

Treasury and Investment Banking Services

External Services

CHECKLIST OF REQUIREMENTS		WHERE TO SECURE		
Institutional Above plus: <ul style="list-style-type: none"> ✓ Board Resolution or Secretary's Certificate authorizing the purchase of security, signature verified by LBP Branch (1 original copy) ✓ Such other documents as may be reasonably required by any of the Underwriters or the Registrar 		Client		
All Investors: <ul style="list-style-type: none"> ✓ Application to Purchase (ATP) (3 original copies) ✓ Registry Paying Agent (RPA) Specimen Signature Sheet (2 original copies) ✓ Other documents required by Issuer (1 original copy) 		Underwriter / Selling Agent – Distribution Unit		
Updated / Active LBP Deposit Account <i>Note: LBP Account with Branch Code 500 are not allowed.</i>		Any LBP Branch – New Accounts		
Authority to Debit/Credit Account (ADCA) (1 original copy)*; or Local/Manager's Check or cash for placement (if applicable) <i>*Waived if payment instruction is already covered in the Order Ticket</i>		LBP Branch – New Accounts Client		
CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
1. Visit or call any LBP Branch – New Accounts to inquire on Treasury Products; inquiry may also be done via e-mail at customercare@landbank.com)	1.1 Attend to customer concern; conduct Know-Your-Customer (KYC) procedures; provide overview of Treasury Products	None	1 Hour	Head / Branch Operations Officer (BOO) / Branch Service Officer (BSO) LBP Branch

CLIENT STEPS	AGENCY ACTIONS	FEEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
None	1.2 Conduct CSA to determine the client's risk profile and the investment product appropriate for client's profile	None		<i>Licensed Salesmen Branch Personnel/ Treasury Sales Personnel TBMU</i>
2. Submit the commitment form to the LBP Branch – New Accounts	2.1 Submit volume bid to respective Underwriter/ Selling Agent and wait for LBP's awarded volume on the Allocation Advice date	None	20 Minutes	<i>Head / BOO / BSO LBP Branch or Head TBMU</i>
None	2.2 Inform client of the allocation advice	None		
3. Submit duly accomplished Treasury Investment documents to the LBP Branch of account – New Accounts	3.1 Process the investor's placement	PHP 100 account opening fee [Long Term Negotiable Certificate s of Time Deposit (LTNCD) only]	25 Minutes	<i>Teller (if paid through cash/check) CA/SA Bookkeeper (if through debit from account), LBP Branch</i>

CLIENT STEPS	AGENCY ACTIONS	FEEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
None	3.2 Provide client with a copy of the Order Ticket or machine validated Order Ticket/ Deposit Slip/ ADCA	None	15 Minutes	<i>BSO/BOO/BH, LBP Branch</i>
None	3.3 Submit original copy of ATP, other documents required by Issuer, if any, and sales report to TBMU	None	3 Banking Days	<i>Executive Assistant LBP Branch</i>
None	3.4 Prepare consolidated sales report based from original ATP, other registry-required documents, and sales report received from the Branch	None	1 Banking Day	<i>Treasury Sales Personnel TBMU</i>
None	3.5 Submit original copies of the ATP, other registry-required documents, and consolidated sales report to Selling Agent	None	2 Banking Days (Last day of offer period)	<i>Treasury Sales Personnel TBMU</i>

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
4. Wait for branch's advise on the availability of the Purchase Advice – from LBP Branch of account – New Accounts Personnel <i>(for LTNCD only)</i>	4.1 Send Purchase Advice (for LTNCD only) to concerned LBP Branches	None	10 Banking Days (from receipt of Final Sales Report from TBMU)	<i>Treasury Operations Department (TOD) Personnel TOD</i>
None	4.2 Deliver or advise investor to pick up the Purchase Advice	None	30 Minutes	<i>Head / BOO / BSO/ New Accounts LBP Branch</i>
	TOTAL	PHP 100 account opening fee (LTNCD only)	16 Banking Days, 2 Hours, 30 Minutes	

2. Brokering / Distribution of Peso-Denominated Corporate Bonds or LBP Issues in the Secondary Market (Purchase)

Purchase of peso-denominated Corporate Bonds and LBP Issues in the Secondary Market

Office or Division:	Treasury Brokering and Marketing Unit (TBMU)	
Classification:	Highly Technical	
Type of Transaction:	G2C - Government to Citizen; G2B - Government to Business; G2G - Government to Government	
Who may avail:	Eligible Investors, All Government Agencies, Individual and Institutional	
CHECKLIST OF REQUIREMENTS		WHERE TO SECURE
Valid photo bearing government-issued ID of the individual investor/s or of all authorized signatories for institutional clients (2 photocopies)		Any government agency issuing identification cards
Properly accomplished forms, signature verified by LBP Branch: Individual <ul style="list-style-type: none"> ✓ Order Ticket (1 original copy) ✓ Client Agreement (1 original copy) ✓ Data Privacy Consent Form for Investors (1 original copy) ✓ Risk Disclosure Statement (1 original copy) ✓ Acknowledgement to Invest in Specific Instruments (if applicable) (1 original copy) ✓ Client Suitability Assessment (CSA) (1 original copy) 		LBP Branch – New Accounts or TBMU Treasury Sales Specialist/Officer
Institutional Above plus: <ul style="list-style-type: none"> ✓ Board Resolution or Secretary’s Certificate authorizing the purchase of security, signature verified by LBP Branch (1 original copy) 		Client

CHECKLIST OF REQUIREMENTS		WHERE TO SECURE		
All Investors: <ul style="list-style-type: none"> ✓ Investor Registration Form (1 original copy) ✓ Registry Paying Agent (RPA) Specimen Signature Sheet (2 original copies) ✓ Other documents required by Issuer 		Registry Paying Agent (RPA) – Philippine Depository and Trust Corporation (PDTCC) ADCU Team		
Updated / Active LBP Deposit Account <i>Note: LBP Account with Branch Code 500 are not allowed.</i>		Any LBP Branch – New Accounts		
Authority to Debit/Credit Account (ADCA) (1 original copy)*; or Local/Manager’s Check or cash for placement (if applicable) <i>*Waived if payment instruction is already covered in the Order Ticket</i>		LBP Branch – New Accounts Client		
CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
1. Visit or call any LBP Branch – New Accounts to inquire on Treasury Products; inquiry may also be done via e-mail at customercare@landbank.com)	1.1 Attend to customer concern; conduct Know-Your-Customer (KYC) procedures; provide overview of Treasury Products	None	1 Hour	Head / Branch Operations Officer (BOO) / Branch Service Officer (BSO) LBP Branch
None	1.2 Conduct CSA to determine the client’s risk profile and the investment product appropriate for client’s profile	None		Licensed Salesmen Branch Personnel/Treasury Sales Personnel TBMU

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
2. Submit duly accomplished Treasury Investment documents to the LBP Branch of account – New Accounts	2.1 Process the investor's order; endorse to TBMU	See Annex X	3 Banking Days, 25 Minutes	<i>Teller (if paid through cash/check) CA/SA Bookkeeper (if through debit from account), Executive Assistant LBP Branch</i>
None	2.2 Endorse duly signed investment documents to Treasury Operations Department (TOD) for transmittal to PDTTC, subject for latter's review and processing	None	3 Banking Days	<i>Treasury Sales Personnel TBMU and TOD Personnel TOD</i>
None	2.3 Receive confirmation with RPA (clearance to execute purchase transaction)	None	1 Banking Day	<i>Treasury Sales Personnel TBMU</i>
3. Confirm purchase of security with LBP Branch – New Accounts or with the assigned Treasury Personnel	3.1 Purchase client's preferred security	See Annex Y	1 Banking Day	<i>Treasury Sales Personnel TBMU</i>

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
None	3.2 Provide client with a copy of the Order Ticket or machine validated Order Ticket/ Deposit Slip/ ADCA	None	15 Minutes	<i>BSO/BOO/BH, LBP Branch</i>
	TOTAL	See Annex X + See Annex Y	8 Banking Days, 1 Hour, 40 Minutes	

3. **Brokering / Distribution of Peso-Denominated Corporate Bonds or LBP Issues in the Secondary Market (Sale)**

Sale of Peso-denominated Corporate Bonds and LBP Issues in the Secondary Market

Office or Division:	Treasury Brokering and Marketing Unit (TBMU)	
Classification:	Complex	
Type of Transaction:	G2C - Government to Citizen; G2B - Government to Business; G2G - Government to Government	
Who may avail:	Eligible Investors, All Government Agencies, Individual and Institutional	
CHECKLIST OF REQUIREMENTS	WHERE TO SECURE	
Order Ticket (1 original copy)	LBP Branch – New Accounts or TBMU Treasury Sales Specialist/Officer	
<ul style="list-style-type: none"> ✓ Registry Trade-Related Transfer Form (2 original copies) ✓ Other documents required by Issuer (1 original copy) 	Registry Paying Agent (RPA) – Philippine Depository and Trust Corporation (PDTC) ADCU Team	
Valid photo bearing government-issued ID of the individual investor/s or of all authorized signatories for institutional clients (2 photocopies)	Any government agency issuing identification cards	
<ul style="list-style-type: none"> ✓ Client’s Letter Request (1 original copy) ✓ Registry Confirmation (RC) (1 original copy) ✓ Notarized Affidavit of Loss, in case of loss RC (1 original copy) <p>Institutional Client, Above plus:</p> <ul style="list-style-type: none"> ✓ Board Resolution or Secretary’s Certificate authorizing the sale, signature verified by LBP Branch (1 original copy) 	Client	

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
1. Submit client's letter request and RPA- required documents to the LBP Servicing Branch	1.1 Process the investor's order to sell security; endorse to TBMU	PHP 100 trade transfer fee	3 Banking Days, 25 Minutes	<i>Teller / Bookkeeper / New Accounts Clerk/ Head / Branch Operations Officer (BOO) / Branch Service Officer (BSO) LBP Branch</i>
None	1.2 Endorse duly signed documents and transmit to PDTCC for review and processing	None	3 Banking Days	<i>Treasury Sales Personnel TBMU and TOD Personnel TOD</i>
None	1.3 Receive confirmation with RPA (clearance to execute sale transaction)	None	1 Banking Day	<i>Treasury Sales Personnel TBMU</i>
2. Confirm sale of security to the LBP Branch – New Accounts or to the assigned Treasury Sales Personnel	2.1 Sell client's security	See Annex Z	1 Banking Day	<i>Treasury Sales Personnel TBMU</i>
3. Wait for the crediting of proceeds to the LBP Depositor's Account	3.1 Transfer net proceeds for the sale of securities thru IBTOLS to the LBP Servicing Branch and facilitate release to Investor	None	1 Banking Day (one day after the trade date)	<i>TOD Personnel TOD and Bookkeeper / Head / BOO / BSO LBP Branch</i>

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
	TOTAL	PHP 100 trade transfer fee + See Annex Z	9 Banking Days, 25 Minutes	

4. Brokering / Distribution of Peso-Denominated Government Securities (GS) – Retail Treasury Bonds (RTBs) in the Primary Market

Purchase of Peso-denominated RTBs in the Primary Market

Office or Division:	Treasury Brokering and Marketing Unit (TBMU)	
Classification:	Complex	
Type of Transaction:	G2C - Government to Citizen; G2B - Government to Business; G2G - Government to Government	
Who may avail:	Eligible Investors, All Government Agencies, Individual and Institutional	
CHECKLIST OF REQUIREMENTS	WHERE TO SECURE	
Valid photo bearing government-issued ID of the individual investor/s or of all authorized signatories for institutional clients (2 photocopies) and/or Updated and valid Tax Exemption Certificate/BIR Ruling for institutional accounts claiming tax exemption (1 certified true copy)* <i>*Note: Subject to Issuer's approval.</i>	Any government agency issuing identification cards Bureau of Internal Revenue (BIR)	
Properly accomplished forms, signature verified by LBP Branch: Individual <ul style="list-style-type: none"> ✓ Order Ticket (1 original copy) ✓ Client Agreement (1 original copy) ✓ Data Privacy Consent Form for Investors (1 original copy) ✓ Risk Disclosure Statement (1 original copy) ✓ Acknowledgement to Invest in Specific Instruments (if applicable) (1 original copy) ✓ Investor's Undertaking (notarized) (1 original copy) ✓ Authorization (1 original copy) 	LBP Branch – New Accounts / TBMU Treasury Sales Specialist/Officer	

CHECKLIST OF REQUIREMENTS		WHERE TO SECURE			
<p>✓ Client Suitability Assessment (CSA) (1 original copy)**</p> <p><i>**Note: Waived for clients investing in plain vanilla peso-denominated Government Security with remaining tenors of up to seven (7) years.</i></p> <p>Institutional Above plus: Board Resolution or Secretary's Certificate authorizing the purchase of security, signature verified by LBP Branch (1 original copy)</p>		Client			
<p>Updated / Active LBP Deposit Account</p> <p><i>Note: LBP Account with Branch Code 500 are not allowed.</i></p>		Any LBP Branch – New Accounts			
<p>Authority to Debit/Credit Account (ADCA) (1 original copy)*; or</p> <p>Local/Manager's Check or cash for placement (if applicable)</p> <p><i>*Waived if payment instruction is already covered in the Order Ticket</i></p>		LBP Branch – New Accounts			
<p>CLIENT STEPS</p>		<p>AGENCY ACTIONS</p>	<p>FEES TO BE PAID</p>	<p>PROCESSING TIME</p>	<p>PERSON RESPONSIBLE</p>
<p>1. Visit or call any LBP Branch – New Accounts to inquire on Treasury Products; inquiry may also be done via e-mail at customercare@landbank.com)</p>		<p>1.1 Attend to customer concern; conduct Know-Your-Customer (KYC) procedures; provide overview of Treasury Products and provide checklist of requirements</p>	<p>None</p>	<p>1 Hour</p>	<p>Head / Branch Operations Officer (BOO) / Branch Service Officer (BSO) LBP Branch</p>

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
None	1.2 Conduct CSA to determine the client's risk profile and the investment product	None		<i>Licensed Salesmen Branch Personnel/Treasury Sales Personnel TBMU</i>
2. Submit duly accomplished Treasury Investment documents to the LBP Branch of account – New Accounts	2.1 Process the investor's placement	None	40 Minutes	<i>Teller (if paid through cash/check) CA/SA Bookkeeper (if through debit from account), BSO/BOO/BH, LBP Branch</i>
	2.2 Provide client with a copy of the Acknowledgment Receipt, Order Ticket, or machine-validated Order Ticket/ Deposit Slip/ ADCA	None		
3. Wait for the branch's advice on the availability of the Confirmation of Sale (COS) <i>Note: The COS will be available after the issue date.</i>	3.1 Send COS to the concerned LBP Branches	None	22 Banking Days (within 20 Banking Days after issue date)	<i>TOD Personnel TOD</i>
	3.2 Deliver or advise investor to pick up the COS	None	30 Minutes	<i>Head / BOO / BSO/ New Accounts LBP Branch</i>
	TOTAL	None	22 Banking Days, 2 Hours, 10 Minutes	

5. Brokering / Distribution of Peso-Denominated Government Securities – Treasury Bills (T-Bills), Retail Treasury Bonds (RTBs) and Fixed Rate Treasury Notes (FXTNs) in the Primary Market

Purchase of T-Bills, RTBs and FXTNs in the Primary Market

Office or Division:	Treasury Brokering and Marketing Unit (TBMU)			
Classification:	Simple			
Type of Transaction:	G2B - Government to Business; G2G - Government to Government			
Who may avail:	Eligible Investors, All Government Agencies and Institutional (QIB Investor)			
CHECKLIST OF REQUIREMENTS		WHERE TO SECURE		
Bid-Thru Order / Letter of Intent to participate in Auction <i>Note: Limited to Qualified Buyers only (Individual or Institutional with existing LBP deposit account)</i>		LBP Branch of Account – New Accounts or TBMU Treasury Sales Specialist/Officer		
Authority to Debit/Credit Account (ADCA) (1 original copy)* or Local/Manager's Check or cash for placement (if applicable) <i>*Waived if payment instruction is already covered in the Order Ticket</i>		LBP Branch – New Accounts Client		
CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
1. Submit duly accomplished Investor's documents (Bid thru order only, if existing investor) to the LBP Branch – New Accounts or to TBMU	1.1 Submit consolidated orders to Capital Markets Trading Department (CMTD)	None	2 Hours	<i>Head / Branch Operations Officer (BOO) / Branch Service Officer (BSO) / New Accounts Clerk / Bookkeeper LBP Branch</i> Or <i>Treasury Sales Personnel TBMU</i>

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
None	1.2 Submit order to the Bureau of Treasury	None	2 Hours	<i>Treasury Personnel / Trader</i> CMTD
None	1.3 Send auction results to TBMU	None	1 Hour	<i>Treasury Personnel / Trader</i> CMTD
None	1.4 Inform Branch or investor on auction result	None	10 Minutes	<i>Treasury Sales Personnel</i> TBMU
2. Confirm purchase of security	2.1 Purchase client's security	Bid Thru Fee: Face Value x 0.001	1 Banking Day	<i>Treasury Sales Personnel</i> TBMU
	TOTAL	Bid Thru Fee: Face value x 0.001	1 Banking Day, 5 Hours, 10 Minutes	

6. Brokering / Distribution of Peso-Denominated Government Securities (GS) – Treasury Bills (T-Bills), Retail Treasury Bonds (RTBs) and Fixed Rate Treasury Notes (FXTNs) in the Secondary Market (Purchase)

Purchase of T-Bills, RTBs and FXTNs in the Secondary Market

Office or Division:	Treasury Brokering and Marketing Unit (TBMU)	
Classification:	Highly Technical	
Type of Transaction:	G2C - Government to Citizen; G2B - Government to Business; G2G - Government to Government	
Who may avail:	Eligible Investors, All Government Agencies, Individual and Institutional	
CHECKLIST OF REQUIREMENTS	WHERE TO SECURE	
Valid photo bearing government-issued ID of the individual investor/s or of all authorized signatories for institutional clients (1 photocopy)	Any government agency issuing identification cards	
Properly accomplished forms, signature verified by LBP Branch: Individual <ul style="list-style-type: none"> ✓ Order Ticket (1 original copy) ✓ Client Agreement (1 original copy) ✓ Data Privacy Consent Form for Investors (1 original copy) ✓ Risk Disclosure Statement (1 original copy) ✓ Acknowledgement to Invest in Specific Instruments (if applicable) (1 original copy) ✓ Investor's Undertaking (notarized) (1 original copy) ✓ Notarized Special Power of Attorney (1 original copy) ✓ Client Suitability Assessment (1 original copy)** <p><i>**Note: Waived for clients investing in plain vanilla peso-denominated GS with remaining tenors of up to seven (7) years.</i></p>	LBP Branch of Account – New Accounts or TBMU Treasury Sales Specialist/Officer	

CHECKLIST OF REQUIREMENTS		WHERE TO SECURE		
Institutional Above plus: ✓ Board Resolution or Secretary's Certificate authorizing the purchase of security, signature verified by LBP Branch (1 original copy)		Client		
Updated / Active LBP Deposit Account <i>Note: LBP Account with Branch Code 500 are not allowed.</i>		Any LBP Branch – New Accounts		
Authority to Debit/Credit Account (ADCA) (1 original copy) or Local/Manager's Check or cash for placement (if applicable)		LBP Branch – New Accounts Client		
CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
1. Visit or call any LBP Branch – New Accounts to inquire on Treasury Products; inquiry may also be done via e-mail at customercare@landbank.com)	1.1 Attend to customer concern; conduct Know-Your-Customer (KYC) procedures; provide overview of Treasury Products and provide checklist of requirements	None	1 Hour	Head / Branch Operations Officer (BOO) / Branch Service Officer (BSO) LBP Branch
None	1.2 Conduct CSA to determine the client's risk profile and the investment product	None		Licensed Salesmen Branch Personnel/Treasury Sales Personnel TBMU

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
2. Submit duly accomplished Treasury Investment documents to the LBP Branch – New Accounts	2.1 Accept and coordinate the investor's placement with TBMU	None	20 Minutes	<i>Head / BOO / BSO</i> LBP Branch
3. Confirm purchase of security	3.1 Purchase client 's security	See Annex Z	1 Banking Day	<i>Treasury Sales Personnel</i> TBMU
4. Wait for the confirmation of done transaction	4.1 Inform client on the details of done transactions	None	55 Minutes	<i>Head / BOO / BSO</i> <i>Teller (if paid through cash/check)</i> <i>CA/SA Bookkeeper (if through debit from account)</i> LBP Branch
None	4.2 Credit the payment and provide client with a copy of the Order Ticket, or machine-validated Order Ticket/ Deposit Slip/ ADCA	None		
5. Wait for the branch's advise on the availability of the Confirmation of Sale (COS)	5.1 Send COS to the concerned LBP Branches	None	6 Banking Days	<i>Treasury Operations Department (TOD) Personnel</i> TOD
	5.2 Deliver or advise investor to pick up the COS	None	30 Minutes	<i>Head / BOO / BSO/</i> <i>New Accounts</i> LBP Branch

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
	TOTAL	See <i>Annex Z</i>	7 Banking Days, 2 Hours 45 Minutes	

7. Brokering / Distribution of Peso-Denominated Government Securities (GS) – Treasury Bills (T-Bills), Retail Treasury Bonds (RTBs) and Fixed Rate Treasury Notes (FXTNs) in the Secondary Market (Sale)

Sale of T-Bills, RTBs and FXTNs in the Secondary Market

Office or Division:	Treasury Brokering and Marketing Unit (TBMU)			
Classification:	Complex			
Type of Transaction:	G2C - Government to Citizen; G2B - Government to Business; G2G - Government to Government			
Who may avail:	Eligible Investors, All Government Agencies, Individual and Institutional			
CHECKLIST OF REQUIREMENTS		WHERE TO SECURE		
Valid photo bearing government-issued ID of the individual investor/s or of all authorized signatories for institutional clients (1 photocopy)		Any government agency issuing identification cards		
Client's Letter Request (1 original copy) Order Ticket (1 original copy)		Client		
Confirmation of Sale (COS)/ Affidavit of Loss in case of lost COS (1 original copy for full sale) (1 certified true copy if partial sale)		Client		
Institutional Client Above plus: Board Resolution or Secretary Certificate authorizing the sale (signature verified by LBP Branch) (1 original copy)		Client		
Updated / Active LBP Deposit Account <i>Note: LBP Account with Branch Code 500 are not allowed.</i>		Any LBP Branch – New Accounts		
CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
1. Submit duly accomplished client letter-request to sell addressed to LBP Branch – New Accounts and other required documents	1.1 Accept and process the investor's order to sell security; endorse to TBMU	None	3 Banking Day, 25 Minutes	<i>Teller / Bookkeeper / New Accounts Clerk / Head / Branch Operations Officer (BOO) / Branch Service Officer (BSO) Executive Assistant LBP Branch</i>

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
2. Confirm sale of security	2.1 Sell client's security (once prevailing rates have been relayed to the investor)	See Annex Z	1 Banking Day	<i>Treasury Sales Personnel</i> TBMU
3. Wait for the confirmation of done transactions	3.1 Inform the client on the details of done transactions	None	30 Minutes	<i>Head / BOO / BSO</i> LBP Branch
4. Wait for the crediting of proceeds in the LBP Depositor's Account	4.1 Transfer net proceeds for the sale of securities thru IBTOLS to the LBP Servicing Branch and facilitate release to Investor	None	1 Banking Day (one day after the trade date)	<i>Treasury Operations Department (TOD) Personnel</i> TOD and <i>Teller / Bookkeeper / New Accounts Clerk / Head / BOO / BSO</i> LBP Branch
5. Wait for the branch's advise on the availability of the Confirmation of Purchase (COP)	5.1 Send COP to the concerned LBP Branches	None	6 Banking Days	<i>TOD Personnel</i> TOD
	TOTAL	See Annex Z	11 Banking Days, 55 Minutes	

8. Investment Banking – Arranging the Issuances of Bonds, Long-term Negotiated Certificates of Deposits (LTNCD), Loan Syndication, Corporate Notes and Debt/Equity Securities

The process of advising the Issuer on the structure and timing of the issuance and managing the entire bond / LTNCD / loan syndication / corporate notes / debt/equity securities.

Equity securities can be common and preferred shares. These also include bank's capital requirements such as Additional Tier 1 and Tier 2 securities.

Office or Division:	Investment Banking Department 1 (IBD 1) and / or Investment Banking Department 2 (IBD 2)
Classification:	Highly Technical; Multi-stage Processing
Type of Transaction:	G2B - Government to Business; G2G - Government to Government
Who may avail:	Private Sector: Corporations, Small and Medium Enterprises (SMEs) Public Sector: Republic of the Philippines (ROP), Government-Owned and/or Controlled Corporations (GOCCs), State Colleges and Universities (SUCs), Local Government Units (LGUs), Government Agencies (GAs) and other Government Instrumentalities Financial Institutions: Banks and Non-Bank Financial Institutions
CHECKLIST OF REQUIREMENTS	
WHERE TO SECURE	
Invitation Letter / Request for Proposal (RFP) (1 original copy)	To be provided by Borrower / Client / Other Banks
Certificate of Registration (1 photocopy)	Department of Trade and Industry (DTI) / Securities and Exchange Commission (SEC) / Board of Investments (BOI)
Articles of Incorporation and By-Laws (1 photocopy)	Copy received by the SEC
Latest General Information Sheet (GIS) (1 photocopy)	Copy received by the SEC
Bio-Data of Officers and Directors (1 photocopy)	Borrower / Client
Business Permits (1 photocopy)	LGU Mayor's Office / Other Government Agency depending on the nature of business / industry
Audited Financial Statements (last three years) (1 photocopy)	To be provided by Borrower / Client
Latest Interim Financial Statements (not more than six months old at the time of application) (1 photocopy)	To be provided by Borrower / Client

CHECKLIST OF REQUIREMENTS		WHERE TO SECURE		
Authority to Verify Personal Information Form in accordance with Republic Act (R.A.) No. 10173 known as Data Privacy Act of 2012 (1 original copy)		Form from IBD 1 or IBD 2 to be provided to Borrower / Client		
Basic Business Information Form (1 original or 1 photocopy)		Form from IBD 1 or IBD 2 to be provided to Borrower / Client		
Clearance from Regulatory Bodies (G2G) (1 original copy)		Office of the President (OP), Commission on Audit (COA), National Economic and Development Authority (NEDA), Department of Finance (DOF), Bureau of Local Government Finance (BLGF), Securities and Exchange Commission (SEC), Monetary Board (MB) / Bangko Sentral ng Pilipinas (BSP), Philippine Competition Commission (PCC), Office of the Government Corporate Counsel (OGCC), Governance Commission for GOCCs (GCG), etc.		
Other documents as may be requested by LBP depending on the type of business (1 original and/or 1 photocopy)		To be provided by / to the Borrower / Client depending on other document/s requested		
CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
1. Send Invitation Letter/ RFP for LANDBANK to act as an Arranger of the Bond/ LTNCD/ equity securities Issuance	1.1 Review Invitation Letter/ RFP	None	10 Banking Days	<i>Account Officer (AO), Department Head concerned + Group Head + Sector Head IBD 1 / IBD 2 + Investment Banking Group (IBG) + Treasury and Investment Banking Sector (TIBS)</i>
	1.2 Submit Mandate Letter with Proposal/ Pitchbook in accordance with the terms and conditions of the RFP	None		

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
2. Review and sign Mandate Letter/ Term Sheet to act as an Arranger	<u>LBP as Arranger:</u> 2.1 Attend meetings with the client and/or Mandated Arranger on the terms of the bond/ LTNCD/ equity securities issuance	None	20 Banking Days	<i>AO + Department Head concerned + Group Head IBD 1 / IBD 2 + IBG</i>
	2.2 Select institutions to be included in the deal	None		<i>AO + Department Head concerned + Group Head IBD 1 / IBD 2 + IBG</i>
	2.3 Select necessary third party service providers to serve as transaction counsel, facility agent and trustee	None		<i>AO + Department Head concerned + Group Head + Sector Head, if applicable IBD 1 / IBD 2 + IBG + TIBS, if applicable</i>
None	<u>LBP as Participating Arranger:</u> 2.1 Forward to Mandated Lead Arranger the signed / approved:	None		<i>AO + Department Head concerned + Group Head + Sector Head, if applicable IBD 1 / IBD 2 + IBG + TIBS, if applicable</i>

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
<i>Con't 2.1 LBP as Participating Arranger</i>	a. Letter of Interest / Commitment, Confidentiality Undertaking / Agreement b. Other documents applicable for the transaction			
None	2.2 Sound off to target clients the acceptability of the proposed transaction	None		<i>AO + Department Head concerned + Group Head IBD 1 / IBD 2 + IBG</i>
None	2.3 Prepare and secure internal approvals of the Underwriting / Issue Management/ Arrangement Proposal	None		<i>AO + Department Head concerned + Group Head+ Approving Committee IBD 1 / IBD 2 + IBG+ LBP Applicable Approving Committee</i>
None	2.4 Assist the client in securing applicable regulatory approvals	None		<i>AO + Department Head concerned + Group Head IBD 1 / IBD 2 + IBG</i>

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
3. Secure applicable regulatory approvals such as, but not limited to, SEC, DOF, BSP (<i>may follow a sequential order</i>)	3.1 Draft transaction documentation / documentation meetings, offering circular, pre-offer comfort letter, pre-listing comfort letter, auditor's review of financials and prospectus	None	60 Banking Days	AO + Department Head+ Group Head (if applicable) IBD 1 / IBD 2 + IBG (if applicable)
4. Sign all transaction documents	4.1 Secure legal sufficiency on all legal documents from the Transaction Counsel and facilitate signing of all legal documents	None	10 Banking Days	AO + Department Head + Group Head + Legal Officer IBD 1 / IBD 2 + IBG + Banking Legal Services Department (BLSD)
None	4.2 Send Fee Letter for signature of Issuer	None		AO + Department Head + Group Head IBD 1 / IBD 2 + IBG
5. Sign Fee Letter	5.1 Receive signed Fee Letter	None	10 Banking Days	AO + Department Head + Group Head IBD 1 / IBD 2 + IBG

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
None	5.2 Prepare for Investor Presentation, distribution of invitation letters	None		<i>AO + Department Head + Group Head IBD 1 / IBD 2 + IBG</i>
6. Attend Investor Presentation / Road Shows	6.1 Pre-launch bring-down due diligence	None	5 Banking Days	<i>AO + Department Head + Group Head IBD 1 / IBD 2 + IBG</i>
None	6.2 Launch to Qualified Investors / Buyers (QIBs)	None		<i>AO + Department Head + Group Head IBD 1 / IBD 2 + IBG</i>
None	6.3 QIB bookbuilding period	None		<i>AO + Department Head + Group Head IBD 1 / IBD 2 + IBG</i>
None	6.4 Pricing	None		<i>AO + Department Head + Group Head IBD 1 / IBD 2 + IBG</i>
None	6.5 Public Offer Period	None		<i>AO + Department Head + Group Head IBD 1 / IBD 2 + IBG</i>
7. Submit application documents to Philippine Depository and Trust Corporation (PDTC) for listing to Philippine Dealing Exchange (PDEX)/ Philippine Stock Exchange (PSE)	7.1 Prepare PDTC / PSE application documents	None		5 Banking Days
None	7.2 Pre-closing bring-down due diligence	None	<i>AO + Department Head + Group Head IBD 1 / IBD 2 + IBG</i>	

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
8. Submit the Condition Precedent to Arranger	8.1 Consolidation and completion of Conditions Precedent in coordination with the legal counsel and other third parties	None	3 Banking Days	AO + Department Head + Group Head IBD 1 / IBD 2 + IBG
None	8.2 Listing Ceremony/ Settlement	None	1 Banking Day	AO + Department Head + Group Head + Sector Head (if applicable) IBD 1 / IBD 2 + IBG + TIBS (if applicable)
None	8.3 Prepare a statement of account / billing statement to client	Agreed arranger's fee/ agreed percentage x amount of actual participation	1 Banking Day	Teller LBP Branch or Accounts Assistant (AA) / AO / Department Head IBD 1 / IBD 2
9. Pay the fees to LBP	9.1 Provide official receipt to client			Teller LBP Branch or AA/AO/Department Head IBD 1 / IBD 2
	TOTAL	Agreed arranger's fee/ agreed percentage x amount of actual participation	125 Banking Days	

9. Investment Banking – Financial Advisory

Financial Advisory is the service of providing sound advice to clients who want to explore various options for raising funds for new projects as well as loan restructuring. Normally, borrowers or issuers hire financial advisors to assist in structuring or packaging the terms of financing required, i.e., amount, tenor, rates, etc.

Office or Division:	Investment Banking Department 1 (IBD 1) and/or Investment Banking Department 2 (IBD 2)
Classification:	Highly Technical; Multi-stage
Type of Transaction:	G2B – Government to Business; G2G – Government to Government
Who may avail:	Private Sector: Corporations, Small and Medium Enterprises (SMEs) Public Sector: Republic of the Philippines (ROP), Government-Owned and/or Controlled Corporations (GOCCs), State Colleges and Universities (SUCs), Local Government Units (LGUs), Government Agencies (GAs) and other Government Instrumentalities Financial Institutions: Banks and Non-Bank Financial Institutions
CHECKLIST OF REQUIREMENTS	
WHERE TO SECURE	
Invitation Letter / Request for Proposal (RFP) (1 original copy)	To be provided by Borrower / Client / Other Banks
Certificate of Registration (1 photocopy)	Department of Trade and Industry (DTI) / Securities and Exchange Commission (SEC) / Board of Investments (BOI)
Articles of Incorporation and By-Laws (1 photocopy)	Copy received by the SEC
Latest General Information Sheet (GIS) (1 photocopy)	Copy received by the SEC
Bio-Data of Officers and Directors (1 photocopy)	Borrower / Client
Business Permits (1 photocopy)	LGU Mayor's Office / Other Government Agency depending on the nature of business/industry
Audited Financial Statements (last three years) (1 photocopy)	To be provided by Borrower / Client
Latest Interim Financial Statements (not more than six months old at the time of application) (1 photocopy)	To be provided by Borrower / Client

CHECKLIST OF REQUIREMENTS		WHERE TO SECURE		
Authority to Verify Personal Information Form in accordance with Republic Act (R.A.) No. 10173 known as Data Privacy Act of 2012 (1 original copy)		Form from IBD 1 or IBD 2 to be provided to Borrower / Client		
Basic Business Information Form (1 original or 1 photocopy)		Form from IBD 1 or IBD 2 to be provided to Borrower / Client		
Other documents as may be requested by LBP depending on the type of business (1 original and/or 1 photocopy)		To be provided by/to the Borrower / Client depending on other document/s requested		
CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
1. Send Invitation Letter / RFP for LANDBANK to act as Financial Advisor	1.1 Review Invitation Letter / RFP	None	10 Banking Days	<i>Account Officer (AO), Department Head, Group Head IBD 1 / IBD 2 + IBG</i>
None	1.2 Preliminary review of the Project and Project Proponent	None		<i>AO, Department Head, Group Head IBD 1 / IBD 2 + IBG</i>
None	1.3 Secure LBP internal approvals of the Financial Advisory arrangement	None		<i>AO, Department Head, Group Head, Sector Head (if applicable), Approving Officers IBD1/IBD 2 +IBG+TIBS (if applicable) + LPB Applicable Approving Committee</i>
None	1.4 Submit to Client / Borrower the Mandate Letter in accordance with the terms and conditions of the RFP	None		<i>AO, Department Head, Group Head, Sector Head (if applicable), Approving Officers IBD1/IBD 2+IBG+TIBS (if applicable)</i>

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
2. Review and sign LBP Mandate Letter to act as Financial Advisor	2.1 Request for Non-Disclosure Agreement	None	5 Banking Days	<i>Team Head / AO + Department Head + Legal Officer IBD 1 / IBD 2 + Banking Legal Services Department (BLSD)</i>
None	2.2 Request for the documents necessary to perform the financial advisory engagement	None		<i>Team Head / AO + Department Head IBD 1 / IBD 2</i>
3. Submit the documents requested by LBP	3.1 Perform the financial advisory functions	None	60 Banking Days	<i>Head / AO + Department Head + Group Head + Sector Head IBD 1 / IBD 2 + IBG + TIBS</i>
None	3.2 Secure approval of the Financial Advisory Report to be submitted to the Client	None		<i>Head / AO + Department Head + Group Head + Sector Head IBD 1 / IBD 2 + IBG + TIBS</i>
4. Receive Financial Advisory Report from LBP	4.1 Send Billing Statement to Client	None	5 Banking Days	<i>Head / AO + Department Head IBD 1 / IBD 2</i>

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
5 Pay the corresponding Financial Advisory Fee	5.1 Provide Official Receipt or any other form evidencing receipt of payment from the Client	Agreed fee (usually, a minimum of PHP1.0 Million, depending on the complexity)	1 Banking Day	<i>Teller</i> LBP Branch or <i>AA / AO / Department Head</i> IBD 1 / IBD 2
	TOTAL	Agreed fee (usually, a minimum of PHP1.0 Million, depending on the complexity)	81 Banking Days	

Treasury and Investment Banking Services

Internal Services

1. FSHSD – Over-the-Counter Purchase and Sale of Foreign Currencies

Purchase and sale of foreign currencies by individuals, corporates and government agencies dealt through branches and lending and remittance units.

Office or Division:	FX Sales and Hedging Solutions Department (FSHSD)			
Classification:	Simple			
Type of Transaction:	G2G-Government to Government (Internal Client)			
Who may avail:	Branch, Lending Unit (LU) or Digital Banking Support Department (DBSD)			
CHECKLIST OF REQUIREMENTS		WHERE TO SECURE		
None		None		
CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
1. RS/NRS client requests for applicable rate/s for their FX requirement through Branches, LU and DBSD via phone call/message	1.1 Gather information relevant to the FX transaction: <ul style="list-style-type: none"> If client is NRS and volume is below \$100,000, posted rates will apply; But if above \$100,000 FSHSD shall coordinate with RFTD for the special booking rate to be quoted to the client 	None	15 Minutes	<i>New Accounts Clerk/Account Officer/Account Assistant/Team Head/Team Partner</i> LBP Branch/Lending Unit/DBSD and <i>Treasury Sales Analyst/ Specialist/ Officer</i> FSHSD and <i>FX Trader</i> RFTD

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
	<ul style="list-style-type: none"> If client is RS, FSHSD shall coordinate with RFTD for the special booking rate, and directly quote the applicable rate/s to the client <p>Approval of special booking rates shall be up to FMG</p>			
2. Branch, Lending Unit (LU) or DBSD agrees with the FX rate provided by FSHSD	2.1 Email the details of the done transaction to the concerned branch, lending or DBSD, cc booking units	None	20 Minutes	<i>Treasury Sales Analyst/ Specialist/ Officer</i> FSHSD and <i>FX Trader</i> RFTD
None	2.2 Encode/ approve the transactions in the NOP for responding of the concerned bookings units (ITD, FDRD, TOD, COSD)	None	10 Minutes	<i>Treasury Sales Analyst/ Specialist/ Officer</i> FSHSD and <i>FX Trader</i> RFTD
None	2.3 Input the details of non-branch FX transactions in the ITS	None	10 Minutes	<i>Treasury Sales Analyst/ Specialist/ Officer</i> FSHSD

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
3. Branch to input all done FX transactions to OFXS	3.1 Generate OFX report for FX transactions encoded by the branches	None	1 Hour	Treasury Sales Analyst/ Specialist/ Officer FSHSD and Branches
None	3.2 Prepare the daily transaction reports which include the Special Quoted Rates Report, etc.	None	1 Hour	<i>Treasury Sales Analyst/ Specialist/ Officer</i> FSHSD
	TOTAL	None	2 Hours, 55 Minutes	

2. LRMD – Funding of Peso/Foreign Currency Transactions

Provide funding to meet obligations and funding requirements of the Banks and its clients

Office or Division:	Liquidity and Reserve Management Department (LRMD)			
Classification:	Simple			
Type of Transaction:	G2G – Government to Government			
Who may avail:	Treasury Units (BSMD, CMTD, FSHSD, TBMU, RFTD, IBG), Branches / Lending Units / ITD / DBSD / COSD / AOSD / FDRD / TOD			
CHECKLIST OF REQUIREMENTS		WHERE TO SECURE		
Request for funding report (phone call / email / memo / fax)		Treasury Units (BSMD, CMTD, FSHSD, TBMU, RFTD, IBG), Branches / Lending Units / ITD / ORG / COSD / AOSD / FDRD / TOD		
CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
1. Request for funding of their various Peso or Foreign Currency transactions / requirements	1.1 Fund all Peso or Foreign Currency transactions / requirements of bank units concerned	None	1 Hour ^{1/}	<i>ALM Specialist / Senior ALM Specialist / Senior ALM Officer / Head LRMD</i>
	TOTAL	None	1 Hour ^{1/} (Below)	
<p>^{1/} For Peso Transactions: Within the day if funding request is received within the 4:00 PM cut-off time</p> <p>For Foreign Currency Transactions: Within the day if funding request is received within the following cut-off times: All Asian banks: 11:00 AM Citi Manila: 12:00 NN Other banks: 3:00 PM</p>				

3. LRMD – Special Rates / Pricing on Peso High Yield Savings Account (HYSA) and US Dollar Certificate of Time Deposits (CTDs)

Provision of pricing guidance for Peso HYSA and special rates for US Dollar CTDs

Office or Division:	Liquidity and Reserve Management Department (LRMD)			
Classification:	Simple			
Type of Transaction:	G2G – Government to Government			
Who may avail:	LBP Branches			
CHECKLIST OF REQUIREMENTS		WHERE TO SECURE		
None		None		
CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
1. Request for special rates / pricing guidance on Peso HYSA and US Dollar CTDs of clients thru phone call	1.1 Provide special rates / pricing guidance for Peso HYSA and US Dollar CTDs based on liquidity requirements, market developments/ outlook, ALCO directives, rank/growth objectives via recorded phone calls	None	15 Minutes	<i>ALM Specialist / Senior ALM Specialist / Senior ALM Officer / Head LRMD</i>
	TOTAL	None	15 Minutes	

4. RFTD – Client Foreign Exchange Transactions (Special Rate)

Over-the-counter Foreign Exchange (FX) purchase and/or sale transactions of clients through Branches / Lending Units.

Office or Division:	Rates and FX Trading Department (RFTD)			
Classification:	Simple			
Type of Transaction:	G2G – Government to Government			
Who may avail:	LBP Branches, Lending Units, FX Sales and Hedging Solutions Department (FSHSD), Foreign and Domestic Remittance Department (FDRD), International Trade Department (ITD), Loan Operations Management Department (LOMD), Treasury Operations Department (TOD)			
CHECKLIST OF REQUIREMENTS		WHERE TO SECURE		
Request from Branches, Lending Units or other concerned units		Concerned Units		
CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
1. Branches/ Lending Units to call FSHSD for special rate	1.1 Request special FX rates	None	5 Minutes	<i>Treasury Sales Officer</i> FSHSD
None	1.2 Quote special FX rates to FSHSD	None		<i>FX Trader / Unit Head,</i> RFTD
None	1.3 Prepare Special Quoted Rates report	None	30 Minutes	<i>Treasury Sales Officer</i> FSHSD
None	1.4 Sign Special Quoted Rates report to approve special rate on done FX transaction	None		<i>Unit Head,</i> <i>Department Head</i> RFTD

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
2. FSHSD, FDRD, ITD, LOMD, TOD, Balance Sheet Management Department (BSMD) Maker input details of FX transactions in the Net Open Position (NOP) Portal; Checker approves entries in the NOP Portal	2.1 Consolidate reported FX transactions in the NOP Portal and compute for the estimated FX NOP of the Bank	None	1 Hour	<i>FX Trader / Unit Head, RFTD</i>
	TOTAL	None	1 Hour, 35 Minutes	

5. TOD – Batch Issuance of Confirmation of Sale of Retail Treasury Bonds at Initial Public Offering and NROSS Client’s Summary of Transactions thru LBP-Servicing Branch

Confirmation of Sale is issued to client as confirmation / proof of investment in Government Securities

Office or Division:	Treasury Operations Department (TOD)			
Classification:	Highly Technical			
Type of Transaction:	G2G – Government to Government			
Who may avail:	Treasury Brokering and Marketing Unit (TBMU), LBP Branches			
CHECKLIST OF REQUIREMENTS		WHERE TO SECURE		
<p>For existing/new clients : Booking/inputting of transaction/s through the Integrated Treasury System (ITS)</p> <p><u>For new clients only:</u> E-mail request from TBMU for account creation to the Bureau of Treasury’s (BTR’s) National Registry of Scripless Securities (nRoSS)</p>		TBMU		
Payment thru credit to TOD–Clearing Account		Servicing Branch		
CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
<p>1. For existing clients: TBMU broker to Input transactions (buy and sell of gov’t. securities) to ITS</p> <p>For new clients: TBMU broker forward e-mail request to TOD for account creation thru nRoSS system</p>	<p>During the offering period: Existing clients: 1.1 Generate deal sheet / trading instruction from ITS</p>	None	18 Banking Days (from offer period)	<i>Settlement Processor</i> Documentation and Securities Administration Unit (DSAU), TOD

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
None	<u>New clients:</u> 1.1 Receive the request; input and approve the client's account creation to the nRoSS system based on the request and system generated deal sheet		10 Banking Days (from offer period)	<i>Settlement Processor</i> DSAU, TOD
2. Wait for the end of the offering period/ issue/ settlement date and advise to pick up or the delivery of the Certificate of Sale (COS)	2.1 On issue Date or 2 days after offer period, BTr to credit all awarded Retail Treasury Bonds (RTB) both for LBP Proprietary and retail investors to LBP-Dealer's Omnibus account with BTr	None	1 Banking Day	<i>Settlement Processor and Approver</i> DSAU, TOD

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
None	2.2 From issue date, view RTB awarded report; process and approve thru nROSS system the transfer of RTB from LBP-Dealer Omnibus Account to LBP-Broker's account via MT 542-FOP Purchase Transfer of Portfolio	None	2 Banking Days	<i>Settlement Processor and Approver</i> DSAU, TOD
None	2.3 On issue date or until booking of client's transactions are done: Once the RTB is transferred to LBP-Broker's account with BTr, process and approve the batch transfer of RTB per deal date to client's nRoSS sponsored account with LBP thru the nRoSS system	None	5 Banking Days	<i>Settlement Processor</i> DSAU, TOD

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
None	2.4 Once transfer of RTB to client's nRoSS sponsored account is settled, generate Client's Summary of Transactions thru the nRoSS system	None		<i>Settlement Processor</i> DSAU, TOD
None	2.5 Generate COS from the ITS (per deal date)	None	10 Banking Days	<i>Settlement Processor</i> DSAU, TOD
None	2.6 Attach the COS and client's summary of transaction to the system generated deal sheet	None	15 Banking Days after settlement date/issue date	<i>Settlement Processor</i> DSAU, TOD
None	2.7 Validate the settlement amount indicated in the COS vs. Summary of Inter-Branch Transactions (SIBT) reports sent by Data Center Management Department	None		

CLIENT STEPS	AGENCY ACTIONS	FEEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
None	2.8 Check and review the Client's nRoSS Summary of Transactions and COS vs. SIBT	None	15 Banking Days	<i>Settlement Approver</i> DSAU, TOD
3. Branch blanket authority to pick-up COS	3.1 For LBP-NCR branch clients, validate authorized branch representative against the list; release the COS to the branch authorized representatives For LBP-regional branch clients, prepare courier slip for transmittal to the branch thru the LBP-Facility	None	10 Banking Days	<i>Settlement Processor</i> DSAU, TOD
	TOTAL	None	*86 Banking Days (from offering to last day of release of COS)	

NOTE:

**Computed based on 8,014 clients*

On Issuance of COS :

- *TOD's Issuance of COS is dependent on number of transactions, transfer of securities to client's account with the Bureau of Treasury and TBMU's inputting of transactions from offering period.*
- *Total number of days cover only TOD's processing time and waiting time per batch trading.*
- *Actual number of days from issue date up to issuance of COS normally takes more than a month.*

On Release of COS:

National Capital Region Branches – If not picked-up by the Branch concerned at TOD after 40 Banking Days after issue date, COS shall be delivered via courier thru the Facilities Management Department.

6. TOD – Issuance of Confirmation of Sale of Government Securities and Client’s Summary of Transactions thru LBP-Servicing Branch

Confirmation of Sale is issued to client as confirmation / proof of investment in Government Securities

Office or Division:	Treasury Operations Department (TOD)			
Classification:	Complex			
Type of Transaction:	G2G – Government to Government			
Who may avail:	Branches’ clients [through Treasury Brokering and Marketing Unit (TBMU)]			
CHECKLIST OF REQUIREMENTS		WHERE TO SECURE		
<p>For existing / new clients: Booking / inputting of transaction/s through Integrated Treasury System (ITS)</p> <p><u>For new clients only:</u> E-mail request from TBMU for account creation to the Bureau of Treasury (BTr’s) National Registry of Scripless Securities System (nROSS)</p> <p><u>For new and additional investments:</u> Client’s payment thru credit to TOD-Clearing Account</p>		<p>TBMU</p> <p>Servicing Branch</p>		
CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
1. TBMU broker to Input transactions (buy and sell of government securities) to ITS	1.1 Generate deal sheet / trading instruction from ITS	None	1 Banking Day	<i>Settlement Processor</i> Documentation and Securities Administration Unit (DSAU), TOD
2. Forward e-mail request to TOD for account creation	2.1 Input and approve the client’s account creation to the BTr’s nRoSS	None	2 Hours	<i>Settlement Processor and Approver</i> DSAU, TOD

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
None	2.2 On settlement date, based on the system generated trading instruction settle, authorize and approve the purchase of securities or the source of sale of Government securities (GS) to clients in the BTr's NROSS system	None	6 Hours	<i>Settlement Processor and Approver</i> DSAU, TOD
None	2.3 Once the source of GS is settled and credited to LBP securities account with BTr, process and approve the transfer of GS to client's nRoSS sponsored account with LBP thru the nRoSS	None		<i>Settlement Processor and Approver</i> DSAU, TOD

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
None	2.4 Once transfer of GS is settled, generate Client's Summary of Transactions thru the nRoSS system	None	1 Banking Day	<i>Settlement Processor and Approver</i> DSAU, TOD
None	2.5 Generate COS from the ITS	None		<i>Settlement Processor and Approver</i> DSAU, TOD
None	2.6 Attach the COS and client's summary of transaction to the ITS generated trading instruction	None		<i>Settlement Processor and Approver</i> DSAU, TOD
3. Data Center Management Department (DCMD) to forward to TOD thru e-mail Summary of Inter-Branch Transactions (SIBT) report or proof of credit to TOD clearing account	3.1 For client's new and additional investments, validate the settlement amount indicated in the COS vs. SIBT report	None	1 Banking Day	<i>Settlement Processor</i> DSAU, TOD

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
None	3.2 For roll-over of matured GS-TBills placement, validate the COS vs. ITS and/or nRoSS system generated Maturity Schedule	None	6 Hours	<i>Settlement Processor</i> DSAU, TOD
None	3.3 Check and review the COS and client's summary of transactions vs. SIBT and/or TBills Maturity Schedule	None	2 Hours	<i>Settlement Processor and Approver</i> DSAU, TOD
4. Branch blanket authority to pick-up COS	4.1 Send the COS <ul style="list-style-type: none"> • For LBP-National Capital Region (NCR) Branch clients, release the COS to the branch authorized representatives 	None	3 Hours	<i>Settlement Processor</i> DSAU, TOD

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
	<ul style="list-style-type: none"> For LBP-Regional Branch clients, prepare courier slip for transmittal to the branch thru the LBP-Facility Management Department (FMD) 	None	5 Hours	Settlement Processor DSAU, TOD
	TOTAL	None	6 Banking Days	
<p>NOTE: <i>NCR Branches – If not picked-up at TOD within 10 Banking Days after settlement date, COS shall be delivered via courier thru FMD.</i></p> <p><i>Regional Branches – within 7 Banking Days after settlement date.</i></p>				