

ANNEX B

FOR FI BROKERING PARTICIPANTS

CHECKLIST IN PREPARATION FOR THE IMPLEMENTATION OF THE NON-RESTRICTED TRADING AND SETTLEMENT OF PESO-DENOMINATED COUPON-BEARING GOVERNMENT SECURITIES

Please note that this is for your institution's own assessment of your readiness for the implementation of the Non-Restricted Trading and Settlement of Peso GS (NRTS). This will act as your guide and will not be submitted to anyone.

B.I. Accounts	
<p>1. Application as Government Securities Eligible Broker (GSB) and Securities Account for Tax-Tracking (SATT) Please coordinate with BTr for your application as GSB and request to open your Broker Omnibus SATT. Kindly get in touch with Ms. Floresita V. Tuazon of BTr at 663 2246 to follow up on the details of your Broker Omnibus SATT.</p> <p>2. PIC Enrolment of the Broker Omnibus SATT Kindly refer to <i>Memo to FI Trading Participants No. 103-2014</i> dated 19 November 2014. Annex A - Request for PIC Enrolment of Omnibus SATT must be submitted to PDS Client Services:</p> <p style="padding-left: 40px;">Client Services 37/F Tower 1, The Enterprise Center 6766 Ayala Ave. cor. Paseo de Roxas 1226 Makati City</p> <p>3. PDS Investor Code (PIC) for the Broker</p> <p>3.1 PIC for the Broker Depository Account This has been released last <u>9 December 2014</u> to your Broker Representatives. If your Broker Representatives have yet to receive your PICs, kindly coordinate with PDS Client Services.</p> <p>3.2 PIC for your Broker Omnibus SATT This will be released to your Broker Representatives once Annex A - Request for PIC Enrolment of Omnibus SATT has been received and processed by PDS Group. If you have yet to receive your PIC for Broker Omnibus SATT, you may coordinate with PDS Client Services.</p>	<p>1. Have you already opened your SATT with BTr?</p> <p style="text-align: center;"><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes, have you already received your Broker SATT details?</p> <p style="text-align: center;"><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>2. Have you already requested for PIC enrollment of the Broker Omnibus SATT (i.e. submitted Annex A to PDS)?</p> <p style="text-align: center;"><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>3.1 Have you already received your PIC details for the Broker Depository Account?</p> <p style="text-align: center;"><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>3.2 Have you already received your PIC details for the Broker Omnibus SATT?</p> <p style="text-align: center;"><input type="checkbox"/> Yes <input type="checkbox"/> No</p>

B.II. Systems Access and Systems Training

1. System Trainings

1. Investor Direct (for Settlement Persons)
2. BTr Sub-Registry System (for Settlement Persons)
3. BTr Sub-Registry System (for System Administrators)

Please note that if your system administrators are already existing in eCS PDC Clear Depository System, training for the said system is no longer required.

System training is a requirement for access to Investor Direct and PDS Clear FI-DvP to be granted to new users, and to the BTr Sub-Registry System to be granted to new system administrators.

You may coordinate with PDS Client Services at 884 5051, 884 4408, and 884 5063 for training schedules.

2. Systems and System Access

1. CAAC Blotter ver. 7 (for Traders)
2. API Deal Ticket ver. 4

Both the CAAC Blotter and API Deal Ticket require an installation. Kindly email PDS Client Services at clientservices@pds.com.ph to request for a schedule of installation.

3. Investor Direct (for Settlement Persons - at least 1 maker, 1 checker)

Please refer to *Memo to FI Trading Participants No. 15-2015* dated 27 January 2015.

For access to Investor Direct, kindly submit a Subscription Application Form to PDS Client Relations:

Client Relations
37/F Tower 1, The Enterprise Center
6766 Ayala Ave. cor. Paseo de Roxas
1226 Makati City

4. PDS Clear FI-DvP (for Settlement Persons - at least 1 maker, 1 checker)

1. Have you already undergone training for the following:

	A-Yes	B-No
Investor Direct	<input type="checkbox"/>	<input type="checkbox"/>
BTr Sub-Registry (for Settlement Persons)	<input type="checkbox"/>	<input type="checkbox"/>
BTr Sub-Registry (for System Administrators)	<input type="checkbox"/>	<input type="checkbox"/>

2. Have you already submitted your Subscription Application for Investor Direct?

Yes No

Do you already have access to the following systems:

	A Yes	B No, but have already requested	C No, have yet to request for access
CAAC Blotter	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Investor Direct	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PDS Clear FI-DvP	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
BTr Sub-Registry System (for System Administrators)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5. BTr Sub-Registry System (for System Administrators and Settlement Persons - at least 1 maker, 1 checker)

BTr Sub-Registry System (for Settlement Persons)

Is the CAAC Blotter ver. 7 already installed in your workstations?

Yes No

Is the API Deal Ticket ver. 4 already installed in your workstations?

Yes No
 We are not a user

Access to the CAAC Blotter, Registry Direct, and PDS Clear may be requested to PDS Client Services. Please coordinate with them at 884 5051, 884 4408, and 884 5063.

Access to the BTr Sub-Registry may be requested by your System Administrators from BTr. Kindly coordinate with Ms. Floresita V. Tuazon of BTr at 663 2246.