

## COLLATERAL MANAGEMENT AND CUSTODY CLIENT DATA COLLECTION DOCUMENT FOR CONTINGENT NBFI REPO FACILITY

### CONTENTS

Guidance Notes .....	2
1. Sections Changed .....	3
2. Address Details .....	4
3. Contacts .....	5
4. Notification Options .....	6
5. Notification Preferences .....	7
6. Notification Email Addresses .....	8
7. SWIFT Address .....	9
8. Other Information .....	10
9. Standard Settlement Instructions (SSIs) - Securities .....	11
10. Standard Settlement Instructions (SSIs) - Cash .....	12
11. Standard Settlement Instructions (SSIs) - Corporate Actions .....	13
12. Authorised Signatories .....	14

Last updated 28/01/2025

# Bank of England

## Guidance Notes

This document is to be used to provide the required static data to facilitate participation in the Bank's Contingent NBF1 Repo Facility (**CNRF**) and should be read together with the other [Documentation relating to the CNRF](#), including the terms and conditions relating to it as published by the Bank from time to time on its website at [www.bankofengland.co.uk](http://www.bankofengland.co.uk) (as amended and/or supplemented from time to time including, without limitation, any applicable Annex and any relevant Market Notice) (the [CNRF Terms and Conditions](#)).

Terms defined in the CNRF Terms and Conditions have the same meaning where used in this document, unless defined herein or as the context otherwise requires.

This document should be completed by the applicant or (where applicable) its proposed Representative and updated when required by the Participant or (where applicable) its Representative in accordance with the Documentation.

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

Section 1 (Sections Changed) needs to be completed as follows:

For applicants to the CNRF the 'New Participant' option should be selected and then all sections should be completed.

For amendments to the static data for existing Participants only the sections requiring changes should be selected. Please provide the effective date from which the change(s) should take effect; if this is left 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](mailto:CMC.SSI@bankofengland.co.uk)

A record of the information provided to the Bank should be kept by the Participant or (where applicable) its Representative. This can then be referred to when amendments needed to be submitted.

---

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](mailto:CMC.SSI@bankofengland.co.uk)

# Bank of England

## 1. Sections Changed

Please indicate the sections that include changes using the checkboxes below.

If the form relates to a **new Participant** please check the 'New Participant' checkbox. For **subsequent amendments** the areas of change should be indicated below with the effective date of the change as described in the guidance notes above.

New Participant	<input type="checkbox"/>
-----------------	--------------------------

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*

# Bank of England

## 2. Address Details

Please provide the address of the legal entity for the applicant or existing Participant ensuring **all** fields are completed.

Full Legal Name of Institution:	<i>Legal Entity Name</i>
Legal Entity Identifier (LEI):	<i>LEI Code</i>
Address:	<i>Address Line 1</i>
	<i>Address Line 2</i>
	<i>Address Line 3</i>
	<i>Address Line 4</i>
Postcode / Zipcode:	<i>Postcode/Zipcode</i>
Country of Residence*:	<i>Country of Residence</i>
Country of Incorporation:	<i>Country of Incorporation</i>

*\*Required for tax purposes*

# Bank of England

## 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. This contact may be personnel for the applicant/Participant, proposed or existing Representative or a third party delegate institution.

These contacts will be used for queries, so 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 email addresses 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.

<b>Contact Type</b>	<b>Name</b>	<b>Telephone number (please include area code)</b>	<b>Email address</b>
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>

# Bank of England

## 4. Notification Options

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

These communications will be sent to the details completed in Section 7 (SWIFT Address) and / or Section 6 (Notification Email Addresses).

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"/>

# Bank of England

## 5. Notification Preferences

Please select how often statements will be received, and if applicable, on which day of the week they should be received. Null statements can also be selected. The delivery method is defined by the options available in Section 4 (Notification Options) of this document and so cannot be customised further here.

<b>Statement Preferences</b>	
<b>Frequency</b>	<i>Daily / Weekly / End Month</i>
<b>Weekly preference</b> <i>(only required if weekly frequency is selected)</i>	<i>Mon / Tue / Wed / Thu / Fri</i>
<b>Receive Null (zero) statements</b>	<i>YES / NO</i>

# Bank of England

## 6. Notification Email Addresses

This section specifies the emails addresses for notifications. This will apply to all email notifications you choose to receive in Section 4 (Notification Options) of this document. The email addresses may be provided for personnel from the applicant/ Participant proposed or existing Representative or a third party delegate institution.

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*



# Bank of England

## 7. SWIFT Address

Please provide the BIC11 SWIFT address for official communications with the Bank. This address will be used to send and receive SWIFT messages to and from the Bank in relation to the CNRF operations. A valid 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](http://www.swift.com)]*

# Bank of England

## 8. Other Information

Please select whether maturing and new exposures for the CNRF should net.

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 CNRF Exposures	YES <input type="checkbox"/> / NO <input type="checkbox"/>
--------------------	--

---

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](mailto:CMC.SSI@bankofengland.co.uk).

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

# Bank of England

## 9. Standard Settlement Instructions (SSIs) - Securities

Please provide the account details from which Eligible Collateral will be delivered to collateralise the Relevant Exposures. 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)		

\*This account will be used by your institution to deliver securities for use as collateral in the Bank's operations.

# Bank of England

## 10. Standard Settlement Instructions (SSIs) - Cash

Please provide the GBP SSI to be used to make cash payments for CNRF operations. As per the Operating Procedures, cash for these operations will be paid to this SSI.

Only **one** GBP SSI is permissible. If multiple SSIs are provided 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 <u>or</u> Account Number <u>or</u> IBAN	BIC11** SWIFT	IBAN*** <u>or</u> 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*	<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.

\*\*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)*

# Bank of England

## 11. Standard Settlement Instructions (SSIs) - Corporate Actions

Please provide the GBP SSIs to be used for the proceeds of Corporate Actions on gilts held with the Bank paid to.

Only **one** GBP SSI is permissible. 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 <u>or</u> Account Number <u>or</u> 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*	<a href="#">Click here</a>	<a href="#">Click here</a>	<a href="#">Click here</a>	<a href="#">Click here</a>	<a href="#">Click here</a>	<a href="#">Click here</a>

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

\*\*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)*

# Bank of England

## 12. Authorised Signatories

The Bank can only act on information provided in the form when signed by those persons authorised under the Bank of England Authorised Signatory Form – Participant<sup>1</sup> or (where applicable) the Bank of England Authorised Signatory Form – Representative<sup>2</sup>. Please sign and complete the below before returning this document to the Bank as set out in the Guidance Notes. Authorised Signatories from either the Participant or (where applicable) its Representative only will be accepted. Personnel from third party delegates should not sign.

Please note that it is a requirement for all sections of the form to be completed in order 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: \_\_\_\_\_

<sup>1</sup> <https://www.bankofengland.co.uk/-/media/boe/files/markets/cnrf/boe-authorized-signatory-form-participant.pdf>

<sup>2</sup> <https://www.bankofengland.co.uk/-/media/boe/files/markets/cnrf/boe-authorized-signatory-form-representative.pdf>