

Pursuant to Article 43, paragraph (2), item (9) and Article 66, paragraph (4) of the Act on the Croatian National Bank (Official Gazette 75/2008 and 54/2013), the Governor of the Croatian National Bank hereby issues the

Decision on collecting data for the compilation of securities statistic

I General provisions

Article 1

This Decision regulates the list of reports, reporting institutions and report submission deadlines, as well as the rules on the confidentiality of data to be submitted to the Croatian National Bank as part of the report for the purpose of compilation of securities statistics and related statistics within the competence of the Croatian National Bank.

Article 2

The Croatian National Bank uses securities statistics to collect data on transactions in securities.

For the purpose of this Decision, 'transactions in securities' means the transactions of issuing and listing of and investing (purchase and sale) in the securities of domestic and foreign issuers.

For the purpose of this Decision, 'securities' means debt securities, equity securities and units in investment funds.

Financial derivatives shall not be considered as securities in terms of this Decision.

Article 3

For the purposes of this Decision, the following terms shall have the following meaning:

'Debt securities' means transferable financial instruments that prove the existence of a debt obligation on the part of issuers towards investors, and they deliver a return to investors in the form of interests or discounts. Debt securities comprise bonds, treasury notes and bills, commercial papers, certificates of deposit, depository receipts, non-voting preferential shares, etc.

'Equity securities' means transferable financial instruments that give their holders the right to a stake in allocated operating profit and in the remaining value of a joint-stock company in the case of its liquidation. Equity securities comprise shares or other securities of the same significance that constitute a share in equity or in the membership rights of a company, voting preferential shares, depository receipts, etc.

'Investment fund units' means shares, units or other rights on the basis of which investors pool funds in entities for joint ventures – a form of collective investment scheme – through which they generate profit or another form of return, while they themselves do not have a daily control over the adoption of investment decisions.

'Investor' means a legal or natural person, resident or non-resident that by participating in the purchase and sale of securities acquires the ownership over securities or units in an investment fund.

'Custodian' means a credit institution or an investment company that provides its clients with the services of safekeeping and administration of financial instruments, including custodianship and related services pursuant to the provisions of the Capital Market Act (Official Gazette 88/2008, 146/2008 and 74/2009).

'Resident' means:

- legal persons with a head office in the Republic of Croatia, except their foreign branches;
- a branch of a foreign company and a sole trader enrolled in a register kept by a competent government authority or administration in the Republic of Croatia;
- a sole trader, craftsman or another natural person with a head office or a place of residence in the Republic of Croatia who are self-employed and perform the economic activity of their registration;
- a natural person with a place of residence in the Republic of Croatia;
- a natural person staying in the Republic of Croatia on the basis of a valid residence permit for a minimum period of 12 months, except diplomatic and consular representatives of foreign countries and their family members; and
- diplomatic, consular and other representative offices of the Republic of Croatia abroad financed by the budget and Croatian citizens employed in those representative offices, including their family members.

'Non-resident' means legal or natural persons who are not considered as a resident.

For the purposes of this Decision, individual acronyms shall have the following meaning:

'HANFA' means the Croatian Financial Services Supervisory Agency.

'CNB' means the Croatian National Bank.

'ZSE' means the Zagreb Stock Exchange.

'CDCC' means Central Depository & Clearing Company.

'ISIN' means the International Securities Identification Number based on the ISO 6166 standard, assigned to a security by the National Numbering Agency (CDCC).

II Reports, time limits and reporting institutions

Article 4

Reports on transactions in securities shall comprise the "PU" record – Report on securities holdings.

Article 5

The "PU" record – Report on securities holdings shall be submitted each month within eight working days after the expiry of the reporting month.

Article 6

The reporting population obliged to submit the "PU" record – Report on securities holdings shall comprise:

- a) Central Depository & Clearing Company (CDCC),
- b) custodians, and
- c) residents that invested in the securities of resident or non-resident issuers, which they do not hold in custody with a custodian with a head office in the Republic of Croatia, except:
 - banks, savings banks, branches of foreign banks in the Republic of Croatia, housing savings banks and the Croatian Bank for Reconstruction and Development that report to the Croatian National Bank pursuant to the Decision on statistical and prudential reporting (Official Gazette 35/2010, 95/2010, 146/2010, 68/2011 and 37/2012), and
 - investment funds that report to HANFA pursuant to the Decision on submitting investment fund statistical reports on the basis of the Ordinance on the mandatory content, time limits

and form of mandatory reports on business operations of investment funds, management companies and depository banks (Official Gazette 155/2009, 65/2010 and 42/2011).

Article 7

The "PU" record – Report on securities holdings shall be submitted in the electronic form of the XML file prepared in accordance with the XML scheme that is an integral part of the Securities statistics – reporting instructions.

A reporting institution shall be deemed to have submitted the data that are the subject of this Decision:

- if the data are received at the Croatian National Bank within the time limits prescribed by this Decision, and
- if all data submitted by the reporting institution have met the controls prescribed by the Securities statistics – reporting instructions.

Article 8

The Securities statistics – reporting instructions shall constitute an integral part of this Decision.

III Data confidentiality

Article 9

The Croatian National Bank shall use the received reports prescribed by this Decision for the purposes of the compilation of securities statistics and related statistics within the competence of the Croatian National Bank.

The Croatian National Bank shall safeguard the received data in accordance with the provisions of the Official Statistics Act (Official Gazette 103/2003, 75/2009, 59/2012 and 12/2013 – consolidated version).

IV Transitional and final provisions

Article 10

The first reporting period for the submission of the "PU" record – Report on securities holdings, in accordance with this Decision, shall be 30 June 2013.

Reports for the reporting month of June 2013 shall be submitted by reporting institutions by 30 September 2013.

Reports for the reporting month of July 2013 shall be submitted by reporting institutions by 25 October 2013.

Reports for the reporting month of August 2013 shall be submitted by reporting institutions by 15 November 2013.

Reports for the reporting month of September 2013 shall be submitted by reporting institutions by 29 November 2013.

Reports for the reporting month of October 2013 shall be submitted by reporting institutions by 13 December 2013.

Reports for the reporting month of November 2013 shall be submitted by reporting institutions by 27 December 2013.

Article 11

This Decision shall be published in the Official Gazette and shall enter into force on 30 June 2013.

No.: 125-020/06-13/BV

Zagreb, 7 June 2013

Croatian National Bank
Governor
Boris Vujčić