Securities Services Online

[Securities Services Online [2.0.X] (kbc.be)](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 applicable 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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1 Contents

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

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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

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- 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.

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

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

1. Enter your User-ID

| 👤 | 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**
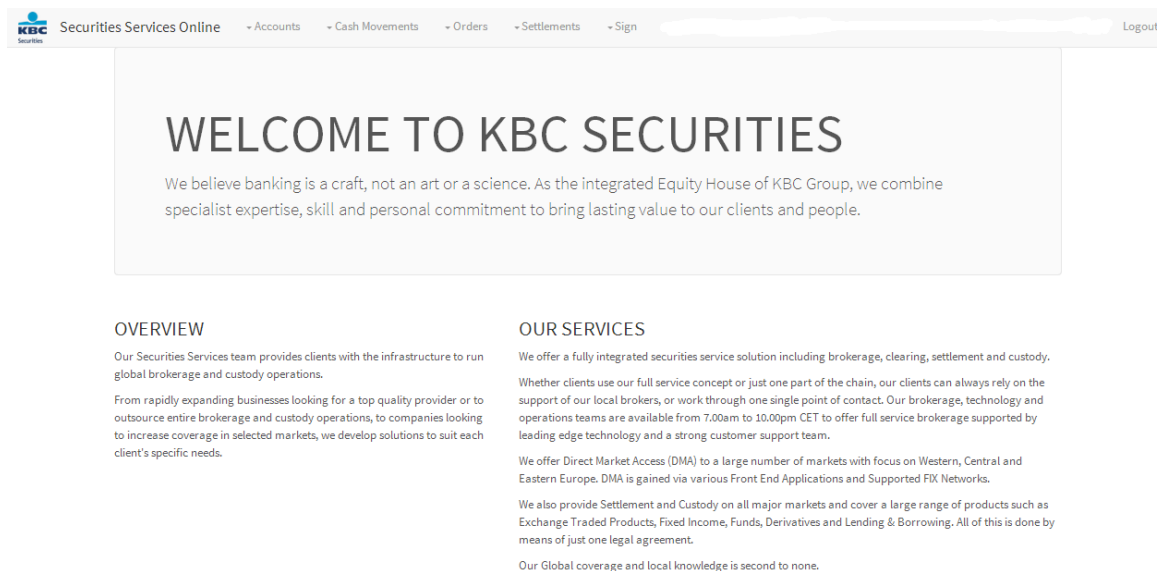
5. Fill in the response code

| 🔒 | Digipass code |

LOGIN

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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.
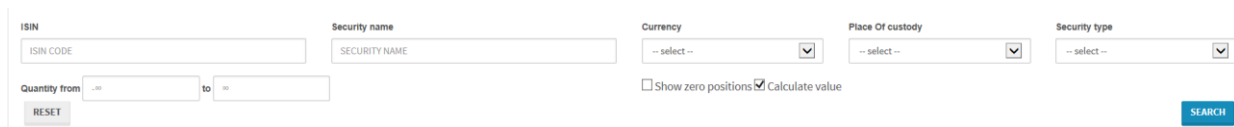
4 Accounts

4.1 General principles

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

Clients can also view and download XLS- and PDF reports and send reports to their email-address.

4.2 Overview Securities accounts

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

Possible search criteria:

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

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

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

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

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

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

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

Select client:

View Securities positions:

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:

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

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4.3 Overview Cash accounts

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

Possible search criteria:

Balance
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:

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View Cash movements:

View detail Cash movements:

4.4 Assets Overview

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

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

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.

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.

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.

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.

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.

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

08 'Transfer from general waiting account'

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

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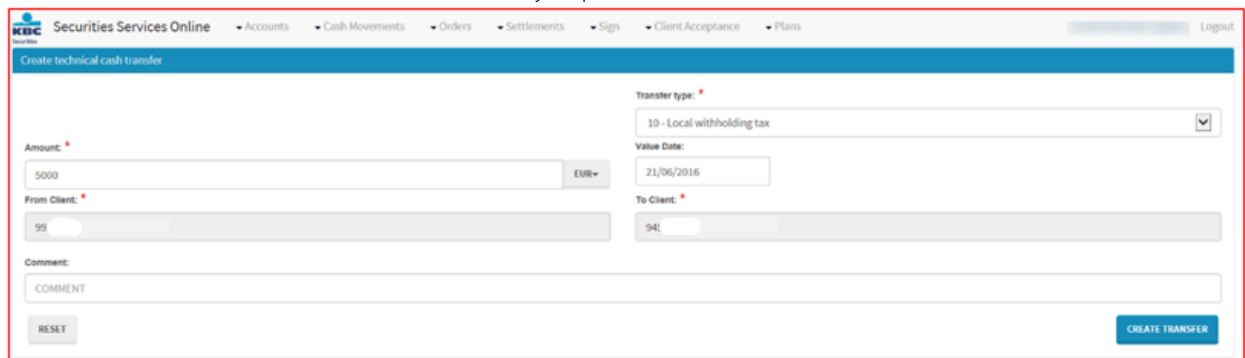
09 'Stock Exchange Tax'

⇨ 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
  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.

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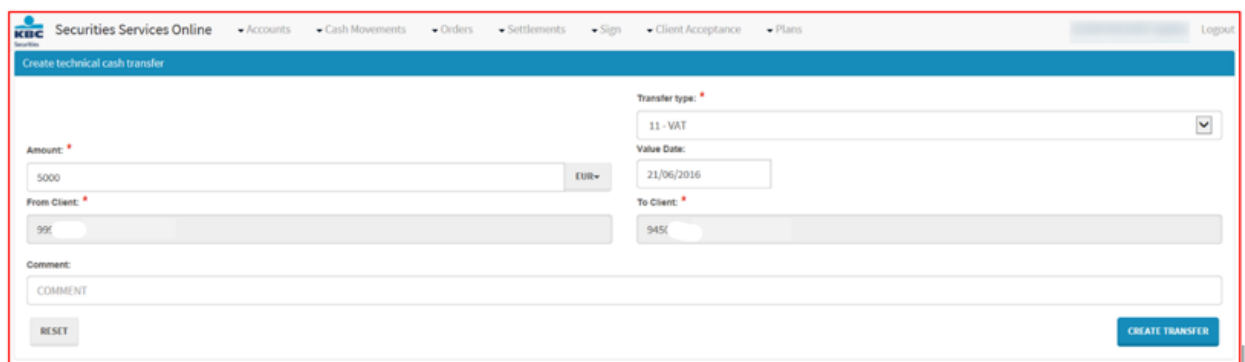
10 'Local Withholding tax'

⇨ 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
  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.

11 'VAT'
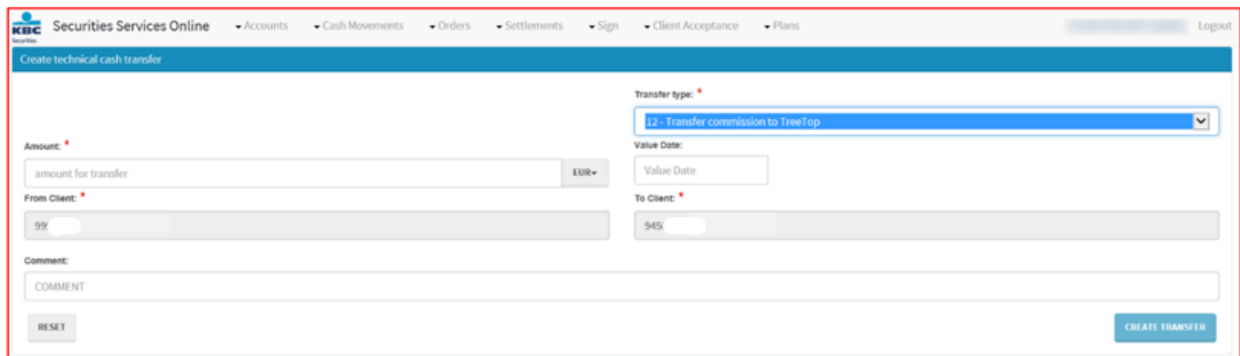
⇨ This transfer type allows the client to confirm the payment in EUR of this tax to the financial authorities
⇨ Debit account is defaulted by the system
⇨ Credit account is defaulted by the system

⇨ The client completes following fields
  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.

12 'Transfer commission to BPO client'
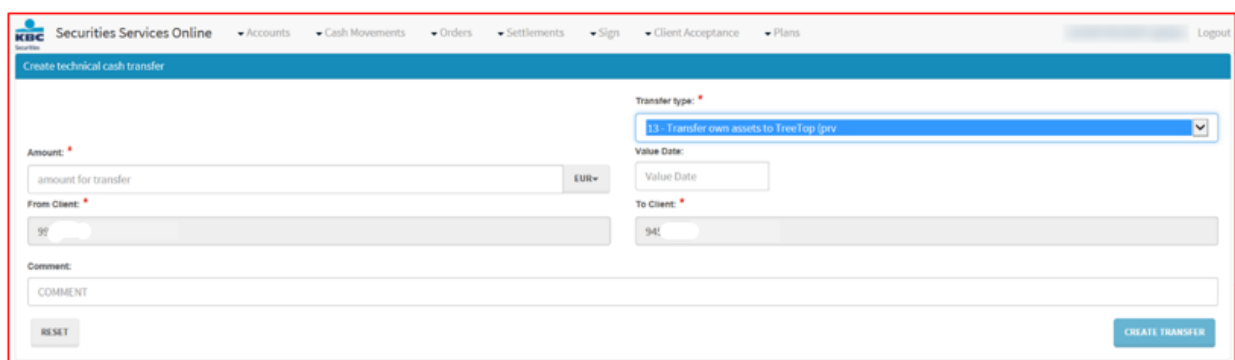
⇨ This transfer type allows the client to confirm the transfer of commissions in EUR to the clients entity account.
⇨ Debit account is defaulted by the system
⇨ Credit account is defaulted by the system

⇨ The client completes following fields
  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.

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).

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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.

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.

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Moving forward together.
KBC

⊞ DOWNLOAD XLS   🄿 DOWNLOAD PDF

| Amount from | _∞ | to | ∞ | Date from | | to | |

RESET   SEARCH

⚡	Transaction type	Debit/Credit	Cur	Value Date	Contract Note
ℹ	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
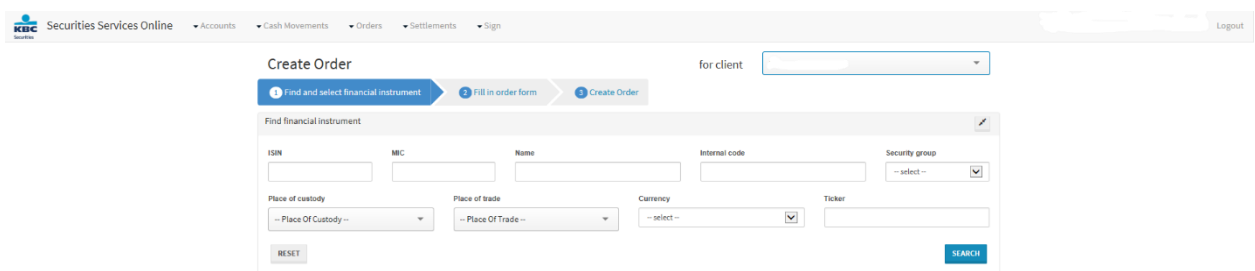
6 Orders

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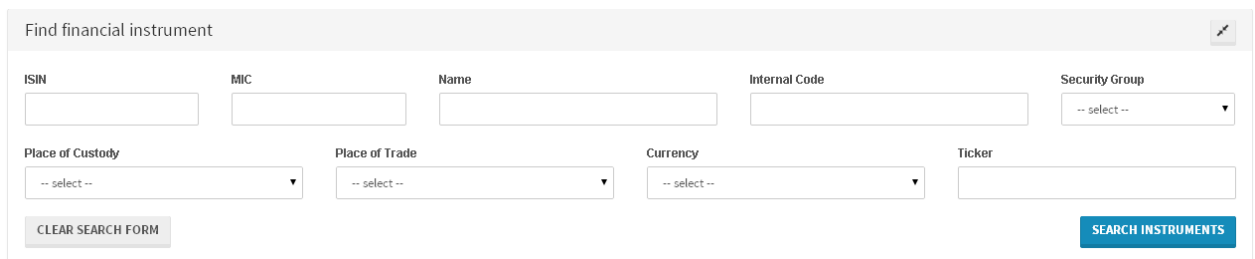
To create an order, the following steps have to be completed:

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.

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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.

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 market 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.

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

Order to create

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

Transaction Overview

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

Security

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

Ex-Ante Cost Projection

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

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

DOWNLOAD EX-ANTE SIMULATION   CREATE ORDER

6.1.4 Register order

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

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

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

Order to create

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

Transaction Overview

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

Security

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

Ex-Ante Cost Projection

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

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.

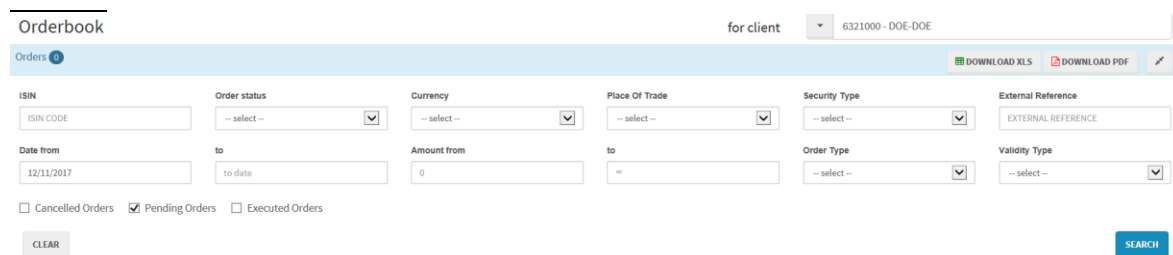You can CREATE A NEW ORDER or SIGN

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

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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).
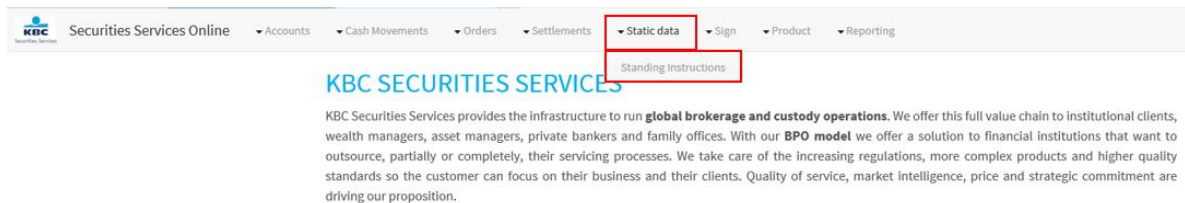
Currently, standing instructions can only be registered/edited for individual client accounts.
Any standing instruction that has already been set up in our back-office system will be visible in SSO:
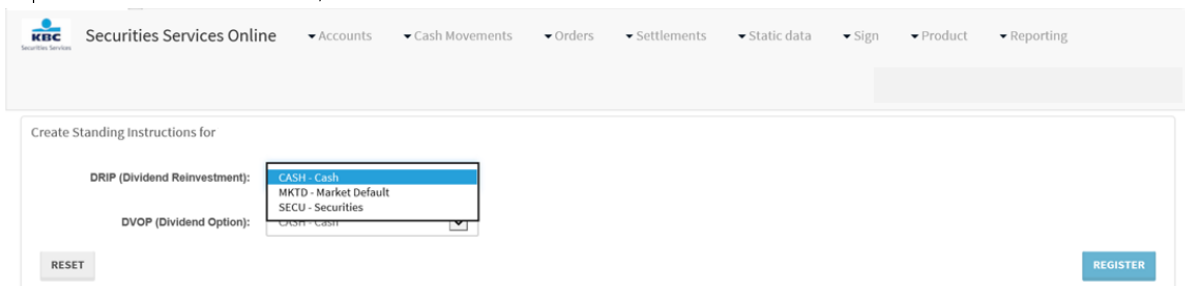
If the client account does not have a standing instruction yet, the fields will be blank:

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.

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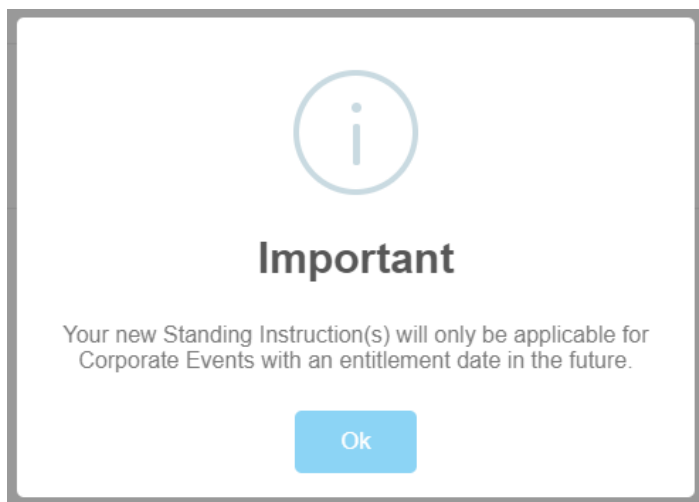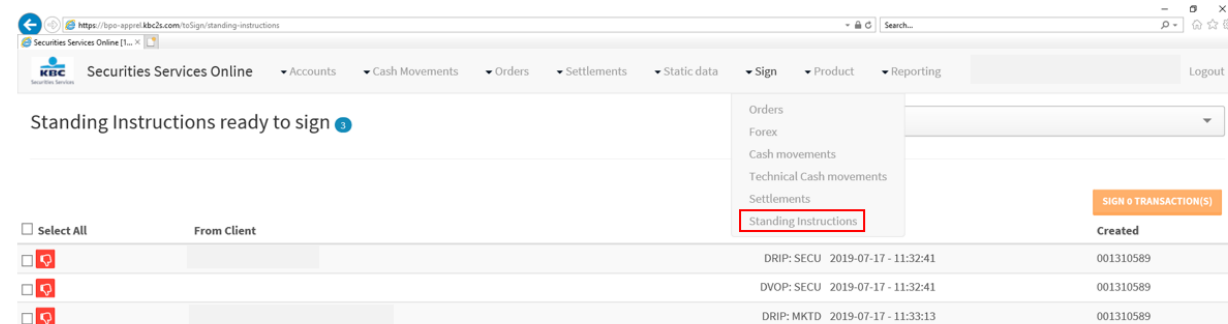
!! Careful !! For corporate actions with short deadlines, notifications will be sent before entitlement date. It will not be possible to register/edit standing instructions in SSO for these events. Standing instructions for a corporate event are downloaded upon creation of the notification. Therefore,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

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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
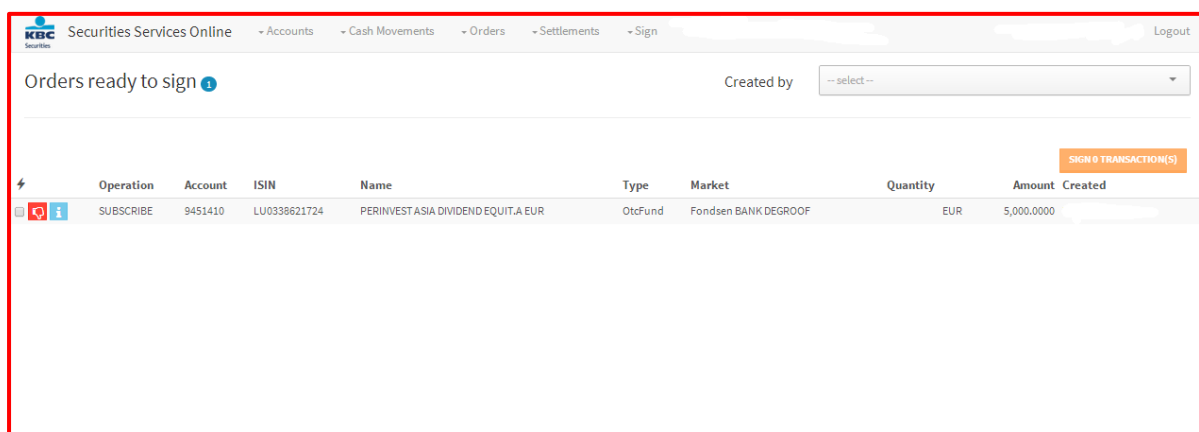
8.1 Sign orders

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.
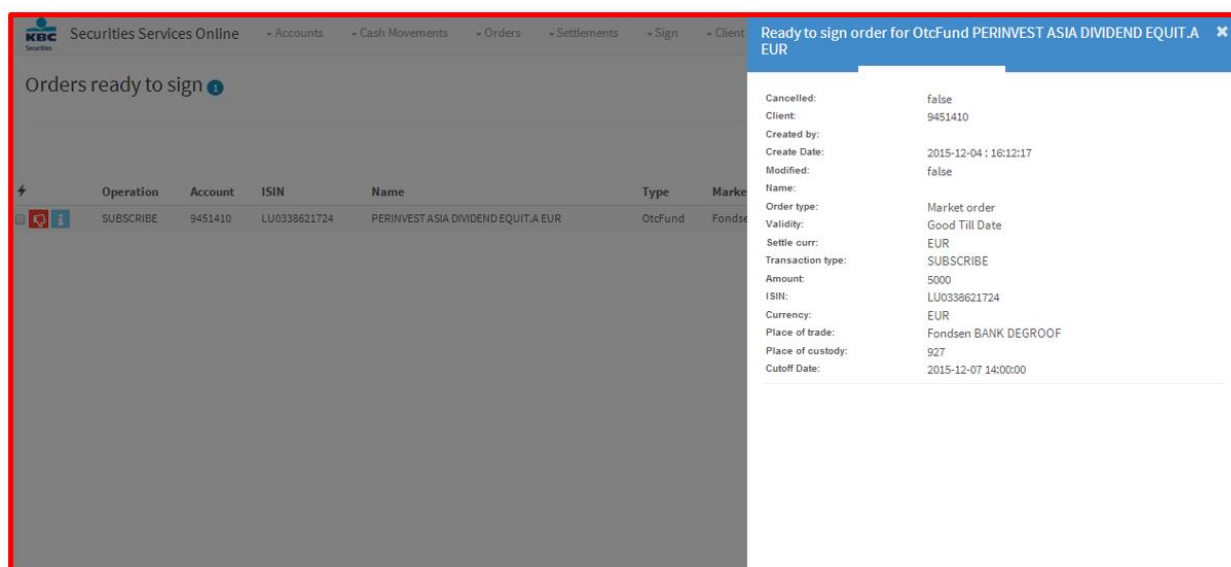
8.1.2 Actions

The following actions are possible:

- View details order
- Cancel registration
- Sign order(s)

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8.1.2.1 View details order

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

8.1.2.2 Cancel registration

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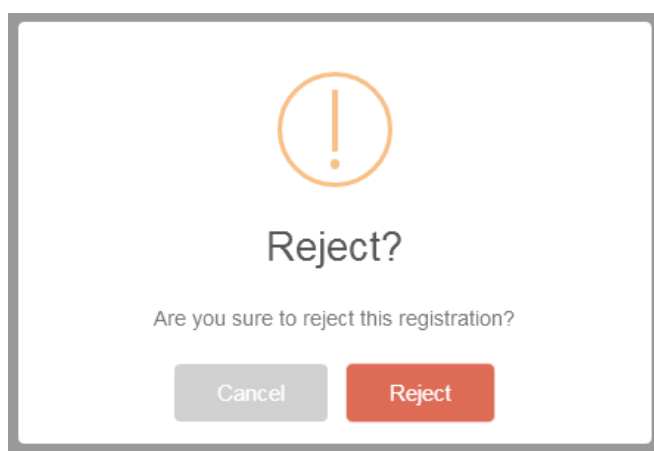
8.1.2.3 Sign order

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.

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KBC Securities Services.
Moving forward together.

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.

_____

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.

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.
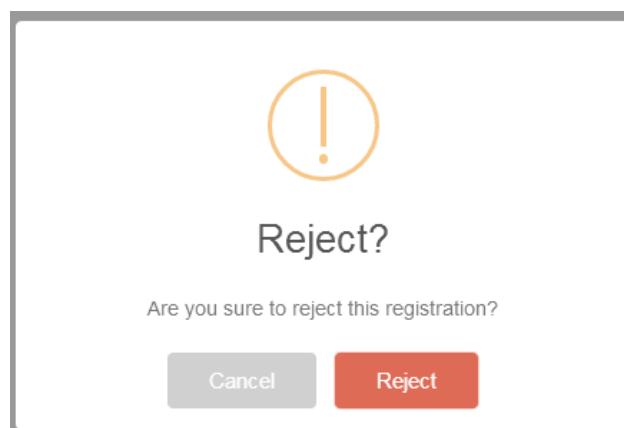
8.2.2.2 Sign forex

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.

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.

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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.

8.3.2 Actions

The following actions are possible:

- View details cash movement

- Cancel registration

- Sign cash movement(s)

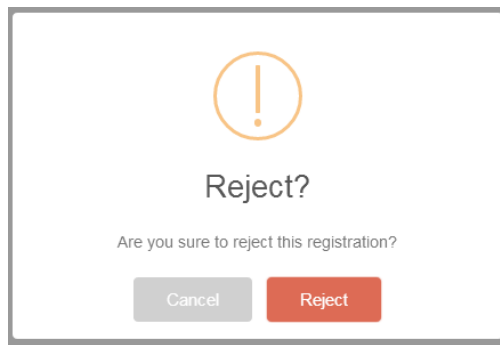### 8.3.3 View details cash movement

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

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.


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.

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.

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.

8.4.2.2 Cancel registration

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

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Reject?

Are you sure to reject this registration?

[Cancel] [Reject]
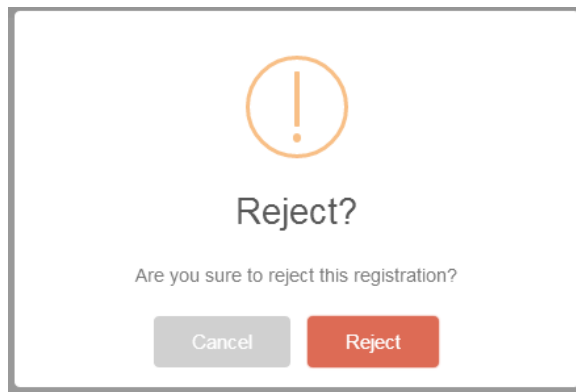
8.4.2.3 Sign plan

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

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.

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.

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.

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.

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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.

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.

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.
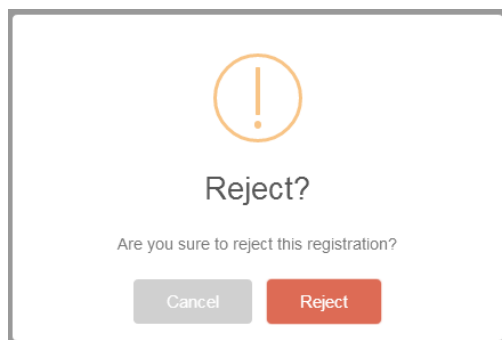
8.6.2.3   Sign settlement instruction

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.

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.

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.

8.7.2   Actions

The following actions are possible:

- Cancel registration

- 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.

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.

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8.8.2 Actions

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

- Cancel registration
- 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

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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 .

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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)

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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.

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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.

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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.

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

Plans ready to sign

Created by   — select —   ▾

SIGN 0 TRANSACTION(S)

	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	1,000.0000 EUR	
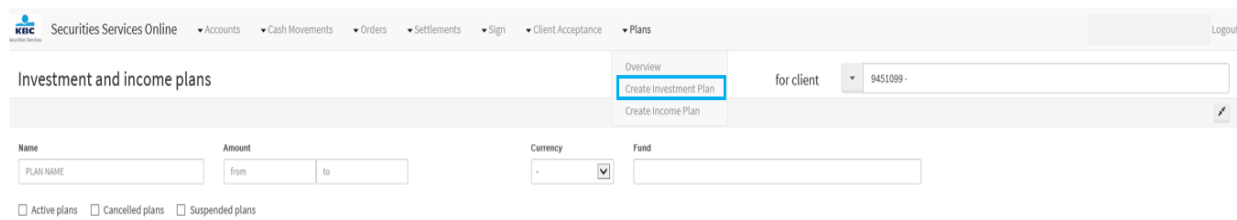
9.2 Create Investment Plans

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.

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Create the plan by clicking on the button **CREATE INVESTMENT PLAN**. 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.

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.

Create Investment Plan

Name	ABC	
Comment	COMMENT	
Amount	1000	EUR

running [ ] from Start date to End date

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

Calculations are indicative.

RESET · CREATE INVESTMENT PLAN

for client 9451099 -

Securities | Models

Model Name

+ Conservative Patrimo
LU1229301061 TREETOP GLOBAL CONSERVATIVE A EUR — 100%

+ Balanced Patrimonial
LU0694355487 TREETOP GLOB. SIC BALANCED-AH EUR-K — 100%

+ Growth Patrimonial
LU0694355214 TREETOP GLOB. SIC DYNAMIC -AH EUR-K — 50%
LU0694355487 TREETOP GLOB. SIC BALANCED-AH EUR-K — 50%

+ Dynamic Patrimonial
LU0694355214 TREETOP GLOB. SIC DYNAMIC -AH EUR-K — 100%

+ Balanced II
BE6275981817 TREETOP BEV WORLD EQUITY INDEX A — 20%
LU0694355214 TREETOP GLOB. SIC DYNAMIC -AH EUR-K — 20%
LU1229301061 TREETOP GLOBAL CONSERVATIVE A EUR — 60%

Create Investment Plan

Name	ABC	
Comment	COMMENT	
Amount	500	EUR

Cash account: 9451099 404 000 EUR
Security account: 9451099 - TRADING ACC. IN CUSTO

running [ ] from Start date to End date

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

Calculations are indicative.

RESET · CREATE INVESTMENT PLAN

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%

Create Investment Plan

Name	ABC		Cash account	9451099 404 000 EUR
Comment	COMMENT		Security account	9451099 - TRADING ACC. IN CUSTO
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

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%

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

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9.3 Create Income Plans

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

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

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

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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.

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.

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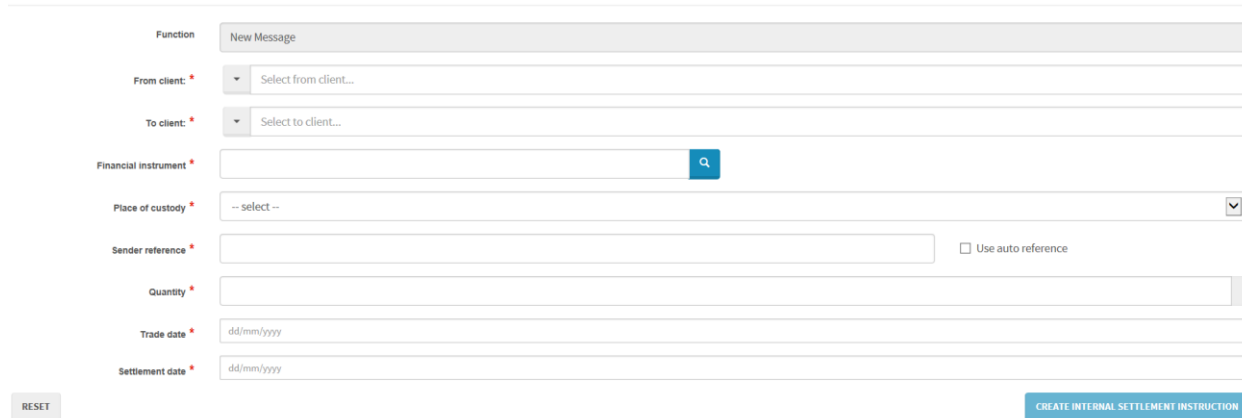
With the "View details" button, the client can see the details of the settlement instructions.

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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

Function	New Message
From client: *	▼ Select from client...
To client: *	▼ Select to client...
Financial instrument *	🔍
Place of custody *	-- select -- ▼
Sender reference *	☐ Use auto reference
Quantity *	
Trade date *	dd/mm/yyyy
Settlement date *	dd/mm/yyyy

RESET   CREATE INTERNAL SETTLEMENT INSTRUCTION

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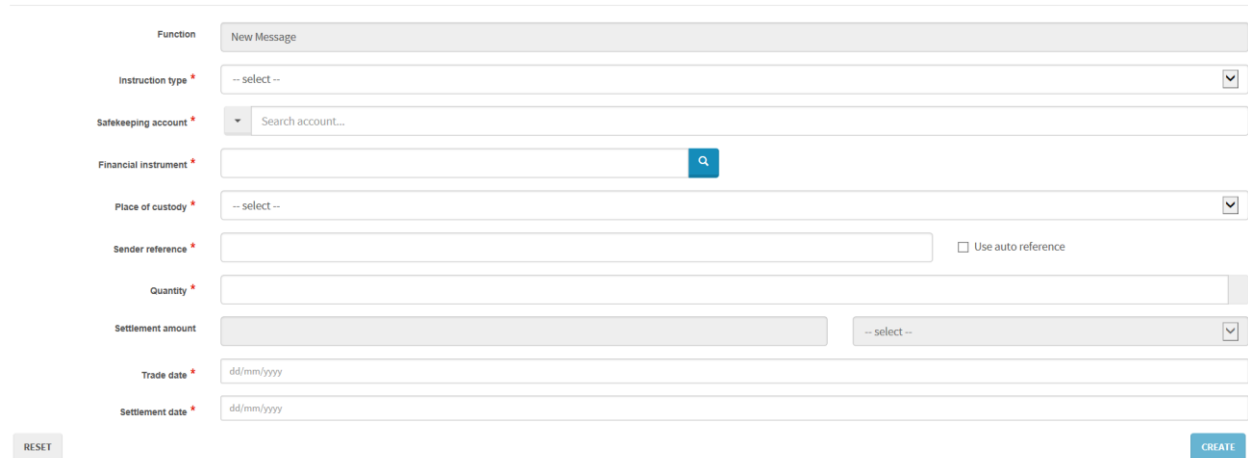
Settlement Date
The client can select a settlement date in the calendar, or type a specific settlement date.

10.4 Create External SI

Create External Settlement Instruction

Trade Details

Function	New Message
Instruction type *	-- select --
Safekeeping account *	Search account...
Financial instrument *	
Place of custody *	-- select --
Sender reference *	☐ Use auto reference
Quantity *	
Settlement amount	-- select --
Trade date *	dd/mm/yyyy
Settlement date *	dd/mm/yyyy

RESET   CREATE

Trade Details:
Function
The function will always be NEWM (new message). Clients will be able to cancel instructions via the "overview" screen, not via the "create" screen.

Instruction Type
Possible parameters:
- Deliver against payment
- Deliver free of payment
- Receive against payment
- Receive free of payment

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

Financial Instrument
In this field, the user can manually input the ISIN-code of the security, or he can select a security by clicking on the magnifying glass:
- Select from my accounts: the client can query on the securities positions on his account.
- Select a security with the following parameters (uncheck the "select from my accounts" box):
  - ISIN
  - Name
  - Internal Code KBC Securities Services
  - Security Group (share, bond, ...)
  - 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.

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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.

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.
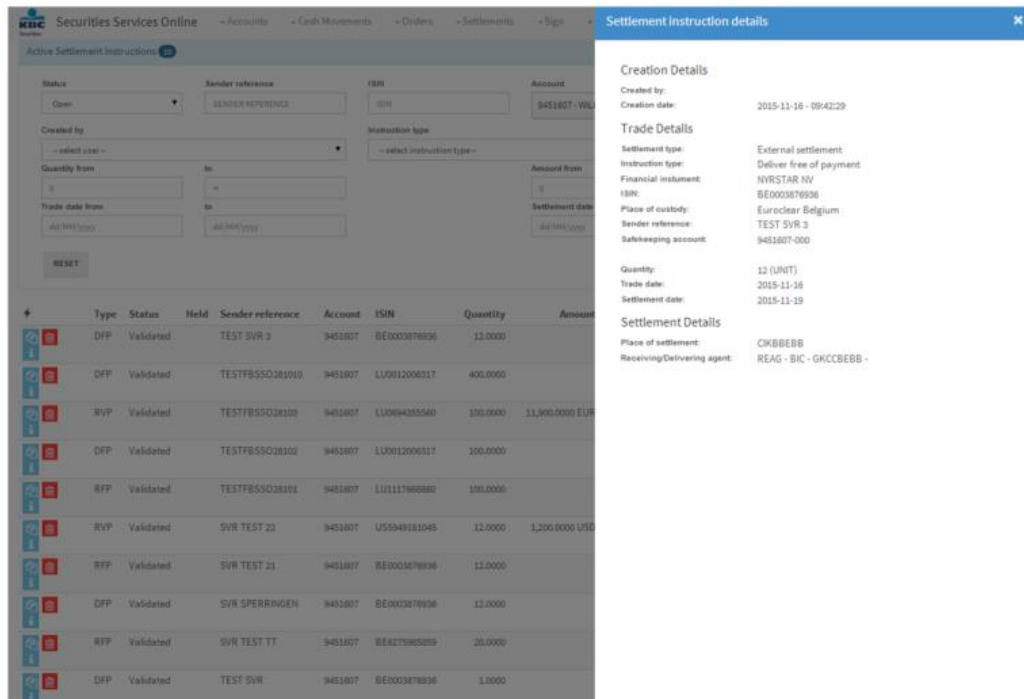
10.5 Settlement Upload

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

To get the template you go to 'Settlements' > 'Upload' >

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

10.5.1 Trade Details

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.

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

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)

Filled in example:

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

Create External Settlement Instruction

Trade Details

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

Settlement Details

Place of settlement	CIKBBEBB

Delivering agent [DEAG]

Party *	-- select --	PARTY CODE
Account		

10.5.4 BUYER/SELLER Details

Same logic (of REAG/DEAG details) applies to the Buyer/Seller 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	CBO	RD Qualifier	RD Party Type	RD Party Code	RD Account	BS Qualifier	BS Party Type	BS Party Code	BS Account	Comment	Message

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:

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

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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	CBO	RD Qualifier	RD Party Type	RD Party Code	RD Account	BS Qualifier	BS Party Type	BS Party Code
EXTERNAL	RFP-Receive free of payment	0126585		12/11/2019	14/11/2019	HK0000065349	Hong-Kong		50,0000			BENE//YBEN	DEAG	BIC	KREDBEBB		SELL	BIC	KREDBEBB
EXTERNAL	RVP-Receive against payment	0126585		12/11/2019	14/11/2019	AU000000AEE7	Sydney		30,0000	AUD	1000,0000		DEAG	BIC	GEBABEBB				
EXTERNAL	DFP-Deliver free of payment	0126585		12/11/2019	14/11/2019	ES0105065009	Madrid		40,0000			BENE//NBEN	REAG	BIC	KREDBEBB				
EXTERNAL	DVP-Deliver against payment	0126585		12/11/2019	14/11/2019	FI0009000202	Helsinki		20,0000	EUR	2000,0000		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').

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 2nd example (all other details remain the same then in previous example)

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

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

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

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

2. Finished with errors

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

TRADE DETAILS										
Settlement Type	Instruction Type	Client Account	Client Reference	Trade Date	Settlement Date	ISIN	POC	Security Description	Quantity	Currency	Amount
EXTERNAL	RFP-Receive free of payment	0126585		12/11/2019	14/11/2019	HK0000065349	Hong-Kong		50,0000		
EXTERNAL	**RVP-Receive against payment**	**0126585**		**12/11/2019**	**14/11/2019**	**AU000000AEE7**	**Sydney**		**30,0000**		**1000,0000**
EXTERNAL	DFP-Deliver free of payment	0126585		12/11/2019	14/11/2019	ES0105065009	Madrid		40,0000		
EXTERNAL	DVP-Deliver against payment	0126585		12/11/2019	14/11/2019	FI0009000202	Helsinki		20,0000	EUR	2000,0000

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

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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 our 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' .

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

TRADE DETAILS									
Settlement Type	Instruction Type	Client Account	Client Reference	Trade Date	Settlement Date	ISIN	POC	Security Description	Quantity	Currency
EXTERNAL	RVP-Receive against payment	0126585		12/11/2019	14/11/2019	AU000000AEE7	Sydney		30,0000	

	SETTLEMENT DETAILS		REAG/DEAG DETAILS				BUYER/SELLER DETAILS				
Amount	CBO		RD Qualifier	RD Party Type	RD Party Code	RD Account	BS Qualifier	BS Party Type	BS Party Code	BS Account	Comment	Message
1000,0000			DEAG	BIC	GEBABEBB						ERROR	The currency is missing or is not valid

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

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:

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		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.

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Product info for IE00B60SWX25. ✖

Product Details

document

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

These documents can be downloaded as PDF.

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

Target Market Info

Knowledge Base

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

Ability To Bear Losses

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

Risk/Reward Profile

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

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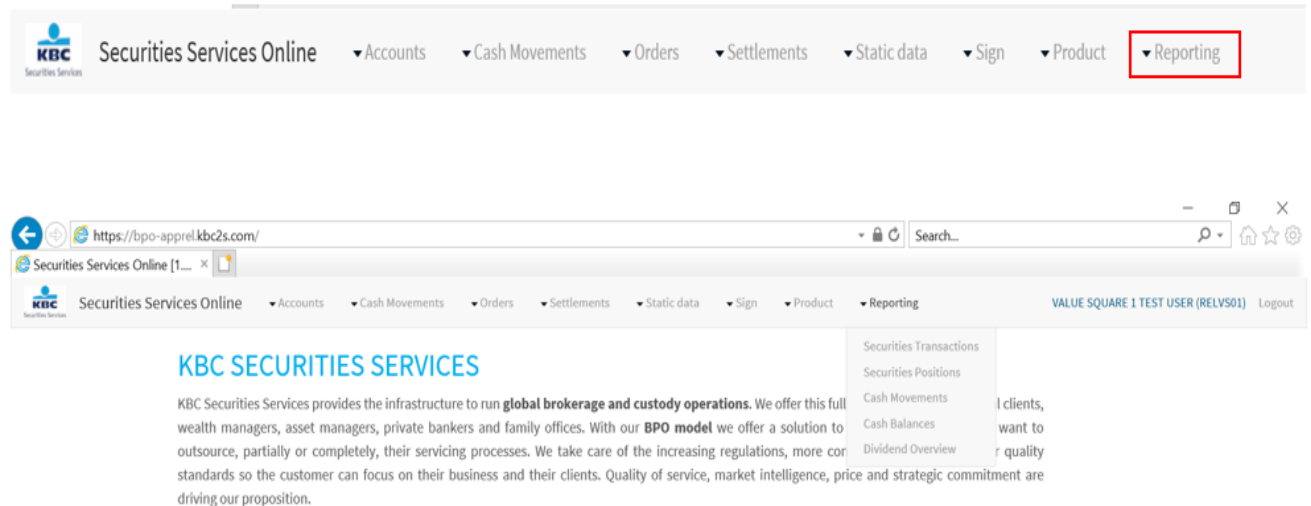
Very Short Term Horizon:	UNDEFINED
Short Term Horizon:	NO
Medium Short Term Horizon:	
Long Term Horizon:	YES

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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.
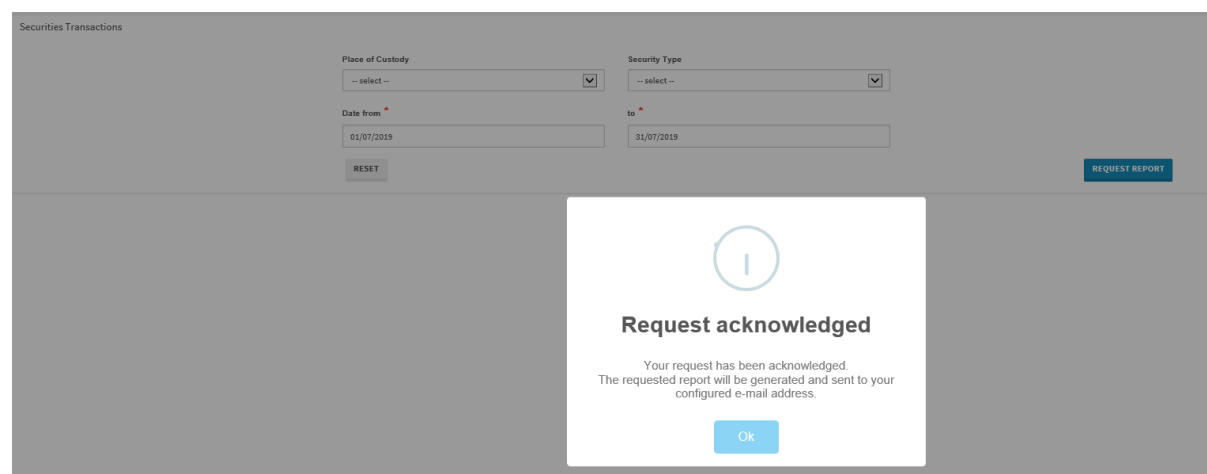
12.1 Securities Transactions

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

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! 📎 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		
BE0948331591	ERI		

RESET   SEARCH

⚡	ISIN	ERI-code	Security Name	BPO Name	Instrument Type	Currency	Place of Trade
🗑	BE0948331591	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		
GB0006776081	ERI		

RESET   SEARCH

⚡	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?

Cancel   Delete

Add?

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

Cancel   Add

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:
KBC account ID		External account ID:
External person ID		KBC Person ID:
KBC Person ID		External person ID:

RESET   TRANSLATE

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 | KBC account ID: |
| 132500425970 | 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.

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Securities Services.
Moving forward together.

Product details for ISIN: BE0948331591. ✕

UPDATE VALUES   DISCARD CHANGES

Client based information:	BPO Value		KBC Value
Name:	New try for the test 444	✎	VALUE SQUARE FD EQUITY SELECT C K
Complex Product:	Current value: No	✎	No

Investor type:	BPO Value		KBC Value
Investor type retail:	Current value: Yes	✎	Yes
Investor type professional:	Current value: Yes	✎	Yes
Investor type elig. cntrpty:	Current value: Yes	✎	Yes

Knowledge base:	BPO Value		KBC Value
Basic knowledge and exp:	Current value: No	✎	Yes
Informed investor:	Current value: No	✎	Yes
Experienced investor:	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:	THIS IS TEST LINE	✎	VALUE SQUARE FD EQUITY SELECT C K

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

BPO Value

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).

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

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.

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	☐
EXAMPLE 2	☐
EXAMPLE 3	☐
EXAMPLE 4	☑
EXAMPLE 5	☑
EXAMPLE 6	☑
EXAMPLE 7	☑
EXAMPLE 8	☐

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.

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