



# **Treasury and Investment Banking Services**

## **External Services**



## 1. Brokering / Distribution of Peso-Denominated Corporate Bonds or LBP Issues in the Primary Market

Purchase of Peso-denominated Corporate Bonds and LBP issues in the Primary Market.

<b>Office or Division:</b>	Treasury Brokering and Marketing Unit (TBMU)
<b>Classification:</b>	Highly Technical
<b>Type of Transaction:</b>	G2C - Government to Citizen; G2B - Government to Business; G2G - Government to Government
<b>Who may avail:</b>	Eligible Investors, All Government Agencies, Individual and Institutional
<b>CHECKLIST OF REQUIREMENTS</b>	<b>WHERE TO SECURE</b>
<p>Valid photo bearing government-issued ID of the individual investor/s or of all authorized signatories for institutional clients (2 photocopies)</p> <p>and/or</p> <p>Updated and valid Tax Exemption Certificate/BIR Ruling for institutional accounts claiming tax exemption (1 certified true copy)*</p> <p><i>*Note: Subject to Issuer's approval.</i></p>	<p>Any government agency issuing identification cards</p> <p>Bureau of Internal Revenue (BIR)</p>
<p>Properly accomplished forms, signature verified by LBP Branch</p> <p><b>Individual</b></p> <ul style="list-style-type: none"> <li>✓ Client Agreement (1 original copy)</li> <li>✓ Data Privacy Consent Form for Investors (1 original copy)</li> <li>✓ Risk Disclosure Statement (1 original copy)</li> <li>✓ Acknowledgement to Invest in Specific Instruments (if applicable) (1 original copy)</li> <li>✓ Order Ticket (1 original copy)</li> <li>✓ Client Suitability Assessment (CSA) (1 original copy)</li> </ul>	<p>LBP Branch – New Accounts or TBMU Treasury Sales Specialist/Officer</p>



# LANDBANK

CHECKLIST OF REQUIREMENTS		WHERE TO SECURE		
<b>Institutional</b> Above plus: <ul style="list-style-type: none"> <li>✓ Board Resolution or Secretary's Certificate authorizing the purchase of security, signature verified by LBP Branch (1 original copy)</li> <li>✓ Such other documents as may be reasonably required by any of the Underwriters or the Registrar</li> </ul>		Client		
<b>All Investors:</b> <ul style="list-style-type: none"> <li>✓ Application to Purchase (ATP) (3 original copies)</li> <li>✓ Registry Paying Agent (RPA) Specimen Signature Sheet (2 original copies)</li> <li>✓ Other documents required by Issuer (1 original copy)</li> </ul>		Underwriter / Selling Agent – Distribution Unit		
Updated / Active LBP Deposit Account <i>Note: LBP Account with Branch Code 500 are not allowed.</i>		Any LBP Branch – New Accounts		
Authority to Debit/Credit Account (ADCA) (1 original copy)*; or  Local/Manager's Check or cash for placement (if applicable)  <i>*Waived if payment instruction is already covered in the Order Ticket</i>		LBP Branch – New Accounts  Client		
CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
1. Visit or call any LBP Branch – New Accounts to inquire on Treasury Products; inquiry may also be done via e-mail at <a href="mailto:customercare@mail.landbank.com">customercare@mail.landbank.com</a> )	1.1 Attend to customer concern; conduct Know-Your-Customer (KYC) procedures; provide overview of Treasury Products	None	1 Hour	Head / Branch Operations Officer (BOO) / Branch Service Officer (BSO) LBP Branch



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CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
None	1.2 Conduct CSA to determine the client's risk profile and the investment product appropriate for client's profile	None		<i>Licensed Salesmen Branch Personnel/ Treasury Sales Personnel TBMU</i>
2. Submit the commitment form to the LBP Branch – New Accounts	2.1 Submit volume bid to respective Underwriter/ Selling Agent and wait for LBP's awarded volume on the Allocation Advice date	None	20 Minutes	<i>Head / BOO / BSO LBP Branch  or  Head TBMU</i>
None	2.2 Inform client of the allocation advice	None		
3. Submit duly accomplished Treasury Investment documents to the LBP Branch of account – New Accounts	3.1 Process the investor's placement	PHP 100 account opening fee [Long Term Negotiable Certificate s of Time Deposit (LTNCD) only]	25 Minutes	<i>Teller (if paid through cash/check)  CA/SA Bookkeeper (if through debit from account),  LBP Branch</i>



## LANDBANK

<b>CLIENT STEPS</b>	<b>AGENCY ACTIONS</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON RESPONSIBLE</b>
	3.2 Provide client with a copy of the Order Ticket or machine validated Order Ticket/ Deposit Slip/ ADCA	None	15 Minutes	<i>BSO/BOO/BH, LBP Branch</i>
None	3.3 Submit original copy of ATP, other documents required by Issuer, if any, and sales report to TBMU	None	3 Banking Days	<i>Executive Assistant LBP Branch</i>
None	3.4 Prepare consolidated sales report based from original ATP, other registry-required documents, and sales report received from the Branch	None	1 Banking Day	<i>Treasury Sales Personnel TBMU</i>
None	3.5 Submit original copies of the ATP, other registry-required documents, and consolidated sales report to Selling Agent	None	2 Banking Days (Last day of offer period)	<i>Treasury Sales Personnel TBMU</i>



# LANDBANK

<b>CLIENT STEPS</b>	<b>AGENCY ACTIONS</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON RESPONSIBLE</b>
4. Wait for branch's advise on the availability of the Purchase Advice – from LBP Branch of account – New Accounts Personnel <i>(for LTNCD only)</i>	4.1 Send Purchase Advice (for <b>LTNCD</b> only) to concerned LBP Branches	None	10 Banking Days (from receipt of Final Sales Report from TBMU)	<i>Treasury Operations Department (TOD) Personnel TOD</i>
None	4.2 Deliver or advise investor to pick up the Purchase Advice	None	30 Minutes	<i>Head / BOO / BSO/ New Accounts LBP Branch</i>
	<b>TOTAL</b>	<b>PHP 100 account opening fee (LTNCD only)</b>	<b>16 Banking Days, 2 Hours, 30 Minutes</b>	



## 2. Brokering / Distribution of Peso-Denominated Corporate Bonds or LBP Issues in the Secondary Market (Purchase)

Purchase of peso-denominated Corporate Bonds and LBP Issues in the Secondary Market

<b>Office or Division:</b>	Treasury Brokering and Marketing Unit (TBMU)	
<b>Classification:</b>	Highly Technical	
<b>Type of Transaction:</b>	G2C - Government to Citizen; G2B - Government to Business; G2G - Government to Government	
<b>Who may avail:</b>	Eligible Investors, All Government Agencies, Individual and Institutional	
<b>CHECKLIST OF REQUIREMENTS</b>	<b>WHERE TO SECURE</b>	
Valid photo bearing government-issued ID of the individual investor/s or of all authorized signatories for institutional clients (2 photocopies)	Any government agency issuing identification cards	
Properly accomplished forms, signature verified by LBP Branch: <b>Individual</b> <ul style="list-style-type: none"> <li>✓ Order Ticket (1 original copy)</li> <li>✓ Client Agreement (1 original copy)</li> <li>✓ Data Privacy Consent Form for Investors (1 original copy)</li> <li>✓ Risk Disclosure Statement (1 original copy)</li> <li>✓ Acknowledgement to Invest in Specific Instruments (if applicable) (1 original copy)</li> <li>✓ Client Suitability Assessment (CSA) (1 original copy)</li> </ul>	LBP Branch – New Accounts or TBMU Treasury Sales Specialist/Officer	
<b>Institutional</b> Above plus: <ul style="list-style-type: none"> <li>✓ Board Resolution or Secretary's Certificate authorizing the purchase of security, signature verified by LBP Branch (1 original copy)</li> </ul>	Client	



# LANDBANK

CHECKLIST OF REQUIREMENTS		WHERE TO SECURE		
<b>All Investors:</b> <ul style="list-style-type: none"> <li>✓ Investor Registration Form (1 original copy)</li> <li>✓ Registry Paying Agent (RPA) Specimen Signature Sheet (2 original copies)</li> <li>✓ Other documents required by Issuer</li> </ul>		Registry Paying Agent (RPA) – Philippine Depository and Trust Corporation (PDTCC) ADCU Team		
Updated / Active LBP Deposit Account  <i>Note: LBP Account with Branch Code 500 are not allowed.</i>		Any LBP Branch – New Accounts		
Authority to Debit/Credit Account (ADCA) (1 original copy)*; or  Local/Manager's Check or cash for placement (if applicable)  <i>*Waived if payment instruction is already covered in the Order Ticket</i>		LBP Branch – New Accounts   Client		
CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
1. Visit or call any LBP Branch – New Accounts to inquire on Treasury Products; inquiry may also be done via e-mail at <a href="mailto:customercare@mail.landbank.com">customercare@mail.landbank.com</a> )	1.1 Attend to customer concern; conduct Know-Your-Customer (KYC) procedures; provide overview of Treasury Products	None	1 Hour	Head / Branch Operations Officer (BOO) / Branch Service Officer (BSO) LBP Branch
None	1.2 Conduct CSA to determine the client's risk profile and the investment product appropriate for client's profile	None		Licensed Salesmen Branch  Personnel/Treasury Sales Personnel TBMU





# LANDBANK

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
2. Submit duly accomplished Treasury Investment documents to the LBP Branch of account – New Accounts	2.1 Process the investor's order; endorse to TBMU	See <b>Annex Y</b> below	3 Banking Days, 25 Minutes	<i>Teller (if paid through cash/check) CA/SA Bookkeeper (if through debit from account), Executive Assistant LBP Branch</i>
None	2.2 Endorse duly signed investment documents to Treasury Operations Department (TOD) for transmittal to PDTC, subject for latter's review and processing	None	3 Banking Days	<i>Treasury Sales Personnel TBMU  and  TOD Personnel TOD</i>
None	2.3 Receive confirmation with RPA (clearance to execute purchase transaction)	None	1 Banking Day	<i>Treasury Sales Personnel TBMU</i>
3. Confirm purchase of security with LBP Branch – New Accounts or with the assigned Treasury Personnel	3.1 Purchase client's preferred security	See <b>Annex Z</b> below	1 Banking Day	<i>Treasury Sales Personnel TBMU</i>



## LANDBANK

<b>CLIENT STEPS</b>	<b>AGENCY ACTIONS</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON RESPONSIBLE</b>
None	3.2 Provide client with a copy of the Order Ticket or machine validated Order Ticket/ Deposit Slip/ ADCA	None	15 Minutes	<i>BSO/BOO/BH, LBP Branch</i>
	<b>TOTAL</b>	<b>See Annex Y below + See Annex Z below</b>	<b>8 Banking Days, 1 Hour, 40 Minutes</b>	



*Annex Y*

**Account Opening Fee / Trade Transfer Fee**

**For LTNCD**

PHP 100  
account opening fee  
+  
PHP 100 trade transfer fee

**For Corporate Bond**

PHP 100  
account opening fee  
+  
PHP 100 trade transfer fee



**Annex Z**

### **Fee Schedule – Brokering / Placement**

#### **Broker's fee:**

Face value x 0.001 x Term / 360 or PHP200, whichever is higher  
(for securities with tenor of 360 days or less)

Face value x 0.001 or PHP 200, whichever is higher  
(for securities with tenor of more than 1 year)

#### **Philippine Dealing Exchange Mapping fee:**

Face value x 0.000025 x Term / 365  
(for securities with tenor of 365 days or less)

Face value x 0.000025  
(for securities with tenor of more than 1 year)

#### **Uplift Fee:**

Face value x 0.00001 or PHP 100, whichever is lower



### 3. **Brokering / Distribution of Peso-Denominated Corporate Bonds or LBP Issues in the Secondary Market (Sale)**

Sale of Peso-denominated Corporate Bonds and LBP Issues in the Secondary Market

<b>Office or Division:</b>	Treasury Brokering and Marketing Unit (TBMU)	
<b>Classification:</b>	Complex	
<b>Type of Transaction:</b>	G2C - Government to Citizen; G2B - Government to Business; G2G - Government to Government	
<b>Who may avail:</b>	Eligible Investors, All Government Agencies, Individual and Institutional	
<b>CHECKLIST OF REQUIREMENTS</b>		<b>WHERE TO SECURE</b>
Order Ticket (1 original copy)		LBP Branch – New Accounts or TBMU Treasury Sales Specialist/Officer
<ul style="list-style-type: none"> <li>✓ Registry Trade-Related Transfer Form (2 original copies)</li> <li>✓ Other documents required by Issuer (1 original copy)</li> </ul>		Registry Paying Agent (RPA) – Philippine Depository and Trust Corporation (PDTCC) ADCU Team
Valid photo bearing government-issued ID of the individual investor/s or of all authorized signatories for institutional clients (2 photocopies)		Any government agency issuing identification cards
<ul style="list-style-type: none"> <li>✓ Client’s Letter Request (1 original copy)</li> <li>✓ Registry Confirmation (RC) (1 original copy)</li> <li>✓ Notarized Affidavit of Loss, in case of loss RC (1 original copy)</li> </ul> <p><b>Institutional Client,</b> Above plus:</p> <ul style="list-style-type: none"> <li>✓ Board Resolution or Secretary’s Certificate authorizing the sale, signature verified by LBP Branch (1 original copy)</li> </ul>		Client



## LANDBANK

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
1. Submit client's letter request and RPA- required documents to the LBP Servicing Branch	1.1 Process the investor's order to sell security; endorse to TBMU	PHP 100 trade transfer fee	3 Banking Days, 25 Minutes	<i>Teller / Bookkeeper / New Accounts Clerk/ Head / Branch Operations Officer (BOO) / Branch Service Officer (BSO) LBP Branch</i>
None	1.2 Endorse duly signed documents and transmit to PDTC for review and processing	None	3 Banking Days	<i>Treasury Sales Personnel TBMU</i>  <i>and</i> <i>TOD Personnel TOD</i>
None	1.3 Receive confirmation with RPA (clearance to execute sale transaction)	None	1 Banking Day	<i>Treasury Sales Personnel TBMU</i>
2. Confirm sale of security to the LBP Branch – New Accounts or to the assigned Treasury Sales Personnel	2.1 Sell client's security	See <b><i>Annex AA</i></b> below	1 Banking Day	<i>Treasury Sales Personnel TBMU</i>
3. Wait for the crediting of proceeds to the LBP Depositor's Account	3.1 Transfer net proceeds for the sale of securities thru IBTOLS to the LBP Servicing Branch and facilitate release to Investor	None	1 Banking Day (one day after the trade date)	<i>TOD Personnel TOD</i>  <i>and</i> <i>Bookkeeper / Head / BOO / BSO LBP Branch</i>



# LANDBANK

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
	<b>TOTAL</b>	PHP 100 trade transfer fee + See <i>Annex AA</i> below	9 Banking Days, 25 Minutes	



*Annex AA*

### **Fee Schedule – Brokering / Placement**

#### **Broker's fee:**

Face value x 0.001 x Term / 360 or PHP 200, whichever is higher  
(for securities with tenor of 360 days or less)

Face value x 0.001 or PHP 200, whichever is higher  
(for securities with tenor of more than 1 year)

#### **Philippine Dealing Exchange Mapping fee:**

Face value x 0.000025 x Term/365  
(for securities with tenor of 365 days or less)

Face value x 0.000025  
(for securities with tenor of more than 1 year)





#### 4. **Brokering / Distribution of Peso-Denominated Government Securities (GS) – Retail Treasury Bonds (RTBs) in the Primary Market**

Purchase of Peso-denominated RTBs in the Primary Market

<b>Office or Division:</b>	Treasury Brokering and Marketing Unit (TBMU)	
<b>Classification:</b>	Complex	
<b>Type of Transaction:</b>	G2C - Government to Citizen; G2B - Government to Business; G2G - Government to Government	
<b>Who may avail:</b>	Eligible Investors, All Government Agencies, Individual and Institutional	
<b>CHECKLIST OF REQUIREMENTS</b>	<b>WHERE TO SECURE</b>	
<p>Valid photo bearing government-issued ID of the individual investor/s or of all authorized signatories for institutional clients (2 photocopies)</p> <p>and/or</p> <p>Updated and valid Tax Exemption Certificate/BIR Ruling for institutional accounts claiming tax exemption (1 certified true copy)*</p> <p><i>*Note: Subject to Issuer's approval.</i></p>	<p>Any government agency issuing identification cards</p> <p>Bureau of Internal Revenue (BIR)</p>	
<p>Properly accomplished forms, signature verified by LBP Branch:</p> <p><b>Individual</b></p> <ul style="list-style-type: none"> <li>✓ Order Ticket (1 original copy)</li> <li>✓ Client Agreement (1 original copy)</li> <li>✓ Data Privacy Consent Form for Investors (1 original copy)</li> <li>✓ Risk Disclosure Statement (1 original copy)</li> <li>✓ Acknowledgement to Invest in Specific Instruments (if applicable) (1 original copy)</li> <li>✓ Investor's Undertaking (notarized) (1 original copy)</li> <li>✓ Authorization (1 original copy)</li> </ul>	<p>LBP Branch – New Accounts / TBMU Treasury Sales Specialist/Officer</p>	



**LANDBANK**

CHECKLIST OF REQUIREMENTS		WHERE TO SECURE		
<p>✓ Client Suitability Assessment (CSA) (1 original copy)**</p> <p><i>**Note: Waived for clients investing in plain vanilla peso-denominated Government Security with remaining tenors of up to seven (7) years.</i></p> <p><b>Institutional</b> Above plus: Board Resolution or Secretary's Certificate authorizing the purchase of security, signature verified by LBP Branch (1 original copy)</p>		Client		
<p>Updated / Active LBP Deposit Account</p> <p><i>Note: LBP Account with Branch Code 500 are not allowed.</i></p>		Any LBP Branch – New Accounts		
<p>Authority to Debit/Credit Account (ADCA) (1 original copy)*; or</p> <p>Local/Manager's Check or cash for placement (if applicable)</p> <p><i>*Waived if payment instruction is already covered in the Order Ticket</i></p>		LBP Branch – New Accounts		
<p>Local/Manager's Check or cash for placement (if applicable)</p>		Client		
CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
<p>1. Visit or call any LBP Branch – New Accounts to inquire on Treasury Products; inquiry may also be done via e-mail at <a href="mailto:customercare@mail.landbank.com">customercare@mail.landbank.com</a>)</p>	<p>1.1 Attend to customer concern; conduct Know-Your-Customer (KYC) procedures; provide overview of Treasury Products and provide checklist of requirements</p>	None	1 Hour	<p>Head / Branch Operations Officer (BOO) / Branch Service Officer (BSO) LBP Branch</p>



## LANDBANK

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
None	1.2 Conduct CSA to determine the client's risk profile and the investment product	None		<i>Licensed Salesmen Branch Personnel/Treasury Sales Personnel TBMU</i>
2. Submit duly accomplished Treasury Investment documents to the LBP Branch of account – New Accounts	2.1 Process the investor's placement	None	40 Minutes	<i>Teller (if paid through cash/check) CA/SA Bookkeeper (if through debit from account), BSO/BOO/BH, LBP Branch</i>
	2.2 Provide client with a copy of the Acknowledgment Receipt, Order Ticket, or machine-validated Order Ticket/ Deposit Slip/ ADCA	None		
3. Wait for the branch's advice on the availability of the Confirmation of Sale (COS)  <i>Note: The COS will be available after the issue date.</i>	3.1 Send COS to the concerned LBP Branches	None	22 Banking Days (within 20 Banking Days after issue date)	<i>TOD Personnel TOD</i>
	3.2 Deliver or advise investor to pick up the COS	None	30 Minutes	<i>Head / BOO / BSO/ New Accounts LBP Branch</i>
	<b>TOTAL</b>	<b>None</b>	<b>22 Banking Days, 2 Hours, 10 Minutes</b>	



**5. Brokering / Distribution of Peso-Denominated Government Securities – Treasury Bills (T-Bills), Retail Treasury Bonds (RTBs) and Fixed Rate Treasury Notes (FXTNs) in the Primary Market**

Purchase of T-Bills, RTBs and FXTNs in the Primary Market

<b>Office or Division:</b>	Treasury Brokering and Marketing Unit (TBMU)			
<b>Classification:</b>	Simple			
<b>Type of Transaction:</b>	G2B - Government to Business; G2G - Government to Government			
<b>Who may avail:</b>	Eligible Investors, All Government Agencies and Institutional (QIB Investor)			
<b>CHECKLIST OF REQUIREMENTS</b>		<b>WHERE TO SECURE</b>		
Bid-Thru Order / Letter of Intent to participate in Auction  <i>Note: Limited to Qualified Buyers only (Individual or Institutional with existing LBP deposit account)</i>		LBP Branch of Account – New Accounts or TBMU Treasury Sales Specialist/Officer		
Authority to Debit/Credit Account (ADCA) (1 original copy)*  or  Local/Manager's Check or cash for placement (if applicable)  <i>*Waived if payment instruction is already covered in the Order Ticket</i>		LBP Branch – New Accounts  Client		
<b>CLIENT STEPS</b>	<b>AGENCY ACTIONS</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON RESPONSIBLE</b>
1. Submit duly accomplished Investor's documents (Bid thru order only, if existing investor) to the LBP Branch – New Accounts or to TBMU	1.1 Submit consolidated orders to Capital Markets Trading Department (CMTD)	None	2 Hours	<i>Head / Branch Operations Officer (BOO) / Branch Service Officer (BSO) / New Accounts Clerk / Bookkeeper LBP Branch</i>  Or  <i>Treasury Sales Personnel TBMU</i>



## LANDBANK

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
None	1.2 Submit order to the Bureau of Treasury	None	2 Hours	<i>Treasury Personnel / Trader</i> CMTD
None	1.3 Send auction results to TBMU	None	1 Hour	<i>Treasury Personnel / Trader</i> CMTD
None	1.4 Inform Branch or investor on auction result	None	10 Minutes	<i>Treasury Sales Personnel</i> TBMU
2. Confirm purchase of security	2.1 Purchase client's security	Bid Thru Fee: Face Value x 0.001	1 Banking Day	<i>Treasury Sales Personnel</i> TBMU
	<b>TOTAL</b>	<b>Bid Thru Fee: Face value x 0.001</b>	<b>1 Banking Day, 5 Hours, 10 Minutes</b>	



**6. Brokering / Distribution of Peso-Denominated Government Securities (GS) – Treasury Bills (T-Bills), Retail Treasury Bonds (RTBs) and Fixed Rate Treasury Notes (FXTNs) in the Secondary Market (Purchase)**

Purchase of T-Bills, RTBs and FXTNs in the Secondary Market

<b>Office or Division:</b>	Treasury Brokering and Marketing Unit (TBMU)	
<b>Classification:</b>	Highly Technical	
<b>Type of Transaction:</b>	G2C - Government to Citizen; G2B - Government to Business; G2G - Government to Government	
<b>Who may avail:</b>	Eligible Investors, All Government Agencies, Individual and Institutional	
<b>CHECKLIST OF REQUIREMENTS</b>	<b>WHERE TO SECURE</b>	
Valid photo bearing government-issued ID of the individual investor/s or of all authorized signatories for institutional clients (1 photocopy)	Any government agency issuing identification cards	
Properly accomplished forms, signature verified by LBP Branch: <b>Individual</b> <ul style="list-style-type: none"> <li>✓ Order Ticket (1 original copy)</li> <li>✓ Client Agreement (1 original copy)</li> <li>✓ Data Privacy Consent Form for Investors (1 original copy)</li> <li>✓ Risk Disclosure Statement (1 original copy)</li> <li>✓ Acknowledgement to Invest in Specific Instruments (if applicable) (1 original copy)</li> <li>✓ Investor's Undertaking (notarized) (1 original copy)</li> <li>✓ Notarized Special Power of Attorney (1 original copy)</li> <li>✓ Client Suitability Assessment (1 original copy)**</li> </ul> <p><i>**Note: Waived for clients investing in plain vanilla peso-denominated GS with remaining tenors of up to seven (7) years.</i></p>	LBP Branch of Account – New Accounts or TBMU Treasury Sales Specialist/Officer	



# LANDBANK

CHECKLIST OF REQUIREMENTS		WHERE TO SECURE		
<b>Institutional</b> Above plus: ✓ Board Resolution or Secretary's Certificate authorizing the purchase of security, signature verified by LBP Branch (1 original copy)		Client		
Updated / Active LBP Deposit Account  <i>Note: LBP Account with Branch Code 500 are not allowed.</i>		Any LBP Branch – New Accounts		
Authority to Debit/Credit Account (ADCA) (1 original copy)  or  Local/Manager's Check or cash for placement (if applicable)		LBP Branch – New Accounts    Client		
CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
1. Visit or call any LBP Branch – New Accounts to inquire on Treasury Products; inquiry may also be done via e-mail at <a href="mailto:customercare@mail.landbank.com">customercare@mail.landbank.com</a> )	1.1 Attend to customer concern; conduct Know-Your-Customer (KYC) procedures; provide overview of Treasury Products and provide checklist of requirements	None	1 Hour	Head / Branch Operations Officer (BOO) / Branch Service Officer (BSO) LBP Branch
None	1.2 Conduct CSA to determine the client's risk profile and the investment product	None		Licensed Salesmen Branch  Personnel/Treasury Sales Personnel TBMU



## LANDBANK

<b>CLIENT STEPS</b>	<b>AGENCY ACTIONS</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON RESPONSIBLE</b>
2. Submit duly accomplished Treasury Investment documents to the LBP Branch – New Accounts	2.1 Accept and coordinate the investor's placement with TBMU	None	20 Minutes	<i>Head / BOO / BSO</i> LBP Branch
3. Confirm purchase of security	3.1 Purchase client 's security	See <b>Annex AA</b> on page H-16	1 Banking Day	<i>Treasury Sales Personnel</i> TBMU
4. Wait for the confirmation of done transaction	4.1 Inform client on the details of done transactions	None	55 Minutes	<i>Head / BOO / BSO</i>  <i>Teller (if paid through cash/check)</i>
None	4.2 Credit the payment and provide client with a copy of the Order Ticket, or machine-validated Order Ticket/ Deposit Slip/ ADCA	None		<i>CA/SA Bookkeeper (if through debit from account)</i>  LBP Branch
5. Wait for the branch's advise on the availability of the Confirmation of Sale (COS)	5.1 Send COS to the concerned LBP Branches	None	6 Banking Days	<i>Treasury Operations Department (TOD) Personnel</i> TOD
	5.2 Deliver or advise investor to pick up the COS	None	30 Minutes	<i>Head / BOO / BSO/</i> <i>New Accounts</i> LBP Branch





# LANDBANK

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
	TOTAL	See Annex AA on page H-16	7 Banking Days, 2 Hours 45 Minutes	



**7. Brokering / Distribution of Peso-Denominated Government Securities (GS) – Treasury Bills (T-Bills), Retail Treasury Bonds (RTBs) and Fixed Rate Treasury Notes (FXTNs) in the Secondary Market (Sale)**

Sale of T-Bills, RTBs and FXTNs in the Secondary Market

<b>Office or Division:</b>	Treasury Brokering and Marketing Unit (TBMU)			
<b>Classification:</b>	Complex			
<b>Type of Transaction:</b>	G2C - Government to Citizen; G2B - Government to Business; G2G - Government to Government			
<b>Who may avail:</b>	Eligible Investors, All Government Agencies, Individual and Institutional			
<b>CHECKLIST OF REQUIREMENTS</b>		<b>WHERE TO SECURE</b>		
Valid photo bearing government-issued ID of the individual investor/s or of all authorized signatories for institutional clients (1 photocopy)		Any government agency issuing identification cards		
Client's Letter Request (1 original copy) Order Ticket (1 original copy)		Client		
Confirmation of Sale (COS)/ Affidavit of Loss in case of lost COS (1 original copy for full sale) (1 certified true copy if partial sale)		Client		
<b>Institutional Client</b> Above plus: Board Resolution or Secretary Certificate authorizing the sale (signature verified by LBP Branch) (1 original copy)		Client		
Updated / Active LBP Deposit Account <i>Note: LBP Account with Branch Code 500 are not allowed.</i>		Any LBP Branch – New Accounts		
<b>CLIENT STEPS</b>	<b>AGENCY ACTIONS</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON RESPONSIBLE</b>
1. Submit duly accomplished client letter-request to sell addressed to LBP Branch – New Accounts and other required documents	1.1 Accept and process the investor's order to sell security; endorse to TBMU	None	3 Banking Day, 25 Minutes	<i>Teller / Bookkeeper / New Accounts Clerk / Head / Branch Operations Officer (BOO) / Branch Service Officer (BSO) Executive Assistant LBP Branch</i>



# LANDBANK

<b>CLIENT STEPS</b>	<b>AGENCY ACTIONS</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON RESPONSIBLE</b>
2. Confirm sale of security	2.1 Sell client's security (once prevailing rates have been relayed to the investor)	See <b>Annex AA</b> on page H-16	1 Banking Day	<i>Treasury Sales Personnel</i> TBMU
3. Wait for the confirmation of done transactions	3.1 Inform the client on the details of done transactions	None	30 Minutes	<i>Head / BOO / BSO</i> LBP Branch
4. Wait for the crediting of proceeds in the LBP Depositor's Account	4.1 Transfer net proceeds for the sale of securities thru IBTOLS to the LBP Servicing Branch and facilitate release to Investor	None	1 Banking Day (one day after the trade date)	<i>Treasury Operations Department (TOD)</i> <i>Personnel</i> TOD  and  <i>Teller / Bookkeeper / New Accounts Clerk / Head / BOO / BSO</i> LBP Branch
5. Wait for the branch's advise on the availability of the Confirmation of Purchase (COP)	5.1 Send COP to the concerned LBP Branches	None	6 Banking Days	<i>TOD Personnel</i> TOD
	<b>TOTAL</b>	See <b>Annex AA</b> on page H-16	<b>11 Banking Days, 55 Minutes</b>	



## 8. Investment Banking – Arranging for the Issuance of Bonds or Long-term Negotiated Certificates of Deposits (LTNCD) or Equity Securities

The process of advising the Issuer on the structure and timing of the issuance and managing the entire bond / LTNCD / equity securities issuance.

Equity securities can be common and preferred shares. These also include bank's capital requirements such as Additional Tier 1 and Tier 2 securities.

<b>Office or Division:</b>	Investment Banking Department 1 (IBD 1) and / or Investment Banking Department 2 (IBD 2)
<b>Classification:</b>	Highly Technical; Multi-stage Processing
<b>Type of Transaction:</b>	G2B - Government to Business; G2G - Government to Government
<b>Who may avail:</b>	Private Sector: Corporations, Small and Medium Enterprises (SMEs) Public Sector: Republic of the Philippines (ROP), Government-Owned and/or Controlled Corporations (GOCCs), State Colleges and Universities (SUCs), Local Government Units (LGUs), Government Agencies (GAs) and other Government Instrumentalities Financial Institutions: Banks and Non-Bank Financial Institutions
<b>CHECKLIST OF REQUIREMENTS</b>	
<b>WHERE TO SECURE</b>	
Invitation Letter / Request for Proposal (RFP) (1 original copy)	To be provided by Borrower / Client / Other Banks
Certificate of Registration (1 photocopy)	Department of Trade and Industry (DTI) / Securities and Exchange Commission (SEC) / Board of Investments (BOI)
Articles of Incorporation and By-Laws (1 photocopy)	Copy received by the SEC
Latest General Information Sheet (GIS) (1 photocopy)	Copy received by the SEC
Bio-Data of Officers and Directors (1 photocopy)	Borrower / Client
Business Permits (1 photocopy)	LGU Mayor's Office / Other Government Agency depending on the nature of business / industry
Audited Financial Statements (last three years) (1 photocopy)	To be provided by Borrower / Client
Latest Interim Financial Statements (not more than six months old at the time of application) (1 photocopy)	To be provided by Borrower / Client



**LANDBANK**

<b>CHECKLIST OF REQUIREMENTS</b>		<b>WHERE TO SECURE</b>		
Authority to Verify Personal Information Form in accordance with Republic Act (R.A.) No. 10173 known as Data Privacy Act of 2012 (1 original copy)		Form from IBD 1 or IBD 2 to be provided to Borrower / Client		
Basic Business Information Form (1 original or 1 photocopy)		Form from IBD 1 or IBD 2 to be provided to Borrower / Client		
Clearance from Regulatory Bodies (G2G) (1 original copy)		Office of the President (OP), Commission on Audit (COA), National Economic and Development Authority (NEDA), Department of Finance (DOF), Bureau of Local Government Finance (BLGF), Securities and Exchange Commission (SEC), Monetary Board (MB) / Bangko Sentral ng Pilipinas (BSP), Philippine Competition Commission (PCC), Office of the Government Corporate Counsel (OGCC), Governance Commission for GOCCs (GCG), etc.		
Other documents as may be requested by LBP depending on the type of business (1 original and/or 1 photocopy)		To be provided by / to the Borrower / Client depending on other document/s requested		
<b>CLIENT STEPS</b>	<b>AGENCY ACTIONS</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON RESPONSIBLE</b>
1. Send Invitation Letter/ RFP for LANDBANK to act as an Arranger of the Bond/ LTNCD/ equity securities Issuance	1.1 Review Invitation Letter/ RFP	None	10 Banking Days	<i>Account Officer (AO), Department Head concerned + Group Head + Sector Head IBD 1 / IBD 2 + Investment Banking Group (IBG) + Treasury and Investment Banking Sector (TIBS)</i>
	1.2 Submit Mandate Letter with Proposal/ Pitchbook in accordance with the terms and conditions of the RFP	None		



# LANDBANK

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
2. Review and sign Mandate Letter/ Term Sheet to act as an Arranger	<b><u>LBP as Arranger:</u></b> 2.1 Attend meetings with the client and/or Mandated Arranger on the terms of the bond/ LTNCD/ equity securities issuance	None	20 Banking Days	AO + Department Head concerned + Group Head IBD 1 / IBD 2 + IBG
	2.2 Select institutions to be included in the deal	None		AO + Department Head concerned + Group Head IBD 1 / IBD 2 + IBG
	2.3 Select necessary third party service providers to serve as transaction counsel, facility agent and trustee	None		AO + Department Head concerned + Group Head + Sector Head, if applicable IBD 1 / IBD 2 + IBG + TIBS, if applicable
	<b><u>LBP as Participating Arranger:</u></b> 2.1 Forward to Mandated Lead Arranger the signed / approved:	None		AO + Department Head concerned + Group Head + Sector Head, if applicable IBD 1 / IBD 2 + IBG + TIBS, if applicable



# LANDBANK

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
<i>Con't 2.1 LBP as Participating Arranger</i>	a. Letter of Interest / Commitment, Confidentiality Undertaking / Agreement b. Other documents applicable for the transaction			
None	2.2 Sound off to target clients the acceptability of the proposed transaction	None		<i>AO + Department Head concerned + Group Head IBD 1 / IBD 2 + IBG</i>
None	2.3 Prepare and secure internal approvals of the Underwriting / Issue Management/ Arrangement Proposal	None		<i>AO + Department Head concerned + Group Head+ Approving Committee IBD 1 / IBD 2 + IBG+ LBP Applicable Approving Committee</i>
None	2.4 Assist the client in securing applicable regulatory approvals	None		<i>AO + Department Head concerned + Group Head IBD 1 / IBD 2 + IBG</i>



# LANDBANK

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
3. Secure applicable regulatory approvals such as, but not limited to, SEC, DOF, BSP ( <i>may follow a sequential order</i> )	3.1 Draft transaction documentation / documentation meetings, offering circular, pre-offer comfort letter, pre-listing comfort letter, auditor's review of financials and prospectus	None	60 Banking Days	AO + Department Head+ Group Head (if applicable) IBD 1 / IBD 2 + IBG (if applicable)
4. Sign all transaction documents	4.1 Secure legal sufficiency on all legal documents from the Transaction Counsel and facilitate signing of all legal documents	None	10 Banking Days	AO + Department Head + Group Head + Legal Officer IBD 1 / IBD 2 + IBG + Banking Legal Services Department (BLSD)
None	4.2 Send Fee Letter for signature of Issuer	None		AO + Department Head + Group Head IBD 1 / IBD 2 + IBG
5. Sign Fee Letter	5.1 Receive signed Fee Letter	None	10 Banking Days	AO + Department Head + Group Head IBD 1 / IBD 2 + IBG





**LANDBANK**

<b>CLIENT STEPS</b>	<b>AGENCY ACTIONS</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON RESPONSIBLE</b>
None	5.2 Prepare for Investor Presentation, distribution of invitation letters	None		<i>AO + Department Head + Group Head IBD 1 / IBD 2 + IBG</i>
6. Attend Investor Presentation / Road Shows	6.1 Pre-launch bring-down due diligence	None	5 Banking Days	<i>AO + Department Head + Group Head IBD 1 / IBD 2 + IBG</i>
None	6.2 Launch to Qualified Investors / Buyers (QIBs)	None		<i>AO + Department Head + Group Head IBD 1 / IBD 2 + IBG</i>
None	6.3 QIB bookbuilding period	None		<i>AO + Department Head + Group Head IBD 1 / IBD 2 + IBG</i>
None	6.4 Pricing	None		<i>AO + Department Head + Group Head IBD 1 / IBD 2 + IBG</i>
None	6.5 Public Offer Period	None		<i>AO + Department Head + Group Head IBD 1 / IBD 2 + IBG</i>
7. Submit application documents to Philippine Depository and Trust Corporation (PDTC) for listing to Philippine Dealing Exchange (PDEX)/ Philippine Stock Exchange (PSE)	7.1 Prepare PDTC / PSE application documents	None	5 Banking Days	<i>AO + Department Head + Group Head IBD 1 / IBD 2 + IBG</i>
None	7.2 Pre-closing bring-down due diligence	None		<i>AO + Department Head + Group Head IBD 1 / IBD 2 + IBG</i>



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CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
8. Submit the Condition Precedent to Arranger	8.1 Consolidation and completion of Conditions Precedent in coordination with the legal counsel and other third parties	None	3 Banking Days	AO + Department Head + Group Head IBD 1 / IBD 2 + IBG
None	8.2 Listing Ceremony/ Settlement	None	1 Banking Day	AO + Department Head + Group Head + Sector Head (if applicable) IBD 1 / IBD 2 + IBG + TIBS (if applicable)
None	8.3 Prepare a statement of account / billing statement to client	Agreed arranger's fee/ agreed percentage x amount of actual participation	1 Banking Day	Teller LBP Branch  or Accounts Assistant (AA) / AO / Department Head IBD 1 / IBD 2
9. Pay the fees to LBP	9.1 Provide official receipt to client			Teller LBP Branch  or AA/AO/Department Head IBD 1 / IBD 2
	<b>TOTAL</b>	Agreed arranger's fee/ agreed percentage x amount of actual participation	<b>125 Banking Days</b>	



## 9. Investment Banking – Financial Advisory

Financial Advisory is the service of providing sound advice to clients who want to explore various options for raising funds for new projects as well as loan restructuring. Normally, borrowers or issuers hire financial advisors to assist in structuring or packaging the terms of financing required, i.e., amount, tenor, rates, etc.

<b>Office or Division:</b>	Investment Banking Department 1 (IBD 1) and/or Investment Banking Department 2 (IBD 2)
<b>Classification:</b>	Highly Technical; Multi-stage
<b>Type of Transaction:</b>	G2B – Government to Business; G2G – Government to Government
<b>Who may avail:</b>	Private Sector: Corporations, Small and Medium Enterprises (SMEs) Public Sector: Republic of the Philippines (ROP), Government-Owned and/or Controlled Corporations (GOCCs), State Colleges and Universities (SUCs), Local Government Units (LGUs), Government Agencies (GAs) and other Government Instrumentalities Financial Institutions: Banks and Non-Bank Financial Institutions
<b>CHECKLIST OF REQUIREMENTS</b>	
<b>WHERE TO SECURE</b>	
Invitation Letter / Request for Proposal (RFP) (1 original copy)	To be provided by Borrower / Client / Other Banks
Certificate of Registration (1 photocopy)	Department of Trade and Industry (DTI) / Securities and Exchange Commission (SEC) / Board of Investments (BOI)
Articles of Incorporation and By-Laws (1 photocopy)	Copy received by the SEC
Latest General Information Sheet (GIS) (1 photocopy)	Copy received by the SEC
Bio-Data of Officers and Directors (1 photocopy)	Borrower / Client
Business Permits (1 photocopy)	LGU Mayor's Office / Other Government Agency depending on the nature of business/industry
Audited Financial Statements (last three years) (1 photocopy)	To be provided by Borrower / Client
Latest Interim Financial Statements (not more than six months old at the time of application) (1 photocopy)	To be provided by Borrower / Client



**LANDBANK**

<b>CHECKLIST OF REQUIREMENTS</b>		<b>WHERE TO SECURE</b>		
Authority to Verify Personal Information Form in accordance with Republic Act (R.A.) No. 10173 known as Data Privacy Act of 2012 (1 original copy)		Form from IBD 1 or IBD 2 to be provided to Borrower / Client		
Basic Business Information Form (1 original or 1 photocopy)		Form from IBD 1 or IBD 2 to be provided to Borrower / Client		
Other documents as may be requested by LBP depending on the type of business (1 original and/or 1 photocopy)		To be provided by/to the Borrower / Client depending on other document/s requested		
<b>CLIENT STEPS</b>	<b>AGENCY ACTIONS</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON RESPONSIBLE</b>
1. Send Invitation Letter / RFP for LANDBANK to act as Financial Advisor	1.1 Review Invitation Letter / RFP	None	10 Banking Days	<i>Account Officer (AO), Department Head, Group Head IBD 1 / IBD 2 + IBG</i>
None	1.2 Preliminary review of the Project and Project Proponent	None		<i>AO, Department Head, Group Head IBD 1 / IBD 2 + IBG</i>
None	1.3 Secure LBP internal approvals of the Financial Advisory arrangement	None		<i>AO, Department Head, Group Head, Sector Head (if applicable), Approving Officers IBD1/IBD 2 +IBG+TIBS (if applicable) + LPB Applicable Approving Committee</i>
None	1.4 Submit to Client / Borrower the Mandate Letter in accordance with the terms and conditions of the RFP	None		<i>AO, Department Head, Group Head, Sector Head (if applicable), Approving Officers IBD1/IBD 2+IBG+TIBS (if applicable)</i>



## LANDBANK

<b>CLIENT STEPS</b>	<b>AGENCY ACTIONS</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON RESPONSIBLE</b>
2. Review and sign LBP Mandate Letter to act as Financial Advisor	2.1 Request for Non-Disclosure Agreement	None	5 Banking Days	<i>Team Head / AO + Department Head + Legal Officer IBD 1 / IBD 2 + Banking Legal Services Department (BLSD)</i>
None	2.2 Request for the documents necessary to perform the financial advisory engagement	None		<i>Team Head / AO + Department Head IBD 1 / IBD 2</i>
3. Submit the documents requested by LBP	3.1 Perform the financial advisory functions	None	60 Banking Days	<i>Head / AO + Department Head + Group Head + Sector Head IBD 1 / IBD 2 + IBG + TIBS</i>
None	3.2 Secure approval of the Financial Advisory Report to be submitted to the Client	None		<i>Head / AO + Department Head + Group Head + Sector Head IBD 1 / IBD 2 + IBG + TIBS</i>
4. Receive Financial Advisory Report from LBP	4.1 Send Billing Statement to Client	None	5 Banking Days	<i>Head / AO + Department Head IBD 1 / IBD 2</i>



## LANDBANK

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
5 Pay the corresponding Financial Advisory Fee	5.1 Provide Official Receipt or any other form evidencing receipt of payment from the Client	Agreed fee (usually, a minimum of PHP1.0 Million, depending on the complexity)	1 Banking Day	<i>Teller</i> LBP Branch  or <i>AA / AO / Department Head</i> IBD 1 / IBD 2
	<b>TOTAL</b>	<b>Agreed fee (usually, a minimum of PHP1.0 Million, depending on the complexity)</b>	<b>81 Banking Days</b>	



## 10. Investment Banking – Issuance of Certification on Outstanding Equity Investments in Countryside Financial Institutions

Certification on the status of LBP's equity investment/s in Countryside Financial Institutions (CFIs) is one of the documentary requirements prior to the release of stock certificates representing the LBP-held shares once fully redeemed by the CFI subject to BSP's approval.

<b>Office or Division:</b>	Investment Banking Department 2 (IBD 2)			
<b>Classification:</b>	Simple			
<b>Type of Transaction:</b>	G2B – Government to Business			
<b>Who may avail:</b>	CFIs with LBP equity investments			
<b>CHECKLIST OF REQUIREMENTS</b>		<b>WHERE TO SECURE</b>		
Letter of request or e-mail from the CFI (1 original copy)		To be provided by the CFI		
<b>CLIENT STEPS</b>	<b>AGENCY ACTIONS</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON RESPONSIBLE</b>
1. Submit request for Certification via memorandum or e-mail; wait for the Statement of Account (SOA)	1.1 Endorse request to Treasury Operations Department (TOD)	None	3 Banking Days	<i>Account Officer</i> IBD 2
None	1.2 Accept request, prepare, and provide Certification on Equity Investments in CFIs to IBD 2	None		<i>Unit Head</i> TOD



## LANDBANK

<b>CLIENT STEPS</b>	<b>AGENCY ACTIONS</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON RESPONSIBLE</b>
None	1.3 Send letter and/ or e-mail together with the Certification on the status of LBP's equity investment in in CFIs	None		<i>Account Officer</i> IBD 2
	<b>TOTAL</b>	<b>None</b>	<b>3 Banking Days</b>	





## 11. Investment Banking – Issuance of Statement of Account on Equity Investments in Countryside Financial Institutions

Statement of Accounts (SOAs) on equity investments in Countryside Financial Institutions (CFIs) contain information regarding the date of release, maturity date, principal amount redeemed, outstanding and dividends receivable paid, outstanding for number of days per year times dividend rate as applicable under the concerned equity investment program.

<b>Office or Division:</b>	Investment Banking Department 2 (IBD 2)			
<b>Classification:</b>	Simple			
<b>Type of Transaction:</b>	G2B – Government to Business			
<b>Who may avail:</b>	CFIs with LBP equity investments			
<b>CHECKLIST OF REQUIREMENTS</b>		<b>WHERE TO SECURE</b>		
Letter of request or e-mail from the CFI (1 original copy)		To be provided by the CFI		
<b>CLIENT STEPS</b>	<b>AGENCY ACTIONS</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON RESPONSIBLE</b>
1. Submit request for SOA via letter or e-mail to IBD 2	1.1 Endorse request to Treasury Operations Department (TOD)	None	3 Banking Days	<i>Account Officer</i> IBD 2
None	1.2 Accept request, prepare, and provide CFI's SOA to IBD 2	None		<i>Unit Head</i> TOD
None	1.3 Send letter and/or e-mail together with the SOA/s to CFI	None		<i>Account Officer</i> IBD2
	<b>TOTAL</b>	<b>None</b>	<b>3 Banking Days</b>	



## 12. Over-the-Counter Purchase and Sale of Foreign Currencies (External)

Purchase and sale of foreign currencies by individuals, corporate and government agencies dealt directly with FSHSD

<b>Office or Division:</b>	FX Sales and Hedging Solutions Department (FSHSD)	
<b>Classification:</b>	Simple	
<b>Type of Transaction:</b>	G2C - Government to Citizen; G2B - Government to Business; G2G - Government to Government	
<b>Who may avail:</b>	Individuals, Corporates and Government Agencies	
<b>CHECKLIST OF REQUIREMENTS</b>	<b>WHERE TO SECURE</b>	
<p>For PURCHASE of Foreign Exchange (FX) by Individuals, Corporates and Government Agencies:</p> <ol style="list-style-type: none"> <li>1. Duly accomplished Application to Purchase Foreign Currency Form (1 set in triplicate copies-original)</li> <li>2. Supporting documents in relation to purpose, i.e., bills of exchange, order of payment, bill of lading, etc. (if applicable per Manual of Regulations on Foreign Exchange Transactions)</li> </ol>	<ol style="list-style-type: none"> <li>1. For non-trade transactions: Branch of Account - New Accounts Clerk; For trade transactions: Lending Center – Account Assistant/Account Officer</li> <li>2. Customer</li> </ol>	
<p>For SALE of FX by Individuals, Corporates and Government Agencies:</p> <p>Duly accomplished Application to Sell Foreign Currency Form (1 set in triplicate copies-original)</p> <ol style="list-style-type: none"> <li>1. For transactions in FX booths and airport terminals: <ul style="list-style-type: none"> <li>• Valid photo bearing government-issued ID in the name of the customer (1 photocopy)</li> </ul> </li> </ol>	<ol style="list-style-type: none"> <li>1. For non trade transactions: Branch of Account - New Accounts Clerk; For trade transactions: Lending Center – Account Assistant/Account Officer</li> <li>2. Government Agencies issuing ID cards, i.e., SSS, GSIS, LTO, etc.</li> </ol>	



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<b>CLIENT STEPS</b>	<b>AGENCY ACTIONS</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON RESPONSIBLE</b>
1. Advise FSHSD on FX requirements and request for best applicable FX rate	1.1 Gather information relevant to the FX transaction	None	5 Minutes	<i>Treasury Sales Analyst / Specialist / Officer</i> FSHSD
None	1.2 Negotiate rates with the client in coordination with Rates and FX Trading Department (RFTD)	None	5 Minutes	<i>Treasury Sales Analyst / Specialist / Officer and FX Trader</i> FSHSD/RFTD
2. Agree with the FX rate provided by FSHSD	2.1 Close the deal with the client via voice logger per approved rates by RFTD and Financial Markets Group (FMG)	None	5 Minutes	<i>Treasury Sales Analyst / Specialist / Officer and FX Trader</i> FSHSD / RFTD / FMG
None	2.2 Send e-mail confirmation to the client regarding the details of done deal	None	5 Minutes	<i>Treasury Sales Specialist / Analyst / Officer</i> FSHSD
None	2.3 Coordinate with the servicing branch / lending unit for processing of the FX transaction	None	5 Minutes	<i>Treasury Sales Specialist / Analyst / Officer</i> FSHSD



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<b>CLIENT STEPS</b>	<b>AGENCY ACTIONS</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON RESPONSIBLE</b>
None	2.4 Send via e-mail to servicing branch / lending unit, copy furnished the corresponding booking unit, the details of the done FX transaction	None	5 Minutes	<i>Treasury Sales Specialist / Analyst / Officer</i> FSHSD
3. Proceed to the LBP Branch and submit required documents	3.1 Receive and verify the following: <ul style="list-style-type: none"> <li>• Accuracy of the information in the documents presented/ accomplished</li> <li>• Genuineness of the foreign currency notes for exchange, if applicable</li> </ul>	None	15 Minutes	<i>New Accounts Clerk</i> LBP Branch
None	3.2 Verify the documents presented	None	10 Minutes	<i>Document Examiner</i> LBP Branch
None	3.3 Review and approve the transaction	None	10 Minutes	<i>Branch Service Officer / Branch Operations Officer / Branch Head</i> LBP Branch



## LANDBANK

<b>CLIENT STEPS</b>	<b>AGENCY ACTIONS</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON RESPONSIBLE</b>
None	3.4 For notes, request for appropriate currency needed. For wire transfers, prepare debit/ credit advice	None	15 Minutes	<i>Teller/ Bookkeeper</i> LBP Branch
4. Receive equivalent amount of currency exchanged	4.1 Release amount of currency exchanged, as applicable (cash or thru credit to account)	None	15 Minutes	<i>Teller/ Bookkeeper</i> LBP Branch
	<b>TOTAL</b>	<b>None</b>	<b>1 Hour, 35 Minutes</b>	



### 13. Sale/Purchase of Foreign Currencies

This service covers the processing of over-the-counter Sale/Purchase of US Dollar Notes and third currencies\* currently offered by the Bank to its existing depositors and which can be availed at the following Branches depending on the type of currency involved.

Notes / Currencies	Name of Branches
US Dollar Notes	All Branches
3 <sup>rd</sup> Currencies	
Chinese Yuan	Cash Department
Yen	Cash Department and Buendia
Euro	Cash Department, East Avenue Greenhills, General Santos Highway and Intramuros

<b>Office or Division:</b>	Branches			
<b>Classification:</b>	Simple			
<b>Type of Transaction:</b>	G2C - Government to Citizen			
<b>Who may avail:</b>	Individuals			
<b>CHECKLIST OF REQUIREMENTS</b>		<b>WHERE TO SECURE</b>		
<b>For Individual:</b>				
1. Properly accomplished Application to Purchase Foreign Currency or Application to Sell Foreign Currency, as applicable [One (1) set]		New Accounts Counter		
2. Photo bearing government-issued ID (One (1) original) <i>Note: Please see <b>Annex E on page B-6</b> of the Branch Banking Services for complete list of Acceptable IDs</i>		Any government agency issuing identification cards (DFA, GSIS, SSS, LTO, PRC, etc.)		
3. Currency for Exchange		Customer		
<b>CLIENT STEPS</b>	<b>AGENCY ACTIONS</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON RESPONSIBLE</b>
1. Proceed to the person responsible once called and present the above requirements as indicated above	1.1 Receive and verify completeness, validity and accuracy of information on the form and	None	15 Minutes	<i>New Accounts Clerk, LBP Branch</i>



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CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
	the genuineness of currency for exchange			
None	1.2 Verify the documents presented	None	10 Minutes	<i>Document Examiner, LBP Branch</i>
None	1.3 Review and approve the transaction accordingly	None	10 Minutes	<i>Branch Service Officer (BSO)/Branch Operations Officer (BOO)/Branch Head (BH), LBP Branch</i>
None	1.4 Request for appropriate currency needed, if applicable, the process the transaction	None	15 Minutes	<i>Teller, LBP Branch</i>
None	1.5 Release amount of currency exchanged, as applicable	None	5 Minutes	<i>Teller, LBP Branch</i>
2. Receive equivalent amount of currency exchanged	None	None	None	<i>None</i>
	<b>TOTAL</b>	<b>None</b>	<b>55 Minutes</b>	



#### 14. Trading – Debt Securities and Foreign Exchange (via Voice Broker)<sup>1/</sup>

Interbank trading in Foreign Exchange (FX) and Money Market instruments (Peso and Foreign Securities) executed via Voice Broker.

<b>Office or Division:</b>	Treasury and Investment Banking Sector (TIBS) <ul style="list-style-type: none"> <li>• Capital Markets Trading Department (CMTD)</li> <li>• Rates and FX Trading Department (RFTD)</li> </ul>			
<b>Classification:</b>	Highly Technical			
<b>Type of Transaction:</b>	G2B – Government to Business			
<b>Who may avail:</b>	Banks / Financial Institutions, Voice Brokers			
<b>CHECKLIST OF REQUIREMENTS</b>		<b>WHERE TO SECURE</b>		
None		None		
<b>CLIENT STEPS</b>	<b>AGENCY ACTIONS</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON RESPONSIBLE</b>
1. Broadcast prices posted by other banks or received from LBP	1.1 Execute trade if trader intends to take position at the broker price	None	Subject to the regulations and trading conventions of the corresponding Self-Regulatory Organization, i.e., SEC, Bankers Association of the Philippines (BAP), Money Market Association of the Philippines (MART), Philippine Dealing Exchange (PDEX)	<i>LBP's Authorized Traders</i> CMTD / RFTD





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<b>CLIENT STEPS</b>	<b>AGENCY ACTIONS</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON RESPONSIBLE</b>
2. Send confirmation ticket to CMTD / RFTD for mapping of done transaction	2.1 Confirm and input transaction details in the treasury system	None	1 Banking Day  (before cut-off for value today transactions)	<i>LBP's Authorized Traders</i> CMTD / RFTD
	<b>TOTAL</b>	<b>None</b>	<b>1 Banking Day <sup>2/</sup></b>	

<sup>1/</sup> *Voice brokers shall first request accreditation prior to dealing with LANDBANK for interbank trading. Please refer to Service No. 1 of TIBS Internal Services, page H-74 to H-75 for the procedures in accreditation.*

<sup>2/</sup> *Excludes trading and processing of payment and settlement of deal which are subject to the regulations and trading conventions of the corresponding Self-Regulatory Organization, i.e., SEC, BAP, MART, PDEX)*

*Other Information: For brokers, accreditation review is conducted every two years*



## 15. Trading – Equities (via Stock Broker)<sup>1/</sup>

Purchase and sale of PSE-listed equities for proprietary position or investment.

<b>Office or Division:</b>	Treasury & Investment Banking Sector (TIBS) • Capital Markets Trading Department (CMTD)			
<b>Classification:</b>	Highly Technical			
<b>Type of Transaction:</b>	G2B – Government to Business Entity			
<b>Who may avail:</b>	Stock Brokers			
<b>CHECKLIST OF REQUIREMENTS</b>		<b>WHERE TO SECURE</b>		
None		None		
<b>CLIENT STEPS</b>	<b>AGENCY ACTIONS</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON RESPONSIBLE</b>
1. Stock brokers <sup>1/</sup> send their equity flows, trade ideas and research via Bloomberg message while stock traders monitor stock prices via Bloomberg real-time ticker. If a transaction is done, stock broker sends confirmation email in our Bloomberg Messages	1.1 Update the Trader's Blotter to reflect the done transactions; Book done transactions	None	Subject to the regulations and trading conventions of Philippine Stock Exchange (PSE) as Self-Regulatory Organization (SRO)	<i>LBP's Authorized Traders</i> CMTD



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CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
	<b>TOTAL</b>	<b>None</b>	<b>Subject to the regulations and trading conventions of PSE as SRO</b>	
<p><sup>1/</sup> Stock brokers shall first request accreditation prior to the purchase and sale of PSE-listed equities. Please refer to Service No. 3 to 4 of TIBS Internal Services, page H-81 to H-92 for the procedures in accreditation.</p> <p><i>Other Information: For brokers, accreditation review is conducted every two years</i></p>				



## 16. Trading – Debt Securities, Money Market and Foreign Exchange (Direct Transaction with Counterparty)<sup>1/</sup>

Interbank trading in Foreign Exchange (FX) and Money Market instruments (Peso and Foreign Securities, Interbank Loans Receivable).

<b>Office or Division:</b>	Treasury and Investment Banking Sector (TIBS) <ul style="list-style-type: none"> <li>• Capital Markets Trading Department (CMTD)</li> <li>• Liquidity and Reserve Management Department (LRMD)</li> <li>• Rates and FX Trading Department (RFTD)</li> </ul>			
<b>Classification:</b>	Highly Technical			
<b>Type of Transaction:</b>	G2B – Government to Business			
<b>Who may avail:</b>	Banks <sup>1/</sup> / Financial Institutions <sup>1/</sup>			
<b>CHECKLIST OF REQUIREMENTS</b>		<b>WHERE TO SECURE</b>		
None		None		
<b>CLIENT STEPS</b>	<b>AGENCY ACTIONS</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON RESPONSIBLE</b>
1. Call LANDBANK for treasury transactions via designated trading platforms	1.1 Provide quotation subject to LANDBANK's position, outlook, market conditions, etc.	None	Subject to the regulations and trading conventions of the corresponding Self-Regulatory Organization, i.e., SEC, Bankers Association of the Philippines (BAP), Money Market Association of the Philippines (MART), Philippine Dealing Exchange (PDEX)	<i>LBP's Authorized Traders</i> CMTD / LRMD /RFTD



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<b>CLIENT STEPS</b>	<b>AGENCY ACTIONS</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON RESPONSIBLE</b>
2. Confirm transaction details via designated trading platforms	2.1 Confirm and input transaction details in the treasury system	None	1 Banking Day  (before cut-off for value today transactions)	<i>LBP's Authorized Traders</i> CMTD / LRMD / RFTD
3. Process payment/delivery instructions; settle deal via the Standard Settlement Instruction (SSI); receive funds/securities from LBP	3.1 Process the corresponding payment/delivery instructions; settle the deal via SSI; receive funds/securities from counterparty	None	Subject to the regulations and trading conventions of the corresponding Self-Regulatory Organization, i.e., SEC, BAP, MART, PDEX <sup>2/</sup>	<i>Treasury Settlement Officer</i> Treasury Operations Department
	<b>TOTAL</b>	<b>None</b>	<b>1 Banking Day<sup>2/</sup></b>	

<sup>1/</sup> Banks/Financial Institutions shall first request for FX or Money Market lines for treasury transactions prior to dealing with LANDBANK for interbank trading.

Please refer to Service Nos. 3 to 4 of TIBS Internal Services, page H-81 to H-92 for the procedures in requesting FX/Money Market lines.

<sup>2/</sup> Excludes trading and processing of payment and settlement of deal which are subject to the regulations and trading conventions of the corresponding Self-Regulatory Organization, i.e., SEC, BAP, MART, PDEX)

*Other Information: For foreign Banks/FIs, annual review commences every March*