Asset Servicing Client User Manual

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CENTRAL SECURITIES DEPOSITORY

OeKB CSD GmbH

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1 Document Versions and History of Changes

Version	Date	Chapter	Changes
1.0	29.07.2015		

2 About the Manual

The manual describes the Asset Servicing Client of the OeKB CSD for use in the daily work processes. You will learn how to work with the user interface, which inputs and activities in the Asset Servicing Client produce the desired results, and which general or special functions are available for the effective settlement of income from securities instructions.

2.1 Structure of the Asset Servicing Client User Manual

The following overview outlines the individual chapters of the Asset Servicing Client user manual and their contents. The third column of the table describes the main benefit from the chapter for the intended user group in the last column.

	Chapter	Content	User Benefit	User Group
Introduction	**About the Manual**	Presentation of the Asset Servicing Client and of the user manual	Users will learn how to get started with the Asset Servicing Client and become familiar with the Asset Servicing Client user manual.	Users working with the Asset Servicing Client for the first time.
	The Asset Servicing Client	Structure of the Asset Servicing Client user interface and overview of the user interface's elements	Users will find support when learning how to use the Asset Servicing Client and find out about the structure of the Asset Servicing Client's user interface and all elements used on the interface.	Users working with the Asset Servicing Client for the first time. Users looking for an overview of GUI elements and how to use them.
Events	**Search Event**	Search income events and create breakdown instructions	Users will learn how to search for income events and how to create breakdown instructions starting from there.	Users whose task it is to work with income events, create breakdown instructions or handle existing events.
Instructions	**All Breakdown Instructions**	Search specific breakdown instructions in the system	Users will learn how to search for specific breakdown instructions.	Users who need to search for breakdown instructions for income events.
	Instruction Authorisation	Display breakdown instructions waiting for release and open breakdown instructions and approve, reject or cancel them	Users will see all open breakdown instructions and breakdown instructions waiting for release and will learn how to authorise them or reject their approval and how to cancel instructions they entered previously.	Users whose task it is to approve or reject breakdown instructions for income events or who need to cancel their previously entered instructions.

	Chapter	Content	User Benefit	User Group
Notifications	**Search Notifications**	Search notifications from breakdown instructions	Users will learn how to search for notifications by party and by ISIN.	Users who require information about notifications.
Glossar	**Glossary**	Overview of the terms used	Users can look up the most important terms used in the Asset Servicing Client user interface and the user manual with a brief definition.	All users

2.2 Visual Cues in the Asset Servicing Client User Manual

The user manual contains elements to emphasise information which is of particular importance to the user.

2.2.1 Tip Boxes

TIP	Tip boxes contain instructions on how to work more easily with the Asset Servicing Client or point out anything that you must take care of when using a certain function.

2.2.2 Information Boxes

INFO	Information boxes contain explanations on how the Asset Servicing Client works or background information.

2.2.3 Notes Boxes

NOTE	Notes boxes contain warnings about possible errors, indicate mandatory entries, or describe system limitations of the Asset Servicing Client.

2.2.4 Step-by-Step Instructions

Step-by-step instructions guide you through the described procedure in the Asset Servicing Client and lead to the desired result in individual steps. The steps are listed individually in the form of a numbered list:

How to proceed to get this result

Step by Step

1. Perform step 1.
2. You have the following options:

a For option a, proceed like this.

b For option b, proceed like this.

3 Perform step 3.

2.2.5 Typographic Conventions

The following table indicates how different types of information are displayed in the user documentation. These conventions facilitate reading and highlight information of particular importance.

Type of Information	Representation
Menu paths	In italics starting at the main menu entry and using the symbol > between all menu items. Example: *Search Instructions* > *All Breakdown Instructions*.
Menu items	In italics; Example: Menu item *Search Event*.
GUI elements	In boldface; Example: the **search** button, the **General Information** tab.
Cross references	Hyperlinks; Example: see chapter Income Events. When you are using the PDF version of the user manual, the links also function as hyperlinks.

3 The Asset Servicing Client

The Asset Servicing Client provides access to the Asset Servicing of the OeKB CSD. The Asset Servicing Client is used for the settlement of income. It also includes functionalities for creating breakdown instructions and for displaying notifications.

3.1 Login

You log on to the Asset Servicing Client via the Web link http://login.oekb.at/rsa.

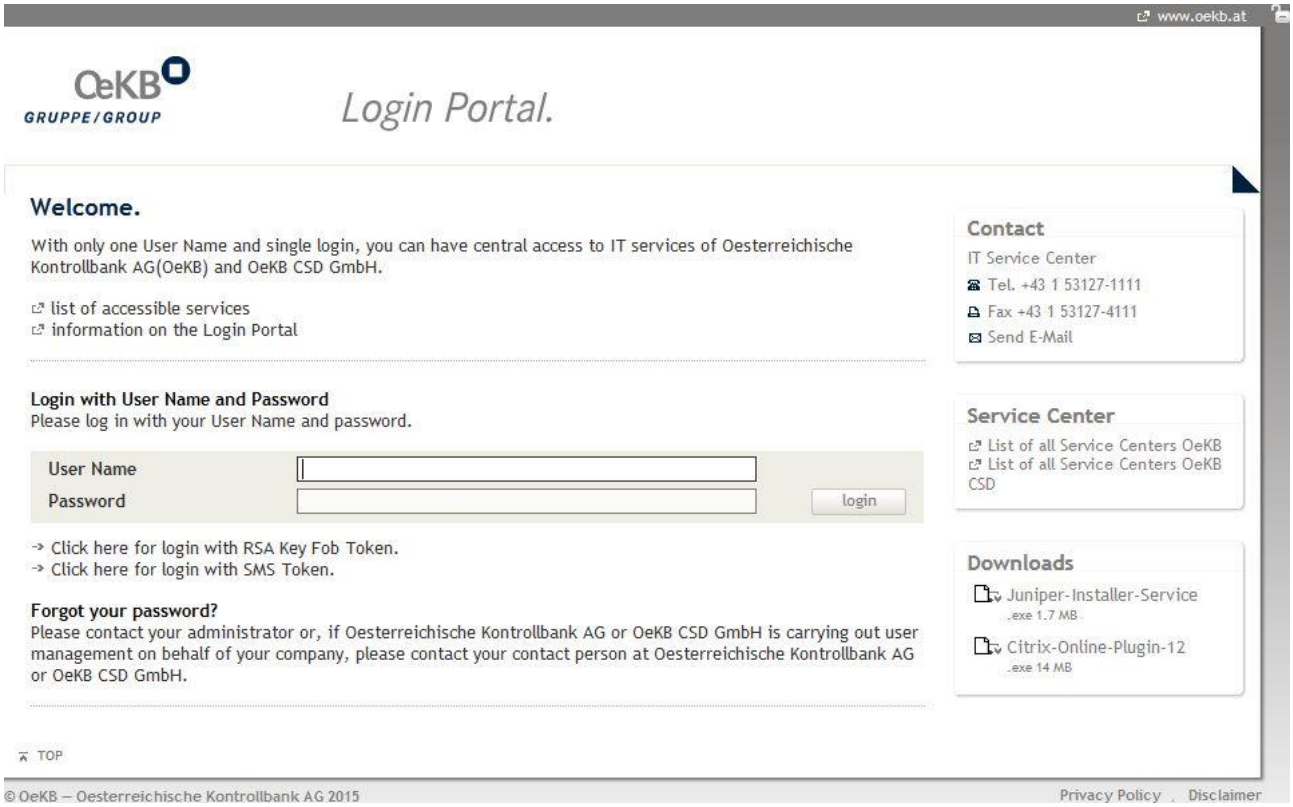


Figure 1: Login Portal for OeKB Group Online Services

After login the Asset Servicing Client is listed among the services activated for you. Click on the link to launch the Asset Servicing Client. The Asset Servicing Client will open in a separate window of your web browser.

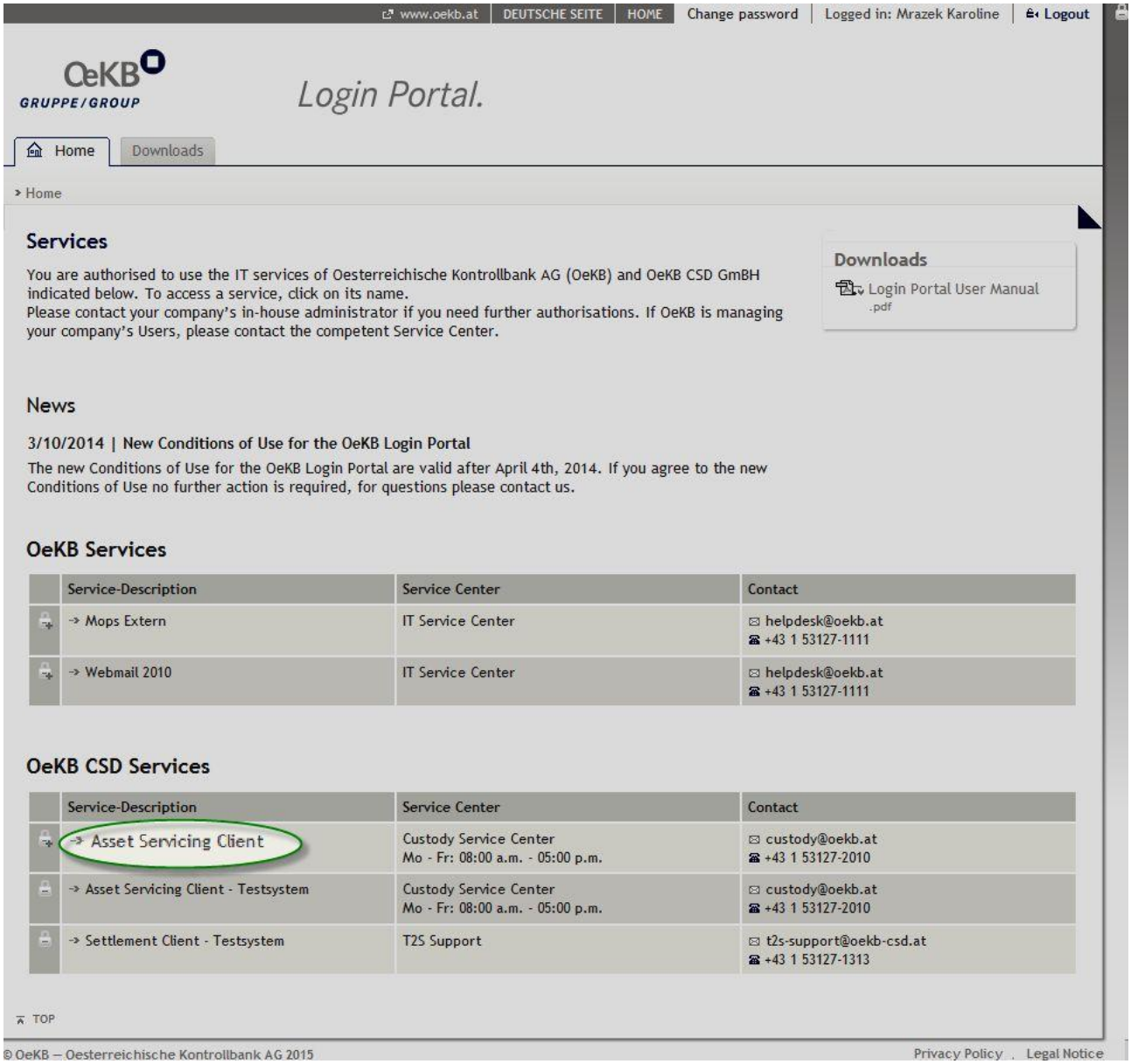


Figure 2: List of available services in the OeKB Group Login Portal

INFO	The Asset Servicing Client is optimised for Internet Explorer and Mozilla Firefox in their latest versions. It is not recommended to use other browsers.

3.2 Logout

To log out from the Asset Servicing Client simply close the browser window. This logs off your user and terminates your user session.

3.3 Fields, Buttons and Icons

INFO Mandatory fields are marked with the * character in the Asset Servicing Client. They must be filled with data before the record can be saved. All fields in the following table may be mandatory fields.

Element	Usage	Function
Fields		
Input field, active field	All screens	Input fields are active fields which you can fill with data. Depending on the field type, they allow the input of text, numbers, dates or times
Display field, disabled field	All screens	Display fields are disabled for input. They are displayed with a grey background. You cannot enter data into a display field.
Number field	All screens	Only the following characters are allowed in number fields: ▪ The figures 0 to 9 ▪ Dots as thousands separators ▪ One comma per field as decimal comma **NOTE** When entering numbers, please note that the number format used in the Asset Servicing Client is the German notation of numbers. i.e. a full stop (.) is used as the thousands separator and a comma (,) is used as the decimal point. You have the option to enter amounts unformatted without a thousands separator, or formatted with a thousands separator. The system validates the field entries (e.g. when you save data) and adds any thousands separators. Depending on the field the figure is either displayed with or without decimal places.
ISIN field	All screens	In ISIN fields, you can enter the 12-digit International Securities Identification Number: e.g. AT0000720008

Element	Usage	Function
Date field 08.09.2014	All screens	Only the following characters are allowed in date fields: ▪ The figures 0 to 9 ▪ Dots as separators between day, month, and year The entry is restricted to 8 numbers and 2 dot characters. You may enter single-digit days and months without the leading zero and only the last two digits of the year. A dot is required as a separator between day, month and year. If you enter the date without a year and/or without a month, the system will automatically add the current year and, if applicable, the current month. The following entries are possible: ▪ DD ▪ DDMM ▪ DDMMYY ▪ DDMMYYYY The date is always displayed in the format DD.MM.YYYY.
Drop-down field please select ...	All screens	Drop-down fields contain predefined entries from which you can select one option. Click on the arrow button on the right side of the field or click into the field to display the options. You cannot enter data into a drop-down field.

Buttons

approve	Instruction Detail screen (Instruction Authorisation)	Clicking on this button releases the entry. It is submitted to the system for processing.
Create Breakdown Instruction	Instruction Detail screen	Clicking on this button opens the **Create Breakdown Instruction** screen, where you can create a breakdown instruction for the selected event.
reject	Instruction Detail screen (Instruction Authorisation)	Clicking on this button prevents the record to be released for settlement.
search	Search screens	Clicking on this button launches the search using the search criteria you have entered.
View Breakdown Instructions	Instruction Detail screen	Clicking on this button displays all breakdown instructions previously entered for this event.

Icons

	All screens	Clicking on this icon opens the calendar. In the calendar you can select a date, which will automatically be copied into the corresponding field of the input screen.

Element	Usage	Function
	Event Detail screen	Clicking on this icon opens the original view of the notification in a new browser window.
	Event Detail screen, Options / Entitlements tab	This icon indicates a drop-down screen section, where you can see more information. Clicking on this icon opens the drop-down screen section.
	Event Detail screen, Options / Entitlements tab	This icon indicates a dropped down screen section, where you can see more information. Clicking on this icon hides the screen section. Only the icon (see above) remains visible.
	All screens	Clicking on this icon reduces the size of the Asset Servicing Client on your computer screen.
	All screens	Clicking on this icon sets the size of the Asset Servicing Client on your computer screen to its default size.
	All screens	Clicking on this icon increases the size of the Asset Servicing Client on your computer screen.
	Search result lists	Clicking on this icon opens the detail view of the record in this row

Function Links

	Edit screens and details views	This icon indicates a link which you can use to return to the previous view.
	All screens	This icon at the bottom of screens indicates a link which takes you back to the top of the page.

3.4 The Entry Page (Home)

The entry page of the Asset Servicing Client shows the menu bar of the Asset Servicing Client with all available functions and the telephone and fax numbers, as well as the e-mail address where you can reach our service centre in charge.

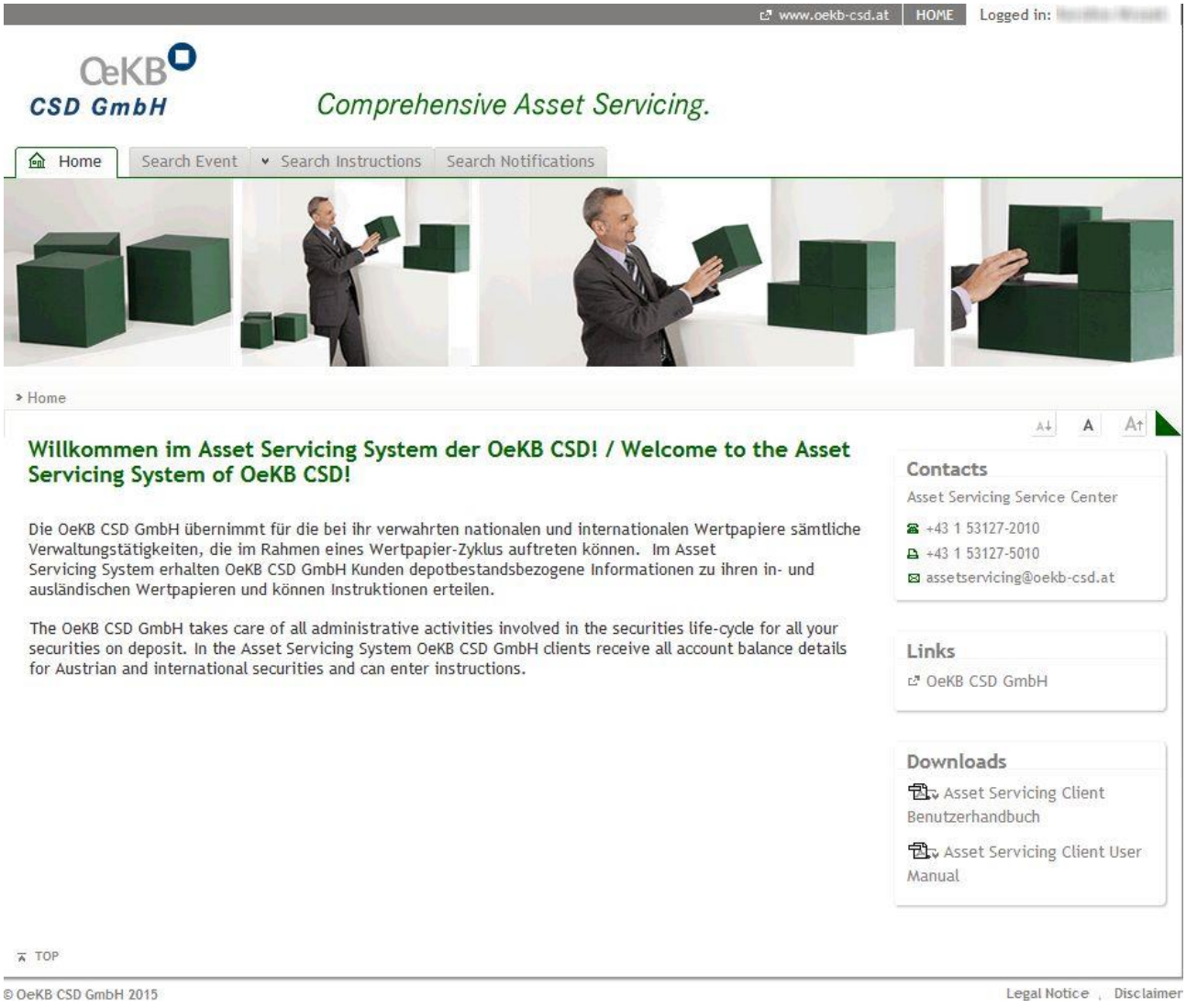


Figure 3: Entry page (Home) of the Asset Servicing Client

3.4.1 The Menu Bar

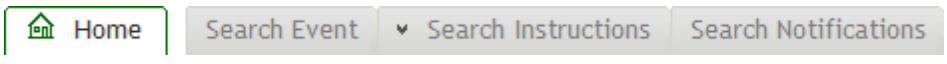


Figure 4: Menu bar of the Asset Servicing Client

The menu bar shows all functions available to you when you are logged in as a user. Depending on your user permissions, some of the menu items shown below may be missing in your version of the client.

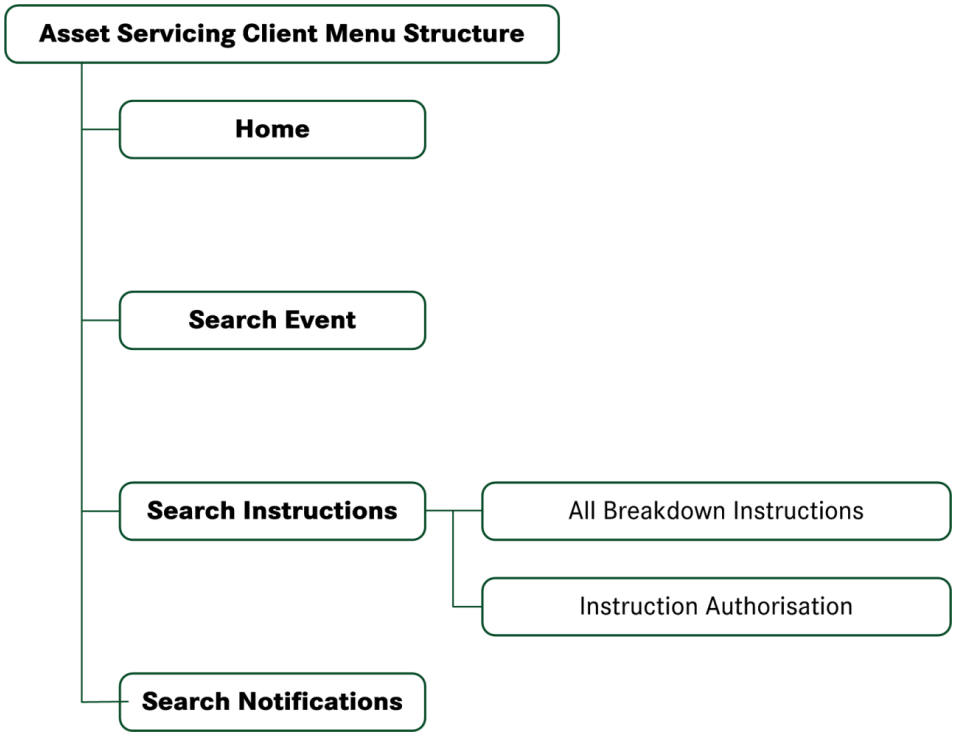


Figure 5: Menu structure of the Asset Servicing Client

4 Income Events

Via the menu item *Search Event* you can search for specific events in the system and from there you can access the functionalities *Create Breakdown Instruction* and *View Breakdown Instruction*.

4.1 Search Event

You can search for events of different event codes (event names), for events involving a specific ISIN or for events meeting a combinations of these criteria, each based on the selected party. To limit your search, you can enter a period of time within which the entitlements were determined.

How to Open the Search Event Screen

Step by Step

1 In the menu bar, select the menu item *Search Event*.
The search screen appears.

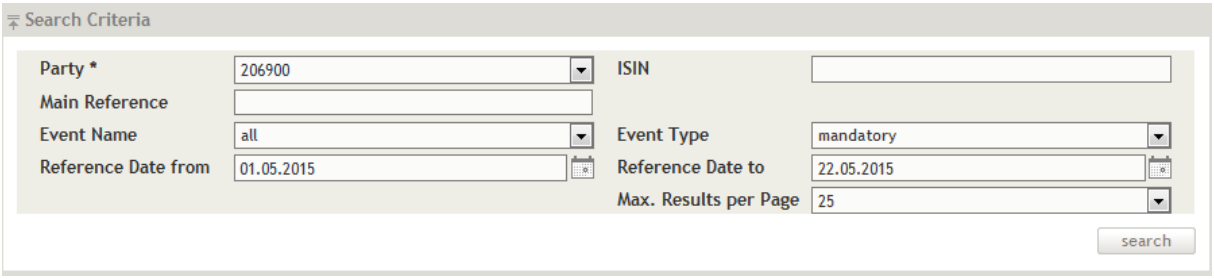
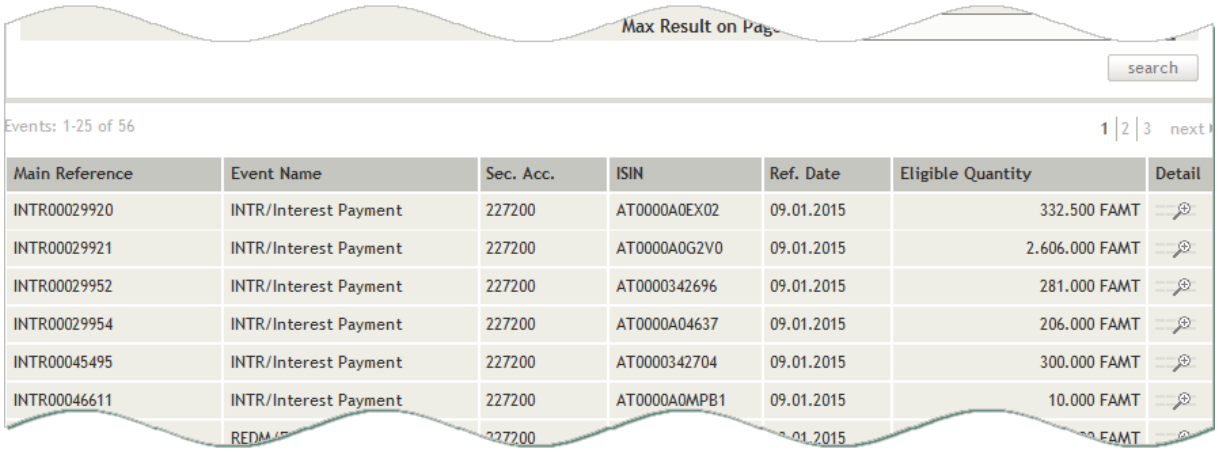


Figure 6: Search Event

TIP Clicking on **search** without entering search criteria lists all events available in the system for the first securities account displayed in the list. If you have the user permission to access more than one securities account and want to search for specific events for a different securities account or for events of a specific category, enter criteria in the fields which best characterise the events you are looking for.



Main Reference	Event Name	Sec. Acc.	ISIN	Ref. Date	Eligible Quantity	Detail
INTR00029920	INTR/Interest Payment	227200	AT0000A0EX02	09.01.2015	332.500 FAMT	
INTR00029921	INTR/Interest Payment	227200	AT0000A0G2V0	09.01.2015	2.606.000 FAMT	
INTR00029952	INTR/Interest Payment	227200	AT0000342696	09.01.2015	281.000 FAMT	
INTR00029954	INTR/Interest Payment	227200	AT0000A04637	09.01.2015	206.000 FAMT	
INTR00045495	INTR/Interest Payment	227200	AT0000342704	09.01.2015	300.000 FAMT	
INTR00046611	INTR/Interest Payment	227200	AT0000A0MPB1	09.01.2015	10.000 FAMT	

Figure 7: Search Event - search result list

The Asset Servicing Client offers the following twelve categories of income events (Event Name):

- CAPD/Capital Distribution
- CAPG/Capital Gains Distribution
- DECR/Decrease in Value
- DVCA/Cash Dividend
- EXWA/Warrant Exercise Mandatory
- INTR/Interest Payment
- MCAL/Full Call/Early Redemption
- PCAL/Partial Redemption with Reduction of Nominal Value
- PRED/Partial Redemption without Reduction of Nominal Value
- REDM/Final Maturity
- SHPR/Shares Premium Dividend
- WRTH/Worthless

4.1.1 Searching an Income Event

If you want to see the details of an income event or create a Breakdown Instruction for it, you need to search for the event you are looking for. Then you can select the required event in the search result list.

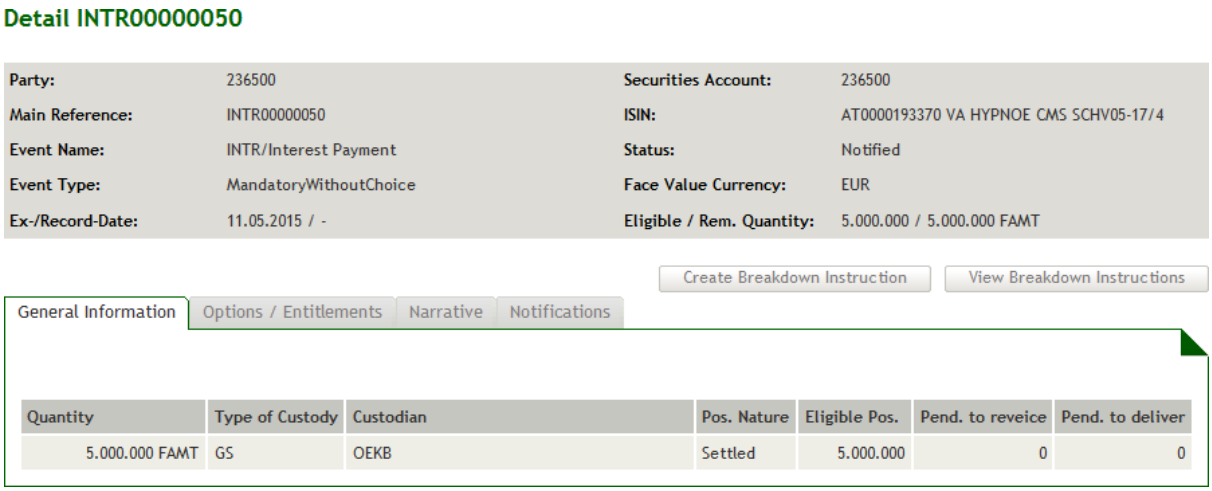


Figure 8: Event Detail - General Information

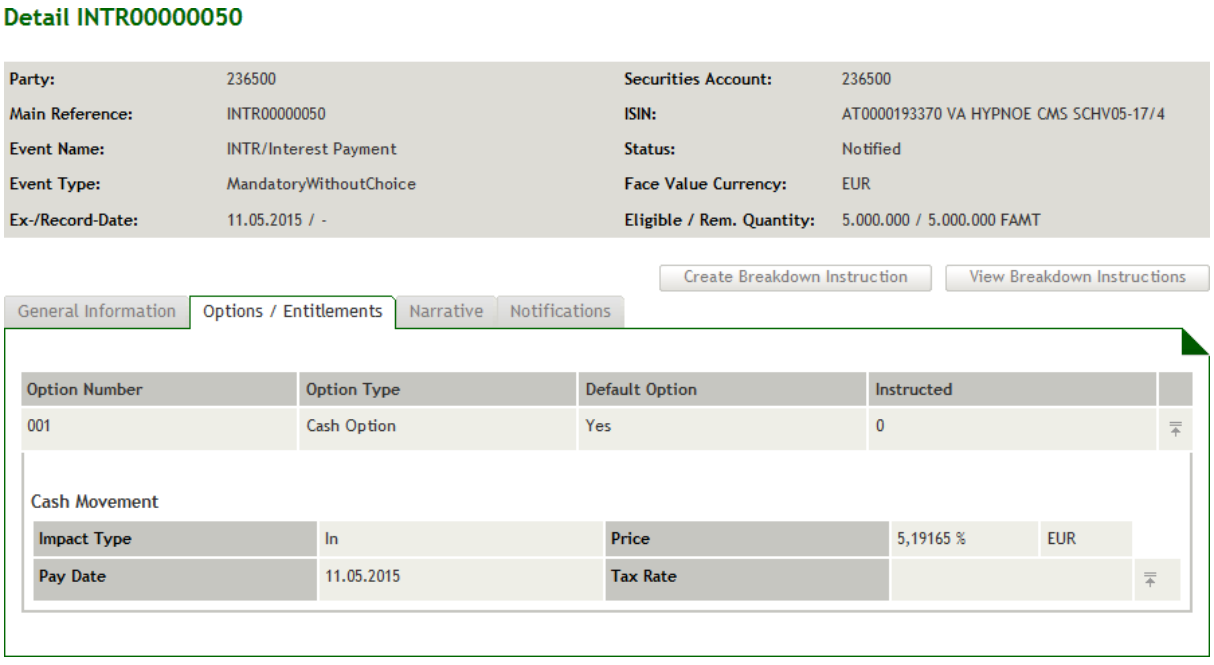


Figure 9: Event Detail - Options / Entitlements

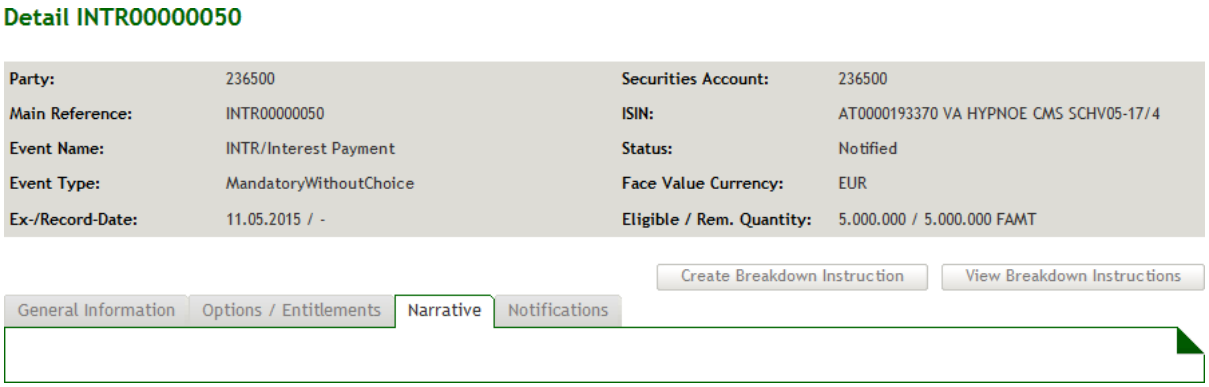


Figure 10: Event Detail - Narrative

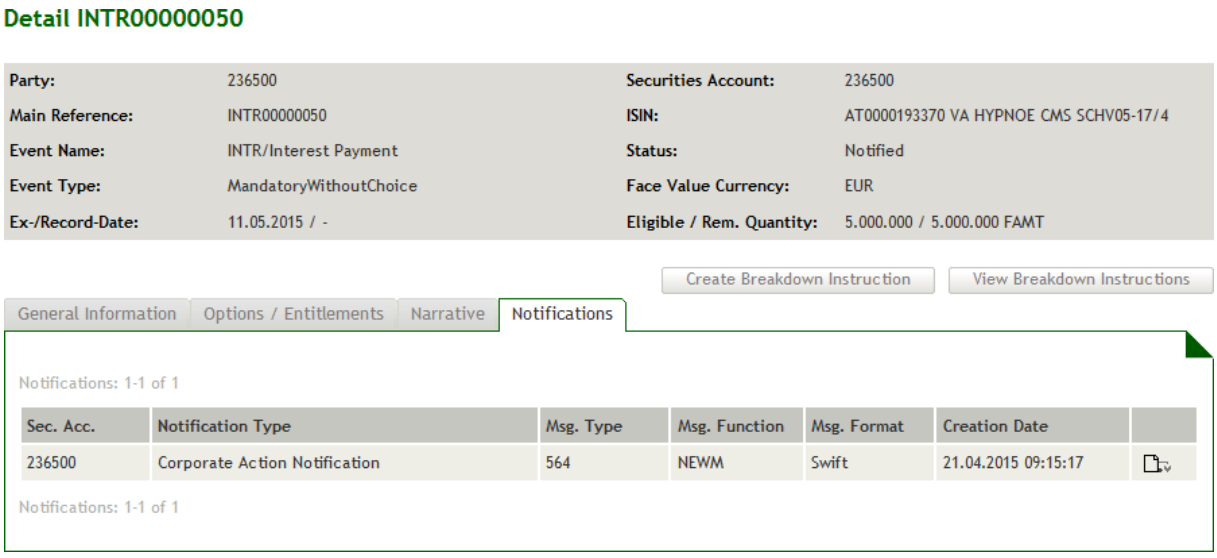


Figure 11: Event Detail - Notifications

INFO	Depending on the selected event (**Event Name**) the tabs showing the detailed information may contain different fields and data.

How to search for an income event:

Step by Step

1 In the menu bar, select the menu item *Search Event*.
The search screen appears.
The system automatically inserts the appropriate predefined values into the fields:

- Party (= topmost entry in the list of available securities accounts)
- Event Name (= "all")
- Event Type (= "mandatory")
- Reference Date from (= date one week before the current date)
- Reference Date to (= date two weeks after the current date)
- Max. Results per Page (= 25)

TIP	If necessary, modify the entries in the automatically filled-in fields.

2 Enter the desired search criteria in the available fields.

3 Click on the **search** button.
The search result list containing all events matching your search criteria appears.

4 In the row of the event you want to see, click on the **Detail** icon in the rightmost column, to open the **Detail** screen of the event.
The system displays the event details and the **General Information** tab, where you can see the general event details, such as quantity/nominal value, type of custody, custodian, nature of the position, eligible positions and pending receive/deliver instructions.

5 You have the following options:

a Click on the **Options / Entitlements** tab to see the options and the cash and/or securities movements of the event.

b Click on the **Narrative** tab to see any available narrative text descriptions of the event.

c1 Click on the **Notifications** tab to see any notifications for the event.

c2 Click on the download icon to see the original text of the notification.

d Click on the **Create Breakdown Instruction** button to create an instruction for the event (see Breakdown Instructions for Events).

e Click on the **View Breakdown Instruction** button to see any existing instructions for an event (see Show Breakdown Instructions for an Event).

6 Click on the function link **back** to return to the previous screen.

4.1.2 Field Descriptions (Search Event)

The following table describes the fields of the **Search Event** screen:

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Party	Main safekeeping account number	Selection from the securities accounts to which you have access according to your user permissions	Selection (if the logged-on user is authorised to access more than one securities accounts)	-
ISIN	-	ISIN of the event to be found	-	12 alphanum.
Main Reference	-	Unique reference of the event to be found	-	16 max. alphanum.
Event Name	all The system searches for events with any event code.	Selection from the list: **CAPD**/Capital Distribution, to search only for events with the event code 'capital distribution' **CAPG**/Capital Gains Distribution, to search only for events with the event code 'capital gains distribution' **DECR**/Decrease in Value, to search only for events with the event code 'decrease in value' **DVCA**/Cash Dividend, to search only for events with the event code 'cash dividend' **EXWA (MAND)**/Warrant Exercise Mandatory, to search only for events with the event code 'warrant exercise mandatory' **INTR**/Interest Payment, to search only for events with the event code 'interest payment' **MCAL**/Full Call/Early Redemption, to search only for events with the event code 'full call/early redemption' **PCAL**/Partial Redemption with Reduction of Nominal Value, to search only for events with the event code 'partial redemption with reduction of nominal value' **PRED**/Partial Redemption without Reduction of Nominal Value, to search only for events with the event code 'partial redemption without reduction of nominal value' **REDM**/Final Maturity, to search only for events with the event code 'final	Selection	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
		maturity' **SHPR**/Shares Premium Dividend, to search only for events with the event code 'shares premium dividend' **WRTH**/Worthless, to search only for events with the event code 'worthless'		
Event Type	mandatory **INFO** The current version of the Asset Servicing Client supports the search for events without choice only.	-	-	-
Reference Date from - to	-	Date range within which the date for the calculation of the eligibility (record date or ex-date minus 1) of the event to be found shall lie. If you leave one of the fields empty, the system will search starting from or ending with the date that has been entered. If you are searching for a specific day, enter the same date into both fields.	Calendar icon	DD.MM.YYYY
Max. Results per Page	25 The system displays 25 search results on each page of the search result list.	Selection from **10**, **25** and **50**	Selection	-

4.2 Information Displayed in the Event Detail View

Field	Entry
Party	Unique customer number of the logged-in customer
Securities Account	Securities account number of the party's securities account
Main Reference	Unique reference assigned by the system to identify the event Used in all SWIFT messages
ISIN	ISIN and short description of the financial instrument

Field	Entry
Event Name	Possible entries for the event code (designation according to the SWIFT Manual): ▪ **CAPD**/Capital Distribution ▪ **CAPG**/Capital Gains Distribution ▪ **DECR**/Decrease in Value ▪ **DVCA**/Cash Dividend ▪ **EXWA (MAND)**/Warrant Exercise Mandatory ▪ **INTR**/Interest Payment ▪ **MCAL**/Full Call/Early Redemption ▪ **PCAL**/Partial Redemption with Reduction of Nominal Value ▪ **PRED**/Partial Redemption without Reduction of Nominal Value ▪ **REDM**/Final Maturity ▪ **SHPR**/Shares Premium Dividend ▪ **WRTH**/Worthless
Status	Current processing status of the event Possible entries: ▪ **Created**: event was created ▪ **Notified**: notification was sent ▪ **Waiting Payment**: event is waiting for payment ▪ **Confirmed**: event is settled
Event Type	Possible entries: **MandatoryWithoutChoice** **INFO** The current version of the Asset Servicing Client supports the search for events without choice only.
Face Value Currency	The face value currency **INFO** For financial instruments with a price per unit this field shows the entry XXX, for financial instruments with a price as percentage of par this field shows the ISO Code of the currency.
Ex-/Record-Date	Ex date and/or record data
Eligible / Rem. Quantity	**Eligible Quantity** = eligible securities position **Remaining Quantity** = eligible positions minus the quantity for which a valid breakdown instruction (either of the type Cash Collection or Tax Breakdown) was issued

4.3 Information Displayed in the General Information Tab of the Event Detail View

Field	Entry
Quantity	Quantity or nominal value of the financial instrument
Type of Custody	Custody type of the financial instrument Possible entries: ▪ **GS** = collective clearing custody ▪ **WR** = fiduciary collective custody ▪ **SB** = individual custody
Custodian	Depository where the financial instrument is kept
Position Nature	Possible entries: ▪ **Settled** ▪ **Blocked** (blocking securities account)
Eligible Position	Eligible securities position
Pending to receive	Balance of the open eligible settlement instructions (receipt instructions)
Pending to deliver	Balance of the open eligible settlement instructions (delivery instructions)

4.4 Information Displayed in the Options / Entitlements Tab of the Event Detail View

Depending on the type of event the detail view shows different types of information. The main difference results from the fact that there are basically three types of events:

- Events with cash movements (CAPD, CAPG, DECR, DVCA, INTR, PRED, SHPR)
- Events with cash and securities movements (MCAL, PCAL, REDM, EXWA)
- Events with securities movements (WRTH, REDM with Option Laps)

4.4.1 Detail View of Events with Cash Movements (Options / Entitlements Tab)

For events with only cash movements, in the **Options / Entitlements** tab you will see the expected or effected cash movements. The tab also displays entitlements based on the positions calculation carried out on the reference date (EOD). If applicable, compensations and adjustments are also displayed.

TIP	The table below the screenshot describes the information displayed in the **Options / Entitlements** tab in greater detail.

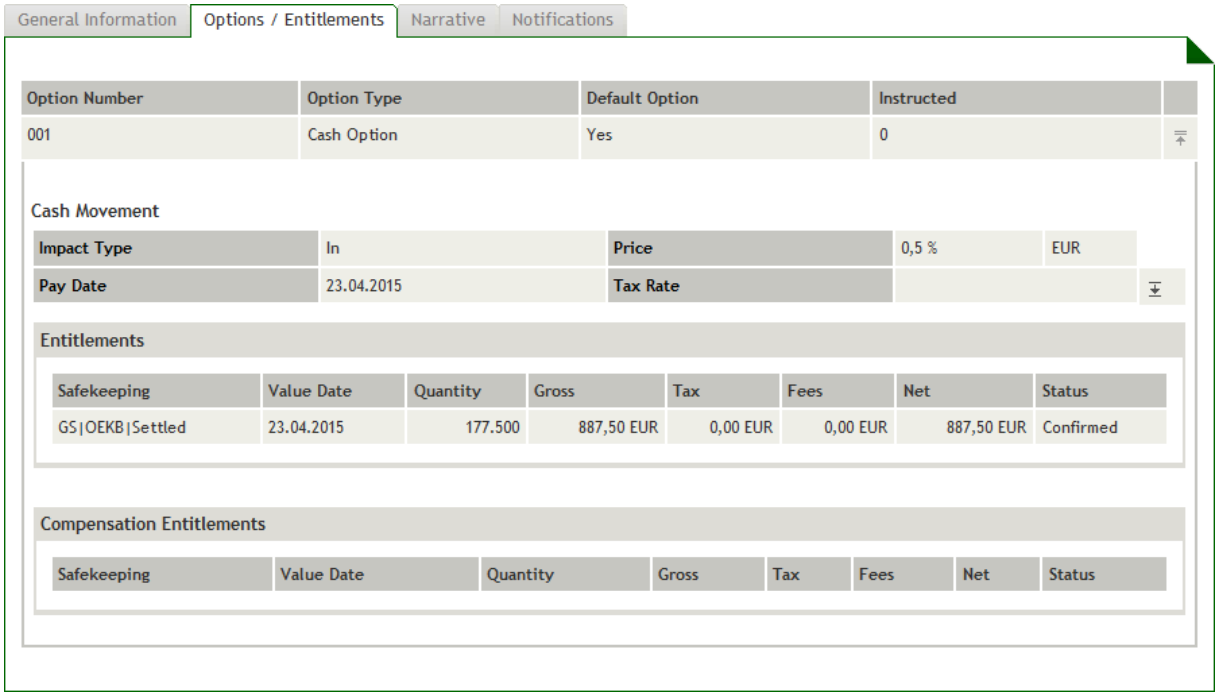


Figure 12: Options / Entitlements Tab for events with cash movements

Field Descriptions Options / Entitlements Tab (Cash Movements)

Information	Explanation
Option Number	This is the unique number of the option as specified in the notification.
Option Type	This is the type of option. **INFO** The current version of the Asset Servicing Client supports options of the type **Cash Option** only.
Default Option	This indicates whether the settled option is a default option or not.
Instructed	In the case of events for which a breakdown instruction has been created, this is the total of the instructed quantity.
Cash Movement	
Impact Type	This indicates whether the cash movement is inbound or outbound.
Price	Depending on the event type, this shows either the period interest rate, the dividend amount, the redemption price or other distribution amount.
Pay Date	This is the date for which the payment is scheduled.

Information	Explanation
Tax Rate	This is the tax rate applied.

Entitlements (Based on Positions Calculation)

Safekeeping	This is the custody type, the custodian and the position nature of the financial instrument. Possible custody types: ▪ GS = collective clearing custody ▪ WR = fiduciary collective custody ▪ SB = individual custody The entry **Settled** under Position Nature indicates a settled securities position, the entry **Blocked** indicates a blocking securities account.
Value Date	This is the expected value date.
Quantity	This is the eligible quantity or nominal value as per reference date.
Gross	This is the gross amount of the eligible quantity in EUR.
Tax	This is the amount of taxes deducted.
Net	This is the net amount of the eligible quantity after deduction of taxes and fees.
Fees	These are any fees charged by the custodian.
Status	This is the processing status of the event. Possible entries: ▪ **confirmed** = confirmation was sent, event is settled; confirmation sent by SWIFT or e-mail, i.e. there are eligible positions and the pay date has already arrived ▪ **not confirmed** = the event is not yet finally settled or the entry displayed refers to a cash collection breakdown instruction of a settled event.

Compensation Entitlements

see above Entitlements	This shows eligible positions from OTC/CCP trades. The details given here basically have the same meaning as the elements shown in the **Entitlements** section.

4.4.2 Detail View of Events with Cash and Securities Movements (Options / Entitlements Tab)

For events with cash and securities movements, in the **Options / Entitlements** tab you will see the expected or effected cash and units movements. The tab also displays entitlements based on the positions calculation carried out on the reference date (EOD).

TIP	The table below the screenshot describes the information displayed in the **Options / Entitlements** tab in greater detail.

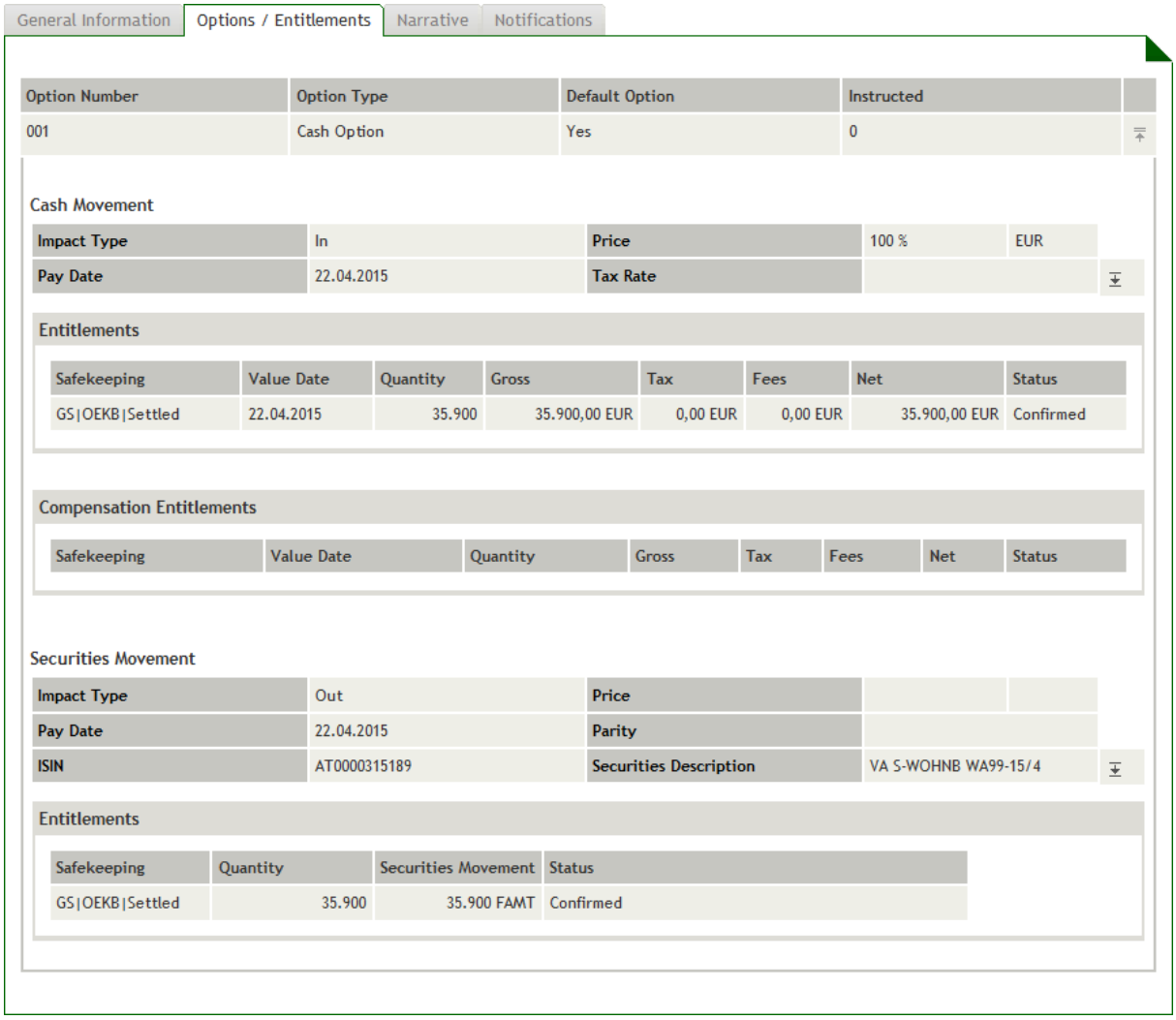


Figure 13: Options / Entitlements Tab for events with cash and securities movements

Field Descriptions Options / Entitlements Tab (Cash and Securities Movements)

Information	Explanation
Option Number	This is the unique number of the option as specified in the notification.

Information	Explanation
Option Type	This is the type of option. **INFO** The current version of the Asset Servicing Client supports options of the type **Cash Option** only.
Default Option	This indicates whether the settled option is a default option or not.
Instructed	In the case of events for which a breakdown instruction has been created, this is the total of the instructed quantity.

Cash Movement

see above Cash Movements	

Securities Movement

see below Securities Movements	

Entitlements (Based on Positions Calculation)

Safekeeping	This is the custody type, the custodian and the position nature of the financial instrument. Possible custody types: ▪ GS = collective clearing custody ▪ WR = fiduciary collective custody ▪ SB = individual custody The entry **Settled** under Position Nature indicates a settled securities position, the entry **Blocked** indicates a blocking securities account.
Quantity	This is the eligible quantity or nominal value as per reference date.
Securities Movement	This is the quantity of the securities credited or debited or to be credited or debited.
Status	This is the processing status of the event. Possible entries: ▪ **confirmed** = confirmation was sent, event is settled; confirmation sent by SWIFT or e-mail, i.e. there are eligible positions and the pay date has already arrived ▪ **not confirmed** = the event is not yet finally settled or the entry displayed refers to a cash collection breakdown instruction of a settled event.

4.4.3 Detail View of Events with Securities Movements (Options / Entitlements Tab)

For events with only securities movements, in the **Options / Entitlements** tab you will see the expected or effected worthless derecognitions.

TIP	The table below the screenshot describes the information displayed in the **Options / Entitlements** tab in greater detail.

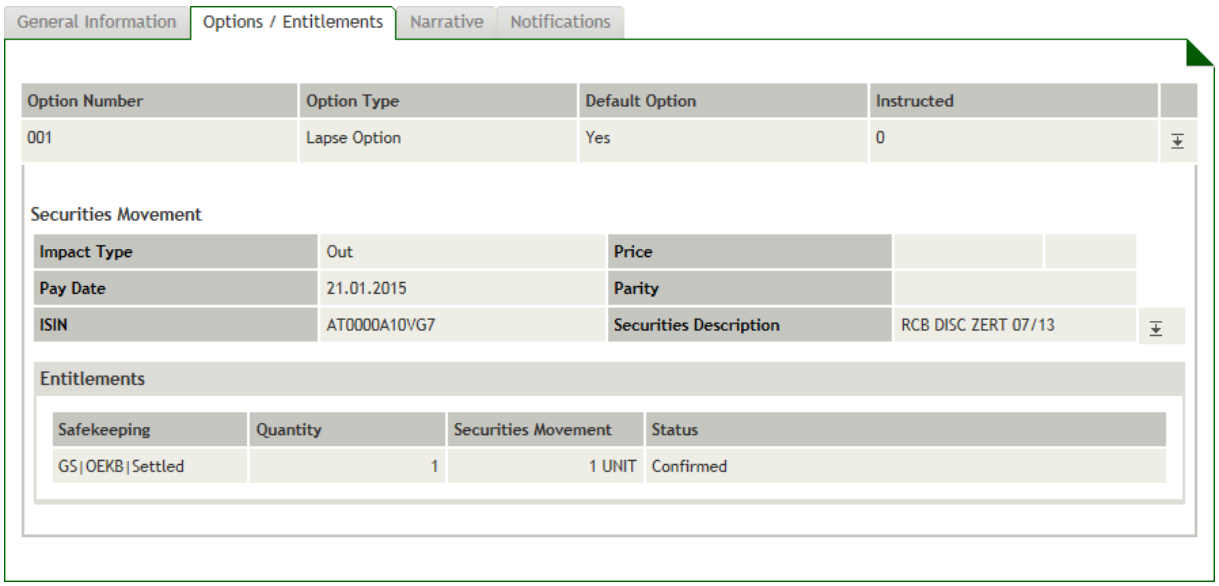


Figure 14: Options / Entitlements Tab for events with securities movements

Field Descriptions Options / Entitlements Tab (Securities Movements)

Information	Explanation
Option Number	This is the unique number of the option as specified in the notification.
Option Type	This is the type of option. **INFO** The current version of the Asset Servicing Client supports options of the type **Cash Option** only.
Default Option	This indicates whether the settled option is a default option or not.
Instructed	In the case of events for which a breakdown instruction has been created, this is the total of the instructed quantity.
Cash Movement	
see above Cash Movements	

Information	Explanation
Securities Movement	
Impact Type	This indicates whether the cash movement is inbound or outbound.
Price	Depending on the event type, this shows either the period interest rate, the dividend amount, the redemption price or other distribution amount.
Pay Date	This is the date for which the payment is scheduled.
Parity	This is the exchange ratio.
ISIN	This is the ISIN of the financial instrument for which the income event occurs.
Securities Description	This is the designation of the financial instrument.
Entitlements (Based on Positions Calculation)	
Safekeeping	This is the custody type, the custodian and the position nature of the financial instrument. Possible custody types: ▪ GS = collective clearing custody ▪ WR = fiduciary collective custody ▪ SB = individual custody The entry **Settled** under Position Nature indicates a settled securities position, the entry **Blocked** indicates a blocking securities account.
Quantity	This is the eligible quantity or nominal value as per reference date.
Securities Movement	This is the quantity of the securities credited or debited or to be credited or debited.
Status	This is the processing status of the event. Possible entries: ▪ **confirmed** = confirmation was sent, event is settled; confirmation sent by SWIFT or e-mail, i.e. there are eligible positions and the pay date has already arrived ▪ **not confirmed** = the event is not yet finally settled or the entry displayed refers to a cash collection breakdown instruction of a settled event.

4.5 Breakdown Instructions for Events

If you need to control how an event will be settled, this is possible in the Asset Servicing Client by creating breakdown instructions. Basically, breakdown instructions are used for the following two purposes:

- Instructions to not redeem securities at maturity (Cash Collection)
- Notifications of reduced withholding tax rate (Tax Breakdown)

NOTE	For **tax free** events the entry of a reason is mandatory.

INFO	The reduction of the withholding tax rate is only permitted for certain AT ISIN held with OeKB CSD. A breakdown instruction must be created by the time indicated in the GTC of OeKB CSD.

How to Open the Create Breakdown Instruction Screen

Step by Step

1 In the menu bar, select the menu item *Search Event*.
The search screen appears.
The system automatically inserts the appropriate predefined values into the fields:
   - Party (= topmost entry in the list of available securities accounts)
   - Event Name (= "all")
   - Event Type (= "mandatory")
   - Reference Date from (= date one week before the current date)
   - Reference Date to (= date two weeks after the current date)
   - Max. Results per Page (= 25)

2 Enter the desired search criteria in the available fields.

TIP	If necessary, modify the entries in the automatically filled-in fields.

3 Click on the **search** button.

4 In the row of the event for which you want to create a breakdown instruction, click on the **Detail** icon in the rightmost column, to open the **Detail** screen of the event.
The system displays the event details (**General Information** tab).

5 Click on the **Create Breakdown Instruction** button.
The **Create Breakdown Instruction** screen appears.

6 You have the following options:

   a Enter the details of the breakdown instruction to not redeem securities at maturity (cash collection).

   b Enter the details of the breakdown instruction to notify of a reduced withholding tax rate (tax breakdown).

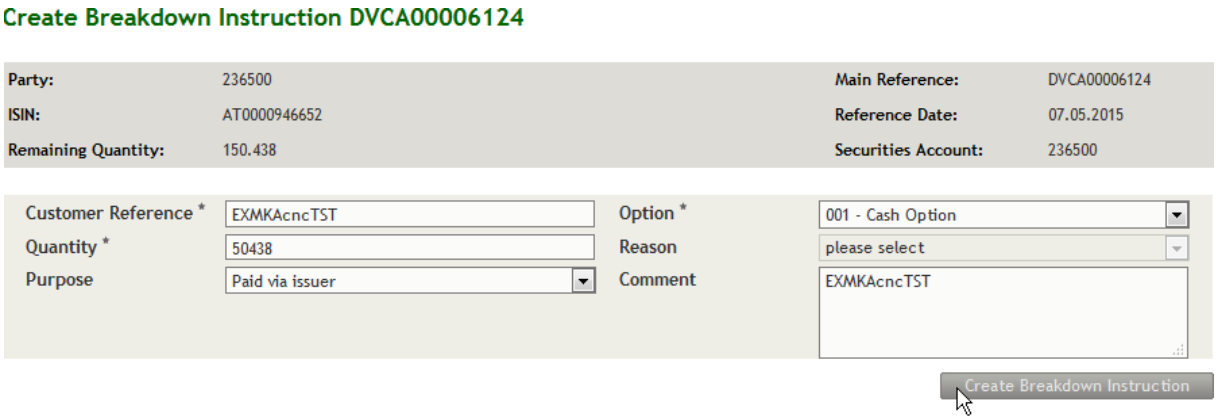


Figure 15: Create Breakdown Instruction (example: DVCA/Cash Dividend)

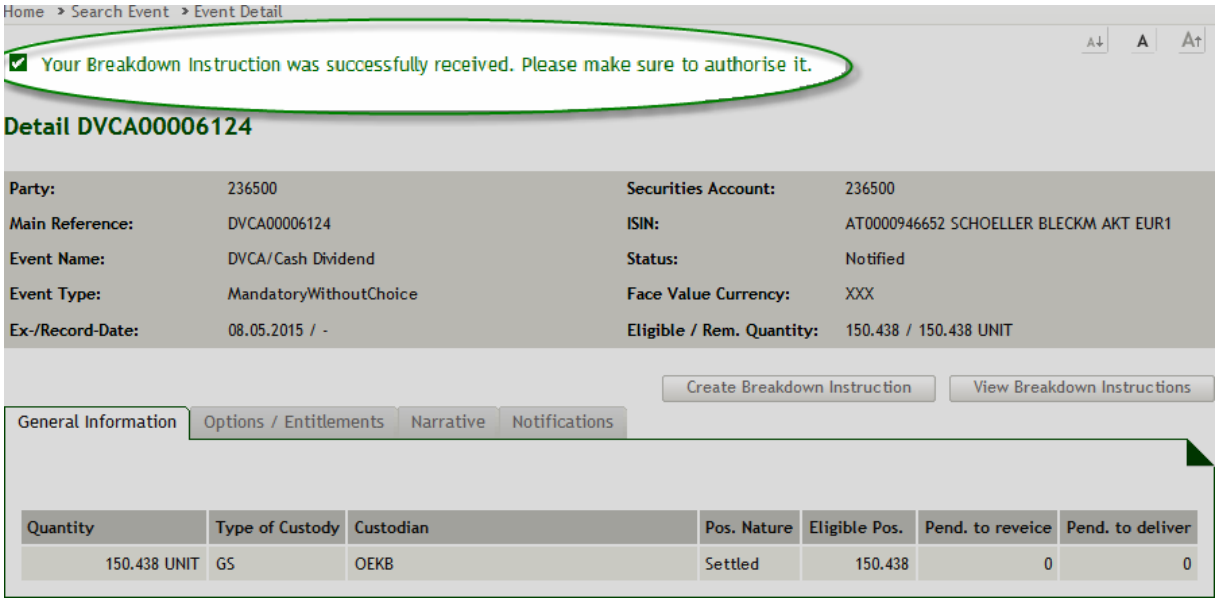


Figure 16: Create Breakdown Instruction - entry successful

4.5.1 Non-Redemption of Securities at Maturity (Cash Collection)

If you want to not redeem securities at maturity, you need to create a breakdown instruction.

How to Issue an Instruction to Not Redeem Securities at Maturity

Step by Step

1 In the menu bar, select the menu item *Search Event*.
The search screen appears.
The system automatically inserts the appropriate predefined values into the fields:

- Party (= topmost entry in the list of available securities accounts)
- Event Name (= "all")
- Event Type (= "mandatory")
- Reference Date from (= date one week before the current date)
- Reference Date to (= date two weeks after the current date)
- Max. Results per Page (= 25)

2 Enter the desired search criteria in the available fields.

TIP	If necessary, modify the entries in the automatically filled-in fields.

3 Click on the **search** button.

4 In the row of the event for which you want to create a breakdown instruction, click on the **Detail** icon in the rightmost column, to open the **Detail** screen of the event.
The system displays the event details (**General Information** tab).

5 Click on the **Create Breakdown Instruction** button.
The **Create Breakdown Instruction** screen appears.
The system automatically inserts the appropriate predefined values into the fields:
Option (= 001 - Cash Option)

INFO	The current version of the Asset Servicing Client only allows the selection of **001 - Cash Option** in the **Option** field.

6 In the field **Customer Reference**, enter a reference which uniquely identifies the breakdown instruction.

7 In the field **Quantity**, enter the required quantity (greater than 0, but not exceeding the available quantity).

TIP	You can see the available quantity in the dark grey section above the input fields, next to **Remaining Quantity**.

8 In the field **Purpose**, choose **Paid via issuer**.

9 Click on the **Create Breakdown Instruction** button to save the instruction (see fig. 15).
The detail view is still available on the screen with a confirmation that the instruction has been entered in the system (see fig. 16).

4.5.2 Notification of Reduced Withholding Tax Rate (Tax Breakdown)

If you want to issue a notification of reduced withholding tax, you need to search for the expected event to set its tax rate to zero. Then you can create the corresponding breakdown instruction.

How to Issue a Notification of Reduced Withholding Tax Rate

Step by Step

1 In the menu bar, select the menu item *Search Event*.
The search screen appears.
The system automatically inserts the appropriate predefined values into the fields:

- Party (= topmost entry in the list of available securities accounts)
- Event Name (= "all")
- Event Type (= "mandatory")
- Reference Date from (= date one week before the current date)
- Reference Date to (= date two weeks after the current date)
- Max. Results per Page (= 25)

2 Enter the desired search criteria in the available fields.

TIP	If necessary, modify the entries in the automatically filled-in fields.

3 Click on the **search** button.

4 In the row of the event for which you want to create a breakdown instruction, click on the **Detail** icon in the rightmost column, to open the **Detail** screen of the event.
The system displays the event details (**General Information** tab).

5 Click on the **Create Breakdown Instruction** button.
The **Create Breakdown Instruction** screen appears.
The system automatically inserts the appropriate predefined values into the fields:
Option (= 001 - Cash Option)

INFO	The current version of the Asset Servicing Client only allows the selection of **001 - Cash Option** in the **Option** field.

6 In the field **Customer Reference**, enter a reference which uniquely identifies the breakdown instruction.

7 In the field **Quantity**, enter the required quantity (greater than 0, but not exceeding the available quantity).

TIP	You can see the available quantity in the dark grey section above the input fields, next to **Remaining Quantity**.

8 In the field **Purpose**, choose **Tax Free**.

NOTE	In the case of **tax free** breakdown instructions the field **Reason** becomes a mandatory field. I.e. it is mandatory to specify a reason in this case.

9 In the field **Reason**, select a reason for the reduction of the withholding tax.

NOTE	If the option **Anderes** is selected in the field **Reason**, the field **Comment** becomes a mandatory field. I.e. it is mandatory to specify a reason in the text field in this case.

10 Click on the **Create Breakdown Instruction** button to save the instruction (see fig. 15). The detail view is still available on the screen with a confirmation that the instruction has been entered in the system (see fig. 16).

4.5.3 View Breakdown Instructions for an Event

If you want to see the breakdown instructions which were created previously for an event and released, you need to search for the event in question. Then you can view the list of existing breakdown instructions.

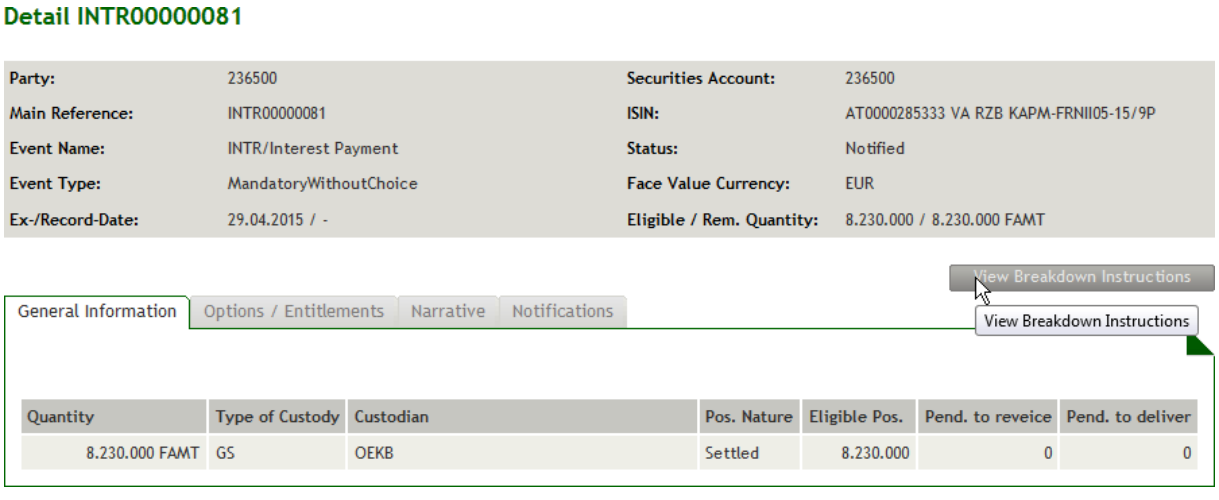


Figure 17: Instruction Detail - View Breakdown Instructions

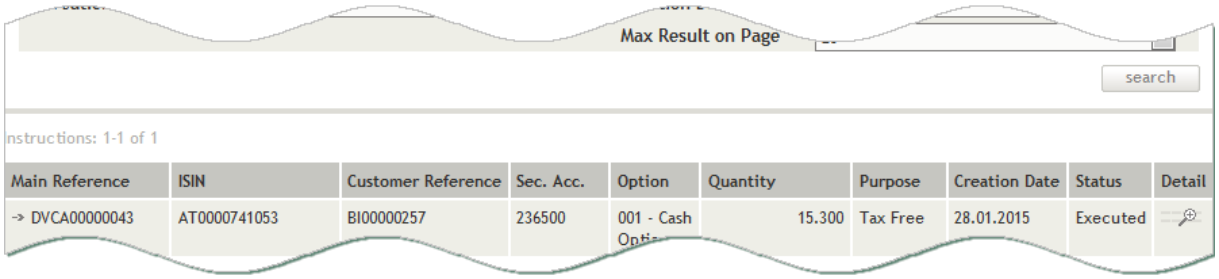


Figure 18: View Breakdown Instruction - search result list

How to Display the List of Existing Breakdown Instructions for an Event

Step by Step

1 In the menu bar, select the menu item *Search Event*.
The search screen appears.
The system automatically inserts the appropriate predefined values into the fields:

- Party (= topmost entry in the list of available securities accounts)
- Event Name (= "all")
- Event Type (= "mandatory")
- Reference Date from (= date one week before the current date)
- Reference Date to (= date two weeks after the current date)
- Max. Results per Page (= 25)

2 Enter the desired search criteria in the available fields.

TIP	If necessary, modify the entries in the automatically filled-in fields.

3 Click on the **search** button.

4 In the row of the event for which you want to see the existing breakdown instructions, click on the **Detail** icon in the rightmost column, to open the **Detail** screen of the event.
The system displays the event details (**General Information** tab).

5 Click on the **View Breakdown Instruction** button.
A list showing all breakdown instructions existing for the selected event appears.

5 Instructions

Via the menu item *Search Instructions* you can search for breakdown instructions, approve instructions or cancel instructions you entered previously.

5.1 All Breakdown Instructions

You can search all breakdown instructions for instructions of different categories, for instructions involving a specific ISIN, for instructions showing a certain status or for instructions meeting a combinations of these criteria, each based on the selected party. To limit your search, you can enter a period of time within which the instruction was created.

How to Open the All Breakdown Instructions Screen

Step by Step

1 In the menu bar, select *Search Instructions* > *All Breakdown Instructions*.
The search screen appears.

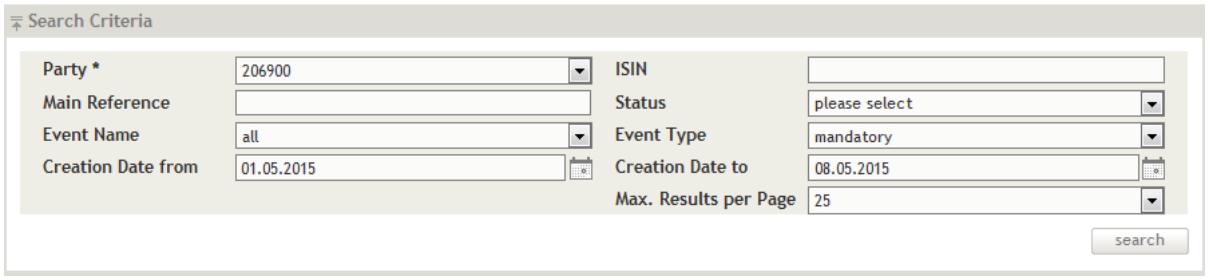


Figure 19: Search All Breakdown Instructions

TIP Clicking on **search** without entering search criteria lists all breakdown instructions available in the system for the first securities account displayed in the list. If you have the user permission to access more than one securities account and want to search for specific breakdown instructions for a different securities account or for instructions of a specific category, enter criteria in the fields which best characterise the instructions you are looking for.

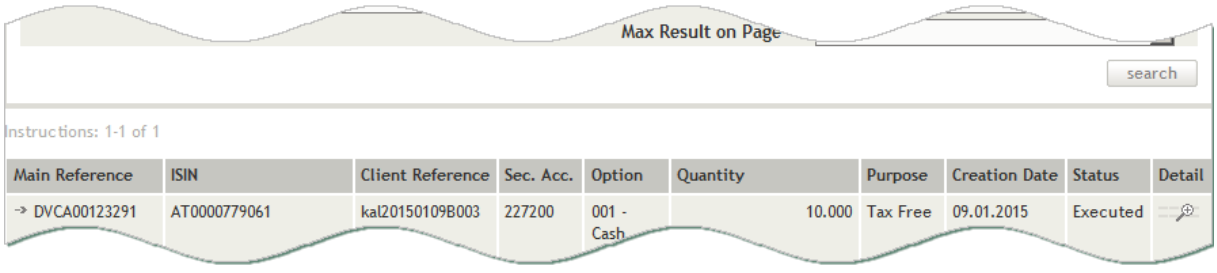


Figure 20: Search Breakdown Instruction - search result list

The Asset Servicing Client offers the following twelve categories of income events (Event Name):

- CAPD/Capital Distribution
- CAPG/Capital Gains Distribution
- DECR/Decrease in Value
- DVCA/Cash Dividend
- EXWA/Warrant Exercise Mandatory
- INTR/Interest Payment
- MCAL/Full Call/Early Redemption
- PCAL/Partial Redemption with Reduction of Nominal Value
- PRED/Partial Redemption without Reduction of Nominal Value
- REDM/Final Maturity
- SHPR/Shares Premium Dividend
- WRTH/Worthless

5.1.1 Searching for a Breakdown Instruction

If you want to see the details of a breakdown instruction, you need to search for the instruction you are looking for. Then you can select the required instruction in the search result list.

Instruction Detail INTR00041358

Party:	222200	**Main Reference:**	INTR00041358
ISIN:	AT0000330519	**Reference Date:**	26.03.2015
Remaining Quantity:		**Securities Account:**	222200

Customer Reference *	BI00015567	**Option** *	001 - Cash Option
Quantity *	1.000.000	**Reason**	please select
Purpose	Paid via issuer	**Comment**	
Created by	SC Custody	**Authorised by**	SC Custody

Figure 21: Instruction Detail

How to Search for a Breakdown Instruction

Step by Step

1 In the menu bar, select *Search Instructions* > *All Breakdown Instructions*.
The search screen appears.
The system automatically inserts the appropriate predefined values into the fields:

- Party (= topmost entry in the list of available securities accounts)
- Event Name (= "all")
- Event Type (= "mandatory")
- Creation Date from (= date one week before the current date)
- Creation Date to (= date two weeks after the current date)
- Max. Results per Page (= 25)

2 Enter the desired search criteria in the available fields.

TIP	If necessary, modify the entries in the automatically filled-in fields.

3 Click on the **search** button.
The search result list containing all breakdown instructions matching your search criteria appears.

4 You have the following options:

a In the **Main Reference** column, click on the event reference to open the **Detail** screen of the event.

b In the row of the breakdown instruction you want to see, click on the **Detail** icon in the rightmost column, to open the **Detail** screen of the instruction.
The system displays the instruction details.

5 Click on the function link **back** to return to the previous screen.

5.1.2 Field Descriptions (Search All Breakdown Instructions)

The following table describes the fields of the **Search All Breakdown Instructions** screen:

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Party	Main safekeeping account number	Selection from the securities accounts to which you have access according to your user permissions	Selection (if the logged-on user is authorised to access more than one securities accounts)	-
ISIN	-	ISIN of the instruction(s) to be found	-	12 alphanum.
Main Reference	-	Unique reference of the instruction(s) to be found	-	16 max. alphanum.

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Status	all The system searches for breakdown instructions with any instruction status.	Selection from the list: **Created**, to search only for instructions which were created and have already been approved according to the 4-eyes principle **Cancelled**, to search only for instructions which have been cancelled by the Service Center "Asset Servicing" **Executed**, to search only for instructions which have already been considered in the entitlement	-	-
Event Name	all The system searches for breakdown instructions with any event code.	Selection from the list: **CAPD**/Capital Distribution, to search only for instructions to events with the event code CAPD **CAPG**/Capital Gains Distribution, to search only for instructions to events with the event code CAPG **DECR**/Decrease in Value, to search only for instructions to events with the event code DECR **DVCA**/Cash Dividend, to search only for instructions to events with the event code DVCA **EXWA (MAND)**/Warrant Exercise Mandatory, to search only for instructions to events with the event code EXWA (MAND) **INTR**/Interest Payment, to search only for instructions to events with the event code INTR **MCAL**/Full Call/Early Redemption, to search only for instructions to events with the event code MCAL **PCAL**/Partial Redemption with Reduction of Nominal Value, to search only for instructions to events with the event code PCAL **PRED**/Partial Redemption without Reduction of Nominal Value, to search only for instructions to events with the event code PRED **REDM**/Final Maturity, to search only for instructions to events with the event code INTR **SHPR**/Shares Premium Dividend, to search only for instructions to events with the event code SHPR	Selection	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Event Type	mandatory **INFO** The current version of the Asset Servicing Client supports the search for events without choice only.	-	-	-
Creation Date from - to	-	Date range within which the creation date of the instruction(s) to be found shall lie If you leave one of the fields empty, the system will search starting from or ending with the date that has been entered. If you are searching for a specific day, enter the same date into both fields.	Calendar icon	DD.MM.YYYY
Max. Results per Page	25 The system displays 25 search results on each page of the search result list.	Selection from **10**, **25** and **50**	Selection	-

5.2 Instruction Authorisation

You can approve breakdown instructions which were created, but have not yet been released according to the 4-eyes principle, reject their approval or cancel instructions you entered previously. The **Instruction Authorisation** list shows all instructions in the system currently awaiting approval and your previously entered instructions that are still open.

How to Open the Instruction Authorisation List

Step by Step

1 In the menu bar, select *Search Instructions* > *Instruction Authorisation*.
The list of open breakdown instructions and breakdown instructions awaiting approval appears.

nstructions: 1-13 of 13

Main Reference	ISIN	Client Reference	Sec. Acc.	Option	Quantity	Creation Date	User	Detail
→ XMET00005510	VGG885761061	testtesttest	222100	ExtrProxyCardOption	1	12.09.2013 11:34:17	exegl	
→ DVCA00081469	GB0007980591	rew	222200	001 - Cash Option	100	18.02.2014 10:52:32	rew	
→ DVCA00081469	GB0007980591	1111	222100	001 - Cash Option	1	18.02.2014 14:35:56	exegl	
→ DVCA00081468	US9884981013	testing	222100	001 - Cash Option	1	25.02.2014 10:45:02	exegl	
→ DVCA00092618	AT0000758305	kal20140319B004	222100	001 - Cash Option	21.483.558	19.03.2014 08:30:56	kal	
→ DVCA00092760	AT0000779061	kal20140319B011	222100	001 - Cash Option	100.000	19.03.2014 16:40:43	kal	
→ DVCA00092960	AT0000758008	kal20140319B021	222100	001 - Cash Option	4.000	19.03.2014 18:36:33	kal	
→ DVCA00092960	AT0000758008	kal20140319B022	222100	001 - Cash Option	2.000	19.03.2014 18:37:09	kal	
	AT0000A0XB62		222200				hua	

Figure 22: Instruction Authorisation List

5.2.1 Approving or Rejecting a Breakdown Instruction

Instruction Detail REDM00064323

Party:	222200	**Main Reference:**	REDM00064323
ISIN:	AT0000347224	**Reference Date:**	07.05.2015
		Securities Account:	222200

Customer Reference *	HUATest1	**Option** *	001 - Cash Option
Quantity *	10	**Reason**	Schachtelprivileg
Purpose	Tax Free	**Comment**	
Created by	HUA / 24.04.2015 15:47:47	**Authorised by**	

reject approve

Figure 23: Instruction Detail - approval

Figure 24: Confirmation - approval

How to Approve or Reject a Breakdown Instruction

Step by Step

1 In the menu bar, select *Search Instructions* > *Instruction Authorisation*.
The list of open breakdown instructions and breakdown instructions awaiting approval appears.

2 In the row of the breakdown instruction you want to see, click on the **Detail** icon in the rightmost column, to open the **Detail** screen of the instruction.
The system displays the instruction details.

3 You have the following options:

a1 To authorise the instruction, click **approve**.
A confirmation screen appears.

a2 Click on **yes** to confirm the approval of the instruction.
The breakdown instruction is now released and will be submitted for further processing.

b1 To decline authorisation of the instruction, click **reject**.
A confirmation screen appears.

b2 Click on **yes** to confirm the rejection of the instruction.
The record will be deleted and is no longer displayed.

The **Instruction Authorisation** list appears again.

NOTE	It is not possible to cancel an approved instruction. If this should be required, please send an email to the Service Center Custody (custody@oekb.at).

5.2.2 Cancelling a Breakdown Instruction

NOTE	It is only possible to cancel instructions previously entered by yourself as long as they have neither been released nor rejected by another user.

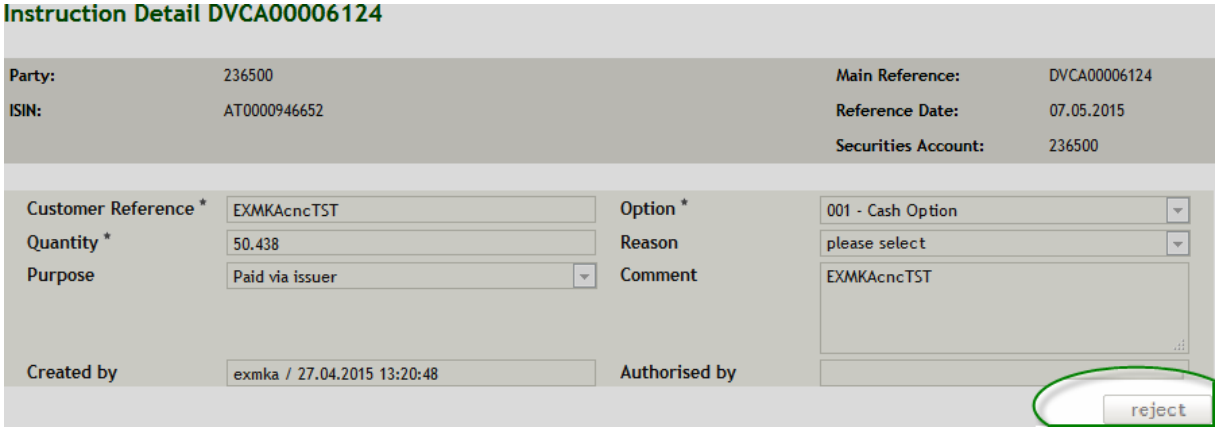


Figure 25: Instruction Detail - cancellation

Figure 26: Confirmation - cancellation

How to Cancel a Breakdown Instruction You Entered Previously

Step by Step

1. In the menu bar, select *Search Instructions* > *Instruction Authorisation*.
   The list of open breakdown instructions and breakdown instructions awaiting approval appears.
2. In the row of the breakdown instruction you want to see, click on the **Detail** icon in the rightmost column, to open the **Detail** screen of the instruction.
   The system displays the instruction details.
3. To cancel the instruction, click **reject**.
   A confirmation screen appears.
4. Click on **yes** to confirm the cancellation of the instruction.
   The record will be deleted and is no longer displayed.
   The **Instruction Authorisation** list appears again.

6 Notifications

Via the menu item *Search Notifications* you can search for notifications about parties or ISIN.

6.1 Search Notifications

You can search for all notifications in the system, for notifications of a specific type, for notifications in a certain message format or for notifications meeting a combination of these criteria, each based on a selected party and ISIN. To limit your search, you can enter a period of time within which the notification was created.

How to Open the Search Notifications Screen

Step by Step

1 In the menu bar, select the menu item *Search Notifications*.
The search screen appears.

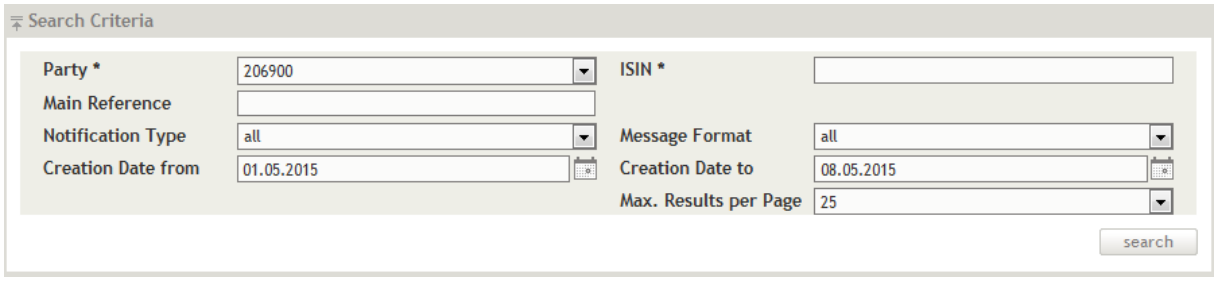


Figure 27: Search Notifications

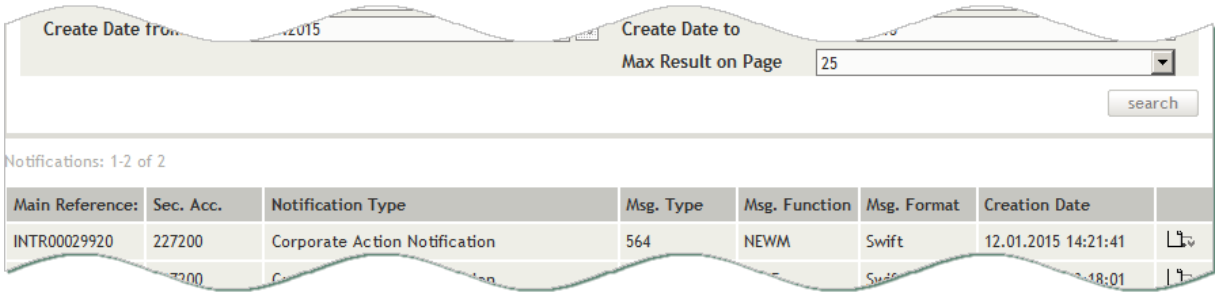


Figure 28: Search Notifications - search result list

The following four types of notifications are available in the Asset Servicing Client:

- CA Confirmation Reverse (MT566)
- CA Narrative (MT568)
- CA Notification (MT564)

- CA Confirmation (MT566)

6.1.1 Searching for Notifications

If you want to see the original SWIFT message of a notification or the PDF report (depending on the communication method specified for the securities account), you need to search for the notification you are looking for. Then you can select the required notification in the search result list.

TIP	Alternatively, you will find the notifications in the **Notifications** tab of the **Event Details** screen.

```
{1:F01OEKOATW0XXXX0000000000}{2:I564RZBAATWWXXXXN}{3:{108:CS21057430}}{4:
:16R:GENL
:20C::CORP//INTR00029920
:20C::SEME//CS21057430
:23G:NEWM
:22F::CAEV//INTR
:22F::CAMV//MAND
:98C::PREP//20150112142937
:25D::PROC//COMP
:16S:GENL
:16R:USECU
:35B:ISIN AT0000A0EX02
BAWPSK WOHNB WA10-25/01
:16R:FIA
:22F::MICO//A006
:11A::DENO//EUR
:98A::COUP//20150111
:98A::MATU//20250111
:16S:FIA
:16R:ACCTINFO
:97A::SAFE//227200
:94F::SAFE//CUST/OEKOATW0
:93B::ELIG//FAMT/332500,
:93B::SETT//FAMT/332500,
:16S:ACCTINFO
:16S:USECU
:16R:CADETL
:98A::XDTE//20150112
:69A::INPE//20140111/20150110
:99A::DAAC//365
:92A::INTR//4,
:16S:CADETL
:16R:CAOPTN
:13A::CAON//001
:22F::CAOP//CASH
:11A::OPTN//EUR
:17B::DFLT//Y
:16R:CASHMOVE
:22H::CRDB//CRED
:98A::PAYD//20150112
:92A::INTP//4,
:16S:CASHMOVE
:16S:CAOPTN
:16R:ADDINFO
:70E::PACO//Please contact BERT for Corporate
 action or Gerhard for Income
:16S:ADDINFO
```

Figure 29: Original SWIFT message of a notification

NOTE	The system displays the SWIFT message in a new browser window. Remember to close this browser window after viewing the message.

How to Search for a Notification

Step by Step

1 In the menu bar, select the menu item *Search Notifications*.
The search screen appears.
The system automatically inserts the appropriate predefined values into the fields:

- Party (= topmost entry in the list of available securities accounts)
- Notification Type (= "all")
- Message Format (= "all")
- Creation Date from (= date one week before the current date)
- Creation Date to (= the current date)
- Max. Results per Page (= 25)

2 Enter an ISIN.

3 Enter the desired search criteria in the available fields.

TIP If necessary, modify the entries in the automatically filled-in fields.

4 Click on the **search** button.
The search result list containing all breakdown instructions matching your search criteria appears.

5 In the row of the notification you want to see, click on the **Notification** icon (.txt or .pdf) in the rightmost column, to open the SWIFT message or the PDF report of the notification.
The system displays the SWIFT message in a new browser window.

NOTE Remember to close this browser window after viewing the message.

6 Click on the previous browser window to return to the **Search Notifications** screen.

6.1.2 Field Descriptions (Search Notifications)

The following table describes the fields of the **Search All Breakdown Instructions** screen:

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Party	Main safekeeping account number	Selection from the securities accounts to which you have access according to your user permissions	Selection (if the logged-on user is authorised to access more than one securities accounts)	-
ISIN	-	ISIN in the notification(s) to be found	-	12 alphanum.

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Main Reference	-	Unique reference in the notification(s) to be found	-	16 max. alphanum.
Notification Type	all The system searches for notifications by SWIFT message type.	Selection from the list: **CA Confirmation Reverse** **CA Narrative** **CA Notification** **CA Confirmation**	Selection	-
Message Format	all The system searches for notifications with any format.	Selection between **Report** or **SWIFT** By selecting **Report** it is possible to search exclusively for notifications which were created as a PDF report. By selecting **SWIFT** it is possible to search exclusively for notifications which exist in SWIFT message format.	-	-
Creation Date from - to	-	Date range within which the creation date of the notification(s) to be found shall lie If you leave one of the fields empty, the system will search starting from or ending with the date that has been entered. If you are searching for a specific day, enter the same date into both fields.	Calendar icon	DD.MM.YYYY
Max. Results per Page	25 The system displays 25 search results on each page of the search result list.	Selection from **10**, **25** and **50**	Selection	-

7 Glossary

Begriffe und Termini	Erläuterung
4-eyes principle	See Four Eyes Principle
Asset Servicing Client	System of the OeKB CSD for the settlement of income from securities instructions.
Breakdown Instruction	Instruction to not redeem securities at maturity or notification of a reduced withholding tax rate.
Button	Rectangular field in the screens of the Settlement client in the form of a pushbutton. Clicking on this field with the left mouse button triggers a certain program function.
Cash Collection	Instruction to not redeem securities at maturity by means of a Breakdown Instruction.
Detail screen	See Detail View
Detail View	Screen in the Asset Servicing Client where data are displayed, but which does not allow these data to be modified by users.
Edit screen	Screen in the Asset Servicing Client where users may edit and modify data. Whether a specific user may modify a specific record depends on the user's permissions and the processing status of the record.
Field	Unit of the Asset Servicing Client user interface which allows the entry or display of a specific information detail of a record. Different types of fields in the Asset Servicing Client support the entry of different types of information, such as textual information, numbers and amounts, date entries, etc.
Four Eyes Principle	Two-level verification method for entering, modifying and deleting instructions and other records where the instructions entered in the Asset Servicing Client must be approved by a person other than the one who has originally entered the data. Only after approval by the second user the information will be released for further processing.
Function link	Link in screens and detail views which triggers a specific action, similar to buttons.
Icon	Graphical display element without text of the Asset Servicing Client user interface, which functions as a link that triggers a certain action.
Input screen	See Screen.
List	Unit of the Asset Servicing Client user interface which displays data in the form of a table. For example, lists are filled with the appropriate data after a search was performed. The lists display data in a predefined layout.
Login	Registration of a user at a software application. For this purpose user data are entered, which identify the user within the system. A successful login is the prerequisite for working with the Asset Servicing Client. Login is carried out on the login page for OeKB CSD Online Services.

Begriffe und Termini	Erläuterung
Logout	Exiting of a user from a software application. Users log out from the Asset Servicing Client by closing the browser window. This ends the current user session with the system. A new login is possible via the Login Portal for OeKB CSD Online Services.
Menu	The main menu of the Asset Servicing Client contains all available program functions in the form of menu items grouped in a clear hierarchical structure.
Online Services	Services of the OeKB e.g. for the settlement of income providing state-of-the-art, user-friendly real-time systems and professional support. The Login Portal of the OeKB Online Services is where you can log on to the Asset Servicing Client.
Record	A data set which together represents a certain information unit. An information unit may be e.g. a breakdown instruction, i.e. an information unit which may be processed in the Asset Servicing Client.
Save	Confirmation of entered data and submittal of the record to the system.
Screen	Unit of the Asset Servicing Client user interface which contains several elements (fields) for entering or displaying details of information.
Search result list	List displayed after a search run was performed. Search result lists contain the results which meet the defined search criteria.
Second Person Authorisation	See Four Eyes Principle
Tax Breakdown	Notification of a reduced withholding tax rate by means of a Breakdown Instruction.
Tooltip	Pop-up text providing helpful information or explaining a certain screen element. A tooltip is displayed when you hover the mouse pointer over e.g. a button or any other screen element for about 2 seconds.

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OeKB CSD GmbH

Strauchgasse 3
1010 Vienna, Austria
Tel. +43 1 531 27-2100
csd@oekb-csd.at
www.oekb-csd.at

CENTRAL SECURITIES DEPOSITORY