



List of valid laws and other generally binding legal regulations belonging into the competence of the National Bank of Slovakia as of 1 April 2007

JUDr. Renáta Bašková
National Bank of Slovakia

LAWS

- Act of the National Council of the Slovak Republic No. 566/1992 Coll. on the National Bank of Slovakia, as amended
- Act No. 483/2001 Coll. on banks and on amendments to certain other laws as amended
- Act of the Slovak National Council No. 310/1992 Coll. on home savings, as amended
- Act of the National Council of the Slovak Republic No. 202/1995 Coll., the Foreign Exchange Act, amending Act of the Slovak National Council No. 372/1990 Coll. on violations as amended
- Act of the National Council of the Slovak Republic No. 118/1996 Coll. on deposit protection and amendments to certain other laws, as amended
- Act No. 510/2002 Coll. on payment systems and on amendments to certain other laws, as amended
- Act No. 747/2004 Coll. on financial market supervision and on amendments to certain other laws, as amended
- Act No. 566/2001 Coll. on securities and investment services and on amendments of certain laws (Securities Act), as amended
- Act No. 530/1990 Coll. on bonds, as amended
- Act No. 429/2002 Coll. on the securities exchange, as amended
- Act No. 594/2003 Coll. on collective investments and on amendments to certain other laws, as amended
- Act No. 95/2002 Coll. on insurance and on amendment to certain laws, as amended
- Act No. 381/2001 Coll. on the mandatory third-party liability motor vehicle insurance and on the amendment to certain laws, as amended
- Act No. 43/2004 Coll. on old-age pension savings and on the amendments to certain laws, as amended
- Act No. 650/2004 Coll. on supplementary pension savings and on amendments to certain laws, as amended
- Act No. 340/2005 Coll. on insurance mediation and reinsurance mediation and amend-

ments to certain other laws, as amended by Act No. 644/2006 Coll., as amended.

DECREES

ISSUANCE OF BANKNOTES AND COINS

- Decree No. 456/2001 Coll., stipulating detailed conditions for the creation and use of reproductions of banknotes, commemorative banknotes, coins, commemorative coins, business coinage and securities issued by the National Bank of Slovakia, as well as objects imitating their design, including their electronic images
- Decree No. 464/2001 Coll., stipulating the conditions on which businesses may process banknotes and coins for other persons and the procedure for banks and businesses in processing banknotes and coins
- Decree No. 465/2001 Coll., stipulating a detailed procedure for receiving and handling legal tender and details on replacement of incomplete banknotes or otherwise damaged banknotes and coins
- Decree of the National Bank of Slovakia on the issuance and putting into circulation of banknotes and coins and commemorative banknotes and coins

BANKING

- Decree No. 600/2001 Coll. on the register of mortgage loans and on details about the position and activity of a mortgage administrator and its representative as amended by Decree No. 661/2004 Coll.
- Decree No. 8/2002 Coll. on the content of a qualification test of a mediator of investment services, method of taking a test, and determining the fee for taking a test as amended by Decree No. 278/2005 Coll.
- Decree No. 42/2002 Coll. on ways to document compliance with requirements for obtaining a permit to provide investment services
- Decree No. 43/2002 Coll. that sets out particulars of an application for prior approval pursuant to Article 70 paragraph I of Act No. 566/2001 Coll. on securities and investment



services and on amendments to certain laws (Securities Act)

- Decree No. 92/2002 Coll. on ways to document compliance with requirements for obtaining a permit to establish and operate a central securities depository
- Decree No. 93/2002 Coll. that sets out particulars of an application for prior approval pursuant to Article 102 paragraph 1 of Act No. 566/2001 Coll. on securities and investment services and on amendments to certain laws (Securities Act)
- Decree No. 494/2002 Coll. that sets out particulars and ways of documenting compliance with requirements to establish and operate a securities exchange
- Decree No. 495/2002 Coll. that sets out particulars of an application for prior approval pursuant to Article 6 paragraph 5 of Act No. 429/2002 Coll. on a securities exchange
- Decree No. 611/2003 Coll. on methods of valuation of securities, financial market instruments, and derives that are owned by a mutual fund
- Decree No. 615/2003 Coll. on particulars of an application for prior approval of the Financial Market Authority pursuant to Act No. 594/2003 Coll. on collective investments, and on amendments to certain other laws
- Decree No. 616/2003 Coll. on ways to document compliance with requirements for obtaining a permit to establish and operate an asset management company
- Decree No. 617/2003 Coll. on own funds of an asset management company and their calculation, as amended
- Decree No. 594/2004 Coll. on use of techniques and instruments of effective management of investments of assets in a mutual fund and on asset exposure
- Decree No. 680/2004 Coll. that sets out details of some particulars of a simplified prospectus of a mutual fund
- Decree No. 681/2004 Coll. that sets out criteria for assessment of market practice
- Decree No. 166/2005 Coll. on own funds of a financial conglomerate and methods of calculation of adequacy of own funds at the level of a financial conglomerate and on amendments of some decrees, as amended by Decree No. 657/2006 Coll.

INSURANCE

- Decree No. 413/2001 Coll., executive guideline to the law on mandatory third-party liability motor vehicle insurance and on the amendment to certain laws, as amended by Decree No. 569/2004 Coll.
- Decree No. 155/2002 Coll. on ways to document compliance with requirements for obtaining a permit to perform insurance operations and for obtaining a permit to perform reinsurance operations
- Decree No. 171/2002 Coll. that sets out par-

ticulars of an application for prior approval pursuant to Article 36 paragraph 1 of Act No. 95/2002 Coll. on insurance and on amendments to certain other laws, as amended by Decree No. 568/2004 Coll.

- Decree No. 380/2002 Coll. that sets out ways to determine the value of securities and real estate in which technical reserves are placed in the insurance industry
- Decree No. 381/2002 Coll. on particulars of an actuary's report of activities of an insurance company or an actuary's report of activities of a reinsurance company
- Decree No. 441/2004 Coll. on method of calculation and documenting of real solvency rate of an insurance company and a branch of a foreign insurance company, method of calculation the required solvency rate of an insurance company and a branch of a foreign insurance company, and on venture capital, as amended by Decree No. 685/2006 Coll.
- Decree No. 567/2004 Coll. that sets out the minimum level of a guarantee fund of an insurance company and a branch of a foreign insurance company, as amended by Decree No. 665/2006 Coll.
- Decree No. 39/2005 Coll. that sets out limits for placement of funds of technical reserves in the insurance industry
- Decree No. 228/2005 Coll. on own funds of a financial conglomerate and methods of calculation of adequacy of own funds of a financial conglomerate pursuant to Act No. 95/2002 Coll. on insurance and on amendments of some laws, as amended by Decree No. 640/2006 Coll., as amended
- Decree No. 417/2005 Coll. on the implementation of certain provisions of Act No. 340/2005 Coll. on insurance mediation and reinsurance mediation and on amendments to certain laws, as amended by Decree No. 476/2006 Coll.
- Decree No. 448/2005 Coll. on a qualification test of an actuary, as amended by Decree No. 461/2006 Coll.
- Decree No. 172/2006 Coll. stipulating the maximum level of the technical interest rate in life insurance

PENSION SAVINGS

- Decree No. 183/2004 Coll. on ways to document compliance with requirements to establish and operate a pension fund management company
- Decree No. 184/2004 Coll. on qualification test of a mediator of old-age pension saving
- Decree No. 440/2004 Coll. that sets out what is understood under untrue or misleading information, service or performance not related to old-age pension saving, as amended by Decrees No. 774/2004 Coll. and 606/2006 Coll.
- Decree No. 595/2004 Coll. on own funds of a pension fund management company as amended by Decrees No. 158/2005 Coll. and 604/2006 Coll.



- Decree No. 737/2004 Coll. on ways to document political and economic independence, standard character and transparency of the used methodology and market recognition of an agency specializing in evaluation of investment risk
- Decree No. 773/2004 Coll. that sets out ways to document compliance with requirements to obtain a permit to establish and operate a supplementary pension saving company,
- Decree No. 48/2005 Coll. on methods and procedures for determining the value of assets in a pension fund and on methods of valuation of securities owned by a pension fund
- Decree No. 87/2005 Coll. stipulating a procedure for calculating and clearing the fee for the management of a pension fund and the fee for the administration of a personal pension account
- Decree No. 217/2005 Coll. on own funds of a pension fund management company and on methods and procedures for determining the value of assets in supplementary pension funds
- Decree No. 567/2006 Coll. stipulating the content of reports on the management of a pension fund's assets, reports on the management of the own assets of a pension fund management company, the method and scope of their publication, and the content of daily information on each transaction in a pension fund's assets
- Decree No. 568/2006 Coll. specifying the contents of annual and semi-annual reports on the management of assets in a supplementary pension fund and the contents of annual and semi-annual reports on the management of own funds in a supplementary pension management company
- Decree No. 100/2007 Coll. stipulating details on records in the registry of mediators of supplementary pension savings

PROVISIONS BANKING

- NBS Provision No. 14/2001 stipulating the requisites of an application for the registration of a representative office of a foreign bank or a similar foreign financial institution conducting banking activities (Notice No. 591/2001 Coll.)
- NBS Provision No. 15/2001, stipulating the requisites of a bank's application for prior approval to establish a foreign branch (Notice No. 592/2001 Coll.),
- NBS Provision No. 17/2001 on required disclosures in reports required to identify other persons having a special relationship to a bank or a branch of a foreign bank due to their relationship with the reporting person (Notice No. 594/2001 Coll.)
- NBS Provision No. 8/2002 on asset exposure of banks (Notice No. 697 /2002 Coll.) as amended by NBS Provision No. 2/2004 (Notice No. 34/2004 Coll.) and NBS Provision No. 5/2005 (Notice No. 456/2005 Coll.),
- NBS Provision No. 2/2003 on the register of loans and guarantees (Notice No. 237/2003 Coll.) as amended by NBS Provision No. 7/2004 (Notice No. 322/2004 Coll.) and NBS Provision No. 4/2005 (Notice No. 420/2005 Coll.) and NBS Provision No. 2/2006 (Notice No. 462/2006 Coll.)
- NBS Provision No. 3/2004 on liquidity of banks and branches of foreign banks and on the procedure for liquidity risk management in banks and branches of foreign banks (Notice No. 35/2004 Coll.), as amended by Provision No.16/2006 (Notice No. 683/2006 Coll.)
- NBS Provision No. 4/2004 on adequacy of banks' own funds (Notice No. 36/2004 Coll.,) as amended by NBS Provision No. 16/2004 (Notice No. 676/2004 Coll.) and Provision No. 5/2005 (Notice No. 456/2005 Coll.)
- NBS Provision No. 5/2004 on disclosure of information by banks and branches of foreign banks, and on the method of publication of annual reports by banks and branches of foreign banks operating in the Slovak Republic (Notice No. 131/2004 Coll.) as amended by NBS Provision No. 8/2005 (Notice No. 595/2005 Coll.)
- NBS Provision No. 9/2004, stipulating the requisites of an application for a banking license for a bank or a foreign bank to conduct banking operations through its branch in the Slovak Republic (Notice No. 605/2004 Coll.)
- NBS Provision No. 12/2004 on risks and risk management systems (Notice No. 672/2004 Coll.), as amended by NBS Provision No. 15/2006 (Notice No. 682/2006 Coll.)
- NBS Provision No. 13/2004 on the classification of assets and liabilities of banks and branches of foreign banks and adjustment of their valuation, on the formation and dissolution of reserves and related reporting (Notice No. 673/2004 Coll.,) as amended by NBS Provision No. 7/2005 (Notice No. 594/2005 Coll.)
- NBS Provision No. 14/2004, stipulating the structure of an extended auditor's report for audits of banks and branches of foreign banks (Notice No. 674/2004 Coll.),
- NBS Provision No. 15/2004 on own funds of a financial conglomerate and asset exposure of a financial conglomerate (Notice No. 675/2004 Coll.), as amended by NBS Provision No. 13/2006 (Notice No. 660/2006 Coll.),
- NBS Provision No. 17/2004, stipulating the requisites of an application of a bank or a branch of a foreign bank for prior approval of the National Bank of Slovakia for the use of proprietary models for market risk calculation (Notice No. 677/2004 Coll.)
- NBS Provision No. 1/2005 on consolidated group and subconsolidated group reporting (Notice No. 98/2005 Coll.)
- NBS Provision No. 3/2005 that sets out particulars of an application for prior approval pursuant to Article 28 paragraph 1 of Act No. 483/2001 Coll. on Banks and on amendments to certain laws, as amended (Notice No. 369/2005 Coll.)



- NBS Provision No. 11/2005 that sets out the amount of fees for individual types of deeds of the National Bank of Slovakia (Notice No. 637/2005 Coll.)
- NBS Provision No. 12/2005 on analysis of risks associated with security of trade premises of banks and branches of foreign banks (Notice No. 632/2005 Coll.)
- NBS Provision No. 1/2006 on information provided in connection with client fees required by a bank or a branch office of a foreign bank (Notice No. 416/2006 Coll.)
- NBS Provision No. 7/2006 on submitting reports by banks and branches of foreign banks for statistical purposes (Notice No. 577/2006 Coll.)
- NBS Provision No. 1/2007 on disclosures by banks and branches of foreign banks (Notice No. 41/2007 Coll.)

CAPITAL MARKET AND SECURITIES

- NBS Provision No. 4/2006 on submitting reports of mutual funds by asset management companies for statistical purposes (Notice No. 552/2006 Coll.)
- NBS Provision No. 6/2006 on submitting reports by factoring companies, installment financing companies and leasing companies for statistical purposes (Notice No. 561/2006 Coll.)
- NBS Provision No. 12/2006 on reporting the adequacy of own funds of financial conglomerates in accordance with the Securities Act (Notice No. 659/2006 Coll.)
- NBS Provision No. 14/2006 on the submission of reports by asset management companies for the company and the mutual funds it administers, depositaries of mutual funds, stock exchange and central depositary of securities for the purpose of supervision of the financial market for statistical purposes (Notice No. 687/2006 Coll.)
- NBS Provision No. 2/2007 on the submission of statements, reports and other disclosures by banks, branches of foreign banks, securities dealers, and branches of foreign securities dealers for supervision and statistical purposes (Notice No. 42/2007 Coll.)
- NBS Provision No. 3/2007 on submitting reports by entities providing distribution of securities issued by foreign asset management companies and foreign investment companies on the basis of the public offer of securities to investors in the territory of the Slovak Republic for statistical purposes (Notice No. 61/2007 Coll.)
- NBS Provision No. 4/2007 on bank's own funds of financing and requirements for bank's own funds of financing and on own funds of securities dealer's financing and requirements for own funds of securities dealer's financing (Notice No. 121/2007 Coll.)

INSURANCE

- NBS Provision No. 8/2006 on submitting reports by insurance companies and branches of foreign insurance companies (Notice No. 607/2006 Coll.)
- NBS Provision No. 9/2006 on the submission of statements, reports and other disclosures by consolidated insurance entities or subconsolidated insurance entities, consolidated financial entities or subconsolidated financial entities, and consolidated combined entities or subconsolidated combined entities (Notice No. 610/2006 Coll.)
- NBS Provision No. 11/2006 on reporting the adequacy of own funds of financial conglomerates in accordance with Act No. 95/2002 Coll. on the insurance industry and amending and supplementing certain acts as amended (Notice No. 643/2006 Coll.)

PENSION SAVINGS

- NBS Provision No. 5/2006 on the submission of reports by pension insurance companies and supplementary pension insurance companies for statistical purposes (Notice No. 553/2006 Coll.)

PAYMENT SYSTEMS

- NBS Provision No. 9/2002 stipulating the method for the creation, structure, and list of constant symbols used in payment systems (Notice No. 698/2002 Coll.)
- NBS Provision No. 10/2002 on reports submitted by issuers of electronic money payment instruments to the National Bank of Slovakia (Notice No. 699/2002 Coll.)
- NBS Provision No. 11/2002 on reports submitted by payment systems operators to the National Bank of Slovakia (Notice No. 700/2002 Coll.)
- NBS Provision No. 7/2003, stipulating the structure of a bank connection for the purposes of domestic transfers, the structure of an international bank account number for the purposes of cross border transfers and details on the issuing of an identification code converter (Notice No. 605/2003 Coll.)
- NBS Provision No. 6/2004 stipulating detailed conditions, methods of ascertaining and documenting compliance with conditions, and on applications for granting or a change of a license to issue and administer electronic money and electronic money payment instruments, including particulars and annexes to such applications (Notice No. 305/2004 Coll.)
- NBS Provision No. 8/2004 on own funds and investments by an electronic money institution (Notice No. 370/2004 Coll.)

FOREIGN EXCHANGE

- NBS Provision No. 233/1993 on the expansion of settlements in freely convertible currencies in re-export operations
- NBS Provision No. 13/1998, stipulating the con-



ditions for dealing in foreign currencies by banks on the internal foreign exchange market (Notice No. 325/1998 Coll.)

- NBS Provision No. 6/1999 stipulating the conditions for regulating the balance of payments of the Slovak Republic (NBS Notice No. 358/1999 Coll.) as amended by NBS Provision No. 12/2002 (Notice No. 701/2002 Coll.), NBS Provision No. 8/2003 (Notice No. 568/2003 Coll.), and NBS Provision No. 6/2005 (Notice No. 593/2005 Coll.)
- NBS Provision No. 1/2000 stipulating the procedure for foreign exchange sites in effecting cross border payments and payments to/from foreigners (Notice No. 9/2000 Coll.)
- NBS Provision No. 614/2003 Coll., stipulating the requisites of an application for a foreign exchange license, the manner of documenting the fulfillment of conditions for granting a foreign exchange license and on requirements pursuant to Article 13, paragraph 8, of the Foreign Exchange Act (Notice NBS No. 11/2003 Coll., in the NBS Bulletin on the publication of NBS Provision No. 614/2003 Coll., in the Collection of Laws of the Slovak Republic), as amended by NBS Provision No. 412/2006 Coll.
- NBS Provision No. 691/2006 Coll. on the submission of reports pursuant to Foreign Exchange Act