



Centrálny depozitár cenných papierov SR, a. s.

Executory Decree No. 2 to the Rules of Operation of Centrálny depozitár cenných papierov SR, a.s.

PROCEDURE DETAILS IN PROVISION OF SERVICES DURING OPERATION FAILURE OF A PERSON WITH GRANTED ACCESS

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Table of contents

Article 1	3
Introduction	3
Article 2	3
Granting of authorizations to provide CDCP services in case of operation failure	3
Article 3	3
Communication in case of operation failure	3
Article 4	3
Instructions and requests forms and the way of submission thereof	3
Article 5	4
Realization procedure of the instructions and requests	4
Article 6	4
Final provisions.....	4

Article 1

Introduction

- 1.1 This Executory Decree has been issued in conformity with Article 1 of the Rules of Operation of Centrálný depozitár cenných papierov SR, a.s. (hereinafter referred to as “Rules of Operation”), and defines details related to application of the Rules of Operation related to operation failure, in particular the procedure for provision of services during operation failure of a Person with granted access.
- 1.2 Centrálny depozitár cenných papierov SR, a.s. (hereinafter referred to as “CDCP”) provides support according to this Executory Decree only during operation day of the CDCP settlement system from 8 a.m. to 5 p.m.

Article 2

Granting of authorizations to provide CDCP services in case of operation failure

- 2.1 A person with granted access may ask CDCP for support in case of operation failure based on a specific request on a form available from www.cdcp.sk. The person with granted access will in the form:
 - a) authorize CDCP to execute the instructions and services in the CDCP settlement system based on instructions and requests submitted to CDCP from authorized persons,
 - b) delegate specific persons to submit the instructions and requests in case of the operation failure.
- 2.2 The form according to subsection 2.1 of this article will apply with respect to provision of services made available in IS CDCP to the person with granted access.
- 2.3 In case of changes to the delegated persons or their contact data, the person with granted access shall submit the full wording of the form according to clause 2.1 of this Article.

Article 3

Communication in case of operation failure

- 3.1 The person with granted access shall have right to submit the instructions and requests in the sense of this Executory Decree, and communicate with CDCP to this end exclusively via the delegated person according to Article 2 of this Executory Decree. CDCP shall not accept the instructions and requests submitted contrary to this Executory Decree.
- 3.2 CDCP publishes the contact persons and addresses for CDCP for the purposes of the communication in case of the operation failure on its website www.cdcp.sk.

Article 4

Instructions and requests forms and the way of submission thereof

- 4.1 The person with granted access shall in case of the operation failure submit the instructions and requests exclusively in the form of the defined forms available from www.cdcp.sk and to the addresses according to Article 3, subsection 2 of this Executory Decree.

- 4.2 CDCP does not accept the forms containing data entered manually (except for signatures).

Article 5

Realization procedure of the instructions and requests

- 5.1 The person with granted access shall immediately inform CDCP by phone about its operation failure and on prepared instruction or request being send via fax or e-mail.
- 5.2 Should the person with granted access define in the form according to Article 2 of this Executory Decree that multiple signatures are always required, the instruction or request should be signed by that number of delegated persons.
- 5.3 Prior to processing of the received instruction or request, a CDCP employee shall verify the content thereof by calling to contact phone number of the delegated persons who signed it. The delegated persons shall confirm correctness, completeness, and truthfulness of data in the instruction or request.
- 5.4 CDCP shall process the received instructions or requests within adequate period of time depending on the number of the instructions or requests. In case of higher number of the instructions or requests, CDCP may refuse processing of the instructions, and the delegated persons who signed the instructions or requests shall be informed accordingly and immediately.
- 5.5 The phone calls according to subsection 5.3 of this Article is recorded and retained for settlement of potential objections, complaints, or a dispute.
- 5.6 CDCP shall deliver the service outcomes without undue delay to the person with granted access by fax or e-mail to contact fax number of e-mail address of the delegated persons who signed the instructions or requests, and verify the receipt of the same by phone afterwards.

Article 6

Final provisions

- 6.1 This Executory Decree to the Rules of Operation enters into force on the day of approving thereof by the board of CDCP on 13 June 2017 and is effective from 3 July 2017.