



MT548 Settlement Status and Processing Advice for Funds (CBL)

Description of most common Reason Codes

Accepted Orders

25D-Status: IPRC/PACK or IPRC/REPR

Event	Reason 24B	70D Text	Description	UBS Follow-Up Activity
Acknowledged	IPRC/PACK	n/a	INSTRUCTION HAS BEEN ACKNOWLEDGED AND FORWARDED TO CLEARSTREAM	SD+1 follow-up according to this process

Pending Orders UK-Funds

25D-Status: SETT/PEND or SETT/PENF or MTCH/NMAT

Event	Reason 24B	70D Text	Description	UBS Follow-Up Activity
Instruction has been accepted	PENF/NARR	UK FUND Awaiting TA confirmation	TRANSFEROR (C/P) HAS TO SEND STF WITH FULL REGISTRATION DETAILS TO TA	1.5 months, 10 days prior to retention period --> PENF/CANR
Instruction has been sent to TA	PENF/NARR	UK FUND Letter/STF sent to TA. Cancellation not possible	CLEARSTREAM HAS FORWARDED INSTRUCTION TO THE TA	Inquiry to Sub-custodian after 13 business days if no new status received --> PENF/CHAS
C/P as Transferor should send a signed STF to CBL for countersigning	PENF/DOCC	UK FUND CBL is awaiting an STF from your C/P for countersigning	YOUR C/P AS TRANSFEROR SHOULD FILL IN THE STF AND SEND IT TO CBL FOR COUNTERSIGNING	Inquiry to Sub-custodian after 15 business days if no new status received --> PENF/CHAS
CBL as Transferor signs an STF and sends it to your c/p for countersigning	PENF/NARR	UK FUND LETTER/STF sent to counterparty. Cancellation not possible	CBL CREATES AND SIGNS AN STF BECAUSE WE ARE THE TRANSFEROR. THEN THEY SEND IT TO THE C/P FOR COUNTERSIGNING	Inquiry to Sub-custodian after 15 business days if no new status received --> PENF/CHAS

Pending Orders

25D-Status: SETT/PEND or SETT/PENF or MTCH/NMAT

Event	Reason 24B	70D Text	Description	UBS Follow-Up Activity
Repaired	REPR/CAG	TA account repaired with	INSTRUCTION HAS BEEN SENT WITH WRONG ACCOUNT. UBS HAS REPAIRED WITH CORRECT BROKER	SD+1 follow-up according to this process
Possible Duplicate. CBL is waiting for our confirmation to execute the transfer	NMAT/PODU	Please confirm by email if you would like to process this possible duplicate of your Ref.: XXXXXXXX.	WE ARE AWAITING YOUR CONFIRMATION TO EXECUTE THE TRANSFER	After 10 business days retention period
CBL awaiting TA instruction	PENF/NARR	Please chase your counterparty to instruct the TA	COUNTERPARTY HAS TO INSTRUCT THE TA	Inquiry to Sub-custodian after 10 business days if no new status received --> PENF/CHAS
CBL awaiting TA confirmation	PENF/NARR	Awaiting TA confirmation	CBL IS AWAITING THE CONFIRMATION FROM THE TA IN ORDER TO SETTLE OUR INSTRUCTION. COUNTERPARTY HAS TO INSTRUCT THE TA	Inquiry to Sub-custodian after 10 business days if no new status received --> PENF/CHAS
UBS is awaiting an STF from CBL in order to forward it to you, so it can be forwarded to the c/p	PENF/NARR	We are awaiting a signed STF from CBL.	CBL SHOULD SEND US A SIGNED STF FOR YOUR C/P	Inquiry to Sub-custodian after 1 business day if no STF received --> PENF/CHAS
C/P as Transferor should send a signed Letter/STF via you to us, so we can forward it to CBL for countersigning	PENF/DOCC	We are awaiting a LETTER/STF from your C/P in order to forward it to CBL for countersigning	YOUR C/P AS TRANSFEROR SHOULD FILL IN THE LETTER/STF AND SEND IT TO YOU, SO THAT WE CAN FORWARD IT TO CBL FOR COUNTERSIGNING	If after 10 business days no status update is received from CBL, UBS will chase you
Instruction has been sent to the TA	PENF/NARR	Instruction sent to TA, TA awaiting counterparty's instruction	CBL HAS SENT THE INSTRUCTION TO THE TA. THE COUNTERPARTY HAS TO INSTRUCT THE TA	Inquiry to Sub-custodian after 10 business days if no new status received --> PENF/CHAS



Instruction has been sent to the TA	PENF/NARR	Instruction sent to TA, awaiting TA confirmation	CBL HAS SENT THE INSTRUCTION TO THE TA COUNTERPARTY HAS TO INSTRUCT THE TA	Inquiry to Sub-custodian after 10 business days if no new status received --> PENF/CHAS
LETTER/STF has been sent to the TA	PENF/NARR	LETTER/STF sent to TA, awaiting TA confirmation	CBL HAS SENT A LETTER/STF TO THE TA COUNTERPARTY HAS TO INSTRUCT THE TA	Inquiry to Sub-custodian after 13 business days if no new status received --> PENF/CHAS
LETTER/STF has been sent to the TA	PENF/NARR	LETTER/STF sent to TA, TA awaiting counterparty's instruction	CBL HAS SENT A LETTER/STF TO THE TA COUNTERPARTY HAS TO INSTRUCT THE TA	Inquiry to Sub-custodian after 13 business days if no new status received --> PENF/CHAS
Your instruction is incorrect or there are missing information	NMAT/EXE	Please cancel your instruction and re-instruct with additional information regarding the transferor (Registered account name and number) or advise by email (STP3)	INSTRUCTION SHOULD BE CANCELLED DUE TO MISSING INFORMATION REGARDING THE TRANSFEROR (REGISTERED ACCOUNT NAME AND NUMBER)	Inquiry to you after 10 business days --> Then 10 business days prior to maturity of retention period of 2 months --> PENF/CANR to be sent
Your instruction is incorrect or there are missing information	NMAT/EXE	Please cancel your instruction and re-instruct with additional information regarding the transferor (Registered account details) or advise by email (STP3)	INSTRUCTION SHOULD BE CANCELLED DUE TO MISSING INFORMATION REGARDING THE TRANSFEROR (REGISTERED ACCOUNT DETAILS)	Inquiry to you after 10 business days --> Then 10 business days prior to maturity of retention period of 2 months --> PENF/CANR to be sent
Your instruction is incorrect or there are missing information	NMAT/EXE	Please cancel your instruction and re-instruct with additional information regarding the transferee (Registered account name and number) or advise by email (STP3)	INSTRUCTION SHOULD BE CANCELLED DUE TO MISSING INFORMATION REGARDING THE TRANSFEREE (REGISTERED ACCOUNT NAME AND NUMBER)	Inquiry to you after 10 business days --> Then 10 business days prior to maturity of retention period of 2 months --> PENF/CANR to be sent
Your instruction is incorrect or there are missing information	NMAT/EXE	Please cancel your instruction and re-instruct with additional information regarding the transferee (Registered account details) or advise by email (STP3)	INSTRUCTION SHOULD BE CANCELLED DUE TO MISSING INFORMATION REGARDING THE TRANSFEREE (REGISTERED ACCOUNT DETAILS)	Inquiry to you after 10 business days --> Then 10 business days prior to maturity of retention period of 2 months --> PENF/CANR to be sent
C/P has no instruction in place	NMAT/CMIS	n/a	MISSING INSTRUCTION FROM C/P, PLS CHASE COUNTERPARTY TO SEND THEIR INSTRUCTION TO THE TA	10 business days prior to maturity of retention period of 2 months --> PENF/CANR
STF sent to you in order to forward it to your C/P for countersigning	PENF/DOCC	We will send you an STF signed by CBL. Please forward it to your C/P for countersigning	YOUR C/P SHOULD COMPLETE THE STF AND FAX IT TO THE TA	If after 10 business days no status update is received from CBL, UBS will chase you
Documents received and forwarded to Clearstream	PENF/NARR	Documentation received and forwarded	DOCUMENTS RECEIVED FROM YOU AND FORWARDED TO CLEARSTREAM	Inquiry to Sub-custodian after 5 business days if no new status update received --> PENF/CHAS
Retention period will be reached	PENF/CANR	Order will be cancelled in two weeks	YOUR CANCELLATION IS REQUIRED DUE TO RETENTION PERIOD	After 10 business days CBL to cancel instruction --> CAND/EXPI
Awaiting next settlement cycle	PENF/CYCL	expected settlement date nn.nn.20nn	TRANSFER IN PROCESS, EXPECTED SETTLEMENT DATE ON (SEE MT548 NARRATIVE)	Inquiry to Sub-custodian 1 day after expected Settlement Date --> PENF/CHAS
Counterparty's instruction has a different TD or SD	NMAT/DDAT or NMAT/DTRD	C/P instructs with SD nn.nn.20nn or C/P instructs with TD nn.nn.20nn	COUNTERPARTY INSTRUCTS WITH A DIFFERENT SD OR COUNTERPARTY INSTRUCTS WITH A DIFFERENT TD	After 10 business days you are to be informed and deadline to be set according to retention period

Cancelled Orders

23G:INST

Event	Reason 24B	70D Text	Description	UBS Follow-Up Activity
Cancel confirmation	CAND/EXPI	n/a	YOUR ORDER HAS BEEN CANCELLED DUE TO RETENTION PERIOD	

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