

BANK OF UGANDA

OTHER CENTRAL SECURITIES DEPOSITORY SYSTEM OPERATIONAL FORMS

LISTING OF CSD FORMS

CSD Form 2: Bid Application Form to participate in the auction of Securities

CSD Form 3: Sale Confirmation Form

CSD Form 4: Purchase Confirmation Form

CSD Form 5: Lien Creation Form

CSD Form 6: Lien Release Form



CDS Form 2

BID APPLICATION FORM
TO PARTICIPATE IN THE AUCTION OF SECURITIES
(To be submitted in duplicate to the CDS Manager)

CDS A/C Number bidder: _ _ _ _ _

CSD A/C Name:

O/C Domestic Market Operations
Bank of Uganda
Financial Markets Department
Tel: +256-414-343429/258441

Date:

Security Type:

Issuer:

(I) In accordance with the terms of the call for tenders for CDS instruments, I / We hereby tender for CDS instruments as indicated below and agree to pay for the total, or for any lesser, amount that may be allotted at the price per hundred shillings shown below.

Amount of Tender (Face Value or Maturity Value)	Maturity period Days/Years	Price per 100 shillings (To three decimal places)
(1) Shs.....	@
(2) Shs.....	@
(3) Shs.....	@
(4) Shs.....	@

(II) PARTICIPANT SETTLEMENT BANK DETAILS (ACCOUNT TO DEBIT)

Account Number	Settlement Bank Name	Amount

(1) _____
Authorised Signatory

(2) _____
Authorised Signatory

(III) For commercial bank: We, by the signatures below, hereby authorise you to **debit our clearing account at the Bank of Uganda** on the issue date for the cost of the amount we have tendered or the cost of a lesser amount allotted at the price quoted above.

(1) _____
Authorised Signatory

(2) _____
Authorised Signatory

For Official Use Only

Security Name: _____ Bid Type: _____

Amount Awarded: _____ Price Awarded: _____

Bid Form No: _____ Issue No: _____ Awarded: Yes or No

Verified: Yes or No Settled and Delivered: Yes or No

Name of Assigning Officer: _____ Date: _____

CSD Form 3



SALE CONFIRMATION FORM

(To be submitted in duplicate and delivered to the CSD Manager)

CSD Manager
Bank of Uganda
Domestic Financial Markets

1	Reference Number:	
2	Dealing Date:	
3	Dealers:	
	1. Selling Dealer	
	2. Buying Dealer	
4	Parties:	
	1. Seller	
	2. Buyer	
5	Subject:	
	1. Transaction Type*	
	2. Issue N ^o	
	3. Days to maturity	
	4. Face Value	
6	Delivery from:	
	1. CSD INST. A/C N ^o	
	2. Value Date	
7	Settlement:	
	1. Agreed Price	
	2. Beneficiary Bank	
	3. Branch- A/c N ^o	
	4. Value Date	
	5. Payment Status	
8	Re-delivery to:	
	1. CSD INST. A/C N ^o	
	2. Value Date	
9	Re-settlement to:	
	1. Agreed Price	
	2. Remitting Bank	
	3. Branch- A/C N ^o	
	4. Value Date	
10	Confirmation:	
	1. Authorised Signatory	
	2. Authorised Signatory	

***Transaction Type:**

- | | | | |
|---------|-------------|---------------------|---------------|
| 1. Sale | 3. Lien | 5. Reversal of REPO | 7. Rediscount |
| 2. REPO | 4. Transfer | 6. Lien Release | |

Authorised Signature

Authorised Signature

Note: Repo / lien transactions should be cancelled 2 days before the maturity date of the affected CSD instrument; otherwise BOU will credit the CSD instrument account of their beneficiary.

NOTES FOR COMPLETING SALES CONFIRMATION FORMS

1. **Reference Number:** This is a pre-printed number. The seller must advise the purchaser of this number so that the purchaser can use the same number when completing the purchase confirmation form.
2. **Dealing Date:** Contract date (Date the SCF form is filled)
3. **Dealers:**
 - Selling Dealer-** Dealer selling on behalf of the owner of the CSD instrument account.
 - Buying Dealer-** Dealer buying on behalf of the prospective (new) owner.
4. **Parties:**
 - Seller-** Account holder of the CSD instrument being sold.
 - Buyer-** Account holder for whose account the CSD instrument is being bought.
5. **Subject:**
 - Transaction Type-** 1.- Sale, 2.- REPO, 3.- Lien, 4.- Transfer, 5.- Reverse REPO, 6.- Lien Release, 7- Rediscount
 - Issue N^o** – The number of the particular security issue being transacted.
 - Days to Maturity-** Days to redemption of the issue, calculated from the value date.
 - Face Value-** The par value i.e. amount payable at maturity
6. **Delivery from:**
 - CSD INST. A/C N^o**- Seller's CENTRAL SECURITIES DEPOSITORY System instrument account number.
 - Value Date-** Agreed settlement date, when CSD instruments will be transferred
7. **Settlement:**
 - Agreed Price-** Contract price for the deal.
 - Beneficiary Bank-** Seller's bank.
 - Branch A/C N^o** - Seller's branch and his/her account number with that branch.
 - Value Date-** Agreed date of settlement which must be the same as in 6. above.
 - Payment Status-** will indicate whether or not seller has received payment i.e. as "Settled" or "Not Settled" between seller and buyer.
8. **Re-delivery to:**
 - CSD INST. A/C N^o**- Seller's CENTRAL SECURITIES DEPOSITORY System instrument account number.
 - Value Date-** Maturity date of the REPO or Lien (agreed upon the dealing date).
9. **Re-Settlement to:**
 - Agreed Price-** Amount agreed upon by both parties to square their positions.
 - Remitting Bank-** Bank that initially sold the REPO, either BOU or the bank that created the lien.
 - Branch A/C N^o** – His/her branch and respective account number.
 - Value Date-** Maturity date for the REPO/ Lien.
10. **Confirmation:**
 - For single investors, his/her signature is sufficient; others will be signed by two officers authorised to commit their institutions.

CSD Form 4



PURCHASE CONFIRMATION FORM

(To be submitted in duplicate and delivered to the CSD Manager)

CSD Manager
Bank of Uganda
Domestic Financial Markets

1	Reference Number:	
2	Dealing Date:	
3	Dealers:	
	1. Selling Dealer	
	2. Buying Dealer	
4	Parties:	
	1. Seller	
	2. Buyer	
5	Subject:	
	1. Transaction Type*	
	2. Issue N ^o	
	3. Days to maturity	
	4. Face Value	
6	Delivery to:	
	1. CSD INST. A/C N ^o	
	2. Value Date	
7	Settlement:	
	1. Agreed Price	
	2. Beneficiary Bank	
	3. Branch- A/C N ^o	
	4. Value Date	
	5. Payment Status	
8	Re-delivery to:	
	1. CSD INST. A/C N ^o	
	2. Value Date	
9	Re-settlement to:	
	1. Agreed Price	
	2. Remitting Bank	
	3. Branch- A/C N ^o	
	4. Value Date	
10	Confirmation:	
	1. Authorised Signatory	
	2. Authorised Signatory	

***Transaction Type:**

- | | | | |
|---------|-------------|---------------------|---------------|
| 1. Sale | 3. Lien | 5. Reversal of REPO | 7. Rediscount |
| 2. REPO | 4. Transfer | 6. Lien Release | |

Authorised Signature

Authorised Signature

Note: Repo / lien transactions should be cancelled 2 days before the maturity date of the affected CSD instrument; otherwise BOU will credit the CSD instrument account of their beneficiary.

NOTES FOR COMPLETING PURCHASE CONFIRMATION FORMS

1. **Reference Number:** This is a pre-printed number. The seller must advise the purchaser of this number so that the purchaser can use the same number when completing the purchase confirmation form.
2. **Dealing Date:** Contract date (Date the PCF form is filled)
3. **Dealers:**
 - Selling Dealer-** Dealer selling on behalf of the owner of the CSD instrument account.
 - Buying Dealer-** Dealer buying on behalf of the prospective (new) owner.
4. **Parties:**
 - Seller-** Account holder of the CSD instrument being sold.
 - Buyer-** Account holder for whose account the CSD instrument is being bought.
5. **Subject:**
 - Transaction Type-** 1.- Sale, 2.- REPO, 3.- Lien, 4.- Transfer
5.- Reverse REPO, 6.- Lien Release, 7- Rediscount
 - Issue N^o** – The number of the particular security issue being transacted.
 - Days to Maturity-** Days to redemption of issue, calculated from the value date.
 - Face Value-** The par value i.e. amount payable at maturity
6. **Delivery to:**
 - CSD INST. A/C N^o**- Purchaser's CENTRAL SECURITIES DEPOSITORY System instrument account number.
 - Value Date-** Agreed settlement date, when CSD instrument will be transferred
7. **Settlement:**
 - Agreed Price-** Contract price for the deal.
 - Beneficiary Bank-** Seller's bank.
 - Branch A/C N^o** - Seller's branch and his/her account number with that branch.
 - Value Date-** Agreed date of settlement which must be the same as in 6. above.
 - Payment Status-** will indicate whether or not buyer has made payment i.e. as "Settled" or "Not Settled" between buyer and seller.
8. **Re-delivery to:**
 - CSD INST. A/C N^o** - Purchaser's CENTRAL SECURITIES DEPOSITORY System instrument account number.
 - Value Date-** Maturity date of the REPO or Lien (agreed upon the dealing date).
9. **Re-Settlement to:**
 - Agreed Price-** Amount agreed upon by both parties to square their positions.
 - Remitting Bank-** Bank that initially sold the REPO, either BOU or the bank that created the lien.
 - Branch A/C N^o** – His/her branch and respective account number.
 - Value Date-** Maturity date for the REPO/ Lien.
10. **Confirmation:**
 - For single investors, his/her signature is sufficient; others will be signed by two officers authorised to commit their institutions.

