Annex Z 11 to AWV

Income payments on securities vis-á-vis non-residents

Report pursuant to section 69 (2) 2 of the Foreign Trade and Payments Regulation (AWV)

To
Deutsche Bundesbank
Service Centre
"Außenwirtschaftsstatistik"
55148 Mainz

Bank code: _____ Month, year: _____
Financial institution: _____
Address: _____
Contact: _____
Tel (+extension): _____ Fax: _____
E-mail address: _____

		Amounts in thousands of euro			
1	2	3	4	5	6
Country	Country number	Outgoing interest, dividend and income payments on **domestic** securities			
		Government and local authority bonds	Private bonds	Equities	Mutual fund shares
		4 - 382	**4 - 183**	**4 - 285**	**4 - 685**
Belgium	017				
Denmark	008				
Finland	032				
France, Monaco	001				
Greece	009				
United Kingdom[1]	006				
Ireland	007				
Italy	005				
Japan	732				
Canada	404				
Luxembourg	018				
Netherlands	003				
Austria	038				
Portugal	010				
Sweden	030				
Switzerland	039				
Spain	011				
USA	400				
*					

Sample

Place, date

Signature

[1]Excluding Guernsey, Jersey and Isle of Man
* Please complete, as appropriate.

		Amounts in thousands of euro			
1	2	3	4	5	6
Country	Country number	Incoming interest, dividend and income payments on **domestic** securities transactions			
		Government and local authority bonds	Private bonds	Equities	Mutual fund shares
		3 - 382	**3 - 183**	**3 - 285**	**3 - 685**
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Sample

Place, date

Signature

Explanatory notes prepared by the Deutsche Bundesbank on financial institutions reporting of "Payments for securities income in foreign trade and payments"

The form is to be used for statistical reporting pursuant to section 69 (2) No 2 of the Foreign Trade and Payments Regulation (*Außenwirtschaftsverordnung - AWV).*
The statistical data are required by the Deutsche Bundesbank for compiling the German balance of payments and there is a statutory obligation to furnish information. These data are subject to secrecy requirements and will not be passed on to third parties.

Legal basis: Foreign Trade and Payments Act (*Außenwirtschaftsgesetz - AWG*). Foreign Trade and Payments Regulation (*Außenwirtschaftsverordnung - AWV)* and Federal Statistics Act (*Bundesstatistikgesetz-BStatG*)
Record-keeping requirements: As proof of compliance with reporting requirements, report documents (eg copies of the reports submitted) must be kept for a minimum of three years. It should be possible to trace individual transactions from the documents.

A Reporting requirement. Interest, dividend and yield payments on domestic securities (including mutual fund shares and bonds denominated in foreign currency) to non-residents **are to be reported.** The securities income to be reported also includes compensation payments arising out of genuine securities repurchase agreements and securities lending transactions as well as compensation payments in connection with the holding of domestic securities as collateral abroad. Also subject to the reporting requirements are payments to be made by a financial institution in connection with its own issues. It is the actual (net) amounts paid out or credited to non-residents that are to be stated, categorised by the country in which the beneficiary is **domiciled (creditor country**), as well as incoming payments from the foreign depository, also categorised by the country in which the depository or the non-resident counterparty is domiciled. If an international organisation is the **beneficiary** of the payment, the amounts are to be entered under the name of the international organisation and not under the name of the organisation's country of domicile.
The amounts are to be given in thousands of euro. These are to be rounded in accordance with standard commercial practice.
When calculating the amounts to be reported, all paid securities income in foreign trade and payments should be included **regardless of size** since, in this case, the reporting threshold pursuant to section 59 (2) No. 1 and section 69 (3) of the Foreign Trade and Payments Regulation does not apply.
Domestic securities: securities issued by a resident.

B Submission of reports. A single copy of the report is to be submitted to the Deutsche Bundesbank by the fifth day following the reporting month. Reporting forms are provided free of charge by the service centre 'Außenwirtschaftsstatistik', 55148 Mainz. Alternatively, they can be downloaded as PDF or Excel files from our website (www.bundesbank.de/meldewesen/mw_aussenwirtschaft.en.php). Reports can also be submitted electronically (via the internet to the Bundesbank's ExtraNet). Further information is available on our website: http://www.bundesbank.de/extranet/extranet.en.php.

[1] Excluding Guernsey, Jersey and Isle of Man
* Please complete, as appropriate.