



Notice is given under section 1 of the Statistics of Trade Act 1947

Office for  
National Statistics

## Financial Services Survey: Quarterly Return of Assets and Liabilities

**Please do not discard this important document - your response is legally required**

00001 66120  
CONTACT NAME  
OFFICE FOR NATIONAL STATISTICS  
GOVERNMENT BUILDINGS  
CARDIFF ROAD  
NEWPORT  
NP10 8XG  
\*\*\*\*\* EXAMPLE PRINT \*\*\*\*\*

Please write any changes to your name and address in the box below, using black ink

**To be completed for:** THE BUSINESS NAMED ABOVE

**Please complete and return by 17 April 2016**

Dear Sir or Madam,

Please find the Quarter 1 2016 questionnaire for the Financial Services Survey: Quarterly Return of Assets and Liabilities attached. Please complete for the period Quarter 1 2016 (1 January 2016 to 31 March 2016). If actual figures are not available, please provide informed estimates. Once complete, the questionnaire can be returned by post or fax using the details in the box below.

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.

**You are required by law to complete this questionnaire.** If you do not complete and return this questionnaire by 17 April 2016, penalties may be incurred (under section 4 of the Statistics of Trade Act 1947). All the information you provide is kept strictly confidential. It is illegal for us to reveal your data or identify your business to unauthorised persons.

Thank you for your co-operation,  
Office for National Statistics

### Questionnaire return details

**To return via fax:** 01633 652707

**To return via post:** Please use the prepaid envelope provided which is addressed to:  
Office for National Statistics, Government Buildings, Cardiff Road, Newport, NP10 8XG

### Contact numbers

Er mwyn gwneud cais am ffurflen Gymraeg (To request a questionnaire in Welsh) 0300 1234 921

If you would like to use our Minicom service for the Deaf 01633 815 044

To complete the questionnaire in Euros 01633 455770

For any other queries, please contact **the FSS Team** **01633 455770**

or go to [www.ons.gov.uk/surveys](http://www.ons.gov.uk/surveys)

### When contacting the office you may be asked for the following information

**Survey code:** 266

**Reference number:** 4990 0000 000A

**Period:** 201603

- Telephone calls may be recorded for training and quality purposes

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**266 MIX**



## 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 nine sections, which ask for information about:

- Section A** the reporting period
- Section B** assets
- Section C** liabilities
- Section D** shareholders' capital and reserves
- Section E** transactions in financial instruments
- Section F** transactions in non-financial assets
- Section G** breakdown of financial derivatives held as assets
- Section H** breakdown of financial derivatives held as liabilities
- Section I** any substantial changes, completion time and your contact details

### Basis for completion

- This questionnaire should be completed on an accruals or mark to market 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. Clients assets should be excluded.
- Current prices or market values should be used.
- Assets and liabilities should be reported on a gross basis; however, in the case of securities sold short, please report the net value of long and short positions on the asset side of the questionnaire, even if this results in a negative value.
- For transactions, please report without adjustments for expenses.

### 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 centred within each box
- do not use commas
- do not cross sevens  or zeros



**Section A - Reporting Period**

1. Are you able to report for the period Quarter 1 2016 (1 January 2016 to 31 March 2016)?

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
- overdrafts. These should be reported at Section C

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



MRK

DTU

NHC

NHC

NHC

NHC



**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.**

Please report the net value of long and short positions.

**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-participating preferences shares
- negotiable loans that are traded on open markets

The original maturity of financial assets or liabilities is defined as the period from the issue date until the final scheduled payment date.

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



MRK

NHC

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NHC

NHC

NHC

**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



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

Yes  → Go to question 16

No  → Go to section B.3 0106

16. What was the value of your holdings of any other debt securities with an original maturity of one year or less issued by institutions or businesses located:

a. in the UK:

To the nearest £0.1 million

i. in sterling? ..... £ [ ][ ] , [ ][ ][ ] , [ ][ ][ ][ ] . [ ][ ] m 1023

ii. in non-sterling? ..... £ [ ][ ] , [ ][ ][ ] , [ ][ ][ ][ ] . [ ][ ] m 1024

b. outside of the UK:

i. in sterling? ..... £ [ ][ ] , [ ][ ][ ] , [ ][ ][ ][ ] . [ ][ ] m 1025

ii. in non-sterling? ..... £ [ ][ ] , [ ][ ][ ] , [ ][ ][ ][ ] . [ ][ ] m 1026

17. Please provide examples and values of debt securities you have included in question 16 that had an original maturity of one year or less:

Three rows of empty grid boxes for providing examples and values of debt securities.

0107

MRK

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NHC

NHC

QAA



**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.**

Please report the net value of long and short positions.

**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-participating preferences shares
- negotiable loans that are traded on open markets

The original maturity of financial assets or liabilities is defined as the period from the issue date until the final scheduled payment date.

Yes  → Go to question 20

No  → Go to section B.4

0108

To the nearest £0.1 million

**20. What was the value of your holdings of debt securities with an original maturity of more than one year issued by UK government in sterling?.....** £   ,    ,    .  **m** 1027

**21. Of the total value of debt securities reported at question 20, what was the value of:**

**a. 1 to 15 years original maturity?.....** £   ,    ,    .  **m** 1106

**i. of which, index linked? .....** £   ,    ,    .  **m** 1107

**b. over 15 years original maturity?.....** £   ,    ,    .  **m** 1108

**i. of which, index linked? .....** £   ,    ,    .  **m** 1109

**22. What was the value of your holdings of debt securities with an original maturity of more than one year issued by UK government in non-sterling?.....** £   ,    ,    .  **m** 1110

MRK

NHC

NHC

NHC

NHC

NHC

NHC



**23. What was the value of your holdings of debt securities with an original maturity of more than one year issued by UK local authorities:**

To the nearest £0.1 million

- a. in sterling? ..... £   ,    ,    .  m 1028 NHC
- b. in non-sterling? ..... £   ,    ,    .  m 1111 NHC

**24. What was the value of your holdings of debt securities with an original maturity of more than one year issued by overseas governments, provincial or municipal authorities:**

- a. in sterling? ..... £   ,    ,    .  m 1029 NHC
- b. in non-sterling? ..... £   ,    ,    .  m 1112 NHC

**25. 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 NHC
- ii. in non-sterling? ..... £   ,    ,    .  m 1031 NHC

**b. other corporations:**

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

**26. 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 NHC



27. What was the value of your holdings of non-participating preference shares issued:

a. in the UK:

To the nearest £0.1 million

i. in sterling? ..... £ [ ][ ] , [ ][ ][ ] , [ ][ ][ ] . [ ] m 1035

ii. in non-sterling? ..... £ [ ][ ] , [ ][ ][ ] , [ ][ ][ ] . [ ] m 1036

b. outside of the UK:

i. in sterling? ..... £ [ ][ ] , [ ][ ][ ] , [ ][ ][ ] . [ ] m 1037

ii. in non-sterling? ..... £ [ ][ ] , [ ][ ][ ] , [ ][ ][ ] . [ ] m 1038

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

Yes  → Go to question 29

No  → Go to section B.4

0109

29. What was the value of your holdings of any other debt securities with an original maturity of more than one year issued by institutions or businesses located:

a. in the UK:

i. in sterling? ..... £ [ ][ ] , [ ][ ][ ] , [ ][ ][ ] . [ ] m 1039

ii. in non-sterling? ..... £ [ ][ ] , [ ][ ][ ] , [ ][ ][ ] . [ ] m 1040

b. outside of the UK:

i. in sterling? ..... £ [ ][ ] , [ ][ ][ ] , [ ][ ][ ] . [ ] m 1041

ii. in non-sterling? ..... £ [ ][ ] , [ ][ ][ ] , [ ][ ][ ] . [ ] m 1042

30. Please provide examples and values of debt securities you have included in question 29 that had an original maturity of more than one year:

Three rows of empty grid boxes for providing examples and values of debt securities.

0110



NHC

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NHC

NHC

MRK

NHC

NHC

NHC

NHC

QAA

**Section B.4 - Loans with an original maturity of one year or less (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 one year or less?**

The original maturity of financial assets or liabilities is defined as the period from the issue date until the final scheduled payment date.

Include:

- amounts due from institutions and individuals other than banks or building societies under reverse sales repurchase agreements, gold swaps or stock borrowing and repayable margins in respect of derivative contracts

Exclude:

- loans to other businesses within your business's group structure that are being reported for within this questionnaire

Yes  → Go to question 33

No  → Go to section B.5 0111

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

To the nearest £0.1 million

- |    |                                  |                      |                      |                      |                      |                      |                      |                      |                      |   |      |     |
|----|----------------------------------|----------------------|----------------------|----------------------|----------------------|----------------------|----------------------|----------------------|----------------------|---|------|-----|
| £  | <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 | 1043 | NHC |
| a. | of which, in sterling? .....     |                      |                      |                      |                      |                      |                      |                      |                      |   |      | NHC |
| £  | <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 | 1044 | NHC |
| b. | of which, in non-sterling? ..... |                      |                      |                      |                      |                      |                      |                      |                      |   |      | NHC |
| £  | <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 | 1045 | NHC |

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

- |    |  |   |                      |                      |                      |                      |                      |                      |                      |                      |                      |   |      |     |
|----|--|---|----------------------|----------------------|----------------------|----------------------|----------------------|----------------------|----------------------|----------------------|----------------------|---|------|-----|
| a. | private individuals located in the UK? .....                   | £ | <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 | 1046 | NHC |
| b. | businesses located in the UK? .....                            | £ | <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 | 1047 | NHC |
| c. | other recipients located in the UK (such as government)? ..... | £ | <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 | 1048 | NHC |
| d. | recipients located outside of the UK? .....                    | £ | <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 | 1049 | NHC |



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

**35. 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:**

**36. 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?**

The original maturity of financial assets or liabilities is defined as the period from the issue date until the final scheduled payment date.

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 that are being reported for within this questionnaire

Yes  → Go to question 37

No  → Go to section **B.6** 0112

**37. 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

**38. Of your total outstanding balance receivable from loans reported at question 37, 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? .....

£    ,     ,     .   m 1056



MRK

NHC

NHC

NHC

NHC

NHC

NHC

NHC



**Section B.6 - Equity, shares and units (financial assets)**

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

Please report the net value of long and short positions.

**At the end of the reporting period:**

**41. Did the business named on the front of this questionnaire have any holdings of equity, shares or units in other institutions or businesses?**

Equity represents the holders funds in the business that issued the equity. It entitles the holder to residual claim on the assets held by the institutions or businesses that issued the equity, after the claims of all creditors have been met.

Yes  → Go to question 42

No  → Go to section B.7

0113

**42. What was the value of your holdings of listed equity in institutions or businesses located:**

Include:

- all instruments and records that acknowledge the claim that this business has on the residual value of the institutions or businesses in which you hold equity, after the claims of all creditors have been met. This includes shares, stocks, depository receipts, participating preference shares or similar items

Exclude:

- unlisted stocks or shares
- shares or units held in investment funds or trusts
- non-participating preference shares. These were requested at question 27

To the nearest £0.1 million

a. in the UK? ..... £   ,   ,   .  m 1064

b. outside of the UK? ..... £   ,   ,   .  m 1065

i. of which, within the EU? ..... £   ,   ,   .  m 1066

**43. What was the value of your holdings of unlisted equity in institutions or businesses located:**

Please value unlisted equity as the proportion of share capital and reserves as in the investee company's balance sheet.

Include:

- all instruments and records that acknowledge the claim that this business has on the residual value of the institutions or businesses in which you hold equity, after the claims of all creditors have been met. This includes shares, stocks, depository receipts, participating preference shares or similar items

Exclude:

- listed stocks or shares
- shares or units held in investment funds or trusts
- non-participating preference shares. These were requested at question 27

a. in the UK? ..... £   ,   ,   .  m 1067

b. outside of the UK? ..... £   ,   ,   .  m 1068

i. of which, within the EU? ..... £   ,   ,   .  m 1069



MRK

NHC

NHC

NHC

NHC

NHC

NHC

**44. What was the value of your holdings of any other equity in institutions or businesses located:**

Include:

- capital invested in corporations or quasi-corporations that do not offer stocks or shares (e.g. public enterprises, partnerships, unlimited liability companies)

Exclude:

- equity represented by stocks or shares
- shares or units held in investment funds or trusts
- non-participating preference shares. These were requested at question 27

To the nearest £0.1 million

a.	in the UK? .....	£	<input type="text"/>	,	<input type="text"/>	,	<input type="text"/>	.	<input type="text"/>	m	1070	NHC
b.	outside of the UK? .....	£	<input type="text"/>	,	<input type="text"/>	,	<input type="text"/>	.	<input type="text"/>	m	1071	NHC
	i. of which, within the EU? .....	£	<input type="text"/>	,	<input type="text"/>	,	<input type="text"/>	.	<input type="text"/>	m	1072	NHC

**45. What was the value of your holdings of shares or units held in:**

Money market funds are trusts and funds whose investment portfolios are restricted to short-term market securities such as treasury bills, commercial paper, certificates of deposit and shares/units in other money market funds.

These types of funds can also have holdings of bank deposits. They can be either open ended or closed ended in structure.

Non-money market funds can hold any type of asset within their portfolio. Generally they tend to hold a longer term portfolio of investments such as bonds, equity and real estate. They can be either open ended or closed ended in structure. They include unit trusts, open ended investment companies (OEICs) and investment trusts.

Include:

- only own account holdings, not those held on behalf of others in any of the funds you manage as part of an investment management service

a.	UK money market funds? .....	£	<input type="text"/>	,	<input type="text"/>	,	<input type="text"/>	.	<input type="text"/>	m	1073	NHC
b.	overseas money market funds? .....	£	<input type="text"/>	,	<input type="text"/>	,	<input type="text"/>	.	<input type="text"/>	m	1074	NHC
c.	UK non-money market funds? .....	£	<input type="text"/>	,	<input type="text"/>	,	<input type="text"/>	.	<input type="text"/>	m	1075	NHC
d.	overseas non-money market funds? .....	£	<input type="text"/>	,	<input type="text"/>	,	<input type="text"/>	.	<input type="text"/>	m	1076	NHC



**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.

**46. 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:**

**47. Did the business named on the front of this questionnaire have any options that were 'in the money' or any other derivative contracts that were assets?**

Yes  → Go to question **48**

No  → Go to section **B.8**

0114

**48. What was the fair value of:**

To the nearest £0.1 million

<p><b>a. forward type derivative contracts held with a positive value?</b> .....</p> <p>i. of which, contracts with UK banks or building societies?.....</p> <p>ii. of which, contracts with other UK residents? Include: • central counterparty clearing houses (CCPs).....</p> <p>iii. of which, contracts with non-UK residents? Include: • central counterparty clearing houses (CCPs) .....</p>	<p>£ [ ][ ] , [ ][ ][ ] , [ ][ ][ ] . [ ] m 1077</p> <p>£ [ ][ ] , [ ][ ][ ] , [ ][ ][ ] . [ ] m 1119</p> <p>£ [ ][ ] , [ ][ ][ ] , [ ][ ][ ] . [ ] m 1120</p> <p>£ [ ][ ] , [ ][ ][ ] , [ ][ ][ ] . [ ] m 1121</p>	<p><b>b. option type derivative contracts held?</b> .....</p> <p>i. of which, contracts with UK banks or building societies?.....</p> <p>ii. of which, contracts with other UK residents? Include: • central counterparty clearing houses (CCPs) .....</p> <p>iii. of which, contracts with non-UK residents? Include: • central counterparty clearing houses (CCPs) .....</p>	<p>£ [ ][ ] , [ ][ ][ ] , [ ][ ][ ] . [ ] m 1078</p> <p>£ [ ][ ] , [ ][ ][ ] , [ ][ ][ ] . [ ] m 1123</p> <p>£ [ ][ ] , [ ][ ][ ] , [ ][ ][ ] . [ ] m 1124</p> <p>£ [ ][ ] , [ ][ ][ ] , [ ][ ][ ] . [ ] m 1125</p>	<p>NHC</p> <p>NHC</p> <p>NHC</p> <p>NHC</p> <p>NHC</p> <p>NHC</p> <p>NHC</p> <p>NHC</p> <p>NHC</p>
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**Section B.10 - Non-financial assets**

**58. Questions in this section are about the non-financial assets of the business named on the front of this questionnaire.**

**At the end of the reporting period:**

**59. What was the value of materials, stores and fuel as reported on this business's balance sheet?**

Include:

- office supplies and other consumable material and stores that this business intends to use up as part of normal business operations .....

To the nearest £0.1 million

£   ,    ,     .   m 1083

NHC

**60. What was the value of work in progress for services provided to others as reported on this business's balance sheet?**

Include:

- amounts outstanding for which progress payments have **not** yet been received, for example on long term contracts

Exclude:

- any work for which progress payments **have** been received

£   ,    ,     .   m 1084

NHC

**61. What was the value of finished goods recorded on this business's balance sheet, including those purchased for resale without any further processing?**

Include:

- holdings of goods such as silver bullion and un-cut diamonds which are acquired for the purposes of re-sale.....

£   ,    ,     .   m 1085

NHC

**62. What was the value of your holdings of land, excluding buildings?**

The definition of land is the ground, including the soil covering and any associated surface waters, over which ownership rights are enforced. Excluded are any other buildings or other structures situated on it or running through it, cultivated crops, trees and animals; subsoil assets, non-cultivated biological resources and water resources below the ground.....

£   ,    ,     .   m 1127

NHC

**63. What was the value of your holdings of existing buildings and structures?**

£   ,    ,     .   m 1128

NHC

**64. What was the value of your holdings of valuables?**

Valuables are produced assets that are not used primarily for production or consumption, that are expected to appreciate or at least not to decline in real value, that do not deteriorate over time under normal conditions and that are acquired and held primarily as stores of value. Valuables consist of precious metals and stones, antiques and other art objects and other valuables.....

£   ,    ,     .   m 1129

NHC



65. What was the value of your holdings of any other tangible and intangible fixed assets? ..... £   ,   ,   .  m 1086

NHC

66. Did the business named on the front of this questionnaire have any holdings of other non-financial assets not already included?

Yes  → Go to question 67

No  → Go to section C 0117

MRK

67. What was the value of your holdings of any other non-financial assets not already included? ..... £   ,   ,   .  m 1087

NHC

68. Please provide examples and values of non-financial assets you have included in question 67:

Three rows of 20 empty boxes for text entry.

0118

QAA

SPEC









**79. Of your total outstanding balance payable from loans reported at question 78, what was the amount relating to:**

**a. direct investment loans?**

Direct investment is a long-term relationship between two entities. It is held to exist where the parent owns 10% or more of the ordinary shares or voting power of an incorporated enterprise, or the equivalent of an unincorporated enterprise.....

To the nearest £0.1 million

£   ,    ,    .  m 2020

NHC

**b. loans secured on dwellings? .....**

£   ,    ,    .  m 2021

NHC

**c. financial 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 - Pensions (liabilities)**

**80. 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:**

**81. Did the business named on the front of this questionnaire have any pension liabilities?**

Yes  → Go to question 82

No  → Go to section C.5 0172

MRK

**82. What was the value of your pension liabilities? .....**

£   ,    ,    .  m 2038

NHC





**Section C.6 - Other accounts payable (liabilities)**

**87.** 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:

**88.** What was the amount recorded in your balance sheet for goods and services that you have received payment for, but not yet delivered to customers? ..... £ , , .  m 2035

To the nearest £0.1 million

**89.** What was the amount recorded in your balance sheet for goods and services that you have received, but not yet paid for? ..... £ , , .  m 2036

**90.** What was the value of any other balances owed by the business named on the front of this questionnaire? Exclude anything already captured in questions 88 and 89 ..... £ , , .  m 2037

**Section C.7 - Other liabilities**

**91.** 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:

**92.** What was the value of your deferred tax liabilities? ..... £ , , .  m 2118

**93.** Did the business named on the front of this questionnaire have any other external liabilities not already included?

Yes  → Go to question 94

No  → Go to section D

**94.** What was the value of any other external liabilities not already included? ..... £ , , .  m 2041

**95.** Please provide examples and values of liabilities you have included in question 94:

Three rows of 20 empty boxes for text entry.

0124

**Section D - Shareholders' capital and reserves**

**96.** Questions in this section are about the shareholders' capital and reserves of the business named on the front of this questionnaire.

At the end of the reporting period:

**97.** 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, participating preference shares or similar documents have been issued.

Yes  → Go to question 98

No  → Go to section E

0122



NHC

NHC

NHC

NHC

MRK

NHC

QAA

MRK



**Section E - Transactions in financial instruments**

Please include only those transactions which relate to proprietary trading activity, own account dealing or dealing where the business named on the front of this questionnaire is the principal.

Please report financial instruments that have matured as a disposal in the relevant instrument.

**Section E.1 - Transactions in debt securities**

**During the reporting period:**

**103. What was the total value of acquisitions of:**

To the nearest £0.1 million

- a. **debt securities with an original maturity of one year or less** ..... £   ,   ,   .  **m** 3000 NHC
- i. of which, issued by UK residents?..... £   ,   ,   .  **m** 3100 NHC
- ii. of which, issued by non-UK residents?..... £   ,   ,   .  **m** 3101 NHC
- b. **debt securities with an original maturity of more than one year** ..... £   ,   ,   .  **m** 3001 NHC
- i. of which, issued by UK residents?..... £   ,   ,   .  **m** 3102 NHC
- ii. of which, issued by non-UK residents?..... £   ,   ,   .  **m** 3103 NHC

**104. What was the total value of disposal of:**

- a. **debt securities with an original maturity of one year or less** ..... £   ,   ,   .  **m** 3002 NHC
- i. of which, issued by UK residents?..... £   ,   ,   .  **m** 3104 NHC
- ii. of which, issued by non-UK residents?..... £   ,   ,   .  **m** 3105 NHC
- b. **debt securities with an original maturity of more than one year** ..... £   ,   ,   .  **m** 3003 NHC
- i. of which, issued by UK residents?..... £   ,   ,   .  **m** 3106 NHC
- ii. of which, issued by non-UK residents?..... £   ,   ,   .  **m** 3107 NHC



**Section E.2 - Transactions in equity, shares and units**

**During the reporting period:**

**105. What was the total value of acquisitions of equity in UK companies for:**

Exclude:

- transactions in trusts and funds

To the nearest £0.1 million

a.	listed equity? .....	£	<input type="text"/>	,	<input type="text"/>	,	<input type="text"/>	.	<input type="text"/>	m	3004	NHC
b.	unlisted equity? .....	£	<input type="text"/>	,	<input type="text"/>	,	<input type="text"/>	.	<input type="text"/>	m	3005	NHC

**106. What was the total value of disposal of equity in UK companies for:**

Exclude:

- transactions in trusts and funds

a.	listed equity? .....	£	<input type="text"/>	,	<input type="text"/>	,	<input type="text"/>	.	<input type="text"/>	m	3006	NHC
b.	unlisted equity? .....	£	<input type="text"/>	,	<input type="text"/>	,	<input type="text"/>	.	<input type="text"/>	m	3007	NHC

**107. What was the total value of acquisitions of equity in companies located outside of the UK?**

Exclude:

- transactions in trusts and funds.....

£	<input type="text"/>	,	<input type="text"/>	,	<input type="text"/>	.	<input type="text"/>	m	3008	NHC
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**108. What was the total value of disposal of equity in companies located outside of the UK?**

Exclude:

- transactions in trusts and funds.....

£	<input type="text"/>	,	<input type="text"/>	,	<input type="text"/>	.	<input type="text"/>	m	3009	NHC
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**109. What was the total value of acquisitions of shares or units in:**

Money market funds are trusts and funds whose investment portfolios are restricted to short-term market securities. Non-money market funds can hold any type of asset within their portfolio. An overseas trust or fund is domiciled outside of the UK.

a.	UK money market funds? .....	£	<input type="text"/>	,	<input type="text"/>	,	<input type="text"/>	.	<input type="text"/>	m	3010	NHC
b.	overseas money market funds? .....	£	<input type="text"/>	,	<input type="text"/>	,	<input type="text"/>	.	<input type="text"/>	m	3011	NHC
c.	UK non-money market funds? .....	£	<input type="text"/>	,	<input type="text"/>	,	<input type="text"/>	.	<input type="text"/>	m	3012	NHC
d.	overseas non-money market funds? .....	£	<input type="text"/>	,	<input type="text"/>	,	<input type="text"/>	.	<input type="text"/>	m	3013	NHC



**110. What was the total value of disposal of shares or units in:**

Money market funds are trusts and funds whose investment portfolios are restricted to short-term market securities. Non-money market funds can hold any type of asset within their portfolio. An overseas trust or fund is domiciled outside of the UK.

To the nearest £0.1 million

a.	UK money market funds? .....	£	<input type="text"/>	,	<input type="text"/>	,	<input type="text"/>	.	<input type="text"/>	m	3014	NHC
b.	overseas money market funds? .....	£	<input type="text"/>	,	<input type="text"/>	,	<input type="text"/>	.	<input type="text"/>	m	3015	NHC
c.	UK non-money market funds? .....	£	<input type="text"/>	,	<input type="text"/>	,	<input type="text"/>	.	<input type="text"/>	m	3016	NHC
d.	overseas non-money market funds? .....	£	<input type="text"/>	,	<input type="text"/>	,	<input type="text"/>	.	<input type="text"/>	m	3017	NHC

**Section F - 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:**

**111. What was the total capital expenditure on major improvements and construction work?**

Include:

- new build, major refurbishments or improvements to existing buildings
- 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 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

a.	<b>acquisition costs?</b> .....	£	<input type="text"/>	,	<input type="text"/>	,	<input type="text"/>	.	<input type="text"/>	m	3018	NHC
	i. of which, for own use or where you are responsible for its maintenance?.....	£	<input type="text"/>	,	<input type="text"/>	,	<input type="text"/>	.	<input type="text"/>	m	3108	NHC



**112. For land, excluding buildings, what was the value of:**

Include:

- ground, including the soil covering and any associated surface waters, over which ownership rights are enforced

Exclude:

- buildings or other structures situated on the land or running through it
- cultivated crops, trees and animals
- subsoil assets
- non-cultivated biological resources
- water resources below the ground

To the nearest £0.1 million

a. **acquisition costs?** ..... £   ,        m 3109 NHC

i. of which, for own use or where you are responsible for its maintenance?..... £   ,        m 3110 NHC

b. **proceeds from disposals?**..... £   ,        m 3111 NHC

**113. For existing buildings and structures, what was the value of:**

Exclude:

- new build. This was requested at question 111

a. **acquisition costs?** ..... £   ,        m 3112 NHC

i. of which, for own use or where you are responsible for its maintenance?..... £   ,        m 3113 NHC

b. **proceeds from disposals?**..... £   ,        m 3114 NHC

**114. For transport equipment, what was the value of:**

This is equipment for moving people and objects.

Include:

- motor vehicles
- trailers
- semi-trailers
- ships and boats
- railway, locomotives and rolling stock
- air and spacecraft related machinery
- military fighting equipment (but not weapons systems)
- motorcycles
- bicycles

a. **acquisition costs?** ..... £   ,        m 3019 NHC

b. **proceeds from disposals?** ..... £   ,        m 3020 NHC



**115. For computer hardware and peripheral equipment, what was the value of:**

Include:

- printers and terminals
- bundle software that you are unable to value separately

To the nearest £0.1 million

a. **acquisition costs?** ..... £   ,    ,    .  **m** 3021

b. **proceeds from disposals?** ..... £   ,    ,    .  **m** 3022

NHC  
NHC

**116. For computer software, what was the value of:**

Include:

- computer programs
- program descriptions
- supporting materials for systems and applications software
- initial development of, and any extension of existing software
- acquisition of any copies
- labour costs associated with the development and production of software

a. **acquisition costs?** ..... £   ,    ,    .  **m** 3023

i. of which, produced in-house for own use? ..... £   ,    ,    .  **m** 3024

b. **proceeds from disposals?** ..... £   ,    ,    .  **m** 3025

NHC  
NHC  
NHC

**117. 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

a. **acquisition costs?** ..... £   ,    ,    .  **m** 3026

i. of which, produced in-house for own use? ..... £   ,    ,    .  **m** 3027

b. **proceeds from disposals?** ..... £   ,    ,    .  **m** 3028

NHC  
NHC  
NHC



**118. For telecommunications equipment, what was the value of:**

Include:

- telephones
- fax machines
- switchboards
- CCTV equipment

To the nearest £0.1 million

a. **acquisition costs?** ..... £   ,    ,    .  **m** 3029

b. **proceeds from disposals?** ..... £   ,    ,    .  **m** 3030

NHC

NHC

**119. 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

a. **acquisition costs?** ..... £   ,    ,    .  **m** 3031

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

NHC

NHC

**120. For valuables, what was the value of:**

Include:

- non-monetary gold
- precious metals and stones that are not held for use as inputs to processes of production
- antiques and other art objects such as paintings, sculptures and other recognised works of art
- other valuables not elsewhere classified, such as collections and jewellery of significant value

a. **acquisition costs?** ..... £   ,    ,    .  **m** 3115

b. **proceeds from disposals?** ..... £   ,    ,    .  **m** 3116

NHC

NHC





**Section G - Breakdown of financial derivatives held as assets**

We require a breakdown of the value of your financial derivatives held as assets.

**125. Did the business named on the front of this questionnaire have any financial derivatives held as assets?**

Yes  → Go to question 126

No  → Go to section H 0129

MRK

**126. Please provide a breakdown by sector in the table entitled 'Counterparty breakdown of financial derivatives held as assets'.**

Please refer to 'Notes for financial derivatives held as assets' at the back of the questionnaire for further information to help you complete the following table for your breakdown of financial derivatives held as assets.

**Counterparty breakdown of financial derivatives held as assets**

Counterparty Sector	Forward type derivative contracts	Option type derivative contracts
	Fair value of <u>forward type derivative contracts with a positive value held</u> by this business with: <span style="margin-left: 100px;">9101</span> <b>To the nearest £0.1 million</b>	Fair value of <u>option type derivative contracts held</u> by this business with: <span style="margin-left: 100px;">9102</span> <b>To the nearest £0.1 million</b>
9100		
1. UK banks and building societies .....	£ <input type="text"/>	£ <input type="text"/>
2. UK money market trusts and funds .....	£ <input type="text"/>	£ <input type="text"/>
3. UK non-money market trusts and funds .....	£ <input type="text"/>	£ <input type="text"/>
4. UK financial auxiliaries, captive financial institutions and money lenders .....	£ <input type="text"/>	£ <input type="text"/>
5. UK financial intermediaries, except insurance corporations and pension funds .....	£ <input type="text"/>	£ <input type="text"/>
i. Of which, other securities dealers .....	£ <input type="text"/>	£ <input type="text"/>
6. UK insurance corporations and pension funds .....	£ <input type="text"/>	£ <input type="text"/>
7. UK private and public non-financial corporations .....	£ <input type="text"/>	£ <input type="text"/>
8. UK central government and UK local authorities .....	£ <input type="text"/>	£ <input type="text"/>
9. UK households and individuals .....	£ <input type="text"/>	£ <input type="text"/>
10. UK non-profit institutions serving households .....	£ <input type="text"/>	£ <input type="text"/>
11. Non-UK residents .....	£ <input type="text"/>	£ <input type="text"/>
<b>Total value of financial derivatives reported .....</b>	£ <input type="text"/> <span style="margin-left: 100px;">9103</span>	£ <input type="text"/> <span style="margin-left: 100px;">9104</span>

NNO

NNO

NNO

NNO

NNO

NNO

NNO

NNO

NNO

NNO

NNO

NNO

NNO

The total value for forward type derivative contracts should equal the value reported at Question 48.a  
The total value for option type derivative contracts should equal the value reported at Question 48.b







## Notes for financial derivatives held as assets and financial derivatives held as liabilities (questions 126 and 128)

### Counterparty Sector Definitions

#### **UK Money Market Trusts and Funds**

UK domiciled collective investment schemes who invest primarily in highly liquid instruments e.g. bank deposits, shares or units in other money market funds, or transferable debt instruments with a residual maturity of not more than one year. They can be either open ended or closed ended in structure and may include unit trusts or investment funds.

#### **UK Non Money Market Trusts and Funds**

UK domiciled collective investment schemes who invest primarily in long term financial assets, and non financial assets e.g. real estate. They can be either open ended or closed ended in structure and may include unit trusts or investment funds.

#### **Other Financial Intermediaries, except Insurance Corporations and Pension Funds**

This includes corporations who are engaged in the provision of financial services by incurring liabilities on their own account in forms other than: currency; deposits; investment fund shares or units. It includes: corporations who engage in the securitisation of assets; security and derivative dealers; and, central clearing organisations involved in transactions relating to clearance and settlement of securities and derivatives.

#### **Financial Auxiliaries**

This covers those corporations that are engaged in activities associated with transactions in financial assets and liabilities, or with providing the regulatory context for these transactions, but do not take ownership of the financial assets and liabilities being transacted. It includes: insurance brokers; loan brokers; security brokers; investment advisers; managers of pension funds and mutual funds; and, corporations that arrange derivative and hedging instruments, but do not issue them themselves.

#### **Captive Financial Institutions and Money Lenders**

This includes financial corporations and quasi-corporations that are neither engaged in financial intermediation nor the provision of financial auxiliary services, and whose assets and liabilities tend not to be transacted on open markets. It includes: holding companies; money lenders; and special purpose entities or vehicles that raise funds in open markets for the use of their parent corporation.

#### **UK Insurance Corporations and Pension Funds**

This includes pension funds and corporations whose principal function is to provide insurance and/or reinsurance services.

#### **UK Private and public non financial corporations**

This includes corporations whose principal activity is the production of market goods or the provision of non financial services.

SPECIMEN