# FORM F10A

# INSTRUCTION/REQUEST FOR A CHANGE IN REGISTRATION OF THE CONTRACTUAL PLEDGE

|  |  |  |
| --- | --- | --- |
| ***This table is to be completed by CDCP after service provision*** | | |
| *Filing date* |  | |
| *Order No.* | *ZP-* | |
| *Service code* | | *PLDA.003* |
| *Date of processing* | |  |

|  |  |
| --- | --- |
| **The client hereby submits[[1]](#endnote-1)** | |
| **INSTRUCTION** for change in contractual pledge registration[[2]](#endnote-2) | |
| **REQUEST** for change in contractual pledge registration[[3]](#endnote-3) | |
| Registration No of the pledge agreement | Kliknutím zadáte text. |
| Registration date of the pledge agreement | Kliknutím zadáte text. |

|  |  |
| --- | --- |
| **The Client hereby requests a change in the registration of the contractual pledge established under:**[[4]](#endnote-4) | |
| **§ 45 of Act No 566/2001 Coll.** | **§ 53a of Act No 566/2001 Coll.** |

|  |  |
| --- | --- |
| **The instruction / request for a change in the pledge registration is placed by:** | |
| **PLEDGEE** | **PLEDGOR** |
| **MEMBER:[[5]](#endnote-5)** Kliknutím zadáte text. | |
| **HOLDER: [[6]](#endnote-6)** Kliknutím zadáte text. | |

# DATA BEFORE THE CHANGE IN REGISTRATION[[7]](#endnote-7) *(Always fill in all registered data)*

|  |  |
| --- | --- |
| * 1. **Identification of the PLEDGEE before change[[8]](#endnote-8)** | |
| Pledgee I. | Kliknutím zadáte text. |

|  |  |
| --- | --- |
| * 1. **Identification of the PLEDGOR before change**[[9]](#endnote-9) | |
| Pledgor I. | Kliknutím zadáte text. |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| * 1. **Identification of pledged BOOK-ENTRY securities before change** | | | | |
| ISIN | Issuer´s ID no. | Amount/value | Account number[[10]](#endnote-10) | Owner |
|  |  |  |  | Pledgor I. |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| * 1. **Identification of pledged PAPER FORM securities before change**[[11]](#endnote-11) | | | | | |
| Security identification[[12]](#endnote-12) | Issuer´s identification data[[13]](#endnote-13) | Type | Form | amount/  value | Owner |
|  |  |  |  |  | Pledgor I. |

|  |  |  |
| --- | --- | --- |
| * 1. **Specification of the secured claim before change** | | |
| Claim amount | Currency | Maturity |
| Kliknutím zadáte text. | EUR | Kliknutím zadáte text. |

# CLIENT REQUIRED TO REGISTER FOLLOWING CHANGED DETAILS

# *(Fill in only in case of change)*

|  |  |
| --- | --- |
| * 1. **Identification of the PLEDGEE after change[[14]](#endnote-14)** *(Fill in only in case of change)* | |
| Pledgee I. | Kliknutím zadáte text. |

|  |  |
| --- | --- |
| * 1. **Identification of the PLEDGOR after change**[[15]](#endnote-15)*(Fill in only in case of change)* | |
| Pledgor I. | Kliknutím zadáte text. |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| * 1. **Identification of pledged BOOK-ENTRY securities after change** *(Fill in only in case of change)* | | | | |
| ISIN | Issuer´s ID no. | Amount/value**[[16]](#endnote-16)** | Account number[[17]](#endnote-17) | Owner |
|  |  |  |  | Pledgor I. |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| * 1. **Identification of pledged PAPER FORM securities after change**[[18]](#endnote-18)*(Fill in only in case of change)* | | | | | |
| Security identification[[19]](#endnote-19) | Issuer´s identification data[[20]](#endnote-20) | Type | Form | amount/  value**[[21]](#endnote-21)** | Owner |
|  |  |  |  |  | Pledgor I. |

|  |  |  |
| --- | --- | --- |
| * 1. **Specification of the secured claim after change** *(Fill in only in case of change)* | | |
| Claim amount | Currency | Maturity |
| Kliknutím zadáte text. | Kliknutím zadáte text. | Kliknutím zadáte text. |

# ADDITIONAL DATA

|  |  |
| --- | --- |
| 1. **Processing of instruction**[[22]](#endnote-22) | |
| **The client hereby requests processing of instruction within the order and within the time limit under article 8 of Part I. of the Rules of Operation of CDCP.** | CDCP processes the requests for services and other submissions within order they have been submitted by the clients. CDCP shall process delivered request for service or other submission **in 15 working days from the delivery date.** CDCP does not asses or process the instruction and attached documents on the day when submitted. |
| **The client hereby requests priority processing of the instruction.** | CDCP shall process the instruction and the attached documents on a priority basis **within 2 working days from the date of receipt of the instruction**, if the client also pays surcharge for priority processing of the service request according the CDCP Scale of Fees immediately upon submission of the instruction. In the event that the priority processing results in priority execution of the requested service, CDCP shall charge the client, in addition to the standard fee for requested service, a 100% surcharge for priority execution of the service according to the CDCP Scale of Fees. CDCP shall not assess and process the instruction and attached documents on the day of their receipt. |

|  |  |
| --- | --- |
| 1. **Attached documents** | |
| Number of attached documents | Kliknutím zadáte text. |
| List of attached documents | Kliknutím zadáte text. |

|  |
| --- |
| 1. **Additional notes to requested change in registration of contractual pledge** |
| Kliknutím zadáte text. |

# CLIENT´S DECLARATIONS AND CONSENT

|  |
| --- |
| * By signing this form, the client declares and at the same time is liable for the data in this form to be complete, true and correct. * By signing this form, the client declares that he/she has read the Rules of Operation and the Schedule of fees of Centrálny depozitár cenných papierov SR, a.s. and that he/she agrees to follow their provisions. * By signing this form, the client acknowledges that Centrálny depozitár cenných papierov SR, a.s. will process his/her personal data in compliance with Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC and with Act No. 18/2018 Coll. On protection of personal data and on amendments and supplements to some acts. More information on processing of personal data of client are published on the internet page www.cdcp.sk in section Personal data security: **https://www.cdcp.sk/en/personal-data-security/** * By signing this form the client acknowledges that Centrálny depozitár cenných papierov SR, a.s. as an obliged person pursuant to article 5, section 1 (b)(1.) of the Act No.297/2008 Coll. has the obligation to process personal data for the purpose of prevention and detection of legalization of proceeds of criminal activity and terrorist financing, and that, at the same time, it is authorised for the purpose of customer due diligence and for the purpose of detection of unusual business operations pursuant to article 14 of the Act No.297/2008 Coll., even without the consent of the persons concerned, to identify, obtain, record, retain, use and otherwise process personal data and other data within the scope pursuant to article 10(1), article 11(3) and articles 12(1) and (2) of the Act No.297/2008 Coll.; while doing so, Centrálny depozitár cenných papierov SR, a.s. is entitled to obtain personal data necessary for reaching the purpose of processing by copying, scanning or other recording of official documents to information carrier and to process birth numbers and other data and documents without the consent of person concerned within the scope pursuant to article 10(1), article 11(3) and article 12(1) and (2) of the Act No.297/2008 Coll. |

**Date** Kliknutím zadáte text. **Bratislava, on**

**Client´s signature CDCP´s stamp and signature of CDCP employee**

***Name and surname:*** *Kliknutím zadáte text.*

***Telephone/email:*** *Kliknutím zadáte text.*

**The client hereby confirms receipt of the requested service output at the registered office of CDCP on**

**Client´s signature**

***Name and surname:*** *Kliknutím zadáte text.*

{0>

***INFORMATION FOR THE CLIENT:***

<0}

*Placement of requests and instructions for services and their required attachments is governed by the Rules of Operation of Centrálny depozitár cenných papierov SR, a.s. (further only „the Rules of Operation“).*

*It is possible to place the form duly filled in compliance with explanations included therein in* ***person*** *in the seat of CDCP, unless the Rules of Operation states differently.*

*CDCP shall charge a fee for submission of an instruction in accordance with the applicable CDCP Scale of Fees, regardless of the method of processing the instruction. The* ***fee for instruction submission*** *shall be paid at the time of instruction submission at the cash desk of CDCP.*

*Provision of service in question is* ***charged*** *according to the Scale of Fees of CDCP.*

*This form can be signed on behalf of the client –* ***legal person*** *by representatives of the statutory body in compliance with a form of acting stipulated in the Companies Register or other records set by the regulation in which the client – legal person is registered (further only „official register“) OR by a person authorised to sign this form on behalf of the client – legal person on basis of the valid Power of Attorney. The client shall demonstrate the authorisation to act on behalf of a client – legal person, or to sign this form in compliance with the Rules of Operation as follows:*

*in case the form is signed by representatives of the* ***statutory body*** *of the client – legal person, it is necessary to submit to CDCP also the original or certified copy of excerpt from the Companies Register in which the client is registered as a legal person, that is not older than* ***3 months*** *(in case of a foreign legal person not older than* ***6 months****) on the day when representatives of the statutory body signed the form and also on the day when this service is provided,*

*in case the form is signed by an* ***authorised person****, it is necessary to submit to CDCP also the original or a certified copy of the Power of Attorney with officially certified signature of a donor of the power and the original or a certified copy of an excerpt from the Companies Register in which the client is registered as a legal person, that is not older than* ***3 months*** *(in case of a foreign legal person not older than* ***6 months****) on the day when representatives of the statutory body signed the Power of Attorney and on the day when this form is signed.*

*This form may be signed on behalf of a client -* ***natural person*** *by*

*directly by that natural person OR*

*a person authorised to sign this form on behalf of the client-natural person, on the basis of a valid power of attorney. In this case, the original or an officially certified copy of the power of attorney with the officially certified signature of the principal must also be submitted to the CDCP.*

*The client is obliged to attach this form with all documents required according to the Rules of Operation and relevant regulations.*

***The attached document, in addition to mentioned above, include for example confirmation of change in the contents of the relevant securities pledge agreement, or document confirming other reason for change in the contractual pledge***

*Documents issued by an authority/office of a foreign state as well as the legalisation of signatures (i.e. the certification of the authenticity of the signature) and the vidimation of documents (i.e. the certification of a copy of the document) which have been drawn up abroad must also be accompanied by the relevant verification clauses (within the meaning of international treaties, the Hague Convention on the Abolition of the Requirement of a Higher Attestation of Foreign Authentication of Authentic Instruments, or the super-legalization procedures).*

***All documents submitted must always be originals or certified copies. A legalisation or vidimation clause, deed, Apostille or super-legalisation clause issued in a language other than Slovak or Czech must be officially translated into Slovak by a Slovak official translator.***

**Explanatory notes:**

1. Select option. [↑](#endnote-ref-1)
2. Instruction for registration of establishment of contractual pledge is submitted by pledgor or pledgee. [↑](#endnote-ref-2)
3. The request for change in registration of a contractual pledge shall be submitted by the member or holder, who shall also forward to CDCP the original instruction for change in registration of a contractual pledge pursuant to article 50(2) of Act No 566/2001 Coll. [↑](#endnote-ref-3)
4. Select one of the options [↑](#endnote-ref-4)
5. State a business name, registered address, Company ID of a member. [↑](#endnote-ref-5)
6. State a business name, registered address, Company ID of a holder. [↑](#endnote-ref-6)
7. Specify the status currently entered in the pledge registry. [↑](#endnote-ref-7)
8. For legal person state the business name, registered office and address of actual place of business if different from the registered office (street, building number, post code, municipality, country), and Company ID No/foreign ID number/substitute identification number. As concerns a natural person, state the name, surname, permanent residence (street, building No, post code, municipality, country), and the birth No. The client who is to pay for CDCP´s service shall state also the Tax ID and VAT ID number [↑](#endnote-ref-8)
9. For legal person state the business name, registered office (street, building number, post code, municipality, country), and Company ID No/foreign ID number/substitute identification number. As concerns a natural person, state the name, surname, permanent residence (street, building No, post code, municipality, country), and the birth No. The client who is to pay for CDCP´s service shall state also the Tax ID and VAT ID number. [↑](#endnote-ref-9)
10. State the number of owner/holder account in which the book-entry securities concerned are registered. [↑](#endnote-ref-10)
11. The client must submit one uncertified copy of one paper-form security (with already marked pledge endorsement in accordance with Section 45(4) of Act No. 566/2001 Coll.) from the given issue of paper-form securities to the order. For provision of the service, the client shall also submit originals of all securities to be pledged or on which the change or termination of the contractual pledge is to be marked. If the paper-form security has a pendant, it must form an integral (firmly attached) part of the paper-form security. [↑](#endnote-ref-11)
12. Enter the security identification (unambiguous identifier) stated on the paper-form securities concerned, based on which the paper-form securities concerned may be identified unambiguously. [↑](#endnote-ref-12)
13. State the business name, registered office, and company ID number where the issuer is a legal entity. State the name, surname, and permanent residence where the issuer is a natural person. [↑](#endnote-ref-13)
14. For legal entity - state the business name, registered office (street, street number, post code, municipality, country), and company ID number/foreign identification number/substitute identification number. For a natural person, state the name, surname, permanent residence (street, street number, post code, municipality, country), and the birth registry number. The client who is to pay for CDCP´s service shall state also the tax identification number and VAT ID number. [↑](#endnote-ref-14)
15. For a legal entity - state the business name, registered office (street, street number, post code, municipality, country), and company ID number/foreign identification number/substitute identification number. For a natural person, state the name, surname, permanent residence (street, street number, post code, municipality, country), and the birth number. The client who is to pay for CDCP´s service shall state also the tax identification number and VAT ID number. [↑](#endnote-ref-15)
16. In case the change in the pledge consists in reduction of number of pledged securities in any of concerned issues to zero, state „0“ as quantity/value. [↑](#endnote-ref-16)
17. State the number of owner/holder account in which the book-entry securities concerned are registered. [↑](#endnote-ref-17)
18. The client must submit one uncertified copy of one paper-form security (with already marked pledge endorsement in accordance with Section 45(4) of Act No. 566/2001 Coll.) from the given issue of paper-form securities to the order. For provision of the service, the client shall also submit originals of all securities to be pledged or on which the change or termination of the contractual pledge is to be marked. If the paper-form security has a pendant, it must form an integral (firmly attached) part of the paper-form security. [↑](#endnote-ref-18)
19. Enter the security identification (unambiguous identifier) stated on the paper-form securities concerned, based on which the paper-form securities concerned may be identified unambiguously. [↑](#endnote-ref-19)
20. State the business name, registered office, and company ID number where the issuer is a legal entity. State the name, surname, and permanent residence where the issuer is a natural person. [↑](#endnote-ref-20)
21. In case the change in the pledge consists in reduction of number of pledged securities in any of concerned issues to zero, state „0“ as quantity/value. [↑](#endnote-ref-21)
22. Mark one of the options with a cross. If the client does not mark either option, CDCP will process the instruction in the order and within the time limit set in Article 8 of Part I of the CDCP’s Rules of Operation. [↑](#endnote-ref-22)