International Accounts and Statistics Division

Canada's international transactions in securities

BP - 30Q

Confidential when completed

Please make a copy for your records

Si vous préférez ce questionnaire en français, veuillez cochez

Calendar quarter ending

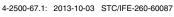
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Facsimile: 1(613) 951-9031
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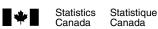
Title of responsible officer

Please correct any mistakes in Name or Address

Name of responsible officer

Telephone	Extension	Facsimile
Email address		
Signature		Date Y Y Y Y M M D D
If no transactions in quarter, please	check here	
Authority:	Statistics Act, Rev	collected under the authority of the ised Statutes of Canada, 1985, Chapter S-19. THIS QUESTIONNAIRE IS A LEGAL
Purpose:	transactions with r official estimates of Investment Position conduct of monetal of Canada. Your inf	provide are used to produce estimates on security non-residents and form an integral part of the Canada's Balance of International Payments and . Such estimates are used as a major input in the y and exchange rate policies by the Government ormation may also be used by Statistics Canada and research purposes.
Fax or e-mail transmission disclosure:	facsimile or other there could be a However, upon rec provide the guaran	nsmit the questionnaire to Statistics Canada by electronic transmission, please be advised that risk of disclosure during the communication. eight of your information, Statistics Canada will teed level of protection afforded all information authority of the <i>Statistics Act</i> .
Confidentiality:	it collects which cou unless consent has	prohibited by law from releasing any information ald identify any person, business, or organization, been given by the respondent or as permitted by tatistics Canada will use the information from this purposes.
Record linkages:		from this survey, Statistics Canada may combine om other surveys or from administative sources.
Filing of this questionnaire:	three weeks of rec and Statistics Divi- Ontario, K1A 0T6. enclosed envelope	of this questionnaire should be returned within eipt to Statistics Canada, International Accounts sion, 100 Tunney's Pasture Driveway, Ottawa, Please return the completed form to us in the or fax it at 613-951-9031. If you need any eporting, please call toll free 1 (866) 765-8143 or s@statcan.gc.ca.







Instructions

1. Objective of the Survey

This survey is intended to cover transactions in securities between residents of Canada and non-residents for inclusion in the official estimates of the Canadian balance of payments. For the purposes of this survey the following transactions are considered to be transactions with non-residents:

- (a) transactions in securities executed in Canada for the accounts of non-residents; and
- (b) transactions in securities executed outside Canada for your own account or for the accounts of clients resident in Canada.

The guiding principle in completing the questionnaire is whether there has been a change in ownership between residents of Canada and non-residents.

2. Who Must Report

All persons or firms in Canada, who, on their own behalf or on behalf of their clients, engage in transactions in securities directly with non-residents are required to report on this questionnaire.* The institution or firm in Canada which actually executes or arranges the security transaction outside Canada is to report the transaction. For example, if a bank in Canada, acting on behalf of a client in London, England, sells a security through a Canadian investment dealer, the bank, rather than the investment dealer, is to report a purchase from the United Kingdom.

3. Basis of Reporting

(a) Aggregate return

Respondents with more than one office in Canada are requested to report for the totality of their offices in Canada.

(b) Currency

Transactions are to be reported thousands of Canadian dollars. Where transactions are executed in foreign currencies, they should be converted into Canadian currency using the exchange rates prevailing on the days on which the transaction occured. Conversions based on the noon average for the month, or using exchange rates applied to customers' accounts, are also acceptable. Alternatively, separate questionnaires for individual foreign currencies, appropriately marked, may be submitted.

(c) Commissions and taxes

- (i) For transactions executed outside Canada, report as sales the amount credited on transactions for a Canadian client or for your own account (proceeds of sales less commissions and taxes paid outside Canada). Report as purchases the amount debited for these accounts (cost of purchase plus commisssions and taxes paid outside Canada).
- (ii) For transactions executed inside Canada, report as sales the amount debited on transactions for a non-resident purchaser (cost of securities plus commissions and taxes paid in Canada). Report as purchases the amount credited on transactions for a non-resident seller (proceeds of sales less commissions and taxes paid in Canada)

(d) Timing

Settlement dates are a more appropriate basis for the completion of this questionnaire than are trade dates. Where practical reasons necessitate the use of trade dates, it is essential that the questionnaire be adjusted to a settlement basis in respect of buy backs and other important deferred settlement transactions.

4. Geographical Distribution

Transactions with non-residents should be reported under the country or geographical area in which the non-resident is domiciled.

The **European Union** (apart from the United Kingdom and Germany) includes: Austria, Belgium, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Slovakia, Slovenia, Spain, and Sweden, Bulgaria, and Romania.

Middle East refers to Bahrain, Egypt, Iran, Iraq, Israel, Jordan, Kuwait, Lebanon, Oman, Qatar, Saudi Arabia, United Arab Emirates, and Yemen.

5. Residency

- (a) Individuals Residency is determined by the normal place of residence or domicile. Hence individuals who are citizens of a foreign country but are domiciled in Canada are considered to be residents of Canada. Similarly, individuals, including Canadian citizens domiciled outside Canada, are to be treated as non-residents of Canada.
- (b) Corporations In general, corporations are classified as residents of the country in which they are incorporated. Thus, subsidiaries in Canada of foreign corporations are to be treated as residents of Canada. Similarly, foreign subsidiaries of Canadian firms are treated as non-residents. There are, however, exceptions:
 - (i) Unincorporated branches and agencies in Canada of foreign firms are considered to be residents of Canada. Branches and agencies abroad of Canadian firms, particularly branches of investment dealers and banks, are considered to be non-residents of Canada.
 - (ii) Insurance companies The insurance activities in Canada of a foreign insurance company are regarded as those of a Canadian branch, and treated as a Canadian resident. Similarly, the business abroad of Canadian insurance companies is regarded as that of a non-resident branch.

6. Classification of Securities

- (a) For purposes of this questionnaire, securities are interpreted broadly including rights, warrants and options, as well as stocks, trust and royalty units, bonds, debentures, asset-backed securities and similar obligations. Both privately placed and publicly offered issues are to be reported.
- (b) Country of issue is the country of residence of the issuer. Neither the currency in which a security is denominated nor the currency in which the transaction is settled has significance for the purposes of this questionnaire. Thus, a Canadian issue is a security issued by a resident of Canada regardless of the country of placement, the currency in which it is denominated or the currency used for settlement.
- (c) New issues A new issue represents generally an additional source of funds to the issuing entity and will therefore include the proceeds from the exercise of rights or warrants. However, also included as new issues are refunding and conversion issues. For practical purposes, a new issue may be taken as occuring immediately after wholesale distribution, to include initial distribution to principals.
- (d) Outstanding issues All issues other than those defined as new issues are to be treated as outstanding. Rights, warrants and all mutual funds' units are to be treated as outstanding securities.
- (e) Redemption Maturing bonds or debentures and issues called for complete or partial redemption prior to maturity are to be included as purchases of outstanding securities and the issues identified. Purchases from non-residents by issuers of their own bonds, debentures, or stocks (as, for example, in the case of purchases for sinking fund purposes) are also to be reported in outstanding securities and issues identified.
- (f) Short-term securities The questionnaire BP-30Q should be used in conjunction with questionnaires BP-30A and BP-30B (where applicable) to report transactions in short-term instruments. Respondents not receiving questionnaires BP-30A and BP-30B should report these transactions on this questionnaire (BP-30Q).
- (g) Buy backs Short-term agreements for the sale and purchase of long-term securities should be treated as short-term transactions.
- (h) Options Total premiums paid to, or received from, non-residents for options contracts should be reported. If the option is exercised, the sale or purchase of the underlying security is to be reported as a transaction in an outstanding security.

* Chartered banks should exclude transactions in <u>foreign</u> <u>securities</u> with non-residents for their own account (Head Office, Canadian Branches or Canadian subsidiaries) as they are reported elsewhere. However, transactions

with non-residents in <u>Canadian securities</u> for their own account should be reported. All transactions with non-residents for the account of bank clients and customers should also be reported.

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