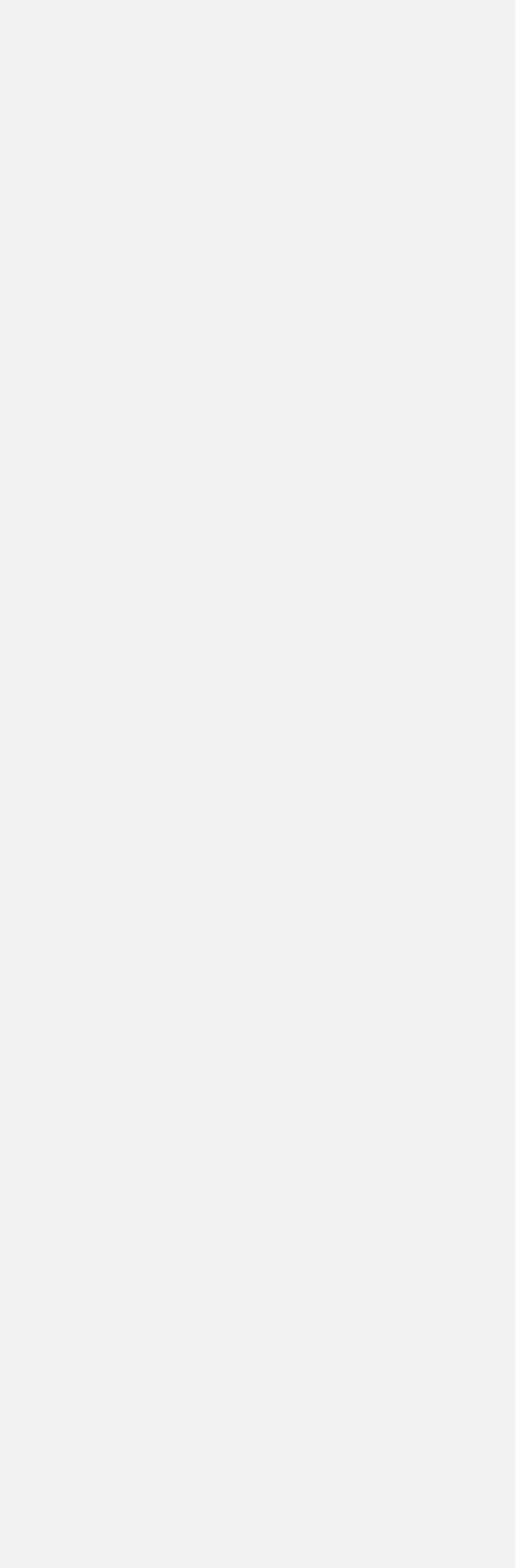


**USE SECURITIES CENTRAL DEPOSITORY (AMMENDMENT)
OPERATIONAL PROCEDURES 2023**

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1 1 INTRODUCTION

1.1 PURPOSE

- 1.1.1 This Procedures manual describes the procedures to be applied by SCDA's, issuers, depositors and the Uganda Securities Exchange in performing the functions relating to the Securities Central Depository.
- 1.1.2 Appendices contain different reports and forms used for the Securities Central Depository operations.
- 1.1.3 These Procedures assume a trading session of 9.00 am to 3.00 pm and a T+3 settlement cycle for equities and T+3 cycle for fixed income securities

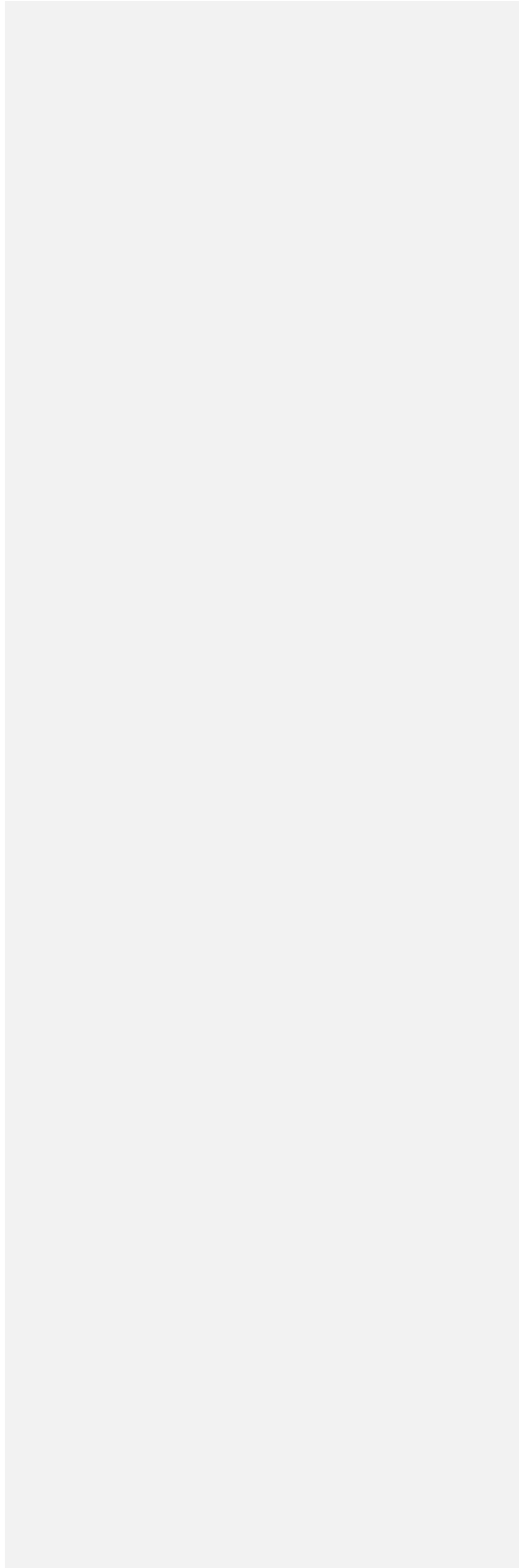
2 DEFINITIONS

This definition section is to be read in conjunction with Rule 2 of the Securities Central Depository Rules

Account.....	an SCD Account
Allotment Schedule.....	A report submitted to the SCD by an Issuer consisting of a list of Securities Account Holders allotted with Securities in respect of IPO's, Bonus Issues, Rights, payment of dividend in species, mergers and any other corporate actions.
Authority	the Capital Markets Authority established under section 4 of the Capital Markets Act.
Broker/dealer	A body licensed by the Authority to provide brokerage services and to act as a dealer of listed securities
Broker Trading Summary Schedule	A report generated by the Exchange in respect of trade details for each SCDA (Appendix 7)
Custodian	A company whose business includes taking responsibility for the safe custody of the funds, securities, financial instruments and documents of title
Day(s).....	Business day(s)
Entitlement date.....	The date fixed by an Issuer for the purposes of determining entitlements, dividends or other distributions to or rights or rights of depositors in respect to securities issued by the issuer
Entitlement Schedule.....	A report generated by the Exchange for all Securities Account Holders entitled to Securities in respect of Bonus issues, Rights Issues, dividends and/or other Corporate Actions (Appendix 7)
Exchange.....	Uganda Securities Exchange Ltd.

Fees and Charges Statement...

A statement generated by the Exchange for
SCDA's in respect of the Securities Central
Depository fees and charges accumulated during



	the period under review.
Final Settlement Report.....	A report generated by the indicating the final funds settlement position of each SCDA. (Appendix 9)
Guarantee Fund.....	The Securities Central Depository Guarantee fund established under regulation 15 of the Securities Central Depository Regulations, 2009
Identification Document	In the case of a Ugandan national means a national Identity card issued by the designated government agency and in the case of a non- Ugandan national means a valid passport issued by the designated government agency of the country of origin
Initial Settlement Report.....	An initial report generated by the Exchange on the settlement position of each SCDA for each trade day. (Appendix 8)
Issuer	In relation to book-entry security, a company, corporation, government or body corporate or any person that issued the security and includes any person or entity performing the functions of a registrar for the issuer in respect of that security.
Market.....	The official market of the Uganda Securities Exchange Ltd
Net Settlement Obligation.....	The sum of the total debit amounts netted off against the sum of the total credit amounts for each settling participant on the relevant trading day.
New Issues Schedule.....	A report generated by the Exchange, giving details of Securities Accounts credited with securities allotted during an Initial Public Offer or Securities issuance.
Provisional Deposits Schedule	A report generated by the Exchange for each Security to reconcile with the records of the Issuer in respect of deposits. (Appendix 3)

Rights Subscribed Schedule.....

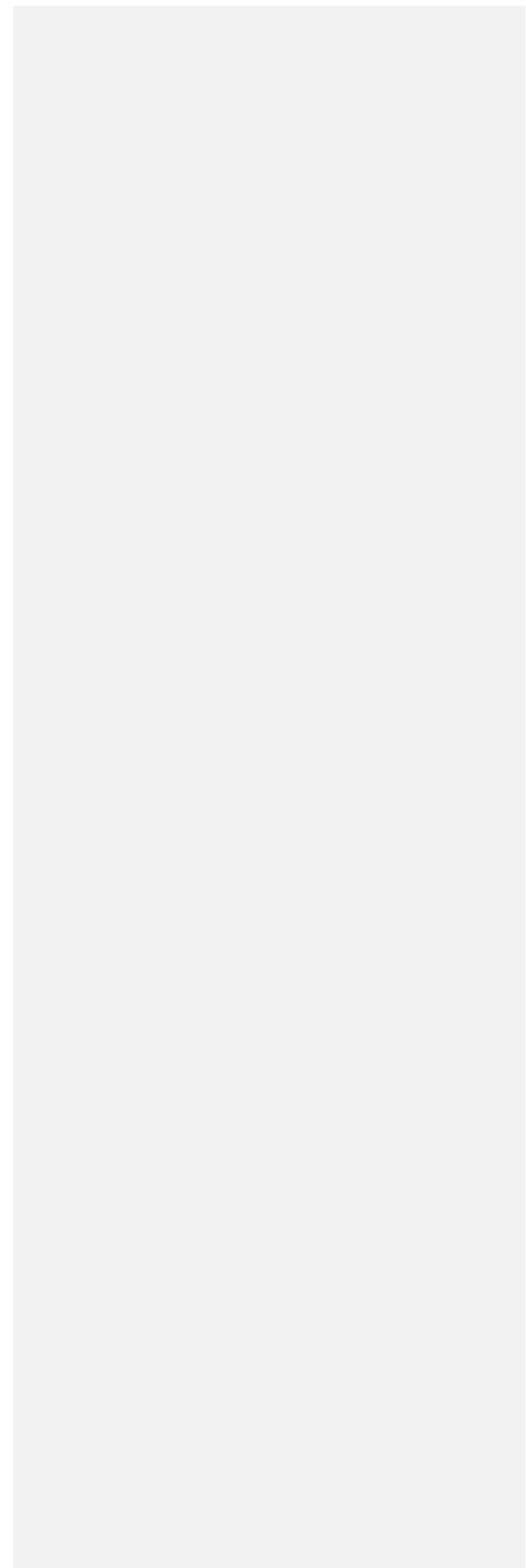
A report generated by the Exchange to reconcile with the records of the SCDA's and Issuer in respect of Rights Subscribed.

SCDA.....

Securities Central Depository Agent (

Schedule of Securities Allotted.....

A report generated by the Exchange giving details of securities accounts credited with Bonus/Rights
During A Bonus/Rights Issue



Securities Central Depository (SCD)	the Securities Central Depository of the Uganda Securities Exchange Ltd
Settlement Bank.....	The bank(s), appointed by the Exchange to provide settlement services
Settlement Instruction.....	An instruction generated by the Exchange to the Settlement Bank to effect funds settlement in accordance with the final settlement schedule (Appendix 10)
Statement of Account.....	A statement generated by the Securities Central Depository showing transactions effected and balance of securities. (Appendix 20)
T.....	The market day on which a security is purchased or sold by or on behalf of the depositor
Unsubscribed Rights Schedule.....	A report generated by the Exchange to reconcile with the records of the Issuer in respect of Rights not subscribed.
Withdrawal Schedule.....	A report generated by the Exchange for each Security giving details in respect of withdrawals.

3 SECURITIES ACCOUNT OPENING

This section describes the procedures to be complied with by Participant SCDA's with respect to accepting, verifying and submission of an application to open a Securities Account

3.1.1 For individuals

3.1.1.1 The client will submit an application to open a securities account in the manner prescribed by the Exchange with a copy of their valid identification documentation to the SCDA. In addition, the client will be required to submit to the SCDA, a passport size photograph of themselves. For joint accounts, each signatory will be required to submit an application to open a joint account in the manner prescribed by the Exchange ,together with copies of the valid identification documentation for all the account beneficiaries and their passport size photographs.

3.1.1.2 Where the client does not possess a valid passport (in the case of non Ugandan national) or national ID (in the case of a Uganda national) , the SCDA will ensure the uniqueness of the client by feeding the client's fingerprint information from the biometric system into the system for comparison purposes. Where a match exists with an already existing account, the account opening request shall be denied and the Exchange informed.

3.1.1.3 In Trust For Accounts (ITF)

An individual may open and hold an account for the benefit of another where such person ("beneficiary") is a minor of close relation to the applicant. Such accounts shall be known as "In Trust of Accounts"

An application to open an In Trust For Accounts, shall be in the manner prescribed by the SCD, and shall be accompanied by together with copies of the valid identification documentation for all the account beneficiaries and valid proof of parentage or guardianship of the minor by the applicant.

Under this procedure, close relation shall refer to biological parentage or legal guardianship.

3.1.2 For organizations, corporates, associations or other entities

3.1.2.1 The client will submit to the SCDA, duly completed application to open a SCD account in the manner prescribed by the Exchange together with a copy of the certificate incorporation, Articles and memorandum of Association or an equivalent document, Board resolution authorizing SCD account opening,

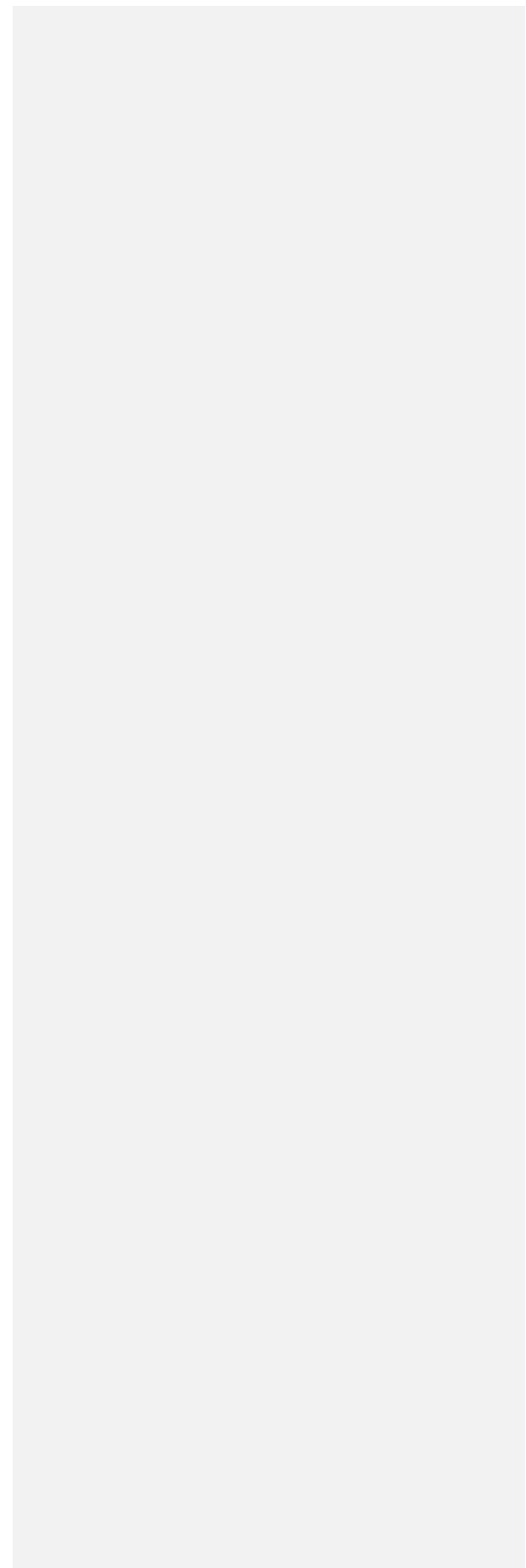
identification documentation for all its signatories or directors or officers authorised to give instructions on the account and supporting documentation for such authority.3.1.2.2 For SCD purposes a minimum of 02signatories or directors or officers authorised to give instructions shall be accepted.

3.1.2.3 The client will be required to submit to the SCDA passport size photographs of each signatory or director or officer authorized to give any instructions on the account.

3.1.3 The SCDA shall ensure full and accurate disclosure of the client's relevant information, verify the accuracy thereof and witness the client's signature(s).

3.1.4 The SCDA shall upon receipt of duly completed application verify the same and submit a request to the SCD to approve creation of the said account in the manner prescribed by the SCD

- 3.1.5 The SCDA will return to the client a copy of Securities Account Opening/Maintenance Form, duly signed, stamped and dated by the SCDA.
- 3.1.6 An SCDA must ensure it retains and ensures safe custody of the client information provided at account opening in the manner prescribed by the SCD .ensure the safe custody of specimen signatures, identification documentation and the passport photographs of their clients.



3.1.7

- 3.1.8 Upon receipt of the SCDA's request, the SCD upon confirming that the application is fully compliant with these procedures shall authorise the creation and activation of an SCD account within 02 (two) days
- 3.1.9 Any activation request that is rejected by the Exchange shall be communicated immediately through the relevant SCDA (and in the case of an account opened via the electronic platform provided by the Exchange, directly to the client) and the documentation returned giving reasons for the rejection within two (02) days.

PRE –LINKING OF ACCOUNTS OPENED BY A CUSTODIAN

- 3.2 Where an account is being opened by a Custodian, the Custodian will be required to provide a detailed list of all local brokers who their clients deal with for pre-linking by the Exchange.
- 3.2.1 Where details of the local broker are not provided by the Custodian during the account opening, the broker/dealer shall request the Exchange for the client's account to be pre-linked for purposes of trading.

4 SECURITIES ACCOUNT MAINTENANCE

This section describes the procedures to be complied with by SCDA's with respect to changing particulars of clients and provision of the relevant information

- 4.1.1 Where the client wishes to change any particulars submitted when opening an account, the client will submit duly signed Securities Account Opening/Maintenance Form SCD 1a for individuals (in triplicate) and Securities Account Opening/Maintenance Form SCD 1b for organizations (in triplicate) indicating the desired changes together with any supporting documents to his SCDA.
- 4.1.2 The SCDA will verify the accuracy of information provided by the client and certify the client's credentials before submitting the information to the Exchange.
- 4.1.3 Where there is a new signatory (for accounts with more than one signatory), the signatory will be required to submit a copy of their valid identification documentation and a passport size photograph of themselves. In the case of a Corporate personal, a request for change of signatories shall be accompanied by a duly registered Board resolution to that effect.
- 4.1.4
- 4.1.5 The SCDA will acknowledge receipt of the change request from the client by returning to the client, a copy of the Securities Account Opening/Maintenance Form, duly signed, stamped and dated by the SCDA.
- 4.1.6 The SCDA will forward two signed, stamped and dated forms together with the accompanying identification information (for new signatories) and fingerprint information (where applicable) to the Exchange within 2 days of receipt.
- 4.1.7 The Exchange shall confirm receipt of the change request by returning a copy of the form to the SCDA, duly signed, stamped and dated.
- 4.1.8 Upon receipt of the change request by the Exchange, the securities account will be suspended pending approval of the change request. Rejected change requests will be communicated and returned stamped "rejected" within two days through the SCDA. Approved change requests shall be effected by the Exchange after ensuring that the change request documentation matches the information in the Client's original Account Opening forms.
- 4.1.9 The SCDA will retain a copy of the duly signed, stamped and dated SCD 1 forms.

4.1.10 The Exchange will suspend or close a Securities Account upon receipt of written instructions to do so together with supporting documents from a client through an SCDA.

4.1.11 The Securities in the suspended Securities Account will no longer be available for settlement or for other transactions until the suspension is lifted.

5 DEPOSITS

This section describes the procedures to be complied with by the SCDA with respect to accepting, verifying, filing of Securities Deposit Forms and Securities Certificates; and submission of the deposit documents.

- 5.1.1 The client will submit to their SCDA (in quadruplicate), duly completed and signed Securities Deposit Forms (SCD 2) and the relevant Securities certificates.
- 5.1.2 The SCDA will verify the accuracy of information provided in the Securities Deposit form and certify the client's signature(s).
- 5.1.3 The SCDA will acknowledge receipt of the documents by returning to the client a copy of the Security Deposit Form, duly signed, stamped and dated.
- 5.1.4 The SCDA will deliver three of the duly signed and stamped Securities Deposit Forms together with the securities certificates to the Issuer for verification.
- 5.1.5 The Issuer or their designated registrar will, upon receipt of documents, verify in the presence of the SCDA's personnel that there is no discrepancy between the documents, and the relevant certificate(s).
- 5.1.6 The Issuer or their designated registrar will acknowledge receipt of the deposit documents by returning to the SCDA one Security Deposit Form, duly signed, stamped and dated by an authorised officer of the Issuer whose signature will be held by the Exchange.
- 5.1.7 The Issuer or their designated registrar will reject, giving reasons for rejection, and return for pick up by SCDA's authorized personnel any irregular, incorrect or incomplete Securities Deposit Forms and/or Securities certificates; and will notify the Exchange of such a rejection.
- 5.1.8 The Issuer or their designated registrar will confirm the authenticity of (verify) the Securities certificates within 2 days after receipt of the deposit documents.
- 5.1.9 Upon verification, the Issuer or their designated registrar will return to the SCDA, duly stamped, signed and dated deposit forms (2 copies) and the corresponding Securities Certificate for submission to the Exchange while retaining a copy of the Corresponding Securities Certificate.
- 5.1.10 The Exchange will acknowledge receipt of the deposit documents from the SCDA by handing over to the SCDA one Securities Deposit Form, duly signed, stamped.
- 5.1.11 The Exchange will check whether the Deposit documentation is in conformity with the Rules and Procedures and provisionally credit the depositor's account with the securities and submit to the issuer a provisional deposits report for confirmation. The securities deposited will not be available for transactions in the Depository
- 5.1.13 The Exchange will forward Securities Deposit Forms and Securities certificates in a sealed envelope together with a Provisional Deposits Schedule (Appendix 3) in duplicate to the Issuer or their designated registrar
- 5.1.14 The Issuer or their designated registrar, will upon receipt of deposit documents, match the contents of the envelope with the schedule and immediately acknowledge receipt by returning to the

Exchange SCD one copy of the Provisional Deposits Schedule, duly signed, stamped and dated.

- 5.1.15 Where there is a discrepancy, the Issuer or their designated Registrar will inform the Exchange which will in turn make available for pick up by the SCDA's authorized personnel, the rejected forms and accompanying securities giving reasons for the rejection.
- 5.1.16 Where the deposit request is successful, the deposited Securities will be posted to the client Securities Account and will be available for trading immediately.
- 5.1.17 The Issuer or their designated Registrar will register the deposited securities in the name of the Exchange or its nominees.
- 5.1.18 The Issuer shall issue Jumbo certificates for securities deposited with the Exchange or its nominees on the basis of agreed incremental deposits. The certificate will be in the name of the Exchange or its nominees.
- 5.1.19 Issuer will forward the Jumbo certificate to the Exchange and the Exchange will acknowledge receipt of the Jumbo certificate in writing by issuing a written confirmation of receipt to the Issuer.

6 TRADES

This section describes the procedures to be complied with by the SCDA's for trades effected at the Exchange with respect to:

- 1.) Accepting buying/selling orders for Securities from Clients
- 2.) Confirmation of executed trades
- 3.) Providing trade details and client information to the Exchange

6.1 TRANSACTION CAPTURE ON TRADE DAY (T)

6.1.1 Upon receipt of trade orders from clients, the broker/dealer will verify the availability of the Securities in the client's securities account.

For buy orders the broker/dealer will confirm the existence of the client's SCD Account. Where clients/accounts belong to the Custodian, the broker shall request from the Exchange in writing, for the Custodian's client account to be linked before trades are executed in the ATS.

6.1.2 Broker/dealers shall post validated trade orders on the ATS, which shall be processed and matched. The ATS will process and automatically communicate all matched transactions to the SCD. The broker/dealers shall continuously **COMMIT** to their trades during the trading session and not later than **3:00 pm on T**.

6.1.3 The Exchange will issue a trading summary detailing all trades of the day to each broker/dealer for correction and/or verification by **3:00 pm on T**.

6.1.4 The Exchange will thereafter issue every broker/dealer with a final settlement schedule, duly signed, stamped and dated by **3:30 pm on T**.

6.1.5 The Exchange will deliver to custodians final settlement reports in respect of transactions allocated to their clients by broker/dealers by **3:30 pm on T**. The Exchange will ensure that the reports are collected by hand or through any other means such as email as agreed with each custodian and that receipt thereof is acknowledged by a duly authorized representative of the custodian. Procedure 6.3 will thereafter apply.

6.2 AMENDMENTS TO TRADE INFORMATION

6.2.1 All change requests, corrections or amendments shall be made by **3:30 pm on T**. All executed trades that require amendments will be subject to agreement among the broker/dealer in the transaction and the Exchange. Any such amendments will only apply where trades have been wrongly allocated by a broker/dealer and the amendments shall be completed by **3:30 pm on T**.

6.2.2 The Exchange will impose a surcharge in accordance with the fees and surcharges schedule in section 17 of these procedures for any re-allocation of trades made after **3:30 pm on T**.

6.2.3 In the event that the broker/dealer fails to commit to trades by **3:30 pm on T**, the Exchange shall exercise its right and commit to the broker/dealer trades. The procedures in 7.2, 7.3, 7.4 and 7.5 will thereafter apply.

6.3 NEGATIVE AFFIRMATION OF TRADES ALLOCATED TO SECURITIES' ACCOUNTS OF CLIENTS OF CUSTODIAN BANKS

6.3.1 The Custodian shall be required to **COMMIT** to their client's trades before **T+2 at noon**.

6.3.2 Custodian banks will notify the Exchange of any trades allocated to their clients erroneously and thereafter not accepted, by indicating their refusal through an email notification from an authorized representative with an attached scanned copy of the written letter or by indicating on the copy of the respective final settlement report submitted to the Exchange under procedure 6.1.6 above and delivering the report to the Exchange.

6.3.3 The Exchange will notify the relevant broker/dealer in writing and remove the relevant custodian allocation.

6.3.4 In accordance with procedure 6.3.2, Custodians will have up to **T+2 at 12:00 noon** to reject trades that have been erroneously allocated to their clients by the broker/dealers on T. The Custodian must ensure that the Exchange acknowledges and immediately confirms receipt of such rejection in writing. Any trade not so rejected by **T+2 at noon** shall be deemed to be accepted.

6.3.5 Any request for trade amendment by the Custodian after the deadline prescribed in 6.3.4 above will be subject to a surcharge in accordance with procedures 17 (i.e. **between T+2 at 12:00 noon and 4:00 pm on T+2**)

6.3.6 Where a Custodian refuses to accept a trade, the broker/dealer may reallocate the trade to another client. Once the trade is reallocated, the trade may not subsequently be accepted by the Custodian.

6.3.7 If the trade is not allocated by the broker/dealer by **4:30 pm on T+2**, the trade will be dealt with in accordance with the procedures in 7.4 and 7.5.

7 CLEARING AND SETTLEMENT

This section stipulates the procedures to be complied with by SCDA's, the Settlement Bank and the Exchange in respect of reporting and confirming transactions for the Exchange to clear and settle such transactions through the services of the SCD System.

7.1 SECURITIES AND FUNDS SETTLEMENT

- 7.1.1 The Exchange will provide each SCDA with their respective Final Settlement Schedules by **3:30 pm on T**.
- 7.1.2 The Exchange will submit to the Settlement Bank, a Settlement Schedule by **12:00 noon on T+2**.
- 7.1.3 Each SCDA **MUST have funds available** in the Settlement account at the Settlement Bank in accordance with the SCDA Final Settlement Schedule before **4:00 pm on T+2**.
- 7.1.4 The Settlement Bank shall notify the Exchange of each SCDA's settlement on **T+2 by 4:00 pm**. In the event that there are inadequate funds for settlement by **4:00 pm on T+2**, the settlement Bank will immediately notify the Exchange.
- 7.1.5 The Exchange will submit to the Settlement Bank, settlement instructions in respect of trades effected on trade day T, by **8:30 am on T+3**.
- 7.1.6 The Settlement Bank shall transfer funds for settlement in accordance with the settlement instructions by SWIFT on **T+3 by 9:00 am**.
- 7.1.7 The Settlement Bank will communicate settlement of funds to the Exchange immediately whereupon the Exchange will forthwith transfer the securities. The settlement of funds and movement of securities shall in any case occur before **9:30 am on T+3**.

7.2 AMENDMENTS TO SETTLEMENT INSTRUCTIONS

- 7.2.1 The Exchange will provide Amended Settlement Schedules and Amended Settlement Instructions to the Settlement Bank in the following circumstances.
 - 7.2.1.1 In case of funds default;
 - 7.2.1.2 In case of failure to commit/allocate;
 - 7.2.1.3 In case of securities default; and
 - 7.2.1.4 Any other circumstances that the Exchange may deem appropriate from time to time.
- 7.2.2 In case of funds default the Exchange will effect funds settlement as outlined in Procedure 7.3.

7.2.3 In case of trade corrections and securities default, the Exchange will effect settlement as outlined in Procedure 7.4.

7.2.4 In case of failure to allocate by the broker/dealer, the Exchange will effect settlement as outlined in Procedures 7.4 and 7.5.

7.3 FUNDS SETTLEMENT DEFAULT

7.3.1 The settlement Bank will inform the Exchange of any shortfall in the funds settlement by **4:00 pm on T+2.**

7.3.2 The Exchange will provide for the shortfall in accordance with the Guarantee Fund Procedures, by **4:00 pm on T+3.**

7.3.3 The Exchange will submit to the Settlement Bank an amended settlement instruction by **9:30 am on T+4.**

7.3.4 The Settlement Bank will proceed with funds settlement in accordance with amended Settlement Instructions by **10:00 am on T+4.**

7.3.5 The Settlement Bank will confirm settlement of funds to the Exchange immediately, whereupon the Exchange will proceed with transferring of securities effected on T by **10:30 am on T+4.**

7.4 FAILURE TO ALLOCATE TRADES BY SELLING SCDA IN CASE OF NON ACCEPTANCE BY A CUSTODIAN

7.4.1 Where a trade is not allocated by the selling broker/dealer following non acceptance by a Custodian, the transaction will remain in the settlement cycle for settlement on **T+3** but the procedures below will apply.

7.4.2 If the trade is not allocated before the commencement of trading on **T+3 at 9.30 am** it shall be marked as a failed trade and can be cancelled from the settlement cycle. The Exchange shall inform the buying broker/dealer of this and proceed with a buy-in, in accordance with its Buy-in procedures.

7.4.3 A penalty shall be imposed upon the broker/dealer for any trade not allocated by **12.00 noon on T+2.** A special charge shall be levied for any allocation done between **12.00 noon on T+2 and 4.00 pm on T+2,** in accordance with the Fees and Surcharges Schedule in Section 17 of these Procedures.

7.4.4 If the trade fails as aforesaid, the Exchange shall add sufficient days as provided for by the Exchange's Buy-in Procedures to the settlement cycle and initiate a buy-in per the USE Trading Rules

7.4.5 The defaulting broker/dealer shall be required to buy the securities on the market within five trading sessions and the trade shall be provisionally allocated to the defaulting broker/dealer's provisional account established for this purpose for subsequent delivery to the initial buyer.

- 7.4.6 Allocation to the broker/dealer's provisional account shall only be allowed in procedures 7.4.5 and 7.5.3. No other type of transaction will be allowed on this account.
- 7.4.7 Once the defaulting broker/dealer acquires the required amount of securities, the original failed trade shall be allocated to the defaulting broker/dealer's provisional account and settled on a prompt basis.
- 7.4.8 If the buy-in is not successful within five trading sessions, the trade shall, subject to the decision of the Exchange, be cancelled and the defaulting broker/dealer shall be liable to pay a penalty as prescribed by the Guarantee Fund Procedures and the USE Fees Charges and Penalties Rules

7.5 FAILURE TO ALLOCATE TRADES BY BUYING SCDA IN CASE OF NON ACCEPTANCE BY A CUSTODIAN

- 7.5.1 Where a trade is not allocated by the buying broker/dealer following non acceptance by a custodian, the transaction will remain in the settlement cycle for settlement on T+3 but the procedures below will apply.
- 7.5.2 A penalty shall be imposed for any trade not allocated on **T+2 by 4.00 pm** in accordance with the Fees and Surcharges Schedule in Section 17 of these Procedures.
- 7.5.3 If the Trade is not allocated by **4.00 pm on T+2**, the trade shall be allocated to the SCDA's provisional account and settled on **T+4** using the defaulting broker/dealer's contribution to the Guarantee Fund, and other resources of the fund if necessary, in accordance with the Guarantee Fund Procedures.
- 7.5.4 The Guarantee Fund Procedures shall thereafter apply.

8 WITHDRAWALS

This section describes the procedures to be complied with by SCDA's with respect to accepting, verifying and filing of Securities Withdrawal Forms; and the submission of the withdrawal documents to the Exchange.

- 8.1.1 The Client will submit in quadruplicate duly completed and signed Securities Withdrawal Form SCD 3 (Appendix 11) to his SCDA.
- 8.1.2 The SCDA will verify the instruction and signature and identity of the client and will acknowledge receipt of the withdrawal request by returning to the client a copy of the Securities Withdrawal Form, duly signed, stamped and dated.
- 8.1.3 The SCDA will deliver by its authorized personnel relevant copies of the duly signed, stamped and dated Securities Withdrawal Form to the Exchange together with the a certified copy of the Client's Securities Account Opening Form.
- 8.1.4 The Exchange will acknowledge receipt of the Withdrawal documentation by handing over a copy of the Securities Withdrawal Form, duly signed, stamped and dated.
- 8.1.5 The Exchange will check whether information provided in the documents is in conformity with the Rules and Procedures and matches the information in the Client's original Account Opening and Deposit forms.
- 8.1.6 The Exchange will reject, giving reasons for rejection, and return for collection by the SCDA's authorized personnel, withdrawal documents that have a discrepancy.
- 8.1.8 The Exchange will forward the Securities Withdrawal Form and a withdrawal schedule in duplicate together with Jumbo certificate registered in the name of the Exchange or its nominee to the Issuer.
- 8.1.9 The Issuer will immediately acknowledge receipt of the withdrawal documents by returning to Exchange the duplicate of the withdrawal schedule, duly signed and stamped.
- 8.1.10 The Issuer will issue a Securities certificate registered in the name of the client within a period of 14 days and revise the Jumbo certificate accordingly.
- 8.1.11 The Exchange will, upon receipt of the Securities certificate and the Jumbo Certificate verify contents and acknowledge receipt by issuing a written confirmation of receipt to the Issuer.
- 8.1.12 Upon receipt from the Issuer, the Exchange will make available the Securities certificate to the SCDA for pick up by its authorized personnel immediately.
- 8.1.13 The Exchange shall charge a fee in accordance with the USE Fees Charges and Penalties Rules

9 TRANSFER OF ACCOUNTS

This section describes the procedures to be complied with by the SCDA with respect to accepting, verifying, and filing of Securities Transfer Forms and submission of the transfer documents to the Exchange.

- 9.1.1 The Client will submit in triplicate duly completed and signed Securities Transfer Form CDS 4a and 4b to his current and receiving SCDA's (Appendix 12). Where the client does not possess a securities account with the receiving SCDA, the client will be expected to open one in accordance with Procedure 3.
- 9.1.2 The Current and receiving SCDA's will verify the instructions and signature of the client and will acknowledge receipt of the transfer request by returning to the client a copy of the Securities Transfer Form, duly signed, stamped and dated.
- 9.1.3 The Current and Receiving SCDA's will deliver by authorized personnel relevant copies of duly signed Securities Transfer Form to the Exchange.
- 9.1.4 Requests for transfer of securities accounts from current and receiving SCDA's must reach the Exchange by 1:00 pm, if the transfer is required the same day. Transfers received after 1.00 pm will be processed the following day.
- 9.1.5 The Exchange will acknowledge receipt of transfer documents by handing over a copy of the Securities Transfer Form, duly signed, stamped and dated.
- 9.1.6 The Exchange will check whether the transfer request is in conformity with the Rules and Procedures and will immediately effect the transfer of Securities: or
- 9.1.7 The Exchange will within one business day reject, giving reasons for rejection, and return for collection by current and receiving SCDA's authorized personnel, incomplete or incorrect transfer requests.

10 PRIVATE TRANSACTIONS

This section stipulates the procedures to be complied with by clients, SCDA's and the Exchange with respect to private transfers and any other non-commercial dispositions of book-entry securities approved by the Exchange.

- 10.1.1 The Client(s) will hand over to the respective SCDA, duly completed and signed Securities Private transfer Form SCD 7 (Appendix 15) accompanied by any relevant supporting documentation and 3 recent colour passport sized photographs of the signatories.
- 10.1.2 The SCDA must ensure that the Transferee possesses a Client Securities Account. Where the client does not possess a securities account with the SCDA, the client will be expected to open one in accordance with Procedure 3.
- 10.1.3 The SCDA will verify the instructions and the signature(s) of client(s) and will acknowledge receipt of the transfer request by returning to the client relevant copies of the Private transfer Form duly signed, stamped and dated.
- 10.1.4 The SCDA will deliver two copies of the duly signed Private transfer Form together with the supporting documents to the Exchange.
- 10.1.5 The Exchange will check whether the information provided in the Private transfer form is in conformity with the provisions of the Rules and Procedures for private transfers. If they fulfill all laid down requirements, the Exchange's Chief Executive shall approve them for transfer and effect the transfer.

11 PLEDGES & FORECLOSURES

This section stipulates the procedures to be complied with by SCDA's with respect to:

1. Pledge of securities already deposited in the Securities Central Depository
2. Release of pledge upon termination of the pledge,
3. Foreclosure on securities pledged in the Securities Central Depository,
4. Foreclosure on securities pledged with the Issuer.

11.1 PLEDGE OF SECURITIES IN THE SCD

- 11.1.1 The Client will hand over duly completed and signed Securities Pledge Form SCD 5 (Appendix 13) to his SCDA in quadruplicate.
- 11.1.2 The SCDA will verify the instructions and signature of the client and will acknowledge receipt of the pledge request by returning to the client relevant copies of the Pledge Form duly signed, stamped and dated.
- 11.1.3 The Client/Pledgor will hand over the duly signed Securities Pledge Forms to the pledgee and negotiate their pledge conditions.
- 11.1.4 The pledgee will forward the completed and duly signed Securities Pledge Form to the Exchange through his SCDA.
- 11.1.5 The Exchange will check whether the information provided in the pledge documents are in conformity with the Rules and Procedures.
- 11.1.6 The Exchange will reject irregular or incomplete pledge documents, stating reasons for rejection and return the pledge document to the pledgee's SCDA.
- 11.1.7 The Exchange will record the pledged Securities and will freeze the securities in the pledgor's account.
- 11.1.8 The Exchange will confirm to the pledgee's and the pledgor's SCDA the completion of the pledge by forwarding a copy of the Securities Pledge Form, to each SCDA duly signed stamped and dated. The exchange will retain a copy for record purposes.

11.2 RELEASE TO THE PLEDGOR

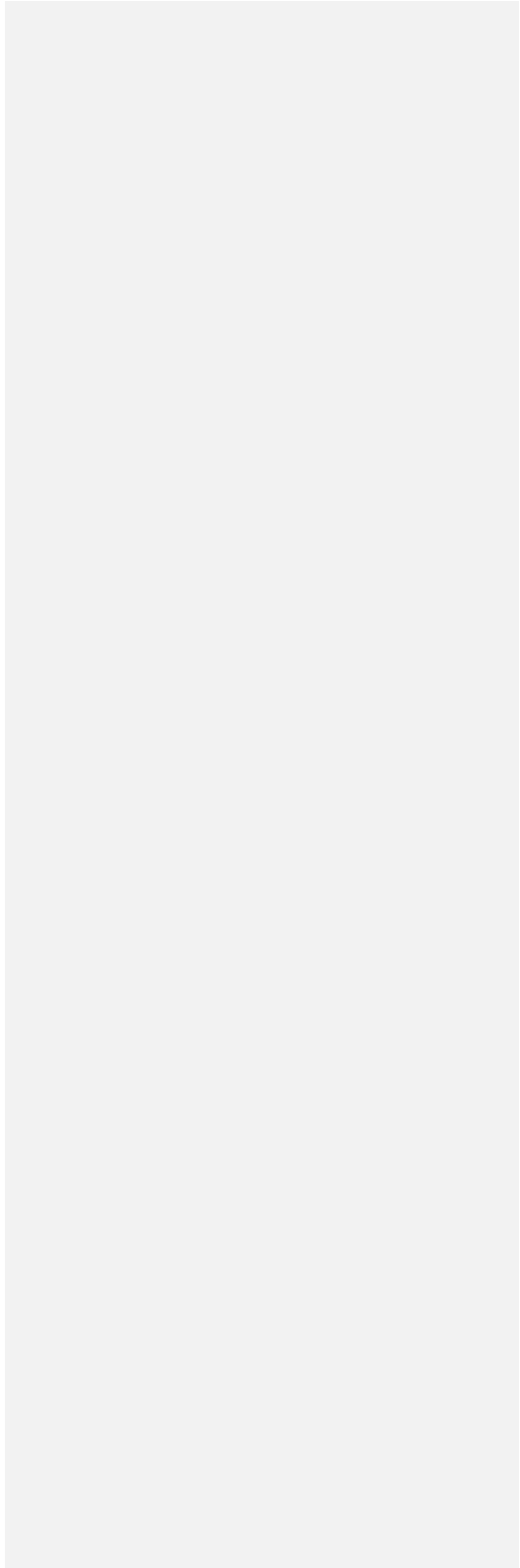
- 11.2.1 The pledgee will submit instructions to his SCDA, on the Securities Pledge Release/Foreclosure Form CDS 6 (Appendix 14), clearly stating that the pledge is being terminated for reason of payment or any other reason.
- 11.2.2 The pledgee SCDA will forward the Securities Pledge Release / Foreclosure Form to the Exchange after verifying the details and signatories and completing the relevant section in the form.
- 11.2.3 The Exchange will reject irregular or incomplete pledge documents, stating reasons for rejection and return the pledge document to the pledgee's SCDA.
- 11.2.4 The Exchange will release the pledge in favour of the pledgor in accordance with the SCD Rules and the securities will be eligible for any other transactions.

11.3 FORECLOSURE ON SECURITIES PLEDGED WITH THE ISSUER

This section pertains to foreclosure on securities which have never been deposited in the Securities Central Depository and which are pledged in the register of the Issuer. Sale of such securities implies deposit of the pledged securities in the Securities Central Depository in a Securities Account for the purpose of clearing and settlement through the SCD.

- 11.3.1 The pledgee SCDA will ensure that the pledgee has the proper authority to deposit the securities for subsequent sale. The pledged securities will be provisionally deposited in a Securities Account in the name of the pledgor clearly marked "Foreclosure".
- 11.3.2 The pledged certificate will be deposited in the Securities Central Depository in accordance with Procedures 5 accompanied by:
 - 11.3.2.1 Instructions pertaining to "Foreclosure on securities pledged with the Issuer" on the Securities Pledge Release / Foreclosure Form SCD 6 (Appendix 14)
 - 11.3.2.2 Documents evidencing the pledge and the Foreclosure
- 11.3.3 After verification and processing, the Exchange will forward the following documents to the Issuer:
 - 11.3.3.1 Deposit Form;
 - 11.3.3.2 Certificates;
 - 11.3.3.3 Copy of the Securities Central Depository Pledge Release/Foreclosure Form,
- 11.3.4 When the Issuer confirms the authenticity of the deposited certificates, the Exchange will credit the securities to the client's Securities Account marked "Foreclosure" and record the pledge.

11.3.5 Prior to effecting the sale through its SCDA, the pledgee will give sufficient notice to the pledgor as required by any applicable law or agreement. The Exchange will issue



a letter to the pledgor notifying the pledgor that the securities are being released for sale by the pledgee.

11.3.6 The executing Broker/dealer will inform the immediately after the securities are sold. The Exchange will then release the pledge and make the securities available in the Securities Account of the pledgee for clearing and settlement purposes. The executing SCDA will then allocate the sale to the Securities Account of the pledgee.

11.3.7 The pledgee shall be required to indemnify the Exchange in the event of any wrongful foreclosure

11.4 FORECLOSURE ON SECURITIES PLEDGED IN THE SCD

This section pertains to foreclosure by the pledgee on securities, which have been pledged in the Securities Central Depository.

11.4.1 Upon receipt of a request for foreclosure on pledged securities, the Securities Central Depository will release the pledge and make the securities available in the Securities Account of the pledgee for sale, clearing and settlement purposes. The release is effected only upon confirmation of the sale by the executing Broker/dealer appointed by the pledgee

11.4.2 The pledgee will submit instructions pertaining to “Foreclosure on securities pledged in the Securities Central Depository” on the Securities Pledge Release / Foreclosure Form SCD 6(Appendix 14).

11.4.3 The pledgee SCDA will forward the Securities Pledge Release / Foreclosure Form to the Exchange after verifying the details and signatories and completing the relevant section in the form.

11.4.4 Prior to effecting the sale through its SCDA, the pledgee will give sufficient notice to the pledgor as required by any applicable law or agreement. The Exchange will issue a letter to the pledgor notifying the pledgor that the securities are being released for sale by the pledgee.

11.4.5 The executing Broker/dealer will inform the Exchange immediately after the securities are sold. The Exchange will then release the pledge and transfer the securities to the Securities Account of the pledgee for clearing and settlement purposes. The executing Broker/dealer will allocate the sale to the pledgee’s Securities Account.

11.4.6 The pledgee shall be required to indemnify the Exchange in the event of any wrongful foreclosure.

12 PUBLIC OFFERS

This function describes the procedures to be complied with by Issuers for Securities to be credited directly to clients Securities Accounts in respect of Initial and other Public Offers (IPOs)

- 12.1.1 The Client will, if they already have a securities account in the CDS, indicate the account number thereof in the subscription form. If they does not already have an account, they will open one in accordance with Procedures 3 and have the number indicated on the subscription form.
- 12.1.2 Upon completion of IPO, the Issuer will provide the Exchange with an Allotment Schedule indicating the respective securities account numbers, corresponding allotments and securities status
- 12.1.3 By the close of the Business Day before the trade date the Exchange will credit client Securities Account with the number of Securities allotted to them as per the Allotment Schedule.
- 12.1.4 The Exchange will make available to the Issuer a New Issues Schedule
- 12.1.5 Issuer will register the Securities as per the New Issues Schedule in the name of the Exchange and issue a Jumbo certificate to the Exchange
- 12.1.6 The Exchange will acknowledge receipt of the Securities certificate by issuing a receipt to the Issuer.

13 BONUS ISSUES

This function describes the procedures to be complied with by the Registries for Bonus Securities to be credited directly to clients Securities Account.

- 13.1.1 Issuers shall inform the Exchange in writing of any proposed Bonus Issue, the Books closure date and the last cum-date and trade date of the bonus securities.
- 13.1.2 The Exchange shall ensure that the last cum-date falls one settlement cycle before the Books closure date.
- 13.1.3 Following settlement of all transactions that took place on or before the last cum-date, Exchange will provide the Issuer with an Entitlement Schedule with respect to shareholders registered as at Books closure date.
- 13.1.4 The Exchange will provide the Entitlement Schedule on the record date provided by the Issuer.
- 13.1.5 The Issuer will forward letters of allotment to SCD Securities Accounts holders indicated in the Entitlement Schedule notifying them that their Securities Accounts would be credited with the number of Bonus Securities.
- 13.1.6 The Issuer will submit to the Exchange an Allotment Schedule. If the Allotment Schedule contains any errors, the Exchange will return the Allotment Schedule to the Issuer for rectification.
- 13.1.7 The Issuer will inform the Exchange in writing of the completion of the Bonus Issue.
- 13.1.8 By the close of business on the day before the trade date, the Exchange will credit the clients Securities Accounts with the number of Bonus Securities allotted to them.
- 13.1.9 The Exchange will make available to the Issuer a Bonus/Rights Schedule
- 13.1.10 The Issuer will register the Securities as per the Bonus/Rights Schedule in the name of the Exchange and issue a Jumbo certificate to the Exchange.
- 13.1.11 The Exchange will acknowledge receipt of the Securities certificate by issuing a receipt to the Issuer.

14 RIGHTS ISSUES

This function describes the procedures to be complied with by Issuer and SCDA's with respect to Rights Issues and trading of Rights.

14.1 RIGHTS ENTITLEMENT

14.1.1 The Issuer will inform the Exchange in writing of:

- 14.1.1.1 The Rights Issue,
- 14.1.1.2 The Books Closure date,
- 14.1.1.3 The period during which the Rights will be traded, and
- 14.1.1.4 The opening and closing dates of subscription

14.1.2 The Securities Exchange shall ensure that the last cum-date falls one settlement cycle before the Books Closure date.

14.1.3 Following settlement of all transactions that took place on or before the last cum-date, Exchange will provide the Issuer with an Entitlement Schedule with respect to shareholders registered as at close of business on the Books Closure date.

14.1.4 The Exchange will provide the Entitlement Schedule on the Books Closure date.

14.1.5 The Issuer will submit to the Exchange a Rights Allotment Schedule. If the Rights Allotment Schedule contains errors, the Exchange will return the Allotment Schedule to the Issuer for rectification.

14.1.6 The Issuer will forward Provisional Letters of Allotment (PAL) for Securities Account holders indicated in the list.

14.1.7 By the business day before the trade date of Rights, the Exchange will credit the relevant Securities Accounts with the number of Rights as per the Rights Allotment Schedule.

14.2 TRADING OF RIGHTS

- 14.2.1 Rights holders not in the Securities Central Depository, but wishing to trade their Rights will have to open a Securities Account in accordance with Procedure 3 and deposit their Provisional Allotment Letters in accordance with Procedure 5.
- 14.2.2 Rights will be traded and settled in accordance with Procedures 6 and 7 respectively.
- 14.2.3 Subscription of rights bought on the trading floor will be effected in accordance with the Rights Procedures.
- 14.2.4 Following settlement of transactions effected on the trading floor on the last trade date, the Exchange will provide the Issuer with an outstanding position of all right holders.

14.3 TRANSFER OF RIGHTS BETWEEN DEPOSITOR'S ACCOUNTS

- 14.3.1 In case of transfer of rights, between securities accounts of the same Depositor, procedure 9 shall apply.

14.4 APPLICATION FOR EXCESS SHARES

- 14.4.1 Application for excess shares will be submitted directly to the Issuer for processing.

14.5 ALLOTMENT OF SHARES

- 14.5.1 The Issuer will forward to the Exchange an Allotment Schedule that will contain the list of Securities Account holders who have been allotted shares after exercising their rights as well as those who have been allotted excess shares.
- 14.5.2 If the Allotment Schedule contains errors, the Exchange will return the Allotment Schedule to the Issuer for rectification.
- 14.5.3 By the close of business before trade date, the Exchange will credit the clients Securities Accounts with the number of Securities as per the Allotment Schedule.
- 14.5.4 The Exchange will make available to the Issuer a Schedule of Securities Allotted.
- 14.5.5 The Issuer will register the Securities as per the Schedule in the name of the Exchange and issue a Jumbo certificate in the name of the Exchange.
- 14.5.6 The Exchange will acknowledge receipt of the Securities certificate by issuing a receipt to the Issuer.

15 DIVIDENDS/CORPORATE ACTIONS

This function describes procedures to be complied with by Registries in respect of dividends payment and Corporate Actions.

- 15.1.1 The Issuer will inform the Exchange in writing of the books closure date and corporate action execution date, in respect of dividend payment and corporate actions.
- 15.1.2 The Securities Exchange shall ensure that the last cum-date will be on the record date provided by the Issuer.
- 15.1.3 Following settlement of all transactions that took place on or before the last cum-date, the Exchange will provide the Issuer with an Entitlement Schedule with respect to shareholders registered as at the close of business on books closure date.
- 15.1.4 The Exchange will provide the Entitlement Schedule by the fifth day after the books closure date.
- 15.1.5 The Issuer will effect payment of dividends to its shareholders and handle other Corporate Actions.

16 STATEMENTS OF SECURITIES ACCOUNTS

This function describes the procedures to be complied with regarding submission of statements to Securities Account holders.

16.1.1 In accordance with Rule 57 of the SCD Rules, the Exchange will provide statements of accounts SCD 8 (Appendix 16) to holders of Securities Accounts at least twice a year.

16.1.2 The Exchange will provide interim statements to a depositor upon request

17 FEES AND SURCHARGES

A) INVESTORS

Transaction Levy	0.1% of transaction consideration
a) SCD	0.08%
b) Guarantee fund	0.02%
c) IPO processing fees	0.25 currency points per application

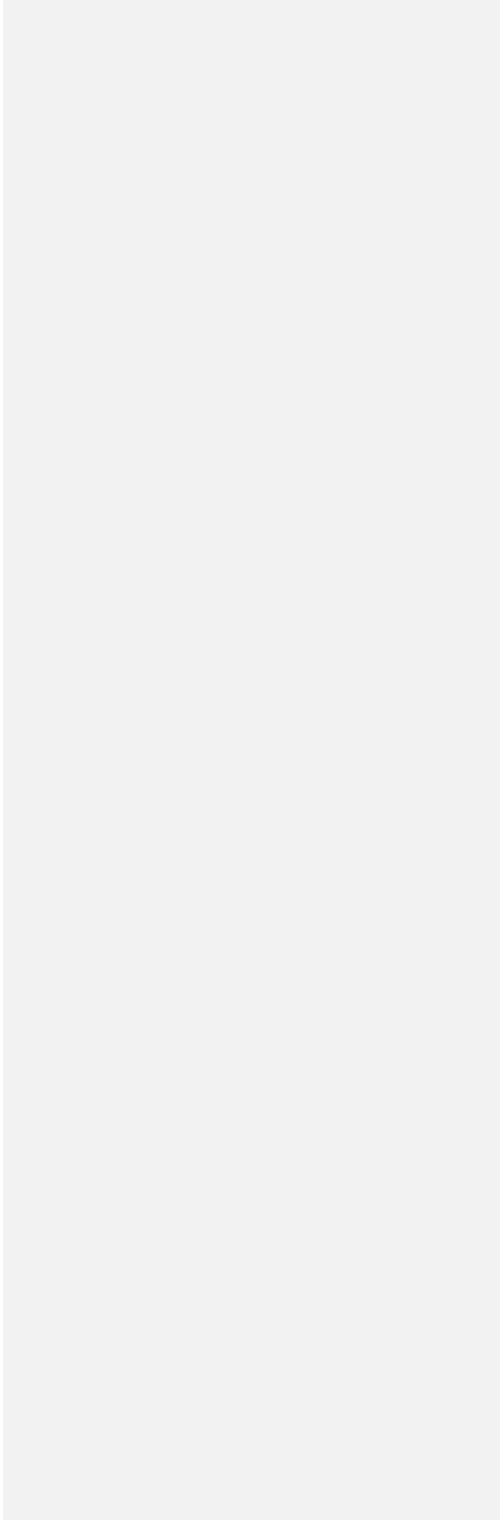
B) SECURITIES CENTRAL DEPOSITORY AGENTS

SCDA appointment fee (Trading participants)	50 currency points
SCDA appointment fee (non-trading participants)	250 currency points
SCDA Annual Subscription	125 currency points
SURCHARGES	
Transfer of accounts	0.25 currency points per change
In respect of statements issued upon request from the account holder	Nil
In respect of withdrawal of securities	0.75 currency points per certificate
Fee for recording, releasing or foreclosing of pledges	2 currency points per transaction
Prompt trades	0.5 currency points per prompt trade

C) ISSUERS

A fee of 0.1 currency points per transaction payable quarterly in arrears subject to a minimum of 125 currency points and maximum of 375 currency points per quarter

Payment of these fees shall be within 30 days from the date of receipt of the quarterly invoice from the Exchange.



D) STATEMENT & PAYMENT

17.1.1 The Exchange will forward an SCD Fees and Surcharge Statement to SCDA's at the end of each month.

17.1.2 All payments will have to be effected to Exchange by the SCDA before the expiry of 14 days following receipt of statement.

17.1.3 Any amount due but unpaid after 14 days will attract interest at the rate of 2% above the rate charged by the Settlement Bank to the Exchange on its facilities.

E) PENALTIES

Procedure	Fees and Penalties
6.2.2	The Exchange will impose a penalty of 50 currency points for any re-allocation of trades made after 3:30 pm on T .
6.3.5	Any request for trade amendment by the Custodian after the deadline prescribed in 6.3.4 will attract a penalty of 50 currency points (i.e. between T+2 at noon and T+2 at 4:00 pm)
7.4.3	A daily fine of 0.14% of the value of the transaction on the day after the due date and 50 currency point on each day of default until allocation.
7.4.8	If the buy-in is not successful within five trading sessions, the trade shall, subject to the decision of the Exchange, be cancelled and the defaulting broker/dealer shall be liable to pay a penalty prescribed under the Guarantee Fund procedures and USE Fees Charges and penalties rules
7.5.2	A daily fine of 0.14% of the value of the transaction on the day after the due date and 50 currency points on each day of default until allocation.

Commented [AKS1]: Align with GF Procedures

18 SUBDIVISION (SPLIT) OF SHARES

This function describes the procedures to be complied with by Issuers for subdivision of shares, whereupon the shares will be posted directly to clients Securities Account.

- 18.1.1 The Issuer will inform the Exchange in writing of the Subdivision of Shares, the Record Date and the last effective date.
- 18.1.2 The last Cum-Date will be set on the Record Date provided by the Issuer.
- 18.1.3 The Securities Exchange will suspend trading on these shares between the Ex Date and the next Business Day following the Record Date.
- 18.1.4 The Exchange will not accept deposit of certificates of this security between the Ex Date and the next Business Day following the Record Date.
- 18.1.5 Following settlement of all transactions that took place on or before the last cum-date, the Exchange will provide the Issuer with an Entitlement Schedule with respect to shareholders registered as at close of business on Record Date.
- 18.1.6 The Issuer will perform the subdivision of the shares and submit to the Exchange, on the next Business Day following the Record Date, an Allotment Schedule for the crediting of Securities Accounts with the subdivided shares.
- 18.1.7 If information contained in the Allotment Schedule contains errors or cannot be processed, the Exchange will return the Allotment Schedule to the Issuer for rectification.
- 18.1.8 On the next Business Day following the Record Date, the Exchange will expire the original security, create the new subdivided security and credit the clients Securities Accounts with the subdivided shares as per the Allotment Schedule. The securities are ready for other transactions at this point.
- 18.1.9 Following the crediting of accounts, the Exchange will provide the Issuer with a list of the shareholders with their respective shareholdings. The Exchange will also return the Jumbo Certificates for the original security to the Issuer.
- 18.1.10 The Issuer will register the subdivided shares in the name of the Exchange and issue a share certificate for the subdivided shares in the name of the Exchange. The Issuer will forward the Securities certificate to the Exchange. The Exchange will acknowledge receipt of the Securities certificate by issuing a receipt to the Issuer
- 18.1.11 Issuer will instruct the Exchange regarding acceptance of deposits of old certificates issued prior to the subdivision.

19 REDEMPTION OF SECURITIES

This function describes the procedures to be complied with by Registries and SCDA's for full redemption of securities, whereupon the redeemed securities will no longer be available in the Securities accounts of clients.

19.1.1 The Issuer will inform the Exchange in writing of

19.1.1.1 The redemption

19.1.1.2 The redemption date, and

19.1.1.3 The last trade date will be fixed one settlement cycle prior to the redemption date

19.1.2 The Exchange will inform SCDA's and the Issuer of the

19.1.2.1 Last date for acceptance of deposits of securities being redeemed.

19.1.2.2 The last date for any other transactions in the securities.

19.1.3 The Exchange will verify whether any of the securities being redeemed are pledged.

19.1.4 To enable redemption of the pledged securities, the Exchange will request the pledgee SCDA to submit pledge release instruction of the pledgee.

19.1.5 If the pledgee instructs the Exchange to release the pledge in favour of the pledgor, the Exchange will unfreeze the securities in the pledgor's Securities Account.

19.1.6 If the pledgee instructs the Exchange to release the pledge in its favour, then the pledgor SCDA must submit the pledgor's confirmation of such instruction. The Exchange will then transfer the securities to the pledgee's Securities Account.

19.1.7 Any instructions submitted by the pledgor and pledgee must be duly authenticated by their respective SCDA's.

19.1.8 Following settlement of transactions effected on the last trade date, the Exchange will debit clients Securities Accounts and will provide the Issuer with two Entitlement Schedules for the following purposes:

19.1.8.1 Entitlement Schedule to be used for the payment of interests

19.1.8.2 Entitlement Schedule to be used for redemption. This list will contain the list of securities holders after release of pledge. Securities released from pledge may appear in the name of the pledgor or pledgee depending upon the pledge release instructions received. (Procedure 19.1.5 and 19.1.6 above)

19.1.9 The Exchange will return all securities certificates in the name of Exchange.

20 MISCELLANEOUS

20.1 COMPLAINTS PROCEDURE

- 20.1.1 Complaints regarding SCDA's or transactions on a Securities Central Depository account shall be forwarded to the Exchange.
- 20.1.2 Complaints that cannot be resolved by management within a week of receipt of complaint, shall be forwarded to the Exchange at the earliest opportunity through the office of the CEO of the Exchange
- 20.1.3 Upon hearing both parties, the Exchange shall issue directions on what should be done.

20.2 DE-LISTING OF IMMOBILISED SECURITIES

- 20.2.1 The Issuer will inform the Exchange in writing of the proposed date of delisting.
- 20.2.2 The Exchange will write to the Issuer within 7 days of the notice of delisting asking for instructions on dealing with the securities accounts.
- 20.2.3 If on the 30th day, no instructions are received to hold the delisted securities in immobilized form, the Exchange will forward a complete record of the securities account holders to the issuer.
- 20.2.4 The records to the Issuer shall be accompanied by a transfer form executed by the Exchange and a certified copy of the Account Opening Form bearing the signatures of the depositors.

20.3 RETENTION PERIOD

The retention period in respect of Service records by SCDA's will be 10 years.

20.4 NOTICE

Any Notice to Exchange shall be addressed to: -

Uganda Securities Exchange
Plot 3 -5 New Port Bell Road
Block A, 4th Floor UAP Nakawa Business Park
P.O. Box 23552
Kampala

20.5 FORMS

- 20.5.1 The forms set out in Appendices 1,2,12,13,14,15,16 and 20 to the Procedures shall be prescribed Forms to be used for the purposes stated in the Forms.

21 ELECTRONIC ACCOUNT OPENING PROCESSES , ELECTRONIC DOCUMENTS AND COMMUNICATION

This function describes the admissibility of electronic forms, acknowledgments, signatures, processes, and electronic communication via platforms designated by the Exchange in the account opening ,maintenance and transfer processes

21. Save for documents specified under Procedures 5 on deposit of securities ,any document or form required to be submitted under these procedures shall be deemed to valid if it is submitted via such electronic platform as is expressly designated and approved by the Exchange for such purposes and in the format prescribed by the Exchange.

21.1 The access and use of the electronic platforms designated by the Exchange shall be subject to the terms and conditions as may from time to time be prescribed by the Exchange.

21.2 Any communication required to be made in writing under these procedures shall be deemed to be valid if it is made via electronic mail or other such electronic platform designated by the Exchange for such purposes .

22 UNLISTED SECURITIES

This function describes the procedures to be complied with regarding deposit, maintenance, and transfer of unlisted securities in the SCD.

22. Procedure 5(deposit of securities) shall apply to the deposit of unquoted securities save that all such acts required to be done by the SCDA therein shall be done by the SCD

22.1 Procedures related to pledging and liening, foreclosure, withdrawal of securities as stated herein shall apply to unlisted securities mutatis mutandis ; save that any such act required to be done by an SCDA may be done by the SCD.

21 LIST OF APPENDICES

- 1 Securities Account Opening/Maintenance Form - for Individuals (SCD 1a) and for Organisations – (SCD 1b)
- 2 Securities Deposit Form (SCD 2)
- 3 Provisional Deposits Schedule- (to be generated from the system daily)
- 4 SCDA Trading Summary (to generated from the System)
- 5 Schedule of Securities Allotted (to be generated by the system per Issuance)
- 6 Unsubscribed Rights Schedule – (to be generated from the system)
- 7 Entitlement Schedule – (to be generated by the System)
- 8 Initial Settlement Report (Broker & Custodian)- (to be generated from the system)
- 9 Final Settlement Schedule - (to be generated from the system)
- 10 Settlement Instruction - (to be generated from the system)
- 11 Securities Withdrawal Form (SCD 3)
- 12 Securities Transfer Form – Current SCDA (SCD 4a) and Receiving SCDA (SCD4b)
- 13 Securities Pledge Form (SCD 5)
- 14 Securities Pledge Release/Foreclosure Form (SCD 6)
- 15 Private Transfer form (SCD 7)
- 16 Statement of Securities Accounts (SCD 8 – to be generated from system)

