

74

**REGULATION
of the National Bank of Slovakia**

of 24 February 2009

**on the submission of reports on exceeding of and compliance with limits
concerning assets of a pension fund or a supplementary pension fund**

Pursuant to Article 109 (5) of the Act No. 43/2004 Coll. on retirement pension saving and on amendments to certain laws, as amended, and Article 67 (6) of the Act No. 650/2004 Coll. on supplementary pension saving, and on amendments to certain laws, as amended, the National Bank of Slovakia stipulates as follows:

Article 1

(1) The report of a pension fund management company on exceeding of and compliance with limits concerning assets of a pension fund Dss (LMT) 19-99 shall be submitted for individual pension funds managed by the pension fund management company; the report template and the report methodology are attached hereto as Annex No. 1.

(2) The report of a pension fund management company's depository on exceeding of and compliance with limits concerning assets of a pension fund Ddf (LMT) 20-99 shall be submitted for individual pension funds managed by the pension fund management company; the report template and the report methodology are attached hereto as Annex No. 2.

(3) The report of a supplementary pension asset management company on exceeding of and compliance with limits concerning assets of a supplementary pension fund Dds (LMT) 21-99 shall be submitted for individual supplementary pension funds managed by the supplementary pension fund company; the report template and the report methodology are attached hereto as Annex No. 3.

(4) The report of a supplementary pension fund's depository on exceeding of and compliance with limits concerning assets of a supplementary pension fund Ddd (LMT) 22-99 shall be submitted for individual supplementary pension funds managed by the supplementary pension fund company; the report template and the report methodology are attached hereto as Annex No. 4.

Article 2

The reports listed in Article 1 shall be prepared electronically in the information system of the National Bank of Slovakia STATUSDFT – Collection, Processing and Storing of Statistics of Entities of the Slovak Financial Market, and shall be submitted without undue delay upon the occurrence of an event substantiating their submission.

Article 3

This Regulation takes effect as at 15 March 2009.

Ivan Šramko m.p.

**Annex No. 1
to Regulation No. 74/2009 Coll.**

TEMPLATE

Dss (LMT) 19-99

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Report of a pension fund management company on exceeding of and compliance with limits concerning assets of a pension fund

Name of pension fund

Identification code:

Name of pension fund management company

Date of breach

Line No.	Breach of RPSA / pension fund rules	ISIN	Issuer	Balance upon breach in %	Compliance deadline	Date of compliance	Balance upon compliance in %	Comment
a	1	2	3	4	5	6	7	8

Methodology of the report Dss (LMT) 19-99

1. The section “**Name of pension fund**” shall include the name of the pension fund as shown in the valid business license.
2. The section “**Name of pension fund management company**” shall include the name of the pension fund management company managing the relevant pension fund.
3. The section “**Identification code**” shall include the number code entered in the IS NBS STATUS DFT/C. Code books/C.1 Entities.
4. The section “**Date of breach**” shall report the date as at which the limit or statutory restriction was breached.
5. Columns 1 to 5 and 8 shall be completed upon the exceeding of the limits or statutory restrictions, and columns 6 to 8 shall be completed upon the compliance with the limits or statutory restrictions.
6. The column “**Breach of RPSA/pension fund rules**” shall include the relevant code of breach of the limit or statutory restriction which shall be selected from the list of admissible codes of the code book ‘Breaches of RPSA’, which can be found in the IS NBS STATUS DFT/C. Code books/C.7 Codes.
7. The column “**ISIN**” shall report the number code of the security issue.
8. The column “**Issuer**” shall include the name of the entity issuing the security; in the case of mutual fund units, the name of the respective fund manager shall be entered.
9. The column “**Balance upon breach in %**” shall report the percentage of the total volume of the instrument from the pension fund assets with which the breach of the limit or statutory restriction was recorded.
10. The column “**Compliance deadline**” shall report the period of time determined in the measure taken by the pension fund management company to comply with the relevant limits or statutory restrictions.
11. Upon the compliance with the limits or statutory restrictions, **the report Dss (LMT) 19-99** which was sent upon the exceeding of the limit or upon the breach of statutory restrictions and which has the “Accepted” status in the IS NBS STATUS DFT shall be updated to a new **higher version** and the columns 6, 7 and 8 shall be completed.
12. The column “**Date of compliance**” shall report the date as at which the respective limit or statutory restriction was complied with.
13. The column “**Balance upon compliance in %**” shall report the percentage of the total volume of the instrument from the pension fund assets upon the compliance with the limit or statutory restriction.

14. The column “**Comments**” shall include additional information and explanations, in particular description of breaches, breaches of rules, and measures taken to comply with the limits or statutory restrictions.

Abbreviations used

Abbreviation Description

Line No.	line number
RPSA	Retirement Pension Saving Act
ISIN	international security identification number
IS NBS	information system of the National Bank of Slovakia

**Annex No. 2
to Regulation No. 74/2009 Coll.**

TEMPLATE

Ddf (LMT) 20-99

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Report of a pension fund management company's depository on exceeding of and compliance with limits concerning assets of a pension fund

Name of pension fund

Identification code

Name of pension fund management company's depository

Date of breach

Line No.	Breach of RPSA / pension fund rules	ISIN	Issuer	Balance upon breach in %	Compliance deadline	Date of compliance	Balance upon compliance in %	Comment
a	1	2	3	4	5	6	7	8

Methodology of the report Ddf (LMT) 20-99

1. The section “**Name of pension fund**” shall include the name of the pension fund as shown in the valid business license.
2. The section “**Name of pension fund management company’s depositary**” shall include the name of the depositary which acts in respect to the pension funds managed by the pension fund management company in the capacity of the depositary under the depositary service agreement.
3. The section “**Identification code**” shall include the number code entered in the IS NBS STATUS DFT/C. Code books/C.1 Entities.
4. The section “**Date of breach**” shall report the date as at which the limit or statutory restriction was breached.
5. Columns 1 to 5 and 8 shall be completed upon the exceeding of the limits or statutory restrictions, and columns 6 to 8 shall be completed upon the compliance with the limits or statutory restrictions.
6. The column “**Breach of RPSA/pension fund rules**” shall include the relevant code of breach of the limit or statutory restriction which shall be selected from the list of admissible codes of the code book ‘Breaches of RPSA’, which can be found in the IS NBS STATUS DFT/C. Code books/C.7 Codes.
7. The column “**ISIN**” shall report the number code of the security issue.
8. The column “**Issuer**” shall include the name of the entity issuing the security; in the case of mutual fund units, the name of the respective fund manager shall be entered.
9. The column “**Balance upon breach in %**” shall report the percentage of the total volume of the instrument from the pension fund assets with which the breach of the limit or statutory restriction was recorded.
10. The column “**Compliance deadline**” shall report the period of time determined in the measure taken by the pension fund management company to comply with the relevant limits or statutory restrictions.
11. Upon the compliance with the limits or statutory restrictions, **the report Ddf (LMT) 20-99** which was sent upon the exceeding of the limit or upon the breach of statutory restrictions and which has the “Accepted” status in the IS NBS STATUS DFT shall be updated to a new **higher version** and the columns 6, 7 and 8 shall be completed.
12. The column “**Date of compliance**” shall report the date as at which the respective limit or statutory restriction was complied with.

13. The column “**Balance upon compliance in %**” shall report the percentage of the total volume of the instrument from the pension fund assets upon the compliance with the limit or statutory restriction.

14. The column “**Comments**” shall include additional information and explanations, in particular description of breaches, breaches of rules, and measures taken to comply with the limits or statutory restrictions.

Abbreviations used

Abbreviation Description

Line No.	line number
RPSA	Retirement Pension Saving Act
ISIN	international security identification number
IS NBS	information system of the National Bank of Slovakia

**Annex No. 3
to Regulation No. 74/2009 Coll.**

TEMPLATE

Dds (LMT) 21-99

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Report of a supplementary pension asset management company on exceeding of and compliance with limits concerning assets of a supplementary pension fund

Name of supplementary pension fund

Identification code

Name of supplementary pension asset management company

Date of breach

Line No.	Breach of SPSA / supplementary pension fund rules	ISIN	Issuer	Balance upon breach in %	Compliance deadline	Date of compliance	Balance upon compliance in %	Comment
a	1	2	3	4	5	6	7	8

Methodology of the report Dds (LMT) 21-99

1. The section “**Name of supplementary pension fund**” shall include the name of the supplementary pension fund as shown in the valid business license.
2. The section “**Name of supplementary pension fund company**” shall include the name of the supplementary pension asset management company managing the relevant supplementary pension fund.
3. The section “**Identification code**” shall include the number code entered in the IS NBS STATUS DFT/C. Code books/C.1 Entities.
4. The section “**Date of breach**” shall report the date as at which the limit or statutory restriction was breached.
5. Columns 1 to 5 and 8 shall be completed upon the exceeding of the limits or statutory restrictions, and columns 6 to 8 shall be completed upon the compliance with the limits or statutory restrictions.
6. The column “**Breach of SPSA/supplementary pension fund rules**” shall include the relevant code of breach of the limit or statutory restriction which shall be selected from the list of admissible codes of the code book ‘Breaches of SPSA’, which can be found in the IS NBS STATUS DFT/C. Code books/C.7 Codes.
7. The column “**ISIN**” shall report the number code of the security issue.
8. The column “**Issuer**” shall include the name of the entity issuing the security; in the case of mutual fund units, the name of the respective fund manager shall be entered.
9. The column “**Balance upon breach in %**” shall report the percentage of the total volume of the instrument from the supplementary pension fund assets with which the breach of the limit or statutory restriction was recorded.
10. The column “**Compliance deadline**” shall report the period of time determined in the measure taken by the supplementary pension asset management company to comply with the relevant limits or statutory restrictions.
11. Upon the compliance with the limits and statutory restrictions, **the report Dds (LMT) 21-99** which was sent upon the exceeding of the limit or upon the breach of statutory restrictions and which has the “Accepted” status in the IS NBS STATUS DFT shall be updated to a new **higher version** and the columns 6, 7 and 8 shall be completed.
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14. The column “**Comments**” shall include additional information and explanations, in particular description of breaches, breaches of rules, and measures taken to comply with the limits or statutory restrictions.

Abbreviations used

Abbreviation	Description
Line No.	line number
SPSA	Supplementary Pension Saving Act
ISIN	international security identification number
IS NBS	information system of the National Bank of Slovakia

**Annex No. 4
to Regulation No. 74/2009 Coll.**

TEMPLATE

Ddd (LMT) 22-99

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Report of a supplementary pension fund company's depositary on exceeding of and compliance with limits concerning assets of a supplementary pension fund

Name of supplementary pension fund

Identification code

Name of supplementary pension fund's depositary

Date of breach

Line No.	Breach of SPSA / supplementary pension fund rules	ISIN	Issuer	Balance upon breach in %	Compliance deadline	Date of compliance	Balance upon compliance in %	Comment
a	1	2	3	4	5	6	7	8

Methodology of the report Ddd (LMT) 22-99

1. The section “**Name of supplementary pension fund**” shall include the name of the supplementary pension fund as shown in the valid business license.
2. The section “**Name of supplementary pension fund company’s depositary**” shall include the name of the depositary which acts in respect to the supplementary pension funds managed by the supplementary pension asset management company in the capacity of the depositary under the depositary service agreement.
3. The section “**Identification code**” shall include the number code entered in the IS NBS STATUS DFT/C. Code books/C.1 Entities.
4. The section “**Date of breach**” shall report the date as at which the limit or statutory restriction was breached.
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8. The column “**Issuer**” shall include the name of the entity issuing the security; in the case of mutual fund units, the name of the respective fund manager shall be entered.
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10. The column “**Compliance deadline**” shall report the period of time determined in the measure taken by the supplementary pension asset management company to comply with the relevant limits or statutory restrictions.
11. Upon the compliance with the limits and statutory restrictions, **the report Ddd (LMT) 22-99** which was sent upon the exceeding of the limit or upon the breach of statutory restrictions and which has the “Accepted” status in the IS NBS STATUS DFT shall be updated to a new **higher version** and the columns 6, 7 and 8 shall be completed.
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