

Pursuant to the provisions of the Articles 10, paragraph 5, and Article 24, paragraph 10 of the Capital Market Act (Official Gazette 88/08, 146/08), the Management Board of the Croatian Financial Services Supervisory Agency issued at its session on 07 January 2009

## **ORDINANCE ON THE CONTENT, FORM AND MANNER OF MAINTAINING THE REGISTER OF PERSONS AUTHORIZED TO PROVIDE INVESTMENT SERVICES AND TO PERFORM INVESTMENT ACTIVITIES**

### **I GENERAL PROVISIONS**

#### Article 1

- (1) This Ordinance regulates content, form and manner of maintaining the register of legal and natural persons authorized to provide investment services and to perform investment activities.
- (2) Persons referred to in the paragraph 1 of this Article are:
- a) investment firms which were granted the operating licence by the Agency;
  - b) subsidiaries of the investment firms with head office in third countries, which were granted the operating licence by the Agency;
  - c) credit institutions which were granted the licence by the Croatian National Bank;
  - d) subsidiaries of the credit institutions with head office in third countries, which were granted the operating licence by the Croatian National Bank;
  - e) companies for managing the open-end investment funds with public offering;
  - f) brokers;
  - g) investment advisors.

#### Article 2

Agency maintains the following registers of the persons authorized to provide investment services and to perform investment activities:

- a) Register of companies authorized to provide investment services and to perform investment activities;
- b) Register of brokers;
- c) Register of investment advisors.

#### Article 3

The terms used in this Ordinance have the following meaning:

- 1) Agency - Croatian Financial Services Supervisory Agency;
- 2) Act - Capital Market Act (Official Gazette 88/08, 146/08).

### **II REGISTER OF COMPANIES AUTHORIZED TO PROVIDE INVESTMENT SERVICES AND TO PERFORM THE INVESTMENT ACTIVITIES**

#### Article 4

In the register referred to in the Article 2 point a of this Ordinance, the following information for each company authorized to provide investment services and to perform the investment activities are maintained:

1. register number for entrance in the Register;
2. company;
3. contact information (address, phone, fax, e-mail) of head office, subsidiaries and related representatives;

4. code for the company type:
  - ID for investment firms,
  - ID-P for subsidiaries of investment firms with head office in third countries,
  - KI for credit institutions,
  - KI-P for subsidiaries of credit institutions with head office in third countries,
  - DU for management companies;
5. register number of the subject (MBS);
6. register number (MB), that is, personal identification number (OIB),
7. the amount of base capital,
8. ownership structure overview (name and surname/ firm, the amount of share);
9. company activity code (A- active, N- not active),
10. list of investment services and activities for which the company was granted the necessary operating licences;
11. the list of financial instruments to which the providing of investment services and investment services performing is referred to;
12. code indicating whether the company is authorized to keep money and/or financial instruments of the client or not;
13. date and classification code of the decision on granting/revoking the operating licence;
14. list of the members of the board and executive directors (name and surname, title, date and code of the decision on granting/revoking the approval for nominating);
15. list of brokers;
16. list of investment advisors.

### III REGISTER OR BROKERS AND REGISTER OF INVESTMENT ADVISORS

#### Article 5

In Registers referred to Article 2, points b) and c) of this Ordinance, the following information for each broker and investment advisor are maintained:

1. register number for entrance in the Register;
2. name and surname;
3. unique personal number (MBG), that is, personal identification number (OIB),
4. residence address,
5. contact information (phone, fax);
6. activity code (A- active, N- not active),
7. date and classification code of the decision on granting/revoking the operating licence;
8. company where the person is employed.

### IV METHOD OF ASSIGNING THE REGISTER NUMBER

#### Article 6

While assigning the first operating licence, the Agency shall assign the unique and inalterable register number within the appropriate Register in the chronological order to each company authorized to provide investment services and to perform the investment activities, as well as to each broker and investment adviser.

### V THE FORM OF REGISTERS

#### Article 7

(1) Registers referred to in the Article 2 of this Ordinance shall be maintained by the Agency in an electronic form.

(2) General data from the registers, on the active companies authorized to provide investment services and to perform investment activities, brokers and investment advisors, the Agency shall publish on its official internet site.

## VI MANNER OF MAINTAINING THE REGISTER

### Article 8

(1) Data referred to in the Articles 4 and 5 of this Ordinance shall be entered into the Registers on the basis of submitted requests and information of the active companies authorized to provide investment services and to perform the investment activities, brokers and investment advisors, as well as particular official records the Agency.

(2) Inscription of the data in the Registers shall be made by the authorized persons of the Agency, in period no longer than 5 days since the particular data is acknowledged.

## VII. FINAL PROVISIONS

### Article 9

This Ordinance shall enter into force on the eighth day after the day of its publication in the Official Gazette.

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President of the Management Board

Ante Samodol