



**Centrálny depozitár cenných papierov SR, a. s.**

**RULES OF INFORMATION DISCLOSURE  
ACCORDING TO CSDR AND DELEGATED  
REGULATION**

**01 September 2017**

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## Definitions

**Delegated Regulation** – Commission Delegated Regulation (EU) 2017/392 of 11 November 2016 supplementing Regulation (EU) No 909/2014 of the European Parliament and of the Council with regard to regulatory technical standards on authorisation, supervisory and operational requirements for central securities depositories,

**Client** - for purpose of this information it is especially the Member, the Participant, linked central depository, an Issuer or an account owner and Other Market Infrastructure which has been granted access to the services by CDCP

**CSD Regulation** – Regulation (EU) No 909/2014 of the European Parliament and of the Council on improving securities settlement in the European Union and on central securities depositories and amending Directives 98/26/EC and 2014/65/EU and Regulation (EU) No 236/2012,

**Potential Client** –the person which is interested to apply for access or granting membership, for registration of book-entry securities or opening of owner’s account in compliance with the Rules of Operation of CDCP

**Public** – the general professional and laic public

**Generally binding Legal Regulation** - generally binding legal regulation of the Slovak Republic, published in the Collection of Laws of the Slovak Republic, binding legislation of the European Union, international treaty by which the Slovak Republic is bound and which govern CDCP activities or are related to CDCP activities

**Requesting person** –The person who is CDCP Client or Potential Client of CDCP, or a person who can be classified as „Public“

**Request** - the request for disclosure of information according to the Regulation (EU) 909/2014 and Commission Delegated Regulation (EU) 2017/392

## Abbreviations

CDCP, central depository	-	Centrálny depozitár cenných papierov SR, a.s.
Rules of Operation of CDCP cenných	-	The Rules of Operation of Centrálny depozitár papierov SR, a.s.
CR	-	Companies Registry
ZOCP	-	Act No. 566/2001 Coll. on Securities and Investment Services and on amendments of and supplements to certain acts as amended.

## **Article I**

### **Introductory provisions**

1. Centrálny depozitár cenných papierov SR, a.s. with registered seat on ul. 29. augusta 1/A, 814 80 Bratislava 1, Company ID: 31 338 976, incorporated in the Companies Registry of the District Court Bratislava I, Section Sa, file 493/B, is laying down these rules governing disclosure of selected information directed externally in relation to the Clients or Potential Clients of CDCP and to the Public.
2. CDCP is disclosing information according to the CSD Regulation and Delegated regulation or other generally binding legal regulations, mainly ZOCP.
3. The request for disclosure of information according to section 2 can be placed by:
  - a) the Client or Potential Client,
  - b) the Public.
4. CDCP is disclosing information, in particular:
  - a) Governance arrangements and the rules governing CDCP activity – information according to the CSD Regulation, art. 26(4),
  - b) CDCP management bodies – information according to the CSD Regulation, art. 26(4),
  - c) Information allowing the Clients to assess risks associated with the services provided – information according to the CSD Regulation, art. 34(5),
  - d) Information allowing assessing the risks and costs associated with settlement in the accounts – information according to the CSD Regulation, art. 40(3),
  - e) Legal and operational terms and conditions of agreement on link between CDCP and other depository - information according to the Delegated Regulation, art. 84(1)(d).

## **Article II**

### **Method and form of placing request**

1. The requesting person shall place the request for disclosure of information according to CDS Regulation or Delegated Regulation in writing using the request form published on the web site of CDCP. The request includes identification details on the requesting person, in particular:
  - a) Registered name, Company ID, entry in the CR for the legal person or Name and Surname for natural person,

- b) Address of the registered seat for legal person or permanent address for natural person (address in extent: street, building No., postal code, town/city, country)
- c) Name and contact details of the person responsible for the request (name, surname, function, phone no., e-mail)

The request further includes subject matter of the request, in which the requesting person specifies description of the request referencing to relevant provision of the CSD Regulation and/or Delegated Regulation.

2. The request shall be signed by the entitled person, whereas the signature does not have to be officially verified. The requesting person shall send completed and signed request to address of registered seat of CDCP – Centrálny depozitár cenných papierov SR, a.s. ul. 29. augusta 1/A, 814 80 Bratislava 1, Slovenská republika, or submit it to the mail room of CDCP. The requesting person can send the request via e-mail to account [PR@cdcp.sk](mailto:PR@cdcp.sk).

### **Article III**

#### **Period and method for processing of request**

1. If the request is complete, valid and submitted by the entitled person according to the CSD Regulation or Delegated Regulation, CDCP shall disclose requested information to the requesting person usually in 30 working days from the day when the request was delivered, depending on complexity of the information.
2. If the request is not complete, is not valid or is not submitted by the entitled person, CDCP shall inform the requesting person in writing on reason why the information can't be disclosed.
3. If CDCP denied to disclose the information due incompleteness of the request but the requesting person shall amend the request so it becomes complete, CDCP shall disclose the information to the requesting person in time pursuant to section 1 of this article. In such case the time for disclosure of information begins to run again on the day when complete request was delivered.
4. CDCP shall always deliver the response to the address stated in the request. Standard way of processing of the request is written response sent in letter even if the request was submitted by e-mail. CDCP may send the reply via e-mail in case of rejection of the request or invitation to amend the request.

### **Article IV**

#### **Final provisions**

1. The rules for disclosure of information according to the CSD Regulation and Delegated Regulation are published on the web site of CDCP – [www.cdcp.sk](http://www.cdcp.sk).

2. These rules are inseparable part of the Internal Guidelines Rules for publishing, disclosing and announcing information under conditions of Centrálny depozitár cenných papierov SR, a.s. and become valid on the day of approval by the Board of Directors of CDCP and effective on 1 September 2017.

In Bratislava on 23 August 2017

.....  
Ing. Martin Wiedermann  
Chairman of the Board of Directors

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Ing. Tomáš Novanský  
Member of the Board of Directors