

# **FORMS USED TO APPLY FOR SERVICES OF CDCP**

EXECUTORY DECREE No.3 TO THE RULES OF OPERATION

CENTRÁLNY DEPOZITÁR CENNÝCH PAPIEROV SR, A.S.

## **Article 1**

### **Introductory provisions**

- 1.1 This Executory Decree is issued in compliance with the Article 3 paragraph 3.1 part VI – „Final provisions“ of the Rules of Operation and it shall detail procedure and list of documents and enclosures that are usually required when applying for services of Centrálny depozitár cenných papierov SR, a.s. (further referred to as the “central depository” or “CDCP”).
- 1.2 Process of submitting an application for services of CDCP is governed by provisions of the Rules of Operation and this Executory Decree, unless it is stipulated differently in an agreement between an authorised person and CDCP. Applications for services of CDCP are submitted through forms usually in cases specified in the Rules of Operation.
- 1.3 Person submitting the form is responsible for its correctness with respect to formality and content.
- 1.4 Indicative list of requirements and enclosures that are usually required when submitting application/instruction for service of CDCP, is part of the form. CDCP, in reasoned cases, is entitled to ask for enclosures and documents that are not specified in the form and relevant provisions of the Rules of Operation.
- 1.5 Templates of forms are in annex to this Executory Decree; it is possible to obtain the list and templates of the forms in the seat of CDCP and on web page of CDCP.
- 1.6 In case the following expressions are used in next provisions of this Executory Decree, they have a below stated meaning:
  - a) „Security“ – security/securities;
  - b) „Act“ – the Act No.566/2001 Coll. on Securities and Investment Services and on amendments and supplements to certain laws

## **Article 2**

### **Forms related to the part “Introductory Provisions” of the Rules of Operation**

- 2.1 By using a form it is possible to apply in CDCP for:
  - a) assignment of substitute identification number (foreign CRN) (Article 8 of part “Introductory provisions” of the Rules of Operation) (**F2**);
  - b) complaints in regard to services executed by CDCP (Article 18 of part “Introductory provisions” of the Rules of Operation) (**F3**).

## **Article 3**

### **Forms related to the part “Rules of Registration of Issues” of the Rules of Operation**

- 3.1 By using a form it is possible to apply in CDCP for:
  - a) Assignment / change in identification data / cancellation of securities issue ISIN code (Article 2 of part “Rules of Registration of Issues” of the Rules of Operation) (**E0**);
  - b) request for change of essentials of the identification code ISIN and registration of the change to issuer’s register in the registry of the central depository – Notice on Change (Article 12, item 12.2, letter c) of part “Rules of Registration of Issues” of the Rules of Operation) (**E6**).
  - c) Statement / provision of information from the issuers register (Article 9 of part “Rules of Registration of Issues” of the Rules of Operation) (**F5**);
  - d) A list of securities owners (**F6**) / a statement of the list of securities owners (**F7**) – registered securities in book-entry form, or book-entry securities (Article 10, 10a of part “Rules of Registration of Issues” of the Rules of Operation);

- e) List of shareholders (**F8**) / a statement of the list of shareholders (**F9**) – registered securities in paper form (Article 20 of part “Rules of Registration of Issues” of the Rules of Operation).

#### **Article 4**

#### **Forms related to the part “Rules of Work with the Register” of the Rules of Operation**

- 4.1 By using a form it is possible to apply in CDCP for:
  - a) Change in personal data for natural person (Article 3 of part “Rules of Work with the Register” of the Rules of Operation) (**F1**)
  - b) application for opening an owner’s account (Article 2 of part “Rules of Work with the Register” of the Rules of Operation) (**F10**);
  - c) application for opening a holder’s account (Article 2 of part “Rules of Work with the Register” of the Rules of Operation) (**F10a**);
  - d) application for opening a client’s account (Article 2 of part “Rules of Work with the Register” of the Rules of Operation) (**F10b**);
  - e) application for an account statement (Article 5 of part “Rules of Work with the Register” of the Rules of Operation) (**F11**);
  - f) instruction for registration of an authorised person to dispose with securities on an owner’s account (Article 7 of part “Rules of Work with the Register” of the Rules of Operation) (**F12**);
  - g) Instruction for registration of Suspension of Disposal Right (only “SDR”)/ cancellation of SDR (Article 8 and Article 9 of part “Rules of Work with the Register” of the Rules of Operation):
    - i. SDR pursuant to §28, section 3, item b) of the Act – securities broker (**F13a**);
    - ii. SDR pursuant to §28, section 3, item f) of the Act – issuer (**F13b**);
    - iii. SDR pursuant to §28, section 3, item d) of the Act – pledgee (**F13c**);
    - iv. SDR pursuant to §28, section 3, item a) of the Act – owner of security (**F13d**);
  - h) Instruction for registration of transfer (Article 11 of part “Rules of Work with the Register” of the Rules of Operation):
    - i. transfer of securities without restriction (**F14a**);
    - ii. transfer of securities with registered pledge (**F14b**);
  - i) Instruction for registration of transition (Article 15 of part “Rules of Work with the Register” of the Rules of Operation):
    - i. transition of available securities (**F15a**);
    - ii. transition of securities with registered pledge (**F15b**);
  - j) Instruction for registration of creation / change / cancellation of transfer as collateral of securities to the Special Registry of Transfers as Collateral pursuant to paragraph 53 of the Act (Article 17 and Article 18 of part “Rules of Work with the Register” of the Rules of Operation) (**F16**);
  - k) application for excerpt from the Special Registry of Transfers as Collateral (Article 20 of part “Rules of Work with the Register” of the Rules of Operation) (**F17**);
  - l) instruction for registration of creation / change / cancellation of contractual pledge pursuant to paragraph 45 and 46 of the Act (Article 23 of part “Rules of Work with the Register” of the Rules of Operation) (**F18**);

- m) instruction for registration of creation / change / cancellation of contractual pledge pursuant to paragraph 53a and following of the Act (Article 24 of part “Rules of Work with the Register” of the Rules of Operation) (**F19**);
- n) application for excerpt from the pledge registry (Article 27 of part “Rules of Work with the Register” of the Rules of Operation) (**F20**);
- o) instruction for registration of movement of book-entry security (Article 13 of part “Rules of Work with the Register” of the Rules of Operation) (**F22**).

#### **Article 5**

##### **Change in personal data on account**

- 5.1 Change in personal data may be done free of payment based on written application pursuant to item 4.1, letter a) of Article 4, sent to address of CDCP seat, or placed in person in mail room of CDCP. The original data of an account owner and actual (changed) data must be stated in the application. Signature in the application must be officially verified and birth number and permanent address of an account owner must be stated in a verification stamp (it is recommended to verify the signature at a notary who is entering the data automatically, Registry Office is entering the data only on request).
- 5.2 Documents proving required change in data pursuant to Article 14 of part I. of the Rule of Operation must be enclosed to the application for change in personal data pursuant to item 4.1, letter a) of Article 4, e.g.:
  - a) change of surname – officially verified copy of a Marriage Certificate
  - b) change of permanent address – filled out form with verified signature
  - c) change in birth number – original or officially verified copy of certificate of birth number from the Central Registry of Population (address: Partizánska 129, 97486 Banská Bystrica, Slovakia);
  - d) statutory declaration pursuant to Act no. 359/2015 Coll. on Automatic Exchange of Financial Accounts Information for purpose of Tax Administration and on change and supplement of some acts.

#### **Article 6**

##### **Transitional provisions**

- 6.1 In case of services, for which a form is not part of the annex of this Executory Decree, universal forms valid up to now are used; the forms are available at Trade Services Department.

#### **Article 7**

##### **Final provisions**

- 7.1 Coming into effect of this Executory Decree ends the validity and effectiveness of the Executory Decree no. 3 which entered into force on 26 February 2007, as amended by the Supplement no. 1 effective from 17 July 2008.
- 7.2 This Executory Decree to the Rules of Operation is valid upon approval by the Board of Directors of CDCP on 16 December 2015 and shall enter into force on 01 January 2016.

In Bratislava, on 16 December 2015

Ing. Martin Wiedermann  
Chairman of the Board of Directors

Ing. Tomáš Novanský  
Member of the Board of Directors