SBS User Guide

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Securities

The engine of Banking Business

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Partner of Trust

Agenda

- Introduction

- SOFiE Graphic User Interface SBS

- Result

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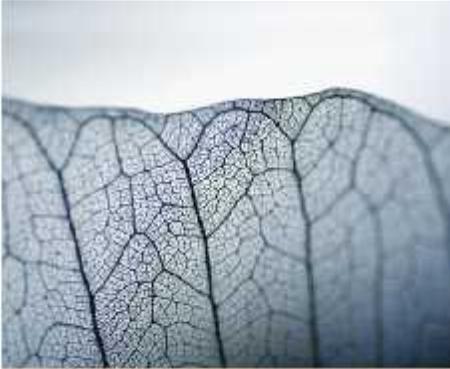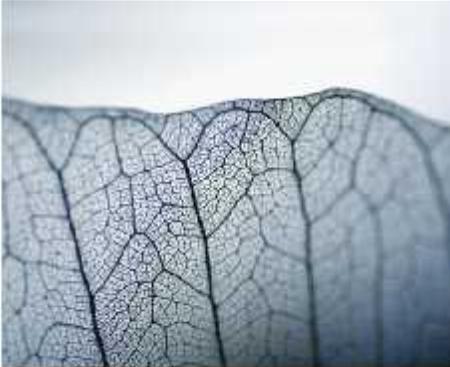
Introduction

- Introduction

    - **S**ecurity **B**y **S**ecurity Reporting
    - Overview of SBS Reporting
    - SOFiE Graphic User Interface SBS

- SOFiE Graphic User Interface SBS

- Result

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SOFiE Graphic User Interface Security By Security allows to answer to the BCL requirements

0. Multi Langage
English, French, German

1. New File
Create new file : IBS

7. SOFiE
Use SOFiE's send functionnality

2. Define Report
Create static information concerning ¨report parameters

SBS Report:

➤ **B**ank **B**alance **S**heet
  • *Asset*
  • *Liabilites*

6. Save
Save with the BCL file name

3. New reportline
Create a new report line

5. New Other
Create a new Other security

4. New ISIN
Create a new ISIN security

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SOFiE Graphic User Interface SBS

- Introduction

- SOFiE Graphic User Interface SBS

  - Launch the application
  - 0- Multi Language
  - 1- New File
  - File Menu & Short Cut
  - 2- Define Report
  - Naming convention
  - 3. New Reported Line
  - 4. New ISIN security
  - 5. New Other security
  - 6- Save & 7- SOFiE

- Result

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SOFiE Graphic User Interface SBS

Launch the application

1. Launch the application

2. Authentification

3. SOFiE main screen

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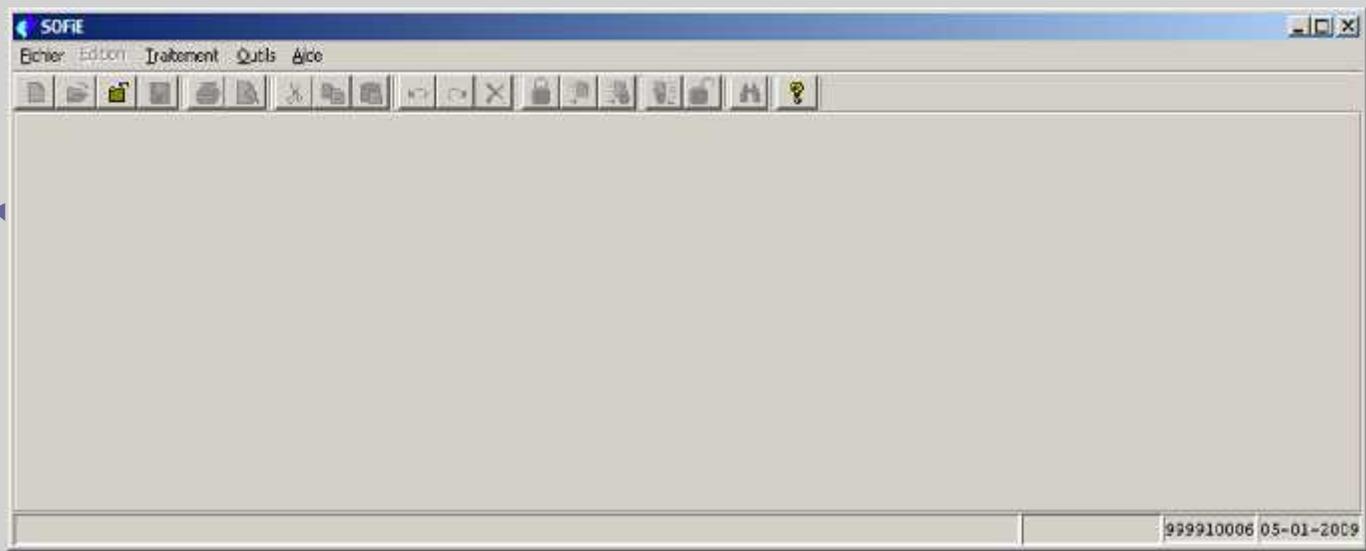
1. Select *Tools|Options*

2. Select onglet *Graphic interface settings*

3. Choose the language

4. Validate

1. Select *Tools|TPT*

2. Select *kind of file IBS*

IBS main screen

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Create a new file

Open an existing file

Save a file

Access the help

Leave the programe and close the file **with proposition of saving**

Save the static information of the report

SOFiE Graphic User Interface SBS

2- Define Report
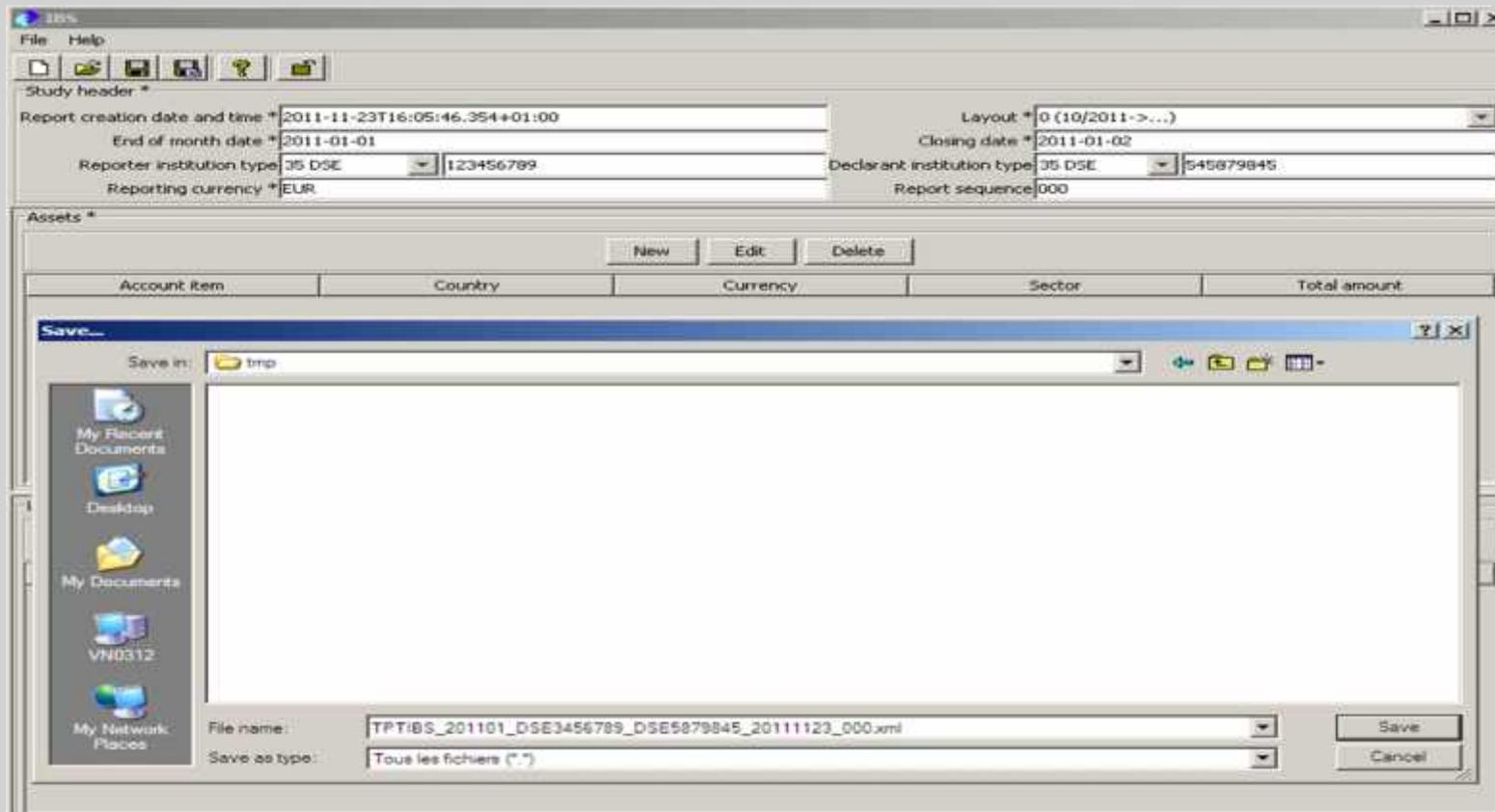

Static information of the report

Save the static information of the report

SOFiE Graphic User Interface SBS

Naming convention

TPTIBS_aaaamm_Rrrrrrrrrr_Ddddddddddd_YYYYMMDD_NNN.xml

SOFiE Graphic User Interface SBS

3. New Reported Line

to:

Declare a new reported line

Edit or change a reported line

Delete a reported line

SOFiE Graphic User Interface SBS
Reported Line

SOFiE Graphic User Interface SBS
Reported Line navigation
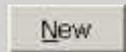
New — To declare a new reported line

<< Previous — To select the previous reported line
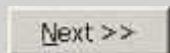
Next >> — To select the next defined reported line
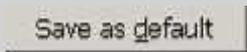
Save as default — To verify the data (based on the BCL specification) and register the data

Validate — To save the data in memory and have it attached automatically for the next new reported line you declare

Close — To terminate with registering the data

New   Edit   Delete

To:

Declare a new ISIN or Other security

Edit or change an ISIN or Other security

Delete a ISIN or Other security

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SOFiE Graphic User Interface SBS
Reported Line parameters

Country ISO 3166
Pattern → *X[A-Z0-9]*

the sector code follows a nomenclature, defined by the BCL, that applies to report S1.1

Reported line *

Country * X3   Sector * 54321
Account item * 1-030   Currency * XX2

Following the reported line, the account item must start by 1 or 2 or 3

Currency ISO 4217 completed by the geographical zone codes defined by the BCL

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SOFiE Graphic User Interface SBS

4. New ISIN security

ISIN security

New	<< Previous	Next >>	Validate	Save as default	Close

Navigation

ISIN security
Code type * 1
Security ISIN code * DSDSPD100001

Hold security type
Hold security type * 01 Securities held not affected by a temporary transfer

Data

Custodian
Country * XX

● Debt

Quote
○ Data for a percentage quoted security ● Data for a currency quoted security
Nominal amount ___ Number of units 876776
Nominal currency ___

○ Equity

Quote
● Data for a percentage quoted security ○ Data for a currency quoted security
Nominal amount ___ Number of units ___
Nominal currency ___

Balance sheet reported amount (in reporting currency)
Amount * 10

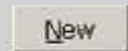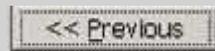*This field is not present in case of liabilites_Item_Isin screen*
Because does not require by BCL

SOFiE Graphic User Interface SBS
ISIN security navigation

New   To declare a new ISIN security

<< Previous   To select the previous ISIN security

Next >>   To select the next defined ISIN security

Save as default   To verify the data (based on the BCL specification) and register the data

Validate   To save the data in memory and have it attached automatically
for the next new reported line you declare

Close   To terminate with registering the data

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ISIN code

Hold security type

Kind of security

The nominal amount is expressed in the currency Of the nominal currency according to the ISO 4217 codification.

The number of units corresponds to the number of individual securities, regardless of the negotiation quota lot (trading lot).

The reported amount (*reportedAmount*) is expressed in the currency of the balance sheet (*reportingCurrency*). This amount must always be positive.

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SOFiE Graphic User Interface SBS

5. New Other security

SOFiE Graphic User Interface SBS
Other security navigation
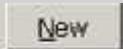
New — To declare a new Other security

<< Previous — To select the previous Other security
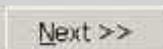
Next >> — To select the next defined Other security

Save as default — To verify the data (based on the BCL specification) and register the data

Validate — To save the data in memory and have it attached automatically
for the next new reported line you declare

Close — To terminate with registering the data

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the security identification (securityId) is composed of the type of the code=2, the internal code used by the declarant to identify the security code, the name of the security and the currency of the security

The characteristics of the issuer (issuerId) are the country (ISO 3166) and the sector as defined and requested for report S 2.5.

The supplementary data for the securities other than equity branch (equity)

The supplementary data for the securities other than shares branch (debt)

The function **save** allows by default to save the report following the BCL naming convention

The functions *SOFiE Crypt and SOFiE Transport* allow to secure and to send the report to BCL and CSSF following the circular 08/334.

SOFiE Graphic User Interface SBS
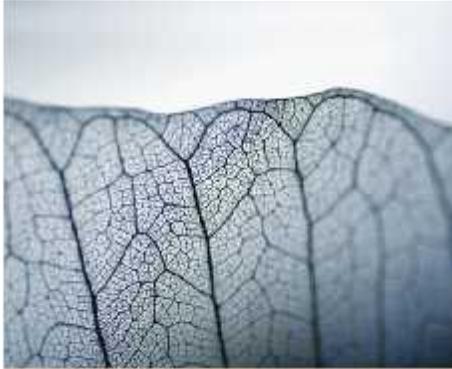
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Result

With the SOFiE Graphic User Interface SBS, you are able to :

- Create a new file
- Consult or modify **a file coming from an other application**

Result

The file Result ☺ which respects BCL specification

```xml
<?xml version="1.0"?>
<!--Created by TPT editor version 1.0-->
<SBS creationDateTime="2009-01-06T09:15:46.047+01:00"
version="1.0" xmlns="http://www.bcl.lu/2007/SBS"
xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
xsi:schemaLocation="http://www.bcl.lu/2007/SBS ../SBS.BOB.xsd">
    <header>
        <endMonthDate>2007-10-31</endMonthDate>
        <closingDate>2007-10-31</closingDate>
        <reporterID>
            <type>47</type>
            <code>999999999</code>
        </reporterID>
        <declarantID>
            <type>23</type>
            <code>88888</code>
        </declarantID>
        <reportingCurrency>EUR</reportingCurrency>
    </header>
    <BOB>
        <offBalanceSheet>
        <reportedLine xmlns="http://www.bcl.lu/2007/SBS">
<id>
        <item>3-071</item>
        <country>X1</country>
        <currency>XX1</currency>
        <sector>41113</sector>
</id>
        <ISIN>

        <security xmlns="http://www.bcl.lu/2007/SBS">
        <securityID>
            <codeType>1</codeType>
            <code>LU111111111</code>
        </securityID>
        <holdSecurityType>01</holdSecurityType>
        <equity>
            <percentageQuoted>
                <nominalAmount>10</nominalAmount>
                <nominalCurrency>EUR</nominalCurrency>
            </percentageQuoted>
        </equity>
        <reportedAmount>10</reportedAmount>
        </security></ISIN>
        <totalReportedAmount>100.0</totalReportedAmount>
        </reportedLine>
        </offBalanceSheet>
        </BOB>
    </SBS>
```

Report parameters

Reported line

ISIN Security

Question

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