Le document, ci-après, reprend les caractéristiques techniques des fichiers .XML pour les enquêtes relevant du domaine "PORTEFEUILLE".

Ce format est le seul format XML qui sera accepté à dater de mars 2016.

Il peut être utilisé par toutes les catégories de déclarants :

Les établissements de crédit pour les enquêtes S10PKI, S11PKI, S12PKI, S19PKI et/ou S20PKI.

Les entreprises d'assurances et de réassurances pour les enquêtes S10INS, S19INS et/ ou S10RIN.

Les institutions de retraite professionnelle pour l'enquête S10PSF.

Les organismes de placement collectif pour les enquêtes S10OPC et/ou S10OPM.

Les sociétés de gestion de fortune pour l'enquête S10INV.

Les sociétés non financières pour l'enquête S10SNF.

Het document hierna vermeldt de technische karakteristieken van XML bestanden voor de enquêtes van het domein "PORTEFEUILLE".

Dit formaat is enkel het XML formaat dat vanaf maart 2016 zal worden aanvaard.

Het mag door alle soorten van aangevers worden gebruikt:

De kredietinstellingen voor de enquêtes S10PKI, S11PKI, S12PKI, S19PKI en/of S20PKI.

De verzekerings- en herverzekeringsondernemingen voor de enquêtes S10INS, S19INS en/of S10RIN

De instellingen voor bedrijfspensioenvoorziening voor enquête S10PSF

De instellingen voor collectieve belegging voor de enquêtes S10OPC en/of S10OPM

De ondernemingen voor vermogensbeheer voor de enquête S10INV

De niet-financiële ondernemingen voor de enquête S10SNF.

TECHNICAL DATA FOR XML FILE

DOMAIN PORTFOLIO

INVESTMENTS IN SECURITIES AND SECURITIES HOLDING STATISTICS

Table of contents

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PROLOGUE

Given the technical nature of the reporting protocol, this document is written only in English. There are no other languages of the protocol available.

1. INTRODUCTION

This document describes the technical protocol for submitting XML files to the National Bank of Belgium via the online portal "OneGate", domain PRT, reports investments in securities (S10PKI, S10INS, S10OPC, …), and securities holding statistics (S12PKI).

Disclaimer: all XML syntax excerpts in this document are for non-normative, illustrative purposes and should not be considered as valid. For valid XML syntax, the preparer should make use of appropriate parsers.

2. ONEGATE, REPORTING PORTAL OF THE NATIONAL BANK OF BELGIUM

The National Bank of Belgium provides declarers with a totally secure internet collection application. This application is called OneGate and allows companies to complete statistical, prudential and other declaration forms either by introducing data directly (if allowed by the supervisor) or by uploading files.

In order to ensure the confidentiality of the data transmitted, the National Bank of Belgium proposes two access methods:
- access by means of a **username** and **password** ("standard secured");
- access by means of an **electronic certificate** ("strong secured").

The reporting by financial institutions via OneGate [in domain PRT] is to be done only by means of an electronic certificate, i.e. in the "strong secured" mode.

This application, as well as the necessary documentation, is available via the site of the NBB (http://www.nbb.be, statistics, declarations OneGate). For more information with regard to certificates or the registration procedure, see the online documentation or contact:

Nederlands
☎ +32 2 221 54 86
✉ access.onegate@nbb.be

Français
☎ +32 2 221 49 39
✉ access.onegate@nbb.be

3. **THE REPORTING PROCESS**

3.1. QUICK VERSUS TAIL REPORTERS

In order to satisfy the statistical requirements of the European Central Bank, a number of institutions must deliver the following report as soon as possible but at the latest on the eleventh bank working day:

https://www.nbb.be/en/statistics/balance-payments/declarations-onegate/financial-institutions

Click the appropriate institution type in the Contents then see, in the Manual of the Investments in Securities survey, the chapter 2.4 Frequency and deadline.

3.2. QUALITY CHECKS AND CORRECTIONS

The National Bank of Belgium performs quality checks in order to ascertain the intrinsic quality of the communicated figures and reports. These checks may result in bilateral questions to individual institutions with the objective to clarify remarkable evolutions or figures. In case errors are discovered, the institution will be requested to correct the reports. The necessary corrections must be submitted to the National Bank of Belgium at the latest within one Belgian bank working day.

3.3. CLOSING WORKFLOW

Each report must be officially closed; this is only possible when no initial or erroneous forms are left. An institution that closes the report is assumed to have approved the figures and its comprehensiveness. The closing event is registered with a time stamp, after which all report forms become read-only, consultable but unchangeable. If after closing an exceptional correction must be applied, the institution should contact its supervisor to reopen the closed report.

4. **STRUCTURE OF THE REPORTS**

4.1. IDENTIFICATION

Reporting agents are to be identified by means of the unique enterprise number [Kruispuntbank van Ondernemingen; Banque-Carrefour des Entreprises]. This code is composed of 10 figures.

4.2. COUNTRY AND CURRENCY CODES

The countries and currencies are encoded using the ISO-standards:
- Countries: ISO 3166 - 2 positions (and some specified X*-codes);
- Currencies: ISO 4217 - 3 positions.

4.3. THE XML FORMAT - GENERAL

This section describes the generic XML format. A general OneGate XML report is a valid XML document, with the following structure:

```
<?xml version="1.0" encoding="UTF-8" standalone="yes" ?>
<DeclarationReport xmlns="http://www.onegate.eu/2010-01-01">
    <Administration creationTime="2011-12-26T07:25:44">
        <From declarerType="……1">……2</From>
        <To>NBB</To>
        <Domain>PRT</Domain>
        <Response feedback="true">
            <Email>a.declarer@companies.be</Email>
            <Language>EN</Language>
        </Response>
    </Administration>
    <Report action="………3" code="………4" date="………5">
        <Data form="………6">
            <Dim prop="………7">………8</Dim>
            …………
            <Item>
               <Dim prop="………7">………8</Dim>
               …………
            </Item>
        </Data>
        …………
    </Report>
</DeclarationReport>
```

Non-normative sample report (for illustration purposes only)

Superscript notes:

[1]   Parameter for the institution's *identification type*. The value of this parameter depends on the institution and report. The identification type for Portfolio is always "KBO".

[2]   Parameter for the institution's *identification number*. The value of this parameter depends on the institution and report.

[3]   Parameter to instruct the *processing type* of your submission:
    o   action="replace": this will initialise the forms present in the current submission file before processing the values of the submission;

[4]   Parameter to instruct OneGate to which *report* the data belong. For Portfolio, the report code is "name of survey : for ex : S10OPC".

[5]   Parameter to instruct OneGate to which *reporting period* the data belong (format YYYY-MM).

[6]   Parameter to instruct OneGate to which *form* the data belong. There may be several forms within one report.

[7]   Indication of the *dimension property*. Dimension properties can exist on the level of the form (if they relate to all the items within the form) or within an item (if they relate only to the item itself). There may be none, one or many dimension properties.

[8]   Value for the dimension property.

Optional elements:
-   Administration, attribute "creationTime" for your own reference, ignored by OneGate
-   Response, attribute "feedback", if not included, this attribute's default value is "true"
-   Email node: OneGate will send feedback to this address. No check on the string value.
-   Language node: OneGate will provide feedback in one of NL, FR, EN and DE.

4.4. THE XML FORMAT - SPECIFIC

This section describes the specific content for the reporting of Portfolio by the reporting agents to the National Bank of Belgium via OneGate.

Within the report node, the following generic structure applies:

```
<Report>
    <Data form="………">
        <Dim prop="………">………</Dim>
        …………
        <Item>
          <Dim prop="………">………</Dim>
          …………
        </Item>
    </Data>
    …………
</Report>
```

Non-normative sample report (for illustration purposes only)

The **form code** relates to a specific table of Schema for instance:
- "0390";
- "0391";
- …
- "0598";
- "0599".

The properties can take the following value according the survey:

https://www.nbb.be/en/statistics/balance-payments/declarations-onegate/financial-institutions

Click the appropriate institution type in the Contents then see, in the Manual of the Investments in Securities survey, the section 3.4.4 List of columns per table

- <Dim prop="PFBASE">
      In this column, you need to indicate the identification of the situation.
      2 characters
      10 = territorial position
      19 = position of foreign branches
      20 = statuory position

- <Dim prop="PFSEQCODE">
      Sequential number
      Numerical value

- <Dim prop="PF005">
      In this column it is necessary to enter the number of the accounts item where the securities are recorded
      1 to 6 characters (figures)

- <Dim prop="PF010">
      Code identifying the security in the coding system mentioned in column 11
      1 to 18 characters (figures and/or capital letters)

- \<Dim prop="PF011"\>
  The value entered in this field indicates the coding system used in column 10 to identify the security
  2 characters (figures)

- \<Dim prop="PF015"\>
  Textual information stating the name of the security. In the case of debt securities, it is preferable to include the face interest rate
  1 to 150 characters (letters and or figures)

- \<Dim prop="PF020"\>
  The value entered in this field indicates the rating bureau.
  3 characters

- \<Dim prop="PF021"\>
  The value entered in this field indicates the rating.
  1 to 10 characters

- \<Dim prop="PF025"\>
  Number of securities rounded off to a whole number
  Numerical value

- \<Dim prop="PF040"\>
  Identification, using the ISO 4217 3-digit code, of the currency in which the security was issued

- \<Dim prop="PF050"\>
  The face value of the security. The value is rounded off to a whole number, with no negative amount, and expressed without a decimal in the currency indicated by the code in column 40
  Numerical value

- \<Dim prop="PF060"\>
  The book value of the security. The value is rounded off to a whole number, with no negative amount, and expressed without a decimal in **the currency indicated by the code in column 40 or in euro-equivalent following the survey**
  Numerical value

- \<Dim prop="PF065"\>
  The book value of the security (waarvan ex-uitgiften).. The value is rounded off to a whole number, with no negative amount, and expressed without a decimal in the currency indicated by the code in column 40
  Numerical value

- \<Dim prop="PF070"\>
  Market value of all the securities recorded on the line. The value is rounded off to a whole number, with no negative amount and no decimal in the currency indicated by the code in column 40
  Numerical value

- \<Dim prop="PF071"\>
  This column indicates the type of valuation used to calculate the figure in column 70.
  1 character

- \<Dim prop="PF080"\>
  In this column, you need to indicate the percentage of the capital held by non-residents. That percentage should be stated to two decimal places. If you do not know the percentage, you should indicate the best estimate.

- <Dim prop="PF098">
    Identification, using the ISO 3166 2-digit code, of the country of the depositor

- <Dim prop="PF099">
    In this column, you need to indicate the entreprise number of the resident depositary; if the depositary is non-resident, there is no need to complete
- <Dim prop="PF100">

- <Dim prop="CBFA_1">
    Account number of the accounting scheme
    1 to 12 characters

- <Dim prop="CBFA_2">
    Management-Code
    1 to 4 characters

- <Dim prop="CBFA_3">
    Fund-Code
    1 to 15 characters

- <Dim prop="CBFA_4">
    Name of the fund
    1 to 320 characters

- <Dim prop="CBFA_4_1">
    Code separate fund
    1 to 7 chararcters

- <Dim prop="CBFA_5">
    Sub-Category code
    1 to 12 characters

- <Dim prop="CBFA_6">
    Market value per unit
    Numerical value

- <Dim prop="CBFA_7">
    Amount to deduct
    Numerical value

- <Dim prop="CBFA_8">
    Assignment value
    Numerical value

- <Dim prop="CBFA_8_2">
    % bonds in mixed funds

- <Dim prop="CBFA_8_4">
    % shares in mixed funds

- <Dim prop="CBFA_9">
    Link with a derivative Product
    1 character

- <Dim prop="CBFA_9_5">
    Rights in Rem
    1 character

- <Dim prop="CBFA_10">
    Corporate name of the depositary company
    1 to 50 characters

- <Dim prop="CBFA_11">
    Address of the depositary company
    1 to 100 characters

- <Dim prop="CBFA_12">
    Deposit account number at the depositary company
    1 to 17 characters

- <Dim prop="CBFA_13">
    Assigment value of interest, accrued but not yet due
    Numerical value

- <Dim prop="CBFA_14">
    Sl/REPO
    1 to 15 characters

A "nihil" declaration

When reporting a form as "nihil", no items have to be declared. However, the relevant dimension properties on form level must be included. A few examples:

Declaring the form "00392" as "nihil":

```
<Report>
    <Data form="0392" action="nihil">
    </Data>
</Report>
```

Non-normative sample report (for illustration purposes only)

4.5. THE MINIMAL UNIT OF REPORTING

There is no minimal unit of reporting, the behavior of the collection tool depends on the parameters added by the reporting agent in the <Report> part of the XML file. At report level, there is an "action" attribute that can contain t value:
- **action="replace"**: this will initialise the forms present in the current submission file before processing the values of the submission;
- **action="append":** this append records in a form

4.6. SOME CONCRETE EXAMPLES

Reporting some facts for form "0393" : survey S10PKI

```
<Report code="S10PKI" date="2013-05">
- <Data form="0393">
- <Item>
  <Dim prop="PF005">1333</Dim>
  <Dim prop="PF010">XS0123456789</Dim>
  <Dim prop="PF011">01</Dim>
  <Dim prop="PF015">ISSUER</Dim>
  <Dim prop="PF020" />
  <Dim prop="PF021" />
  <Dim prop="PF040">EUR</Dim>
  <Dim prop="PF050">15000</Dim>
  <Dim prop="PF060">14999</Dim>
  <Dim prop="PF070">15000</Dim>
  <Dim prop="PF071">2</Dim>
  <Dim prop="PFBASE">10</Dim>
  <Dim prop="PFSEQCODE">1</Dim>
    </Item>
- <Item>
  <Dim prop="PF005">1333</Dim>
  <Dim prop="PF010">XS0123456788</Dim>
  <Dim prop="PF011">01</Dim>
  <Dim prop="PF015">ISSUER1</Dim>
  <Dim prop="PF020" />
  <Dim prop="PF021" />
```

```xml
      <Dim prop="PF040">EUR</Dim>
      <Dim prop="PF050">106000</Dim>
      <Dim prop="PF060">105945</Dim>
      <Dim prop="PF070">105963</Dim>
      <Dim prop="PF071">2</Dim>
      <Dim prop="PFBASE">10</Dim>
      <Dim prop="PFSEQCODE">2</Dim>
        </Item>
        </Data>
        </Report>
```

Non-normative sample report (for illustration purposes only)

Reporting some facts for form "0391": survey S10OPC

```xml
<Report code="S10OPC" date="2013-05">
- <Data form="0391">
- <Item>
  <Dim prop="PF005">IIA</Dim>
  <Dim prop="PF010">XS0123456789</Dim>
  <Dim prop="PF011">01</Dim>
  <Dim prop="PF015">ISSUER</Dim>
  <Dim prop="PF040">EUR</Dim>
  <Dim prop="PF050">15000</Dim>
  <Dim prop="PF060">14999</Dim>
  <Dim prop="PF070">15000</Dim>
  <Dim prop="PF071">2</Dim>
  <Dim prop="PF098">BE</Dim>
  <Dim prop="PF099">0123456789</Dim>
  <Dim prop="PF100">BE0123456789CBF</Dim>
  <Dim prop="PFBASE">10</Dim>
  <Dim prop="PFSEQCODE">1</Dim>
    </Item>
- <Item>
  <Dim prop="PF005"> IIA </Dim>
  <Dim prop="PF010">XS0123456788</Dim>
  <Dim prop="PF011">01</Dim>
  <Dim prop="PF015">ISSUER2</Dim>
  <Dim prop="PF040">EUR</Dim>
  <Dim prop="PF050">106000</Dim>
  <Dim prop="PF060">105945</Dim>
  <Dim prop="PF070">105963</Dim>
  <Dim prop="PF071">2</Dim>
  <Dim prop="PF098">BE</Dim>
  <Dim prop="PF099">0123456789</Dim>
  <Dim prop="PF100">BE0123456789CBF</Dim
  <Dim prop="PFBASE">10</Dim>
  <Dim prop="PFSEQCODE">2</Dim>
    </Item>
    </Data>
    </Report>
```

Protocol_one_gate_docx