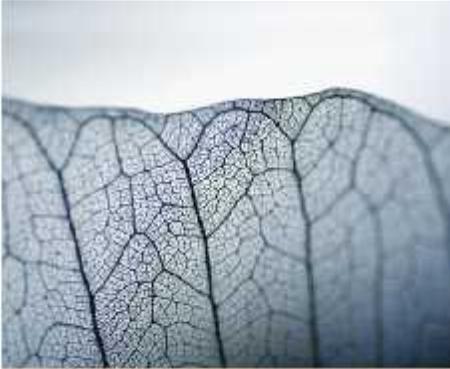




SBS User Guide

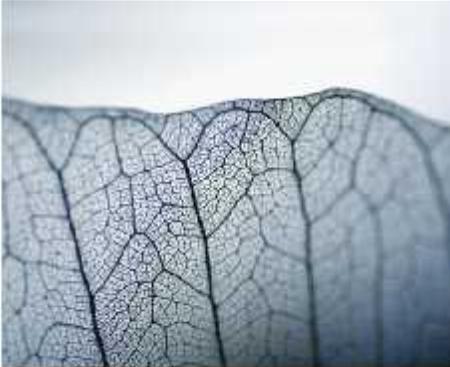
CETREL
Securities *The engine of Banking Business*

Agenda



- Introduction
- SOFiE Graphic User Interface SBS
- Result

Introduction



- Introduction
 - Security **B**y Security Reporting
 - Overview of SBS Reporting
 - SOFiE Graphic User Interface SBS
- SOFiE Graphic User Interface SBS
- Result

Introduction

SOFiE Graphic User Interface SBS

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

0. Multi Language

English, French, German

1. New File

Create new file : IBS

7. SOFiE

*Use SOFiE's send
fonctionnalité*

2. Define Report

*Create static information
concerning "report parameters"*

SBS Report:

➤ Bank Balance Sheet

- *Asset*
- *Liabilites*

3. New reportline

Create a new report line

6. Save

Save with the BCL file name

5. New Other

Create a new Other security

4. New ISIN

Create a new ISIN security

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

SOFiE Graphic User Interface SBS

Launch the application

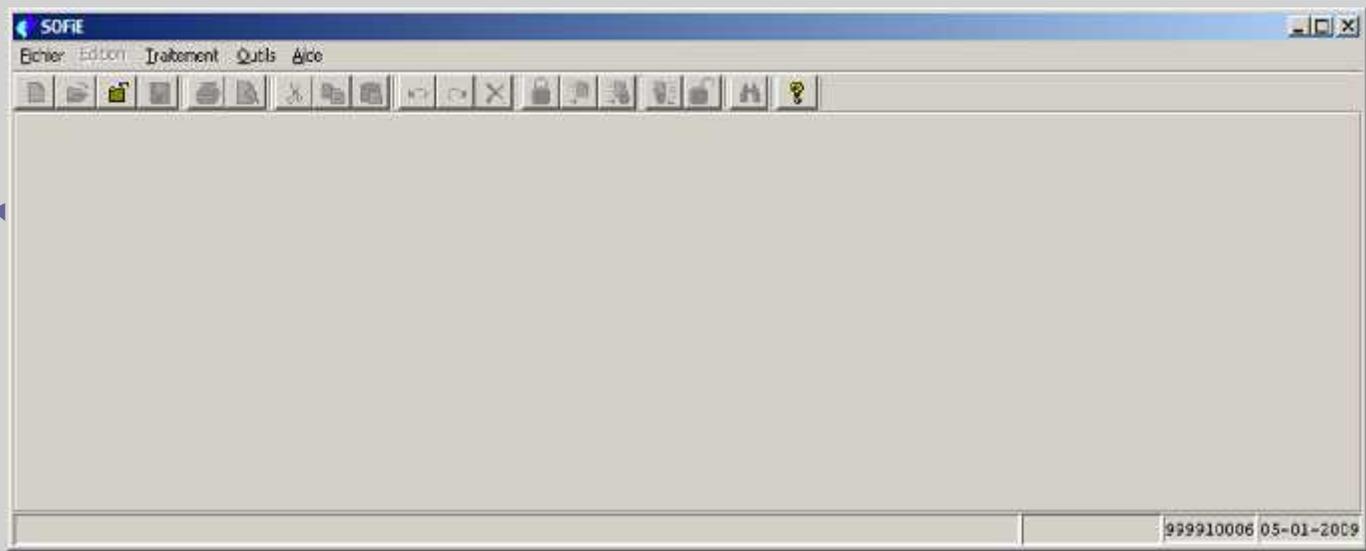


1. Launch the application

2. Authentification



3. SOFiE main screen



SOFiE Graphic User Interface SBS

0- Multi Language

1. Select *Tools|Options*

2. Select ongllet *Graphic interface settings*

3. Choose the language

4. Validate

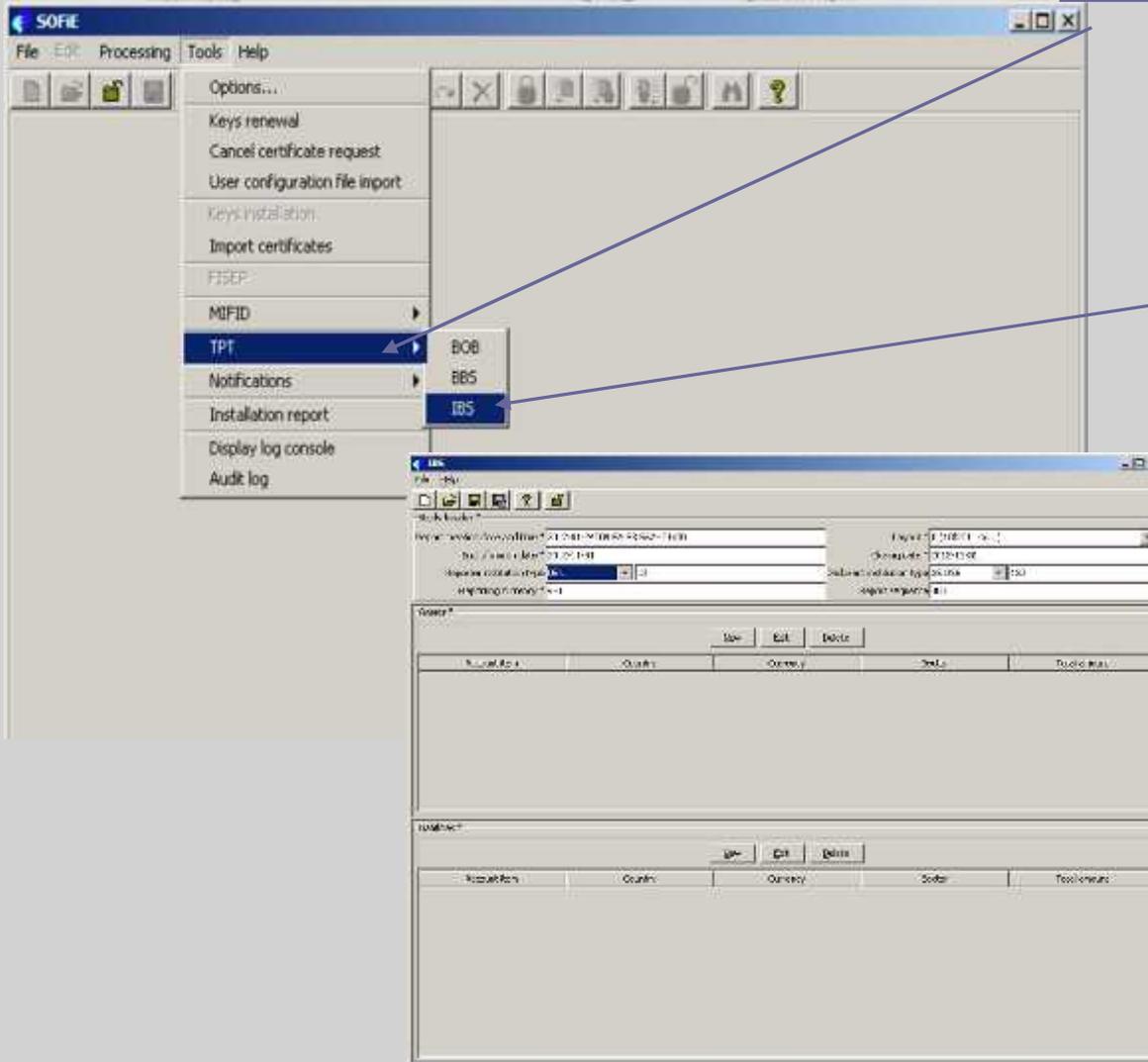
Name	Description	Value
properties.interface.appName	Application name	SOFiE
properties.interface.compagnyName	Compagny name	Cetrel S.A.
properties.interface.defaultConfigFile		sofie.config
properties.interface.defaultDirectory	Default Sofie directory	data
properties.interface.defaultSize	Default size (x % of the screen)	75
properties.interface.dsclaimer		/disclaimer/disclaimer
properties.interface.helpDeskPhone	Help Desk phone number	+352 3 55 66 600
properties.interface.helpSetFile	Path for the Help files	help/SOFiE
properties.interface.language	Language to use	en

SOFiE Graphic User Interface SBS

1- New File

1. Select *Tools/TPT*

2. Select *kind of file*
IBS



IBS main screen

SOFiE Graphic User Interface SBS

File Menu & Short Cut

The screenshot displays the SOFiE GUI interface. At the top, there is a toolbar with icons for file operations. Below this, a 'File' menu is open, showing options: New (Ctrl+N), Open... (Ctrl+O), Save (Ctrl+S), Save as... (Alt+F4), and Exit. To the right of the menu are fields for time, date, layout, closing date, reporting currency, and report sequence. Below the menu are two tables: 'Assets *' and 'Liabilities *', each with columns for Account Item, Country, Currency, Sector, and Total amount. On the left side, several icons are shown with arrows pointing to them from text labels: a document icon for 'Create a new file', a folder icon for 'Open an existing file', a floppy disk icon for 'Save a file', a question mark icon for 'Access the help', and a door icon for 'Leave the programme and close the file with proposition of saving'. At the bottom left, a small icon is labeled 'Save the static information of the report'.

SOFiE Graphic User Interface SBS

2- Define Report

Study header *

Report creation date and time *	2012-01-24T09:54:53.562+01:00	Layout *	0 (10/2011->...)
End of month date *	2012-11-31	Closing date *	2012-11-31
Reporter institution type *	DS U 12	Declarant institution type *	SS DSE 132
Reporting currency *	RET	Report sequence *	000

Assets *

Account item	Country	Currency	Sector	Total amount
--------------	---------	----------	--------	--------------

Liabilities *

Account item	Country	Currency	Sector	Total amount
--------------	---------	----------	--------	--------------

Static information of the report

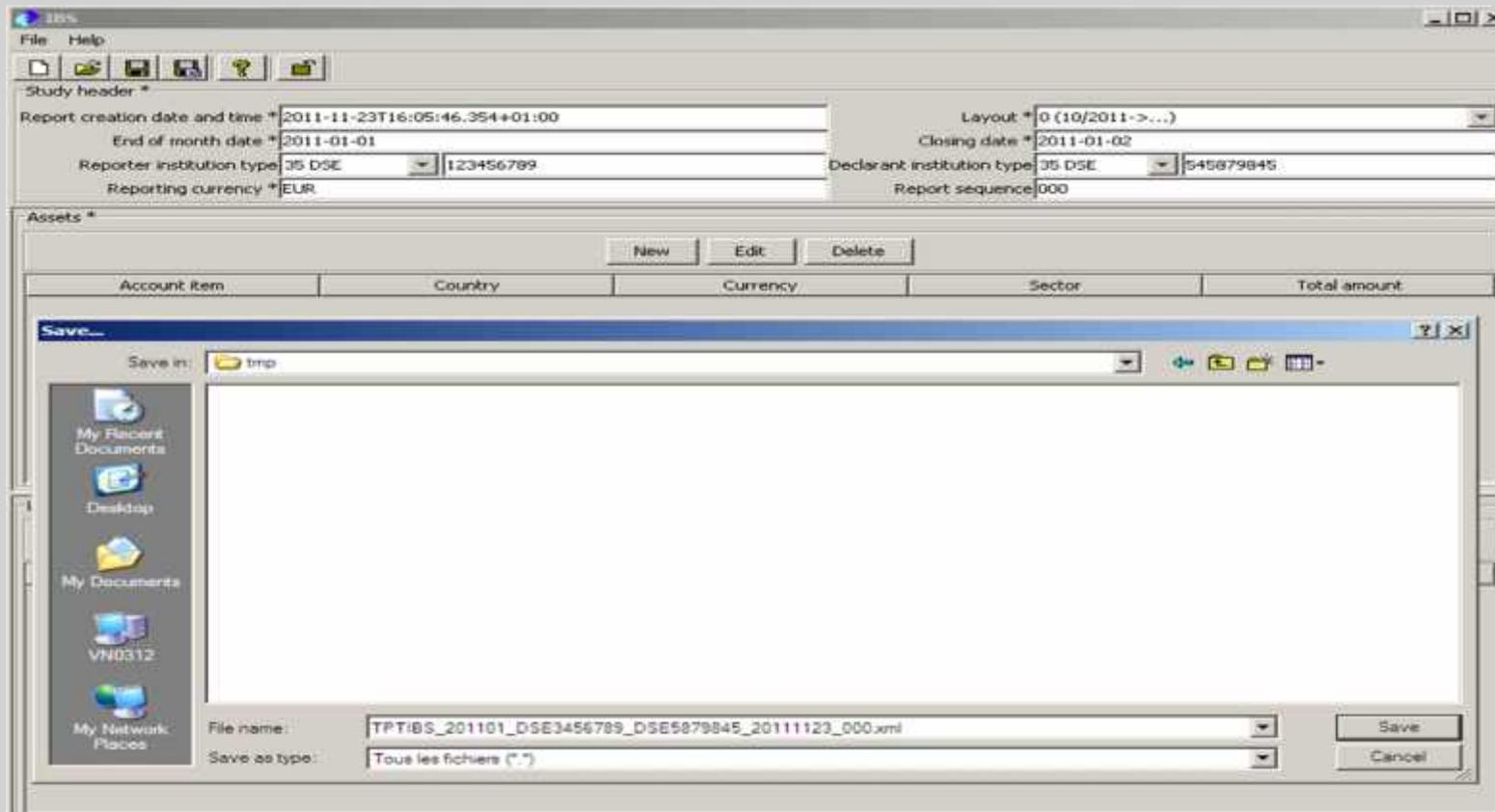


Save the static information of the report

SOFiE Graphic User Interface SBS

Naming convention

TPTIBS_aaaamm_Rrrrrrrrrr_Dddddddddd_YYYYMMDD_NNN.xml



SOFiE Graphic User Interface SBS

3. New Reported Line

The screenshot shows the SOFiE GUI interface. The 'Study header' section contains the following fields:

Report creation date and time	2012-01-24T09:54:53.562+01:00	Layout	0 (10/2011->...)
End of month date	2012-11-31	Closing date	2012-11-31
Reporter institution type	US U	Declarant institution type	US DSE
Reporting currency	RET	Report sequence	000

The 'Assets' section contains a table with the following columns: Account Rem, Country, Currency, Sector, Total amount. A blue box highlights the 'New', 'Edit', and 'Delete' buttons above the table.

The 'Liabilities' section contains a table with the following columns: Account Rem, Country, Currency, Sector, Total amount. A blue box highlights the 'New', 'Edit', and 'Delete' buttons above the table.

New Edit Delete

to:

- Declare a new reported line
- Edit or change a reported line
- Delete a reported line

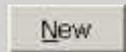
SOFiE Graphic User Interface SBS

Reported Line

The screenshot shows the 'Asset' window in the SOFiE GUI. It features a navigation bar at the top with buttons for 'New', '<< Previous', 'Next >>', 'Validate', 'Save as default', and 'Close'. Below this is a 'Reported line' section with input fields for 'Country' (x3), 'Sector' (54321), 'Account item' (11030), and 'Currency' (x02). The 'ISIN security' section includes 'New', 'Edit', and 'Delete' buttons and a table with columns 'Hold security type', 'Code', and 'Amount'. The 'Other security' section also has 'New', 'Edit', and 'Delete' buttons and a table with columns 'Hold security type', 'Code', 'Name', and 'Amount'. At the bottom right, there is a 'Total amount' field with a 'Compute' button and a value of '0.00'. Callout boxes on the right side of the window identify these sections: 'Navigation', 'Parameters', 'ISIN Security', 'Other Security', and 'Compute amount'.

SOFiE Graphic User Interface SBS

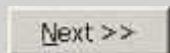
Reported Line navigation



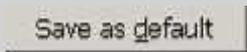
To declare a new reported line



To select the previous reported line



To select the next defined reported line



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



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



To terminate with registering the data



To:

Declare a new ISIN or Other security

Edit or change an ISIN or Other security

Delete a ISIN or Other security

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

SOFiE Graphic User Interface SBS

4. New ISIN security

ISIN security

Code type * 1

Security ISIN code * DSDSPD100001

Hold security type

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

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

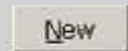
Navigation

Data

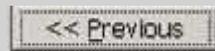
This field is not present in case of liabilites_Item_Isin screen Because does not require by BCL

SOFiE Graphic User Interface SBS

ISIN security navigation

A rectangular button with a thin border and the text "New" inside.

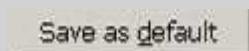
To declare a new ISIN security

A rectangular button with a thin border, a dashed border, and the text "<< Previous" inside.

To select the previous ISIN security

A rectangular button with a thin border and the text "Next >>" inside.

To select the next defined ISIN security

A rectangular button with a thin border and the text "Save as default" inside.

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

A rectangular button with a thin border and the text "Validate" inside.

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

A rectangular button with a thin border and the text "Close" inside.

To terminate with registering the data

SOFiE Graphic User Interface SBS

ISIN security data

The screenshot shows the SOFiE GUI for entering ISIN security data. It includes several input fields and a list of options:

- ISIN security:** Fields for "Code type" and "Security ISIN code".
- Hold security type:** A dropdown menu with options: "01 Securities held not affected by a temporary transfer", "02 Securities lent", "03 Securities sold in a repurchase agreement", "04 Securities issued", and "05 Short sale of securities".
- Quote:** Radio buttons for "Data for a percentage quoted security" (selected) and "Data for a currency quoted security". Fields for "Nominal amount", "Nominal currency", and "Number of units".
- Balance sheet reported amount (in reporting currency):** A field for "Amount".

Annotations and callouts:

- ISIN code:** Points to the "Security ISIN code" field.
- Hold security type:** Points to the dropdown menu.
- Kind of security:** A box with arrows pointing to "Debt" and "Equity" radio buttons.
- The nominal amount is expressed in the currency Of the nominal currency according to the ISO 4217 codification.** Points to the "Nominal amount" and "Nominal currency" fields.
- The number of units corresponds to the number of individual securities, regardless of the negotiation quota lot (trading lot).** Points to the "Number of units" field.
- The reported amount (*reportedAmount*) is expressed in the currency of the balance sheet (*reportingCurrency*). This amount must always be positive.** Points to the "Amount" field.

SOFiE Graphic User Interface SBS

5. New Other security

The screenshot shows the 'Other security' window with the following elements:

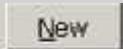
- Navigation:** A row of buttons at the top: 'New', '<< Previous', 'Next >>', 'Validate', 'Save as default', and 'Close'.
- Data:** A large area containing various input fields for security details, including:
 - Code type, Security code (B0338D4), Security name (Italia Capital SA 4% 05-10 15/07s), Security currency (USD).
 - Issuer identification: Issuer Country (LU), BCL codification for the issuer's institutional sector (40000).
 - Hold security type: 03 Securities sold in a repurchase agreement.
 - Reporting supplements for debt: Security type (F 33 Securities other than shares, etc...), Date of issue (2004-10-04), Final date of maturity (2010-01-15), Pool factor (1.0), Coupon type (02-Stepped), frequency (02-Semi-annual), Last payment date (2007-07-15), Rate (%).
 - Quote: Data for a percentage quoted security (selected), Nominal amount (1000000), Nominal currency (USD), Number of units.
 - Reporting supplements for equity: Security type (for equity).
 - Quote: Data for a percentage quoted security (selected), Nominal amount (1000000), Nominal currency (USD), Number of units.
 - Balance sheet reported amount (in reporting currency): Amount (693943.66).

Annotations on the right side of the image:

- A blue box labeled 'Navigation' points to the top row of buttons.
- A blue box labeled 'Data' points to the main data entry area.
- A red dashed box labeled 'Same Data than ISIN security' highlights the 'Debt' and 'Equity' sections.

SOFiE Graphic User Interface SBS

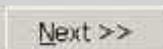
Other security navigation

A rectangular button with the text "New" inside.

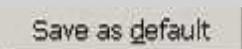
To declare a new Other security

A rectangular button with the text "<< Previous" inside.

To select the previous Other security

A rectangular button with the text "Next >>" inside.

To select the next defined Other security

A rectangular button with the text "Save as default" inside.

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

A rectangular button with the text "Validate" inside.

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

A rectangular button with the text "Close" inside.

To terminate with registering the data

SOFiE Graphic User Interface SBS

Other security data

Other security

Code type *	2
Security code *	B0338D4
Security name *	Italia Capital SA 4% 05-10 15/07s
Security currency *	USD

Issuer identification

Issuer Country *	LU
BCL codification for the issuer's institutional sector *	40000

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.

Reporting supplements for debt

Security		Coupon	
Security type *	F.33 Securities other than shares, ex...	Coupon type *	02 Stepped
Date of issue *	2007 10 01	Frequency *	02 Semi annual
Final date of maturity *	2010 01 15	Last payment date *	2007 07 15
Pool factor *	1.0	Rate *	4

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

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

Reporting supplements for equity

Security type (for equity) *	<ul style="list-style-type: none"> F 51 Quoted shares F 512 Unquoted shares F 513 Other equity F 52 Mutual funds shares
------------------------------	---

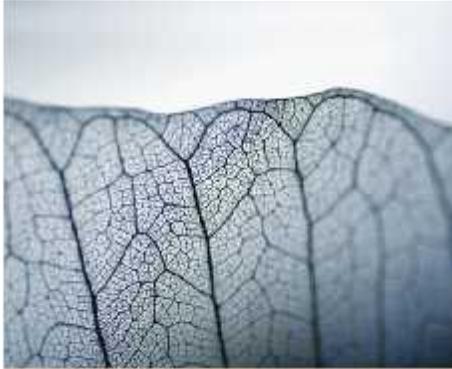
SOFiE Graphic User Interface SBS

6- Save & 7- SOFiE

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



- Introduction

- SOFiE Graphic User Interface SBS
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 - 5. New Other security
 - 6- Save & 7- SOFiE

- Result

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

The screenshot illustrates the workflow in the SOFiE SBS GUI. It starts with the main report screen, which includes a 'Study header' section with fields for report creation date, end of month date, reporter institution type, reporting currency, layout, closing date, declarant institution type, and report sequence. Below this is the 'Assets' section, which contains a table with columns for Account Item, Country, Currency, Sector, and Total amount. A blue arrow points from the 'Assets' table to the 'Asset' screen. The 'Asset' screen shows details for a specific asset, including Reported line, Country, Sector, Account Item, and Currency. Another blue arrow points from the 'Asset' screen to the 'ISIN security' screen. The 'ISIN security' screen displays a table with columns for Hold security type, Code, and Amount. A final blue arrow points from the 'ISIN security' table to the detailed 'ISIN security' entry screen. This screen contains various fields for ISIN security details, including Code type, Security ISIN code, Hold security type, Custodian, Country, Quote type (Debt or Equity), Nominal amount, Number of units, and Balance sheet reported amount.

Result

The file Result ☺ which respects BCL specification

```
<?xml version="1.0"?>
<!--Created by IPT 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>LU1111111111</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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