

INSTRUCTION N° 2009-07 OF 23 JUNE 2009

ON THE FILE TO BE SUBMITTED TO THE AMF BY A CENTRAL SECURITIES DEPOSITORY OR A SECURITIES SETTLEMENT SYSTEM MANAGER, WITHIN THE FRAMEWORK OF THE PRIOR APPROVAL APPLICATION TO THE AMF FOR ALLOWING AN INSTITUTION TO OPEN AN ACCOUNT WITH THE CENTRAL SECURITIES DEPOSITORY OR TAKE PART IN THE SECURITIES SETTLEMENT SYSTEM

Issued in application of Articles 550-1-1 and 560-1-1 of the AMF General Regulation

Single Article

The file to be submitted to the AMF by a central securities depository or a securities settlement system manager, when the prior approval of the AMF is required for allowing an institution to open an account with the central securities depository or take part in the system, must contain the following components:

1. The name of the institution;
2. The address of its registered office;
3. Its corporate status;
4. Its shareholders;
5. The names of its main directors;
6. A description of its activity;
7. A description of the resources at its disposal and notably of the resources devoted to risk management;
8. The names of its national regulation, supervision and oversight authorities;
9. A description of the legal and regulatory framework of its activity: conditions of access, exercise of activity and control;
10. When the institution is a central securities depository or manages a securities settlement system, the operating rules (or an equivalent document) of the institution in its capacity as central securities depository or of the securities settlement system it manages.

The AMF may ask for any additional information that the AMF deems useful.