

DATA SET DOCUMENT

**ข้อมูลการลงทะเบียนแสดงตัวตนผู้ลงทุนตราสารหนี้**

**(Bond Investor Registration)**

**Document information**

Revision history

| Version number | Released Date | Effective Date | Summary of changes | Revision marks |
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# 1. Document Overview

This document provides information on the Data Sets to be submitted to the Bank of Thailand (BOT) for the Data Management System project. Most of the existing data submissions to BOT will be replaced by these Data Sets. The Data Sets will be based on the industry open standard XML (Extensible Markup Language) format, and will be electronically submitted to BOT via the BOT Electronic Report Submission system (ERS).

This document is divided into 4 major sections:

**1. Data Set Summary** section provides an overview of the Data Set(s) and specify format (i.e. XML, XLSX) and description of each Data Set.

**2. Data Set Data Element** section discusses in more details all the data elements withineach of the defined Data Set(s). For each of the data elements, we have defined a valid data type. The list of all data types can be found in the **Data Type Section**.

**3. Data Type** section, which also provides the submission format for each of the data type, as well as some sample value. There is a special kind of data elements called **Classification** data element, which is used to classify other data elements i.e. Payment Instrument, Payment Channel. Each classification data element will contain a number of possible values. For example, the possible values of Currency Id classification data element are ‘USD’, ‘JPY’, ‘THB’, etc. The list of all classifications can be found in the **Classification Document**.

**4. Schema Type and Schema Group** section, which describes schema type of each data set and also identify schema group for each data set.This sectionwill be available only when the Data Sets presented in this document are in XML format.

**Description:**

* **Granularity**: granularity of data (how detailed the data is).
* **Frequency**: frequency of data submission (how frequent each institution has to submit the data).
* **M**: mandatory field. This field cannot be blank.
* **O**: optional field. The field can contain value or blank depending on whether the institution has the data or not.
* **C**:mandatory with condition. These data are required under certain condition with other field(s).
* **Duplicated Record**: identify fields that BOT will check for duplicate records. If there are two records with identical value in these fields appeared in a data set, it will not pass basic validation.
* **Classification / View**: identify classification and view which is the possible value for each data element. **Classification** and **View** will be listed in **Classification Document.**
* **CB:** Commercial Bank includes Thai commercial banks, retail banks, foreign commercial bank’s subsidiary and foreign commercial bank’sbranch.
* **FC:** Finance Company**.**
* **CF:** Credit Foncier.
* **SFI:** Specialized Financial Institution includes Bank for Agriculture and Agricultural Cooperatives (BAAC), Government Saving Banks (GSB), Government Housing Banks (GHB), Islamic Bank of Thailand, Export-Import Bank of Thailand (EXIM), Small and Medium Enterprise Development Bank of Thailand (SME Bank), Thai Credit Guarantee ​Corporation, and Secondary Mortgage Corporation.
* **Non-FI:** Non-Financial Institution in this context means financial service provider under BOT supervision which is not classified as commercial bank, specialized financial institution, finance company and credit foncier. The example of Non-FI are credit card company, personal loan company under BOT supervision, nano finance provider under BOT supervision, e-payment service provider, money exchange agency, money transfer agency.

# 2. Data Set Summary

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Data Set** | **ABBR** | **Granularity** | **Frequency** | **Description** |
|  | 1. **Financial Market Instrument System**
 |  |  |  |  |
| 1 | ข้อมูลการลงทะเบียนแสดงตัวตนผู้ลงทุนตราสารหนี้ | DS\_BRT | - | As Occur | Sheet “Data” |

# 3. Data Set Details

## 1. Data Set: Bond Investor Registration

ข้อมูลการลงทะเบียนแสดงตัวตนผู้ลงทุนตราสารหนี้

**Frequency: As Occur**

| **No.** | **Group** | **Data Element** | **Data Type** | **Description** | **ผู้ลงทุน/ผู้แทนการลงทุน** | **Duplicated Record** | **Classification / View** |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **M/O/C** |
| 1 |  | Provider Id | Identification Number | รหัสของสถาบันผู้ส่งข้อมูล  | M |  |  |
| 2 |  | Provider Name | Long Name | ชื่อของสถาบันที่ส่งข้อมูล | M |  |  |
| 3 |  | Provider Email | Long Name | email ติดต่อของสถาบันที่ส่งข้อมูล  | M |  |  |
| 4 |  | Investor Name | Long Text | ชื่อผู้ได้รับผลประโยชน์ที่แท้จริงจากการลงทุนในประเทศไทย (Ultimate Beneficiary Owner (UBO) Name ) ตามที่ใช้ในการลงทะเบียน Legal Entity Identifier (LEI) | M |  |  |
| 5 |  | LEI number | Identification Number | Legal Entity Identifier ของ UBO | M | Y |  |
| 6 |  | Investor Type | Classification | รหัสกลุ่มผู้ถือครองตราสารหนี้ของผู้ได้รับผลประโยชน์ที่แท้จริงจากการลงทุนในประเทศไทย | M |  | Nonresident Institutional Sector 1/ |
| 7 |  | Segregated Account Number | Identification Number | หมายเลขบัญชีฝากหลักทรัพย์แบบแยกรายผู้ได้รับผลประโยชน์ที่แท้จริง (Segregated Securities Account) ที่เปิดไว้กับบริษัท ศูนย์รับฝากหลักทรัพย์ (ประเทศไทย) (TSD) |  M | Y |  |
| 8 |  | Segregated Account Name | Long Name | ชื่อบัญชีฝากหลักทรัพย์แบบแยกรายผู้ได้รับผลประโยชน์ที่แท้จริง (Segregated Securities Account) ที่เปิดไว้กับ TSD | M |  |  |
| 9 |  | Contact Name | Long Name | ชื่อผู้ติดต่อ (contact person)ของ UBO หรือ Global Custodian/ International Broker | M |  |  |
| 10 |  | Contact Telephone Number | Short Name | หมายเลขโทรศัพท์ของ UBO หรือ Global Custodian/ International Broker | M |  |  |
| 11 |  | Contact Email | Short Name | email ของ UBO หรือ Global Custodian/ International Broker | M |  |  |

หมายเหตุ:

1/ อ้างอิงจากเอกสาร Classification Document

# 4. Appendix A. Data Type

| **Data Type Name** | **Data Type** | **Format** | **Remark** | **Sample** |
| --- | --- | --- | --- | --- |
| Date | Char(10) | YYYY-MM-DD | A.D. year | '2002-09-11' |
| Amount | Number(20,2) | NNNNNNNNNN.NN | No leading zeroes | '102000020.20' |
| Classification | VarChar(6) | AAAA | No leading zeroes/blanks | '12345' |
| Classification Name | VarChar(200) | AAAA | No leading zeroes/blanks |  |
| Number | Number(12) | N | No leading zeroes | '12' |
| Identification Number | VarChar(40) | AAAA | No leading zeroes/blanks | '12345' |
| Long Name | VarChar(200) | AAAA | No leading zeroes/blanks | 'XXX' |
| Short Name | VarChar(40) | AAAA | No leading zeroes/blanks | 'XXX111' |
| Description | VarChar(400) | AAAA | No leading zeroes/blanks | 'XXX111' |
| Long Text | VarChar(800) | AAAA | No leading blanks  | XXXX |
| Flag | Char(1) | '1' or '0' | Only two values |  |
| Interest Rate | Number(8,5) | NNN.NNNNN | No leading zeroes | '12.50' |
| Exchange Rate | Number(12,7) | NNNNN.NNNNNNN |  |  |
| Price | Number(12,7) | NNNNN.NNNNNNN |  |  |
| FI Code | Char(3) |  | See Standard Code |  |
| Business Type | Char(7) |  | See Standard Code |  |
| Branch Code | Char(4) |  | See Standard Code |  |
| Tax Id | Number(13) |  |  |  |
| Personal Id | Number(13) |  |  |  |
| SWIFT Code | VarChar(12) |  |  |  |
| Passport Number | Char(20) |  |  |  |
| Gender Code | Char(1) | ‘M’ or ‘F’ |  |  |
| Juristic Code | VarChar(13) |  |  |  |
| Fee Rate | Number(12,5) | NNNNNNN.NNNNN |  |  |
| Conversion Rate | Number(8,5) | NNN.NNNNN | No leading zeroes |  |
| LongNameCRLF | VarChar(200) | AAAA | No leading zeroes/blanks | 'XXX' |
| Timestamp | Char(19) | YYYY-MM-DD HH:MM:SS | A.D. year and timestamp | ‘2019-01-03 15:00:00’ |