

Introduction to the Financial Services Survey: Quarterly Return of Assets and Liabilities

Purpose of this survey

This survey collects information on the assets and liabilities of your business. The information supplied forms part of the UK's National Accounts and Balance of Payments which are used by the Treasury and the Bank of England to monitor the economy.

Coverage

- Include information for the UK business named on the front of this questionnaire.
- Exclude overseas branches, subsidiaries and agencies.
- The UK consists of England, Wales, Scotland and Northern Ireland, but excludes the Channel Islands and the Isle of Man.

Information required

This questionnaire is divided into six sections, which ask for information about:

- Section A** the reporting period
- Section B** assets
- Section C** liabilities
- Section D** transactions in non-financial assets
- Section E** breakdown of overseas assets
- Section F** any substantial changes, completion time and your contact details

Basis for completion

- This questionnaire should be completed on an accruals accounting basis and would normally utilise data from the accounting system that is used for the production of your statutory accounts.
- Please provide information only for the accounts of the business named on the front of this questionnaire. Exclude the accounts of trusts or funds that you manage on behalf of others, as part of an investment management service.
- Current prices or market values should be used.

How to complete the questionnaire

- Give the best estimate you can if you do not have exact figures.
- Leave question blank if not applicable (a zero return will be assumed). Do not use 'nil', 'n/a' or draw a line in the data.
- Read accompanying instructions before completing this questionnaire.
- The items listed under Include and Exclude are examples and should not be taken as a complete list of items.
- Round all values to the nearest £0.1 million

For example, £65,375,000 = £ , , 6 5 . 4 m

For example, £88,000 = £ , , 0 . 1 m

- Use the closing middle market spot rate on the last day of the period covered in this questionnaire if you need to convert from foreign currency to sterling.

This questionnaire will be scanned, therefore please:

- complete in **black ink**
- ensure letters and numbers are PRINTED and centered within each box
- do not use commas
- do not cross sevens or zeros

Section A - Reporting Period

This survey covers the calendar quarter [variable text]

1. Are you able to report for the quarter [variable text]?

Yes → Go to section B

No → Go to question 2 0100

2. What are the dates of the quarter that you will be reporting for?

From: D D M M Y Y Y Y
 0101

To: D D M M Y Y Y Y
 0102

Section B - Assets

Please provide your end balance position as recorded in your company accounts at the end of the period specified in Section A.

Section B.1 - Deposits (financial assets)

3. Questions in this section are about the financial assets of the business named on the front of this questionnaire.

At the end of the reporting period:

4. What was the value of your holdings of transferable deposits held with banks or building societies located:

Transferable deposits are deposits that can be exchanged for bank notes and coins on demand, without penalty or restriction. They can also be used directly to make payments by cheque, direct debit, bankers draft or giro.

Include:

- balances with banks or building societies held in current accounts

Exclude:

- monies held on behalf of others, such as clients
- cash holdings
- transferable deposits that are not available on demand or have limited transferability

a. in the UK:

To the nearest £0.1 million

i. in sterling? £ , , . m 1000

ii. in non-sterling? £ , , . m 1001

b. outside of the UK:

i. in sterling? £ , , . m 1002

ii. in non-sterling? £ , , . m 1003

Section B.2 - Debt securities with an original maturity of one year or less (financial assets)

8. Questions in this section are about the financial assets of the business named on the front of this questionnaire.

At the end of the reporting period:

9. Did the business named on the front of this questionnaire have any holdings of debt securities with an original maturity of one year or less?

Debt securities are negotiable instruments which serve as evidence of debt. They include:

- bonds
- negotiable certificates of deposit
- debentures
- bills
- non-participatory preferences shares
- negotiable loans that are traded on open markets

Yes → Go to question **10**

No → Go to section **B.3**

0105

10. What was the value of your holdings of certificates of deposit issued by banks or building societies located:

a. in the UK:

To the nearest **£0.1 million**

i. in sterling? £ , , . **m** 1008

ii. in non-sterling? £ , , . **m** 1009

b. outside of the UK:

i. in sterling? £ , , . **m** 1010

ii. in non-sterling? £ , , . **m** 1011

11. What was the value of your holdings of Treasury Bills issued by:

a. Her Majesty's Treasury (HMT)? £ , , . **m** 1012

b. overseas governments? £ , , . **m** 1013

12. What was the value of your holdings of UK local authority debt and temporary money with local authorities?

Include:

- local authority bills

Exclude:

- local authority securities
- local authority bonds

To the nearest £0.1 million

£ , , . m 1014

NHC

13. What was the value of your holdings of commercial paper issued by banks or building societies located:

a. in the UK:

i. in sterling? £ , , . m 1015

NHC

ii. in non-sterling? £ , , . m 1016

NHC

b. outside of the UK:

i. in sterling? £ , , . m 1017

NHC

ii. in non-sterling? £ , , . m 1018

NHC

14. What was the value of your holdings of any other commercial paper issued:

a. in the UK:

i. in sterling? £ , , . m 1019

NHC

ii. in non-sterling? £ , , . m 1020

NHC

b. outside of the UK:

i. in sterling? £ , , . m 1021

NHC

ii. in non-sterling? £ , , . m 1022

NHC

Section B.3 - Debt securities with an original maturity of more than one year (financial assets)

18. Questions in this section are about the financial assets of the business named on the front of this questionnaire.

At the end of the reporting period:

19. Did the business named on the front of this questionnaire have any holdings of debt securities with an original maturity of more than one year?

Debt securities are negotiable instruments which serve as evidence of debt. They include:

- bonds
- negotiable certificates of deposit
- debentures
- bills
- non-participatory preferences shares
- negotiable loans that are traded on open markets

Yes → Go to question 20

No → Go to section B.4 0108

20. What was the value of your holdings of debt securities with an original maturity of more than one year issued by:

Include:

- gilts and bonds with an original maturity of more than one year

To the nearest £0.1 million

a.	UK government?	£	[][] , [][][] , [][][] . []	m	1027	
b.	UK local authorities?	£	[][] , [][][] , [][][] . []	m	1028	
c.	overseas governments, provincial or municipal authorities?	£	[][] , [][][] , [][][] . []	m	1029	

21. What was the value of your holdings of UK corporate bonds with an original maturity of more than one year issued by:

a. banks or building societies:

i.	in sterling?	£	[][] , [][][] , [][][] . []	m	1030	
ii.	in non-sterling?	£	[][] , [][][] , [][][] . []	m	1031	

b. other corporations:

i.	in sterling?	£	[][] , [][][] , [][][] . []	m	1032	
ii.	in non-sterling?	£	[][] , [][][] , [][][] . []	m	1033	

22. What was the value of your holdings of corporate debt securities with an original maturity of more than one year issued by overseas residents?

£	[][] , [][][] , [][][] . []	m	1034	
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Section B.4 - Loans with an original maturity of one year or less (financial assets)

27. Questions in this section are about the financial assets of the business named on the front of this questionnaire.

At the end of the reporting period:

28. Did the business named on the front of this questionnaire have any outstanding balances receivable for loans with an original maturity of one year or less?

Include:

- amounts due to this business from institutions and individuals other than banks or building societies under reverse sales repurchase agreements, gold swaps or stock borrowing

Exclude:

- loans to other businesses within your business's group structure

Yes → Go to question **29**

No → Go to section **B.5**

0111

29. What was the outstanding balance receivable from loans with an original maturity of one year or less?

To the nearest £0.1 million

£ , , . m 1043

a. of which, in sterling?

£ , , . m 1044

b. of which, in non-sterling?

£ , , . m 1045

30. Of your total outstanding balance at question 29, what was the amount receivable from:

a. private individuals located in the UK?

£ , , . m 1046

b. businesses located in the UK?

£ , , . m 1047

c. other recipients located in the UK (such as government)?

£ , , . m 1048

d. recipients located outside of the UK who are not associated or affiliated with this business?

£ , , . m 1049

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Section B.5 - Loans with an original maturity of more than one year (financial assets)

31. Questions in this section are about the financial assets of the business named on the front of this questionnaire.

At the end of the reporting period:

32. Did the business named on the front of this questionnaire have any outstanding balances receivable for loans with an original maturity of more than one year?

Include:

- any current assets associated with loans with an original maturity of more than one year

Exclude:

- loans to other businesses within your business's group structure

Yes → Go to question **33**

No → Go to section **B.6** 0112

33. What was the outstanding balance receivable from loans with an original maturity of more than one year?

To the nearest £0.1 million

£ , . **m** 1050

a. of which, in sterling?

£ , . **m** 1051

b. of which, in non-sterling?

£ , . **m** 1052

34. Of your total outstanding balance at question 33, what was the amount receivable from:

a. private individuals located in the UK?

£ , . **m** 1053

b. businesses located in the UK?

£ , . **m** 1054

c. other recipients located in the UK (such as government)?

£ , . **m** 1055

d. recipients located outside of the UK who are not associated or affiliated with this business?

£ , . **m** 1056

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35. Of your total outstanding balance at question 33, what was the amount relating to:

a. direct investment?

Direct investment is the purchase of a controlling interest in another institution which is based overseas, by a means other than the purchase of shares

To the nearest £0.1 million

£ , , . m 1057

NHC

b. loans secured on property?

£ , , . m 1058

NHC

c. finance leases?

Include hire purchase agreements

£ , , . m 1059

NHC

i. of which, UK public sector?

£ , , . m 1060

NHC

ii. of which, UK businesses?

£ , , . m 1061

NHC

iii. of which, businesses located outside of the UK?

£ , , . m 1062

NHC

d. other loans?

£ , , . m 1063

NHC

SPEC

Section B.7 - Derivative contracts (financial assets)

Please categorise your derivative contracts as either 'option type' or 'forward type'. Option type contracts give the purchaser the opportunity, but not the obligation, to buy or sell a particular financial instrument or commodity at a pre-determined price within a specified time-span or on a certain date. When completing the questions on option type contracts please include warrants, but exclude employee stock option schemes. Forward type contracts are unconditional contracts which represent an obligation for settlement on a specified date. Forward type contracts include futures, interest rate swaps, forward rate agreements, foreign exchange swaps and cross currency interest rate swaps.

42. Questions in this section are about the financial assets of the business named on the front of this questionnaire.

At the end of the reporting period:

43. Did the business named on the front of this questionnaire have any 'in the money' derivative contracts?

Yes → Go to question 44

No → Go to section B.8

0114

44. What was the fair value of:

To the nearest £0.1 million

a. forward type derivative contracts held with a positive value? £ , , . m 1077

b. option type derivative contracts held? £ , , . m 1078

MRK

NHC

NHC

Section C - Liabilities

Please provide your end balance position as recorded in your company accounts at the end of the period specified in Section A.

Section C.1 - Debt securities (liabilities)

60. Questions in this section are about the liabilities of the business named on the front of this questionnaire.

At the end of the reporting period:

61. Had the business named on the front of this questionnaire issued any debt securities?

Debt securities are negotiable instruments which serve as evidence of debt. They include:

- bonds
- negotiable certificates of deposit
- debentures
- bills
- non-participatory preferences shares
- negotiable loans that are traded on open markets

Yes → Go to question **62**

No → Go to section **C.2**

0119

62. What was the outstanding balance from issues of commercial paper:

To the nearest £0.1 million

a. in sterling? £ , , . m 2000

b. in non-sterling? £ , , . m 2001

63. What was the outstanding balance from issues of:

a. **other debt securities with an original maturity of one year or less:**

Exclude:

- commercial paper (this should be reported at question 62)

i. in sterling? £ , , . m 2002

ii. in non-sterling? £ , , . m 2003

b. **debt securities with an original maturity of more than one year:**

Include:

- non-participatory preference shares

i. in sterling? £ , , . m 2004

ii. in non-sterling? £ , , . m 2005

Section C.3 - Loans with an original maturity of more than one year (liabilities)

67. Questions in this section are about the liabilities of the business named on the front of this questionnaire.

At the end of the reporting period:

68. Did the business named on the front of this questionnaire have any loan liabilities with an original maturity of more than one year?

Include:

- any liabilities associated with loans with an original maturity of more than one year

Exclude:

- loans from other businesses within your business's group structure

Yes → Go to question **69**

No → Go to section **C.4** 0121

69. What was the outstanding balance payable from loans with an original maturity of more than one year

To the nearest £0.1 million

£ , , . m 2013

a. of which, to banks or building societies located in the UK:

i. in sterling? £ , , . m 2014

ii. in non-sterling? £ , , . m 2015

b. of which, to others located in the UK:

i. in sterling? £ , , . m 2016

ii. in non-sterling? £ , , . m 2017

c. of which, to others located outside of the UK:

i. in sterling? £ , , . m 2018

ii. in non-sterling? £ , , . m 2019

MRK

NHC

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NHC

NHC

NHC

NHC

NHC

70. Of your total outstanding balance payable at question 69 what was the amount relating to:

a. direct investment?

Direct investment is the purchase of a controlling interest in another institution which is based overseas, by a means other than the purchase of shares.....

To the nearest £0.1 million

£ , , . m 2020

NHC

b. loans secured on property?

£ , , . m 2021

NHC

c. finance leases?

Include hire purchase agreements

£ , , . m 2022

NHC

i. of which, UK public sector?

£ , , . m 2023

NHC

ii. of which, UK businesses?

£ , , . m 2024

NHC

iii. of which, businesses located outside of the UK?

£ , , . m 2025

NHC

d. other loans?

£ , , . m 2026

NHC

Section C.4 - Equity (liabilities)

71. Questions in this section are about the liabilities of the business named on the front of this questionnaire.

At the end of the reporting period:

72. Had the business named on the front of this questionnaire issued any shares or other forms of equity?

Issued equity represents the liabilities of this business to meet the claims of other institutions or individuals to whom stocks, shares, depository receipts, participation's or similar documents have been issued.

Yes → Go to question 73

No → Go to section C.5

0122

MRK

73. What was the value of:

Include:

- all instruments and records that acknowledge the claim that other institutions or individuals have on the residual value of this business, after the claims of all creditors have been met.

Exclude:

- non-participatory preference shares. These should be reported at question 63

To the nearest £0.1 million

a.	listed equity issued by this business in the UK?	£	<input type="text"/>	,	<input type="text"/>	,	<input type="text"/>	.	<input type="text"/>	m	2027	NHC
b.	unlisted equity issued by this business in the UK?	£	<input type="text"/>	,	<input type="text"/>	,	<input type="text"/>	.	<input type="text"/>	m	2028	NHC
c.	other equity issued by this business in the UK?	£	<input type="text"/>	,	<input type="text"/>	,	<input type="text"/>	.	<input type="text"/>	m	2029	NHC
d.	equity issued by this business outside of the UK?	£	<input type="text"/>	,	<input type="text"/>	,	<input type="text"/>	.	<input type="text"/>	m	2030	NHC
i.	of which, within the EU	£	<input type="text"/>	,	<input type="text"/>	,	<input type="text"/>	.	<input type="text"/>	m	2031	NHC

Section C.5 - Derivative contracts (liabilities)

Please categorise your derivative contracts as either 'option type' or 'forward type'. Option type contracts give the purchaser the opportunity, but not the obligation to buy or sell a particular financial instrument or commodity at a pre-determined price within a specified time-span or on a certain date. When completing the questions on option type contracts please include warrants, but exclude employee stock option schemes. Forward type contracts are unconditional contracts which represent an obligation for settlement on a specified date. Forward type contracts include futures, interest rate swaps, forward rate agreements, foreign exchange swaps and cross currency interest rate swaps.

74. Questions in this section are about the liabilities of the business named on the front of this questionnaire.

At the end of the reporting period:

75. What was the fair value of:

Exclude employee stock options

a.	forward type derivative contracts held with a negative value?	£	<input type="text"/>	,	<input type="text"/>	,	<input type="text"/>	.	<input type="text"/>	m	2032	NHC
b.	liabilities in relation to option type derivative contracts? ..	£	<input type="text"/>	,	<input type="text"/>	,	<input type="text"/>	.	<input type="text"/>	m	2033	NHC

76. For the business named on the front of this questionnaire, what was the value of outstanding stock options offered to employees under an employee stock options scheme? .

£	<input type="text"/>	,	<input type="text"/>	,	<input type="text"/>	.	<input type="text"/>	m	2034	NHC
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Section D - Transactions in non-financial assets

Please provide the value of acquisition costs and proceeds from disposals of non-financial assets for the period specified in Section A.

Include non-financial assets acquired under finance leases.

During the reporting period:

86. What was the total capital expenditure on major improvements and construction work for own use, or where you are responsible for its maintenance?

Include:

- new build, major refurbishments or improvements to existing buildings **for own use**, or where you are responsible for maintenance
- work contracted to constructors or arranged through agents or developers
- commercial, industrial, educational and health buildings; public monuments; and other non-residential buildings
- fittings and installations such as lifts, electrics, plumbing, heating and ventilation systems and water supply
- construction of structures such as oil wells, platforms, mines, pipes, power lines, transport infrastructure, wind farms, turbines and steel frameworks
- site improvements and other land preparation **for own use** e.g. levelling, clearance and draining of marshes
- transfer costs, stamp duties and taxes payable to acquire the asset
- architects', engineers' and surveyors' fees, legal costs, agents' commission and all professional charges
- delivery, installation and decommissioning costs

Exclude:

- current repair and maintenance costs
- expenditure on land purchased in connection with construction work
- structures that are used primarily as residences (dwellings) e.g. houses, houseboats, caravans and associated structures such as garages
- machinery and equipment
- purchase of existing structures such as oil wells, platforms, mines, pipes, power lines, transport infrastructure, wind farms, turbines and steel frameworks

To the nearest £0.1 million

a. acquisition costs? £ , , . m 3018

NHC

90. For databases, what was the value of:

These are files of data that are organised to enable effective use of and access to that data.

For databases that are created exclusively for own use, the valuation should be based on the costs of the database, but these costs should exclude the cost of ongoing management of the database and any costs associated with acquiring the data held by the database.

Include:

- labour costs associated with the development and production of software

To the nearest £0.1 million

a. acquisition costs?	£	<input type="text"/> <input type="text"/> , <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	m	3026	NHC
i. of which, produced in-house for own use?	£	<input type="text"/> <input type="text"/> , <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/>	m	3027	NHC
b. proceeds from disposals?	£	<input type="text"/> <input type="text"/> , <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/>	m	3028	NHC

91. For telecommunications equipment, what was the value of:

Include:

- telephones
- fax machines
- switchboards
- CCTV equipment

a. acquisition costs?	£	<input type="text"/> <input type="text"/> , <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/>	m	3029	NHC
b. proceeds from disposals?	£	<input type="text"/> <input type="text"/> , <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/>	m	3030	NHC

92. For other machinery and equipment, what was the value of:

Include:

- electronic components and optical equipment
- electrical equipment
- furniture

Exclude:

- transport equipment
- computer hardware and peripheral equipment
- telecommunications equipment
- unfinished machinery and equipment that is not for the own final use of the business
- tools that are relatively inexpensive and purchased regularly, e.g. hand tools
- machinery and equipment integral to buildings (these are included in dwellings and non residential buildings)
- machinery and equipment that are considered weapons systems acquired for military purposes

To the nearest £0.1 million

a. acquisition costs? £ , , . m 3031

b. proceeds from disposals? £ , , . m 3032

NHC

NHC

93. For intellectual property products, what was the value of:

New information, specialised knowledge, etc., whose use in production is restricted to the units (businesses) that have established ownership rights over them or to other units licensed by those with ownership rights.

Include:

- new protected information and specialised knowledge, used in production and not mentioned elsewhere

a. acquisition costs? £ , , . m 3033

b. proceeds from disposals? £ , , . m 3034

NHC

NHC

Country breakdown of overseas portfolio investment assets

	Column 1.	Column 2.	Column 3.	
Country of issuer	Total market value of holdings of equity, shares and units, which includes: Question 38.b Question 39.b Question 40.b Question 41.b Question 41.d	Total market value of debt securities with an original maturity of <u>one year or less</u> , which includes: Question 10b.i Question 10b.ii Question 11.b Question 13b.i Question 13b.ii Question 14b.i Question 14b.ii Question 16b.i Question 16b.ii	Total market value of debt securities with an original maturity of <u>more than one year</u> , which includes: Question 20.c Question 22 Question 23b.i Question 23b.ii Question 25b.i Question 25b.ii	
9300	9301 To the nearest £0.1 million	9302 To the nearest £0.1 million	9303 To the nearest £0.1 million	
Spain	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/>	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/>	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/>	NNH
Sweden	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/>	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/>	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/>	NNH
Switzerland	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/>	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/>	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/>	NNH
Taiwan	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/>	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/>	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/>	NNH
Thailand.....	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/>	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/>	£ <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/>	NNH
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General notes for overseas portfolio investments (question 95)

Securities:

A security is defined as an instrument that is traded or tradeable.

Report all securities relating to your overseas assets at market value, and convert them to sterling using the closing middle market spot rate on the last day of the period covered in this questionnaire.

Attribute securities to the country that issued them. Base country attribution on where the entity is ordinarily domiciled. If there is doubt as to the issuers' country of domicile, then the country of residence of any enterprise can be taken as where it is legally incorporated. In the absence of legal incorporation, the country of residence can be taken as where it is legally domiciled. Overseas is defined as non-UK, where the UK includes England, Scotland, Wales and Northern Ireland but excludes the Channel Islands and the Isle of Man.

Do not allocate securities issued by international organisations (IO's) to the country in which the IO is based. Instead report the value of the securities in the separate category specifically for IO's near the end of the table.

Exclusion of securities issues raised by related enterprises:

Securities issued by related non-resident enterprises and held by the reporting entity should be excluded from this questionnaire. Related non-resident enterprises are enterprises in which this reporting business's UK group has voting power of 10% or more. Voting power is a measure of control in a company which takes account of the fact that different classes of shares can carry different levels of control or influence. The only exception is if your enterprise is a financial institution. In these circumstances, debt securities issued by an affiliated non-resident financial intermediary and owned by your entity should be included in this questionnaire if the debt does not represent a permanent interest.

Treatment of securities involved in repurchase and securities lending arrangements:

Treatment should be consistent with the main questionnaire, namely:

- include securities sold under repurchase or securities lending arrangements.
- exclude securities acquired under repurchase or securities lending arrangements.
- securities acquired under repurchase or securities lending arrangements and subsequently sold to a third party should be reported as a negative holding, namely, a short position.

Depository Receipts:

Depository receipts that denote ownership of equity or debt securities issued by overseas enterprises should be attributed to the country of residence of the issuer of the security underlying the depository receipt.

If you are a financial institution, don't report holdings of any securities against which depository receipts have been issued and sold. But, if a depository receipt was issued before the financial institution arranging the issue had acquired the underlying securities, then that financial institution should report a negative holding in the underlying security.

Stripped securities

Stripped securities (strips) are securities that have been transformed from a principal amount with periodic interest coupons, into series of zero coupon securities with a range of maturities matching the coupon payment dates and the redemption date of the principal amount.

Where strips remain the direct obligation of the original issuer, the residency of the issuer of the strips remains the same as for the original security.

Dealers who request that a settlement or clearing house creates strips from an existing security issued by a non-resident should not report ownership of the underlying security once the strips are created.

If you have created and issued strips, 'backed' by the original securities, report your holdings of the underlying securities if a non-resident issued them.

Strips with an original maturity of less than one year are classified as money market instruments and thus, if identifiable, should be reported as short-term debt securities.

Asset-backed Securities:

When reporting the market value of your holdings of your asset-backed securities, be aware of the possibility of early partial redemption of principal.

Report the market value of the principal amount outstanding at the close of business on the last day of the period covered in this questionnaire. If some of the principal has been repaid, this market value will not be the same as the original face value re-valued at end-period market prices.