

Status: Point in time view as at 23/07/2014.

Changes to legislation: Regulation (EU) No 909/2014 of the European Parliament and of the Council, ANNEX is up to date with all changes known to be in force on or before 03 August 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details)

ANNEX **U.K.**

LIST OF SERVICES

SECTION A **U.K.**

Core services of central securities depositories

1. Initial recording of securities in a book-entry system ('notary service');
2. Providing and maintaining securities accounts at the top tier level ('central maintenance service');
3. Operating a securities settlement system ('settlement service').

SECTION B **U.K.**

Non-banking-type ancillary services of CSDs that do not entail credit or liquidity risks

Services provided by CSDs that contribute to enhancing the safety, efficiency and transparency of the securities markets, which may include but are not restricted to:

1. Services related to the settlement service, such as:
 - (a) Organising a securities lending mechanism, as agent among participants of a securities settlement system;
 - (b) Providing collateral management services, as agent for participants in a securities settlement system;
 - (c) Settlement matching, instruction routing, trade confirmation, trade verification.
2. Services related to the notary and central maintenance services, such as:
 - (a) Services related to shareholders' registers;
 - (b) Supporting the processing of corporate actions, including tax, general meetings and information services;
 - (c) New issue services, including allocation and management of ISIN codes and similar codes;
 - (d) Instruction routing and processing, fee collection and processing and related reporting.
3. Establishing CSD links, providing, maintaining or operating securities accounts in relation to the settlement service, collateral management, other ancillary services.
4. Any other services, such as:
 - (a) Providing general collateral management services as agent;
 - (b) Providing regulatory reporting;
 - (c) Providing information, data and statistics to market/census bureaus or other governmental or inter-governmental entities;

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- (d) Providing IT services.

SECTION C U.K.

Banking-type ancillary services

Banking-type services directly related to core or ancillary services listed in Sections A and B, such as:

- (a) Providing cash accounts to, and accepting deposits from, participants in a securities settlement system and holders of securities accounts, within the meaning of point 1 of Annex I to Directive 2013/36/EU;
- (b) Providing cash credit for reimbursement no later than the following business day, cash lending to pre-finance corporate actions and lending securities to holders of securities accounts, within the meaning of point 2 of Annex I to Directive 2013/36/EU;
- (c) Payment services involving processing of cash and foreign exchange transactions, within the meaning of point 4 of Annex I to Directive 2013/36/EU;
- (d) Guarantees and commitments related to securities lending and borrowing, within the meaning of point 6 of Annex I to Directive 2013/36/EU;
- (e) Treasury activities involving foreign exchange and transferable securities related to managing participants' long balances, within the meaning of points 7(b) and (e) of Annex I to Directive 2013/36/EU.

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