

APPENDICES BOOK V - PART II
DOCUMENTS AND INFORMATION TO BE PROVIDED TO THE
CDVM

Appendix V.2: **List of documents and information to be submitted by the intermediaries**

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Appendix V.2: List of documents and information to be submitted by the intermediaries

1-Brokerage firm

NATURE OF DOCUMENTS & INFORMATION	MODEL / SUBMISSION MODALITIES	PERIODICITY	DEADLINE OF SUBMISSION
<ul style="list-style-type: none"> Amendment requiring the granting of a new licensing or opinion of the CDVM (modification of the objectives, the headquarters, change of control in ownership, merger of two or more companies) 	Appendix 1 brokerage firm electronic submission	ON TIME	Before the execution
<ul style="list-style-type: none"> Change of ownership (no change of control) 			
<ul style="list-style-type: none"> Change of governance bodies 			
<ul style="list-style-type: none"> Any breach of code of ethics or suspicious behavior observed 			
<ul style="list-style-type: none"> Incident technique impacting the company's activities 			
<ul style="list-style-type: none"> Prudential rules overflow 	Appendix 2 brokerage firm electronic submission		
<ul style="list-style-type: none"> External audit reports and related correspondence 	electronic submission	ON TIME	5 days after settlement/receipt by the intermediary

NATURE OF DOCUMENTS & INFORMATION	MODEL / SUBMISSION MODALITIES	PERIODICITY	DEADLINE OF SUBMISSION
<ul style="list-style-type: none"> Suspense 	Appendix 3 brokerage firms electronic submission	MONTHLY	5 days after the end of the month
<ul style="list-style-type: none"> Transactions recorded on the accrual 	Appendix 4 brokerage firms electronic submission		
<ul style="list-style-type: none"> Changes affecting the organization of the company (reorganization, departures, recruitment, internal mobility, etc.). 	Appendix 1 brokerage firm electronic submission		
<ul style="list-style-type: none"> Stock-market transactions 	Appendix 5 brokerage firms electronic submission		
<ul style="list-style-type: none"> Minutes of OGM/EGM/ mix GM / special GM 	electronic submission		5 days after signing or within 90 days after holding of the Meeting
<ul style="list-style-type: none"> Quarterly Review and income statement 	electronic submission	QUARTERLY	1 month after the quarter end
<ul style="list-style-type: none"> Report of the internal controller 	Appendix 6 brokerage firms electronic submission	SEMIANNUAL	1 month after the end of the semester

NATURE OF DOCUMENTS & INFORMATION	MODEL / SUBMISSION MODALITIES	PERIODICITY	DEADLINE OF SUBMISSION
<ul style="list-style-type: none">Tax return and reports of the statutory auditors (including Special Report)	electronic submission & On paper	ANNUAL	Tax return: April 15 Report of Statutory Auditors: 15 days prior to the General meeting.
<ul style="list-style-type: none">Notification of annual publications	electronic submission		2 days before the day of publication
Additional information and documents in case of accounts holding			
<ul style="list-style-type: none">Securities transactions	<u>Appendix 7 brokerage firms</u> electronic submission	MONTHLY	5 days after the end of the month
<ul style="list-style-type: none">Discrepancies in the reconciliations of assets held with CD (insecurities)	<u>Appendix 8 brokerage firms</u> electronic submission		
<ul style="list-style-type: none">Turnaround trade	<u>Appendix 9 brokerage firms</u> electronic submission	SEMIANNUAL	5 days after the end of the semester
<ul style="list-style-type: none">Slip of the contribution to the guarantee fund	<u>Appendix10 brokerage firms</u> electronic submission		60 days after the end of the semester
<ul style="list-style-type: none">Notification of securities lending transactions	<u>Appendix 11 brokerage firms</u> electronic submission	MONTHLY	5 days after the end of the month
<ul style="list-style-type: none">Notification of transactions of sale or transfer of securities	<u>Appendix 12 brokerage firms</u> electronic submission	MONTHLY	5 days after the end of the month

NATURE OF DOCUMENTS & INFORMATION	MODEL / SUBMISSION MODALITIES	PERIODICITY	DEADLINE OF SUBMISSION
lent or any obligations arising for one of the parties of the lending contract			
Additional information and documentation in case of carrying out stimulation activity			
<ul style="list-style-type: none"> Modification of the animation agreement 	Appendix 1 brokerage firms electronic submission	ON TIME	immediately
<ul style="list-style-type: none"> Case of failure to fully carry out the animation agreement 			

2. Banks -Account holders

NATURE OF DOCUMENTS & INFORMATION	MODEL / Submission modalities	PERIODICITY	DEADLINE FOR SUBMISSION
<ul style="list-style-type: none"> Transactions recorded on the accrual 	Appendix 1 Banks-Account holders electronic submission	MONTHLY	5 days after the end of the month
<ul style="list-style-type: none"> Securities transactions 	Appendix 2 Banks-Account holders electronic submission		
<ul style="list-style-type: none"> Suspens 	Appendix 3 Banks-Account holders electronic submission		
<ul style="list-style-type: none"> Foreign currency reconciliations of assets held with CD (in securities) 	Appendix 4 Banks-Account holders electronic submission		
<ul style="list-style-type: none"> A new report from statutory audit, internal audit and / or external activity on account holding 	electronic submission		5 days after receipt by the intermediary
<ul style="list-style-type: none"> UCITS Subscription and Buyback 	Appendix 5 Banks-Account holders	WEEKLY	The second business day following the Friday of each week
<ul style="list-style-type: none"> Inspection report of UCITS 	electronic submission		
<ul style="list-style-type: none"> Distribution of subscribers shares or units of UCITS 	Appendix 6 Banks-Account holders electronic		10 days after the end of the month

NATURE OF DOCUMENTS & INFORMATION	MODEL / Submission modalities	PERIODICITY	DEADLINE FOR SUBMISSION
	submission	MONTHLY	
<ul style="list-style-type: none"> Stock-market transactions 	Appendix 7 Banks-Account holders electronic submission		5 days after the end of the month
<ul style="list-style-type: none"> Certified Inventory of assets 	Appendix 8 Banks-Account holders electronic submission	QUARTERLY	10 days after the end of the quarter
<ul style="list-style-type: none"> Turnaround trade 	Appendix 9 Banks-Account holders electronic submission	SEMIANNUAL	5 days after the end of the semester
<ul style="list-style-type: none"> List of securities held by foreigners and Moroccans resident abroad 	Appendix 10 Banks-Account holders electronic submission		5 days after the end of the semester
<ul style="list-style-type: none"> Report of the internal controller 	Appendix 11 Banks-Account holders electronic submission		1 month after the end of the semester
<ul style="list-style-type: none"> Notification of securities lending operations 	Appendix Banks-Account holders 12 Electronic submission	MONTHLY	5 days after the end of the month
<ul style="list-style-type: none"> Notification of sale transactions or transfer of securities lent or any rights or obligations arising for one of the parties of the lending contract 	Appendix Banks-Account holders 13 Electronic submission	MONTHLY	5 days after the end of the month

3. UCITS management Companies

NATURE OF DOCUMENTS & INFORMATION	MODEL / Submission modalities	PERIODICITY	DEADLINE FOR SUBMISSION ¹
Annual Report: <ul style="list-style-type: none"> - The Balance Sheet; - The Income and Expenditure Account; - The State of Sales Management; - The cash flow statement; - The complementary information statement. - Turnover Breakdown - General and Special Reports of the external auditors. - The statement of equity and the report of the subsidiary of the Management companies external auditors. 	Appendix 1 Management company electronic submission	ANNUAL	<p>No Later than the end of the third month of the year end.</p> <p>On or before the day of publication in the newspaper.</p> <p>Or at the latest within six (6) months from the end of the year.</p>
Semiannual documents: <ul style="list-style-type: none"> -The Balance Sheet; - The Income and Expenditure Account; -The statement of securities of the company management; Revenue Breakdown - Jobs Records of (any update) 	<p>electronic submission</p> <p>Appendix 1 Management company</p> <p>Appendix 2 Management company</p>	SEMIANNUAL	No Later than thirty (30) days after the end of the first semester.

¹ The agreed calendar days

NATURE OF DOCUMENTS & INFORMATION	MODEL / Submission modalities	PERIODICITY	DEADLINE FOR SUBMISSION ¹
-Semiannual report (include the internal controller report and the activity report)	Appendix 3 Management company electronic submission (Excel form)	SEMIANNUAL	No Later than thirty (30) days from the end of the semester
Quarterly documents: - Concentration of the Management Company clients - Concentration of funds liabilities	Appendix Management company 4 Appendix Management company 5	QUARTERLY	No later than ten (10) days after the end of each quarter: Monthly inventory No later than ten (10) days after the end of each quarter: Monthly inventory
Weekly documents: - Significant clients' transactions - Monitoring of the management fees of the UCITS.	Appendix 6 Management company Appendix 7 Management company electronic submission (Excel Form)	WEEKLY	The first business day following the Friday of each week.
Other documents: -The articles of association of the management company and copy of the trade register; - Detailed organization chart of the management company; - Composition of the Board and / or the Management Board and Supervisory Board of the management company.	electronic submission	ON TIME	No Later than fifteen (15) days of any change.

NATURE OF DOCUMENTS & INFORMATION	MODEL / Submission modalities	PERIODICITY	DEADLINE FOR SUBMISSION ¹
<ul style="list-style-type: none"> - The code of ethics and procedures manual of the management company. - List of all external audit report. <p>Agreements: List of agreements with the purpose and beneficiaries:</p> <ul style="list-style-type: none"> -An agreement between the company and a member of the Board, the Executive Board or its supervisory board; - An agreement between the company and its key partners (Network Agent, service providers, repository ...) -When the management company is part of a group, any agreement with other group companies. 	<p>electronic submission</p> <p>electronic submission</p>	<p>ON TIME</p>	<p>No Later than (7) days from the date of modification. No Later than (7) days of its elaboration and update.</p> <p>-Inform immediately of any update. The list of agreements: semi-annually. (to be included in the interim report of the IC)</p>
<p>Information relating to the Management bodies:</p> <ul style="list-style-type: none"> - A list of all operating charter specialized committees (audit committee, remuneration ...) - A list of all minutes of any regular or special general meeting of the management company. 	<p>electronic submission</p>		<p>No Later than (7) days of its elaboration or update.</p> <p>No Later than (7) days of their submission to the General Assembly.</p>
<ul style="list-style-type: none"> - A press release issued by the management company and advertising- and any media release from the management company or commercial product to be submitted to the CDVM for validation. 	<p>electronic submission</p>	<p>ON TIME</p>	<p>Press Release: on or before the date of its publication.</p>

4. CIF in venture capital Management companies

NATURE OF DOCUMENTS & INFORMATION	MODEL / Submission modalities	PERIODICITY	DEADLINE FOR SUBMISSION
Annual documents: -The balance sheet; - The account of income and expenses; - The statement of balance management; - The cash flow statement; - And the statements of complementary information. - General and Special Reports of the external auditors. - The statement of equity and the report of the subsidiary of the Management company external auditors.	electronic submission	ANNUAL	No Later than the end of the third month of the year end. On or before the day of publication in the newspaper Or at the latest within six (6) months from the end of the year.
Semiannual documents: -The Balance Sheet; - The Income and Expenditure Account; -The statement of securities of the company management; - Fact-mail (any update)	electronic submission Appendix 1 CIF in venture capital	SEMIANNUAL	No later than thirty (30) days from the end of each semester
-Semi-annual report of the internal controller	Appendix 2CIF in venture capital	SEMIANNUAL	No later than thirty (30) days from the end of each semester.

NATURE OF DOCUMENTS & INFORMATION	MODEL / Submission modalities	PERIODICITY	DEADLINE FOR SUBMISSION
<p>Other documents:</p> <ul style="list-style-type: none"> - The articles of association of the management company and copy of the trade register; - Detailed organization chart of the management company; - Composition of the Board and / or the Management Board and Supervisory Board of the Management company. 	<p>electronic submission</p>	<p>ON TIME</p>	<p>No Later than fifteen (15) days of any change.</p>
<ul style="list-style-type: none"> - The code of ethics and procedures manual of the management company. - A list of all external audit report. <p>agreements:</p> <p>List of agreements with the purpose and beneficiaries:</p> <ul style="list-style-type: none"> - An agreement between the company and a member of the Board, the Executive Board or its supervisory board; - An agreement between the company and its key partners (Network Agent, service providers, repository ...) - When the management company is part of a group, any agreement with other group companies. 	<p>Electronic submission</p>	<p>ON TIME</p>	<p>No Later than (7) days from the date of modification.</p> <p>No Later than (7) days of its elaboration or update.</p> <p>Inform Immediately of any update.</p> <p>The list of agreements: semi-annually. (to be included in the semiannual report of the Internal Controller)</p>

NATURE OF DOCUMENTS & INFORMATION	MODEL / Submission modalities	PERIODICITY	DEADLINE FOR SUBMISSION
<p>Information relating to the Management bodies :</p> <p>List:</p> <ul style="list-style-type: none"> - Any operating charter specialized committees (audit committee, remuneration ...) - All minutes of any regular or special general meeting of the management company 			<p>No Later than (7) days of its development and any updates. Later than (7) days of their submission to the General Assembly.</p>
<p>- All press release issued by the management company and all media release by the management company or commercial product to be submitted for approval to the CDVM</p>	<p>electronic submission</p>	<p>ON TIME</p>	<p>Press Release: on or before the date of its publication.</p>

5. CIF on securitization management companies

NATURE OF DOCUMENTS & INFORMATION	MODEL / Submission modalities	PERIODICITY	DEADLINE FOR SUBMISSION
Annual documents: -The balance sheet; - The account of income and expenses; - The statement of balance management; - The cash flow statement; - And the statements of additional information; - General and Special Reports of the external auditors; - The statement of equity and the report of the subsidiary of the management company external auditors.	electronic submission	ANNUAL	No Later than the end of the third month of the year end. On or before the day of publication in the newspaper No later than six (6) months from the end of the year.
Semiannual documents: -The Balance Sheet; - The Income and Expenditure Account; - The condition of the securities of the company management; - Jobs Records (any updates)	electronic submission Appendix 1 CIF on securitization	SEMIANNUAL	No later than thirty (30) days from the end of each semester.
Semi-annual report of the internal controller:	Appendix 2 CIF on securitization electronic submission	SEMIANNUAL	No later than thirty (30) days from the end of each semester.

NATURE OF DOCUMENTS & INFORMATION	MODEL / Submission modalities	PERIODICITY	DEADLINE FOR SUBMISSION
<p>Other documents:</p> <ul style="list-style-type: none"> - The articles of association of the management company and copy of the trade register; - Detailed organization chart of the management company; - Composition of the Board and / or the Management Board and Supervisory Board of the management company. 	<p>electronic submission</p>	<p>ON TIME</p>	<p>No Later than fifteen (15) days of any change.</p>
<ul style="list-style-type: none"> - The code of ethics and procedures manual of the management company. - A list of all external audit report. <p>agreements: List with the subject and recipients (for inclusion in the semiannual report of the internal controller) + immediate information of any updates:</p> <ul style="list-style-type: none"> -An agreement between the company and a member of the Board, the Executive Board or its supervisory board; - An agreement between the company and its key partners (Network Agent, service providers, repository ...) -When the management company is part of a group, 	<p>electronic submission</p>	<p>ON TIME</p>	<p>No Later than (7) days from the date of modification. No Later than (7) days of its development and any updates.</p> <p>Immediately report any updates. The list of agreements: semi-annually. (to be included in the semiannual report of the internal controller)</p>

NATURE OF DOCUMENTS & INFORMATION	MODEL / Submission modalities	PERIODICITY	DEADLINE FOR SUBMISSION
<p>any agreement with other group companies.</p> <p>Information relating to the Management:</p> <p>List:</p> <ul style="list-style-type: none"> -Any operating charter specialized committees (audit committee, remuneration ...) - All minutes of any regular or special general meeting of the management company. 			<p>Within seven (7) days of its elaboration or any updates.</p> <p>Within seven (7) days of their submission to the General Assembly.</p>
<p>- All press release issued by the management company and all media release by the management company or commercial product to be submitted to the CDVM for validation.</p>	<p>electronic submission</p>	<p>ON TIME</p>	<p>Press Release: on or before the date of its publication.</p>

6. UCITS

NATURE OF DOCUMENTS & INFORMATION	MODEL / Submission modalities	PERIODICITY	DEADLINE FOR SUBMISSION
<ul style="list-style-type: none"> Information on the distribution of the dividend. 	Appendix 1 CIS electronic submission (Excel Form)	ON TIME	If necessary
<ul style="list-style-type: none"> A press release issued by UCITS 	electronic submission	ON TIME	No Later than the date of its publication
<ul style="list-style-type: none"> - Any report of the external auditors during any subscription by contribution of securities: - Name of the UCITS; - Issuer; - Type of securities (stocks, bonds, money-market instruments, CIF on securitization, CIF in venture capital...) - Unit valuation; - Quantity; - Date of the report of the statutory auditor; - Date of transaction (which must be after the date of the report of the statutory auditor); - Identity of the subscriber. 	electronic submission	ON TIME	immediately

NATURE OF DOCUMENTS & INFORMATION	MODEL / Submission modalities	PERIODICITY	DEADLINE FOR SUBMISSION
<ul style="list-style-type: none"> The minutes, in extenso , of the ordinary and extraordinary general meetings of the open ended mutual funds 	electronic submission	ON TIME	No Later than 30 days after their holding
<ul style="list-style-type: none"> The minutes, in extenso, of the meetings of the open ended mutual fund management board 	electronic submission	ON TIME	No Later than 30 days after their holding
<ul style="list-style-type: none"> Details of inter-fund transactions 	Appendix 2 CIS Electronic submission (Format Excel)	DAILY	The day following the operation before 12 am
<ul style="list-style-type: none"> Activity in the REPO market 	Appendix 3 CIS electronic submission (Excel Format)	WEEKLY	The second day following the calculation of net asset value before 16h
<ul style="list-style-type: none"> Weekly inventory of the UCITS assets 	Appendix 4CIS electronic submission (Excel Format)	WEEKLY	The second day following the calculation of net asset value before 16h
<ul style="list-style-type: none"> Additional information relating to the inventory of the UCITS assets 	Appendix 5 CIS electronic submission (Excel Form)	WEEKLY	The second day following the calculation of net asset value before 16h

NATURE OF DOCUMENTS & INFORMATION	MODEL / Submission modalities	PERIODICITY	DEADLINE FOR SUBMISSION
<ul style="list-style-type: none"> Simplified breakdown of the net assets of the UCITS and the statement of the UCITS subscriptions and buyback 	Appendix 6 CIS electronic submission (Excel Form and XML)	WEEKLY	The second day following the calculation of net asset value before 16h
<ul style="list-style-type: none"> Statement of the Net Assets and daily UCITS subscriptions and buybacks 	Appendix 6a CIS electronic submission (Excel Form)	WEEKLY	The second day following the calculation of net asset value before 16h
<ul style="list-style-type: none"> Activities on the auction market 	Appendix 7CIS electronic submission (Excel Form)	MONTHLY	10 days after the end of the month
<ul style="list-style-type: none"> Transactions on the secondary market of treasury bills 	Appendix CIS 8 electronic submission (Excel Form)	MONTHLY	10 days after the end of the month
<ul style="list-style-type: none"> Transactions in foreign markets 	Appendix CIS9 electronic submission (Excel Format)	MONTHLY	10 days after the end of the month
<ul style="list-style-type: none"> Interest income from investment transactions in foreign currency abroad 	Appendix CIS 10 electronic submission (Excel Format)	MONTHLY	10 days after the end of the month
<ul style="list-style-type: none"> Semi-Annual Report as published 	Electronic submission + on paper report signed by the statutory auditor	SEMIANNUAL	On or before the day of its publication in the NEWSPAPER

NATURE OF DOCUMENTS & INFORMATION	MODEL / Submission modalities	PERIODICITY	DEADLINE FOR SUBMISSION
<ul style="list-style-type: none"> • Receivables and payables related to repurchase agreements, and the table of the securities received and sold under repurchase 	Appendix CIS 11 electronic submission (Excel Format)	SEMIANNUAL	On or before the day of its publication in the NEWSPAPER
<ul style="list-style-type: none"> • Annual Report as published 	Electronic submission + Report signed by the statutory auditor	ANNUAL	On or before the day of its publication in the NEWSPAPER
<ul style="list-style-type: none"> • A copy of the certificate of deposit initial capital; • A copy of the certificate of deposit in the court of Commerce; • A copy of the official bulletin or the extract of files subject to the deposit was published (date and number); • A copy of the newspaper where legal notices extracted from documents submitted to the deposit was published (date, name of newspaper, and number); • A copy of the articles of association or the management regulations dated, signed and recorded; 	electronic submission OR On paper	ON TIME	No later than thirty (30) days from the constitution of the UCITS

NATURE OF DOCUMENTS & INFORMATION	MODEL / Submission modalities	PERIODICITY	DEADLINE FOR SUBMISSION
<ul style="list-style-type: none"> The agreements concluded with the intermediaries designed to the UCITS, if any. 			

7. CIF in venture capital

NATURE OF DOCUMENTS & INFORMATION	MODEL / Submission modalities	PERIODICITY	DEADLINE FOR SUBMISSION
<p>Annual documents:</p> <p>The balance sheet, income and expenses, the statement of balance management, asset inventory and condition information.</p>	electronic submission	ANNUAL	Within one hundred eighty (180) calendar days after the end of the year.
<p>Annual report:</p> <p>In addition to the comment on the activity, it must include:</p> <ul style="list-style-type: none"> • A report on the implementation of management direction defined by the Regulation or the articles of association of the CIF IN VENTURE CAPITAL; • The implementation of the policy of distribution of investments; • The conditions of application of the principles of co-investment and co-divestments alongside the portfolios managed by the management company and / or a related institution in particular, the allocation rules and managed priority between mechanisms and the rules of allocation of the portion not assigned. In case the management company, its officers, employees or persons acting on its behalf are co-investing alongside venture capital funds in companies in which the fund holds securities, the conditions under which these operations were performed; • The implementation of the policy of co-investment in an equity contribution and the additional conditions under which the management company has made an appeal for funds (the appeal 	electronic submission	ANNUAL	Within one hundred eighty (180) calendar days after the end of the year

NATURE OF DOCUMENTS & INFORMATION	MODEL / Submission modalities	PERIODICITY	DEADLINE FOR SUBMISSION
<p>period, minimum ,...) and the conditions of entry of new shareholders;</p> <ul style="list-style-type: none"> • The implementation of the policy on disposal of investments made by specifying the terms of such sale, the identity of the lines to take into account their cost and the assessment method of disposal; • The conditions under which transfer operations between the CIF IN VENTURE CAPITAL managed by the management company or related organizations made specifying the identity of the relevant lines, acquisition cost, the method of assessment of these assignments, and this distinguishing between holdings within the last twelve months and those held for more than twelve months; <p>The nature and aggregate amount billed to the CIF IN VENTURE CAPITAL's accrued benefit made by a provider on behalf of the CIF IN VENTURE CAPITAL, indicating the services provided by related agencies and the selection criteria of the latter;</p> <ul style="list-style-type: none"> • The nature and the total amount of billings to companies in the portfolio of CIF IN VENTURE CAPITAL's accrued benefit made on behalf of the latter by the management company or a related institution; • The services billed, nature and total amount and the identity of the beneficiaries under the consulting services performed by 			

NATURE OF DOCUMENTS & INFORMATION	MODEL / Submission modalities	PERIODICITY	DEADLINE FOR SUBMISSION
<p>the management company and / or a related institution;</p> <ul style="list-style-type: none"> • The existence of credit transaction to portfolio companies with establishments in the same group as the management company stating the list of credit beneficiaries, the type of intervention, the reasons for their achievement and the financing terms practiced compared to market conditions; • The nature and the total amount in each category of fees, amounts charged by the management company or a related institution; • Changes or exemptions concerning the valuation methods applied to the CIF IN VENTURE CAPITAL and justifications; • The list of financial obligations for operations other than the purchase or sale of unlisted assets stating their nature and amount; • The appointment of executive officers and employees of the management company in the companies bodies in which the CIF IN VENTURE CAPITAL has interests; • A report on the equity held by CIF IN VENTURE CAPITAL with a description of activities, financial situation, key indicators and the exercise of voting rights at general meetings. 			

8. Issuers

NATURE OF DOCUMENTS & INFORMATION	MODEL / Submission modalities	PERIODICITY	DEADLINE FOR SUBMISSION
<ul style="list-style-type: none"> Characteristics of bonds and debt securities issued (maturity, coupon rate, risk premium, dividend date), and the results of the investment by investor category 	electronic submission	ON TIME	No Later than 7 days after each issue
<ul style="list-style-type: none"> Any document disclosure issued by the issuer in a newspaper authorized to carry legal advertisements. 	electronic submission	ON TIME	No Later than 7 days after the date of publication
<ul style="list-style-type: none"> Code of ethics for listed companies 	electronic submission	ON TIME	No later than three months after the date of first listing and, in case of update, 15 days after the date of entry into force.
<ul style="list-style-type: none"> Monthly disclosure of Buybacks 	electronic submission	MONTHLY	Within 5 days of the close of the month
<ul style="list-style-type: none"> Other reserves than legal reserves (for companies with a share buyback program) 	electronic submission	SEMIANNUAL	Within 5 days of the close of the semester
<ul style="list-style-type: none"> Ethics report of listed companies 	Appendix ISSUER 1 electronic submission	SEMIANNUAL	No Later than one month After the close of the semester
<ul style="list-style-type: none"> Semiannual financial statements, accompanied by a certificate of review of the statutory auditors 	electronic submission	SEMIANNUAL	No Later than 7 days after the date of publication

NATURE OF DOCUMENTS & INFORMATION	MODEL / Submission modalities	PERIODICITY	DEADLINE FOR SUBMISSION
<ul style="list-style-type: none"> Annual financial statements, together with the summary report of the statutory auditors 	electronic submission	ANNUAL	No Later than 7 days after the date of publication
<ul style="list-style-type: none"> Minutes of the competent bodies having approved the financial statements 	electronic submission	SEMIANNUAL/ ANNUAL	No Later than forty five (45) days after the holding of the relevant body
<ul style="list-style-type: none"> Minutes of the OGM 	electronic submission	ANNUAL	No Later than twenty (20) days after the holding of the OGM
<ul style="list-style-type: none"> Management Report 	electronic submission	ANNUAL	No Later than twenty (20) days after the holding of the OGM

9. Stock exchange Managing company

NATURE OF DOCUMENTS & INFORMATION	MODEL/ SUBMISSION MODALITIES	PERIODICITY	SUMBISSION DEADLINE
<ul style="list-style-type: none"> Draft amendment of the General Regulations 	Electronic submission	ON TIME	Immediately
<ul style="list-style-type: none"> Draft amendment of the articles of association 			
<ul style="list-style-type: none"> Reporting any technical or 	Electronic submission		

NATURE OF DOCUMENTS & INFORMATION	MODEL/ SUBMISSION MODALITIES	PERIODICITY	SUMBISSION DEADLINE
operational incidents			
<ul style="list-style-type: none"> Technical and operational incident report 	Appendix CASABLANCA STOCK EXCHANGE 1 Electronic submission)		5 days starting from the date of the incident
<ul style="list-style-type: none"> Any change in the organizational chart of the Managing company 	Electronic submission		
<ul style="list-style-type: none"> Any change in the composition of the management board or the manager(s) of the stock exchange 			
<ul style="list-style-type: none"> All minutes of any General meeting or Assembly 			
<ul style="list-style-type: none"> List of contracts concluded with the brokerage firms 	Electronic submission (Format Excel)		
<ul style="list-style-type: none"> Any report to the managing board concerning the operational 	Electronic submission		5 days starting from the date of the event or its implementation

NATURE OF DOCUMENTS & INFORMATION	MODEL/ SUBMISSION MODALITIES	PERIODICITY	SUMBISSION DEADLINE
activities.			
<ul style="list-style-type: none">List of contracts concluded with data vendors	Electronic submission (Format Excel)		
<ul style="list-style-type: none">List of contracts concluded with the service providers of the information system			
<ul style="list-style-type: none">Subscription statements during the IPOs	<u>Appendix CASABLANCA STOCK EXCHANGE 2</u> Electronic submission (Format TXT)		5 days starting from the date of their preparation
<ul style="list-style-type: none">Rejected subscription statement during the IPOs	<u>Appendix CASABLANCA STOCK EXCHANGE 3</u> Electronic submission (Format TXT)		
<ul style="list-style-type: none">Any new report of the external auditor	Electronic submission		5 days starting from the date of their receipt
<ul style="list-style-type: none">Any internal or external audit report			

NATURE OF DOCUMENTS & INFORMATION	MODEL/ SUBMISSION MODALITIES	PERIODICITY	SUMBISSION DEADLINE
<ul style="list-style-type: none"> Copy of the ethics code of the Casablanca stock exchange signed by the staff or a copy of any update 	Electronic submission	ON TIME	5 days after any update
<ul style="list-style-type: none"> Copy of the ethics officer appointing 			Immediately
<ul style="list-style-type: none"> Statement of the tests carried on the information system 	Electronic submission		Immediately
<ul style="list-style-type: none"> Statement of back-up use 	Appendix CASABLANCA STOCK EXCHANGE 4 Electronic submission (Format Excel)		
<ul style="list-style-type: none"> Semiannual activity report 	Appendix CASABLANCA STOCK EXCHANGE 5 Electronic submission	SEMIANNUAL	1 month after the end of the semester
<ul style="list-style-type: none"> Statement of the margin call 	Appendix CASABLANCA STOCK EXCHANGE 6 Electronic submission (Format Excel))		
<ul style="list-style-type: none"> Statement of penalties applied to 	Appendix CASABLANCA STOCK		
			5 days after the end of the

NATURE OF DOCUMENTS & INFORMATION	MODEL/ SUBMISSION MODALITIES	PERIODICITY	SUMBISSION DEADLINE
brokerage firms	EXCHANGE 7 Electronic submission (Format Excel)		semester
<ul style="list-style-type: none"> Statement of the SRBM interface usage 	Appendix CASABLANCA STOCK EXCHANGE 8 Electronic submission (Format Excel)		
<ul style="list-style-type: none"> Statement of payment incidents related to clearance system 	Appendix CASABLANCA STOCK EXCHANGE 9 Electronic submission (Format Excel))		
<ul style="list-style-type: none"> Summary of the animation activity audit 	Appendix CASABLANCA STOCK EXCHANGE 10 Electronic submission (Format Excel)		
<ul style="list-style-type: none"> Statement of the transactions cancelled by the managing company 	Appendix CASABLANCA STOCK EXCHANGE 11 Electronic submission (Format Excel)		
<ul style="list-style-type: none"> Statement of the securities transactions processed by the managing company 	Appendix CASABLANCA STOCK EXCHANGE 12 Electronic submission (Format Excel)		

NATURE OF DOCUMENTS & INFORMATION	MODEL/ SUBMISSION MODALITIES	PERIODICITY	SUMBISSION DEADLINE
<ul style="list-style-type: none"> Balance sheet 	Electronic submission & by post (Formats PDF & on paper)	ANNUAL	1 month after the end of the semester of the year n+1
<ul style="list-style-type: none"> Income statement 			
<ul style="list-style-type: none"> Statement of the Management cash balances 			
<ul style="list-style-type: none"> Management report 			
<ul style="list-style-type: none"> Report of the statutory auditor 			
<ul style="list-style-type: none"> Notification of the date and the name of the newspaper publishing the financial summary statement 	Electronic submission		2 days before the date of disclosure.

10- Central Depository

NATURE OF DOCUMENTS & INFORMATION	MODEL / mode of SUBMISSION	PERIODICITY	DEADLINE FOR SUBMISSION
<ul style="list-style-type: none">Amendments to the articles of association of the central depository	electronic submission	ON TIME	immediately
<ul style="list-style-type: none">Any proposed amendment of the General Regulations			
<ul style="list-style-type: none">Notification of any technical or operational incident	electronic submission		
<ul style="list-style-type: none">Report of any technical or operational incident	Appendix CENTRAL DEPOSITORY 1 electronic submission		5 days from the date of the incident
<ul style="list-style-type: none">Any changes affecting the organization of the central depository	electronic submission		5 days from the date of implementation
<ul style="list-style-type: none">Any change in the composition of the management Board and / or managers of the central depository			
<ul style="list-style-type: none">Any new minute of the Management board/ Ordinary or Extraordinary General Meetings			5 days from the date of its preparation
<ul style="list-style-type: none">List of contracts the central depository concluded with the service providers of the information system	Appendix CENTRAL DEPOSITORY 2 electronic submission (Format Excel)		5 days after the establishment

NATURE OF DOCUMENTS & INFORMATION	MODEL / mode of SUBMISSION	PERIODICITY	DEADLINE FOR SUBMISSION
<ul style="list-style-type: none"> Any new Report of the management Board on the operational activities of the central depository 	electronic submission		5 days from the date of receipt
All internal / or external audit report			
<ul style="list-style-type: none"> Any new notice to the affiliates 	electronic submission	ON TIME	The day of release
<ul style="list-style-type: none"> Any new instruction of the central depository 			
<ul style="list-style-type: none"> Copy of the central depository Code of Ethics signed by the staff or copy of any update 			5 days after any update
<ul style="list-style-type: none"> 5 days after any update 			immediately
<ul style="list-style-type: none"> Repertory of Securities admitted in the central depository operations 	Appendix CENTRAL DEPOSITORY 3 electronic submission (Format TXT))	WEEKLY	Business day following the last business day of the previous week
<ul style="list-style-type: none"> Repertory of the central depository affiliates 	Appendix CENTRAL DEPOSITORY 4 electronic submission (Format Excel)		
<ul style="list-style-type: none"> List of suspended operations in the stock exchange 	Appendix CENTRAL DEPOSITORY 5 electronic submission (Format Excel)		1 day after the end of the week
<ul style="list-style-type: none"> list of bond and NEGOTIABLE DEBT SECURITIES issues 	Appendix CENTRAL DEPOSITORY 6 electronic submission		

NATURE OF DOCUMENTS & INFORMATION	MODEL / mode of SUBMISSION	PERIODICITY	DEADLINE FOR SUBMISSION
	(Format Excel)		
<ul style="list-style-type: none"> Semiannual activity Report 	Appendix CENTRAL DEPOSITORY 7 electronic submission	SEMIANNUAL	1 month after the end of the semester
Statement of assets managed by affiliates	Appendix CENTRAL DEPOSITORY 8 electronic submission (Format Excel)		
<ul style="list-style-type: none"> Statistics on the tender calls rejected according to the reason of refusal (Summary statements by the brokerage firm / Custodian central depository) 	Appendix CENTRAL DEPOSITORY 9 electronic submission (Format Excel)		
<ul style="list-style-type: none"> List of OTC transactions (including turnaround trade) 	Appendix CENTRAL DEPOSITORY 10 electronic submission (Format Excel))		
<ul style="list-style-type: none"> List of free of payment operations 	Appendix CENTRAL DEPOSITORY 11 electronic submission (Format Excel)		
<ul style="list-style-type: none"> The statement of the balances of securities admitted to the central depository and held in another foreign Central depository 	Appendix CENTRAL DEPOSITORY 12 electronic submission (Format Excel)		

NATURE OF DOCUMENTS & INFORMATION	MODEL / mode of SUBMISSION	PERIODICITY	DEADLINE FOR SUBMISSION
<ul style="list-style-type: none">States of penalties applied to the affiliates	electronic submission (Format Excel)		
<ul style="list-style-type: none">Outstanding amount and capitalization of assets held by the central depository	<u>Appendix CENTRAL DEPOSITORY 13</u> electronic submission	ANNUAL	15 days after the end of the year
<ul style="list-style-type: none">Balance sheet	electronic submission & by post (PDF Formats and on paper)		One month after the end of the semester of the year n +1
<ul style="list-style-type: none">Income statement			
<ul style="list-style-type: none">Statement of the Management cash balances			
<ul style="list-style-type: none">Report of the statutory auditor			
<ul style="list-style-type: none">Management Report			
Notification of the date and the name of the newspaper publishing the financial summary statement	electronic submission		2 days before the day of publication

Appendices V.2.1: Brokerage firms

Appendix BROKERAGE FIRM 1: Important occasional events

Code of the central depository affiliate	Date of Event	Event Type	Detailed description of the event

Appendix BROKERAGE FIRM 2 : Exceeding prudential rules

Code of the central depository affiliate	Date of excess	Prudential rule in question	value recorded	Reasons of excess	Action Plan

Appendix BROKERAGE FIRM 3 : Suspend Operations

Code of the central depository affiliate	Name the value	Direction of the operation	amount	Trade date	Origin of the non-settlement (victim or Defaulter)	Reason of the non-settlement

Appendix BROKERAGE FIRM 4: transactions recorded in the equalization account

Code of the central depository affiliate	Booking date	Trade date	client identity	Direction of operation	Name the value	amount	price	Cause of error

Appendix BROKERAGE FIRM 5 : List of stock exchange transactions

Mne BROKERAGE FIRM	Execution Date	Principal Identity	Principal identifier	Principal category	Market type	Processe d value	Value identity	direction	Amount	price	Mne Brokerage firm on purchase	Mne Brokerage firm on sale	# contract

MNE: Mnemonic

Appendix BROKERAGE FIRM 6 : Internal control report

IDENTIFICATION

Name of the intermediary	
Approval number	
Code of the central depository affiliate	
Identity of the internal auditor	
Number of the internal auditor accreditation	
Semester reference (n-aaaa)	

INTERNAL CONTROL

1-Control and Compliance

Fulfill the following table for each control carried out during the semester of reference:

control	carried ?		Detected anomalies?		Documented results?		Action Plan?	
	Yes	No	Yes	No	Yes	No	Yes	No
Human resources								
Separation of duties								
Implementation of a replacement system								
Other controls of the human resources (specify, if applicable)								
Material resources								
Quality of telephone records								
Synchronization (time stamps, time recording system)								
Securing access to the engine room								
Other controls the material means (please specify, if applicable)								
IT Resources								
Accreditation system and access rights to the IS								
Traceability of treatments								
Data security and data security								
Data backup and recovery test								
Other controls on computer resources (state, if applicable)								
Managing the client relationship								
Procedures performed prior to opening an account								
Completeness and compliance of client files								
Compliance with regulations in force in terms of client information								
Claims processing								
Other controls for managing client relations (state, if any)								
stock orders Processing								
Compliance with minimum information and compliance with the requirements during the processing.								
Processing orders of managed clients								
Staff and counterparty orders processing								
Other controls of the market orders processing (specify, if applicable)								

Control	Carried ?		Detected anomalies?		Documented results		Action Plan ?	
	Yes	No	Yes	No	Yes	No	Yes	No
Accounting financial transactions								
Compliance with the segregation of assets								
Other controls of the transactions accounting								
Reconciliation of cash and assets								
Adjustment Operations								
Monitoring of suspend operations								
Transfer of securities (internal and external)								
Securities transactions								
Take-over bids processing								
Payment of contributions under the guarantee fund								
Calculation of the contribution base								
Control of the frequency of payment of contributions								
Compliance with prudential rules								
Control of the capital amount								
Control of the hedging rules								
Control of the rule of division of risks								
Control of the rules of the use of the Clients credit balances								
Control of the rule of minimum capital								
Control of cash positions of equity capitals								
Control of client cash positions								
Checking the reliability of the calculations made by the I								
Compliance with the rules applicable to the activity animation								
Monitoring compliance with the minimum amount of securities, the price range and frequency of trading.								
Control of the independence of persons carrying on the business of animation compared to other functions that may generate conflicts of interest								
Control of securities and cash accounts for the activity animation								
Control the dissemination of information (the CDVM, the issuer and the Casablanca stock exchange)								
Compliance with the rules implementing the buyback program								
Checking the independence of the brokerage firm in the execution of the buyback program								
Control of the price range								
Control of the market in which orders								

were executed								
Monitoring compliance with the periods of abstention								
Checking the validity of buyback orders								
Securities transactions(if any)								
Other controls (state, if any)								

For all of the audits having identified anomalies, attach a summary file containing the following fields:

- a) Audit
- b) Nature of the anomalies identified
- c) The implemented Action plan

2.Key events

describe the key events of the semester and developments identified in the areas described below

field	Description
Organization (organization, governance, procedures, etc.)	
Human resources (departure / recruitment, internal mobility)	
Technical material resources (development and acquisitions)	
Other (specify)	

3.Complaints follow-up

Date of receipt	Subject of the complaint	Outcome of the complaint	Closing date of the complaint

4. Staff Remuneration

What is the variable payment policy implemented by the market intermediary?

What is the basis of such a policy (Turnover, etc ...)?

How a such policy is applied on various offices (front office, back office, internal control, etc. ..)?

5. Commission retrocession policy

What is the policy of commissions retrocession set up by the intermediary?

What are, if any, the amounts lent and acquired during the period of reference?

ACTIVITY INDICATORS

1. Evolution of shareholders equity

Describe the changes in the company equities

indicator	quarter 1	quarter 2	Comment on the evolution of the indicator
Minimum capital			
Net equity			

2. Breakdown of the turnover by activity (in million dhs)

Activity	Quarter 1	Quarter 2
intermediation		
Settlement		
Assets keeping		
Board		
investment		
Portfolio Management		
animation		
assistance		
Other (specify)		
Total		

3. Distribution of the processed volume by mode of orders submission (in millions of dirhams)

Type of submission	Quarter 1				Quarter 2			
	CM ²	BM ³	Total	in %	CM	BM	Total	in %
negotiator								
Online trading								
Electronic order transmission								
Other (specify)								
Total				100				100

4. Average rate of commissions of the intermediation (Central Market)

Entities Category	Quarter 1		Quarter 2	
	<i>shares</i>	<i>Bonds</i>	<i>Shares</i>	<i>Bonds</i>
individuals				
corporations				
UCITS				
Collection Network				
Other (specify)				

² CM : central Market

³ BM : block market

5. Minimum rate of commissions for intermediation (Central Market)

Category one	Quarter 1		Quarter 2	
	Shares	Bonds	Shares	Bonds
individuals				
corporations				
UCITS				
collection Network				
Other (specify)				

6. Distribution of the treated volume by type of clients (in millions of dirhams)

Type of client	Quarter 1				Quarter 2			
	CM ⁴	BM ⁵	Total	in %	CM	BM	Total	in %
Own accounts								
Accruals								
Clients								
collection Network								
Staff								
shareholders								
Total				100				100

7. Client structure (in number)

Type of clients	intermediation ⁶			Discretionary management		
	internal ⁷	External ⁸	Total	internals	Externals	Total
Moroccan individuals						
Foreign natural persons						
Moroccan legal entities						
Foreign legal entities						
UCITS						
Total						

8. Concentration of the intermediary activity by client

Ranking	Client's identity	Volume treated with the client ⁹	
		Amount (million MAD)	% the overall volume
1 st			
2 nd			
3 th			
4 th			

5 CM: central Market

6BM : block market

7 In case a client is both internal and external, he should be recognized only as internal Client.

8 Internal Clients are those for whom the brokerage firm ensures the assets keeping.

9 External Clients are those for whom the assets are held in other depositories.

10 It concerns the treated volume in both markets (central& block)

ranking	Client's identity	Turnover with the client	
		Amount (million MAD)	% of the consolidated total
1 st			
2 nd			
3 th			
4 th			
5 th			

9. Reporting on the activities of Account keeping (if applicable)

assets	Quality	category	Quarter 1			Quarter 2		
			Number of clients	portfolio valuation *	cash	Number of clients	portfolio valuation *	cash
clients	residents	individuals						
		corporations						
	Non-residents	individuals						
		corporations						
own assets								
Total								

(*)Valuation method used by the central depository

10-Review of the animation activity (if any)

Number of shares available at the beginning of the semester	
Amount of cash available at the beginning of the semester	
Number of shares remaining at the end of the semester	
Amount of cash remaining at the end of the semester	

Appendix Brokerage firm7: Securities transactions

PAYMENT OF DIVIDENS

Code of the central depository affiliate	Name the value	Number of the central depository ex coupons	Central depository ex dividend date	Payment date announced by the issuer	Date of receipt of the funds of the issuer	Recording Date of the cash accounts of the beneficiaries ¹⁰

CAPITAL INCREASE IN CASH AND BY RESERVES CONVERSION

Code of the central depository affiliate	Name the value	Number of rights seconded to the central depository	Number of beneficiaries	Ex dividend date of the central depository	Number of rights presented for the fiscal year	Number of fractions	Number of subscription rights sold at the end of the operation ¹¹

Appendix BROKERAGE FIRM 8 : Discrepancies in the reconciliations of assets held with CD (in securities)

Code of the central depository affiliate	Name the value	Number of securities registered with the central depository	Number of securities registered with the account holder	deviation	origin	Terms of regularization

Appendix BROKERAGE FIRM 9 : Turn around trade

¹¹Accounting date = date of operation

¹² Specify only the subscription rights assigned to the initiative of the account holder

Code of the central depository affiliate	Direction of operation	amounts	Trade date	Net amount	non-resident Intermediary	Custodian of non-resident Intermediary	Non-resident clients	Custodian of the NR C	amount transferred	Settlement date of the party executed on the market (1)	Settlement date of the party executed over the counter (2)	Reason if the delay of one day between two dates (1) and (2) is violated

13 NRC : non-resident clients/ MRA: Moroccans resident abroad/ NRI: non-resident intermediaries

14 Natural persons/ Corporations

Appendix BROKERAGE FIRM 10: Slip of the contribution base to the guarantee fund

Name of the brokerage firm:

Payment under the.... Semester of the year....

☐ **Terms of payment**

Cheque No. _____ of _____

Drawn on _____

☐ **Transfer No. _____ of _____**

Institution in charge of settlement: _____

Base of the listed securities (1)	
Base of the unlisted securities (2)	
Total shares of the base (1) + (2)	
Contributions to the securities (3)	
Base related to cash	
Contributions to cash (4)	
Total contribution (3) + (4)	

Date

Full Name (s) / authorized signature (s)

Stamp

Appendix Brokerage firms11 –* The notification covers all ongoing operations:

Bank or licensed intermediary of the lender	
Department / Unit in question	
Internal controller	
Phone number	
Fax number	
Email	
Month/year	

			Maroclear Operation Code
			Maroclear value code
			value Designation
			Quantity
			Value
X		Own account	Affiliated deliverer
X		client identity	
		Category(2)	Borrower Client
X		Own account	Affiliated delivered
X		Client	
		identity	Lender Client
		Category (2)	Date of concluding securities lending contract
			Delivery Date
			Agreed date of retur
			Actual date of return
			Remuneration rate of the lender
X		Listed security	Warranty
X		Commercial papers	
X		Other securities	
X		Cash	
			Coverage rate

- (1) Code related to the initial transaction
- (2) List of clients' categories

Maroclear operation code (1)			
Maroclear			
Value designation			
Quantité			
Value			
Cancellation date			
		X	In case of default
		X	In case of new circumstances
			Registration date in Casablanca exchange

(3) Code related to the initial transaction

(4) List of clients' categories

Resident investors	Moroccan residents	Natural persons				
		Legal entities	Non financial companies			
			Financial companies	Credit institutions	Banks	
					Assimilated Credit institutions (CDG ...)	
				Other financial intermediaries	Financial companies	
					UCITS	
					Brokerage firms	
					Others	
				financial auxiliaries	Management companies	
					Insurance Agents and Brokers	
					Others	
				Insurance and reinsurance companies		
	Pension funds					
	Foreign resident	Natural persons				
Legal persons						
MRA						
Non resident investors	Non resident foreigners	Natural persons				
		Legal entities				

Appendix brokerage firms 12 – notifications Model of assignment or transfer of the securities lent or any rights or obligations arising thereto for a party under the contract of securities lending

Bank or intermediary licensed by the party carrying out the sale or transfer	
Department/Unit in question	
Internal controller	
Phone number	
Fax number	
E-mail	
Month/year	

Maroclear Operation code (1)	Maroclear value code	Value designation	Assignment						
			Affiliated deliverer		Client carrying out the		Initial quantity	Assigned quantity	Assignment date
			Own	Client	Identity	Category			
			x	x					

Maroclear Operation code (1)	Maroclear value code	Value designation	Transfer							
			Affiliated deliverer		Affiliated delivered		Client carrying out the transfer		New client	
			Own account	Client	Own account	Client	Identity	Category (2)	Identity	Category (2)
			x	x	x	x				

(1) Code related to the initial transaction

(2) List of clients' categories

Resident investors	Moroccan residents	Natural persons				
		Legal entities	Non financial companies			
			Financial companies	Credit institutions	Banks	
					Assimilated Credit institutions (CDG ...)	
				Other financial intermediaries	Financial companies	
					UCITS	
					Brokerage firms	
					Others	
				financial auxiliaries	Management companies	
					Insurance Agents and Brokers	
					Others	
				Insurance and reinsurance companies		
	Foreign resident	Natural persons				
		Legal persons				
Non resident investors	MRA					
	Non resident foreigners	Natural persons				
		Legal entities				

Appendices V.2.2: Bank-account holders (BAH)

Appendix BAH 1: Transactions recorded on the error account

Code of the central depository affiliate	Balance date	Trade date	client identity	Direction of operation	Name of the value	Amount	price	Cause of the error

Appendix BAH 2 : Securities transactions

PAYMENT OF DIVIDENS

Code of the central depository affiliate	Name the value	Number of the central depository ex coupons	Central depository ex dividend date	Payment date announced by the issuer	Date of receipt of the funds of the issuer	Recording Date of the cash accounts of the beneficiaries 15

CAPITAL INCREASE IN CASH AND BY RESERVES CONVERSION

Code of the central depository affiliate	Name the value	Number of rights seconded to the central depository	Number of beneficiaries	Ex dividend date of the central depository	Number of rights presented for the fiscal year	Number of fractions	Number of subscription rights sold at the end of the operation 15

15 Accounting transaction date = Operation date

16 Specify only subscription rights assigned at the initiative of the account holder

Appendix BAH 3 : Non-settlement

Code of the central depository affiliate	Name the value	Direction of operation	amount	Trade date	Origin of the Non settlement(victim or defaulter)	Reason of the non settlement

Appendix BAH 4 : Discrepancies in the reconciliations of assets held with CD (in titles)

Code of the central depository affiliate	Name the value	Number of shares registered in CD	Number of securities registered with the account holder	deviation	Origin	Terms of regularization

Appendix BAH 5: UCITS Subscriptions and buybacks

UCITS	Name of the depository institution	affiliate code	week

		R.I ¹⁷	N.R.I	R.E	N.R.E	TOTAL
Subscriptions	Number of subscribers					
	Number of shares subscribed					
	Volumes of stock					
Buybacks	Number of sellers					
	Number of shares redeemed					
	Volumes redemption					
Number of unit holders at the end						

¹⁷ Resident individual, non-resident individuals, resident entities, Non-resident entities

Appendix BAH 6: Distribution of UCITS shares or units subscribers

UCITS	Name of the depository institution	affiliate code	Month	Year	last net asset value of the month 18	Date of the net asset value

Category	Number of shares or units	Valuation 19	As a percentage of net assets
Unit holders resident			
individuals			
Non-financial firms			
Financial companies including:			
Bank			
Finance companies			
Deposit and Management fund(CDG)			
Insurance and reinsurance companies			
Assistance and pension institutions			
UCITS			
Other portfolio companies			
Brokerage firms			
Other financial institutions			
NON-RESIDENT HOLDERS			
Moroccans living abroad			
Other non-resident individuals			
Non-resident legal entities			
TOTAL		(net asset)	100%

18 Last Friday for UCITS at the weekly net asset value and last working day for UCITS at the daily net asset value.

19 product of the number of shares or units multiplied by the net asset value

Appendix BAH 7: stock trading

Mnemonic bank	Execution Date	Identity of the Order Principal	Identifier of the principal	Category of the Order principal	Market type	Processed value	value identifier	Sens	Quantity	price	Mnemonic BROKERAGE FIRM having executed the order	contract

Appendix BAH 8 : Assets inventory ²⁰

To be certified by the depositary

(Excluding fixed assets)

UCITS	Managing Company	Depositary	Quarter

²⁰ set on the day of the last net asset value calculation in the first three quarters of the year till December 31st for the fourth quarter

SECURITIES TO BE DETAILED AND CLASSIFIED ACCORDING TO THE ISSUERS AND NATURE

Issuers	Code CD₂₁	designation	Quantity (A)	Valuation by security DH (C)	Overall valuation DH (D=C*A)	% from Total Assets
Issuer 1	Security1					
	Security2					
					
Issuer 2	Security1					
	Security 2					
					
UCITS 1 Managing company						
UCITS 2 Managing company						
CIF on securitization 1						
CIF on securitization 2...						
CIF in venture capital 1						
CIF in venture capital 2...						
Fixed-term deposit (2 years and more)						
receivables securities purchased under repo						
cash 22						

other assets						
Total assets						100%

21 If not registered with the CD, code to be determined by a process approved by the CDVM
22 Financial accounts- asset minus fixed terms deposit> 2 years

Additional Information on the assets inventory

	Amount / quantity
repo	
net Assets	
Number of shares or units	

Appendix BAH 9 : Turn around trade

Code of the central depository affiliate	Direction of operation	amounts	Trade date	Net amount	non-resident Intermediary	Custodian of non-resident Intermediary	Non-resident clients	Custodian of the NRC	amount transferred	Settlement date of the party executed on the market (1)	Settlement date of the party executed over the counter (2)	Reason if the delay of one day between two dates (1) and (2) is violated

Appendix BAH 10 List of securities held by foreigners and MRA

Code of the central depository affiliate	semester	Year	Name of holder	Quality ²³	Category ²⁴	Nationality	Country of Residence	CD Code of the Value	Nature of securities	initial stock	Final stock

²³NRC : non-resident clients/ MRA: Moroccans resident abroad/ NRI: non-resident intermediaries

²⁴Natural persons/ Corporations

Appendix BAH 11: Report of the internal controller

INTERMEDIARY IDENTIFICATION

Name of Intermediary	
Code of the central depository affiliate	
Identity of the IC	
Number of the internal auditor accreditation	
Semester Reference (n-aaaa)	

INTERNAL CONTROL

Control and Compliance

Fulfill the following table for each inspection carried out during the semester of reference:

Control	Carried ?		Identified anomalies ?		Documented Resultats ?		Action Plan ?	
	Yes	No	Yes	No	Yes	No	Yes	No
Opening of securities accounts								
Reconciliation of assets Securities								
Accounting operations (stock, cash and UCITS)								
Non settlement monitoring								
Transfer of securities								
Securities transactions								
Turn around trade								
<i>Public offering</i>								
<i>UCITS Depository</i>								
<i>Others (to specify, if any)</i>								

For all of the audits having identified anomalies, attach a summary file containing the following fields:

- Audit
- Nature of the anomalies identified
- The implemented Action plan

2. Key events

describe the key events of the semester and developments identified in the areas described below

field	Description
Organization (organization, governance, procedures, etc.)	
Human resources (departure / recruitment, internal mobility)	
Technical material resources (development and acquisitions)	
Other (Specify)	

3. Complaints follow-up

Date of receipt	Subject of the complaint	Outcome of the complaint	Closing date of the complaint

ACTIVITY INDICATORS

Assets under management

assets	Quality	Catégory	Quarter 1		quater 2	
			Clients number	Valuation*	Clients number	Valuation*
Clients	Residents	Natural persons				
		Legal entities				
	Non-residents	Natural persons				
		Legal entities				
Equity capital						
Total						

(*)Valuation method used by CD

Appendix banks account holders12 - Notification model of lending securities Operations

Bank or licensed intermediary of the lender	
Department / Unit in question	
Internal controller	
Phone number	
Fax number	
Email	
Month/year	

Maroclar Opératin Code (1)	Maroclear value code	value Designation	Quantity	Value	Affiliated deliverer	Borrower Client	Affiliated delivered	Lender Client	Date of concluding securities lending contract	Delivery Date	Agreed date of return	Actual date of return	Remuneration rate of the lender	Warranty	Coverage rate
					Own account	client	identity	Category(2)	Own account	Client	identity	Category(2)		Listed security	
					x	x			x	x				x	
														Commercial papers	
														Other securities	
														Cash	

Maroclear Operation Code (1)	Maroclear value code	Value designation	Transfer							
			Affiliated deliverer		Affiliated delivered		Client carrying out the transfer		New client	
			Own account	Client	Own account	Client	Identity	Category (2)	Identity	Category (2)
			x	x	x	x				

- (1) Code related to the initial transaction
(2) List of clients' categories

Resident investors	Moroccan residents	Natural persons				
		Legal entities	Non financial companies			
			Financial companies	Credit institutions	Banks	
					Assimilated Credit institutions (CDG ...)	
				Other financial intermediaries	Financial companies	
					UCITS	
					Brokerage firms	
					Others	
				financial auxiliaries	Management companies	
					Insurance Agents and Brokers	
					Others	
				Insurance and reinsurance companies		
				Pension funds		
	Foreign resident	Natural persons				
		Legal persons				
MRA						
Non resident investors	Non resident foreigners	Natural persons				
		Legal entities				

Appendix banks account holders¹³ – Notification model of operations assignment or transfer of the securities lent or any rights or obligations arising thereto for a party under the contract of securities lending

Bank or licensed intermediary of the lender	
Department / Unit in question	
Internal controller	
Phone number	
Fax number	
Email	
Month/year	

Maroclear Operation code (1)	Maroclear value code	Value designation	Transfer							
			Affiliated deliverer		Affiliated delivered		Client carrying out the transfer		New client	
			Own account	Client	Own account	Client	Identity	Category (2)	Identity	Category (2)
			X	X	X	X				

(1) Code related to the initial transaction

(2) List of clients' categories

Resident investors	Moroccan residents	Natural persons				
		Legal entities	Non financial companies			
			Financial companies	Credit institutions	Banks	
					Assimilated Credit institutions (CDG ...)	
				Other financial intermediaries	Financial companies	
					UCITS	
					Brokerage firms	
					Others	
				financial auxiliaries	Management companies	
					Insurance Agents and Brokers	
					Others	
				Insurance and reinsurance companies		
	Pension funds					
	Foreign resident	Natural persons				
Legal persons						
MRA						
Non resident investors	Non resident foreigners	Natural persons				
		Legal entities				

Appendices V.2.3 : UCITS management company

Appendix management companies 1: turnover breakdown

1. Total of UCITS management products	
1.1 UCITS management products	
1.2 UCITS management products under delegated management to another institution	
2. Total of accessory products related to UCITS management	
2.1 proportionate share of commissions of UCITS buyback subscriptions	
3. Total of other products	
3.1 products related to the activity of investment counseling	
3.2 Other products not related to UCITS management activity	
Turnover total of the management company	

Appendix Management company 2: Statement of investment securities

Value	Quantity	Global cost price in DH	Valuation per security in DH	Global valuation in DH	+/- unrealised gains and losses in DH	% compared to total assets

Appendix Management company 3: Semi-annual report of the internal controller (models attached files, Excel and PDF)



Rapport du contrôleur interne



Rapport du contrôleur interne

Appendix management company 4: Concentration of clients of the management company)

Indicate, at the end of each month, the list of shareholders and / or unitholders exceeding 10% of total net assets managed by the management company

Month	Client	Total shares / units held (amount in DH)	% of the total net asset
Month1			
Month2			
Month3			

Appendix management company 5: Concentration of funds liabilities)

Indicate for each fund and at the end of each month the list of shareholders and / or unitholders exceeding 20% of the fund's net assets

Month	UCITS name	Client	Total shares / units held (amount in DH)	% of the total net asset
Month1	<u>UCITS1</u>			
Month2				
Month3				

Appendix Management company6: Client significant Transactions

Indicate any subscription or purchase more than 10% of the net assets of each UCITS

UCITS	client	Sens (Output/input)	date	Amount in DH	% of the asset

Appendix Management Company 7: Monitoring UCITS management fees

UCITS	CD Code	Date	Net asset value	Total asset	Excluding liabilities fees	Invested asset in UCITS managed by the management company	Management fees rate applied (*) Excl.Tax	Funded management company (*)Excl.Tax

(*) All expenses incurred by the Fund: CDVM, depository, Central Depository, statutory Auditors, publication, management fees attributable to the management company...

Appendices V.2.4: Management Company of CIF in venture capital

Appendix Management company 5: Semiannual Report of the internal controller

SUMMARY

I. Contents

1. General Information
2. Legal structure
3. Managers

II. Organization and resources

1. Employees and organization
2. procedures
3. IT organization
4. Securing equipment and data

III. KEY EVENTS

IV Management Activity

1. Main activity: management of CIF in venture capital
2. Ancillary activities

Appendices

- Details of transactions for the management company proper account
- List of conventions

I. OVERVIEW

1. General Information

share capital

amount:

to

Date of last modification of social capital:

Name or trade name of shareholders	Category of shareholders *	Number of held shares	Amount (in thousands of dhs)	As% of Capital *

* Natural or legal person, resident or nonresident

2. legal structure

For each subsidiary or participation, indicate:

- Name or trade name
- Full address (telephone, fax, email)
- Business purpose:
- Share capital
- Allocation of capital
- Names of managers
- Specify whether the management company has a director position
- Revenue, capital and net income of the last financial year

Provide a detailed organization chart of the links between:

- * The management company and its subsidiaries or affiliates (stating the purpose and nature of these activities);
- * The management company and its major shareholders.

3. Managers

For the directors or supervisory board

	First and last names	representative	other functions
president			
other directors / members			

For each member of the management or Executive team,
Provide the name, the exact function, the date of taking office
In case of arrival of a new person, attach his resume.

II. Organization and resources

1. Employees and organization

Changes in the workforce?

If yes, number of new recruits and their resumes

Changes in assignments?

If yes, provide a new organizational chart showing the new assignments.

Indicate other possible changes in working conditions, such as changing schedules, headquarters, etc..

If any, administrative sanctions vis-à-vis a staff member.

2. Procedures

Indicate in the appendix a complete list of procedures for the management company, with their date of entry into force or update

Were these procedures established internally?

If yes, name(s) of service(s) concerned:

If not, name of consultant:

3. IT organization

Describe the organization of the company in terms of IT:

- Number of job positions
- Number of servers
- Number of internet connections
- Website?

Describe the investments made during the period by the management company for the maintenance or development of information systems;

Current software (whether internal development or acquisition, software publisher name, software package version):

- Accounting
- Investment
- Monitoring of investments
- Other

Indicate the tests carried on information systems of the management company during the period considered, indicating whether the tests were conducted internally or externally and providing the results of these tests.

Indicate the incidents of the Management Company information systems during the semester.

Indicate the date of the incident, its origin (technical problems, improper handling ...) and degree of occurrence (if the problems arise for the first time or if it is recurrent, specify the frequency of occurrence). Subsequently, indicate the measures taken in terms of either internal intervention or using an external service provider. In the latter case, specify his name and whether or not he is working as part of a predetermined maintenance contract.

4. Securing equipment and data.

Do you have an electrical system controlled?

If yes, type of inverter? Autonomy? Material secured by an inverter?

Describe the backup system

Existence of a back-up (hardware and software)? Remote Back up or other?

Frequency of backups? Detail for files and databases

How is data archived? Details for the files and databases

III. KEY EVENTS

This section describes the significant events in the activity of the management company during the semester.

These events can correspond, in a non restricted way, to:

- Launch of new CIF in venture capital, New unlocks, new investments (existing funds)
- A new computer application
- A new procedure,
- An internal reorganization.
- Recruitment,
- A new equipment purchase,
- Changes in the composition of shareholding,
- Holding of a General Assembly meeting ...

III Management Activity

1. Main Activity: CIF in venture Management Company

1. Assets managed by CIF in venture capital On dd/MM/Year							
Managed CIF In venture capital	Fund raising	Net asset value	Liquidation value	Unlisted assets	Listed assets	forward transaction	Others ¹²

2. Information on the target firms								
CIF in venture capital	Investor identity	Target firms	% of participation (shares)	Other investment modes (Bonds...)	Date of input	Date of output (expected or effective)	Amount investment	Type of output

3. Carried Co-investissements				
Identity of target firms	Equity capital	Co-investors	Invested amounts	Investment Date

4. Financial Services		
Institution	Nature of Service	Remuneration (nature & amount)

5. Distribution of funds				
Managed CIF in venture capital	Target firm	Invested amount	Scheduled or Carried TRI	Previous TRI

2- ancillary activity

Beneficiary	Nature of the Service	Remuneration (nature & amount)

Appendices:

Details of transactions for the management company equity capital

Date	security	direction	Quantity	price/rate	Volume

List of Conventions

Conventions	Purpose	Beneficiaries

Appendices V.2.5 : CIF on securitization management company

Appendix Management company 6: Semi-annual report of the internal controller

Contents

I. OVERVIEW

1. General Information
2. Legal structure
3. Managers

II. Organization and resources

1. Employees and organization
2. procedures
3. IT organization
4. Securing equipment and data

III. KEY EVENTS

IV Management Activity

1. Main activity: CIF on securitization management
2. ancillary activities

Appendices

- Details of transactions of the management company equity capital
- List of conventions

I. OVERVIEW

1. General Information

Share capital

Amount:

to

Date of last modification of social capital:

Name or trade name of shareholders	Category of shareholders *	Number of shares	Amount (in thousands of dhs)	As% of Capital *

* Natural or legal person, resident or nonresident.

2. legal structure

For each subsidiary or participation, indicate:

- Name or trade name
- Full address (telephone, fax, email)
- Business purpose:
- Share capital
- Allocation of capital
- Names of managers
- Indicate whether the management company has a director position
- Revenue, capital and net income of the last financial year

Provide a detailed organization chart of the links between:

- * The management company and its subsidiaries or affiliates (stating the purpose and nature of these activities);
- * The management company and its major shareholders.

3. Managers

For the directors or supervisory board

	First and last name(s)	representative	Other functions
President			
other Directors / members			

For each member of the management or the Executive team,
Provide the name, the exact function, the date of taking office
In case of arrival of a new person, attach his resume.

II. Organisation and resources

1. Employees and organization

Changes in the workforce?

If yes, number of new recruits and their resumes:

Changes in assignments?

If yes, provide a new organizational chart showing the new assignments.

Indicate other possible changes in working conditions, such as changing schedules, local, etc..

Where applicable, administrative sanctions vis-à-vis a staff members.

2. Procedures

Indicate in the appendix a complete list of procedures for the management company, with their date of entry into force or update

Were these procedures set internally?

If yes, name (s) of concerned service (s):

If not, name of consultant:

3. IT organization

Describe the organization of the company in terms of IT:

- Number of jobs positions
- Number of servers
- Number of internet connections
- Website?

Describe the investments made during the period by the management company for the maintenance or development of information systems;

Current software (whether internal development or acquisition, the name of the software publisher or software package version):

- Accounting
- Back office
- Management
- Other

Indicate the tests on information systems management company during the period considered, specifying whether the tests were conducted internally or externally and provide the results of these tests.

Indicate the incidents of the management company information systems during the semester. Indicate the date of the incident, its origin (technical problems, improper handling, ...) and degree of occurrence (if the problem arises for the first time or if it is recurrent, specify the frequency of occurrence). Subsequently, specify the measures taken in terms of either internal intervention or use of an external service provider. In the latter case, specify his name and whether or not he is working as part of a predetermined maintenance contract.

5. Securing equipment and data.

Do you have a controlled electrical system?

If yes, type of inverter? Autonomy? Material secured by an inverter?

Describe the backup system

Existence of a back-up (hardware and software)? Remote Back up or other?

Frequency of backups? Detail for files and databases
 How is data archived? Details for the files and databases

III. KEY EVENTS

This section describes the significant events in the activity of the management company during the semester.

These events can correspond, in a non restricted way, to:

- Launch of new CIF on securitization, new securitization transactions
- A new computer application
- A new procedure,
- An internal reorganization.
- Recruitment,
- A new equipment purchase,
- Changes of the composition of shareholding,
- Holding a general assembly meeting

IV Management Activity

- Presentation of CIF ON SECURITIZATION:

Name of fund	Originators	depository	Date the CIF ON SECURITIZATION	Reference of the prospectus of the CIF ON SECURITIZATION and its amendments	Duration of CIF ON SECURITIZATION
CIF ON SECURITIZATION 1					
CIF ON SECURITIZATION 2					

- Description of the securitization transactions:

CIF ON SECURITIZATION1:

Key features of each class of shares and debt securities:

	Parts			Debt security		
	Type 1	...	Type n	Type 1	...	Type n
Number of shares or debt securities						
Nominal amount per unit						
Total nominal amount						
nominal rate						
actuarial rate						
Date interest payments						
Date of depreciation						
final maturity						
Nominal outstanding at the closing date of the exercise						

Units holders:

Category of holders	Category of shares	Number of shares held	amount	% of the fund's assets
UCITS	Shares of type 1			
	...			
	Shares of type n			
financial companies	Parts of type 1			
	...			
	shares of type n			
Credit institutions	shares of type 1			
	...			
	Shares of type n			
Insurance and reinsurance companies	Shares of type 1			
	...			
	shares of type n			
Deposit and Management Fund	shares of type 1			
	...			
	shares of type n			
retirement and pension fund	shares of type 1			
	...			

	shares of type n			
other institutions	Shares of type 1			
	...			
	Shares of type n			
TOTAL	Shares of type 1			
	...			

Key features of the transferred accounts receivables:

Segment	Nature of the held debt or security debt	Date of acquisition	Total Amount	Transferor	Depository institution	a weighted average residual life	the weighted average rate.	rate of prepayments :	level of unpaid debts.	Loss rate	Event of default rare

Assets of CIF ON SECURITIZATION:

	Amount in (DH)	%
Securitized assets		
outstanding debts included		
Securities and investment		
other assets		

cash		
Cash p invested in ... (Article 52)		
Total assets		
debts		

Assignments of receivables:

CIF ON SECURITIZATION	Nature of the debt / debt security assigned	Date of disposal	Assignment event

The nature, amount and percentage of the various fees and commissions incurred by the fund during the year:

	amount	rate
Commission of the originator as debt collector		
Commission of the management company		
Commission of the depository institution as a depository		
Statutory audit fees		
Other fees and commissions (give details)		

The level observed during the period of temporary cash or pending allocation from the fund's assets:

Evaluation method of the fund

Appendices:

Details of transactions for the management company equity capital

Date	security	direction	Quantity	price/rate	Volume

List of Conventions

Conventions	Purpose	Beneficiaries

Appendices V.2.6 : UCITS (Collective investment schemes

Appendix CIS 1- information on dividends distribution

Date of decision distribution *	Date of distribution	Value of the dirham dividend	Distribution date of the last dividend

*Date of holding the general meeting for an open ended mutual Fund, and meeting of the Board of Directors of the management institution for a mutual fund

Appendix CIS 2- détail des opérations inter-fonds

UCITS Offeror	UCITS buyer	Traded securities	Volume traded (DH)	Rate or price	Date of transaction	Comments

Appendix CIS3- REPO market activity

Date	Security name	Number pf securities bought under REPO	Volume purchased under repo	rate	maturity	Counterparty	UCITS Allocation

Date	Security name	Number pf securities sold under REPO	Volume sold under REPO	rate	maturity	Conterparty	UCITS Allocation

Appendix CIS 4 - Weekly inventory of assets

UCITS :

Week :

Managing company :

depository :

SECURITIES TO BE DETAILED AND CLASSIFIED BY ISSUER AND NATURE

ISSUERS	(1) CD Code	name	QUANTITY (A)	(2) OVERALL COST PRICE IN DH (B)	(3) Risk premium	Valuation by security in DH (C)	Overall valuation in DH (D=C*A)	(7) accrued coupon interests in DH (E)	(7) the aggregate valuation of the clean price of coupons in DH (F=D-E)	(8) (+/-) values in DH	to total assets in % (G)
Issuer1	Security 1										
	Security 2										
Issuer2	Security1										
	Security 2										
UCITS 1											

Managing company											
UCITS 2											
Managing company											
CIF ON SECURITIZATION 1 ⁽⁴⁾											
CIF ON SECURITIZATION 2											
CIS1 ⁽⁵⁾											
CIS2											
Fixed term deposit(2years and more)											
Receivables from securities purchased under REPO											
Other assets											

Cash ⁽¹⁾										
Total assets										100%

- (1): If not registered in the CD, code to be determined by a process approved by the CDVM
- (2) (Cost price = coupon clean price + commission) for debt securities and (Cost price= Purchase price + commission) for other assets.
- (3): Provide information on debt securities non-issued by the state
- (4): CIF on Securitization
- (5): CIF in Venture Capital
- (6): Financial Accounts – Assets minus fixed term deposit > 2 years
- (7): Provide information in the case of debt securities.
- (8): Equal to (F-B) for debt securities and (D-B) for other assets.

Appendix CIS 5 - Additional information on weekly inventory assets

UCITS :

Week :

Managing company :

		Amount / Quantity
Other assets ⁽¹⁾	Pensions received	
	Other elements	
Fixed assets		
Debts ⁽²⁾	REPOS	
	Cash borrowings	
	Other debts ⁽³⁾	
Net asset		
Number of shares and units		

- (1): Debtor operator and attached accounts
- (2): Financial Accounts- Liabilities + Other Debts
- (3): Included management fees, bank fees and purchases of shares for deferred settlement.

Appendix CIS 6- Simplified breakdown of net assets and the statement of subscriptions and buybacks

	UCITS 1	UCITS 2	UCITS 3	...
UCITS Code				
Liquidation value				
Assets breakdown (in DH)				
A.Fixed assets				
<i>B. Listed securities</i>				
B1. Shares				
B2. Private bonds				
B3. Public bonds				
<i>C. Unlisted securities</i>				
C1. Shares				
C2. Private bonds				
C3. Public bonds				
C4.NEGOTIABLE DEBT SECURITIES				
<i>C5. UCITS assets</i>				
Open ended mutual funds				
Mutual fund				
D. Other assets				
E. Other debts				
F. Fixed-term deposit				
G. Cash				
<i>H. Total asset</i>				
I. Debts				
<i>J. net asset</i>				
<i>Number of units</i>				
Calculated liquidation value				
<i>Corresponding to the liquidation value input</i>				

Subscriptions and buybacks				
Subscriptions				
Number of subscribers				
Resident natural persons				
Non resident natural persons				
Resident legal entities				
Non resident legal entities				
Number of registered units				
Resident natural persons				
Non- resident natural persons				
Resident legal entities				
Non-resident legal entities				
Subscription value				
Resident natural persons				
Non resident natural persons				
Resident legal entities				
Non- resident legal entities				
Buybacks				
Number of sellers				
Resident natural persons				
Non resident natural persons				
Resident legal entities				
Non- resident legal entities				
Number of units repurchased				
Resident natural persons				
Non resident natural persons				
Resident legal entities				
Non- resident legal entities				
Buyback Volume				
Resident natural persons				
Non resident natural persons				
Resident legal entities				
Non- resident legal entities				
Number of holders				
Resident natural persons				
Non resident natural persons				
Resident legal entities				

Appendix CIS 6 a - Statement of the Net assets and subscriptions of daily buybacks

L V of:

Management Company:

Periodicity of the LV calculation:

		Net asset	LV	Subscriptions	Buybacks	Net subscriptions
UCITS 1	Monday					
	Tuesday					
	wednesday					
	Thursday					
	Friday					
UCITS 2	Monday					
	Tuesday					
	Wednesday					
	Thursday					
	Friday					
...	Monday					
	Tuesday					
	Wednesday					
	Thursday					
	Friday					
...	Monday					
	Tuesday					
	Wednesday					
	Thursday					
	Friday					

Appendix CIS7- activity on the tender market

Date	Suggested Volume	Volume taken	Maturity	Rate taken	Intermediary/Counterparty

Appendix CIS 8- Transactions on the secondary market of Treasury bills

UCITS	Date of the transaction	Direction	CD Code	Name	Nominal value	Nominal rate	Due date	Number	Global price	Return rate	Global PPC	Counterparty

Appendix CIS 9- transactions in Foreign markets

Concerned UCITS	Transactions Date	Name of the security	Instruments type	Quantity	Price/rate	Volume in currency	Purchase/sale	Currency	Pays	Volume In dirham	Exchange price used
UCITS 1											
UCITS 2											
UCITS 3											
...											

Appendix CIS 10- Financial products issued from investment transactions in foreign currency abroad

Concerned UCITS	Execution Date	Name of the securities	Cuurency	Country	Volume in currency	Exchange price used	Volume in dirhams	Cost price in dirhams	+/- gains in dirhams
UCITS 1									
UCITS 2									
UCITS 3									
...									

Appendix CIS 11 - Information relating to repurchase operations

Additional information sheet D 1 - Table of receivables and payables related to repurchase operations

	AMOUNT at the BEGINNING of the YEAR	INCREASE	Decrease	AMOUNT AT THE END OF YEAR
Debt representing the securities purchased under REPO				
SHARES				
BONDS				
Negotiable debt securities				
TREASURY BILLS				
OTHER SECURITIES				
Debts in respect of securities sold under REPO				
SHARES				
BONDS				
Negotiable debt securities				
TREASURY BILLS				
OTHER SECURITIES				
Debts in respect of securities purchased under repo and redeemed under repo				
SHARES				
BONDS				
Negotiable debt securities				
TREASURY BILLS				
OTHER SECURITIES				
Debts in respect of securities purchased and redeemed under repo				

SHARES				
BONDS				
Negotiable debt securities				
TREASURY BILLS				
OTHER SECURITIES				
TOTAL				

Additional information sheet D 2 - Table of securities purchased and sold under repurchase

Maroclear ISIN Code	Name	Issuer	Historical cost	Cost price (1)	Market value (2)	+/- gains	Buyback value (3)
Securities received under repurchase							
Shares							
BONDS							
NEGOTIABLE DEBT SECURITIES							
Treasury bills							
Other securities							
Total							
Securities given through repurchases							
Shares							
BONDS							
NEGOTIABLE DEBT SECURITIES							
Treasury bills							
Other securities							
Total							

(1) Price negotiation of the pension

(2) Value of the pension at the time of the year closure

(3) Value of the pension settlement

Appendix Issuers 1: Model of Semiannual ethics report (model Attached file, Excel and PDF formats)



Rapport
déontologique



Rapport
déontologique

Appendix Stock exchange managing company 1: incident report Model

Incident Identification

Date of incident:	Date of occurrence of the incident
Nature of incident:	operational, technical, systems
Criticality: major)	The level of criticality of the incident (low, moderate,
Deadline:	Deadline for the incident resolution

The incident assessment

Cause of the incident:	Identification of the origin of the incident
Description of Incident:	Detailed description of the incident and all the measures taken since the identification of the incident till its resolution (chronology)
Impact of Incident:	Describe the consequences of the occurrence of the incident the proper functioning of various processes or techniques (deferral of the session, delay in file generation ...)

Measures taken by the stock exchange managing company

Corrective measures:	Detail all measures taken for the immediate resolution of the incident
Preventive measures:	Detail the steps taken to prevent recurrence of the incident with their schedule of implementation

Other

Contact:	Contact person for further information
-----------------	--

Appendix Stock exchange managing company 2 : Statement of subscriptions during the IPOs

This report includes details of subscriptions during the IPO. It must include at least the following information:

MPS	Quality code	Name	first name	N° Identity	quantity requested	Amount	Price	Securities issued
MPS1								
MPS2								
MPS3								
MPSn								

MPS: Identity of a member of the placement syndicate

Quality Code: Code of the quality of the subscriber (individual, institutional ...)

Full name : Subscriber

Identity number: administrative Identity (ID card, TR...)

Amount requested: Quantity of securities requested by the subscriber

Amount: Amount of subscription

Price: Price of the subscription (if OPO or MPO)

securities issued: Number of shares allotted to the subscriber

Appendix stock exchange managing company 3: Statement of rejected subscriptions during the IPOs

This statement includes the rejected applications by the managing company during IPOs. It must include at least the following information:

MPS	Quality Code	Family name	First name	N° Identity	Quantity requested	Amount	Reason for rejection
MPS1							
MSP2							
MSP3							
MSPn							

Quality Code: Code of the quality of the subscriber (individual, institutional ...)

Reason for rejection: Specifies the reason for rejection (double subscription required information not filled ...)

MPS: Identity of the concerned member of the syndicate.

This statement must include all transactions rejected by the system for whatever reason. It must also indicate that the stock exchange subscriptions to be reconsidered and validated after the examination of the rejection reasons.

Appendix Stock exchange managing company 4: Statement of the back-up usage

- Statement of the spot back-up usage
- Statement of the remote backup usage
- Statement of the local trading room usage

Date	Reason	Occurrence	Comment

Appendix stock exchange managing company 5: Semiannual Report

Semester: January to June (Year)
July-December ... (year)

Editor:

Function within the management company:

Phone Number:

E-mail:

The semi-annual report of the management company must trace the main events related to its activity and provide information on the development of its human, technical and organizational resources as well as compliance with the rules of conduct during the target semester. The report is divided into seven parts:

PART I: Semiannual Key events

This section outlines the major events that occurred in the management company and may affect its business or organization. These events can correspond, in a non restricted way, to:

- Setting a new service for the brokerage firm or other stock exchange users service;
- The establishment of a new application;
- The revision of internal procedures or implementation of a new operational procedure;

- The establishment of a new fee schedule;
- The expertise exchange with other stock markets;
- ...

The managing company can provide in this part any information or comment it deems relevant.

PART TWO: ACTIVITY KEY INDICATORS

This section presents the main indicators of the managing company's business activity during the semester in the form of statistical reports, focusing on general trends, commented where appropriate. These include:

- The evolution of key market indicators:
 - o Volume of transactions;
 - o Capitalization;
 - o Indices.
- Statement of the processed flows:
 - o Transactions recorded (total number, average transaction ...)
 - o Orders recorded (total number, average order ...)
 - o Orders sent electronically (total number by brokerage firm ...)
 - o Inter-brokerage firms movements (total number by brokerage firm, the maximum and minimum ...)
 - o the treated suspended transactions (total number by brokerage firm, the maximum and minimum ...)
 - o Statement of margin calls (maximum, minimum, average call ...).
- Statement of securities transactions and IPOs:
 - o List of securities and their main characteristics.
- Statement of the initial contribution: The share of each brokerage firm and its mode of coverage, and a statement on the situation of hedges managed by the managing company (assets purchased, investment income ...).

PART III: HUMAN AND TECHNICAL RESOURCES

This part must include a description of the investments made by the managing company during the period in terms of human (recruitment, training, promotions) and technical resources, especially those related to information system (new acquisitions, changes in versions ...)

PART FOUR: INFORMATION SYSTEM

This section should include:

Incidents and significant events:

- The statement of the incidents identified in the managing company information systems during the semester. Indicate the date of the incident, its origin (technical problems, incorrect handling ...) and degree of occurrence (indicate frequency). Also specify the measures taken to correct the problem and, if appropriate preventive measures. If using an external provider, specify his name as part of his intervention (after sales service, maintenance contract ...)
- The statement of tests conducted on the information system of the Casablanca Stock Exchange during the period considered, specifying whether the tests were conducted internally or externally and provide the results of these tests;

Development and maintenance of information systems

- The Casablanca Stock Exchange provides the CDVM with information on development and maintenance of information systems. This information relates to the following areas:
 - The specific developments made to improve the internal organization, or required pursuant to a request of its affiliates or a change in regulation;
 - The terms and conditions of maintenance of hardware and technical equipments;
 - The investments made for the development and maintenance of the information systems.

Security and backup information

The Casablanca Stock Exchange provides the CDVM with information relating to safety and to safeguard of its data. This information relates to the following areas:

- The historical data backups performed;
- Restoring old backup's tests;
- The Conducted intrusion tests

PART FIVE: AUDIT AND CONTROL MISSIONS

This section deals with internal or external audits during the semester and describes:

The internal audits carried or completed during the semester. This description should provide information on the subject of such missions, the services concerned by the audit, the results of such

missions and measures taken;

– The external audit missions carried at the initiative of the management or the Directors Board, stating, among other information, the subject of the mission, the main conclusions and the action plan undertaken by the Casablanca Stock Exchange.

PART SIX: COMPLAINTS

This section is devoted to the treatment of complaints received by the managing company, including the date of its receipt, the complainant, the subject and the measures taken.

PART SEVEN: Compliance with ethics rules

This section is devoted to the ethics rules applicable to the Casablanca Stock Exchange indicating, if any, all the breaches of the Code of Ethics.

Appendix Stock exchange managing company6 - Statement of margin calls

This statement outlines the highest levels of margin calls registered for a semester.

From ... to...

Date	BROKERAGE FIRM1	BROKERAGE FIRM2	BROKERAGE FIRM3	...
Month1	Amount 1	Amount 1	Amount 1	
	Amount 2	Amount 2	Amount 2	
	Amount 3	Amount 3	Amount 3	
Month3	Amount 1	Amount 1	Amount 1	
	Amount 2	Amount 2	Amount 2	
	Amount 3	Amount 3	Amount 3	
Month N	Amount 1	Amount 1	Amount 1	
	Amount 2	Amount 2	Amount 2	
	Amount 3	Amount 3	Amount 3	

Each brokerage firm retains the three highest amounts for each month of the target period.

Appendix Stock exchange managing company 7 - Statement of the penalties applied by the managing company to the brokerage firms

This statement outlines the penalties and damages incurred by the brokerage firms originally from a suspended operation during a given semester. It includes fines paid to the Casablanca stock exchange and the damages identified by the Casablanca stock exchange for the benefit of the brokerage firms' victim of the suspended operations.

From ... to ...

Brokerage firms	fines	Damages paid	Damages received

Brokerage firms: Specify the identity of the concerned brokerage firm

Fine: Sum of fines paid by the brokerage firm during the target period

Damages paid: Sum of damages paid by the brokerage firm

Damages received: Sum of damages received by the brokerage firm

Appendix Stock exchange managing company 8: Statement of the SRBM interface usage

This statement outlines the incidents that occurred during the processing of cash flow via the SRBM interfaces.

Nature of the incident	Nature of the incident	resolution	Impact on the production

Date of incident: Specify the date of occurrence of the incident

Nature of incident: Specify the nature of the incident (connection problems, submission problems etc.).

Resolution: Describe how the problem has been overcome

Impact on output: Specify the effects on production (delay in submission, statement manual sending etc.).

Appendix stock exchange managing company 9: Statement of payment incidents relating to the exchange clearing system

This statement outlines the incidents relating to the payment clearing system. These incidents may involve the types of flows: the margin calls, the complementary call, the initial contribution, the damages, and the difference in purchase and / or resale or termination clause.

The qualifying event for the payment incident and the identification by of the Casablanca stock exchange of insufficient provision which required a recovery from the stock market, without prejudice to the real solvency of the brokerage firm

Date	Brokerage firm	type flow	Amount	impact on the production	Follow-up

Date: The date of discovery of the incident

Brokerage firm: Name of the brokerage firm responsible for the incident

Flow Type: Margin Call, additional call, initial contribution, damages, differential acquisition and / or resale or cancellation clause

Amount: Amount called

Impact on production: Did that incident have an impact on production (Submission delay ...)

Follow-up: Decision taken by the Casablanca stock exchange (suspended brokerage firm, statements regeneration etc.).

Appendix stock exchange managing company10 – statement of the animation activity control

This statement notifies about the non compliance with the conditions for carrying out the animation activity by the concerned brokerage firms during the semester target.

session	Brokerage firm	value	Type of failure	Measure taken by the Casablanca stock exchange

Session: Session exchange in which the breach has been identified

Brokerage firm: Name of brokerage firm committing the breach

Se: Value affected by the animation

Type of failure: Nature's failure to comply (failure to comply with the frequency, quantity or range)

Appendix Stock exchange managing company11 - Statement of transactions canceled by the managing company

This statement outlines the transactions canceled by the Casablanca Stock Exchange at the request of a brokerage firm or its own initiative during the semester target.

From ... to ...

session	Value	Quantity	Price	Origine	Reason	The requesting Brokerage firm

Session: date of cancellation

Value: Name of the value that brought the cancellation

Quantity: Quantity of the transaction canceled

Prices: the transaction canceled

Origin: At the request of a brokerage firm or at the initiative of the scholarship

Reason: Reason for cancellation (processing error etc.).

The requesting brokerage firm: Name of the brokerage firm behind the cancellation request

Appendix Stock exchange managing company12 – Statement of the securities transactions processed by the managing company

This statement outlines the securities processed by the Casablanca stock Exchange during the target semester.

From ... to ...

Type of the security transaction	Processing date	Value	RP before adjustment	RP after adjustment

Type of Security transaction: Nature of the Security transaction (increase in capital, Split etc.).

Processing Date: Ex-dividend date

Value: Name of the security subject of the transaction

Reference price before adjustment: Reference price before adjustment on the stock exchange

Reference price after adjustment: Reference price after adjusting the stock market

Appendices V.2.10 : CENTRAL DEPOSITORY

Appendix CENTRAL DEPOSITORY 1 : Incident report Model

Identification de l'incident

Date of incident: Date of occurrence of the incident

Nature of incident: operational, technical, systems

Criticality: The level of criticality of the incident (low, moderate, major)

Deadline: Deadline for resolution of the incident

Incident Assessment

Cause of the incident: Identification of the origin of the incident

Description of Incident: Detailed description of the incident and all the measures taken since the identification of the incident till its resolution (chronology)

Impact of Incident: Describe the consequences of the occurrence of the incident the proper functioning of various processes or techniques (deferral of the session, delay in file generation ...)

Measures taken by the stock exchange managing company

Corrective measures: Detail all measures taken for the immediate resolution of the incident

Preventive measures: Detail the steps taken to prevent recurrence of the incident with their schedule of implementation

Other

Contact: Contact person for further information

Appendix CENTRAL DEPOSITORY 2: List of the CD contracts with service providers of the information systems

Name of provider	Type of service	Type of contrat	Date of signature	Due date

Appendix CENTRAL DEPOSITORY 3 : Directory of securities admitted in the CD transactions

Code Value type ¹³	Name of security type	Short Code	Code ISIN security	Name of the security	Form	Securities quantity	Issuer Code	Issuer Name	Face value	Security base code	Rate	Due date	Maturity date

¹³ Typology adopted by the Central Depository

Appendix CENTRAL DEPOSITORY 4: Directory of the CD affiliates

Affiliate Code	Affiliate name	Affiliation Type	Affiliate address	Affiliation date

Appendix CENTRAL DEPOSITORY 5 : List of suspended operations in the stock market

Processing date ¹⁴	Transaction Code ¹⁵	Transaction name	ISIN Code	Deliverer Code	Deliverer account N°	Delivered Code	Delivered account N°	Quantity	Net ammount of the transaction	Trade date	Date of P/D	Status code	Status namet ¹⁶	Contract N°

Appendix CENTRAL DEPOSITORY 6 : List of Bonds and negotiable debt securities

FUND RAISING AND REPAYMENT OF TREASURY BILLS / NEGOTIABLE DEBT SECURITIES (CD-BSF-BT) TO ...

security		New Admission	Assimilation	Repayment	Face value	Capitalization
ISIN	Full name					

¹⁴ Generation date of the file format dd / mm / yyyy

¹⁵ "0001" Code for operations " Transaction notice " and "0002" Code for "inter brokerage firms" operations

¹⁶ Registered, confirmed, Not covered, ready for settlement , Cash outstanding, totally covered, Waiting for coverage

FUND RAISING AND REPAYMENT OF BONDS TO ...

Security			Face value	Security Qty	Repaid security	Repaid Cap	Securities Qty	Security fundraising	Cap fundraising
Security type	ISIN	Full name							

TREASURY BILLS/ NEGOTIABLE DEBT SECURITIES CAP (CD-BSF-BT) TO ...

Security		Rate	Maturity date	Securities Qty	New Admission	Assimilation	Repayment	Securities Qty	Face value	Capitalization
ISIN Code	Full name									

BONDS CAPITALIZATION TO...

Security			Face value	Securities quantity	value	Capitalization	Securities Qty	Value	Capitalization
Security type	ISIN	Full name							

SUMMARY STATEMENT OF BOND AND EQUITY NEGOTIABLE DEBTS TO ...

	Commercial paper	Finance companies bills	Certificate of deposit	Treasury bills	Bonds
<i>Situation at the end of the month</i>					
<i>The month fundraising M1</i>					
<i>The month repayment M1</i>					
<i>Situation at the end of the month M1</i>					

Appendix CENTRAL DEPOSITORY 7: Semiannual activity report

Semester: January to June.... (Year)
July-December ... (year)

Person responsible for the activity report:
Function within the CD:
Phone Number:
E-mail:

The semi-annual report of the CD must retrace the main events associated with its activities and provide information on the development of its human, technical and organizational resources during the target semester. The report is divided into seven parts:

PART I: Semiannual Key events

This section describes the key events in the activity of the Central Depository during the target semester. These events may correspond, in a non restrictive way, to a new application, a new service to members, new regulations or new procedure that can have a significant impact on the operation of the Central Depository, on the services provided to members or the development of the securities market as a whole.

PART TWO: ACTIVITY KEY INDICATORS

This section presents the main indicators of the activity of the Central Depository during the semester in form of a statistical reports describing the general trends of its business, including:

- A situation of all the securities admitted in the Central Depository transactions in number and amount;
- A situation of current accounts affiliated with the Central Depository operations. This statement indicates the number of members by category (issuers, banks, brokerage firms, UCITS, other specify) the number and amount of open current accounts;
- A statement on securities transactions processed by the Central Depository. This statement must pay particular attention to the nature of securities transactions processed, to their number and their respective amounts.
- A statement of accreditation applications for financial intermediaries
- A statement of membership application in the CD
- The list of members who used the platform of e Back up of the CD or other affiliate because of their inability to use their platform
- Statement of official notices to the affiliates by the CD;

- Statement of penalties applied by the CD to its affiliates
- The list of terms entered into and / or terminated by affiliates

PART III: Human, organizational and technical resources

2.1 Human resources

The central Depository submits, on a semiannual basis, to the CDVM information about its human resources on the following areas:

- The current staff and its distribution by department;
- The people hired and departures and / or registered internal mobility;
- The rate of staff turnover;
- A description of the investments made by the Central Depository in terms of human resources.

2.2 Organizational Resources

The Central Depository submits to the CDVM information relating to its organizational capacity for the following areas:

- The functional organization of the Central Depository;
- The list of written procedures of the Central Depository;
- The job descriptions;
- A description of the investments made by the Central Depository in terms of organizational resources.

2.3 Material and Technical resources

The Central Depository submits to the CDVM information for its material and technical resources for the following areas:

- The air conditioning system;
- The security system of access to premises and guarding;
- The system of electrical safety;
- The system of information security;
- The archive system.

³⁰ Provide information about the trainings conducted and budget headings planned for the current year
³¹ specify in a dashboard the content of the procedure, version and date of the update

PART FOUR: INFORMATION SYSTEMS

3.1 Incidents and key events

The Central Depository submits, on a semiannual basis, to the CDVM the following information relating to its information systems:

History of incidents of the information system of the Central Depository during the target semester. It must indicate the date of the incident, its origin (technical problems, improper handling ...) and degree of occurrence (if the problem arises for the first time or if it recurrent, specify the frequency of occurrence). Subsequently, specify the measures taken, in terms either of internal intervention or use of an external service provider. In the latter case, specify his name and whether or not he is working as part of a predetermined maintenance contract.

- The measures undertaken either in terms of internal intervention or use of an external service provider
- The statement of tests conducted on the information system of the Central Depository during the target semester, indicating whether the tests were conducted internally or externally and providing the results of these tests;

3.2 Development and maintenance of information systems

The Central Depository submits to the CDVM information on the development and maintenance of information systems. This information relates to the following areas:

- The specific developments made to improve the internal organization, or required pursuant to a request of its affiliates or a change in regulation;
- the terms and conditions of maintenance of hardware and technical resources;
- The list of Central depository contracts with providers of services of information systems;
- The investments made by the Central Depository for the development and maintenance of information systems.

32 Indicate his name and if he is working as part of a maintenance contract predetermined

3.3 Safety and Protection of Information

The Central Depository submits to the CDVM information relating to safety and to safeguard of its data. This information relates to the following areas:

- The historical data backups performed;
- Restoring old backups Tests;
- The conducted intrusion tests.

PART FIVE: AUDIT AND CONTROL MISSIONS

This section deals with internal audits and monitoring conducted by the affiliates of the Central depository during the target period and describes as well:

- The internal audits carried or completed during the semester. This description should provide information on the subject of such missions, the Central depository services concerned by the audit, the results of these missions and the measures taken;
- The control missions conducted on the affiliates of the Central Depository, stating, among other information, the operative control of the major deficiencies detected and the action plan put by the Central Depository at the end of these missions, including measures taken by both the controlled affiliate and by the central depository in terms of sanctions or monitoring the regularization of the situation of the concerned affiliate.

PART SIX: PROCESSING COMPLAINTS

This section is devoted to the processing of complaints received by the Central Depository, stating, inter alia, the date of receipt of the complaint, the complainant, the concerned member, the purpose and the measures taken.

PART SEVEN: Compliance with code of ethics

This section is devoted to the ethical rules applicable to the CD indicating, if any, all the breaches of the Code of Ethics.

Appendix CENTRAL DEPOSITORY 8 : Statement of the assets managed by the CD

Affiliate Code	Affiliate name	Affiliation Type ¹⁷	Delegated affiliate Code ¹⁸	Name of delegated affiliate code	ISIN Code Value	Value name	Category value ¹⁹	Assets quantity	Assets amount	Clients assets Quantity	Clients assets amount	Total assets amount ²⁰

Appendix CENTRAL DEPOSITORY 9 : Statistics on transactions notices rejected by reason of refusal

ISIN value code	Value name	Netiator affiliate Code	Depository Affiliante Code	Order Qty	Executed Qty	price	Gross amount of the transaction	Brokerage firm reference	Depository reference	Market type	Direct ion ²¹	Trade date	P/D Date	Contract number	Order type ²²	Client name	Status ²³	Reason for refusal ²⁴

Appendix CENTRAL DEPOSITORY 10: List of operations over the counter (including turn around trade)

ISIN Code	Short name	Operation type	Delivrer code	Delivrer account number	Delivered code	Delivered account number	Qty	Net amount	Trade date	P/D Date	Order reference	BROKERAGE FIRM fees	CD reference	Status Code	Status name

¹⁷ Full-affiliated / delegated affiliated.

¹⁸ In case where the affiliate is "discretionary"

¹⁹ Indicate the categories of value name, either "Shares", "Bond", "Treasury bills", "UCITS", "negotiable debt securities", "CIF on Securitization" or indicate their code adopted by the Central Depository.

²⁰ According to the valuation method used by the Central Depository

²¹ Purchase/sale

²² Direct : « D » or network: « N »

²³ Code « AO Rejected » : 21, Code « AO accepted » : 30.

²⁴ The reasons of refusal provided by the CD.

Appendix CENTRAL DEPOSITORY 11 : List of free of payment transactions

ISIN Code	Short name	Operation type ²⁵	Delivrer Code	Delivrer account number	Delivered Code	Delivered account number	Q ty	Net amount	Trade date	P/D Date	Order reference	BROKERAGE FIRM fees	CD reference	Status Code	Status name

Appendix CENTRAL DEPOSITORY 12: The balance statement balances of the securities admitted in the CD and held with other foreign central depositories

ISIN Code	Value type	Value name	Quantity

Appendix CENTRAL DEPOSITORY 13 :Outstandings - Capitalization of assets managed by the CD

Number of managed securities		outstanding
Shares		
Bonds		
Treasury bills		
NEGOTIABLE DEBT SECURITIES		
UCITS		
CIF ON SECURITIZATION		
Total		

²⁵ Code « 0006 » : Transfer