



BANGKO SENTRAL NG PILIPINAS
OFFICE OF THE DEPUTY GOVERNOR
SUPERVISION AND EXAMINATION SECTOR

MEMORANDUM NO. M-2015-034

To : ALL BANKS WITH SECURITIES BROKERING LICENSE

Subject : Guidelines on the Electronic Submission of the Securities Brokering Transaction Report (SBTR)

Pursuant to Circular No. 885 dated 14 August 2015 on the Segregation of Customer Funds and Securities Received by Banks in the Performance of their Securities Brokering Functions, the following guidelines on the submission of the SBTR shall be observed beginning report ending 30 September 2015:

1. The Data Entry Template (DET) and the accompanying Control Prooflist (CP) for the SBTR can be downloaded from http://www.bsp.gov.ph/SES/reporting_templates or requested directly from the BSP-Supervisory Data Center (SDC).
2. The DET together with the corresponding scanned CP in Portable Document Format (PDF) duly notarized and signed by the authorized official of the reporting bank shall be electronically submitted within 15 banking days from end of reference month to the following prescribed e-mail addresses:

Type of Institution	E-mail Address
Universal/Commercial Banks	sdckb-brokering@bsp.gov.ph
Thrift Banks	sdctb-brokering@bsp.gov.ph
Rural and Cooperative Banks	sdcrb-brokering@bsp.gov.ph

3. The DET in Excel format, **SBTR.xls**, and CP in PDF, **SBTR-CP.pdf**, shall be submitted using the prescribed format for the subject as follows:

"SBTR <Bank Name>, <Reference Period>", as illustrated below:

To : sdckb-brokering@bsp.gov.ph
Subject : SBTR *Bank Name*, 30 September 2015

4. Banks that are unable to transmit electronically can submit the DET and its accompanying scanned CP in CD form through messengerial or postal services within the prescribed deadline to:

The Director
Supervisory Data Center (SDC)
Bangko Sentral ng Pilipinas
11th Floor, Multi-Storey Building
BSP Complex, A. Mabini Street
Malate, Manila 1004

5. In accordance with BSP Memorandum No. M-2014-020 dated 22 April 2014, only electronic submissions originating from officially registered e-mail address/es of the bank shall be recognized and accepted by the SDC. Same registered e-mail address/es shall be used by the SDC in electronically acknowledging the submitted report and transmitting the corresponding validation results.
6. Report submissions that do not conform to the above prescribed procedures shall be considered erroneous or defective, and thus, considered unsubmitted. It likewise follows that only the DET and CP prescribed by the BSP for the SBTR shall be deemed compliant with the existing reportorial requirements and standards subject to validation and applicable penalties for late and/or erroneous reporting for Category A-1 reports as prescribed under Subsection X192.2 of the Manual of Regulations for Banks.

For compliance.


LENY I. SILVESTRE
Sector-in-Charge

14 September 2015