

## **CHAPTER IX**

### **SEPARATE AND FINAL PROVISIONS**

#### **Article 1**

##### **Persons Subject to Special Conditions in the Conclusion of Stock Exchange Transactions**

- 1.1 Persons who, due to their employment or position at the Stock Exchange, are subject to special conditions in the conclusion of stock exchange transactions are the members of the statutory body of the BSSE, the members of the Supervisory Board of the BSSE and the Stock Exchange employees. The list of special persons shall be approved by the Stock Exchange's Board of Directors.
- 1.2 When concluding a transaction on his/her account, a special person:
  - a) must not use confidential information<sup>1</sup>;
  - b) shall immediately inform about the concluded stock exchange transactions a person designated by the Stock Exchange's Board of Directors ("designated person" hereinafter) in compliance with the internal rules of the Stock Exchange
- 1.3 The designated person that has received information about stock exchange transactions concluded on a special person's account shall examine whether confidential information<sup>1</sup> has been used in the transaction. If there is suspicion about the special person's use of such information, the designated person shall inform the Stock Exchange of this fact.
- 1.4 If the Stock Exchange finds out that a special person:
  - a) has not informed about concluded stock exchange transactions; or
  - b) has used confidential information<sup>1</sup> when concluding a stock exchange transaction,the Stock Exchange shall decide on further action to be taken against such special person in compliance with the internal rules of the Stock Exchange.

#### **Article 2**

##### **Security of Information and Data**

- 2.1 The Stock Exchange observes all necessary technical, organisational and security measures and applies and maintains all necessary systems and procedures to protect the security, integrity and confidentiality of information and data while taking into account the nature of such information and data, in compliance with the Stock Exchange Act, the Act No 122/2013 (Coll.) on Protection of Personal Data as amended by later legislation, the relevant internal regulations of the Stock Exchange, the Stock Exchange Rules and

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<sup>1</sup> Regulation (EU) No 596/2014 of the European Parliament and of the Council of 16 April 2014 on market abuse (market abuse regulation) and repealing Directive 2003/6/EC of the European Parliament and of the Council and Commission Directives 2003/124/EC, 2003/125/EC and 2004/72/EC in effective wording (hereinafter referred to as "MAR"), Commission Delegated Regulation (EU) 2017/565 of 25 April 2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council as regards organisational requirements and operating conditions for investment firms and defined terms for the purposes of that Directive.

- 2.2 separate regulations<sup>2</sup>. The Stock Exchange's security measures are improving along with technical progress.
- 2.3 The Stock Exchange ensures the confidentiality and protection of documents, information and data provided by the Stock Exchange members or, respectively, data provided by the issuers of securities or other entities in such a manner that said documents/information/data are not provided or made accessible or used in any other way that would be contradictory to the purpose of their provision, conveyance or acquainting with. The Stock Exchange processes and archives in its systems, in an approved manner, only such data that are necessary to achieve the intended purpose of their provision, conveyance or acquainting with in relation to the Stock Exchange's own conduct of business.

### **Article 3**

#### **Final Provisions**

- 3.1 In order to set out the provisions of these Rules in more detail, the Stock Exchange may issue Implementing Regulations.
- 3.2 In the event of disputes due to disagreeing interpretations of these Rules, the Stock Exchange's interpretation shall prevail.
- 3.3 These Stock Exchange Rules were approved by the National Bank of Slovakia on 17 March 2009 and come into effect on the day following the day of coming into force of the NBS's decision approving their amendments. The NBS's decision came into force on 31 March 2009 and the amendments to these Rules came into effect on 1 April 2009. Amendments and supplements to these Rules were approved by the NBS on 1 December 2011 and come into effect on the day following the day of coming into force of the NBS's decision on their approval, but not before 1 January 2012.

Amendments and supplements to these Stock Exchange Rules were approved by the NBS on 22 November 2012 and come into effect on the day following the day of coming into force of the NBS's decision on their approval, with the exception of individual Articles and Sections or, respectively, parts of Articles and Sections applying to stock exchange transactions with the continuous settlement tag, which shall come into effect in compliance with Article 26 Section 26.2 of the Chapter V of the Stock Exchange Rules – the Rules of Trading and in compliance with Article 8 Section 8.1 of the Chapter VI of the Stock Exchange Rules – the Rules of Participation of the Stock Exchange and Its Members in the Provision of Clearing and Settlement.

Amendments to these Rules were approved by the NBS on 11 January 2013 and come into effect on the day following the day of coming into force of the NBS's decision on their approval.

Amendments of these Rules were approved by the NBS on 26 September 2016 and come into effect on 3 October 2016; however, not later than on the day following the day of coming into effect of the NBS's decision approving their amendments.

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<sup>2</sup>Directive 2014/65/EU of the European Parliament and of the Council of 15 May 2014 on markets in financial instruments amending Directive 2002/92/EC and Directive 2011/61/EU (MiFID II) and Regulation (EU) No 600/2014 of the European Parliament and of the Council of 15 May 2014 on markets in financial instruments amending regulation (EU) No 648/2012 (MiFIR) together with delegated and implementing rules (hereinafter referred to as the "MIFID II package").

Amendments to these Rules were approved by the National Bank of Slovakia on 19 January 2017 and come into effect on the day following the day of successful migration of the Central Securities Depository of the Slovak Republic (“CDCP SR”) into the unified technical platform of the Eurosystem (T2S), however, not before the day following the day of coming into effect of the NBS’s decision approving their amendments.

Amendments to these Rules were approved by the NBS on 29 November 2017 and come into effect on 3 January 2018, with the exception of Article 3 Section 3.3. Subsection a), Article 6 Section 6.10 of Chapter IV of the Stock Exchange Rules – 4.1, 4.1.1 The Rules for Shares Admission to the Main Listed Market and Parallel Listed Market of the Stock Exchange, with the exception of Article 3, Section 3.3 Subsection a), Article 6 Section 6.10 of Chapter IV of the Stock Exchange Rules – 4.1, 4.1.2 The Rules for Bonds Admission to the Main Listed Market and Parallel Listed Market of the Stock Exchange, with the exception of Article 3 Section 3.3 Subsection a), Article 5 Section 5.10 of Chapter IV of the Stock Exchange Rules – 4.1, 4.1.3 The Rules for Share Certificates Admission to the Main Listed Market and Parallel Listed Market of the Stock Exchange, with the exception of Article 3 Section 3.7 Subsection a), Article 5 Section 5.12 of Chapter IV of the Stock Exchange Rules – 4.2 The Rules of the Regulated Free Market and with the exception of Chapter VIII of the Stock Exchange Rules – the Rules of the Multilateral Trading Facility, which come into effect on the day following the day of coming into force of the NBS’s decision on their approval.

Amendments to these Rules were approved by the NBS on 23 October 2019 and come into effect on the day following the day of coming into force of the NBS’s decision on their approval. The NBS’s decision came into force on 31 October 2019, and the amendments to these Rules come into effect on 1 November 2019. Amendments to these Rules were approved by the NBS on 8 April 2021 and come into effect on the day following the day of coming into force of the NBS’s decision on their approval. Amendments to these Rules were approved by the NBS on 26 January 2023 and come into effect on the day following the day of coming into force of the NBS’s decision on their approval, but not earlier than on 1 February 2023. (Effective from 1 February 2023). Amendments to these rules were approved by the NBS on 20 March 2025 and come into effect on the day following the day of coming into force of the NBS decision on their approval. (25 March 2025)

***Note: Only the Slovak version of this document is legally binding.***