

**On approval of Regulation on the procedure of compiling administrative data by the depository institutions which carry out depository activity of a securities custodian, and submission of relevant documents to the Securities and Stock Market State Commission**

**Resolution of the Securities and Stock Market State Commission  
of January 17, 2006 under No 4**

**Registered with the Ministry of Justice of Ukraine  
on April 4, 2006 under No 378/12252**

With changes and amendments introduced by the resolution of  
the Securities and Stock Market State Commission (SSMSC)  
of October 17, 2006 under No 1003

According to the Laws of Ukraine “On State Regulation of the Securities Market in Ukraine”, “On the National Depository System and Specifics of Electronic Circulation of Securities in Ukraine”, “On money laundering”, “On non-state pension provision” the Securities and Stock Market State Commission **RESOLVES**:

1. Approve Regulation on the procedure of compiling administrative data by the depository institutions which carry out depository activity of a securities custodian, and submission of relevant documents to the Securities and Stock Market State Commission (is enclosed).
2. M. Nepran, Chief of Staff of the Securities and Stock Market State Commission, shall provide:  
  
state registration of this Regulation with the Ministry of Justice of Ukraine;  
  
publication of this Regulation according to effective legislation of Ukraine;
3. Entrust control over implementation of this resolution with M. Nepran, Chief of Staff of the Securities and Stock Market State Commission.
4. This decision shall come into force along with coming into force of the Law of Ukraine “On securities and the stock exchange” of February 23, 2006 under No 3480-IV.

**Chairman of SSMSC**

**A. Balyuk**

**AGREED:**

**Head of the State Committee of Ukraine on  
Regulatory Policy and Entrepreneurship**

**A. Dashkevych**

**Head of the State Committee for Financial  
Monitoring of Ukraine**

**S. Gurzhiy**

Minutes of SSMSC meeting of January 17,  
2006, registration No 1

APPROVED  
by the resolution of the Securities and  
Stock Market State Commission  
of January 17, 2006, registration No 4

Registered with  
the Ministry of Justice of Ukraine  
on April 4, 2006 under No 378/12252

**Regulation**  
**on the procedure of compiling administrative data by the depository institutions**  
**which carry out depository activity of a securities custodian, and submission of**  
**relevant documents to the Securities and Stock Market State Commission**

This Regulation is developed according to the Laws of Ukraine “On State Regulation of the Securities Market in Ukraine”, “On the National Depository System and Specifics of Electronic Circulation of Securities in Ukraine”, “On Non-state Pension Provision”, “On Money Laundering”, and Regulation on depository activity approved by the resolution of the Securities and Stock Market State of May 26, 1998 under No 61.

(preamble with changes introduced according to the resolution of the  
Securities and Stock Market State Commission of 10.17.2006 under No1003)

**1. GENERAL PROVISIONS**

1.1. This Regulation shall specify the composition, terms and procedure of submission of administrative data on activities of the depository institutions (hereinafter referred to as Data) which carry out depository activity of a securities custodian (hereinafter referred to as the Custodian) to the Securities and Stock Market State Commission (hereinafter referred to as SSMSC).

1.2. For the purposes of this Regulation the terms are used in the following meaning:

share package holder is a legal or natural person, resident or non-resident on securities account of which at the Custodian the shares of a certain issuer are registered in the amount that is equal to 10 and more percent of the statutory capital of the issuer;

mortgage backed securities holder is a legal or natural person, resident, or non-resident on securities account of which at the Custodian the mortgage backed securities are registered.

(item 1.2 of chapter 1 is supplemented with new paragraph 3 according to the  
resolution of the Securities and Stock Market State Commission of 10.17.2006 under

No 1003, in this connection paragraphs 3-5 shall be deemed paragraphs 4-6 accordingly)

the date of emergence of irregular Data is the date of emergence of changes on personal securities accounts of depositors of the Custodian with regard to ownership of the amount of the shares which make up 10% or more of the statutory capital of the issuer (acquiring a share package, increase, decrease, retirement), the date of opening or closing accounts of such holders and/or the date of emergence of changes on personal securities accounts of depositors of the Custodian with regard to ownership of mortgage backed securities (acquiring mortgage backed securities, increase, decrease, retirement, redemption);

(paragraph 4 of item 1.2 of chapter 1 with changes introduced according to the resolution of the Securities and Stock Market State Commission of 10.17.2006 under No 1003)

Data file book is an electronic logbook as part of the program and technical complex of reception of Data which shall fix automatically the data on the date of beginning of data checking, the date of their reception or accumulation, the unique number under which the Date reception is registered and the data on final reception of Data after their checking (without attendance of operator). Data in the file book are protected from introduction of unauthorized data changes in them.

irregular Data are the data on the persons which own 10% and more of the shares of issuers and/or on the persons that own mortgage backed securities.

(paragraph 6 of item 1.2 of chapter 1 with changes introduced according to the resolution of the Securities and Stock Market State Commission of 10.17.2006 under 1003)

## **2. Regular Data of the Custodian**

2.1. Custodians shall provide Data to the central SSMSC staff:

2.1.1. Quarterly data – through the 15<sup>th</sup> day of the month following the reporting quarter.

2.1.2. Annual data – by April 1 of the year following the reporting one.

2.1.3. Quarterly Data of the Custodian shall be provided as of the last day of the quarter for which the data are provided. Quarterly Data of the Custodian shall include:

a) title page (Addendum 1);

b) data on the securities custodian (Addendum 2);

c) list of securities emissions served by the securities custodian (Addendum 3);

d) distribution of securities among depositors (Addendum 4)

e) distribution of securities emissions among share package holders and mortgage backed securities holders (Addendum 5);

(subitem “e” of subitem 2.1.3 of item 2.1. of chapter 2 in the version of the Securities and Stock Market State Commission of 10.17.2006 under 1003)

f) administrative and information operations performed by the securities custodian (Addendum 6)

- g) discount transactions performed by the securities custodian (Addendum 7);
- h) list of non-state pension funds served by the securities custodian (Addendum 8);
- i) list of certified persons (Addendum 9);
- j) data on tariffs on the services of the securities custodian (Addendum 10);
- k) data on share package holders (Addendum 11);
- l) information on providing of irregular information on share package holders and mortgage backed securities holders (Addendum 12);

(subitem "l" of subitem 2.1.3 of item 2.1 of chapter 2 in the version of the resolution of the Securities and Stock Market State Commission of 10.17.2006 under 1003)

- m) data on mortgage backed securities (addendum 13);

(subitem 2.1.3 of item 2 of chapter 2 is supplemented with new subitem "l" according to resolution of the Securities and Stock Market State Commission of 10.17.2006 under 1003, in this connection subitem "m" shall be deemed subitem "n" accordingly)

- n) financial accounting according to Regulation (standard) of accounting 2 "Balance" approved by the order of the Ministry of Finance of Ukraine of March 31, 1999 under No 87 registered with the Ministry of Justice of Ukraine on June 21, 1999 under No 396/3689, Regulation (standard) of accounting 3 "Income Statement", approved by order of the Ministry of Finances of Ukraine of March 31, 1999 under No 87 and registered with the Ministry of Justice of Ukraine on June 21, 1999 under No 397/3690 (except for banks).

2.1.4. The electronic form of Data consists of the files established by a separate SSMSC order.

2.1.5. Custodians shall provide information in the form of certificates to the SSMSC central staff on the following:

- a) imposing sanctions for the violations associated with economic and financial activity by other state authorities during the reporting period along with an indication of the date of sanction imposition, the body which imposed the sanction, the causes of its imposition, the type and size of the sanctions and implementation of the sanctions as of the date of submission of Data.
- b) facts of seizure of accounts of the Custodian;
- c) facts of initiation of criminal and administrative charges during the reporting period;
- d) nonpresentation or presentation of inadequate information on the value of net assets of the pension fund by the asset management company.

Certificates shall be presented exclusively in a paper free form.

2.2. Annual Data of the Custodian shall be submitted as of January 31 of the reporting year. Annual Data of the Custodian shall include financial reporting confirmed by an auditors' report.

The banks that carry out depository activity of a Custodian shall submit their financial reporting according to Instruction on the procedure of drawing up and publication of financial reporting of

banks of Ukraine approved by the resolution of the Board of the National Bank of Ukraine of December 228, 2004 under No 1660/10259.

2.3. A paper form of annual financial reporting shall be submitted to SSMSC once as part of any annual reporting of a participant of the securities market provided for by SSMSC regulatory and legal acts.

2.4. All Addenda and certificates in a paper form presentation of which is provided for by this Regulation are certified by a signature of the Custodian director and a stamp of the Custodian. The signature of the Custodian director and a stamp of the Custodian on the title page of quarterly Data and on a paper form of irregular Data shall confirm the identity of Data in paper and in electronic forms.

### **3. Irregular Data**

3.1. Irregular Data on share package holders and mortgage backed securities holders shall be provided to the SSMSC central staff within 3 days after the date of the emergence of changes on personal securities accounts of depositors of the Custodian as a result of:

(paragraph 1 of item 3.1 of chapter 3 in the version of the resolution of the Securities and Stock Market State Commission of 10.17.2006 under No 1003)

changes on a securities account (account opening) of a depositor of the Custodian with the result that it becomes a holder of the issuer's share package in the amount of 10% and more of the statutory capital and/or with the result that its becomes a mortgage backed securities holder;

(paragraph 2 of item 3.1 of chapter 3 with changes introduced according to the resolution of the Securities and Stock Market State Commission of 10.17.2006 under No 1003)

an increase or a decrease in the amount of shares on a personal securities account of an owner of the issuer's share package amounting from 10 to 100% of the statutory capital and/or as a result of an increase or a decrease in the number of mortgage backed securities on a personal securities account of the holder;

(paragraph 3 of item 3.1 of chapter 3 with changes introduced according to the resolution of the Securities and Stock Market State Commission of 10.17.2006 under No 1003)

changes on a personal account of a share package holder with the result that its ownership of shares of the issuer becomes less than 10% of the statutory capital (or closing of account) and/or changes on a personal account of the mortgage backed securities holder as a result of redemption of mortgage backed securities (or closing of account).

(paragraph 4 of item 3.1 of chapter 3 with changes introduced according to the resolution of the Securities and Stock Market State Commission of 10.17.2006 under No 1003)

3.2. Data on share package holders of each issuer and/or mortgage backed securities holders shall be presented in the form of the files established by SSMSC.

(item 3.2 of chapter 3 with changes introduced according to the resolution of the Securities and Stock Market State Commission of 10.17.2006 under No 1003)

3.3. In case changes in a securities account of the depositor took place repeatedly within one transaction day, Data on share package holders and/or mortgage backed securities holders shall be submitted as of the time of closing of the transaction day.

(item 3.3 of chapter 3 with changes introduced according to the resolution of the Securities and Stock Market State Commission of 10.17.2006 under No 1003)

3.4. In the event of passing of a share package into the ownership of the state in accordance with legislation within three business days from the date of the introduction of relevant changes in an account of the depositor the Custodian shall be obliged to inform SSMSC about this.

3.5. In the event of discovery of the violations of legislation on the introduction of activities on NPF asset management committed by the person who provides NPF asset management, the Custodian within one business day from the date of discovery of such a violation shall provide relevant information to SSMSC in writing. Such information shall be submitted by a representative of the Custodian to the general office of the central staff of SSMSC or by mail with an advice of delivery of the paper form.

#### **4. Procedure of submission of Data by Custodians**

4.1. Data shall be given in electronic and paper forms.

4.2. The electronic Data form shall be complied by filling in tables and forms in Ukrainian provided for by this Regulation using software which provide formation of the files prepared with the use of coding RUS cp866 in DBASE-IV format.

4.3. Irregular Data on share package holders shall be submitted by Email to the address: [zowners@stockmarket.gov.ua](mailto:zowners@stockmarket.gov.ua). Irregular Data on mortgage backed securities holders shall be submitted by Email to the address: [ipot@stockmarket.gov.ua](mailto:ipot@stockmarket.gov.ua). After reception of Data by SSMSC the number under which Data are registered in the Data log book to shall be Emailed to the sender.

(item 4.3 of chapter 4 in the version of the resolution of the Securities and Stock Market State Commission of 10.17.2006 under No 1003)

4.4. A paper form of quarterly Data as to the Data composition shall comply with the electronic form.

4.5. The paper form of irregular Data (Addendum 11) shall be submitted along with quarterly Data and as to the Data composition shall comply with the irregular Data electronic form which was Emailed during the quarter.

4.6. Regular Data shall be accompanied by a letter of the Custodian which indicates the name of the Custodian, its location, telephone numbers, the reporting period and a list of the documents of the paper form and the files of the electronic form which are enclosed.

4.7. Data shall be deemed acceptable if they are submitted to SSMSC in electronic and paper forms in the terms and in the amount specified by this Regulation, the Data paper form as to its composition shall comply with the electronic form and contain all details specified by this Regulation, the Data shall be registered in the Data file book and a note about this shall be made on the Data title page.

4.8. In the event that the last day of submission is a nonbusiness day, the working day following the nonbusiness day shall be deemed the last day of submission.

4.9. If data are sent by mail, the date of submission shall be determined according to the mail stamp.

### **5. State control based on presentation of Data by Custodians**

5.1. State control over the Custodians' observance of requirements to Data presentation shall be exercised by SSMSC.

**Director of Department of monitoring and  
strategy of stock market development**

**O. Tabala**

Addendum 1  
to Regulation on the procedure of compiling  
of administrative data by depository  
institutions which carry out depository  
activity of the securities custodian and  
presentation of relevant documents to the  
Securities and Stock Market State  
Commission

**Title page**

APPROVED

I confirm the  
information, the data  
indicated in the  
electronic form  
enclosed comply with  
the data of the paper  
report form

Post	
Surname, name, patronymic	
Signature	
Date	_____ 200_

Stamp

Contact person on data complied	
Surname, name, patronymic	
Post	
Subdivision	
Telephone number with an indication of international and intercity telephone communication code	

**Information of the securities custodian for \_\_ quarter of 200\_\_**

Complied as of the date	_____ 200__
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Name of custodian	
Organizational and legal form	
YEDRPOU identification code	

No of license for carrying out professional activity on the securities market , namely: depository activity of the securities custodian					
Date of license issuance	_____ 200__				
<b>Information is received</b>					
Post	<table border="1"> <tr> <td>Registration number</td> <td></td> </tr> </table>	Registration number			
Registration number					
Surname, name, patronymic of employee of SSMSC	<table border="1"> <tr> <td align="center" colspan="2">Notes</td> </tr> <tr> <td colspan="2"></td> </tr> </table>	Notes			
Notes					
Date of reception of information	_____ 200__				
Signature					

(Addendum 1 in the version of the resolution of the Securities and Stock Market State Commission of 10.17.2006 under No 1003)

Addendum 2  
to Regulation on the procedure of  
compilation of administrative data by  
depository institutions which carry out  
depository activity of the securities  
custodian and presentation of relevant  
documents to the Securities and Stock  
Market State Commission

**Data on the securities custodian**

Custodian YEDRPOU identification code		Name of custodian	
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Location of custodian			
Classifier territorial code (KOATTU)		Telephone number(s) with indication of international and intercity telephone communication code	
Postal index			
Oblast		Fax numbers with indication of international and intercity telephone communication code	
Raion			
Inhabited locality		Email	
Street, building		Web site	

Information on stand alone structural subdivisions which carry out depository activity			
Classifier territorial code (KOATTU)		Telephone number(s) with indication of international and intercity telephone communication code	
Postal index			
YEDRPOU identification code		Fax number(s) with indication of international and intercity telephone communication code	
Surname, name, patronymic of director		Email	
Street, building		Web site	
Order to issue license copy		No	Date

Bank details of custodian			
Name of bank			
Current account		MFO	

Statutory capital	
Registered statutory capital amount, thousands of UAH	
Actually paid share of statutory capital, thousands of UAH	

Membership in SRO			
Name of SRO custodian is a member thereof			
Identification SRO YEDRPOU code		Date of entry into SRO	_____ 200_

Participation in depository			
Name of depository			
Identification depository YEDRPOU code		Date of opening account in depository	_____ 200_
Shareholder of depository (yes/no)		No of depository agreement	

Information on management of custodian	
Surname, name, patronymic of director	
Surname, name, patronymic of deputy director	
Surname, name, patronymic of depository unit head	
Surname, name, patronymic of chief accountant	

Information on internal financial monitoring	
Date and No of document on approval of rules of internal financial monitoring	
Date and No of document on approval of internal financial monitoring program	
Date and No of document on appointment of employee responsible for internal financial monitoring	
Surname, name, patronymic of employee responsible for internal financial monitoring	

Information on audit			
Name of auditor (audit firm)			
Date of issue and No of certificate on entry in Register of audit firms and auditors which provide audit services individually	_____ 200_	Identification audit firm YEDRPOU code	
		Date of last audit	_____ 200_

Director \_\_\_\_\_ / \_\_\_\_\_ /  
 \_\_\_\_\_ (post) (signature)  
 (initials, surname)

Stamp  
 (Addendum 2 in the version of the resolution of the Securities and Stock Market State Commission of 10.17.2006 under No 1003)

Addendum 3  
to Regulation on the procedure of compiling  
administrative data by depository  
institutions which carry out depository  
activities of securities custodian and  
presentation of relevant documents to the  
Securities and Stock Market State  
Commission

No	Issuer data		Security data					Registrar data/ depository***		Total number of accounts of depositors on which securities are registered, pieces	Number of securities of depositors on securities accounts at custodian		Total nominal value of securities of depositors on securities accounts at custodian (UAH)	
	Identification YEDRPOU code	name	type, form of issue and category	form of existence	international identification No	nominal value of one security (UAH)	method of custody** (collective/ separated)	identification YEDRPOU code	name		total number of securities, pieces	including securities registered on accounts in depository, pieces	total nominal value of securities, (UAH)	including nominal value of securities registered on accounts in depository (UAH)
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15

Identification custodian YEDRPOU code		Name of custodian	
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**List of issues of securities served by the securities custodian\*  
as of \_\_\_\_\_ 200\_**

\* With regard for own issues of securities of the custodian and own accounts of the custodian.

\*\* If information is available.

\*\*\* For certified securities the details of the registrar which serves the given issue of securities are indicated; for uncertified securities the details of depository institution wherein the global issue certificate is placed are indicated.

Director \_\_\_\_\_ / \_\_\_\_\_ /

\_\_\_\_\_  
(signature) (post) (initials, surname)

Stamp

(Addendum 3 in the version of the resolution of the  
Securities and Stock Market State Commission of 10.17.2006  
under No 1003)

Addendum 4  
to Regulation on procedure of compiling  
administrative data by depository  
institutions which carry out depository  
activity of securities custodian and  
presentation of relevant documents to the  
Securities and Stock Market State  
Commission

Identification custodian YEDRPOU code		Name of custodian	
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**Distribution of issues of securities among depositors\***  
as of \_\_\_\_\_ 200\_

No				1				
Identification YEDRPOU code				2				
Name of securities issuer				3				
Type, form of issue and category of security				4				
International security identification code				5				
Nominal value of one security (UAH)				6				
Type of depositor	natural person	resident		number of securities accounts, pieces	7			
				total number of securities, pieces	8			
				total nominal value of securities (UAH)	9			
		non-resident		number of securities accounts, pieces	10			
				total number of securities, pieces	11			
				total nominal value of securities (UAH)	12			
	legal entity	resident	legal entities**		number of securities accounts, pieces	13		
					total number of securities, pieces	14		
					total nominal value of securities (UAH)	15		
		Including	banks			number of securities accounts, pieces	16	
						total number of securities, pieces	17	
						total nominal value of securities (UAH)	18	
			collective investment institutes			number of securities accounts, pieces	19	
						total number of securities, pieces	20	
						total nominal value of securities (UAH)	21	
insurance companies			number of securities accounts, pieces	22				
			total number of securities, pieces	23				
			total nominal value of securities	24				

				(UAH)	
		non-state pension funds	number of securities accounts, pieces	25	
			total number of securities, pieces	26	
			total nominal value of securities (UAH)	27	
		securities brokers	number of securities accounts, pieces	28	
			total number of securities, pieces	29	
			total nominal value of securities (UAH)	30	
		securities issuer	number of securities accounts, pieces	31	
			total number of securities, pieces	32	
			total nominal value of securities (UAH)	33	
		non-resident	number of securities accounts, pieces	34	
			total number of securities, pieces	35	
			total nominal value of securities (UAH)	36	
government bodies	without passing of corporate rights management to authorized persons	number of securities accounts, pieces	37		
		total number of securities, pieces	38		
		total nominal value of securities (UAH)	39		
	corporate rights management has been passed to authorized persons	number of securities accounts, pieces	40		
		total number of securities, pieces	41		
		total nominal value of securities (UAH)	42		
Total number of securities, pieces				43	
Total nominal value of securities (UAH)				44	

\* With regard for own securities issues of the custodian and own accounts of the custodian

\*\* Except for banks, collective investment institutes, insurance companies, non-state pension funds, securities brokers, securities issuers, government bodies.

Director \_\_\_\_\_ / \_\_\_\_\_ /

\_\_\_\_\_  
(signature) (post) (initials, surname)

Stamp

(Addendum 4 in the version of the resolution the Securities and Stock Market State Commission of 10.17.2006 under No 1003)

Addendum 5  
to Regulation on procedure of compiling  
administrative data by depository  
institutions which carry out depository  
activity of securities custodian and  
presentation of relevant documents to the  
Securities and Stock Market State  
Commission

Identification custodian YEDRPOU code		Name of custodian	
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**Distribution of securities between share package holders and mortgage securities holders\*  
as of \_\_\_\_\_ 200\_**

No	identification YEDRPOU code of securities issuer	name of securities issuer	type, form of issue and category of security	international securities identification No	nominal value of security (UAH)	type of depositor**	characteristic of resident (yes/no)	type of person (natural/legal)	country	identification YEDRPOU code and name of legal entity, surname, name, patronymic, No, and series of passport of natural person	number of registered securities of each issue on personal account	total nominal value of securities (UAH)	share of statutory capital (for shares) (%)
1	2	3	4	5	6	7	8	9	10	11	12	13	14

\* With regard for own securities issues of the custodian and own accounts of the custodian

\*\* Natural person, legal entity, bank, collective investment institute, insurance company, non-state pension fund, government body securities brokers, securities issuer

Director \_\_\_\_\_ / \_\_\_\_\_ /

\_\_\_\_\_  
(signature) (post) (initials, surname)

Stamp

(Addendum 5 in the version of the resolution of the  
Securities and Stock Market State Commission of 10.17.2006  
under No 1003)

Addendum 6  
to Regulation on procedure of compiling  
administrative data by depository  
institutions which carry out depository  
activity of securities custodian and  
presentation of relevant documents to the  
Securities and Stock Market State  
Commission

Identification custodian YEDRPOU code		Name of custodian	
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**Administrative and information operations performed by the securities custodian  
from \_\_\_\_\_ 20\_\_ through \_\_\_\_\_ 20\_\_**

No	Type of depositor	Number of open accounts as of the beginning of period, pieces	Number of opened accounts within period, pieces	Introduction of changes to account application form, pieces	Number of closed accounts for period, pieces	Number of opened accounts as of end of period, pieces
1	Natural persons - residents					
2	Natural persons – non-residents					
3	Legal persons - residents (except for government bodies)					
	including:					
	Collective investment institutes					
	Insurance companies					
	Pension funds					
	Banks					
	Securities broker					
	Securities issuers					
4	Legal persons – non-residents					
5	Government bodies (without passing of corporate rights management to authorized persons)					
6	Government bodies (corporate rights management of which has been passed to authorized persons)					

No	Type of operation	Number of operations performed for reporting quarter
1	Total number of information operations, pieces	
2	Including: number of accounting registries drawn up at request of registrar	
3	Number of accounting registers drawn up at request of depository, pieces	
4	Number of extracts from register made, pieces	

Director \_\_\_\_\_ / \_\_\_\_\_ /

\_\_\_\_\_

(post)

(signature)

(initials, surname)

Stamp

(Addendum 6 in the version of the resolution of the Securities and Stock Market State Commission of 10.17.2006 under No 1003)

Addendum 7  
to Regulation on procedure of compiling  
administrative data by depository  
institutions which carry out depository  
activity of securities custodian and  
presentation of relevant documents to the  
Securities and Stock Market State  
Commission

Identification custodian YEDRPOU code		Name of custodian	
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**Discount transactions performed by the securities custodian from \_\_\_\_\_ 20\_\_  
through \_\_\_\_\_ 20\_\_**

No		1	Total:		
Identification custodian YEDRPOU code		2			
Name of issuer		3			
Type, form of issue and category of security		4			
Nominal value of one security (UAH)		5			
International securities identification No		6			
Type of operation	entering (except for immobilization)	number of operations	7		
		number of securities (pieces)	8		
		total nominal value of securities (UAH)	9		
	amortization (except for materialization)	number of operations	10		
		number of securities (pieces)	11		
		total nominal value of securities (UAH)	12		
	transfers	number of operations	13		
		number of securities (pieces)	14		
		total nominal value of securities (UAH)	15		
	transfer of securities	without limiting circulation	number of operations	16	
			number of securities (pieces)	17	
			total nominal value of securities (UAH)	18	
with limiting circulation		number of operations	19		
		number of securities (pieces)	20		
		total nominal value of securities (UAH)	21		

	cancellation of circulation limitation	number of operations	22	
		number of securities (pieces)	23	
		total nominal value of securities (UAH)	24	
	securities immobilization	number of operations	25	
		number of securities (pieces)	26	
		total nominal value of securities (UAH)	27	
	securities materialization	number of operations	28	
		number of securities (pieces)	29	
		total nominal value of securities (UAH)	30	
Total amount of operations			31	
Total amount of securities, pieces			32	
Total nominal value of securities (UAH)			33	

Director \_\_\_\_\_ / \_\_\_\_\_ /

\_\_\_\_\_

(signature) (post) (initials, surname)

Stamp

(Addendum 7 in the version of the resolution of the Securities and Stock Market State Commission of 10.17.2006 under No 1003)

Addendum 8  
to Regulation on procedure of compiling  
administrative data by depository  
institutions which carry out depository  
activity of securities custodian and  
presentation of relevant documents to the  
Securities and Stock Market State  
Commission

Identification custodian YEDRPOU code		Name of custodian	
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**List of non-state pension funds served by the securities custodian,  
as of \_\_\_\_\_ 200\_**

No	Type of non-state pension fund	Identification YEDRPOU code	Name of non-state pension fund	Financial institution code	Registration number of non-state pension fund	Date of conclusion of agreement on servicing non-state pension fund	No agreement on servicing non-state pension fund	Identification asset management company YEDRPOU code	Name of asset management company	Identification non-state pension fund administrator YEDRPOU code	Name of pension fund administrator
1	2	3	4	5	6	7	8	9	10	11	12

Director \_\_\_\_\_ / \_\_\_\_\_ /

\_\_\_\_\_ (signature) (post) \_\_\_\_\_ (initials, surname)

Stamp

(Addendum 8 in the version of the resolution of the  
Securities and Stock Market State Commission of 10.17.2006  
under No 1003)

Addendum 9  
to Regulation on procedure of compiling  
administrative data by depository  
institutions which carry out depository  
activity of securities custodian and  
presentation of relevant documents to the  
Securities and Stock Market State  
Commission

Identification custodian YEDRPOU code		Name of custodian	
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**List of certified persons as of \_\_\_\_\_ 200\_**

No	Surname, name, patronymic	Post	Depository activity certificate			
			No	series	date of issue	valid up to
1	2	3	4	5	6	7

Director \_\_\_\_\_ / \_\_\_\_\_ /

\_\_\_\_\_  
(signature) (post) (initials, surname)

Stamp

(Addendum 9 in the version of the resolution of the  
Securities and Stock Market State Commission of 10.17.2006  
under No 1003)

Addendum 10  
to Regulation on procedure of compiling  
administrative data by depository  
institutions which carry out depository  
activity of securities custodian and  
presentation of relevant documents to the  
Securities and Stock Market State  
Commission

Identification custodian YEDRPOU code		Name of custodian	
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**Data on tariffs on services of the securities custodians as of \_\_\_\_\_ 200\_**

No	Type of service	Type of tariff	Tariff base	Maximum tariff	
				in UAH	expressed as percentage of tariff base
1	2	3	4	5	6

Director \_\_\_\_\_ / \_\_\_\_\_ /

\_\_\_\_\_  
(signature) (post) (initials, surname)

Stamp

(Addendum 10 in the version of resolution of the  
Securities and Stock Market State Commission of 10.17.2006  
under No 1003)

Addendum 11  
to Regulation on procedure of compiling  
administrative data by depository  
institutions which carry out depository  
activity of securities custodian and  
presentation of relevant documents to the  
Securities and Stock Market State  
Commission

**Data on share package holders\***

Full name of joint stock company			
Identification joint stock company YEDRPOU code		Identification custodian YEDRPOU code	
10% and more share holders of joint stock company are absent		Information is provided as of	_____ 200_

**Share package holders  
as of \_\_\_\_\_ 20\_\_**

No	Name of legal person or surname, name and patronymic of natural person	Identification YEDRPOU code of legal person or series and No of passport of natural person	Type of depositor**	Country of registration of share package holder	KOATUU territorial code - for residents of Ukraine	Location	Type of event (opening, closing of account or changes in account)	Date of emergence of irregular information	Number of common registered shares (pieces)	Number of preferred registered shares (pieces)	Nominal security value (UAH)	Total number of shares (pieces)	Total nominal value of shares (UAH)	Of total number of shares of joint stock company (%)
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15

\* With regard for own securities issues of the custodian and own accounts of the custodian

\*\* Natural person, legal entity, bank, collective investment institute, insurance company, pension fund, government body, securities broker, securities issuer.

Director \_\_\_\_\_ / \_\_\_\_\_ /

\_\_\_\_\_  
(signature) (post) (initials, surname)

Stamp

(Addendum 11 in the version of the resolution of the  
Securities and Stock Market State Commission of 11.17.2006  
under No 1003)

Addendum 12  
to Regulation on procedure of compiling  
administrative data by depository  
institutions which carry out depository  
activity of securities custodian and  
presentation of relevant documents to the  
Securities and Stock Market State  
Commission

**Certificate on providing irregular information on share package holders and mortgage  
backed securities  
during \_\_\_\_\_ quarter of 200\_**

Identification custodian YEDRPOU code

Name of custodian

\_\_\_\_\_

\_\_\_\_\_

No	Registration number under which information is received	Date of providing of information
1	2	3

Director \_\_\_\_\_ / \_\_\_\_\_ /

\_\_\_\_\_

(post)

(signature)

(initials, surname)

Stamp

(Addendum 12 in the version of the resolution of the  
Securities and Stock Market State Commission of 11.17.2006  
under No 1003)

Addendum 13  
to Regulation on procedure of compiling  
administrative data by depository  
institutions which carry out depository  
activity of securities custodian and  
presentation of relevant documents to the  
Securities and Stock Market State  
Commission

**Data on mortgage backed securities holders\***

Full name of issuer			
Identification issuer YEDRPOU code		Identification custodian YEDRPOU code	
Information is provided as of	_____ 200_		

**Mortgage backed securities holders  
as of \_\_\_\_\_ 20\_\_**

No	Identification issuer YEDRPOU code and name of issuer	Name of legal entity, surname, name, patronymic of natural person	Identification legal entity YEDRPOU code or series and number of passport of natural person	Type of depositor**	Country of registration of mortgage backed securities holder	KOATUU territorial code - for residents of Ukraine	Location	Type of event (opening, closing of account or changes in account)	Date of emergence of irregular information	Type of mortgage backed securities	Nominal value of security (UAH)	Number of mortgage backed securities – in all (pieces)	Total nominal value of shares (UAH)
1	2	3	4	5	6	7	8	9	10	11	12	13	14

\* With regard for own securities issues of the custodian and own accounts of the custodian.

\*\* Natural person, legal entity, bank, collective investment institute, insurance company, pension fund, government body, securities broker, securities issuer

Director \_\_\_\_\_ / \_\_\_\_\_ /

\_\_\_\_\_  
(signature) (post) (initials, surname)

Stamp

(Regulation is supplemented with Addendum 13 in accordance with the resolution of the Securities and Stock Market State Commission of 11.17.2006 under N 1003)

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