**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.

(c) 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: {{client\_name}}  {{full\_postal\_address\_single\_line}} |

|  |  |
| --- | --- |
| Auditor: {{firm\_name}}  {{firm\_postal\_address\_single\_line}}  Contact Name: {{audit\_partner\_name}}  Telephone Number: {{firm\_phone}}  Fax Number: {{firm\_fax}}  Email Address: {{firm\_email}} | Confirmation Date: Year End {{audit\_period\_date}} |
| Authority to Disclose Information attached: Yes/No |
| Third Party Authority attached: Yes/No/ Not applicable |
| Date of Audit Request {{today\_short}} | Request for Acknowledgement attached: Yes/No |

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

1. Please confirm details of all account balances as at the confirmation date.

2. 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.

3. 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.

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 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 | | | | | | | |
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| Bank to provide information on other accounts not identified by auditor/customer | | | | | | | | | |
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**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 | | Notional Principal  Amount | Currency | Contract/ Hedge Rate | Fixed/ Floating | Contract Borrower/  Contract Lender |
| Start Date | Maturity Date |
|  |  |  |  |  |  |  |  |

**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.

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| --- | --- | --- | --- | --- | --- | --- |
| 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.

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | 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).

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| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Nature of Option Contract | Option Type  American/  European | Premium | Strike Price | Currency | Expiry Date | Put/Call Option | Buy/Sell | Contracts Outstanding (No.) |
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**7. TREASURY FUTURES CONTRACTS** (Bank to complete)

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

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| --- | --- | --- | --- | --- | --- |
| 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 |  |