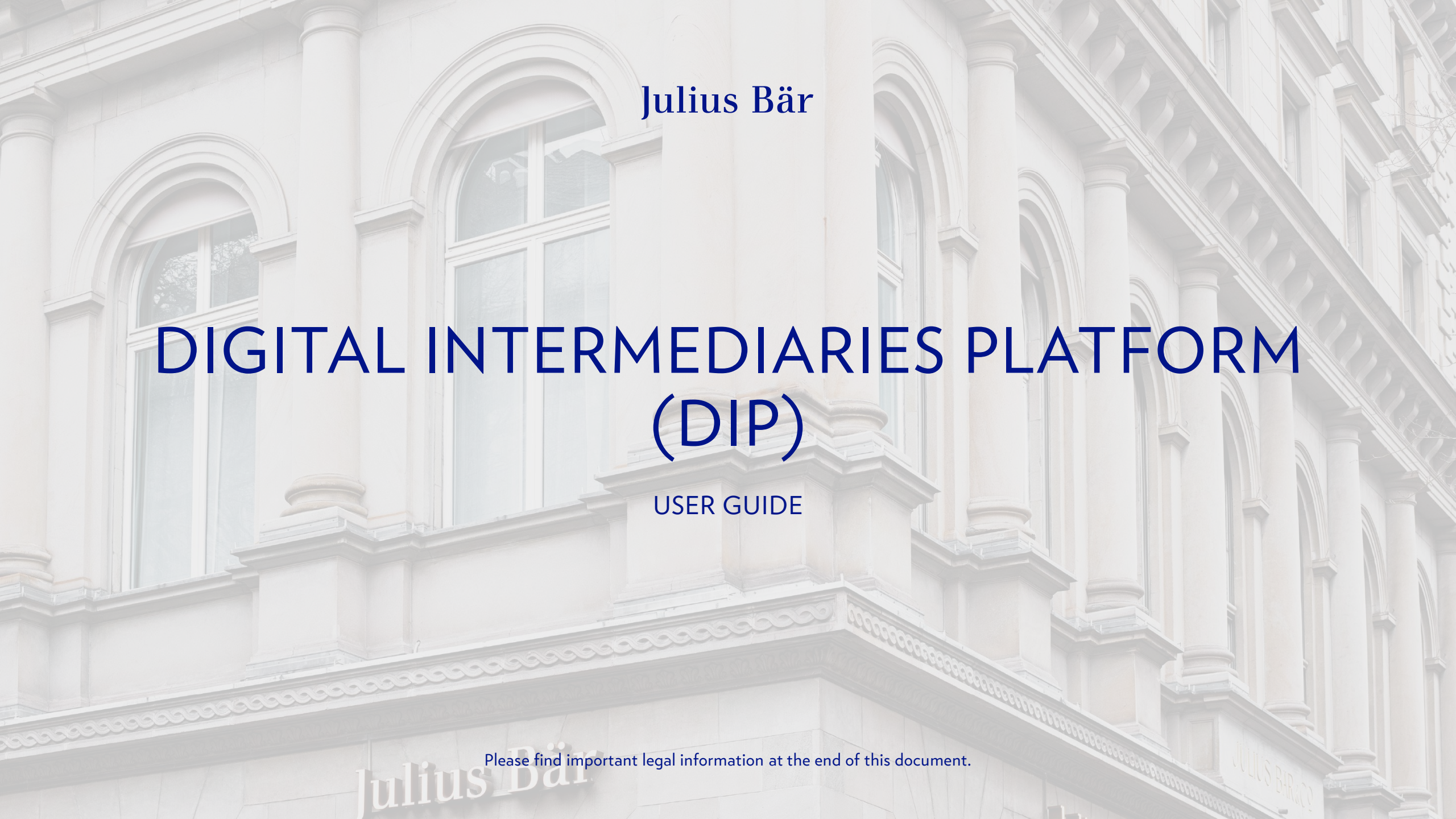


Julius Bär

DIGITAL INTERMEDIARIES PLATFORM (DIP)

USER GUIDE

Please find important legal information at the end of this document.

Content

User Guide

Getting started	**3**
Navigation	**6**
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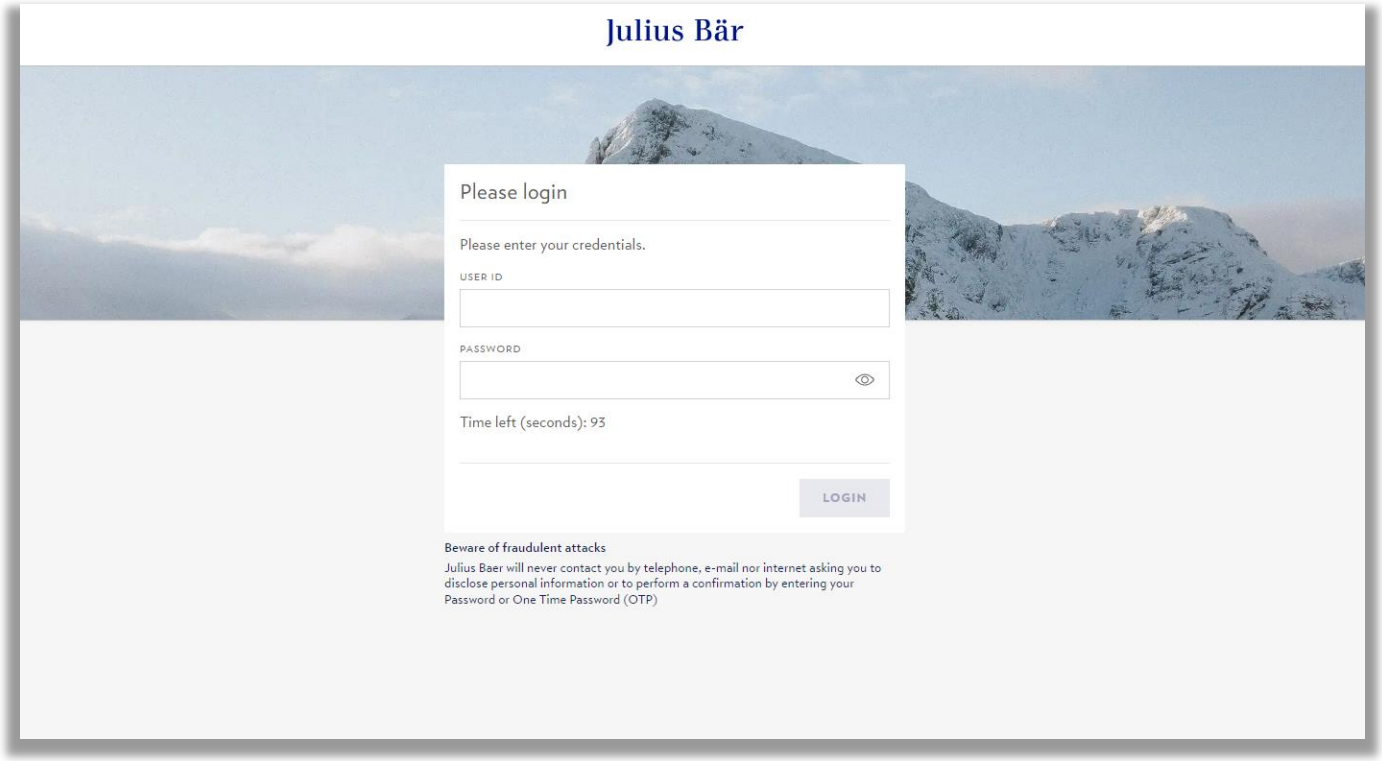
GETTING STARTED

Get access to a suite of functionalities on our Digital Intermediaries Platform



Getting Started

Getting started with Digital Intermediaries Platform (DIP)



Login to DIP

Access DIP via
https://intermediaries.juliusbaer.com/

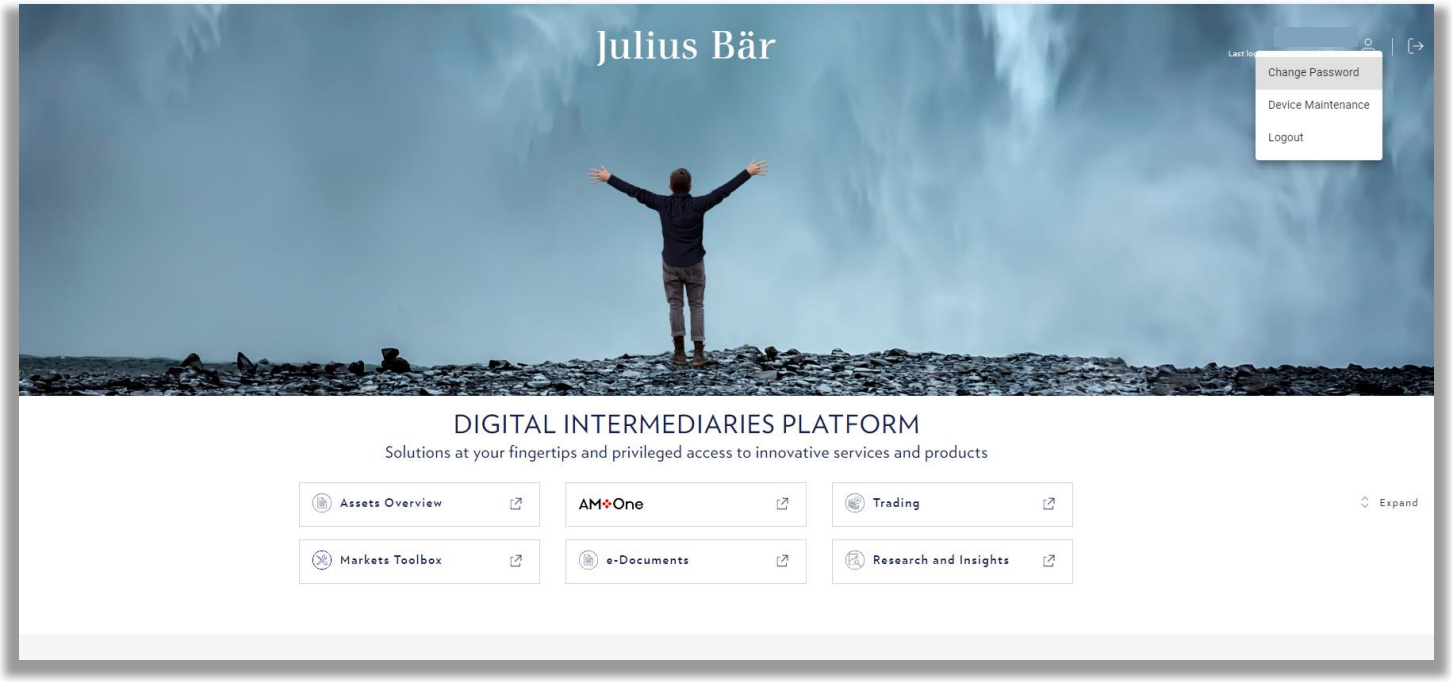
Registered users can log in by following these steps:

1. Enter your user ID and password. Click 'Login'.
2. Select device if prompted.
3. Click on the push message sent to your registered
4. mobile device to obtain the secure pin in the Julius Baer Mobile App.
5. Enter the secure pin and click 'Login'. Upon successful login, you will be directed to the Landing Page.

If you encounter any difficulties, please contact e-Channels Service Centre.

Getting Started

Change Password



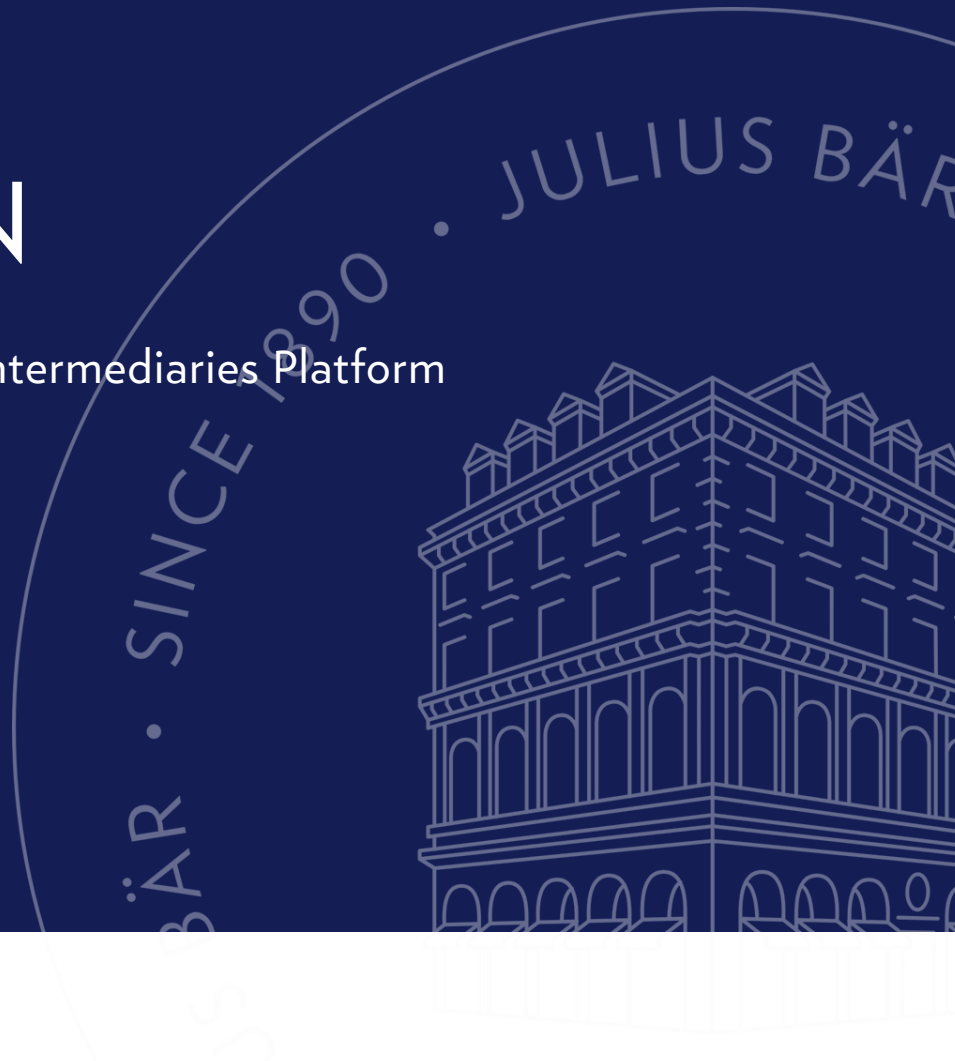
Change Password

If you wish to change your password,

1. Click on the user icon
2. Click on “Change Password”
3. You will be redirected to a new page for password change
4. Enter your old password and a new password of your choice (your password needs to satisfy our minimum security criteria)
5. Click “Login” to submit

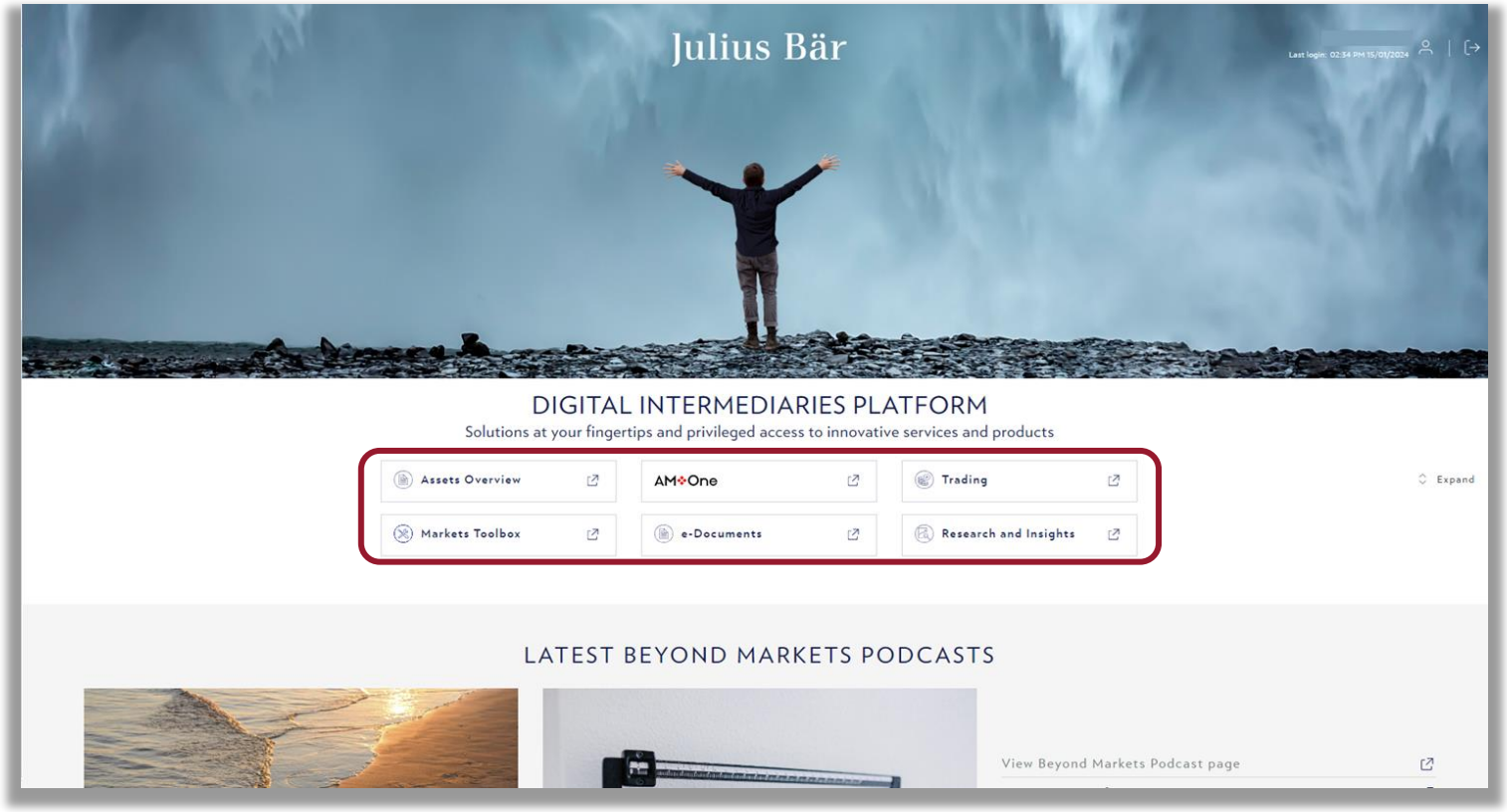
NAVIGATION

Get access to a suite of functionalities on our Digital Intermediaries Platform



Navigation

Explore Digital Intermediaries Platform (DIP)



Navigate to different applications

Click on the respective tile to open the different applications including Assets Overview, Trading, e-Documents, AM-One and Market Toolbox.

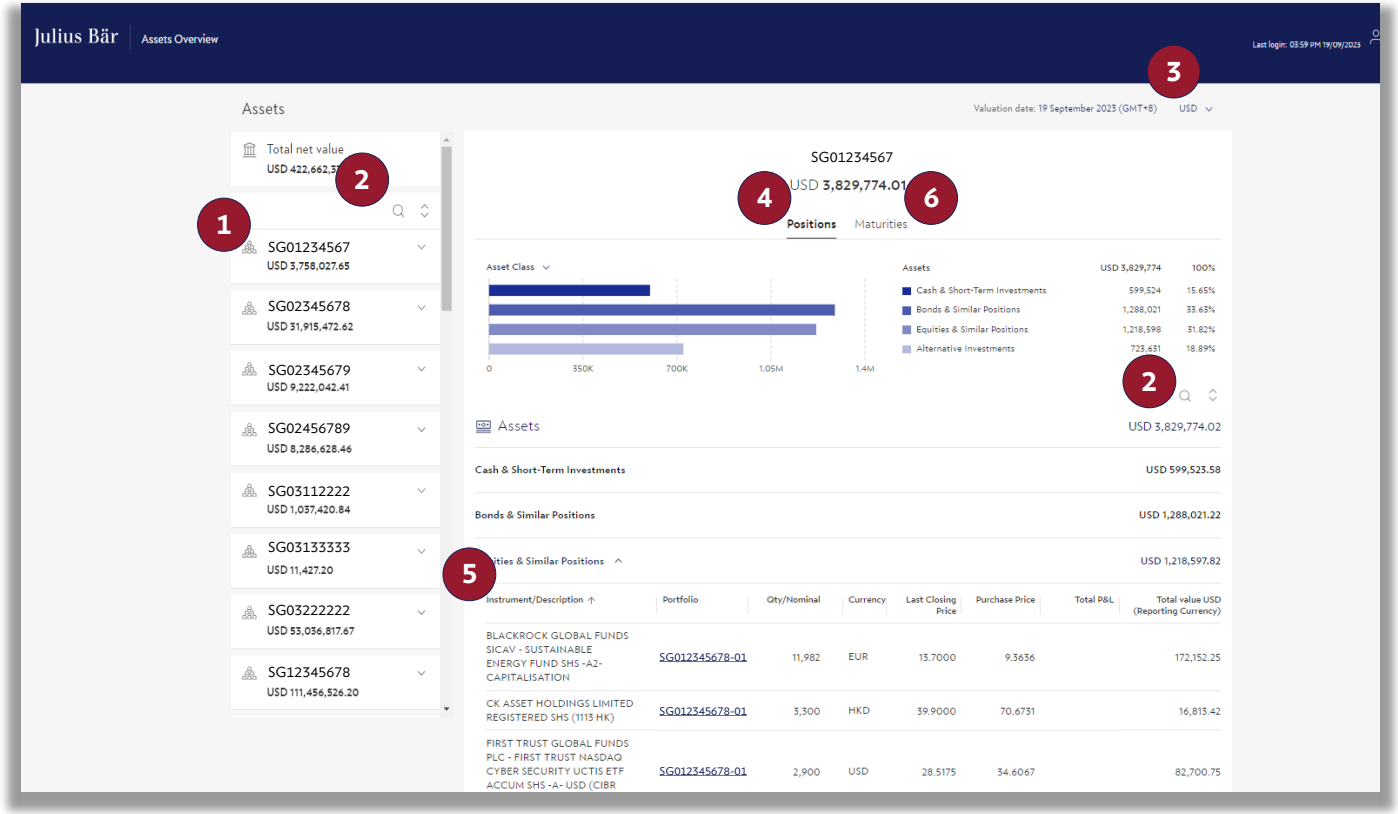
ASSETS OVERVIEW

View your client's portfolio positions, performance and upcoming maturities with near real-time updates



Assets Overview

Functionalities

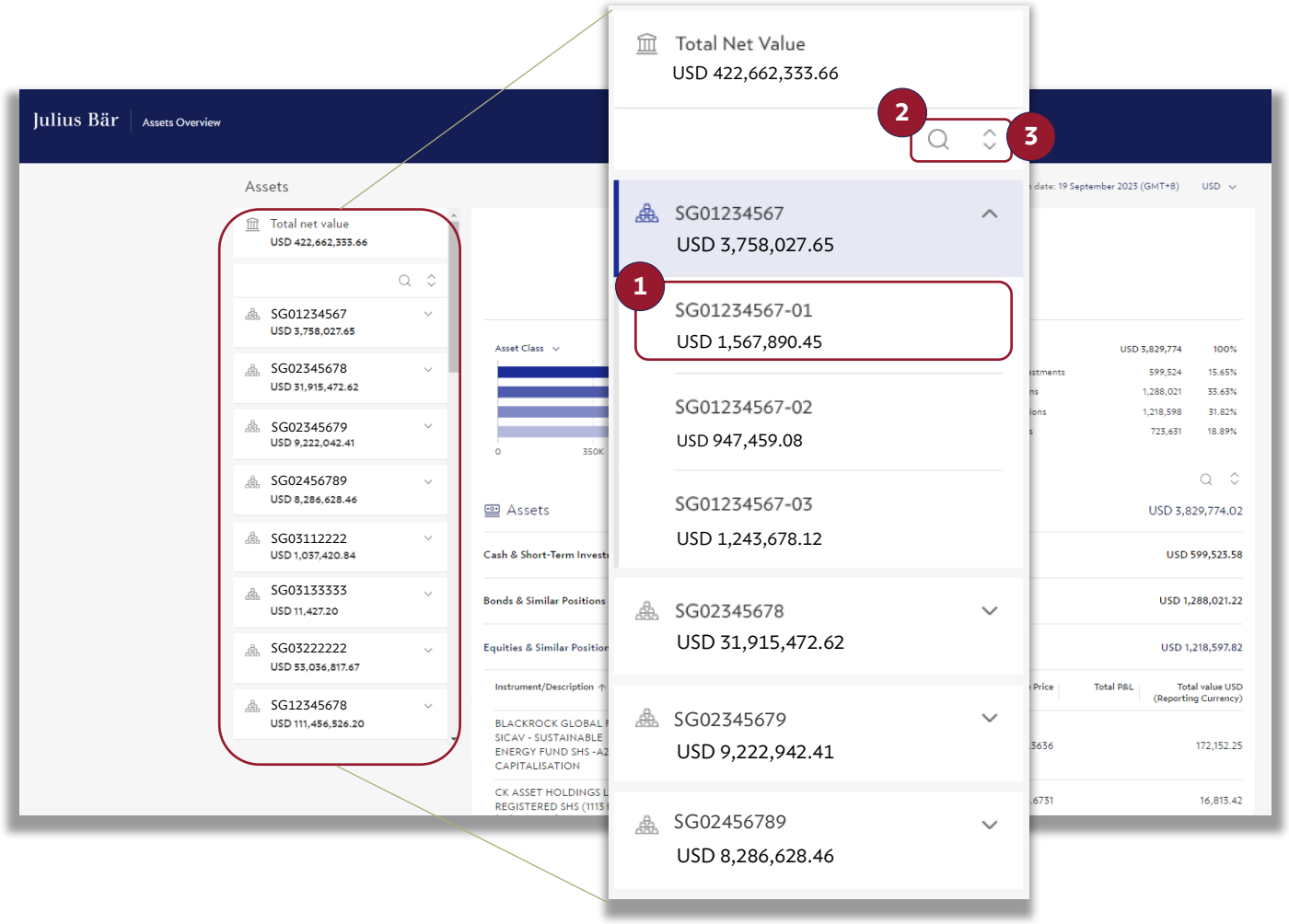


Feature Highlights

1. Switch between customers and portfolios
2. Search to filter, and expand to view more
3. View assets overview in other reporting currencies
4. View asset holdings categorised by asset class with near real-time updates and an interactive user interface
5. View further details of an instrument
6. Track upcoming maturities

Assets Overview

Left Sidebar



Switch between customer and portfolios

1. Select the customer or portfolio on the left sidebar to view the Positions and Maturities belonging to the customer or portfolio.

Search for customers and portfolios

2. Click on 🔍 on the left side bar and enter the customer or portfolio number.

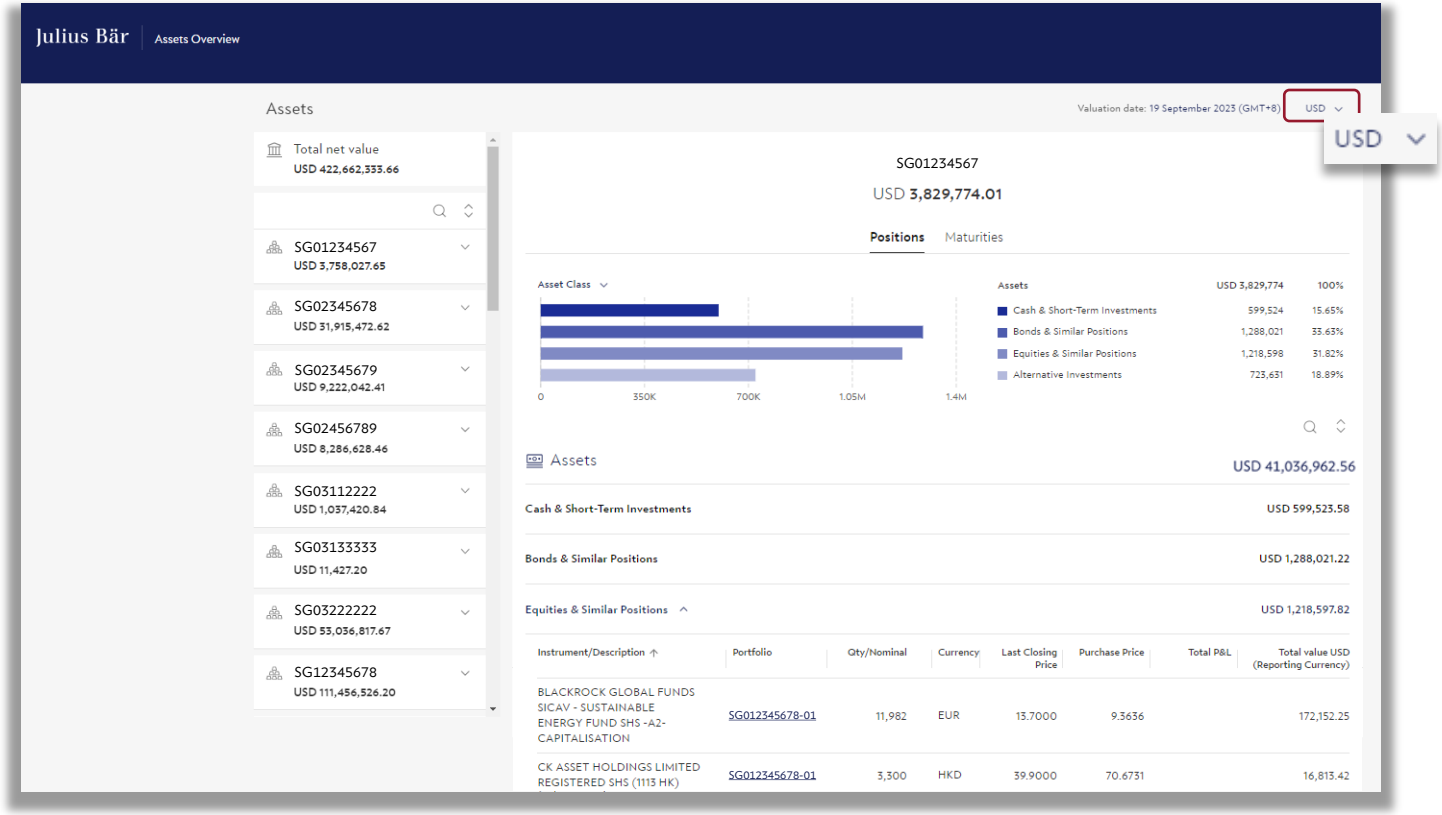
View all portfolios under your management

3. Click on ⇕ to expand all portfolios belonging to all your clients.

Customer view: AUM of customer
Portfolio view: AUM of individual portfolio owned by customer

Assets Overview

Reporting Currency



View Assets Overview in other reporting currencies

By default, reporting currency is in USD.

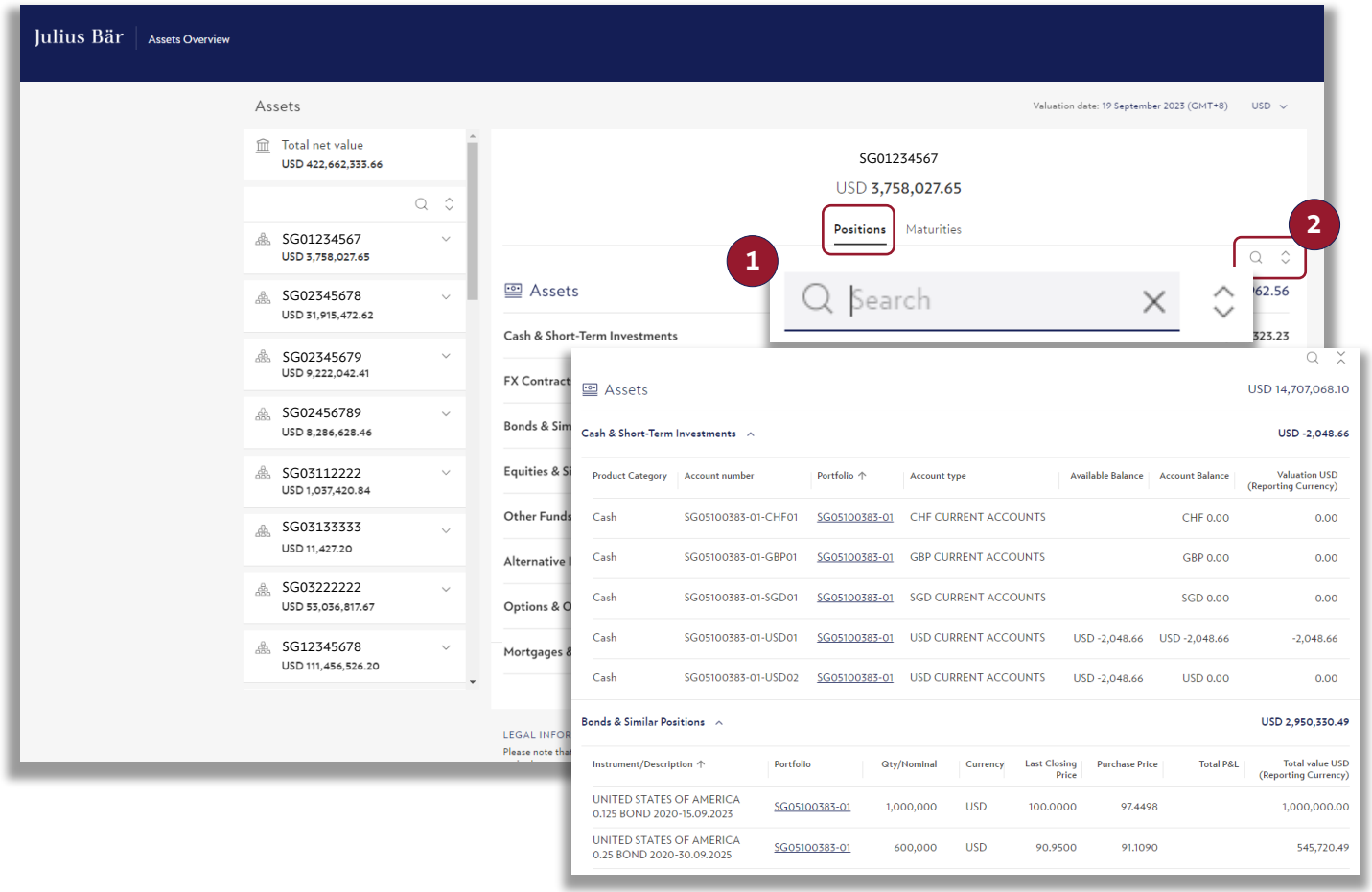
Click on USD on the top right corner and select the currency of choice.

The 11 currencies available are: USD, CHF, EUR, GBP, AUD, NZD, JPY, CAD, SGD, HKD, CNY.

Customer view: AUM of customer
Portfolio view: AUM of individual portfolio owned by customer

Assets Overview

Positions Overview



View asset holdings at customer level and portfolio level categorised by asset class

Search for positions

1. Click on 🔍 and enter an instrument name, valor or ISIN.

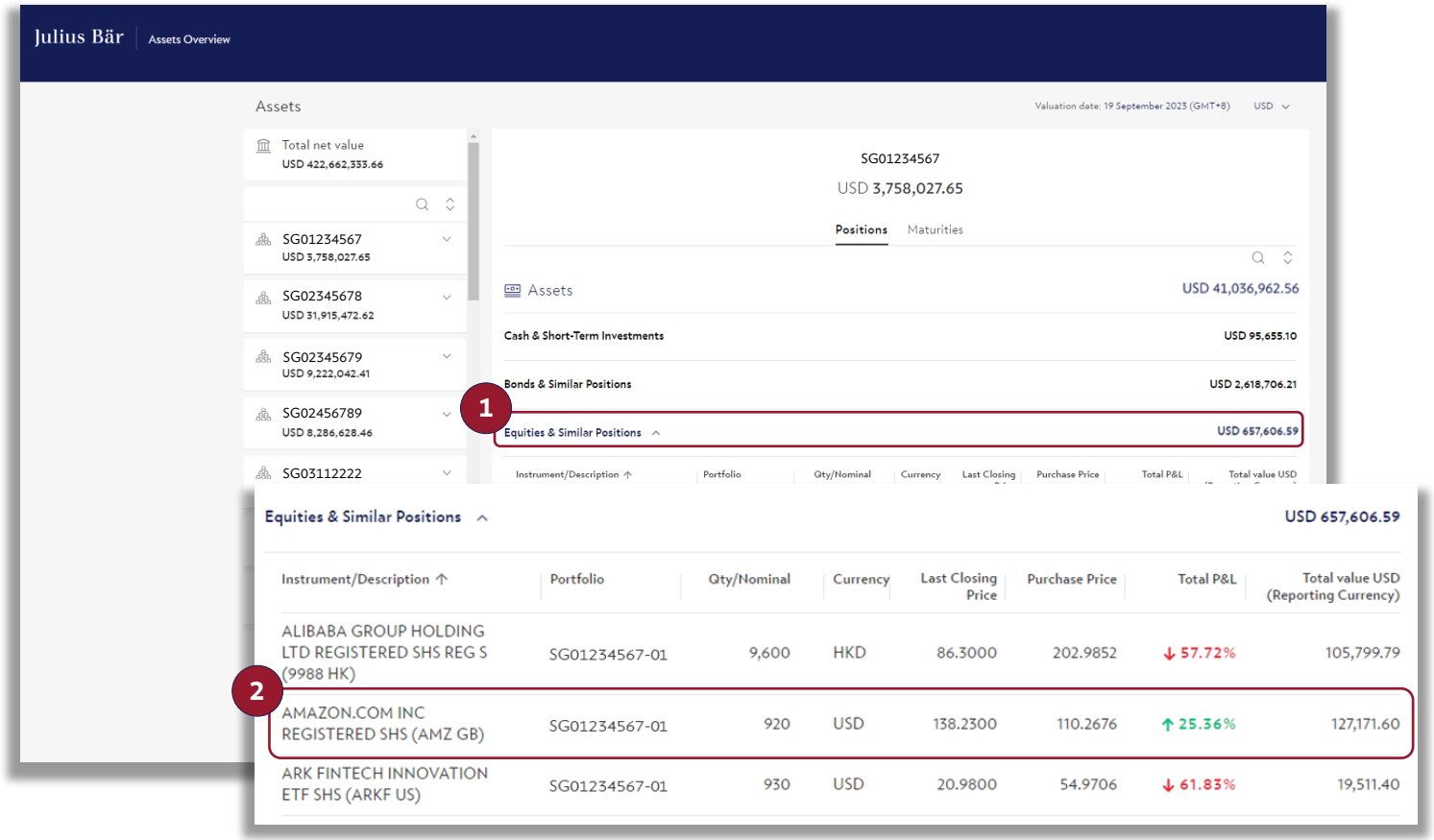
View all assets belonging to customer or portfolio

2. Click on ⇕ to expand all portfolios belonging to all your clients.

Customer view: AUM of customer
Portfolio view: AUM of individual portfolio owned by customer

Assets Overview

Positions Overview



View asset holdings at customer level and portfolio level categorised by asset class

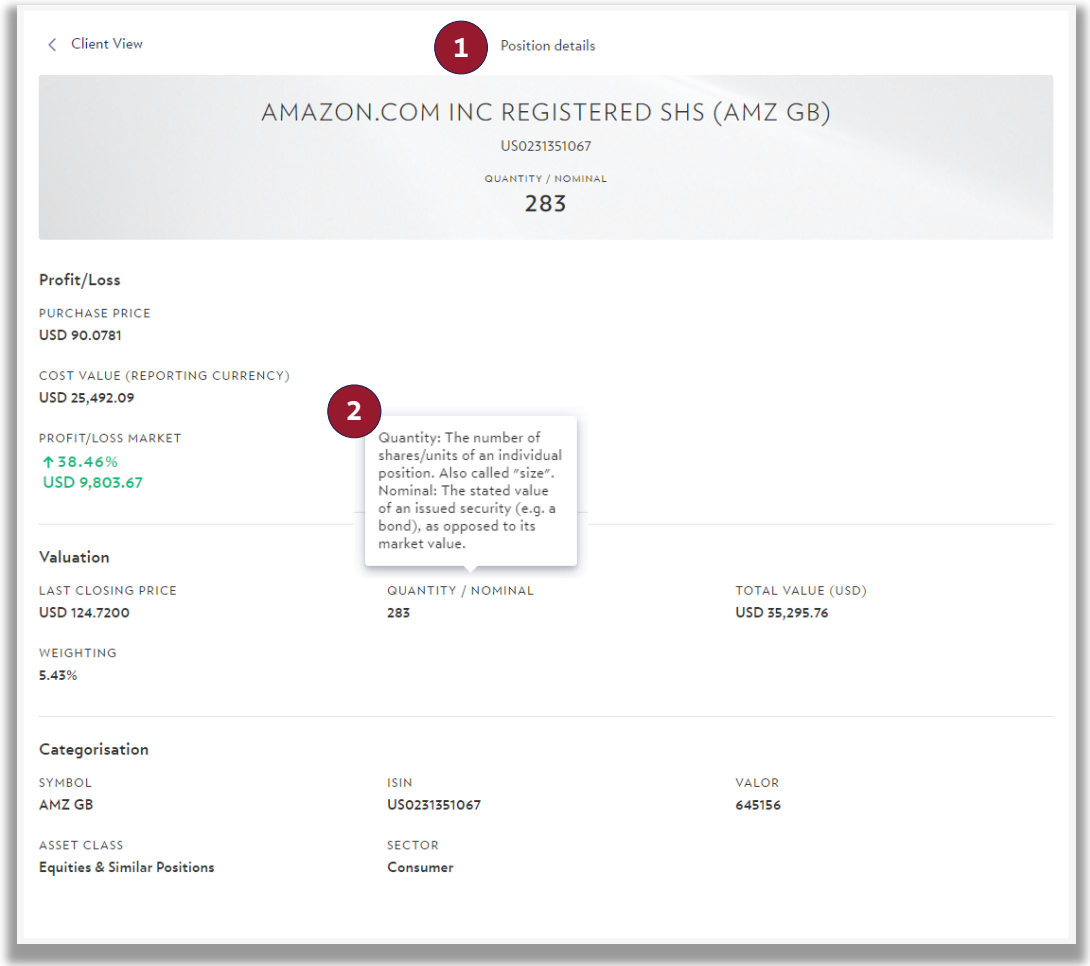
To find out more details of a particular instrument

1. Click on an asset class to expand a list of instruments categorised under the asset class held by the customer / portfolio.
2. Select a particular instrument (i.e. AMAZON.COM INC REGISTERED SHS (AMZ GB)) to navigate to the position details page.

Customer view: AUM of customer
Portfolio view: AUM of individual portfolio owned by customer

Assets Overview

Position Details



View position details about a particular instrument

1. On the position details page, you may find additional information about the position such as profit/loss, valuation, categorization and product specific information.

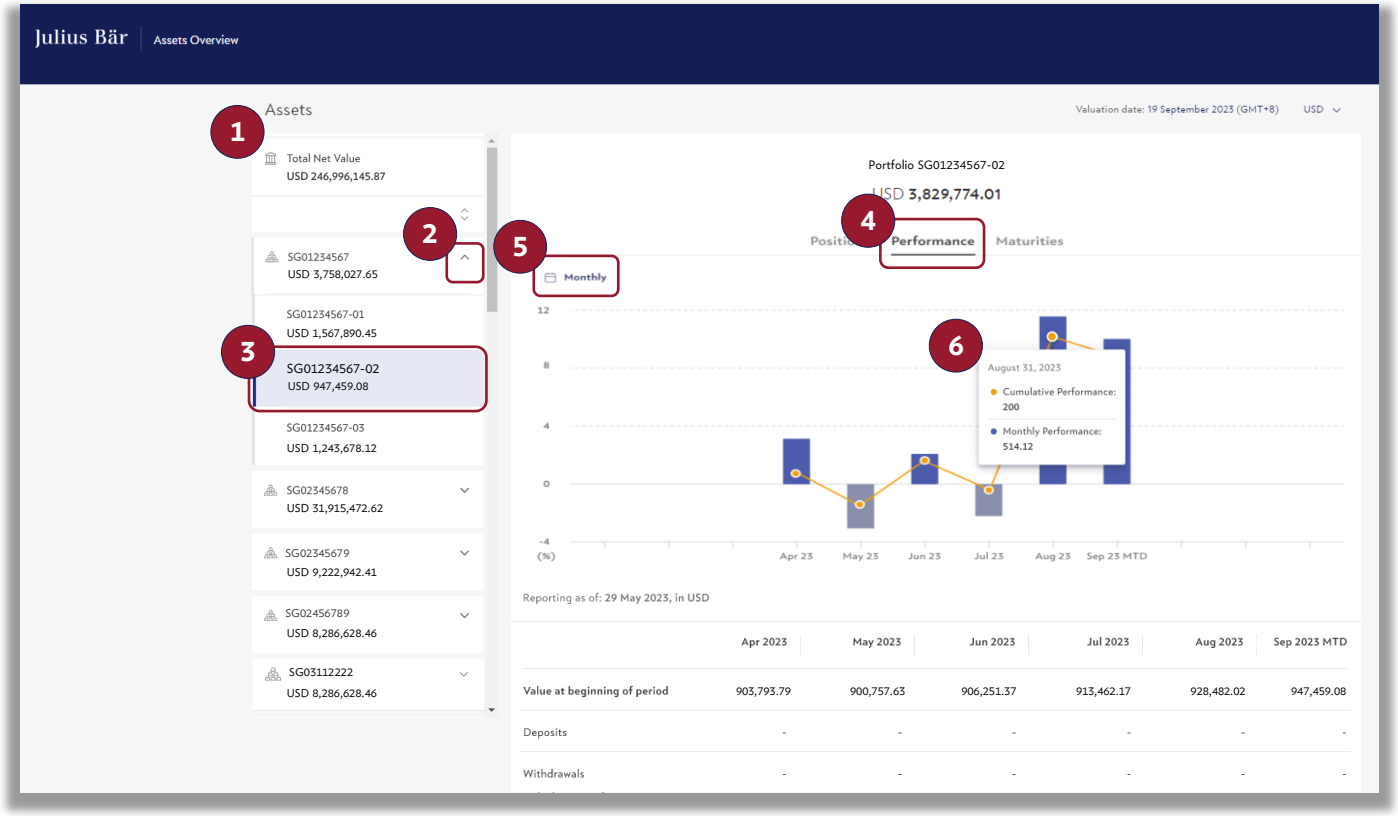
Note: Fields may differ between instruments and asset classes.

Understand more about the data attribute

2. Hover your cursor over the data fields to view the description.

Assets Overview

Portfolio Performance



Navigate to individual portfolio positions

To view the details of an individual portfolio

1. Navigate to the left side bar.
2. Click on the arrow on the top right hand corner of each Customer to expand the list of portfolios.
3. Select the portfolio of your choice.

Monitor portfolio performance

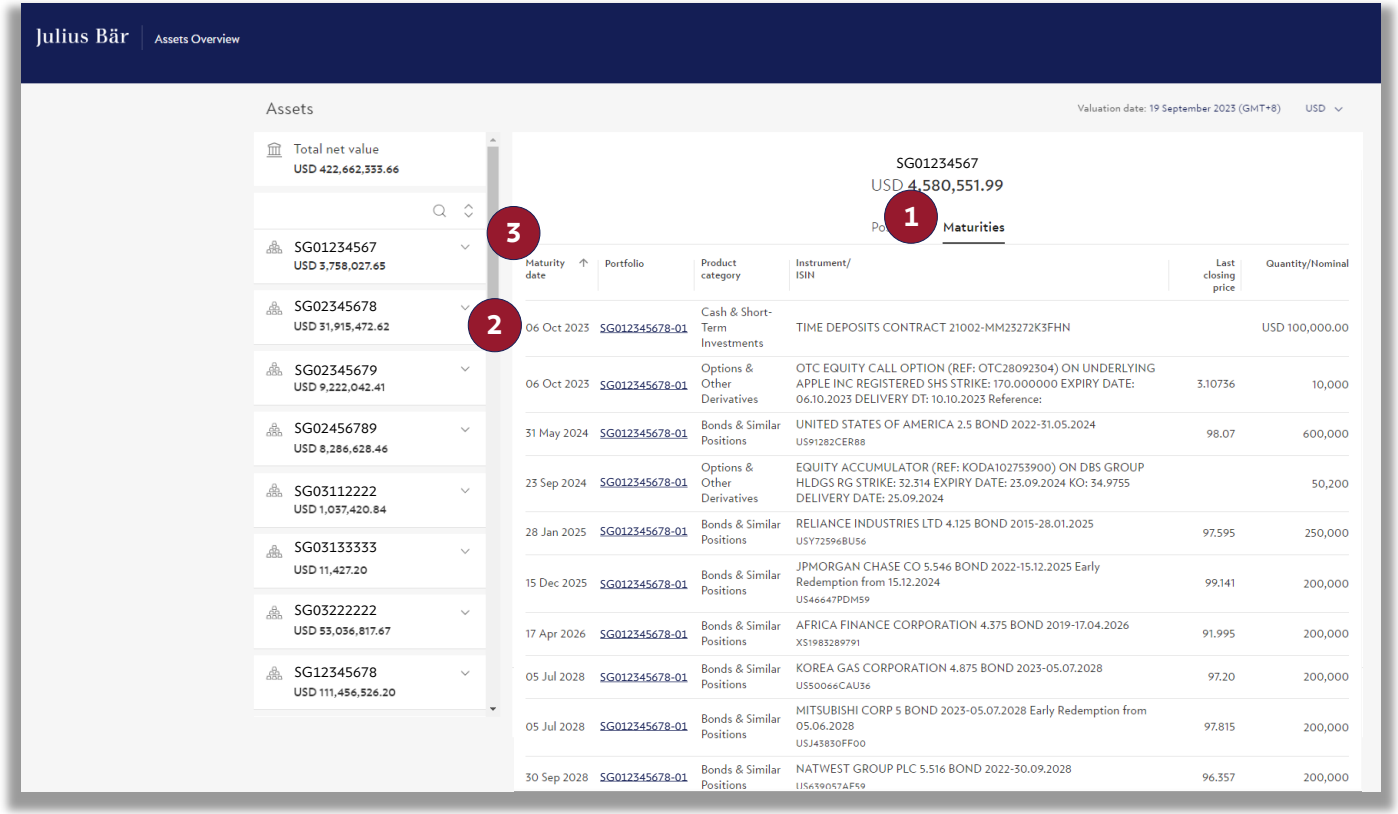
To monitor individual portfolio performance

4. Navigate to the ‘Performance’ tab.
5. Switch between monthly or yearly performance.
6. Hover your cursor over the chart to view the cumulative and monthly (or yearly) performance of the portfolio.

Graphics are for illustration purposes only

Assets Overview

Maturities



Track upcoming maturities at customer level and portfolio level

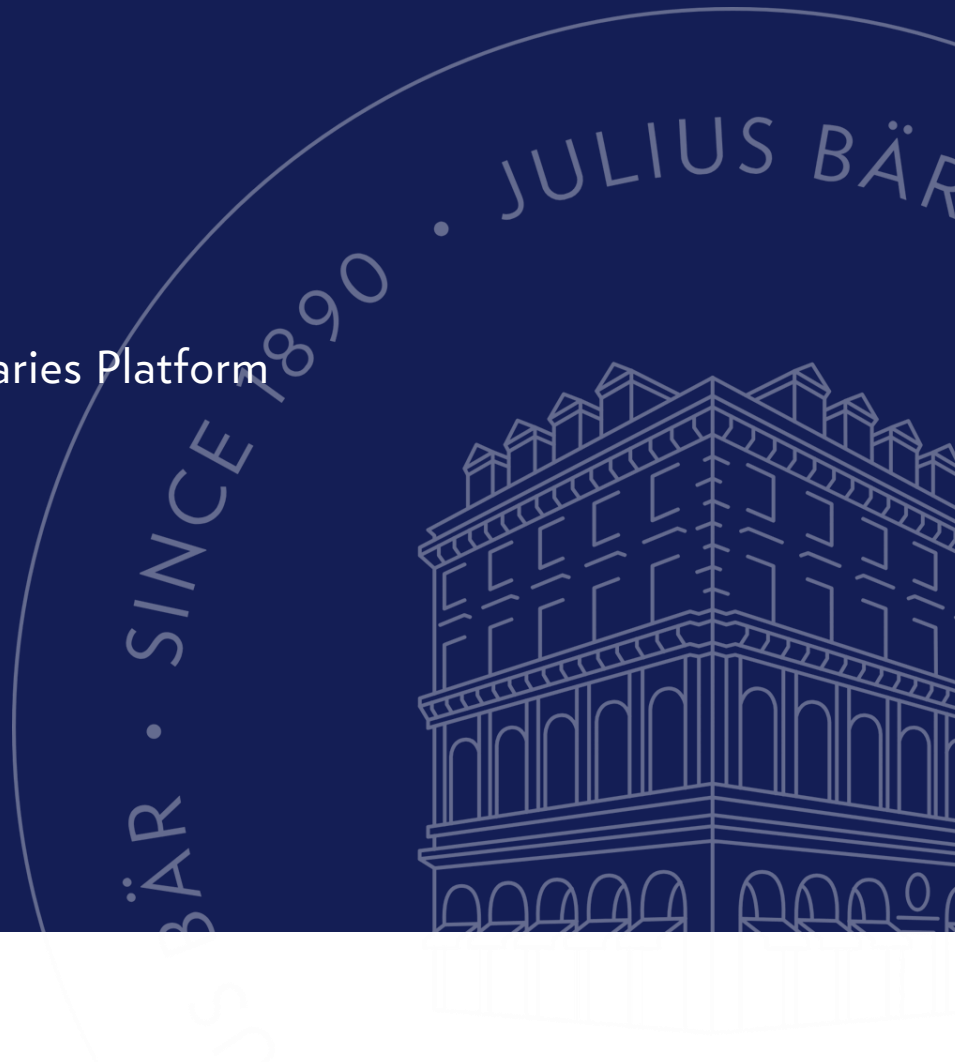
To keep updated with your upcoming maturities

1. Navigate to the 'Maturities' tab view positions with an upcoming maturity date. (if available)
2. Click on a maturity to view the respective position details of the instrument.
3. By default, positions are sorted based on the earliest maturity date. Click on Maturity Date, Portfolio, Product Category, Instrument/ISIN, Last Closing Price and Quantity/Nominal to sort.

Customer view: AUM of customer
Portfolio view: AUM of individual portfolio owned by customer

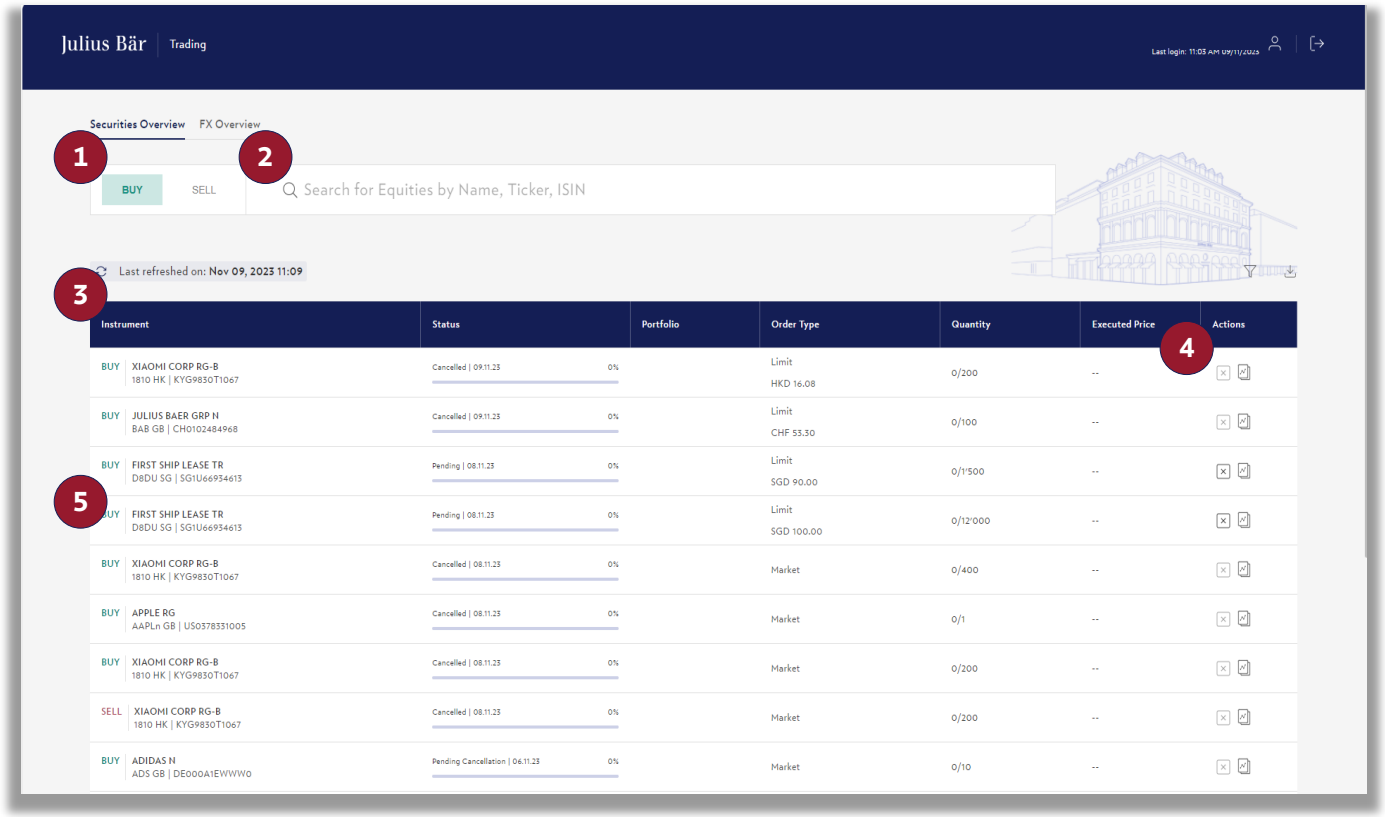
TRADING

Place trades directly via our Digital Intermediaries Platform



Trading

Functionalities

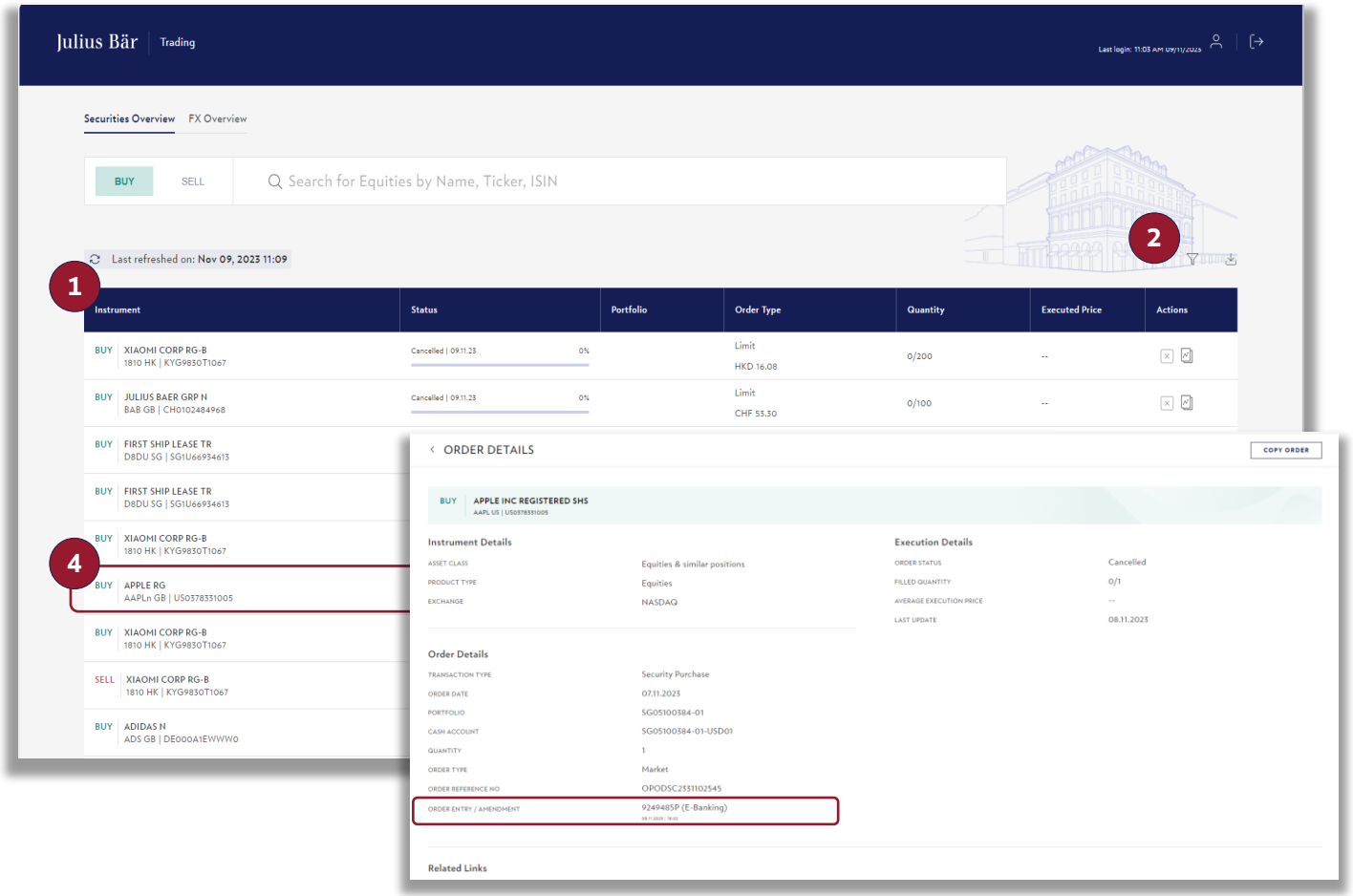


Feature Highlights

1. Switch between buying and selling of positions
2. Search for your preferred instrument (Equities and ETFs)
3. View order history
4. Cancel or copy an existing order
5. Click on an individual order to view additional order details

Trading

Order Overview



View the order history for your trades

1. These orders include securities orders placed through you or your Relationship Manager.

   The table is sorted in descending order, with the most recent order displayed at the top. Scroll down or switch pages to view all orders booked in the past 90 calendar days.

Filter your orders based on criteria you define

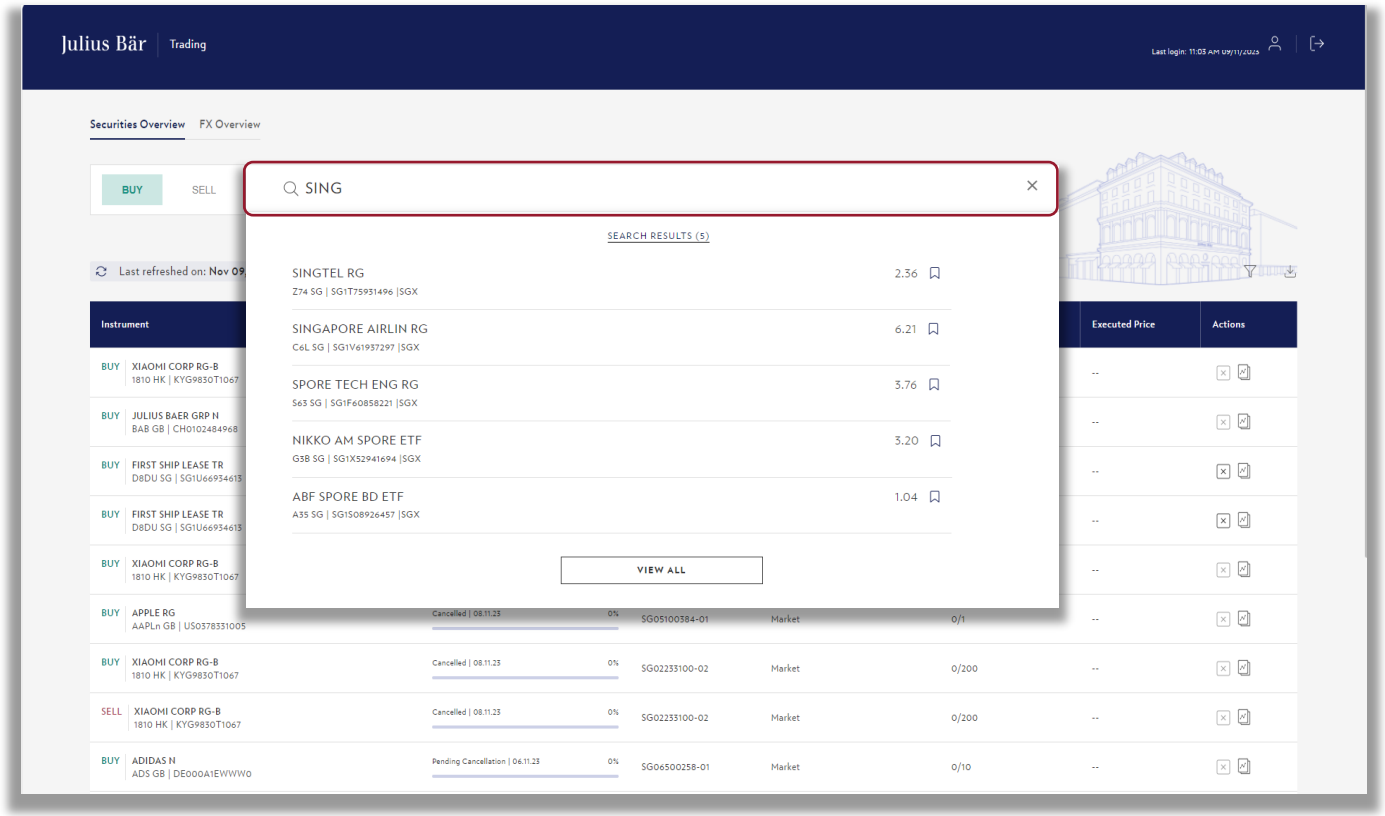
2. Filter order history by portfolio number, status, order type, order entry date and transaction type.

View individual order details

3. Click onto each order to view more information such as channel of placement, instrument, order and execution details.

Trading

Order Entry



Buy or sell an instrument

Search an instrument in the search bar by name, ticker or ISIN.

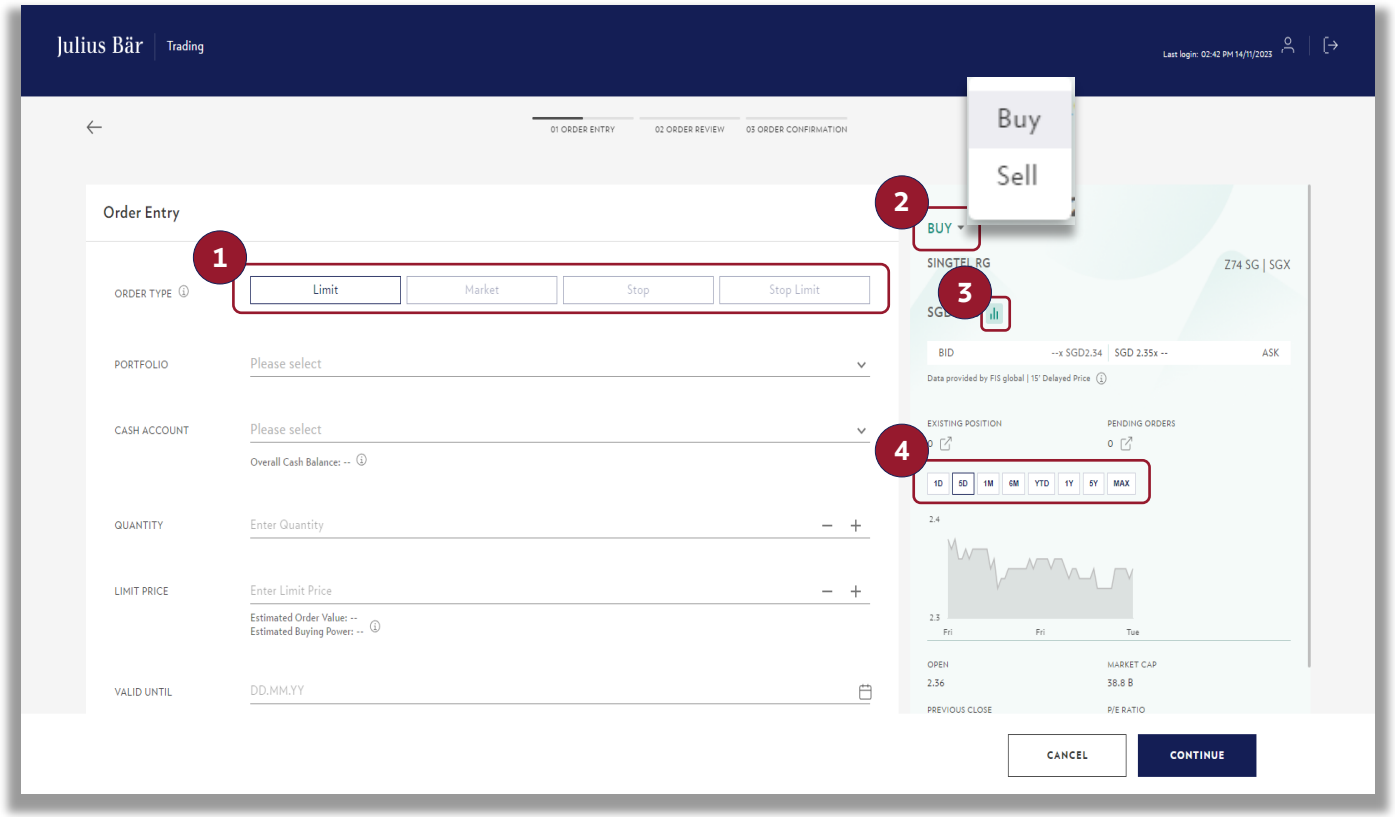
Select the instrument you wish to buy or sell.

If you are unable to search for an instrument, kindly reach out to your relationship manager or to the e-Channels Service Centre.

SG: +65 6739 3838

Trading

Order Entry



Select order type

1. Choose between order types such as limit, market, stop and stop limit.

Toggle between buy and sell

2. Choose between buying and selling of a particular instrument by switching between buy or sell

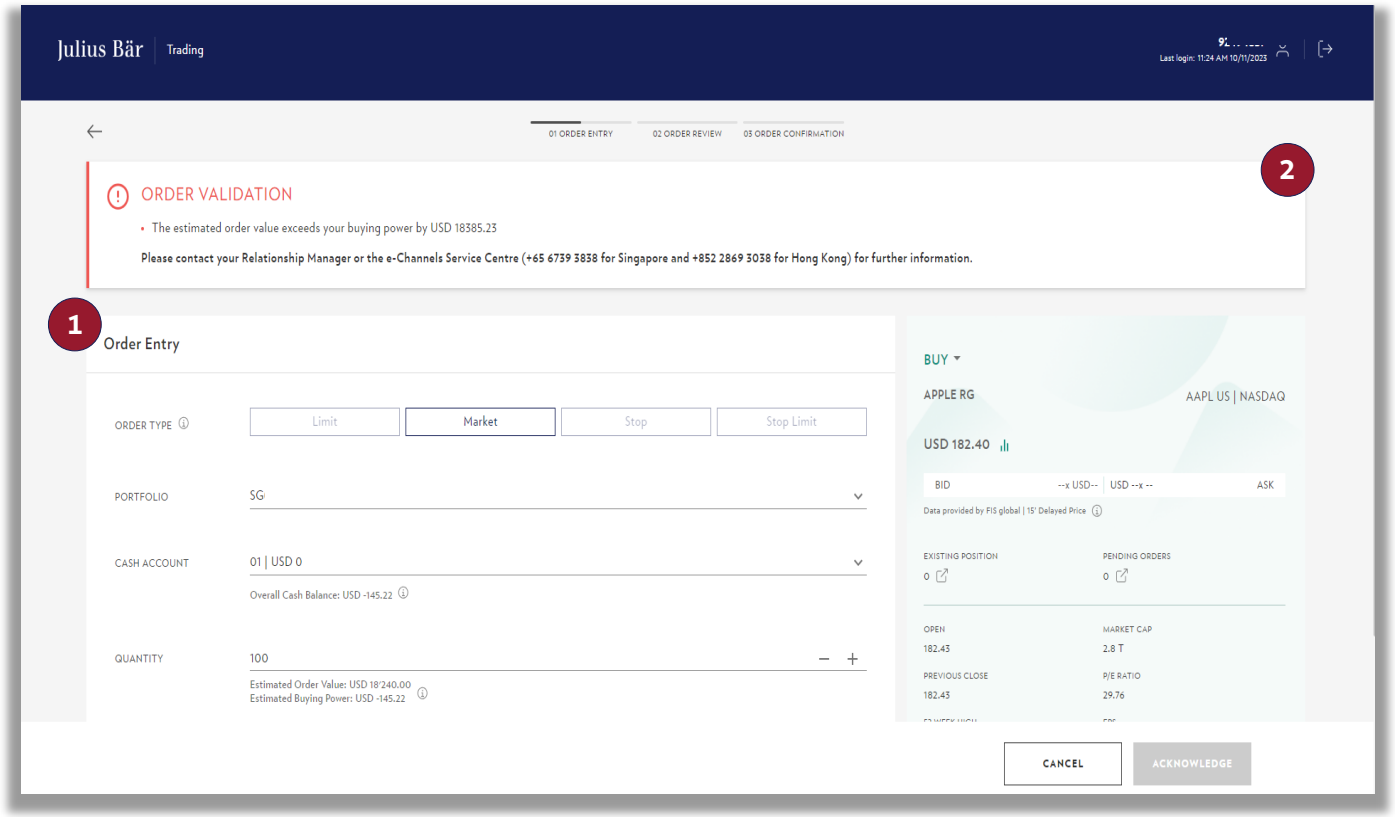
Click to view the historical pricing

3. Pricing is refreshed every 15 mins for major exchanges. However, your orders will be placed in real-time.

4. Switch between different periods. Scroll down to view the key attributes of the selected instruments.

Trading

Order Entry



Review and acknowledge portfolio validation alerts before placing an order

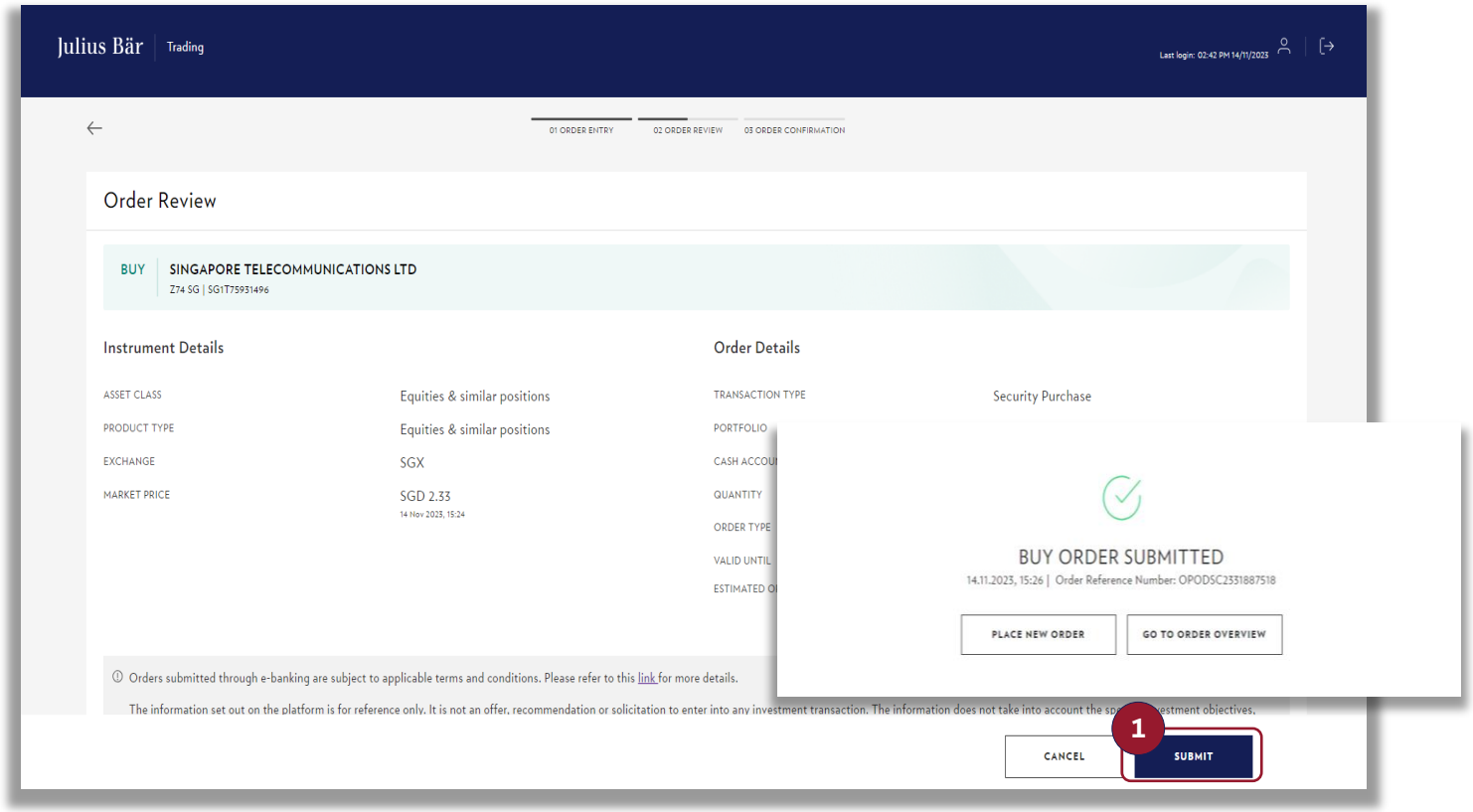
1. Select a portfolio, enter the order type, quantity, price, and click to continue.
2. Review and understand any portfolio validation alerts before placing an order.

Note:

- Limits to the deviation in price from the market price that you can enter: Warnings displayed when deviation is greater or equal to 10% and block when deviation is greater or equal to 30%
- Limits to number of orders that can be placed for the same instrument in one day: 10 (buy or sell) orders per day by the same user for the same instrument on a given day (the 11th order will be blocked)
- All limits are subject to change at any time from time to time. The Bank may in its absolute discretion (but is not obliged to) set different limits for different types of transactions
- Screenshots shown above (including all information therein) are for illustrative purposes only.

Trading

Order Entry



Review and submit order

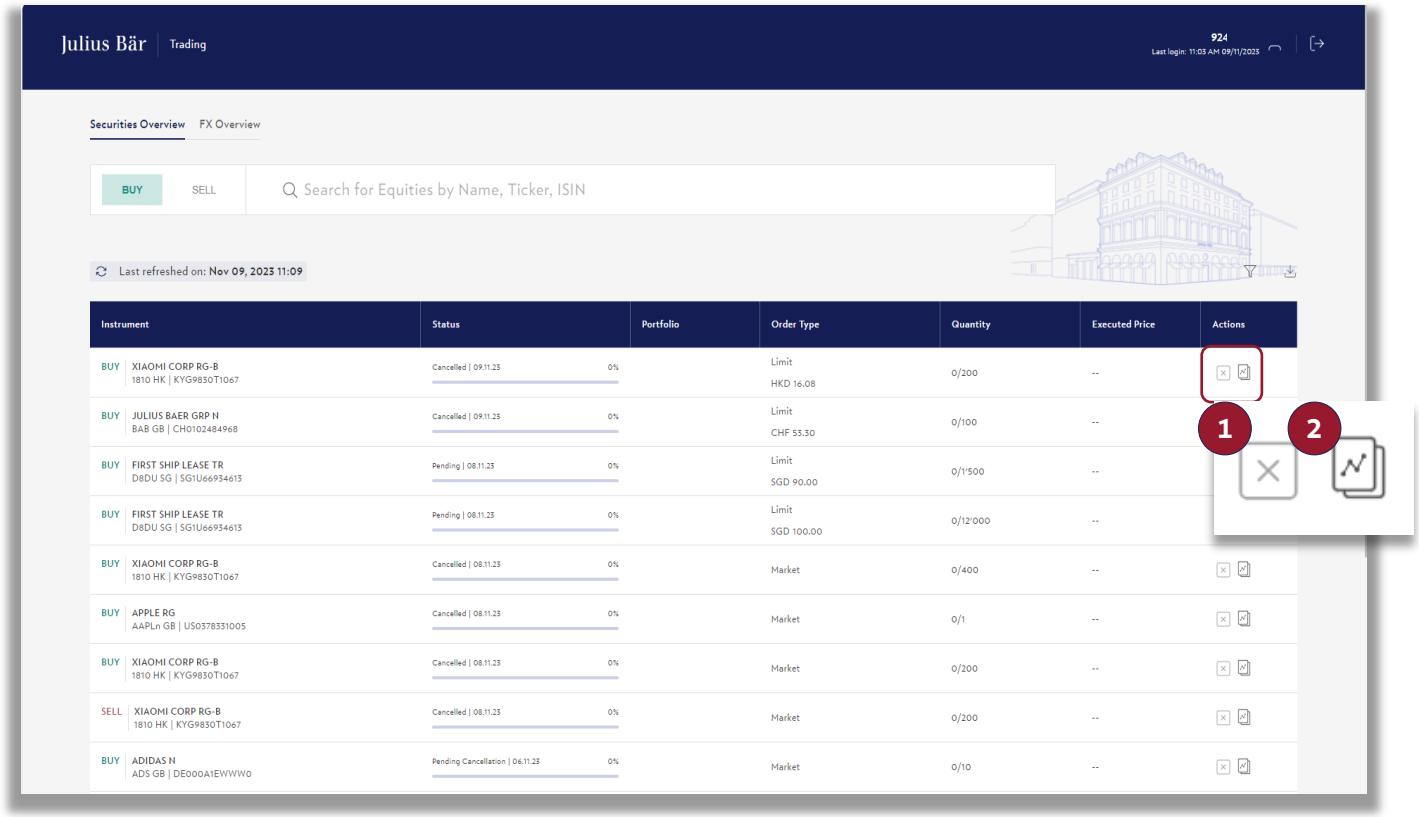
1. Once confirmed, click ‘SUBMIT’. You will be redirected to the ‘ORDER SUBMITTED PAGE’.

Your RMs will receive an email notification once order was placed through Trading in Digital Intermediaries Platform.

You may refer to the order overview page to view more details of the order placed.

Trading

Cancel or Copy Orders



Cancel an order

1. If the order status is pending, click on  to cancel your order.

Copy an order

2. To duplicate an order, click on  to populate the same details into a new order.

Note:

- Only Equities and ETFs orders can be cancelled – these include orders placed via online and offline methods such as DIP Trading, AM-ONE and BJB trading desk.
- To cancel an order for any other instrument type (e.g Fund, Bond,..) , please reach out to your Relationship Manager or the BJB trading desk.

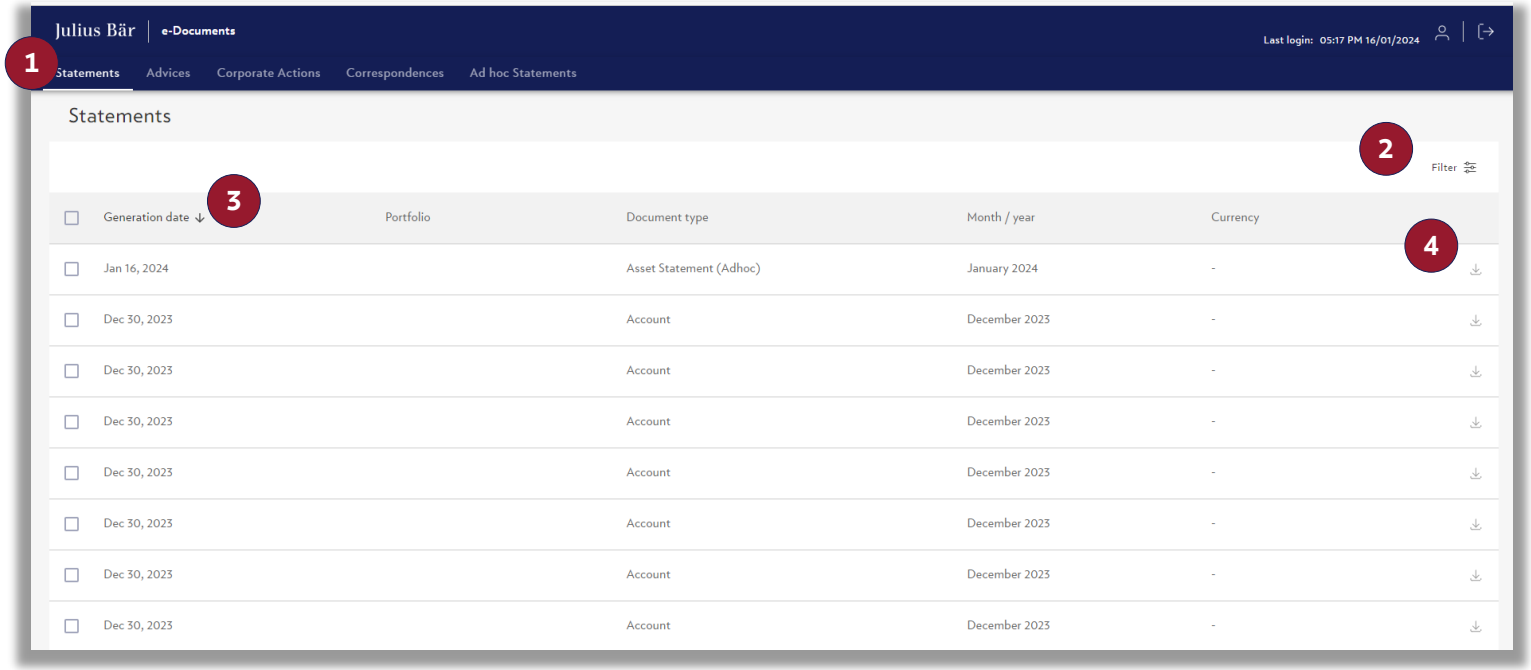
E-DOCUMENTS

View statements, advices, corporate actions, correspondences and ad hoc statements



E-DOCUMENTS

Functionalities

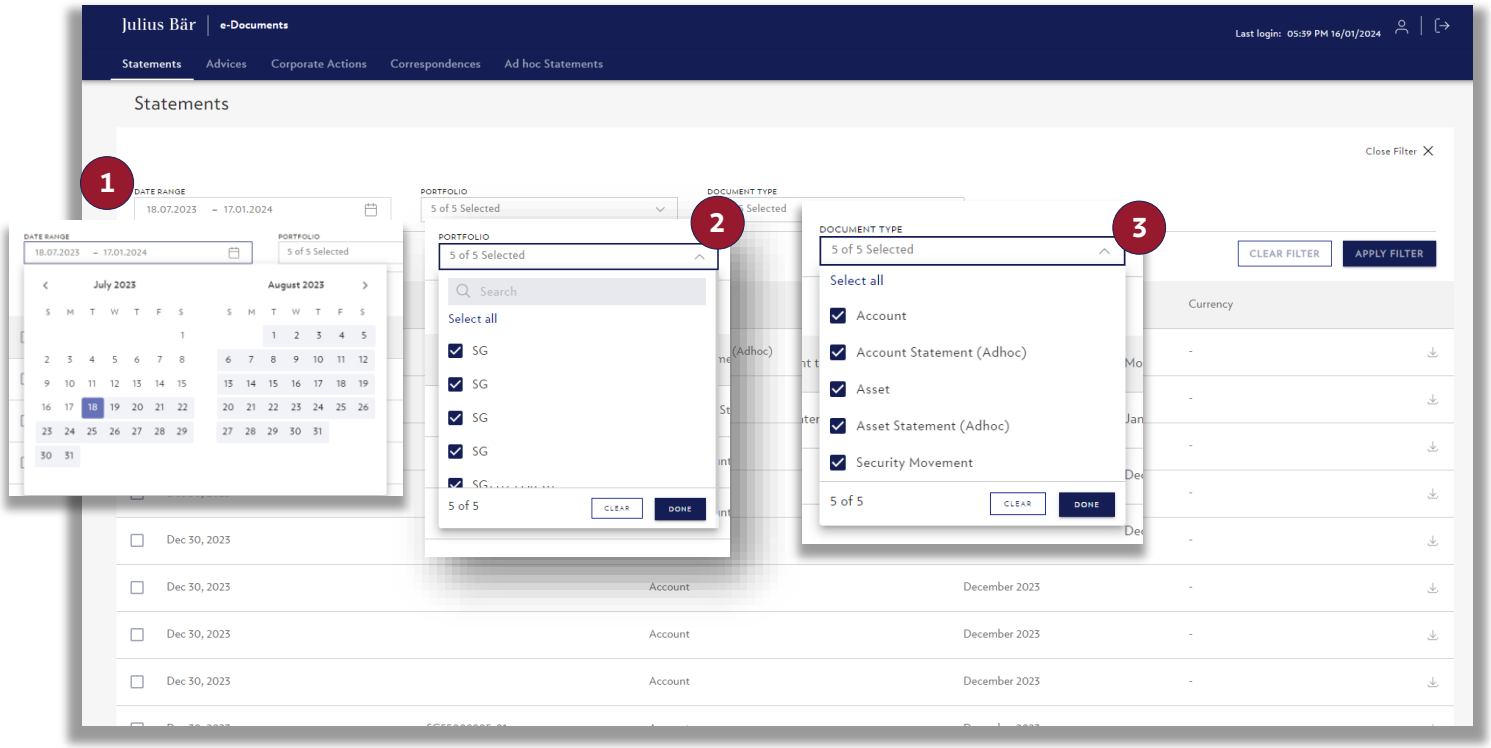


Feature Highlights

1. Toggle between different tabs to access statements, advices, corporate actions, correspondences and ad hoc statements
2. Filter documents by date range, portfolio and document type
3. Sort by document generation date
4. Download document

E-DOCUMENTS

Statements



Statements View

View and download historic month-end statements and ad hoc statements

Search statements by date range

1. Select a date ranging from the current date to five years previous

Filter statements by portfolios

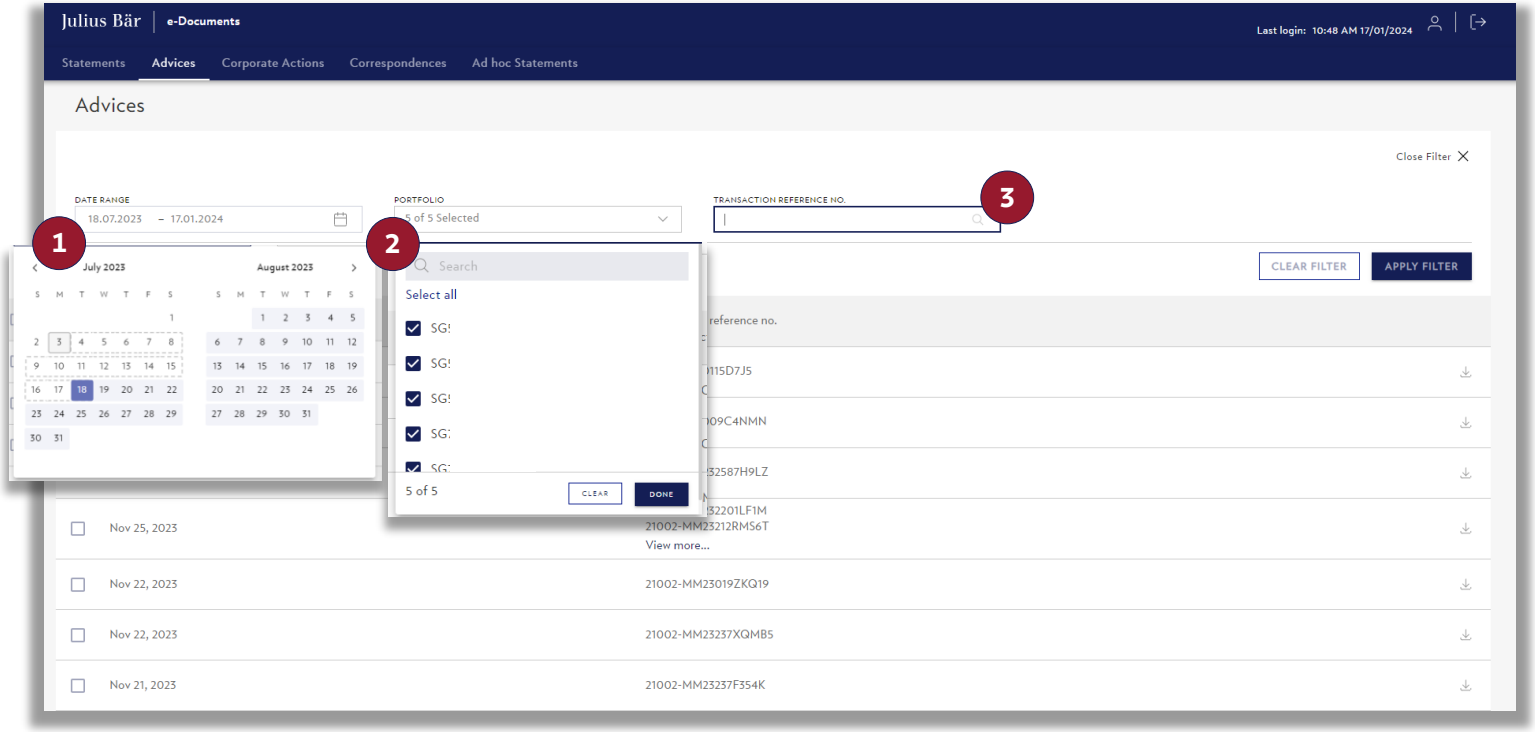
2. Select the portfolio or portfolios you wish to view statements for

Filter documents type

3. Filter for document types such as account statement, asset statement, ad hoc account and asset statement and security movement statement

E-DOCUMENTS

Advices



Advices View

View and download historical transaction advice

Search advices by date range

1. Select a date ranging from the current date to five years previous

Filter advices by portfolios

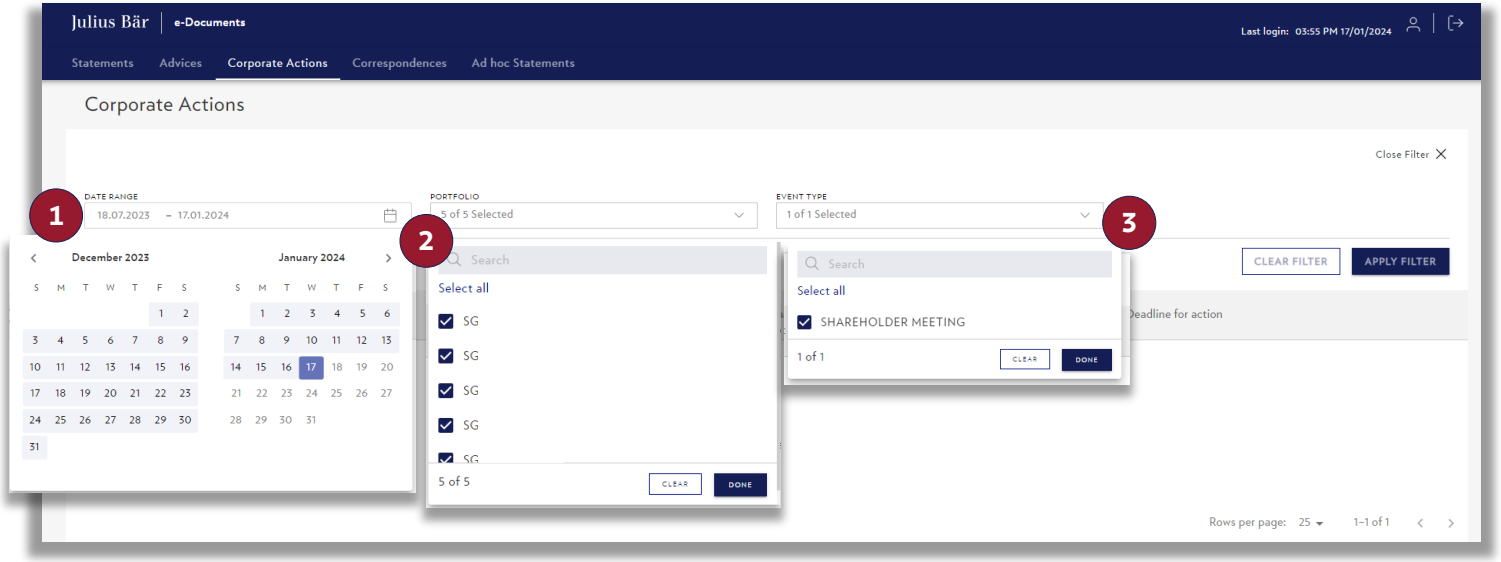
2. Select the portfolio or portfolios you wish to view advices for

Search advices by transaction reference

3. Key in the transaction reference number to retrieve advice for a specific transaction

E-DOCUMENTS

Corporate Actions



Corporate Actions View

View and download historical corporate actions notifications

Search corporate action events by date range

1. Select a date ranging from the current date to five years previous

Filter advices by portfolios

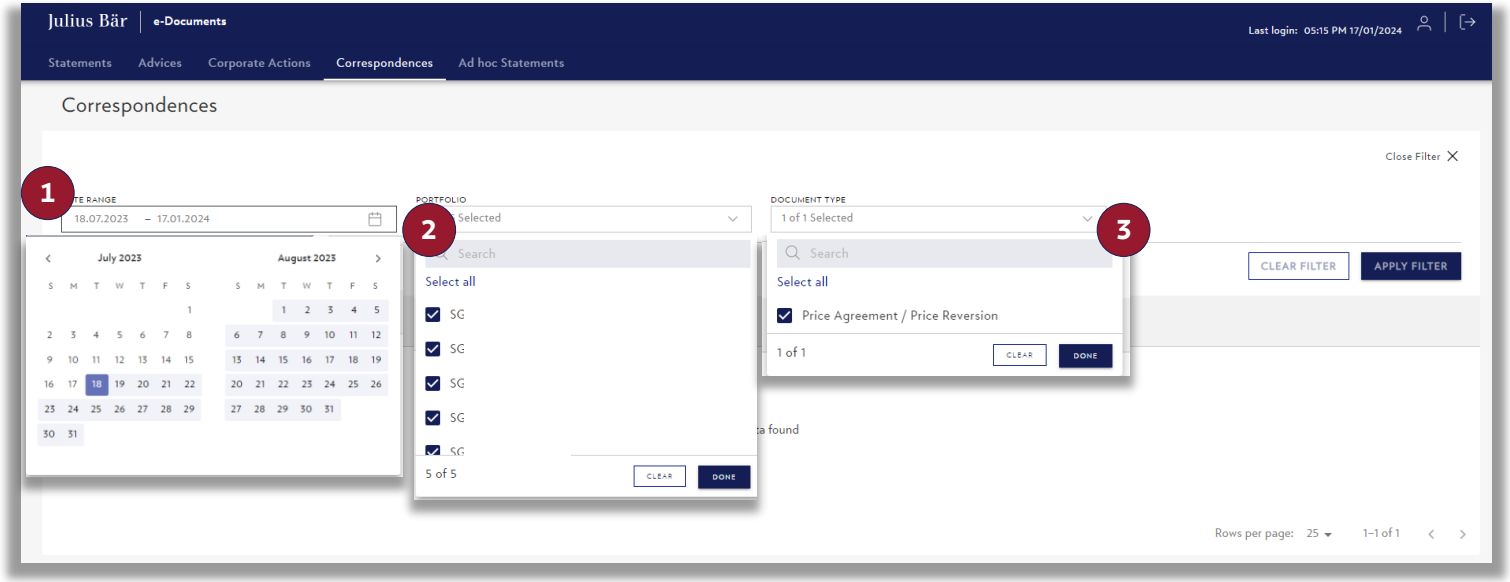
2. Select the portfolio or portfolios you wish to view corporate actions for

Filter by events

3. Filter and search for corporate actions by event type

E-DOCUMENTS

Correspondences



Correspondences View

View and download historical correspondences

Search correspondence by date range

1. Select a date ranging from the current date to five years previous

Filter correspondence by portfolios

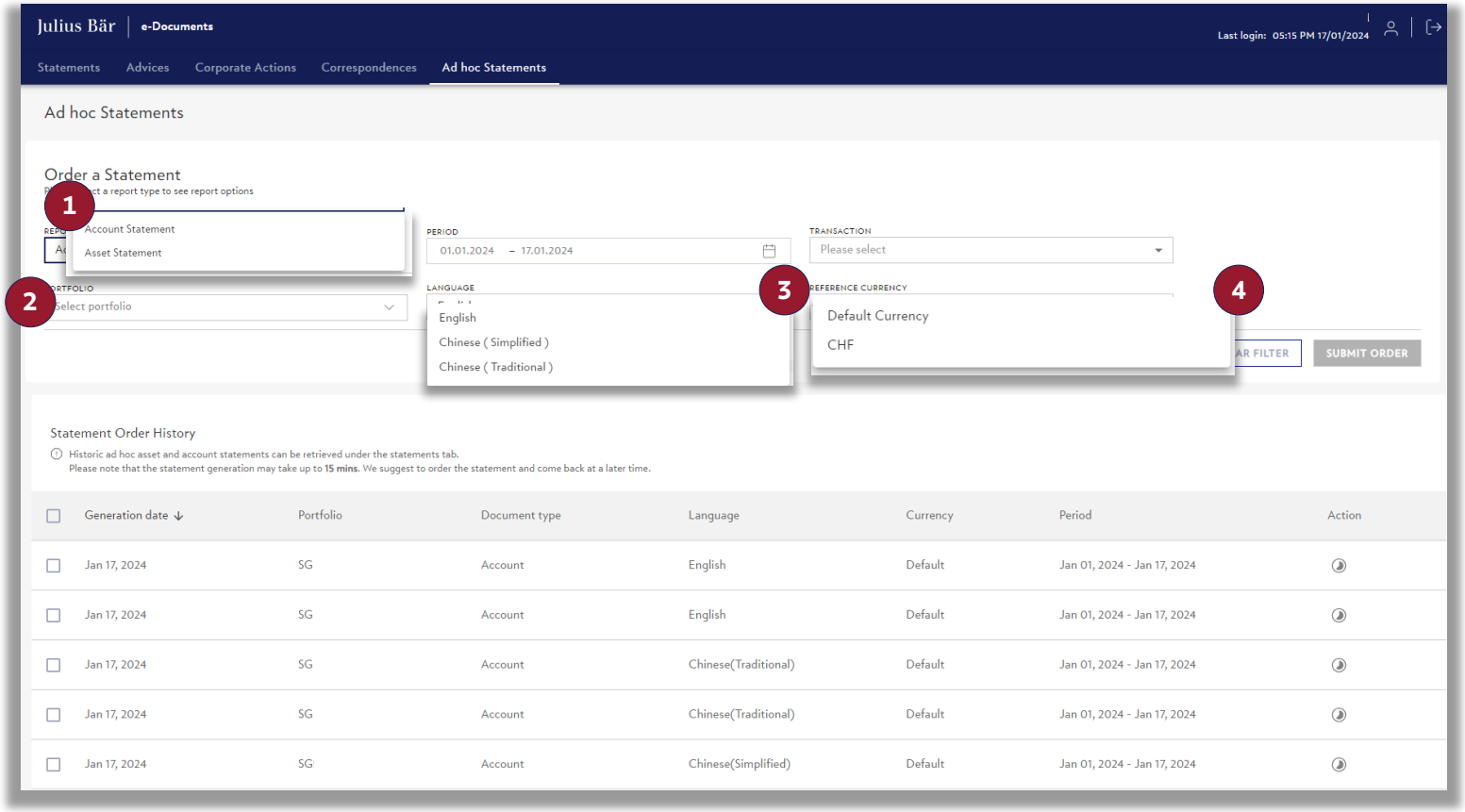
2. Select the portfolio or portfolios you wish to view correspondences for

Filter by document type

3. Filter and search for correspondence by document type

E-DOCUMENTS

Ad hoc Statements (Account Statement)



Ad hoc Statements View

Users are able to order Asset and Account statements on an ad hoc basis

Filter by report type

1 Select and filter by report type (Account)

Filter statements by portfolios

2 Select the portfolio or portfolios (up to 10) you wish to view ad hoc statements for

Obtain reports in preferred language

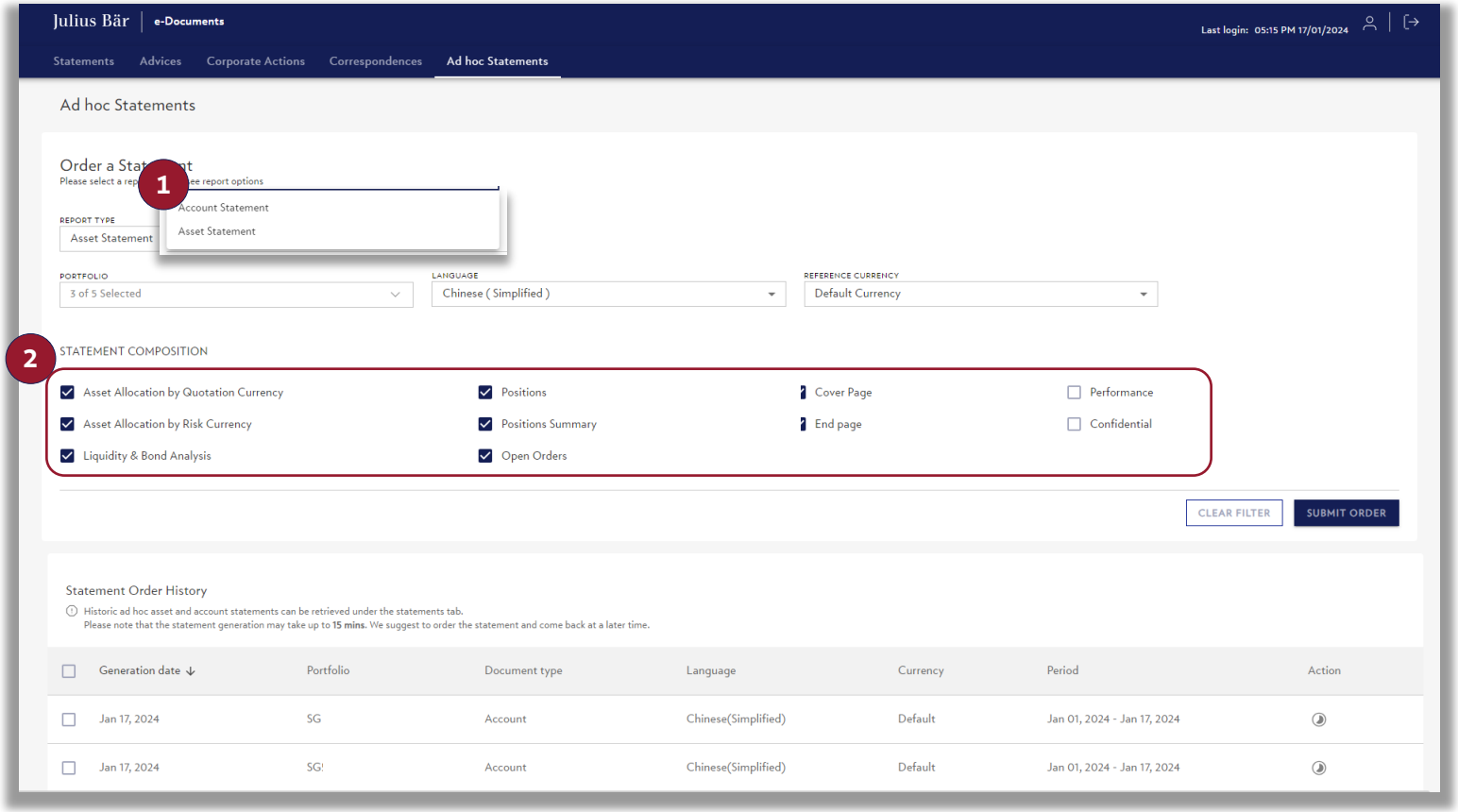
3 Select your preferred language (English, Simplified Chinese, Traditional Chinese) you wish to view reports in

Download statements in reference currency or CHF

4 Download statements in reference currency or CHF

E-DOCUMENTS

Ad hoc Statements (Asset Statement)



Ad hoc Statements View

Users are able to order Asset and Account statements on an ad hoc basis

Filter by report type

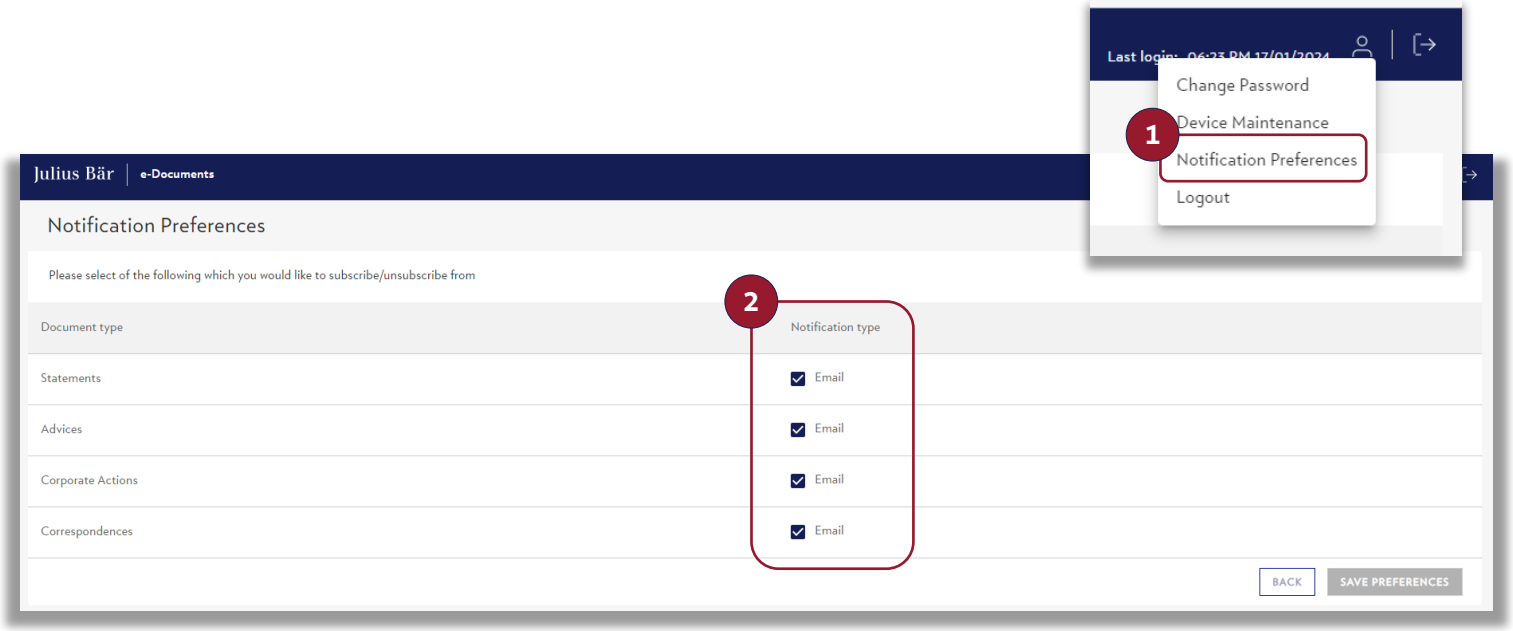
1 Select and filter by report type (Asset)

Customise report based on your preference

2 By default, all fields are checked for ordering of a standard report. Please select relevant checkbox if you wish to include Performance and/or order a Confidential report(with account name masked).

E-DOCUMENTS

Notification Preferences



Notification Preferences

Subscribe/unsubscribe from email notifications via the notification preferences tab

Customising your notification preferences

1. Click on the user icon and select "Notification Preferences"
2. Click on the checkbox on each notification type to subscribe/unsubscribe email notifications

Note:

- Each user will receive an email notification for all document types (Statements, Advices, Corporate Actions, Correspondences). HK users are only allowed to unsubscribe from Corporate Actions and Correspondences. SG users may unsubscribe from all email notifications.

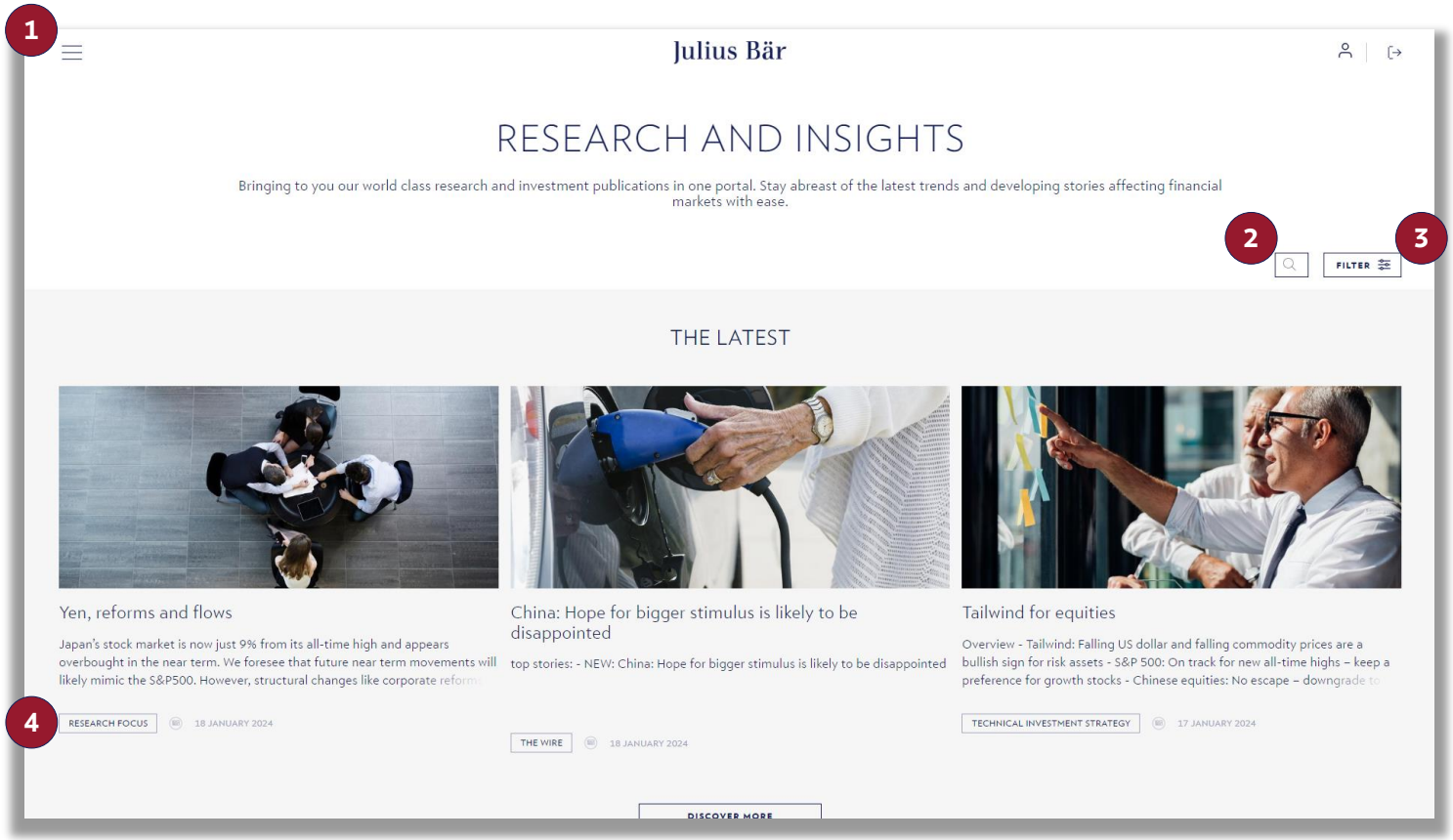
RESEARCH AND INSIGHTS

Access latest news in in the financial markets with our experts' corresponding views and insights



Research and Insights

Functionalities

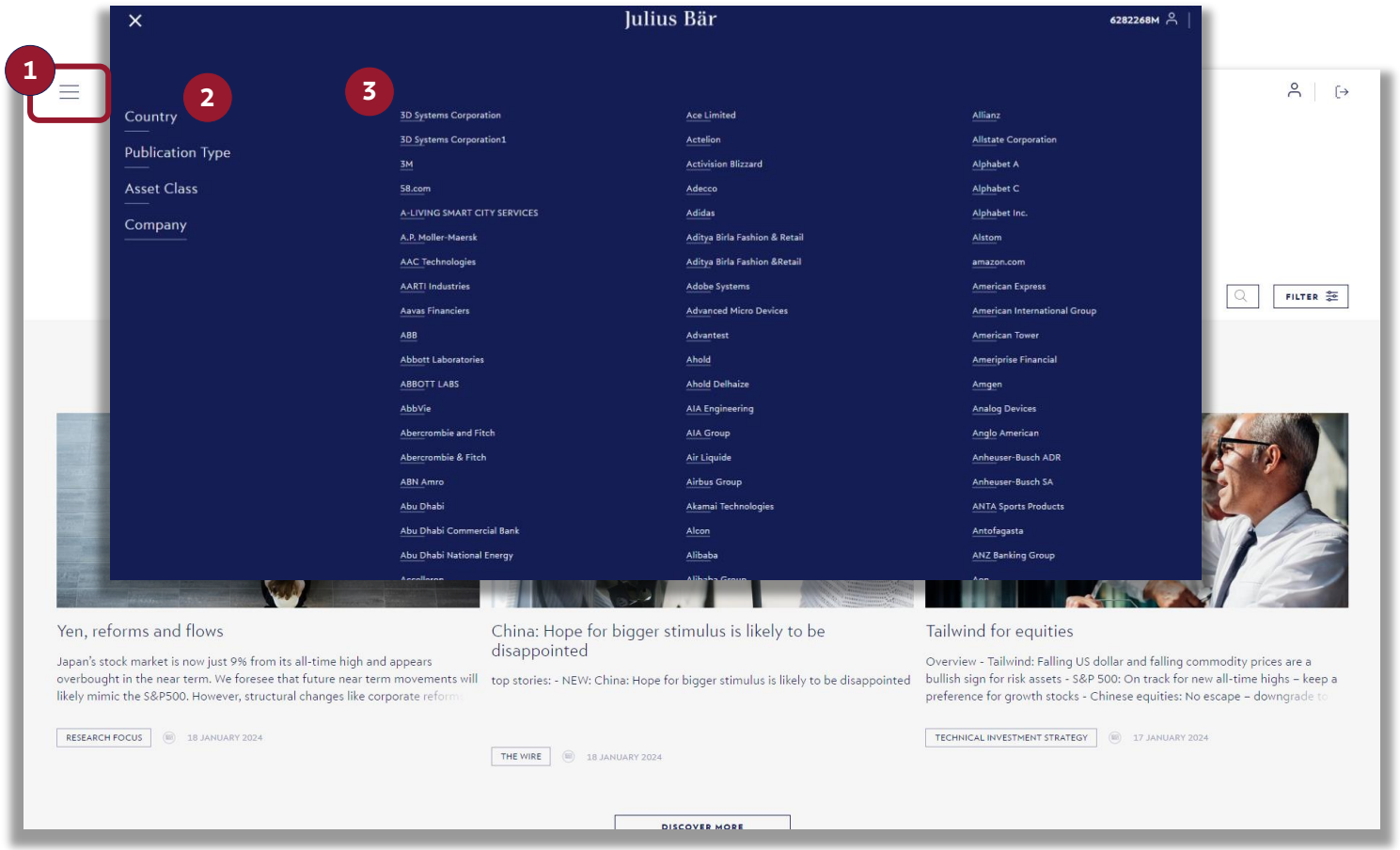


Feature Highlights

1. Navigate and explore content according to specific categories such as by country, publication type, asset class and company
2. Search for content
3. Filter for research and investment publications

Research and Insights

Menu bar

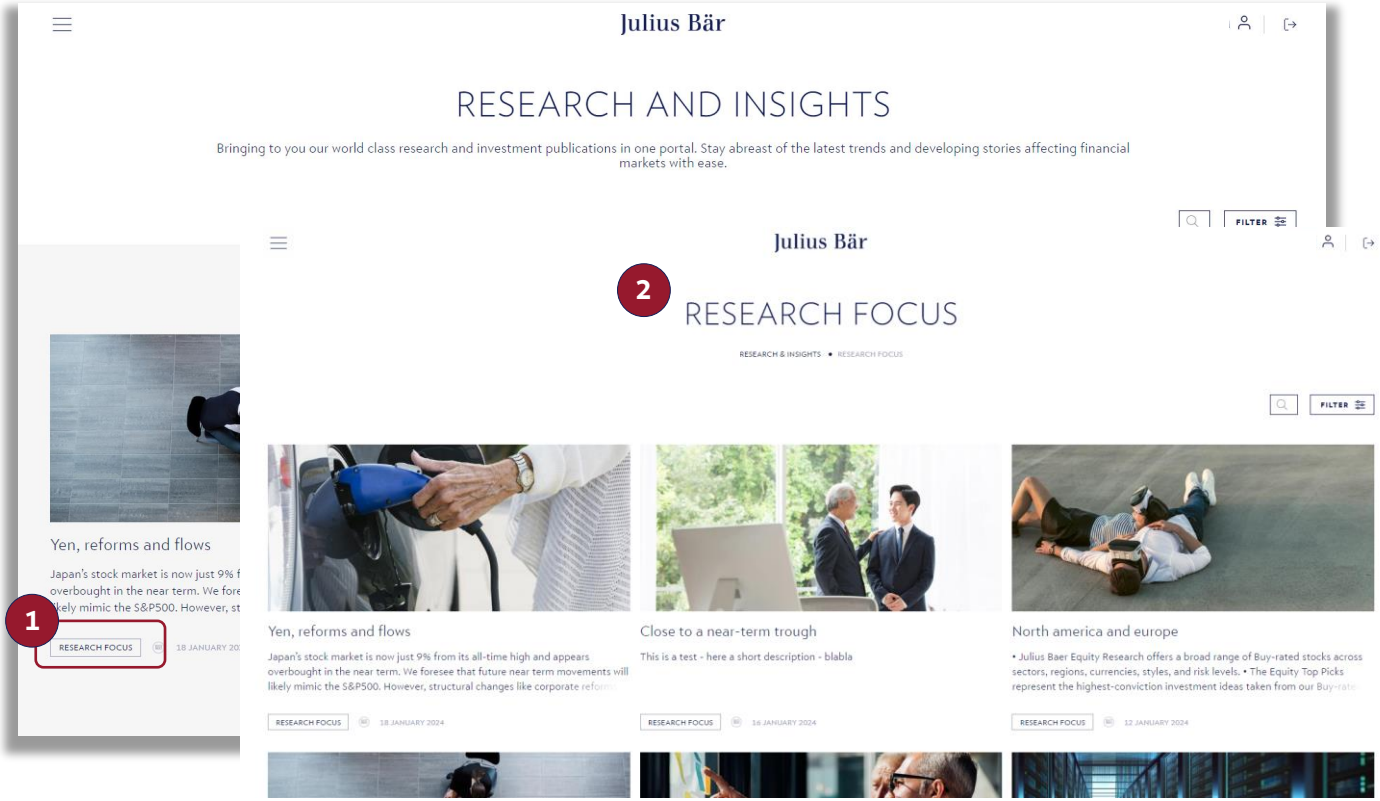


Navigate and explore content

1. Click on the hamburger icon ☰ to access content for specific categories
2. Click or hover your cursor on top of any of the categories to view the sub-categories available for viewing
3. Click on the interested sub-category to access articles in the sub-category

Research and Insights

Publications Type

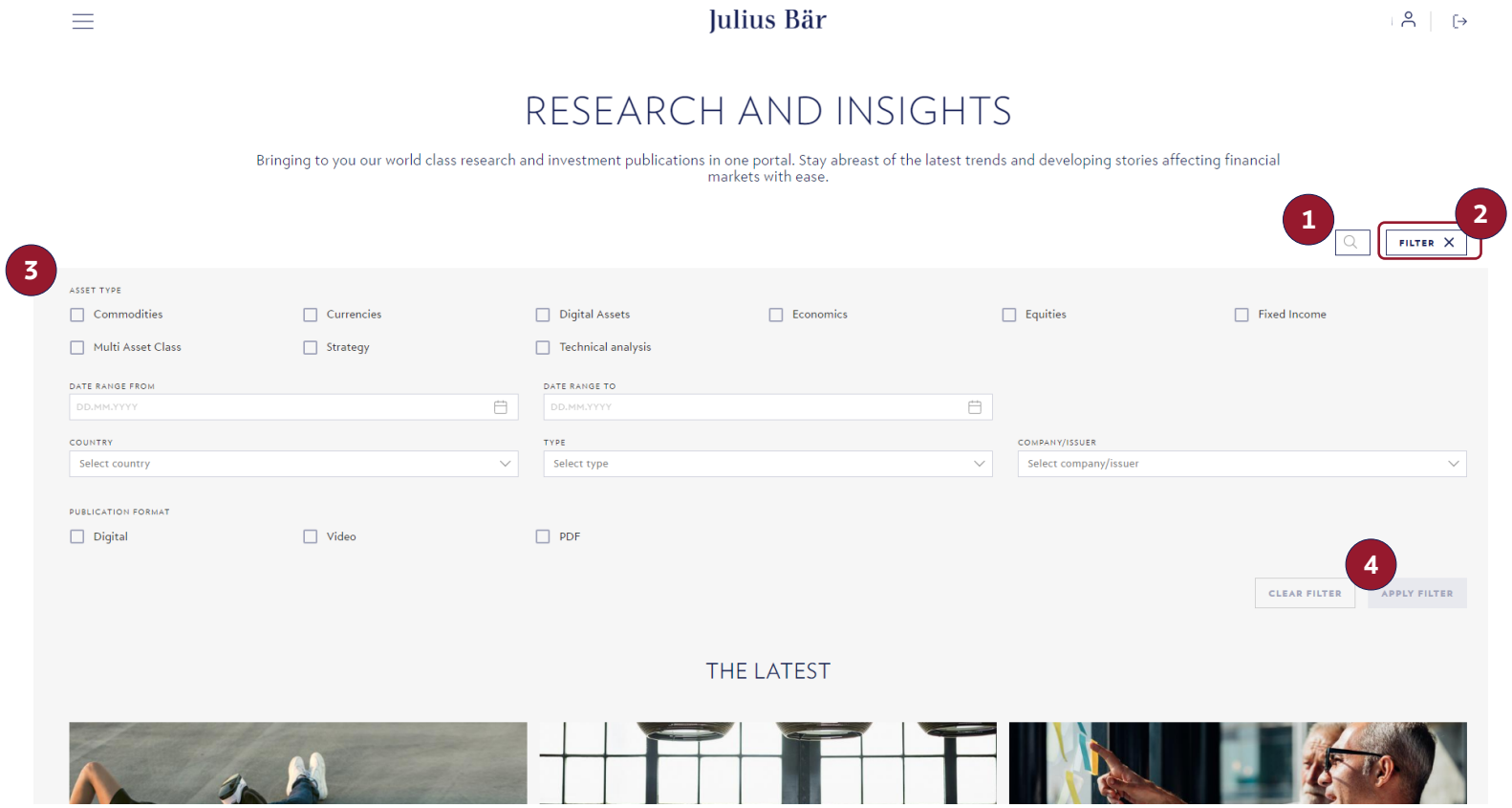


Navigating to publication types from specific content

1. For each article, you can click onto the publications under the article tile to get access to articles under the same publication name.
2. Once the publication name is selected, users will be directed to a page where articles under the same publication name will be shown.

Research and Insights

Filter and Search



Filter or Search for content

1. Click on the search icon and key in the key words to search for content.
2. Click on the filter icon to expand the filter function.
3. Select the search criteria including asset type, date range, country, publication type, company and publication format for research and investment publications.
4. Click on “Apply Filter” to display the search results. Note that it may take some time for the results to show as the system goes through the content database.

Note:

- Search and filter feature will apply to the content of the specific page. For example, if the user is on a specific publication, Baer Insight Equity, the filter and search function will search against content of that specific publication.

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