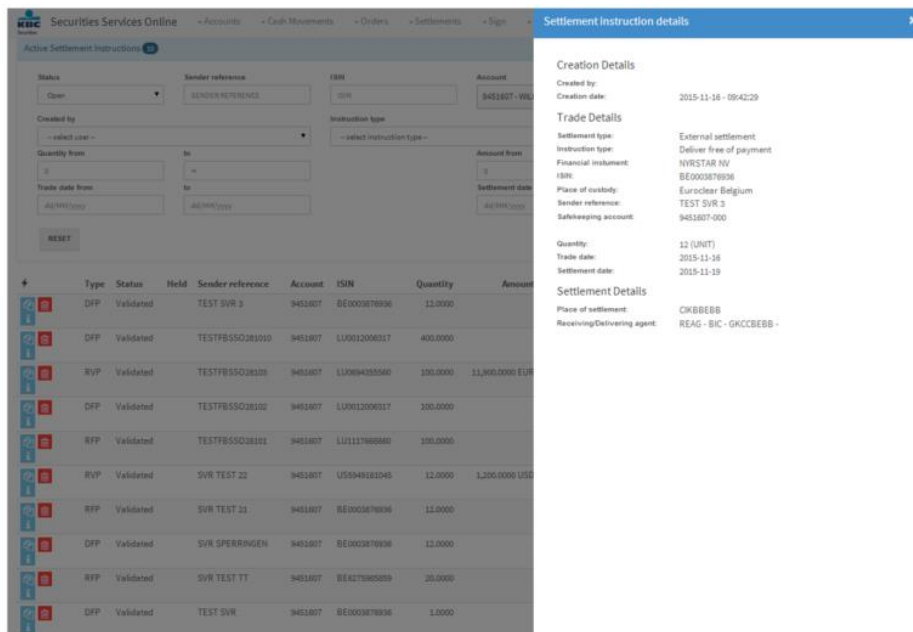
When the transaction is created, a pop-up will appear with the confirmation that the transaction has been created, stating the client reference and mentioning the need to sign the instruction.



Created!

Instruction with Sender Reference 000038800001 was successfully created, please note that the settlement instruction has to be signed.

OK



Settlement instruction details

Creation Details

Created by: [User]
 Creation date: 2015-11-16 - 09:42:29

Trade Details

Settlement type: External settlement
 Instruction type: Deliver free of payment
 Financial instrument: NVRSTAR NV
 ISIN: BE0003878836
 Place of custody: Euroclear Belgium
 Sender reference: TEST SVR 3
 Safeguarding account: 9401807-000

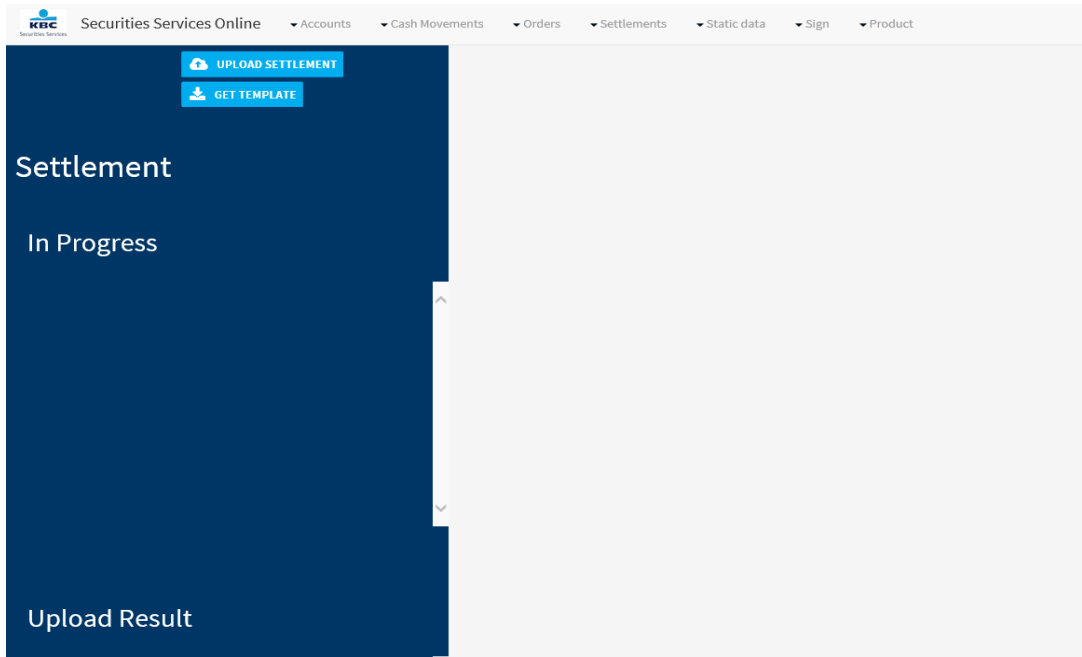
Quantity: 12 (UNIT)
 Trade date: 2015-11-16
 Settlement date: 2015-11-19

Settlement Details

Place of settlement: CKBBEBB
 Receiving/Delivering agent: REAG - BIC - GKCCBEBB -

Type	Status	Held	Sender reference	Account	ISIN	Quantity	Amount
DFF	Validated		TEST SVR 3	9401807	BE0003878836	12,0000	
DFF	Validated		TESTFBSSO281010	9401807	LU0012006317	400,0000	
RVP	Validated		TESTFBSSO281010	9401807	LU0694355560	100,0000	11,800,0000 EUR
DFF	Validated		TESTFBSSO281010	9401807	LU0012006317	300,0000	
RFP	Validated		TESTFBSSO281010	9401807	LU1117888840	100,0000	
RVP	Validated		SVR TEST 23	9401807	US9449181045	12,0000	3,200,0000 USD
RFP	Validated		SVR TEST 23	9401807	BE0003878836	12,0000	
DFF	Validated		SVR SPERRINGEN	9401807	BE0003878836	12,0000	
RFP	Validated		SVR TEST TT	9401807	BE0273985059	20,0000	
DFF	Validated		TEST SVR	9401807	BE0003878836	1,0000	

This functionality gives the opportunity to do a bulk upload of external settlement instructions based on an excel template.

 GET TEMPLATE

The template looks as follows and can be filled in the same way as the screen in the settlement (Create External SI):

[illegible]

11.5.1 Trade Details

TRADE DETAILS											SETTLEMENT DETAILS	REAG/DEAG DETAILS				BUYER/SELLER DETAILS						
Settlement Type	Instruction Type	Client Account	Client Reference	Trade Date	Settlement Date	ISIN	POC	Security Description	Quantity	Currency	Amount	RD	RD Qualifier	RD Party Type	RD Party Code	RD Account	BS Qualifier	BS Party Type	BS Party Code	BS Account	Comment	Message
		</																				

Create External Settlement Instruction

Trade Details

Function

New Message

Instruction type *

-- select --

Safeguarding account *

Search account...

Financial instrument *

Place of custody *

-- select --

Sender reference *

Quantity *

Settlement amount

-- select --

Trade date *

dd/mm/yyyy

Settlement date *

dd/mm/yyyy

Use auto reference

Tip: in the settlement screen you can choose to use an auto reference (tick 'use auto reference' box). If no reference filled in in the excel template an auto reference will be created by default.

11.5.2 Settlement Details

For certain markets extra settlement details will have to be inserted. E.g on the Hong-Kong market you will have to add 'change of beneficial owner' details (CBO). Same option is available in the excel template.

TRADE DETAILS											SETTLEMENT DETAILS		REAG/DEAG DETAILS				BUYER/SELLER DETAILS			
Settlement Type	Instruction Type	Client Account	Client Reference	Trade Date	Settlement Date	ISIN	POC	Security Description	Quantity	Currency	Amount	CBO	RD Qualifier	RD Party Type	RD Party Code	RD Account	BS Qualifier	BS Party Type	BS Party Code	BS Account
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								
												CBOT								

Trade Details

Tip: When it comes to extra settlement details on Stamp Duty (e.g. UK market), these details are automatically filled in in the 'create external settlement instruction' screen based on a number of criteria (account, ISIN, Place of custody). Same logic applies for instructions that will be uploaded via the template. Therefore there is no need to insert them on the excel template.

Trade Details

11.5.3 REAG/DEAG Details

RD qualifier: REAG for delivery instructions / DEAG for receipt instructions

Filled in example:

Create External Settlement Instruction

Function	New Message		
Instruction type *	RFP-Receive free of payment		
Safekeeping account *	<div> <div>▼</div> <div>0126585 - VAN DE PUT & CO</div> </div>		
Financial instrument *	BE0003604155	<div> <div>🔍</div> <div>LOTUS BAKERIES</div> </div>	
Place of custody *	Euroclear Belgium		
Sender reference			<input checked="" type="checkbox"/> Use auto reference
Quantity *	100	UNIT	
Settlement amount		-- select --	
Trade date *	12/11/2019		
Settlement date *	14/11/2019		

Place of settlement

CIKBEBB

Delivering agent [DEAG]

Party *

-- select --



PARTY CODE

Account

Same logic (of REAG/DEAG details) applies to the Buyer/Seller details:

RD qualifier: BUYR for delivery instructions / SELL for receipt instructions
RD Party Type: BIC or a local code (e.g. ECLR)
RD Party Code: your BIC or local code
RD Account: account

Filled in example:

BUYER/SELLER DETAILS			
BS Qualifier	BS Party Type	BS Party Code	BS Account
SELL	BIC	KREDBEBB	

Delivering agent [DEAG]

Party * ☐ PARTY CODE

Account

Seller [SELL]

Party ☐ PARTY CODE

Account

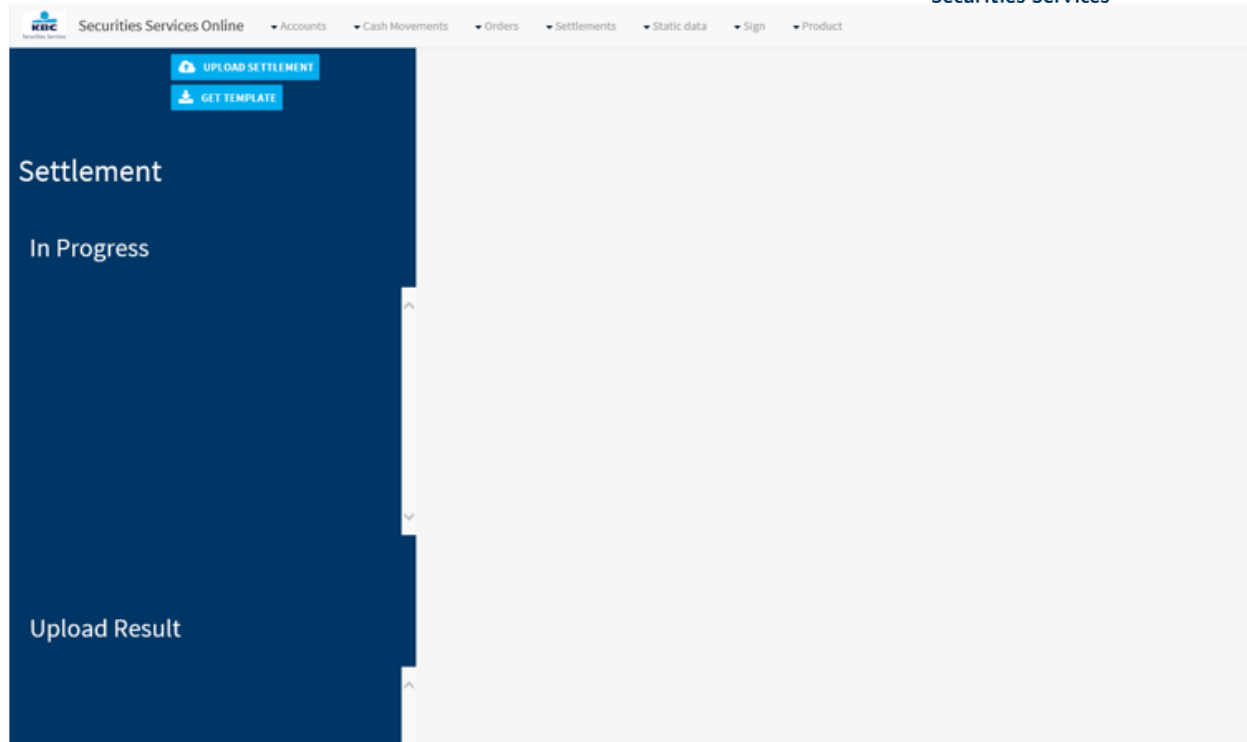
11.5.5 Upload

Example of a template filled in with details for 4 instructions:

TRADE DETAILS										SETTLEMENT DETAILS			REAG/DEAG DETAILS			BUYER/SELLER DETAILS			
Settlement Type	Instruction Type	Client Account	Client Reference	Trade Date	Settlement Date	ISIN	POC	Security Description	Quantity	Currency	Amount	CBO	RD Qualifier	RD Party Type	RD Party Code	RD Account	BS Qualifier	BS Party Type	BS Party Code
EXTERNAL	RFP-Receive free of payment	0126585		12/11/2019	14/11/2019	HK0000006349	Hong-Kong		50,000			BENE//YBEN	DEAG	BIC	KREDBEBB		SELL	BIC	KREDBEBB
EXTERNAL	RVP-Receive against payment	0126585		12/11/2019	14/11/2019	AU0000000AEE7	Sydney		30,000	AUD	1000,000		DEAG	BIC	GEBABEBB				
EXTERNAL	DFP-Deliver free of payment	0126585		12/11/2019	14/11/2019	ES0105060009	Madrid		40,000			BENE//NBEN	REAG	BIC	KREDBEBB				
EXTERNAL	DVP-Deliver against payment	0126585		12/11/2019	14/11/2019	FI0009000202	Helsinki		20,000	EUR	2000,000		REAG	BIC	KREDBEBB				

Go to Settlements module > Upload >





You browse and select the template you have used and saved.
If no mistakes were found in your template it will be uploaded and you will receive below screen:

Securities Services Online

Accounts Cash Movements Orders Settlements Static data Sign Product

UPLOAD SETTLEMENT

GET TEMPLATE

Settlement

In Progress

Status

Filename: Template Example.xlsx

Amount of Settlement Instructions: 4

Upload Result

File: Template Example.xlsx

Status: FINISHED

Create Date: 15/11/2019 - 11:54AM

Modification Date: 11/15/19 11:54 AM

Status > finished > 4 settlement instructions were uploaded.

Tip: If you don't receive a status update in the center of the screen, you should click first on the 'Upload Result' box at the lower left side of your screen.

These 4 settlement instructions are now available in the sign module to be signed (exactly the same process as if you would insert your instructions manually via 'Create External SI').

Settlement instructions ready to sign 4

Created by --select--

SIGN 0 TRANSACTION(S)

<input type="checkbox"/> Select All	Type	Action	Sender reference	Account	Beneficiary	ISIN	Quantity	Amount	TD	SD	Place of custody
<input type="checkbox"/>	DVP			0126585-000		FI000900202	20.0000	2,000.0000 EUR	2019-11-12	2019-11-14	Helsinki
<input type="checkbox"/>	DFP			0126585-000		ES0105065009	40.0000		2019-11-12	2019-11-14	Madrid
<input type="checkbox"/>	RVP			0126585-000		AU000000AAE7	30.0000	1,000.0000 AUD	2019-11-12	2019-11-14	Sydney
<input type="checkbox"/>	RFP			0126585-000		HK0000065349	50.0000		2019-11-12	2019-11-14	Hong-Kong

Maximum capacity: It is possible to upload up to 500 instructions at once.

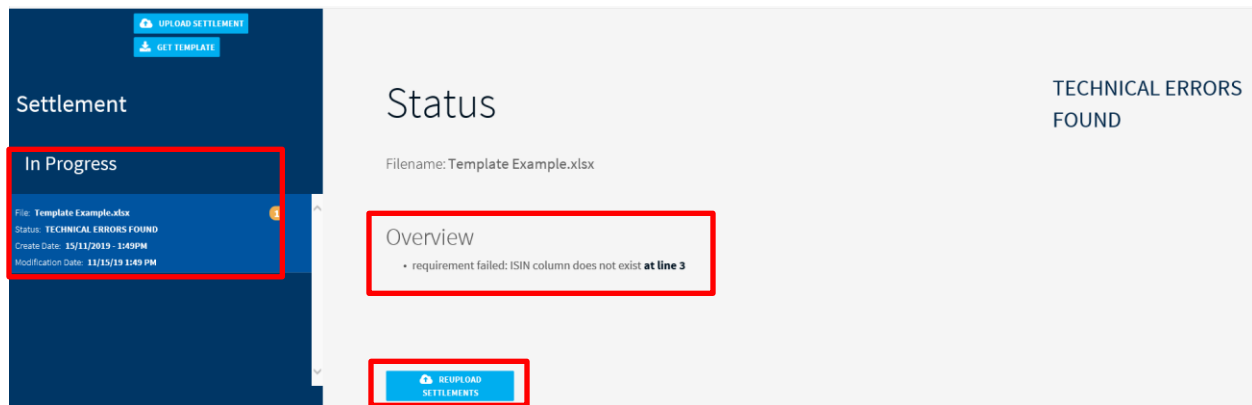
11.5.6 Error messages

1. Technical errors

If one of the mandatory fields is not filled in in the template this will result in a technical error.
 E.g. no ISIN code in the 2nd example (all other details remain the same then in previous example)

TRADE DETAILS											
Settlement Type	Instruction Type	Client Account	Client Reference	Trade Date	Settlement Date	ISIN	POC	Security Description	Quantity	Currency	Amount
EXTERNAL	RFP-Receive free of payment	0126585		12/11/2019	14/11/2019	HK0000065349	Hong-Kong		50,0000		
EXTERNAL	RVP-Receive against payment	0126585		12/11/2019	14/11/2019		Sydney		30,0000	AUD	1000,0000
EXTERNAL	DFP-Deliver free of payment	0126585		12/11/2019	14/11/2019	ES0105065009	Madrid		40,0000		
EXTERNAL	DVP-Deliver against payment	0126585		12/11/2019	14/11/2019	FI0009000202	Helsinki		20,0000	EUR	2000,0000

If we try to upload this excel, it will result in the below:



Settlement

Status

Filename: Template Example.xlsx

TECHNICAL ERRORS FOUND

In Progress

File: Template Example.xlsx
 Status: TECHNICAL ERRORS FOUND
 Create Date: 15/11/2019 - 1:45PM
 Modification Date: 11/11/19 1:49 PM

Overview

- requirement failed: ISIN column does not exist at line 3

REUPLOAD SETTLEMENTS

The excel sheet could not be uploaded due to the missing ISIN code. This will result in a 'technical error' and the type of error is displayed on your screen (in this case 'ISIN column does not exist at line 3'). Once this error is corrected in the excel sheet, it should be possible to upload. This can be done via the 're-

upload settlements button'

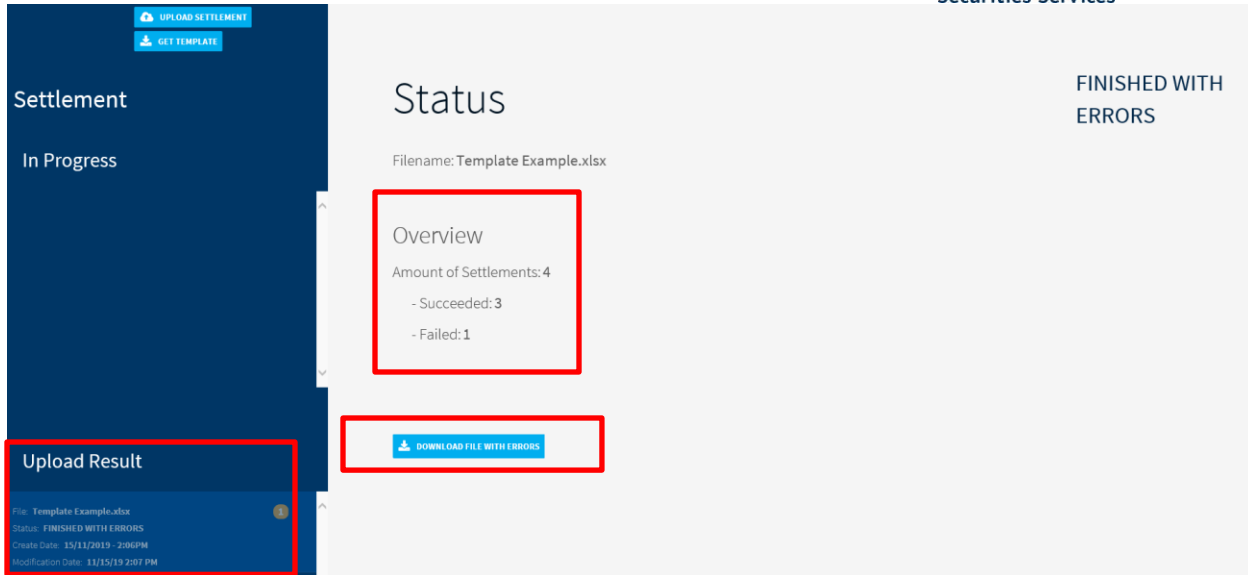
Tip: If you don't receive a status update in the center of the screen, you should click first on the 'In Progress' box at the upper left side of your screen.

2. Finished with errors

If we take again the same example: in this case we 'forgot' to fill in the currency for a RVP instruction:

TRADE DETAILS											
Settlement Type	Instruction Type	Client Account	Client Reference	Trade Date	Settlement Date	ISIN	POC	Security Description	Quantity	Currency	Amount
EXTERNAL	RFP-Receive free of payment	0126585		12/11/2019	14/11/2019	HK0000065349	Hong-Kong		50,0000		
EXTERNAL	RVP-Receive against payment	0126585		12/11/2019	14/11/2019	AU0000000AEE7	Sydney		30,0000		1000,0000
EXTERNAL	DFP-Deliver free of payment	0126585		12/11/2019	14/11/2019	ES0105065009	Madrid		40,0000		
EXTERNAL	DVP-Deliver against payment	0126585		12/11/2019	14/11/2019	FI0009000202	Helsinki		20,0000	EUR	2000,0000

If we upload this excel, we get the following upload result:



The file could be uploaded, but with errors.

3 out of 4 instructions have been uploaded correctly and are ready to be signed in the sign module.

1 out of 4 instructions failed and could not be uploaded. To check on the issue with this instruction you

can download the 'download file with errors'

[DOWNLOAD FILE WITH ERRORS](#)

If you open the file you will see why the instruction could not be uploaded in the 'comment' and 'message' column:

TRADE DETAILS											
Settlement Type	Instruction Type	Client Account	Client Reference	Trade Date	Settlement Date	ISIN	POC	Security Description	Quantity	Currency	
EXTERNAL	RVP-Receive against payment	0126585		12/11/2019	14/11/2019	AU000000AEE7	Sydney		30,000		
SETTLEMENT DETAILS			REAG/DEAG DETAILS			BUYER/SELLER DETAILS					
Amount	CBO	RD Qualifier	RD Party Type	RD Party Code	RD Account	BS Qualifier	BS Party Type	BS Party Code	BS Account	Comment	Message
1000,0000		DEAG	BIC	GEBABEBB						ERROR	The currency is missing or is not valid

You can correct the error in this file and upload again.

12 Product

The product module offers access to KID and target market information, as described in Mifid II.

12.1 Product Information

The Product Information page offers a securities finder, through which info on KID's and target market information can be requested.

Possible search criteria:

Find financial instrument

ISIN	MIC	Name	Internal code	Security group
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	-- select --
Place of custody	Place of trade	Currency	Ticker	
-- Place Of Custody --	-- Place Of Trade --	-- select --	<input type="text"/>	
RESET			SEARCH	

ISIN

In this field, the user can fill in the ISIN-code of the security.

MIC

In this field, the user can fill in the MIC-code of the market.

Security name

In this field, the user can fill in the name of the security.

Internal code

In this field, the user can fill in the internal code of the security; this is the internal code in the system of KBC Securities.

Security Group

A list of all possible security Groups will be shown, the client can select a specific security Group.

Place of custody

A list of all possible places of custody will be shown; the client can select a specific place of custody.

Place of trade

A list of all possible places of trade will be shown; the client can select a specific place of trade.








Currency

A list of all currencies will be shown; the client can select a specific currency in the list or type the currency code.

Ticker

In this field, the client can look for a ticker code.

Based on one or more of these search criteria, a list of securities will be shown.

ISIN	Security Name	Type	MIC	Market Description	Price	Currency	Last price date
LU0517761358	(LF) FCP - TOTAL RETURN FD -A K	OtcFund	 VESTIMA+	Investment Funds Vestima	10.7156	EUR	2017-12-11
LU0273959709	(LF) FCP EQUITY GLOB. EQUITIES FD-I K	OtcFund	 VESTIMA+	Investment Funds Vestima	1.4189	EUR	2017-12-11
LU0670223279	(LF) FCP MON. MKT. FD. RESERVE-EUROBK-K	OtcFund	 VESTIMA+	Investment Funds Vestima	9.9602	EUR	2017-12-11
LU1386139338	\$ CONTR. PARTN. CSOB SVET. HR.2 0722-K	OtcFund		Investment Funds KBC (LU)	10.0000	CZK	2016-07-20
LU0079474960	AB FCP I AMERICAN GROWTH PORTF.-A D	Fund	 LUXEMBOURG STOCK EXCHANGE	Luxembourg	84.4300	USD	2017-12-11
LU1069345509	AB FCP I FCP AMERICAN IN. PORT.-AA-D	OtcFund	 VESTIMA+	Investment Funds Vestima	13.2100	EUR	2017-12-11
LU0246608854	AB FCP I FCP EM. MKT. DEBT PORTF.-A D	OtcFund	 KBL	Investment Funds KBL	13.3800	EUR	2017-12-11
LU0095025721	AB FCP I FCP EUROPEAN INC. PORT.-A-D	OtcFund	 VESTIMA+	Investment Funds Vestima	7.1400	EUR	2017-12-11




After choosing the correct security, the client will receive info on available KID's and Target Market information if this info is available in the KBC Securities Services system.

KID documents:

The available KID documents will be shown, with an indication of the language of the document and it's jurisdiction.

Product info for IE00B60SWX25. ×

Product Details

document	
Kid document SOURCE MK PLC ESTX50 SOURCE ETF-A K [en] Jurisdictions: [BE]	 DOWNLOAD PDF
Kid document SOURCE MK PLC ESTX50 SOURCE ETF-A K [en] Jurisdictions: [BE]	 DOWNLOAD PDF
Kid document SOURCE MK PLC ESTX50 SOURCE ETF-A K [en] Jurisdictions: [BE]	 DOWNLOAD PDF

These documents can be downloaded as PDF.

Following set of Target Market information will be displayed, in case this info is available in the KBC Securities Services system.

Target Market Info

Knowledge Base

Basic Knowledge:	NO
Informed Investor:	UNDEFINED
Experienced Investor:	YES

Ability To Bear Losses

Fully Protected Capital:	UNDEFINED
Partially Protected Capital:	YES
Partially Protected Capital Percentage:	12.36
Non Protected Capital:	YES
Loss Of More Than Capital:	NO

Risk/Reward Profile

Priips Score:	1 on a scale of 1 (most defensive)
UCITS Score::	7 on a scale of 1 (most defensive)
Leveraged exposure:	YES

Investor Horizon

Very Short Term Horizon:	UNDEFINED
Short Term Horizon:	NO
Medium Short Term Horizon:	
Long Term Horizon:	YES

13 Reporting

For Wealth Management only. The 5 basic reports that are currently set up in our back office system (Securities Transactions, Securities Positions, Cash Movements, Cash Balances and Dividend Overview) are now also available on demand through SSO.

Date fields are mandatory for every report. The date is referred to as the system date.

Upon request of a report, it will be sent to the e-mail address specified in the 'on demand' report in our back office system.

KBC SECURITIES SERVICES

KBC Securities Services provides the infrastructure to run **global brokerage and custody operations**. We offer this full wealth managers, asset managers, private bankers and family offices. With our **BPO model** we offer a solution to outsource, partially or completely, their servicing processes. We take care of the increasing regulations, more complex standards so the customer can focus on their business and their clients. Quality of service, market intelligence, price and strategic commitment are driving our proposition.

- Securities Transactions
- Securities Positions
- Cash Movements
- Cash Balances
- Dividend Overview

13.1 Securities Transactions

Securities Transactions

Place of Custody
-- select --

Security Type
-- select --

Date from *
01/07/2019

to *
31/07/2019

RESET

REQUEST REPORT

Filters available for 'place of custody' and 'security type'.

Securities Transactions

Place of Custody
-- select --


Security Type
-- select --

Date from *
01/07/2019

to *
31/07/2019

RESET

REQUEST REPORT



Request acknowledged

Your request has been acknowledged.
The requested report will be generated and sent to your configured e-mail address.

Ok

Mail:



customersupport@kbc.be

KBC BANK NV : SSO - SECURITIES TRANSACTIONS 01/07/2019 - 31/07/2019

Included document KBC Securities Services

13.2 Securities Positions

Securities Positions

Security Type

Date

Filter available for 'security type'.

Mail:



customersupport@kbc.be

KBC BANK NV : SSO - SECURITIES POSITIONS 16/07/2019

Included document KBC Securities Services

13.3 Cash Movements

Cash Movements

Date from

to

Mail:



customersupport@kbc.be

KBC BANK NV : SSO - CASH MOVEMENTS 01/06/2019 - 30/06/2019

Included document KBC Securities Services

13.4 Cash Balances

Cash Balances

Date

Mail:



customersupport@kbc.be

KBC BANK NV : SSO - CASH BALANCES 06/08/2019

Included document KBC Securities Services

13.5 Dividend Overview

Dividend Overview

Date from

to

Mail:



customersupport@kbc.be

KBC BANK NV : SSO - Dividend Overview 01/01/2019 - 01/07/2019

Included document KBC Securities Services

