SERVICES RELATED TO ACCESS TO FOREIGN MARKETS

OLGA DOLGOPOLOVA
Head of International Operations Department
IN 2019, THE INTERNATIONAL RATING COMPANY THOMAS MURRAY ASSESSED THE COMPLIANCE OF NDU'S ACTIVITIES WITH THE CPMI-IOSCO PFMI PRINCIPLES. THIS IS AN IMPORTANT STEP TOWARDS TRANSPARENCY AND OPENNESS, INCREASING CONFIDENCE IN A SYSTEMICALLY IMPORTANT INFRASTRUCTURAL ELEMENT OF THE UKRAINIAN MARKET. STATUS - BROADLY OBSERVED, NDU'S ACTIVITIES LARGELY COMPLY WITH PRINCIPLES

ON 30 SEPTEMBER 2019, NDU INTRODUCED A NEW IT PLATFORM OF THE DEVELOPER WITH YEARS OF SUCCESSFUL EXPERIENCE IN IMPLEMENTING DEPOSITORY RECORDKEEPING SYSTEMS - PERCIVAL SOFTWARE LIMITED. THIS RESULTED IN THE IMPLEMENTATION OF THE EUROPEAN POST-TRADE STANDARDS ON THE UKRAINIAN STOCK MARKET.

WE PROVIDE A WIDE RANGE OF FOREIGN SECURITIES SERVICES TO OUR CLIENTS, SUCH RECORDKEEPING, INCOME PAYMENT, REDEMPTION, SERVICES RELATED TO OTHER CORPORATE OPERATIONS OF ISSUERS, ASSISTANCE IN GETTING PERMISSION FOR LISTING OF THESE INSTRUMENTS ON THE TERRITORY OF UKRAINE.
TODAY, THANKS TO NDU’S ACCOUNTS OPENED WITH OTHER DEPOSITORIES, UKRAINIAN LEGAL ENTITIES AND INDIVIDUALS HAVE THE OPPORTUNITY TO INVEST IN SECURITIES OF FOREIGN ISSUERS

$46.87 MILLION
TOTAL VALUE OF FOREIGN SECURITIES IN CUSTODY AS OF THE END OF MAY 2021
ACCESSIBILITY OF FOREIGN MARKETS VIA THE LINK WITH CLEARSTREAM

DO:
1
DO:
2
DO:
3

NDU
NATIONAL DEPOSITORY OF UKRAINE

< >

clearstream

> >

DEUTSCHE BÖRSE GROUP

MARKETS OF NORTH AMERICA
(CANADA, USA, MEXICO)

SOUTH AFRICA

MARKETS OF SOUTH AMERICA
(ARGENTINA, URUGUAY)

ASIAN-PACIFIC REGION
(SINGAPORE, CHINA, JAPAN, NEW ZEALAND, AUSTRALIA ...)

EUROPEAN MARKETS
FOREIGN SECURITIES MARKET STRUCTURE

FOREIGN SECURITIES

- DEPOSITING TO AN ACCOUNT, WITHDRAWING FROM AN ACCOUNT ABROAD
- INCOME PAYMENT, REDEMPTION
- CONFIRMATION OF OWNERSHIP RIGHTS
- A NUMBER OF EXCEPTIONS, INCLUDING INHERITANCE, SUCCESSION, JUDGEMENT OF COURT, ETC.

NOT LISTED

- ALL OPERATIONS ALLOWED FOR NON-LISTED SECURITIES
- SALE AND PURCHASE INSIDE THE COUNTRY, INCL. ORGANIZED MARKETS
- USE AS COLLATERAL

AS AT THE END OF MAY, 31 ISSUES OF SECURITIES ARE IN CUSTODY AT NDU, 29 OF THEM ARE LISTED
FOREIGN SECURITIES LISTING ON THE TERRITORY OF UKRAINE

Application for admission to listing

Foreign issuer

The National Securities and Stock Market Commission of Ukraine

Central Securities Depository

Securities of a foreign issuer unblocked for listing on the territory of Ukraine

Depository

Client

Depository organization
• Recordkeeping of clients’ securities and restrictions on such securities
• Registration of ownership rights’ transfer
• Other services provided for by the legislation of the country of registration of the foreign DO

Depository organization

Client 1

Client 2

Foreign depository organization

Registered in one of the EU countries or FATF member
FOREIGN SECURITIES LISTING ON THE TERRITORY OF UKRAINE - 3

- Depository organization which opened a nominee account with a foreign custodian

- Professional market participant

- Foreign issuer

- The National Securities and Stock Market Commission of Ukraine

- Central Securities Depository (unblocking)

- Depository organization 1

- Depository organization N

- Professional market participant

- Clients
PJSC “NDU”

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