



CANADA  
SAVINGS BONDS  
PROGRAM

## **Certificate Delivery (S42)**

Information for Authorized Sales  
Agents about procedures for certificate  
delivery

August 2016

## Canada Premium Bonds Certificated Products

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## ***General***

This section addresses the packaging specifications for shipping printed Canada Premium Bonds (CPBs) to processing service providers for subsequent distribution to purchasers.

Packages of inscribed bonds and associated reports will be shipped by courier (signature service, next day delivery), to each processing service provider that has submitted a purchase file.

## ***Contact Information***

Phone:

Canada Savings Bonds Program  
1 800 575-5151 (Option 1)  
Monday to Friday, 8 a.m. to 8 p.m. (ET)

Fax:

613 782-8096

Mailing address:

Canada Savings Bonds Program  
P.O. Box 2770, Station D  
Ottawa, ON K1P 1J7

Courier address:

Canada Savings Bonds Program  
50 O'Connor Street, Suite 201  
Ottawa, ON K1P 6L2

## ***Sort Order for Delivery***

Within each delivery destination, certificates are sorted in the following order:

- cash purchases
- central branch organization unit
- delivery destination organization unit
- sales agent organization unit
- purchase number
- certificate identification

## ***Reports***

### **File processing control summary**

A [File Processing Control Summary Report](#) prepared by central branch (see example provided on page 3), will be forwarded to the delivery destination of the processing service provider that submitted the purchase file. The report provides the following information:

- product description
- requisition ID
- central branch name
- central branch address
- purchase file creation number
- shipment value
- value of rejected applications
- value remaining to be processed
- total shipment value
- total value rejected
- total value remaining to be processed

The report will be packaged in a courier envelope and forwarded to the address of the delivery destination transit number as contained in the purchase data file.



## Delivery destination processing summary

A [Delivery Destination Processing Summary Report](#) prepared by the processing service provider (see example provided on page 5), will be forwarded (in a separate courier envelope) with the shipment to the processing service provider that submitted the purchase file. The report provides the following information:

- product description
- requisition ID
- central branch
- delivery destination
- delivery address
- sales agent branch
- number of applications processed
- number of certificates shipped
- shipment value
- number of rejected applications
- value of rejected applications
- total number of applications processed
- total number of certificates shipped
- total shipment value
- total number of rejected applications
- total value of rejected applications

A copy of the report will be packaged in a courier envelope, separate from the package of inscribed bonds, and mailed with the bond shipment to the processing service provider based on the delivery destination indicated on the purchase data file. This copy will be sent to the central branch with the [File Processing Control Summary Report](#).

Example of *delivery destination processing summary report*

PAGE: 1

2011-12-13  
09:24 E

RETAIL DEBT MANAGEMENT SYSTEM/  
SYSTÈME DE GESTION DES TITRES DE DETTE DÉTENUS PAR LES PARTICULIERS

DELIVERY DESTINATION PROCESSING SUMMARY/  
SOMMAIRE DU TRAITEMENT POUR LA DESTINATION

REQUISITION ID/CODE DEMANDE: 504B0C980014332

CENTRAL BRANCH/SUCCESSALE CENTRALE: 00006-016181 NATIONAL BANK OF CANADA  
BANQUE NATIONALE DU CANADA

PRODUCT TYPE/TYPE DE PRODUIT: 14 CANADA PREMIUM BOND  
OBLIG. PRIME DU CAN.

DELIVERY DESTINATION/DESTINATION: 00006-016181 NATIONAL BANK OF CANADA  
BANQUE NATIONALE DU CANADA

DELIVERY ADDRESS/ADRESSE DE LIVRAISON: 600, DE LA GAUCHETIERE O. NIVEAU C  
MONTREAL  
QC H3B 4L7

SALES AGENT BRANCH/SUCC. AGENT VENDEUR	NBR OF APPL PROCESSED/ NBR SOUTCR. TRAITÉES	NBR OF CERTIFICATES SHIPPED/ NBR DE CERTIFICATS EXPÉDIÉS	SHIPMENT VALUE/ VALEUR ENVOI	NBR OF REJECTED APPL/NBRE SOUTSCRIPTIONS REJETÉES	VALUE OF REJECTED APPL/VALEUR DES SOUTSCRIPTIONS REJETÉES
00006-000221	1	2	\$200.00	0	\$ .00
00006-000501	1	2	\$20,000.00	0	\$ .00
00006-000591	5	7	\$700.00	0	\$ .00
00006-000791	3	8	\$47,000.00	0	\$ .00
00006-000901	3	6	\$2,400.00	0	\$ .00
00006-000981	2	2	\$1,000.00	0	\$ .00
00006-001021	1	4	\$12,000.00	0	\$ .00
00006-001251	3	6	\$5,100.00	0	\$ .00
00006-001301	4	9	\$12,500.00	0	\$ .00
00006-001501	1	5	\$9,000.00	0	\$ .00
00006-001551	1	5	\$50,000.00	0	\$ .00
00006-001591	2	2	\$15,000.00	0	\$ .00
00006-001721	5	19	\$10,200.00	0	\$ .00
00006-001771	6	6	\$1,800.00	0	\$ .00
00006-001811	1	2	\$200.00	0	\$ .00
00006-002031	2	2	\$200.00	0	\$ .00
00006-002141	2	4	\$3,300.00	0	\$ .00
00006-002181	6	12	\$1,200.00	0	\$ .00
00006-002231	1	6	\$24,000.00	0	\$ .00
00006-002241	1	3	\$30,000.00	0	\$ .00

## Rejected application details

A [Rejected Application Details Report](#) (see example provided on page 7) will be prepared and forwarded to the authorized sales agent with the package containing the envelopes of inscribed bonds. The report provides the following information:

- product description
- requisition ID
- sales agent branch
- bulk employee application ID (not used)
- purchase file creation number
- purchase number
- reference number
- purchase amount
- registration
- record type
- record occurrence number
- element ID
- element description
- input value
- reject reason

The report will be packaged in the courier envelope with the [File Processing Control Summary Report](#) for distribution to the delivery destination. A copy of the report will be forwarded with the package containing the envelopes of inscribed bonds.

To resubmit a rejected purchase application, the authorized sales agent can (i) make the corrections on the purchase file using the same purchase number as the original application, or (ii) send a copy of the reject report and a copy of the application with the corrected information on it through the agent's **central branch**. All paper purchase applications, including rejected applications, should come through the central branch.

When terms and conditions (e.g., an oversubscription) do not allow reinstatement of a rejected application, the customer is to be notified and the purchase price of the bonds refunded. To receive a refund, the financial institution can provide the Bank of Canada with a [Negative Remittance Form S7](#) or make an adjustment on the next Form S7 of the same series.

## Zero certificates files

When there are no certificates issued, the central branch will receive the *File Processing Control Summary Report*, the *Delivery Destination Processing Summary Report* and the *Rejected Application Details Report*. The delivery destination will receive the *Delivery Destination Processing Summary Report* and the *Rejected Application Details Report*.

## Example of rejected application details report

2011-12-13  
09:23 E

RETAIL DEBT MANAGEMENT SYSTEM/  
SYSTÈME DE GESTION DES TITRES DE DETTE DÉTENUS PAR LES PARTICULIERS

PAGE: 1

REJECTED APPLICATION DETAILS/DÉTAILS-SOUSCRIPTIONS REJETÉES

REQUISITION ID/CODE DEMANDE: 504B0C980014335

SALES AGENT BRANCH/SUCC AG VEND: 00006-013331 NATIONAL BANK OF CANADA  
BANQUE NATIONALE DU CANADA

BULK EMPL APPL ID/CODE SOUSCR. COLL.: 00000000 PURCHASE FILE CREATION NUMBER/NUMÉRO DE CRÉATION DE FICHIER: 20110002

PURCHASE NBR/NO D'ACHAT: 10119592 REF NB/NO RÉF.: 100009007112008  
PURCHASE AMOUNT/MONTANT-SOUSCRIPTIONS: \$300.00

REGISTRATION/  
SOUSCRIPTION: KENNETH  
WASHINGTON

RECORD TYPE/TYPE D'ENREGISTREMENT: B  
RECORD OCCUR. NBR/NBRE OCC. ENREGISTREMENT: 1  
ELEMENT ID/CODE DE L'ÉLÉMENT: 31  
ELEMENT DESCRIPTION/DESCRIPTION ÉLÉMENT: POSTAL CODE/ZIP / CODE POSTAL/ZIP  
INPUT VALUE/VALEUR DE L'INTRANT:

REJECT REASON/MOTIF DU REJET: RMS21200: INVALID CODE VALUE  
RMS21200: VALEUR DE CODE INVALIDE

## Sales agent branch certificate shipping summary

A [Sales Agent Branch Certificate Shipping Summary Report](#) prepared by an authorized sales agent (see example provided on page 9) will be forwarded with the package containing the envelopes of inscribed bonds. The report provides the following information:

- product description
- requisition ID
- packaging type
- central branch
- delivery destination
- sales agent branch
- sales agent address
- total applications rejected
- total value rejected
- product type
- total certificates shipped
- total shipment value

## Example of sales agent branch certificate shipping summary report

2011-12-13  
09:24 E

RETAIL DEBT MANAGEMENT SYSTEM/  
SYSTÈME DE GESTION DES TITRES DE DETTE DÉTENUS PAR LES PARTICULIERS

SALES AGENT BRANCH CERTIFICATE SHIPPING SUMMARY /  
SOMMAIRE DES ENVOIS DE CERTIFICATS-SUCCESSALE DE L'AGENT VENDEUR

REQUISITION ID/CODE DEMANDE: 504BOC980014332

PACKAGING TYPE/TYPE D'EMBALLAGE: 08 PACKAGE - AGENT  
PRESENTATION - AGENT

CENTRAL BRANCH/SUCCESSALE CENTRALE: 00006-016181 NATIONAL BANK OF CANADA  
BANQUE NATIONALE DU CANADA

DELIVERY DESTINATION/DESTINATION: 00006-016181 NATIONAL BANK OF CANADA  
BANQUE NATIONALE DU CANADA

SALES AGENT BRANCH/SUCC. AGENT VENDEUR: 00006-000221 NATIONAL BANK OF CANADA  
BANQUE NATIONALE DU CANADA

ADDRESS/ADRESSE: 2064 ROUTE 112  
ST-CESAIRE  
QC J0L 1T0

PAGE: 1

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TOTAL APPLICATIONS REJECTED/TOTAL-SOUSCRIPTIONS REJETÉES: 0  
TOTAL VALUE REJECTED/VALEUR TOTALE REJETÉE: \$ .00

PRODUCT TYPE/TYPE DE PRODUIT: 14 CANADA PREMIUM BOND  
OBLIG. PRIME DU CAN.

TOTAL CERTIFICATES SHIPPED/TOTAL-CERTIFICATS ENVOYÉS: 2  
TOTAL SHIPMENT VALUE/VALEUR TOTALE DE L'ENVOI: \$200.00

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END OF REPORT / FIN DU RAPPORT

## Certificate details

A [Certificate Details Report](#) prepared by an authorized sales agent (see example provided on page 11) will be forwarded with the package containing the envelopes of inscribed bonds. The report provides the following information:

- requisition ID
- product type
- sales agent branch
- bulk employee application ID (not used)
- purchase file creation number
- registration
- customer ID
- purchase number
- reference number
- certificate ID
- denomination
- number of certificates
- par value
- total par value

Example of certificate details report

2011-12-13 09:24 E	RETAIL DEBT MANAGEMENT SYSTEM/ SYSTÈME DE GESTION DES TITRES DE DETTE DÉTENUS PAR LES PARTICULIERS	PAGE: 1
	CERTIFICATE DETAILS/RENSEIGNEMENTS SUR LES CERTIFICATS/	
REQUISITION ID/CODE DEMANDE:	504BOC980014332	
PRODUCT TYPE/TYPE DE PRODUIT:	14 CANADA PREMIUM BOND OBLIG. PRIME DU CAN.	
SALES AGENT BRANCH/SUCC AG VEND:	00006-000221 NATIONAL BANK OF CANADA BANQUE NATIONALE DU CANADA	
BULK EMPLOYEE APPLICATION ID/CODE DE LA SOUSCRIPTION COLLECTIVE:	00000000	
PURCHASE FILE CREATION NUMBER/NUMÉRO DE CRÉATION DE FICHER:	20110002	

  

REGISTRATION/ SOUSCRIPTION	CERTIFICATE ID/CODE DE CERTIFICAT	DENOMINATION/ COUPURE	NR OF CERTS/ NBR DE CERT	PAR VALUE/ VALEUR NOMINALE
JANE DOE CUST ID/CODE CLIENT: 8800444609 PURCHASE NO/NO DE L'ACHAT: 87678903 REF NB/NO REF.: 020001000039552	CP079F000000D CP079F0000001L		100 2	200.00
TOTAL PAR VALEUR/TOTAL DES VALEURS NOMINALES:				\$200.00

  

TOTAL NUMBER OF CERTIFICATES AND VALUE SHIPPED TO SALES	2
AGENT BRANCH OR S11 COMPANY/NUMÉRE TOTAL DE CERTIFICATES ET VALEUR ENVOYÉES	\$200.00
AU SUCCURSALE AGENT VENEUR OU COMPANIE S11:	

## ***Packaging/Shipping***

Inscribed bonds will be included in an envelope by purchase application (i.e., one window envelope for each application form submitted), to a maximum of nine certificates per envelope. If more than nine certificates are requested on one purchase application, two or more envelopes will be used. Each envelope will be sealed, with the registration appearing in the window.

Envelopes containing inscribed bonds will be bundled according to the sales agent branch, and bound with an elastic band. The bundles of envelopes will then be placed in grey plastic envelopes (40.5 cm by 33 cm), in the reverse order of the applications that appear on the electronic file and listed on the [Certificate Details Report](#). The grey plastic envelope can hold 150 to 200 envelopes. Where the number of envelopes being returned to a single sales agent branch exceeds the number that can be placed in a grey plastic envelope, more than one grey plastic envelope will be used and the envelopes will be numbered consecutively.

### **NOTE**

The *Sales Agent Branch Certificate Shipping Summary Report*, the *Certificate Details Report* and the *Rejected Application Details Report* will be in the last grey plastic envelope of the bond package being sent to the branch.

Before certificates are delivered, the CSB Program Office will fax the FI identified as the delivery destination, advising it of the upcoming shipment. If the shipment is not received, please contact the [CSB Program Office](#).

Each grey plastic envelope will have an attached label, indicating the following information:

- name and mailing address of the authorized sales agent
- branch transit number
- par value of certificates being shipped
- number of envelopes in the shipment

### **Example of label for grey plastic envelope #1**

Sales Agent Name Transit: 12345654321 1234 Hazeldean Road Kanata, Ontario A1B 2C3 \$150,000	1 of 2
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**Example of label for grey plastic envelope #2**

Sales Agent Name Transit: 12345654321 1234 Hazeldean Road Kanata, Ontario A1B 2C3	
\$150,000	2 of 2

Each grey plastic envelope will be placed in a cardboard box or a courier envelope. Each cardboard box can hold up to 1,600 grey plastic envelopes. When there are sufficient grey plastic envelopes for one sales agent branch, only this organization's bonds will be packaged in the cardboard box. Multiple sales agent branches will be packaged in the same cardboard box, if required.

Each cardboard box will have an attached label, indicating the following information:

- name and mailing address of the processing service provider
- number of boxes in the shipment

**Example of label for cardboard box #1**

Processing Service Provider Name 20 King Street West Toronto, Ontario M5H 1C4
1 of 2

**Example of label for cardboard box #2**

Processing Service Provider Name 20 King Street West Toronto, Ontario M5H 1C4
2 of 2

## ***Missing, Damaged, Tampered or Lost Certificates***

### **Missing from shipment**

In the event that certificates are missing from a shipment to an authorized sales agent (ASA) and if this shortage cannot be attributed to rejected transactions, the CSB Program Office will issue replacement certificates. The central branch of the processing service providers must:

- fax to the [CSB Program Office](#) a copy of the [Certificate Details Report](#) identifying the missing certificate(s), together with a covering letter on the institution's letterhead, indicating that the certificate(s) was (were) missing from the shipment and giving instructions for delivery of the replacement certificate(s).

### **Damaged or tampered shipment**

It is possible that a package including certificates will be damaged or tampered with during delivery. Upon refusal of the delivery of a shipment because a package is either damaged, seems to have been tampered with or has a broken seal, the authorized sales agent must contact the [CSB Program Office](#) immediately and provide the following information:

- date the shipment was refused
- value of the shipment (if known)
- location from which the shipment originated
- delivery destination
- courier dispatch or trace number

Upon receipt of this information, appropriate arrangements will be made for the certificates to be replaced.

### **Lost by authorized sales agent**

If certificates are lost while in the custody of an authorized sales agent (ASA), complete *Financial Institution Indemnity Form for Lost Bonds or Registration Corrections* ([Form 2387](#)). The ASA can also contact the [CSB Program Office](#) for instructions concerning the replacement of lost certificates.

A bond of indemnity is not required when:

- the bond goes missing, and the envelope has not yet been released to the client;
- an authorized sales agent (for whom a financial institution processes bond purchase applications) notices that a bond is missing and has not yet released the envelope to the client;
- the envelope is opened by the client in the presence of a financial institution employee who notices that a bond is missing.

Before submitting Form 2387 to report lost bond(s), verify with your head office that the bond(s) are not in their possession.

**\*\*NOTE:** If an FI requires serial numbers for bonds the FI wishes to report as lost, the FI must contact the [CSB Program Office](#). The information to be provided by the FI representative in order to successfully complete authentication is as follows:

- caller's name
- name of the FI the caller represents
- name of the bondholder(s)
- bondholder address
- denomination(s) of the bonds being reported lost
- series number(s) and/or series issue date(s)

### **Lost by customer**

Certificates lost, destroyed or stolen while in the custody of a customer must be reported by the customer directly to the CSB Program Office.