



---

## **New services and improvement of electronic communications with clients**

**OLGA BAZHYNOVA**  
Head of Client Services, NDU

## DEPEND: GO LIVE!

**UAH 1.7 trillion**  
**(\$68 billion)**

Total assets moved from the legacy recordkeeping platform

**2.9 million**

owner accounts

On **30 September 2019**, a new IT platform designed by **Percival Software Limited**, a British developer and vendor of advanced CSD software solutions, was put into commercial operation:

- Changes in the laws
- Implementation of the European post-trade standards in the Ukrainian securities market
- Possibility for depository institutions to use an alternative software solution
- Market-wide system testing
- Training seminars for market players
- System launch and data migration

# ASSESSMENT OF OBSERVANCE OF THE PRINCIPLES FOR FINANCIAL MARKET INFRASTRUCTURES (PFMI)

## Broadly Observed

NDU broadly observes the PFMI

(1 principle is fully observed;

7 principles are broadly observed; and

6 principles are partly observed)

In 2019, **Thomas Murray** assessed NDU's observance of the CPMI-IOSCO Principles for Financial Market Infrastructures (PFMI), as an important step towards ensuring the transparency and credibility of the systemically important infrastructure element of the Ukrainian market.

In 2020, NDU continues implementing Thomas Murray's recommendations to improve its observance of the PFMI.

# WEB-SERVICE "CLIENT CABINET"

**>60%**

of active clients have chosen that channel for communications with the CSD.

**All depository institutions** operating in Ukraine use the Client Cabinet web-service.

Since 2017, Ukraine's CSD offers its clients the **Client Cabinet**, an advanced, quick, and secure system for remote client services, implemented as a web-based app.



Issuance of instructions



Receipt of documents

*using a qualified electronic signature and seal (if any); such instructions/documents are legally binding*

NDU is working hard to expand the functionalities offered by the Client Cabinet web-service to digitalize all potential transactions.

# POSSIBILITIES OFFERED BY THE CLIENT CABINET WEB-SERVICE

Give instructions to disclose beneficial owners of registered securities

---

Have access to documents on a 24/7 basis

---

Deposit a global certificate online

---

Have access to accounts managed by the issuer / account manager / authorized trustee



Give instructions to execute book-entry securities transfer transactions

---

Receive information on account transactions and balances

---

Give instructions to pay income (redemption proceeds) from securities

---

Give notices to shareholders via Ukraine's depository system

---

Receive statements of services provided by NDU

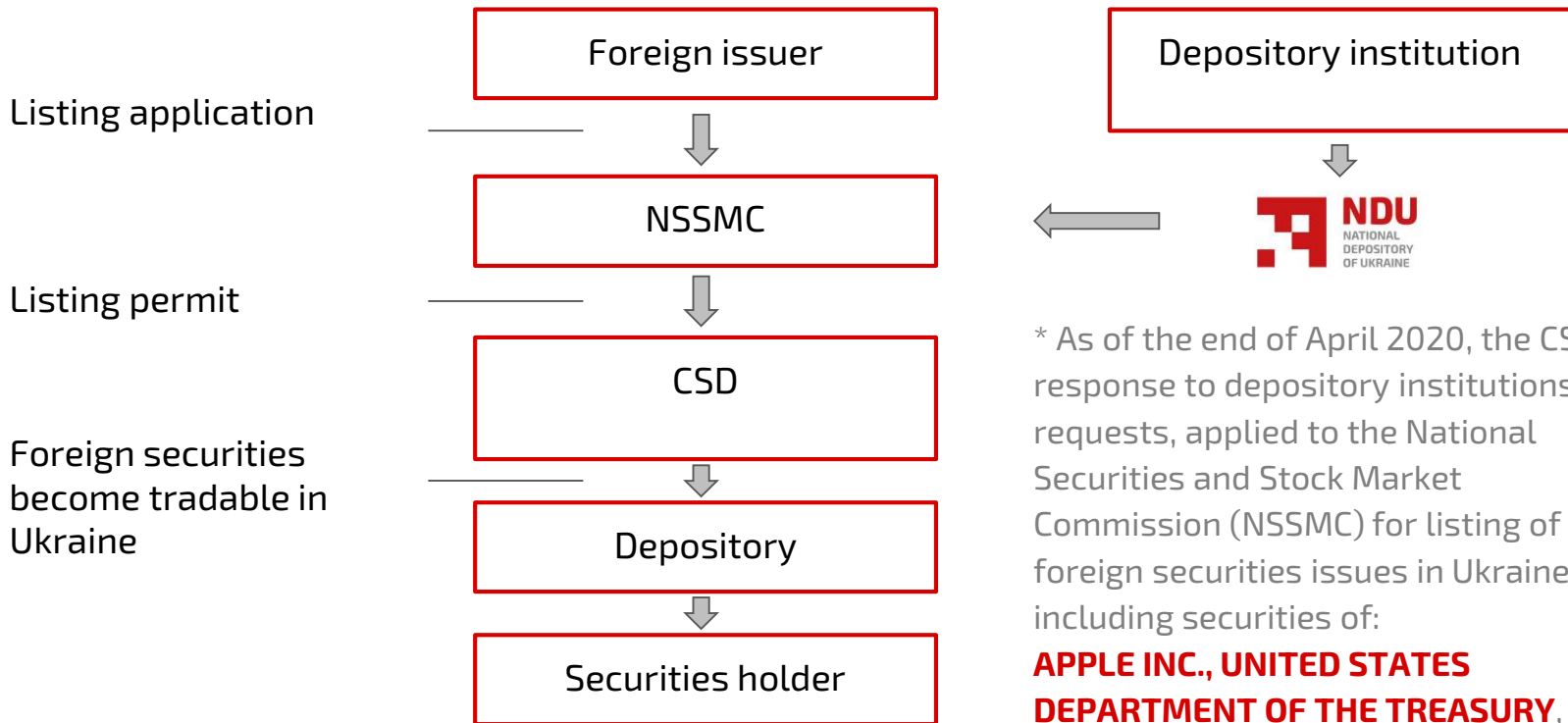
## WEB-SERVICE "MEETING PORTAL"

Amid the quarantine, Ukraine's CSD offers issuers the following services:



- Notification of shareholders via Ukraine's depository system
- Compiling a list of beneficial owners to be notified of a general meeting, and a list of shareholders entitled to attend the meeting
- Remote services for general meetings

# LISTING OF FOREIGN SECURITIES FOR TRADING IN UKRAINE



# ONLINE SERVICES ON NDU'S WEB SITE



For convenience of our clients, they are able to receive information on the status of **any** instructions and a statement of services provided by the CSD

Сервіс перевірки статусів розпоряджень на складання реєстра власників іменних ЦП

**i** Увага! На сторінці можуть бути відображені лише дані з датою обліку після 30.09.2019.


Для перевірки статусів розпоряджень необхідно:

1. Ввести Код ЄДРПОУ / ЄДРПОУ-ЄДРІСІ Емітента.
2. Ввести дату обліку.
3. Ввести вихідний номер документа Клієнта.
4. Натиснути кнопку "Почати пошук".

Код ЄДРПОУ \*

Код ЄДРІСІ

Дата обліку \*

 Номер вих. документа \*

Captcha \*

 Я не робот   
reCAPTCHA  
Конфідційність - Умови використання

**Почати пошук**



# NATIONAL CALL CENTER (IVR) & HELPDESK

## IVR

Quick and easy-to-use menu navigation

---

Frequently asked questions go first

---

Less information in the IVR system

---

Service quality assessment

---

Opportunity to leave a voice message or feedback

---

Quick call transfer to a call center operator

## Helpdesk

Support ticket creation

---

Availability of a team coordinator responsible for a particular area

---

Monitoring of responses and time required to give responses

---

Escalation procedure

---

Enquiry monitoring

**Internal CRM** is designed to automate business processes to save time when providing services or advice to clients, using an enterprise information system that brings together all information needed for NDU's employee to provide services to a particular client.



**Thank you for your attention!**

Tel.: +38 044 363-04-01, ext. 7833

E-mail: [o\\_bazhynova@csd.ua](mailto:o_bazhynova@csd.ua)