

UBS KeyLink Manual

Securities Settlement

**This manual has to be used jointly with the SWIFT Usage Guides Securities of the respective market
Formats are compliant with SWIFT Standards Release 2012**

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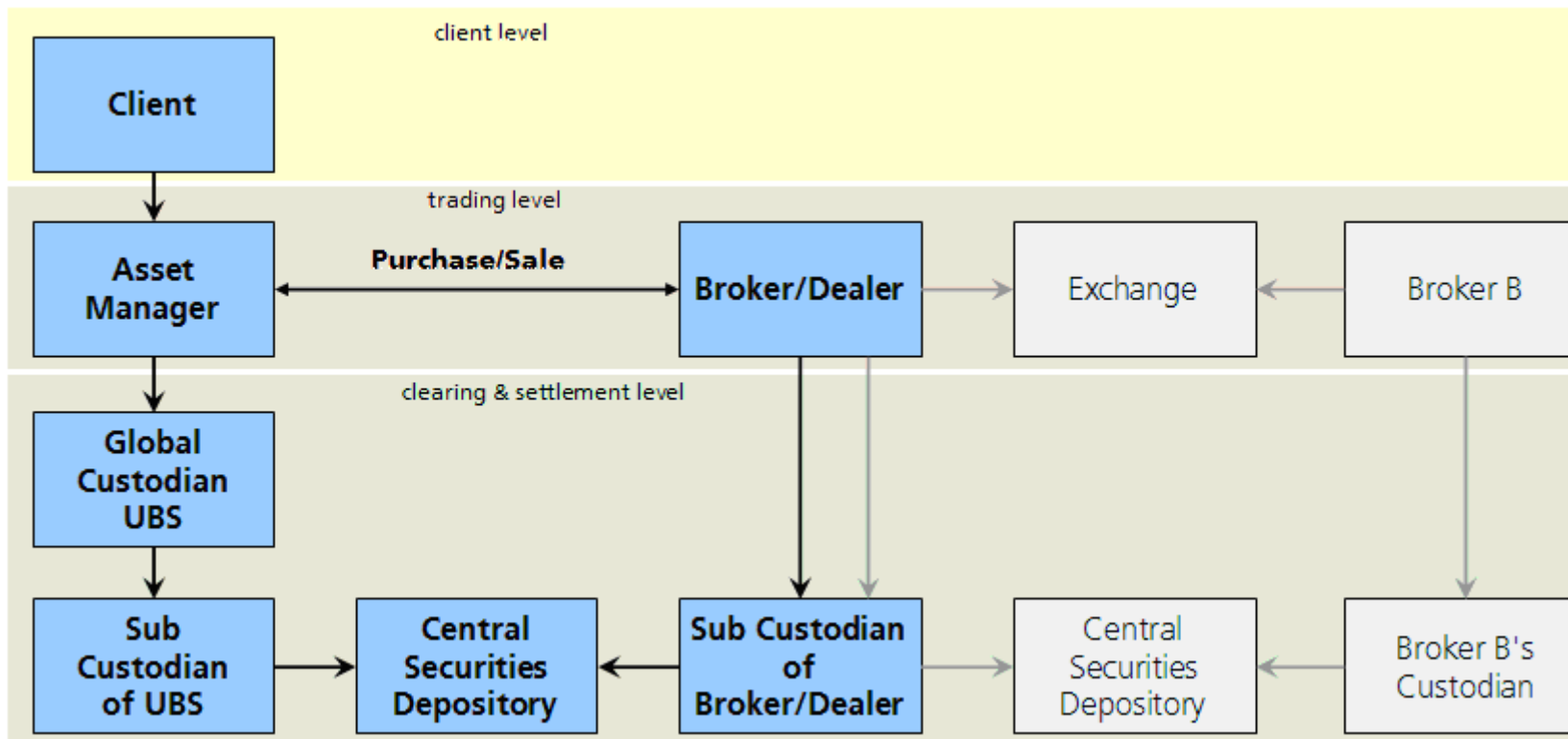
Table of Contents

1.	Introduction.....	3
2.	UBS KeyLink manual for settlement instructions	5
2.1	Most used fields in UBS KeyLink for Receipt/Delivery Instructions.....	5
2.1.1	Main page	5
2.1.2	Settlement Parties page	8
2.1.3	Processing page	9
2.1.4	Financial & Settlement Attributes page	10
2.2	Translation table: UBS KeyLink / SWIFT Market Guides.....	11
3.	Instruction examples (Market Guides and Key Link).....	13
3.1	Domestic CRST / MT543 Deliver Versus Payment (DVP) – Example for market United Kingdom.....	13
3.2	Fedwire / MT540 Receive Free of Payment (RFP) - Example for market USA	17
3.3	Financial Transaction Tax / MT540 Receive Free of Payment (RFP) – Example for market France.....	20
3.3.1	Transaction in scope of FTT	21
3.3.2	Transaction not in scope of FTT.....	22
4.	Disclaimer	23

1. Introduction

This manual has to be used jointly with the SWIFT Usage Guides Securities and has been created to assist UBS KeyLink users in formatting Receive and Deliver Instructions (RDI) to be processed by your Global Custodian UBS Switzerland AG, Zurich. To reduce processing times and to minimize settlement failure and settlement risks due to poor instruction quality, we would like to help you improve your RDI quality.

Process of Securities Settlement



Broker data

The quality of data on your broker's purchase or sales ticket forms the basis for correct RDIs.

UBS SWIFT Usage Guides Securities

The SWIFT Usage Guides Securities published within the "Custody Info Portal" support the straight through processing of settlement instruction. The SWIFT Guides show instruction examples for various markets including market specialties. In order to assist you in entering the relevant data from the respective SWIFT Usage Guides into the UBS KeyLink fields, in Section 3 of this manual you will find some examples of screenshots with reference numbers to the SWIFT Tags and description.

Main custodian and cut-off times list of UBS Switzerland AG

To ensure that counterparty instructions are delivered correctly, your broker will ask you for details of the main custodians of UBS Switzerland AG. If you are not in possession of a current cut-off times list issued within the last three months, please contact your Global Custody account manager at UBS Switzerland AG or go to the Custody Info Portal.

Custody Info Portal

As a Custodian, UBS is committed to providing our clients with all the necessary tools to manage their banking needs. Thus, the Custody Info Portal has been created to provide our Custody Clients with information that supports them in their daily interaction with UBS.

On this password-protected Custody Info Portal you will be able to find Custody News informing you about important market changes, Market Guides containing information regarding market practices as well as the SWIFT Usage Guides and additional information such as cut-off times, dividend calendar, etc.

If you are interested in learning more about the Custody Info Portal or would like to sign up, please contact your UBS Global Custody Relationship Manager.

The Custody Info Portal can be accessed via the following link:
https://www.ubs.com/global/en/bank_for_banks/bank_global_custody/news.html

More UBS KeyLink contacts

For any questions regarding this guide or your UBS KeyLink system, please do not hesitate to contact us:

Homepage UBS KeyLink: <http://www.ubs.com/keylink>
 Asia-Pacific: +65 6495 87 40
 Europe, Middle East, Africa: +41 44 239 0607
 United Kingdom: +44 20 7567 5902
 Americas: +1 203 719 3800

UBS Custody Info Portal for Financial Institutions

Content

- Custody News
- Market Guides

Securities

- Clearing & Settlement
- Corporate Events
- Mutual / Offshore Funds
- Tax

Formatting Guides

- SWIFT
- UBS KeyLink - Securities

SWIFT Usage Guides

UBS' SWIFT usage guides will assist you in facilitating SWIFT communication with UBS in the realm of securities. The guides are based on ISO 15022 compliant SWIFT messages. As an easy reference for our clients and in order to support straight through processing of your settlement instructions we have created instruction examples for various markets including market specialties.

Currently, following markets are published and further markets will follow. In addition, our technical usage guides will assist you in better understanding UBS-specific SWIFT communication and message formatting.

SWIFT Settlement Formatting Specialities by Market

A - E	F - L	M - R	S - Z
▪ Argentina	▪ Finland	▪ Malaysia	▪ Serbia
▪ Australia	▪ France	▪ Mexico	▪ Singapore
▪ Austria	▪ Germany	▪ Morocco	▪ Slovakia
▪ Belgium	▪ Greece	▪ Netherlands	▪ Slovenia
▪ Brazil	▪ Hong Kong	▪ New Zealand	▪ South Africa
▪ Bulgaria	▪ Hungary	▪ Norway	▪ Spain
▪ Canada	▪ Indonesia	▪ Peru	▪ Sri Lanka
▪ China	▪ Ireland	▪ Philippines	▪ Sweden
▪ Croatia	▪ Israel	▪ Poland	▪ Switzerland

Online Tools

- [UBS Quotes](#)
- [UBS KeyLink](#)

Products & Services

- [B4B-Securities](#)

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- [Feedback form](#)


2. UBS KeyLink manual for settlement instructions

2.1 Most used fields in UBS KeyLink for Receipt/Delivery Instructions

2.1.1 Main page

No. UBS KeyLink	Example of content	SWIFT TAG
1	Identification	Internal reference
2	Type	DVP – Delivery vs. Payment MTXXX
3	Message Function	NEW (default) 23G NEWM
4	Sender's Reference	is generated automatically (unique reference) if no input 20C SEME
5	Related Reference	20090702 (customer ref.) 20C RELA
6	Safekeeping a/c	02300000XXXXXS1 97A SAFE
7	Instrument	If ISIN: CH0024899483 35B ISIN
8	Quantity	If UNIT: 350 36B UNIT
9	Trade Date	15.06.2012 98A TRAD
10	Settlement Date	20.06.2012 98A SETT
11	Settlement Amount	CHF 4655.00 19A SETT
12	Type of Settlement	Trade (default) 22F SETR
13	Receiver of Sec.	SCOM (SEGA) CH100164 95R REAG
14	Beneficiary of Sec.	SWIFT: DEUTDEFFXXX 95P BUYR
15	Place of Settlement	SWIFT (PSET): INSECHZZXXX 95P PSET
16	Additional Securities Party Information	Registration Details: registered 70D REGI shares in the name of xx

Settlement Amount: CHF 11 4'655.00 

The settlement amount button  (Nr. 11) leads you to the following user interface (Deal Information Assistance).

Deal Information Assistance X

Calculation

Fund Manager: Quantity:

Deal Price:

Deal Amount:

Taxes & Commissions	Orig. Ccy	Orig. Amount	Exchange Rate	Value Date	Ccy	Amount	Calculate
Local Broker's Commission:		0.00	0.00			0.00	<input type="checkbox"/>
Charges/Fees:		0.00	0.00			0.00	<input type="checkbox"/>
Local Tax:		0.00	0.00			0.00	<input type="checkbox"/>
Executive Broker's Amount:		0.00	0.00			0.00	<input type="checkbox"/>
Stock Exchange Tax:		0.00	0.00			0.00	<input type="checkbox"/>
Withholding Tax:		0.00	0.00			0.00	<input type="checkbox"/>
National Federal Tax:		0.00	0.00			0.00	<input type="checkbox"/>
Payment Levy Tax:		0.00	0.00			0.00	<input type="checkbox"/>
Margin:		0.00	0.00			0.00	<input type="checkbox"/>
Issue Discount/Allowance:		0.00	0.00			0.00	<input type="checkbox"/>
Other Amount:		0.00	0.00			0.00	<input type="checkbox"/>
Postage Amount:		0.00	0.00			0.00	<input type="checkbox"/>
Regulatory Amount:		0.00	0.00			0.00	<input type="checkbox"/>
Shipping Amount:		0.00	0.00			0.00	<input type="checkbox"/>
Special Concession Amount:		0.00	0.00			0.00	<input type="checkbox"/>
Stamp Duty:		0.00	0.00			0.00	<input type="checkbox"/>
Transfer Tax:		0.00	0.00			0.00	<input type="checkbox"/>
Transaction Tax:		0.00	0.00			0.00	<input type="checkbox"/>
Value Added Tax:		0.00	0.00			0.00	<input type="checkbox"/>
Net Gain/Loss Amount:		0.00	0.00			0.00	<input type="checkbox"/>
Consumption Tax:		0.00	0.00			0.00	<input type="checkbox"/>
Accrued Capitalisation:		0.00	0.00			0.00	<input type="checkbox"/>
Local Tax (Country Spec 1):		0.00	0.00			0.00	<input type="checkbox"/>
Sub Total:						0.00	
Exchange Rate:						0.00	
Settlement Amount:						CHF 4'655.00	

Delete Ok Cancel

No. UBS KeyLink	Example of content	SWIFT TAG
11 Settlement Amount	CHF 4655.00	19A SETT

Receiver Parties			
Type:	ID:	Description:	City:
Receiver of Sec.: SCOM (SEGA)	CH100164		
Beneficiary of Sec.: SWFT	DEUTDEFFXXX	DEUTSCHE BANK AG 12, TAUNUSANLAGE	FRANKFURT AM MAIN
Place of Settlement: SWFT(PSET)	INSECHZZXXX	SIX SIS AG BRANDSCHENKESTRASSE 47	ZUERICH

Please push the button (number 16) to enter additional securities party information like registration or declaration details.

Additional Securities Party Information

Receiver of Securities

Processing Reference:

Declaration Details:

Processing Date:

Registration Details:

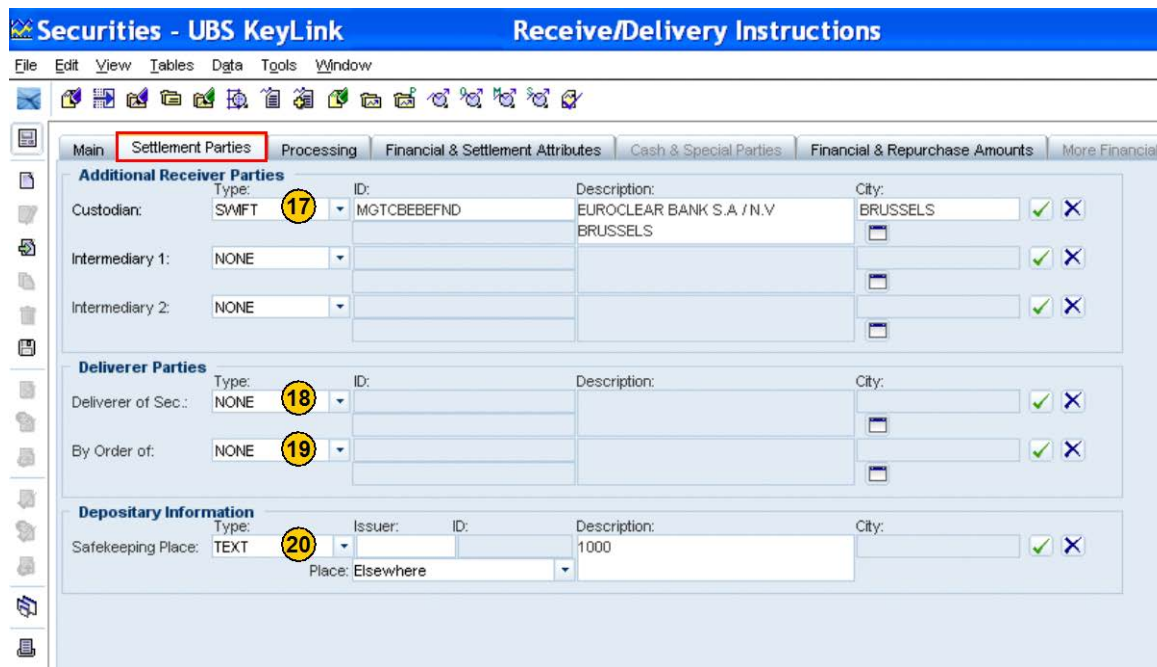
registered shares in the name of xx

16

Party Contact Narrative:

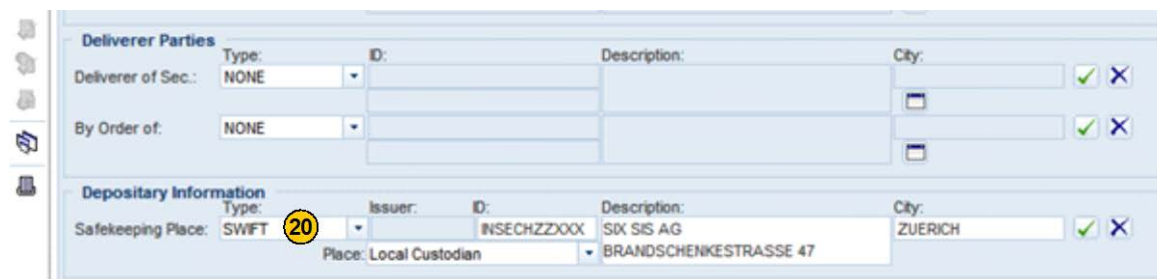
No. UBS KeyLink	Example of content	SWIFT TAG
16	Additional Securities Party Information	70D REGI
	Registration Details: registered shares in the name of xx	

2.1.2 Settlement Parties page



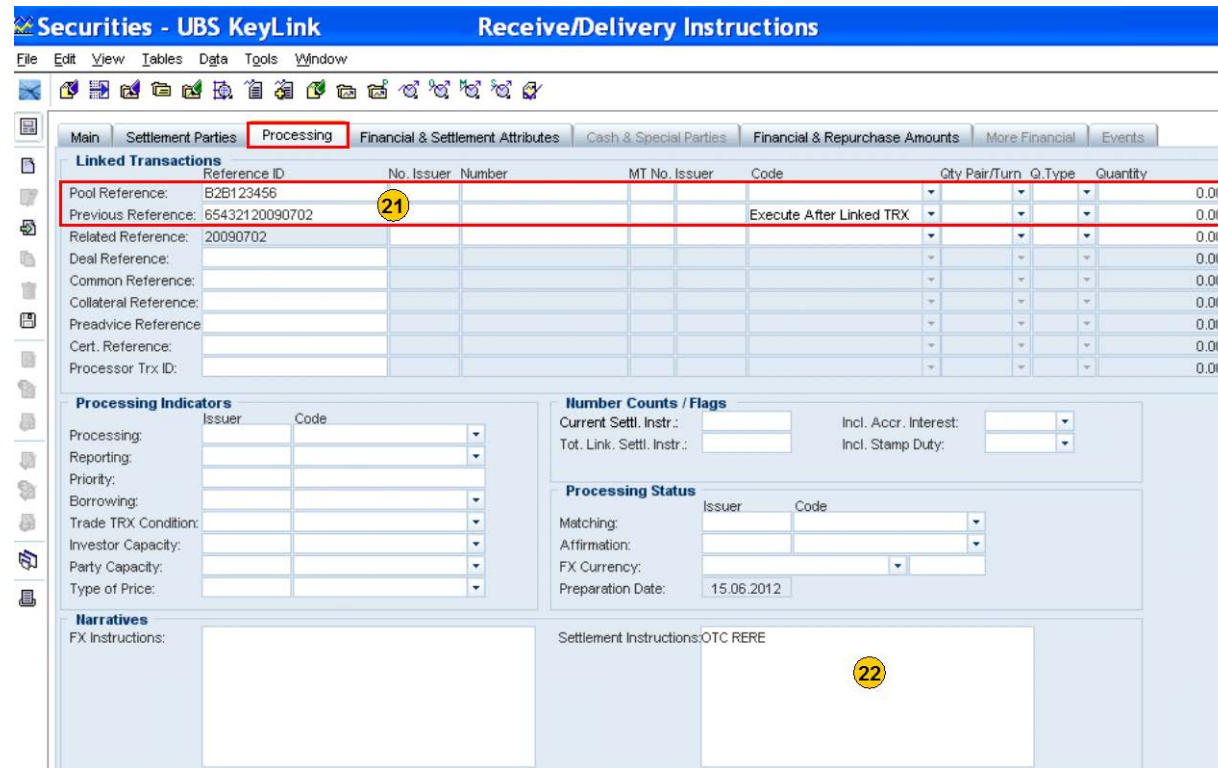
No. UBS KeyLink	Example of content	Swift TAG
17 Custodian	SWIFT: MGTCBEBFND	95P PSET
18 Deliverer of Sec.	relevant for RFP and RVP instructions	95A/P/R/Q DEAG
19 By order of	relevant for RFP and RVP instructions	95A/P/R/Q SELL
20 Safekeeping Place	TEXT: Elsewhere + 1000 SWIFT: Local Custodian + BIC	94B SAFE

Safekeeping Place with Type "SWIFT"



2.1.3 Processing page

Please note that the page "Processing" is not necessary for most instructions. Please consult the SWIFT Usage Guide and the specific Market Guide to receive further information.



The screenshot displays the 'Processing' page in the UBS KeyLink interface. The main window title is 'Securities - UBS KeyLink Receive/Delivery Instructions'. The 'Processing' tab is active. A table titled 'Linked Transactions' is visible, with the following data:

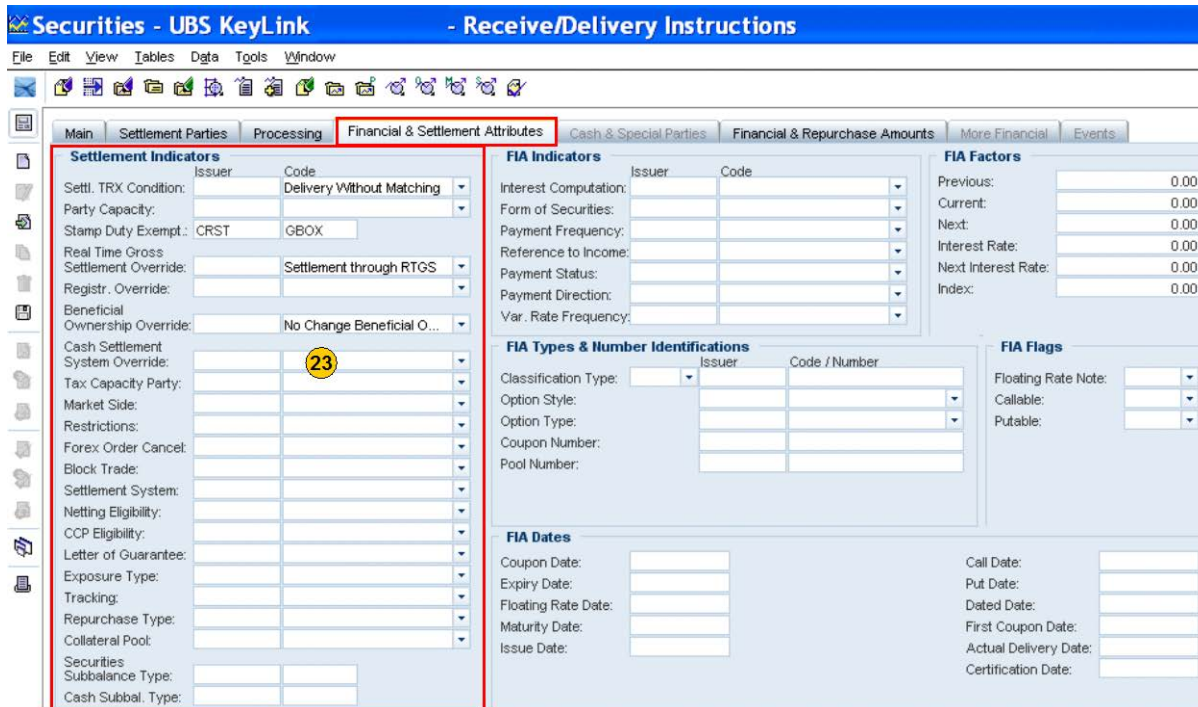
Reference ID	No. Issuer	Number	MT No.	Issuer	Code	Qty	Pair/Turn	Q.Type	Quantity
Pool Reference: B2B123456									0.00
Previous Reference: 65432120090702					Execute After Linked TRX				0.00
Related Reference: 20090702									0.00
Deal Reference:									0.00
Common Reference:									0.00
Collateral Reference:									0.00
Preadvice Reference:									0.00
Cert. Reference:									0.00
Processor Trx ID:									0.00

Below the table, there are sections for 'Processing Indicators', 'Number Counts / Flags', 'Processing Status', and 'Narratives'. The 'Narratives' section shows 'Settlement Instructions: OTC RERE' with a yellow circle '22' next to it.

No. UBS KeyLink	Example of content	Swift TAG
21 Pool Reference Previous Reference	B2B123456 65432120090702 Code: Execute After Linked TRX	20C POOL 20C PREV 22F AFTE
	Only relevant for UBS inhouse and SIS inhouse instructions	
22 Settlement Instruction (Narrative)	OTC RERE	70E SPRO

2.1.4 Financial & Settlement Attributes page

Please note that the page "Financial & Settlement Attributes" is not necessary for most instructions. Please consult the SWIFT Usage Guide and the specific Market Guide to receive further information.



No. UBS KeyLink	Example of content	Swift TAG
23 Settlement Indicators	<p><u>Settlement TRX Condition</u> Delivery Without Matching or physical</p> <p><u>Stamp Duty Exempt</u> CRST GBOX</p> <p><u>Beneficial Ownership Override</u> No Change Beneficial Ownership: NCBO (=NBEN)</p> <p>Change Beneficial Ownership: CBO (=YBEN)</p>	22F SETR


2.2 Translation table: UBS KeyLink / SWIFT Market Guides

Swift	Swift Tag's (examples)	UBS KeyLink		UBS KeyLink fields (examples)
REAG / Receiving agent	:95P::REAG//BIC :95R::REAG//EGSP/ID :95Q::REAG//Text	Receiver of Securities	13	BIC (P) SWIFT Country specific (R) France SICV (ESES) Text (Q) Text
REAG / Receiving agent AND SAFE / Safekeeping Account	:95P::REAG//BIC :97A::SAFE//Number	Receiver of Securities	13	BIC (P) Account/SWIFT ACC/SWF
BUYR / Buyer	:95P::BUYR//BIC :95R::BUYR//CEDE/Number :95Q::BUYR//Text	Beneficiary of Securities	14	BIC (P) SWIFT Country specific (R) Clearstream CEDE Text (Q) TEXT
BUYR / Buyer AND SAFE / Safekeeping Account	:95P::BUYR//BIC :97A::SAFE//Number	Beneficiary of Securities	14	BIC (P) Account/SWIFT ACC/SWF
RECU / Receiving custodian	:95P::RECU//BIC :95Q::RECU//Text	Custodian	17	BIC (P) SWIFT Text (Q) TEXT
RECU / Receiving custodian AND SAFE / Safekeeping Account	:95P::RECU//BIC :97A::SAFE//Number :95Q::RECU//Text :97A::SAFE//Number	Custodian	17	BIC (P) Account/SWIFT ACC/SWF Text (Q) ACCOUNT
DEAG / Delivering agent	:95P::DEAG//BIC :95R::DEAG//EGSP/ID :95Q::DEAG//Text	Deliverer of Securities	13	BIC (P) SWIFT Country specific (R) France SICV (ESES) Text (Q) TEXT
DEAG / Deliverer of Securities AND SAFE / Safekeeping Account	:95P::DEAG//BIC :97A::SAFE//Number	Deliverer of Securities	13	BIC (P) Account/SWIFT ACC/SWF
SELL / Seller	:95P::SELL//BIC :95R::SELL//CEDE/Number :95Q::SELL//Text	By Order of	19	BIC (P) SWIFT Country specific (R) Clearstream CEDE Text (Q) TEXT
SELL / Seller AND	:95P::SELL//BIC :97A::SAFE//Number	By Order of	19	BIC (P) Account/SWIFT ACC/SWF

SAFE / Safekeeping Account				
DECU / Delivering custodian	:95P::DECU//BIC	Custodian	17	BIC (P) SWIFT
	:95Q::DECU//Text			Text (Q) TEXT
DECU / Delivering custodian AND SAFE / Safekeeping Account	:95P::DECU//BIC	Custodian	17	BIC (P) Account/SWIFT ACC/SWF
	:97A::SAFE//Number			
	:95Q::DECU//Text			Text (Q) ACCOUNT
	:97A::SAFE//Number			
PSET / Place of Settlement	:95P::PSET//BIC	Place of Settlement	15	SWIFT
				SWIFT (PSET)
				<i>Default if Country specific (R) selected in Receiver of Securities or Deliverer of Securities</i>
	:95C::PSET//Text			TEXT
PSAFE / Place of Safekeeping	:94F::SAFE//CUST/BIC	Safekeeping Place	20	SWIFT
	:94B::SAFE//SHHE/Number			TEXT

3. Instruction examples (Market Guides and Key Link)

3.1 Domestic CRST / MT543 Deliver Versus Payment (DVP) – Example for market United Kingdom



Generally accessible
Market United Kingdom
ISO 15022

2.4 MT543 Deliver against payment (DVP)

Sequence C: Financial Instrument/Account

	Field Name	:TAG::Field//Option/	Status	Notes
a	Place of Safekeeping	:94F::SAFE//CUST/PARBGB2LXXX or :94B::SAFE//SHHE/2100	O	<ul style="list-style-type: none"> Identifying the local custodian of UBS by use of the BIC (please use only this BIC). <p>Annotation: The 4 digit number after the Qualifier SHHE is an UBS internal depository code for Omnibus-account.</p>

Sequence E: Settlement details → SETDET

	Field Name	:TAG::Field//Option/	Status	Notes
b	Indicator	:22F::STAM/CRST/GBTX or :22F::STAM/CRST/GBPX	O C	<ul style="list-style-type: none"> No SDRT liability, SDRT paid inside Euroclear UK & Ireland on another Euroclear UK & Ireland transaction if SDRT is paid by the seller, the respective tax code (GBPX = 0.5% ad valorem SDRT) is to be entered

Sequence E1: Settlement parties → SETPRTY

	Field Name	:TAG::Field//Option/	Status	Notes
c	Receiving agent	:95R::REAG/CRST/ID	M	<ul style="list-style-type: none"> Identifying the receiving agent by use of the 3-5 digit Crest ID
d	Buyer	:95P::BUYR//BIC	O	<ul style="list-style-type: none"> Identifying the buyer by use of the BIC (8 or 11 digits)
e	Place of Settlement	:95P::PSET//CRSTGB22XXX	M	<ul style="list-style-type: none"> Identifying the place of settlement

Securities - UBS KeyLink

File Edit View Tables Data Tools Window



Main Settlement Parties Processing Financial

Record Information

 Identification:
 Type: DVP - Delivery Versus Payment
 Origin: manual
 Message Function: New

Securities

 Safekeeping a/c:
 Account Owner: NONE
 Type: ID:
 Instrument: ISIN

Contracted Information

 Quantity: 0.00 Type of Settlement: Trade
 Quantity: 0.00 Price Type:
 Trade Date & Place: Price: 0.00
 Place of Clearing: Trade Issuer / Code:
 Settlement Date:
 Settlement Amount:
Receiver Parties

Type:	ID:	Description:	City:
Receiver of Sec.: CRST	BO03		
Beneficiary of Sec.: SWIFT	DEUTDEFFXXX		
Place of Settlement: SWIFT(PSET)	CRSTGB22XXX	EUROCLEAR UK AND IRELAND LTD (PREV)	LONDON


 Generally accessible
 Market United Kingdom
 ISO 15022

2.4 MT543 Deliver against payment (DVP)
Sequence C: Financial Instrument/Account

Field Name	:TAG::Field//Option/	Status	Notes
a Place of Safekeeping	:94F::SAFE//CUST/PARBGB2LXXX	O	<ul style="list-style-type: none"> Identifying the local custodian of UBS by use of the BIC (please use only this BIC). Annotation: The 4 digit number after the Qualifier SHHE is an UBS internal depository code for Omnibus-account.
	or :94B::SAFE//SHHE/2100		

Sequence E: Settlement details → SETDET

Field Name	:TAG::Field//Option/	Status	Notes
b Indicator	:22F::STAM/CRST/GBTX	O	<ul style="list-style-type: none"> No SDRT liability, SDRT paid inside Euroclear UK & Ireland on another Euroclear UK & Ireland transaction if SDRT is paid by the seller, the respective tax code (GBPX = 0.5% ad valorem SDRT) is to be entered
	or :22F::STAM/CRST/GBPX	C	

Sequence E1: Settlement parties → SETPRTY

Field Name	:TAG::Field//Option/	Status	Notes
c Receiving agent	:95R::REAG/CRST/ID	M	Identifying the receiving agent by use of the 3-5 digit Crest ID
d Buyer	:95P::BUYR//BIC	O	Identifying the buyer by use of the BIC (8 or 11 digits)
e Place of Settlement	:95P::PSET//CRSTGB22XXX	M	Identifying the place of settlement

c

d

e

Securities - UBS KeyLink

File Edit View Tables Data Tools Wind



Main **Settlement Parties** Processing

Additional Receiver Parties

Type: NONE

Custodian: NONE

Intermediary 1: NONE

Intermediary 2: NONE

Deliverer Parties

Type: NONE

Deliverer of Sec.: NONE


By Order of: NONE

Depository Information

Type: TEXT Issuer: ID: Description: City:

Safekeeping Place: TEXT 2100

Place: Elsewhere


UBS

Generally accessible
 Market United Kingdom
 ISO 15022

2.4 MT543 Deliver against payment (DVP)

Sequence C: Financial Instrument/Account

Field Name	:TAG::Field//Option/	Status	Notes
Place of Safekeeping	:94F::SAFE//CUST/PARBGB2LXXX or :94B::SAFE//SHHE/2100	O	<ul style="list-style-type: none"> Identifying the local custodian of UBS by use of the BIC (please use only this BIC). Annotation: The 4 digit number after the Qualifier SHHE is an UBS internal depository code for Omnibus-account.

Sequence E: Settlement details → SETDET

Field Name	:TAG::Field//Option/	Status	Notes
Indicator	:22F::STAM/CRST/GBTX or :22F::STAM/CRST/GBPX	O C	<ul style="list-style-type: none"> No SDRT liability, SDRT paid inside Euroclear UK & Ireland on another Euroclear UK & Ireland transaction if SDRT is paid by the seller, the respective tax code (GBPX = 0.5% ad valorem SDRT) is to be entered

Sequence E1: Settlement parties → SETPRTY

Field Name	:TAG::Field//Option/	Status	Notes
Receiving agent	:95R::REAG/CRST/ID	M	Identifying the receiving agent by use of the 3-5 digit Crest ID
Buyer	:95P::BUYR//BIC	O	Identifying the buyer by use of the BIC (8 or 11 digits)
Place of Settlement	:95P::PSET//CRSTGB22XXX	M	Identifying the place of settlement

Securities - UBS KeyLink Receive/Delivery Instructions

File Edit View Tables Data Tools Window



Main Settlement Parties Processing **Financial & Settlement Attributes** Cash & Special Parties Financial & Repurchase Amounts More Financial Events

Settlement Indicators		FIA Indicators		FIA Factors	
Issuer	Code	Issuer	Code		
Settl. TRX Condition:	<input type="text"/>	Interest Computation:	<input type="text"/>	Previous:	0.00
Party Capacity:	<input type="text"/>	Form of Securities:	<input type="text"/>	Current:	0.00
Stamp Duty Exempt.: CRST	GBTX	Payment Frequency:	<input type="text"/>	Next:	0.00
Real Time Gross Settlement Override:	<input type="text"/>	Reference to Income:	<input type="text"/>	Interest Rate:	0.00
Registr. Override:	<input type="text"/>				
Beneficial Ownership Override:	<input type="text"/>				
Cash Settlement System Override:	<input type="text"/>				
Tax Capacity Party:	<input type="text"/>				
Market Side:	<input type="text"/>				
Restrictions:	<input type="text"/>				
Forex Order Cancel:	<input type="text"/>				
Block Trade:	<input type="text"/>				
Settlement System:	<input type="text"/>				
Netting Eligibility:	<input type="text"/>				
CCP Eligibility:	<input type="text"/>				
Letter of Guarantee:	<input type="text"/>				
Exposure Type:	<input type="text"/>				
Tracking:	<input type="text"/>				
Repurchase Type:	<input type="text"/>				
Collateral Pool:	<input type="text"/>				
Securities Subbalance Type:	<input type="text"/>				
Cash Subbal. Type:	<input type="text"/>				

- b Stamp Duty Exempt.:
- Real Time Gross Settlement Override:
- Registr. Override:
- Beneficial Ownership Override:
- Cash Settlement System Override:
- Tax Capacity Party:
- Market Side:
- Restrictions:
- Forex Order Cancel:
- Block Trade:
- Settlement System:
- Netting Eligibility:
- CCP Eligibility:
- Letter of Guarantee:
- Exposure Type:
- Tracking:
- Repurchase Type:
- Collateral Pool:
- Securities Subbalance Type:
- Cash Subbal. Type:

Generally accessible
Market United Kingdom
ISO 15022

2.4 MT543 Deliver against payment (DVP)

Sequence C: Financial Instrument/Account

Field Name	:TAG::Field//Option/	Status	Notes
a Place of Safekeeping	:94F::SAFE//CUST/PARBGB2LXXX or :94B::SAFE//SHHE/2100	O	<ul style="list-style-type: none"> Identifying the local custodian of UBS by use of the BIC (please use only this BIC). <p>Annotation: The 4 digit number after the Qualifier SHHE is an UBS internal depository code for Omnibus-account.</p>


Sequence E: Settlement details → SETDET

Field Name	:TAG::Field//Option/	Status	Notes
b Indicator	:22F::STAM/CRST/GBTX or :22F::STAM/CRST/GBPX	O C	<ul style="list-style-type: none"> No SDRT liability, SDRT paid inside Euroclear UK & Ireland on another Euroclear UK & Ireland transaction if SDRT is paid by the seller, the respective tax code (GBPX = 0.5% ad valorem SDRT) is to be entered

Sequence E1: Settlement parties → SETPRTY

Field Name	:TAG::Field//Option/	Status	Notes
c Receiving agent	:95R::REAG/CRST/ID	M	<ul style="list-style-type: none"> Identifying the receiving agent by use of the 3-5 digit Crest ID
d Buyer	:95P::BUYR//BIC	O	<ul style="list-style-type: none"> Identifying the buyer by use of the BIC (8 or 11 digits)
e Place of Settlement	:95P::PSET//CRSTGB22XXX	M	<ul style="list-style-type: none"> Identifying the place of settlement

3.2 Fedwire / MT540 Receive Free of Payment (RFP) - Example for market USA



Generally accessible
 Market USA
 ISO 15022

8. Fedwire

8.1 MT540 Receive free (RFP)

Sequence C: Financial Instrument/Account

Field Name	:TAG::Field//Option/	Status	Notes
a	Place of Safekeeping :94F::SAFE//CUST/BBHCUS33XXX or :94B::SAFE//SHHE/5000	C	<ul style="list-style-type: none"> • Identifying the local custodian (market) of UBS by use of the BIC (please use only this BIC). • TAG: 94a: 'Place of Safekeeping' is mandatory for securities that are subject to UK Stamp duty reserve tax (SDRT) and recommended for Structured Products and Bonds. • Annotation: The 4 digit number after the Qualifier SHHE is an UBS internal depository code for Omnibus-account.

Sequence E1: Settlement parties → SETPRTY

Field Name	:TAG::Field//Option/	Status	Notes
b	Delivering agent :95R::DEAG//USFW/ID	M	<ul style="list-style-type: none"> • Identifying the delivering agent by use of the 9 digit participant ID (ABA)
c	Safekeeping Account :97A::SAFE//Text	M	<ul style="list-style-type: none"> • Identifying the Fedwire account name
d	Seller :95R::SELL//DTCYID/ID or :95P::SELL//BIC	M	<ul style="list-style-type: none"> • Identifying the seller by use of the 5 digit participant ID • Identifying the seller by use of the BIC (8 or 11 digits).
e	Safekeeping Account :97A::SAFE//Number	M	<ul style="list-style-type: none"> • Identifying the account number of the instructing party
f	Place of Settlement :95P::PSET//FRNYUS33XXX	M	<ul style="list-style-type: none"> • Identifying the place of settlement

8. Fedwire

Main Settlement Parties Processor

Record Information

Identification:
 Type: RFP - Receive Free
 Origin: manual
 Message Function: New

Securities

Safekeeping a/c:
 Account Owner: NONE
 Type:
 Instrument: ISIN

Contracted Information

Quantity:
 Quantity:
 Trade Date & Place:
 Place of Clearing:
 Settlement Date:
 Settlement Amount:

Deliverer Parties

Type:	ID:	Description:	City:
Deliverer of Sec.:	USFW (Fedwi...)	021000021	<input type="text"/>
	FIRST BOSTON		<input type="text"/>
By Order of:	ACC/SWF	CSFBGB2L	<input type="text"/>
		XXXX	<input type="text"/>
Place of Settlement:	SWIFT(PSET)	FRNYUS33XXX	NEW YORK, NY

8.1 MT540 Receive free (RFP)

Sequence C: Financial Instrument/Account

Field Name	:TAG::Field//Option/	Status	Notes
Place of Safekeeping	:94F::SAFE//CUST/BBHCUS33XXX or :94B::SAFE//SHHE/5000	C	<ul style="list-style-type: none"> Identifying the local custodian (market) of UBS by use of the BIC (please use only this BIC). TAG: 94a: 'Place of Safekeeping' is mandatory for securities that are subject to UK Stamp duty reserve tax (SDRT) and recommended for Structured Products and Bonds. Annotation: The 4 digit number after the Qualifier SHHE is an UBS internal depository code for Omnibus-account.

Sequence E1: Settlement parties → SETPRTY

Field Name	:TAG::Field//Option/	Status	Notes
Delivering agent	:95R::DEAG/USFW/ID	M	Identifying the delivering agent by use of the 9 digit participant ID (ABA)
Safekeeping Account	:97A::SAFE//Text	M	Identifying the Fedwire account name
Seller	:95R::SELL/DTCYID/ID or :95P::SELL//BIC	M	Identifying the seller by use of the 5 digit participant ID Identifying the seller by use of the BIC (8 or 11 digits).
Safekeeping Account	:97A::SAFE//Number	M	Identifying the account number of the instructing party
Place of Settlement	:95P::PSET//FRNYUS33XXX	M	Identifying the place of settlement

Deliverer of Sec.:

By Order of:

Place of Settlement:

8. Fedwire

Securities - UBS KeyLink

File Edit View Tables Data Tools Winc

8.1 MT540 Receive free (RFP)

Sequence C: Financial Instrument/Account

Field Name	:TAG::Field//Option/	Status	Notes
Place of Safekeeping	:94F::SAFE//CUST//BBHCU533XXX or :94B::SAFE//SHHE//5000	C	<ul style="list-style-type: none"> Identifying the local custodian (market) of UBS by use of the BIC (please use only this BIC). TAG: 94a: 'Place of Safekeeping' is mandatory for securities that are subject to UK Stamp duty reserve tax (SDRT) and recommended for Structured Products and Bonds. Annotation: The 4 digit number after the Qualifier SHHE is an UBS internal depository code for Omnibus-account.

Sequence E1: Settlement parties → SETPRTY

Field Name	:TAG::Field//Option/	Status	Notes
Delivering agent	:95R::DEAG//USFW/ID	M	Identifying the delivering agent by use of the 9 digit participant ID (ABA)
Safekeeping Account	:97A::SAFE//Text	M	Identifying the Fedwire account name
Seller	:95R::SELL//DTCYID/ID or :95P::SELL//BIC	M	Identifying the seller by use of the 5 digit participant ID
Safekeeping Account	:97A::SAFE//Number	M	Identifying the account number of the instructing party
Place of Settlement	:95P::PSET//FRNYUS33XXX	M	Identifying the place of settlement

Additional Receiver Parties

Custodian: NONE

Intermediary 1: NONE

Intermediary 2: NONE

Deliverer Parties

Deliverer of Sec.: NONE

By Order of: NONE

Depository Information

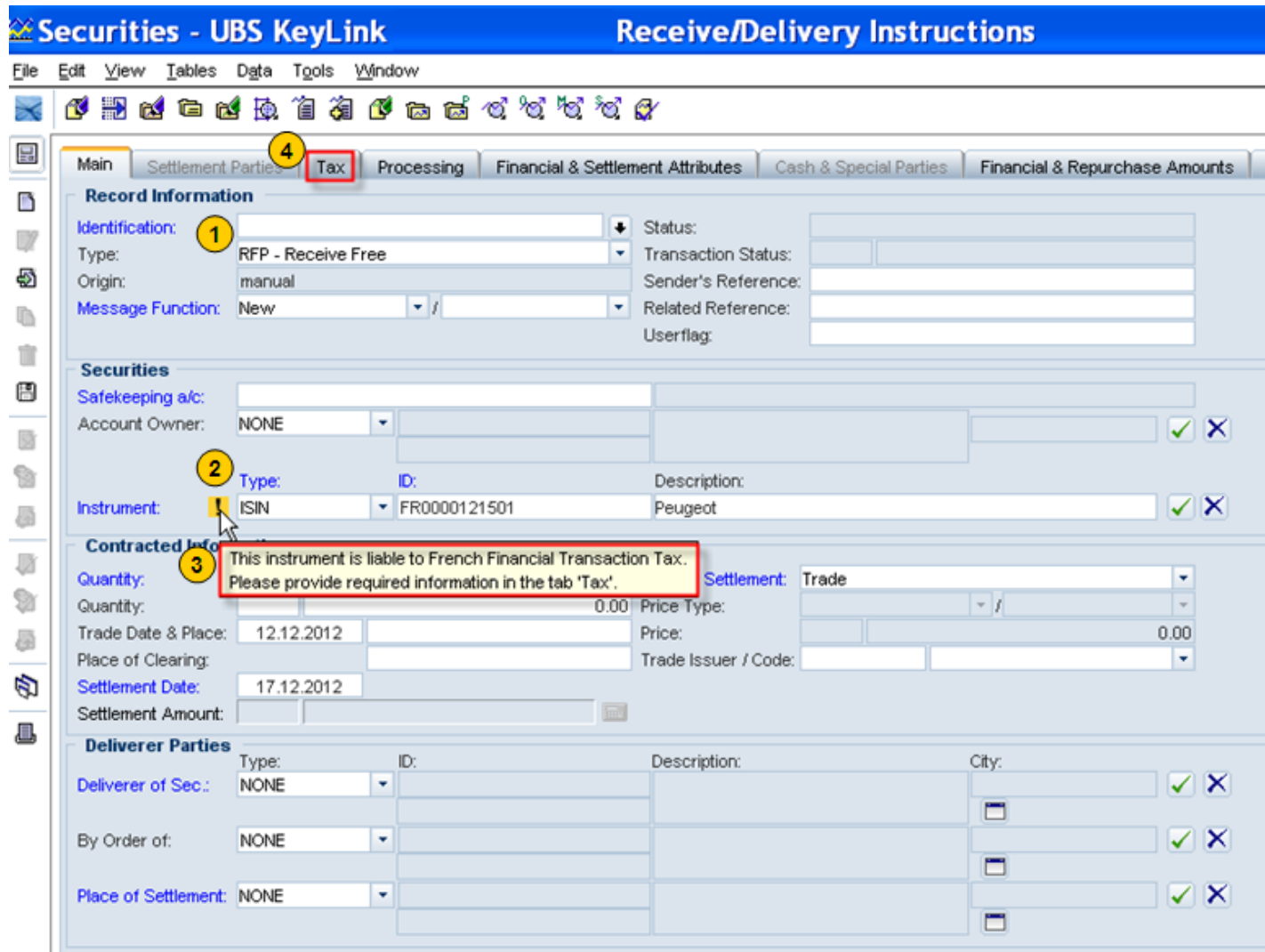
Safekeeping Place: TEXT Issuer: ID: Description: 5000 City:

Place: Elsewhere

Annotations:

- a**: Settlement Parties tab and Depository Information Safekeeping Place field
- b**: Delivering agent field in Sequence E1
- c**: Safekeeping Account field in Sequence E1
- d**: Seller field in Sequence E1
- e**: Safekeeping Account field in Sequence E1
- f**: Place of Settlement field in Sequence E1

3.3 Financial Transaction Tax / MT540 Receive Free of Payment (RFP) – Example for market France

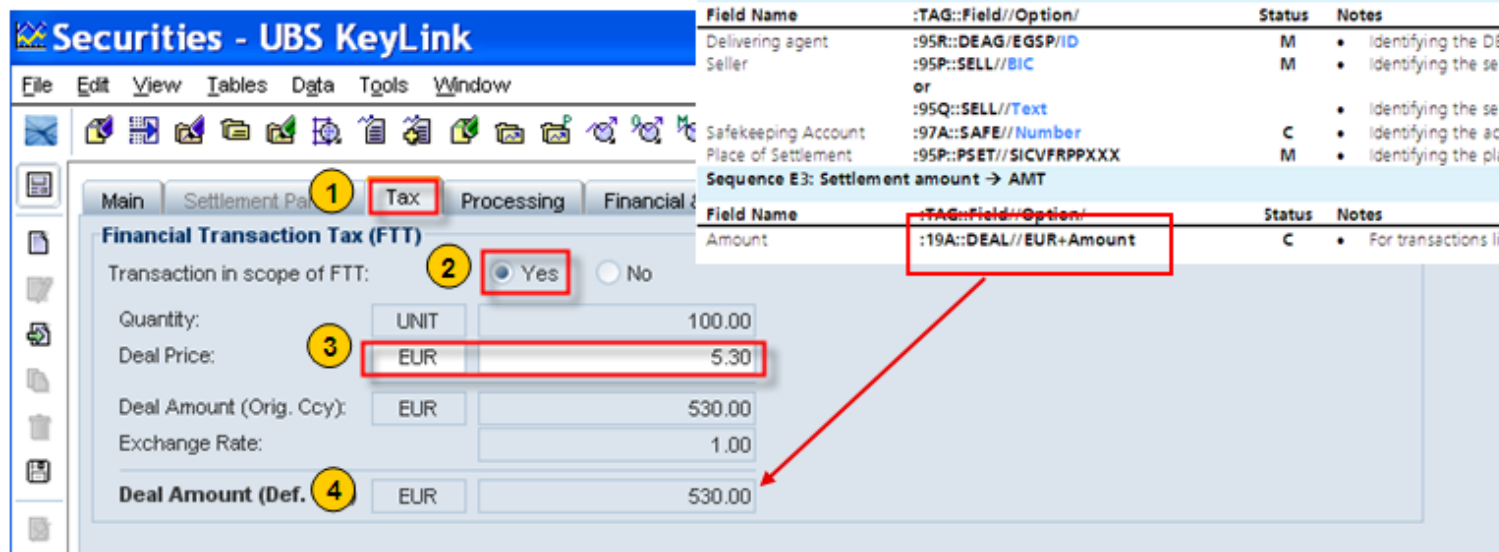


The screenshot shows the 'Receive/Delivery Instructions' window in UBS KeyLink. The 'Tax' tab is selected and highlighted with a red box and a yellow circle '4'. The 'Record Information' section shows 'Type: RFP - Receive Free' (circled with '1'). The 'Securities' section shows 'Instrument: ISIN' (circled with '2') with ID 'FR0000121501' and description 'Peugeot'. A yellow warning box (circled with '3') states: 'This instrument is liable to French Financial Transaction Tax. Please provide required information in the tab 'Tax''. The 'Contracted Information' section shows 'Quantity: 0.00' and 'Settlement: Trade'. The 'Deliverer Parties' section shows 'Deliverer of Sec.: NONE', 'By Order of: NONE', and 'Place of Settlement: NONE'.

- 1 Choose transaction type & enter transaction details
- 2 Insert instrument
- 3 Automatic alert if instrument is liable to FTT
- 4 Proceed on 'Tax' tab

3.3.1 Transaction in scope of FTT

- 1 Select 'Tax' tab
- 2 Choose 'Yes'
- 3 Insert Deal Price
- 4 Automatic calculation of Deal Amount



The screenshot shows the 'Securities - UBS KeyLink' interface. The 'Tax' tab is selected, and the 'Financial Transaction Tax (FTT)' section is visible. The 'Transaction in scope of FTT' is set to 'Yes'. The 'Deal Price' is entered as 'EUR 5.30', and the 'Deal Amount (Def.)' is calculated as 'EUR 530.00'. A red box highlights the 'Tax' tab, and another red box highlights the 'Deal Price' field. A red arrow points from the 'Deal Price' field to the 'Amount' field in the 'Sequence E3: Settlement amount' table.

2.1 MT540 Receive free (RFP)

Sequence C: Financial Instrument/Account

Field Name	:TAG::Field//Option/	Status	Notes
Place of Safekeeping	:94F::SAFE//NCS//SICVFRPPXXX or :94B::SAFE//SHHE/1700 :94F::SAFE//CUST//CITIFRPPXXX or :94B::SAFE//SHHE/1859	O	<ul style="list-style-type: none"> ESES-eligible securities. Identifying the local custodian (market) of UBS by use of the BIC (please use only this BIC). Non ESES-eligible securities. Identifying the local custodian (market) of UBS by use of the BIC (please use only this BIC). Annotation: The 4 digit number after the Qualifier SHHE is an UBS internal depository code for Omnibus-account.

Sequence E: Settlement details -> SETDET

Field Name	:TAG::Field//Option/	Status	Notes
Indicator	-> no FTT indicator required or :22F::STAM//EGSP//FTTIndicator	C	<ul style="list-style-type: none"> if not liable to FTT French Transaction Tax declaration (please refer to chapter 1.6)

Sequence E1: Settlement parties -> SETPRTY

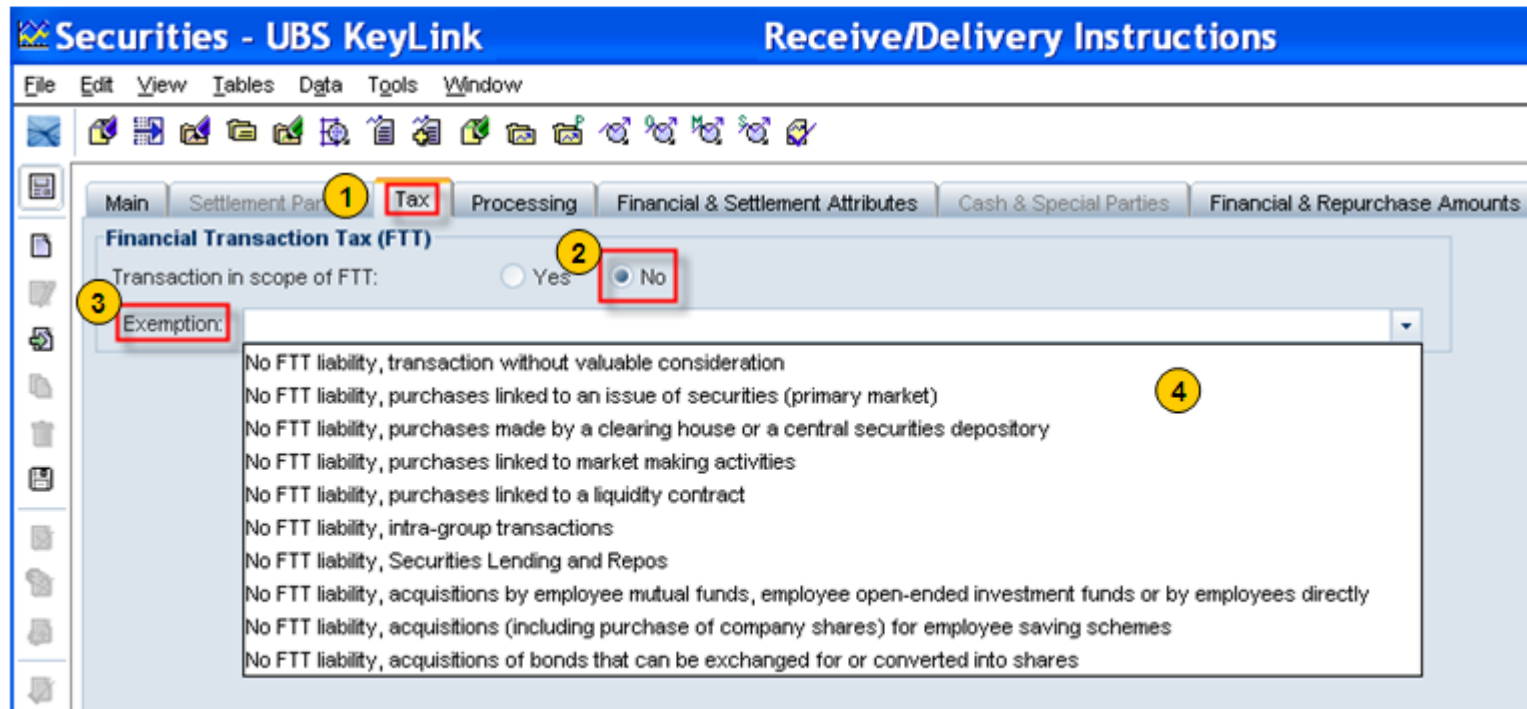
Field Name	:TAG::Field//Option/	Status	Notes
Delivering agent	:95R::DEAG//EGSP//ID	M	Identifying the DEAG by use of the 12 digit participant ID (ESES code)
Seller	:95P::SELL//BIC or :95Q::SELL//Text	M	<ul style="list-style-type: none"> Identifying the seller by use of the BIC (8 or 11 digits) Identifying the seller by use of text format
Safekeeping Account	:97A::SAFE//Number	C	Identifying the account number of the instructing party
Place of Settlement	:95P::PSET//SICVFRPPXXX	M	Identifying the place of settlement

Sequence E3: Settlement amount -> AMT

Field Name	:TAG::Field//Option/	Status	Notes
Amount	:19A::DEAL//EUR+Amount	C	For transactions liable to FTT

3.3.2 Transaction not in scope of FTT

- 1 Select 'Tax' tab
- 2 Choose 'No'
- 3 Open exemption drop down
- 4 Choose appropriate reason



4. Disclaimer

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