

# Securities Services Online

[Securities Services Online \[2.0.X\] \(kbc.be\)](#)

**November 2023**

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 unauthorized access.

The Client is responsible for any access or instruction using the authentication means made available to it by KBC, and undertakes 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.

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## 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
- Microsoft Edge

### Contact:

In case of any questions or issues, please contact our Customer Support: [customersupport@kbc.be](mailto:customersupport@kbc.be)

## Overview modules SSO:

### 1) Accounts

- Cash accounts
- Securities accounts
- Assets Overview

### 2) Cash movements

- Pending cash transfers
- Internal cash transfers
- External cash transfers
- Technical cash transfers
- Forex

### 3) Orders

- Create order
- Orderbook

### 4) Static data

- Standing Instructions

### 5) Sign

- Orders
- Cash movements
- Settlements
- Forex
- Plans
- Standing instructions
- BPO Management Updates

### 6) Plans

- Overview
- Create Investment Plan
- Create Income Plan

### 7) Settlement Instructions

- Overview

- Create Internal Settlement Instruction
- Create External Settlement Instruction

## 8) Product

- Product information

## 9) Reporting

- Securities transactions
- Securities positions
- Cash Movements
- Cash Balances
- Dividend overview

## 10) BPO Management

- Product universe
- External reference
- Product Update

### 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](mailto: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](mailto:clientadministration@kbc.be). In case you forgot your PIN or locked your digipass, please also contact [clientadministration@kbc.be](mailto: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

 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**

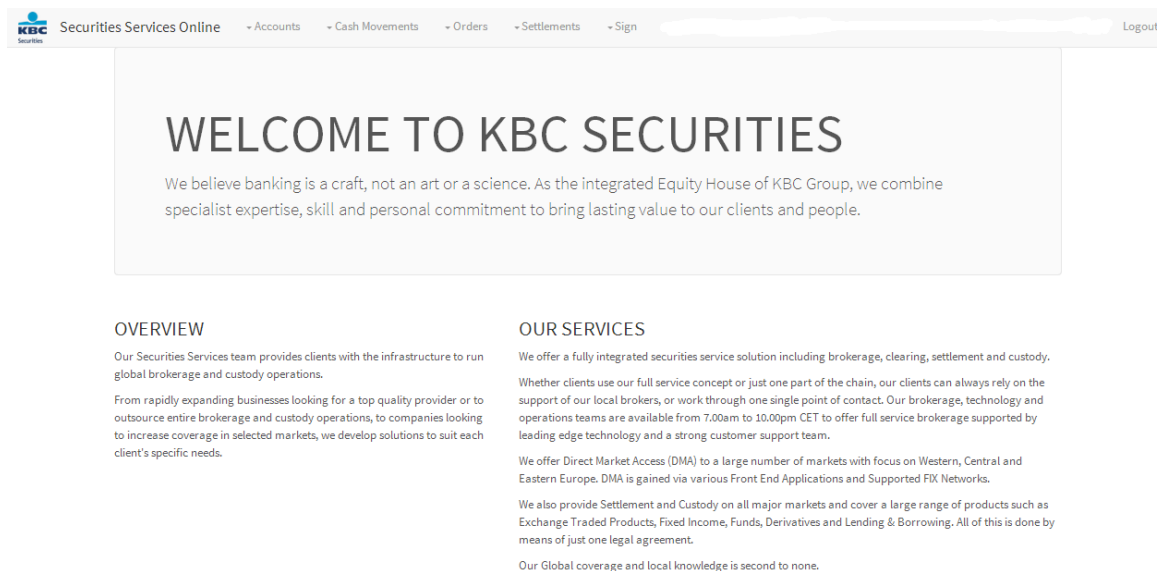
5. Fill in the response code

 Digipass 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, there 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, a large grey box contains 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, the page is divided into two columns. The left column is titled "OVERVIEW" and contains two paragraphs: "Our Securities Services team provides clients with the infrastructure to run global brokerage and custody operations." and "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." The right column is titled "OUR SERVICES" and contains three paragraphs: "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." and "Our Global coverage and local knowledge is second to none."

## 4 Accounts

### 4.1 General principles

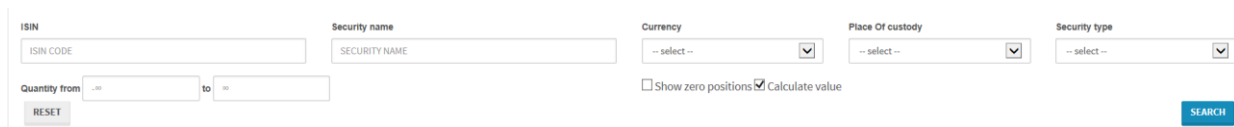
With the accounts module, clients have an online view on their accounts to see the current securities and cash positions. All accounts will be visible, also blocked and margin accounts. Securities and cash movements can easily be queried online on several search criteria.

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:



The screenshot shows a search form with the following fields and controls:

- ISIN**: A text input field labeled "ISIN CODE".
- Security name**: A text input field labeled "SECURITY NAME".
- Currency**: A dropdown menu with "-- select --" and a downward arrow.
- Place Of custody**: A dropdown menu with "-- select --" and a downward arrow.
- Security type**: A dropdown menu with "-- select --" and a downward arrow.
- Quantity from**: A text input field with "--" and a "to" label.
- RESET**: A button below the "Quantity from" field.
- Show zero positions**: A checkbox.
- Calculate value**: A checked checkbox.
- SEARCH**: A blue button on the right side.

#### 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

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 (testusersv) Logout

Securities Accounts for client 6321000 - DOE-DOE

Securities 21

ISIN Security name Currency Place Of custody Security type

ISIN CODE SECURITY NAME -- select -- -- select -- -- select --

Quantity from to

RESET

☐ Show zero positions ☒ Calculate value

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:

## View detail Securities movements:

The button **WHT 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:

- Date ownership
- Action (= Transaction type)
- Price (= initial or historical price)
- Currency (=price currency)
- Quantity (= initial transaction quantity)
- 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:

<b>Balance</b> <input type="text" value="..∞"/> to <input type="text" value="∞"/> <input type="button" value="CLEAR"/>	<b>Description</b> <input type="text" value="DESCRIPTION"/>	<b>Currency</b> <input type="text" value=".."/>	<b>Positions</b> <input type="checkbox"/> Zero Pos <input type="checkbox"/> Blocked Pos
			<input type="button" value="FILTER"/>

**Balance**

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

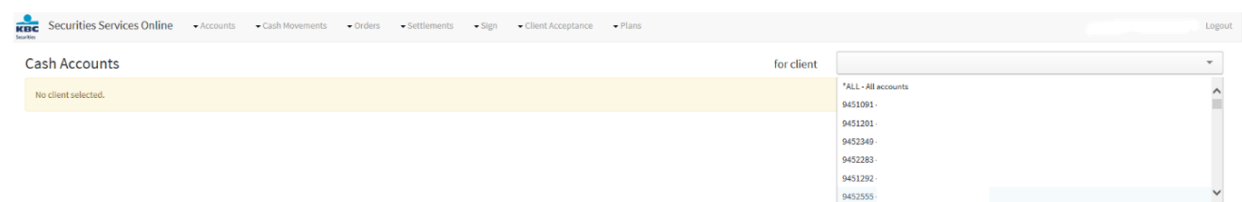
**Description**

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

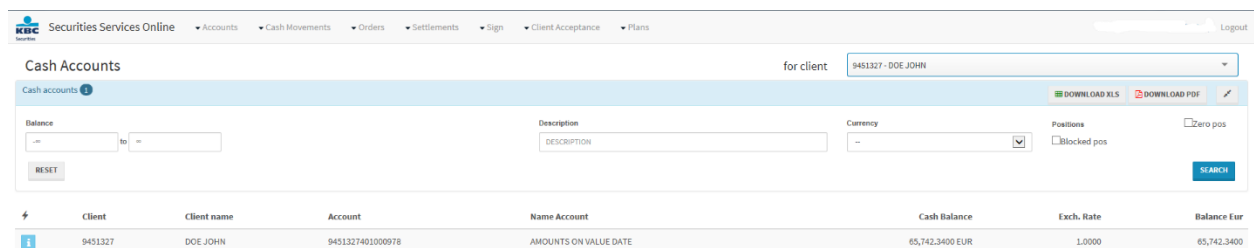
**Currency**

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:



View Cash positions:



Client	Client name	Account	Name Account	Cash Balance	Exch. Rate	Balance Eur
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

Balance

to

to

RESET

Description

DESCRIPTION

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	80,000.0000	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

Balance

to

to

RESET

Description

DESCRIPTION

Client

Client name

Account

Name Account

9450008

9450008401000826

AMOUNTS ON VALUE DATE

9450008

9450008401000940

AMOUNTS ON VALUE DATE

9450008

9450008401000978

AMOUNTS ON VALUE DATE

9450008

9450008445403978

MISCELLANEOUS DEBTS

Redemption payment	-152,039.9000	USD	6/07/2015
Payment dividends	2,247.6500	USD	6/07/2015
Redemption payment	152,039.9000	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:

55041927

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

CLOSE

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	3,638.7000	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.

Assets overview for client \*ALL - All accounts

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

[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

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

Cash Accounts

Cash accounts 1

Balance  to

DESCRIPTION

[RESET](#)

	Client	Client name	Account	Name Account
	9450008		9450008401000826	AMOUNTS ON VALUE DATE
	9450008		9450008401000942	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: 55041927 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

[CLOSE](#)


	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	3,838.7000 USD	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.

<div>  Securities Services Online <div> Accounts Cash Movements Orders Sign Client Acceptance </div> <div> <div></div> Logout </div> </div>						
Pending Cash Transfers			for client <div>9450007 -</div>			
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.

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.


Securities Services Online
Accounts
Cash Movements
Orders
Sign
Client Acceptance
Logout

Create external cash transfer
for client
9450007 -

Register external cash transfer

Amount:
1000
Currency:
EUR - EURO

Account number:
-- select --

Account:
BEO 0026 3

BIC:
KREDBE88

Name:
jklkjfsklidfj

First name:
ksfjlkdfjskl

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

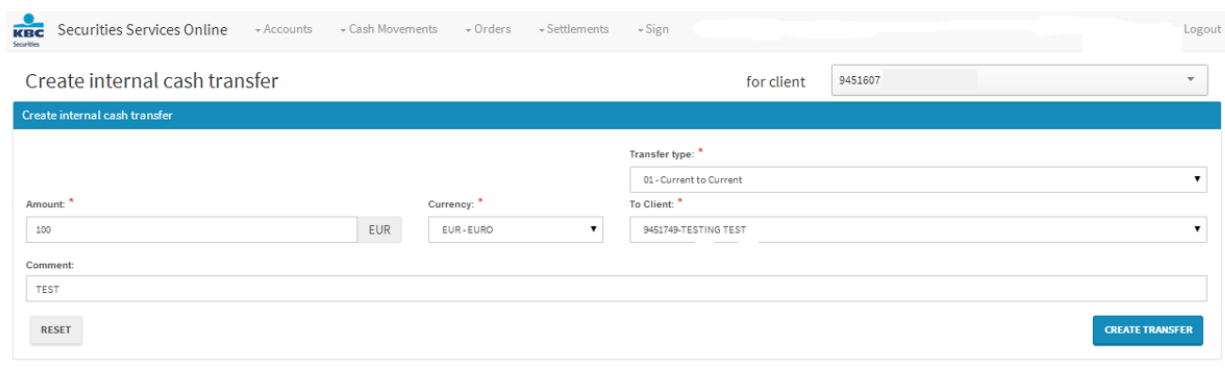
Cash transfer successfully registered, please note that the cash transfer has to be signed.

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

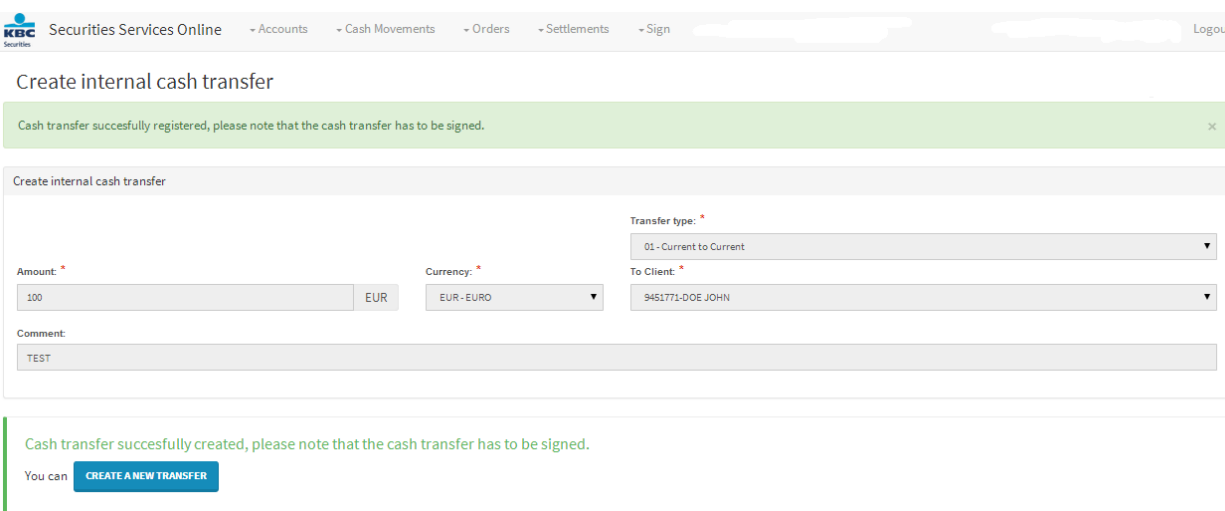
Amount: \* 100 Currency: \* EUR EUR - EURO

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

Amount:  CURRENCY:

From Client:

Comment:

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)

RESET CREATE TRANSFER

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

Amount:  EUR

From Client:

Comment:

Transfer type:

Value Date:

To Client:

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.

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

### Create technical cash transfer

Amount:  EUR

From Client:

Comment:

Transfer type:

Value Date:

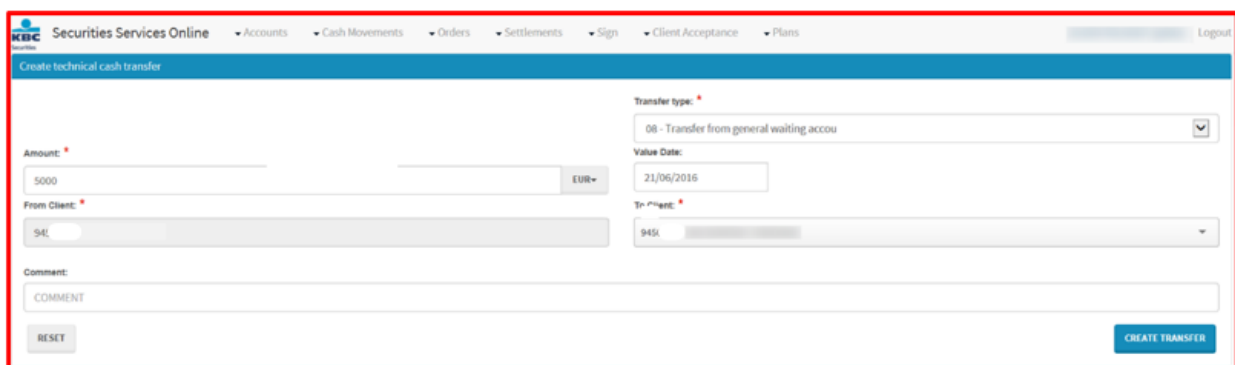
To Client:

RESET CREATE TRANSFER



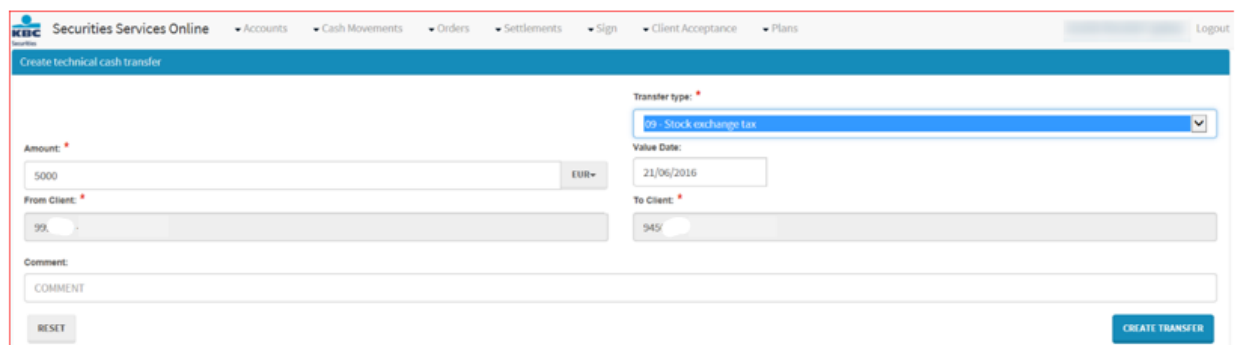
## 08 'Transfer from general waiting account'

- ⇒ 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.



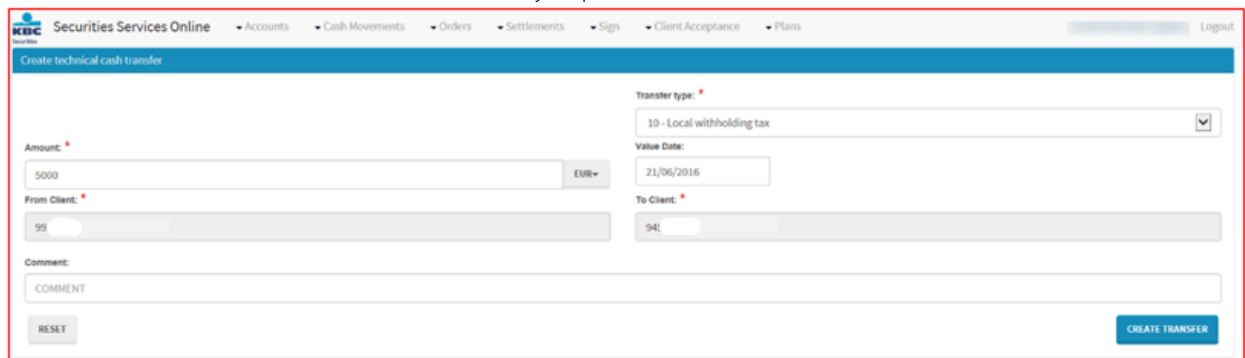
## 09 'Stock Exchange Tax'

- ⇒ 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)
  - 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.



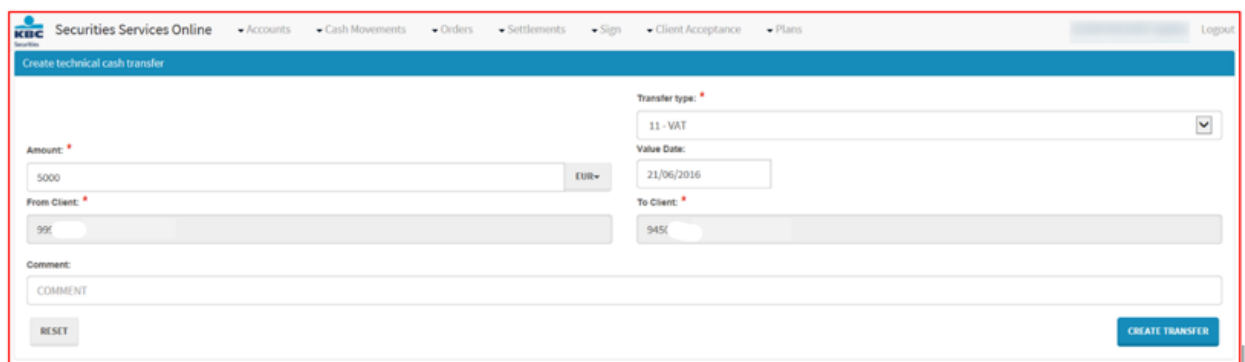
## 10 'Local Withholding tax'

- ⇒ 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'

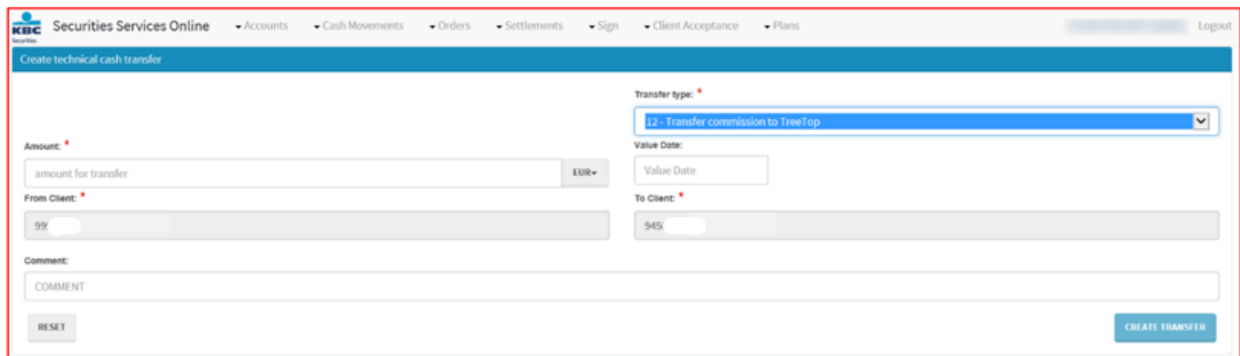
- ⇒ This transfer type allows the client to confirm the payment in EUR of this tax to the financial authorities
- ⇒ Debit account is defaulted by the system
- ⇒ Credit account is defaulted by the system
- ⇒ The client completes following fields
  - Amount (mandatory)
  - Value date (optional): if not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

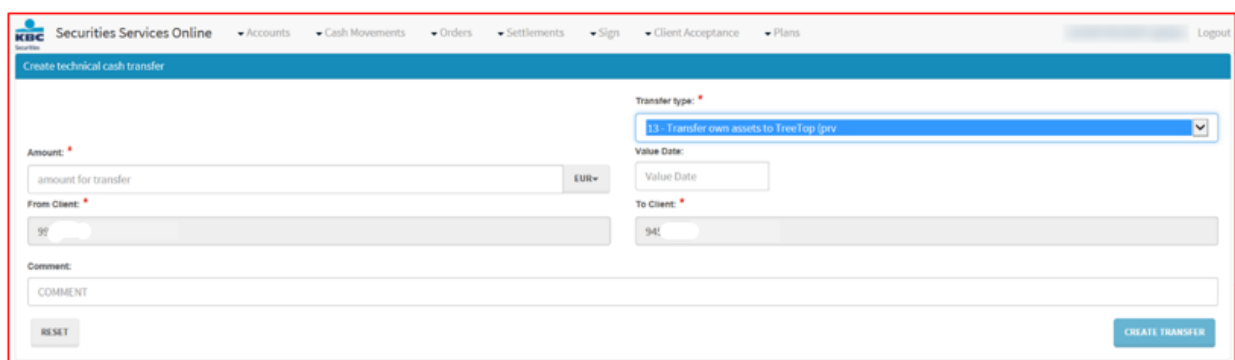
- ⇒ This transfer type allows the client to confirm the transfer of commissions in EUR to the clients entity account.
- ⇒ Debit account is defaulted by the system
- ⇒ Credit account is defaulted by the system
- ⇒ The client completes following fields
  - Amount (mandatory)

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



## 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).

KBC Securities Services Online   Accounts   Cash Movements   Orders   Settlements   Sign   Logout

Forex   for client 94 17

Create forex for WILLEMS SOFIE [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

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

RESET   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.

KBC 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

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

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. Sign must be done before 12:00 or 24:00 otherwise it will be refused due to an old exchange rate.


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

Amount from  to  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](#)

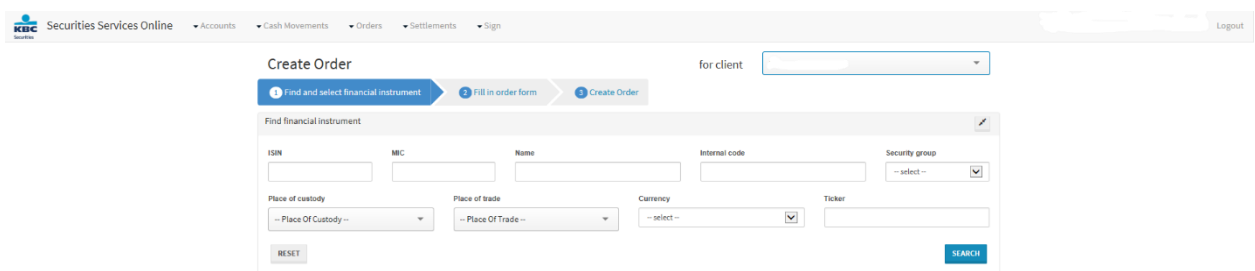
## 6 Orders

### 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.

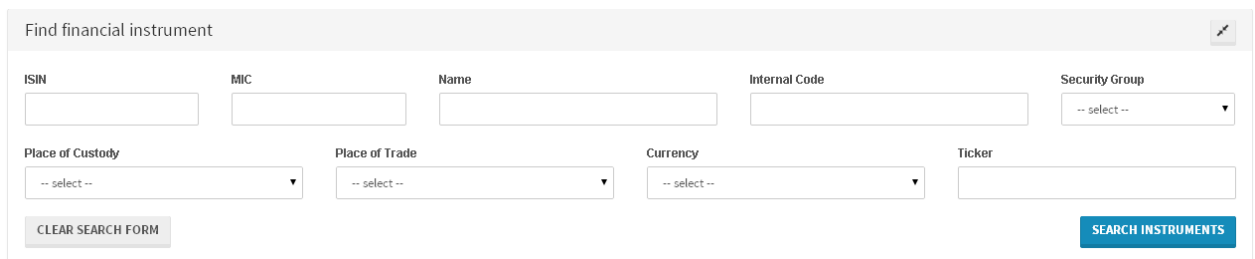
To create an order, the following steps have to be completed:

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	30.9400	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.

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

## Security

Name <span>Share</span>	BEKAERT NV
Isin	BE0974258874
Market	Euronext Brussels
Price	23.82
Currency	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

## Ex-Ante Cost Projection

	On sale after 1 year	
<b>Charges paid for investment services</b>	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%
<b>Product charges</b>	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%
<b>Third-party payments</b>	0.00 EUR	0.00%
<b>Total charges including taxes</b>	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	
<b>Fees paid for investment services</b>	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%
<b>Fees paid for investment products</b>	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%
<b>Distribution fees</b>	0.00 EUR	0.00%
<b>Total fees including taxes</b>	31.74 EUR	14.25%

**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](#)

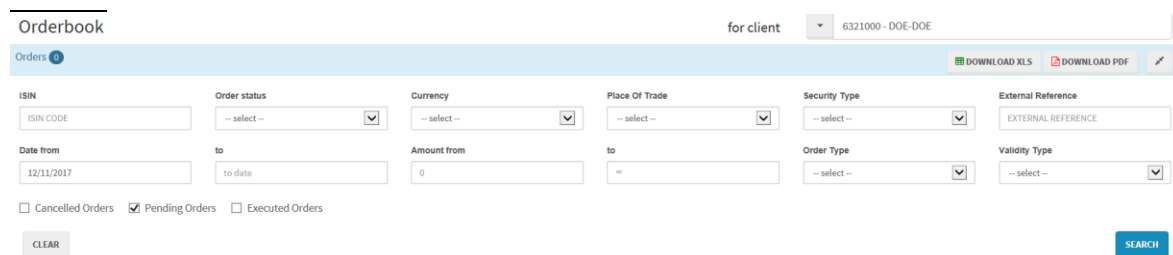
## 6.1.5 Sign order

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:



### 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.

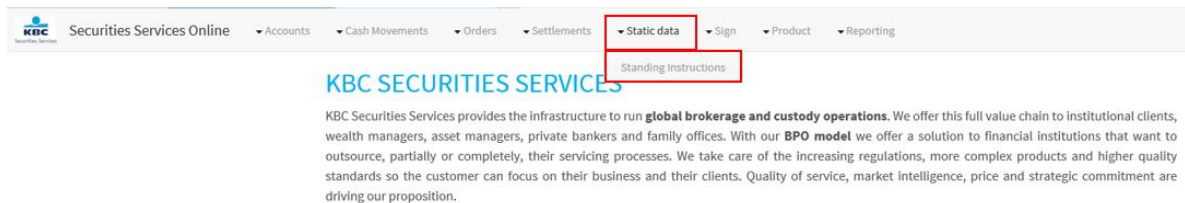
Additionally, the client can select the following orders:

- 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):

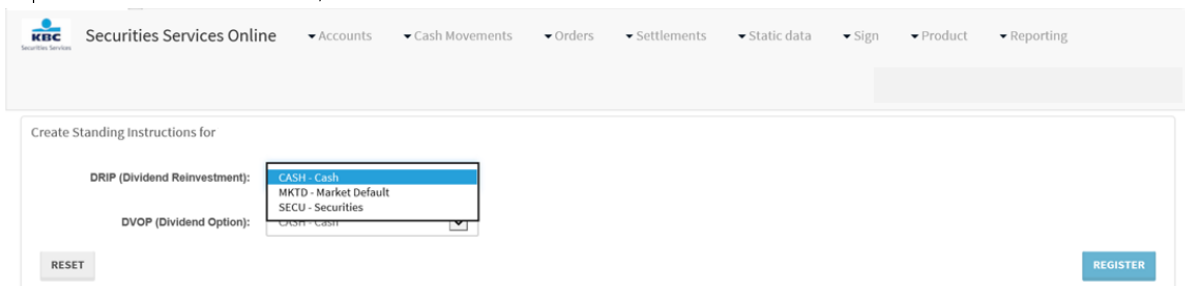
DVOP (Dividend Option):

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

DRIP (Dividend Reinvestment): \*

DVOP (Dividend Option): \*

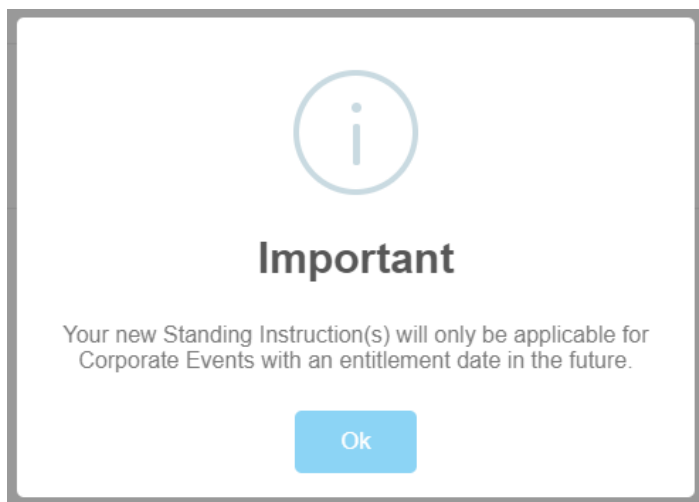
3 options are available: cash, securities and market default



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.



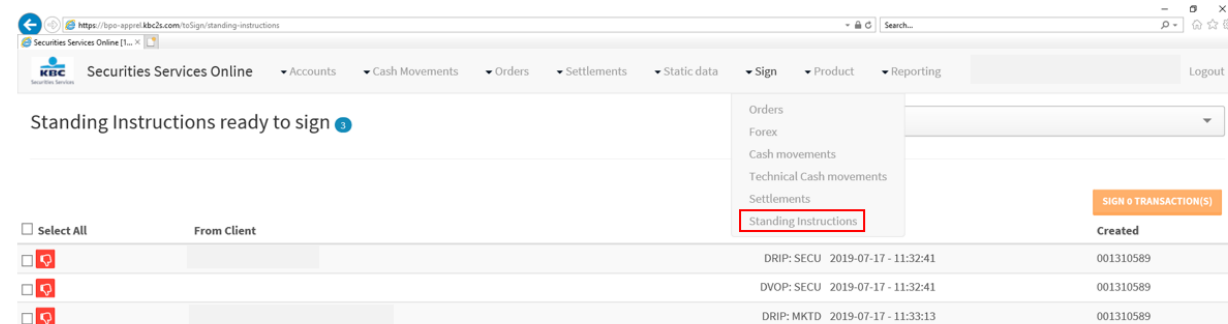
!! Careful !! For corporate actions with short deadlines, notifications will be sent before entitlement date. It will not be possible to register/edit standing instructions in SSO for these events. Standing instructions for a corporate event are downloaded upon creation of the notification. Therefore, 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**



Select All	From Client		Created
<input type="checkbox"/>		DRIP-SECU 2019-07-17 - 11:32:41	001310589
<input type="checkbox"/>		DVOP-SECU 2019-07-17 - 11:32:41	001310589
<input type="checkbox"/>		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:

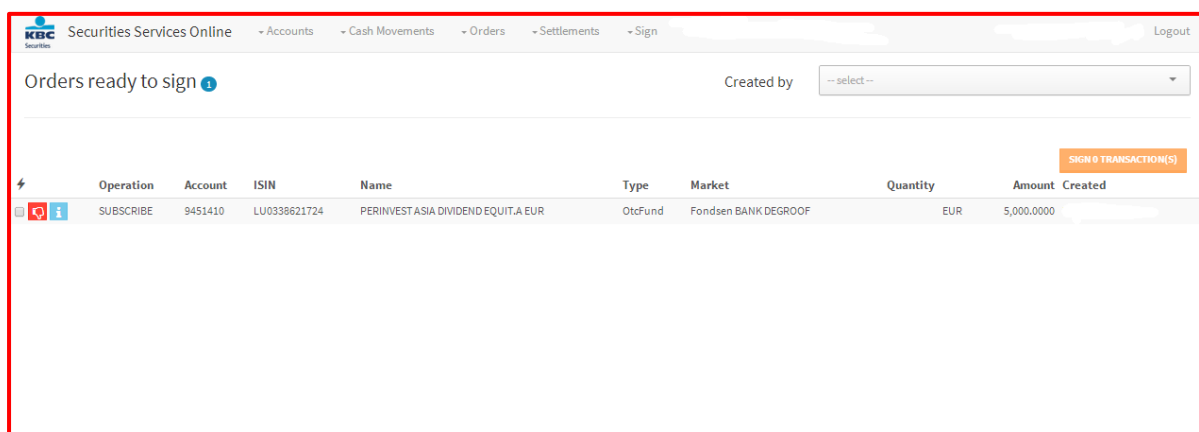
- Orders
- Forex
- Cash movements
- Settlement Instructions
- Plans
- Standing Instructions

### 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 EQUITY A EUR	OtcFund	Fondsen BANK DEGROOF	EUR	5,000.0000

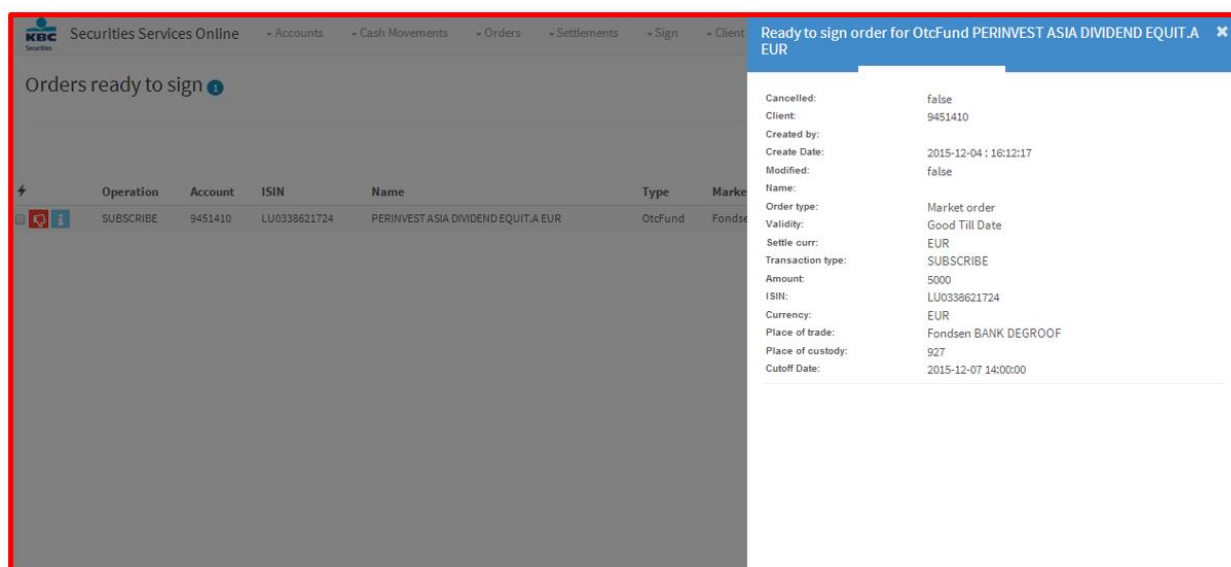
#### 8.1.2 Actions

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.



**Orders ready to sign**

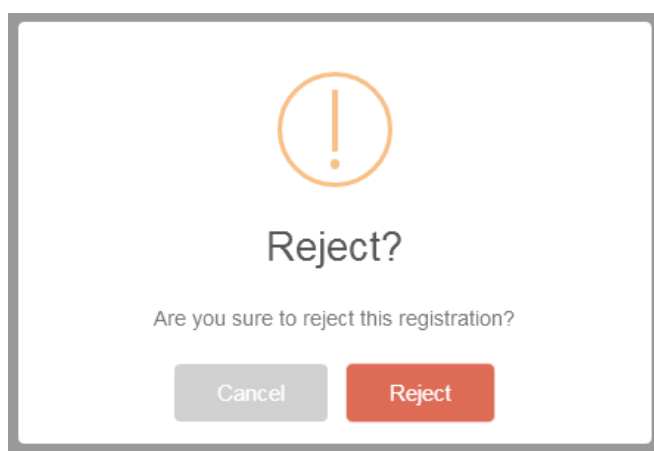
Operation	Account	ISIN	Name	Type	Market
SUBSCRIBE	9451410	LU0338621724	PERINVEST ASIA DIVIDEND EQUITY A EUR	OtcFund	Fondse

**Ready to sign order for OtcFund PERINVEST ASIA DIVIDEND EQUITY A EUR**

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.



### 8.1.2.3 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
Created by -- select --

SIGN 1 TRANSACTION(S)

	Operation	Account	ISIN	Name	Type	Market	Quantity	Amount	Created
<input checked="" type="checkbox"/>	SUBSCRIBE	9451410	LU0338621724	PERINVEST ASIA DIVIDEND EQUIT.A EUR	OtcFund	Fondsen BANK DEGROOF	EUR	5,000.0000	



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


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

Authorize Order(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: 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 sign

Created by

-- select --

SIGN 0 TRANSACTION(S)

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

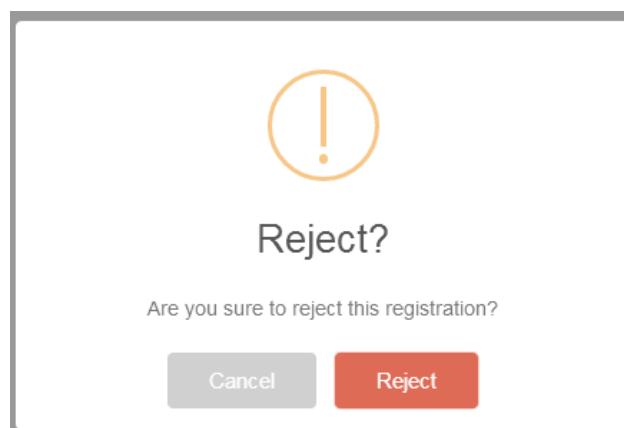
### 8.2.2 Actions

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.



#### 8.2.2.2 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.

KBC Securities Services Online [Accounts](#) [Cash Movements](#) [Orders](#) [Settlements](#) [Sign](#) [Logout](#)

Forex ready to sign <sup>2</sup> Created by

**SIGN 2 TRANSACTION(S)**

⚡	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	

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.

KBC Securities Services Online [Accounts](#) [Cash Movements](#) [Orders](#) [Settlements](#) [Sign](#) [Logout](#)

Sign Forex <sup>2</sup>

⚡	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:

Response:

**SIGN REGISTRATION**

KBC Securities Services Online [Accounts](#) [Cash Movements](#) [Orders](#) [Settlements](#) [Sign](#) [Logout](#)

Forex were successfully signed.

Forex ready to sign Created by

**SIGN 8 TRANSACTION(S)**

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

## 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.

<b>Securities Services Online</b> Accounts Cash Movements Orders Settlements Sign Client Acceptance Plans							
Cash movements ready to sign ⓘ						Created by	-- select --
SIGN 0 TRANSACTION(S)							
<input type="checkbox"/> 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 1 TRANSACTION(S) Sign cash movement(s)

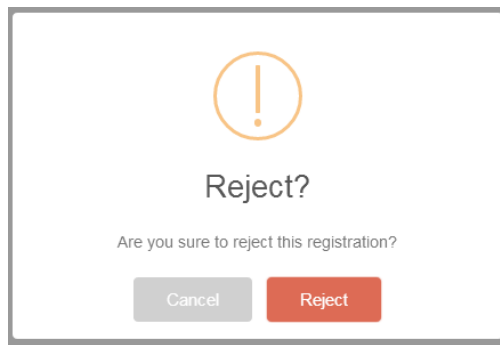
### 8.3.3 View details cash movement

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

<b>Securities Services Online</b> Accounts Cash Movements Orders Settlements Sign Client Acceptance Plans							Ready to sign cash movement from DOE JOHN ✕	
Cash movements ready to sign ⓘ						Created by	-- select --	
<input type="checkbox"/> Select All	From Client	Account	Beneficiary	Beneficiary account	Type			
<input type="checkbox"/> ⓘ	DOE JOHN	9451768-401	TEST		External			
							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

### 8.3.4 Cancel registration

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



### 8.3.5 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.

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

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

**SIGN 2 TRANSACTION(S)**

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



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.

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

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: 943101 Response:

**SIGN REGISTRATION**

Cash movements were successfully signed.

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

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.

Plans ready to sign <span>3</span>										
Created by										Logout
-- select --										
SIGN 0 TRANSACTION(S)										
	Account	Status	Type	Start Date	End Date	Next Execution	Name	Frequency	Amount	Created
	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 plan(s)

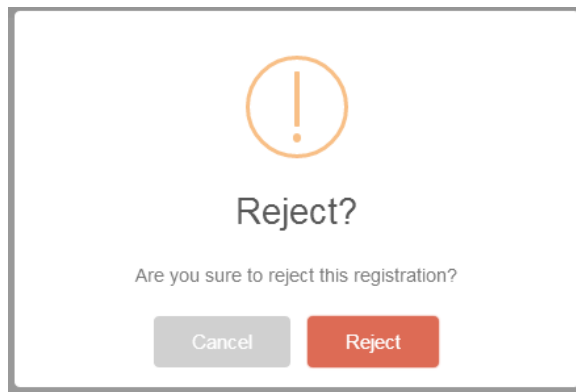
#### 8.4.2.1 View details plan

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

Plans ready to sign <span>6</span>										
Created by										
-- select --										
Ready to sign plan										
INVESTMENT PLAN										
Created by:										
Create Date: 2018-11-28 : 14:02:23										
Client: 9451099										
Client name: 9451099										
Amount: 1000 EUR										
Frequency: Monthly										
Status: NEW										
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 plan(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.

Plans ready to sign <span>3</span>										
										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	

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.

Sign Mandates <span>3</span>										
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

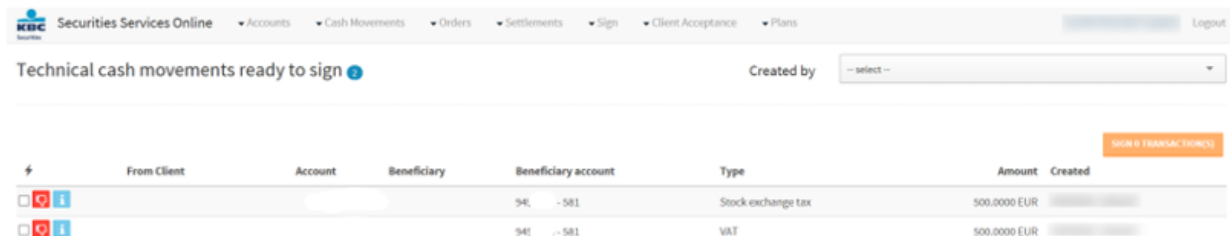
Plans successfully signed.										
										Created by
										-- select --
SIGN 0 TRANSACTION(S)										

## 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.



	From Client	Account	Beneficiary	Beneficiary account	Type	Amount	Created
<input type="checkbox"/>				941 - 581	Stock exchange tax	500,000 EUR	
<input type="checkbox"/>				941 - 581	VAT	500,000 EUR	

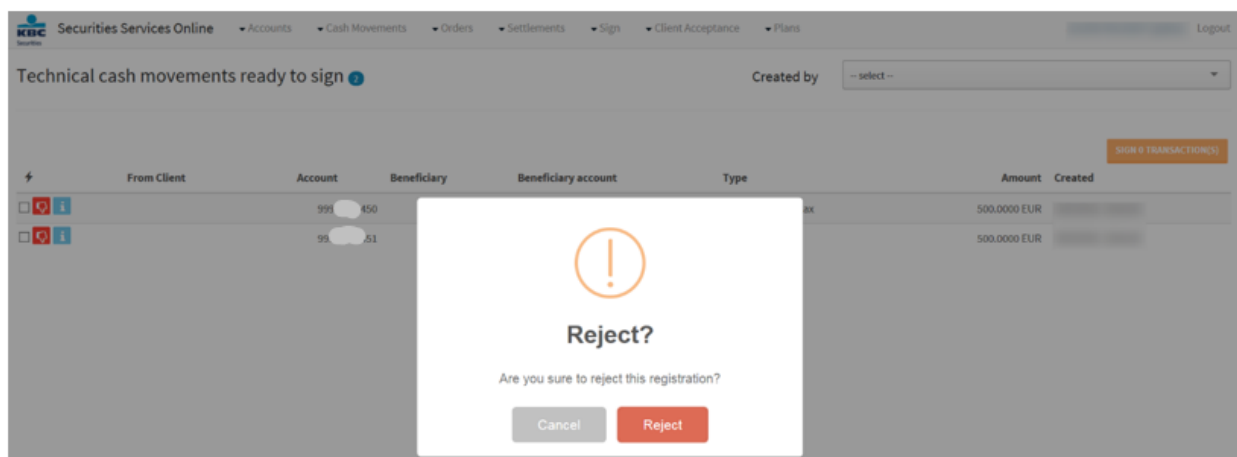
### 8.5.2 Actions

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.



#### 8.5.2.2 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.

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

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

**Technical cash movements ready to sign**

From Client	Account	Beneficiary	Beneficiary account	Type	Amount	Created
<input checked="" type="checkbox"/>	99	450	9450050 - 581	Stock exchange tax	500.0000 EUR	
<input checked="" type="checkbox"/>	99	451	9450050 - 581	VAT	500.0000 EUR	

**SIGN 2 TRANSACTIONS**



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

Sign Cash Movements 3

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

Response:

**SIGN REGISTRATION**

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

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 **6** Created by --select--

<input type="checkbox"/> Select All	Type	Action	Sender reference	Account	Beneficiary	ISIN	Quantity	Amount	TD	SD	Place of custody	SIGN 0 TRANSACTION(S)
<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)

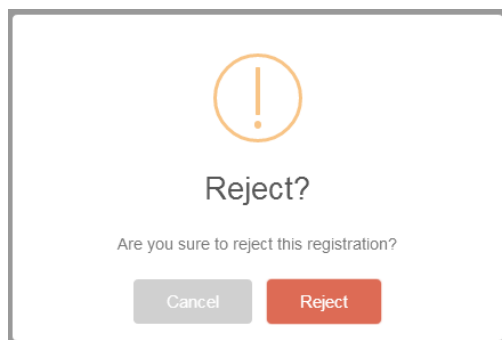
#### 8.6.2.1 View details settlement instruction

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

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

### 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.



### 8.6.2.3 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 --

<input type="checkbox"/> Select All	Type	Action	Sender reference	Account	Beneficiary	ISIN	Quantity	Amount	TD	SD	Place of custody
<input checked="" type="checkbox"/>	RFP	<span>cancel</span>	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

SIGN 2 TRANSACTION(S)

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.

We successfully registered the Standing Instruction(s).

You can [REGISTER NEW STANDING INSTRUCTION](#) or [SIGN](#)

<input type="checkbox"/> Select All	From Client		Created
<input type="checkbox"/>		DRIP: SECU 2019-07-17 - 11:32:41	001310589
<input type="checkbox"/>		DVOP: SECU 2019-07-17 - 11:32:41	001310589
<input type="checkbox"/>		DRIP: MKTD 2019-07-17 - 11:33:13	001310589

### 8.7.2 Actions

The following actions are possible:

- Cancel registration
- [SIGN 1 TRANSACTION\(S\)](#) Sign settlement instruction(s)

## 8.8 Sign BPO Management Updates

### 8.8.1 View

#### 8.8.1.1 Product universe

When product is add/delete to/from product universe (Product universe submodule) via 'add'/'delete' button, these changes has to be signed in the sign module. Other product universe changes can be updated before signing.

Securities Services Online | Accounts | Cash Movements | Orders | Settlements | Static data | Sign | Product | BPO Management | BNMDEV01 (BNMDEV01) Logout

Please, do not forget to sign the addition or removal of the product in the sign screen!

Find financial instrument(s) in your product universe:

ISIN: AT0000746409 | ERI: ERI

RESET | SEARCH

ISIN	ERI-code	Security Name	BPO Name	Instrument Type	Currency	Place of Trade
AT0000746409	0065215001	VERBUND AG A		SHARES	EUR	Vienna

We successfully added the product to your product universe.

You can [ADD OR REMOVE ANOTHER PRODUCT FROM YOUR UNIVERSE](#) or [SIGN](#)

Securities Services Online | Accounts | Cash Movements | Orders | Settlements | Static data | Sign | Product | BPO Management | BNMDEV01 (BNMDEV01) Logout

BPO Management updates ready to sign

Created by: --select--

SHOW 5 TRANSACTIONS

Select All	ISIN	ERI	Security name	BPO Name	In	Currency	Place of Trade	CreatedBy	CreationData	CreationTime	Action
<input type="checkbox"/>	LU0122379950	1223799000	MLIF WORLD HEALTHSCIENCE CAP	WED 6/7 1517	INVESTMENT FUNDS BE CAPITALIZATION	USD	Investment Funds KBL	BNMDEV01	2023-07-05	16:32:21	<a href="#">New</a>
<input type="checkbox"/>	BE0948331591	0948331001	VALUE SQUARE FD EQUITY SELECT C.K.	New try for the test 444	INVESTMENT FUNDS BE CAPITALIZATION	EUR	Fondsen RBC Dexia	BNMDEV01	2023-07-06	14:35:54	<a href="#">New</a>
<input type="checkbox"/>	BE0948331591	0948331001	VALUE SQUARE FD EQUITY SELECT C.K.	New try for the test 444	INVESTMENT FUNDS BE CAPITALIZATION	EUR	Fondsen RBC Dexia	BNMDEV01	2023-07-06	14:36:44	<a href="#">New</a>
<input type="checkbox"/>	LU1481505755	1041887001	ABIN AMRO SIC-PARNUS E.EQ-A-EUR-K	test	INVESTMENT FUNDS BE CAPITALIZATION	EUR	Investment Funds Vestima	BNMDEV01	2023-07-06	15:24:48	<a href="#">New</a>
<input type="checkbox"/>	LU1481505755	1041887001	ABIN AMRO SIC-PARNUS E.EQ-A-EUR-K	test	INVESTMENT FUNDS BE CAPITALIZATION	EUR	Investment Funds Vestima	BNMDEV01	2023-07-06	15:25:05	<a href="#">New</a>
<input type="checkbox"/>	LU1481505755	1041887001	ABIN AMRO SIC-PARNUS E.EQ-A-EUR-K	test	INVESTMENT FUNDS BE CAPITALIZATION	EUR	Investment Funds Vestima	BNMDEV01	2023-07-06	15:27:02	<a href="#">New</a>
<input type="checkbox"/>	LU1481505755	1041887001	ABIN AMRO SIC-PARNUS E.EQ-A-EUR-K	test	INVESTMENT FUNDS BE CAPITALIZATION	EUR	Investment Funds Vestima	BNMDEV01	2023-07-06	15:27:09	<a href="#">New</a>
<input type="checkbox"/>	LU0122379950	1223799000	MLIF WORLD HEALTHSCIENCE CAP	WED 6/7 1517	INVESTMENT FUNDS BE CAPITALIZATION	USD	Investment Funds KBL	BNMDEV01	2023-07-07	08:07:33	<a href="#">New</a>
<input type="checkbox"/>	BE0941243920	0941243001	ALIXIS RIV	BPO testing B	SHARES	EUR	Brussels Public Sales	BNMDEV01	2023-07-07	08:12:18	<a href="#">New</a>
<input type="checkbox"/>	BE0903793107	0003793001	AB INBEV	BPO testing B	SHARES	EUR	Euronext Brussels	BNMDEV02	2023-07-10	14:20:22	<a href="#">New</a>
<input type="checkbox"/>	BE0948331591	0948331001	VALUE SQUARE FD EQUITY SELECT C.K.	New try for the test 444	INVESTMENT FUNDS BE CAPITALIZATION	EUR	Fondsen RBC Dexia	BNMDEV01	2023-07-11	08:48:53	<a href="#">New</a>
<input type="checkbox"/>	AT0000746409	0065215001	VERBUND AG A		SHARES	EUR	Vienna	BNMDEV01	2023-07-11	08:55:58	<a href="#">New</a>

#### 8.8.1.2 Product update

When product is updated (Product Update submodule) via 'update values' button, these changes has to be signed in the sign module. Other product update changes can be updated before signing.

Securities Services Online | Accounts | Cash Movements | Orders | Settlements | Static data | Sign | Product | BPO Management | BNMDEV01 (BNMDEV01) Logout

Find a financial instrument via ISIN or ERI:

ISIN: | ERI:

RESET | SEARCH

We successfully created an update.

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

Securities Services Online Accounts Cash Movements Orders Settlements Static data Sign Product BPO Management BNHDEV01 (BNHDEV01) Logout

BPO Management updates ready to sign

Created by --select--

Orders  
Forex  
Cash movements  
Settlements  
Standing instructions  
BPO Management Updates

SIGN 1 TRANSACTION(S)

<input type="checkbox"/> Select All	ISIN	ERI	Security name	BPO Name	In	Currency	Place of Trade	CreatedBy	CreationData	CreationTime	Action
	LU0122379950	1223799000	MLIJF WORLD HEALTHSCIENCE CAP	WED 6/7 1517	INVESTMENT FUNDS BE CAPITALIZATION	USD	Investment Funds KBL	BNHDEV01	2023-07-05	16:32:21	
	LU1481505755	1041887001	ABN AMRO SIC-PARNLUS E.EQ-A-EUR-K	test	INVESTMENT FUNDS BE CAPITALIZATION	EUR	Investment Funds Vestima	BNHDEV01	2023-07-06	15:24:48	
	LU1481505755	1041887001	ABN AMRO SIC-PARNLUS E.EQ-A-EUR-K	test	INVESTMENT FUNDS BE CAPITALIZATION	EUR	Investment Funds Vestima	BNHDEV01	2023-07-06	15:25:05	
	LU1481505755	1041887001	ABN AMRO SIC-PARNLUS E.EQ-A-EUR-K	test	INVESTMENT FUNDS BE CAPITALIZATION	EUR	Investment Funds Vestima	BNHDEV01	2023-07-06	15:27:02	
	LU1481505755	1041887001	ABN AMRO SIC-PARNLUS E.EQ-A-EUR-K	test	INVESTMENT FUNDS BE CAPITALIZATION	EUR	Investment Funds Vestima	BNHDEV01	2023-07-06	15:27:09	
	LU0122379950	1223799000	MLIJF WORLD HEALTHSCIENCE CAP	WED 6/7 1517	INVESTMENT FUNDS BE CAPITALIZATION	USD	Investment Funds KBL	BNHDEV01	2023-07-07	08:07:33	
	BE0941243520	0941243001	ALIA315 NV	BPO testing B	SHARES	EUR	Brussels Public Sales	BNHDEV01	2023-07-07	08:12:38	
	BE0003793107	0003793001	AB INBEV	BPO testing B	SHARES	EUR	Euronext Brussels	BNHDEV02	2023-07-10	14:20:22	
	AT0000746409	0065215001	VERBUND AG A		SHARES	EUR	Vienna	BNHDEV01	2023-07-11	08:55:58	
	BE0948331591	0948331001	VALUE SQUARE FD EQUITY SELECT C K	New try for the test 444	INVESTMENT FUNDS BE CAPITALIZATION	EUR	Fondsen RBC Desia	BNHDEV01	2023-07-11	09:18:38	

## 8.8.2 Actions

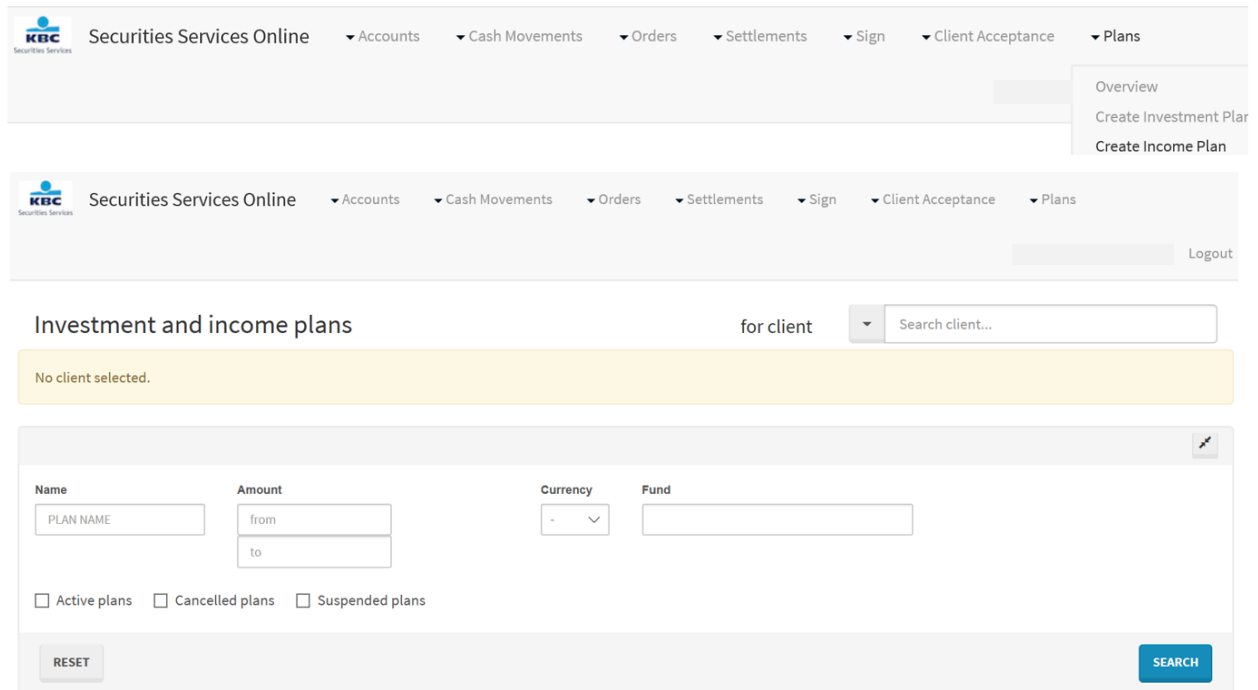
For both (Product universe, Product Update), following actions are possible:

- Cancel registration
- SIGN 1 TRANSACTION(S)** Sign BPO Management update(s)

## 9 Plans (Investment and Income Plans)

### 9.1 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, client will see all plans of the selected account, but he can filter on some search criteria for the selected account.



#### 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: 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	<a href="#">SAVING</a>
	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	<a href="#">INCOME</a>

## 9.1.1 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

### 9.1.1.1 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](#) [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	<a href="#">SAVING</a>
	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	<a href="#">INCOME</a>

**Plan Details**

INCOME PLAN IP TEST

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

### 9.1.1.2 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

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 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.CONJ.INT-DH EURD	

**Contact us**



## 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](#)

## 9.1.1.3 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 <a href="#">Accounts</a> <a href="#">Cash Movements</a> <a href="#">Orders</a> <a href="#">Settlements</a> <a href="#">Sign</a> <a href="#">Client Acceptance</a> <a href="#">Plans</a> <span>Logout</span>									
Investment and income plans								for client <span>9451099 -</span>	
Name		Amount		Currency	Fund				
PLAN NAME		from to		-					
<input type="checkbox"/> Active plans <input type="checkbox"/> Cancelled plans <input type="checkbox"/> Suspended plans									
<a href="#">RESET</a>								<a href="#">SEARCH</a>	
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	<a href="#">SAVING</a>	
	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	<a href="#">INCOME</a>	

Securities Services Online

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	Type
	74	SUSPENDED	2018-12-05	0001-01-01	INV PLAN	GLOBAL OPPORTUNITIES B USD
	75	ACTIVE	2018-12-05	0001-01-01	IP TEST	IP GLOB.SIC TR.GLDYNAMIC-DH

**Activate this plan?**

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

Securities Services Online

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	SIGN
	75	ACTIVE	2018-12-05	0001-01-01	IP TEST	500 EUR	TREETOP GLSIC SEQUOIA EQ-AH EUR-K, TREETOP GLOB.SIC TR.GLDYNAMIC-DH	SIGN

### 9.1.1.4 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.

Securities Services Online

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	Type
	74	SUSPENDED	2018-12-05	0001-01-01	INV PLAN	GLOBAL OPPORTUNITIES B USD
	75	ACTIVE	2018-12-05	0001-01-01	IP TEST	IP GLOB.SIC TR.GLDYNAMIC-DH

**Suspend this plan?**

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

Securities Services Online

Investment and income plans for client 9451099

Suspended plan 'IP TEST'

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	<a href="#">SIGN</a>
75	ACTIVE	2018-12-05	0001-01-01	IP TEST	500 EUR	TREETOP GL.SIC SEQUOIA EQ.-AH EUR-X, TREETOP GLOB.SIC TR.GLD.DYNAMIC-DH	<a href="#">SIGN</a>

Plans ready to sign Created by --select--

Select All	Account	Status	Type	Start Date	End Date	Next Execution	Name	Frequency	Amount	Created
<input type="checkbox"/>	9451099-000	SUSPENDED → ACTIVE	INVESTMENT	2018-12-05	2018-12-05		INV PLAN	Quarterly	1,000.0000 EUR	
<input type="checkbox"/>	9451099-000	ACTIVE → SUSPENDED	INCOME	2018-12-05	2018-12-05		IP TEST	Monthly	500.0000 EUR	

[SIGN & TRANSACTIONS](#)

### 9.1.1.5 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

Investment and income plans for client 9451099

Name: PLAN NAME Amount: from to Currency: Fund: [SEARCH](#)

☐ Active plans ☐ Cancelled plans ☐ Suspended plans

[RESET](#)

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	<a href="#">SIGN</a>
75	ACTIVE	2018-12-05	0001-01-01	IP TEST	500 EUR	TREETOP GL.SIC SEQUOIA EQ.-AH EUR-X, TREETOP GLOB.SIC TR.GLD.DYNAMIC-DH	<a href="#">SIGN</a>

**Cancel this plan?**

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

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

Securities Services Online

Investment and income plans for client 9451099

Cancelled 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	<a href="#">SIGN</a>



KBC

Securities Services Online

Accounts

Cash Movements

Orders

Settlements

Sign

Client Acceptance

Plans

Logout

Plans ready to sign

Created by

-- select --

SIGN 0 TRANSACTIONS

Select All

Account

Status

Type

Start Date

End Date

Next Execution

Name

Frequency

Amount

Created

9451099-000

SUSPENDED → CANCELED

INVESTMENT

2018-12-05

2018-12-05

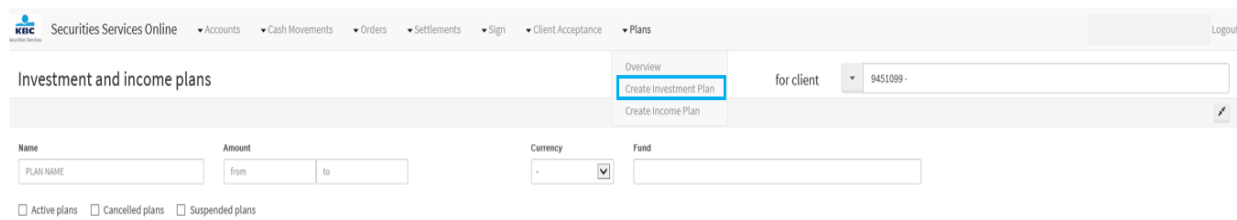
INV PLAN

Quarterly

1,000,000 EUR

## 9.2 Create Investment Plans

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



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.

### 9.2.1 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: 9451099 - MASCETTI ALDO FLORIAN

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

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 (RELTT01) Logout

### Create Investment Plan

for client: 9451099 - MASCETTI ALDO FLORIAN

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

Selected funds

ISIN	Currency	Amount	Percentage
LU0694355487	EUR	0.00 EUR	0%
		0.00 EUR	0%

Calculations are indicative.

RESET CREATE INVESTMENT PLAN

**Create Investment Plan**

Name:  Cash account:

Comment:  Security account:

Amount:  EUR

running  to

Selected funds	ISIN	Currency	Amount	Percentage
TREETOP GLOB. SIC BALANCED-AH EUR-K	LU0694355487	EUR	500.00 EUR	<input type="text" value="50"/> %
TREETOP GLOB. SIC OPPORTUN.-AH EUR-K	LU0338386468	EUR	500.00 EUR	<input type="text" value="50"/> %
			1,000.00 EUR	<input type="text" value="100"/> %

Calculations are indicative.

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

## 9.2.2 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.



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

### Create Investment 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: ▾ 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%

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

### Create Investment Plan

Name:  Cash account:  ▾

Comment:  Security account:  ▾

Amount:   ▾

running:  ▾ from:  to:

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.

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%



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

### Create Investment Plan

for client 9451095

Name: ABC Cash account: 9451099 404 000 EUR

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

Amount: 1000 EUR

running ☐ from Start date to End date

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

**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%

## Create Investment Plan

We successfully created the plan.

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

Name: ABC Cash account: 9451099 404 000 EUR

Comment: COMMENT Security account: 9451099 - TRADING ACC. IN CUSTODY (AVAILABLE POSITIO)

Amount: 1000 EUR

running Monthly ☐ from 05/12/2018 to End date

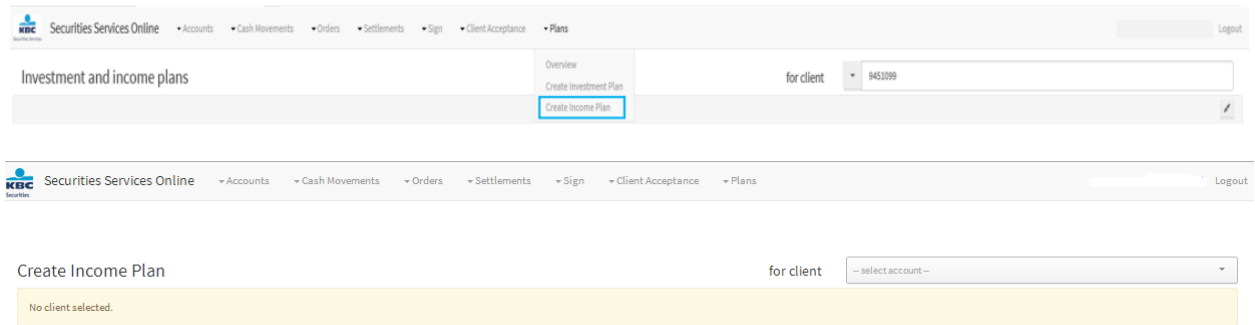
Selected funds	ISIN	Currency	Amount	Percentage
TREETOP GLOB. SIC DYNAMIC -AH EUR-K	LU0694355214	EUR	500.00 EUR	50 %
TREETOP GLOBAL CONSERVATIVE A EUR	LU1229301061	EUR	250.00 EUR	25 %
TREETOP GLOB. SIC BALANCED-AH EUR-K	LU0694355487	EUR	250.00 EUR	25 %
			1,000.00 EUR	100%

Calculations are indicative.

RESET CREATE INVESTMENT PLAN

## 9.3 Create Income Plans

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



The screenshot shows the KBC Securities Services Online interface. The top navigation bar includes links for Accounts, Cash Movements, Orders, Settlements, Sign, Client Acceptance, and Plans. The 'Plans' section is active, showing 'Investment and income plans'. Below this, there are tabs for 'Overview', 'Create Investment Plan', and 'Create Income Plan'. The 'Create Income Plan' tab is selected. A dropdown menu for 'for client' shows the value '945399'. Below the navigation bar, the 'Create Income Plan' section is displayed with a dropdown menu for 'for client' showing 'select account--'. A yellow message box below the dropdown states 'No client selected.'

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 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. 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.	Mandatory

	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.	
--	---	--

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.

The screenshot shows the 'Create Income Plan' interface in the KBC Securities Services Online portal. The interface is divided into two main sections: a form for creating a plan and a table of securities.

**Form Fields:**

- Name:** PLAN NAME
- Comment:** COMMENT
- Amount:** Amount (with a 'CURRENCY' dropdown set to EUR)
- Cash Account:** 9451771-404 000 978 EUR
- Security Account:** 9451771-TRADING ACC. IN CUSTODY ( )
- running:** Quarterly (dropdown)
- from:** 05/10/2015
- to:** End Date

**Securities Table:**

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 DYNAMICA 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

**Buttons:** RESET FORM, CREATE INCOME PLAN

**Messages:** "No securities selected! Select a security on the right by clicking the 'plus' button." and "Calculations are indicative."

**Create Income Plan**

Name:  Cash Account:

Comment:  Security Account:

Amount:  EUR

running:  from:  to:

Selected funds	ISIN	Currency	Amount	Percentage
	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.

[RESET FORM](#) [CREATE INCOME PLAN](#)

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

**Create Income Plan**

Name:  Cash Account:

Comment:  Security Account:

Amount:  EUR

running:  from:  to:

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

Calculations are indicative.

[RESET FORM](#) [CREATE INCOME PLAN](#)

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

**Create Income Plan**

We successfully registered 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
	LU1229301061	EUR	500.00 EUR	<input type="text" value="100"/>
			500.00 EUR	<input type="text" value="100%"/>

Calculations are indicative.

[RESET FORM](#) [CREATE INCOME PLAN](#)

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

## 10 Settlement Instructions

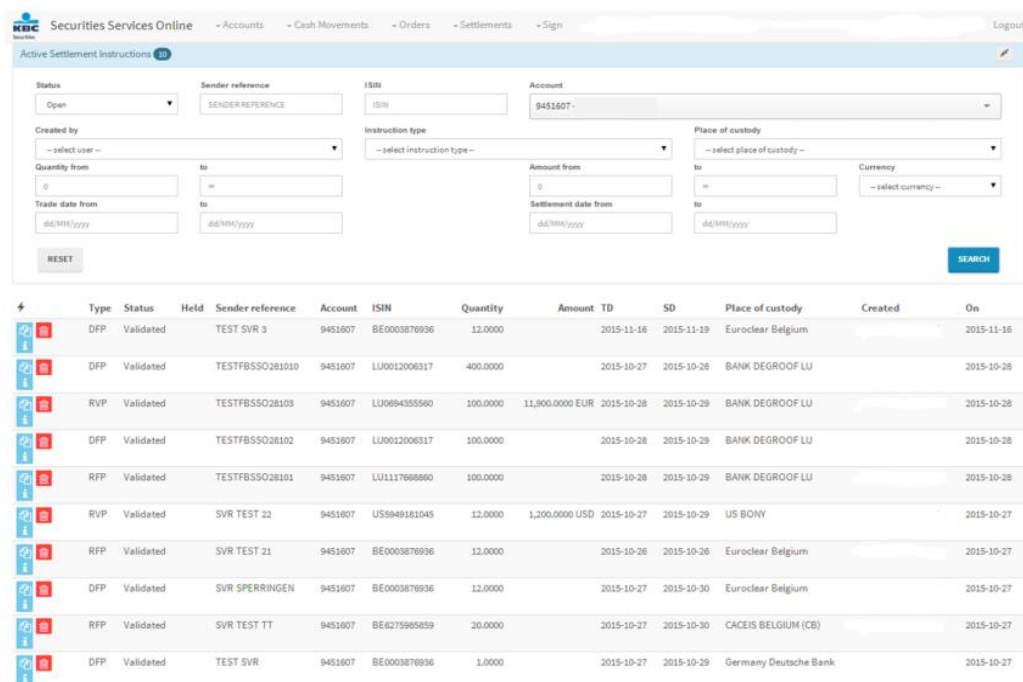
### 10.1 General principles

- 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 **cannot 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.

### 10.2 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.



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	LU1117668860	100.0000		2015-10-28	2015-10-29	BANK DEGROOF LU		2015-10-28
RVP	Validated		SVR TEST 22	9451607	US5948181045	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	BE427985859	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.

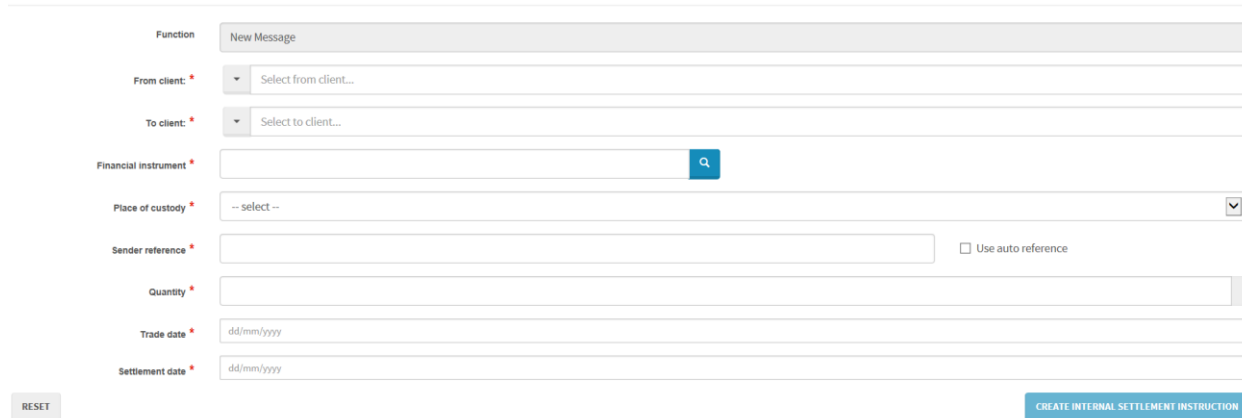
With the  "View details" button, the client can see the details of the settlement instructions.

## 10.3 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 and a dropdown arrow on the right.
- 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'.
- Buttons:** A 'RESET' button on the bottom left and a 'CREATE INTERNAL SETTLEMENT INSTRUCTION' button on the bottom right.

#### 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.

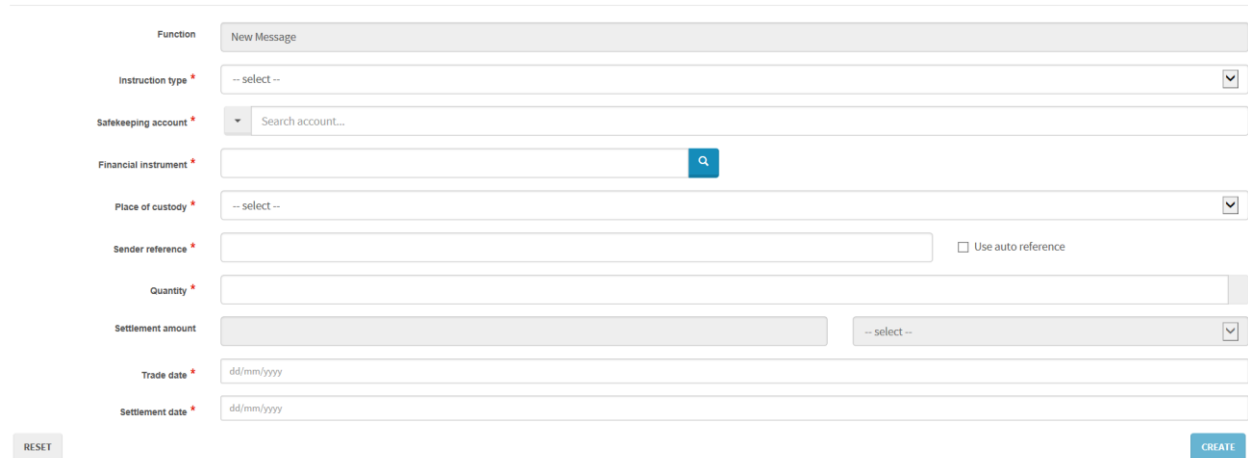
##### Settlement Date

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

## 10.4 Create External SI

### Create External Settlement Instruction

#### Trade Details



The form contains the following fields and controls:

- Function:** A dropdown menu with 'New Message' selected.
- Instruction type:** A dropdown menu with '-- select --'.
- Safekeeping account:** A dropdown menu with a search icon and the text 'Search account...'.
- Financial instrument:** A text input field with a magnifying glass icon.
- Place of custody:** A dropdown menu with '-- select --'.
- Sender reference:** A text input field with a checkbox labeled 'Use auto reference'.
- Quantity:** A text input field.
- Settlement amount:** A text input field with a dropdown menu showing '-- select --'.
- Trade date:** A date input field with the format 'dd/mm/yyyy'.
- Settlement date:** A date input field with the format 'dd/mm/yyyy'.
- Buttons:** 'RESET' and 'CREATE' buttons at the bottom.

#### 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  PARTY CODE

Account

**Seller [SELL]**

Party -- select --  PARTY CODE

Account

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.

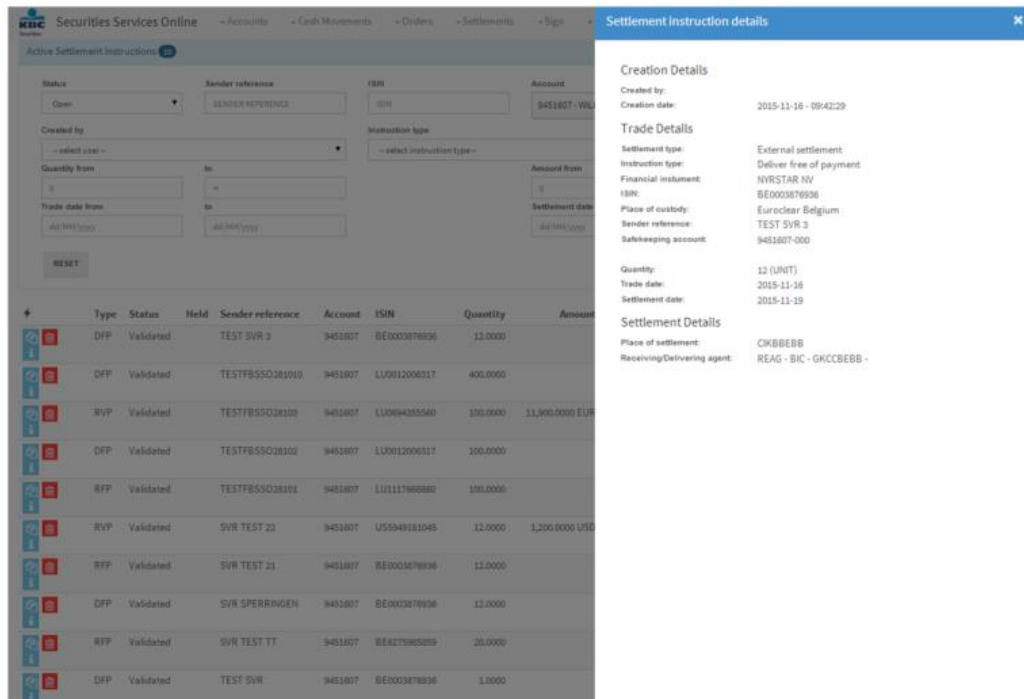
When the transaction is created, a pop-up will appear with the confirmation that the transaction has been created, stating the client reference and mentioning the need to sign the instruction.



# Created!

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

OK



The screenshot displays the 'Settlement instruction details' pop-up window. The main window shows the 'Active Settlement Instructions' table with columns: Type, Status, Held, Sender reference, Account, ISIN, Quantity, and Amount. The table lists several instructions, including DFP, RVP, and RFP, all with a status of 'Validated'. The pop-up window on the right contains the following details:

- Creation Details:**
  - Created by: 9451807-VW
  - Creation date: 2015-11-16 - 09:42:29
- Trade Details:**
  - Settlement type: External settlement
  - Instruction type: Deliver free of payment
  - Financial instrument: NYRSTAR NV
  - ISIN: BE0003876936
  - Place of custody: Euroclear Belgium
  - Sender reference: TEST SVR 3
  - Settlement date: 2015-11-19
  - Quantity: 12 (UNIT)
  - Trade date: 2015-11-16
  - Settlement date: 2015-11-19
- Settlement Details:**
  - Place of settlement: CKBEBB
  - Receiving/Delivering agent: REAG - BIC - GKCCBEBB -

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

 GET TEMPLATE[illegible]

## 10.5.1 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	BO	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 --

Safekeeping account: Search account...

Financial instrument: [Search icon]

Place of custody: -- select --

Sender reference: [Text field] ☐ Use auto reference

Quantity: [Text field]

Settlement amount: [Text field] -- select --

Trade date: dd/mm/yyyy

Settlement date: dd/mm/yyyy

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.

## 10.5.2 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	BO	RD Qualifier	RD Party Type	RD Party Code	RD Account	BS Qualifier	BS Party Type	BS Party Code	BS Account
												CRD								
												END/INDEB								
												DEB/INDEB								

### Create External Settlement Instruction

#### Trade Details

Function: New Message

Instruction type: RFP-Receive free of payment

Safekeeping account: [Text field]

Financial instrument: HK0000065349 [Search icon] HONG KONG TELEVISION NETWORK LTD

Place of custody: Hong-Kong

Sender reference: [Text field] ☒ Use auto reference

Quantity: 100 UNIT

Settlement amount: [Text field] -- select --

Trade date: 12/11/2019

Settlement date: 14/11/2019

Settlement Details

Change of beneficial ownership: -- select --  
BENEZ/ANEN  
BENEZ/YBEN

Place of settlement: XHKKCHKH1

### Create External Settlement Instruction

### 10.5.3 REAG/DEAG Details

RD qualifier: REAG for delivery instructions / DEAG 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 (optional)

REAG/DEAG DETAILS			
RD Qualifier	RD Party Type	RD Party Code	RD Account
REAG	BIC	KREDBEBB	

### Trade Details

### Settlement Details

#### 10.5.4 BUYER/SELLER Details

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

All Buyer/Seller details are optional:

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:

74/87

Delivering agent [DEAG]

Party *	-- select --	PARTY CODE
Account		

Seller [SELL]		
Party	-- select --	PARTY CODE
Account		

## 10.5.5 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	CB	RD Qualifier	RD Party Type	RD Party Code	RD Account	BS Qualifier	BS Party Type	BS Party Code
EXTERNAL	RVP-Receive free of payment	0126585		12/11/2019	14/11/2019	HK00000065349	Hong-Kong		50,000			BENE//YBEN	DEAG	BIC	KREDBEBB		SELL	BIC	KREDBEBB
EXTERNAL	RVP-Receive against payment	0126585		12/11/2019	14/11/2019	AU000000AEE7	Sydney		30,000	AUD	1000,000		DEAG	BIC	GEBABBB				
EXTERNAL	DFP-Deliver free of payment	0126585		12/11/2019	14/11/2019	ES0105065009	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:

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		FI0009000202	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		AU0000000AEE7	30.0000	1,000.0000	AUD	2019-11-12	2019-11-14	Sydney
<input type="checkbox"/>	RFP			0126585-000		HK00000065349	50.0000			2019-11-12	2019-11-14	Hong-Kong

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

## 10.5.6 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 2<sup>nd</sup> 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		50,000		
EXTERNAL	RVP-Receive against payment	0126585		12/11/2019	14/11/2019		Sydney		30,000	AUD	1000,000
EXTERNAL	DFP-Deliver free of payment	0126585		12/11/2019	14/11/2019	ES0105065009	Madrid		40,000		
EXTERNAL	DVP-Deliver against payment	0126585		12/11/2019	14/11/2019	FI0009000202	Helsinki		20,000	EUR	2000,000

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: 11/15/19 1:45 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		50,000		
EXTERNAL	RVP-Receive against payment	0126585		12/11/2019	14/11/2019	AU000000AEE7	Sydney		30,000		1000,000
EXTERNAL	DFP-Deliver free of payment	0126585		12/11/2019	14/11/2019	ES0105065009	Madrid		40,000		
EXTERNAL	DVP-Deliver against payment	0126585		12/11/2019	14/11/2019	FI0009000202	Helsinki		20,000	EUR	2000,000

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	AU000000AAEE7	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
1000,000		DEAG	BIC	GEBABEBB						ERROR
										The currency is missing or is not valid

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

## 11 Product

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

### 11.1 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"/>

**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	 VESTIMA+	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]	 <b>DOWNLOAD PDF</b>
Kid document SOURCE MK PLC ESTX50 SOURCE ETF-A K [en] Jurisdictions: [BE]	 <b>DOWNLOAD PDF</b>
Kid document SOURCE MK PLC ESTX50 SOURCE ETF-A K [en] Jurisdictions: [BE]	 <b>DOWNLOAD PDF</b>

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

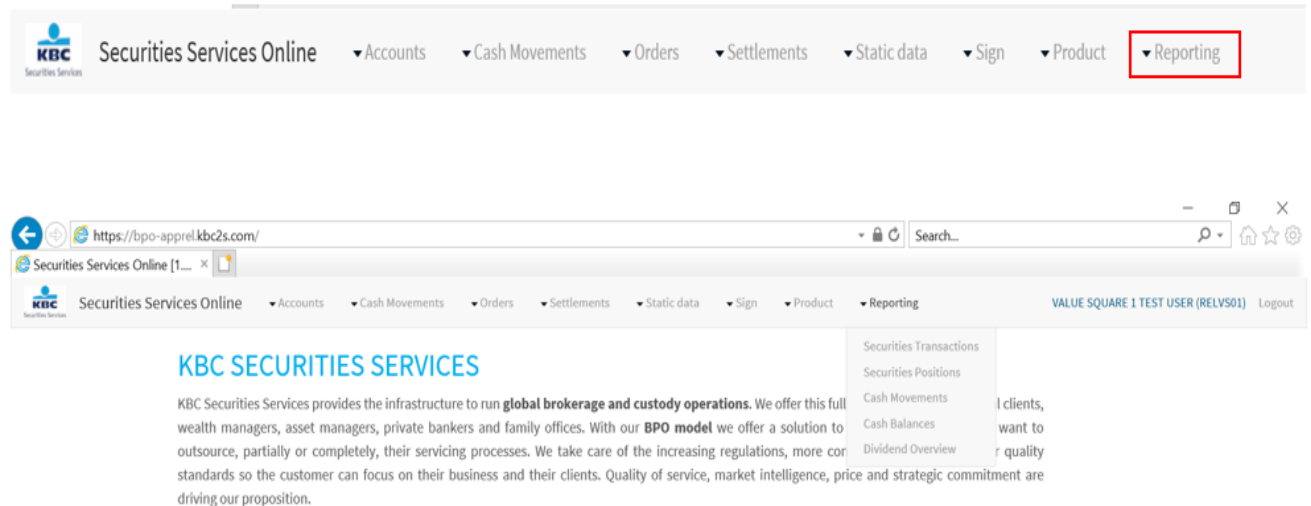
Very Short Term Horizon:	UNDEFINED
Short Term Horizon:	NO
Medium Short Term Horizon:	
Long Term Horizon:	YES

## 12 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.

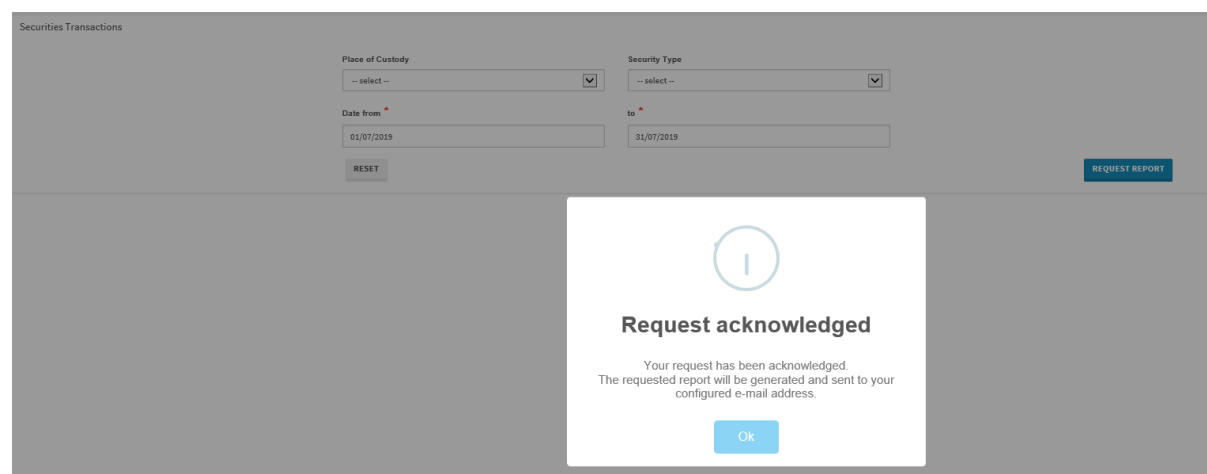


### 12.1 Securities Transactions

Securities Transactions

<b>Place of Custody</b> <input type="text" value="-- select --"/>	<b>Security Type</b> <input type="text" value="-- select --"/>
<b>Date from *</b> <input type="text" value="01/07/2019"/>	<b>to *</b> <input type="text" value="31/07/2019"/>

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



Mail:

KBC Bank NV – Havenlaan 2 – 1080 Brussels – Belgium – VAT BE 0462.920.226 – RLP Brussels –  
Member of the KBC group – securitiesservices.kbc.be  
<VNovember2023>



customersupport@kbc.be

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

Included document KBC Securities Services

## 12.2 Securities Positions

Securities Positions

Security Type  
-- select --

Date \*  
date

RESET

REQUEST REPORT

Filter available for 'security type'.

Mail:



customersupport@kbc.be

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

Included document KBC Securities Services

## 12.3 Cash Movements

Cash Movements

Date from \*  
from date

to \*  
to date

RESET

REQUEST REPORT

Mail:



customersupport@kbc.be

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

Included document KBC Securities Services

## 12.4 Cash Balances

Cash Balances

Date \*  
date

RESET

REQUEST REPORT

Mail:



customersupport@kbc.be

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

Included document KBC Securities Services

## 12.5 Dividend Overview

Dividend Overview

Date from \*  
from date

to \*  
to date

RESET

REQUEST REPORT

Mail:



customersupport@kbc.be

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

Included document KBC Securities Services

## 13 BPO Management


For BPO (business process outsourcing) clients that has subscribed to MDSaaS service only.


### 13.1 Product universe


With the 'Product universe' submodule, clients has the possibility to add/delete a product to/from their product universe via SSO tool.


The client can find the financial instrument(s) in their product universe via entering ISIN code or ERI code. After entering ISIN/ERI code and pressing 'search' button, the security client is looking for will appear (with details, see below).

ISIN	ERI-code	Security Name	BPO Name	Instrument Type	Currency	Place of Trade
AT0000746409	0065215001	VERBUND AG A	New try for the test 444	SHARES	EUR	Vienna

If this security is already in the client's product universe, it is possible to 'delete product from the universe' by clicking delete button .

ISIN	ERI-code	Security Name	BPO Name	Instrument Type	Currency	Place of Trade
 BE0948331501	0948331001	VALUE SQUARE FD EQUITY SELECT C K	New try for the test 444	INVESTMENT FUNDS BE CAPITALIZATION	EUR	Fondsen RBC Dexia

If this security is not yet in the client's product universe, it is possible to 'add product to universe' by clicking add button .

ISIN	ERI-code	Security Name	BPO Name	Instrument Type	Currency	Place of Trade
 GB0006776081	0091419000	PEARSON PLC		SHARES	GBP	London

After clicking add/delete button, the add/delete confirmation window pops up.



### Delete?

Are you sure you want to delete the product with internal code "0948331001" from the product universe?



### Add?

Are you sure you want to add the product with internal code "0065215001" to the product universe?

After confirmation, all the updates has to be signed in the 'sign' module (BPO Management Updates submodule; see 8.8.1.1.) by the same user or another user (if the 4-eyes principle has been set up for this client), see 4.5.

After signing, it will automatically be routed to KBC Securities Services backend system for further processing. Than product will be add/delete to/from the product universe.

## 13.2 External reference

With the 'External reference' submodule, clients has the possibility to search for KBC account/person ID by providing the External account/person ID.  
This is also possible to do the other way around – BPO client can search for external account/person ID by providing the KBC account/person ID.

Translate external references

External account ID

KBC account ID

External person ID

KBC Person ID

RESET

TRANSLATE

KBC account ID:

External account ID:

KBC Person ID:

External person ID:

The client can fill in:

- External account ID -> translate into KBC account ID
- KBC account ID -> translate into External account ID
- External person ID -> translate into KBC person ID
- KBC Person ID -> translate into External person ID

By clicking 'translate' button, filled number will be translated into correct form.

Translate external references

External account ID

132500425970

KBC account ID:

8881379

Keep in mind that it is possible to only insert one value at the time.

## 13.3 Product update

With the 'Product update' submodule, clients has the possibility to manage center based market data via SSO tool.

The client can find the financial instrument(s) via entering ISIN code or ERI code. After entering ISIN/ERI code and pressing 'search' button, the security client is looking for will appear (with details, see below).

ISIN	ERI-code	Security Name	BPO Name	Instrument Type	Currency
BE0948331591	0948331001	VALUE SQUARE FD EQUITY SELECT C K	New try for the test 444	INVESTMENT FUNDS BE CAPITALIZATION	EUR

By clicking on 'Modify center based fields' button  the product details screen pops up.











Product details for ISIN: BE0948331591.




UPDATE VALUES

DISCARD CHANGES

Client based information:	BPO Value	KBC Value
Name:	<input type="text" value="New try for the test 444"/> 	VALUE SQUARE FD EQUITY SELECT C K
Complex Product:	<input type="text" value="Current value: No"/> 	No
Investor type:		
Investor type retail:	<input type="text" value="Current value: Yes"/> 	Yes
Investor type professional:	<input type="text" value="Current value: Yes"/> 	Yes
Investor type elig. cntrpty:	<input type="text" value="Current value: Yes"/> 	Yes
Knowledge base:		
Basic knowledge and exp:	<input type="text" value="Current value: No"/> 	Yes
Informed investor:	<input type="text" value="Current value: No"/> 	Yes
Experienced investor:	<input type="text" value="Current value: No"/> 	Yes

In this side dialog, fixed details of the product are provided.





Client can edit certain fields displayed on this side dialog by clicking on 'edit' button  (in the BPO Value column).

By clicking on 'edit' button, client can:

- Type new value (open text line)

Client based information:	BPO Value	KBC Value
Name:	<input type="text" value="THIS IS TEST LINE"/> 	VALUE SQUARE FD EQUITY SELECT C K

- Choose one of the pre-defined values (No/Yes/Undefined)

Current value: Yes	
No	
Yes	
Undefined	

When the client finish his updates, it is necessary to confirm this update by clicking on 'update values' button + 'create' button (on pop up window).

The screenshot shows the 'Product details for ISIN: BE0948331591' page. A modal dialog titled 'Update?' is displayed in the center, asking 'Are you sure to create an update?'. The dialog has a 'Cancel' button and a 'Create' button, which is highlighted with a red box. In the background, the 'UPDATE VALUES' button is also highlighted with a red box.

It is possible to discard all the changes made by clicking on 'discard changes' button. By clicking on it, all the changes are discarded and original values are filled in again.

The screenshot shows the 'Product details for ISIN: BE0948331591' page. The 'DISCARD CHANGES' button is highlighted with a red box. The page displays client-based information with BPO and KBC values.

Client based information:	BPO Value	KBC Value
Name:	<input type="text" value="New try for the test 444"/>	VALUE SQUARE FD EQUITY SELECT C K
Complex Product:	<input type="text" value="Current value: No"/>	No

When all the updates are confirmed by clicking on the 'create' button (see above), all the updates are created and have to be signed in the 'sign' module (BPO Management Updates submodule; see 8.8.1.2.) by the same user or another user (if the 4-eyes principle has been set up for this client), see 4.5.

The screenshot shows a success message: 'We successfully created an update.' Below the message, it says 'You can' followed by two buttons: 'CREATE A NEW PRODUCT UPDATE' and 'SIGN'.

After signing, it will automatically be routed to KBC Securities Services backend system for further processing. Then product will be updated.

### 13.3.1 Alternative Security types

With the 'Alternative Security types' fields in the screen Product update submodule you can select via checkboxes the extra customer-specific variables that can be assigned to instruments in the universe. These fields can be used to determine different fee rates for different types of products.

The amount of fields can differ regarding the alternative security type of the client which is driven by the backend setup.

#### Alternative Security Type Field:

EXAMPLE 1	<input type="checkbox"/>
EXAMPLE 2	<input type="checkbox"/>
EXAMPLE 3	<input type="checkbox"/>
EXAMPLE 4	<input checked="" type="checkbox"/>
EXAMPLE 5	<input checked="" type="checkbox"/>
EXAMPLE 6	<input checked="" type="checkbox"/>
EXAMPLE 7	<input checked="" type="checkbox"/>
EXAMPLE 8	<input type="checkbox"/>

Once all desired security types are selected, click on the button 'Update values' to save these changes and then proceed to sign this change.

After signing, it will automatically be again routed to KBC Securities Services backend system for further processing. Then product will be updated.