



COLLATERAL MANAGEMENT AND CUSTODY CLIENT DATA COLLECTION DOCUMENT FOR SMF & OTHER OFFICIAL OPERATIONS, FLS, TFS, TFSME, DWF, CHAPS IDL AND UK PAYMENT SCHEMES

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BANK OF ENGLAND

Guidance Notes

This document is to be used to provide the required static data in order to participate in the Bank's Sterling Monetary Framework (SMF) & other Official Operations, FLS, TFS, DWF, CHAPS IDL and UK Payment Schemes.

Please ensure **all** sections are completed in full as per the instructions on each page in order for us to process the setup of your institution in our system.

Sections Changed – Will need to be completed as follows:

New participants need only tick the 'New Participant' option to show that all sections have been completed.

Existing participants will need to tick each section requiring amendments.

Please provide the effective date from which the change(s) should take effect; if you leave this date blank the Bank will complete the update(s) as soon as reasonably possible.

Once this document is fully completed please return to: CMC.SSI@bankofengland.co.uk

It's advised, for you to keep a record yourselves, so you can refer back to when you need to submit an amendment to your details.

If you have any queries on the completion of this document please contact the Business Support Team using the below details.

Tel: +44 (0) 20 3461 6005

Email: CMC.SSI@bankofengland.co.uk



1. Sections Changed

Please indicate which areas you have made changes to using the checkboxes below.

If you are a **new participant** submitting this document for the first time, please check the 'New Participant' checkbox. For **subsequent amendments** you will need to indicate which areas you have changed and the effective date of the change as described in the guidance notes above.

New Participant	<input type="checkbox"/>
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2	Address Details	<input type="checkbox"/>
3	Contacts	<input type="checkbox"/>
4	Notification Options	<input type="checkbox"/>
5	Notification Preferences	<input type="checkbox"/>
6	Notification Email Addresses	<input type="checkbox"/>
7	SWIFT Address	<input type="checkbox"/>
8	Other Participant Details	<input type="checkbox"/>
9	Standard Settlement Instructions – Securities	<input type="checkbox"/>
10	Standard Settlement Instructions - Cash	<input type="checkbox"/>
11	Standard Settlement Instructions – Corporate Actions	<input type="checkbox"/>



2. Address Details

Please provide the address of the legal entity for which this document applies, ensuring **all** fields are completed.

Full Legal Name of your Institution: *Legal Entity Name*

Address: *Address Line 1*

Address Line 2

Address Line 3

Address Line 4

Postcode / Zipcode: *Postcode/Zipcode*

Country of Residence*: *Country of Residence*

Country of Incorporation: *Country of Incorporation*

*Required for tax purposes



3. Contacts

The below table should be populated with the most appropriate person for each Contact Type. Please provide only **one** person, telephone number and email address per Contact Type.

These contacts will be used for queries only and not for general notifications such as Statements of Holdings; the contact details for these can be specified in the Notification Email Addresses section of this document

Contact Type	Name	Telephone number (please include area code)	Email address
Operations Manager	<i>Enter 1 Name</i>	<i>Enter 1 Telephone Number</i>	<i>Enter 1 Email address</i>
Operational Contact	<i>Enter 1 Name</i>	<i>Enter 1 Telephone Number</i>	<i>Enter 1 Email address</i>
Alternative Operational Contact	<i>Enter 1 Name</i>	<i>Enter 1 Telephone Number</i>	<i>Enter 1 Email address</i>
Tax	<i>Enter 1 Name</i>	<i>Enter 1 Telephone Number</i>	<i>Enter 1 Email address</i>
Corporate Actions including Claims	<i>Enter 1 Name</i>	<i>Enter 1 Telephone Number</i>	<i>Enter 1 Email address</i>
Charges & Fees	<i>Enter 1 Name</i>	<i>Enter 1 Telephone Number</i>	<i>Enter 1 Email address</i>



4. Notification Options

Here you are required to select which of the notification options available, B through to E, you would like to apply to your institution. The notifications and notification methods vary between each option as detailed below. Please select only **one** notification option for your institution.

If multiple options are selected, the option providing the highest level of notifications of those selected will be applied.

Notification Types			
Option	Via SWIFT	Via Email (Report)	
<i>A</i>	<i>BOE use only</i>	<i>BOE use only</i>	<i>N/A</i>
B	None	Statements Charges/Fees Invoices Corporate Actions Corporate Actions – Entitlements Non-income Corporate Actions	<input type="checkbox"/>
C	Statements (e.g. MT535)	Charges/Fees Invoices Corporate Actions Corporate Actions – Entitlements Non-income Corporate Actions	<input type="checkbox"/>
D	Statements (e.g. MT535) Corporate Actions (e.g. MT564)	Charges/Fees Invoices Corporate Actions - Entitlements Non-income Corporate Actions	<input type="checkbox"/>
E	Statements (e.g. MT535) Corporate Actions (e.g. MT564) Settlement Confirmations (e.g. MT544)	Charges/Fees Invoices Corporate Actions - Entitlements Non-income Corporate Actions	<input type="checkbox"/>



5. Notification Preferences

This allows you to select how often you receive statements and, where weekly statements are selected, on which day of the week you would like to receive them. You can also select whether to receive null statements or not. The delivery method is defined by the options available in the Notification Options section of this document and so cannot be customised further here.

Please complete your preferences as per the table below.

Statement Preferences	
Frequency	<i>Daily / Weekly / End Month</i>
Weekly preference	<i>Mon / Tue / Wed / Thu / Fri</i>
Receive Null (zero) statements	<i>YES / NO</i>



6. Notification Email Addresses

This section allows you to specify where you would like your email notifications to be sent. This will apply to all email notifications you choose to receive in the Notification Options section of this document

Please specify only **one** email address per Notification Type. Where possible a **group** email address should be provided. If multiple addresses are provided, only the first address will be applied for that Notification Type.

Notification Type	Address	Purpose
Official*	<i>Email Address</i>	Email address for all notifications, including the Pool Details Report, Margin Calls and trade status updates, <u>with the exception of those listed below:</u>
Tax*	<i>Email Address</i>	Tax related notifications.
Corporate Actions including Claims*	<i>Email Address</i>	Corporate Action related notifications, including claims
Charges & Fees*	<i>Email Address</i>	Client Invoices
Statements	<i>Email Address</i>	Emailed securities statement reports per pool (PDF equivalent of MT535) <u>Only required if Option B selected in section 4. Notification Options.</u>

*Mandatory requirement



7. SWIFT Address

Please provide your BIC8 or BIC11 SWIFT address. This address will be used to send and receive SWIFT messages to and from the Bank in relation to these operations, though please note that your SWIFT address is **mandatory** regardless of your chosen notification profile.

Please also indicate whether an RMA (Relationship Management Application)* already exists to send or receive messages between our institutions by checking the relevant box(es)

BIC Code	BIC SWIFT Enabled?	RMA in place?
<i>Please provide your BIC8 or BIC11 SWIFT address</i>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Receive from BOE <input type="checkbox"/> Send to BOE <input type="checkbox"/>

* Relationship Management Application is a powerful and easy way to manage your business relationships. As a SWIFT user, you can easily control the traffic that you want to accept from other correspondents.
www.swift.com



8. Other Information

Here you need to select whether you wish to net your maturing and new exposures for the SMF and Other Official Operations your institution participates in.

Please also provide your tax ID for delivery of Italian securities.

If you are a **new participant** please also indicate whether you intend to make use of the Collateral Management Portal (CMP). Please note that this is for information purposes only; if you wish to use the CMP you will need to submit the relevant applications which can be found on the Bank’s website –

<http://www.bankofengland.co.uk/markets/Pages/money/standardsettlementinstructionsandtemplates.aspx>

Net Official Operations Exposures	YES <input type="checkbox"/> / NO <input type="checkbox"/>	N.B. You can only net within the same Operation. For example a maturing ILT OMOc can only net with a new ILT OMOc
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Italian Tax ID	<i>Please enter Tax ID here</i>
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Intend to use the Collateral Management Portal (CMP)	YES <input type="checkbox"/> / NO <input type="checkbox"/>	From go-live date <input type="checkbox"/> At a later date <input type="checkbox"/>
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9. Standard Settlement Instructions (SSIs) - Securities

Here you are required to provide the details of the accounts from which you will be delivering securities to the Bank, as collateral for the Bank’s SMF & other Official Operations, FLS, IDL and UK Payment Schemes. Only accounts provided below will be permitted in instructions relating to these operations.

Place of Settlement – CREST	Participant ID	Account ID
CREST*		
CREST Alternate (optional)		
CREST TDBV (optional)		

*This account will be used by your institution to deliver securities for use as collateral in the Bank’s operations. If you are a DWF participant please indicate below whether you would like to receive the Gilts to a different CREST account. Likewise if you are an FLS participant and wish to receive the Treasury Bills to a different CREST account, please indicate this below.

DWF Gilts	<i>Please enter ID</i>	
FLS Treasury Bills	<i>Please enter ID</i>	

Place of Settlement - ICSD	Account Number (SWIFT :95a::DEAG/REAG Euclid ‘:87C:’ CreationOnline ‘*Party’)	Buyer/Seller (SWIFT :95a::BUYR/SELL)
Euroclear		
Clearstream		

Place of Settlement – BOJ	Delivering/Receiving Agent (SWIFT :95a::DEAG/REAG)	Deliverer/Receiver Custodian (SWIFT :95a::DECU/RECU)	Buyer/Seller (SWIFT :95a::BUYR/SELL)
Bank of Japan			

Place of Settlement - CCBM	Delivering/Receiving Agent (SWIFT :95a::DEAG/REAG)*	Buyer/Seller (SWIFT :95a::BUYR/SELL)*
CCBM Austria		
CCBM Belgium		
CCBM Finland		
CCBM France		
CCBM Germany		
CCBM Ireland		
CCBM Italy		
CCBM Luxembourg		
CCBM Netherlands		
CCBM Portugal		
CCBM Slovenia		
CCBM Spain		

* If a 97A SAFE account is required please provide the account preceded by //



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Place of Settlement – North America	Buyer/Seller (SWIFT :95a::BUYR/SELL)	Delivering/Receiving Agent (SWIFT :95a::DEAG/REAG)	Safekeeping Account (SWIFT :97a::SAFE)
DTC (BoNY)		<i>Please include DTC ID</i>	
Fedwire Securities	<i>Please enter your Fedwire name</i>	<i>Please enter DEAG/REAG BIC</i>	N/A
Bank of Canada	<i>Please enter your CUID account</i>		



10. Standard Settlement Instructions (SSIs) - Cash

Please provide your GBP SSI to be used to make cash payments to your institution for the SMF & Other Official operations you enter into. As per the [SMF Operating Procedures](#), cash for these operations will be paid to this SSI. Your RTGS account may only be used in certain circumstances and with prior agreement from the Bank.

If your institution is signed up to the USD Swap facility and Euro Repo Operations (LiFE), then please also provide SSIs.

Only **one** SSI is permissible per currency. If multiple SSIs are provided for either currency, only the first SSI provided will be applied.

Currency	Intermediary BIC SWIFT Field 56 (Optional)	Account With Institution – BIC SWIFT Field 57 (Optional)	Account With Institution – Sort Code/Account Number SWIFT Field 57 (Optional)	Beneficiary Institution – ***BIC SWIFT Field 58 (Mandatory)	Beneficiary Institution – ****IBAN or Account Number SWIFT Field 58 (Mandatory)
<i>Example - GBP</i>	<i>N/A</i>	<i>BKENGB2LMKT</i>	<i>SC 10-00-00</i>	<i>BKENGB33XXX</i>	<i>99999999</i>
RTGS GBP	<i>BOE use only</i>	<i>BOE use only</i>	<i>BOE use only</i>	<i>BOE use only</i>	<i>BOE use only</i>
GBP*	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>
EUR	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>
USD**	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>

* Please ensure the BIC code provided for the receiver of the funds is a CHAPS addressable BIC

** Please include your ABA/FEDWIRE number when required

*** Beneficiary Institution BIC – This can be different from the main entity BIC on page 9, but should be the same as the BIC in Field 58 on page 14.

**** The preference will be to provide an IBAN as this provides detailed information of your account and leaves fewer margins for error.



11. Standard Settlement Instructions (SSIs) - Corporate Actions

Please provide the SSIs you would like the proceeds of Corporate Actions on securities held with the Bank paid to. Only **one** SSI is permissible per currency. If multiple SSIs are provided for any currency, only the first SSI provided will be applied.

Currency	Intermediary BIC SWIFT Field 56 (Optional)	Account With Institution – BIC SWIFT Field 57 (Optional)	Account With Institution – Sort Code/Account Number SWIFT Field 57 (Optional)	Beneficiary Institution – **BIC SWIFT Field 58 (Mandatory)	Beneficiary Institution – IBAN <u>or</u> Account Number SWIFT Field 58 (Mandatory)
Example - GBP	N/A	BKENGB2LXXX	SC 10-00-00	BKENGB33XXX	99999999
GBP	Click here	Click here	Click here	Click here	Click here
EUR	Click here	Click here	Click here	Click here	Click here
USD*	Click here	Click here	Click here	Click here	Click here
AUD	Click here	Click here	Click here	Click here	Click here
CAD	Click here	Click here	Click here	Click here	Click here
CHF	Click here	Click here	Click here	Click here	Click here
CNY	Click here	Click here	Click here	Click here	Click here
DKK	Click here	Click here	Click here	Click here	Click here
JPY	Click here	Click here	Click here	Click here	Click here
NOK	Click here	Click here	Click here	Click here	Click here
NZD	Click here	Click here	Click here	Click here	Click here
SEK	Click here	Click here	Click here	Click here	Click here

* For USD please include your ABA/FEDWIRE number when required.

** Beneficiary Institution BIC – This can be different from the main entity BIC on page 9, but should be the same as the BIC in Field 58 on page 13



12. Authorised Signatories

The Bank can only act on Data Collection Documents validated by Authorised Signatories. Please complete the below as per **your institution's** Authorised Signatory rules before returning this document to the Bank as set out in the Guidance Notes.

Signature 1: _____
Name: _____
Position: _____
Date: _____

Signature 2 (*if required*): _____
Name: _____
Position: _____
Date: _____

Signature 3 (*if required*): _____
Name: _____
Position: _____
Date: _____