

Appendix 2

BANK CONFIRMATION—AUDIT REQUEST (TREASURY AND OTHER OPERATIONS)

Instructions**Auditor**

- (a) Complete all known details in the shaded areas of this form before forwarding to the bank, including all known account names and the corresponding account numbers.
- (b) If the space provided on the form is inadequate, attach a separate request giving the full details of the information required.

Bank

- (a) Confirm that the details provided in the shaded areas are correct as at the confirmation date shown below, and highlight any variation/s. Also add any relevant information that may have been omitted by the customer/auditor.
- (b) Complete the unshaded areas in sections 1-9.
- (d) Sign the completed form and return the original direct to the auditor, and a duplicate to the customer, in the stamped addressed envelopes provided. A copy may be retained by the bank.

Bank (Name & Address)	Customer/Entity (Name & Address)
	“Entity” includes companies, companies in a parent-subsidiary relationship, joint ventures, partnerships, trusts, and unincorporated associations.

Auditor (Name & Address)	Confirmation Date (DD/MM/YYYY)
Contact Name: Telephone Number: Fax Number: Email Address:	Authority to Disclose Information attached Yes/No
	Third Party Authority attached Yes/No/ Not applicable
Date of Audit Request (DD/MM/YYYY)	Request for Acknowledgement attached Yes/No

1. BALANCES OF ACCOUNTS (DEPOSIT& ADVANCES), SECURITIES HELD

- (a) Please confirm details of all account balances as at the confirmation date.
- (b) Include details of: nostro accounts, vostro accounts, current accounts, interest bearing deposits, foreign currency accounts, convertible certificates of deposit, money market deposits, etc. Confirm details of any securities held for payment, e.g., Promissory Notes.
- (c) Confirm details of direct liabilities (bank & term loans etc), indicating the collateral lodged by the customer in respect to each outstanding loan. Details of repayment terms should also be confirmed.

Account Name	Account Number	Balance DR/CR	Currency	Interest Rate	Interest Accrued	Date Paid	Other Charges	Maturity Date	Collateral Lodged
Auditor/customer to complete		Bank to complete unshaded areas							
Bank to provide information on other accounts not identified by auditor/customer									

Guidance Statement GS 016 Bank Confirmation Requests

2. FORWARD RATE AGREEMENTS (FRAs) (Bank to complete)

Please confirm details of all outstanding forward rate agreement contracts at the confirmation date.

Name and Number of contract	Period of Contract Start Date	Maturity Date	Notional Principal Amount	Currency	Contract/ Hedge Rate	Fixed/ Floating	Contract Borrower/ Contract Lender

3. FOREIGN EXCHANGE CONTRACTS (Bank to complete)

Please confirm details of all outstanding foreign exchange contracts at the confirmation date. Obligations to purchase/sell currency should be confirmed in terms of the bank's indebtedness.

Purchase Currency	Amount	Sell Currency	Amount	Exchange Rate	Deal Date	Maturity Date

4. SINGLE CURRENCY INTEREST RATE SWAPS (Bank to complete)

Please confirm details of outstanding single currency interest rate swaps.

Start Date	Maturity Date	Notional Principal Amount	Currency	Receive				Pay			
				Fixed/ Floating	Payment Frequency	Interest Rate	Last Received	Fixed/ Floating	Payment Frequency	Interest Rate	Last Paid

5. CROSS CURRENCY INTEREST RATE SWAPS (Bank to complete)

Please confirm details of outstanding cross-currency interest rate swaps.

		Received/Purchase Currency					Pay/Sell Currency				
Start Date	Maturity Date	Notional Principal Amount	Currency	Payment Frequency	Interest Rate	Last Received	Notional Principal Amount	Currency	Payment Frequency	Interest Rate	Last Paid

6. OPTIONS CONTRACTS (e.g., INTEREST, CURRENCY AND COMMODITIES) (Bank to complete)

Please confirm details listed of outstanding options contracts as at the confirmation date. Indicate the nature of each option contract e.g., Interest Rate Options (cap, collar etc).

Nature of Option Contract	Option Type American/ European	Premium	Strike Price	Currency	Expiry Date	Put/Call Option	Buy/Sell	Contracts Outstanding (No.)

7. TREASURY FUTURES CONTRACTS (Bank to complete)

Please confirm details listed of outstanding Treasury Futures Contracts e.g., BABs, Bonds.

Type of Futures Contract	Value Month	Number of Contracts	Funds on Deposit & Margin Calls	Long/Short	Contracted Sales Price

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8. NETTING (OFFSET) ARRANGEMENTS (Bank to complete)

Please confirm the details of any arrangements for offset of compensating balances e.g., back to back loans. Give particulars of any acknowledgement of offset, whether given by specific letter of offset or incorporated in some other document (i.e., date, type of document and accounts covered).

Item Subject to Netting Arrangements	Conditions of Netting

9. OTHER CONTRACTUAL ARRANGEMENTS (Bank to complete)

Provide details of any other contractual arrangement(s) between the customer and the bank e.g., forward bank bills/bonds, repurchase agreements, transactions packaged as a unique product for the customer, bullion contracts, commodity contracts, swap arrangements (near and far dates), credit derivatives including collateralised debt obligations (CDOs), and others (indicate their nature).

Nature of Contract	Deal Date	Maturity Date	Value Date	Face Value	Consideration	Coupon

10. BANK AUTHORISATION (Bank to complete)

This certificate has been completed from our records at..... (bank details).

The Bank and its staff are unable to warrant the correctness of that information and accordingly hereby disclaim all liability in respect of the same. The information contained herein is confidential and provided for private use in confirmation of our customer accounts for audit purposes only. It may not be used for any other purpose or by any other persons. In particular this is not a credit reference.

AUTHORISED BY:	Other authorisation details (where applicable)
Signature: _____	
Name (print name) _____	
Title _____	
Telephone Number _____	
Email Address _____	
Date Completed _____	