

S12-2016

22 November 2016

AMENDED DIRECTIVES

Following approval by the Regulatory and Supervisory Committee the following amended Directives are hereby released:

- SA.1 Strate Participation Criteria and Applications**
- SA.2 Requirements for Financial Soundness**
- SA.3 Client Acceptance Procedure**
- SA.4 Requirements for Own Name Clients**
- SA.5 Provision of Bi-Annual Statements**
- SA.6 Strate Compliance Officer Appointments**
- SA.7 Requirements for Nominees to operate in the CSD environment**
- SA.9 Segregated Depository Accounts: Opening, Administration and other Procedures**
- SA.11 Claims procedure from a Cash Suspense Account in a Participant's Insolvency Proceeding**
- SB.2 Procedure for Conversion of Certificated Bonds to Uncertificated Bonds and Vice Versa**

These Directives will be implemented on 1 December 2016.



MARIA VERMAAS

Head – Legal and Regulatory Division