



THE BANK OF TANZANIA CENTRAL DEPOSITORY SYSTEM OPERATIONAL GUIDELINES

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Consultation

Comments or queries with regard to the content of this document should be addressed to the Manager Domestic Markets.

DEFINITIONS

“Central Depository Participant”	means bank licensed under the Banking and Financial Institutions Act, 2006 or a Dealer licensed under the Capital Markets and Securities Authority, Act, 1994.
“Bank”	means the Bank of Tanzania existing under the Bank of Tanzania Act, 2006.
“Bid Code”	means an alphanumeric reference assigned to a bid form before details are entered into the Computer system for auction processing.
“Book entry”	means the entries made on a register or computer database, within the Central Depository of Securities, to record the ownership of securities.
“CDS”	means a system, which maintains and processes Treasury bills and bonds transactions/records through the Government Securities System (GSS).
“CDS Agreement”	means agreement between an Central Depository Participant and the Bank relating to CDS operations
“Client CDS Agreement”	means an agreement between Central Depository Participants and client relating to CDS operations
“DVP settlement”	means book entry transfer of ownership of a security in exchange for payment to settle a transaction
“Government Securities”	means Treasury bills, bonds and stocks issued in accordance with the Government Loans, Guarantees and Grants Act, 1974 as amended.
“Identifications proof”	means unique details identifying an individual such as Passport, National ID, Voter registration card, Driving license and Identity card and a document with applicant photo issued by government and its departments, statutory regulatory authorities, public sectors undertakings, public financial institutions, professional bodies and colleges.
“TISS”	means is a Real Time Gross Settlement (RTGS) which facilitates payment and settlement of government securities.
“Treasury Bills”	means short-term securities issued by the Bank on behalf of the Government.
“Treasury Bonds”	means long term securities issued by the Bank on behalf of the Government.
“Working Day”	means a day on which the Bank is open for general banking business.

ABBREVIATIONS

CMSA	Capital Markets and Securities Authority
TISS	Tanzania Interbank Settlement System
CDS	Central Depository System
DVP	Delivery Versus Payment
MERMATS	Memorandum and Articles of Associations

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1. INTRODUCTION

- i. These Guidelines serve as reference document for the operations of BOT Central Depository System (CDS) under the terms set forth in the Central Depository System Agreement.
- ii. CDS securities are issued in paperless form and maintained in the computer system to establish evidence of ownership. Each CDS securities account holder will be assigned a CDS securities account a unique account number for the purpose of maintaining a record of the portfolio securities holdings.
- iii. Transfer of value of securities shall be effected through a book entry system and the Bank will issue CDS credit and debit advices or alerts for all transaction processed in the CDS.
- iv. These Operational guidelines have been made in compliance with the provisions of the Government Loans, Guarantees and Grants Act, 1974 (as amended), Capital Markets and Securities Act 1994, Government Securities (Book entry) Regulations, 1998 and the Bank of Tanzania Act ,2006

2. REGISTRATION AS A CENTRAL DEPOSITORY PARTICIPANT

- i. In order to be registered as Central Depository Participant, the applicant shall have to submit the dully completed Central Depository Participant Application Form (a sample of which is attached in the appendices) accompanied with certified supporting documents
 - a. Copies of MERMATS
 - b. Certificate of incorporation,
 - c. Business License,
 - d. Latest Audited Financial Statements.
 - e. Duly signed CDS Agreement
 - f. Duly signed application to open account form (CDS- Form 02)
- ii. The applicant must be in full compliance with all regulatory requirements
- iii. The application form will be submitted to the Bank and a written approval with a copy of CDS Agreement will be sent within five working days after receipt of the application.

3. OPENING OF CDS SECURITIES ACCOUNT

3.1. Central Depository Participants

Central Depository Participants shall submit to the Bank a duly filled prescribed Application to open a CDS securities account form (CDS- Form 02) to be registered as CDS account holder.

3.2. Clients

Clients participating in Government securities operations shall be required to maintain a bank account with a local bank in Tanzania for the purpose of payment and settlement.

3.2.1. Entities and Individuals

Client will submit to the Central Depository Participant the following documents;

- i. duly completed prescribed “Application to open a CDS securities account form” (CDS- Form 02A)
- ii. the signed Client CDS Agreement attached with;

For entities

- MERMATS,
- Certificate of incorporation,
- Business License,
- Directors colored passport size photographs
- Constitution/charter/Act of establishment
- Tax exemption certificate (if exempted)
- Tax identification number (TIN certificate)

For Individuals

- Identification proof
- Recent colored passport size photograph
- Tax Identification Number (TIN certificate)

- iii. Any other particulars as may be required by Central Depository Participant

3.2.2. Joint

Client will submit to the Central Depository Participant the following documents;

- i. duly completed prescribed “Application to open a CDS securities account form” (CDS- Form 02B)

- ii. the signed Client CDS Agreement attached with each member's;
 - Identification proof
 - Recent colored passport size photograph
 - Tax Identification Number (TIN certificate)
- iii. Any other particulars as may be required by Central Depository Participant

3.2.3. Minor

A minor shall open a securities account through his or her guardian. The minor shall be the first and sole holder in the account i.e. there shall not be any joint accounts where a minor is a First / Second / Third joint holder. Before opening a securities account, the minor shall possess a Settlement bank account.

Guardian will submit to the Central Depository Participant the following documents;

- i. duly completed prescribed "Application to open a CDS securities account form" (CDS- Form 02C).
- ii. the signed Client CDS Agreement attached with;
 - Identification proof
 - Birth certificate of Minor
 - One passport size photograph of minor and one of guardian with guardian's signature across the photograph. Guardian shall sign across the photograph of the minor.
 - Tax Identification Number (TIN certificate) of the Guardian
- iii. In case the Guardian is not a natural parent to the minor, shall submit proof of guardianship.
- iv. **After the minor has attained majority**, the following procedure is to be adopted:
 - The account holder shall submit proof of identity.
 - The account holder shall submit a new account opening form (CDS- Form 02A) duly complete in all respects along with documents mentioned for individual in 3.2.1. And enter into a fresh agreement with the CDP duly signed by the account holder and CDP.
 - The respective minor account shall be closed.

- v. Any other particulars as may be required by Central Depository Participant
- 3.2.4. Central Depository Participants shall ensure that there is full compliance with the Know Your Customer rules and Anti Money Laundering Act in opening the CDS securities accounts. It shall be the Central Depository Participants' responsibility to verify the accuracy of the documents and details submitted by client.
- 3.2.5. Central Depository Participants shall be required to witness authorized signatories' signature and forward the Application to open a CDS securities account form (CDS- Form 02) to the Bank. Central Depository Participants must ensure that they retain certified copies of the supporting documents of clients.
- 3.2.6. The Bank shall open the CDS securities account of the applicant in the CDS after receipt of accurately filled Application to open a CDS securities account form (CDS- Form 02).
- 3.2.7. The Bank shall reject incomplete "Application to open a CDS securities account form" (CDS- Form 02) giving reasons for rejection and return the same to the Central Depository Participant.
- 3.2.8. CDS will generate an account opening confirmation with the CDS ID and Client Account Number and this acknowledgment would be forwarded to the Central Depository Participants confirming the CDS account opening.
- 3.2.9. The process of CDS account opening at the Bank will be completed within two working days after receipt of correctly submitted Application to open a CDS securities account form (CDS –Form 02). Central Depository Participant shall forward them to the clients concerned before the expiry of three working days from the date of opening the account.
- 3.2.10. Details of securities accounts for both institutions and individuals shall bear the CDS ID, CDS Securities Account Number and name of the account holder. An account holder shall operate the account through the same Central Depository Participant.

4. PARTICIPATION IN THE PRIMARY AND SECONDARY MARKETS

Participation in the primary and secondary markets will be in accordance with the Guidelines for Participation in the Primary and Secondary Markets for Treasury bills and bonds.

5. SETTLEMENT OF GOVERNMENT SECURITIES

Primary market settlement shall be on Delivery versus Payment (DvP) basis through TISS. Settlement shall be done based on the matched transfer forms from seller and buyer Central Depository Participants received by the Bank through CDS.

The Securities Account shall be credited with:

- i. Securities purchased by the Central Depository Participant/client and paid for by such account holder.
- ii. Securities transferred into another securities account by the account holder.

CDS credit advice or alert will be issued to the buyer through his Central Depository Participants for notification.

The Securities Account shall be debited with

- i. Securities sold by Central Depository Participant / client.
- ii. Securities transferred out to any other securities account by the account holder

CDS debit advice or alert will be issued to the seller through his Central Depository Participants for notification.

Settlements which would not comply with DVP arrangement will attract a fine of TZS 500,000.00 (Tanzanian Shilling Five Hundred Thousand Only) per transaction.

6. FAILURE TO SETTLE FOR GOVERNMENT SECURITIES

Central Depository Participants and/or clients who fail to settle for their successful bids on the settlement day shall be suspended to participate in government securities auctions for minimum period of one month.

Upon proof that settlement bank has failed to settle on behalf of the client having been instructed so to do timely, the Settlement bank will be fined to the tune of TZS 500,000.00 (Tanzanian Shilling Five Hundred Thousand Only) per bid.

7. TREATMENT OF CDS SECURITIES AT PAYMENT OF INTEREST AND REDEMPTION

- 7.1. Securities maintained in the CDS will not be allowed to trade two working days before maturity.

- 7.2. Subject to withholding tax where applicable, on maturity the Bank will debit CDS securities account with the value of the matured securities and effect payment to the beneficiary's bank.
- 7.3. Subject to withholding tax where applicable, on semi-annual basis CDS securities account holder shall be paid accrued interest proceeds that will be computed based on the coupon rate of the Treasury bonds holder by crediting beneficiary's bank.
- 7.4. Proceeds due to account holders should be credited by Central Depository Participants or settlement banks in accordance with the TISS Rules and Regulations.

8. CREATION OF LIEN ON A CDS SECURITIES ACCOUNT

The following procedures will apply in case the CDS securities are to be used as collateral for loan;

- 8.1. Central Depository Participant or client shall instruct the Bank to assign all or portion of its CDS securities holdings as collateral for a loan obtained by completing and submitting to the Bank a Lien Creation Form (CDS- Form 05).
- 8.2. The Bank shall do the following;
 - i. Debit CDS securities account of the Central Depository Participant or client to create lien for the value of lien and credit collateral account of the Central Depository Participant.
 - ii. Tag the value of the CDS securities credited to the collateral account to ensure that they are not accessible for any transaction until the lien is released by the beneficiary Central Depository Participants.
 - iii. Send a Lien Confirmation advice to the Central Depository Participant.

9. RELEASE OF LIEN ON A CDS SECURITIES ACCOUNT

The following procedures will apply in releasing of a lien:

- 9.1. The lending Central Depository Participant or client shall forward a completed Lien Release form (CDS- Form 06) to the Bank.
- 9.2. The Bank shall do the following;
 - i. debit the collateral account of the Central Depository Participants that is the beneficiary of the lien for the value of the lien and credit the CDS securities account of Central Depository Participant that created the lien.
 - ii. send a lien release confirmation advice to both the Central Depository Participant releasing the lien and the Central Depository Participants benefiting from the release of the lien.

10. INTER CENTRAL DEPOSITORY PARTICIPANTS ACCOUNT TRANSFER

- 10.1. Transfer of securities shall be initiated upon submission of dully filled Government Securities Transfer Forms (CDS Form 04) to the respective Central Depository Participants.
- 10.2. Central Depository Participants shall not delay or refuse to effect transfers unless there are outstanding due from such clients or control weaknesses are suspected. If the outstanding amount is in dispute the Central Depository Participant shall then inform the other Central Depository Participant requesting the transfer, that the transfer is being delayed due to that reason.
- 10.3. If for any reason the transfer cannot be accepted by the selling Central Depository Participant and returned, the buying Central Depository Participant requesting the transfer should be informed of their inability to do so by the third working day from the date of receipt of such request.
- 10.4. If the buying Central Depository Participant requesting the transfer is dissatisfied with the reply it may be brought to the notice of the Bank by the buying Central Depository Participant. The Bank shall then consider if the selling Central Depository Participant has a valid reason to refuse the transfer.
- 10.5. CDS shall effect clearance of transfer that have been matched by both seller and buyer Central Depository Participant.

11. CDS ACCOUNT STATEMENTS

A CDS securities account statements will be made available to CDS Central Depository Participants in accordance with the Bank CDS Rules. Central Depository Participant shall access their daily activities report through the CDS web portal.

12. AMENDMENTS

These Guidelines may be amended from time to time as the need may arise and the Bank shall inform all the Central Depository Participants as soon as appropriately possible.

APPENDICES



CDS/FORM/01

CENTRAL DEPOSITORY PARTICIPANT APPLICATION

(To be submitted in duplicate and delivered to the Manager Domestic Markets)

Instructions for completing the application form

Applicants are advised to refer to the **Banking and Financial Institutions Act, 2006, and CMSA Act, 1994** when completing the application form.

The form should be completed in English and the answers to ALL questions should be TYPED or written in INK and in BLOCK LETTERS.

No question should be left unanswered. Where the Applicant believes that a question does not apply, the Applicant should write “**Not Applicable**” or “**N/A**”.

If there is insufficient space to answer a question, additional information may be provided on an attachment page and identify the continuation of an answer by stating the question number.

The declaration on this form must be signed by a director or other duly authorized person.

If there are any changes in the information furnished in the application prior to the completion of the review of this application, the Bank should be notified immediately.

This application form must be accompanied by:

Certified true copy of the applicant’s constitutional documents (Memorandum and Articles of Association, Certificate of Incorporation)

Certified copy of the current valid Business License or other authorization to operate as a Securities Dealer.

The last audited financial statements.

Duly signed CDS Agreement

Categories of Acceptable Certifiers (the certifier must be independent from the applicant):

(i) A Judge; (ii) A Magistrate; (iii) A Notary public; (iv) A Solicitor; (v) A Commissioner of Oaths.

The completed application form and any supporting documents should be submitted in hardcopies to the following office:

**Manager Domestic Markets
 Bank of Tanzania
 P.O BOX 2939
 DAR ES SALAAM
 TANZANIA**

NOTE: The Bank of Tanzania reserves the right to accept or reject any or all applications

1. Name of Applicant

--

2. Details of contact person for the purposes of the application

A	Name	
B	Designation	
C	Address	
D	Telephone number	
E	Fax number	
F	E-mail	
G	Company Registration #	
H	Company TIN #	

3. Details of Directors of the Applicant

Designation	Director1	Director2
Name		
Address		

DECLARATION

(By Chief Executive Officer or other duly authorized person for and on behalf of the applicant)

I declare that to the best of my knowledge and belief the information provided above and in the accompanying documents is true and correct.

Signed: _____

Name: _____

Position held: _____

Date: _____





APPLICATION TO OPEN A CDS SECURITIES ACCOUNT
(To be submitted in duplicate and delivered to the Manager Domestic Markets)

Manager Domestic Markets
Bank of Tanzania
P.O. Box 2939
Dar es Salaam

Date:

I / We hereby apply to open a CDS securities account with the following details which I/We confirm to be correct.

1. APPLICANTS DETAILS

SOLE HOLDER'S ACCOUNT DETAILS

NAME OF ACCOUNT	
CDS ID (if any)	

A	Postal Address					
B	Physical Address					
C	Telephone					
D	Fax					
E	E-mail					
F	Tax Identification Number					
G	Nationality					
H	Country of Residence					
I	Company Registration Number					
J	Tax Status (<i>If exempted provide evidence</i>)	<table border="1"> <tr> <td></td> <td>Not Exempt</td> <td></td> <td>Exempt</td> </tr> </table>		Not Exempt		Exempt
	Not Exempt		Exempt			

Additional Information for Individuals

K	Passport # & Place of Issue Expiry Date (DD-MM-YYYY)	
L	Voter ID #	
M	Driving License #	
N	National ID #	
O	Occupation	
P	Employer	
Q	Employment ID #	
R	Date of Birth (DD-MM-YYYY)	
S	Mobile No.	

2. SETTLEMENT BANK DETAILS

BANK DETAILS		
A	Bank Name	
B	Branch Name	
C	Account No.*	
D	Name of Account*	
E	Address	
F	Telephone	
G	Fax	
H	E-mail	

***NB: Name of Bank Account shall correspond with CDS Account Name**

3. PERSONS AUTHORIZED TO OPERATE THE CDS SECURITIES ACCOUNT

	NAME OF AUTHORIZED SIGNATORY			SPECIMEN SIGNATURE
	Surname	First name	Middle name	
A				
B				
C				
D				

4. CATEGORY OF THE CDS SECURITIES ACCOUNT HOLDER

Please use the category of the account holder indicated as annex of this application (annex to CDS form 2) that best describes the applicant to complete this section.

Category of Account Holder **Class**

5. MANDATE FOR OPERATING CDS SECURITY ACCOUNT

I / We hereby agree to operate a CDS securities account in accordance with the rules prescribed in the Central Depository System Dealing Agreement and the Central Depository System Rules and Operational Guidelines; and request you to honor any instructions bearing signature(s) provided above (and on your specimen signature cards).

Authorized Signature **Authorized Signature**



CDS/FORM/02B

APPLICATION TO OPEN A CDS SECURITIES ACCOUNT
(To be submitted in duplicate and delivered to the Manager Domestic Markets)

Manager Domestic Markets
Bank of Tanzania
P.O. Box 2939
Dar es Salaam

Date:

I / We hereby apply to open a CDS securities account with the following details which I/We confirm to be correct.

6. APPLICANTS DETAILS
JOINT ACCOUNT DETAILS

NAME OF ACCOUNT	
CDS ID (if any)	

FIRST HOLDER DETAILS			
A	Name		
B	Address		
C	Fax		
D	E-mail		
E	TIN# & Place of Issue		
F	Nationality		
G	Country of Residence		
H	CDS ID (if any)		
I	Tax Status (If exempt provide evidence)	<input type="checkbox"/> Not Exempt	<input type="checkbox"/> Exempt
J	Passport # & Place of Issue Expiry Date (DD-MM-YYYY)	<input type="text"/>	<input type="text"/>
K	Voter ID #		
L	Driving License #		
M	National ID #		
N	Occupation		
O	Employer		
P	Employment ID #		
Q	Date of Birth (DD-MM-YYYY)	<input type="text"/>	<input type="text"/>
R	Mobile No.		

SECOND HOLDER DETAILS	
A	Name
B	Address
C	Fax
D	E-mail
E	TIN# & Place of Issue
F	Nationality
G	Country of Residence
H	CDS ID (if any)

I	Tax Status (<i>If exempt provide evidence</i>)		Not Exempt		Exempt
J	Passport # & Place of Issue Expiry Date (DD-MM-YYYY)				
K	Voter ID #				
L	Driving License #				
M	National ID #				
N	Occupation				
O	Employer				
P	Employment ID #				
Q	Date of Birth (DD-MM-YYYY)				
R	Mobile No.				

THIRD HOLDER DETAILS					
A	Name				
B	Address				
C	Fax				
D	E-mail				
E	TIN# & Place of Issue				
F	Nationality				
G	Country of Residence				
H	CDS ID (<i>if any</i>)				
I	Tax Status (<i>If exempt provide evidence</i>)		Not Exempt		Exempt
J	Passport # & Place of Issue Expiry Date (DD-MM-YYYY)				
K	Voter ID #				
L	Driving License #				
M	National ID #				
N	Occupation				
O	Employer				
P	Employment ID #				
Q	Date of Birth (DD-MM-YYYY)				
R	Mobile No.				

NB: Fill another form if the Joint account is for more than three (3) holders.

7. SETTLEMENT BANK DETAILS

BANK DETAILS	
A	Bank Name
B	Branch Name
C	Account No.*
D	Name of Account*
E	Address
F	Telephone
G	Fax
H	E-mail

***NB: Name of Account shall correspond with CDS Account Name.**

8. PERSONS AUTHORIZED TO OPERATE THE CDS SECURITIES ACCOUNT

	NAME OF AUTHORIZED SIGNATORY			SPECIMEN SIGNATURE
	Surname	First name	Middle name	
A				
B				
C				
D				

9. CATEGORY OF THE CDS SECURITIES ACCOUNT HOLDER

Please use the category of the account holder indicated as annex of this application (annex to CDS form 2) that best describes the applicant to complete this section.

Category of Account Holder **Class**

10. MANDATE FOR OPERATING CDS SECURITY ACCOUNT

I / We hereby agree to operate a CDS securities account in accordance with the rules prescribed in the Central Depository System Dealing Agreement and the Central Depository System Rules and Operational Guidelines; and request you to honor any instructions bearing signature(s) provided above (and on your specimen signature cards).

Authorized Signature **Authorized Signature**



APPLICATION TO OPEN A CDS SECURITIES ACCOUNT
(To be submitted in duplicate and delivered to the Manager Domestic Markets)

Manager Domestic Markets
Bank of Tanzania
P.O. Box 2939

Date:

.....

Dar es Salaam

I / We hereby apply to open a CDS securities account with the following details which I/We confirm to be correct.

11. APPLICANTS DETAILS

MINOR ACCOUNT DETAILS

NAME OF ACCOUNT	
CDS ID (if any)	
Date of Birth (DD-MM-YYYY)	<input type="text"/>

GUARDIAN DETAILS	
A	Name
B	Relationship
C	Address
D	Fax
E	E-mail
F	TIN# & Place of Issue
G	Nationality
H	Residence
I	CDS ID (if any)
J	Tax Status (If exempted provide evidence)
	<input type="checkbox"/> Not Exempted <input type="checkbox"/> Exempted
K	Passport # & Place of Issue Expiry Date (DD-MM-YYYY)
	<input type="text"/>
L	Voter ID #
M	Driving License #
N	National ID #
O	Occupation
P	Employer
Q	Employment ID #
R	Date of Birth (DD-MM-YYYY)
	<input type="text"/>
S	Mobile No.

12. SETTLEMENT BANK DETAILS

BANK DETAILS		
A	Bank Name	
B	Branch Name	
C	Account No.*	
D	Name of Account*	
E	Address	
F	Telephone	
G	Fax	
H	E-mail	

***NB: The Account Number and Account Name shall be that of the Minor and shall correspond.**

13. PERSONS AUTHORIZED TO OPERATE THE CDS SECURITIES ACCOUNT

	NAME OF AUTHORIZED SIGNATORY			SPECIMEN SIGNATURE
	Surname	First name	Middle name	
A				
B				
C				
D				

14. CATEGORY OF THE CDS SECURITIES ACCOUNT HOLDER

Please use the category of the account holder indicated as annex of this application (annex to CDS form 2) that best describes the applicant to complete this section.

Category of Account Holder

Class

15. MANDATE FOR OPERATING CDS SECURITY ACCOUNT

I / We hereby agree to operate a CDS securities account in accordance with the rules prescribed in the Central Depository System Dealing Agreement and the Central Depository System Rules and Operational Guidelines; and request you to honor any instructions bearing signature(s) provided above (and on your specimen signature cards).

Authorized Signature

Authorized Signature

Annex to CDS Form 2A, 2B and 2C
Account Holder Categories Information Sheet

Category of Account holder		Class
1.	Bank of Tanzania	BOT Open Market Operations
		BOT Special Funds
2.	Government Agencies	Central Government
		Government of Zanzibar
		Local Governments
		Parastatals
3.	Banks	Non-Banks Financial Institution
		Regional Banks
		Community Banks
		Deposit Money Banks
4.	Trust Companies	Pensions Funds
		Provident Funds
		Unit Trust
		Social Security Regulatory Authority
5.	Insurance Companies	Commissioner of Insurance
		Insurance Company
		Insurance Broker
6.	Other Financial Institutions	Credit Institution
		Bureau De Change
7.	Market Intermediaries	Authorized Dealer
		Capital Markets and Securities Authority
		Dar es salaam Stock Exchange
		Mortgage Finance Company
		Broker
8.	Individuals	Individual
		Joint
		Minor
9.	Others	Manufacturing Firm
		Commercial Enterprise
		Non-Government Organization (NGO)
		Social Group
		Religious Group
		Educational Group
		Micro-Finance Institution
		Co-operative
		Other Official Entities
		Medical Health Schemes
		Professional Organization
Health Institution		



**Attachment to CDS Form 2A, 2B and 2C
SPECIMEN SIGNATURE CARD**

(To be submitted in duplicate and delivered to the Manager Domestic Markets)

<p>AFFIX PHOTOGRAPH 1 HERE</p>	<p>Manager Domestic Markets Bank of Tanzania Date:</p> <p>I the undersigned hereby request to open a CDS securities account in the name.....</p> <p>Address.....</p> <p>Telephone.....</p> <p>Fax.....</p> <p>Email.....</p> <p>I/ We hereunder agree to conform to the rules governing the CDS securities account within the Central Depository System Dealing Service.</p> <p>The specimen signature(s) for person(s) who may be given the mandate to sign on my behalf are:</p>										
<p>AFFIX PHOTOGRAPH 2 HERE</p>	<p>SIGNATORIES:</p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left; width: 70%;">FULL NAME</th> <th style="text-align: left;">SIGNATURE</th> </tr> </thead> <tbody> <tr><td>1.</td><td></td></tr> <tr><td>2.</td><td></td></tr> <tr><td>3.</td><td></td></tr> <tr><td>4.</td><td></td></tr> </tbody> </table>	FULL NAME	SIGNATURE	1.		2.		3.		4.	
FULL NAME	SIGNATURE										
1.											
2.											
3.											
4.											
<p>AFFIX PHOTOGRAPH 3 HERE</p>	<p>The specimen card is returned herewith by the applicant of the CDS securities account indicated on CDS Form 02</p>										
<p>AFFIX PHOTOGRAPH 4 HERE</p>	<p>Yours faithfully ,.....(Full Name)</p> <p>.....(Signature)</p>										

For Central Depository Participant Official Use Only

Originated By: _____ **Sign** _____ **Date** _____

Verified By: _____ **Sign** _____ **Date** _____

Approved By: _____ **Sign** _____ **Date** _____

Central Depository Participant CDS ID:

Central Depository Participant CDS SEC. A/C:

Remarks:



**BID APPLICATION FORM
TO PARTICIPATE IN THE AUCTION OF SECURITIES**

Central Depository Participant Name:.....

CDS SEC. A/C :.....

Account Name:

**Manager Domestic Markets
Bank of Tanzania
P.O. Box 2939
Dar es Salaam**

Date:

Security Type:

Issuer: Government of Tanzania

Auction Date.....

Maturity period.....days/years

I/We tender for Government Securities with the following specifications:

Amount of Tender (Face Value)	Price per 100 shillings (Four Decimal places)
(1) TZS.....	@
(2) TZS.....	@
(3) TZS.....	@
(4) TZS.....	@

In accordance with the terms of the call for tenders for Government securities, I / We hereby agree to pay through TISS-DVP for the total amount that shall be allotted at the price per hundred shillings

Date **Authorized Signature** **Authorized Signature**



CDS/FORM/04

GOVERNMENT SECURITIES TRANSFER FORM
(To be submitted in duplicate to the Manager Domestic Markets)

1	Central Depository Participants:		
	1. Selling Dealer	Name	
		CDS SEC. A/C	
	2. Buying Dealer	Name	
		CDS SEC. A/C	
2	Transacting on behalf of the client:		
	1. Seller	Name	
		CDS SEC. A/C	
	2. Buyer	Name	
		CDS SEC. A/C	
3	Subject:		
	1. Nature of Transaction*		
	2. Bond no		
	3. Bond Auction no.		
	4. Bond Holding no.		
	5. Treasury Bills Auction no.		
	6. Treasury Bills Holding no.		
	7. Face Value		
	8. Price		
	9. Discounted Amount		
4	Delivery Instructions:		
	1. CDS SEC. A/C	Debit Account No	
		Credit Account No	
	2. Value Date (DD-MM- YYYY)		
5	Confirmation:		
	1. Authorized Signatory		
	2. Authorized Signatory		

Transaction Type:

1. Outright Purchase 2. Outright Sale 3. Repo

For BoT Official Use Only

Transaction Ref. No.

A. DOMESTIC MARKETS

DEPARTMENT

Checked by..... Date

Verified by..... Date

Approved by..... Date

B. DOMESTIC ACCOUNTS

DEPARTMENT

Received by..... Date Received.....

Holdings Transfer Effected by..... Date.....

Verified by: Date.....

Approved by:..... Date.....

This implies the Seller and the Buyer in the Secondary Market. The form should be officially stamped. Transfer of ownership shall be affected if the sale and purchase transfer forms are received at the Bank of Tanzania

NOTES FOR COMPLETING TRANSFER CONFIRMATION FORMS

Central Depository Participants:

Selling Dealer- Dealer selling CDS securities on his own account

Buying Dealer- Dealer buying CDS securities on his own account

Transacting on behalf of the client:

Seller- Account holder of the CDS securities being sold.

Buyer- Account holder for whose account the CDS securities is being bought.

Subject:

Transaction Type-1: - Outright purchase, 2. - Outright Sale, 3. - Repo

Discounted Amount – The number of the particular security issue being transacted

Price - Days to redemption of the issue, calculated from the value date.

Face Value- The par value i.e. amount payable at maturity

Delivery Instructions:

Debit Account No - Central Depository System security account number to be debited.

Credit Account No - Central Depository System security account number to be credited

Value Date- Agreed settlement date, when CDS securities will be transferred

Confirmation:

For single investors, his/her signature is sufficient; others will be signed by two officers authorized to commit their institutions.



LIEN CREATION FORM

(To be submitted in duplicate and delivered to the Manager Domestic Markets)

**Manager Domestic Markets
Bank of Tanzania
P.O. Box 2939
Dar Es Salaam**

Date:

Name of the CDS securities account on which the lien is being created:

.....

CDS securities a/c. number on which the lien is being created

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Name of the CDS securities account holder to benefit from the lien:

.....

CDS securities a/c. number of the CDS member to benefit from the lien

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Value date of the lien (DD/MM/YYYY): ____/____/____

Holding number of the CDS securities to be placed under lien: _____

Maturity date of the issue (DD/MM/YYYY): ____/____/____

Maturity date of the lien (DD/MM/YYYY): ____/____/____

Face Value of lien:

TZS:

Value in words: _____

Instructions for disposing of the lien:

In the event that CDS securities posted as collateral mature before the lien has been released by the creator of the lien, then the face value of the affected CDS securities will automatically be credited to the settlement bank of the beneficiary of the lien.

Date

Authorized Signature

Authorized Signature

For Official Use Only

Verified By: _____ **Sign** _____ **Date** _____

Approved By: _____ **Sign** _____ **Date** _____

Remarks: _____



LIEN RELEASE FORM

(To be submitted in duplicate and delivered to the Manager Domestic Markets)

**Manager Domestic Markets
Bank of Tanzania
P.O. Box 2939
Dar es Salaam**

Date:

Name of the CDS securities account on which the lien is being released:

.....
CDS securities a/c. number to be credited on release of the lien:

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Name of the CDS securities account holder releasing the lien:
.....

CDS securities a/c. number on which the lien is being released:

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Value date of the lien release (DD/MM/YYYY): ____/____/____

Holding number of the CDS securities to be released from lien: _____

Maturity date of the issue (DD/MM/YYYY): ____/____/____

Maturity date of the lien (DD/MM/YYYY): ____/____/____

Face Value of the lien release:

TZS:

Value in words: _____

_____	_____	_____
Date	Authorized Signature	Authorized Signature

For Official Use Only

Verified By: _____ **Sign** _____ **Date** _____

Approved By: _____ **Sign** _____ **Date** _____

Remarks: _____



PERSONAL INFORMATION CHANGE REQUEST FORM
(To be submitted in duplicate and delivered to the Manager Domestic Markets)

AFFIX
PHOTOGRAPH
HERE

Manager Domestic Markets
Bank of Tanzania
P.O. Box 2939
Dar es Salaam

Date:

I hereby request to change information registered with the CDS in the name (Registered name)..... with securities account number

Reason(s) for change.....

CDP NAME	
CDP SECURITIES ACCOUNT NO	

1. APPLICANTS DETAILS TO BE CHANGED

Please fill information which needs to be changed and attach evidence

A	Name of Account											
B	Address											
C	Telephone											
D	Fax											
E	E-mail											
F	Tax Status (<i>If exempt provide evidence</i>)	<table border="1"> <tr> <td><input type="checkbox"/></td> <td>Not Exempt</td> <td><input type="checkbox"/></td> <td>Exempt</td> </tr> </table>	<input type="checkbox"/>	Not Exempt	<input type="checkbox"/>	Exempt						
<input type="checkbox"/>	Not Exempt	<input type="checkbox"/>	Exempt									
G	Passport #											
H	Voter ID #											
I	Driving License #											
J	National ID #											
K	Country of Residence											
L	Occupation											
M	Employer											
N	Employment ID #											
O	Date of Birth (DD-MM-YYYY)	<table border="1"> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> </table>										
P	Mobile No.											

2. SETTLEMENT BANK DETAILS TO BE CHANGED

BANK DETAILS	
A	Bank Name
B	Branch Name
C	Account No.*
D	Name of Account*

Yours faithfully (Full Name)

..... (Authorized Signature)



COMPANY INFORMATION CHANGE REQUEST FORM
(To be submitted in duplicate and delivered to the Manager Domestic Markets)

Manager Domestic Markets
Bank of Tanzania
P.O. Box 2939
Dar es Salaam

Date:

I/We hereby request to change information registered with the CDS in the name (Registered name) with securities account number

Reason(s) for change.....

CDP NAME	
CDP SECURITIES ACCOUNT NO	

1. APPLICANTS DETAILS TO BE CHANGED

Please fill information which needs to be changed with attached evidence

A	Account Name					
B	Address					
C	Telephone					
D	Fax					
E	E-mail					
F	TIN# & Place of Issue					
G	Tax Status (If exempt provide evidence)	<table border="1"> <tr> <td></td> <td>Not Exempt</td> <td></td> <td>Exempt</td> </tr> </table>		Not Exempt		Exempt
	Not Exempt		Exempt			

2. SETTLEMENT BANK DETAILS TO BE CHANGED

BANK DETAILS	
A	Bank Name
B	Branch Name
C	Account No.*
D	Name of Account*

3. PERSONS AUTHORIZED TO OPERATE CDS SECURITIES ACCOUNT

NAME OF AUTHORIZED SIGNATORY					SPECIMEN SIGNATURE
SN	Surname	First name	Middle name	Status (Add, Remove)	
A					
B					
C					
D					

Attachment to CDS Form 08
SPECIMEN SIGNATURE CARD FOR NEW SIGNATORIES
 (To be submitted in duplicate and delivered to the Manager Domestic Markets)

AFFIX PHOTOGRAPH 1 HERE	<p>Manager Domestic Markets Bank of Tanzania Date:</p> <p>I the undersigned hereby request to open a CDS securities account in the name.....</p> <p>Address.....</p> <p>Telephone.....</p> <p>Fax.....</p> <p>Email.....</p> <p>I/ We hereunder agree to conform to the rules governing the CDS securities account within the Central Depository System Dealing Service.</p> <p>The specimen signature(s) for person(s) who may be given the mandate to sign on my behalf are:</p> <p>SIGNATORIES:</p> <table style="width: 100%; border: none;"> <thead> <tr> <th style="text-align: left; width: 80%;">FULL NAME</th> <th style="text-align: left;">SIGNATURE</th> </tr> </thead> <tbody> <tr><td>1.</td><td></td></tr> <tr><td>2.</td><td></td></tr> <tr><td>3.</td><td></td></tr> <tr><td>4.</td><td></td></tr> </tbody> </table> <p>The specimen card is returned herewith by the applicant of the CDS securities account indicated on CDS Form 08</p> <p>Yours faithfully ,.....(Full Name)</p> <p style="text-align: right;">.....(Signature)</p>	FULL NAME	SIGNATURE	1.		2.		3.		4.	
FULL NAME	SIGNATURE										
1.											
2.											
3.											
4.											
AFFIX PHOTOGRAPH 2 HERE											
AFFIX PHOTOGRAPH 3 HERE											
AFFIX PHOTOGRAPH 4 HERE											

Yours faithfully (Full Name)

..... (Authorized Signature)

**OFFICIAL
STAMP**