



**Please complete using block capitals or typed answers. Surveys that are incomplete, illegible, or are missing information for the required fields cannot be used. This information is confidential and will not be shared with third parties. Thank you for participating.**

### **About Yourself**

Name (required): \_\_\_\_\_ Fax: \_\_\_\_\_

Telephone (required): \_\_\_\_\_ E-Mail (required): \_\_\_\_\_

Which of the following best describes your job function (required):

- |   |  |  |                                  |
|---|--|--|----------------------------------|
| <input type="checkbox"/> Network Management | <input type="checkbox"/> Securities Operation  | <input type="checkbox"/> Settlements       | <input type="checkbox"/> Custody |
| <input type="checkbox"/> Back Office        | <input type="checkbox"/> Correspondent Banking | <input type="checkbox"/> None of the Above |                                  |

Would you like a free one-year subscription to *Global Custodian* magazine? (required):  YES  NO

If YES, please provide your full mailing address:

User Type: \_\_\_\_\_ Address line 2: \_\_\_\_\_  
(i.e. department or field in which you work)

Country: \_\_\_\_\_

Job title: \_\_\_\_\_

State (US only): \_\_\_\_\_

Address line 1: \_\_\_\_\_

Zip/Postal code: \_\_\_\_\_

Which of the following best describes your job title:

- |  |  |  |  |
|--|--|--|--|
| <input type="checkbox"/> Head of Network Management    | <input type="checkbox"/> Network Manager             | <input type="checkbox"/> Head of operations  | <input type="checkbox"/> Operations manager  |
| <input type="checkbox"/> Head of Settlements           | <input type="checkbox"/> Settlements Manager         | <input type="checkbox"/> Head of Custody     | <input type="checkbox"/> Custody Manager     |
| <input type="checkbox"/> Head of Securities Services   | <input type="checkbox"/> Securities Services Manager | <input type="checkbox"/> Head of Back Office | <input type="checkbox"/> Back Office Manager |
| <input type="checkbox"/> Other (please specify): _____ |  |  |  |

### **About Your Organization**

Name of organization: (required): \_\_\_\_\_

Country where you are based – **NOT where your organization is headquartered** (required): \_\_\_\_\_

State (US responses only): \_\_\_\_\_

Which of the following best describes the nature of your organization as a whole: (required):

- |  |  |   |  |
|--|--|---|--|
| <input type="checkbox"/> Broker-dealer   | <input type="checkbox"/> Global custodian bank   | <input type="checkbox"/> Pension Fund                           | <input type="checkbox"/> Securities trading firm |
| <input type="checkbox"/> Central bank    | <input type="checkbox"/> ICSD                    | <input type="checkbox"/> Private bank                           | <input type="checkbox"/> Supranational           |
| <input type="checkbox"/> Commercial bank | <input type="checkbox"/> Inter-dealer broker     | <input type="checkbox"/> Private wealth manager                 | <input type="checkbox"/> Trust bank              |
| <input type="checkbox"/> CSD             | <input type="checkbox"/> Insurance company       | <input type="checkbox"/> Retail bank                            | <input type="checkbox"/> Universal bank          |
| <input type="checkbox"/> Custodian bank  | <input type="checkbox"/> Investment bank         | <input type="checkbox"/> Savings bank                           | <input type="checkbox"/> None of the above       |
| <input type="checkbox"/> Fund manager    | <input type="checkbox"/> Issuer (i.e. corporate) | <input type="checkbox"/> State agency (other than central bank) |  |



Which of the following best describes the function of your part of the organization? (required):

- Securities clearing and settlement
- Fund management
- Broker-dealing
- None of the above**
- Custody banking
- Private wealth management
- Securities trading

Please state the approximate total value of the appropriate choice for your type of organization:

*(If you do not choose a value, your response will be assigned the lowest weighting.)*

**Please choose one**

Please state total value of assets in custody **IF** your Organization is a Bank (of any kind), CSD, ICSD, State Agency or Supranational (required):

Please state total value of assets of the firm **IF** your Organization is a Fund Manager, Hedge Fund Manager, Insurance Company, Pension Fund, Private Client Stockbroker or Private Wealth Manager (required):

Please state total value of assets Under Management **IF** your Organization is a Securities Firm, Broker-Dealer, Issuer or Other (required):

- Less than US\$10 Million
- US\$10-49 Million
- US\$50-99 Million
- US\$100-249 Million
- US\$250-499 Million
- US\$500-999 Million
- US\$1.0-1.9 Billion
- US\$2.0-2.9 Billion
- US\$3.0-3.9 Billion
- US\$4.0-4.9 Billion
- US\$5.0-9.9 Billion
- US\$10 Billion and more
- Not Disclosed

What is the total number of agent banks that your organization uses? (required): \_\_\_\_\_

Please give the address of your corporate web site (for verification purposes): (required): \_\_\_\_\_



### About Your Agent Bank

Please choose from the following list all of the providers which you use to service your needs: (required):

- |   |   |  |  |
|---|---|--|--|
| <input type="checkbox"/> Absa Investor Services                 | <input type="checkbox"/> Citi                     | <input type="checkbox"/> ING Bank  | <input type="checkbox"/> SEB                                   |
| <input type="checkbox"/> ANZ Custodian Services                 | <input type="checkbox"/> Clearstream              | <input type="checkbox"/> JPMorgan  | <input type="checkbox"/> Societe Generale Securities Services  |
| <input type="checkbox"/> Banca Intesa                           | <input type="checkbox"/> Commerzbank              | <input type="checkbox"/> KAS Bank  | <input type="checkbox"/> Six SIS                               |
| <input type="checkbox"/> Banco Bilbao Vizcaya Argentaria        | <input type="checkbox"/> Credit Suisse            | <input type="checkbox"/> KBC Securities Services Brussels                | <input type="checkbox"/> Standard Bank South Africa            |
| <input type="checkbox"/> Banco Espirito Santo                   | <input type="checkbox"/> Danske Bank              | <input type="checkbox"/> Kookmin Bank                                    | <input type="checkbox"/> Standard Chartered Bank               |
| <input type="checkbox"/> Banco Santander de Negocios (Portugal) | <input type="checkbox"/> DBS Bank                 | <input type="checkbox"/> Kredietbank Luxembourg                          | <input type="checkbox"/> State Street Corporation              |
| <input type="checkbox"/> Bank Austria Creditanstalt             | <input type="checkbox"/> Deutsche Bank            | <input type="checkbox"/> Millennium bcp                                  | <input type="checkbox"/> Sumitomo Mitsui Banking Corporation   |
| <input type="checkbox"/> Bank Leu                               | <input type="checkbox"/> DnB Nor                  | <input type="checkbox"/> Mizuho Corporate Bank Ltd                       | <input type="checkbox"/> Swedbank                              |
| <input type="checkbox"/> Bank of Ireland Securities Services    | <input type="checkbox"/> Erste Group Bank         | <input type="checkbox"/> National Australia Bank (NAB)/National Nominees | <input type="checkbox"/> The Bank of Tokyo-Mitsubishi UFJ, Ltd |
| <input type="checkbox"/> Bank of New York Mellon                | <input type="checkbox"/> Eurobank EFG             | <input type="checkbox"/> National Bank of Greece                         | <input type="checkbox"/> UBS                                   |
| <input type="checkbox"/> BHF Asset Servicing                    | <input type="checkbox"/> Euroclear                | <input type="checkbox"/> Nedbank   | <input type="checkbox"/> UniCredit-HVB                         |
| <input type="checkbox"/> BNP Paribas Securities Services        | <input type="checkbox"/> FNB Custody Services     | <input type="checkbox"/> Nordea Bank                                     | <input type="checkbox"/> United Overseas Bank                  |
| <input type="checkbox"/> Brown Brothers Harriman                | <input type="checkbox"/> Fortis                   | <input type="checkbox"/> Oko Bank  | <input type="checkbox"/> Other _____                           |
| <input type="checkbox"/> CACEIS                                 | <input type="checkbox"/> Handelsbanken            | <input type="checkbox"/> Raiffeisen Zentralbank                          |  |
| <input type="checkbox"/> CACEIS Bank Deutschland Gmbh           | <input type="checkbox"/> HSBC Securities Services | <input type="checkbox"/> RBC Dexia Investor Services                     |  |
| <input type="checkbox"/> CIBC Mellon                            | <input type="checkbox"/> HVB Greece               | <input type="checkbox"/> Santander                                       |  |

We encourage you to complete this survey at [www.globalcustodian.com](http://www.globalcustodian.com)



**Do you use this provider primarily for (required):**

**A) Clearing services** (i.e. clearing and settling securities transactions)

**B) Custody services** (i.e. keeping assets in safe custody and servicing those assets, for example by collecting interest and dividend payments, notifying them of corporate actions and implementing their instructions, voting as their proxy at AGMs etc)

<i>Please write the names of providers/markets you wish to rate</i>	Provider/ Location 1	Provider/ Location 2	Provider/ Location 3	Provider/ Location 4	Provider/ Location 5	Provider/ Location 6	Provider/ Location 7	Provider/ Location 8	Provider/ Location 9	Provider/ Location 10
	A) <input type="checkbox"/> B) <input type="checkbox"/>	A) <input type="checkbox"/> B) <input type="checkbox"/>	A) <input type="checkbox"/> B) <input type="checkbox"/>	A) <input type="checkbox"/> B) <input type="checkbox"/>	A) <input type="checkbox"/> B) <input type="checkbox"/>	A) <input type="checkbox"/> B) <input type="checkbox"/>	A) <input type="checkbox"/> B) <input type="checkbox"/>	A) <input type="checkbox"/> B) <input type="checkbox"/>	A) <input type="checkbox"/> B) <input type="checkbox"/>	A) <input type="checkbox"/> B) <input type="checkbox"/>

Is your organization affiliated with this agent bank (through ownership, alliance or joint-venture)? <i>(please select one)</i> <i>(required):</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO
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**Market (country) or markets in which you are rating this agent bank (Please choose all that apply): (required):**

<i>Please write the names of the banks you are rating</i>										
ICSD										
Australia										
Austria										
Belgium										
Canada										
Denmark										
Finland										
France										
Germany										
Greece										
Hong Kong										
Ireland										
Italy										
Japan										
Luxembourg										
Netherlands										
New Zealand										
Norway										
Portugal										
Singapore										
South Africa										
South Korea										
Spain										
Sweden										
Switzerland										
United Kingdom										
United States										

Please return your questionnaire no later than **June 26, 2009**. We encourage you to complete this survey on-line at [www.globalcustodian.com](http://www.globalcustodian.com). It can be found either by clicking on the banner "Click here to participate in the 2009 Global Custodian Agent Banks In Major Markets Survey" or by clicking the link "Participate" under the Surveys section in the left column on the Home Page. If you wish to complete the survey by hand, it can be faxed to any of the following numbers: UK 44 (0)20 7900 3093, or UK 44 20 7100 8115 it may also be emailed to [survevs@globalcustodian.com](mailto:survevs@globalcustodian.com).

We encourage you to complete this survey at [www.globalcustodian.com](http://www.globalcustodian.com)



<i>Please write the names of providers/markets you wish to rate</i>	Provider/ Location 1	Provider/ Location 2	Provider/ Location 3	Provider/ Location 4	Provider/ Location 5	Provider/ Location 6	Provider/ Location 7	Provider/ Location 8	Provider/ Location 9	Provider/ Location 10
Is this a cross-border relationship? (i.e. are you buying this service in a country other than your own?) <i>(please select one) (required):</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO

Which of the following best describes your relationship with this provider: *(required):*

This provider is an ICSD, which we are using as a single window into multiple instruments and/or markets										
This provider is an agent bank from which we buy services in a number of markets, and which services our needs via its own operations in each of the local markets										
This provider is an agent bank from which we buy a service in this market only, and which services our needs in this market only										
This provider is an agent bank from which we buy services in a number of markets, and which services our needs from a single centralized service center										
This provider is an agent bank from which we buy services in a number of markets, and which services our needs through a mixture of local market and centralized operations										
We self-clear in this market through our own account at the local CSD, and use this provider for a limited range of services										

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**The following information will not be disclosed to third parties; it is for weighting purposes only. If you do not provide an answer, your response will be assigned the lowest weighting**

Approximate value of total assets your organization had in custody with each agent bank at December 31, 2008 or nearest suitable date (please choose from the following ranges) (required):

	Provider/ Location 1	Provider/ Location 2	Provider/ Location 3	Provider/ Location 4	Provider/ Location 5	Provider/ Location 6	Provider/ Location 7	Provider/ Location 8	Provider/ Location 9	Provider/ Location 10
Less than US\$10 Million										
US\$10-49 Million										
US\$50-99 Million										
US\$100-249 Million										
US\$250-499 Million										
US\$500-999 Million										
US\$1.0-1.9 Billion										
US\$2.0-2.9 Billion										
US\$3.0-3.9 Billion										
US\$4.0-4.9 Billion										
US\$5.0-9.9 Billion										
US\$10 Billion and more										

Average monthly volume of transactions your organization processed through with each agent bank in each market in the year ended December 31, 2008 or nearest suitable date (please choose from the following ranges) (required):

	Provider/ Location 1	Provider/ Location 2	Provider/ Location 3	Provider/ Location 4	Provider/ Location 5	Provider/ Location 6	Provider/ Location 7	Provider/ Location 8	Provider/ Location 9	Provider/ Location 10
0 – 50										
51 – 250										
251 – 500										
501 – 1,000										
1,001 – 2,500										
2,501 – 5,000										
5,001 – 7,500										
7,501 – 10,000										
10,001 – 12,500										
12,501 – 15,000										
15,501 – 20,000										
More than 20,000										

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**Rating Your Agent Bank**

*Please rate the performance of each of your providers in each of the categories below using the following scoring scale:*

- 1 – Unacceptable
- 2 – Very Weak (consistently fails to meet expectations)
- 3 – Weak (sometimes fails to meet expectations)
- 4 – Satisfactory (adequate, but undistinguished)
- 5 – Good (consistently meets expectations)
- 6 – Very Good (exceeds some reasonable expectations)
- 7 – Excellent (exceeds most normal expectations)
- N/A – Not applicable (service not purchased)

**Value and Commitment**

<i>Please write the names of providers/markets you wish to rate</i>	Provider/Location 1	Provider/Location 2	Provider/Location 3	Provider/Location 4	Provider/Location 5	Provider/Location 6	Provider/Location 7	Provider/Location 8	Provider/Location 9	Provider/Location 10
Does this agent bank/ICSD provide regular client updates/newsletters?	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO

	Provider/location 1	Provider/location 2	Provider/location 3	Provider/location 4	Provider/location 5	Provider/location 6	Provider/location 7	Provider/location 8	Provider/location 9	Provider/location 10
1. Credentials in the securities services business (i.e. senior management commitment, length of establishment, market share, experience of staff, local influence etc.) (required):										
2. Priority given to securities services within total business activities (required):										
3. Competitiveness of fees charged (relative to other ICSDs/agent banks used) (required):										
4. Value received in return for fees paid (required):										
5. Quality of service relative to other ICSDs/agent banks used (required):										
6. Track record in helping you to work more effectively (e.g. customization, innovation, etc.) (required)										

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7. Continuity of senior management (required):										
8. Credibility of business continuity planning (required):										
9. Local market influence (e.g. over regulators, market infrastructure, tax regime, etc.) (required):										
10. Timeliness of local market information (required):										
11. Usefulness of client updates/newsletters (required):										
What one service would you like this provider to improve? (required):										

Which of these services is most important to you? (please choose a number from above) (required): \_\_\_\_\_

**Client Service and Relationship Management**

<i>Please write the names of the providers and markets you are rating</i>	Provider 1	Provider 2	Provider 3	Provider 4	Provider 5	Provider 6	Provider 7	Provider 8	Provider 9	Provider 10
12. Knowledgeability of personnel on operational matters in this market (required):										
13. Responsiveness of operational personnel (required):										
14. Flexibility of operational personnel in meeting client needs (required):										
15. Effectiveness of operational personnel in solving problems (required):										
16. Pro-activity of relationship manager (required):										

**Comments:**

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Which of these services is most important to you? (please choose a number from above) (required): \_\_\_\_\_



**Reporting**

<i>Please write the names of the providers and markets you are rating</i>	Provider/ location 1	Provider/ location 2	Provider/ location 3	Provider/ location 4	Provider/ location 5	Provider/ location 6	Provider/ location 7	Provider/ location 8	Provider/ location 9	Provider/ location 10
17. Comprehensiveness of SWIFT reporting (required):										
18. Value added by non-SWIFT reports (e.g. proprietary formats) (required):										
19. Quality of reporting of settled trades (i.e. accuracy, timeliness, completeness, correction of earlier errors, etc) (required):										
20. Quality of reporting of trade status (i.e. accuracy, timeliness, completeness, correction of earlier errors, etc) (required):										
21. Quality of management information (i.e. accuracy, timeliness, completeness, correction of earlier errors, etc) (required):										

Provider/ location 1	Provider/ location 2	Provider/ location 3	Provider/ location 4	Provider/ location 5	Provider/ location 6	Provider/ location 7	Provider/ location 8	Provider/ location 9	Provider/ location 10

When are securities account positions updated?

<input type="checkbox"/> Real-time	<input type="checkbox"/> Real-time	<input type="checkbox"/> Real-time	<input type="checkbox"/> Real-time	<input type="checkbox"/> Real-time	<input type="checkbox"/> Real-time	<input type="checkbox"/> Real-time	<input type="checkbox"/> Real-time	<input type="checkbox"/> Real-time	<input type="checkbox"/> Real-time
<input type="checkbox"/> Intra-day	<input type="checkbox"/> Intra-day	<input type="checkbox"/> Intra-day	<input type="checkbox"/> Intra-day	<input type="checkbox"/> Intra-day	<input type="checkbox"/> Intra-day	<input type="checkbox"/> Intra-day	<input type="checkbox"/> Intra-day	<input type="checkbox"/> Intra-day	<input type="checkbox"/> Intra-day
<input type="checkbox"/> Overnight	<input type="checkbox"/> Overnight	<input type="checkbox"/> Overnight	<input type="checkbox"/> Overnight	<input type="checkbox"/> Overnight	<input type="checkbox"/> Overnight	<input type="checkbox"/> Overnight	<input type="checkbox"/> Overnight	<input type="checkbox"/> Overnight	<input type="checkbox"/> Overnight

Which of these services is most important to you? (please choose a number from above) (required): \_\_\_\_\_



**Corporate Actions**

	Provider/ location 1	Provider/ location 2	Provider/ location 3	Provider/ location 4	Provider/ location 5	Provider/ location 6	Provider/ location 7	Provider/ location 8	Provider/ location 9	Provider/ location 10
22. Automation of notification process (required):										
23. Quality of notifications of corporate actions (i.e. timeliness, accuracy, completeness, adherence to SWIFT standards etc.) (required):										
24. Follow-up of pre-advised voluntary corporate actions (required):										
25. Quality of processing of corporate action instructions (i.e. promptness, accuracy, reporting) (required):										
26. Flexibility of deadlines for receipt of instructions (i. e. closeness of agent deadlines to local market deadlines) (required):										
27. Quality of posting of corporate action entitlements (i.e. level of automation, accuracy) (required):										
28. Speed of resolution of queries (required):										

Which of these services is most important to you? (please choose a number from above) (required): \_\_\_\_\_

**Proxy Voting**

Provider/ location 1	Provider/ Location 2	Provider/ location 3	Provider/ location 4	Provider/ location 5	Provider/ location 6	Provider/ location 7	Provider/ location 8	Provider/ location 9	Provider/ location 10
Does this agent bank outsource proxy voting services? (required):									
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO
Do you outsource responsibility for proxy voting?									
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO



	Provider/ location 1	Provider/ location 2	Provider/ location 3	Provider/ location 4	Provider/ location 5	Provider/ location 6	Provider/ location 7	Provider/ location 8	Provider/ location 9	Provider/ location 10
29. Timeliness of notification of company meetings (required):										
30. Quality of posting of voting instructions (i.e. accuracy, timeliness) (required):										
<b>Comments:</b>										

Which of these services is most important to you? (please choose a number from above) (required): \_\_\_\_\_

**Cash Management and Foreign Exchange**

	Provider/ location 1	Provider/ location 2	Provider/ location 3	Provider/ location 4	Provider/ location 5	Provider/ location 6	Provider/ location 7	Provider/ location 8	Provider/ location 9	Provider/ location 10
31. Quality of payments processing (in relation to securities trades only) (required):										
32. Flexibility over funding deadlines (i.e. closeness of agent deadlines to local market deadline) (required):										
33. Accuracy of funding projections (required):										
34. Competitiveness of rates charged/paid on balances (required):										
35. Quality of foreign exchange services (required):										
36. Competitiveness of foreign exchange rates (from this agent bank) (required):										
37. Range of settlement currencies (if more than one currency is permitted in this market) (required):										

Which of these services is most important to you? (please choose a number from above) (required): \_\_\_\_\_



Provider/ Location 1	Provider/ location 2	Provider/ location 3	Provider/ location 4	Provider/ location 5	Provider/ location 6	Provider/ location 7	Provider/ location 8	Provider/ location 9	Provider/ location 10
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When are cash balances updated? (Mark all that apply)

<input type="checkbox"/> Real-time	<input type="checkbox"/> Real-time	<input type="checkbox"/> Real-time	<input type="checkbox"/> Real-time	<input type="checkbox"/> Real-time	<input type="checkbox"/> Real-time	<input type="checkbox"/> Real-time	<input type="checkbox"/> Real-time	<input type="checkbox"/> Real-time	<input type="checkbox"/> Real-time
<input type="checkbox"/> Intra-day	<input type="checkbox"/> Intra-day	<input type="checkbox"/> Intra-day	<input type="checkbox"/> Intra-day	<input type="checkbox"/> Intra-day	<input type="checkbox"/> Intra-day	<input type="checkbox"/> Intra-day	<input type="checkbox"/> Intra-day	<input type="checkbox"/> Intra-day	<input type="checkbox"/> Intra-day
<input type="checkbox"/> Overnight	<input type="checkbox"/> Overnight	<input type="checkbox"/> Overnight	<input type="checkbox"/> Overnight	<input type="checkbox"/> Overnight	<input type="checkbox"/> Overnight	<input type="checkbox"/> Overnight	<input type="checkbox"/> Overnight	<input type="checkbox"/> Overnight	<input type="checkbox"/> Overnight

**Income Collection**

	Provider/ location 1	Provider/ location 2	Provider/ location 3	Provider/ location 4	Provider/ location 5	Provider/ location 6	Provider/ location 7	Provider/ location 8	Provider/ location 9	Provider/ location 10
38. Ability to process paper-based entitlements (e.g. bearer coupons) efficiently (required):										
39. Notification of income due (required):										
40. Crediting of income collected (required):										
41. Reporting of income collected (required):										

Which of these services is most important to you? (please choose a number from above) (required): \_\_\_\_\_

**Tax Reclaims**

Provider/ location 1	Provider/ location 2	Provider/ location 3	Provider/ location 4	Provider/ location 5	Provider/ location 6	Provider/ location 7	Provider/ location 8	Provider/ location 9	Provider/ location 10
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Do you know if tax reclaims are available in this market? (required):

<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW
--	--	--	--	--	--	--	--	--	--

Do you know if tax relief at source is available in this market?

<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW
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	Provider/ location 1	Provider/ location 2	Provider/ location 3	Provider/ location 4	Provider/ location 5	Provider/ location 6	Provider/ location 7	Provider/ location 8	Provider/ location 9	Provider/ location 10
42. Efficiency of agent bank/ICSD in obtaining tax relief at source (if possible in market) (required):										
43. Efficiency of agent bank/ICSD in reclaiming tax paid (where appropriate) (required):										
44. Pro-activity in pursuing tax reclaims (required):										
45. Quality of information about local tax regime(s) (required):										

Which of these services is most important to you? (please choose a number from above) (required): \_\_\_\_\_

**Securities Borrowing and Lending**

Provider/ Location 1	Provider/ Location 2	Provider/ Location 3	Provider/ Location 4	Provider/ Location 5	Provider/ Location 6	Provider/ Location 7	Provider/ Location 8	Provider/ Location 9	Provider/ Location 10
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Do you use this agent to borrow or lend securities in this market *other than to cover trade fails?* (required):

<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW
--	--	--	--	--	--	--	--	--	--

Is securities lending permitted in this market for purposes *other than to cover trade fails?*

<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW
--	--	--	--	--	--	--	--	--	--

Do you know if securities issued in this market are lent or borrowed offshore for purposes *other than to cover trade fails?*

<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW
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	Provider/ Location 1	Provider/ Location 2	Provider/ Location 3	Provider/ Location 4	Provider/ Location 5	Provider/ Location 6	Provider/ Location 7	Provider/ Location 8	Provider/ Location 9	Provider/ Location 10
46. Breadth of securities available to borrow (relative to other agents used) (required):										
47. Automation of securities borrowing process (required):										
48. Competitiveness of securities lending fees/rebates (required):										
49. Diversity of collateral accepted (required):										
50. Sophistication of collateralization process (required):										

Which of these services is most important to you? (please choose a number from above) (required): \_\_\_\_\_

### Settlement

Provider/ Location 1	Provider/ Location 2	Provider/ Location 3	Provider/ Location 4	Provider/ Location 5	Provider/ Location 6	Provider/ Location 7	Provider/ Location 8	Provider/ Location 9	Provider/ Location 10
Is securities lending or borrowing permitted in this market to cover potential trade fails?									
<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW
Do you make use of securities lending and borrowing service in this market to cover potential trade fails? (required):									
<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW
Do you know if it is possible to settle transactions in more than one currency in this market?									
<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> DON'T KNOW



	Provider/ Location 1	Provider/ Location 2	Provider/ Location 3	Provider/ Location 4	Provider/ Location 5	Provider/ Location 6	Provider/ Location 7	Provider/ Location 8	Provider/ Location 9	Provider/ Location 10
51. Proportion of trades matched successfully (taking account of local market practice and infrastructure) (required):										
52. Effectiveness in resolving unmatched trades (required):										
53. Timeliness of settlement confirmation (required):										
54. Ability of agent bank/ICSD to settle trades by internal book transfer ('internalization') (required):										
55. Ability of agent bank/ICSD to settle a wide variety of securities efficiently (required):										
56. Pro-activity in failed trade resolution (required):										
57. Flexibility over trade processing deadline (i.e. closeness of agent deadlines to local market deadline) (required):										
58. Efficiency of securities lending to cover trade fails (required):										

Which of these services is most important to you? (please choose a number from above) (required): \_\_\_\_\_

### Technology and Connectivity

	Provider/ Location 1	Provider/ Location 2	Provider/ Location 3	Provider/ Location 4	Provider/ Location 5	Provider/ Location 6	Provider/ Location 7	Provider/ Location 8	Provider/ Location 9	Provider/ Location 10
Do you communicate with this agent primarily via <b>A)</b> a proprietary system <b>B)</b> an industry standard network (e.g. SWIFT)	<input type="checkbox"/> <b>A)</b> <input type="checkbox"/> <b>B)</b>	<input type="checkbox"/> <b>A)</b> <input type="checkbox"/> <b>B)</b>	<input type="checkbox"/> <b>A)</b> <input type="checkbox"/> <b>B)</b>	<input type="checkbox"/> <b>A)</b> <input type="checkbox"/> <b>B)</b>	<input type="checkbox"/> <b>A)</b> <input type="checkbox"/> <b>B)</b>	<input type="checkbox"/> <b>A)</b> <input type="checkbox"/> <b>B)</b>	<input type="checkbox"/> <b>A)</b> <input type="checkbox"/> <b>B)</b>	<input type="checkbox"/> <b>A)</b> <input type="checkbox"/> <b>B)</b>	<input type="checkbox"/> <b>A)</b> <input type="checkbox"/> <b>B)</b>	<input type="checkbox"/> <b>A)</b> <input type="checkbox"/> <b>B)</b>
59. Availability of account information (e.g. via proprietary system, SWIFT, CPU-to-CPU, on-line system etc) (required):										
60. Adherence to standardized message types (e.g. SWIFT) (required):										

Please return your questionnaire no later than **June 26, 2009**. We encourage you to complete this survey on-line at [www.globalcustodian.com](http://www.globalcustodian.com). It can be found either by clicking on the banner "Click here to participate in the 2009 Global Custodian Agent Banks In Major Markets Survey" or by clicking the link "Participate" under the Surveys section in the left column on the Home Page. If you wish to complete the survey by hand, it can be faxed to any of the following numbers: UK 44 (0)20 7900 3093, or UK 44 20 7100 8115 it may also be emailed to [surveys@globalcustodian.com](mailto:surveys@globalcustodian.com).

We encourage you to complete this survey at [www.globalcustodian.com](http://www.globalcustodian.com)



61. Effectiveness of technology in lowering transaction costs (e.g. by increasing rates of automation) (required):										
62. Reliability (i.e. continuous operational availability) of connectivity to this agent (required):										
63. Range of connectivity options available to communicate with this agent (e.g. via proprietary system, SWIFT, CPU-to-CPU, on-line system, etc) (required):										

Which of these services is most important to you? (please choose a number from above) (required): \_\_\_\_\_

<i>What do you consider to be this agent bank/ICSD's strengths? (required):</i>										
<i>What do you consider to be this agent bank/ICSD's weaknesses? (required):</i>										
<i>In the current market environment, what do you think is the most important issue facing the agent banking industry today?</i>										

In the past 12 months have you terminated any agent bank relationships?  YES  NO

If yes, which of the following reasons was the primary consideration:

<input type="checkbox"/> Reduced need for service (i.e. exited markets)	<input type="checkbox"/> Quality of service issues	<input type="checkbox"/> Counterparty credit risk concern
<input type="checkbox"/> Change of ownership of agent bank	<input type="checkbox"/> Cost	<input type="checkbox"/> Other (please specify): _____
<input type="checkbox"/> Change in terms of business by bank	<input type="checkbox"/> Lack of service capabilities of ownership at agent bank	_____
<input type="checkbox"/> Acceptability to clients	<input type="checkbox"/> Reciprocity	

Are you willing to let us inform your agent bank/ICSD that you were the individual who completed this survey on behalf of your fund?

YES  NO

**THANK YOU FOR COMPLETING THIS QUESTIONNAIRE**