

Rulebook on disclosing notification on trading in debt securities in over-the-counter market



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In the event there may be discrepancies which arise between the Serbian and English versions of the document, the Serbian version is the legally binding document.

Pursuant to Article 220, paragraph 1, item 1, regarding Article 62, paragraph 6 of the Law on the Market of Securities and Other Financial Instruments ("RS Official Gazette", No 47/2006), the Securities Commission adopts

Article 1

This Rulebook shall define the content and manner of submitting notification on trading in debt securities in over-the-counter market.

Article 2

The seller of debt securities, traded in compliance with Article 62, paragraph 1 of the Law on the Market of Securities and Other Financial Instruments (hereinafter: the Law) shall, having completed settlement, notify without delay market organizer in which the securities are being traded on trading in debt securities in over-the-counter market.

The seller of securities referred to in paragraph 1 of the present Article shall be the person for the account of which the securities have been traded.

Central Securities Depository and Clearing House shall, also, without delay and having completed settlement, notify market organizer in which the securities are being traded on trading in debt securities in over-the-counter market.

Article 3

Notification on trading in debt securities in over-the-counter market, which are submitted by the seller to the market organizer in which the securities are being traded, shall contain the following:

- 1) Business name and head office, and/or name and address of the seller;
- 2) Business name and head office of the broker-dealer company that participated in trading for the account of seller;
- 3) Data on type, class, CFI code and ISIN number of securities,
- 4) Number (volume) of securities traded,
- 5) Price of securities used in traded,
- 6) Date, time and place of trading and settlement date;
- 7) Name and surname, e-mail and/or postal address and phone number of the person authorized for maintaining contact with the market organizer regarding such notification;
- 8) Date of submitting notification and signature of a person submitting notification.

Notification submitted by the Central Securities Depository and Clearing House to the market organizer in which the securities are being traded, shall contain the data referred to in items 3, 4 and 6, and paragraph 1 of this Article.

Article 4

The seller shall submit a notification in writing to the market organizer in which debt securities are being traded, referred to in Article 2 of this Rulebook, or in the form of electronic document, in compliance with the rules of operations of market organizer in which such debt securities are being traded.

The seller shall submit to the market organizer in which debt securities are being traded, referred

to in Article 2 of this Rulebook, a notification in the manner prescribed by rules of operations of the Central Securities Depository and Clearing House and market organizer, and/or in the manner agreed between the Central Securities Depository and Clearing House and market organizer.

Article 5

Market organizer shall without delay, upon receiving notification referred to in Article 3 of this Rulebook, disclose on its website the data on type, class, CFI code, ISIN number and number (volume) of debt securities traded in over-the-counter market and data on the trading date.

Market organizer shall enable all interested parties to have access to reports in the manner stipulated by the previous paragraph, without charging special fee for such a service.

Article 6

Market organizer shall define in detail, in its rules of operations, terms and conditions for disclosing data referred to in Article 5 of this Rulebook, along with the manner of keeping records on submitted data and their disclosure.

Article 7

On the effective date of this Rulebook, the Rulebook on Disclosing Notification on Trading in Securities in Over-the-Counter Market shall no longer be effective ("RS Official Gazette", no 102/2003).

Article 8

This Rulebook shall come into force on the next day following its publication in the "Official Gazette of the Republic of Serbia" and shall be applied when the new Law on the Market of Securities and Other Financial Instruments comes into force ("RS Official Gazette", no 47/06).

No 2/0-02-501/13-06

Belgrade, 10th November 2006

No 2/0-02-501/34-06

Belgrade, 21stDecember 2006

CHAIRMAN OF THE COMMISSION

Milko Štimac, signed

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