

## CSD Register

Articles 21 and 58 of Regulation (EU) No 909/2014 (CSDR)

Competent authorities shall send the information requested in the below tables in **WORD** format to [CSDR.Notifications@esma.europa.eu](mailto:CSDR.Notifications@esma.europa.eu). The information provided will be published by ESMA in accordance with Article 21(3) and Article 58(2) of CSDR.

### Article 21 - CSD register

1. Decisions taken by competent authorities under Articles 16, 19 and 20 shall be immediately communicated to ESMA.
2. Central banks shall without undue delay inform ESMA of any securities settlement system that they operate.
3. The **name of each CSD** operating in compliance with this Regulation and to which **authorisation** or recognition has been granted pursuant to Article 16, 19 or 25 shall be entered in a register specifying the **services** and, where applicable, **classes of financial instruments** for which the CSD has been authorised. The register shall include **branches operated by the CSD in other Member States, CSD links and the information required under Article 31 where Member States have made use of the possibility provided for in that Article**. ESMA shall make the register available on its dedicated website and keep it up to date.

### Article 58 - CSD register

1. Decisions taken by competent authorities under Articles 54, 56 and 57 shall be notified to ESMA.
2. ESMA shall introduce in the register, that it is required to make available on its dedicated website in accordance with Article 21(3), the following information:
  - (a) the **name of each CSD** which was subject to a decision under Articles 54, 56 and 57;
  - (b) the **name of each designated credit institution**;
  - (c) the **list of banking-type ancillary services** that a designated credit institution or a CSD authorised under Article 54 is authorised to provide for the CSD's participants.

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## I. EU CSDs (authorised under Art 16/Art 54 of CSDR) – general information

CSD Home Member State	Competent Authority	CSD Name	LEI of CSD	Initial Authorisation, Extension or Outsourcing of Activities and Services				Withdrawal of Authorisation		
				Date (YYYY/MM/DD)	Specify the type of decision and if made under Art 16, 19, 54 or 56 of CSDR	Services covered (Annex to CSDR)	If applicable, name of entity to which the services or activities are outsourced	Date (YYYY/MM/DD)	Specify if under Art 20 or Art 57 of CSDR	Services for which authorisation is withdrawn
Latvia	Financial and Capital Market Commission	<b>JSC Latvian Central Depository</b>	485100001PLJJ09NZT59	2017/09/18	initial authorisation under Art 16	<p><b>a) Core services referred to in Section A:</b></p> <ol style="list-style-type: none"> <li>1) initial recording of securities in a book-entry system ("notary service");</li> <li>2) providing and maintaining securities accounts at the top tier level ("central maintenance service");</li> <li>3) operating a securities settlement system ("settlement service")</li> </ol> <p><b>b) Ancillary services referred to in Section B:</b></p> <ol style="list-style-type: none"> <li>1) supporting the processing of corporate actions;</li> <li>2) services related to shareholder lists;</li> <li>3) services related to securities holders' registers;</li> <li>4) services related to new issues (including assignment of ISIN and other actions related to admission of new issues to the securities settlement system);</li> <li>5) instruction routing and processing, fee collection, processing and reporting related to 1-3 non-banking-type ancillary services;</li> <li>6) providing information, data and statistics in connection with the above.</li> </ol>	Eurosystem (T2S platform)			

						<p><b>c) Ancillary services allowed but not explicitly listed in Section B:</b>  <u>country specific only for Latvia:</u>  1) maintenance of specialised web service for offering of saving notes, settlement services for saving notes, maintenance of investors' in saving notes accounts;  2) performing the following functions as account operator in respect of II pillar pension: i) maintenance of the participants' accounts; ii) entries of the assets on the participants' accounts; iii) recording of the change of investment plans; iv) maintenance of the investment plan unit register; v) transfer of the assets to State Social Insurance Agency and to asset managers; vi) provision of information on the performance of the state funded pension system;</p> <p><u>country specific only for Lithuania:</u>  1) acting as an issuer agent and (or) a cash agent in respect of the Lithuanian Government saving notes and the Lithuanian Government securities registered within the Depository including services related to distribution, redemption and other corporate actions processing;  2) provision of settlement services related to the Lithuanian Government securities (T2S eligible securities) in T2S platform and to Lithuanian Government savings notes (Non-T2S eligible securities) on Depository's system;  3) provision of distribution services of Lithuanian Government savings notes via specialized web service.</p> <p><b>d) Banking-type ancillary services referred to in Section C:</b>  ----</p> <p><b>e) Banking-type ancillary services allowed but not explicitly listed in Section C:</b>  ----</p>			
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## II. EU CSDs (authorised under Art 16/Art 54 of CSDR) – additional information on each CSD

### Nasdaq CSD SE – Latvia\*

\* before 15.09.2017 known as JSC Latvian Central Depository

Securities settlement system(s) operated by the CSD	Classes of financial instruments	CSD links			Designated credit institutions		Services provided in host Member States			
		Name of the other CSDs involved in each link	Specify for each link if the other CSDs involved in the link act as “receiving CSDs” or “requesting CSDs”	Type of link (standard link, indirect link, interoperable link)	Name of the credit institution(s)	Services provided (Annex to CSDR)	Host Member State(s)	If applicable, name of the branch providing services	Services provided (Annex to CSDR)	If applicable, the law referred to in Article 49(1) of CSDR of the host Member State
<p>1) securities settlement system operated by Nasdaq CSD SE governed by Estonian law ;</p> <p>2) securities settlement system operated by Nasdaq CSD SE governed by Latvian law ;</p> <p>3) securities settlement system operated by Nasdaq CSD SE governed by Lithuanian law</p>	<p>a) transferable securities referred to in point (a) of Article 4(1)(44) of Directive 2014/65/EU,</p> <p>b) sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU,</p> <p>c) transferable securities referred to in point (b) of Article 4(1)(44) of Directive 2014/65/EU, other than sovereign debt referred to in Article 4(1)(61) of</p>	<p>1) Clearstream Banking Luxembourg S.A (CBL)</p> <p>2) Krajowy Depozyt Papierów Wartościowych S.A. (KDPW)</p>	<p>1) CBL acts as receiving CSD</p> <p>2) KDPW acts as requesting CSD</p>	Standard links within the meaning of CSDR	----	----	<p>1)Lithuania</p> <p>2) Estonia</p>	<p>1) Nasdaq CSD SE Lithuanian Branch</p> <p>2) Nasdaq CSD SE Estonian Branch</p>	<p>whole range of services as indicated in Section I of this table</p>	<p>currently all issuances are according to law of either Estonia, Latvia and Lithuania, including for companies established in third country</p>

	<p>d) Directive 2014/65/EU, transferable securities referred to in point (c) of Article 4(1)(44) of Directive 2014/65/EU,</p> <p>e) exchange-traded funds as defined in point (46) of Article 4(1) of Directive 2014/65/UE (ETF),</p> <p>f) units in collective investment undertakings, other than ETFs,</p> <p>g) money-market instruments, other than sovereign debt referred to in Article 4(1)(61) of Directive 2014/65/EU</p>									
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### III. Entities allowed to record book entries into securities accounts maintained by CSDs (Art 31 of CSDR)

Home Member State	Name of the CSD maintaining the securities accounts	Name of entity allowed to record book entries into securities accounts maintained by the CSD	Core services referred to in Section A of the Annex to CSDR provided by the entity	Regime applicable to the provision of these services, incl. applicable national law provisions
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