

The World CSD FACT BOOK

2019

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INTRODUCTION

The World Forum of CSDs (WFC) is composed of the five regional Central securities Depositories (CSD) associations, i.e., Asia- Pacific CSD Group (ACG), Americas' Central Securities Depositories Association (ACSDA), Association of Eurasian Central Securities Depositories (AECSD), Africa & Middle East Depositories Association (AMEDA) and European Central Securities Depositories Association (ECSDA). The total number of member CSDs of WFC is 135.

The WFC Board initiated the World CSD Fact Book project, with member representation from the five Regional Associations of CSDs that comprise the WFC. A joint report providing a consolidated data on the CSD industry worldwide was published in the year 2019. The introduction of the World CSD Fact Book led to greater data gathering efficiency, a holistic view of all CSDs and a time - saver for all.

The World CSD Fact Book contains data on the following:

- general company information [i.e., ownership, banking license and number of employees],
- the structure of the system it operates [i.e., account structure, form of custody, type of Participants and eligible issues by instrument type],
- its activity and services [i.e., value of deposit by instrument type, number of Participants, number of accounts, number & value of transactions and corporate action events] and
- other important details such as links with other CSDs, and developments/initiatives undertaken by CSDs.

The second version of WFC Fact book will lead to one step forward in enhancing the consolidation of data, more accuracy and better understanding of the terminology used across the world.

OVERVIEW OF THE WORLD'S CSDs

1. PARTICIPATION IN THE FACT BOOK

The Second Annual Survey to collect information for the World CSD Fact Book was sent to all WFC members through the respective regional CSD associations. There are 149 WFC Members (unique) of which 135 are CSDs, as some associations also allow for the participation of non-CSD members.

Of the 135 Member CSDs, 100 responded to the World CSD Fact Book survey. For the year 2019, the Regional Association participation in this initial World CSD Fact Book Survey was as follows:

Regional Association	Number of Member CSDs	CSDs who have responded (*)
ACG	33	25
ACSDA	28	13
AECSD	15	15
AMEDA	30	21
ECSDA	40	39

* 11 CSDs are members of more than one regional association.

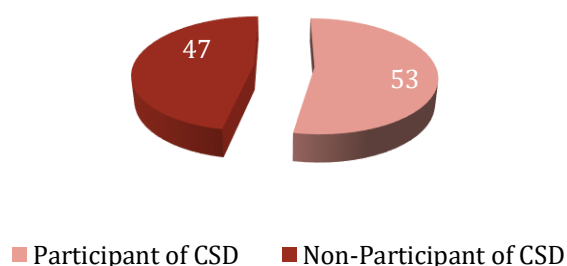
2. ORGANISATION

2.1. OWNERSHIP MODELS

2.1.1. CSDs have a big variety of ownership models. We decided to assess the model based on type of the shareholder they have and on whether the shareholder is also a CSD participant or not. We have identified the following eventual categories of shareholders: (1) Federal / National Government, (2) Other Government Bodies, (3) Central Bank, (4) Trading Venues, (5) Clearing Venue i.e., CCP, (6) Banks, (7) Brokers, (8) Insurance companies and (9) Private/Other Institutions.

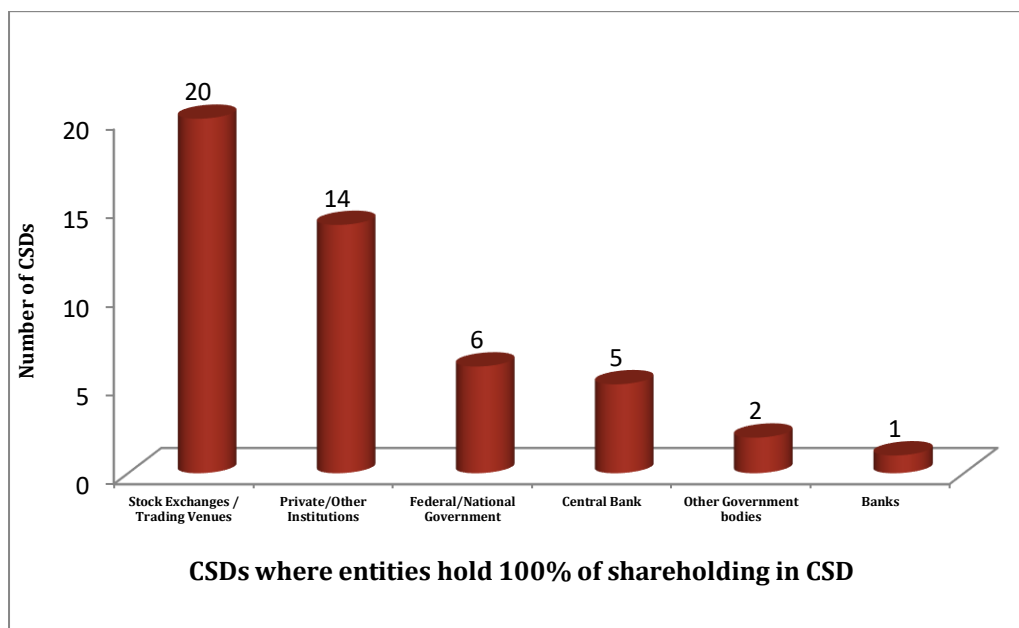
2.1.2. We also asked whether shares of the CSD or its Holding Company are traded or not, and whether the CSD is part of a group.

2.1.3. Of 100 CSDs who have responded to the survey, 97 have provided the details of the shareholding pattern. From the information provided, it is observed that approximately 53% of the CSDs are owned partially or entirely by their users (i.e., Participant of CSD). These users hold in excess of 50% of the shareholdings in an average CSD.

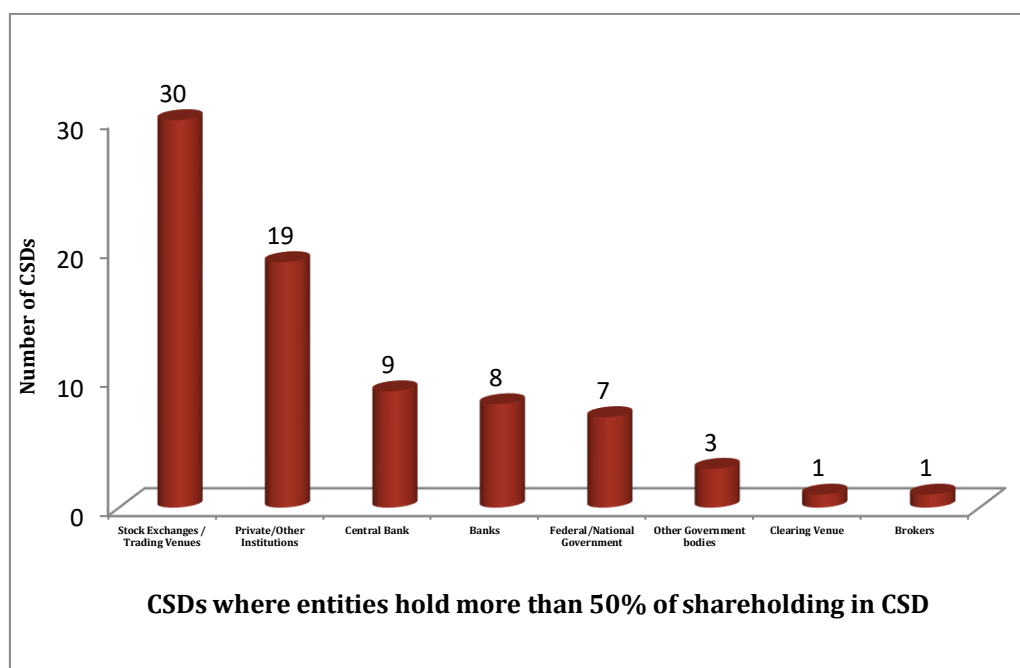


2.1.4. Of 100 CSDs who have responded to the survey, 97 have provided the shareholding pattern. More than by any other category of owners, CSDs are partially or entirely owned by a Trading Venue. Below this category follows other types of companies, Central and Commercial Banks.

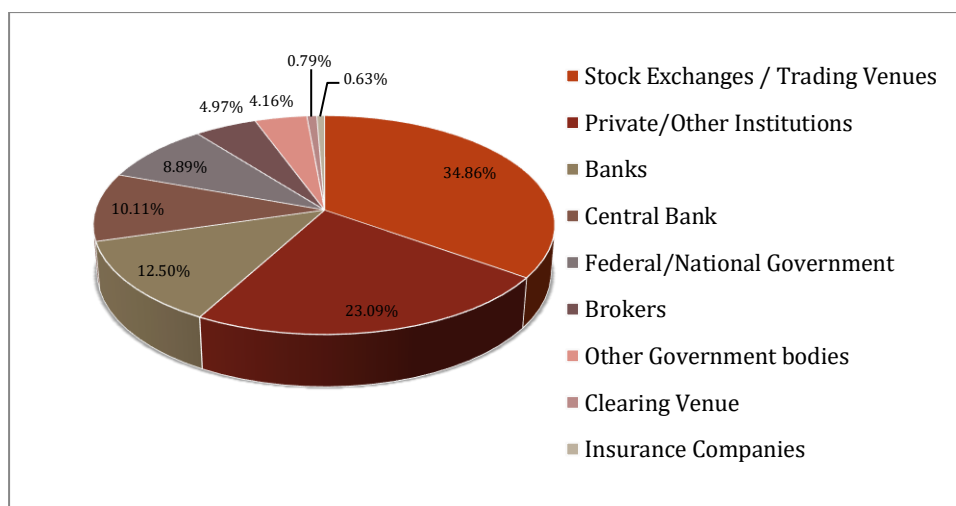
2.1.5. Entities holding 100% shareholding in CSDs



2.1.6. CSDs where entities hold more than 50% of shares in a CSD:



2.1.7. The split of ownership of 97 CSDs that have responded to the survey is provided in the following chart. From the chart, it can be seen that Trading Venues are the entities with the largest ownership in CSDs. Apart from the Trading Venues, Banks and Central Banks are the biggest shareholders.



2.1.8. There are 23 CSDs whose shares or shares of its holding companies are publicly traded.

2.1.9. There are 33 CSDs owned or controlled by Stock Exchange, 16 CSDs owned or controlled by a Holding Company that also owns other FMIs and 9 CSDs owned or controlled by Central Bank.

2.2. EMPLOYMENT

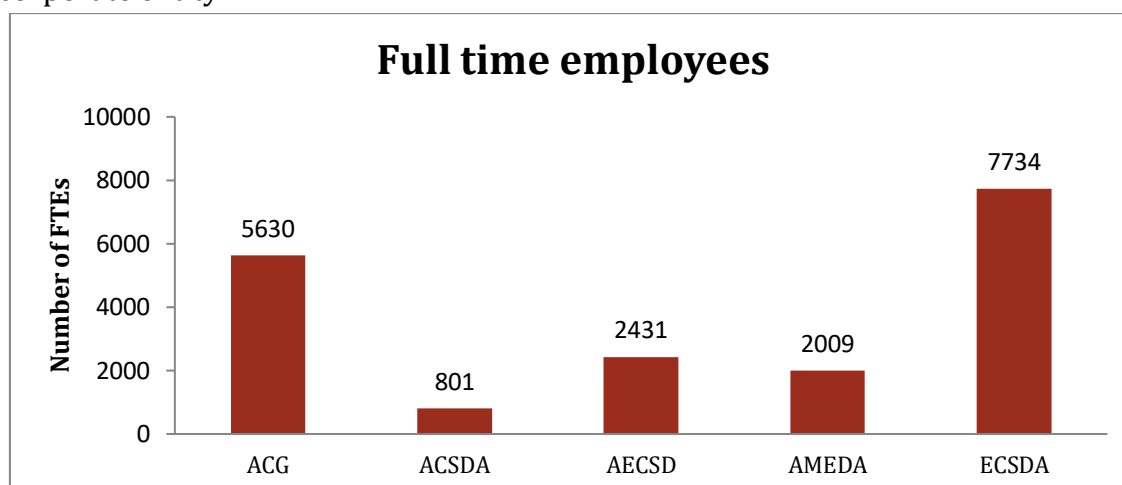
2.2.1. Information on the full-time employees employed in CSD operations are collected from CSDs. Of 100 CSDs who have responded to the survey, 4 CSDs have not provided details.

2.2.2. Approximately 62% (i.e., 62 CSDs) of the CSDs who have responded to the survey have less than 100 full-time employees.

2.2.3. Excluding the three ICSDs, the average CSD has slightly more than 100 employees. This illustrates that the CSD business, unlike other capital market businesses, is more IT-intensive than labor-intensive. The range of the figures is broad, since the smallest CSDs in some cases are run by fewer than 10 full-time employees.

2.2.4. Total full-time employees collectively employed by these CSDs are 15,557 as of December 31, 2019. From that total, Euroclear Bank has 2,900 employees, China Securities Depository and Clearing Corporation Limited has 1,200 employees and Clearstream Banking SA has 1,067 employees which comprise more than 30% of the total full-time employees employed by all 96 CSDs that have provided the data.

2.2.5. It is important to note that the employee data reflects various corporate structures and arrangements, and in cases where a CSD is not a separate entity (*e.g., when it is a department of the Exchange or part of an integrated corporate group with shared services among the different businesses*), the reported figures show the actual number of full-time employees dedicated to the CSD activity rather than the actual number of employees of the corporate entity.



3. LINKS WITH OTHER CSDs

3.1. For the purposes of the Fact Book, we define a "CSD link" as an arrangement between the CSDs which allows a CSD to provide its Participants access to securities maintained in another CSD, without requiring them to have a direct relationship with the other CSDs, or with a participant of the other CSDs. CSD links are an important means to facilitate cross-border securities transactions in a secure infrastructure environment and to contribute to facilitating cross-border investments.

3.2. Information with respect to links with other CSDs is collected with a bifurcation of direct and indirect links. Direct links whereby the CSD is a direct participant in another CSD. Indirect links are where CSDs connected to other CSDs via a sub-custodian and/or by relayed links via an intermediating CSD.

3.3. Information on whether the link is inbound or outbound or both are also collected along with the purpose of links. Inbound links are those links where clients of the other CSD can access the securities maintained in the CSD. Outbound links are those links where clients of one CSD can access the securities maintained in the other CSD.

3.4. The prevailing model is to establish links with other CSDs via direct links. Most of the CSDs that have links with other CSDs have established direct links instead of indirect links using an intermediary with the other CSDs. There is only 1 CSD who have only indirect links.

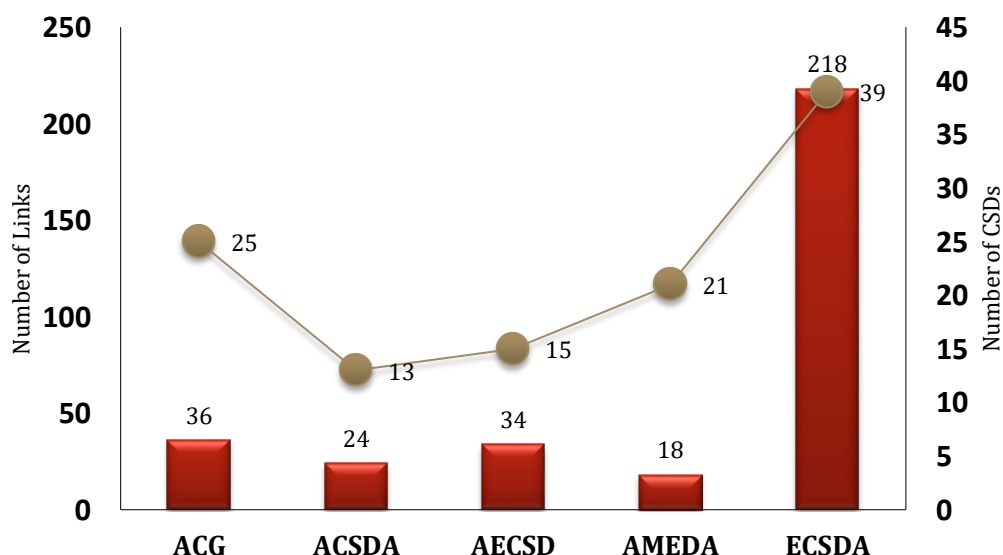
3.5. Of 100 CSDs, 41 CSDs mentioned that they do not have any links with other CSDs and 3 CSDs have not provided the data. The remaining 56 CSDs that have provided the data have either direct or indirect links with other CSDs. Of these, 36 CSDs have only direct links, 15 CSDs have both direct and indirect links and 1 CSD has only indirect links. 4 CSDs have mentioned that they have links with other CSDs, but not provided the details of direct and indirect links.

3.6. In addition to the settlement of securities, these links are also used for the settlement of other financial instruments. Approximately 50% of CSD's links are used for both delivery-versus-payment (DVP) and free-of-payment (FOP) settlement.

3.7. CSDs have established a total of 300 links (inbound/outbound or both) with other CSDs. On an average of 3 links are maintained by each CSD. *[excluding the top three CSDs in terms of links i.e., SIX SIS Ltd (54 links), Euroclear France (26 links), Monte Titoli S. P. A. (21 links)].*

3.8. Member CSDs of ECSDA have most of the links with more than 218 direct & indirect links. Of 39 member CSDs of ECSDA, 31 CSDs have links with other CSDs. This comprised of 72% of total links across all the CSDs. This includes the top three CSDs in terms of links i.e., SIX SIS Ltd, Euroclear France, Monte Titoli S. P. A.

3.9. The number of CSDs that have links with other CSDs and the number of total links these CSDs have established are shown in the following chart.



4. SYSTEM STRUCTURE

4.1. ACCOUNT STRUCTURE

4.1.1. Across the different countries, there are currently many different legal, regulatory and operational requirements that determine the securities account structure used by CSD Participants and how CSD Participants can hold securities on behalf of investors at a CSD. These requirements have differing impacts on asset protection, asset servicing and operational costs and facilities for end investors and intermediaries. The various types of account structure models used by CSDs are as follows:

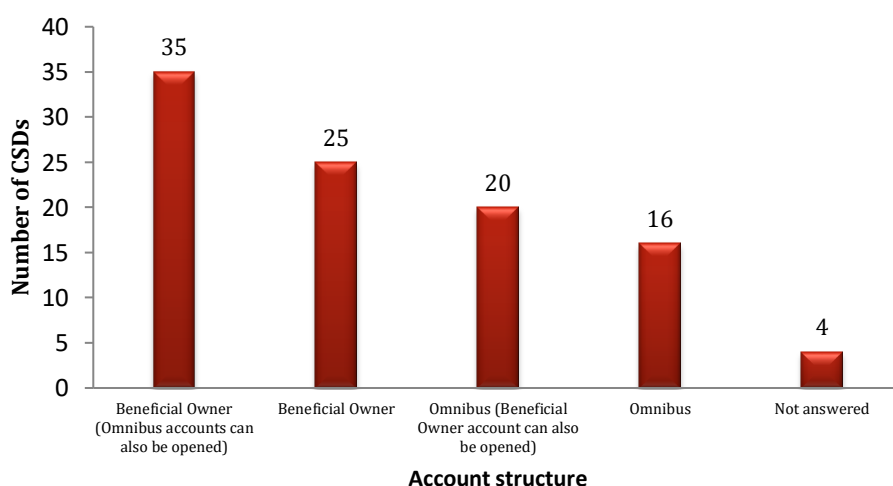
- Beneficial Owner
- Beneficial Owner (Omnibus Accounts can also be opened)
- Omnibus
- Omnibus (Beneficial Owner Account can also be opened)
- Both Beneficial Owner and Omnibus (Hybrid)

Information on the principal account structure adopted by CSD's was obtained during the survey together with the number of accounts.

4.1.2. Beneficial Owner account structure as the principal account structure is used by approximately 60% of CSDs and is the most common account structure followed by the CSDs (60 CSDs). Although the most common account structure is Beneficial Owner, of 60 CSDs, 35 CSDs also allow the opening of Omnibus accounts.

4.1.3. 36 CSDs (approximately 35%) have Omnibus account structures as the principal account structure. Of these, 20 CSDs also offer use of Beneficial Owner accounts.

4.1.4. From the information received from the survey performed for 2019, it is observed that Beneficial Owner account and Hybrid (with the majority of either Omnibus or Beneficial Owner/Segregated Accounts) structures are most widely used.



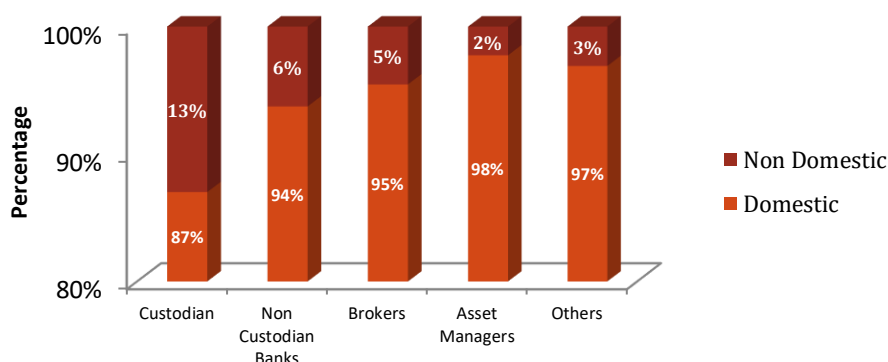
4.2. PARTICIPANTS

4.2.1. For the purposes of the Fact Book, we define CSD Participants as the financial market intermediaries which interface with the CSD on behalf of their own behalf or on behalf of their underlying clients. Information on the types of Participants (i.e., Custodians, Non-custodian Banks, Brokers, Asset Managers and Others) are collected together with the number of Participants with segregation of Participant into Domestic and Non-domestic classifications.

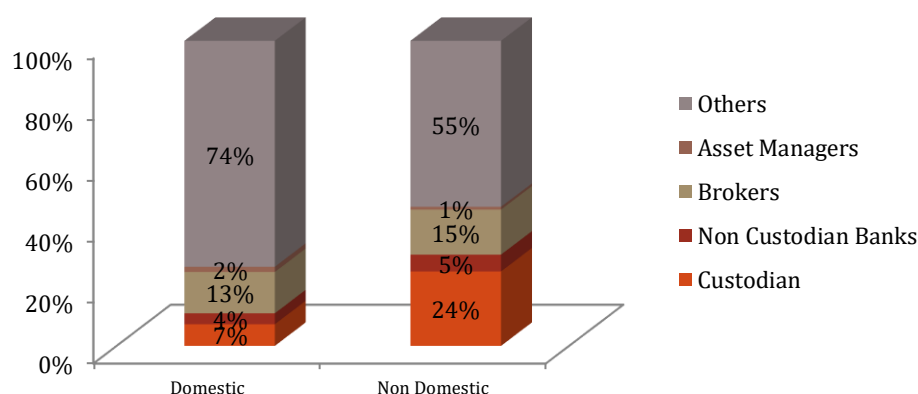
4.2.2. The majority of CSDs have Custodians, Brokers and other types of Participants.

4.2.3. Excluding the 3 ICSDs, the average number of Participants in each CSD is 300. China Central Depository & Clearing Co., Ltd CSDs has 24,397 Participants, Hong Kong Securities Clearing Company Limited CSDs has 26,578 Participants, B3 - Central Securities Depository (former BM&F Bovespa and CETIP) has 15,088 Participants.

4.2.4. Approximately 50% of CSDs have Non-domestic Participants. The percentage of Domestic and Non-domestic Participants in each Participant category is provided in the following chart:



4.2.5. The percentage of the various types of Domestic and Non-domestic Participants are provided in the following chart:

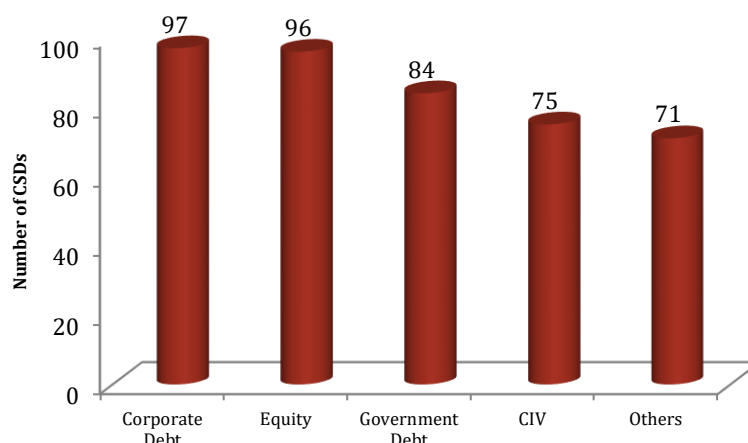


4.2.6. Others are the largest category for both Domestic Participants and Non-domestic Participants.

4.3. FINANCIAL INSTRUMENTS

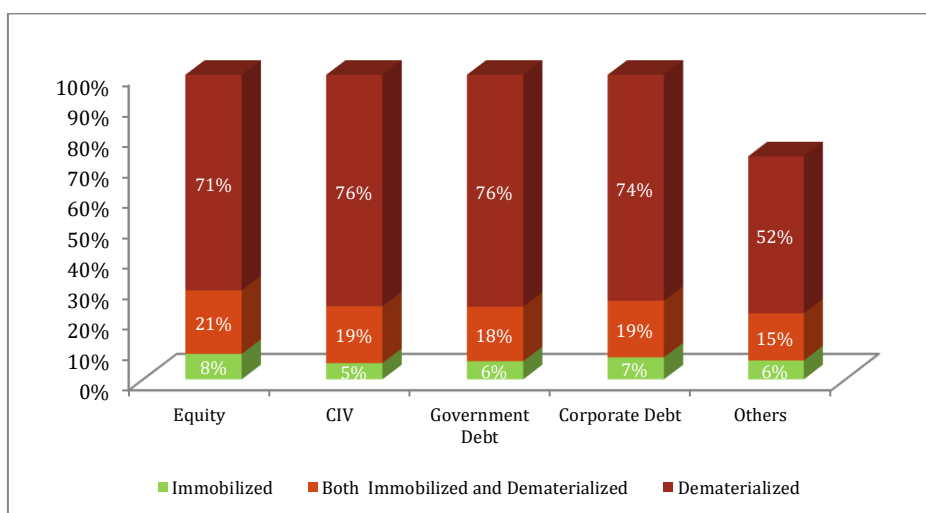
4.3.1. CSDs accept various types of financial instruments for deposit and/or settlement. These financial instruments are held in CSDs either in dematerialized or immobilized form. Financial instruments are categorized under Equities, Collective Investment Vehicles (Funds), Government Debt, Corporate Debt and Other types of instruments.

4.3.2. Number of CSDs where these financial instruments are accepted for deposit and/or settlement are shown in the following chart:

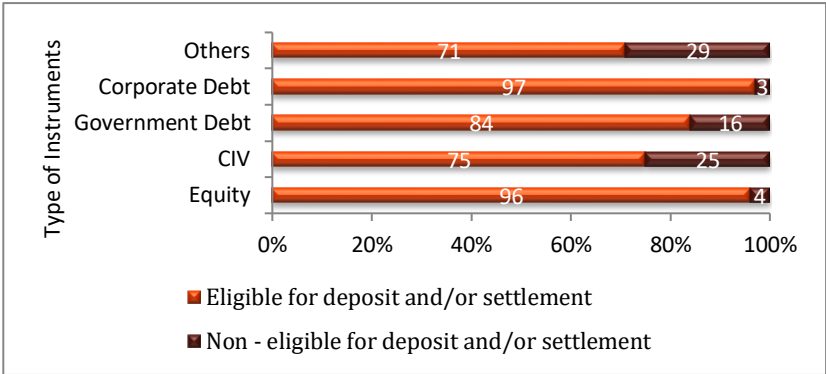


4.3.3. From the information received, it is clear that most CSDs are holding securities in dematerialized form. However, there are some cases where CSDs continue to hold certain securities in immobilized form.

4.3.4. Percentage of CSDs issuing the various instruments in immobilized vs dematerialized form.



4.3.5. Form of Custody:
a. All CSDs (100 CSDs)



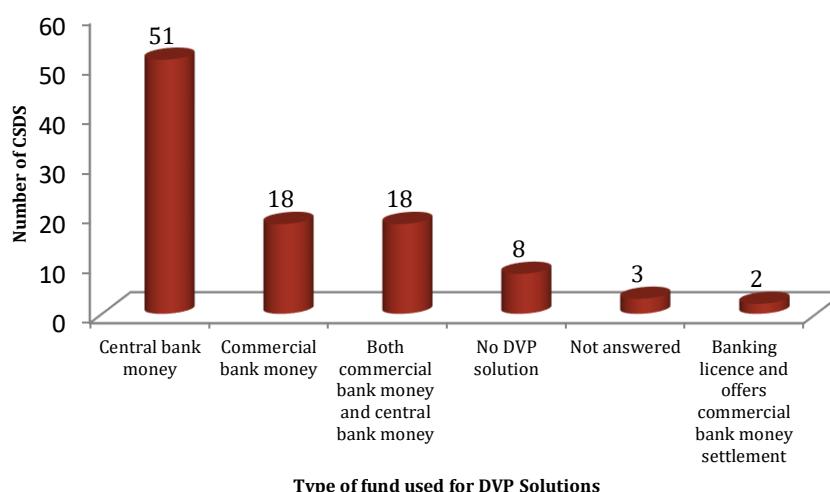
b. Regional association wise breakup



4.4. DVP SOLUTION

4.4.1. From the information received during the survey it is observed that 89% of the CSDs (89 CSDs) are providing a DVP solution facility.

- 4.4.2. Of the 97 CSDs 51 settle in Central Bank funds, 2 CSDs have banking license and offers Commercial Bank money settlement and 18 use external Commercial Bank funds for settlement. There are 18 CSDs that use both Commercial Bank and Central Bank funds for settlement. 8 CSDs do not have a DVP solution. 3 CSDs do not answer.



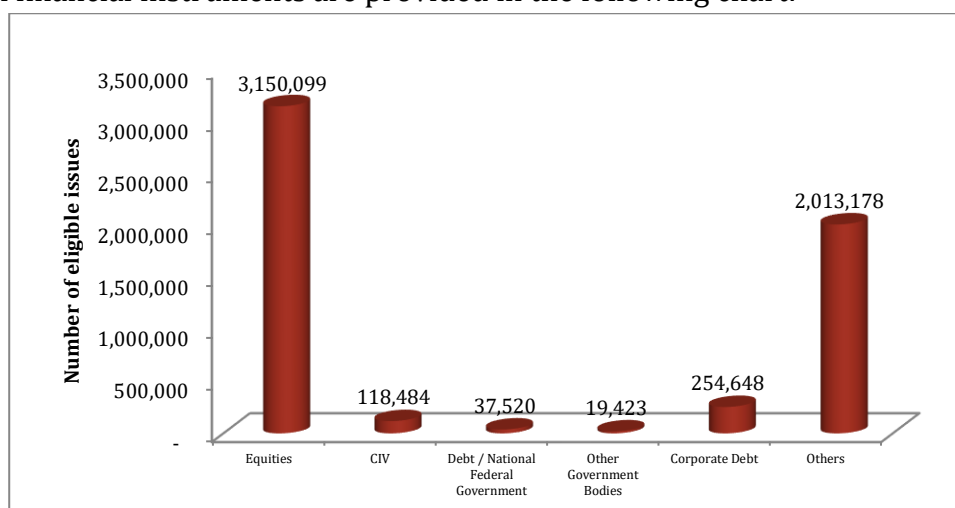
- 4.4.3. Of 100 CSDs, only 11 (or its group entity) have a banking license.

5. ELIGIBLE ISSUES

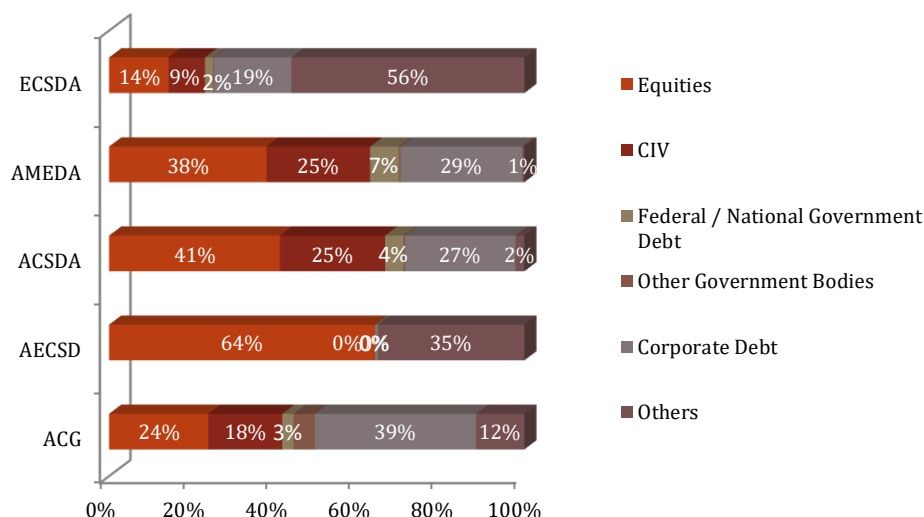
- 5.1. The number of distinct eligible issues for financial instruments for deposit and/or settlement is obtained with bifurcation in financial instrument types as follows: Equities, CIV (i.e., Funds), Debt (Federal/ National Govt.), Debt (Other Govt. bodies), Debt (corporate) and Others.

- 5.2. The total number of eligible issues across 88 responding CSDs is 5,593,343.

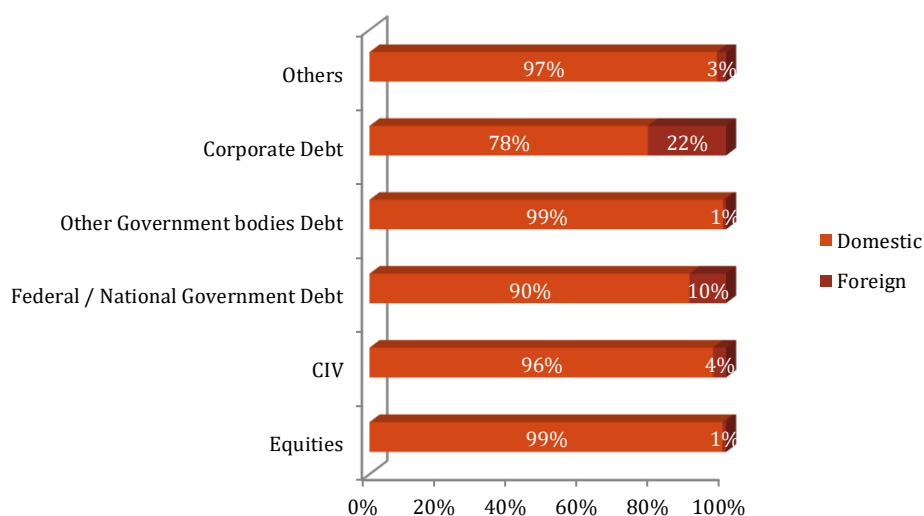
- 5.3. The total number of eligible issues across all CSDs who have provided the details with bifurcation in financial instruments are provided in the following chart:



5.4. The percentages of the distinct eligible issues for various financial instruments held by member CSDs under the respective Regional Associations is provided the following:



5.5. The number of distinct eligible issues by instrument type is provided in the following chart:

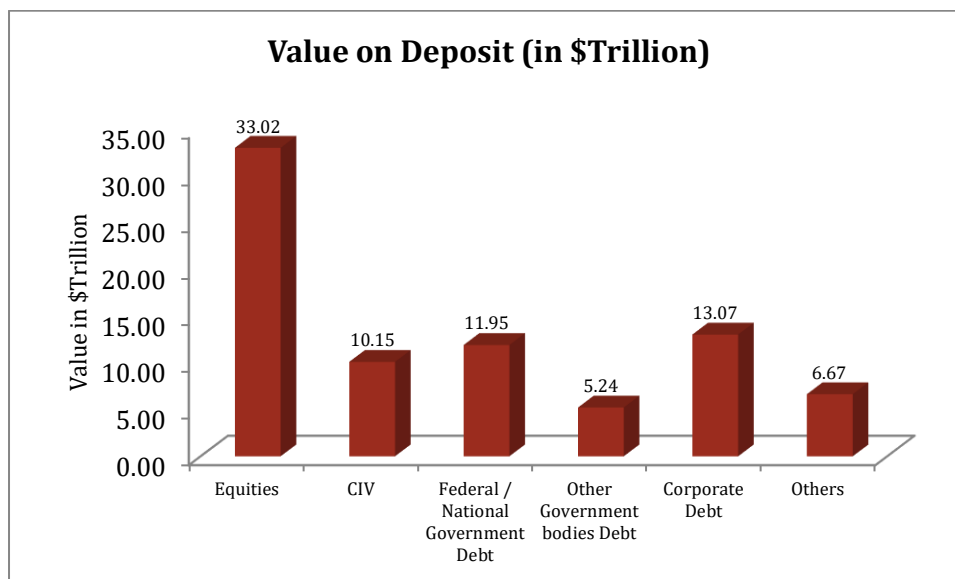


5.6. On comparing data of 85 CSDs, who have provided data in both years i.e., 2017 and 2019, it is observed that number of eligible issues have increased by 68% over period of 2 years.

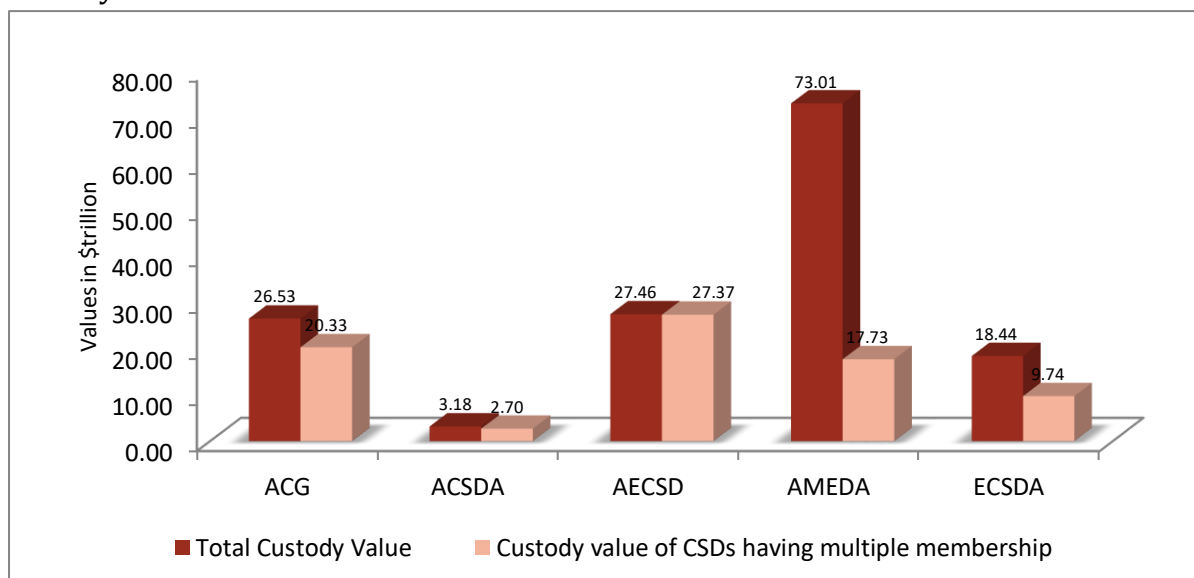
6. VALUE OF DEPOSITS

6.1. The value on deposit with CSDs for the various instruments is obtained with bifurcation in financial instrument types, namely; Equities, CIV, Debt (Federal/ National Govt.), Debt (Other Govt. bodies), Debt (corporate) and others.

6.2. Total custody value of all responding CSDs \$ 80.10 trillion (excluding two CSDs who have not provided instrument bifurcation).



6.3. The custody value (USD Trillion) by Regional Association is provided in the following chart Of 100 CSDs, 86 have provided total value of CSDs, out of which 11 CSDs are members of more than one association. Therefore, their custody value is included in each regional association where they are a member.



6.4. The custody value of the top 5 CSDs in terms of value is USD 61.10 trillion which is 61% of total custody value.

6.5. On comparing data of 73 CSDs, who have provided data in both years i.e., 2017 and 2019, it is observed that custody values have increased by 41% over the period of 2 years.

7. TRANSACTION VOLUMES

Information on the number of settlement instructions and the value of settlement instructions was included in the survey. Of 100 CSDs, 89 have provided the number of settlement instructions and 86 have provided the value of settlement instructions. The total number of settlement instructions and the total value of transactions are:

Particular	Total
Number of settlement instructions	20,613.63 Million
Value of settlement instructions	USD 7,613.79 Trillion

Comparing data of 68 CSDs, who have provided data in both years i.e., 2017 and 2019, it is observed that number of settlement instructions have increased by 65% over the period of 2 years.

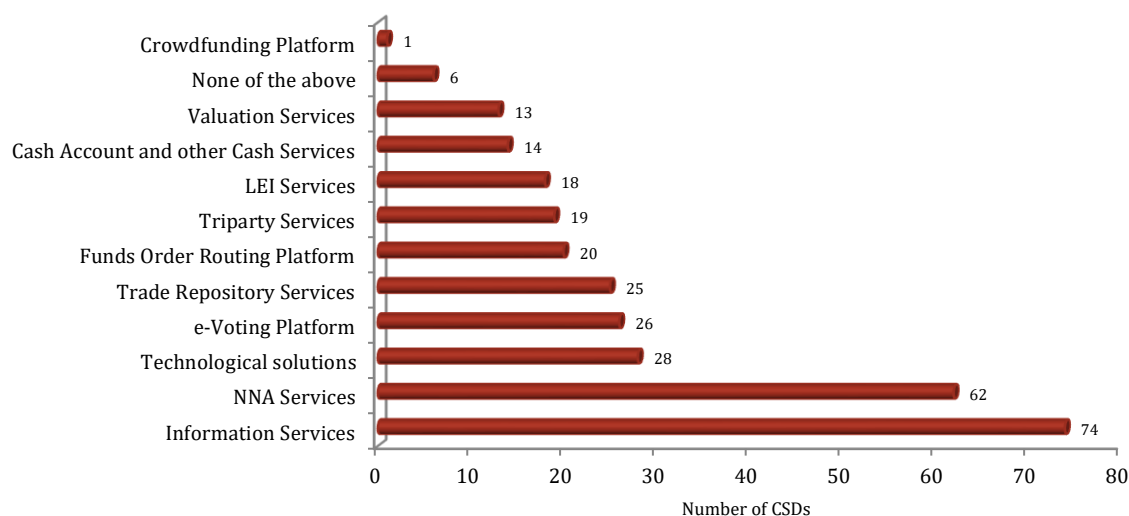
8. CORPORATE ACTIONS

Information on the number of corporate action events and the value of corporate actions was included in the survey. Of 92 CSDs, 86 have provided the number of corporate action events and 72 have provided the value of corporate actions. The total number of corporate action events and the total value of corporate actions are as follows:

Item	Total
Number of corporate action events	296.06 Million
Value of corporate actions	USD 335.38 Trillion

9. CSD SERVICES

Services provided by various CSDs are provided below:

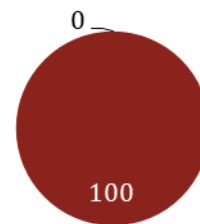
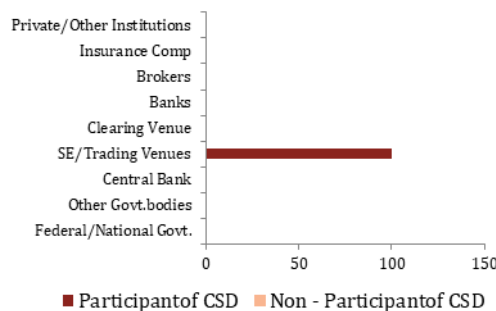


❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 2549002DKKE4YDPH2512
- **Local Currency:** Kazakhstani Tenge (KZT)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange.**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner (Omnibus accounts can also be opened)**
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Corporate Debt
 - Immobilized form**
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD uses external Commercial Bank money (CoBM) for settlement**
- **Type of Participants**
 - **Domestic**
 - Custodian (4), Non-custodian Banks (3), Brokers (13), Others (1)

- **Non-domestic**
Brokers (4)

❑ ANNUAL REVENUE

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	-	-	85.351
Other Income	-	-	8.595
	-	-	93.945

❑ LINKS WITH OTHER CSDs

- CSD has links with other CSD

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17	As on 31-Dec-18	As on 31-Dec-19
Number of accounts held by CSD			
Beneficial Owner Accounts	-	-	63,370
Omnibus Accounts	-	-	11
Number of Participants			
Domestic Participants	-	-	21
Non-domestic Participants	-	-	4

	in USD (in millions i.e., '000000)		
Conversion Rate	-	-	420.607
Settlement Instruction (During the year)			
Number of Instructions	-	-	0.006
Value of Instructions	-	-	319.655
Corporate Action Events (During the year)			
Number of Events handled by CSD	-	-	-
Value of Corporate action	-	-	-

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): Safekeeping & Settlement services, Securities Lending & Borrowing

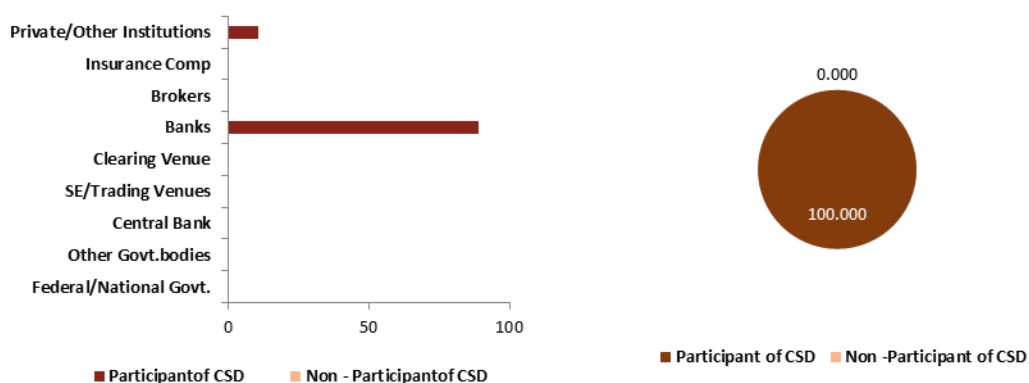
❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **LEI Number:** NAP
- **Local Currency:** Algerian Dinar (DZD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank, or Holding Company that owns another FMI.

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Government Debt, Corporate Debt, Others
 - Immobilized form** Equity
- CSD or its group company does not have banking license
- CSD has a DVP solution
- CSD settles in Central Bank money

- Type of Participants

o Domestic

Custodian (7), Brokers (10), Others (19)

❑ FULL TIME EMPLOYEES: 25 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	828.961	802.663	839.868
Other Income	-	-	-
	828.961	802.663	839.868

❑ LINKS WITH OTHER CSDs

- CSD has no links with other CSD

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17	As on 31-Dec-18	As on 31-Dec-19			
<u>Number of accounts held by CSD</u>						
Omnibus Accounts	299	311	321			
<u>Number of Participants</u>						
Domestic Participants	34	35	36			
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	5	-	6	-	6	-
Debt (Federal/ National Govt.)	27	-	27	-	29	-
Debt (corporate)	6	-	6	-	6	-

in USD (in millions i.e., '000000)

Conversion Rate	115.628	118.298	in USD		in millions i.e., 000000	
Settlement Instruction (During the year)						
Number of Instructions	0.000	0.001			0.000	
Value of Instructions	211.069	330.266			346.610	
Corporate Action Events (During the year)						
Value of Corporate action	534.874	261.257			576.143	
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	102.951	-	101.608	-	100.867	-
Debt (Federal/ National Govt.)	3,679.530	-	3,757.034	-	4,081.345	-
Debt (corporate)	1,454.660	-	1,421.832	-	1,393.002	-

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☑ Trade Repository Services
- ☑ Information Services
- ☑ National Numbering Agency Services
- ☑ Technological solutions
- ☑ Triparty Services
- ☑ Legal Entity Identifier (LEI) Services
- ☑ Valuation Services
- ☑ Cash Account and other Cash Services
- ☑ e-Voting Platform
- ☑ Crowdfunding Platform



DÉPÔSITAIRE CENTRAL DES TITRES EN ALGÉRIE
Société par actions au capital social de 240 millions de dinars
Société à 440, « villa n° 16 Sidi Hamdine – Bir Mourad Rais – Alger
☎ 021 54 17 61/66 ☎ 021 54 17 70/83
RC: 0210142 8 02 – NIF: 0001 1601 90075 57 – A/R: 16092516013
Site Web: www.algerieclearing.dz email: contact@algerieclearing.dz

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Algeria

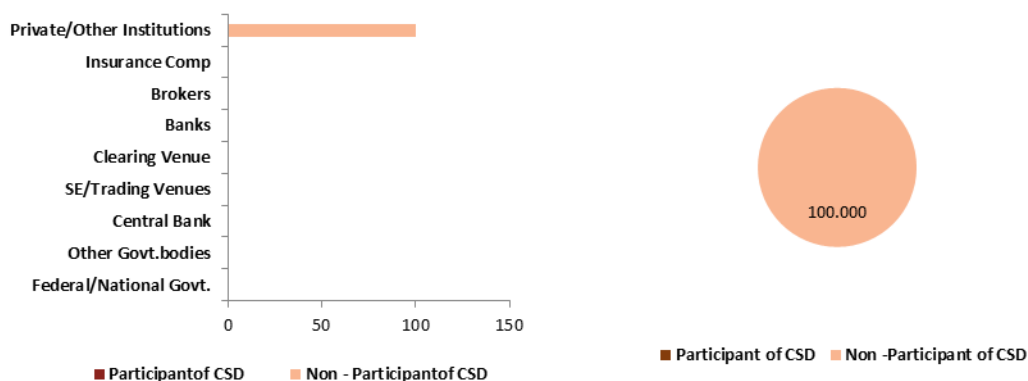
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

❑ BASIC INFORMATION

- **Regional Association:** ACSDA
- **LEI Number:** 4GTK5S46E6H318LMDS44
- **Local Currency:** Brazilian Real (BRL)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Holding Company that also owns other FMIs
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
- CSD does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- Type of Participants

- **Domestic**
Custodian (172), Brokers (121), Asset Managers (14508)
- **Non-domestic**
Others (287)

❑ **FULL TIME EMPLOYEES: 100 (AS ON 31-Dec-19)**

❑ ANNUAL REVENUE

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	1,137,882.009	1,207,141.862	1,449,833.007
Other Income	202,261.341	174,272.366	182,013.846
	1,340,143.350	1,381,414.227	1,631,846.852

❑ LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 2**
 - Only Outbound – 1 (Only Direct)
 - Both Inbound and Outbound – 1 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Only FOP – 2(Only Direct)

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	8,000,000		11,000,000		15,000,000	
<u>Number of Participants</u>						
Domestic Participants	172		10,919		14,801	
Non-domestic Participants	-		287		287	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	935	127	1,042	-	1,151	-
CIV	1,237	-	6,025	-	5,500	-
Debt (Federal/ National Govt.)	-	-	1,666	-	2,009	-
Debt (corporate)	3,067	-	3,967	-	3,400	-
Others	1	-	2,441,945	-	1,657,868	-

in USD (in millions i.e., '000000)						
<u>Conversion Rate</u>	3.312	3.874			4.030	
<u>Settlement Instruction (During the year)</u>						
Number of Instructions	284.000	35.589			69.482	
Value of Instructions	878,616.512	2,405,269.671			3,272,180.823	
<u>Corporate Action Events (During the year)</u>						
Number of Events handled by CSD	0.005	14.177			31.416	
Value of Corporate action	16,856.621	1,300,827.872			1,969,582.502	
<u>Value on Deposit</u>						
<u>Instrument Type</u>	<u>Domestic</u>	<u>Foreign</u>	<u>Domestic</u>	<u>Foreign</u>	<u>Domestic</u>	<u>Foreign</u>
Equities	548,417.111	1,297.244	4,682,304.143	-	6,599,687.853	-
CIV	37,100.205	-	6,463,248.824	-	7,146,375.492	-

Debt (Federal/ National Govt.)	-	-	64,048.334	-	48,664.055	-
Debt (Other Govt. bodies)	-	-	-	-	-	-
Debt (corporate)	238,290.120	-	3,173,964.292	-	2,054,170.013	-
Others	138.872	-	6,107,263.052	-	6,058,669.794	-

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): Centralized Investors Registration, Liens and Encumbrances Service Platform, Internet Sales of Treasuries (Tesouro Direto), Emission and cancelation of Exchanged Traded Funds (ETFs), Data and Information services, Investor Electronic Channel

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

New Customer Service Model: Implementation of a new customer service model is based on dedicated and multi task teams over different processes and services provided by the company as a whole. The project aims to improve the level of service and customer experience and problem resolution to market Participants.

New on exchange instruments: B3 plans to 2019 the release of new products such as: reduction of the standard lot for IBOVESPA options, strategy contracts for USD Dollars instruments, new options contracts over SELIC interest rate variation, futures on international Indexes, lending and repo instruments for public bonds, among others.

Acceptance of new instruments as collateral: During 2019 B3 plans to expand the instruments which can be used by investors and market Participants as collateral. New instruments are Brazilian Depositary Receipts (BDR), ETF funds on international Indexes and Fixed income ETF.

Improvements on the securities lending platform: B3 will improve its services on the securities lending platform allowing utilization of a Master account and allowing access to the Buy Side to the system. B3 also plans to add to its securities lending platform federal public bonds as available instrument.

Project Settlement in T+2: During 2018 B3, and its Participants, acted in the following agenda on what regards the adoption of the T+2 cycle: i) Definition Project T+2s operational details and business model, ii) Setting up technical working groups based on

processes with the objective of manage and support change within its own as well the participant's solutions. The Settlement in T+2 is expected to begin in May 2019.

New solutions and products for market data: New dashboards for the Datawise tool, Improvements in the SDH system GUI so to enhance user experience as well as the development of new reports available in the system. New information over corporate action events (such as dividends and interest) will be available in the UP2DATA platform. Additionally, UP2DATA will also provide information about private fixed income instruments. B3 will provide market Participants with new API solutions in order to allow access to its market data solutions such as Trader, UP2DATA, iMercado and Dados B3.

Updates in the trade repository and CSD systems due to Resolution 4.593 (phase 2) - Following the customizations in the systems phase 2 will concentrate its efforts on other financial instruments not addressed in Delivery 1 such as: COE e CDCA.

Development of new products and new functionalities in the OTC platform: During 2019 B3 expects to deliver a wide range of new instruments, tools and services in its OTC platform. Are worth of highlight the i) New automatic solution for LIG instruments improving the process of registrations of such products, ii) Registration in local currency (BRL) of specific instruments which are quoted in US Dollars, Flex option contracts over equities with CCP, new functionalities for structured instruments (COE), New improvements over possible underlying securities for cashflow swaps agreements, New Credit Rights for Agribusiness Credit Certificate (CDCA) will be available for registration at B3, thus increasing the possibilities of composing the instrument's ballast.

Liens and encumbrances on Credit Rights: Law 13.775 - With the publication of Law No. 13,775, on 12/20/2018, which created the Written Deed, B3 is adapting its system to allow the registration of this asset. The solution consists of a registration structure that will allow our clients to carry out the assignment operations with financial settlement and lien settlement in the same environment.

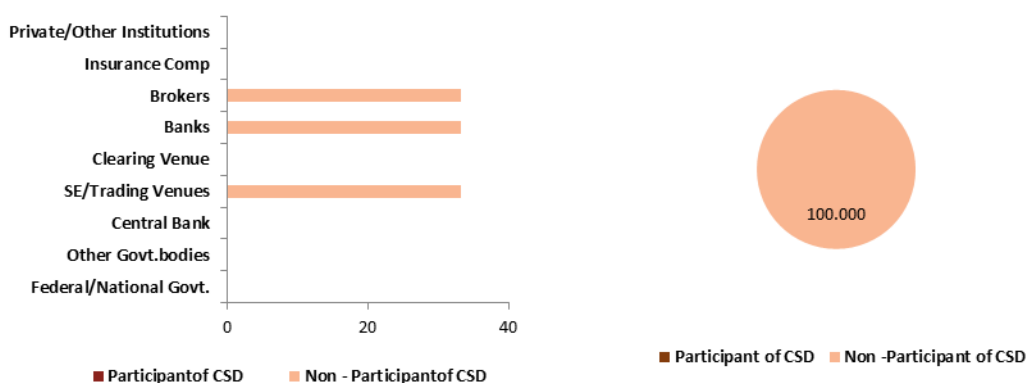
Liens and encumbrances for registered Financial Assets - B3, in compliance with Central Bank Circular 3912/18, will adapt its system for the constitution of Charges and Assurances of Financial Assets when in a "Registration" regime. The formalization of these assets as a guarantee of operations of the financial market will take place in B3 electronically. Publicity and effectiveness vis-à-vis third parties are provided by the company as a registered entity.

❑ BASIC INFORMATION

- **Regional Association:** ACSDA
- **Local Currency:** Bahamian Dollar (BSD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Stock Exchange
- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☒ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Government Debt, Corporate Debt
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has no DVP solution
- **Type of Participants**
 - Domestic
 - Non-custodian Banks (3)

❑ FULL TIME EMPLOYEES: 10 (AS ON 31-Dec-19)

ANNUAL REVENUE

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	1,748.238	1,845.420	1,555.027
Other Income	141.868	24.859	22.832
	1,890.106	1,870.279	1,577.859

LINKS WITH OTHER CSDs

- CSD has no links with other CSD

STATISTICS & VOLUME

Particulars	As on 31-Dec-17	As on 31-Dec-18	As on 31-Dec-19			
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	66,568	46,642	66,568			
Omnibus Accounts	64	91	64			
<u>Number of Participants</u>						
Domestic Participants	-	-	3			
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	43	-	43	-	43	1
Debt (Other Govt. bodies)	11	-	11	-	11	-
Debt (corporate)	3	-	3	-	3	-

	in USD (in millions i.e., '000000)					
Conversion Rate	1.000	1.000	1.000	1.000	1.000	1.000
Corporate Action Events (During the year)						
Value of Corporate action	162,941.878	209.931	163,015,707.714			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	124,926.155	-	151.220	0.598	124.983	0.600
Debt (Other Govt. bodies)	34,592.746	-	55.258	-	34.608	-
Debt (corporate)	3,422.977	-	2.855	-	3.425	-

OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

Our CSD was accepted as a member of the Americas' Central Securities Depositories Association (ACSDA). This was an important step because we plan to utilize the membership in ACSDA as a major resource for further growth and development of our unique business, to get information on the best practices for CSDs in the region and around the world and to build lasting business contacts and relationships.

❑ BASIC INFORMATION

- **Regional Association:** ACSDA
- **Local Currency:** Paraguayan Guarani (PYG)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Equity
- **CSD or its group company does not have banking license**

❑ LINKS WITH OTHER CSDs

- **CSD has no links with other CSD**

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	8.251		8.500		10.288	
<u>Number of Participants</u>						
Domestic Participants	19		13		13	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	0	-	0	-	684	-
CIV	1	-	1	-	1	-
Debt (Federal/ National Govt.)	165	-	99	-	223	-
Debt (Other Govt. bodies)	49	-	31	-	46	-
Debt (corporate)	4.105	-	3.748	-	6.080	-
Others	1.749	-	1.933	11	5.804	-

in USD (in millions i.e., '000000)

Conversion Rate		5.581,586		5.696,240		6.186,099	
Settlement Instruction (During the year)							
Number of Instructions		0.006		0.006		0.010	
Value of Instructions		528		669		1.026	
Corporate Action Events (During the year)							
Number of Events handled by CSD		0.000		0.000		0.000	
Value of Corporate action		0.048		0.054		0.060	
Value on Deposit							
Instrument Type		Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities		26.90	-	0.35	-	43.662	-
CIV		5.09	-	4.19	-	5.31	-
Debt (Federal/ National Govt.)		143.688	-	159.157	-	175.002	-

Debt (Other Govt. bodies)	90.163	-	72.056	-	110.033	-
Debt (corporate)	140.073	-	324.608	-	487.830	-
Others	126.482	-	232.286	5.288	299.337	-

☐ OTHER SERVICES (AS ON 31-Dec-19)

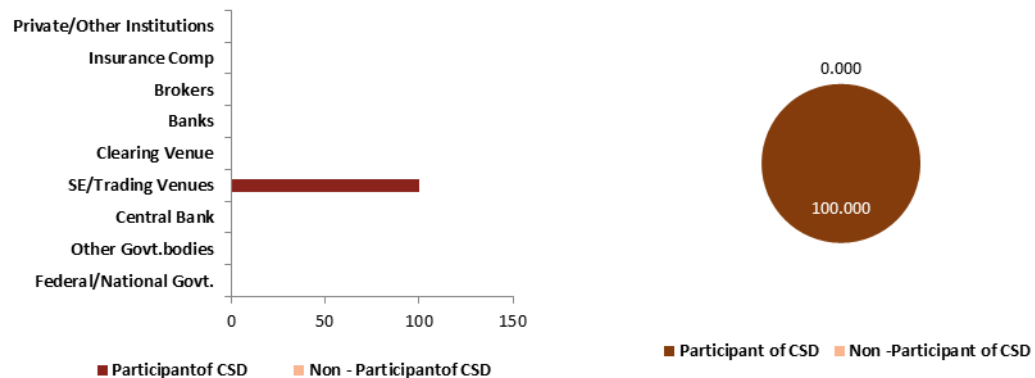
- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

❑ BASIC INFORMATION

- **Regional Association:** ACG
- **LEI Number:** 254900UDVJ8TRS6T396
- **Local Currency:** Malaysian Ringgit (MYR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Holding Company that also owns other FMIs
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** -
 - Immobilized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD uses external Commercial Bank money (CoBM) for settlement

- Type of Participants

o Domestic

Custodian (14), Non-custodian Banks (8), Brokers (31)

❑ FULL TIME EMPLOYEES: 35 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	-	20,476.706	19,496.901
Other Income	-	925.480	889.640
	-	21,402.186	20,386.540

❑ LINKS WITH OTHER CSDs

- CSD has no links with other CSD

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	-		2,476,053		2,492,905	
Omnibus Accounts	-		839		852	
<u>Number of Participants</u>						
Domestic Participants	-		55		53	
Non-domestic Participants	-		-		-	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	-	-	1,834	95	1,919	106
CIV	-	-	30	-	36	-
Debt (Other Govt. bodies)	-	-	4	-	4	-
Debt (corporate)	-	-	17	-	14	-

in USD (in millions i.e., '000000)						
Conversion Rate	-	4.134		4.090		
Corporate Action Events (During the year)						
Number of Events handled by CSD	-	0.003809		0.003537		
Value of Corporate action	-	2,471.571		1,586.114		
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	-	-	301,555.740	95,608.993	311,391.028	92,567.412
CIV	-	-	10,490.275	-	11,227.234	-
Debt (Other Govt. bodies)	-	-	23.461	-	24.202	-
Debt (corporate)	-	-	2,665.137	-	3,300.819	-

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☑ Trade Repository Services
- ☑ Information Services
- ☑ National Numbering Agency Services
- ☑ Technological solutions
- ☑ Triparty Services
- ☑ Legal Entity Identifier (LEI) Services
- ☑ Valuation Services
- ☑ Cash Account and other Cash Services
- ☑ e-Voting Platform

- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

☐ **MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)**

- Bursa Malaysia implemented the T+2 settlement cycle on 29 April 2019. The migration from a T+3 to T+2 settlement cycle is part of Bursa's ongoing efforts to improve the operational efficiency and reduce systemic risk. The shorter settlement cycle will align the clearing and settlement processes of the Malaysian capital market with those of major global exchanges in the US, Europe and Asia-Pacific, which are already operating a T+2 settlement cycle.
- Bursa Malaysia Depository launches its new mobile application, Bursa Anywhere on 11 June 2019. Bursa Anywhere enables the depositors to perform their Central Depository System (CDS) transactions electronically via their mobile phone.

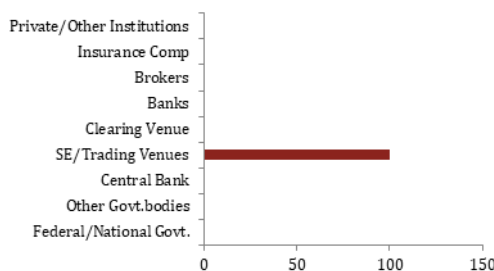


❑ BASIC INFORMATION

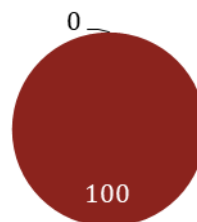
- **Regional Association:** ACSDA
- **LEI Number:** 48510030C35RTMK7W149
- **Local Currency:** Argentine Peso (ARS)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange**
- **Shareholding Pattern (in %)**



■ Participant of CSD ■ Non - Participant of CSD



■ Participant of CSD ■ Non - Participant of CSD

- **Shares of CSD or Holding Company are traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD offers both Commercial Bank money and Central Bank money for settlement**
- **Type of Participants**
 - **Domestic**
Custodian (581), Asset Managers (111), Others (40)



- Non-domestic
Others (3)

❑ FULL TIME EMPLOYEES: 203 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	8,366.175	74,671.575	44,514.451
Other Income	61,534.857	21,839.675	12,792.251
	69,901.032	96,511.250	57,306.703

❑ LINKS WITH OTHER CSDs

- CSD has links with other CSD
 - Number of Links with other CSDs - 4
 - Only Inbound – 2 (Only Direct)
 - Both Inbound and Outbound – 2 (Only Direct)
 - Purpose of Links with other CSDs
 - Only FOP – 1 (Only Direct)
 - Both DVP & FOP - 3 (Only Direct)

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	378,000		405,337		376,033	
Omnibus Accounts	728		-		-	
<u>Number of Participants</u>						
Domestic Participants	723		857		732	
Non-domestic Participants	5		3		3	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	1,374	-	0	-	0	-
CIV	753	-	-	-	-	-
Debt (Federal/ National Govt.)	1,412	28	-	-	-	-
Debt (corporate)	1,593	32	-	-	-	-
Others	102	6	-	-	-	-

in USD (in millions i.e., '000000)

Conversion Rate	18.618	37.500	56.690			
Settlement Instruction (During the year)						
Number of Instructions	0.000	7.183	6.747			
Value of Instructions	0.000	0.000	0.000			
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.013	0.013	0.013			
Value of Corporate action	414,268.803	0.000	0.000			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	21.576	-	0.000	-	0.000	-
CIV	151.031	-	-	-	-	-
Debt (Federal/ National Govt.)	179,080.168	742.610	-	-	-	-
Debt (corporate)	172.607	75.765	-	-	-	-
Others	21.576	0.698	0.121	0.002	0.067	0.001



☐ **OTHER SERVICES (AS ON 31-Dec-19)**

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

☐ **MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)**

- <https://aif2.cnv.gov.ar/Presentations/publicview/018C5C0E-86BD-45E0-A360-215E777C191F>

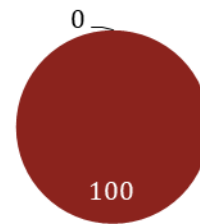
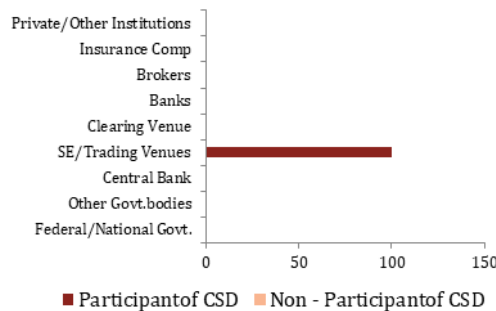


❑ BASIC INFORMATION

- **Regional Association:** ACG
- **Local Currency:** Nepalese Rupee (NPR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Stock Exchange
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Corporate Debt
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD uses external Commercial Bank money (CoBM) for settlement
- **Type of Participants**
 - **Domestic**
Custodian (76), Brokers (50)

❑ FULL TIME EMPLOYEES: 35 (AS ON 31-Dec-19)



ANNUAL REVENUE

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	0.000	1,304.406	1,412.895
Other Income	-	270.742	402.105
	0.000	1,575.148	1,815.000

LINKS WITH OTHER CSDs

- CSD has no links with other CSD

STATISTICS & VOLUME

Particulars	As on 31-Dec-17	As on 31-Dec-18	As on 31-Dec-19			
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	-	1,436,721	1,626,585			
Omnibus Accounts	-	-	-			
<u>Number of Participants</u>						
Domestic Participants	0	126	126			
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	0	-	317	-	329	-
CIV	-	-	13	-	21	-
Debt (corporate)	-	-	4	-	17	-

	in USD (in millions i.e., '000000)					
Conversion Rate	0.000	117.165	117.246			
Settlement Instruction (During the year)						
Number of Instructions	0.000	1.140	1.584			
Value of Instructions	0.000	791.323	911.137			
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.000	0.001	0.001			
Value of Corporate action	0.000	120.382	189.446			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	0.000	-	3,112.608	-	2,129.357	-
CIV	-	-	56.802	-	167.086	-
Debt (corporate)	-	-	51.893	-	246.747	-

OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)



❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

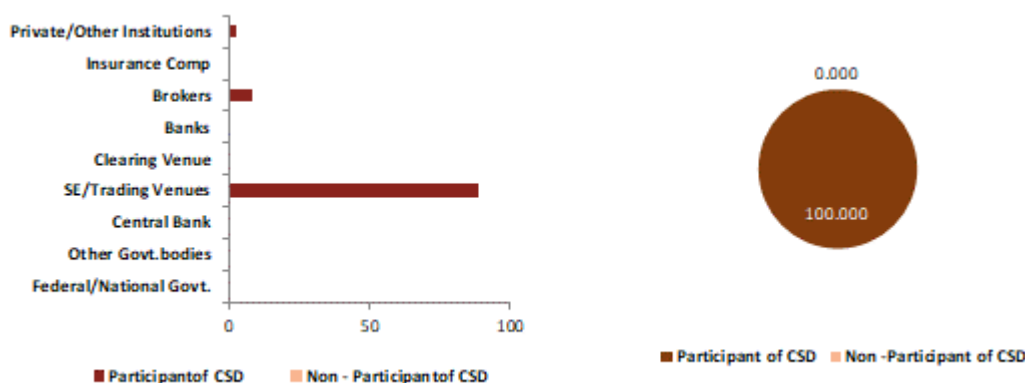
- During this fiscal year our CSD introduced a platform to provide mandatory electronic delivery instruction slip-EDIS through its online portal Mero Share. Further the WACC (weighted average cost of calculation) calculation of the investors.
- CDSC conducted 23rd ACG AGM 2019 from 9th to 12th of September 2019. CDSC has a very good participation from ACG member countries.

❑ BASIC INFORMATION

- **Regional Association:** ACSDA
- **Local Currency:** United States Dollar (USD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Holding Company that also owns other FMIs
- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt
 - Immobilized form** Equity, Government Debt, Others
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD offers both Commercial Bank money and Central Bank money for settlement
- **Type of Participants**
 - **Domestic**
Non-custodian Banks (12), Brokers (10), Others (3)

- **Non-domestic**
Custodian (3), Brokers (5), Others (3)

☐ **FULL TIME EMPLOYEES: 13 (AS ON 31-Dec-19)**

☐ **ANNUAL REVENUE**

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	1,087.000	1,137.800	1,253.300
Other Income	128.000	134.880	137.800
	1,215.000	1,272.680	1,391.100

☐ **LINKS WITH OTHER CSDs**

- CSD has no links with other CSD

☐ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	18,586		-		-	
<u>Number of Participants</u>						
Domestic Participants	25		25		25	
Non-domestic Participants	4		11		11	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	47	40	25	-	23	-
CIV	-	-	-	-	1	-
Debt (Federal/ National Govt.)	10	9	12	9	14	9
Debt (Other Govt. bodies)	8	33	2	13	2	13
Debt (corporate)	53	29	20	29	21	22
Others	9	2	3	-	3	-

	in USD (in millions i.e., '000000)					
Conversion Rate	1.000	1.000	1.000	1.000	1.000	1.000
Settlement Instruction (During the year)						
Number of Instructions	0.018	0.020	0.018	0.018	0.018	0.018
Value of Instructions	5,781.700	7,474.000	8,239.000	8,239.000	8,239.000	8,239.000
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.000	0.000	0.000	0.000	0.000	0.000
Value of Corporate action	100,000.000	2.000	2.000	2.000	2.000	2.000
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	912.500	1.200	0.866	-	0.869	-
CIV	-	-	-	-	0.004	-
Debt (Federal/ National Govt.)	1,602.600	1,124.100	1.839	1.310	1.903	1.206
Debt (Other Govt. bodies)	201.900	30.330	0.218	0.043	0.203	0.068
Debt (corporate)	1,864.200	493.500	1.791	0.499	1.952	0.516
Others	18.400	1.800	1.676	-	1.850	-

☐ **OTHER SERVICES (AS ON 31-Dec-19)**

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services

- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

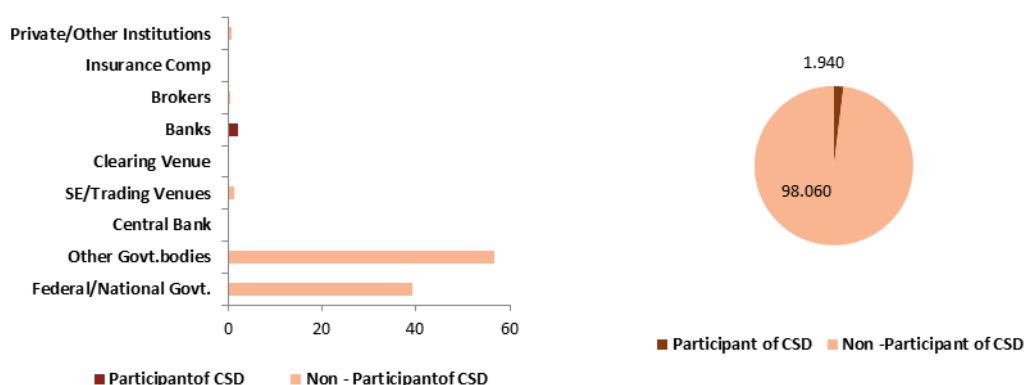
❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 747800V0CCQGC89GOW91
- **Local Currency:** Croatian Kuna (HRK)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. Joint stock company in which the Financial Agency (FINA) and state are major shareholders.

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☒ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- Type of Participants

- **Domestic**
Custodian (14), Non-custodian Banks (5), Brokers (4), Asset Managers (2),
Others (1)
- **Non-domestic**
Custodian (1)

☐ **FULL TIME EMPLOYEES: 58 (AS ON 31-Dec-19)**

☐ **ANNUAL REVENUE**

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	4,128.556	3,919.300	4,573.848
Other Income	332.153	392.064	285.484
	4,460.709	4,311.364	4,859.332

☐ **LINKS WITH OTHER CSDs**

- CSD has no links with other CSD

☐ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	879,920		880,168		881,776	
Omnibus Accounts	352		298		312	
<u>Number of Participants</u>						
Domestic Participants	30		26		26	
Non-domestic Participants	1		1		1	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	809	-	787	-	767	-
Debt (Federal/ National Govt.)	85	-	90	-	89	-
Debt (corporate)	6	-	6	-	4	-
Others	2	-	2	-	2	-

in USD (in millions i.e., '000000)						
Conversion Rate	6.271		6.469		6.650	
Settlement Instruction (During the year)						
Number of Instructions	0.218		0.233		0.250	
Value of Instructions	31,273.194		33,201.983		32,568.970	
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.001		0.001		0.001	
Value of Corporate action	5,285.760		4,120.966		5,256.643	
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	47,356.542	-	42,728.809	-	44,180.847	-
Debt (Federal/ National Govt.)	20,392.222	-	20,511.683	-	21,783.686	-
Debt (corporate)	18.421	-	9.294	-	8.747	-
Others	0.787	-	0.763	-	0.742	-

☐ **OTHER SERVICES (AS ON 31-Dec-19)**

- ☒ Trade Repository Services

- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

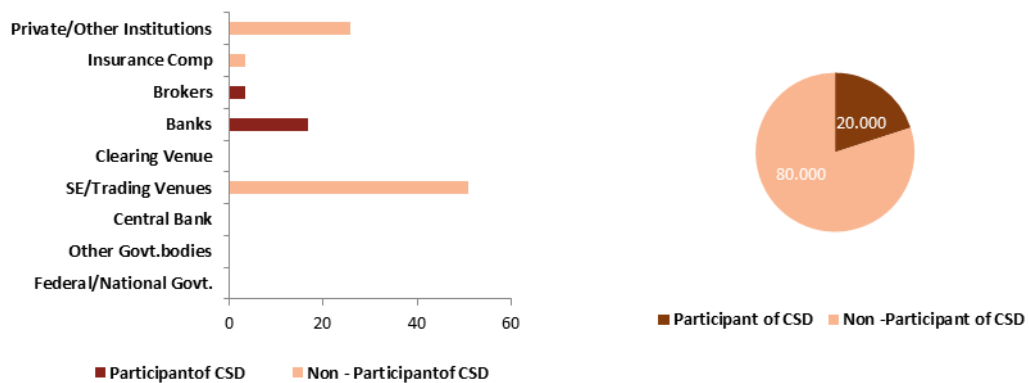
- Regulation (EU) N 909/2014 of the European Parliament and of the Council of 23 July 2014 on improving securities settlement in the European Union and on central securities depositories and amending Directives 98/26/EC and 2014/65/EU and Regulation (EU) No 236/2012 (CSDR)
- Regulation (EU) No 648/2012 on OTC derivatives, central counterparties and trade repositories (EMIR)
- These projects include harmonization processes to obtain the work license.

❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **Local Currency:** Mauritian Rupee (MUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is a subsidiary (51%) of the Stock Exchange but not controlled by it
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money
- **Type of Participants**
 - **Domestic**
Custodian (7), Brokers (9)

❑ FULL TIME EMPLOYEES: 12 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	1,986.104	1,497.165	1,523.675
Other Income	509.329	365.310	377.800
	2,495.433	1,862.475	1,901.475

❑ LINKS WITH OTHER CSDs

- CSD does not have links with other CSD

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	116,000		89,569		92,382	
<u>Number of Participants</u>						
Domestic Participants	15		16		16	
Non-domestic Participants	1		-		-	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	103	3	102	2	102	2
CIV	4	2	4	-	4	-
Debt (Other Govt. bodies)	66	-	66	-	66	-
Debt (corporate)	52	-	69	-	65	-

	in USD (in millions i.e., '000000)					
Conversion Rate	33.917	39.750	40.000			
Settlement Instruction (During the year)						
Number of Instructions	0.100	0.070	0.074			
Value of Instructions	548.542	414.987	396.308			
Corporate Action Events (During the year)						
Value of Corporate action	587.431	279.681	381.157			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	8,945.413	245.068	7,941.148	3.059	7,812.022	3.158
CIV	25.238	2.005	23.567	-	33.251	-
Debt (Other Govt. bodies)	3.833	-	3.978	-	5.330	-
Debt (corporate)	707.164	-	762.171	-	926.769	-

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above

☒ Others (Please specify): Registry software as a service

☐ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- Successful configuration of the CDS and trading systems to operate in Work-From-Home (WFH) mode during the Covid-19 lockdown and curfew period systems to operate in Work From Home (WFH) mode during the Covid-19 lockdown and curfew period.
- We amended the CDS Procedures and made changes to the CDS system to allow CDS to act on the instructions of a bare owner and usufructuary to inscribe usufruct on securities. This was not previously possible and the process for inscribing usufruct on securities was rather cumbersome in the sense that the securities had first to be withdrawn from CDS and the certificate was sent to the registry to inscribe usufruct and then deposited again in CDS.
- We replace our main database server with a new machine. This was a risky process which required careful planning and execution. The old server had been in operation for 13 years and was still operating faultlessly but we decided to replace it as a preventive move.
- We made changes to the mySEM mobile app and web application to allow investors whose accounts are registered with custodian banks to place orders online via an investment dealer of their choice using mySEM. There was a technical issue that previously did not allow such clients to place orders via mySEM.
- No complaints from Participants, issuers or investors.

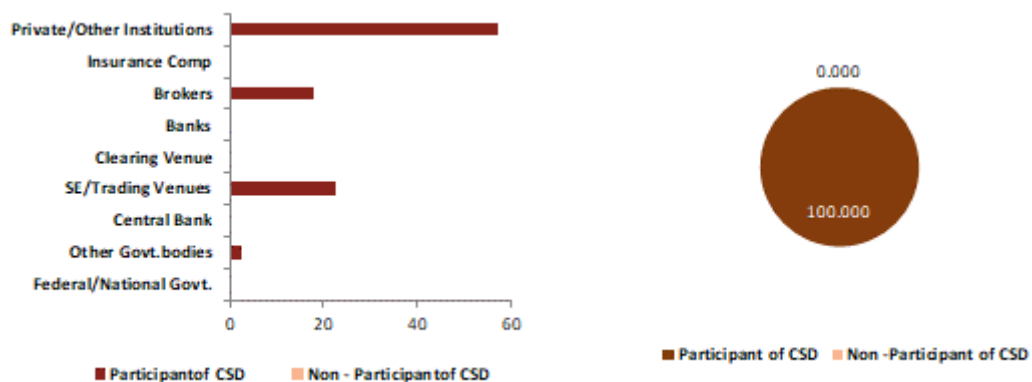
❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **Local Currency:** Kenyan Shilling (KES)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. CSD is owned and controlled by various institutions.

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Corporate Debt
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- Type of Participants

o Domestic

Custodian (17), Brokers (20), Others (3)

❑ FULL TIME EMPLOYEES: 40 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	3,138.363	3,362.842	3,184.353
Other Income	108.229	209.850	468.425
	3,246.592	3,572.692	3,652.778

❑ LINKS WITH OTHER CSDs

- CSD has links with other CSD

o Number of Links with other CSDs - 1

- Both Inbound and Outbound – 1 (Only Direct)

o Purpose of Links with other CSDs

- Only DVP – 1 (Only Direct)
- Only DVP – 1 (Only Indirect)

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17	As on 31-Dec-18	As on 31-Dec-19			
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	1,800,000	2,151,912	1,881,714			
<u>Number of Participants</u>						
Domestic Participants	42	41	40			
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	60	2	64	-	62	-
Debt (Federal/ National Govt.)	-	-	1	-	-	-
Debt (corporate)	2	-	21	-	12	-

in USD (in millions i.e., '000000)

Conversion Rate	103.295	101.850	101.340			
<u>Settlement Instruction (During the year)</u>						
Number of Instructions	-	7,500.134	-			
Value of Instructions	-	1,738.509	1,561.181			
<u>Corporate Action Events (During the year)</u>						
Value of Corporate action	-	0.018	0.045			
<u>Value on Deposit</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	19,362.008	-	-	-	-	-
Debt (corporate)	11,617.205	-	-	-	-	-

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☑ Trade Repository Services
- ☑ Information Services
- ☑ National Numbering Agency Services
- ☑ Technological solutions
- ☑ Triparty Services

- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

☐ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- Compliance level on CPMI-IOSCO PFMI
- CDSC commences assessment of its level of observance of the principles set out by the Committee on Payment and Market Infrastructures (CPMI) and the Technical Committee of the International Organization of Securities Commissions (IOSCO); CPMI-IOSCO Principles for Financial Market Infrastructures (PFMI) through an independent party Thomas Murray [TM].
- The results of the 2019 analysis shows that CDSC is broadly observant overall for the CPMI-IOSCO PFMIs. Out of the 24 Principles, 16 Principles are applicable to CDSC; out of which, CDSC observes 3, broadly observes 9, partly observes 3, does not observe 1.
- Robust IT system
- In October 2019, CDSC launched its new upgraded system as an avenue to roll-out an array of product offering and solutions e.g., Security Lending and Borrowing, Swift capabilities.



Central Depository AD

http://www.csd-bg.bg/EN_site/index.php?menu=na4alna_stranica1

Bulgaria

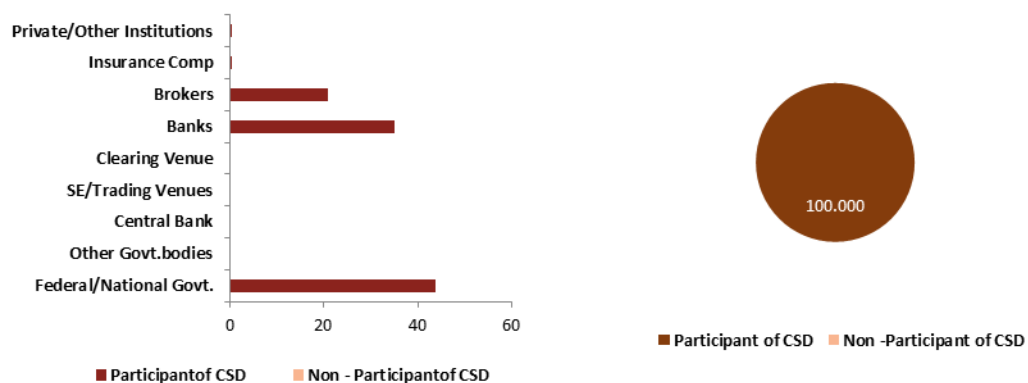
❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 74780000G07H7WL0WI31
- **Local Currency:** Bulgarian Lev (BGN)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI.

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Equity
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money



- Type of Participants

- **Domestic**
Non-custodian Banks (9), Brokers (30), Asset Managers (10), Others (41)
- **Non-domestic**
Non-custodian Banks (2)

❑ **FULL TIME EMPLOYEES: 28 (AS ON 31-Dec-19)**

❑ **ANNUAL REVENUE**

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	1,226.959	1,291.607	1,455.625
Other Income	-	2.405	2.407
	1,226.959	1,294.013	1,458.032

❑ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 1**
 - Only Outbound – 1 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Only DVP – 1 (Only Direct)

❑ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	267,975		6,000,000		6,000,000	
Omnibus Accounts	-		100		150	
<u>Number of Participants</u>						
Domestic Participants	85		-		90	
Non-domestic Participants	3		-		2	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	1,316	-	2,121	-	2,148	-
CIV	113	-	160	-	162	-
Debt (Federal/ National Govt.)	24	-	24	-	24	-
Debt (Other Govt. bodies)	10	-	-	-	-	-
Debt (corporate)	145	-	366	-	390	-
Others	198	-	636	-	654	-

in USD (in millions i.e., '000000)						
<u>Conversion Rate</u>	1.630		1.663		1.662	
<u>Settlement Instruction (During the year)</u>						
Number of Instructions	0.065		0.038		0.051	
Value of Instructions	90.181		0.000		338.904	
<u>Corporate Action Events (During the year)</u>						
Number of Events handled by CSD	0.000		0.000		0.001	
Value of Corporate action	322.077		145.984		148,396,646.105	
<u>Value on Deposit</u>						
<u>Instrument Type</u>	<u>Domestic</u>	<u>Foreign</u>	<u>Domestic</u>	<u>Foreign</u>	<u>Domestic</u>	<u>Foreign</u>
Equities	39,544.885	-	16,182.933	-	16,261.836	-
CIV	1,190.764	-	1,171.178	-	1,172.106	-
Debt (Federal/ National	547.224	-	1.357	-	1,358.142	-



Govt.)						
Debt (Other Govt. bodies)	102.451	-	-	-	-	-
Debt (corporate)	1,182.175	-	681.876	-	1,522.100	-
Others	2,285.824	-	2,162.138	-	2,167.028	-

☐ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

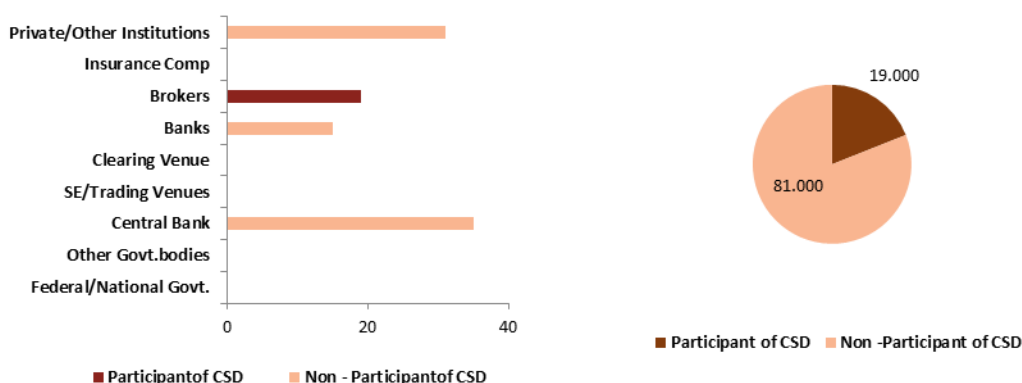
❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI.

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Government Debt, Corporate Debt
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- **Type of Participants**

○ **Domestic**

Custodian (6), Non-custodian Banks (3), Brokers (6)

❑ **FULL TIME EMPLOYEES: 14 (AS ON 31-Dec-19)**

❑ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	682.721	913.561	1,053.198
Other Income	33.596	30.768	46.151
	716.317	944.328	1,099.350

❑ **LINKS WITH OTHER CSDs**

- CSD has no links with other CSD

❑ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	472,607		472,832		473,111	
Omnibus Accounts	92		90		96	
<u>Number of Participants</u>						
Domestic Participants	14		18		15	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	323	-	311	-	316	-
Debt (Federal/ National Govt.)	1	-	1	-	1	-
Debt (Other Govt. bodies)	7	-	4	-	7	-
Debt (corporate)	3	-	4	-	3	-

in USD (in millions i.e., '000000)

Conversion Rate	0.833	0.845	0.845			
Settlement Instruction (During the year)						
Number of Instructions	0.020	0.016	0.007			
Value of Instructions	1,235.995	5,032.868	1,754.936			
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.001	0.000	0.000			
Value of Corporate action	373.727	636.652	660.320			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	5,800.561	-	5,507.399	-	5,444.680	-
CIV	-	-	-	-	-	-
Debt (Federal/ National Govt.)	105.341	-	-	-	107.687	-
Debt (Other Govt. bodies)	241.470	-	107.687	-	349.094	-
Debt (corporate)	19.198	-	185.789	-	26.034	-
Others	-	-	21.301	-	-	-

☐ **OTHER SERVICES (AS ON 31-Dec-19)**

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

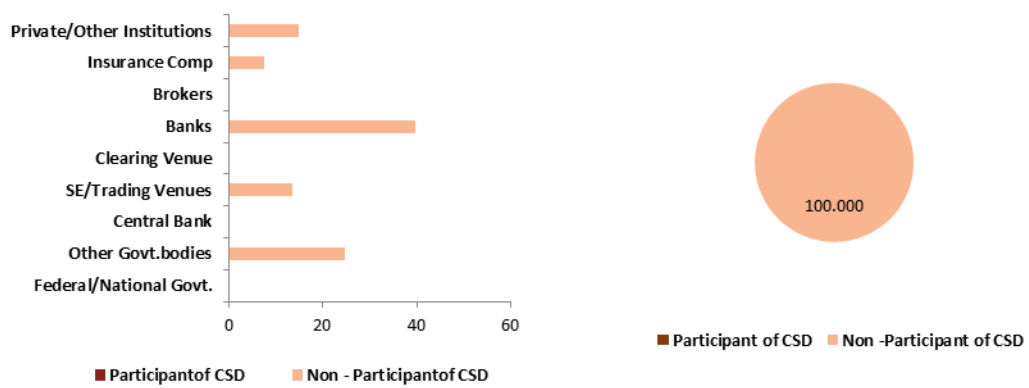
❑ BASIC INFORMATION

- **Regional Association:** ACG
- **Local Currency:** Bangladeshi Taka (BDT)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. CDBL is sponsored by various government and private institutions of the country regulated by the Bangladesh Securities and Exchange Commission

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☒ Government Debt
 - ☑ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Corporate Debt
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has no DVP solution

- Type of Participants

o Domestic

Custodian (77), Non-custodian Banks (28), Brokers (300), Asset Managers (4), Others (2)

❑ FULL TIME EMPLOYEES: 66 (AS ON 31-Dec-19)

❑ LINKS WITH OTHER CSDs

- CSD has no links with other CSD

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	2,723,895		2,778,598		2,578,102	
Omnibus Accounts	212		199		199	
<u>Number of Participants</u>						
Domestic Participants	403		411		411	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	317	-	329	-	337	-
CIV	61	-	74	-	82	-
Debt (corporate)	1	-	-	-	1	-
Others	-	-	1	-	-	-

				in USD (in millions i.e., '000000)		
<u>Conversion Rate</u>	82.796	84.558		84.417		
<u>Settlement Instruction (During the year)</u>						
Number of Instructions	34.280	17.331		16.307		
Value of Instructions	26,204.186	33,612.116		28,481.875		
<u>Corporate Action Events (During the year)</u>						
Number of Events handled by CSD	0.000	0.000		0.000		
Value of Corporate action	1,590.056	2,228.290		3,670.311		
<u>Value on Deposit</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	30,181.971	-	0.000	-	0.000	-
CIV	647.158	-	-	-	-	-
Debt (corporate)	35.654	-	-	-	-	-

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- During the year as per instruction from Bangladesh Securities and Exchange Commission CDBL implemented Mangal, a new module in the Depository Software to block debit and credit transactions of BO Accounts of directors / sponsors / placement holders to prevent buy or sale without prior declaration or payment of tax where applicable, by them.

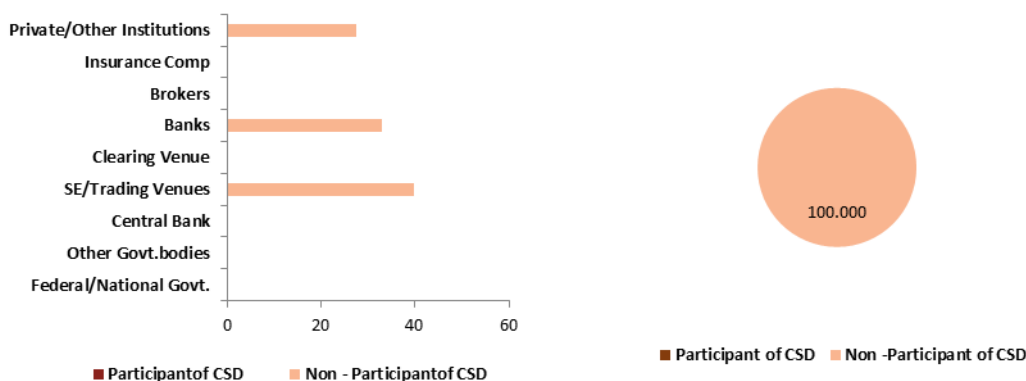
❑ BASIC INFORMATION

- Regional Association: ACG
- Local Currency: (PKR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI.

- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- Principal Account structure: Beneficial Owner

- Financial Instruments accepted for deposit and/or settlement:

- ☒ Equities
- ☒ Collective Investment Vehicles
- ☒ Government Debt
- ☒ Corporate Debt
- ☒ Others

- Financial Instruments held in

- | | |
|----------------------------|--------------------------------|
| Dematerialized form | Equity, Corporate Debt, Others |
| Immobilized form | - |

- CSD or its group company does not have banking license

- CSD has no DVP solution

- Type of Participants

- **Domestic**
 - Non-custodian Banks (63), Brokers (228), Others (269)
- **Non-domestic**
 - Custodian (3)

❑ FULL TIME EMPLOYEES: 419 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	9,907.150	7,075.000	5,581.250
Other Income	8,052.163	6,212.500	7,637.500
	17,959.313	13,287.500	13,218.750

❑ LINKS WITH OTHER CSDs

- CSD has no links with other CSD

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	333,678		301,324		299,575	
<u>Number of Participants</u>						
Domestic Participants	615		547		560	
Non-domestic Participants	3		3		3	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	724	-	729	-	757	-
CIV	35	-	-	-	-	-
Debt (Federal/ National Govt.)	1	-	-	-	-	-
Debt (corporate)	98	-	108	-	108	-
Others	-	-	35	-	37	-

in USD (in millions i.e., '000000)						
Conversion Rate	110.675	160.000	160.000			
Settlement Instruction (During the year)						
Number of Instructions	5.630	-	-			
Value of Instructions	17,488.719	-	-			
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.001	0.001	0.001			
Value of Corporate action	454.822	6.252	6.036			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	80,343.191	-	32,914.250	-	26,660.313	-
Debt (Federal/ National Govt.)	1.238	-	-	-	-	-
Debt (corporate)	2,472.880	-	-	-	-	-

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☑ Trade Repository Services
- ☑ Information Services
- ☑ National Numbering Agency Services
- ☑ Technological solutions
- ☑ Triparty Services
- ☑ Legal Entity Identifier (LEI) Services
- ☑ Valuation Services
- ☑ Cash Account and other Cash Services
- ☑ e-Voting Platform
- ☑ Crowdfunding Platform
- ☑ Funds Order Routing Platform

- ☒ None of the above
- ☒ Others (Please specify)

☐ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

• Zakat Declaration Repository

CDC's proposed model for Zakat Declaration Repository has been formally approved by the Ministry of Religious Affairs and Interfaith Harmony (MORA) which shall be recognized mechanism for matters concerning CZ-50 under the Zakat Law as well as for Zakat Audit purposes. System Development for the establishment of Zakat Repository has started.

• Agri Collateral Management Company

CDC for quite some time is advocating the formation of a Collateral Management Company for farmers to get finances against their produce. A major achievement in this regard is the agreement of various major stakeholders including CDC, Arif Habib Group, Pakistan Agriculture Coalition (PAC) and National Foods to form Pakistan's first Agricultural CMC with the title of Naymat Collateral Management Company. An important meeting of sponsors of Naymat CMC was recently held along with PAC representatives where CDC has presented its Facility Management Agreement proposition.

• Sahulat

Sahulat Account is launched to facilitate small investor who wish to invest up to Rs. 500,000 only. This account can be opened with simplified KYC requirements.

• Support to Market through Reduction in Tariff & Cost Rationalization

Substantial revision in the tariff structure of both depository and trustee services to provide relief and ease of doing business to investors despite the depressed capital market situation and comparatively lower income of the Company as compared to preceding years. As the infrastructure backbone of Pakistan Capital Market, CDC's main objective is to provide efficient and cost-effective services to all its customers.

As part of the recent reduction, CDC has provided 100% waiver on Maintenance fee for such Sub-Account holders who also have Investor Accounts. Taking this initiative further in order to promote the growth of Pakistan's corporate debt market, CDC has significantly reduced its annual fee for long-term redeemable securities by approximately 65%. Additionally, CDC has rationalized its tariff structure for next five years which also includes reduction in custody fee for the year 2019-20 and 2020-21 by 14% and 16% respectively.

CDC has also significantly reduced its service tariff for the Mutual Fund Industry up to 57% applicable to different categories of funds. Apart from the said reduction, CDC has also rationalized the trustee fee for small sized mutual funds / schemes by permanently eliminating the minimum fee component and implementing flat rate instead of slab system. This reduction is expected to facilitate Asset Management

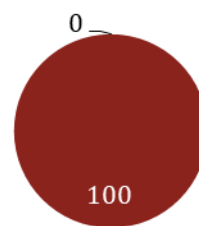
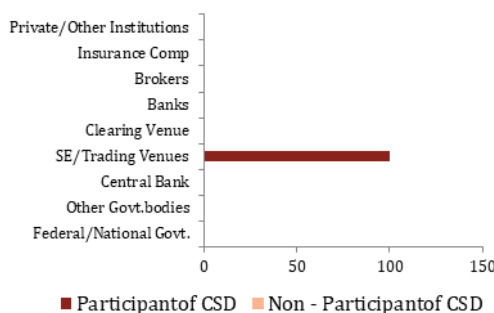
Companies in making their funds / schemes more investment-worthy in the current challenging times. This is not the first time CDC has reduced its service tariff. In fact, in the past, the tariffs for depository services (both custody and transaction fee) and trustee services have been reduced a number of times.

❑ BASIC INFORMATION

- **Regional Association:** AECSD
- **Local Currency:** Armenian Dram (AMD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Stock Exchange
- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license

❑ LINKS WITH OTHER CSDs

- CSD has no links with other CSD

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	105,000		-		-	
Omnibus Accounts	22		-		-	
<u>Number of Participants</u>						
Domestic Participants	20		-		-	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign

Equities	144	-	-	-	-	-
Debt (Federal/ National Govt.)	158	-	-	-	-	-
Debt (corporate)	39	-	-	-	-	-

in USD (in millions i.e., '000000)

Conversion Rate	484.100	483.750	521.130
Settlement Instruction (During the year)			
Number of Instructions	0.002	-	-
Value of Instructions	91,689.319	-	-
Corporate Action Events (During the year)			
Value of Corporate action	214.832	-	-

☐ OTHER SERVICES (AS ON 31-Dec-19)

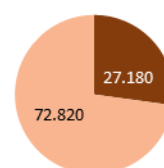
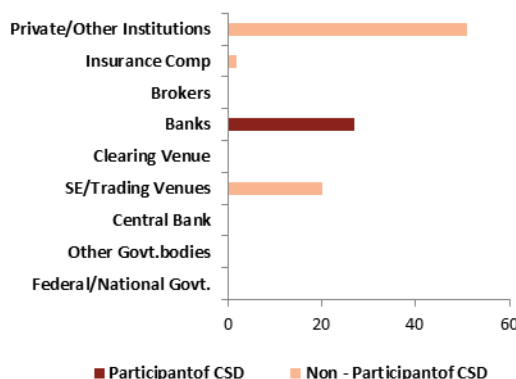
- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

❑ BASIC INFORMATION

- **Regional Association:** ACG, AECSD
- **Primary Regional Association:** ACG
- **Local Currency:** Indian Rupee (INR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Stock Exchange
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has no DVP solution
- **Type of Participants**
 - **Domestic**
Custodian (11), Non-custodian Banks (36), Brokers (542), Others (11)

☐ **FULL TIME EMPLOYEES: 220 (AS ON 31-Dec-19)**

☐ **ANNUAL REVENUE**

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	-	21,163.421	21,375.221
Other Income	-	3,934.264	5,069.286
	-	25,097.685	26,444.507

☐ **LINKS WITH OTHER CSDs**

- CSD has no links with other CSD

☐ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	-		16,724,959		19,721,768	
<u>Number of Participants</u>						
Domestic Participants	-		592		600	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	-	-	11,836	-	14,797	-
CIV	-	-	16,215	-	16,631	-
Debt (Federal/ National Govt.)	-	-	3,166	-	3,751	-
Debt (corporate)	-	-	8,091	-	8,334	-
Others	-	-	2,502	-	2,958	-

in USD (in millions i.e., '000000)						
<u>Conversion Rate</u>	-		71.270		71.270	
<u>Settlement Instruction (During the year)</u>						
Number of Instructions	-		4.052		3.775	
Value of Instructions	-		114,801.740		90,779.430	
<u>Corporate Action Events (During the year)</u>						
Number of Events handled by CSD	-		0.041		0.045	
<u>Value on Deposit</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	-	-	262,087.274	-	276,124.176	-
CIV	-	-	7,868.248	-	10,249.614	-
Debt (Federal/ National Govt.)	-	-	112.109	-	188.017	-
Debt (corporate)	-	-	11,539.217	-	12,789.813	-
Others	-	-	1,622.562	-	3,374.491	-

☐ **OTHER SERVICES (AS ON 31-Dec-19)**

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform

- ☒ None of the above
☒ Others (Please specify)

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

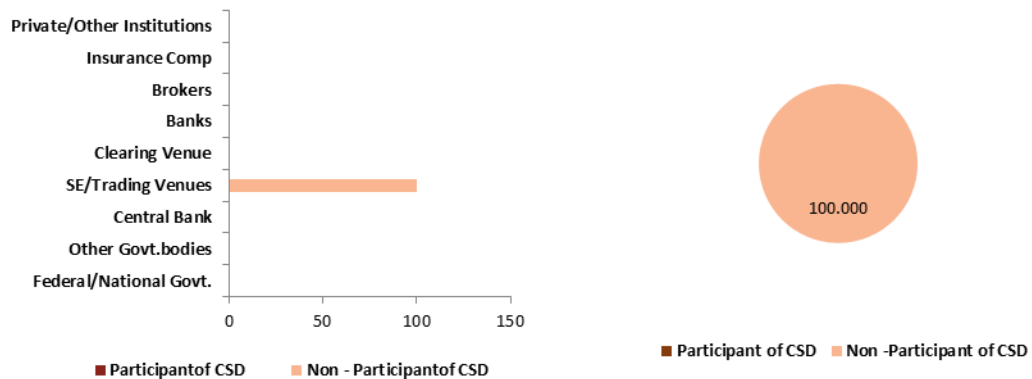
- CDSL is the First and only Depository to have started operations in IFSC (International Financial Service Centre) at GIFT City (Gujarat International Finance Tech City), Gandhinagar, Gujarat, India
- CDSL becomes the largest depository in India in terms of active demat accounts.
- CDSL was listed on June 30, 2017 on the NSE. CDSL received an overwhelming response in its Initial Public Offer (IPO) and thereafter became the first and remains till date, the only depository to get listed in the Asia-Pacific region and only the second depository to be publicly listed in the World.

❑ BASIC INFORMATION

- **Regional Association:** ACG
- **Local Currency:** Sri Lankan Rupee (LKR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Stock Exchange
- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Corporate Debt
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD uses external Commercial Bank money (CoBM) for settlement
- **Type of Participants**
 - o **Domestic**
Custodian (15), Brokers (27)

☐ **FULL TIME EMPLOYEES: 19 (AS ON 31-Dec-19)**

☐ **ANNUAL REVENUE**

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	81.953	610.617	58.341
Other Income	28.110	195.872	-
	110.063	806.490	58.341

☐ **LINKS WITH OTHER CSDs**

- CSD has no links with other CSD

☐ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	625,307		824,716		835,057	
<u>Number of Participants</u>						
Domestic Participants	42		39		42	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	327	-	331	-	280	-
CIV	2	-	2	7	14	-
Debt (Federal/ National Govt.)	-	-	139	-	-	-
Debt (corporate)	195	-	195	-	257	-

	in USD (in millions i.e., '000000)					
Conversion Rate	153.500	196.409	196.409			
Settlement Instruction (During the year)						
Number of Instructions	0.980	0.886	1.195			
Value of Instructions	1,437.076	1,018.632	871.140			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	16,263.858	-	12,931.856	-	13,518.843	-
CIV	8.046	-	-	-	-	-
Debt (corporate)	1,863.082	-	1,469.166	-	1,450.673	-

☐ **OTHER SERVICES (AS ON 31-Dec-19)**

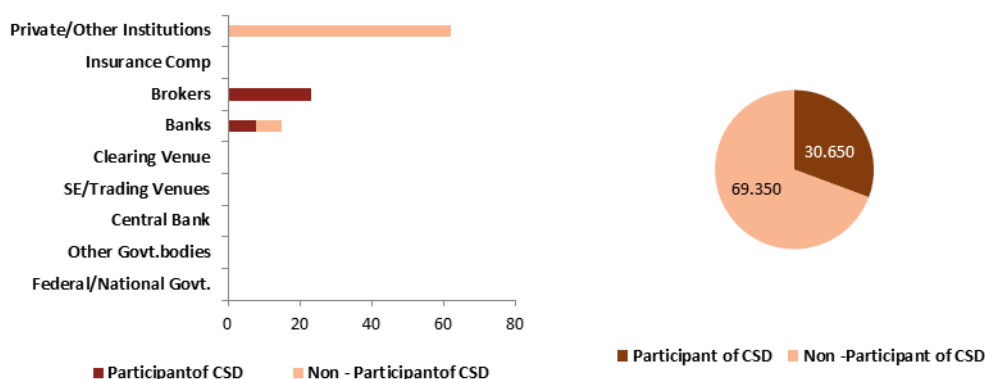
- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): Asset Servicing and Registrar Services

❑ BASIC INFORMATION

- **Regional Association:** ACSDA
- **LEI Number:** 254900MDSWYRJPTY13
- **Local Currency:** United States Dollar (USD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. Our group is defined as follows: Latinex Holding Inc (listed on the Stock Exchange) is the owner of 100% of the shares of Latinex Inc and Latinex Inc is the owner of 100% of Central Latinoamericana de Valores, SA (Latin Clear) and Bolsa de Valores de Panama, SA.
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Collective Investment Vehicles, Corporate Debt
 - Immobilized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD uses external Commercial Bank money (CoBM) for settlement

- Type of Participants

o Domestic

Non-custodian Banks (6), Brokers (27), Others (1)

❑ FULL TIME EMPLOYEES: 24 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	3,658.322	4,010.420	4,306.432
Other Income	128.300	38.397	67.072
	3,786.622	4,048.817	4,373.504

❑ LINKS WITH OTHER CSDs

- CSD has links with other CSD

o Number of Links with other CSDs - 5

- Both Inbound and Outbound – 5 (Only Direct)

o Purpose of Links with other CSDs

- Both DVP & FOP - 5 (Only Direct)

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Omnibus Accounts	34		35		34	
<u>Number of Participants</u>						
Domestic Participants	34		35		34	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	87	187	90	196	93	199
CIV	33	33	40	64	44	81
Debt (Federal/ National Govt.)	25	43	16	63	19	75
Debt (corporate)	869	329	990	483	1,181	547
Others	31	1	31	2	31	2

in USD (in millions i.e., '000000)

Conversion Rate	1.000	1.000	1.000			
Settlement Instruction (During the year)						
Number of Instructions	0.007	0.010	0.012			
Value of Instructions	5,323.500	5,839.400	6,899.800			
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.021	0.027	0.030			
Value of Corporate action	248.000	4609.300	3897.900			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	4,936.435	303.826	5,390.052	345.415	6,002.427	287.330
CIV	3.264	2,695.966	2,869.965	7.925	3,278.607	6.894
Debt (Federal/ National Govt.)	5,385.400	73.974	4,917.506	214.114	7,049.603	230.500
Debt (corporate)	7,729.565	608.209	7,262.985	580.621	7,836.469	492.844
Others	392.741	3.988	453.275	4.781	424.051	3.790

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): Our services are detailed in the following page
<https://www.latinclear.com.pa/servicios/>

☐ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

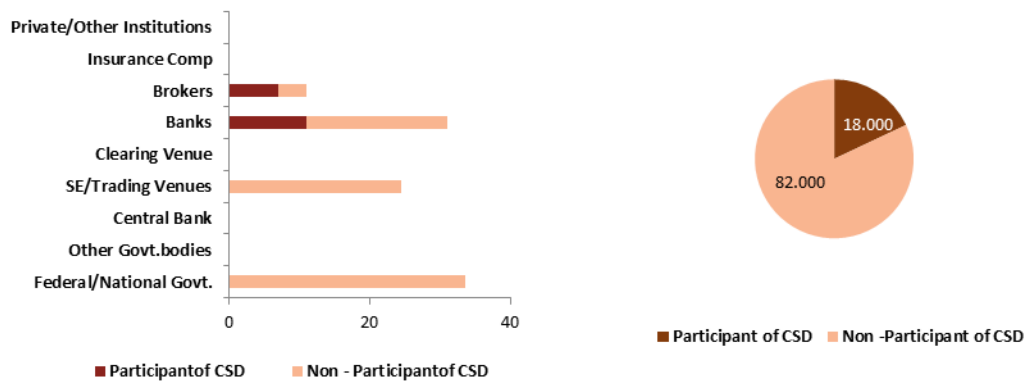
- In follow-up to the regional markets' integration project, in August 2019, Nicaragua and Panama signed a new agreement of custody and settlement. On the other hand, Banco Nacional de Panama started the first phase of the Real Time Gross Settlement (RTGS), where Latin Clear now can do more than one settlement per day and will allow it to develop new services for its Participants.

☐ **BASIC INFORMATION**

- **Regional Association:** ECSDA
- **Local Currency:** Bosnia-Herzegovina Convertible Mark (BAM)

☐ **OWNERSHIP (AS ON 31-Dec-19)**

- **CSD is owned or controlled by Stock Exchange**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

☐ **MARKET STRUCTURE (AS ON 31-Dec-19)**

- **Principal Account structure: Beneficial Owner (Omnibus accounts can also be opened)**
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD settles in Central Bank money**

- **Type of Participants**
 - o **Domestic**
Custodian (3), Brokers (5)

☐ **FULL TIME EMPLOYEES: 24 (AS ON 31-Dec-19)**

☐ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	1,100.582	985.134	886.244
Other Income	250.913	738.108	302.733
	1,351.495	1,723.242	1,188.977

☐ **LINKS WITH OTHER CSDs**

- CSD has no links with other CSD

☐ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	1,266,471		1,268,865		1,269,569	
Omnibus Accounts	20		22		22	
<u>Number of Participants</u>						
Domestic Participants	8		8		8	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	25	-	19	-	22	-
CIV	7	-	13	-	-	-
Debt (Federal/ National Govt.)	17	-	4	-	11	-
Debt (Other Govt. bodies)	1	-	4	-	4	-
Debt (corporate)	5	-	6	-	5	-

in USD (in millions i.e., '000000)

Conversion Rate	1.630	1.684	1.731			
Settlement Instruction (During the year)						
Number of Instructions	0.020	18.960	0.016			
Value of Instructions	58.403	100.354	69.906			
Corporate Action Events (During the year)						
Number of Events handled by CSD	-	-	-			
Value of Corporate action	602.441	230.399	268.646			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	5,877.711	-	5,655.464	-	5,417.991	-
CIV	844.845	-	101.542	-	98.793	-
Debt (Federal/ National Govt.)	1,051.391	-	903.782	-	865.446	-
Debt (Other Govt. bodies)	24.489	-	27.315	-	30.042	-
Debt (corporate)	86.337	-	80.165	-	73.950	-

☐ **OTHER SERVICES (AS ON 31-Dec-19)**

- ☒ Trade Repository Services
- ☒ Information Services

- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

☐ **MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)**

Safekeeping a register of units - procedures and signed first contract Dividend - conditions for dividend paying has been created Omnibus account treatment improved in accordance with custody banks requirements so that natural and legal persons when changing global custody bank can have their assets on Omnibus account.

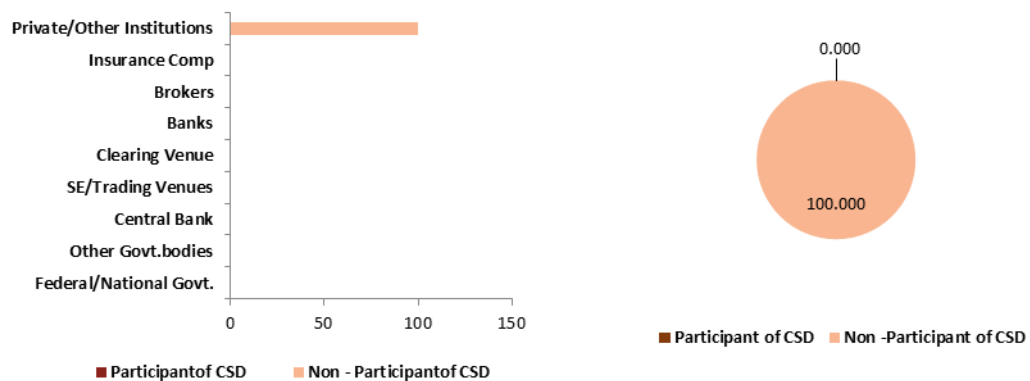
❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 48510000JZ17NWGUA510
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI.

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- Type of Participants

- **Domestic**
Custodian (9), Brokers (2), Asset Managers (4), Others (3)
- **Non-domestic**
Custodian (2)

❑ **FULL TIME EMPLOYEES: 63 (AS ON 31-Dec-19)**

❑ ANNUAL REVENUE

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	11,137.114	11,402.072	12,100.613
Other Income	388.755	23.480	19.958
	11,525.869	11,425.553	12,120.572

❑ LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 4**
 - Only Inbound – 3 (Only Direct)
 - Only Inbound – 1 (Only Indirect)
 - **Purpose of Links with other CSDs**
 - Both DVP & FOP - 3 (Only Direct)
 - Both DVP & FOP - 1 (Only Indirect)

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	191,257		171,298		154,508	
Omnibus Accounts	649		133		141	
<u>Number of Participants</u>						
Domestic Participants	19		18		18	
Non-domestic Participants	1		2		2	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	539	-	486	-	465	-
Debt (Federal/ National Govt.)	29	-	30	-	26	-
Debt (corporate)	33	-	36	-	40	-

in USD (in millions i.e., '000000)						
Conversion Rate	0.833		0.852		0.852	
Settlement Instruction (During the year)						
Number of Instructions	0.132		0.069		0.052	
Value of Instructions	30,127.322		20,154.383		21,118.253	
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.000		0.000		0.000	
Value of Corporate action	21,771.487		8,623.169		12,230.930	
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	24,558.765	-	24,919.515	-	25,692.339	-
Debt (Federal/ National Govt.)	27,776.793	-	30,439.964	-	31,080.978	-
Debt (corporate)	992.285	-	846.468	-	952.129	-

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): Central registry, on and off exchange transactions settlement, custody services, corporate actions processing

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- A new legislation on ZNVP-1 that stipulates the final phase of registry accounts disintegration encouraged holders of registry accounts to transfer their securities either to client accounts opened with KDD members or to a KAD joint special account (KAD = Kapitalska družba d.d., eng: Pension Fund Management). This way the number of registry accounts decreased further.
- In 2019, KDD operated successfully in the T2S environment and adjusted its CRVP information system to correspond member reconciliation requirements according to the EU Directive 909/2014.
- The process of adaptation of KDD operations to the EU directive and related regulative technical standards had been ongoing since March 2017 and in September 2019 resulted in KDD having been granted CSDR license by Slovenian Securities Market Agency.

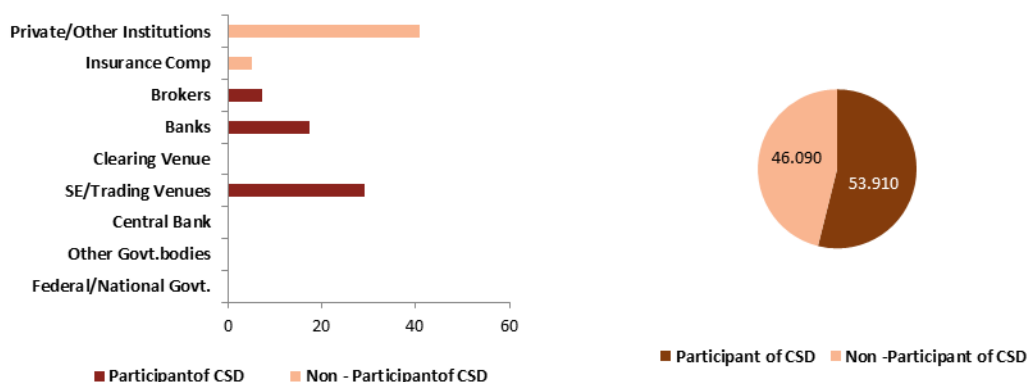
❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **LEI Number:** 029200067A7K6CH0H586
- **Local Currency:** Nigerian Naira (NGN)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. CSCS is owned by the Nigerian Stock Exchange (29.7% equity interest), leading Nigerian Banks, Private Equity Firms, institutional Investors and other shareholders.

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution

- CSD settles in Central Bank money

- **Type of Participants**

- o **Domestic**

Custodian (12), Non-custodian Banks (19), Brokers (183), Asset Managers (4), Others (18)

☐ **FULL TIME EMPLOYEES: 123 (AS ON 31-Dec-19)**

☐ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	-	14,998.792	12,742.189
Other Income	-	14,584.547	17,245.238
	-	29,583.339	29,987.427

☐ **LINKS WITH OTHER CSDs**

- CSD has no links with other CSD

☐ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	-		181,794		135,705	
Omnibus Accounts	-		2		694	
<u>Number of Participants</u>						
Domestic Participants	-		237		236	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	-	-	11	-	202	-
CIV	-	-	-	-	18	-
Debt (Federal/ National Govt.)	-	-	29	-	139	-
Debt (Other Govt. bodies)	-	-	5	-	27	1
Debt (corporate)	-	-	15	-	30	-
Others	-	-	32	-	-	-

in USD (in millions i.e., '000000)

Conversion Rate	-	307.000	307.000			
<u>Settlement Instruction (During the year)</u>						
Number of Instructions	-	1.032	0.887			
Value of Instructions	-	4,020.550	3,765.542			
<u>Corporate Action Events (During the year)</u>						
Value of Corporate action	-	4,020.550	3,765.542			
<u>Value on Deposit</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	-	-	33,806.065	-	40,315.674	-
CIV	-	-	-	-	265.896	-
Debt (Federal/ National Govt.)	-	-	246.907	-	5,098.387	-
Debt (Other Govt. bodies)	-	-	817.058	-	1,372.869	36.910
Debt (corporate)	-	-	961.989	-	2,441.621	-

☐ **OTHER SERVICES (AS ON 31-Dec-19)**

- ☒ Trade Repository Services
- ☒ Information Services

- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

☐ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

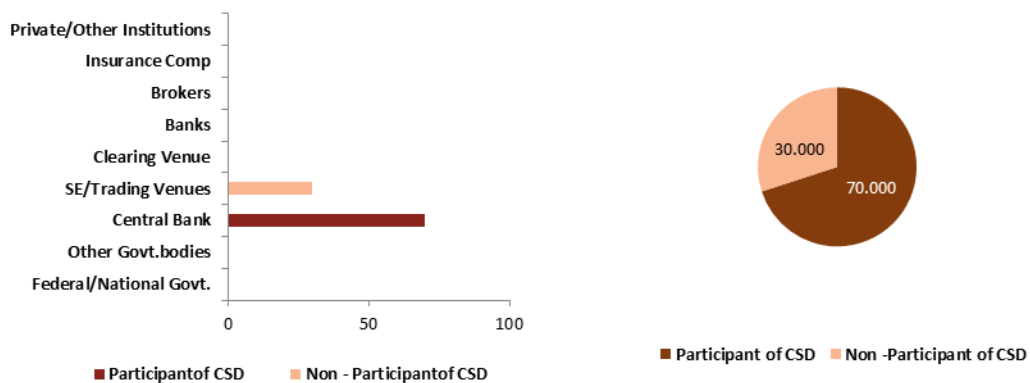
Launch of our Mobile App, A+ rating by Thomas Murray Data Service, Deployment of an AI-led technology platform for interfacing with the Registrars Participants, Website overhaul, Introduction of Secured Paper for Investor's Statement of Account and ISO 27001 Recertification.

❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **Local Currency:** Ghanaian cedi (GHS)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Central Bank
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money
- **Type of Participants**
 - **Domestic**
 - Custodian (15), Non-custodian Banks (8), Brokers (23), Others (5)

☐ **FULL TIME EMPLOYEES: 32 (AS ON 31-Dec-19)**

☐ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	10,483.931	6,860.613	5,744.231
Other Income	1,478.633	1,377.381	1,536.930
	11,962.564	8,237.995	7,281.161

☐ **LINKS WITH OTHER CSDs**

- CSD has no links with other CSD

☐ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	976,955		972,497		1,182,158	
Omnibus Accounts	4,458		4,458		6,465	
<u>Number of Participants</u>						
Domestic Participants	72		51		51	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	47	-	49	-	40	-
CIV	1	-	1	-	1	-
Debt (Federal/ National Govt.)	149	4	111	-	119	-
Debt (Other Govt. bodies)	104	-	25	-	21	-
Debt (corporate)	120	-	95	-	97	-

in USD (in millions i.e., '000000)

Conversion Rate	4.572	4.200	5.534			
<u>Settlement Instruction (During the year)</u>						
Number of Instructions	0.135	0.111	0.143			
Value of Instructions	37,291.408	50,908.842	46,904.997			
<u>Corporate Action Events (During the year)</u>						
Number of Events handled by CSD	0.001	0.001	0.001			
Value of Corporate action	31,568.944	34,361.496	28,077.549			
<u>Value on Deposit</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	3,049.470	-	3,504.850	-	2,221.343	-
CIV	0.044	-	0.046	-	0.118	-
Debt (Federal/ National Govt.)	14,588.623	316.571	14,924.289	-	14,728.249	-
Debt (Other Govt. bodies)	45,982.438	-	2,812.668	-	2,256.779	-
Debt (corporate)	1,327.360	-	1,552.611	-	1,247.482	-

☐ **OTHER SERVICES (AS ON 31-Dec-19)**

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform

- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

☐ **MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)**

- CSD (GH) Limited completed its Self-Assessment exercise of the CPMI-IOSCO Principles for Financial Market Infrastructures in November, 2019.
- The CSD officially became a member of SWIFT, with its own BIC, in March 2019. The CSD, in furtherance of its strategic vision to be a leading provider of efficient and reliable post trade services in the financial sector in Ghana and to improve market access to investors, engaged with SWIFT during the year in a project to address gaps and challenges in its current infrastructure by implementing international best practice and standards in communications.
- In 2019, the Bank of Ghana finalized the Guideline for Repurchase Agreements in Ghana to facilitate repo transactions under the Global Master Repurchase Agreement. As a result, the Depository enhanced its repo platform to facilitate the permissible Repo transactions - repo, sell/buy back, outlined in the Guidelines for Repurchase Agreements in Ghana.

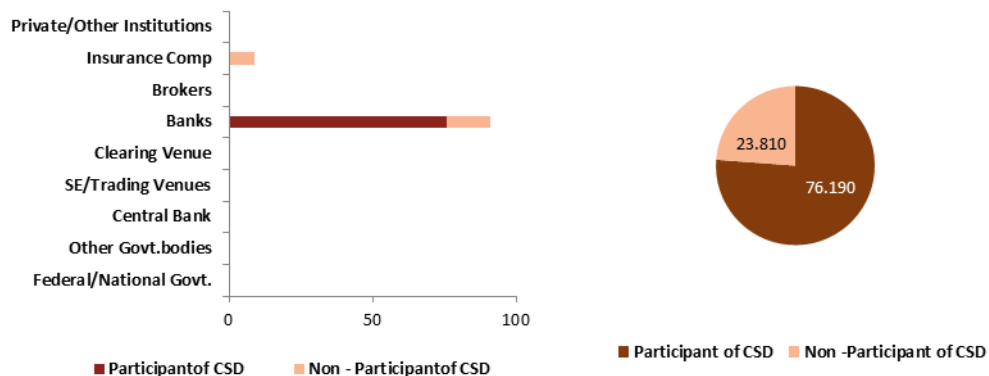


❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 485100QFMHAHL4B90L28
- **Local Currency:** Macedonian Denar (MKD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- The CSD is owned by brokerage houses and banks
- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Government Debt, Corporate Debt
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money
- Type of Participants



○ Domestic

Custodian (4), Non-custodian Banks (2), Brokers (5)

❑ FULL TIME EMPLOYEES: 18 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	762.263	937.590	824.195
Other Income	20.528	20.153	17.688
	782.791	957.743	841.883

❑ LINKS WITH OTHER CSDs

- CSD has no links with other CSD

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	75,312		67,686		65,130	
Omnibus Accounts	4		13		15	
<u>Number of Participants</u>						
Domestic Participants	11		11		11	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	517	-	500	-	483	-
Debt (Federal/ National Govt.)	201	-	190	-	176	-
Debt (corporate)	1	-	1	-	4	-

in USD (in millions i.e., '000000)

Conversion Rate		51.198	53.689	in USD (in millions i.e., 000000)		
Settlement Instruction (During the year)						
Number of Instructions	0.017		0.026		0.020	
Value of Instructions	248.127		711.770		267.707	
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.000		0.000		0.000	
Value of Corporate action	979.936		1,025.653		832.657	
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	4,157.986	-	3,962.771	-	3,885.205	-
CIV	-	-	-	-	-	-
Debt (Federal/ National Govt.)	1,887.062	-	1,876.652	-	1,996.131	-
Debt (corporate)	1.201	-	1.136	-	13.994	-

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☑ Trade Repository Services
- ☑ Information Services
- ☑ National Numbering Agency Services
- ☑ Technological solutions
- ☑ Triparty Services
- ☑ Legal Entity Identifier (LEI) Services
- ☑ Valuation Services



- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): -

☐ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- During 2019, new membership types were introduced: custodian members and OTC members. Custodian members started to participate in settlement on a cash leg of a transactions. CSD amended Risk Management Strategy as a top document of Risk Management framework.

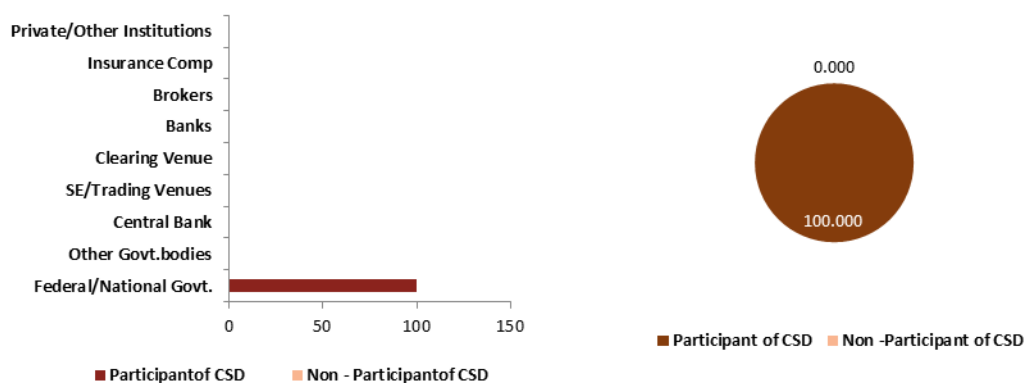
❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **Local Currency:** Serbian Dinar (RSD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD and CH of Serbia is owned by Republic of Serbia and regulated by Securities Commission.

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Government Debt, Corporate Debt
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- **Type of Participants**

o **Domestic**

Custodian (6), Non-custodian Banks (18), Brokers (15), Others (2)

☐ **FULL TIME EMPLOYEES: 32 (AS ON 31-Dec-19)**

☐ **ANNUAL REVENUE**

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	1,336.816	1,140.531	1,586.670
Other Income	246.687	211.410	238.170
	1,583.503	1,351.941	1,824.841

☐ **LINKS WITH OTHER CSDs**

- CSD has no links with other CSD

☐ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	8,432,508		7,764,092		7,733,721	
Omnibus Accounts	407		405		317	
<u>Number of Participants</u>						
Domestic Participants	49		46		41	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	1,538	-	1,449	-	1,316	-
Debt (Federal/ National Govt.)	87	-	72	-	58	-
Debt (Other Govt. bodies)	8	-	8	-	7	-
Debt (corporate)	79	-	15	-	13	-

	in USD (in millions i.e., '000000)					
Conversion Rate	99.109	99.295	99.475			
Settlement Instruction (During the year)						
Number of Instructions	0.200	0.182	0.178			
Value of Instructions	67,585.611	68,376.319	72,742.590			
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.004	0.001	0.000			
Value of Corporate action	18,343.659	11,502.002	13,328.537			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	13,974.952	-	13,513.252	-	13,608.638	-
Debt (Federal/ National Govt.)	12,276.152	-	4.482	-	94.436	-
Debt (Other Govt. bodies)	5,127.919	-	0.544	-	0.543	-
Debt (corporate)	74.393	-	26.587	-	36.381	-

☐ **OTHER SERVICES (AS ON 31-Dec-19)**

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services

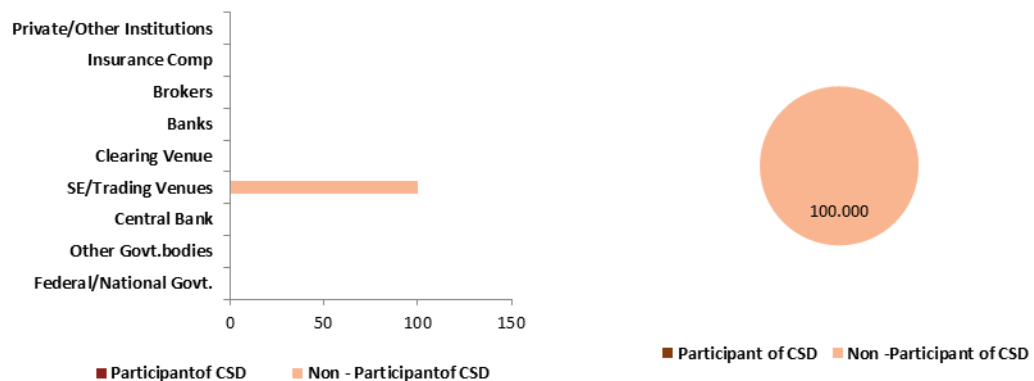
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **Local Currency:** Botswanan Pula (BWP)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Stock Exchange
- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD uses external Commercial Bank money (CoBM) for settlement
- **Type of Participants**
 - **Domestic**
 - Custodian (3), Brokers (4), Others (1)

- Non-domestic
Others (1)

❑ FULL TIME EMPLOYEES: 5 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	701.964	499.325	496.382
Other Income	-	10.390	1.596
	701.964	509.715	497.978

❑ LINKS WITH OTHER CSDs

- CSD has no links with other CSD

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	90,329		90,828		94,051	
<u>Number of Participants</u>						
Domestic Participants	11		9		8	
Non-domestic Participants	1		-		1	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	28	8	28	-	25	-
Debt (Federal/ National Govt.)	5	-	-	-	-	-
Debt (corporate)	38	-	41	-	36	-

in USD (in millions i.e., '000000)

Conversion Rate	9.872	11.386	11.386			
Settlement Instruction (During the year)						
Number of Instructions	0.016	0.010	0.008			
Value of Instructions	531.074	376.579	352.590			
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.000	0.000	0.000			
Value of Corporate action	154.786	15.234	55.850			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	4.498	2.988	1,135.517	8.621	1,105.174	85.224
Debt (Federal/ National Govt.)	0.922	-	-	-	-	-
Debt (corporate)	0.527	-	371.117	-	370.406	-
Others	-	-	-	0.673	-	0.640

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☑ Trade Repository Services
- ☑ Information Services
- ☑ National Numbering Agency Services
- ☑ Technological solutions
- ☑ Triparty Services
- ☑ Legal Entity Identifier (LEI) Services
- ☑ Valuation Services
- ☑ Cash Account and other Cash Services
- ☑ e-Voting Platform

- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): -

☐ **MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)**

Procurement of a new CSD system that will enable CSDB to provide new modules like E-voting, Securities Borrowing and Lending and settling with Central Bank money.

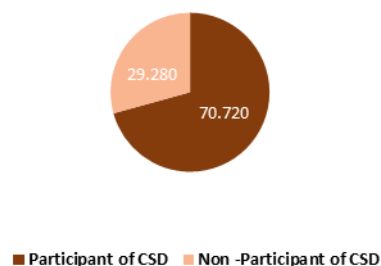
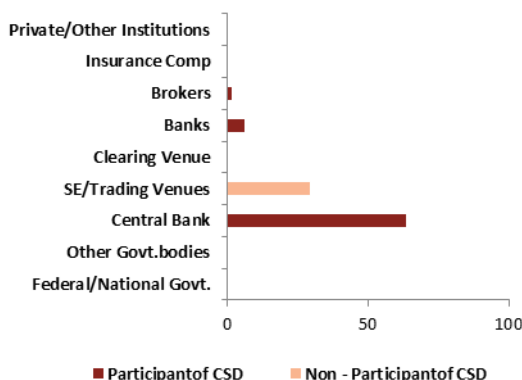
❑ BASIC INFORMATION

- **Regional Association:** ACG, AECSD
- **Primary Regional Association:** AECSD
- **LEI Number:** 253400B69B5AY7PVC49
- **Local Currency:** Kazakhstani Tenge (KZT)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Central Bank

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- Type of Participants

o Domestic

Custodian (10), Non-custodian Banks (12), Brokers (21)

o Non-domestic

Non-custodian Banks (1), Brokers (11)

❑ FULL TIME EMPLOYEES: 119 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	3,608.442	3,772.051	5,631.670
Other Income	662.375	657.891	902.605
	4,270.817	4,429.942	6,534.275

❑ LINKS WITH OTHER CSDs

- CSD has links with other CSD

o Number of Links with other CSDs - 7

- Only Inbound – 1 (Only Direct)
- Only Outbound – 3 (Only Direct)
- Both Inbound and Outbound – 3 (Only Direct)

o Purpose of Links with other CSDs

- Only FOP – 4 (Only Direct)
- Both DVP & FOP - 3 (Only Direct)

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	115,387		120,656		121,026	
Omnibus Accounts	108		106		113	
<u>Number of Participants</u>						
Domestic Participants	48		46		43	
Non-domestic Participants	12		12		12	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	342	39	2,045	40	2,301	68
CIV	10	5	30	4	47	3
Debt (Federal/ National Govt.)	152	3	191	4	172	6
Debt (Other Govt. bodies)	89	-	51	-	46	-
Debt (corporate)	399	32	413	56	445	272
Others	-	-	9	-	32	-

in USD (in millions i.e., '000000)

Conversion Rate	332.899	380.440	381.180
Settlement Instruction (During the year)			
Number of Instructions	0.288	0.281	0.244
Value of Instructions	1,272,341.784	858,313.907	582,072.873
Corporate Action Events (During the year)			
Number of Events handled by CSD	0.001	0.001	0.001
Value of Corporate action	190,115.004	166,238.721	96,832.861
Value on Deposit			

Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	26,363.630	263.858	0.032	-	0.129	-
CIV	28.259	25.448	-	-	-	-
Debt (Federal/ National Govt.)	438.081	422.098	0.025	0.001	0.028	0.001
Debt (Other Govt. bodies)	28,805.891	-	-	-	0.001	-
Debt (corporate)	10,085.363	574.608	0.012	-	0.013	0.003

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): Registrar Services

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

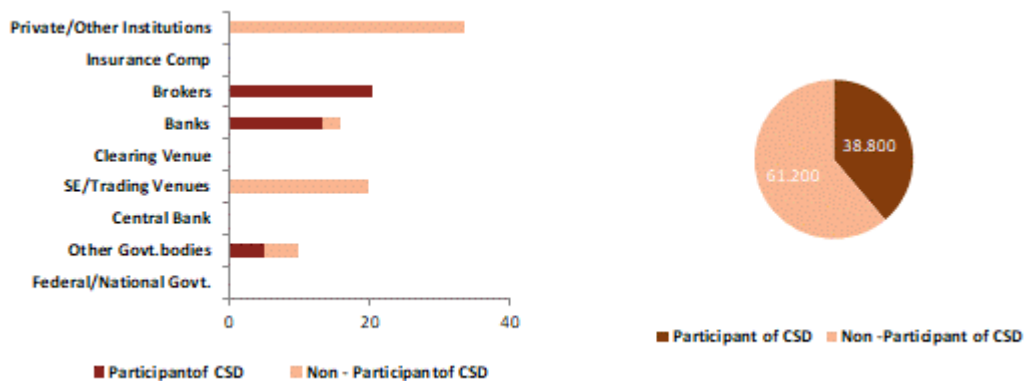
- For electronic interchange of documents with its clients the Central Securities Depository has developed and launched Doc. KACD, Issuer and Holder web-applications. Via user cabinets the clients can interchange electronic documents with the Central Securities Depository, send orders, receive statements, securities holder registers, reports and other informational services
- In compliance with the Law of the Republic of Kazakhstan "On Joint-stock Companies" the function of unclaimed money accounting is allocated to the Central Securities Depository in case of absence of information on shareholder's details in the securities holders register system or joint-stock company
- The Central Securities Depository has completed development of its information systems due to introduction of trading-clearing system KASE ASTS+;
- OTC quotation system has been launched. It is online service for sending and viewing offers by clients on purchase/sale of financial instruments.

❑ BASIC INFORMATION

- **Regional Association:** ACG
- **Local Currency:** Iranian Rial (IRR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI.
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
- CSD or its group company does not have banking license
- CSD has no DVP solution
- **Type of Participants**
 - **Domestic**
Non-custodian Banks (16), Brokers (108), Asset Managers (5)

❑ FULL TIME EMPLOYEES: 207 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	9,405.308	19,592.357	52,471.929
Other Income	7,609.805	15,915.000	17,276.619
	17,015.113	35,507.357	69,748.548

❑ LINKS WITH OTHER CSDs

- CSD does not have links with other CSD

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	10,483,029		9,948,177		46,971,589	
<u>Number of Participants</u>						
Domestic Participants	112		130		129	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	783	-	428	-	629	-
CIV	29	-	61	-	207	-
Debt (Federal/ National Govt.)	37	-	42	-	64	-
Debt (Other Govt. bodies)	1	-	1	-	15	-
Debt (corporate)	17	-	23	-	22	-
Others	203	-	66	-	-	-

in USD (in millions i.e., '000000)

Conversion Rate	36,092.385	42,000.000	42,000.000			
Settlement Instruction (During the year)						
Number of Instructions	25.544	-	-			
Value of Instructions	16,026.659	13,772.381	53,268.810			
Corporate Action Events (During the year)						
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	125,545.940	-	0.699	-	584,917.762	-
CIV	94.729	-	0.096	-	49,025.119	-
Debt (Federal/ National Govt.)	15,937.372	-	-	-	20,993.857	-
Debt (Other Govt. bodies)	41.560	-	-	-	1,285.714	-
Debt (corporate)	1,725.849	-	-	-	1,690.952	-
Others	871.964	-	0.002	-	-	-

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☑ Trade Repository Services
- ☑ Information Services
- ☑ National Numbering Agency Services
- ☑ Technological solutions
- ☑ Triparty Services
- ☑ Legal Entity Identifier (LEI) Services
- ☑ Valuation Services
- ☑ Cash Account and other Cash Services
- ☑ e-Voting Platform
- ☑ Crowdfunding Platform

- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify):
 - e-KYC
 - Risk Management (Credit Limit, Settlement Guarantee Fund, etc.)
 - Corporate Action (Dividend Distribution, Pledging, Legal transfer, Right Issuance, Capital Increase)
 - Value added services (e-Services to investors, issuers, brokers, Government Service Counters)
 - Post-trade services for commodity exchanges (IRENEX and IME)
 - Data Reporting (to different national and international organizations and beneficiaries)

☐ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

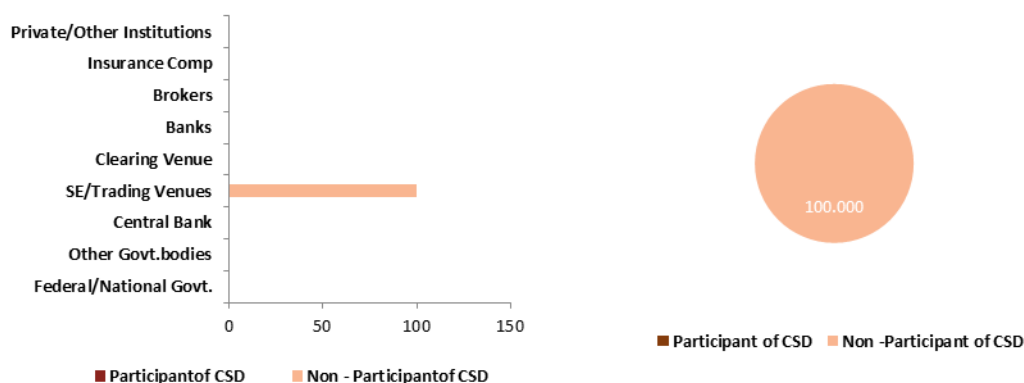
- Central Securities Depository of Iran has inaugurated launch of Iran Energy Exchange Integrated Settlement System in a ceremony attended by high-ranking representatives of the Iran capital market.
- Energy Exchange Integrated Settlement System aka ENEXIS has been launched on 11 March, 2019 at CSDI's headquarters in Tehran.
- CSDI unveils Investor's Platform at the international Elecomp 2019 Exhibition with Economy Minister, Farhad Dejpasand, in attendance.
- CSDI launches comprehensive e-system for cash dividend distribution
- CSDI active participation at banking & investment exhp0 (invex 2019) in kish
- Over 2.5 million shareholders registered in CSDI new system of KYC, CIGS

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 097900BEFH0000000217
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD settles in Central Bank money**

- Type of Participants

- **Domestic**
Custodian (11), Non-custodian Banks (3), Brokers (3), Others (3)
- **Non-domestic**
Custodian (3), Others (3)

❑ **FULL TIME EMPLOYEES: 66 (AS ON 31-Dec-19)**

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	10,097.619	8,931.374	9,589.657
Other Income	1,623.810	1,106.428	134.797
	11,721.429	10,037.802	9,724.453

❑ LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 4**
 - Only Inbound – 4 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Only FOP – 1(Only Direct)
 - Both DVP & FOP - 3 (Only Direct)

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	238,220		221,709		209,332	
Omnibus Accounts	39		40		42	
<u>Number of Participants</u>						
Domestic Participants	19		19		20	
Non-domestic Participants	3		6		6	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	1,985	-	1924	-	1,888	-
CIV	7	-	7	-	7	-
Debt (Federal/ National Govt.)	19	-	19	-	17	-
Debt (Other Govt. bodies)	7	-	7	-	7	-
Debt (corporate)	504	-	526	-	534	-

in USD (in millions i.e., '000000)

Conversion Rate	0.833	0.850	0.890			
Settlement Instruction (During the year)						
Number of Instructions	0.015	0.020	0.031			
Value of Instructions	76,297.858	46,792.847	38,738.304			
Corporate Action Events (During the year)						
Number of Events handled by CSD	252	298	262			
Value of Corporate action	7,952.671	6,282.250	4,987.363			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	48,671.048	-	47,699.147	-	44,849.758	-
CIV	4.020	-	3.941	-	3.819	-
Debt (Federal/ National	43,059.471	-	40,944.688	-	36,339.935	-

Govt.)						
Debt (Other Govt. bodies)	4.640	-	4.549	-	4.381	-
Debt (corporate)	13,544.258	-	16,707.403	-	21,089.831	-

☐ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

☐ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

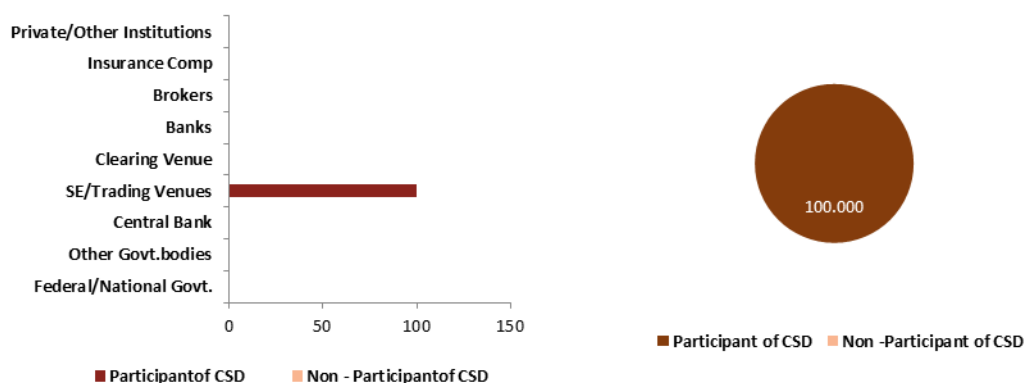
The CSD license in compliance with CSDR was granted in 2019

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 315700LK78Z7C0WMIL03
- **Local Currency:** Czech Republic Koruna (CZK)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Stock Exchange
- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD offers both Commercial Bank money and Central Bank money for settlement
- Type of Participants

- **Domestic**
Custodian (13), Non-custodian Banks (1), Brokers (5), Others (3)
- **Non-domestic**
Custodian (4), Brokers (1)

❑ **FULL TIME EMPLOYEES: 46 (AS ON 31-Dec-19)**

❑ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	17,993.429	17,253.118	17,202.506
Other Income	140.941	-	-
	18,134.370	17,253.118	17,202.506

❑ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 3**
 - Only Inbound – 1 (Only Direct)
 - Both Inbound and Outbound – 2 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Only FOP – 1 (Only Direct)
 - Both DVP & FOP - 2 (Only Direct)

❑ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	1,289,612		1,191,518		938,841	
Omnibus Accounts	13		16		20	
<u>Number of Participants</u>						
Domestic Participants	22		20		22	
Non-domestic Participants	3		4		5	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	2,635	1	2,849	43	2,906	43
CIV	15	-	12	-	12	-
Debt (Federal/ National Govt.)	207	-	97	-	87	-
Debt (Other Govt. bodies)	2	-	1	-	1	-
Debt (corporate)	662	-	760	-	666	-
Others	107	-	26	100	30	87

in USD (in millions i.e., '000000)

Conversion Rate		21.286	23.738	in USD (millions i.e., 000000)		
Settlement Instruction (During the year)						
Number of Instructions	1.337		1.250		1.300	
Value of Instructions	260,619.038		153,400.228		204,094.466	
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.000		0.000		0.000	
Value of Corporate action	35.000		16.640		16.939	
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	58,465.115	434.708	51,481.234	1,331.116	51,069.526	942.437
CIV	196.377	-	180.260	-	186.503	-

Debt (Federal/ National Govt.)	63,886.117	-	60,039.464	-	62,060.984	-
Debt (Other Govt. bodies)	234.901	-	210.633	-	213.879	-
Debt (corporate)	13,077.183	-	11,822.409	-	12,527.195	-
Others	276.573	-	222.302	5.729	326.850	11.849

☐ OTHER SERVICES (AS ON 31-Dec-19)

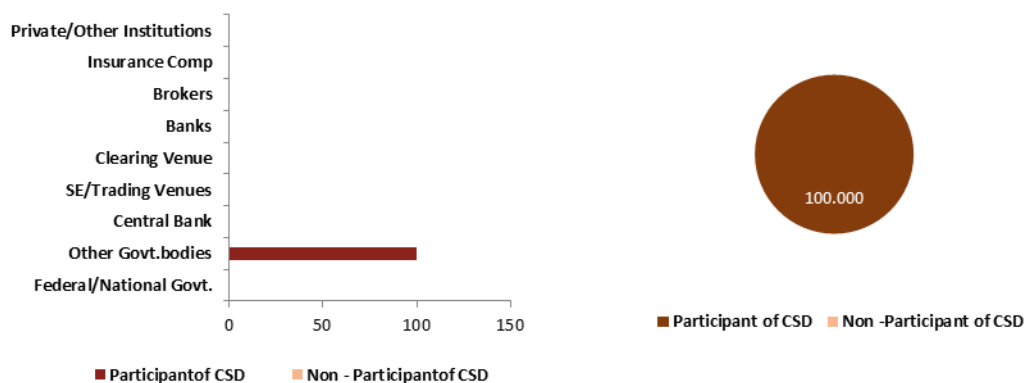
- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): -

❑ BASIC INFORMATION

- **Regional Association:** ACG
- **LEI Number:** 3003003IRW6SZBF1PB90
- **Local Currency:** Chinese Yuan (CNY)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CCDC is 100% owned by Ministry of Finance.**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner**
- **Financial Instruments accepted for deposit and/or settlement.**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Government Debt, Corporate Debt, Others
 - Immobilized form** Government Debt, Corporate Debt, Others
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD settles in Central Bank money**

- **Type of Participants**
 - **Domestic**
Others (23277)
 - **Non-domestic**
Others (1120)

□ LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 2**
 - Only Inbound – 1 (Only Direct)
 - Both Inbound and Outbound – 1 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Only DVP – 1 (Only Direct)
 - Only FOP – 1 (Only Direct)

□ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	18,741		20,345		24,397	
<u>Number of Participants</u>						
Domestic Participants	18,123		19,576		23,277	
Non-domestic Participants	618		769		1,120	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Debt (Federal/ National Govt.)	152	-	250	-	249	-
Debt (Other Govt. bodies)	1,751	-	4,213	-	5,039	-
Debt (corporate)	1,018	-	4,692	-	4,992	-
Others	-	-	1	2	1	1

in USD (in millions i.e., '000000)

Conversion Rate	6.506	6.860	6.980			
<u>Settlement Instruction (During the year)</u>						
Number of Instructions	2.096	3.822	4.842			
Value of Instructions	87,418,790.609	180,927,113.703	205,325,214.900			
<u>Corporate Action Events (During the year)</u>						
Number of Events handled by CSD	0.015	0.016	0.020			
Value of Corporate action	1,249,624.631	1,332,361.516	1,489,971.347			
<u>Value on Deposit</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Debt (Federal/ National Govt.)	1,435,737.868	-	2,093,562.205	-	2,307,249.656	-
Debt (Other Govt. bodies)	5,315,723.979	-	2,869,453.898	-	3,268,308.509	-
Debt (corporate)	484,400.503	-	3,434,706.706	-	3,732,328.516	-
Others	-	-	870.554	583.090	855.587	429.799

□ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services

- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): Issuance, registration, depository, settlement, principal & interest payment, etc.

☐ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

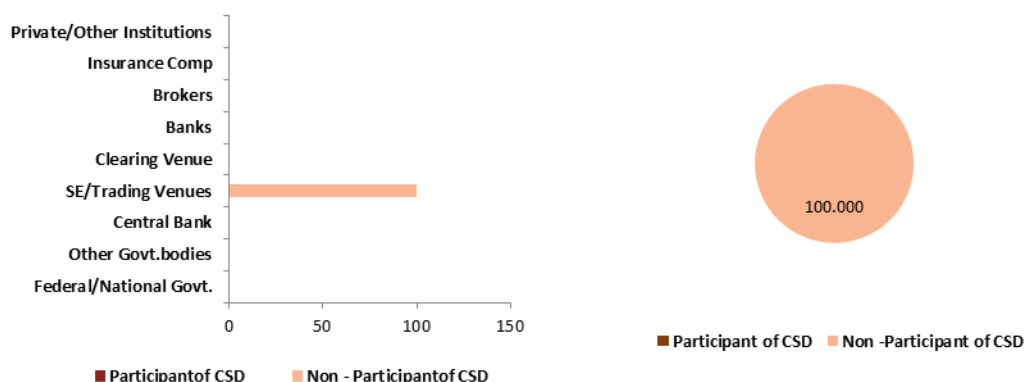
- CCDC collaborated with local FMI to enable the first CGB issuance of RMB 2 billion in Macao.
- CCDC pushed forward the mutual recognition of collateral between the two countries, and launched a Representative Office in UK in cooperation with China Banking Association.
- CCDC signed an MOU with Euroclear Bank.
- CCDC supported the issuance of the first bond listed both in Shanghai FTZ and the offshore market.
- CCDC launched the first mechanism to dispose collateral after default, based on which it also held the first auction of collateral in the event of default.
- CCDC was titled the Best Risk Management Service Provider of China Financial Market for 2019 in the "the Gold Medal Tally of the Chinese Financial Institution for 2019": Golden Dragon Award & co-hosted by the Financial News and the NIFD.
- CCDC entered into an MOU with ICBC and SGX, with which it started to list indexes made in collaboration.
- CCDC collaborated with Tsinghua University to create China's first Research Institute for Financial Information Technology Innovation.

❑ BASIC INFORMATION

- **Regional Association:** ACG
- **Local Currency:** Chinese Yuan (CNY)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Stock Exchange
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD uses external Commercial Bank money (CoBM) for settlement.

- Type of Participants

- **Domestic**
Custodian (33), Brokers (116), Asset Managers (2), Others (42)
- **Non-domestic**
Custodian (8), Brokers (58)

❑ FULL TIME EMPLOYEES: 1200 (AS ON 31-Dec-19)

❑ LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 3**
 - Both Inbound and Outbound – 1 (Only Direct)
 - Only Outbound – 1 (Only Indirect)
 - Both Inbound and Outbound –1 (Only Indirect)
 - **Purpose of Links with other CSDs**
 - Both DVP & FOP - 1 (Only Direct)
 - Only FOP – 2 (Only Indirect)

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
Number of accounts held by CSD						
Number of Participants						
Domestic Participants	-		195		193	
Non-domestic Participants	-		66		66	
Number of eligible issues						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	-	-	3,669	-	3,861	-
CIV	-	-	917	-	1,014	-
Debt (Federal/ National Govt.)	-	-	268	-	340	-
Debt (Other Govt. bodies)	-	-	1,196	-	1,462	-
Debt (corporate)	-	-	11,294	-	14,108	-

in USD (in millions i.e., '000000)

Conversion Rate	6.506	6.878	6.963			
Settlement Instruction (During the year)						
Number of Instructions	-	12,379.659	17,969.994			
Value of Instructions	-	151.844	162.849			
Corporate Action Events (During the year)						
Number of Events handled by CSD	-	0.003	0.003			
Value of Corporate action	-	0.056	0.066			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	-	-	6.325	-	8.521	-
CIV	-	-	0.087	-	0.118	-
Debt (Federal/ National Govt.)	-	-	0.082	-	0.086	-
Debt (Other Govt. bodies)	-	-	0.067	-	0.087	-
Debt (corporate)	-	-	1.344	-	1.372	-

☐ **OTHER SERVICES (AS ON 31-Dec-19)**

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

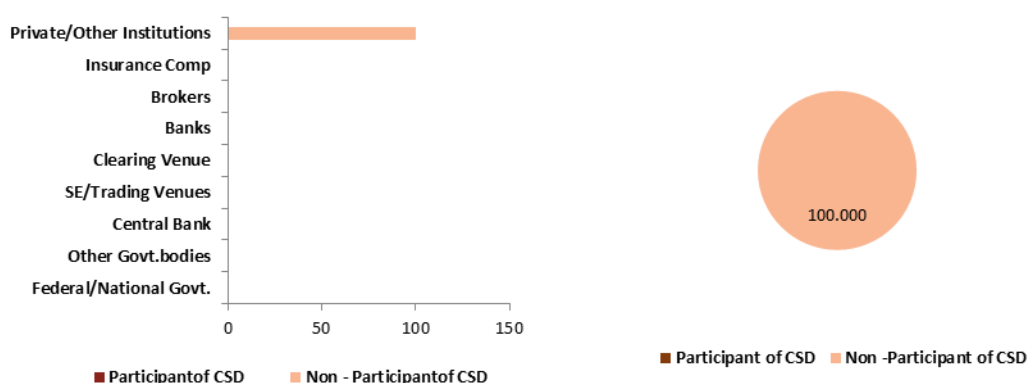
❑ BASIC INFORMATION

- **Regional Association:** AECSD
- **Local Currency:** Tajikistani Somoni (TJS)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI.

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Corporate Debt
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD uses external Commercial Bank money (CoBM) for settlement

- Type of Participants

- Domestic
Brokers (1)

❑ FULL TIME EMPLOYEES: 3 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	1.541	8.696	105.603
Other Income	-	-	-
	1.541	8.696	105.603

❑ LINKS WITH OTHER CSDs

- CSD has links with other CSD
 - Number of Links with other CSDs - 1
 - Only Outbound - 1 (Only Direct)
 - Purpose of Links with other CSDs
 - Only DVP - 1 (Only Direct)

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17	As on 31-Dec-18	As on 31-Dec-19			
<u>Number of accounts held by CSD</u>						
Omnibus Accounts	1	1	1			
<u>Number of Participants</u>						
Domestic Participants	25	1	1			
Non-domestic Participants	1	-	-			
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	-	-	1	-	42	-
Debt (corporate)	1	-	1	-	1	-

in USD (in millions i.e., '000000)						
Conversion Rate	8.825		9.430		9.687	
Settlement Instruction (During the year)						
Number of Instructions	23.000		0.000		0.000	
Value of Instructions	1.623		84.221		81.675	
Corporate Action Events (During the year)						
Value of Corporate action	2.266		0.167		0.161	
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	-	-	84.218	-	77.680	-
Debt (corporate)	2.266	-	2.121	-	3.995	-

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☑ Trade Repository Services
- ☑ Information Services
- ☑ National Numbering Agency Services
- ☑ Technological solutions
- ☑ Triparty Services

- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

☐ **MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)**

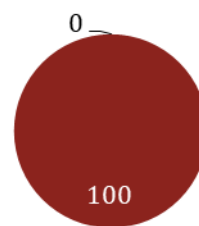
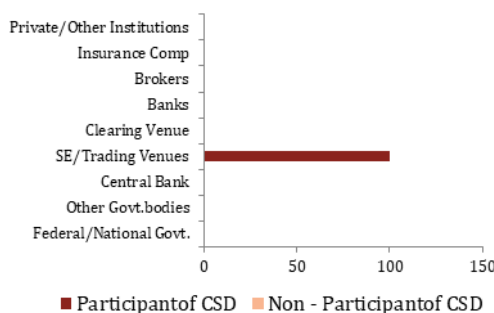
- Provided comments during the formation of the working group on the development of the government securities market, initiated by the Administration of the President of the Republic of Tajikistan.
- Organized the annual AECSD seminar.

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Stock Exchange
- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
- CSD or its group company have banking license
- CSD has DVP solution
- CSD offers both Commercial Bank money and Central Bank money for settlement

❑ FULL TIME EMPLOYEES: 328 (AS ON 31-Dec-19)

☐ **LINKS WITH OTHER CSDs**

- CSD has links with other CSD

☐ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17	As on 31-Dec-18	As on 31-Dec-19
<u>Number of accounts held by CSD</u>			
Beneficial Owner Accounts	575	1,866	1,907
Omnibus Accounts	282	2,193	2,404
<u>Number of Participants</u>			
Domestic Participants	157	-	-
Non-domestic Participants	145	-	-

in USD (in millions i.e., '000000)			
<u>Conversion Rate</u>	0.833	0.851	0.850
<u>Settlement Instruction (During the year)</u>			
Number of Instructions	-	63.261	65.218
Value of Instructions	-	59,079,071.900	80,434,846.551
<u>Corporate Action Events (During the year)</u>			
Number of Events handled by CSD	-	0.036	0.036

☐ **OTHER SERVICES (AS ON 31-Dec-19)**

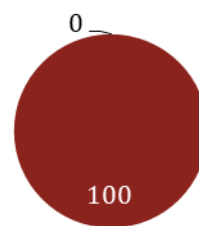
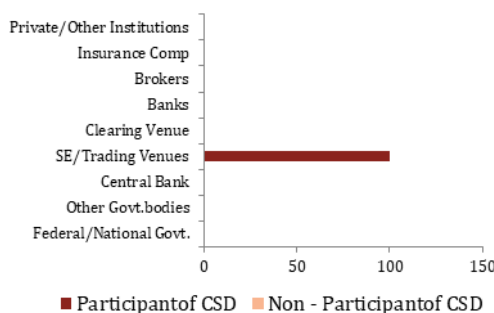
- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner (Omnibus accounts can also be opened)**
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
- **CSD or its group company have banking license**
- **CSD has DVP solution**
- **CSD has banking license and offers Commercial Bank money settlement**

❑ FULL TIME EMPLOYEES: 1069 (AS ON 31-Dec-19)

☐ **LINKS WITH OTHER CSDs**

- CSD has links with other CSD

☐ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17	As on 31-Dec-18	As on 31-Dec-19
Number of accounts held by CSD			
Beneficial Owner Accounts	5,093	6,766	8,459
Omnibus Accounts	2,545	2,790	3,010
Number of Participants			
Domestic Participants	74	-	-
Non-domestic Participants	969	-	-

in USD (in millions i.e., '000000)			
Conversion Rate	0.833	0.850	0.850
Settlement Instruction (During the year)			
Number of Instructions	-	22.344	-
Value of Instructions	-	157,693,054.338	-
Corporate Action Events (During the year)			
Number of Events handled by CSD	0.110	0.109	0.116

☐ **OTHER SERVICES (AS ON 31-Dec-19)**

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)



Closed joint stock company "Central depository"

www.cds.kg

Kyrgyzstan

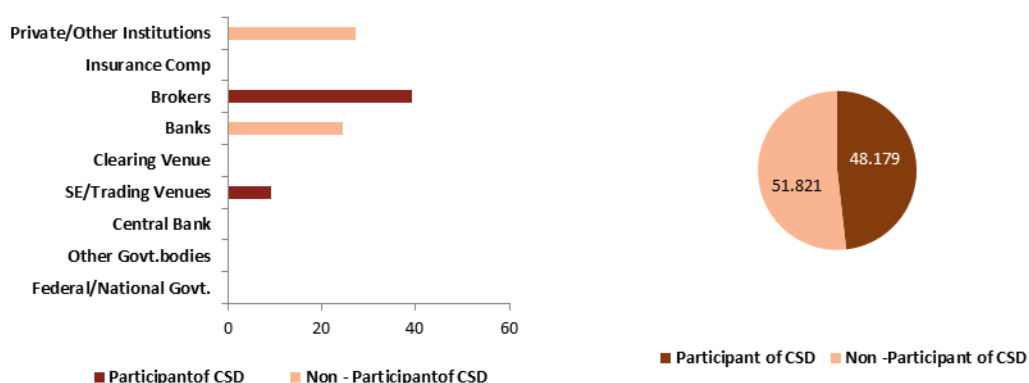
❑ BASIC INFORMATION

- **Regional Association:** AECSD
- **Local Currency:** Kyrgystani Som (KGS)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. CDS was opened as a close joint stock company 18 shareholders they are financial companies

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Government Debt, Corporate Debt
 - Immobilized form** Equity
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD uses external Commercial Bank money (CoBM) for settlement



Closed joint stock company "Central depository"

www.cds.kg

Kyrgyzstan

- Type of Participants

- **Domestic**
Custodian (1), Non-custodian Banks (1), Brokers (22), Asset Managers (2), Others (33)
- **Non-domestic**
Custodian (4), Non-custodian Banks (2), Others (14)

❑ **FULL TIME EMPLOYEES: 7 (AS ON 31-Dec-19)**

❑ **ANNUAL REVENUE**

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	41.969	44.760	26.392
Other Income	12.863	7.330	5.307
	54.832	52.090	31.699

❑ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 3**
 - Both Inbound and Outbound – 3 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Both DVP & FOP - 3 (Only Direct)

❑ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Omnibus Accounts	364		364		364	
<u>Number of Participants</u>						
Domestic Participants	38		46		59	
Non-domestic Participants	11		18		20	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	1,254	3	1,254	2	1,271	3
Debt (Federal/ National Govt.)	8	1	8	-	14	-
Debt (Other Govt. bodies)	3	1	-	-	-	-
Debt (corporate)	46	1	46	-	51	-

in USD (in millions i.e., '000000)						
<u>Conversion Rate</u>	68.956		69.850		84.795	
<u>Settlement Instruction (During the year)</u>						
Number of Instructions	0.004		0.004		0.005	
Value of Instructions	64.892		54.315		69.275	
<u>Corporate Action Events (During the year)</u>						
Value of Corporate action	1.138		0.272		0.440	
<u>Value on Deposit</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	2.589	22.552	23.575	18.611	21.890	22.407
Debt (Federal/ National Govt.)	0.417	13.442	4.265	-	0.093	-
Debt (corporate)	3.618	-	5.321	-	0.547	-



☐ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

☐ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

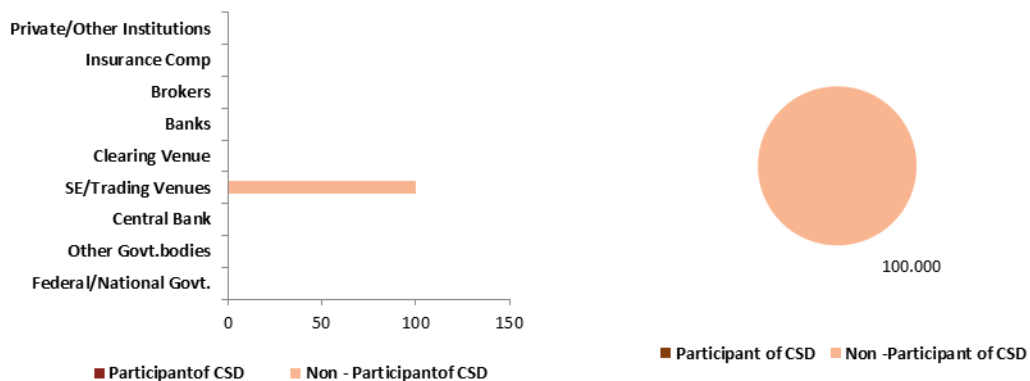
In the reporting period, portfolios of private pension funds of the Kyrgyz Republic were accepted for servicing. For the first time in Kyrgyzstan, mortgage-backed securities were issued. The CJSC "Central Depository" kept records and kept a register of mortgage coverage. September 5-6, 2019, a joint conference was held in Bishkek by the Association of Central Securities Depositories of Eurasia and the International Association of Exchanges entitled: Integration Processes in Financial Markets: Eurasia and the Global Economy; with the participation of executives and experts from the CIS countries and the global community.

❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **Local Currency:** Tanzanian Shilling (TZS)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Stock Exchange
- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money
- **Type of Participants**
 - **Domestic**
Custodian (7), Brokers (14), Others (6)

☐ **FULL TIME EMPLOYEES: 12 (AS ON 31-Dec-19)**

☐ **ANNUAL REVENUE**

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	0.000	603.811	658.042
Other Income	-	2.155	0.862
	0.000	605.966	658.905

☐ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**
 - o **Number of Links with other CSDs - 1**
 - Both Inbound and Outbound – 1 (Only Direct)
 - o **Purpose of Links with other CSDs**
 - Both DVP & FOP - 1 (Only Direct)

☐ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	534,600		535,569		544,300	
<u>Number of Participants</u>						
Domestic Participants	23		27		27	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	21	7	21	7	21	6
Debt (Federal/ National Govt.)	146	-	148	-	155	-
Debt (corporate)	6	-	6	-	6	-

	in USD (in millions i.e., '000000)					
Conversion Rate	2,237.111	2,320.264	2,319.000			
Settlement Instruction (During the year)						
Number of Instructions	0.001	0.026	0.034			
Value of Instructions	230,902.093	1,895.760	754.604			
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.000	0.000	0.000			
Value of Corporate action	3.674	35.914	44.893			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	4,638.081	4,432.705	4,178.895	4,301.571	3,885.545	3,486.787
CIV	-	-	-	-	-	-
Debt (Federal/ National Govt.)	-	-	3,900.159	-	4,462.116	-
Debt (Other Govt. bodies)	4,066.361	-	-	-	-	-
Debt (corporate)	60.292	-	58.133	-	75.897	-

☐ **OTHER SERVICES (AS ON 31-Dec-19)**

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services

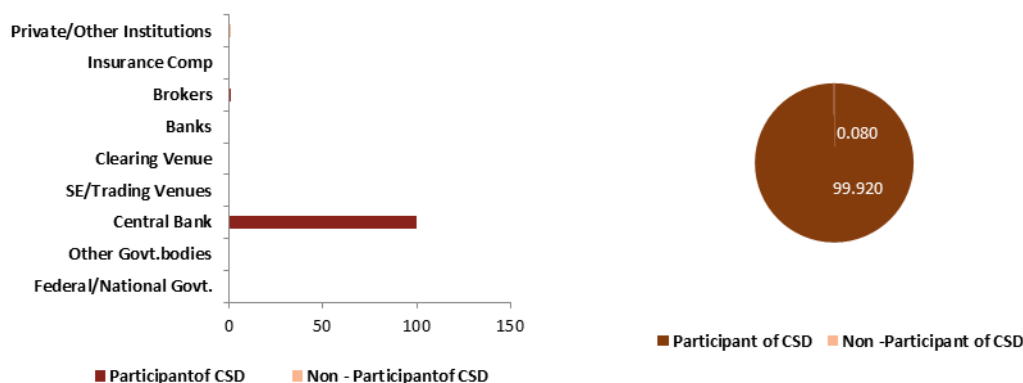
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): Registry Services

❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **LEI Number:** 5493000MI3WHG0X9PA58
- **Local Currency:** Lebanese Pound (LBP)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Central Bank**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner (Omnibus accounts can also be opened)**
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Equity
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD settles in Central Bank money**

- Type of Participants

o Domestic

Custodian (73), Asset Managers (17), Others (1)

o Non-domestic

Custodian (11), Asset Managers (10), Others (2)

❑ FULL TIME EMPLOYEES: 35 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	11,446.103	10,829.558	9,343.801
Other Income	1,172.803	1,742.713	2,366.358
	12,618.905	12,572.271	11,710.159

❑ LINKS WITH OTHER CSDs

- CSD has links with other CSD

o Number of Links with other CSDs - 3

- Only Outbound – 2 (Only Direct)
- Both Inbound and Outbound – 1 (Only Direct)

o Purpose of Links with other CSDs

- Both DVP & FOP - 3 (Only Direct)

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	52,154		52,295		51,315	
Omnibus Accounts	515		291		144	
<u>Number of Participants</u>						
Domestic Participants	90		90		91	
Non-domestic Participants	25		24		23	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	219	431	200	393	192	289
CIV	5	-	5	-	4	-
Debt (Federal/ National Govt.)	552	32	702	30	706	29
Debt (corporate)	42	594	42	522	39	363

in USD (in millions i.e., '000000)

Conversion Rate		1,507.500	1,508.191	in USD (in millions i.e., 000000)		
Settlement Instruction (During the year)						
Number of Instructions	0.027		0.022		0.010	
Value of Instructions	72,330.939		47,187.044		4,749.759	
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.002		0.002		0.002	
Value of Corporate action	17,101.240		15,369.449		9,827.443	
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	14,171.949	736.802	12,678.754	590.067	11,059.324	414.662
CIV	104.463	-	69.244	-	49.354	-
Debt (Federal/ National Govt.)	48,210.859	8,078.652	55,883.423	10,043.337	55,437.161	10,068.578

Debt (corporate)	829.490	7,191.836	961.184	6,106.868	2,367.847	3,083.612
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❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): Registrar / Custodian / Fund administrator

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

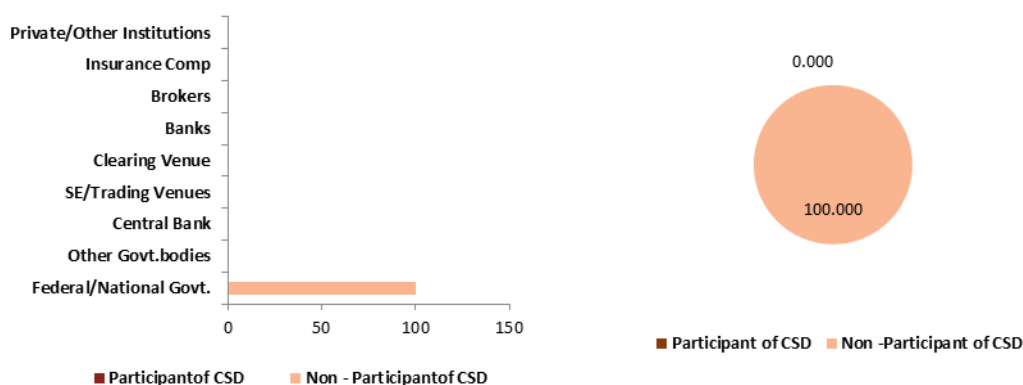
- Effective November 3, 2018 as stipulated by law 75 (Cancellation of bearer shares) dated November 3, 2016, Midclear stopped accepting bearer securities in its vaults
- Effective June 29, 2019 as stipulated by law 126 (Amendments of Commercial Code) dated March 29, 2019, the underlying shares of all depository receipts must be held at Midclear.
- Midclear S.A.L., the Custodian and Clearing Center of financial instruments for Lebanon and the Middle East, has selected GMEX Group wholly owned subsidiary, GMEX Technologies, to provide and implement its innovative AvenirClear CCP product as the core system of the first derivatives central counterpart (CCP) in Lebanon. The set-up of the CCP as a separate company by Midclear represents an important milestone in the reinvigoration of the Lebanese Capital Markets, part of Lebanon's strategic plans for its economy and reconstruction. The derivatives asset classes covered include FX Futures, Equity Index Futures & Options, and Commodity Futures, including precious metals.
- A new exchange called the Electronic Trading Platform (ETP) is in the process of being set-up and is expected to start operations in quarter one of 2020.
- Midclear is in the process of setting up a separate company, as a subsidiary, to act as the CCP in order to settle trading in derivatives on the ETP.
- Moreover, Midclear will be clearing and settling cash equities trades on the ETP.
- Furthermore, two guaranty funds will be created by the CCP, one to be used in guarantying the derivatives trades and one to be used in guarantying the cash equity trades.
- However, both projects (ETP and CCP) are postponed due to the ongoing financial crises in Lebanon and the revolution that started on 17/10/2019.
- In January 2019, Midclear moved and upgraded its disaster recovery (DR) sites

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 213800U9YG19GFXT3S09
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. The CSD is a function of the Cyprus Stock Exchange and does not have a separate legal personality. The Cyprus Stock Exchange is a public corporate body i.e., a semi-governmental organization (the 'owner' is the Government of Cyprus)
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Government Debt, Corporate Debt
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution

- CSD settles in Central Bank money

- Type of Participants

- **Domestic**
Custodian (7), Brokers (9)
- **Non-domestic**
Custodian (7), Brokers (9)

❑ FULL TIME EMPLOYEES: 66 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	3,335.615	5,677.687	4,584.153
Other Income	203.976	460.710	410.872
	3,539.591	6,138.397	4,995.025

❑ LINKS WITH OTHER CSDs

- CSD has no links with other CSD

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17	As on 31-Dec-18	As on 31-Dec-19			
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	383,468	267,659	265,085			
Omnibus Accounts	45	48	56			
<u>Number of Participants</u>						
Domestic Participants	15	16	16			
Non-domestic Participants	15	17	16			
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	93	8	95	9	100	13
Debt (Federal/ National Govt.)	38	-	81	-	94	-
Debt (corporate)	6	3	9	2	11	3
Others	-	1	-	-	-	-

in USD (in millions i.e., '000000)

Conversion Rate	0.833	0.853	0.852			
Settlement Instruction (During the year)						
Number of Instructions	0.030	0.029	0.037			
Value of Instructions	539.938	7,597.282	412.515			
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.000	0.000	0.000			
Value of Corporate action	5,213.854	113,449.147	8,236.221			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	2,498.640	116.027	1,515.000	855.999	2,137.708	1,587.139
Debt (Federal/ National Govt.)	2,542.003	-	5,654.282	-	4,424.503	-
Debt (corporate)	141.632	18.430	78.564	8.208	90.392	117.392
Others	1,317.028	-	-	-	-	-

☐ OTHER SERVICES (AS ON 31-Dec-19)

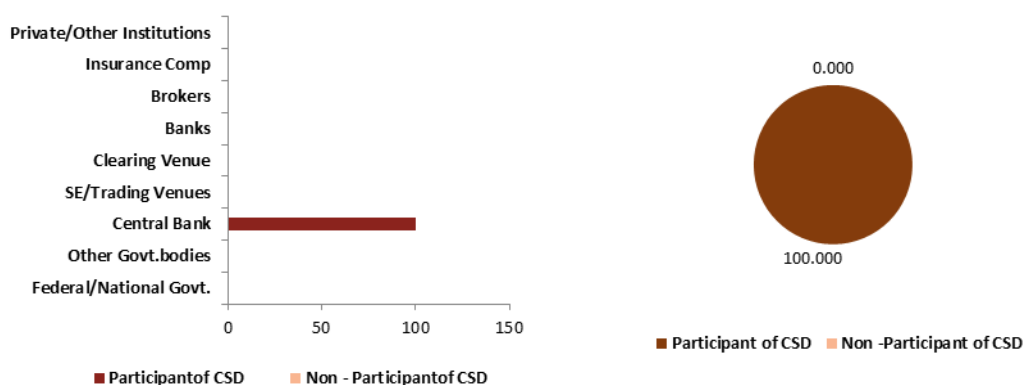
- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

❑ BASIC INFORMATION

- **Regional Association:** ACSDA
- **Local Currency:** United States Dollar (USD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Central Bank
- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- Type of Participants

- Domestic
- Others (26)

❑ FULL TIME EMPLOYEES: 14 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	5,424.000	5.424	3.573
Other Income	-	-	-
	5,424.000	5.424	3.573

❑ LINKS WITH OTHER CSDs

- CSD has no links with other CSD

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	5,161		24,127		35,819	
Omnibus Accounts	30		30		26	
<u>Number of Participants</u>						
Domestic Participants	30		30		26	
Non-domestic Participants	-		-		-	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	0	-	0	-	2,970,023	-
Debt (Federal/ National Govt.)	-	-	2	-	1,623	-
Debt (corporate)	-	-	-	-	521	-

	in USD (in millions i.e., '000000)					
Conversion Rate	1.000	1.000	1.000	1.000	1.000	1.000
Settlement Instruction (During the year)						
Number of Instructions	0.006	0.004	0.019			
Value of Instructions	4,864.000	5,218.000	39,084.000			
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.000	0.000	0.000			
Value of Corporate action	0.000	0.000	0.000			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	2,970.000	-	0.000	-	2,979.000	-
Debt (Federal/ National Govt.)	15,561.000	-	683.950	-	17,772.000	-
Debt (Other Govt. bodies)	3,496.000	-	-	-	-	-
Debt (corporate)	726.000	-	-	-	21,974.000	-

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☑ Trade Repository Services
- ☑ Information Services
- ☑ National Numbering Agency Services
- ☑ Technological solutions
- ☑ Triparty Services

- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): -

☐ **MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)**

Operations issue and register, transfer, settlement instructions, operations clearance.

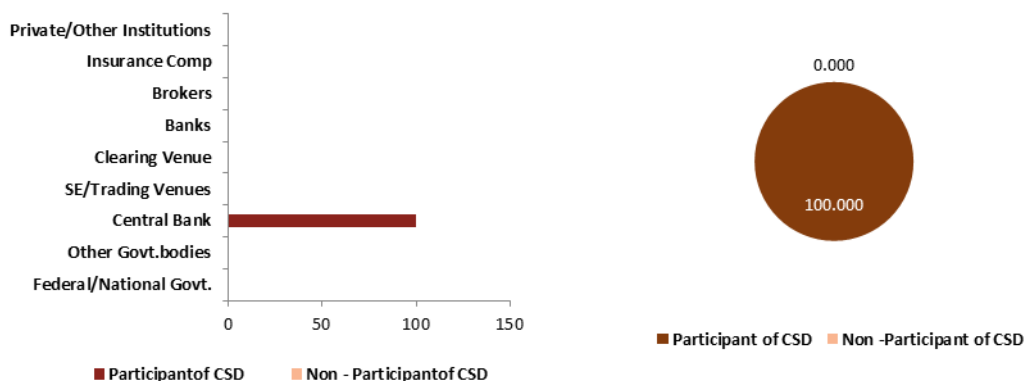


❑ BASIC INFORMATION

- **Regional Association:** ACSDA
- **LEI Number:** 549300DTMS39GZYBX161
- **Local Currency:** Uruguayo Peso (UYU)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Central Bank
- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Equity, Corporate Debt
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money



- **Type of Participants**
 - o **Domestic**
Custodian, Brokers, Asset Managers, Others

❑ FULL TIME EMPLOYEES: 6 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	33,239.591	0.024	0.029
Other Income	416.362	-	0.002
	33,655.954	0.025	0.031

❑ LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - o **Number of Links with other CSDs - 1**
 - Both Inbound and Outbound – 1 (Only Direct)
 - o **Purpose of Links with other CSDs**
 - Both DVP & FOP - 1 (Only Direct)

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Omnibus Accounts	50		49		50	
<u>Number of Participants</u>						
Domestic Participants	50		49		50	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	8	-	8	-	8	-
Debt (Federal/ National Govt.)	55	17	57	17	51	16
Debt (Other Govt. bodies)	34	36	30	35	40	60
Debt (corporate)	274	62	327	80	351	101

				in USD (in millions i.e., '000000)		
Conversion Rate	28.821		43.518		43.117	
Settlement Instruction (During the year)						
Number of Instructions	11.651		0.018		0.019	
Value of Instructions	36.458		38.668		35.676	
Corporate Action Events (During the year)						
Number of Events handled by CSD	-		0.005		0.005	
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	8.000	-	8.000	-	8.000	-
Debt (Federal/ National Govt.)	6,867.000	2,956.000	6,694.000	2,902.000	6,444.000	2,418.000
Debt (Other Govt. bodies)	5,784.000	711.000	8,071.000	616.000	5,783.000	1,300.000
Debt (corporate)	1,873.000	-	2,417.000	-	3,188.000	-
Others	-	368.000	-	1,022.000	-	1,346.000

☐ **OTHER SERVICES (AS ON 31-Dec-19)**

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

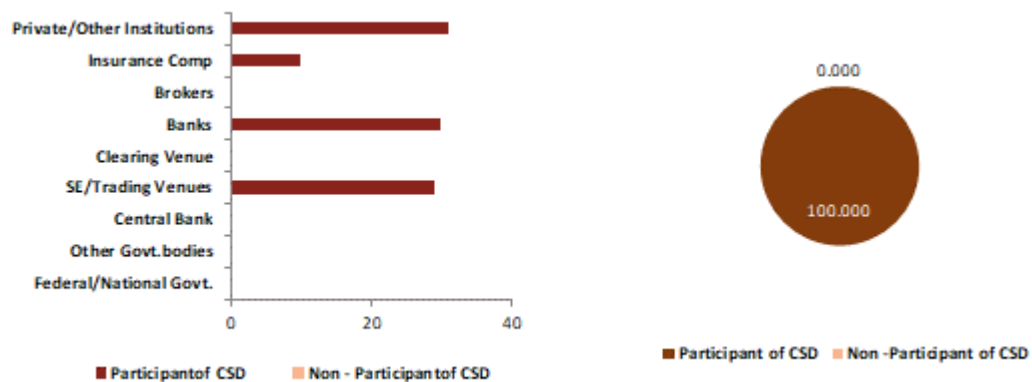
❑ BASIC INFORMATION

- **Regional Association:** ACSDA
- **Local Currency:** Chilean peso (CLP)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI.

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt
 - Immobilized form** Others
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD offers both Commercial Bank money and Central Bank money for settlement

- Type of Participants

- **Domestic**
Non-custodian Banks (18), Brokers (34), Asset Managers (33), Others (96)
- **Non-domestic**
Custodian (4)

❑ **FULL TIME EMPLOYEES: 185 (AS ON 31-Dec-19)**

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	33,407.529	31,518.380	34,313.592
Other Income	-	-	-
	33,407.529	31,518.380	34,313.592

❑ LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 4**
 - Both Inbound and Outbound – 4 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Only FOP – 4(Only Direct)

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17	As on 31-Dec-18	As on 31-Dec-19			
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	4,702	-	9,750			
Omnibus Accounts	189	-	802			
<u>Number of Participants</u>						
Domestic Participants	120	180	181			
Non-domestic Participants	62	4	4			
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	59	-	0	-	537	-
CIV	49	-	-	-	2,819	-
Debt (Federal/ National Govt.)	-	-	-	-	110	-
Debt (Other Govt. bodies)	-	-	-	-	69	-
Debt (corporate)	431	-	-	-	1,832	-
Others	4,199	-	-	-	245	-

in USD (in millions i.e., '000000)

Conversion Rate	615.400	695.690	695.690			
Settlement Instruction (During the year)						
Number of Instructions	1.755	1.634	1.634			
Value of Instructions	2.521	2,384,671.247	2,384,671.247			
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.548	0.501	0.501			
Value of Corporate action	586,476.010	513,681.240	513,681.240			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	83,809.728	0.431	68,901.252	-	5.483	-
CIV	53,906.660	0.569	53,473.776	-	36.497	-
Debt (Federal/ National	78,655.206	-	73,283.293	-	74.783	-

Govt.)						
Debt (Other Govt. bodies)	3,198.753	-	2,571.976	-	0.026	-
Debt (corporate)	172,644.280	1.997	100,659.124	-	76.593	-
Others	3,525.034	-	63,055.717	-	-	-

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- During 2019, the DCVe project (DCV Evolución), completed successfully key implementation stages achieving goals set in functional and technical areas. At the same time, activities to approach the market were carried out through communication plans and activities to familiarize our clients with the new technology.
- For its 6 business lines, DCV has added 121 new clients (national custody 28, international custody 4, Shareholders & Participants Register 60, documents 3, collateral 12 and statistics 14)
- In other technological areas, during the period DCV consolidated its participation in several national and international groups, which are aimed at the conjoint exploration and development of technologies and services. This allows the company to incorporate within its management a future look and the compared experience of what is happening in the global capital markets in terms of exploration and development of new disruptive technologies, business models, and, also, in the Fintech world.
- DCV obtained the ISO 27001 certification on Information Security. This is the most important international standard on the topic and seeks to protect and preserve information confidentiality, integrity, and availability from a wide range of threats. This certification ensures the integrity, reliability, and availability of information; the implementation of international standards associated with information security; the development of an adequate security policy aligned with the business; and elaborate, adopt and promote measures to reduce the impact of an information security incident on the business.
- DCV obtained the first place in the Most Innovative Company Chile ranking in the financial infrastructure sector, acknowledgment from ESE Business School from the Universidad de Los Andes. This ranking highlights advances made by the company to add value to the financial market. The award reaffirms DCV's vision to

contribute and add value to the market through a formal innovation process that allows the permanent exploration of new services, products, technologies, and changes that contribute to innovation in the financial market.

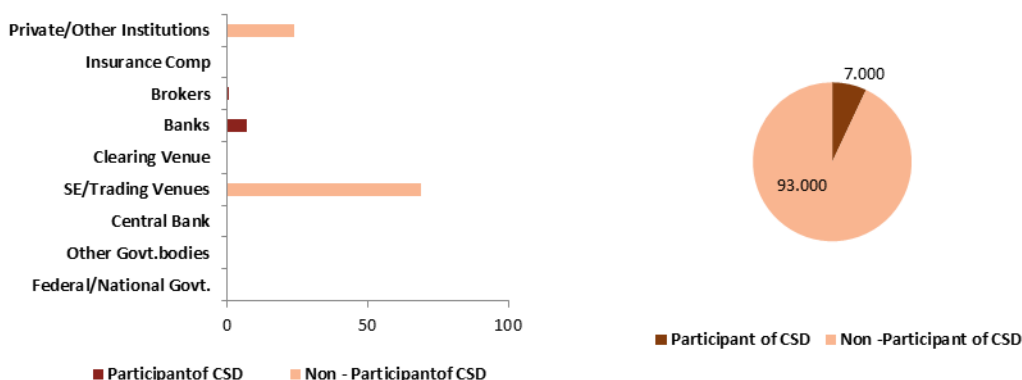
- DCV and the Central Bank of Chile: New technologies like DTL (Distributed Ledger Technology) help reduce risks and improve the process of issuing securities. This was the main conclusion of the first phase already concluded- of the initiative led by DCV and the Central Bank of Chile, after beginning to explore the incorporation of the blockchain technology to the issuance of securities. This projects goal is the understanding and adoption of new technologies, such as DLT, in the processes related to the BCCh and DCV, in its custodian role. Also, the project seeks to assess the technical feasibility for the issuance of BCCh bonds in the primary market.
- The company continued participating in a consortium comprised of other securities depositories and industry providers, working together to demonstrate how the DTL technology may be implemented in post-negotiation scenarios, which new products could be built on it and how existing standards can support them. In this line, the consortium produced a new report that analyzes the impact of crypto assets in the actual financial markets services.
- an association agreement was signed together with the Santiago Stock Exchange and Grupo GTD to form a Technological Consortium for the development of several blockchain-based applications for the financial market. This alliance is the first of its kind in Latin America. The agreement contemplates the development of a Corporate Blockchain Network, a new infrastructure that will enable to connect local and international clients from the securities market through nodes provided by the Technological Consortium or installed within the clients systems.
- DCV and BCI Corredores de Bolsa signed an agreement to boost the Foreign Securities Market and its over 200 registered securities, among them Exchange Traded Funds (ETF) issued in the United States and American stock. This is a service that allows trading locally securities issued abroad, with the possibility to settle locally in Chilean pesos or US dollars. This platform gives investors an alternative to diversify their investment portfolios with foreign-issued securities, acquiring them as if they were issued locally.
- DCV completed the British Standards Institution (BSI) audit process and received the ISO 23001 recertification without observations, for the correct management of business continuity. Operational continuity is a strategic pillar for DCV to guarantee the availability of critical services and compliance with regulations.
- As part of the commitment with ethical behavior, during the period, DCV took part for the first time in the Barometer of Values and Business Ethics conducted by Fundacion Generacion Empresarial and Diario Financiero (Finance Newspaper). The profound study assessed the state of ethics and values within the company. Thanks to the latter, DCV was distinguished for its commitment to integrity and ethics.

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 254900LXHEVKYGERER05
- **Local Currency:** Romanian Leu (RON)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD settles in Central Bank money**

- Type of Participants

- **Domestic**
Custodian (7), Non-custodian Banks (1), Brokers (17), Others (1)
- **Non-domestic**
Custodian (1), Non-custodian Banks (2), Brokers (4), Others (1)

❑ FULL TIME EMPLOYEES: 50 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	3,532.631	3,719.362	3,575.978
Other Income	197.723	36.402	65.668
	3,730.354	3,755.765	3,641.645

❑ LINKS WITH OTHER CSDs

- CSD has links with other CSD
 - **Number of Links with other CSDs - 3**
 - Only Outbound – 1 (Only Direct)
 - Both Inbound and Outbound – 1 (Only Direct)
 - Only Inbound – 1 (Only Indirect)
 - **Purpose of Links with other CSDs**
 - Only FOP – 1(Only Direct)
 - Both DVP & FOP - 1 (Only Direct)
 - Only FOP – 1(Only Indirect)

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	8,561,946		8,507,266		8,436,068	
Omnibus Accounts	69		58		60	
<u>Number of Participants</u>						
Domestic Participants	28		27		26	
Non-domestic Participants	8		8		8	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	870	3	850	4	821	4
CIV	4	-	5	-	6	-
Debt (Federal/ National Govt.)	1	-	-	-	-	-
Debt (Other Govt. bodies)	38	-	38	-	38	-
Debt (corporate)	40	-	42	-	61	-
Others	8	-	6	-	15	-

	in USD (in millions i.e., '000000)		
Conversion Rate	3.904	4.121	4.112
Settlement Instruction (During the year)			
Number of Instructions	1.082	0.754	0.636
Value of Instructions	9,925.956	10,157.817	9,462.726
Corporate Action Events (During the year)			
Value of Corporate action	2,727.116	2,685.080	2,253.632

Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	25,847.094	438.865	23,502.294	393.224	30,172.109	637.984
CIV	13.584	-	26.073	-	29.033	-
Debt (Federal/ National Govt.)	189.445	-	-	-	-	-
Debt (Other Govt. bodies)	756.244	-	705.313	-	684.208	-
Debt (corporate)	946.001	-	1,175.998	-	1,267.195	-
Others	17.570	-	0.731	-	-	-

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- Depozitarul Central authorization according to the European Regulation no. 909/2014 on improving securities settlement in the European Union and on central securities depositories.
- Depozitarul Central has been authorized by the Financial Supervisory Authority, as competent authority, the National Bank of Romania and the European Central Bank as relevant authority, under the European Regulation no. 909/2014 (CSDR) by the Authorization no. 176/19.12.2019, being registered in the CSD Register maintained by European Securities and Markets Authority (ESMA).
- The authorities involved in the authorization process confirmed that Depozitarul Central meets the requirements imposed by the CSDR and the delegated regulations issued in its application. Regulation 909/2014 (CSDR) is directly applicable to all CSDs in the European Union, without the need for its transposition into national legislation.
- Involvement of Depozitarul Central in the steps to promote Romania to Emerging Market status
- Depozitarul Central has actively supported the capital market initiatives in Romania's promotion to Emerging Market status. As a result of these joint efforts, in September 2019, Global index provider FTSE Russell promoted Romania to the Emerging Market from Frontier Market status. The decision was made three years after Romania was added to the Watch List. The reclassification of the status will enter into force in September 2020.
- The significant contribution of Depozitarul Central to the fulfillment of the qualitative criteria necessary for the upgrading to the Secondary Emerging status of

the Romanian capital market by FTSE Russel is explained by the fact that one third of the 9 criteria necessary to be met for inclusion in the new status, refers exclusively to the post-trading segment. Also, taking into account the values settled in Depozitarul Central system related to turnaround transactions carried out outside the trading systems, according to the rules and mechanisms developed by Depozitarul Central, in calculating the quantitative criteria regarding liquidity had an important impact regarding the fulfillment of these criteria necessary for the reclassification of the Romanian capital market

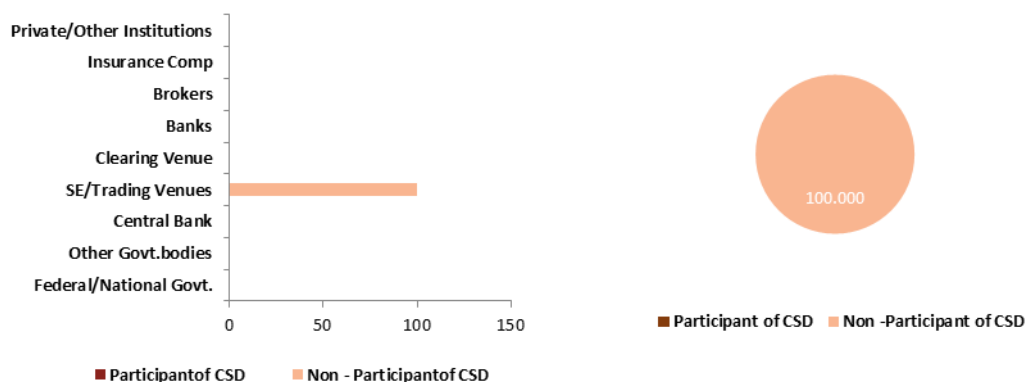
- ECSDA Annual General Assembly meeting organized in Bucharest by Depozitarul Central on 15th -16th of May 2019
- Depozitarul Central hosted, on 15th -16th of May 2019 in Bucharest, the Annual General Assembly meeting of the members of the European Central Securities Depositories Association (ECSDA).
- During 2019, Depozitarul Central participated at important events of the financial community, such as: CONFEAS; Federation of Euro-Asian Stock Exchanges, the conference "Future of the Romanian capital market", organized by Bursa Newspaper, The Capital Market Forum, organized by Financial Intelligence. Depozitarul Central joined the Financial Supervisory Authority's initiatives and supported the organization of the World Investor Week 2019 event.
- First year of operation as LOU
- As Local Operating Unit (LOU), Depozitarul Central carried out during 2019 the activity of issuing and managing LEI codes, being the only institution in Romania authorized to perform this type of operations. Depozitarul Central has been accredited in December 2018 by the Global Legal Entity Identifier Foundation (GLEIF) as the Local Operating Unit (LOU) for the issuance and maintenance of LEI codes.
- International cooperation: In order to harmonize its own activities with the new European regulatory tendencies, Depozitarul Central continued its collaboration with the European Central Depository Association (ECSDA). Through the Public Policy Working Group WG2, the Settlement Working Group WG3, the Risk Management Working Group RMWG, the Compliance Working Group and the ECSDA Board of Governors, Depozitarul Central was also actively involved in 2019 in projects under the ECSDA analysis. The development of international cooperation was also supported by the work of Depozitarul Central as a full member of ANNA (Association of National Numbering Agencies) as national numbering agency and ISSA (International Securities Services Association).

❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **Local Currency:** United Arab Emirates Dirham (AED)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Stock Exchange
- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner
- **Financial Instruments accepted for deposit and/or settlement (either or in the below section)**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD uses external Commercial Bank money (CoBM) for settlement
- **Type of Participants**
 - **Domestic**
 - Custodian (5), Brokers (54)

❑ FULL TIME EMPLOYEES: 44 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	10,057.182	7,090.486	6,253.012
Other Income	-	-	-
	10,057.182	7,090.486	6,253.012

❑ LINKS WITH OTHER CSDs

- CSD has links with other CSD
 - Number of Links with other CSDs - 5
 - Both Inbound and Outbound – 5 (Only Direct)
 - Purpose of Links with other CSDs
 - Only FOP – 4 (Only Direct)
 - Both DVP & FOP - 1 (Only Direct)

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17	As on 31-Dec-18	As on 31-Dec-19			
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	1,571,000	1,589,751	1,583,869			
<u>Number of Participants</u>						
Domestic Participants	54	61	59			
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	67	-	67	-	66	-
CIV	1	-	-	-	-	-

	in USD (in millions i.e., '000000)					
Conversion Rate	3.673	3.673	3.673	3.673	3.673	3.673
Settlement Instruction (During the year)						
Number of Instructions	2,220	1,321	1,408			
Value of Instructions	31,710.117	16,362.816	14,497.475			
Corporate Action Events (During the year)						
Value of Corporate action	4,232.864	4,742.792	3,435.975			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	108,118.481	-	94,225.610	-	104,240.399	-
CIV	2.206	-	-	-	-	-

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☑ Trade Repository Services
- ☑ Information Services
- ☑ National Numbering Agency Services
- ☑ Technological solutions
- ☑ Triparty Services
- ☑ Legal Entity Identifier (LEI) Services
- ☑ Valuation Services
- ☑ Cash Account and other Cash Services
- ☑ e-Voting Platform
- ☑ Crowdfunding Platform
- ☑ Funds Order Routing Platform

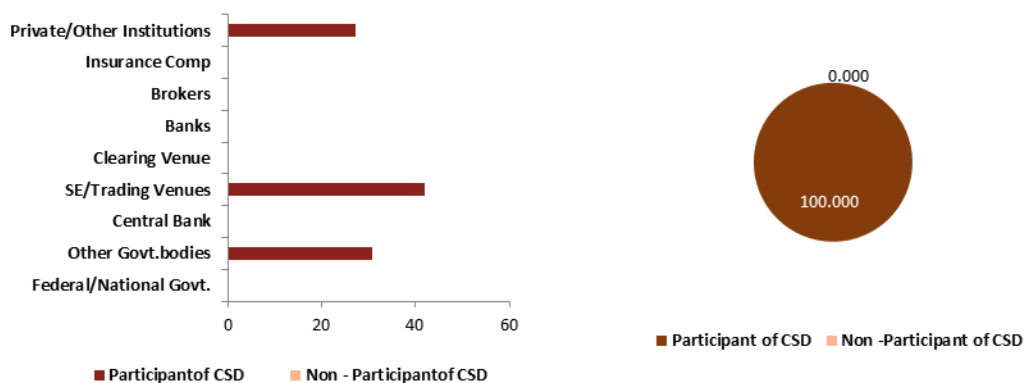
- ☒ None of the above
- ☒ Others (Please specify): Mandatory cash dividend payment, debit card or crediting cash dividends.

❑ BASIC INFORMATION

- **Regional Association:** ACSDA
- **LEI Number:** No
- **Local Currency:** Bolivian Boliviano (BOB)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner**
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- **CSD or its group company have banking license**
- **CSD has DVP solution**
- **CSD uses external Commercial Bank money (CoBM) for settlement**

- **Type of Participants**

○ **Domestic**

Custodian (24), Non-custodian Banks (17), Brokers (12), Others (2)

❑ **FULL TIME EMPLOYEES: 58 (AS ON 31-Dec-19)**

❑ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	4,808.675	5,299.943	5,534.055
Other Income	242.689	247.776	189.954
	5,051.364	5,547.719	5,724.009

❑ **LINKS WITH OTHER CSDs**

- CSD has no links with other CSD

❑ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	157,061		193,576		274,547	
<u>Number of Participants</u>						
Domestic Participants	51		53		55	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	0	-	54	-	56	-
CIV	-	-	32	-	33	-
Debt (Federal/ National Govt.)	-	-	8,999	-	8,949	-
Debt (Other Govt. bodies)	-	-	1	-	-	-
Debt (corporate)	-	-	262	-	267	-

in USD (in millions i.e., '000000)

Conversion Rate	6.860	6.860	6.860			
Settlement Instruction (During the year)						
Number of Instructions	0.049	0.061	0.048			
Value of Instructions	127,725.415	26,117.008	18,311.663			
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.000	0.000	0.000			
Value of Corporate action	0.000	4.844	5.071			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	1,240.930	-	1,096.606	-	1,176.226	-
CIV	1,508.147	-	1,785.699	-	1,844.417	-
Debt (Federal/ National Govt.)	4,621.983	-	4,671.953	-	4,616.219	-
Debt (Other Govt. bodies)	0.006	-	21.453	-	21.281	-
Debt (corporate)	16,802.359	-	16,681.952	-	18,610.520	-

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- Opening of the Issuer Account with the TGN
- Automated Service for the Collection of Economic Rights.
- In July 2019, the automated service for the collection of economic rights on behalf of its clients was put into production. This development had the objectives of: i) reducing service times; ii) eliminating the risks related to the use of notes; iii) increasing the levels of control in the transfer of funds from the accounts of the paying agents to the accounts of the clients; iv) to implement an electronic funds transfer scheme through the creation of a "Settlement Account" of EDV in the BCB.
- Implementation of modifications to the OTC Operations Registration System (SIRTEX)
- As of 2019, EDV authorized the functionality of SIRTEX to allow the BCB to use DPF as collateral in repurchase agreements within its Electronic Auction System
- Moved to new facilities
- In July 2019, the EDV transferred its principal offices to its new building, built jointly with the Bolivian Stock Exchange S.A. the new EDV facilities are located in a strategic location for the stock market and the financial system, in addition to solving the entity's space needs, reinforcing EDV's institutional image of solvency and security.
- Implementation of the Security Operations Center
- As part of EDV's Comprehensive Risk Management, it was implemented a Security Operations Center (SOC) located on the 6th floor (Management of Integral Risk Management) of the Bolivian Stock Exchange building, to permanently verify the correct operation of the Security controls of Information, Business Continuity and Physical Security of EDV.
- New Data Processing Center

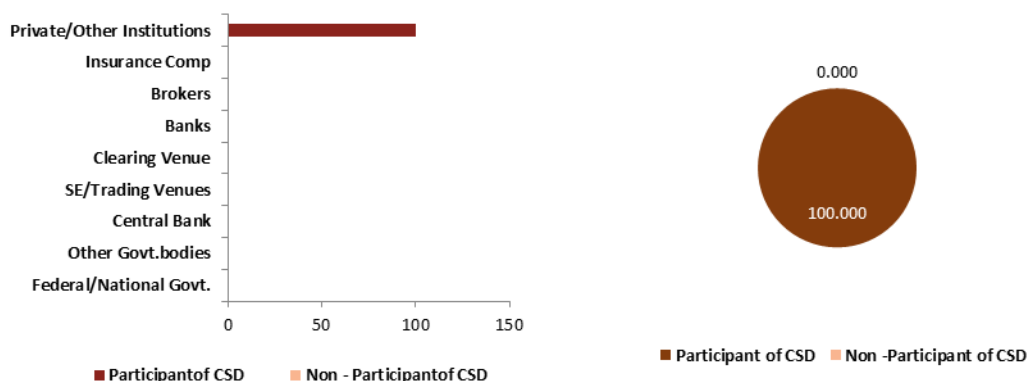
-
- Evaluation of the culture and organizational climate of EDV under the methodology Great Place to Work
- In December 2019, EDV carried out the evaluation of the organizational culture and climate under the methodology of Great Place to work

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Holding Company that also owns other FMIs
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company have banking license
- CSD has DVP solution
- CSD has banking license and offers Commercial Bank money settlement

❑ FULL TIME EMPLOYEES: 2900 (AS ON 31-Dec-19)

❑ LINKS WITH OTHER CSDs

- CSD has links with other CSD

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17	As on 31-Dec-18	As on 31-Dec-19
Number of accounts held by CSD			
Omnibus Accounts	3,826	4,246	4,919
Number of Participants			
Domestic Participants	43	-	-
Non-domestic Participants	1,596	-	-

in USD (in millions i.e., '000000)			
Conversion Rate	0.833	0.835	0.846
Settlement Instruction (During the year)			
Number of Instructions	95.000	106.599	116.068
Value of Instructions	594,758,399.328	632,160,503.069	643,061,591.491

❑ OTHER SERVICES (AS ON 31-Dec-19)

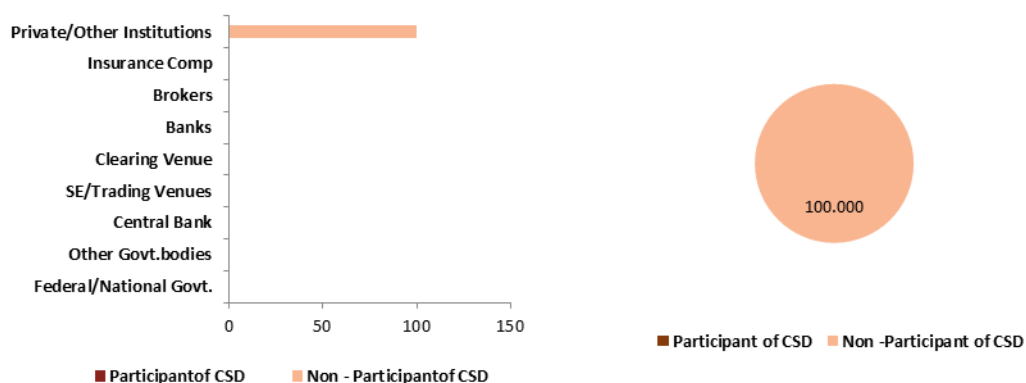
- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 549300ML2KAH0XQ8B089
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Holding Company that also owns other FMIs
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Corporate Debt, Others
 - Immobilized form** Equity, Collective Investment Vehicles, Corporate Debt, Others
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- **Type of Participants**
 - **Domestic**
Custodian (14), Others (2)
 - **Non-domestic**
Custodian (40), Brokers (27), Others (3)

❑ **FULL TIME EMPLOYEES: 33 (AS ON 31-Dec-19)**

❑ **ANNUAL REVENUE**

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	-	14,531.712	14,434.783
Other Income	-	2,523.419	3,214.583
	-	17,055.131	17,649.365

❑ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 7**
 - Only Inbound – 5 (Only Direct)
 - Only Outbound – 1 (Only Direct)
 - Only Outbound – 1 (Only Indirect)
 - **Purpose of Links with other CSDs**
 - Only FOP – 1 (Only Direct)
 - Both DVP & FOP - 5 (Only Direct)
 - Only FOP – 1 (Only Indirect)

❑ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	-		111		114	
Omnibus Accounts	-		482		524	
<u>Number of Participants</u>						
Domestic Participants	-		16		16	
Non-domestic Participants	-		71		70	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	-	-	323	5	303	7
CIV	-	-	56	-	54	-
Debt (corporate)	-	-	22	1	7	1
Others	-	-	1,231	1	1,140	1

in USD (in millions i.e., '000000)						
Conversion Rate	-		0.886		0.882	
Settlement Instruction (During the year)						
Number of Instructions	-		2.650		2.581	
Value of Instructions	-		1,087,554.287		888,747.357	
Corporate Action Events (During the year)						
Number of Events handled by CSD	-		0.003		0.003	
Value of Corporate action	-		21,188.620		16,454.369	
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign

Equities	-	-	201,633.758	103.645	250,594.026	119.975
CIV	-	-	727.690	-	715.215	-
Debt (corporate)	-	-	338.684	-	269.825	-
Others	-	-	123.893	-	197.695	-

☐ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): -

☐ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

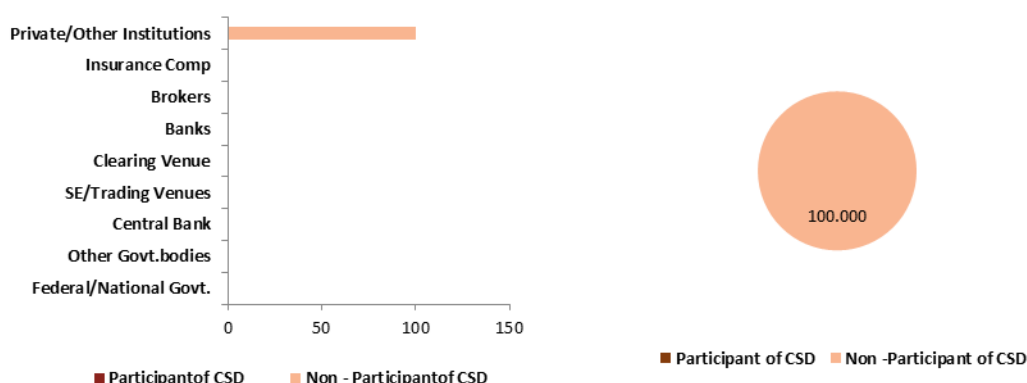
In April 2019 Euroclear Belgium obtained the license to operate under the Central Securities Depositories Regulation (CSDR).

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Holding Company that also owns other FMIs
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- Type of Participants

- **Domestic**
Custodian (5), Non-custodian Banks (5), Others (3)
- **Non-domestic**
Custodian (1), Non-custodian Banks (5), Others (4)

❑ **FULL TIME EMPLOYEES: 107 (AS ON 31-Dec-19)**

❑ ANNUAL REVENUE

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	0.000	52,925.068	54,805.819
Other Income	-	856.877	298.509
	0.000	53,781.946	55,104.328

❑ LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 4**
 - Only Inbound – 2 (Only Direct)
 - Only Outbound – 1 (Only Direct)
 - Only Inbound – 1 (Only Indirect)
 - **Purpose of Links with other CSDs**
 - Only FOP – 1(Only Direct)
 - Both DVP & FOP - 2 (Only Direct)
 - Only FOP – 1(Only Indirect)

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	1,500,000		-		-	
Omnibus Accounts	10,000		34		35	
<u>Number of Participants</u>						
Domestic Participants	13		14		13	
Non-domestic Participants	9		9		10	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	355	8	0	-	0	-
CIV	1	-	-	-	-	-
Debt (Federal/ National Govt.)	25	-	-	-	-	-
Debt (Other Govt. bodies)	-	-	-	-	-	-
Debt (corporate)	1,597	-	-	-	-	-
Others	5,545	-	-	-	-	-

in USD (in millions i.e., '000000)			
Conversion Rate	0.833	0.834	0.834
Settlement Instruction (During the year)			
Number of Instructions	7.600	9.263	9.577
Value of Instructions	763.112	1,753,375.079	1,866,236.685
Corporate Action Events (During the year)			
Number of Events handled by CSD	0.009	0.010	0.014
Value of Corporate action	763.112	0.000	0.000

Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	305,529.850	3,172.434	0.000	-	0.000	-
CIV	364.758	-	-	-	-	-
Debt (Federal/ National Govt.)	116,077.960	-	-	-	-	-
Debt (corporate)	25,692.970	-	-	-	-	-
Others	24,613.527	-	-	-	-	-

☐ OTHER SERVICES (AS ON 31-Dec-19)

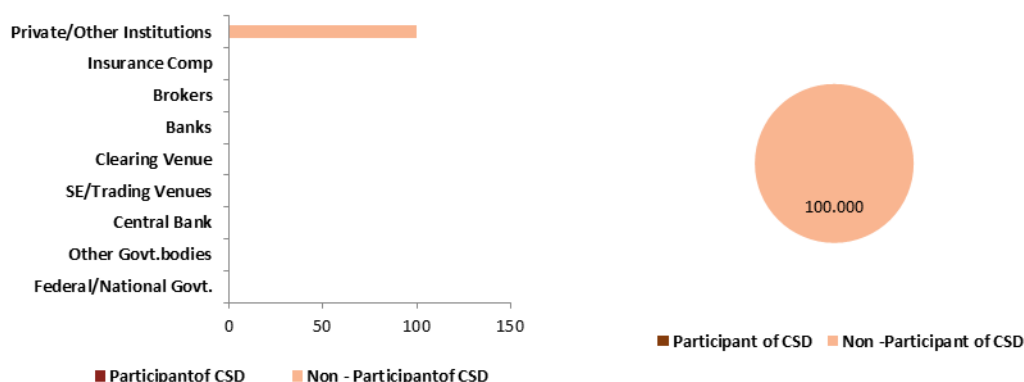
- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): General Meeting services to issuers

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 54930060MY6S68NEUP16
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Holding Company that also owns other FMIs
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- Type of Participants

- **Domestic**
Custodian (64), Brokers (19), Others (14)
- **Non-domestic**
Custodian (51), Brokers (11), Others (11)

❑ **FULL TIME EMPLOYEES: 308 (AS ON 31-Dec-19)**

❑ **ANNUAL REVENUE**

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	155,025.704	152,138.790	160,550.080
Other Income	19,600.937	7,558.356	8,416.060
	174,626.641	159,697.146	168,966.140

❑ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 26**
 - Only Inbound – 6 (Only Direct)
 - Only Outbound – 7 (Only Direct)
 - Only Outbound – 13 (Only Indirect)
 - **Purpose of Links with other CSDs**
 - Only FOP – 3 (Only Direct)
 - Both DVP & FOP - 10 (Only Direct)
 - Only FOP – 13 (Only Indirect)

❑ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	-		236		254	
Omnibus Accounts	-		832		902	
<u>Number of Participants</u>						
Domestic Participants	101		95		97	
Non-domestic Participants	60		69		73	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	1,205	159	1,209	162	1,194	179
CIV	24,236	255	25,806	255	26,683	257
Debt (Federal/ National Govt.)	-	-	441	827	436	965
Debt (corporate)	-	-	21,661	28,753	24,104	36,618
Others	36,801	32	52,388	30	51,688	37

in USD (in millions i.e., '000000)			
Conversion Rate	0.833	0.886	0.882
Settlement Instruction (During the year)			
Number of Instructions	26,264	27,951	29,215
Value of Instructions	96,468,216.948	104,223,688.175	127,508,036.711
Corporate Action Events (During the year)			

Number of Events handled by CSD	0.622		0.240		0.302	
Value of Corporate action	12,454,862.216		10,232,257.846		6,369,303.243	
<u>Value on Deposit</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	619,301.308	71,859.705	2,231,699.977	23,399.931	2,790,567.768	31,366.927
CIV	33,484.535	14,692.304	1,398,811.033	2,704.643	1,501,088.088	3,330.590
Debt (Federal/ National Govt.)	-	-	2,016,094.137	1,043.209	2,096,531.612	1,194.073
Debt (Other Govt. bodies)	-	-	-	-	-	-
Debt (corporate)	-	-	1,699,284.695	5,796.630	1,845,709.109	13,141.976
Others	13,499.642	359.958	21,158.762	465.064	18,454.731	549.220

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

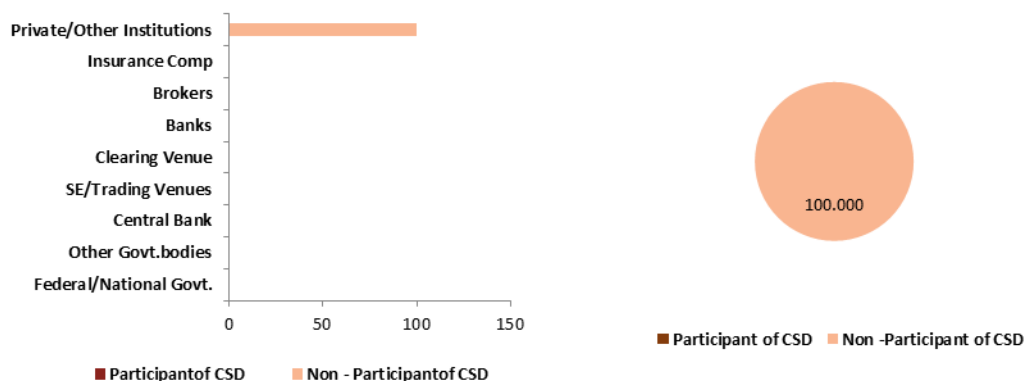
In April 2019 Euroclear France obtained the license to operate under the Central Securities Depositories Regulation (CSDR)

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 549300738RYMTWUC1055
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Holding Company that also owns other FMIs
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- **Type of Participants**
 - o **Domestic**
Custodian (15), Brokers (3), Others (1)
 - o **Non-domestic**
Custodian (43), Brokers (23), Others (4)

❑ **FULL TIME EMPLOYEES: 38 (AS ON 31-Dec-19)**

❑ **ANNUAL REVENUE**

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	0.000	28,045.903	30,622.563
Other Income	-	5,438.774	5,842.321
	0.000	33,484.677	36,464.884

❑ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**
 - o **Number of Links with other CSDs - 14**
 - Only Inbound – 7 (Only Direct)
 - Only Outbound – 1 (Only Direct)
 - Only Outbound – 6 (Only Indirect)
 - o **Purpose of Links with other CSDs**
 - Only FOP – 1 (Only Direct)
 - Both DVP & FOP - 7 (Only Direct)
 - Only FOP – 6 (Only Indirect)

❑ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	-		98		100	
Omnibus Accounts	-		498		543	
<u>Number of Participants</u>						
Domestic Participants	-		19		19	
Non-domestic Participants	-		69		70	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	0	-	277	80	304	83
CIV	-	-	249	145	251	144
Debt (Federal/ National Govt.)	-	-	134	-	152	-
Debt (corporate)	-	-	765	848	800	818
Others	-	-	21,715	26	27,814	30

				in USD (in millions i.e., '000000)	
Conversion Rate	-	0.886		0.882	
Settlement Instruction (During the year)					
Number of Instructions	-	6.352		6.587	
Value of Instructions	-	5,994,827.732		6,367,352.096	
Corporate Action Events (During the year)					
Number of Events handled by CSD	-	0.078		0.093	
Value of Corporate action	-	1,760,040.733		2,099,051.467	
Value on Deposit					

Netherlands

Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	-	-	482,667.566	68,596.345	651,419.491	64,893.185
CIV	-	-	27,606.946	11,569.880	32,574.356	10,516.152
Debt (Federal/ National Govt.)	-	-	363,083.807	-	350,872.277	-
Debt (corporate)	-	-	123,230.727	1,675.221	129,607.702	1,871.376
Others	-	-	8,977.744	309.569	5,880.906	401.818

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): -

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

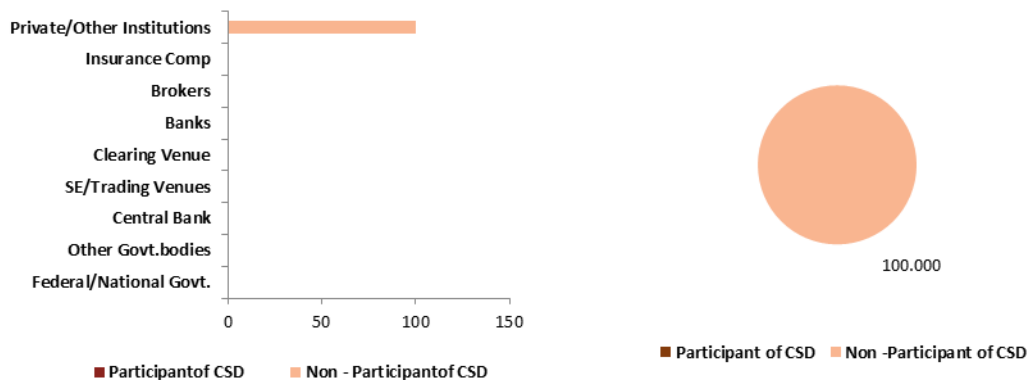
In May 2019 Euroclear Nederland obtained the license to operate under the Central Securities Depositories Regulation (CSDR).

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 5493006WLDSUHWHT321
- **Local Currency:** Swedish Krona (SEK)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Holding Company that also owns other FMIs
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD uses external Commercial Bank money (CoBM) for settlement

- Type of Participants

- **Domestic**
Custodian (16), Non-custodian Banks (2), Others (4)
- **Non-domestic**
Custodian (5), Others (5)

❑ **FULL TIME EMPLOYEES: 100 (AS ON 31-Dec-19)**

❑ **ANNUAL REVENUE**

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	0.000	63,158.222	71,650.508
Other Income	-	-	-
	0.000	63,158.222	71,650.508

❑ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 8**
 - Only Inbound – 1 (Only Direct)
 - Only Outbound – 3 (Only Direct)
 - Only Outbound – 4 (Only Indirect)
 - **Purpose of Links with other CSDs**
 - Only FOP – 4 (Only Direct)
 - Only FOP – 4 (Only Indirect)

❑ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17	As on 31-Dec-18	As on 31-Dec-19			
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	-	1,077,296	869,417			
Omnibus Accounts	-	9,019	8,315			
<u>Number of Participants</u>						
Domestic Participants	-	22	22			
Non-domestic Participants	-	10	10			
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign

	in USD (in millions i.e., '000000)		
Conversion Rate	0.000	8.689	8.689
Settlement Instruction (During the year)			
Number of Instructions	0.000	14.992	0.013
Value of Instructions	0.000	14,460,534.340	12,993,831.576
Corporate Action Events (During the year)			
Number of Events handled by CSD	0.000	0.000	0.000
Value of Corporate action	0.000	2,335,881.990	2,379,080.180

❑ **OTHER SERVICES (AS ON 31-Dec-19)**

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services

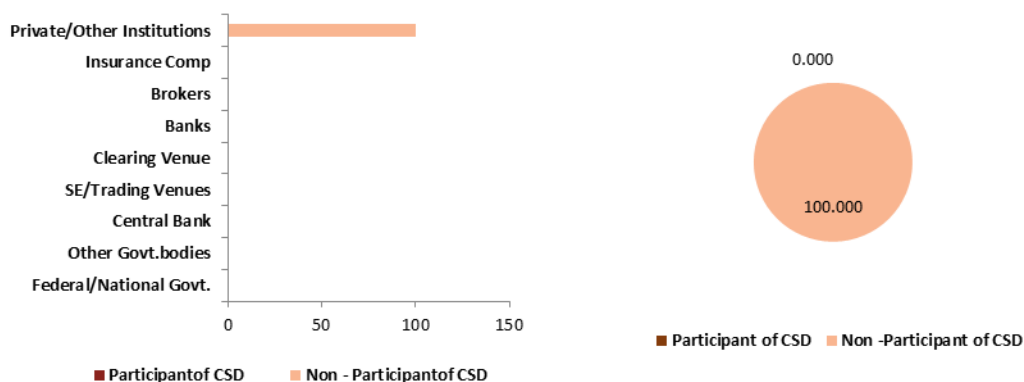
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 549300M5MYAD51WHJD55
- **Local Currency:** British Pound Sterling (GBP)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Holding Company that also owns other FMIs
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- Type of Participants

- **Domestic**
Others (8229)
- **Non-domestic**
Others (168)

❑ **FULL TIME EMPLOYEES: 124 (AS ON 31-Dec-19)**

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	140,809.711	128,376.845	139,451.662
Other Income	302.465	1,081.368	1,249.115
	141,112.176	129,458.214	140,700.777

❑ LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 3**
 - Both Inbound and Outbound – 3 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Only FOP – 3 (Only Direct)

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17	As on 31-Dec-18	As on 31-Dec-19			
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	291,169	95,338	89,729			
Omnibus Accounts	13,103	219	2,219			
<u>Number of Participants</u>						
Domestic Participants	15,300	14,469	8,229			
Non-domestic Participants	240	191	168			
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	3,197	7,946	3,168	9,100	3,023	8,110
CIV	2,571	1,402	2,258	701	2,433	2,048
Debt (Federal/ National Govt.)	248	2	216	-	209	-
Debt (corporate)	3,025	903	3,379	909	2,917	831

in USD (in millions i.e., '000000)

Conversion Rate		0.741	0.771	in USD (in millions i.e., 000000)		
Settlement Instruction (During the year)						
Number of Instructions	64.600	64.884	65.307			
Value of Instructions	328,744,436.399	369,949,598.377	394,303.670			
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.037	0.024	0.024			
Value of Corporate action	306,270.336	372,947.637	321,521.272			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	3,616,459.112	32,076.166	3,069,513.579	107,705.074	3,388,619.026	163,717.222
CIV	109,281.763	70,255.648	-	-	-	-
Debt (Federal/ National	3,181,080.688	5.401	2,745,475.173	-	2,857,247.661	-

Govt.)						
Debt (corporate)	149,799.949	6,735.252	270,981.335	5,253.843	275,714.314	5,286.018

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): Lending and Borrowing services (EUI does not act as agent), Collateral services (EUI does not act as agent), SDRT collection and CREST counter services

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

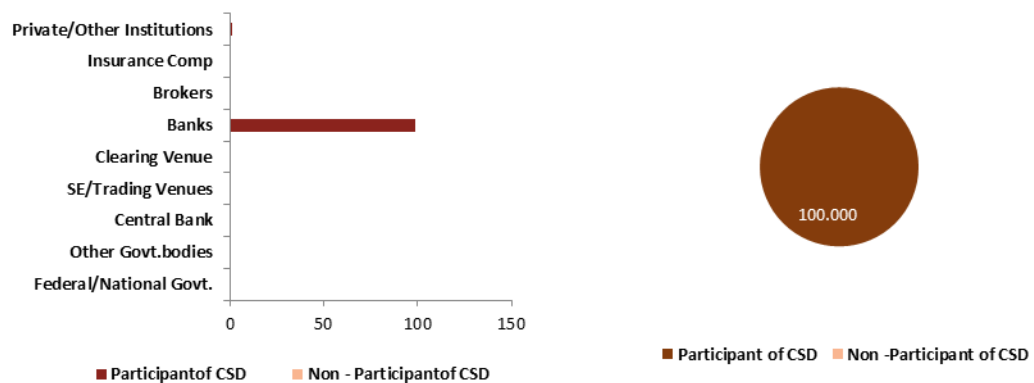
During 2019 EUI continued to progress the completion of its CSDR license application.

❑ BASIC INFORMATION

- **Regional Association:** AECSD
- **Local Currency:** Georgian Lari (GEL)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Stock Exchange
- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Corporate Debt
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD uses external Commercial Bank money (CoBM) for settlement
- **Type of Participants**
 - **Domestic**
 - Custodian (8), Brokers (5)

❑ FULL TIME EMPLOYEES: 15 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	30.190	31.738	49.944
Other Income	4.604	4.494	5.845
	34.794	36.232	55.789

❑ LINKS WITH OTHER CSDs

- CSD has no links with other CSD

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17	As on 31-Dec-18	As on 31-Dec-19			
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	900	8	12			
Omnibus Accounts	10	8	8			
<u>Number of Participants</u>						
Domestic Participants	7	11	13			
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	59	-	43	-	11	-
Debt (corporate)	8	-	10	10	25	1

in USD (in millions i.e., '000000)

<u>Conversion Rate</u>	2.613	2.670	2.860			
<u>Settlement Instruction (During the year)</u>						
Number of Instructions	0.000	0.000	0.000			
Value of Instructions	57.403	104.185	199.258			
<u>Corporate Action Events (During the year)</u>						
Number of Events handled by CSD	0.000	0.000	0.000			
Value of Corporate action	0.000	0.000	0.055			
<u>Value on Deposit</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	38.269	-	0.926	-	0.467	-
Debt (corporate)	95.672	-	385.417	-	420.127	100.000

❑ OTHER SERVICES (AS ON 31-Dec-19)

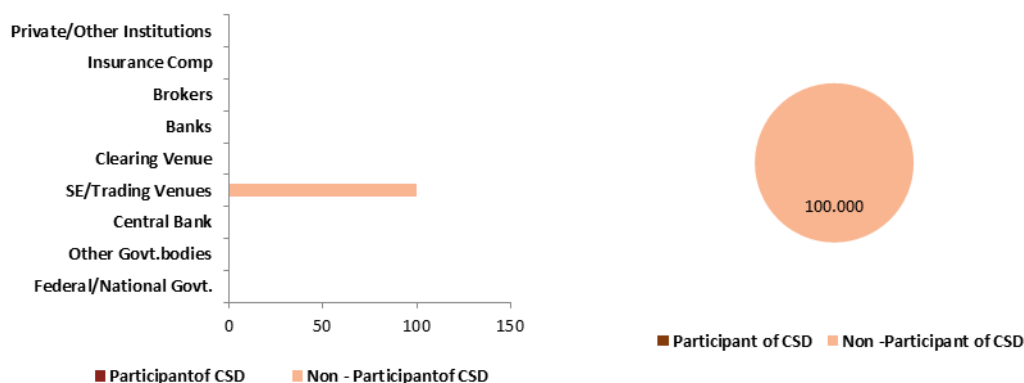
- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 213800T8UR2VI6Q2RH18
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Stock Exchange
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD offers both Commercial Bank money and Central Bank money for settlement

- Type of Participants

- **Domestic**
Custodian (34)
- **Non-domestic**
Custodian (15)

❑ **FULL TIME EMPLOYEES: 86 (AS ON 31-Dec-19)**

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	13,186.478	12,074.773	17,416.447
Other Income	167.981	280.992	216.572
	13,354.458	12,355.766	17,633.019

❑ LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 4**
 - Only Outbound – 2 (Only Direct)
 - Both Inbound and Outbound – 1 (Only Direct)
 - Only Outbound – 1 (Only Indirect)
 - **Purpose of Links with other CSDs**
 - Only FOP – 1(Only Direct)
 - Both DVP & FOP - 2 (Only Direct)
 - Both DVP & FOP - 1 (Only Indirect)

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	1,493,499		1,267,999		1,253,644	
<u>Number of Participants</u>						
Domestic Participants	42		37		34	
Non-domestic Participants	14		14		15	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	210	695	199	719	183	921
CIV	1	-	-	-	-	-
Debt (Federal/ National Govt.)	37	-	28	-	25	-
Debt (corporate)	9	-	12	1	14	-
Others	-	-	1	-	1	-

in USD (in millions i.e., '000000)

Conversion Rate		0.833	0.886	0.882		
Settlement Instruction (During the year)						
Number of Instructions	4.547	5.281	7.007			
Value of Instructions	32,691.911	34,726.822	44,627.249			
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.002	0.002	0.002			
Value of Corporate action	17,597.712	12,191.738	19,540.291			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign

Equities	51,820.855	454.628	50,811.422	388.018	56,069.942	1,021.273
CIV	15.851	-	-	-	-	-
Debt (Federal/ National Govt.)	775.686	-	657.612	-	582.601	-
Debt (corporate)	891.475	-	1,078.266	0.051	1,614.468	-
Others	-	-	11.528	-	21.746	-

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

Regulation (EU) 909/2014 (CSDR) - Strategic adaptation of ATHEXCSD to the new environment

ATHEXCSD actively participates in the adaptation of the Greek capital market to the new environment, especially concerning the licensing of the company in accordance with the CSDR Regulation in 2019. An important development in that direction is the publication of law 4569/2018 "I) Central Securities Depositories, II) Adaptation of Greek law to the provisions of Directive (EU) 2016/2258 and other provisions, and III) other provisions of the Ministry of Finance" (Government Gazette 179/11.10.2018).

In particular, in 2019 ATHEXCSD actively participated in the following tasks:

- a) Implementation of compliance actions by ATHEXCSD in the context of its licensing process in accordance with the CSDR Regulation and law 4548/2018, in order for the Hellenic Capital Market Commission to signal that the licensing dossier is complete, by 31.03.2020. At the same time the consultation with all stakeholders was completed, in order to finalize the design of the necessary adjustment of the (core and ancillary) services by ATHEXCSD (to Operators, Issuers and Investors), and the formulation of the new Regulation of Operation of the company in accordance with article 4 of law 4547/201 in the new environment under the CSDR Regulation.
- b) Review the CSDR Level 2 regulatory & technical standards concerning the implementation of measures to deal with settlement discipline in order to analyze the effects and draft / implement compliance measures for ATHEXCSD.
- c) Publication and implementation of all decisions required with respect to the timely implementation within the period November 2018 - July 2019 of the actions/tasks specified

in paragraphs 7, 8 and 9 of Article 29 of Law 4569/2018 (Government Gazette 179A of 11.10.2018), which relate to the forced sales of securities maintained in the special accounts of the CSD after the deadlines included in the Law.

Participation in the project to consolidate the Eurosystem Target2 services ("T2/T2S Consolidation")

The project concerns the consolidation of the Target2, T2S and TIPS services of the Eurosystem, both technically and operationally, in a new consolidated platform (T2/T2S Consolidation). The goal of the new consolidated platform is to respond to the changing needs of the market, replacing Target2 with a new Real Time Settlement System (RTGS), optimizing liquidity management across all Target2 services.

The participation of the Group in the above project concerns the appropriate and timely adjustment of the ATHEXCSD and ATHEXClear services to the planned consolidated Target2 services platform ("T2/T2S Consolidation"). In 2019 the detailed evaluation of the business and technical implications began on the timely adaptation of the ATHEXCSD / ATHEXClear systems and processes to the new consolidated Target2 services platform.

Project to update DSS Account information by Operators, in accordance with Decisions 1/736/2.11.2015 (Government Gazette B' 2558/26.11.2015) & 7/759/29.6.2016 (Government Gazette B' 2130/11.07.2016) of the Board of Directors of the Hellenic Capital Market Commission and Decision 6/27.06.2016 of the Board of Directors of ATHEXCSD, in effect since 30.06.2016

In accordance with the relevant decisions of the Board of Directors of the Hellenic Capital Market Commission and ATHEXCSD, in 2019 periodic (monthly and every 4 months) audits were planned and carried out on the correctness of the registrations in the active Investor Shares in the Dematerialized Securities System (DSS) by ATHEXCSD and corresponding provision of information to DSS Operators, in order for the relevant data maintained in DSS to be updated in accordance with the existing regulatory framework.

Completing the necessary adaptations to fulfill the obligations of the companies of the Athens Exchange Group and of Participants in the Greek market, especially ATHEXCSD and DSS Operators, concerning the automatic exchange of financial information in accordance with relevant legislation

The relevant tasks and projects concern:

- The agreement between Greece and the USA to apply FATCA (Foreign Account Tax Compliance Act), as incorporated into Greek law with Law 4493/2017 (Government Gazette A' 164/31.10.2017).
- Regulation 2011/16/EU as amended by Regulation 2014/107/EU, and incorporated into Greek law with Law 4170/2013 and Law 4378/2016.
- The OECD Multilateral Competent Authority Agreement (Common Reference Standard), as incorporated into Greek law with law 4428/2016.

Developing the AXIAlei service

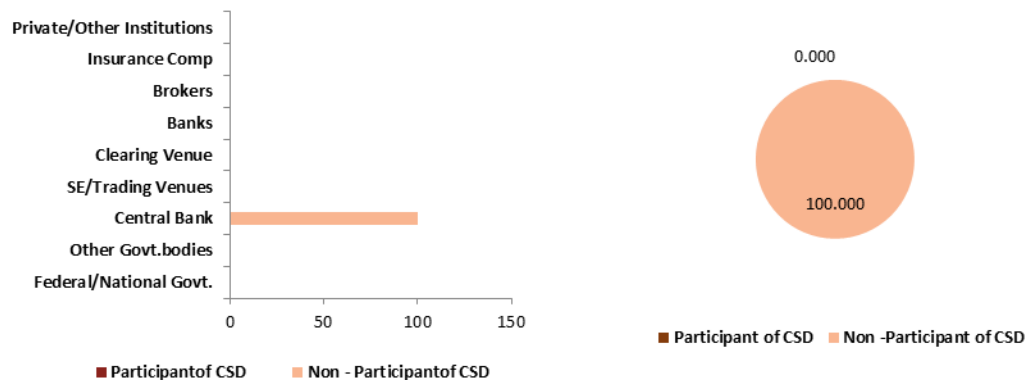
Responding to the requirement that all legal entities that carry out transactions on transferable securities starting on 3.1.2018 need to issue a Legal Entity Identifier (LEI) code, in accordance with the relevant declaration by ESMA of 27.12.2017 and the Hellenic Capital Market Commission as part of the application of the MiFID II Directive and the MiFIR Regulation, ATHEXCSD successfully provided this service (AXIAlei) by issuing, renewing or transferring about 2,000 LEI codes.

❑ BASIC INFORMATION

- **Regional Association:** ACG
- **Local Currency:** Hong Kong Dollar (HKD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Central Bank
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** - Government Debt
 - Immobilized form** - Corporate Debt
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD offers both Commercial Bank money and Central Bank money for settlement
- **Type of Participants**
 - **Domestic**
 - Non-custodian Banks (144), Asset Managers (24), Others (53)

☐ **FULL TIME EMPLOYEES: 20 (AS ON 31-Dec-19)**

☐ **ANNUAL REVENUE**

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	10,495.149	11,900.581	13,829.588
Other Income	-	-	-
	10,495.149	11,900.581	13,829.588

☐ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**
 - o **Number of Links with other CSDs - 8**
 - Only Inbound – 1 (Only Direct)
 - Only Outbound – 2 (Only Direct)
 - Both Inbound and Outbound – 5 (Only Direct)
 - o **Purpose of Links with other CSDs**
 - Only DVP – 2 (Only Direct)
 - Both DVP & FOP - 6 (Only Direct)

☐ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	-		223		221	
Omnibus Accounts	201		921		1,334	
<u>Number of Participants</u>						
Domestic Participants	0		223		221	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Debt (Federal/ National Govt.)	-	-	117	45	110	43
Debt (Other Govt. bodies)	-	-	85	-	85	-
Debt (corporate)	-	-	302	1,275	277	1,003

in USD (in millions i.e., '000000)						
Conversion Rate	7.812		7.829		7.750	
Settlement Instruction (During the year)						
Number of Instructions	0.059		0.042		0.032	
Value of Instructions	513,898.080		540,329.142		577,904.659	
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.000		0.006		0.022	
Value of Corporate action	0.000		842,654.761		512,851.313	
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	0.000	-	0.000	-	0.000	-
Debt (Federal/ National Govt.)	-	-	147,606.665	14,807.170	151,110.638	15,136.548
Debt (Other Govt. bodies)	-	-	3,698.344	-	4,076.232	-
Debt (corporate)	-	-	15,827.549	74,670.635	15,618.996	66,764.989

☐ **OTHER SERVICES (AS ON 31-Dec-19)**

- ☒ Trade Repository Services

- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

☐ **MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)**

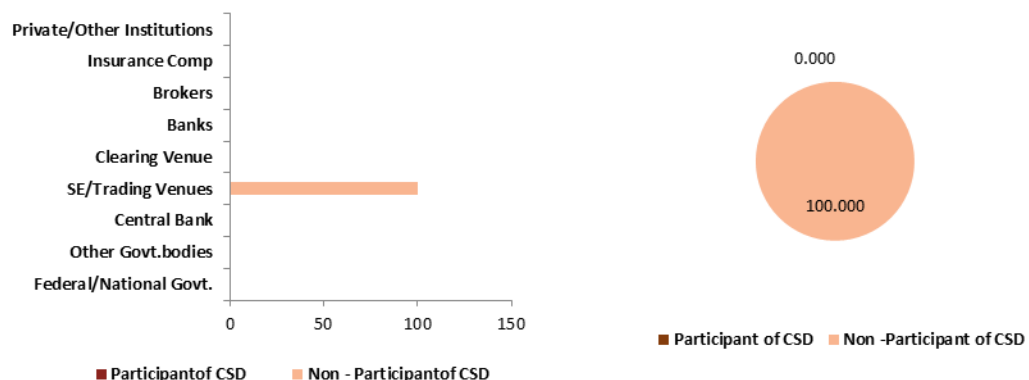
Further to the launch of Bond Connect Northbound scheme in 2017, the CMU has continued to implement various system and service enhancements to raise the settlement efficiency and to streamline the operation processing of the Bond Connect linkage service. Major enhancements in 2019 include the expansion of the number of custody accounts under each CMU participant and the further extension of cutoff time for sending Bond Connect settlement instructions to the CMU.

❑ BASIC INFORMATION

- **Regional Association:** ACG
- **LEI Number:** 12793889-000-05-20-7
- **Local Currency:** Hong Kong Dollar (HKD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Stock Exchange
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Collective Investment Vehicles, Government Debt, Corporate Debt, Others
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD uses external Commercial Bank money (CoBM) for settlement

- Type of Participants

- **Domestic**
Custodian (20), Non-custodian Banks (2), Brokers (641), Others (25713)
- **Non-domestic**
Custodian (16), Non-custodian Banks (4), Others (182)

□ FULL TIME EMPLOYEES: 200 (AS ON 31-Dec-19)

□ ANNUAL REVENUE

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	382,498.179	472,258.065	466,622.374
Other Income	122,122.912	191,741.935	210,799.270
	504,621.091	664,000.000	677,421.644

□ LINKS WITH OTHER CSDs

- CSD has links with other CSD
 - Number of Links with other CSDs - 4
 - Both Inbound and Outbound – 2 (Only Direct)
 - Both Inbound and Outbound –2 (Only Indirect)
 - Purpose of Links with other CSDs
 - Only DVP – 2 (Only Direct)
 - Only FOP – 1 (Only Indirect)
 - Both DVP & FOP - 1 (Only Indirect)

□ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	25,393		25,667		25,889	
Omnibus Accounts	651		669		689	
<u>Number of Participants</u>						
Domestic Participants	625		26,130		26,376	
Non-domestic Participants	24		206		202	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	2,118	1,825	2,315	1,995	2,449	2,160
CIV	201	-	226	-	228	-
Debt (Federal/ National Govt.)	60	-	52	-	46	-
Debt (Other Govt. bodies)	42	-	39	-	35	-
Debt (corporate)	-	-	-	-	1	-
Others	9,658	-	9,812	-	9,231	-

	in USD (in millions i.e., '000000)		
Conversion Rate	7.812	7.750	7.751
Settlement Instruction (During the year)			
Number of Instructions	34.000	37.720	35.488
Value of Instructions	5,893,488.286	7.183	6.995
Corporate Action Events (During the year)			
Number of Events handled by CSD	0.015	0.015	0.016
Value of Corporate action	161,594.087	158,998.416	15,880.900
Value on Deposit			

Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	2,667,470.228	80,427.027	2.270	0.096	2.841	0.203
CIV	81,360.742	-	0.077	-	0.075	-
Debt (Federal/ National Govt.)	691.006	3.200	0.000	-	0.000	-
Debt (Other Govt. bodies)	0.384	-	0.000	-	0.000	-
Debt (corporate)	-	-	-	-	0.000	-
Others	36,914.659	-	0.018	-	0.023	-

☐ OTHER SERVICES (AS ON 31-Dec-19)

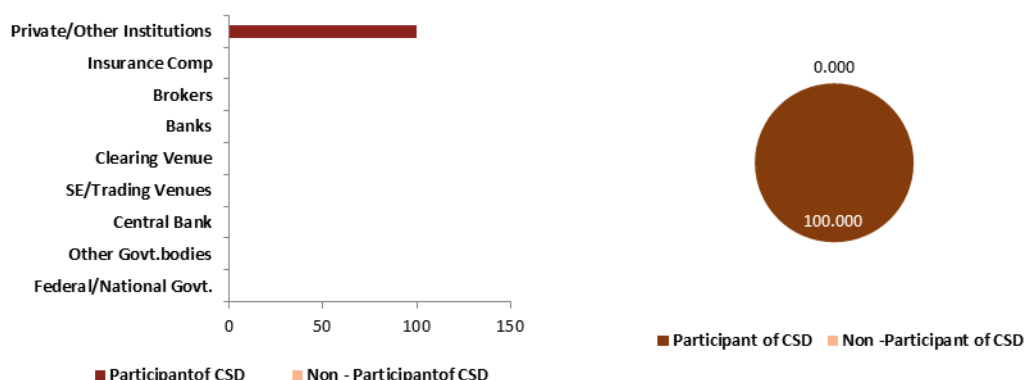
- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 959800DN0D5DXFUBNB37
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Holding Company that also owns other FMIs
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Equity, Corporate Debt
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- Type of Participants

- **Domestic**
Custodian (51), Non-custodian Banks (1)
- **Non-domestic**
Custodian (19)

❑ FULL TIME EMPLOYEES: 101 (AS ON 31-Dec-19)

❑ LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 8**
 - Only Outbound – 3 (Only Direct)
 - Both Inbound and Outbound – 5 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Only FOP – 2 (Only Direct)
 - Both DVP & FOP - 6 (Only Direct)

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	461		485		528	
Omnibus Accounts	212		217		228	
<u>Number of Participants</u>						
Domestic Participants	76		55		52	
Non-domestic Participants	17		15		19	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	1,610	1,823	1,509	1,581	1,280	2,031
CIV	2,996	20	2,810	20	2,645	20
Debt (Federal/ National Govt.)	488	9	476	136	481	1,777
Debt (corporate)	2,259	-	2,128	-	2,105	23

in USD (in millions i.e., '000000)

Conversion Rate		0.833	0.854	in USD (in millions i.e., 000000)		
Settlement Instruction (During the year)						
Number of Instructions	8.225		9.207		9.392	
Value of Instructions	50,770,466.278		34,235,623.803		37,812,417.522	
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	861,238.943	4,130.391	733,239.895	2,884.992	828,263.749	3,023.116
CIV	152,537.731	1,751.798	129,482.066	1,036.998	137,680.189	578.526
Debt (Federal/ National Govt.)	1,180,954.923	581.933	1,206,706.929	6,841.541	1,231,059.968	9,777.190
Debt (corporate)	617,798.314	-	569,101.004	-	562,663.740	59.120

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☑ Trade Repository Services
- ☑ Information Services
- ☑ National Numbering Agency Services
- ☑ Technological solutions
- ☑ Triparty Services
- ☑ Legal Entity Identifier (LEI) Services

- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

☐ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

IBERCLEAR obtained authorization to continue providing services as a Central Securities Depository (CSD), pursuant to Article 17 of the Regulation (UE) 909/2014 on improving securities settlement in the European Union and on central securities depositories.

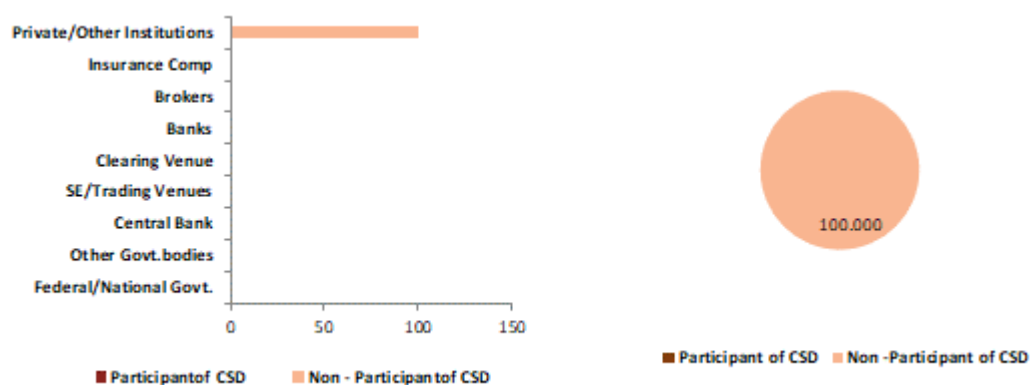
❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 9695005903WM8LGWIQ64
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI.

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Corporate Debt
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- **Type of Participants**

○ **Domestic**

Custodian (6), Non-custodian Banks (7)

☐ **FULL TIME EMPLOYEES: 15 (AS ON 31-Dec-19)**

☐ **ANNUAL REVENUE**

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	0.000	0.000	0.000
Other Income	-	-	-
	0.000	0.000	0.000

☐ **LINKS WITH OTHER CSDs**

- CSD has no links with other CSD

☐ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	-		-		5	
Omnibus Accounts	-		-		15	
<u>Number of Participants</u>						
Domestic Participants	0		-		13	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Debt (corporate)	-	-	-	-	12	-

	in USD (in millions i.e., '000000)					
<u>Conversion Rate</u>	0.000	0.000	0.000	0.000	0.000	0.860
<u>Settlement Instruction (During the year)</u>						
Number of Instructions	0.000	0.000	0.000	0.000	0.000	0.000
Value of Instructions	0.000	0.000	0.000	0.000	0.000	55.791
<u>Corporate Action Events (During the year)</u>						
Number of Events handled by CSD	0.000	0.000	0.000	0.000	0.000	0.000
Value of Corporate action	0.000	0.000	0.000	0.000	0.000	8.136
<u>Value on Deposit</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	0.000	-	0.000	-	0.000	-

☐ **OTHER SERVICES (AS ON 31-Dec-19)**

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above

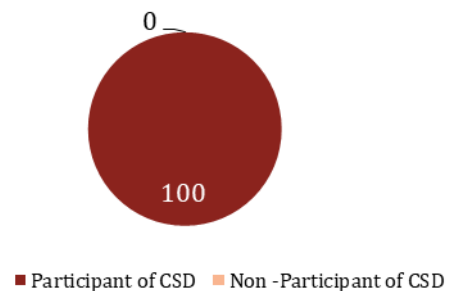
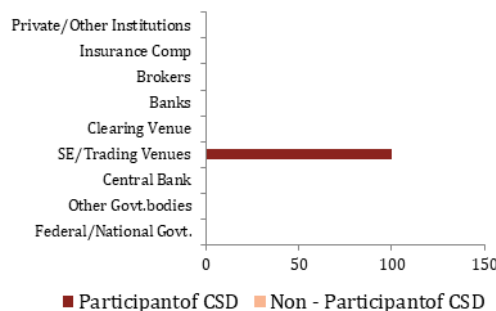
- ☒ Others (Please specify): ID2S provides Issuance and Distribution services, Safekeeping and Custody services, Securities Settlement services, and selected Middle Office Post-Trade services

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 5299000J2N45DDNE4Y28
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Holding Company that also owns other FMIs
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD offers both Commercial Bank money and Central Bank money for settlement
- **Type of Participants**
 - Domestic

Non-custodian Banks (31), Others (6)

○ **Non-domestic**

Non-custodian Banks (6), Others (4)

❑ **FULL TIME EMPLOYEES: 40 (AS ON 31-Dec-19)**

❑ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	24,682.907	25,483.255	25,733.597
Other Income	287.603	301.064	194.109
	24,970.511	25,784.319	25,927.706

❑ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**

○ **Number of Links with other CSDs - 4**

- Only Inbound – 1 (Only Direct)
- Only Outbound – 2 (Only Direct)
- Only Outbound – 1 (Only Indirect)

○ **Purpose of Links with other CSDs**

- Both DVP & FOP - 3 (Only Direct)
- Both DVP & FOP - 1 (Only Indirect)

❑ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Omnibus Accounts	699		636		651	
<u>Number of Participants</u>						
Domestic Participants	31		35		37	
Non-domestic Participants	5		8		10	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	467	6	462	6	449	6
CIV	28	12	31	12	50	11
Debt (Federal/ National Govt.)	31	-	33	-	32	-
Debt (corporate)	697	-	655	1	646	1
Others	24	1,165	22	1,078	21	1,311

in USD (in millions i.e., '000000)

Conversion Rate		0.833	0.843	in USD (in millions i.e., 000000)		
Settlement Instruction (During the year)						
Number of Instructions	1.122		1.066		1.089	
Value of Instructions	344,596.620		307,388.584		307,484.280	
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.007		0.007		0.006	
Value of Corporate action	63,695.847		61,601.859		64,017.915	
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	118,763.149	7,313.556	107,966.170	8,053.617	116,711.995	10,874.936
CIV	1,038.519	31.224	1,175.597	15.706	1,433.562	19.856
Debt (Federal/ National Govt.)	169,708.628	-	176,567.422	-	181,469.395	-

Debt (corporate)	108,520.190	-	106,071.334	0.119	100,324.899	0.144
Others	2,710.322	497.849	2,310.801	438.765	3,182.726	2,306.512

❑ OTHER SERVICES (AS ON 31-Dec-19)

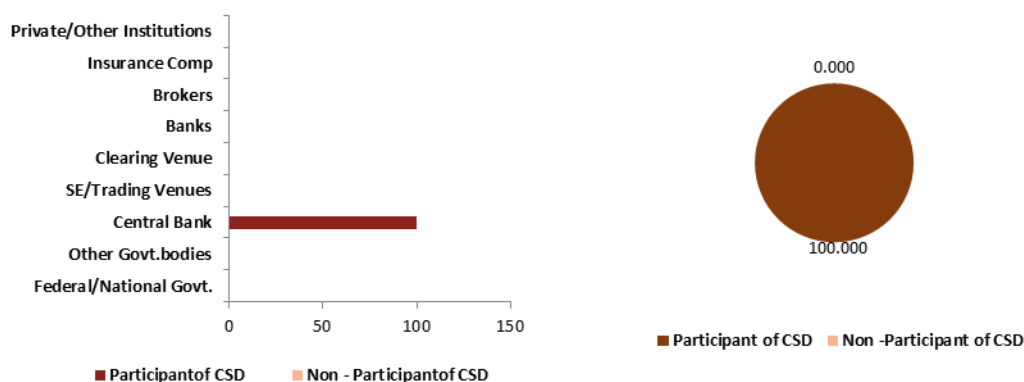
- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): -

❑ BASIC INFORMATION

- **Regional Association:** ACSDA
- **Local Currency:** Jamaican Dollar (JMD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Central Bank
- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Government Debt
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money
- **Type of Participants**
 - **Domestic**
 - Custodian (1), Non-custodian Banks (9), Brokers (28), Others (1)

☐ **FULL TIME EMPLOYEES: 12 (AS ON 31-Dec-19)**

☐ **ANNUAL REVENUE**

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	209.351	157.416	143.925
Other Income	-	-	-
	209.351	157.416	143.925

☐ **LINKS WITH OTHER CSDs**

- CSD has no links with other CSD

☐ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
Number of accounts held by CSD						
Beneficial Owner Accounts	30,780		29,697		28,795	
Number of Participants						
Domestic Participants	39		39		39	
Number of eligible issues						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	0	-	0	-	0	-
Debt (Federal/ National Govt.)	39	-	39	-	33	-
Debt (Other Govt. bodies)	130	-	173	-	95	-

				in USD (in millions i.e., '000000)		
Conversion Rate	123.983		127.392		132.511	
Settlement Instruction (During the year)						
Number of Instructions	0.056		0.045		0.043	
Value of Instructions	0.141		0.169		0.114	
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.025		0.025		0.017	
Value of Corporate action	58,014.006		73,543.670		40,635.772	
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	0.000	-	0.000	-	0.000	-
Debt (Federal/ National Govt.)	6,051.587	-	5,875.565	-	5,613.871	-
Debt (Other Govt. bodies)	1,437.319	-	1,131.561	-	814.052	-

☐ **OTHER SERVICES (AS ON 31-Dec-19)**

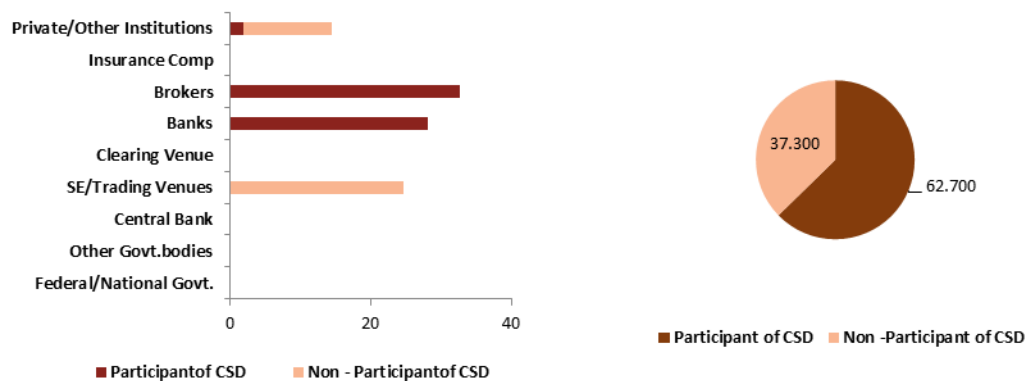
- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify):

❑ BASIC INFORMATION

- **Regional Association:** ACG
- **Local Currency:** Japanese YEN (JPY)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Stock Exchange
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money
- **Type of Participants**

- **Domestic**
Custodian (3), Non-custodian Banks (60), Brokers (146), Asset Managers (22), Others (20)
- **Non-domestic**
Custodian (2), Non-custodian Banks (1), Brokers (4)

❑ FULL TIME EMPLOYEES: 220 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	199,247.925	219,231.810	230,104.975
Other Income	355.039	396.718	492.926
	199,602.964	219,628.528	230,597.901

❑ LINKS WITH OTHER CSDs

- CSD has links with other CSD
 - **Number of Links with other CSDs - 3**
 - Only Outbound - 3 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Only FOP - 3 (Only Direct)

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	260		260		258	
Omnibus Accounts	241		241		239	
<u>Number of Participants</u>						
Domestic Participants	260		253		251	
Non-domestic Participants	-		7		7	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	3,777	56	4,198	5	4,237	3
CIV	11,703	26	12,084	26	12,660	25
Debt (Federal/ National Govt.)	-	49	-	62	-	68
Debt (Other Govt. bodies)	8,795	27	9,195	33	9,573	31
Debt (corporate)	55,643	258	62,077	345	67,142	331

in USD (in millions i.e., '000000)						
Conversion Rate	112.664		110.910		109.550	
Settlement Instruction (During the year)						
Number of Instructions	121.612		127.966		121.502	
Value of Instructions	32,274,882.655		20,928,651.114		19,965,141.999	
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.070		0.070		0.070	
Value of Corporate action	0.000		0.000		0.000	
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	6,314,915.190	3,578.101	5,760,198.197	50,621.179	6,716,665.815	26,956.102
CIV	1,734,916.590	318.088	548,411.081	31,873.916	614,828.325	39,513.373
Debt (Federal/ National	-	16,669.972	-	21,305.563	-	23,809.220

Govt.)						
Debt (Other Govt. bodies)	1,430,160.064	4,521.423	1,474,094.257	6,510.603	1,501,382.118	5,989.548
Debt (corporate)	931,330.768	62,376.814	1,105,459.904	74,051.348	1,179,386.052	69,899.954

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): Yes (Pre-Settlement Matching System /PSMS)

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- Implementation of Shortening of Stock Settlement Cycle (T+2)
- Please refer to the website for more information :-
https://www.jsda.or.jp/en/activities/research-studies/html/t2_final_report.html

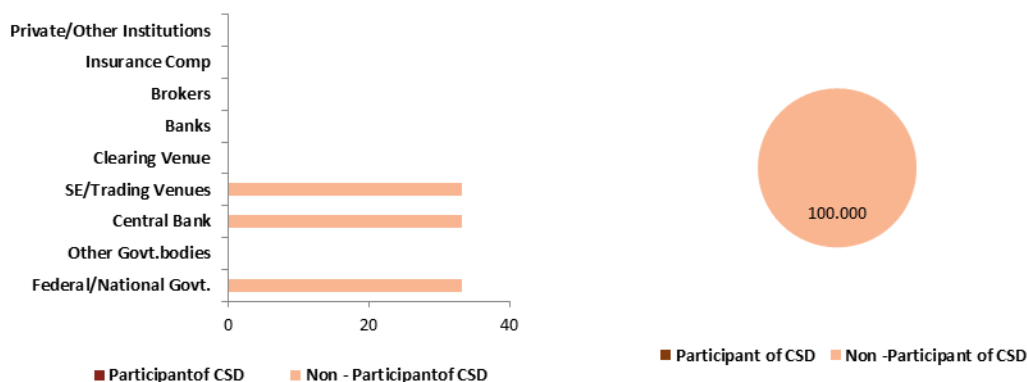
❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 259400L3KBYEVNHEJF55
- **Local Currency:** Polish Zloty (PLN)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. KDPW is co-owned by the Polish State Treasury, Polish Central Bank and the Warsaw Stock Exchange, but none of them has a controlling stake.

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution

- **CSD settles in Central Bank money**

- **Type of Participants**

- **Domestic**
Custodian (14), Non-custodian Banks (24), Brokers (19), Others (1)
- **Non-domestic**
Others (2)

❑ **FULL TIME EMPLOYEES: 189 (AS ON 31-Dec-19)**

❑ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	33,592.623	33,045.289	33,424.098
Other Income	1,205.889	1,350.792	1,444.493
	34,798.512	34,396.081	34,868.591

❑ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 9**
 - Only Inbound – 2 (Only Direct)
 - Only Outbound – 5 (Only Direct)
 - Only Outbound – 2 (Only Indirect)
 - **Purpose of Links with other CSDs**
 - Only DVP – 2 (Only Direct)
 - Only FOP – 5 (Only Direct)
 - Only FOP – 2(Only Indirect)

❑ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	255		618		821	
Omnibus Accounts	33,707		42,934		46,672	
<u>Number of Participants</u>						
Domestic Participants	69		61		58	
Non-domestic Participants	3		2		2	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	1,019	24	1,009	68	993	65
CIV	40	-	40	3	215	3
Debt (Federal/ National Govt.)	308	-	347	-	372	-
Debt (Other Govt. bodies)	6	-	78	-	829	-
Debt (corporate)	534	14	691	1,199	877	1,572
Others	221	442	1	6	4	-

in USD (in millions i.e., '000000)

Conversion Rate	3.483	3.746	3.746
Settlement Instruction (During the year)			
Number of Instructions	9.555	7.792	6.707
Value of Instructions	3,183,567.137	14,983,706.937	15,525,141.019

Corporate Action Events (During the year)						
Number of Events handled by CSD	0.004		0.004		0.004	
Value of Corporate action	9,820.531		0.000		0.000	
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	186,614.199	5,786.258	146,826.573	6,509.697	139,363.846	6,482.201
CIV	848.142	-	521.630	38.708	1,163.390	41.378
Debt (Federal/ National Govt.)	192,098.410	-	185,503.811	-	192,623.767	-
Debt (Other Govt. bodies)	6,191.379	-	3,961.078	-	5,139.417	-
Debt (corporate)	10,438.979	57.998	21,809.688	1,060.612	22,571.844	2,648.460
Others	5,228.677	536.961	-	1,264.566	-	-

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): ARM services, administration of the Investor Compensation Scheme, administration of the Pension Guarantee Fund

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

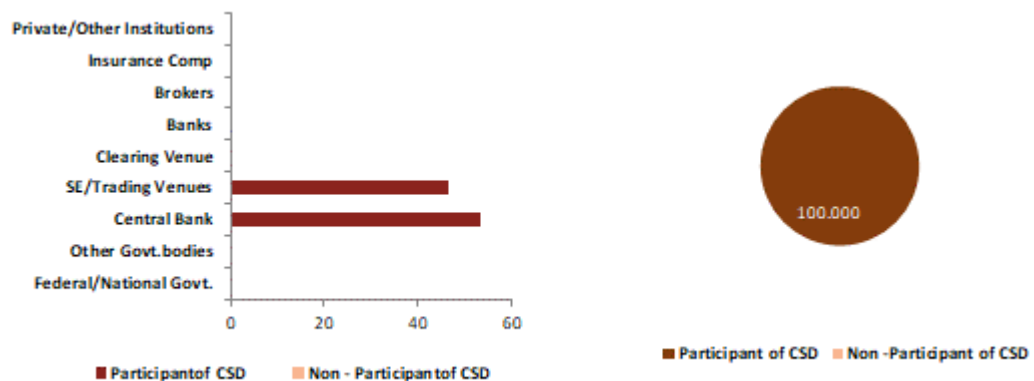
- In July 2019 KDPW introduced solutions for registration and servicing of non-public securities in the depository system, and for reporting of issues registered outside the depository system and publication of relevant data on the KDPW website. In October 2019 KDPW and KIR (National Clearing House) signed strategic co-operation agreement to support development of the Polish financial innovation sector, including development of a sandbox to implement projects using DLT. In September 2019 the Blockchain Platform for the Capital Market was launched by KDPW, for entities operating in capital market as a basis of the infrastructure creating a secure and dependable ecosystem for cooperation in post-trade services. eVoting application was the first of services offered by KDPW on the Blockchain Platform. It supports GMs of public companies, including voting using digital devices. In October 2019 KDPW implemented corporate actions messages in ISO 20022 for events: PCAL, BIDS, LIQU, DVOP and RHD1.

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 529900MPT6BHOJRPB746
- **Local Currency:** Hungarian Forint (HUF)

❑ OWNERSHIP (AS ON 31-Dec-19)

- The CSD is owned and controlled by the Stock Exchange and the Central Bank
- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company have banking license
- CSD has DVP solution
- CSD offers both Commercial Bank money and Central Bank money for settlement

❑ FULL TIME EMPLOYEES: 161 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	17,442.156	19,780.259	21,279.995
Other Income	5,925.491	1,030.928	1,298.348
	23,367.647	20,811.187	22,578.343

❑ LINKS WITH OTHER CSDs

- CSD has links with other CSD
 - Number of Links with other CSDs - 2
 - Both Inbound and Outbound – 2 (Only Direct)
 - Purpose of Links with other CSDs
 - Both DVP & FOP - 2 (Only Direct)

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17	As on 31-Dec-18	As on 31-Dec-19			
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	489	-	-			
Omnibus Accounts	6,252	-	-			
<u>Number of Participants</u>						
Domestic Participants	69	-	-			
Non-domestic Participants	8	-	-			
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	3,675	-	10,783	8,265	11,591	8,048
CIV	965	-	1,258	-	1,462	-
Debt (Federal/ National Govt.)	222	-	227	-	218	-
Debt (corporate)	318	-	333	1,748	293	2,287
Others	-	-	47	-	48	-

in USD (in millions i.e., '000000)

Conversion Rate		260.232	280.330	in USD (in millions i.e., 000000)		
Settlement Instruction (During the year)						
Number of Instructions	0.675	0.526	0.549			
Value of Instructions	752,663.444	4,306,632,059.105	6,218,624,779.175			
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.000	0.000	0.000			
Value of Corporate action	0.000	0.000	0.000			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	62,727.211	632.667	37,748.443	22.110	15,199.864	36.180
CIV	-	-	17,685.417	-	16,850.497	-
Debt (Federal/ National Govt.)	-	-	91,087.479	-	94,693.013	-
Debt (Other Govt. bodies)	99,213.604	6,595.114	-	-	-	-
Debt (corporate)	-	-	3,710.102	1,558.945	5,620.327	1,663.183
Others	17.285	-	4,345.871	-	4,346.257	-

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions

- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): Handling of Corporate Actions and General Meetings, Issuance and Distribution Services, Central Registry and OTC Settlement.

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

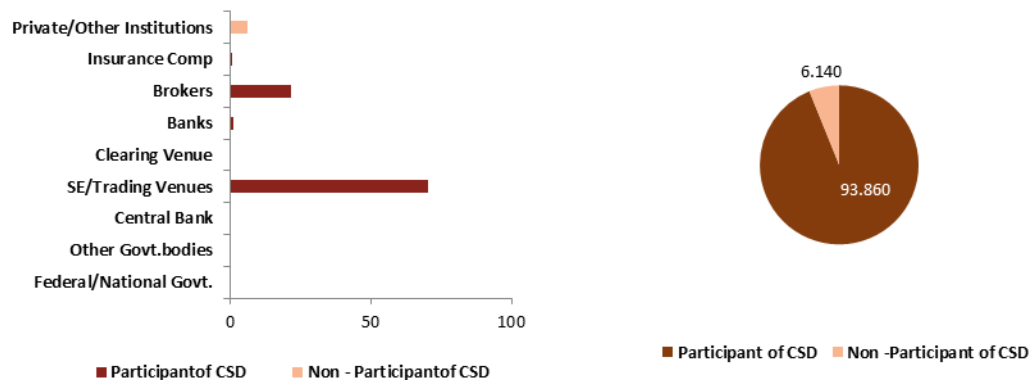
- Keler's ongoing projects in 2019 were the following ones: Trade Reporting under SFTR (successfully went live in July 2020), Keler Service Development Program (KSDP), Keler within the scope of KSDP is preparing for the compliance with SDR, Implementation of Real-Time Payment System (successfully went live in 2020 March), Keler's accreditation for LEI code issuance is almost complete and Keler will go live with SRD on the 3rd of September.

❑ BASIC INFORMATION

- **Regional Association:** ACG, AECSD
- **Primary Regional Association:** ACG
- **LEI Number:** 9884008RRMX1X5HV6625
- **Local Currency:** South Korean Won (KRW)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. CSD is controlled by government organization (Financial Services Commission).
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Others
- CSD or its group company does not have banking license
- CSD has DVP solution

- CSD offers both Commercial Bank money and Central Bank money for settlement

❑ FULL TIME EMPLOYEES: 720 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	181,961.271	202,331.541	192,385.813
Other Income	40,968.574	72,911.290	60,839.100
	222,929.845	275,242.832	253,224.913

❑ LINKS WITH OTHER CSDs

- CSD has links with other CSD
 - Number of Links with other CSDs - 1
 - Only Inbound - 1 (Only Direct)
 - Purpose of Links with other CSDs
 - Only FOP - 1(Only Direct)

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	183		1,372		1,353	
Omnibus Accounts	1,088		4,821		5,412	
<u>Number of Participants</u>						
Domestic Participants	558		639		585	
Non-domestic Participants	683		551		677	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	2,948	10	6,302	-	7,017	-
CIV	24,117	635	28,396	-	30,680	-
Debt (Federal/ National Govt.)	297	-	325	-	314	-
Debt (Other Govt. bodies)	752	-	1,332	-	1,343	-
Debt (corporate)	8,287	13	21,653	-	23,214	-
Others	110,353	1,833	2,114	-	2,071	-

in USD (in millions i.e., '000000)						
Conversion Rate	1,066.403		1,116.000		1,156.000	
Settlement Instruction (During the year)						
Number of Instructions	4.658		45.757		39.433	
Value of Instructions	5,907,971.440		6,990,322.581		6,928,615.917	
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.041		0.000		0.000	
Value of Corporate action	110,311.714		1,891,113.106		1,891,091.512	
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	1,799,505.862	9,642.323	1,463,843.190	9,817.695	1,588,225.779	14,441.831
CIV	562,688.493	17.719	-	14.662	-	0.018
Debt (Federal/ National Govt.)	603,006.678	27,829.740	600,335.719	26,442.296	623,788.516	29,169.754
Debt (Other Govt. bodies)	19,967.345	-	18,584.377	-	18,338.368	-
Debt (corporate)	1,069,034.250	-	874,893.622	-	898,532.445	-
Others	234,984.364	13.895	473,346.677	1.545	533,744.651	11.221

☐ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): Transfer Agent, Indenture Trustee, DR Custodian, KDR Depository, Fund Administration, etc.

☐ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

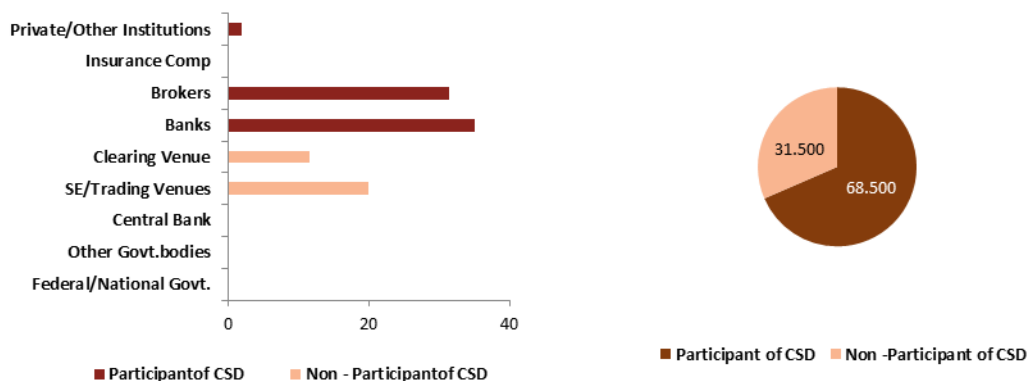
- KSD paved the way for a digital revolution in the capital market by successfully launching the era of electronic securities.
- KSD opened a new Securities Museum in Busan.

❑ BASIC INFORMATION

- **Regional Association:** ACG
- **Local Currency:** Indonesian Rupiah (IDR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Stock Exchange
- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money
- **Type of Participants**
 - **Domestic**
Custodian (22), Brokers (109), Asset Managers (92), Others (1186)

❑ **FULL TIME EMPLOYEES: 128 (AS ON 31-Dec-19)**

❑ **ANNUAL REVENUE**

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	28,552.156	30,414.335	35,714.500
Other Income	10,487.048	10,205.963	20,744.396
	39,039.204	40,620.30	56,458.895

❑ **LINKS WITH OTHER CSDs**

- CSD has no links with other CSD

❑ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	1,021,181		1,070,201		1,371,117	
<u>Number of Participants</u>						
Domestic Participants	374		1,514		1,409	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	610	-	666	-	718	-
CIV	1,550	64	38	-	53	-
Debt (Federal/ National Govt.)	57	-	42	-	74	-
Debt (corporate)	527	-	1,118	-	1,254	-
Others	538	-	44	-	131	-

in USD (in millions i.e., '000000)						
<u>Conversion Rate</u>	13,571.882		14,481.000		13,091.000	
<u>Settlement Instruction (During the year)</u>						
Number of Instructions	2.033		2.388		2.691	
Value of Instructions	200,004.687		206,684.621		231,120.617	
<u>Corporate Action Events (During the year)</u>						
Number of Events handled by CSD	0.005		0.006		0.008	
Value of Corporate action	10,537.227		11,928.044		19,097.853	
<u>Value on Deposit</u>						
<u>Instrument Type</u>	<u>Domestic</u>	<u>Foreign</u>	<u>Domestic</u>	<u>Foreign</u>	<u>Domestic</u>	<u>Foreign</u>
Equities	282,557.719	-	245,899.454	-	284,985.401	-
CIV	33.406	1,459.248	74.098	-	1,023.137	-
Debt (Federal/ National Govt.)	4,740.684	-	7,407.638	-	9,784.813	-
Debt (corporate)	28,139.060	-	34,541.813	-	41,031.832	-
Others	10,462.072	-	2,901.733	-	4,280.073	-

❑ **OTHER SERVICES (AS ON 31-Dec-19)**

- ☑ Trade Repository Services
- ☑ Information Services
- ☑ National Numbering Agency Services
- ☑ Technological solutions
- ☑ Triparty Services
- ☑ Legal Entity Identifier (LEI) Services
- ☑ Valuation Services
- ☑ Cash Account and other Cash Services
- ☑ e-Voting Platform
- ☑ Crowdfunding Platform

- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

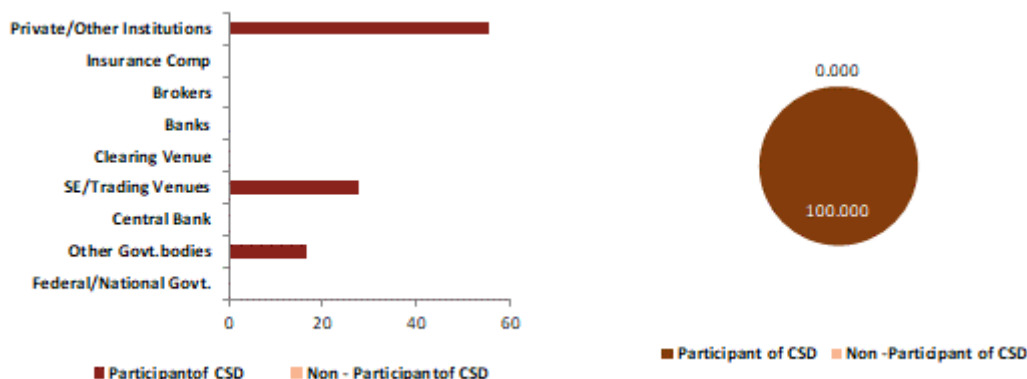
1. KSEI officially obtained Fatwa from the National Sharia Board (DSN-MUI) No. 124/DSN-MUI/XI/2018 concerning Application of Sharia Principles in the Implementation of Depository Services and Settlement of Securities Transactions and Integrated Investment Infrastructure Management.
2. OJK issued Circular Letter No. 6/SEOJK.04/2019 as a guideline on the capital market's digital investment account opening. KSEI officially implemented a digital process in opening Securities Account and Investor Fund Account in the capital market.
3. KSEI launched a new generation of AKSes facility (reference for Securities ownership) namely AKSes Next Generation as an initiative to improve information transparency and investor protection. AKSes facility provides a platform for investors in the capital market to directly monitor their Securities portfolio ownership and/or funds deposited in the Investor Fund Account.
4. KSEI has increased the number of Investor Cash Account Administrator Banks from 14 to 16 banks and the number of its Payment Banks from 5 to 9 for the 2019 - 2024 period.
5. KSEI officially launched the full implementation of fund settlement for Securities transactions in the Capital Market through Bank Indonesia (Full Central Bank Money-Full CeBM). The full implementation of CeBM initiative has been carried out gradually since 2015 until fully implemented to all Participants since July 22nd, 2019.
6. Indonesia Mutual Fund industry made a new milestone through the launching of multi share class funds. Multi share class funds is an openend fund in form of Collective investment Contract which has more than one class of investment unit.
7. 104 Capital Market Industry players signed a Cooperation Agreement with Directorate General of Population and Civil Registration concerning the utilization of National ID Number, Population Data and Electronic Identity Card (e-KTP) in the capital market services. The cooperation was intended to facilitate and accelerate Securities accounts' opening for investors.
8. KSEI received the Marquee Award for the third time as the Best Central Securities Depository in South East Asia in 2019 according to Alpha Southeast Asia magazine. This award is given because KSEI is the first Central Securities Depository (CSD) in ASEAN that fully implemented fund transactions settlement through Bank Indonesia to settle Securities transaction in the capital market (Full Central Bank Money-Full CeBM).
9. KSEI assessed the company's good corporate governance practices during 2019, with the help from RSM Indonesia as independent consultant, referring to ASEAN Corporate Governance Scorecard (ACGS) criteria. Based on the assessment, KSEI's GCG implementation obtained a higher score from the last assessment.

❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **LEI Number:** 2138002PT1Z3N88ITP70
- **Local Currency:** Kuwaiti Dinar (KWD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Holding Company that also owns other FMIs
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☒ Government Debt
 - ☑ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Corporate Debt
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD uses external Commercial Bank money (CoBM) for settlement

- Type of Participants

- **Domestic**
Custodian (1), Non-custodian Banks (11), Brokers (10), Asset Managers (35)
- **Non-domestic**
Custodian (2), Non-custodian Banks (10)

❑ FULL TIME EMPLOYEES: 106 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	26,315.416	26,770.571	43,739.392
Other Income	-	-	-
	26,315.416	26,770.571	43,739.392

❑ LINKS WITH OTHER CSDs

- CSD has no links with other CSD

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17	As on 31-Dec-18	As on 31-Dec-19			
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	381,074	387,083	394,453			
Omnibus Accounts	-	3	3			
<u>Number of Participants</u>						
Domestic Participants	33	59	57			
Non-domestic Participants	2	12	12			
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	772	-	797	-	838	-
CIV	33	-	39	-	33	-
Debt (corporate)	15	-	18	-	23	-

	in USD (in millions i.e., '000000)					
Conversion Rate	0.302	0.305	0.306			
Settlement Instruction (During the year)						
Number of Instructions	0.000	0.934	1.543			
Value of Instructions	37,896.916	28,394.617	53,014.165			
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.000	0.000	0.000			
Value of Corporate action	0.000	3,906.939	4,119.917			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	92,569.148	-	6,261.894	-	10,935.756	-
Debt (corporate)	2,100.173	-	-	-	-	-

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☑ Trade Repository Services
- ☑ Information Services
- ☑ National Numbering Agency Services
- ☑ Technological solutions
- ☑ Triparty Services
- ☑ Legal Entity Identifier (LEI) Services
- ☑ Valuation Services

- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

☐ **MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)**

- The introduction of SLB and short sell in the market.
- Introduction of Stock SWAPs.
- Introduction of REITS.
- MSCI announced the upgrade of the KUWAITI market to emerging markets.

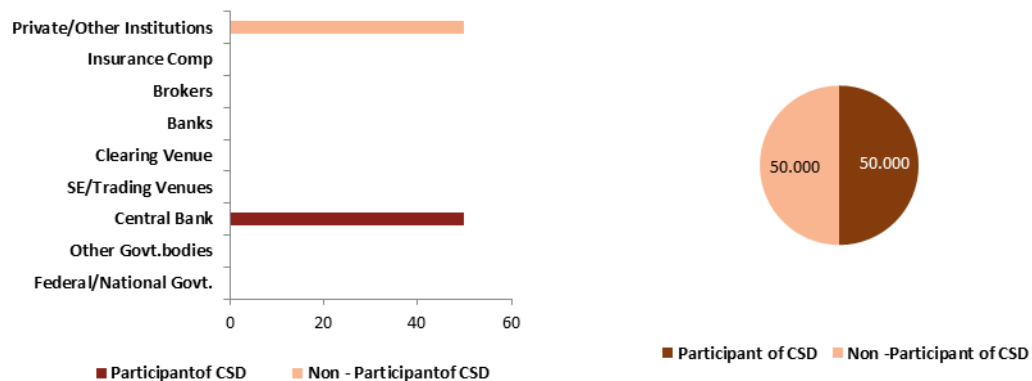
❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 222100T6ICDIY8V4VX70
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. LuxCSD is jointly owned by the Banque centrale du Luxembourg (BcL) and Clearstream International S.A. (fully owned by Deutsche Bourse A.G.)

- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**

- CSD settles in Central Bank money
- Type of Participants
 - o Domestic
Custodian (1), Non-custodian Banks (3), Others (2)
 - o Non-domestic
Custodian (2), Non-custodian Banks (7)

❑ **FULL TIME EMPLOYEES: 13 (AS ON 31-Dec-19)**

❑ **ANNUAL REVENUE**

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	2,879.668	3,146.049	3,609.603
Other Income	-	-	-
	2,879.668	3,146.049	3,609.603

❑ **LINKS WITH OTHER CSDs**

- CSD has links with other CSD
 - o Number of Links with other CSDs - 3
 - Both Inbound and Outbound – 3 (Only Direct)
 - o Purpose of Links with other CSDs
 - Only FOP – 1(Only Direct)
 - Both DVP & FOP - 2 (Only Direct)

❑ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Omnibus Accounts	31		31		28	
<u>Number of Participants</u>						
Domestic Participants	6		6		6	
Non-domestic Participants	9		9		9	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	17	-	0	-	0	-
CIV	872	-	-	-	-	-
Debt (Federal/ National Govt.)	5	-	-	-	-	-
Debt (corporate)	6	-	-	-	-	-
Others	1	-	-	-	-	-

in USD (in millions i.e., '000000)						
<u>Conversion Rate</u>	0.833		0.850		0.850	
<u>Settlement Instruction (During the year)</u>						
Number of Instructions	0.019		0.017		0.019	
Value of Instructions	24,827.534		18,913.943		19,503.385	
<u>Corporate Action Events (During the year)</u>						
Number of Events handled by CSD	0.000		0.001		0.001	
Value of Corporate action	355.999		1,092.999		5,470.878	
<u>Value on Deposit</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	11,018.088	-	0.000	-	0.000	-
CIV	4,614.067	-	-	-	-	-
Debt (Federal/ National Govt.)	6,809.214	-	-	-	-	-
Debt (corporate)	174.340	-	-	-	-	-

Others	3,724.730	-	-	-	-	-
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❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): LuxCSD provides Issuance and Distribution services, Safekeeping and Custody services, Investment Fund services and Settlement services

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

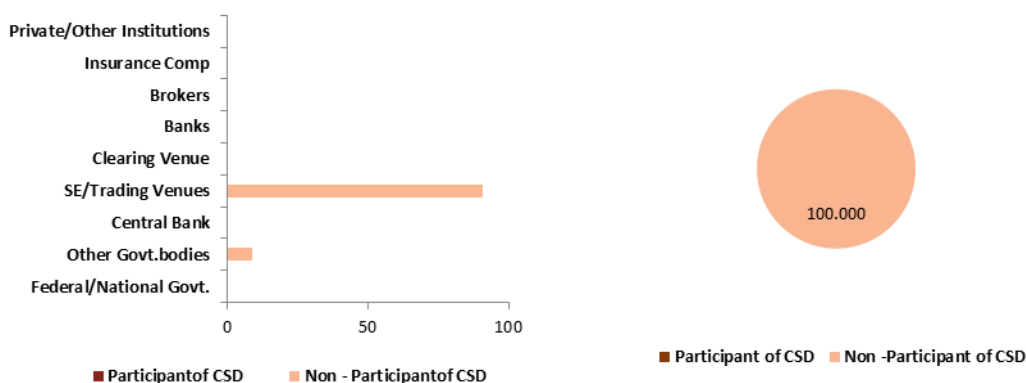
- LuxCSD has continued the activation of its enhanced offering in Target 2 Securities (T2S). The year 2019 saw the implementation of the relayed links to the Bank of Greece System in Greece, the Baltic CSDs and Malta. Furthermore, in response to specific customer demand, a direct link to Euroclear France for French registered securities was implemented.
- By adding additional markets to the investor-CSD model, LuxCSD customers can further harmonize the benefits of the harmonized service level solution which includes streamlined connectivity, harmonized asset servicing in partnership with local agents and collateral management services from a single platform.

❑ BASIC INFORMATION

- **Regional Association:** ACG
- **LEI Number:** C-85/2008
- **Local Currency:** Maldivian Rufiyaa (MVR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Stock Exchange
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Corporate Debt
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has no DVP solution
- **Type of Participants**
 - Domestic
 - Brokers (2)

❑ FULL TIME EMPLOYEES: 9 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	-	111.563	145.744
Other Income	-	-	-
	-	111.563	145.744

❑ LINKS WITH OTHER CSDs

- CSD has no links with other CSD

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17	As on 31-Dec-18	As on 31-Dec-19			
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	-	31,865	42,385			
<u>Number of Participants</u>						
Domestic Participants	-	2	2			
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	-	-	8	-	9	-
Debt (corporate)	-	-	4	-	6	-

in USD (in millions i.e., '000000)

Conversion Rate	-	15.420	15.400			
Settlement Instruction (During the year)						
Number of Instructions	-	-	-			
Value of Instructions	-	0.393	0.394			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	-	-	40.808	-	35.899	-
Debt (corporate)	-	-	47.511	-	55.814	-

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

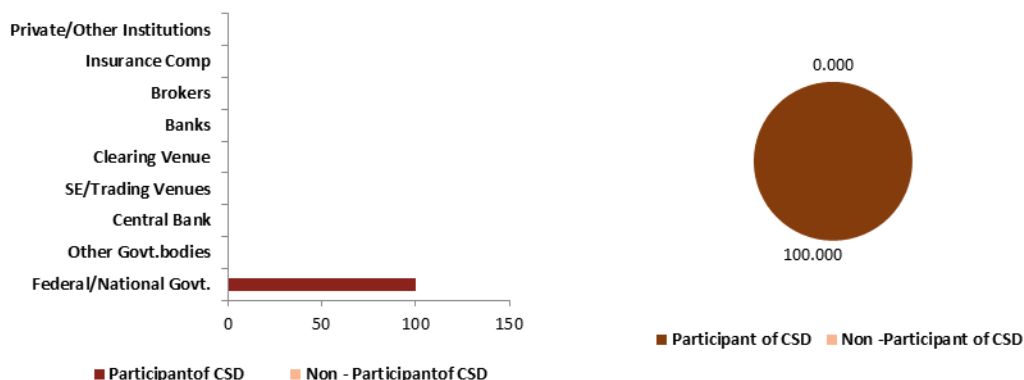
The Depository successfully managed 3 public offerings during the year 2019. Also, the company's online AGM management service was provided to 2 of the listed companies.

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Stock Exchange
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Government Debt, Corporate Debt
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD offers both Commercial Bank money and Central Bank money for settlement

❑ FULL TIME EMPLOYEES: 12 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	0.000	7,702.003	7,846.649
Other Income	-	418.455	540.512
	0.000	8,120.459	8,387.161

LINKS WITH OTHER CSDs

- CSD has links with other CSD
 - o Number of Links with other CSDs - 1
 - Both Inbound and Outbound – 1 (Only Direct)
 - o Purpose of Links with other CSDs
 - Both DVP & FOP - 1 (Only Direct)

STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	-		67,404		64,915	
Omnibus Accounts	-		65		59	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	0	-	39	1	44	1
CIV	-	-	-	-	-	-
Debt (Federal/ National Govt.)	-	-	66	-	62	-
Debt (corporate)	-	-	99	11	112	8

in USD (in millions i.e., '000000)

Conversion Rate	0.000	0.841	0.842			
Settlement Instruction (During the year)						
Number of Instructions	0.000	0.037	0.035			
Value of Instructions	0.000	3,397.444	2,073.113			
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.000	0.000	0.000			
Value of Corporate action	0.000	1,361.346	1,499.498			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	0.000	-	5,519.889	2.313	5,962.259	2.376
Debt (Federal/ National Govt.)	-	-	7,149.979	-	7,539.840	-
Debt (Other Govt. bodies)	-	-	-	-	-	-
Debt (corporate)	-	-	2,708.238	1,841.861	2,877.185	1,726.073

OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform

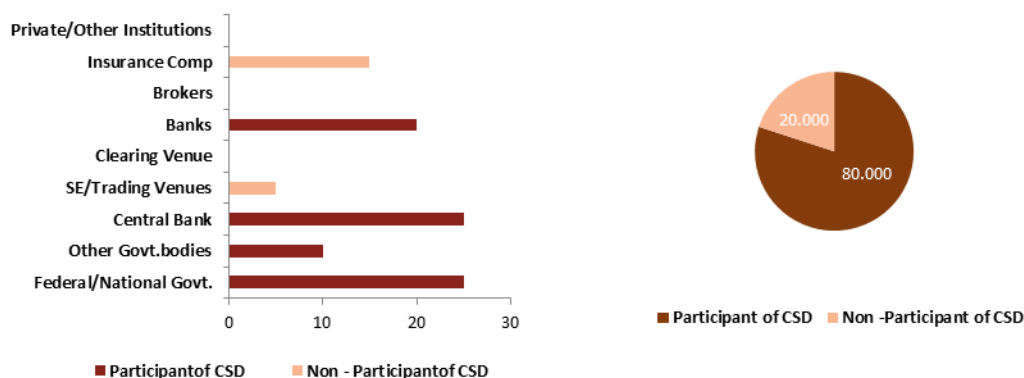
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): Facilitates the provision of LEI through an agreement with an LOU

❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **Local Currency:** Moroccan Dirham (MAD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- MAROCLEAR is a public limited company under private law, established in July 1997, by virtue of the provisions of Dahir no. 1-96-246 of 9 January 1997 promulgating Law no. 35-96 on the establishment of a Central Depository and a general regime for the book-entry of certain securities, as amended and supplemented by Law no. 43-02
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- Type of Participants

- **Domestic**
Custodian (30), Brokers (17), Asset Managers (25)
- **Non-domestic**
Others (1)

❑ **FULL TIME EMPLOYEES: 75 (AS ON 31-Dec-19)**

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	9,225.378	8,978.451	9.025
Other Income	758.220	569.660	0.525
	9,983.598	9,548.111	9.550

❑ LINKS WITH OTHER CSDs

- CSD has links with other CSD
 - **Number of Links with other CSDs - 1**
 - Both Inbound and Outbound – 1 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Only FOP – 1 (Only Direct)

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Omnibus Accounts	206		340		550	
<u>Number of Participants</u>						
Domestic Participants	61		58		72	
Non-domestic Participants	1		-		1	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	91	1	92	1	89	1
CIV	435	-	445	-	487	-
Debt (Federal/ National Govt.)	78	-	69	-	70	-
Debt (corporate)	619	-	687	-	747	-

in USD (in millions i.e., '000000)

Conversion Rate		9.351	9.555	in USD (trillions i.e., 1000000)		
Settlement Instruction (During the year)						
Number of Instructions	1.105	0.792	0.737			
Value of Instructions	1,541,890.671	1,701,600.704	1,948.025			
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.001	0.001	0.001			
Value of Corporate action	2,715.914	2,657.248	2.549			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	67,715.747	17.487	62,227.734	11.826	66.691	0.010
CIV	42,049.640	-	43,652.538	-	46.555	-
Debt (Federal/ National Govt.)	55,256.991	-	57,163.789	-	58.254	-
Debt (corporate)	20,105.118	-	21,831.502	-	25.259	-

☐ **OTHER SERVICES (AS ON 31-Dec-19)**

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): Dematerialization of non-listed company

☐ **MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)**

- MAROCLEAR organized the WFC 2019 in Marrakesh from 8th to 12th April 2019. the agenda topics were very precise to cover “**The Changing Nature of the Financial Markets**” with +50 speaker and +350 Participants from 90 countries.
- In 2019, MAROCLEAR launched a project to establish its Digital transformation road map from next 5 years.

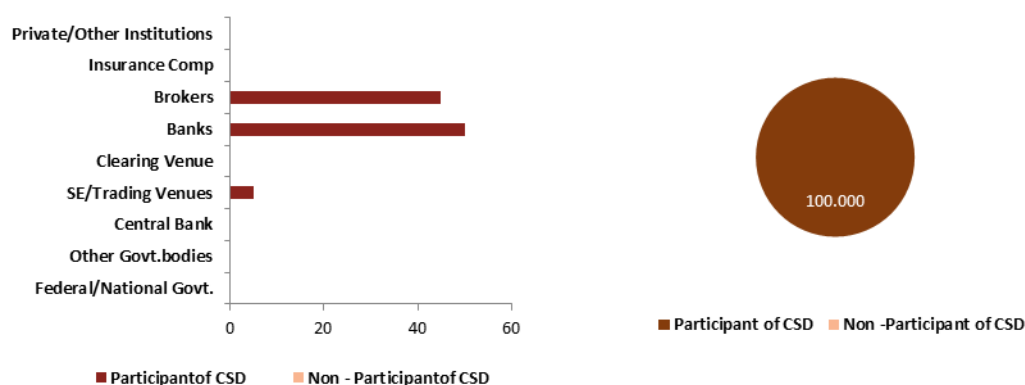
❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **LEI Number:** UNAVISTA
- **Local Currency:** Egyptian Pound (EGP)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD ownership percentage is fixed according to the Depository & Registry Law number 93 of year 2000. The Exchange owns 5% of the Depository, Banks 50% and Brokerage Firms 45%

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Government Debt, Corporate Debt
 - Immobilized form** Equity, Government Debt, Corporate Debt
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD offers both Commercial Bank money and Central Bank money for settlement

- **Type of Participants**
 - o **Domestic**
Custodian (31), Brokers (148), Others (24)

❑ FULL TIME EMPLOYEES: 552 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	10,369.521	10,801.215	13,071.974
Other Income	21,348.803	28,072.547	34,513.358
	31,718.324	38,873.761	47,585.333

❑ LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - o **Number of Links with other CSDs - 4**
 - Both Inbound and Outbound – 4 (Only Direct)
 - o **Purpose of Links with other CSDs**
 - Only DVP – 3 (Only Direct)
 - Both DVP & FOP - 1 (Only Direct)

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	423,838		1,164,964		1,164,992	
Omnibus Accounts	51		13		13	
<u>Number of Participants</u>						
Domestic Participants	204		-		-	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	1,538	2	1,976	-	7,027	-
Debt (Federal/ National Govt.)	71	-	76	-	86	-
Debt (corporate)	36	-	48	-	68	-

in USD (in millions i.e., '000000)

Conversion Rate	17.820	17.910	16.040			
Settlement Instruction (During the year)						
Number of Instructions	7.000	7.055	5.598			
Value of Instructions	18,518.526	19,254.991	23,869.409			
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.001	0.001	0.002			
Value of Corporate action	16,324.137	15,651.280	25,758.105			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	69,831.680	531.818	7,987.398	-	75,726.696	-
CIV	-	-	-	-	-	-
Debt (Federal/ National Govt.)	39,841.375	-	5,639.732	-	90,734.767	-
Debt (corporate)	505.949	-	41.396	-	866.756	-

☐ **OTHER SERVICES (AS ON 31-Dec-19)**

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

☐ **MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)**

- Operating securities Lending and Borrowing system.
- Upgrading MCDR database servers.

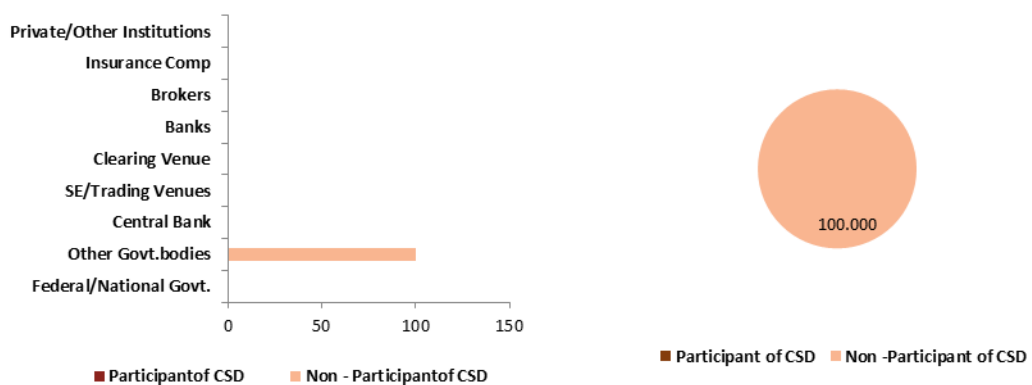
❑ BASIC INFORMATION

- **Regional Association:** ACG, AECSD
- **Primary Regional Association:** ACG
- **Local Currency:** Mongolian Tugrik (MNT)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. 100 % state owned

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company have banking license
- CSD has DVP solution
- CSD offers both Commercial Bank money and Central Bank money for settlement

- **Type of Participants**

○ **Domestic**

Custodian (3), Non-custodian Banks (12), Brokers (51)

☐ **FULL TIME EMPLOYEES: 41 (AS ON 31-Dec-19)**

☐ **LINKS WITH OTHER CSDs**

- CSD has no links with other CSD

☐ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17	As on 31-Dec-18	As on 31-Dec-19			
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	1,049,357	-	526,347			
Omnibus Accounts	3	-	6			
<u>Number of Participants</u>						
Domestic Participants	59	-	66			
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	320	-	0	-	330	-
Debt (Federal/ National Govt.)	158	-	-	-	-	-
Debt (Other Govt. bodies)	-	-	-	-	36	-
Debt (corporate)	23	-	-	-	46	-

in USD (in millions i.e., '000000)

Conversion Rate	2,422.046	0.000	2,734.330			
Settlement Instruction (During the year)						
Number of Instructions	0.045	0.000	0.000			
Value of Instructions	728.096	0.000	0.000			
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.007	0.000	0.000			
Value of Corporate action	274.544	0.000	12.372			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	578.024	-	0.000	-	983.905	-
Debt (Federal/ National Govt.)	1,529.001	-	-	-	-	-
Debt (Other Govt. bodies)	-	-	-	-	41.556	-
Debt (corporate)	960.667	-	-	-	-	-

☐ **OTHER SERVICES (AS ON 31-Dec-19)**

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

• **Implementation of Delivery versus payment system with the settlement cycle of T+2**

The Mongolian securities market is considering the abolition of the pre-funding system currently in operation to attract foreign investors. Also developing the Mongolian capital market in line with international standards and create a favorable environment for investors is the current aspiration of the country

To achieve this goal after almost two years of the preparation initiated by the Ministry of finance with the participation of the securities market Participants as well as the Financial Regulatory Committee, introduced the PFMI principles created by OICU-IOSCO and BIS organizations to the Mongolian securities market. As a result of implementing the PFMI principle to the securities market, regulated market transactions and settlement are to be carried out by DvP/Model III/ and T+2 settlement cycle starting from March 30th of 2020.

As the Mongolian securities market transiting to DvP/Model III/and T+2 settlement cycle, finally MCSD will able to carry out a DvP settlement operator under PFMI. We believe that introducing T+2 will allow making exchange transaction settlement by international practices, besides bringing many positive consequences, which will increase the efficiency of a post-trade process, mitigation of principle risk, and lower settlement costs.

• **Joined ANNA as a member**

Mongolian Central Securities Depository is the only organization that has been granted the International Securities Identification Number issuer license on securities of the Mongolian securities market by the Financial regulatory committee. Based on this license we signed the "ANNA international cooperation agreement" with the Association of National Numbering Agency on November 25, 2010, and had successfully worked as a "Partner" until 2019. On November 27, 2019, at ANNA's General Meeting in Montevideo, Uruguay MCSD joined as a "Member" supported by 100 percent of members votes.

• **Launched the API with the securities companies in Mongolia**

In 2018 Mongolian government launched the national information exchange system. This information exchange system directly exchanges the information between government organizations by copying and renewing the database and removed the traditional service solutions of government organizations. It also created an opportunity to exchange information more flexible, fast, secure, and safe.

This system made KYC and verifying the information /Mongolian citizens/ to open a securities account easier for us. Until the March 2019 procedure for opening an account has been handled manually, which required a long time and a labor-

intensive task for securities companies as well as us. Using the new IT solution Mongolian Central Securities Depository initiated an API online exchange of information between securities companies. As the launching of API Mongolian Central Securities Depository gets multiple abilities such as:

- Lowered the number of paper documentation drastically
- Verification upon opening a securities account lessens the risk of incorrect accounts

If securities companies send the data without errors, within 5 minutes, we can open 20,000 accounts.

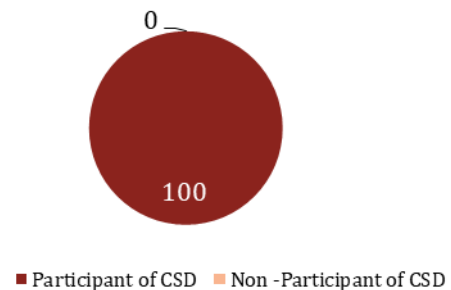
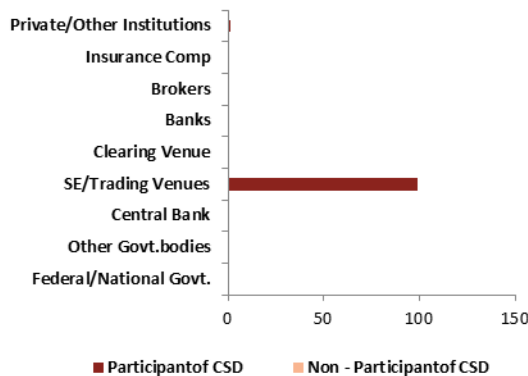
❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 8156009CEEE1B8C7C646
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange**

- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD settles in Central Bank money**

- Type of Participants

- **Domestic**
Custodian (5), Non-custodian Banks (37), Brokers (11), Others (119)
- **Non-domestic**
Custodian (4), Brokers (1)

❑ **FULL TIME EMPLOYEES: 123 (AS ON 31-Dec-19)**

❑ ANNUAL REVENUE

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	87,480.701	82,463.853	83,475.961
Other Income	-	-	-
	87,480.701	82,463.853	83,475.961

❑ LINKS WITH OTHER CSDs

- CSD has links with other CSD
 - **Number of Links with other CSDs - 21**
 - Only Outbound – 3 (Only Direct)
 - Both Inbound and Outbound – 18 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Only DVP – 19 (Only Direct)
 - Only FOP – 2 (Only Direct)

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Omnibus Accounts	1,063		1,084		1,125	
<u>Number of Participants</u>						
Domestic Participants	61		170		172	
Non-domestic Participants	15		5		5	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	1,202	28	1,293	27	1,352	63
CIV	13	-	44	-	60	2
Debt (Federal/ National Govt.)	404	-	395	-	453	-
Debt (corporate)	4,342	32	4,012	71	3,986	175
Others	3,454	5,562	1,611	10,094	1,328	10,418

	in USD (in millions i.e., '000000)		
Conversion Rate	0.833	0.851	0.851
Settlement Instruction (During the year)			
Number of Instructions	28.291	27.858	28.663
Value of Instructions	94,495,920.629	101,720.936	114,883.037
Corporate Action Events (During the year)			
Number of Events handled by CSD	0.045	0.036	0.033
Value of Corporate action	738,822.451	658,368.402	1,018,244.975
Value on Deposit			

Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	695,763.777	7,044.963	597,444.458	7,316.328	0.665	0.011
CIV	957.813	-	3,033.972	-	0.005	0.000
Debt (Federal/ National Govt.)	2,250,367.207	-	2,264,669.096	-	2.313	-
Debt (corporate)	445,203.602	1,582.377	449,842.483	1,474.080	0.486	0.001
Others	5,017.125	6,114.650	4,118.961	11,401.199	0.009	0.014

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

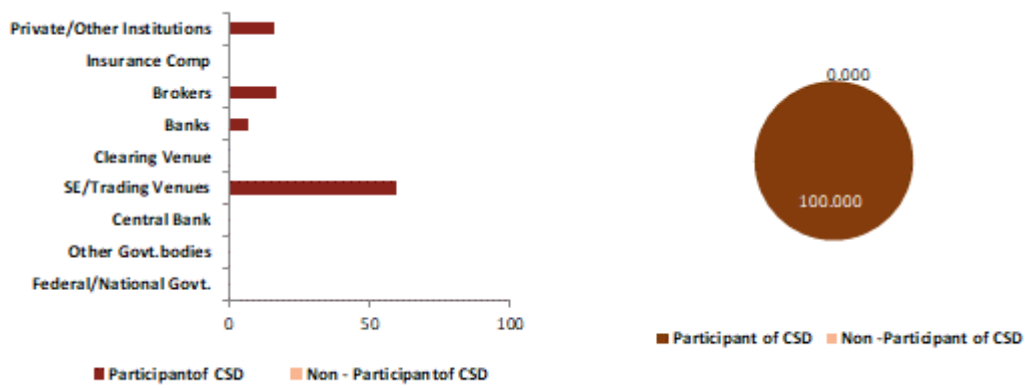
❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **LEI Number:** 254900I3314ON1XCHR13
- **Local Currency:** Omani Rial (OMR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. 60% shareholding is owned by the Exchange

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- Type of Participants

o Domestic

Custodian (6), Brokers (17)

❑ FULL TIME EMPLOYEES: 65 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	8,582,574.772	846,812,381.423	9,055,699.765
Other Income	1,040,312.094	101,962,211.190	1,197,797.759
	9,622,886.866	948,774,592.614	10,253,497.524

❑ LINKS WITH OTHER CSDs

- CSD has no links with other CSD

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	430,942		430,942		416,935	
Omnibus Accounts	102		102		105	
<u>Number of Participants</u>						
Domestic Participants	23		-		23	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	356	-	356	-	353	-
CIV	11	-	11	-	12	-
Debt (Federal/ National Govt.)	15	-	15	-	22	-
Debt (corporate)	10	-	10	-	21	-

in USD (in millions i.e., '000000)

Conversion Rate	0.385	0.385	0.384			
Settlement Instruction (During the year)						
Number of Instructions	32.000	0.003	0.121			
Value of Instructions	2,587.776	258.614	7,811.576			
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.000	0.000	0.000			
Value of Corporate action	10,444.733	1,043.650	11,529.938			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	37,344.603	-	3,731.887	-	37,700.573	-
CIV	749.025	-	74.851	-	758.846	-
Debt (Federal/ National Govt.)	6,007.802	-	600.382	-	8,339.367	-
Debt (corporate)	949.285	-	94.880	-	1,885.787	-

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services

- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): Issuing shareholder number- AGM / EGM managing service
 - Corporate action - Cash distributions to investors bank accounts resulting from the corporate actions - Debt interest cash distribution service - Bond trustee representative / certification

☐ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

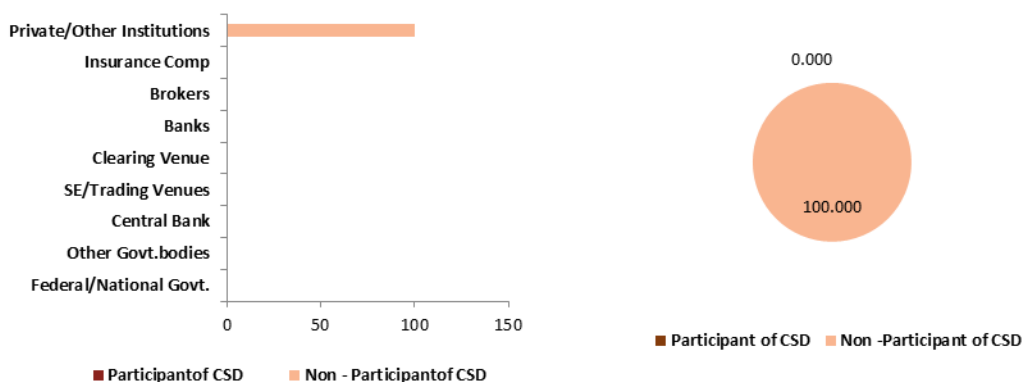
- Sign MOUs with Kuwait's clearing
- Sanad (official government offices to support open new investor account using national public key infrastructure for authentication)
- Incorporate Tax deceleration within MCD procedures
- Electronic listing of S.A.O.C
- Launching e-IPO system based on book building
- Establishing Risk & Compliance department

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 485100001PLJJ09NZT59
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Holding Company that also owns other FMIs
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD offers both Commercial Bank money and Central Bank money for settlement
- **Type of Participants**
 - Domestic Custodian (31)

- **Non-domestic**
Others (2)

❑ **FULL TIME EMPLOYEES: 48 (AS ON 31-Dec-19)**

❑ **ANNUAL REVENUE**

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	8,698.996	7,055.892	7,385.300
Other Income	275.968	1.173	-
	8,974.964	7,057.065	7,385.300

❑ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 3**
 - Only Inbound – 2 (Only Direct)
 - Only Outbound – 1 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Only FOP – 1 (Only Direct)
 - Both DVP & FOP - 2 (Only Direct)

❑ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	108,972		82,817		90,506	
Omnibus Accounts	54		50		50	
<u>Number of Participants</u>						
Domestic Participants	35		34		31	
Non-domestic Participants	1		1		2	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	6,427	8	6,701	23	6,405	11
CIV	42	-	38	3	34	2
Debt (Federal/ National Govt.)	82	346	290	150	71	45
Debt (Other Govt. bodies)	10	-	-	-	-	-
Debt (corporate)	241	-	116	383	257	340
Others	-	-	41	1	43	1

in USD (in millions i.e., '000000)						
Conversion Rate	0.833		0.852		0.853	
Settlement Instruction (During the year)						
Number of Instructions	0.100		0.191		0.247	
Value of Instructions	2,171.749		24,519.079		33,207.370	
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.009		0.003		0.003	
Value of Corporate action	791.909		1,123.781		11,963.559	
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	20,113.278	1.200	19,912.306	1.483	20,150.050	0.000
CIV	803.907	-	500.071	1.290	551.323	0.000
Debt (Federal/ National Govt.)	5,909.318	883.098	6,452.518	91.498	7,085.940	74.691
Debt (Other Govt. bodies)	129.585	-	-	-	-	-

Debt (corporate)	2,018.167	-	2,127.587	448.005	2,300.054	425.946
Others	-	-	217.835	55.603	201.189	37.613

☐ **OTHER SERVICES (AS ON 31-Dec-19)**

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

☐ **MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)**

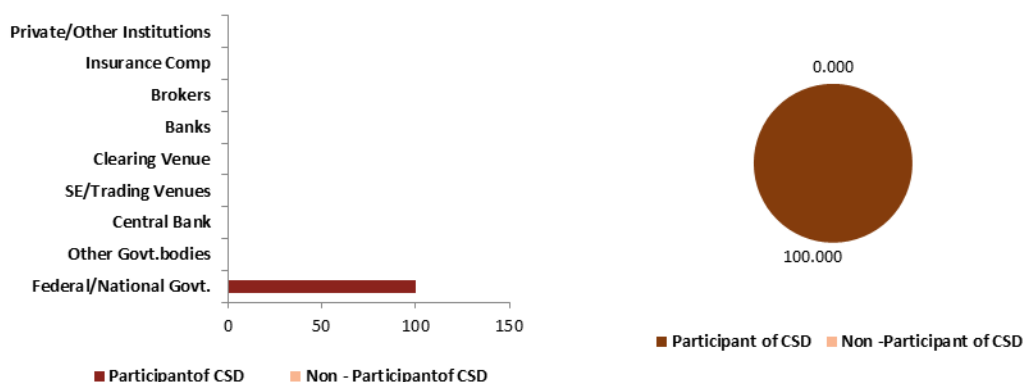
- Direct link between Clearstream Banking AG and Nasdaq CSD was activated.
- Nasdaq CSD continued to focus on obtaining accreditation of the Legal Entity Identification (LEI) Local Operating Unit (LOU) status from Global LEI Foundation.
- Nasdaq CSD started projects to comply with the upcoming Shareholders Rights Directive II and CSDR Settlement Discipline implementation.
- Activities in relation to merger of Nasdaq CSD Iceland into Nasdaq CSD continued throughout the year.

❑ BASIC INFORMATION

- **Regional Association:** AECSD
- **LEI Number:** 213800BNX9QP1G5HBQ10
- **Local Currency:** Azerbaijani Manat (AZN)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Central Bank**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner**
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD settles in Central Bank money**
- **Type of Participants**
 - **Domestic**
 - Non-custodian Banks (8), Brokers (8)

☐ **FULL TIME EMPLOYEES: 52 (AS ON 31-Dec-19)**

☐ **ANNUAL REVENUE**

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	0.000	1,527.536	1,698.426
Other Income	-	99.491	100.693
	0.000	1,627.027	1,799.119

☐ **LINKS WITH OTHER CSDs**

- CSD has links with other CSD
 - o Number of Links with other CSDs - 2
 - Only Inbound – 1 (Only Direct)
 - Only Outbound – 1 (Only Direct)

☐ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
Number of accounts held by CSD						
Beneficial Owner Accounts	110,768		109,615		-	
Number of Participants						
Domestic Participants	8		8		16	
Number of eligible issues						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	0	-	1,316,623	-	0	-
Debt (Federal/ National Govt.)	-	-	1,004,718	-	-	-
Debt (Other Govt. bodies)	-	-	145,000	-	-	-

in USD (in millions i.e., '000000)						
<u>Conversion Rate</u>	1.700	1.700	1.696			
<u>Settlement Instruction (During the year)</u>						
Number of Instructions	0.000	0.000	0.000			
Value of Instructions	0.000	0.000	0.000			
<u>Corporate Action Events (During the year)</u>						
Number of Events handled by CSD	0.000	0.000	0.000			
Value of Corporate action	0.000	0.000	0.000			
<u>Value on Deposit</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	11,712.558	-	6,934.451	-	0.000	-
CIV	-	-	-	-	-	-
Debt (Federal/ National Govt.)	670.253	-	6,637.370	-	-	-
Debt (Other Govt. bodies)	7,858.065	-	501.730	-	-	-
Debt (corporate)	2,647.324	-	-	-	-	-
Others	-	-	-	-	-	-

☐ **OTHER SERVICES (AS ON 31-Dec-19)**

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services



- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

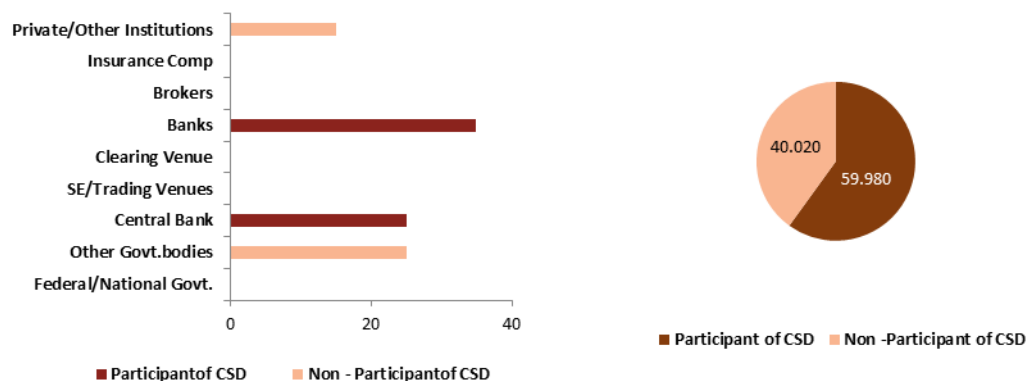
❑ BASIC INFORMATION

- **Regional Association:** AECSD, ECSDA
- **Primary Regional Association:** AECSD
- **LEI Number:** 894500QCRQPZUXB7U963
- **Local Currency:** Ukrainian Hryvnia (UAH)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. Depository activity in Ukraine is regulated by the National Securities and Stock Market Commission. Foreign currency cross-border transactions are licensed and supervised by the National Bank of Ukraine

- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution

- CSD uses external Commercial Bank money (CoBM) for settlement

- Type of Participants
 - o Domestic Custodian (178)

❑ FULL TIME EMPLOYEES: 108 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	2,335.889	2,478.162	2,948.468
Other Income	530.884	451.346	168.157
	2,866.773	2,929.508	3,116.625

❑ LINKS WITH OTHER CSDs

- CSD has links with other CSD
 - o Number of Links with other CSDs - 2
 - Only Outbound – 2 (Only Direct)
 - o Purpose of Links with other CSDs
 - Only DVP – 1 (Only Direct)
 - Only FOP – 1(Only Direct)

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	-		-		151,023	
Omnibus Accounts	10,707		10,746		148	
<u>Number of Participants</u>						
Domestic Participants	203		193		178	
Non-domestic Participants	1		1		-	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	7,540	3	7,335	2	7,016	4
CIV	1,598	-	1,694	-	1,853	-
Debt (Federal/ National Govt.)	-	10	-	11	-	9
Debt (Other Govt. bodies)	-	-	-	-	-	1
Debt (corporate)	1,686	3	1,623	5	2,061	25
Others	825	-	778	-	747	-

in USD (in millions i.e., '000000)

Conversion Rate		28.255	27.688	in USD (in millions i.e., 000000)		
Settlement Instruction (During the year)						
Number of Instructions	0.035		0.025		0.083	
Value of Instructions	0.000		8,849		3,818.667	
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.008		0.006		0.006	
Value of Corporate action	0.000		18,524.888		20,620.657	
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	43,370.764	0.389	44,783.811	0.681	53,232.220	0.633

CIV	12,887.133	-	13,862.104	-	17,016.406	-
Debt (Federal/ National Govt.)	-	17.094	-	19.031	-	16.212
Debt (Other Govt. bodies)	-	-	-	-	-	0.507
Debt (corporate)	4,113.005	35.817	4,170.840	42.608	4,866.462	48.383
Others	357.285	-	332.646	-	339.768	-

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): -

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- In 2019, the International Rating Company Thomas Murray assessed the compliance of PJSC "NDU" with the principles of CPMI-IOSCO PFMI. It was a serious step towards transparency and openness, increasing confidence to the important system infrastructure elements of the financial market of Ukraine.
- The result of the survey determines the general assessment of the level of compliance of PJSC "NDU" as Broadly Observed, indicating that the activities of CSD are at a considerable degree with the principles.
- On September 30, 2019 the new software of CSD DEPEND Q developed on the basis of ISO 15022, SWIFT Rules, laws and regulations of Ukraine, was put into commercial operations.
- The new IT platform is aimed to implement technologies used in developed European securities markets into Ukrainian depository accounting practices.
- During 2019 a part of our activity was aimed at modernizing of the technical component of the infrastructure of CSD. For this purpose, the procurement and adaption of server equipment for power gain, modernization of data processing centers of CSD was accomplished. The outcome of work performance in 2019 was increasing of fault tolerance of the system, the reliability and security of the infrastructure of CSD and improving execution speed of operating systems.
- In 2019, PJSC NDU paid considerable attention to the development of legislation aimed at protecting property rights, introducing new financial instruments and technological services for servicing corporate events, and improving the investment climate in Ukraine.

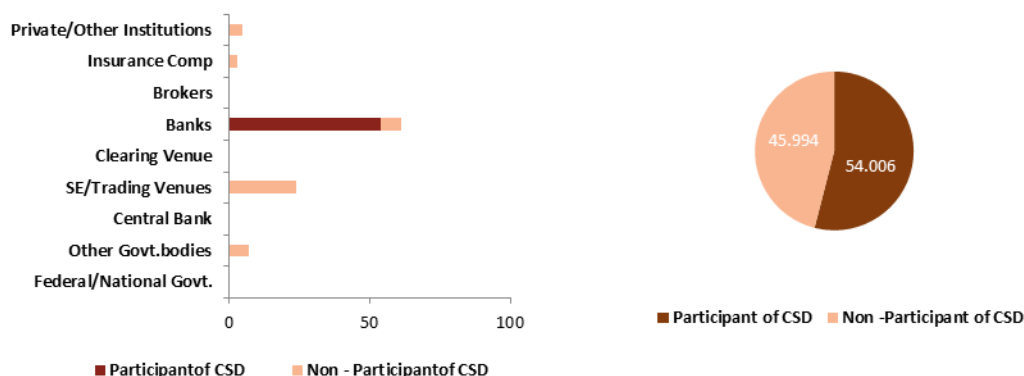
❑ BASIC INFORMATION

- **Regional Association:** ACG, AECSD, AMEDA
- **Primary Regional Association:** ACG
- **Local Currency:** Indian Rupee (INR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- NSDL is an independent company with its independent businesses and is not a part of a group of companies

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner**
- **Financial Instruments accepted for deposit and/or settlement**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company have banking license
- CSD has no DVP solution
- **Type of Participants**
 - **Domestic**
Custodian (6), Non-custodian Banks (50), Brokers (214), Others (9)

❑ **FULL TIME EMPLOYEES: 347 (AS ON 31-Dec-19)**

❑ **ANNUAL REVENUE**

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	31,318.041	28,843.115	30,476.790
Other Income	5,725.615	5,150.406	6,028.335
	37,043.656	33,993.521	36,505.126

❑ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 2**
 - Only Outbound – 1 (Only Direct)
 - Both Inbound and Outbound – 1 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Only FOP – 2 (Only Direct)

❑ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	17,567,772		18,083,461		19,634,728	
<u>Number of Participants</u>						
Domestic Participants	268		276		279	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	25,611	-	30,076	-	37,802	-
CIV	23,989	-	26,412	-	26,759	-
Debt (Federal/ National Govt.)	3,020	-	3,345	-	3,619	-
Debt (Other Govt. bodies)	331	-	314	-	334	-
Debt (corporate)	23,527	-	23,237	-	23,117	-
Others	173	-	216	-	207	-

in USD (in millions i.e., '000000)						
Conversion Rate	63.850		69.605		71.292	
Settlement Instruction (During the year)						
Number of Instructions	194.000		204.085		185.047	
Value of Instructions	4,251,984.965		3,687,040.259		3,365,310.600	
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.268		0.385		0.427	
Value of Corporate action	616,272.473		808,508.533		804,013.631	
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	2,161,036.023	-	1,933,870.485	-	2,067,990.951	-
CIV	16,345.126	-	20,245.966	-	34,242.927	-
Debt (Federal/ National Govt.)	2,102.317	-	2,117.821	-	2,386.330	-
Debt (Other Govt. bodies)	18,481.147	-	17,683.913	-	24,378.670	-
Debt (corporate)	569,766.387	-	584,519.653	-	571,058.877	-
Others	431.725	-	579.989	-	537.769	-

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): Consolidated Account statement

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

1. Framework for Innovation Sandbox

- Capital markets in India have been early adopters of technology. Accordingly, encouraging adoption and usage of financial technology (FinTech) would have a profound impact on the development of securities market. FinTech can act as a catalyst to further develop and maintain an efficient, fair and transparent securities market ecosystem. To create an ecosystem which promotes innovation in the securities market, it was felt that FinTech firms should have access to market related data, particularly, trading and holding data, which is otherwise not readily available to them, to enable them to test their innovations effectively before the introduction of such innovations in a live environment.
- To operationalize the abovementioned endeavor, an Innovation Sandbox which would act as a testing environment for FinTech firms and other entities / individuals, has been created. These entities may use the environment for offline testing of their proposed solutions in isolation from the live market, subject to fulfillment of the eligibility criteria, based on market related data made available by Stock Exchanges, Depositories and Qualified Registrar and Share Transfer Agents.

2. Framework for the process of accreditation of investors for the purpose of Innovators Growth Platform

- Accredited investor is a new set of investor category introduced by Indian Capital Market Regulator SEBI, with an intent to include investments made by individual investors, HNIs, super angels etc. in the companies as part of the minimum institutional holding criteria
- Accredited Investors (AIs) for the limited purpose of Innovators Growth Platform (IGP) are investors whose holding in the Issuer Company, is eligible for the computation of at least 25% of the pre-issue capital in accordance with Regulations

- The Innovators Growth Platform will provide a boost for startups seeking to get listed on the Stock Exchanges.

3. Margin obligations to be given by way of Pledge/ Re-pledge in the Depository System

- A framework has been devised to mitigate the risk of misappropriation or misuse of client's securities available with the Trading Member (TM)/Clearing Member (CM) /Depository Participant (DP). The misappropriation or misuse would include use of one client securities to meet the exposure, margin or settlement obligations of another client or of the TM/CM. Accordingly, collateral of securities, only by way of Margin Pledge, shall be accepted by the TM from the clients and transfer of securities which results in change in ownership of securities in the records of depository would be prohibited. Depository system is being enhanced for the same.

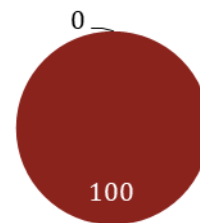
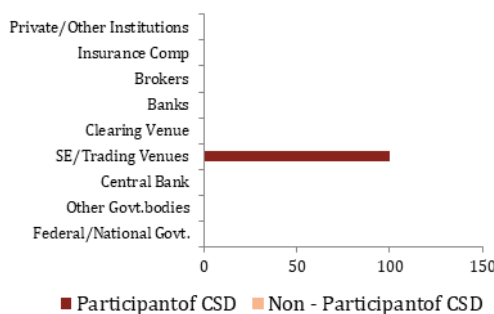
❑ BASIC INFORMATION

- **Regional Association:** AECSD, ECSDA
- **Primary Regional Association:** AECSD
- **LEI Number:** 253400M18U5TB02TW421
- **Local Currency:** Russian Ruble (RUB)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Stock Exchange

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles
 - Immobilized form** Government Debt, Corporate Debt, Others
- CSD or its group company have banking license
- CSD has DVP solution
- CSD offers both Commercial Bank money and Central Bank money for settlement

- Type of Participants

- Domestic
Others (2138)
- Non-domestic
Others (250)

❑ **FULL TIME EMPLOYEES: 511 (AS ON 31-Dec-19)**

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	77,446.158	74,072.939	92,269.376
Other Income	36,474.381	27,636.384	40,545.304
	113,920.539	101,709.323	132,814.680

❑ LINKS WITH OTHER CSDs

- CSD has links with other CSD
 - Number of Links with other CSDs - 9
 - Only Inbound – 1 (Only Direct)
 - Only Outbound – 2 (Only Direct)
 - Both Inbound and Outbound – 6 (Only Direct)
 - Purpose of Links with other CSDs
 - Only FOP – 6 (Only Direct)
 - Both DVP & FOP - 3 (Only Direct)

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	-		1,553		1,445	
Omnibus Accounts	3,385		2,524		2,548	
<u>Number of Participants</u>						
Domestic Participants	-		2,163		2,138	
Non-domestic Participants	-		243		250	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	4,662	1,897	5,066	2,830	5,126	3,473
CIV	678	493	707	767	731	888
Debt (Federal/ National Govt.)	64	329	66	493	70	562
Debt (Other Govt. bodies)	139	21	130	-	124	-
Debt (corporate)	1,412	5,716	1,480	8,484	1,824	10,586
Others	3	-	30	3	24	12

in USD (in millions i.e., '000000)

Conversion Rate	57.738	69.367	62.084
Settlement Instruction (During the year)			
Number of Instructions	3.035	3.365	4.093
Value of Instructions	6,951,847.121	6,832,482.662	8,583,603.475
Corporate Action Events (During the year)			
Number of Events handled by CSD	0.006	0.006	0.007
Value of Corporate action	233,605.047	278,698.399	268,989.339
Value on Deposit			

Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	284,145.779	7,471.879	259,129.855	11,777.821	362,286.245	10,293.677
CIV	1,333.757	741,553.600	145.238	421.845	580.292	826.487
Debt (Federal/ National Govt.)	144,761.498	608.368	151,213.261	819.916	206,483.686	1,232.734
Debt (Other Govt. bodies)	15,875.103	-	8,162.588	-	9,762.215	-
Debt (corporate)	171,330.247	53,788.495	149,277.206	56,960.848	189,781.564	54,795.732
Others	1,698.663	-	10,395.273	0.000	12,285.406	1.613

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- On 23 April 2019, NSD's Supervisory Board approved the NSD Development Strategy

2019-2024

- Product and service development in accordance with the key strategic priorities: -
 - Settlement and Custody Infrastructure
 - New Services and Customer Segments
 - Data Assets
- SETTLEMENT AND CUSTODY INFRASTRUCTURE
 - DVP-2 in Bank of Russia money: new functionality was implemented
 - DCS Web-client: migration from LUCH (for settlement and depository services)
 - A first foreign nominee account was opened for a foreign custodian bank (RBI)
 - NSD passed through GLEIF's One Year AAV, confirming its LOU status for maintaining LEI codes
- NEW SERVICES AND CUSTOMER SEGMENTS
 - The NSD Payment System is prepared (in terms of compliance and technology) to act as a marketplace settlement platform
 - Collateral management was launched for liquidity investment by St. Petersburg.
 - Development of platform solutions for B2B and B2B2C client segments
- DATA SEGMENTS
 - Fair valuation: fair valuation methodologies for floaters, mortgage-backed securities, corporate and Ministry of Finance's Eurobonds were introduced; an option to make repo trades with the Federal Treasury based on fair values calculated by the Valuation Center was offered
 - NSDDATA.RU: the functionality and the set of data available were broadened.

- Vendor solutions: new vendors were added, the products (including RU DATA PRICE) were modified
 - The current data infrastructure was audited
 - The Strategy Committee approved a concept of monetization of data (Big Data) collected by NSD.
- Maintenance of operational reliability:
 - High operational reliability is proven by indicator D0 (99.98)
 - NSD successfully passed the ISAE 3402 Type II Operational Audit (SOC1)
 - The high maturity level of the risk management and internal control systems was confirmed by the independent audits conducted by EY and Bank of Russia
 - DR tests and business continuity drills were conducted, technological monitoring was developed.
- Protection from cyber threats
 - A Data Loss Prevention (DLP) system was implemented
 - The process for secure development of program codes was modernized.

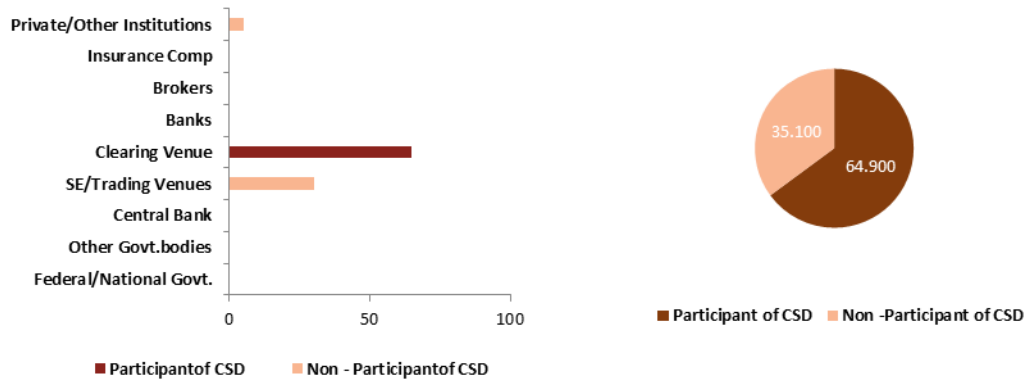
❑ BASIC INFORMATION

- **Regional Association:** AECSD, AMEDA, ECSDA
- **Primary Regional Association:** AECSD
- **LEI Number:** 789000XLUXTY4KRN2E81
- **Local Currency:** Turkish Lira (TRY)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Stock Exchange. Takasbank is the major shareholder of MKK with 64.9%. Borsa Istanbul owns 64.14% of Takasbank and in directly has 71.3% of the capital share in MKK.

- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD does not have banking license
- CSD has DVP solution through its cash clearing agent (Takasbank)
- CSD uses external Commercial Bank money (CoBM) for settlement

- Type of Participants

o Domestic

Custodian (12), Non-custodian Banks (32), Brokers (72)

❑ FULL TIME EMPLOYEES: 213 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	23,891.843	15,694.001	17,487.414
Other Income	2,623.413	2,864.114	2,968.727
	26,515.255	18,558.114	20,456.141

❑ LINKS WITH OTHER CSDs

- CSD has links with other CSD

o Number of Links with other CSDs - 1

- Both Inbound and Outbound – 1 (Only Direct)

o Purpose of Links with other CSDs

- Only FOP – 1 (Only Direct)

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
Number of accounts held by CSD						
Beneficial Owner Accounts	45,395,598		46,364,771		47,219,505	
Number of Participants						
Domestic Participants	122		115		116	
Number of eligible issues						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	780	-	790	-	798	-
CIV	569	-	515	-	569	-
Debt (corporate)	736	-	2,290	-	2,634	-
Others	1,731	-	137	-	118	-

in USD (in millions i.e., '000000)

Conversion Rate		3.795	7.237	7.238		
Settlement Instruction (During the year)						
Number of Instructions	168	178	168			
Value of Instructions	24,161,615.970	15,581,213.463	120,232,300.791			
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.004	0.005	0.005			
Value of Corporate action	30,942.676	23,501.014	27,964.858			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	232,044.910	-	109,413.782	-	163,619.144	-
CIV	14,862.054	-	7,296.739	-	16,965.041	-
Debt (Federal/ National Govt.)	60,532.149	-	29,593.353	-	32,086.785	-
Debt (corporate)	17,660.414	-	9,884.764	-	12,796.693	-
Others	1,805.325	-	2,609.581	-	2,931.010	-

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): MKK value added services are provided through e-MKK Information Portal components such as e-CAS (Investor Notification and Alert System), e-GOVERNANCE (Corporate Governance and Investor Relations), e-GEM (Electronic General Assembly Meeting System), e-COMPANY (Companies Information Portal), e-DATA (Capital Markets Data Bank), e-WAREHOUSE RECEIPTS (Electronic Warehouse Receipts Center), e-BDS (Electronic Board of Directors System).

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- "PDP Mobile" application developed by MKK was promoted in national media.
- The validity period of the ISO 27001 Information Security Management System certificate issued to MKK was extended after comprehensive audits by 2 years, until April 19, 2021. The validity period of the ISO 22301 Business Continuity Management System certificate issued to MKK was extended following comprehensive audits by 3 years, until November 27, 2022.
- First Electronic Warehouse Receipts (EWRs) on chickpeas were issued. We completed all works to include the EWR clearing transactions on Turkish Mercantile Exchange (TME), launched on July 26, 2019, and initiated the transactions on the Central Dematerialized System
- Crowdfunding System Project was initiated.
- e-BDS Mobile application was developed.
- The "e-TRADE REPOSITORY: Electronic Trade Repository Platform" and the "e-BDS: Electronic Board of Directors System" applications earned MKK both the first and second places in the "Governance, Risk and Compliance" category at the IDC Finance Summit 2019 organized by IDC.

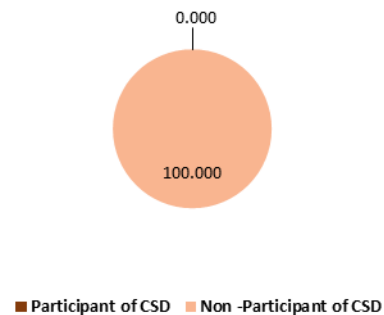
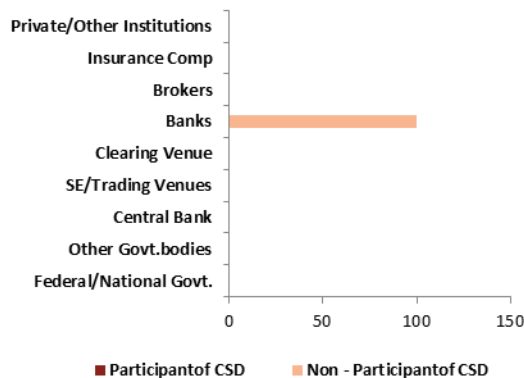
❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 529900UXJ594WXFBTF87
- **Local Currency:** Euro (EUR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. OeKB CSD is 100% owned by OeKB AG. OeKB AG owns 50% of the Austrian Central Counterparty (CCP.A) and 6.6% of CEE Stock Exchange Group (CEE).

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** -
 - Immobilized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
- CSD or its group company have banking license
- CSD has DVP solution

- CSD settles in Central Bank money

- Type of Participants

- **Domestic**
Custodian (1), Non-custodian Banks (45), Others (4)
- **Non-domestic**
Custodian (8), Non-custodian Banks (12), Brokers (3), Others (1)

❑ FULL TIME EMPLOYEES: 38 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	25,111.901	24,250.747	22,854.287
Other Income	-	-	-
	25,111.901	24,250.747	22,854.287

❑ LINKS WITH OTHER CSDs

- CSD has links with other CSD
 - **Number of Links with other CSDs - 9**
 - Only Inbound – 5 (Only Direct)
 - Only Outbound – 1 (Only Direct)
 - Both Inbound and Outbound – 3 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Both DVP & FOP - 9 (Only Direct)

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Omnibus Accounts	489		486		480	
<u>Number of Participants</u>						
Domestic Participants	55		52		50	
Non-domestic Participants	23		25		24	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	147	423	136	567	135	621
CIV	2,909	100	2,959	122	2,852	119
Debt (Federal/ National Govt.)	35	5	31	103	33	105
Debt (Other Govt. bodies)	24	-	30	67	32	66
Debt (corporate)	5,205	803	4,499	493	4,386	260
Others	6,190	74	6,630	31	6,447	29

in USD (in millions i.e., '000000)

<u>Conversion Rate</u>	0.833	0.850	0.851
<u>Settlement Instruction (During the year)</u>			
Number of Instructions	1.215	1.311	1.322
Value of Instructions	952,767.037	1,023,993.937	752,481.599
<u>Corporate Action Events (During the year)</u>			
Number of Events handled by CSD	0.020	0.020	0.018
Value of Corporate action	58,085.746	188,132.945	181,679.228

Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	157,182.424	3,569.756	125,621.761	1,883.410	139,131.276	2,153.379
CIV	178,784.700	313.866	181,716.668	261.383	173,666.530	233.983
Debt (Federal/ National Govt.)	246,032.149	109.556	206,474.532	9,564.225	229,767.965	9,748.641
Debt (Other Govt. bodies)	1,256.199	-	961.664	1,098.436	986.651	855.240
Debt (corporate)	127,300.351	17,240.566	157,173.358	5,787.211	127,948.503	2,019.750
Others	3,621.135	23.321	5,806.583	67.206	6,234.127	60.740

☐ **OTHER SERVICES (AS ON 31-Dec-19)**

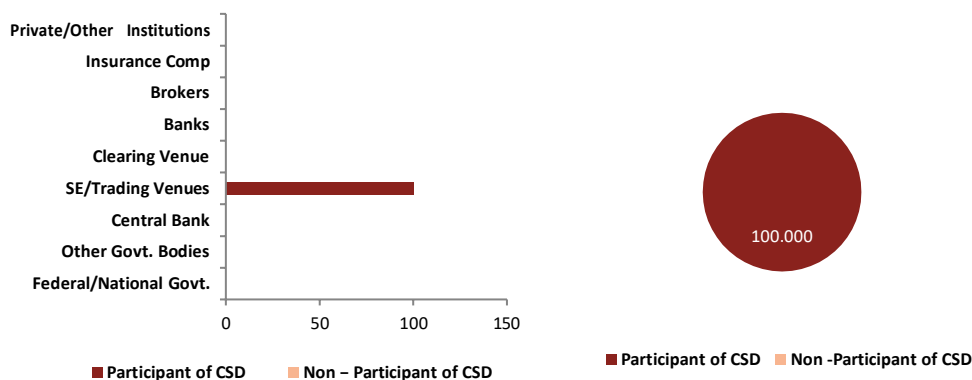
- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **Local Currency:** United States Dollar (USD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Stock Exchange
- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money
- **Type of Participants**
 - **Domestic**
 - Custodian (2), Brokers (8)

- Non-domestic
Custodian (2)

❑ FULL TIME EMPLOYEES: 37 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	2,830.000	2,330.000	1,920.000
Other Income	730.000	620.000	710.000
	3,560.000	2,950.000	2,630.000

❑ LINKS WITH OTHER CSDs

- CSD does not have links with other CSD

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17	As on 31-Dec-18	As on 31-Dec-19			
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	111,561	119,544	121,637			
<u>Number of Participants</u>						
Domestic Participants	10	10	10			
Non-domestic Participants	2	2	2			
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	48	-	48	-	48	-

in USD (in millions i.e., '000000)

Conversion Rate	1.000	1.000	1.000			
Settlement Instruction (During the year)						
Number of Instructions	0.001	0.001	0.001			
Value of Instructions	117.860	67.178	42.946			
Corporate Action Events (During the year)						
Value of Corporate action	66.100	156.246	74.279			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	2.480	1.411	2,366.590	1,368.330	2,466.280	1,291.220

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): E_IPO service

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

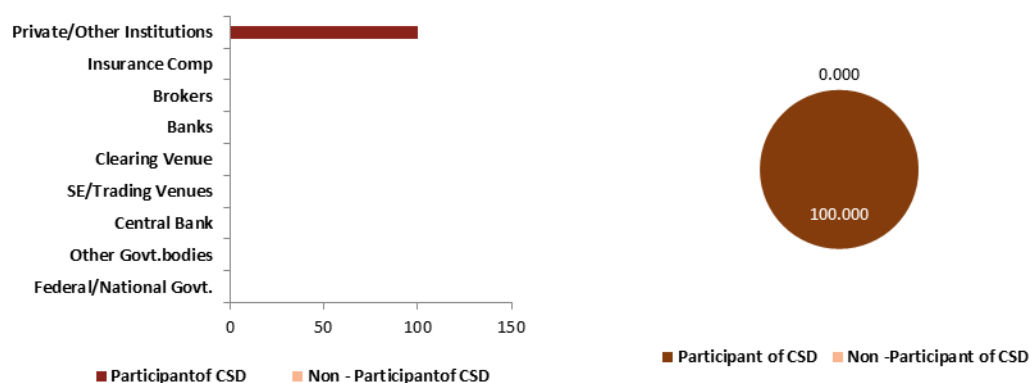
- Start using the CSD in-house system which will handle central securities operations and post trade services.

❑ BASIC INFORMATION

- **Regional Association:** ACG
- **LEI Number:** 549300UJRT4KE08RIS90
- **Local Currency:** Philippine Peso (PHP)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Holding Company that also owns other FMIs
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD has quasi-banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- **Type of Participants**

- **Domestic**
Custodian (4), Brokers (187), Others (68)
- **Non-domestic**
Others (1)

☐ **FULL TIME EMPLOYEES: 107 (AS ON 31-Dec-19)**

☐ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	-	14,709.018	16,057.133
Other Income	-	322.5278	460.979
	-	15,031.546	16,518.1126

☐ **LINKS WITH OTHER CSDs**

- CSD has no links with other CSD

☐ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Omnibus Accounts	-		16,342		17,974	
<u>Number of Participants</u>						
Domestic Participants	-		261		259	
Non-domestic Participants	-		1		1	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	-	-	267	-	268	-
CIV	-	-	1	-	1	-
Debt (Federal/ National Govt.)	-	-	120	-	106	-
Debt (corporate)	-	-	141	-	154	-

in USD (in millions i.e., '000000)

<u>Conversion Rate</u>		-	52.724	in USD (in millions i.e., 000000)			
<u>Settlement Instruction (During the year)</u>							
Number of Instructions		-	0.053	0.009			
Value of Instructions		-	22,500.567	1,314.974			
<u>Corporate Action Events (During the year)</u>							
Number of Events handled by CSD		-	0.001	0.001			
Value of Corporate action		-	13,643.865	6,470.307			
<u>Value on Deposit</u>							
Instrument Type		Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities		-	-	104,584.170	-	103,766.786	-
CIV		-	-	29.058	-	32.595	-
Debt (Federal/ National Govt.)		-	-	181.450	-	200.273	-
Debt (corporate)		-	-	580.125	-	892.224	-

☐ **OTHER SERVICES (AS ON 31-Dec-19)**

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions

- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

The Name-on-Central-Depository (NoCD) Facility, a PDTC offering for its Depository Participants, primarily to broker intermediaries, allows the Depository Participant to maintain each of its clients holdings in a segregated, sub-account set-up. For the year 2019, the NoCD Facility has been extended to be implemented for primary issuance in the fixed income market. With the implementation of NoCD Facility, processes for submission of investor documents and for secondary trading have been streamlined significantly. Further with the objective of investor protection and having more transparency in the market, the general direction of the regulatory authorities is towards the adoption of NoCD arrangement.

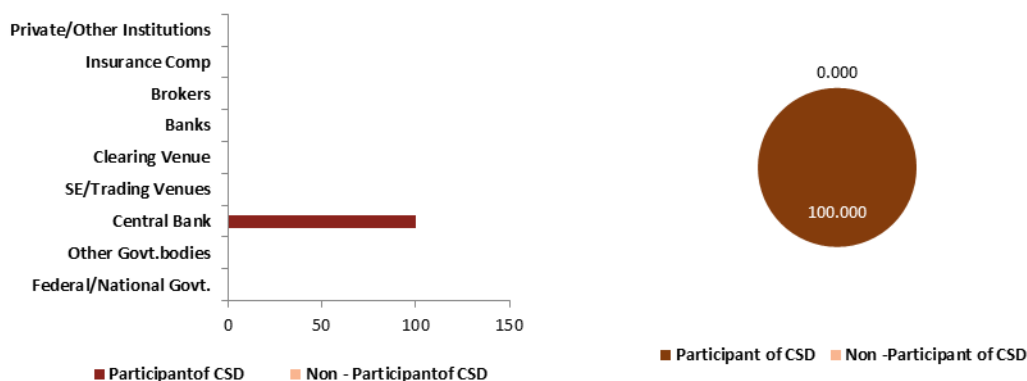


❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **Local Currency:** Qatari Rial (QAR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Central Bank
- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Government Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money
- **Type of Participants**
 - **Domestic**
 - Custodian (3), Others (50)



- Non-domestic
Others (55)

☐ **FULL TIME EMPLOYEES: 45 (AS ON 31-Dec-19)**

☐ **LINKS WITH OTHER CSDs**

- CSD has no links with other CSD

☐ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	955,883		986,121		986,121	
<u>Number of Participants</u>						
Domestic Participants	58		53		53	
Non-domestic Participants	-		55		55	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	45	-	48	-	48	-
Debt (Federal/ National Govt.)	-	-	52	-	52	-
Others	2	-	2	-	2	-

in USD (in millions i.e., '000000)

Conversion Rate		3.640	3.650	in USD (in millions i.e., 000000)		
Settlement Instruction (During the year)						
Number of Instructions	0.834	-	-	-	-	-
Value of Instructions	18,199.451	-	-	-	-	-
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	129,676.923	-	-	-	-	-
Debt (Federal/ National Govt.)	11,421.703	-	-	-	-	-

☐ **OTHER SERVICES (AS ON 31-Dec-19)**

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

☐ **MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)**

- QCSO is working on a project to replace its existing post trade CSD system
- QCSO has undertaken critical projects on technology fronts



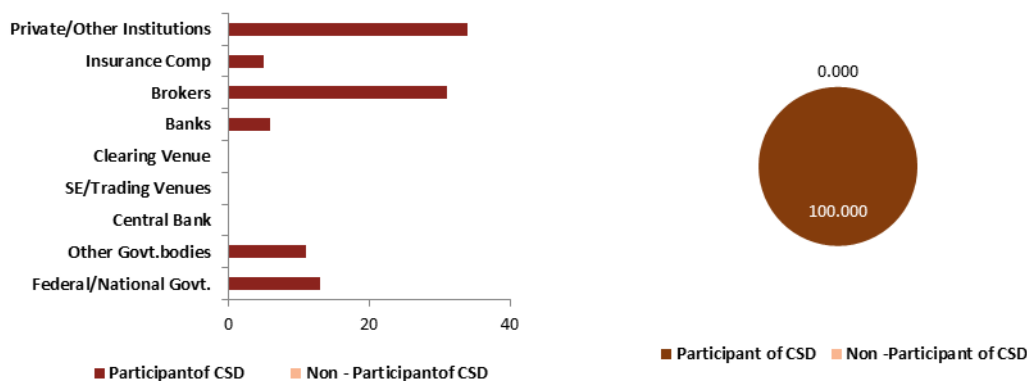
- QCSD with other market infrastructure Participants, facilitate in providing new services
- QCSD has registered new IPO
- QCSD has taken measures to digitalize its services (With Shareholding companies, with Ministry and Courts)
- QCSD has taken measures to provide e-services

❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **Local Currency:** CFA Franc BCEAO (XOF)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Collective Investment Vehicles
- **CSD or its group company does not have banking license**
- **CSD has DVP solution**
- **CSD settles in Central Bank money**
- **Type of Participants**
 - **Domestic**
Custodian (9), Brokers (30)

☐ FULL TIME EMPLOYEES: 9 (AS ON 31-Dec-19)

☐ ANNUAL REVENUE

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	-	4,539.513	4,339.749
Other Income	-	361.507	348.607
	-	4,901.020	4,688.355

☐ LINKS WITH OTHER CSDs

- CSD has no links with other CSD

☐ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Omnibus Accounts	-		786		1,013	
<u>Number of Participants</u>						
Domestic Participants	-		36		39	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	0	-	45	-	46	-
CIV	-	-	33	-	33	-
Debt (Federal/ National Govt.)	-	-	34	-	47	-
Debt (Other Govt. bodies)	-	-	12	-	14	-
Debt (corporate)	-	-	29	-	28	-

in USD (in millions i.e., '000000)						
<u>Conversion Rate</u>	-		572.614		584.270	
<u>Settlement Instruction (During the year)</u>						
Number of Instructions	-		0.115		0.086	
Value of Instructions	-		833.729		461.324	
<u>Corporate Action Events (During the year)</u>						
Value of Corporate action	-		1,245.374		1,452.966	
<u>Value on Deposit</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	-	-	8,461.300	-	8,113.715	-
Debt (Federal/ National Govt.)	-	-	6,170.369	-	7,440.304	-
Debt (Other Govt. bodies)	-	-	376.207	-	399.954	-
Debt (corporate)	-	-	370.924	-	360.137	-

☐ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☐ Others (Please specify)

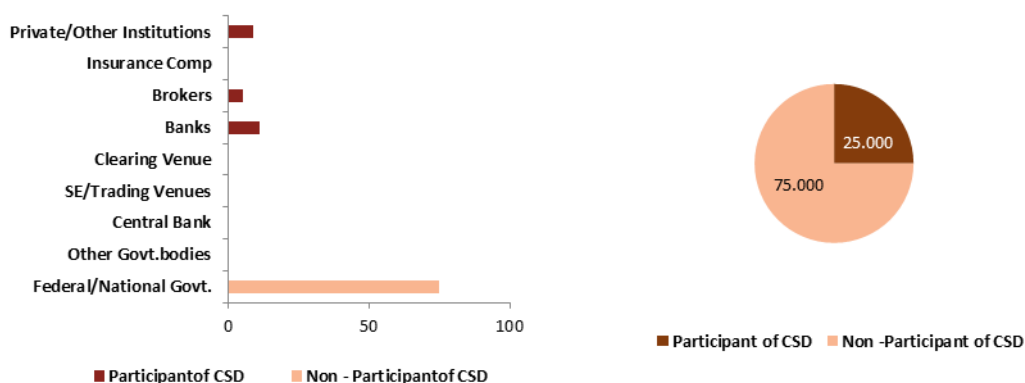
❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **Local Currency:** Bosnia-Herzegovina Convertible Mark (BAM)

❑ OWNERSHIP (AS ON 31-Dec-19)

- RVP is mostly owned by the Government of the Federation of Bosnia and Herzegovina (75%) and controlled by the Securities Commission of Federation of Bosnia and Herzegovina that is Government body.

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Government Debt, Corporate Debt
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- **Type of Participants**

○ **Domestic**

Custodian (4), Non-custodian Banks (1), Brokers (4)

☐ **FULL TIME EMPLOYEES: 29 (AS ON 31-Dec-19)**

☐ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	1,274.197	1,203.073	1,045.699
Other Income	111.653	79.725	105.148
	1,385.850	1,282.798	1,150.846

☐ **LINKS WITH OTHER CSDs**

- CSD has no links with other CSD

☐ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	671,540		660,429		672,745	
Omnibus Accounts	5		5		4	
<u>Number of Participants</u>						
Domestic Participants	11		10		9	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	597	-	579	-	568	-
CIV	-	-	-	-	-	-
Debt (Federal/ National Govt.)	38	-	31	-	33	-
Debt (Other Govt. bodies)	7	-	3	-	4	-
Debt (corporate)	10	-	8	-	7	-

in USD (in millions i.e., '000000)

Conversion Rate	1.630	1.668	1.731			
Settlement Instruction (During the year)						
Number of Instructions	0.005	0.005	0.004			
Value of Instructions	112.880	86.919	103.992			
Corporate Action Events (During the year)						
Value of Corporate action	586.486	421.405	346.063			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	6,957.530	-	6,855.778	-	6,554.394	-
Debt (Federal/ National Govt.)	531.404	-	403.422	-	411.347	-
Debt (Other Govt. bodies)	11.660	-	10.790	-	15.599	-
Debt (corporate)	7.660	-	7.193	-	35.242	-

☐ **OTHER SERVICES (AS ON 31-Dec-19)**

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services

- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): -

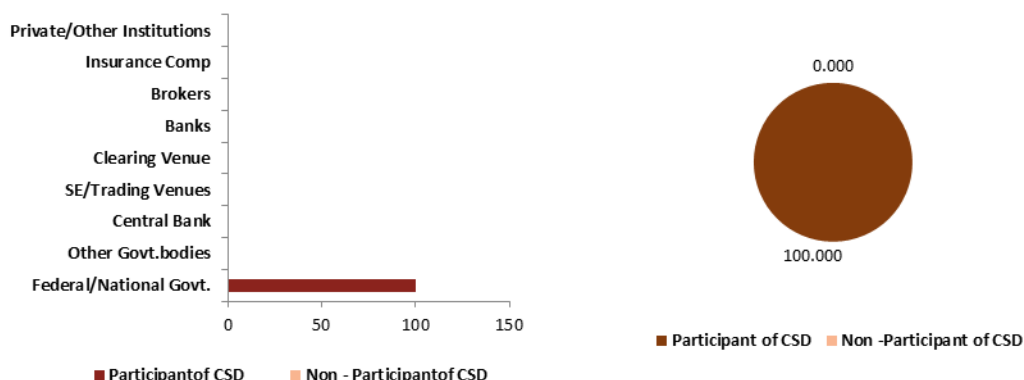
❑ BASIC INFORMATION

- **Regional Association:** AECSD
- **Local Currency:** Belarusian Ruble (BYN)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. The CSD is controlled by the Ministry of Finance of the Republic of Belarus

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has no DVP solution

- Type of Participants

- **Domestic**
Others (27)
- **Non-domestic**
Others (7)

❑ **FULL TIME EMPLOYEES: 24 (AS ON 31-Dec-19)**

❑ **ANNUAL REVENUE**

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	325.732	337.037	404.739
Other Income	28.582	25.000	27.488
	354.314	362.037	432.227

❑ **LINKS WITH OTHER CSDs**

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 6**
 - Only Inbound – 3 (Only Direct)
 - Both Inbound and Outbound – 3 (Only Direct)
 - **Purpose of Links with other CSDs**
 - Only FOP – 6(Only Direct)

❑ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17	As on 31-Dec-18	As on 31-Dec-19			
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	1,193	1,173	1,184			
Omnibus Accounts	-	35	34			
<u>Number of Participants</u>						
Domestic Participants	1,210	29	27			
Non-domestic Participants	18	6	7			
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	4,308	-	4,174	-	4,076	-
Debt (Federal/ National Govt.)	113	-	81	-	79	-
Debt (Other Govt. bodies)	211	-	179	-	150	-
Debt (corporate)	719	-	884	-	919	-

in USD (in millions i.e., '000000)

Conversion Rate	2.029	2.160	2.110			
Settlement Instruction (During the year)						
Number of Instructions	0.023	0.025	0.026			
Value of Instructions	0.000	0.000	0.000			
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.009	0.009	0.011			
Value of Corporate action	0.000	0.000	0.000			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	15,354.721	-	15,138.889	-	15,990.521	-
Debt (Federal/ National Govt.)	4,662.889	-	4,314.815	-	4,222.749	-
Debt (Other Govt. bodies)	4,042.225	-	1,613.889	-	1,578.199	-
Debt (corporate)	5,871.694	-	7,809.722	-	8,284.360	-

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): Registration of transactions with securities carried out in the OTC market; performing the functions of a settlement depository in the organized securities market

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

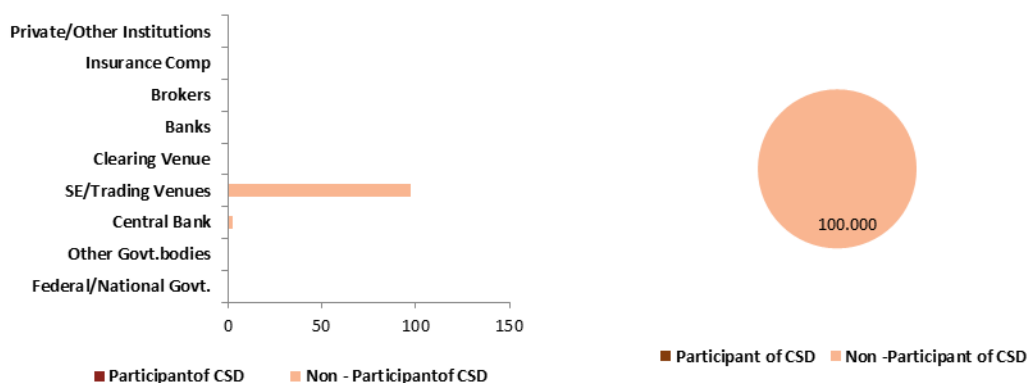
- Conclusion of an agreement for depository services between the Central Securities Depositories of the Republic of Belarus and the Kyrgyz Republic, on the basis of which a "depo" account was opened in the Central Securities Depository of the Kyrgyz Republic in the name of the Central Securities Depository of Belarus.
- The information and analytical presence in the media were strengthened, including the Internet, social networks and media resources.
- The specialists of the Central Securities Depository actively participated in the preparation of the draft Decree of the President of the Republic of Belarus providing for a number of reforms in the securities market, including the development, strengthening and enhancing of the infrastructure positions of the Central Securities Depository
- The Central Securities Depository connected to SWIFT.

❑ BASIC INFORMATION

- **Regional Association:** ACSDA
- **LEI Number:** 529900LXYUHTHE2P87
- **Local Currency:** Mexican Peso (MXN)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Stock Exchange
- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Government Debt
 - Immobilized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- Type of Participants

- **Domestic**
Custodian (4), Non-custodian Banks (61), Brokers (34), Others (20)
- **Non-domestic**
Custodian (3), Others (5)

❑ FULL TIME EMPLOYEES: 42 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	34,774.601	45,395.440	53,225.453
Other Income	465.975	452.316	488.112
	35,240.576	45,847.756	53,713.565

❑ LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 8**
 - Only Inbound – 1 (Only Direct)
 - Only Outbound – 1 (Only Direct)
 - Both Inbound and Outbound – 4 (Only Direct)
 - Only Outbound – 2 (Only Indirect)
 - **Purpose of Links with other CSDs**
 - Both DVP & FOP - 6 (Only Direct)
 - Both DVP & FOP - 2 (Only Indirect)

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Omnibus Accounts	3,096		3,096		3,393	
<u>Number of Participants</u>						
Domestic Participants	118		120		119	
Non-domestic Participants	7		7		8	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	5,317	1,320	5,625	1,512	5,378	1,819
Debt (Federal/ National Govt.)	175	74	168	36	179	94
Debt (Other Govt. bodies)	50	-	45	-	43	-
Debt (corporate)	2,768	427	2,804	422	2,749	411

in USD (in millions i.e., '000000)

Conversion Rate	19.737	19.657	18.873			
Settlement Instruction (During the year)						
Number of Instructions	2.951	3.119	3.101			
Value of Instructions	57,357,444.537	62,633,441.391	72,819,773.111			
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.031	0.034	0.040			
Value of Corporate action	2,086,070.706	2,187,560.412	3,497,114.880			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	714.287.674	36.750.371	635.111.311	39.268.337	711.393.229	47.518.479

Debt (Federal/ National Govt.)	327,274.109	3,124.419	340,592.880	10,410.600	402,739.990	2,617.061
Debt (Other Govt. bodies)	54,640.380	-	55,563.627	-	58,295.845	-
Debt (corporate)	128,186.621	10,590.458	140,221.045	1,267.462	163,308.271	7,637.540
Others	-	5.354	-	-	-	-

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- During 2019 and onto 2020, Indeval implemented a High Availability scheme by migrating from the IBM platform to VBlock. For the remaining part of 2020, Indeval will implement a full independent Disaster Recovery Plan, enhancing its Business Continuity Plan

Full SWIFT Messaging Capabilities

- By 2019, Indeval completed two of the three phases of the SWIFT Project (Corporate Actions Information with the Stock Exchanges and Communication with Global Custodians). At this moment, Phase 3 (Communication with local and foreign clients) is being tested with clients who already have SWIFT connectivity. The purpose of this phase is to enable another communication channel between Indeval and its clients by implementing a global standard communication for financial transactions; being said this, clients will have access to our various range of services such as cash services (Customer Payment and Financial Institution Transfers), Securities Markets and Customer Status.

Robotic Process Automation

- Indeval is working with UiPath, a leading RPA solution provider, focusing on automating current manual processes that create potential risks due to manual errors, time-sensitive processing, and limitations on high volume capacity. Indeval aims to go live with the first automated process via RPA by 4Q 2020

International Securities Services Enhancements

- Indeval continues to offer custody, cross-border settlement, asset services including proxy voting, as well as Tax Withholding services for all Non-Mexican Securities listed in the International Quotation System (SIC for its acronym in Spanish). During 2020, Indeval is moving to a segregated account within DTCC of its current Global Custodian which will result in better risk management as well as operational efficiencies.
- Service levels offered by Indeval for international securities, as well as the favorable regulatory changes implemented in 2017 have characterized a growing trend in this segment: the importance of the international securities market reached 47.1% of the daily trading value, 2,197 foreign issues, and AUC up to USD 47.4 billion all these figures as of June 30, 2020.
- Indeval is planning to enhance its cross-border cash settlement by implementing Participant sub-account cash accounts replacing the current Omnibus account model. These planned changes will increase funds availability, streamline Participant's cash reconciliation processes and increase liquidity.

Dematerialization of Securities

- Following the world-wide trend toward eliminating physical securities to reduce the costs and risks associated with this practice and in conjunction with the pandemic contingency, Indeval defined in collaboration with the Mexican Central Bank a plan to reduce and ultimately eliminate physical certificates replacing them by electronic book-entry ownership records within the Depository system. The project involves two phases:
 - 1st phase planned for 4Q 2020 will provide electronic safekeeping by converting certificates in physical to digital form.
 - 2nd phase planned for 4Q 2021 will offer full dematerialization capabilities.

Market Data

- Indeval's role in the market results in it being the source of important market data, which may be useful to Participants and other stakeholders. Leveraging this Indeval plans to develop a Data Warehouse to process and manage reference data and statistics. The scope of the project involves launching a new product line (data services), packaging the data to meet client and market needs, processing data to produce analytical statistics, among other activities.

Proxy Voting

- Indeval is analyzing offering automated centralized proxy voting services on Mexican issues to Participants on their voting rights at shareholders meetings. Currently the process is very costly and manually intensive for Participants to be able to offer this to their clients. By implementing a secure e- voting platform, Indeval is aiming to service the full lifecycle of the voting process from meeting announcement distribution to voting instructions to the issuer, with

full reporting capabilities to Participants, issuers and other interested stakeholders. This will provide significant cost savings to Participants and benefits to issuers improving corporate governance in Mexico

Direct Custody

- Direct Custody will enable access to the local market infrastructure providing various services to foreign financial institutions such as broker-dealers, banks, fund managers, insurance companies and global custodians. Indeval is awaiting the approval of the new pricing policy, documentation such as contracts, Service Level Agreements and modifications to the operating manuals are being reviewed by the Authorities and Indeval's attorneys respectively.

Taskize

- As part of the continuous efforts to increase customer satisfaction and offer faster response time on customer inquiries and issues, Indeval implemented Taskize. A secure web-based platform allows Participants to solve their operational issues in a faster and more efficient way eventually replacing emails and telephone calls. Indeval on-boarded an initial group of clients and will continue onboarding additional clients throughout the remaining of 2020 aiming to have fully adopted Taskize for all clients by 2021.

Web site

- Indeval is planning to enhance its web site by offering an innovative, dynamic web page, with updated content of general interest and with the required functionality to publish information to our clients and stakeholders.

Group BMV Technology Benchmarking Project

- As part of a BMV Group project and driven by the needs to provide a stable and secure infrastructure Indeval is participating in a comprehensive assessment of 3rd party solutions, in terms of functionality, cybersecurity, connectivity between entities (trading-CCPs-CSD), new services, technologies (cloud, hybrid), Blockchain, data management and global standards.

❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **Local Currency:** Jordanian Dinar (JOD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. The Securities Depository Center (SDC) is a public utility institution, founded by virtue of Securities Law where it is not owned by any entity. It has no shareholders or capital
- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money
- **Type of Participants**
 - **Domestic**
 - Custodian (18), Brokers (60)

❑ FULL TIME EMPLOYEES: 71 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	6,272.908	5,879.059	4,632.609
Other Income	-	-	-
	6,272.908	5,879.059	4,632.609

❑ LINKS WITH OTHER CSDs

- CSD has no links with other CSD

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	1,233,495		307,688		304,320	
<u>Number of Participants</u>						
Domestic Participants	77		77		78	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	247	-	245	-	235	-
Debt (Federal/ National Govt.)	160	-	158	-	185	-
Debt (Other Govt. bodies)	12	-	12	-	9	-
Debt (corporate)	23	-	45	-	55	-
Others	4	-	4	-	4	-

in USD (in millions i.e., '000000)

Conversion Rate	0.709	0.709	0.709			
Settlement Instruction (During the year)						
Number of Instructions	1.500	1,178.390	1,293.738			
Value of Instructions	4,754.302	1,932.046	2,164.122			
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.000	0.000	0.000			
Value of Corporate action	399.154	255.338	127.203			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	23,554.866	-	23,145.167	-	21,391.387	-
Debt (Federal/ National Govt.)	21,159.944	-	15.467	-	15.474	-
Debt (Other Govt. bodies)	861.072	-	-	-	-	-
Debt (corporate)	544.852	-	637.252	-	811.380	-
Others	471.086	-	470.889	-	471.101	-

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

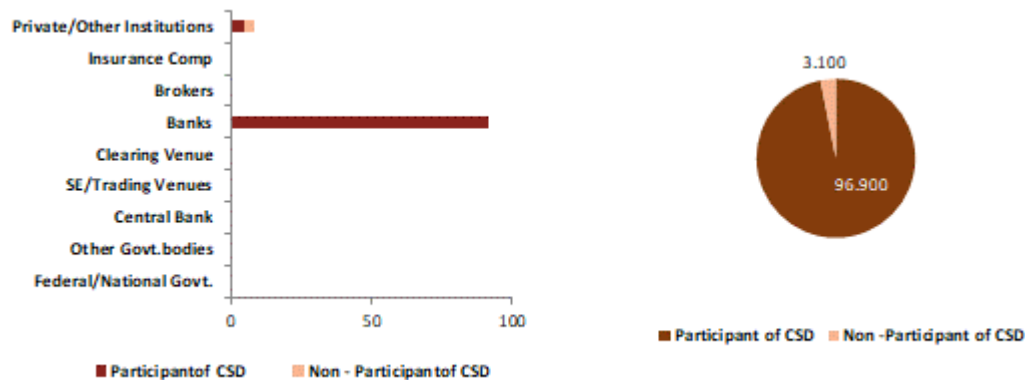
- Developed a system for sending SMS to investors.
- Updating the SDC's electronic system to the latest version of Oracle technologies

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **Local Currency:** Swiss Franc (CHF)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI.
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
- CSD or its group company have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

❑ FULL TIME EMPLOYEES: 289 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	218,120,392.657	219,736.717	215,013.679
Other Income	15,018,552.586	7,929.212	9,329.615
	233,138,945.243	227,665.929	224,343.294

❑ LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 54**
 - Both Inbound and Outbound – 11 (Only Direct)
 - Both Inbound and Outbound –43 (Only Indirect)
 - **Purpose of Links with other CSDs**
 - Both DVP & FOP - 11 (Only Direct)
 - Both DVP & FOP - 43 (Only Indirect)

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17	As on 31-Dec-18	As on 31-Dec-19			
<u>Number of accounts held by CSD</u>						
Omnibus Accounts	27,928	27,923	22,870			
<u>Number of Participants</u>						
Domestic Participants	191	-	-			
Non-domestic Participants	144	-	-			
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	1,096	41,129	1,051	44	1,063	44
CIV	3,877	38,855	2,215	1,655	2,261	1,795
Debt (Federal/ National Govt.)	211	4,636	3,248	77	3,739	89
Debt (Other Govt. bodies)	118	669	-	-	-	-
Debt (corporate)	2,852	40,728	-	-	-	-
Others	200,275	172,746	147,497	60,789	172,796	40,155

				in USD (in millions i.e., '000000)		
<u>Conversion Rate</u>	0.975	0.944		0.946		
<u>Settlement Instruction (During the year)</u>						
Number of Instructions	38.077	37.895		40.983		
Value of Instructions	0.000	0.000		0.000		
<u>Corporate Action Events (During the year)</u>						
Number of Events handled by CSD	0.618	0.579		0.662		
Value of Corporate action	0.000	0.000		0.000		
<u>Value on Deposit</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	0.000	-	0.000	-	0.000	-

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☑ Trade Repository Services
- ☑ Information Services
- ☑ National Numbering Agency Services
- ☑ Technological solutions
- ☑ Triparty Services
- ☑ Legal Entity Identifier (LEI) Services

- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): Tax Services, Vault Services, Issuer Services, Settlement Services

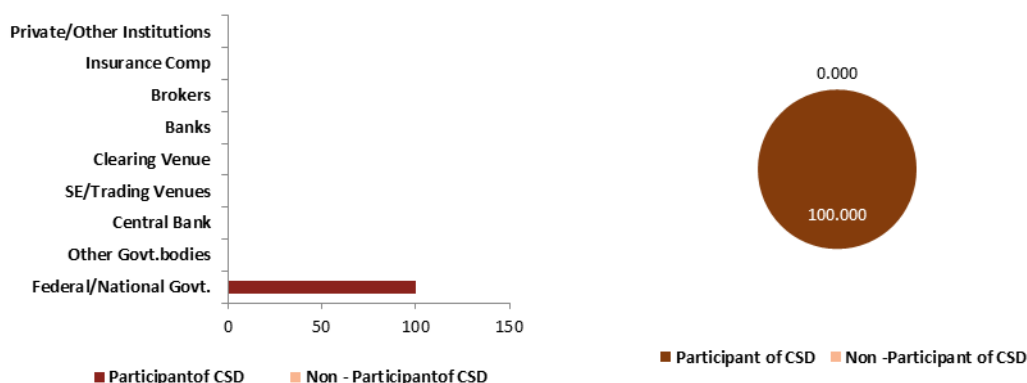
❑ BASIC INFORMATION

- **Regional Association:** ACG, AECSD
- **Primary Regional Association:** AECSD
- **LEI Number:** 253400SW1QJQSB3A2U49
- **Local Currency:** Uzbekistan Som (UZS)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. CSD is owned or controlled by the State Assets Management Agency

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Corporate Debt
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD uses external Commercial Bank money (CoBM) for settlement

- **Type of Participants**

o **Domestic**

Brokers (43), Asset Managers (34), Others (9)

☐ **FULL TIME EMPLOYEES: 51 (AS ON 31-Dec-19)**

☐ **ANNUAL REVENUE**

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	473.477	584.300	610.966
Other Income	49.447	36.561	29.682
	522.924	620.861	640.648

☐ **LINKS WITH OTHER CSDs**

- CSD has no links with other CSD

☐ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17	As on 31-Dec-18	As on 31-Dec-19			
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	920,349	776,918	807,301			
Omnibus Accounts	39	39	43			
<u>Number of Participants</u>						
Domestic Participants	47	81	86			
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	455	-	155	-	123	-
CIV	9	-	-	-	-	-
Debt (corporate)	16	-	-	-	5	-

	in USD (in millions i.e., '000000)					
Conversion Rate	8,140.000	8,339.550	9,507.560			
Settlement Instruction (During the year)						
Number of Instructions	0.008	0.024	0.038			
Value of Instructions	2,733.125	1,281.964	3,962.531			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	5,974.414	-	7,127.413	-	10,434.830	-
CIV	0.286	-	-	-	-	-
Debt (corporate)	30.869	-	23.749	-	51.334	-

☐ **OTHER SERVICES (AS ON 31-Dec-19)**

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform



- ☒ None of the above
- ☒ Others (Please specify): Advisory Services

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- The software to interact with the Service Bureau of ANNA when assigning international ISIN, CFI, FISN codes to corporate securities issued by Uzbek issuers was developed.
- Central Securities Depository became a full member of the Association of National Numbering Agencies, the main activity of which is the assignment of international codes to national securities.

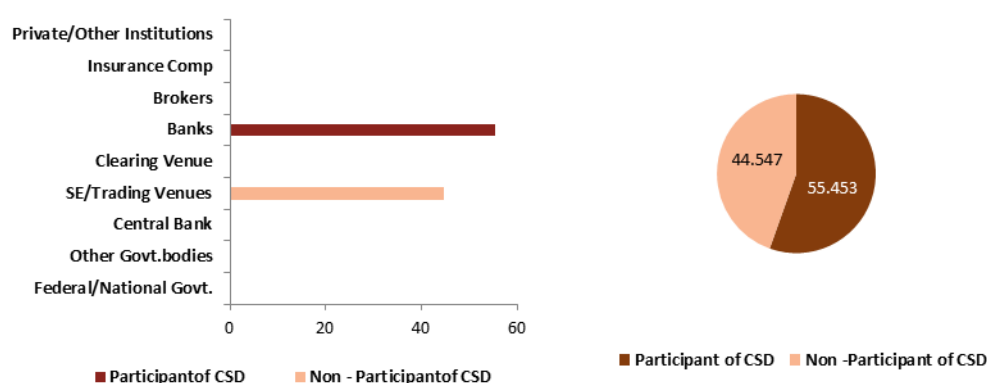
❑ BASIC INFORMATION

- **Regional Association:** ACSDA, AMEDA
- **Primary Regional Association:** ACSDA
- **LEI Number:** 378900F4A0A690EA6735
- **Local Currency:** South African Rand (ZAR)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI.

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- **Type of Participants**
 - **Domestic**
Custodian (4), Others (3)
 - **Non-domestic**
Custodian (2)

❑ **FULL TIME EMPLOYEES: 134 (AS ON 31-Dec-19)**

❑ **ANNUAL REVENUE**

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	35,112,304.334	31,678,571.429	33,187,250.712
Other Income	-	-	-
	35,112,304.334	31,678,571.429	33,187,250.712

❑ **LINKS WITH OTHER CSDs**

- CSD has no links with other CSD

❑ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	-		15,500		15,808	
Omnibus Accounts	-		4,100		4,302	
<u>Number of Participants</u>						
Domestic Participants	7		7		7	
Non-domestic Participants	2		2		2	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	-	-	834	-	1,024	-
Debt (Federal/ National Govt.)	-	-	2,243	-	2,524	-
Debt (corporate)	-	-	5,597	-	5,465	-

	in USD (in millions i.e., '000000)					
Conversion Rate	12.394	14.420	14.040			
Settlement Instruction (During the year)						
Number of Instructions	-	7.556	7.398			
Value of Instructions	-	2,830,374.896	3,464,475.214			
Corporate Action Events (During the year)						
Number of Events handled by CSD	-	0.028	0.028			
Value of Corporate action	-	111,501.595	119,364.601			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	-	-	533,941.609	-	548,393.020	-
CIV	-	-	-	-	-	-
Debt (Federal/ National Govt.)	-	-	214,109.709	-	219,904.701	-
Debt (Other Govt. bodies)	-	-	-	-	-	-
Debt (corporate)	-	-	64,526.491	-	66,272.934	-

❑ **OTHER SERVICES (AS ON 31-Dec-19)**

- ☑ Trade Repository Services
- ☑ Information Services
- ☑ National Numbering Agency Services
- ☑ Technological solutions

- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

☐ **MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)**

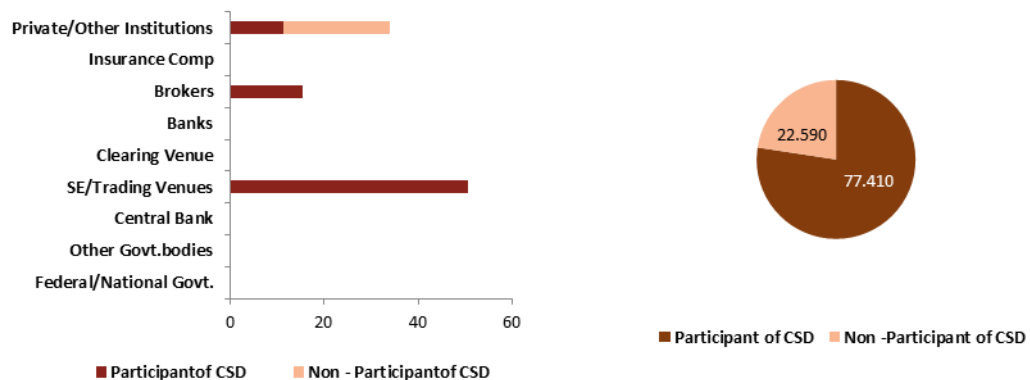
- (2019) Final migration of all settlement platforms onto the BaNCS MI product (TCS)
- Deployment of the e-Voting solution developed in conjunction with NASDAQ

❑ BASIC INFORMATION

- **Regional Association:** ACG
- **LEI Number:** 5493002M01148C9XLF52
- **Local Currency:** New Taiwan Dollar (TWD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- **CSD is owned or controlled by Stock Exchange**
- **Shareholding Pattern (in %)**



- **Shares of CSD or Holding Company are not traded publicly.**

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure: Beneficial Owner**
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** Others
- **CSD or its group company does not have banking license**
- **Type of Participants**
 - **Domestic**
Custodian (39), Brokers (103), Others (6214)
 - **Non-domestic**
Others (2)

❑ FULL TIME EMPLOYEES: 523 (AS ON 31-Dec-19)

ANNUAL REVENUE

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	150,374.703	171,618.261	173,923.105
Other Income	7,607.754	9,796.831	10,729.655
	157,982.457	181,415.091	184,652.760

LINKS WITH OTHER CSDs

- CSD has no links with other CSD

STATISTICS & VOLUME

Particulars	As on 31-Dec-17	As on 31-Dec-18	As on 31-Dec-19			
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	17,069,416	17,546,560	18,156,178			
<u>Number of Participants</u>						
Domestic Participants	5,491	5,922	6,356			
Non-domestic Participants	-	2	2			
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	1,925	-	1,967	-	1,979	-
CIV	109	-	148	-	218	-
Debt (Other Govt. bodies)	4	-	11	-	11	-
Debt (corporate)	884	486	1,074	589	1,130	645
Others	16,681	-	21,285	-	20,668	-

in USD (in millions i.e., '000000)

Conversion Rate	29.707	30.733	30.106			
<u>Settlement Instruction (During the year)</u>						
Number of Instructions	135.900	149.680	145.890			
Value of Instructions	1,150,465.735	1,333,083.623	1,238,691.258			
<u>Corporate Action Events (During the year)</u>						
<u>Value on Deposit</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	1,366,987.139	-	1,062,988.319	-	1,340,024.912	-
CIV	11,742.687	-	24,227.703	-	56,651.166	-
Debt (Other Govt. bodies)	1,398.519	-	2,173.559	-	2,218.827	-
Debt (corporate)	126,831.517	4,351.828	92,842.872	5,156.997	99,148.343	5,608.517
Others	5,205.844	-	4,777.275	-	7,360.991	-

OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform

- ☒ None of the above
- ☒ Others (Please specify)

☐ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

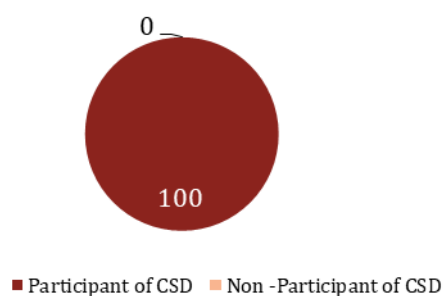
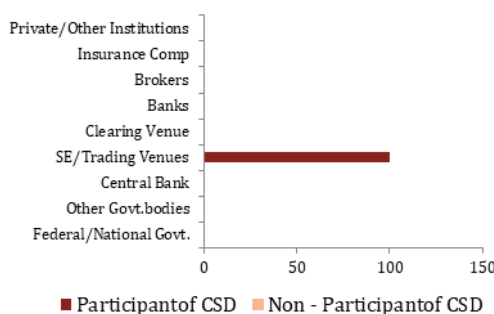
- TDCC Chairman & CEO Sherman Lin was elected as the Vice Chairman of the Asia-Pacific CSDs Group (ACG) and became a board member of The World Forum of CSDs (WFC).
- TDCC participated in the 2019 eASIA Awards and won the gold medal in "Digital Transformation- Public Sector" by its Innovative Application of Electronic Voting and STP Service Project.
- TDCC organized the "ReLife Project" to promote Taiwanese citizens awareness of the need for retirement plans and self saving investments. The project accumulated more than 5 million views, and more than 110,000 people signed up.
- TDCC built Investor Relations Platform to promote the communication between investors and issuing companies, facilitating investors to query the investor service and corporate governance information of the issuing company.

❑ BASIC INFORMATION

- **Regional Association:** ACG
- **LEI Number:** 254900IJQ6ZM0PD20H32
- **Local Currency:** Thai Baht (THB)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Stock Exchange
- Shareholding Pattern (in %)



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- Type of Participants

o Domestic

Custodian (14), Non-custodian Banks (21), Brokers (41), Asset Managers (8), Others (26)

❑ FULL TIME EMPLOYEES: 22 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	48,105.354	53,115.084	56,118.538
Other Income	433.453	579.130	1,098.231
	48,538.807	53,694.214	57,216.769

❑ LINKS WITH OTHER CSDs

- CSD has no links with other CSD

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
<u>Number of Participants</u>						
Domestic Participants	111		110		110	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	4,165	-	2,821	-	2,913	-
CIV	128	-	2,366	-	2,372	-
Debt (Federal/ National Govt.)	327	-	-	-	-	-
Debt (Other Govt. bodies)	-	-	820	-	839	-
Debt (corporate)	1,412	-	2,675	-	2,670	-
Others	-	-	5,061	-	6,470	-

in USD (in millions i.e., '000000)

Conversion Rate		32.659	31.294	31.490		
Settlement Instruction (During the year)						
Number of Instructions	6.000	0.125	0.699			
Value of Instructions	41,735.548	3,184,051.967	3,057,130.140			
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.013	0.007	0.007			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	5,753.295	-	473,466.608	-	492,275.194	-
CIV	231.066	-	-	-	-	-
Debt (Federal/ National Govt.)	2,934.424	-	-	-	-	-
Debt (Other Govt. bodies)	-	-	268,057.023	-	321,457.873	-
Debt (corporate)	731.618	-	69,004.433	-	80,101.655	-

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services

- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

☐ **MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)**

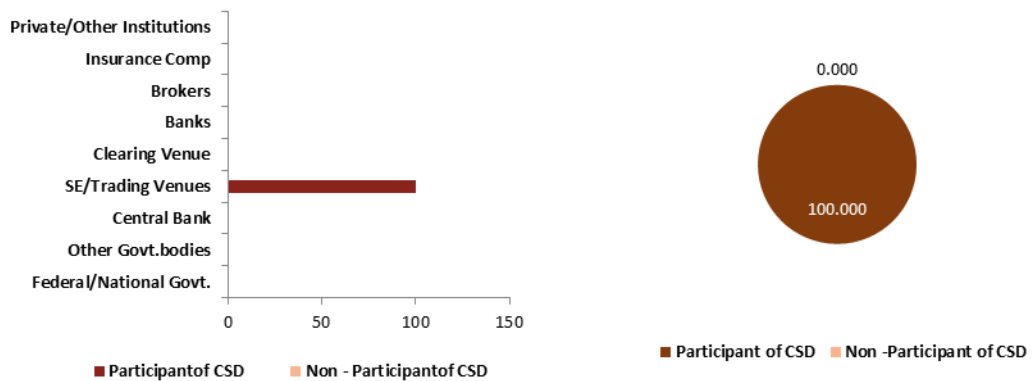
- Please see development details on TSD&TCH newsletter as provided link:
<https://www.set.or.th/tsd/en/download/newsletter.html>

❑ BASIC INFORMATION

- **Regional Association:** ACG
- **LEI Number:** 549300CMH3J8ASUM8N29
- **Local Currency:** Singapore Dollar (SGD)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Stock Exchange
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☒ Equities
 - ☒ Collective Investment Vehicles
 - ☒ Government Debt
 - ☒ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD offers both Commercial Bank money and Central Bank money for settlement

- **Type of Participants**
 - o **Domestic**
Custodian (28), Brokers (20)

❑ FULL TIME EMPLOYEES: 725 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	-	99,289.221	123,225.148
Other Income	-	-	-
	-	99,289.221	123,225.148

❑ LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - o **Number of Links with other CSDs - 1**
 - Both Inbound and Outbound – 1 (Only Direct)
 - o **Purpose of Links with other CSDs**
 - Only FOP – 1(Only Direct)

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	-		1,550,000		1,620,000	
Omnibus Accounts	-		3,226		3,023	
<u>Number of Participants</u>						
Domestic Participants	-		49		48	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	-	-	482	259	470	253
Debt (corporate)	-	-	322	3,261	127	4,090

in USD (in millions i.e., '000000)						
Conversion Rate	-	1.365	1.343			
Settlement Instruction (During the year)						
Number of Instructions	-	6.159	10.252			
Corporate Action Events (During the year)						
Number of Events handled by CSD	-	0.002	0.002			
Value of Corporate action	-	47,629.516	33,952.065			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	-	-	360,123.104	326,377.959	402,469.715	295,802.899

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☑ Trade Repository Services
- ☑ Information Services
- ☑ National Numbering Agency Services
- ☑ Technological solutions
- ☑ Triparty Services
- ☑ Legal Entity Identifier (LEI) Services
- ☑ Valuation Services

- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

☐ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- CDP initiated the pilot wave to 12,000 account holders, informing them that CDP will be going cheque-free progressively in 2020.
- CDP also implemented paperless handling of estate statement requests from law firms and replaced cheque payment with electronic payment modes
- CDP implemented the online account opening for individual securities account. These accounts are straight through and opened within 15 minutes.

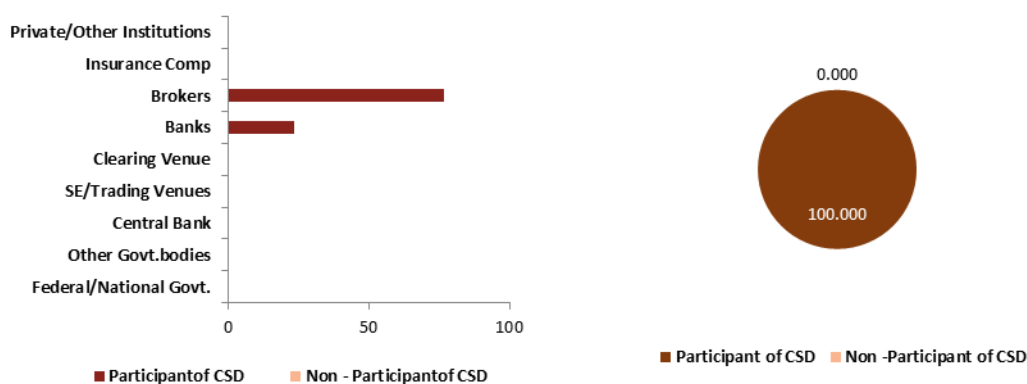
❑ BASIC INFORMATION

- **Regional Association:** AMEDA
- **LEI Number:** 4117IB8J63IU02SES575
- **Local Currency:** Tunisian Dinar (TND)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI.

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- **Type of Participants**
 - o **Domestic**
Custodian (43), Others (86)

☐ **FULL TIME EMPLOYEES: 27 (AS ON 31-Dec-19)**

☐ **ANNUAL REVENUE**

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	1,424.922	0.002	0.002
Other Income	325.696	0.000	0.001
	1,750.618	0.002	0.002

☐ **LINKS WITH OTHER CSDs**

- CSD has no links with other CSD

☐ **STATISTICS & VOLUME**

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Omnibus Accounts	10,962		11,623		11,375	
<u>Number of Participants</u>						
Domestic Participants	129		129		129	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	85	-	87	-	86	-
Debt (Federal/ National Govt.)	35	-	34	-	37	-
Debt (corporate)	238	-	266	-	278	-
Others	223	-	228	-	243	-

	in USD (in millions i.e., '000000)					
Conversion Rate	2.456	2.795	2.783			
Settlement Instruction (During the year)						
Number of Instructions	0.500	0.707	0.550			
Value of Instructions	3.547	3.633	0.000			
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.001	0.001	0.001			
Value of Corporate action	1.093	1.681	0.000			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	9.038	-	8.728	-	-	-
Debt (Federal/ National Govt.)	5.496	-	4.865	-	-	-
Debt (corporate)	1.140	-	1.002	-	-	-
Others	-	-	0.107	-	-	-

☐ **OTHER SERVICES (AS ON 31-Dec-19)**

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services

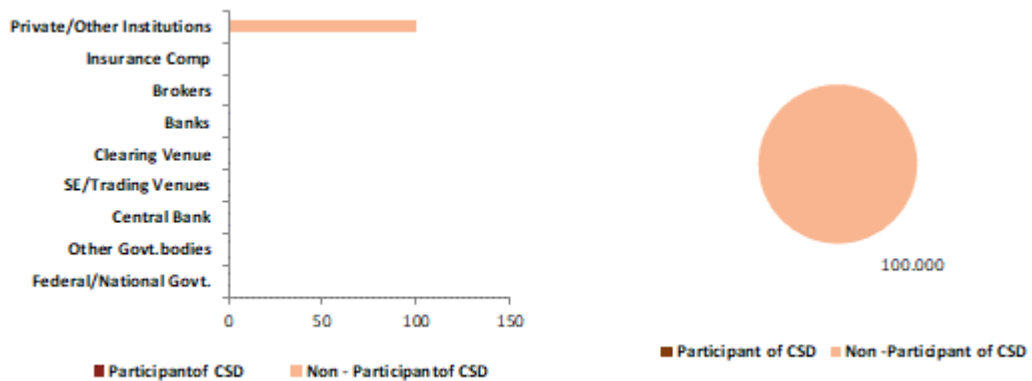
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 5967007LIEEXZX9IE075
- **Local Currency:** Norwegian Krone (NOK)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is owned or controlled by Holding Company that also owns other FMIs
- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Beneficial Owner (Omnibus accounts can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD settles in Central Bank money

- Type of Participants

- **Domestic**
Custodian (1), Non-custodian Banks (12), Brokers (4), Others (4)
- **Non-domestic**
Custodian (7), Brokers (3), Others (3)

❑ **FULL TIME EMPLOYEES: 100 (AS ON 31-Dec-19)**

❑ ANNUAL REVENUE

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	56,422.701	50,652.311	50,596.126
Other Income	190.160	-	1,308.838
	56,612.861	50,652.311	51,904.964

❑ LINKS WITH OTHER CSDs

- CSD has links with other CSD
 - **Number of Links with other CSDs - 7**
 - Only Outbound – 7 (Only Indirect)
- **Purpose of Links with other CSDs**
 - Only FOP – 7(Only Indirect)

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17	As on 31-Dec-18	As on 31-Dec-19			
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	860,692	-	1,333,025			
Omnibus Accounts	7,006	-	5,739			
<u>Number of Participants</u>						
Domestic Participants	28	21	21			
Non-domestic Participants	8	13	13			
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	1,180	97	0	-	0	-
CIV	357	462	-	-	-	-
Debt (Federal/ National Govt.)	618	-	-	-	-	-
Debt (Other Govt. bodies)	235	-	-	-	-	-
Debt (corporate)	2,079	481	-	-	-	-
Others	439	847	-	-	-	-

in USD (in millions i.e., '000000)						
<u>Conversion Rate</u>	8.204		9.064		9.113	
<u>Settlement Instruction (During the year)</u>						
Number of Instructions	13.210		13.000		14.000	
Value of Instructions	48,901,894.274		4,964,733.841		5,254,726.955	
<u>Corporate Action Events (During the year)</u>						
Number of Events handled by CSD	0.013		0.025		0.026	
Value of Corporate action	0.000		0.000		0.000	
<u>Value on Deposit</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	0.000	-	0.000	-	0.000	-

☐ **OTHER SERVICES (AS ON 31-Dec-19)**

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): Tax services, end investor portal, AGM, other value-added services to issuers and end investors

☐ **MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)**

VPS was acquired by Euronext in 2019

❑ BASIC INFORMATION

- **Regional Association:** ACG
- **Local Currency:** Vietnamese Dong (VND)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI. VSD is a wholly State-owned limited liability company
- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☑ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt, Others
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD offers both Commercial Bank money and Central Bank money for settlement
- **Type of Participants**
 - **Domestic**
 - Custodian (5), Brokers (82), Others (23)
 - **Non-domestic**
 - Custodian (8), Others (3)

❑ FULL TIME EMPLOYEES: 173 (AS ON 31-Dec-19)

❑ ANNUAL REVENUE

	in USD (in thousands i.e., '000)		
	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	9,505.604	24,199.970	22,816.597
Other Income	-	-	-
	9,505.604	24,199.970	22,816.597

❑ LINKS WITH OTHER CSDs

- CSD has no links with other CSD

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
Number of accounts held by CSD						
Number of Participants						
Domestic Participants	85		111		110	
Non-domestic Participants	7		7		11	
Number of eligible issues						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	0	-	1,699	-	1,754	-
CIV	-	-	5	-	5	-
Debt (Federal/ National Govt.)	-	-	550	-	451	4
Debt (Other Govt. bodies)	-	-	-	-	41	-
Debt (corporate)	-	-	30	-	27	-
Others	-	-	4	-	42	-

in USD (in millions i.e., '000000)

Conversion Rate	22,710.576	23,080.000	23,230.000			
Settlement Instruction (During the year)						
Number of Instructions	0.000	0.000	0.000			
Value of Instructions	0.000	0.000	0.000			
Corporate Action Events (During the year)						
Number of Events handled by CSD	0.000	0.000	0.000			
Value of Corporate action	0.000	0.000	0.000			
Value on Deposit						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	24,573.568	-	30,933.592	-	33,544.414	-
CIV	83.661	-	137.447	-	207.813	-
Debt (Federal/ National Govt.)	44,036.744	-	47,391.103	-	49,780.703	-
Debt (corporate)	572.420	-	1,178.212	-	1,250.306	-
Others	2,700.000	-	-	-	-	-

❑ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify): - Providing securities registration, depository, clearing, settlement and corporate actions processing; Securities lending and borrowing; Transfer agent and fund management services to open-ended funds and ETFs; Acting as CCP for derivatives market

❑ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

1. Participating in finalizing 2019 Securities Law
2. Successfully launching services for covered warrants
3. Clearing and settlement for Government bond futures
4. Getting ready to provide services to voluntary supplementary pension funds

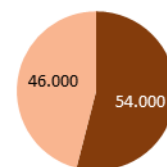
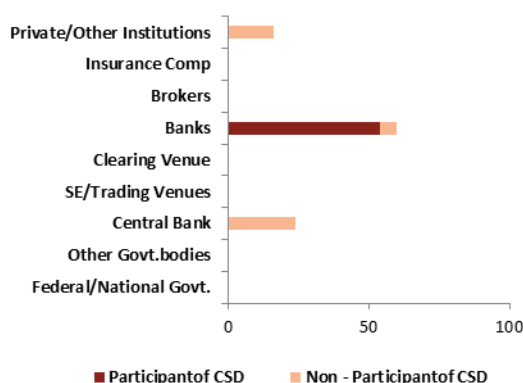
❑ BASIC INFORMATION

- **Regional Association:** ECSDA
- **LEI Number:** 529900HDNBQ2DD0QHJ07
- **Local Currency:** Danish Krone (DKK)

❑ OWNERSHIP (AS ON 31-Dec-19)

- CSD is not a part of group of infrastructure of Stock Exchange, Central Bank or Holding Company that owns other FMI.

- **Shareholding Pattern (in %)**



- Shares of CSD or Holding Company are not traded publicly.

❑ MARKET STRUCTURE (AS ON 31-Dec-19)

- **Principal Account structure:** Omnibus (Beneficial Owner account can also be opened)
- **Financial Instruments accepted for deposit and/or settlement:**
 - ☑ Equities
 - ☑ Collective Investment Vehicles
 - ☑ Government Debt
 - ☑ Corporate Debt
 - ☒ Others
- **Financial Instruments held in**
 - Dematerialized form** Equity, Collective Investment Vehicles, Government Debt, Corporate Debt
 - Immobilized form** -
- CSD or its group company does not have banking license
- CSD has DVP solution
- CSD offers both Commercial Bank money and Central Bank money for settlement

- Type of Participants

- **Domestic**
Custodian (3), Non-custodian Banks (46), Others (6)
- **Non-domestic**
Custodian (5), Non-custodian Banks (13), Others (47)

❑ **FULL TIME EMPLOYEES: 186 (AS ON 31-Dec-19)**

❑ ANNUAL REVENUE

in USD (in thousands i.e., '000)

	01-Jan-17 to 31-Dec-17	01-Jan-18 to 31-Dec-18	01-Jan-19 to 31-Dec-19
Revenue from Operations	65,322.363	61,349.049	62,081.031
Other Income	5,294.545	6,164.120	5,769.966
	70,616.907	67,513.169	67,850.997

❑ LINKS WITH OTHER CSDs

- **CSD has links with other CSD**
 - **Number of Links with other CSDs - 4**
 - Only Inbound - 3 (Only Direct)
 - Only Inbound - 1 (Only Indirect)
 - **Purpose of Links with other CSDs**
 - Both DVP & FOP - 3 (Only Direct)
 - Both DVP & FOP - 1 (Only Indirect)

❑ STATISTICS & VOLUME

Particulars	As on 31-Dec-17		As on 31-Dec-18		As on 31-Dec-19	
<u>Number of accounts held by CSD</u>						
Beneficial Owner Accounts	3,000,000		3,042,303		3,006,564	
Omnibus Accounts	1,500		1,500		1,506	
<u>Number of Participants</u>						
Domestic Participants	286		56		55	
Non-domestic Participants	64		63		65	
<u>Number of eligible issues</u>						
Instrument Type	Domestic	Foreign	Domestic	Foreign	Domestic	Foreign
Equities	403	21	475	1,718	476	2,728
CIV	1,083	74	1,125	70	1,143	80
Debt (Federal/ National Govt.)	18	5	18	4	19	3
Debt (Other Govt. bodies)	50	-	56	-	52	-
Debt (corporate)	1,958	69	1,970	46	2,020	31
Others	112	1,218	-	-	-	-

in USD (in millions i.e., '000000)

in USD (trillions i.e., 000000)							
<u>Conversion Rate</u>		6.209		6.274		6.276	
<u>Settlement Instruction (During the year)</u>							
Number of Instructions		16.800		16.984		16.654	
Value of Instructions		6,572,760.329		6,743,737.578		8,919,763.688	
<u>Corporate Action Events (During the year)</u>							
Number of Events handled by CSD		0.000		0.000		0.000	
Value of Corporate action		299.743		0.000		0.000	
<u>Value on Deposit</u>							
Instrument Type		Domestic	Foreign	Domestic	Foreign	Domestic	Foreign

Equities	447,306.878	7,893.981	386,555.693	29,543.230	484,313.929	56,467.344
CIV	241,235.509	4,007.792	225,531.497	4,016.612	253,484.747	4,844.808
Debt (Federal/ National Govt.)	127,399.256	668.744	123,958.632	656.492	125,101.845	522.831
Debt (Other Govt. bodies)	6,362.409	-	5,402.454	-	7,308.029	-
Debt (corporate)	470,396.743	901.000	487,505.371	781.033	511,716.475	632.538
Others	2,417.915	21,279.650	-	-	-	-

☐ OTHER SERVICES (AS ON 31-Dec-19)

- ☒ Trade Repository Services
- ☒ Information Services
- ☒ National Numbering Agency Services
- ☒ Technological solutions
- ☒ Triparty Services
- ☒ Legal Entity Identifier (LEI) Services
- ☒ Valuation Services
- ☒ Cash Account and other Cash Services
- ☒ e-Voting Platform
- ☒ Crowdfunding Platform
- ☒ Funds Order Routing Platform
- ☒ None of the above
- ☒ Others (Please specify)

☐ MOST IMPORTANT EVENTS DURING THE PAST YEAR (AS ON 31-Dec-19)

- New strategy approved and launched 2019.
- Merger of VP Services A/S into VP Securities A/S with effect 1 January 2019.
- Initiation of CSDR Settlement Discipline Regime project and Shareholders Rights Directive II project.

DEFINITIONS & ABBREVIATIONS

- **Beneficial Owner:** An account structure where securities are held at the level of the individual end-investor.
- **Cash Account and other Cash Services:** CSD provides Cash account maintenance and FX services.
- **Funds Order Routing Platform:** CSD provides platform to investors to place their order of subscription, redemption, and other type of orders for funds
- **Collective Investments Vehicles (CIV) (i.e. Funds):** Securities representing a portion of assets pooled by investors run by a management company whose share capital remains separate from such assets and includes issues of shares or units in the form of a unit trust, mutual fund, OICVM, OPCVM, SICAV, SICAF, and so on. Collective Investment Vehicles include the following: (a) Standard Investment Funds/Mutual Funds, (b) Hedge Funds, (c) Real Estate Investment Trust (REIT), (d) Exchange Traded Funds (ETF), (e) Pension Funds, (f) Funds of Funds, and (g) Private Equity Funds.
- **Corporate Action Events:** Corporate action events which either result into debit or credit of securities in the accounts maintained by CSD or cash entitlement processed by CSD to credit the account of Client in case of beneficial owner account or participant in case of omnibus account.
- **Crowdfunding Platform:** CSD provides infrastructure for crowdfunding market and supports the development of the crowdfunding market, by providing services to issuers, investors, intermediaries, and supervisory authorities through crowdfunding platform. Crowdfunding platforms facilitate issuers and investors to check issuance or investment limits, and members of the general public interested in crowdfunding to access related information and statistical data.
- **Debt:** Financial instruments evidencing monies owed by the issuer to the holder on terms as specified. Debt includes the following: (a) Bonds (b) Convertible Bonds (c) Bonds with Warrants Attached, (d) Medium-Terms Notes, (e) Money Market Instruments, (f) Structured Instruments (capital protection), (g) Structured Instruments (without capital protection), (h) Mortgage-Backed Securities, (i) Asset-Backed Securities, (j) Municipal Bonds, and (k) Depository Receipts on Debt Instruments.
- **Dematerialised form of securities:** 'Dematerialised form' means that the financial instruments exist in the records of the CSD. The issue is usually documented by a record maintained by the issuer or a CSD or some other intermediary. The securities issued are credited to securities accounts.
- **Equities:** Financial instruments represent an ownership interest in an entity or pool of assets. Equities include the following: (a) Common/ordinary shares, (b) Preferred/preference shares, (c) Common/ordinary convertible shares, (d) Preferred/preference convertible shares, (e) Limited partnership units, (f) Depository receipts on equities, and (g) Structured instruments (participation).
- **e-Voting Platform:** CSD provides an e-Voting Platform to the issuers.
- **Full-Time Employees:** Employees who are on the payroll of the CSD or directly attributable to the CSD in another (group) legal entity. Part-time employees should also be counted as full-time employee numbers by converting them into full-time equivalents (*e.g. two employees working part-time for a half day each should be considered as one employee*).

- **Immobilised Form of Securities:** Immobilisation involves concentrating the holding of securities in a CSD. The deposit of securities may be done in the form of individual certificates, a combined certificate, known as a global or jumbo note/certificate which represents all or part of the securities of a particular issue, or a letter by the issuer evidencing entrustment of a certain quantity of securities of a specific type. Transfers of immobilised securities thus can take place by electronic book-entries by intermediaries and do not require actual movement of certificates.

Immobilisation is hence the act of concentrating the holding of securities certificates with a depository to allow the crediting of an equal amount of securities to securities accounts and the transferability of such securities by way of book entry.

- **Information Services:** CSD collects securities, corporate actions, and issuers and registrars information from different sources and distributes it in a customised and structured way via online database and/or via the website.
- **Legal Entity Identifier (LEI) Services:** CSD assigning Legal Entity Identification (LEI) codes.
- **National Numbering Agency Services:** CSD is authorised to allocate the ISIN, CFI and other international codes.
- **Omnibus:**
 - Omnibus Account Structure: Securities for more than one client are comingled within the account(s) of Intermediaries.
 - Segregated Omnibus Account Structure: An omnibus account allowing for segregation of individual CSD participant clients' assets.
- **Others instrument:** All other instruments that do not fit in Equities, Collective investments vehicles and Debt as defined above.
- **Other CSDs:** CSD that is incorporated in the same Jurisdiction as well as other jurisdictions.
- **Participant:** Participants include any entity having signed an agreement of participation for operating accounts or for participation in the CSD settlement system. In a tiered system, custodian banks or other CSDs hold accounts with the CSD. In a non-tiered system, every private individual can have an account with the CSD. However, the accounts are operated by only a few companies that are the account operators. These are companies operating the accounts of (private) customers in non-tiered systems and are typically banks.

Participants do not include investors or issuers using the CSD's registration service or share transfer agents of issuers, or using CSD ancillary services that are not directly linked to their participation in the settlement system.

- **Domestic Participant:** Domestic Participants are those located (incorporated) in the same country as the CSD.

- **Non-Domestic Participant:** Non-Domestic Participants are those that are located (incorporated) in a different country than where the CSD is established.
- **Participant type:**
 - In case the same participant is a Custodian and also a Bank then mention the count under Custodian.
 - In case the same participant is Custodian and also a Broker then mention the count under Custodian.
 - In case the same participant is a Bank and also a Broker then mention the count under Bank.
- **Settlement Instructions:**
 - Number of delivery instructions from 1 January to 31 December.
 - This number covers all instructions to move securities between accounts.
 - For trades not cleared by a CCP: data related to delivery instructions is reported on a gross basis (without netting). For trades cleared by a CCP: data related to delivery instructions is reported on a post-netting basis.
- **Delivery instructions include:**
 - Instructions to block (and un-block) securities for collateralisation purposes on a borrower's securities account with the CSD.
 - Securities movements due to automatic securities lending or automatic collateralisation (including self-collateralisation).
 - Delivery instructions to move securities from the participant's own account to his omnibus account and vice versa when there is segregation on a participant's account with the CSD.
 - Delivery instructions related to the transfer of securities between two accounts of the same account operator in a non-tiered system.
- **Delivery instructions exclude:**
 - Instructions related to securities movements due to corporate actions (restructuring the ownership of a company through e.g. a stock split or conversion), new issues, and redemptions.
 - Instructions related to purely technical bookings such as realignment procedures.

For the number of delivery instructions:

In principle, only delivery instructions are counted.

- An instruction to transfer two or more securities (ISIN or national codes) is counted as two (or more) instructions.
- If the CSD receives two instructions regarding the same trade (e.g. one from the seller and one from the buyer of the securities), only one instruction is reported (either the one of the seller or the one of the buyer, but not both of them). Further, when processing an instruction to transfer securities from a seller to a buyer requires two or more transfers, due to movement of securities from (i) a client to a clearing member, (ii) a clearing member to a CCP, (iii) a CCP to a

clearing member and (iv) a clearing member to a client, only one transfer is to be reported, preferably, from a client to a clearing member.

- For transfers through a link between CSDs, only the issuer CSD reports. When the issuing CSD is not involved (e.g. transfers through the “bridge”), only the delivering CSD reports.
- **Technological solutions:** CSD provides access to EDI systems, SWIFT, and/or outsourcing of IT services.
- **Trade Repository Services:** CSD provides services for OTC transactions reporting by market participants due to applicable laws and regulations requirements.
- **Triparty Services:** CSD offers its clients collateral management services for OTC transactions such as REPO, securities lending and derivatives.
- **Value of Deposit:** Market price as on the last business day of the calendar year should be considered for valuation. In case of collective investment vehicles per unit net asset value (NAV) or if market price is available then market price should be considered. When market price / NAV as of last business day of the calendar year is not available, then the latest available price should be used. In case instrument for which market price is not available face value should be used.
- **Valuation Services:** CSD provides an automatic system to calculate market prices of financial instruments.