

Schedule 3

VERIFICATION OF ACCURACY at the submission of files with data on securities holdings

1 Introduction

This Verification of accuracy lays down the rules for the verification of data in files submitted in accordance with the Reporting instructions prescribed by the Decision on collecting data for the compilation of securities statistics.

2 Standard file features

- file with records of securities holdings for the previous month (PU)
- XML format
- XML file examples are an integral part of this Verification
- code page ISO-8859-2 (CE)
- the contents of records according to the Schedules to the Reporting instructions
- file name VRPA-OIB-YYYYMMDD-OZN-REDBR.XML (VRPA-PorezniBroj-IzveštajniDatum-PU-XX + XML; example of the file name: VRPA-64406809162-20110831-PU-01.XML)

3 File contents

The header is the first record in a file, in which information about the file is entered: report code, reporting period, reporting institution's OIB, the total number of records in a file and the e-mail address of the contact person.

The following records are records at the level of each ISIN for every investor or, aggregately, for a group of investors that represent the rows on securities holdings and the amounts of securities prescribed by the Reporting instructions.

4 Record content control

General remarks

Numerical fields – for the amount

The field intended for the amount is maximum 20 characters long, including the decimal point and two decimal places, while blanks are not completed by leading/trailing zeros.

Other fields – numerical and alphanumerical

The lengths of other fields, both numerical and alphanumerical, that do not refer to the amount, are defined and described for each field individually. Such fields are completed from the left side, while any obligation to complete the blanks with zeros is mentioned in the explanation of each field individually.

The basic reporting record

Each field of the basic reporting record that must be completed has an integrated control of the obligatory completeness of the field and the control of the completeness with the value (mode) from the list of permissible values (modes) in accordance with the Reporting instructions.

4.1 Formal and logical controls of the securities holdings file

4.1.1 "Header" record

Field 1 Report code

The field must be completed, in accordance with the Reporting instructions, feature 1.

Control: the field is completed using the "PU" mode exclusively.

Field 2 Reporting period

The field must be completed, in accordance with the Reporting instructions, feature 2. The field has eight places ("YYYYMMDD" format) and they are all completed.

Control: the reporting date should be identical to the date in the file name and be the last (calendar) day of the reporting month.

Field 3 Tax number

The field must be completed, in accordance with the Reporting instructions, feature 3.

The field has 11 places and they are all completed.

Control: the tax number should be identical to the tax number in the file name.

Field 4 Total number of records in the file

The field must be completed. The total number of records that the report contains is written, the header record is not counted.

Control: the total number should be equal to the sum of the "Investment" records.

Field 5 Contact person's e-mail address

The field must be completed. The e-mail address of the contact person or of the reporting institution is written. It can be a natural person's e-mail address or a generic e-mail address of the reporting institution.

The reporting institution will be notified about the correctly submitted file, or warned if an error is detected, to the submitted e-mail address.

4.1.2 "Investment" record

Field 1 ISIN

The field must be completed, in accordance with the Reporting instructions, feature 4.

The field has 12 places. The following modes are permitted with ISIN:

1. "HRRHMFO99991" – replacement bonds for the economic restructuring of the Republic of Croatia,
- 2 "HRRHMFO99992" – bonds of the Republic of Croatia arising from blocked f/c deposits,
- 3 "HRRHMFO99993" – bank rehabilitation bonds of the Republic of Croatia,
- 4 "HRRHMFO99994" – bonds of the Republic of Croatia for the purchase of socially-owned flats,
5. "***OFOND00000" – a unit in an open-ended investment fund,
- 6 "***ODUZN00000" – debt securities,
- 7 "***OVLAS00000" – equity securities, and
8. "***OOSTA00000" – other.

Control: 11 characters + a control character according to mode 10 algorithm or permitted modes

Field 2 Type of account

The field must be completed, in accordance with the Reporting instructions, feature 5. The field has two places and they are both completed. The following modes are permitted:

- 1 "UU" – investor account– accounts **opened at investor's order**,
- 2 "SU" – custody account – accounts **opened at custodian's order (known data about the end investor)**,
- 3 "SS" – custody account – accounts **opened at custodian's order (unknown data about end investor)**
- 4 "TR" – treasury accounts – issuer's position in a security he is the issuer of, and
- 5 "RT" – reverse transactions – securities which an investor has acquired in repo transactions.

Control: for CDCC, modes UU, SU, SS and TR are permitted; for custodians, modes SS, UU and RT are permitted; for residents, modes UU and RT are permitted.

Field 3 P Tax number

The field is conditionally completed with the investor's tax number, in accordance with the Reporting instructions, feature 6. The field has 11 places and they are all completed.

Control: if the tax number is written, there is no need to complete the fields of Activity, Investor country, Institutional sector and Type of financial institution.

Field 4 Activity

The field is conditionally completed pursuant to the Decision on the National Classification of Activities 2007 – NKD 2007 (Official Gazette 58/2007), that is, in accordance with the Reporting instructions, feature 7. The field has five places and it is completed for legal persons resident in the Republic of Croatia and abroad, or if the activity is unknown, "00000" is written. This field is not completed for natural persons.

Control: the field must be completed if the Tax number field is not completed, and if the value in the Institutional sector field is different from "14" – households.

Field 5 Investor country

The field must be completed with the investor's country code, or with the code of the international institution, that is, in accordance with the Reporting instructions, feature 8.

The field has two places and it is completed with the resident's two-letter country code ("HR") and that of a non-resident, or with the code of the international financial institution.

Control: the field must be completed if the Tax number field is not completed.

Field 6 Institutional sector

The field must be completed by the investor's sector code in accordance with the Reporting instructions, feature 9.

The field has five places and it is completed, for residents, according to Schedule 1 The overview of resident legal persons, or for non-residents, with the following modes:

- 1 "11"– non-financial corporations,
- 2 "121"– central bank,
- 3 "122" – credit institutions, except the central bank,
- 4 "123"– money market funds,
- 5 "124" – non-money market investment funds,
- 6 "1251" – other financial intermediaries, except insurance corporations and pension funds,
- 7 "1252" – financial vehicle corporations,
- 8 "126" – financial auxiliaries,
- 9 "127" – captive financial institutions,
- 10 "128"– insurance corporations,
- 11 "129"– pension funds,
- 12 "13"– general government,
- 13 "14"– households,
- 14 "15" – non-profit institutions serving households,

15 "22000" – general governments and international institutions, and

16 "00000" – not classified by institutional sector.

Control: the field must be completed if the *Tax number* field is not completed.

Field 7 Type of financial institution

The field is conditionally completed with the code of the type of financial institution, that is, in accordance with the Reporting instructions, feature 10.

The field has two places and is completed in accordance with Schedule 1. The overview of resident legal persons.

Control: the field must be completed if the Tax number field is not completed, and if it is in field 6. The institutional sector is one of the modes as "12**".

Field 8 Ownership relationship

The field must be completed, in accordance with the Reporting instructions, feature 11.

The field has six places, and the following modes are permitted:

1 "N00000" – ownership relationship does not exist,

2 "P01000" – ownership relationship exists – the investor holds less than 10% of the shareholding,

3 "P05000" – ownership relationship exists – the investor holds between 10% and 50% of the shareholding, and

4 "P10000" – ownership relationship exists – the investor holds over 50% of the shareholding.

Field 9 Type of amount

The field must be completed, in accordance with the Reporting instructions, feature 12. The field has two places and they are all completed. The following modes are permitted:

1 "01" – the number of equity securities or the nominal amount of debt securities,

2 "03" – the amount of accrued interest on debt security, and

3 "06" – the amount of a security repurchased by an acquirer in a corporate action.

Field 10 Amount

The field must be completed and it contains the information about the securities holdings. The maximum field length is 20 characters, including the decimal point and two decimal places.

If mode "06" is selected in feature 9 Type of amount, the field can be completed with the amount with a negative sign (takeover action).

5 XSD files for data submission

5.1 File for investment in securities (Ulazni_podaci–VRPA–PU.xsd)

The CNB will publish this file on its website (www.hnb.hr), and the reporting institution shall ensure the application of this file.

6 Examples of XML files

6.1 Ordinary file (Ulazni_podaci–VRPA–PU.xml)

The CNB will publish an example of the XML file on its website (www.hnb.hr).