



Autoinquiry Automated SWIFT Inquiry User Guide

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1. Autoinquiry Description

Autoinquiry is an automated SWIFT based inquiry service of UBS Switzerland. It enables your bank to inquire about your payment transactions by using specially formatted SWIFT messages. Your Autoinquiry message automatically accesses the payment database of UBS, locates the corresponding transaction (debit or credit), and generates an automated reply. An automated authentication process is in place to ensure that only authorized parties have access to client specific data.

If a manual verification process is needed, a SWIFT message is sent back to the inquirer, advising that the inquiry can not be processed automatically and has been forwarded to Customer Service for manual processing. This step will also occur if the research or verification process is interrupted or if the Autoinquiry message is incorrectly formatted.

2. Benefits of Autoinquiry

The usage of Autoinquiry provides your bank with the following benefits:

Speed	Properly formatted Autoinquiry messages are processed and replied to shortly after receipt
Cost Savings	Autoinquiry is offered free of charge
Security	Only authorized parties can access transaction data on your account(s)
Availability	Autoinquiry service is available from Monday to Friday: 12:30 AM (CET) to 11:30 PM (CET)
Customer Support	You have access to qualified specialists ready to assist you with any questions or problems from Monday to Friday, 07:00 AM (CET) TO 06:00 PM (CET)
Quality	Improvement of quality due to standardized replies
No investment	No additional hardware or software required because you are already a SWIFT member
User friendliness	Easy to use with little training required

3. SWIFT Query Numbers Supported by Autoinquiry

At the present time, the following SWIFT query numbers are supported for Autoinquiry investigations:

Query number	Description
/1/	"We appear not to have been debited so far."
/3/	"We have been advised that the beneficiary did not receive payment. Please state if and when the transaction was effected."
/4/	"The beneficiary is unable to identify the transaction. Please send us full particulars."
/14/	"We cannot trace this transaction. Please send details."

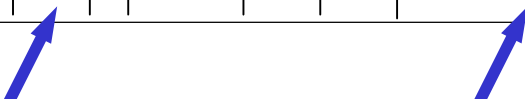
4. Eligible Payments Codes for Autoinquiry

As the Autoinquiry service is only available for transactions related to our Payments Processing Unit, the *transaction in question must have one of the following UBS Payments Codes*, in order to be processed as an Autoinquiry:

E1, E3, E4, E5, E6, EW, GL, GQ, GR, GT, GU, GV, GW, GY, I2, K9, L2, OX, PG, Q0, Q1, Q2, Q3, Q4, Q5, Q6, Q7, Q8, Q9, QP, QV, R0, R2, R9, T2, T6, T7, TB, TI, TJ, TK, TL, TN, TO, U0, U1, U2, U3, U4, U5, U6, U7, U8, U9, V0, V1, V2, V3, V4, V5, V6, V7, V8, V9, VB, W0, XE, XL, XS, XX, XZ, ZB, ZC, ZD, ZF, ZG, ZH, ZM, ZO, ZP, ZS, ZT, ZU, ZV, ZW, ZX.

One way to determine the UBS payments code of any particular transaction is to review the MT950 account statement:

: 61:	020117	0117	D	1900,00	NTRF	NONE	//	3410271ZD9161699	//ELOKNOKK28004448
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Transaction Date (TDT) **UBS Transaction Reference**

UBS payments code is displayed as the 8th & 9th digit of the UBS Transaction Reference

If the transaction you are inquiring about has a different UBS payments code as listed above, the Autoinquiry message is routed to the respective business unit for manual processing. However, it is no longer considered an Autoinquiry message and an investigation fee may apply.

5. When to Use Autoinquiry

UBS Switzerland provides the Autoinquiry service for standardized inquiries related to Our Payments Processing Unit. A payment order with a transaction date of *less than one calendar year* from the date of the inquiry can be inquired upon with Autoinquiry:

- If your bank is unable to *locate an expected debit entry* on your account, you can send UBS an Autoinquiry to obtain confirmation (**SWIFT query number /1/**)
- If the beneficiary of the funds transfer *claims non-receipt of funds*, you can utilize our Autoinquiry service to investigate the matter (**SWIFT query number /3/**)
- If the beneficiary of the funds transfer is *unable to identify the transaction*, your bank can send an Autoinquiry to request full details (**SWIFT query number /4/**)
- If your bank is *unable to reconcile a debit or credit entry on your MT940/950 account statement received from UBS*, you can use Autoinquiry to request further details (**SWIFT query number /14/**)

6. When Not to Use Autoinquiry

Please do not submit a query in an Autoinquiry format:

- If the inquiry type *does not match* one of the SWIFT query numbers supported by Autoinquiry
- If the underlying payment has a transaction date *older than one calendar year* from the date of the inquiry
- If the payments code of the transaction in question *does not match* the payment codes listed in section 4

7. Explanation of Keywords

Keyword	Description	Comments
AUTOINQ	Autoinquiry keyword for MT199/299/999	Mandatory UBS Autoinquiry keyword
/nn/	Autoinquiry query number	SWIFT query number
TDT	UBS transaction date available on the MT950 or processing date of the related SWIFT payment message	Available on SWIFT MT950 statement Date has to be formatted according to SWIFT standard: YYMMDD
USRF	Reference of the inquirer	The investigation's reference/contact name & case number, will be quoted in the answer message

8. Autoinquiry Formatting Requirements

Important note: The query number **/nn/** given below can have the value **1, 3, 4 or 14***.

8.1. Formatting an MT195/295/995 Autoinquiry Message

	BANCUSXXX	SWIFT message sender
	UBSWCHZH80A	SWIFT message receiver
	195	SWIFT message type
M	:20: INV 45632	Sender's reference
M	:21: 1234567890123456	Field 20 of the payment order or the UBS transaction reference from the MT950 you are inquiring about
M	:75: /nn/	Autoinquiry query number
O	USRF L.ORCA/5599	Reference of the inquirer
M	:11a:### YYMMDD	"11a" identifies your institution as R for Reciever or as S for Sender of message you are inquiring about.. ### contains the SWIFT MT you are inquiring about. With option R, YYMMDD equals the UBS transaction date from your statement. With option S, YYMMDD equals the date of the SWIFT MT in question.

M = Mandatory O = Optional

8.2. Formatting an MT199/299/999 Autoinquiry Message

Important note: The keyword **AUTOINQ** is obligatory and must appear by itself in the first line of field 79.

	BANCUSXXX	SWIFT message sender
	UBSWCHZH80A	SWIFT message receiver
	199	SWIFT message type
M	:20: INV 45632	Sender's reference
M	:21: 1234567890123456	Field 20 of the payment order or the UBS transaction reference from the MT950 you are inquiring about
M	:79: AUTOINQ	Autoinquiry keyword
M	/nn/	Autoinquiry query number
M	TDT 050128	Keyword & UBS transaction date from your statement (YYMMDD) or date of the SWIFT MT in question
O	USRF L.ORCA/5599	Reference of the inquirer

M = Mandatory O = Optional

*Kindly note query number **/14/** can only be used to inquire about a debit or credit entry you are unable to reconcile on the statement that your bank received from UBS (e.g.: 11R:950). In such a case, the inclusion of the UBS transaction reference in field 21 is mandatory.

9. Sample Autoinquiry Messages for Query Numbers /1/ & /3/ with Systematically Generated Answer Messages

9.1. An MT295 Autoinquiry with query number /1/

```
:20:L4MA212537040822
:21:1234567890123456
:75:/1/
USRF INV-457887
:11S:202
040929
```

Corresponding automatically generated MT 299 answer message

```
:20: UBSP 1875-30SEP04
:21: L4MA212537040822
:79: YOUR AUTOINQUIRY BY MT295
DATED 30-SEP-04 REFERENCE INV-457887 CONCERNING THE FOLLOWING:
QUERY CODE /1/
RELATED REFERENCE (F21): L4MA212537040822
REMITTING/SENDING BANK: UBSWUS33
INSTRUCTIONS REFERENCE:1234567890123456
INSTRUCTIONS TYPE: MT202
INSTRUCTIONS DATE: 29-SEP-04
AMOUNT: 50000000/CHF
VALUE: 29-SEP-04

WE CONFIRM HAVING DEBITED YOUR ACCOUNT IN EXECUTION OF ABOVE INSTRUCTIONS
TRANSACTION DATE: 29-SEP-04
UBS REFERENCE: 3410058ZD9532501
DEBIT AMOUNT: 50000000/CHF
DEBIT VALUE: 29-SEP-04
DEBIT ACCOUNT: XXXXXXXXXXXXX

WE THANK YOU FOR YOUR AUTOINQUIRY. PLEASE QUOTE OUR REF UBSP 1875-30SEP04 IN YOUR
FUTURE CORRESPONDENCE RELATING TO THIS CASE

BEST REGARDS,
UBS AG, PAYMENTS CUSTOMER SERVICE
OUR REF. UBSP 1875-30SEP04
```

9.2. An MT199 Autoinquiry with query number /3/

```
:20:L4MA212537040822
:21: 1234567890123456
:79:AUTOINQ
/3/
TDT 050128
```

Corresponding automatically generated MT 199 answer message

```
:20: UBSP00246-10FEB05
:21: L4MA212537040822
:79: YOUR AUTOINQUIRY BY MT199
DATED 01-MAY-01 REFERENCE L4MA212537040822 CONCERNING THE FOLLOWING:
QUERY CODE /3/
RELATED REFERENCE (F21): L4MA212537040822
REMITTING/SENDING BANK: UBSWUS33
INSTRUCTION REFERENCE (R20): 1234567890123456
INSTRUCTIONS TYPE: MT103
INSTRUCTIONS DATE: 28-JAN-05
AMOUNT: 5000000/CHF
VALUE: 28-JAN-05

WE CONFIRM CORRECT EXECUTION OF YOUR INSTRUCTIONS
TRANSACTION DATE: 28-JAN-05
UBS REFERENCE: 3410058ZD9532510
CREDIT AMOUNT: 5000000/CHF
CREDIT VALUE: 28-JAN-05
BENEFICIARY:
MUSTER AG
MUSTERWEG 1
BASEL

WE THANK YOU FOR YOUR AUTOINQUIRY. PLEASE QUOTE OUR REF UBSP00246-10FEB05 IN YOUR
FUTURE CORRESPONDENCE RELATING TO THIS CASE

BEST REGARDS,
UBS AG, PAYMENTS CUSTOMER SERVICE
OUR REF. UBSP00246-10FEB05
```

10. Automated Acknowledgement in Case of Manual Handling

If our system is unable to automatically process your Autoinquiry, then your bank will receive this acknowledgment message:

```
:20: UBSP1875-28JAN05
:21: 123456789
:79: YOUR AUTOINQUIRY BY MT199
DATED 24-JAN-05 REFERENCE L.ORCA/5599 CONCERNING THE FOLLOWING:
TRN 3410058ZD9449402
TRANSACTION DATE: 18-JAN-05
DEBIT AMOUNT: 5'000'000/CHF
DEBIT VALUE: 18-JAN-04

WE THANK YOU FOR YOUR AUTOINQUIRY. UNFORTUNATELY OUR SYSTEM COULD NOT PROCESS YOUR
MESSAGE AUTOMATICALLY. IT HAS BEEN FORWARDED TO OUR PAYMENTS CUSTOMER SERVICE FOR
MANUAL PROCESSING. PLEASE QUOTE OUR REF UBSP1875-28JAN05 IN ANY FUTURE CORRESPONDENCE
RELATING TO THIS CASE.

BEST REGARDS,
UBS AG, PAYMENTS CUSTOMER SERVICE, OUR REF. UBSP1875-28JAN05
```

11. Helpful Tips When Using Autoinquiry

- The keyword AUTOINQ must appear in the first line by itself of every Autoinquiry you send to us by an MT199, 299 or 999
- Autoinquiry can be used exclusively to inquire about transactions handled by our Payments Processing Unit (see section 4 for acceptable UBS payments codes)
- Our Autoinquiry service supports SWIFT Query numbers /1/, /3/, /4/ or /14/. For all other query numbers, please send a regular inquiry to our Payments Customer Service
- Each Autoinquiry message can relate to only one single transaction and can include only one query number
- A payment order with transaction date less than one calendar year from the date of inquiry can be inquired upon with Autoinquiry

12. Contact Information

If you need any further information about the UBS Autoinquiry service, kindly visit www.ubs.com/b4b or contact your account manager.

For questions pertaining to a specific Autoinquiry you sent, kindly contact our Payments Customer Service.