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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Definitions and Abbreviations

CDCP	Centrálny depozitár cenných papierov SR, a.s
Alternate working place	Working place maintained in CDCP premises, which is equipped with at least one PC, which is able to ensure communication between the user and operation environment IS CDCP in U2A mode.
Signature	Signature compliant with signature template or digital signature by digital certificate of authorised person issued for name and surname used for identification and authentication of the authorised person in communication with IS CDCP.
Rules of Operation	The Rules of Operation of Centrálny depozitár cenných papierov SR, a.s. in valid wording
Identification Card	Identity Card or other proof of identity.

Article 1
Introduction

1.1 This Executory Decree has been issued in conformity with Article 1 of the 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 CDCP provides support according to articles 2 to 5 of this Executory Decree only during operation day of the CDCP settlement system from 8 a.m. to 5 p.m.

1.3 CDCP shall make the alternate working place accessible according to article 6 of this Executory Decree only during the operation day of the settlement system of CDCP, which is, at the same time, working day according to valid legislation of the Slovak Republic, at the time form 8:00 am until 5:00 pm.

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 In case the person with granted access did not specify in relevant form pursuant to article of this Executory decree required number of signatures of authorised persons, the instructions must be signed always by two of authorised persons.

5.4 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.

5.5 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.

5.6 The phone calls according to subsection 5.4 of this Article is recorded and retained for settlement of potential objections, complaints, or a dispute.

5.7 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.

Article 6
Accessibility of alternate working place

6.1 The person with granted access is obliged without delay to inform CDCP via phone call on its operation failure and to ask for utilising of the alternate working place minimum one hour before planned use of the alternate working place. In order to make the alternate working place accessible, the person with granted access, including persons who will use the alternate working place directly, is obliged to provide necessary cooperation.

6.2 Only the authorised person pursuant to article 2 of this Executory Decree, or person authorised to communicate with CDCP in connection with operation of the settlement system in relevant list of contact addresses and persons authorised for communication can request for utilising of the alternate working place.

6.3 Part of the request for utilising of the alternate working places must be information on persons who will use the alternate working place made accessible. When requested by

CDCP employee these persons are obliged to identify themselves with the identification card before they start to use the alternate working place,

6.4 The CDCP employee shall verify the request for utilising the alternate working place via phone call to contact phone number of the requesting person.

6.5 The person with granted access is obliged to use the alternate working place in compliance with instructions from the CDCP employees.

Article 7
Testing of procedures for event of operation failure

7.1 CDCP is exercising testing and revision of procedures for event of operation failure according to this Executory Decree:

a) regularly, usually yearly

b) in case of significant change in the procedures for event of operation failure set by this Executory Decree

7.2 Persons with granted access are obliged to participate in testing and review of procedures pursuant to this Executory Decree, whereas they select at least one option of CDCP support according to articles 2 to 5, or article 6 of this Executory Decree.

7.3 CDCP shall inform in adequate time-limit before testing and reviewing the procedures pursuant to this Executory Decree but latest 30 day before testing and reviewing the persons with granted access. CDCP can adequately shorten the period pursuant to previous sentence in reasoned situations.

7.4 In case that on basis of testing and reviewing of procedures pursuant to this Executory Decree CDCP shall identify insufficiencies at the persons with granted access, these are obliged to remove these insufficiencies in adequate time. CDCP has right to set adequate measures which the persons with granted access are obliged to adopt.

7.5 CDCP shall inform persons with granted access on results of testing and review of the procedures pursuant to this Executory Decree, what is without prejudice to provisions regulating information confidentiality pursuant to the Rules of Operation and special contractual arrangements in relation to person who participated in testing and review.

Article 8
Final provisions

8.1 This Executory Decree to the Rules of Operation enters into force on the day of approving thereof by the Board of Directors of CDCP on 07 December 2022 and comes into force from 01 January 2023.