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Nonresident Ultimate Beneficiary Owner (NR UBO)

Debt Security Holdings

(Data File Manual)

**Document information**

**Revision history**

| Version number | Released Date | Effective Date | Summary of changes | Revision marks |
| --- | --- | --- | --- | --- |
| **1.0** | **30 September 2016** | **1 January 2017** | **First version** | **No** |
| **2.0** | **12 July 2019** | **1 July 2019** | **Second version****End Beneficiary Legal Id, End Beneficiary Legal Unique Id Type and End Beneficiary Full Legal Name of Data file NR UBO Debt Security Holdings (DF\_DUB) are changed from conditional/optional to be mandatory.****Remark: All changes from version 1.0 to version 2.0 are in red font.** | **Yes** |

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# Document Overview

This document provides information on the Data Files to be submitted to the Bank of Thailand (BOT). The Data Files will be based on Excel format, and will be electronically submitted to BOT via Data Acquisition (Extranet/Internet).

**This document is divided into 4 major sections in two folders:**

* **Data Set Folder** contains
1. **Data File Summary** section provides an overview of the new Data Sets, by listing all the Data Files in the new system, and how they are related to the existing reports.
2. **Data File Data Element Data Validation** section discusses in more details all the data elements within each of the defined Data Files. For each of the data elements, we have defined a valid data type and data validation. 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 element, for example Currency Id, Asset Classification Type, etc. Classification data elements will contain a number of possible values, for example Currency Id can be ‘USD, ‘JPY’, or ‘THB’, etc. The list of all classifications can be found in the Classification Document for Data Management System Project.
* **Classification Folder** contains
1. The **Classification** section provides the list of all possible values for each of the classification data element within the system. The Data Files will be submitted in Excel format.

**Vocabulary:**

* **Granularity** means granularity of data (how detailed the data is).
* **Frequency** means frequency of submission (how frequent each financial institution has to submit the data).
* **Mandatory (M)** means data element is required in order to pass validation.
* **Mandatory with Condition (C)** means data element is required with only some specific condition related to this element or other element in order to pass validation.
* **Optional (O)** means data element is not required but is encouraged upon availability of data.

# Data File Summary

| **Data File Subject Area** | **ABBR** | **Granularity** | **Frequency** | **Description** |
| --- | --- | --- | --- | --- |
| 1 | Report of Nonresident Ultimate Beneficiary Owner (NR UBO) Debt Security Holdings | DF\_DUB | Monthly | Monthly | Submitted by the 10th of the consecutive month |

# Data File

**Data File:** Data File Nonresident Ultimate Beneficiary Owner (NR UBO) Debt Security Holdings

**Description**

 “Data File Nonresident Ultimate Beneficiary Owner (NR UBO) Debt Security Holdings”reportsdata on nonresident holidngs of Thai debt securities (issued in Thailand) byISINs, by groups, and by the countries of end beneficiaries, who are customers of the custodians in Thailand. This data displays outstandings that were settled both in terms of volume and amount in original currency at par/face value.

**Institutionsthatarerequiredtoreportthe data**

 Custodians in Thailand that safekeepThai debt securities owned by nonresident customers.

**Frequencyofsubmittingdata**

 Monthly

**Reportingduedate**

 Submitted by the 10th of the consecutive month

#### **Element Characteristic**

| **Data Element** | **Data Type** | **M** | **C** | **O** |
| --- | --- | --- | --- | --- |
| Date of Outstanding | Date | X |  |  |
| Provider Id | Provider Code | X |  |  |
| ISIN Code | ISIN Code |  | X |  |
| Other Symbol Code | Other Code |  | X |  |
| Holder Id | Other Code | X |  |  |
| Holder Unique Id Type | Classification | X |  |  |
| Holder Name | Long Text | X |  |  |
| Holder Corporation Type | Corporation Type | X |  |  |
| End Beneficiary Institutional Sector | Classification | X |  |  |
| End Beneficiary Country Code | Classification | X |  |  |
| End Beneficiary Legal Id | Other Code | X |  |  |
| End Beneficiary Legal Unique Id Type | Classification | X |  |  |
| End Beneficiary Full Legal Name | Long Text | X |  |  |
| Total Unit | Amount | X |  |  |
| Total Outstanding Amount in Original Currency at Par/Face Value | Amount | X |  |  |
| Scrip Flag | Flag | X |  |  |

#### **Element Description and Validation**

| **Data Element (Field)** | **คำอธิบายDescription** | **Validation Rule** |
| --- | --- | --- |
| Date of Outstanding | The date of data [Period shown in date/month/year (A.D.)]. | 1. The data must be filled.2. Verify the reporting data format based on Appendix A: Data Type.3. The date has to be the end of a month according to a calendar year,e.g. 31/01/2017. |
| Provider Id | Identification code of an institution that provide data. | 1. The data must be filled2.Verify the reporting data format based on Appendix A: Data Type.3. Verify that the Id match with the Provider Id assigned by the Bank of Thailand. |
| ISIN Code | An international standard code for identification of a security. | 1. If the data is filled, the reporting data format must be verified based on Appendix A: Data Type.2. At least one of ISIN Code and/or Other Symbol Code must be filled. |
| Other Symbol Code | Code issued by ThaiBMA or other codes for debt securities that have not been registered or traded in the market.**Other codes:**In case there is neither ISIN Code nor ThaiBMA Code, one should identify debt security code as following;Format: **XXXXXX-YYY**where**XXXXXX** represents security types includingBND: Bond, DBEN: Debenture, BE: Bill of Exchange, FRN: Floating Rate Note, FRCD: Floating Rate Certificate of Deposit, FCLN: First to Default Credit-Linked Note, PCLN: Proportionate Credit-Linked Note, PN: Promissory Note, NCD: Negotiable Certificate of Deposit, NPFSTK: Non-Participating Preferred StockTCR:Transferable Custody Receipt, ODBT: Other debt securitiesYYY represents Corporation TypeFor example, PN-121is the promissory note issued by a domestically-registered commercial bank. BND-160 is the bond issued by a state enterprise. | 1. If the data is filled, the reporting data format must be verified based on Appendix A: Data Type.2. At least one of ISIN Code and/or Other Symbol Code must be filled. |
| Holder Id | Unique ID of an individual or a juristic person who is a customer of the custodians in Thailand. | 1. The data must be filled.2. Verify the reporting data format based on Appendix A: Data Type. |
| Holder Unique Id Type | Type of the unique Id of an individual or a juristic person who is a customer of the custodians in Thailand.(Classification Name: Unique Id Type) | 1. The data must be filled.2. Verify the reporting data format based on Appendix A: Data Type.3. Verify with the code in the Unique Id Type Classification. |
| Holder Name | The name of an individual or a juristic person who is a customer of the custodians in Thailand. | 1. The data must be filled.2. Verify the reporting data format based on Appendix A: Data Type. |
| Holder Corporation Type | Group code of an individual or a juristic person who is a customer of the custodians in Thailand.(Classification Name:Corporation Type) | 1. The data must be filled.2. Verify the reporting data format based on Appendix A: Data Type.3. Verify with the code in the Corporation Type Classification. |
| End Beneficiary Institutional Sector | Group code of a debt security holder who is the end beneficiary of the investment in debt securities issued in Thailand.(Classification Name:Nonresident Institutional Sector) | 1. The data must be filled.2. Verify the reporting data format based on Appendix A: Data Type.3. Verify with the code in Nonresident Institutional Sector Classification. |
| End Beneficiary Country Code | Country code of a debt security holder who is the end beneficiary of the investment in debt securities issued in Thailand.(Classification Name:Country Id) | 1. The data must be filled.2. Verify the reporting data format based on Appendix A: Data Type.3. Verify with the code in Country Id Classification. |
| End Beneficiary Legal Id | Legal Entity Identifier (LEI) or Legal ID of an individual or a juristic person who is the end beneficiary of the investment in debt securities issued in Thailand. | 1. The data must be filled.2. Verify the reporting data format based on Appendix A: Data Type. |
| End Beneficiary Legal Unique Id Type | Type of the legal unique Id of an individual or a juristic person who is the end beneficiary of the investment in debt securities issued in Thailand.(Classification Name: Unique Id Type) | 1. The data must be filled.2. Verify the reporting data format based on Appendix A: Data Type.3. Verify with the code in the Unique Id Type Classification. |
| End Beneficiary Full Legal Name | Full legal name of an individual or a juristic person who is the end beneficiary of the investment in debt securities issued in Thailand. | 1. The data must be filled.2. Verify the reporting data format based on Appendix A: Data Type. |
| Total Unit | Volume of debt securities holdings. | 1. The data must be filled and greater than 0.2. Verify the reporting data format based on Appendix A: Data Type. |
| Total Outstanding Amount in Original Currency at Par/Face Value | Values of debt security outstandings in original currency at par/face value. | 1. The data must be filled and greater than 0.2. Verify the reporting data format based on Appendix A: Data Type. |
| Scrip Flag | Flag showing security types as Scrip or Scripless.'Y' = Scrip 'N' = Scripless | 1. The data must be filled and expressed in‘Y’ or‘N’ only.2. Verify the reporting data format based on Appendix A: Data Type. |

1. Data Type

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Data Type Name** | **Data Type** | **Format** | **Remark** | **Sample** |
| Amount | Number(25,7) | NNNNNNNNNN.NN | No leading zeroes | 102000020.20 |
| Classification | VarChar(6) | AAAA | No leading blanks | 468001 |
| Corporation Type | Char(3) | AAA | No leading blanks | 200 |
| Date | Char(10) | DD/MM/YYYY | A.D. year | 31/01/2017 |
| Flag | Char(1) | 'Y' or 'N' | Only 'Y' or 'N' | Y |
| ISIN Code | Char(12) | AAAA | No leading blanks | TH0623031C01 |
| Long Text | VarChar(800) | AAAA | No leading blanks  | XXXX |
| Other Code | VarChar(40) | AAAA | No leading blanks | 12345 |
| Provider Code | Char(3) | AAA | No leading blanks | A99 |

1. Unique Id reporting details

**Methodology for reporting the codes of customers of the custodians in Thailand**

| Category of individual/juristic person | Unique Id | Unique Id Type | Reference |
| --- | --- | --- | --- |
| **1. Individual**  | * 1. Individual who is a resident of foreign country (including Thai citizen who has permanently naturalised)
 | - Country Id + Passport Number | 324002 |   |
|  |  | - Country Id + Overseas Individual Id (In case there is no passport number available) | 324009 |   |
| **2. Juristic person** | 2.1 Nonresident juristic person |  |   |   |
|  | 2.1.1 Juristic person established under foreign law and has offices abroad | Country Id + Overseas Idas follows; |  |   |
|  |  2.1.1.1 Government institution, co-operative, limited company | - Country Id + Unique Id issued by a foreign organization or a foreign government institution | 324011 |  |
|  | - Country Id + Overseas Juristic Id | 324010 |   |
|  |  2.1.1.2 Foreign government | - Country Id + GOVERNMENT | 324012 |  |
|  |  2.1.1.3 Embassy i.e.- Foreign embassy in Thailand- Foreign embassy in foreign country**Except** Thai embassy in foreign countryis treated as resident. | - Country Id + EMBASSY + Country ID of the embassy’s locationFor example: - USEMBASSYTH - JPEMBASSYLA - THEMBASSYJP | 324012 |  |
|  |  2.1.1.4 Overseas organization or juristic person without unique Id | - Country Id + Categorized Word + Abbreviated NameThree-letter Categorized Word list:COM=COMMERCIALSOC=SOCIAL GOV=GOVERNMENTARM=ARMYINT=INTERNATIONALOTH=OTHERS | 324012 |  |
|  | 2.1.2 Financial institution in foreign country | - SWIFT CODE | 324008 | [www.swift.com](http://www.swift.com/) |
|  |  | - Country Id + Overseas Id(Overseas Juristic ID is acceptable, if the institution does not have SWIFT Code or uses its parent company’s SWIFT Code.) | 324010 |  |
|  | 2.1.3 Others | Country Id + Overseas Idas follows: |  |  |
|  |  | - Country Id + Unique Id issued by a foreign organization or a foreign government institution | 324011 |  |
|  |  | - Country Id + Overseas Juristic Id | 324010 |  |
|  |  | - Country Id + Categorized Word + Abbreviated Name | 324012 |  |
|  | 2.1.4 Legal Entity Identifier (LEI) | - Legal Entity Identifier (LEI) | 324017 |  |