

## **NNA-Profile, Austria (CSD)**

### **Profile of the Oesterreichische Kontrollbank AG (OeKB) in its capacity as the Central Securities Depository for the Austrian Capital Market (CSD.A)**

In Austria the NNA-service is part of a set of services of Oesterreichische Kontrollbank AG (OeKB). The CSD-service, provided by the Central Securities Depository Austria (CSD.A) is another service out of OeKB's range of services and a connection between NNA and CSD.A services seems to fit best for the purpose of an NNA profile.

a) Organization Name:

Oesterreichische Kontrollbank Aktiengesellschaft (OeKB)

b) Country/ Region:

Austria, European Union

c) Name of CEO:

Dr. Rudolf Scholten, Mag. Angelika Sommer-Hemetsberger

d) Capital (US\$):

130.000.000 EUR, 177,351,000 USD (28.5.2014)

e) Number of Officers and Employees:

Two Members of the Board of Executive Directors and 393 employees on average for 2014

f) Ownership and Governance:

OeKB is owned by several Austrian Banks.

CABET-Holding-Aktiengesellschaft, Wien; 24,75%

UniCredit Bank Austria AG, Wien; 16,14%

Erste Bank der oesterreichischen Sparkassen AG, Wien; 12,89%

Schoellerbank Aktiengesellschaft, Wien; 8,26%

AVZ Finanz-Holding GmbH, Wien; 8,25%

Raiffeisen Zentralbank Osterreich Aktiengesellschaft, Wien; 8,12%

other credit institutions; 21,59%

g) Brief History

OeKB AG is a financial services provider in the Austrian banking industry. OeKB was founded on 22 January 1946 to provide specialized banking services. It has its registered office in Vienna. More information on history and strategic positioning is available from the annual report 2013 on the internet at <http://www.oekb.at>.

h) Types and number of Participants

CSD.A's participants are 80 banks (including 17 foreign banks), 8 brokers (including 6 foreign brokers) and 12 (I)CSDs (including 11 foreign (I)CSDs).

i) Regulatory Environment

Austrian Financial Market Authority (FMA)  
European Central Bank (ECB)  
Austrian National Bank (OeNB)  
Laws and Regulations applicable in Austria

j) Stock Exchanges

Vienna Stock Exchange

k) Other CSDs or clearing organization in your country

No CSD besides CSD.A; Clearing organization: Central Counterparty Austria (CCP.A)

l) Services Provided

**CentralSecuritiesDepository.Austria**

For almost 48 years, OeKB has acted as the Austrian central securities depository, known as CSD.Austria. CSD.Austria provides collective custody of securities. A book entry transfer of securities at CSD.Austria eliminates the need to move physical securities. Instructions for securities transfers are generally placed electronically through OeKB's DirectSettlement.Advanced (DS.A) system.

Through collective custody, banks that maintain accounts at CSD.Austria gain the benefits of heightened efficiency and security in the safekeeping and administration of securities.

At 31 December 2013, CSD.Austria held 23,100 classes of securities for 146 depositorso .

**Besides CSD Services** OeKB also provides the Market with **many other services** for banks, corporates, investment companies, pensionfunds, datavendors etc:

Export Services: <http://www.oekb.at/en/export-services>

Capital Market Services: <http://www.oekb.at/en/capital-market>

#### **CentralSecuritiesDepository.Austria**

m) Eligible Securities

No legal restrictions.

n) Corporate Action services Provided?

Yes,

##### **A. Income**

- (1) Redemption upon maturity
- (2) Crediting the amounts due
- (3) Currency conversion
- (4) Withholding tax
- (5) Corporate action confirmations (cash payments)
- (6) Compensations

##### **B. Corporate Actions**

- (1) Administrative measures relating to Securities
- (2) Credits and debits on Securities Accounts and Cash Accounts in the case of corporate actions affecting all holders of the securities
- (3) Instructions to CSD.Austria relating to participation in corporate actions
- (4) Corporate action confirmation
- (5) Compensations
- (6) General Meetings Services

o) Value of Securities in Custody (US\$) in thousand:

Approx. 507 billion Euro

p) Amount of Cash Settled per annum (US\$) in thousand:

N.a.

q) Percentage of Securities Immobilized/ Dematerialized:

Approximately 90%

r) Market Capitalization/ Trading volume per annum (US\$):

N.a.

s) Total Revenue/ Expense and Net income Per annum (US\$):

N.a.

t) Memorandum of Understanding/ Business Agreement (Date)

N.a.

u) Cross-Broader Transaction (Counterpart)

N.a.

v) Withholding Tax Treatment of Cross-Border Trading Transactions (Details)

N.a.

w) DVP Implementation (Yes/No)

Yes.

x) Settlement Period

T+3.

y) Contact Information

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