



# **CREST Courier and Sorting Service**

Operations Manual • July 2018

## Preface

This Manual and the CREST Reference Manual (as modified, amended or replaced from time to time) describe the CREST Courier and Sorting Service. Elements of the service are provided by TNT UK Limited (the 'CCSS Operator') on behalf of Euroclear UK & Ireland Limited (EUI). For completeness, this Manual describes steps to be taken by CREST registrars, CREST members and other users and participants in relation to the CCSS; EUI accepts no liability should they fail to do so.

Unless stated otherwise, words and expressions defined in the Glossary of the CREST Reference Manual shall have the same meaning when used in this document.

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## Chapter 1: The CREST Courier & Sorting Service (CCSS)

The CREST Courier and Sorting Service (CCSS) is operated by TNT UK Limited under a contract with EUI.

The CCSS comprises the following services as explained and described in this Manual:

- the operation of four CCSS sites in the cities of London, Leeds, Dublin and Glasgow as the central delivery point for certificated transactions between members, registrars and unit trust product providers. The addresses of the CCSS sites are contained in Appendix 1;
- the receipt of deposit sets<sup>1</sup> from depositing members;
- the bar-coding of the Stock Deposit Reference Number (SDRN<sup>2</sup>) onto those deposit sets where the SDRN is applied manually by the member or where the barcode produced by the member is not legible;
- the operation of the 'CCSS Accept' function which releases electronic details of the stock deposit transaction to the appropriate registrar consequent upon the CCSS Operator processing the associated deposit set;
- the sorting, by registrar and alphabetically or by name of undertaking within each registrar, of deposit sets that have completed 'CCSS Accept';
- the delivery of deposit sets that have completed 'CCSS Accept' to registrars and the collection of rejected deposit sets and share certificates from registrars, according to an enforceable timetable;
- the provision of services that facilitate the delivery of stock deposits for transactions that settle through the residual mechanism;
- the delivery and collection of documents relating to the Legal Document Service<sup>3</sup>; and
- the delivery and collection of documents relating to the EUI unit trust settlement service<sup>4</sup>.

<sup>1</sup> Each CREST Transfer Form, Allotment Letter and Dematerialisation Form together with any documents relating to and submitted with such form or letter (for example, share certificates) is referred to in this Manual as a deposit set.

<sup>2</sup> See chapter 4.

<sup>3</sup> See chapter 2, section 13.

<sup>4</sup> See chapter 2, section 14.

## Chapter 2: The deposit of certificated stock

### **Section 1: Introduction**

CREST stock deposit functionality enables investors to change the form in which securities are held from certificated to uncertificated, either as a result of a transfer from a certificated investor to a member or as a result of a member dematerialising (or rematerialising) part of his own certificated (or uncertificated) holding.

In relation to conversions from certificated to uncertificated form, the stock deposit functionality is only used where the deposit takes place by means of the CCSS. If the CCSS is not used, EUI takes no part in (and has no responsibility for) the mechanism employed.

Members may deposit and collect deposit sets and certificates by means of the CCSS either by accessing one of four CCSS sites (Section 3) or through the post (Section 5).

### **Section 2: Documents delivered through the CCSS**

The CCSS may be used in respect of the following documents only:

- by members, in accordance with the terms of this Manual, for the deposit of:
  - a) CREST Transfer Forms in the form prescribed under the Stock Transfer Act 1963 for use where units of a security are transferred to a member to be held by him in uncertificated form;
  - b) CREST Dematerialisation Request Forms (where these relate to sales). For transition, Dematerialisation Request Forms are delivered direct to the registrar. No CCSS processing is involved (see Appendix 6);
  - c) Allotment Letters for a CREST security where the transferee is a member;
  - d) Documents that require registration with a registrar via the Legal Document Service (see Chapter 2 Section 13);
  - e) Deposit sets for the transfer of units of unit trusts where the member has chosen to use the CREST service and the product provider is approved and has elected to use the service (see Chapter 2 Section 14); and
  - f) Deposit sets for the transfer of securities by the residual mechanism (see Chapter 2 Section 15).

The CCSS Operator rejects any other item deposited at a CCSS site.

- by registrars, in accordance with the terms of this Manual, for the delivery of:
  - a) rejected deposit sets;
  - b) certificates; and
  - c) legal documents relating to the Legal Document Service (see Chapter 2 Section 13).
- by product providers, in accordance with the terms of this Manual, for the delivery of:

units of unit trusts where the member has chosen to use the CREST service and the product provider is approved and has elected to use the service (see Chapter 2 Section 14).

### **Section 3: Access to the CCSS sites and security**

Only those members who carry Security ID Cards issued by the CCSS Operator will be permitted access to the CCSS sites. Applications for Security ID Cards must be made to the CCSS Operator using the form attached as Appendix 2. This form also requests the member to specify which Broker ID(s) should be associated with those Security ID Cards. Each member may have one or more Broker ID(s) associated with the Security ID Card issued to them.

The Security ID Card carries a barcode which is used by the CCSS Operator to identify the Broker ID(s) associated with the member. The member is responsible for the safekeeping of the card(s) issued to him.

The CCSS Operator will activate the Security ID Card once the member has confirmed in writing to the CCSS Operator and EUI that they will comply with the security provisions set out in this Manual and as otherwise prescribed from time to time by the CCSS Operator or EUI. The text of a letter acceptable to the CCSS Operator and EUI for this purpose is attached as Appendix 3.

In the event of the loss or malfunction of a Security ID Card, the member must inform the CCSS Operator immediately requesting the lost or malfunctioning card to be cancelled and a temporary replacement card to be issued (this will take up to two business days from the date of notification). A formal replacement card will be issued by the CCSS Operator (usually within five business days from the date of notification), at which point the temporary card will be disabled. Replacement and temporary cards will be issued by the CCSS Operator to the address of the member by courier, at the risk of the member. The member will be charged for the issuing of a replacement card according to EUI's published tariff from time to time.

If a member attempts to deposit into or collect from a CCSS site without the appropriate Security ID Card, the CCSS Operator will require alternative positive identification before allowing entry into the CCSS site.

Any member attempting to circumvent the security procedures for access to the CCSS sites, or attempting to gain entry to areas which are prohibited to members or unauthorised access generally, will be removed from the premises by the CCSS Operator and the local police informed of the incident.

The CCSS Operator reserves the right to search any person within a CCSS site.

#### **Section 4: CCSS deposits**

##### **Alleging stock deposits to the correct site**

Each deposit set lodged at a CCSS site must have an equivalent CREST stock deposit transaction (or Electronic Data Capture - EDC<sup>5</sup>) alleged to that same CCSS site. Members must always ensure that each stock deposit transaction is alleged to the correct CCSS site before lodgement.

##### **CREST Deposit List**

Deposit sets must be deposited by members under the cover of a CREST Deposit List. Members must ensure that the deposit sets attached to the CREST Deposit List all relate to the same Broker ID as annotated on the CREST Deposit List. A maximum of 20 deposit sets can be attached to a CREST Deposit List.

Two copies of the CREST Deposit List must be completed by the member. Where only one CREST Deposit List is deposited, the CCSS Operator will contact the member who will have the opportunity to fax/scan a further CREST Deposit List to the relevant CCSS site. If the member fails to provide a copy of the CREST Deposit List by the time agreed between the CCSS Operator and the member, the CCSS Operator will reject the CREST Deposit List.

All attachments to a CREST Deposit List should be securely attached through use of a bulldog clip or elastic bands or similar. Attachments to CREST Deposit Lists should not be stapled or pinned to the CREST Deposit List.

Once a CREST Deposit List has been successfully deposited at a CCSS site and a receipt issued, the member may not gain access to either the CREST Deposit List or the attachments to the CREST Deposit List from the CCSS nor require their return.

The CCSS Operator does not store deposit sets overnight, other than rejected deposit sets awaiting collection. The CCSS Operator does not stockpile overnight deposit sets that have been deposited in advance of the stock deposit transaction being alleged to the CCSS; such deposit sets will be rejected by the CCSS Operator. Members must adhere to the CCSS timetable set out in Chapter 3 of this Manual.

##### **Depositing procedure**

Upon gaining access to a CCSS site, the member passes the Security ID Card to the CCSS Operator together with all the deposit sets to be deposited. The number of deposit sets attached to each

<sup>5</sup> The ASDN transaction.

CREST Deposit List is then checked by the CCSS Operator and, where the number of items deposited equates to the number of items recorded on the CREST Deposit List, the CCSS Operator stamps both copies of the CREST Deposit List and returns one copy to the member as a receipt. The CCSS Operator retains the other copy of the receipt for a period of 4 months from the date of receipt. The CCSS Operator files the receipts by Broker ID within date of receipt. No further checking is undertaken by the CCSS Operator.

Where the number of items deposited does not equate to the number of items recorded on the CREST Deposit List, the CCSS Operator will contact the member who will have the opportunity to fax/scan a corrected CREST Deposit List to the relevant site so as to enable the CCSS Operator to proceed as described above. If the member fails to provide a corrected CREST Deposit List by the time agreed between the CCSS Operator and the member, the CCSS Operator will reject the CREST Deposit List.

Alternatively, the member may decide to correct, and countersign, the CREST Deposit List in the presence of the CCSS Operator who should then receipt the CREST Deposit List.

### ***Section 5: Postal deliveries***

In addition to a member lodging deposit sets at his chosen CCSS site, deposit sets may also be delivered to any CCSS site through the post. **Postal deliveries to and from a CCSS Site will be at the member's/user's own risk.**

In either case, members must continue to utilise a CREST Deposit List. Where the number of deposits sets attached to a CREST Deposit List does not equate to the number of items recorded on the CREST Deposit List, the CCSS Operator will contact the member who will have the opportunity to fax/scan a corrected deposit list to the relevant site. If the member fails to provide a corrected CREST Deposit List by the time agreed between the CCSS Operator and the member, the CCSS Operator will reject the CREST Deposit List.

Members will receive rejected deposit sets, certificates and any receipts prepared by the CCSS site in respect of deposit sets delivered through the post in the same way from the CCSS Operator.

Postal deliveries do only form part of the CCSS from the moment of receipt at the relevant CCSS site or, in the case of returns by postal delivery, up to the moment of dispatch from the CCSS site.

Where a receipt is issued, it is returned to the member (at the member's risk) by the CCSS Operator by first class post together with any rejected deposit sets and certificates. The cost of the return postage will be passed on by EUI to the member using the service.

### ***Section 6: Fast-track service***

The fast-track service is predominantly for high value items or deposits that members deem urgent. Additional charges apply to this service; please refer to the EUI published tariff.

Members using this service are required to contact the CCSS Operator to arrange for a fast-track deposit. They may either present the CREST Deposit List and related deposit sets to the CCSS Operator at the relevant CCSS site or they may fax/scan a copy of the CREST Deposit List and the CREST Transfer Form to the CCSS Operator at the relevant CCSS site during the service hours set out in the CCSS timetable, being between 08:30 and 15:00 on a normal service day. Where members decide to fax/scan the CREST Deposit List and the CREST Transfer Form, the CCSS Operator will immediately, upon receipt of the CREST Deposit List and the CREST Transfer Form, perform the CCSS Accept function subject to the limitation set out in the CCSS timetable.

Following completion of the CCSS Accept function, the Member must make his own arrangements for delivery of the fast-track deposit set(s) to the relevant registrar(s). This may involve a third party courier or the CCSS Operator will, at the members' request, (collect and) deliver the fast-track deposit set(s) to the relevant registrar(s). In either case, delivery of the fast-track deposit-set(s) (whether by a third party courier or the CCSS Operator upon request) does not form part of the CCSS.

### ***Section 7: Bar-coding of deposits sets***

Members should bar-code the Stock Deposit Reference Number (SDRN) on the deposit set(s). If the SDRN is only applied manually, the CCSS Operator will bar-code the SDRN on the deposit sets.

The member will be charged by EUI for each bar-code applied by the CCSS Operator according to EUI's published tariff from time to time.

**Where the CCSS Operator is unable to read a manually applied SDRN, or where there is doubt about particular characters (for example where a 'D' could be a '0' or an 'O') the deposit set will be rejected.**

### ***Section 8: Rejection of deposit sets by the CCSS***

The CCSS Operator rejects deposit sets in the following circumstances (please note this list is not exhaustive):

- the deposit set does not include a CREST Stock Transfer Form, a CREST Dematerialisation Form or an Allotment Letter;
- no Stock Deposit Reference Number is present on the deposit set;
- the Stock Deposit Reference Number, applied manually or bar-coded, is illegible;
- the Stock Deposit Reference Number cannot be identified by the CREST system;
- the Transaction Status of the stock deposit transaction in CREST indicates 'Not completed';
- the physical CCSS location does not match the CCSS location entered on the stock deposit transaction in CREST;
- the Participant Transaction Status of the depositor in CREST does not indicate 'FullyInput';
- the Participant Transaction Status of the CCSS in CREST does not indicate 'Alleged to you';
- the ISIN is disabled in CREST;
- the Participant is disabled in CREST.

The CCSS Operator continues the CCSS Accept procedures in relation to deposit sets on the day of receipt until 20:00, at which time all deposit sets not accepted successfully will be rejected. In reality the CCSS Operator concludes the CCSS Accept procedure at 17:00 in order to prepare the documents for courier dispatch for delivery to UK registrars by 09:00 on the next business day and to non-UK registrars<sup>6</sup> by 09:00 on the third business day following CCSS Accept.

Each rejected deposit set is covered by a rejection form completed by the CCSS Operator. This form indicates the reason for the rejection<sup>7</sup>. Rejected deposit sets are available for collection by the member from 08:30 on the business day following collection from registrars.

Rejected deposit sets may be re-deposited at a CCSS site, if necessary, under the cover of a new CREST Deposit List and/or new SDRN.

### ***Section 9: Delivery of deposit sets to registrars***

Those items which have successfully completed 'CCSS Accept' by the CCSS Operator will be sorted by registrar, and alphabetically or by name of undertaking within that registrar, on the day of CCSS Accept. These items are normally delivered to each registrar by the CCSS Operator by 09:00 on the next business day, and in the case of non-UK registrars<sup>8</sup>, by 09:00 on the third business day following CCSS Accept. All deliveries to (and collections from) registrars will be made by the CCSS Operator. Registrars do not hold Security ID Cards.

Upon delivery, each registrar receives a security satchel or (where volumes are higher) a security crate, each of which should contain, sorted alphabetically or by name of undertaking:

- a number of packages containing deposit sets; and

<sup>6</sup> Non-UK registrars are registrars located outside the UK in the Republic of Ireland, Jersey, Guernsey or the Isle of Man.

<sup>7</sup> An example of this form is attached as Appendix 4.

<sup>8</sup> Non-UK registrars are registrars located outside the UK in the Republic of Ireland, Jersey, Guernsey or the Isle of Man.



- a manifest listing the SDRN of each deposit set contained in the security satchel or the crate. The manifest also lists the total number of deposit sets contained in the security satchel or the crate.

The registrar, or his agent, is required to sign, time and date the CCSS Operator's delivery note and must inform EUI on each occasion that an item is not delivered in accordance with the CCSS timetable.

### ***Section 10: Rejection of deposit sets by registrars***

Once the process of CCSS Accept has been completed, CREST creates an RUR Stock Deposit Response (LSDP), containing the information on the stock deposit transaction input by the member, which will be made available to the registrar.

Registrars only register the transfer consequent upon the delivery of a deposit set bearing the same SDRN and being, in all material respects, the same as the RUR Stock Deposit Response.

A registrar will normally reject an RUR Stock Deposit Response where he is unable to process the transfer. The reason for the rejection should be annotated on a Registrar's Rejection Docket<sup>9</sup> which is appended by the registrar to the rejected deposit set.

Registrars should register or reject deposit sets received by 09:00 no later than 12:00 on the next business day.

### ***Section 11: CCSS Operator collecting rejected deposit sets and certificates from registrars***

Rejected deposit sets and certificates are collected by the CCSS Operator from each of the registrars on each business day.

Registrars should sort certificates and rejected deposit sets by Broker ID. Where no Broker ID is present on the RUR Stock Deposit Response, the registrar should locate the relevant Broker ID from the stamp of 'Depositing System-User' box on the CREST Transfer Form. Where no Broker ID is present on the RUR Stock Withdrawal Response (LSWP), the registrar should sort the certificates by the Debit Party ID.

Registrars should, wherever possible, annotate the Transaction ID of the RUR Stock Withdrawal Response (LSWP) on any certificates issued. Registrars should, wherever possible, annotate the Transaction Reference of the RUR Stock Deposit Response (LSDP) on any balance certificates issued. These references enable members to link the certificate produced to the original stock withdrawal or stock deposit transaction.

Registrars wishing to deliver rejected deposit sets and certificates must adhere to the packaging procedure set out below:

- sort rejected deposit sets and certificates by Broker ID;
- use a separate package for each Broker ID;
- pack the rejected deposits set and certificates into one or more securely sealed package(s);
- place the package(s) into one or more security crate(s);
- complete a CCSS manifest<sup>10</sup> for each security crate detailing the number of packages for each Broker ID per security crate and place it together with the relevant package(s) in the security crate;
- make the securely sealed crate(s) available for collection by the CCSS Operator; and
- follow such instructions relating to the packaging and collection of rejected deposit sets and certificates as reasonably given by the CCSS Operator.

**Registrars should not pack more than 50 items in a single package.**

<sup>9</sup> See Appendix 5.

<sup>10</sup> See Appendix 7.

**Any use of the CCSS for the delivery of rejected deposit sets and certificates not packaged in accordance with the packaging procedure and recommended limit of items per package will be at the sender's own risk.**

Once the CCSS Operator has taken receipt of the security crate(s), it will deliver the crate(s) to the London CCSS site where:

- the crate(s) is/are opened;
- the number of sealed packages for each Broker ID is reconciled against the Broker ID and number of sealed packages specified on the CCSS manifest in the crate; and
- each sealed package is sorted either for onward delivery to the relevant CCSS site or for collection at the London CCSS site.

The CCSS Operator does not open any sealed packages (or process the document(s) contained in any sealed package).

Should the CCSS Operator establish a discrepancy between the number of sealed packages per Broker ID specified on the CCSS manifest by the registrar and the number of sealed packages per Broker ID in the security crate received at the London CCSS site, the CCSS Operator will contact the relevant registrar as soon as possible to enable identification and retrieval of the missing sealed package. If necessary, the CCSS Operator will, upon request by the registrar, return the sealed packages to the registrar to allow them to complete their investigation.

### ***Section 12: Members collecting rejected deposit sets and certificates from the CCSS sites***

The CCSS Operator makes the sealed packages containing rejected deposit sets and certificates available for collection from 08:30 on each business day. Members are required to inform EUI on each occasion that an item is not made available in accordance with the CCSS timetable.

Members can collect sealed packages by the Broker ID(s) associated with their Security ID Card. Upon presentation of the Security ID Card, the CCSS Operator will identify all sealed packages available for collection and a printed receipt, signed by the collecting member, is kept by EUI.

### ***Section 13: Legal Document Service***

The CCSS Operator will not generally accept stock deposits which have documents attached other than those required for cover i.e. certificates. Where other documents are attached such deposit sets are referred to as 'encumbered stock deposits' and will, where identified, be rejected by the CCSS. Registrars will not process these as standard stock deposits because of the additional and specialised administration required to process the legal document.

Where registration of such documents is directly associated with market transactions a specific service (the 'Legal Document Service') is offered by the CCSS Operator with the cooperation of registrars for the purpose of delivering appropriate legal documents (i.e. Probates, Marriage and Death Certificates, Powers of Attorney etc.) to registrars for registration. The service is possible due to the cooperation of the registrars. It is a voluntary service encouraging best practice throughout the market.

The Legal Document Service may only be used for market related transactions in CREST eligible stocks.

**The Legal Document Service is used by members at their own risk.**

Security satchels which must be used in connection with the Legal Document Service are available to CREST members and registrars from the CCSS Operator upon request.

#### **Depositing legal documents with the CCSS**

Participants (Lodging Agents) wishing to use the Legal Document Service must adhere to the packaging standards set out below:

- securely staple each set of legal documents for registration together;
- sort the legal documents by registrar ID;
- use a separate security satchel for each registrar ID;
- pack the legal documents into one or more securely sealed security satchel(s);

- complete a Legal Documentation For Registration (LDR) form detailing the exact contents for each security satchel; and
- label the security satchel clearly as 'LEGAL DOCUMENTATION FOR REGISTRATION'. The member must also clearly identify the registrar ID, location and registrar name.

**Members should not pack more than 50 items in a single security satchel.**

**Any use of the CCSS for the delivery of legal documents not packaged in accordance with the packaging procedure and recommended limit of items per security satchel will be at the sender's own risk.**

It is imperative that the sealed security satchel is clearly marked 'LEGAL DOCUMENTATION FOR REGISTRATION', otherwise the lodging member will be charged the standard rate for delivery to a registrar and the deposit will not be processed in accordance with this service. The CCSS Operator will give members a receipt for appropriately marked and secured security satchels that are delivered by 15:00. The CCSS Operator will not open any security satchel but will deliver the security satchel to the registrar by 09:00 on the business day following deposit and, in the case of non-UK registrars<sup>11</sup>, by 09:00 on the third business day following deposit. Registrars are required to inform EUI on each occasion that an item is not delivered in accordance with the CCSS timetable.

### **Registrars returning legal documents through the CCSS**

Registrars wishing to return legal documents through the CCSS must adhere to the packaging procedure set out below:

- separate legal documents relating to the Legal Document Service from rejected deposit sets and certificates;
- sort and identify legal documents by the CCSS location and by Participant ID on the LDR form;
- use a separate security satchel for each Lodging Agent Participant ID;
- pack the legal documents in one or more securely sealed security satchel;
- label the sealed security satchel 'LEGAL DOCUMENTATION FOR REGISTRATION' and clearly display the Lodging Agent Participant ID, Lodging Agent Counter Location and the Lodging Agent name;
- place the security satchel(s) into one or more security crate(s);
- complete a CCSS manifest<sup>12</sup> for each security crate detailing the number of security satchels for each Lodging Agent Participant ID per security crate and place it together with the relevant security satchel(s) in the security crate;
- make the securely sealed crate(s) available for collection by the CCSS Operator; and
- follow such instructions relating to the packaging procedure and collection of legal documents as reasonably given by the CCSS Operator.

**Registrars should not pack more than 50 items in a single security satchel.**

**Any use of the CCSS for the delivery of legal documents not packaged in accordance with the packaging procedure and recommended limit of items per security satchel will be at the sender's own risk.**

Once received into the London CCSS site, the CCSS Operator will reconcile the number of security satchels contained in each security crate with the number of security satchels specified on the CCSS manifest in the same way as set out in Section 11 in respect of rejected deposit sets and certificates.

<sup>11</sup> Non-UK Registrars are registrars located outside the UK in the Republic of Ireland, Jersey, Guernsey or the Isle of Man.

<sup>12</sup> See Appendix 7.

### **Members collecting legal documents from the CCSS sites**

Security satchels containing legal documents and labelled 'LEGAL DOCUMENTATION FOR REGISTRATION' will be received into the London CCSS site and will be made available for collection by members in the same manner as rejected deposit sets and certificates (see Section 12 above).

### **Section 14: Stock deposits for unit trust transactions**

The CCSS Operator does not complete any processing<sup>13</sup> for unit trust deposits but, in accepting documentation for unit trust transactions, provides a sorting and courier service (it does not perform any 'accept' or scrutiny functions).

Security satchels which must be used in connection with the unit trust transactions service are available to CREST members and product providers from the CCSS Operator upon request.

Members wishing to use the service must adhere to the packaging procedure set out below:

- sort the unit trust documents by product provider;
- use a separate security satchel for each product provider;
- pack the unit trust documents in one or more securely sealed security satchel(s); and
- clearly label the security satchel(s) with details of the product provider to whom the security satchel(s) is/are to be delivered.

**Members should not pack more than 50 items in a single security satchel.**

**Any use of the CCSS for the delivery of unit trust documents not packaged in accordance with the packaging procedure and recommended limit of items per security satchel will be at the sender's own risk.**

Where units are being redeemed, the redeemer should annotate the renunciation form with their participant ID and the transaction reference of their RES transaction; the product provider will use this information to perform the 'accept' and message input.

Security satchels containing unit trust documents will be accepted in the usual opening hours of the CCSS. The documentation will be delivered to the product provider by 09:00 on the following business day and, in the case of a product provider based outside the UK, by 09:00 on the third business day. Members should deposit renunciation forms at their CCSS site at the latest by 15:00 on the day before intended settlement date, although deposit at such a time would only give the product provider 4 hours on intended settlement date to process the documentation before the close of settlement at 13:00.

### **Product providers returning unit trust documents through the CCSS**

Product providers wishing to return unit trust documents through the CCSS must adhere to the packaging procedure set out below:

- separate unit trust documents from rejected deposit sets and certificates;
- sort and identify unit trust documents by the CCSS location and by Participant ID;
- use a separate security satchel for each Participant ID;
- pack the unit trust documents into one or more securely sealed security satchel(s);
- clearly label the security satchel(s) with the Participant ID;
- place the security satchel(s) into one or more security crate(s);
- complete a CCSS manifest<sup>14</sup> for each security crate detailing the number of security satchels for each Participant ID per security crate and place it together with the relevant satchel(s) in the security crate;
- make the securely sealed crate(s) available for collection by the CCSS Operator; and

<sup>13</sup> RES transactions for a security type of unit trust (UNO) will not be alleged to the CCSS. Consequently, CCSS Accept will never be performed on a unit trust RES transaction.

<sup>14</sup> See Appendix 7.

- follow such instructions relating to the packaging procedure and collection of unit trust documents as reasonably given by the CCSS Operator.

Product providers should, if necessary, contact the CCSS Operator at their local CCSS site to arrange for a collection.

**Product providers should not pack more than 50 items in a single security satchel.**

**Any use of the CCSS for the delivery of unit trust documents not packaged in accordance with the packaging procedure and recommended limit of items per security satchel will be at the sender's own risk.**

Once receipted into the London CCSS site, the CCSS Operator will reconcile the number of security satchels contained in each security crate with the number of satchels specified on the CCSS manifest in the same way as set out in Section 11 in respect of rejected deposit sets and certificates.

### **Members collecting unit trust documents from the CCSS sites**

The CCSS Operator makes security satchels containing unit trust documents available for collection by members in the same manner as rejected deposit sets and certificates (see Section 12 above).

### ***Section 15: Stock deposits for residual transactions***

The CCSS Operator will accept deposit sets for transactions where members have opted to use the residual stock transfer mechanism. This service is not a means of converting securities into uncertificated form, but is simply intended as a mechanism for a seller of uncertificated securities to deliver the certificates and the relevant form of transfer to the buyer or his agent.

**The service is used by members at their own risk.**

The procedures for residual deposits differ from procedures for depositing certificated stock described in Section 4 as shown below.

Members should complete **a separate CREST Deposit List** for residual deposits. The same format of the CREST Deposit List can be used for residual deposits as for stock deposits, and it will be processed in the same manner by the CCSS Operator but residual stock should not be included on the same deposit list as normal stock deposits. The CCSS does not undertake any form of scrutiny of the deposit sets.

The seller completes the appropriate stock transfer form as normal, and a CREST residual delivery docket which is a form to assist in the movement of the deposit set between CCSS sites or CREST members.

The CREST member annotates the CREST residual delivery docket with the Stock Deposit Reference Number (SDRN)<sup>15</sup> which is a concatenation of the Participant ID and CREST transaction reference allocated by the CREST member when the RES instruction was input (or split). The form allows for the SDRN to be bar-coded by the seller to reduce the risk of errors occurring. If the SDRN is not bar-coded by the depositing member then the CCSS will add the barcode (the depositing member will be charged the standard tariff as for bar-coding stock deposits).

Six additional boxes are present on the CREST residual delivery docket to facilitate CREST residual processing. These are the Broker ID, the firm name of the buyer and the seller and the CCSS location of the buyer and the seller. Normally a CREST member will have one Broker ID which will be the participant ID of their main membership: for LSE member firms, this is usually their member firm code. CREST members have been notified of their Broker ID as part of the CCSS procedures.

Stock should be deposited with the CCSS Operator at the latest by 15:00 on the day before intended settlement date. If accepted, the residual deposit will be available for collection by the buyer from 08:30 the next morning or if rejected by the CCSS, it will be available for collection by the seller from 08:30 the next morning. For the avoidance of doubt, members should be aware that CREST does not monitor the intended settlement date. CREST does not reject residual deposits received after that time.

<sup>15</sup> See Chapter 4

**Section 16: Deliveries to and from registrars and product providers outside the UK**

Due to location and logistics, deliveries to and from registrars located in the Republic of Ireland, Jersey, Guernsey and the Isle of Man ('non-UK registrars') and deliveries to and from product providers outside the UK are subject to an extended timetable. Deliveries to these locations will be completed up to a maximum of two days after the standard delivery times applicable to registrars and product providers based in the UK.

At the point of delivery, the CCSS Operator collects any items that are being returned to members and brokers by non-UK registrars or product providers outside the UK. If necessary, non-UK registrars and product providers can contact the CCSS Operator to arrange for collection.

Please refer to Chapter 3 for an overview of the applicable timetable.

**Section 17: Warranties of the member utilising the CCSS**

By delivering any documentation to EUI at a CCSS site, the depositing member authorises EUI (through the CCSS Operator) to deliver such documents as its agent to the relevant issuers, the issuers agent or other person to whom they are to be delivered, and agrees to be treated for all purposes as the person actually so delivering such documents.

The depositing member warrants, represents and undertakes to EUI that each form of transfer presented by or for it through the CCSS has been properly and validly executed (whether executed by the member or by any other person).

The depositing member acknowledges that the services provided by the CCSS do not include checking documents for accuracy or completeness and that EUI accepts no liability to the depositing member or any other person in respect of any documents attached to the CREST Deposit List which do not comprise part of a deposit set listed in the CREST Deposit List.

The depositing member warrants, represents and undertakes that the member will not convert or seek to convert any security held by it in certificated form if it is aware of any want of or defect in its title to such security. EUI shall have no responsibility, and shall have no duty, in respect of any inaccuracy or defect in, or omission from or in relation to, any such documentation as deposited with the CCSS from time to time.

**Section 18: EUI's liability for loss**

EUI's liability in connection with any facility or service provided by the CCSS is limited in the manner set out in the CREST Reference Manual.

**Members, registrars and product providers should not pack more than 50 items in a single package or security satchel.**

## Chapter 3: The CCSS timetable

The CCSS Operator agrees to provide the services in this Manual according to the following timetable (all times are local times<sup>16</sup>):

### Day 0

04:00	CCSS Accept Procedures enabled by CREST System Controller <sup>17</sup> .
08:30	All CCSS sites open for the receipt of deposit sets.  Packages containing rejected deposit sets and certificates received from registrars and security satchels containing returned legal documents from registrars are available for collection by members.  Packages containing unit trust documents received from product providers are available for collection by members.
14:00	All CCSS sites commence processing residual stock deposits.
15:00	All CCSS sites cease accepting deposit sets from members.  Packages containing rejected deposit sets and certificates received from registrars and security satchels containing returned legal documents from registrars cease to be available for collection.
16:00	The CCSS Operator requests from CREST the final file of stock deposit transactions that have been alleged to each of the CCSS sites. No further files of stock deposit transactions are requested from CREST after this time.
17:00	The CCSS Operator ceases the process of CCSS Accept and submits the final file of successfully accepted stock deposit transactions to CREST no later than 20:00 <sup>18</sup> .
After 18:00	Deposit sets, sorted by registrar and ISIN are delivered into the CCSS Operator's courier network for delivery to the registrars.

### Day 1

Before 09:00	Deposit sets are delivered to each registrar (excluding non-UK registrars <sup>19</sup> ) by no later than 09:00 on the business day following CCSS Accept. Legal documents are delivered to each registrar (excluding non-UK registrars) by no later than 09:00 on the business day following the day they were deposited.  Unit trust documents are delivered to product providers based in the UK by no later than 09:00 on the business day following the day they were deposited.
16:30-17:30	Packages containing rejected deposit sets and certificates, and security satchels containing returned legal documents are collected from registrars (excluding non-UK registrars).  Security satchels containing unit trust documents are collected from product providers based in the UK.

### Day 2

12:00	Deadline for the registration (or rejection) of CREST transfers received by registrars by 09:00 on Day 1.
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<sup>16</sup> Adherence to this timetable is dependent to some extent on external factors, such as volume of deposits and the ability of registrars to process documents in the time allowed.

<sup>17</sup> Diary event Number 403.

<sup>18</sup> Diary event Number 404.

<sup>19</sup> Non-UK Registrars are registrars located outside the UK in the Republic of Ireland, Jersey, Guernsey or the Isle of Man.

### Day 3

Before 09:00 Deposit sets are delivered to each non-UK registrar by no later than 09:00 on the third business day following CCSS Accept. Legal documents are delivered to each non-UK registrar by no later than 09:00 on the third business day following the day they were deposited.

Unit trust documents are delivered to product providers based outside the UK by no later than 09:00 on the third business day following the day they were deposited.

At the same time packages containing rejected deposit sets and certificates, and security satchels containing returned legal documents are collected from non-UK registrars; security satchels containing unit trust documents are collected from product providers outside the UK.<sup>20</sup>

### Day 4

12:00 Deadline for the registration (or rejection) of CREST transfers received by non-UK registrars by 09:00 on Day 3.

In exceptional circumstances the CCSS Operator, with the agreement of the CREST System Controller, may extend the operation of CCSS Accept beyond 20:00, to no later than 22:00. In these circumstances members will be informed by a Broadcast message and a Diary Update.

<sup>20</sup> If no delivery is due on the day, non-UK registrar and product providers based outside the UK can contact the CCSS Operator to arrange for collection.



## Chapter 4: Completion of the SDRN and bar-coding

### ***Section 1: The SDRN***

The SDRN is the sole means by which the CCSS Operator conducts CCSS Accept. It must be applied in the box marked SDRN on the top right hand corner of the CREST Transfer Form. The SDRN must be completed in the following way:

The first five characters of the SDRN must represent the Participant ID of the transferee cited on the CREST Transfer Form and on the stock deposit transaction. This will be the Participant ID into whose CREST account the stock will be credited.

The remaining sixteen characters must represent the exact Transaction Reference from the relevant stock deposit transaction. It must not contain the Transaction ID (or any other reference).

Firms who are applying this SDRN in manual form, must preferably type the reference very clearly in the SDRN box on top of the CREST Stock Transfer Form. The Participant ID and the Transaction Reference elements of the SDRN must be clearly separated. There is no need, when applying the reference manually, to pad the reference with trailing spaces.

Firms who are applying the SDRN in bar-coded format must pad any spare characters of the Participant ID or the Transaction Reference with the appropriate number of trailing spaces (not zeros or any other characters) to ensure that each bar-code represents the full 21 characters of the SDRN. For example, if a Participant ID is only 3 characters long, the next two characters should be padded with trailing spaces to make it 5 characters long. If the Transaction Reference is only 10 characters long an additional 6 trailing spaces must be bar-coded after the Transaction Reference to make it exactly 16 characters long.

Each stock deposit transaction must only relate to one deposit set.

All deposit sets which do not conform to the above instructions, will normally be rejected by the CCSS Operator.

### ***Section 2: Bar-coding of the SDRN***

Bar-codes must be printed using the Code 128 symbology. The narrowest bar width must be printed to a width of 8.3 mills as a minimum, and to an accuracy of plus or minus 2.82 mills. The maximum size of bar-code accepted will be 67 millimetres, excluding the quiet zones, to ensure that the code can be read using the majority of hand-held scanners. The minimum height of the bar-code must be 10 millimetres with the total height of the bar-code, including mandatory alpha-numeric characters, not exceeding 30 millimetres. The quiet zones must be a minimum of 3 millimetres.

## Appendix 1: The CCSS sites

<b>London</b>	TNT Business Solutions 13 Provost Street London N1 7NH
<b>Glasgow</b>	TNT Business Solutions 120 Fifty Pitches Road Cardonald Business Park Cardonald Glasgow G51 4EB
<b>Leeds</b>	TNT Business Solutions Gelderd Road Treefield Industrial Estate Gildersome Leeds LS27 7JU
<b>Dublin</b>	TNT Business Solutions 13/14 Harcourt Street Dublin 2 Eire
<b>EUI Client Contact Centre</b>	08459 645648 (in the UK) +44 20 7849 0199 (from Ireland)

## Appendix 2: Application form for Security ID Card

### Part A: Firm's Standing Details

Name of Firm Completing Form

Address of Firm Completing Form

Contact Name for Firm

Telephone Number for Firm

### Part B: CCSS Details

Access Control Swipe Cards

- |   |  |  |
|---|--|--|
| 1 | How many Access Control Cards do you require?<br>(Limited to three per firm)         | <input type="text"/>   |
| 2 | To which CCSS site will you send or lodge your deposits sets?<br>(Please circle one) | <input type="checkbox"/> London<br><input type="checkbox"/> Glasgow<br><input type="checkbox"/> Leeds<br><input type="checkbox"/> Dublin |
| 3 | Will you use the postal service?   | <input type="checkbox"/> Yes<br><input type="checkbox"/> No  |
| 4 | How do you wish your firm's name to appear on the card(s)?                           |  |

Broker ID

- |   |  |                      |
|---|--|----------------------|
| 5 | Which Broker ID(s) will be associated with your firm?<br><i>This should be your main participant ID.</i> | <input type="text"/> |
|---|--|----------------------|

*NB: Those firms who sponsor other firms who wish to utilise the CCSS directly should complete questions 1-5 for each of the appropriate sponsored members.*

### **Appendix 3: Security declaration**

The CCSS Operator requires each member holding a Security ID Card to sign a declaration concerning the procedures relating to the CCSS as set out in this Operations Manual. The CCSS Operator will write to all holders of Security ID Cards requiring them to sign such a declaration. Members who do not sign such a declaration will have their Security ID Cards disabled by the CCSS Operator.

The text of the declaration is as follows:

"To: TNT UK Limited ('TNT')

and

Euroclear UK & Ireland Limited ('EUI')

*In consideration of your allowing us to use the CREST Courier and Sorting Service ('CCSS') in connection with our participation in the CREST System and allowing us access to the premises from which the CCSS is to be provided ('the CCSS sites') we hereby undertake to observe and comply with and to procure that each of our employees and/or agents who uses the CCSS shall observe and comply with the security procedures from time to time prescribed by either of you and notified to us in relation to the use and operation of the CCSS (including, without limitation, the CCSS sites).*

*We acknowledge that a breach by us or our employees or agents of this undertaking may cause TNT to be in breach of its contractual arrangements with EUI in relation to the operation of the CCSS and that TNT may suffer loss or damage as a consequence thereof.*

Signed by

.....

For and on behalf of

Date: ....."

# Appendix 4a: CCSS rejection form – equities allotments and demats

CCSS SITE:			BROKER ID:	
------------	--	--	------------	--

The attached items have been rejected due to the following reason:

Not on the CREST system		
One or no deposit list		
Incorrect deposit set on list		
None or unreadable SDRN		
No participant ID preceding transaction reference		
Duplicate SDRNs on separate transfer forms		
Rejected by CREST		
Other reason:		

Rejected by:

SIGNED: \_\_\_\_\_ / / \_\_\_\_\_ / / \_\_\_\_\_

PRINT: \_\_\_\_\_

## Appendix 4b: CCSS rejection form – residuals and gilts

Quantity Rejected:

CCSS SITE:

BROKER ID:

Residual

CGO (Gilt)

Items deleted

Duplicate SDRN

None or unreadable SDRN

No deposit list

A: The stock deposit reference cannot be identified

B: The transaction identified is not a stock deposit

C: The transaction status does not indicate 'not completed'

D: The counter location does not match the Counter Location entered on the stock deposit of the depositor

E: The participant transaction status of the depositor does not indicate 'Fully input'

F: The participant transaction status of the CCSS does not indicate 'Alleged to you'

G: The depositor is not enabled

H: The ISIN is not enabled

J: The transaction identified is not a residual

K: Invalid participant transaction status

L: Not the buyer in this transaction

M: Depositor is not the seller of stock

N: Transaction is 'non-settling'

O: Other, the reason for not accepting the certified stock deposit  
does not match any of the reasons

SIGNED: \_\_\_\_\_

DATE: \_\_\_\_/\_\_\_\_/\_\_\_\_

PRINT: \_\_\_\_\_

SITE: \_\_\_\_\_

## Appendix 5: Draft registrars rejection docket

<b>CREST Rejection Docket</b>	Return to Counter Location (One of the boxes must be ticked)	Participant ID Transaction Reference No. (if available) Transferor's Name  Registrar's ID Registrar's Ref	<table border="1" style="width: 100%; height: 15px; margin-bottom: 5px;"> <tr> <td style="width: 20px;"></td> <td style="width: 20px;"></td> <td style="width: 20px;"></td> <td style="width: 20px;"></td> <td style="width: 20px;"></td> </tr> </table> <table border="1" style="width: 100%; height: 15px; margin-bottom: 5px;"> <tr> <td style="width: 15px;"></td> <td style="width: 15px;"></td> <td style="width: 15px;"></td> <td style="width: 15px;"></td> <td style="width: 15px;"></td> <td style="width: 15px;"></td> <td style="width: 15px;"></td> <td style="width: 15px;"></td> <td style="width: 15px;"></td> <td style="width: 15px;"></td> <td style="width: 15px;"></td> <td style="width: 15px;"></td> <td style="width: 15px;"></td> <td style="width: 15px;"></td> <td style="width: 15px;"></td> <td style="width: 15px;"></td> <td style="width: 15px;"></td> <td style="width: 15px;"></td> </tr> </table> <div style="border: 1px solid black; width: 100%; height: 60px; margin-bottom: 5px;"></div> <table border="1" style="width: 100%; height: 15px;"> <tr> <td style="width: 20px;"></td> <td style="width: 20px;"></td> <td style="width: 20px;"></td> <td style="width: 20px;"></td> <td style="width: 20px;"></td> </tr> </table>																												
<input type="checkbox"/> London <input type="checkbox"/> Leeds <input type="checkbox"/> Glasgow <input type="checkbox"/> Dublin <input type="checkbox"/> Unknown																															

Above this line for Registrar's use

Reason for rejection (one of the boxes must be ticked)

- Invalid Data.
- Credit Stop. The Registrar cannot transfer the stock into the name of the transferee/participant due to a court order.
- Debit Stop. The Registrar cannot transfer the stock out of the name of the transferor(s) due to a court order.
- Insufficient stock in the transferor's holding.
- Cannot locate transferor
- Invalid security. The security code quoted has become garbled or the Registrar does not maintain that security.
- Transferee participant cannot be registered because its details have been incorrectly stated.
- Invalid units of transfer.
- Covering certificate(s) reported lost. Shareholder to confirm stop on certificate(s) can be removed.
- Indemnity issued and duplicate certificate issued against certificate(s) delivered.
- Confirmation of Transferor's name required.
- Words and figures for stock deposit do not agree.
- Signature of registered holders required.



- Stamp of lodging agent required.
- Representative capacities of persons signing not shown.
- Alterations not initialled by lodging agent.
- Grant of Representation/Power of Attorney/Articles required.
- The reason for bad delivery does not match any of the above

Clarification of a reason above

## Appendix 6: The CCSS and Dematerialisation Request Forms


The standard means for dematerialising holdings of securities into CREST is to send the certificates with a completed Dematerialisation Request Form direct to the appropriate registrar. The member will not input a stock deposit transaction into CREST. The registrar normally processes the Dematerialisation Request Form within five business days of receipt. It is possible by prior arrangement to use TNT UK Ltd to deliver the certificates to registrars for dematerialisation by delivering the Dematerialisation Request Forms and certificates to one of the CCSS sites, but TNT does not undertake any validation nor perform CCSS Accept on the forms. TNT act purely as a courier and invoice the member direct for using this service.

There may be circumstances where stock needs to be deposited into CREST for settling an onward delivery with no change of owner (for example, where a member holds certificates in the name of the nominee it is using as its main settlement account in CREST). In this case, Dematerialisation Request Forms are used as part of a deposit set. The member inputs a stock deposit transaction (ASDN) and generates an SDRN for the deposit set. The stock deposit transaction can be linked to a delivery (ADVN) in CREST.

The Dematerialisation Request Form and certificates should be delivered to a CCSS site in the same way as other deposit sets. At the CCSS site the Dematerialisation Form is receipted, processed and distributed to the appropriate registrar according to the procedures set out in this Manual. Processing of these deposits by Registrars is subject to the 27-hour standard for deposit sets. To avoid imposing pressures on registrars which would affect the quality of service they are able to deliver, Dematerialisation Request Forms should be delivered through the stock deposit mechanism *only* where the stock is needed in CREST to settle an onward delivery.


# Appendix 7: CCSS Manifest

Page 1 of 1



## CCSS Manifest

Registrar Name: \_\_\_\_\_



Broker Code	No. Sent	No. Recd	Broker Code	No. Sent	No. Recd	Broker Code	No. Sent	No. Recd	Broker Code	No. Sent	No. Recd
<b>LONDON</b>			546			GSMAY					
ØØ2			558			JAØ1					
Ø1ØA			573			JEMAY					
Ø34			592			JFQQAQ					
Ø37			5IKAV			KAS					
Ø7Ø			5GQQAQ			KB1A1					
Ø77			5HQQAQ			KDUAA			<b>GLASGOW</b>		
Ø86			5KKAV			LHQAQ			Ø92		
Ø8XJE			6ØØ			LNKAV			113Ø1		
Ø92			6Ø1			MOMAY			312		
ØØXJN			614			NOKAV			5Ø7Ø1		
ØØXKD			635			NOMAY			695		
Ø8XKE			648			OAMAY			895		
Ø8XMR			686			OOKAV			1GØ1A		
ØØXNT			698			OMMAY			BDLØ1		
ØMMAY			69XHN			OMUAA			CHQAQ		
ØLQAQ			6DKAV			<b>OTHER LONDON BROKERS</b>			ELØ1Ø		
118			7Ø9						<b>OTHER GLASGOW BROKERS</b>		
142			716								
142GW			742								
16Ø			7722								
1AQQAQ			784								
1GMAY			7SMAY								
1HQAQ			8ØØ								
1QMAY			8Ø1								
2Ø1			8Ø5								
211Ø1			82XØ1								
221			827			<b>LEEDS</b>					
22XKF			82XHN			ØØXJX			<b>DUBLIN</b>		
24Ø			834			Ø19			117		
245			842			Ø67			13Ø		
249			871			Ø91			2Ø8		
252			872			Ø97			432		
256			873			173			636		
269			8HQQAQ			277			686		
282			9ØØ			336XX			989		
284A			9FMAY			338			BAØ1F		
294			AAØ11			33X24			KPKAV		
2AMAY			ADQAQ			384			MRKAV		
2HMAY			AKØ1			427			<b>OTHER DUBLIN BROKERS</b>		
2PKAV			ATMAY			591					
3Ø3			BHØ1			6Ø1					
3Ø7			BPØ1			612					
331			BS11Ø			671					
335			BTØ1C			762					
352			CEDEL			789					
382			CCX15			4GQQAQ					
393			CHKAV			BØØ1					
3GMAY			CIØ1			DPØ1					
3NKAV			DDQAQ			NNKAV					
4ØXCQ			DLØ1A			<b>OTHER LEEDS BROKERS</b>					
446			DRMAY								
5ØX23			EMMAY								
534Ø1			EXXLM								
5417			FFOAD								
<b>Registrar to Complete:</b>											
This tub sealed with 2 tags numbered :											
Total Envelopes Despatched											
Consignment Prepared By (Name)											
Consignment Prepared By (Sign)											
Contact Telephone Number											
Email Address for return of acquitted manifest											
Consignment Despatch Date:											
<b>CCSS to Complete:</b>											
Seals intact upon receipt (Y/N - if N raise security inquiry)											
Total Envelopes Received											
Consignment Received By (Name):											
Consignment Received By (Sign)											
Consignment Received Date:											



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