

COLLATERAL MANAGEMENT AND CUSTODY CLIENT DATA COLLECTION DOCUMENT FOR SMF & OTHER OFFICIAL OPERATIONS AND UK PAYMENT SCHEMES

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Last updated 06/01/2025

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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 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.

Section 1 (Sections Changed) needs 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

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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"/>

Effective Date (if relevant): *Please enter date here*

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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*

Legal Entity Identifier (LEI): *LEI Code*

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*

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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, it is essential that the Bank has updated contact information. Please note that official notifications covered in Section 4 (Notification Options) will be sent to the details provided in Section 6 (Notification Email Addresses).

The Bank requires an SSI 'call-back' to verify the details within this document. The below contacts will be used to complete this 'call-back' process.

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>

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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)	
A	<i>BOE use only</i>	<i>BOE use only</i>	N/A
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"/>

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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 Section 4 (Notification Options) 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>(only required if weekly frequency is selected)</i>	<i>Mon / Tue / Wed / Thu / Fri</i>
Receive Null (zero) statements	<i>YES / NO</i>

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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 Section 4 (Notification Options) 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*

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7. SWIFT Address

Please provide your BIC11 SWIFT address for the LEI provided in Section 2 (Address Details). 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)

BIC11 Code	BIC SWIFT Enabled?	RMA in place?
<i>Click here</i>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Receive from BOE <input type="checkbox"/> Send to BOE <input type="checkbox"/>

**RMA 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]*

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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 relevant.

If you are a **new participant** please also indicate whether you intend to make use of the Collateral Management Portal (CMP). See further notes below.

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	Tax ID ('if relevant')
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There are three possible collateral instruction methods:

- 1) Collateral Management Portal (CMP)
- 2) SWIFT instruction
- 3) Excel template confirmation

For straight-through processing (STP) of your collateral movements use of the CMP and/or SWIFT is encouraged. The CMP allows users easy access to view collateral positions and valuations, check collateral eligibility and instruct collateral movements. You can find out more about the CMP by accessing the [user guide](#). Indicate below whether you would like to use the CMP for collateral management. Please note an additional [registration form](#) is needed to create or amend users of the CMP.

For more information on the CMP, including set-up process and user benefits, please contact CMC.SSI@bankofengland.co.uk.

Intend to use the Collateral Management Portal (CMP)	YES <input type="checkbox"/> / NO <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 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.

DWF Gilts	<i>Please enter ID</i>	
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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 – 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>	
Bank of Canada	<i>Please enter your CUID account</i>		

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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 Agent (Optional)		Creditor Agent (Optional)		Creditor (Mandatory)	
	BIC11 SWIFT	Clearing System Member ID	BIC11 SWIFT	Clearing System Member ID** or Account Number or IBAN	BIC11*** SWIFT	IBAN**** or Account Number
<i>Example - GBP</i>	<i>N/A</i>	<i>N/A</i>	<i>BKENG2LMKT</i>	<i>GBDSC100000</i>	<i>BKENG33XXX</i>	<i>GB07BKEN10000099999999</i>
RTGS GBP	BOE use only	BOE use only	BOE use only	BOE use only	BOE use only	BOE use only
GBP*	Click here	Click here	Click here	Click here	Click here	Click here
EUR	Click here	Click here	Click here	Click here	Click here	Click here
USD	Click here	Click here	Click here	Click here	Click here	Click here

*Please ensure the BIC code provided for the Creditor (or Creditor Agent) is a CHAPS addressable BIC.

**Please ensure UK clearing system member IDs are only applied to GBP accounts, and not to other currencies.

***Creditor BIC – This can be different from the main entity BIC in Section 7 (SWIFT Address) but should be the same as the Creditor BIC in Section 11 (SSIs – Corporate Actions). If the Creditor BIC does not match the Section 7 BIC please provide the Creditor LEI below.

****Where possible the IBAN should be quoted. If the Creditor Agent is Euroclear an IBAN is mandatory information for Creditor.

Creditor Legal Entity Identifier (LEI):

Creditor LEI Code (if Creditor BIC is different to main entity BIC in Section 7)

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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 Agent (Optional)		Creditor Agent (Optional)		Creditor (Mandatory)	
	BIC11 SWIFT	Clearing System Member ID	BIC11 SWIFT	Clearing System Member ID** or Account Number or IBAN	BIC11*** SWIFT	IBAN**** or Account Number
<i>Example - GBP</i>	<i>N/A</i>	<i>N/A</i>	<i>BKENGB2LXXX</i>	<i>GBDSC100000</i>	<i>BKENGB33XXX</i>	<i>GB07BKEN10000099999999</i>
GBP*	<i>Click here</i>	<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>	<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>	<i>Click here</i>
AUD	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>
CAD	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>
CHF	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>
CNY	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>
DKK	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>
JPY	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>
NOK	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>
NZD	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>	<i>Click here</i>
SEK	<i>Click here</i>	<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 Creditor (or Creditor Agent) is a CHAPS addressable BIC.

**Please ensure UK clearing system member IDs are only applied to GBP accounts, and not to other currencies.

***Creditor BIC – This can be different from the main entity BIC in Section 7 (SWIFT Address) but should be the same as the Creditor BIC in Section 10 (SSIs – Cash). If the Creditor BIC does not match the Section 7 BIC please provide the Creditor LEI below.

****Where possible the IBAN should be quoted. If the Creditor Agent is Euroclear an IBAN is mandatory information for Creditor.

Creditor Legal Entity Identifier (LEI):

Creditor LEI Code (if Creditor BIC is different to main entity BIC in Section 7)

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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.

Please note that it is a requirement for all Sections of the form to be completed to submit a new or updated SSI, see guidance notes for more information.

Signature 1:

Name:

Position:

Date:

Signature 2 (*if required*):

Name:

Position:

Date:

Signature 3 (*if required*):

Name:

Position:

Date:
