

1. Services (as listed in section V of Code)	2. ECSDA proposed sub-sections to ease completion conversion table	3. Complete which tariff sections/captions refer to which service (one caption per row - insert as many rows as required)	4. Reference to tariff brochure - (page or paragraph number)	5. Fees charged to (issuer or its agent, intermediary, end investor, other)	6. Service description (in summary or reference to existing documents)	
<b>Account provision &amp; Asset Servicing</b>	Opening and maintenance of securities accounts	Art.V - Members of CDCP; Art. VI - Administration of securities accounts	Art. V, item 1b, 2, 3 and 4; Art. VI item 1, 5a and 10	Art. V -intermediary; Art. VI - end-investor	Art.V -opening and maintenance of different types of accounts for CDCP members and non-members; Art. VI - opening and administration of owner's account for end-investor at CSD level	
	Closing the securities accounts	free				
	CSD membership	Members of CDCP	Art. V, items 5, 6, 7	intermediary	fee for granting the membership or fee for taking over the registration from other member which terminated its membership	
	Asset servicing dematerialised securities	service not provided				
	Asset servicing physical/immobilised securities	service not provided				
	Proxy voting	service not provided				
	Withholding tax services	not included in fee schedule - price agreed bilaterally			issuer	service not requested by issuers, but included in depository's service portfolio
	Other - Services associated with registered physical shares	Registered shares in paper form	Art. IV		issuer, other	fee for admission of the list of shareholders to the CSD registration, change of the shareholder and for related services; related services can be charged also to persons other than the issuer;
	Other - Central paying agent	not included in fee schedule - price agreed bilaterally			issuer	service not requested by issuers, but included in depository's service portfolio
	<b>Establishing securities in book-entry form</b>	Issuance of dematerialised securities	Issuer's register for book-entry securities	Art. III, item 1, 2, 3, 4 and 5, (6)	issuer	registration of book-entry securities issue; items 2 and 3 - discounts on bonds and T-bills issues; items 4 and 5 - discounts on equities issues; surcharge for express registration of issue at issuer's request (item 6)
Redemption/cancellation dematerialised securities		Issuer's register for book-entry securities	Art. III, item 12, 15, 8, 21	issuer	cancellation of book-entry securities issue	
Deposit physical securities in book-entry form (immobilisation)		service not provided				
Withdrawal physical securities from book-entry system		service not provided				
Other - Services for immobilised securities		Issuer's register for book-entry securities	Art. III, item 23		issuer	fees for dematerialised securities under Art.III are applicable also to immobilised securities
Other - Services related to administration of book-entry securities issue	Issuer's register for book-entry securities	Art. III		issuer	other services related to administration of securities issue - e.g. change of requisits of securities issue, statement of issuer's registry, etc.)	
<b>Clearing and Settlement (including verification)</b>	Verification (matching)	Transfers and transitions of securities	Art. VII, item 4, 5	Art. VII item 4: intermediary; Art.VII item 5: end-investor	fee for placing a half-instruction paid by both counterparties;	
	Settlement netting	not charged separately for				
	Clearing and settlement for OTC transactions DVP	Transfers and transitions of securities	Art. VII, item 1, 2, 2a and 6 b)	intermediary	fee for DVP settlement is split to fee for securities transfer (item 1, 2, 2a) and fee for securities clearing and financial settlement (item 6b);	
	Clearing and settlement for OTC transactions FOP	Transfers and transitions of securities	Art. VII, item 1, 2, 2a and 4 or item 5	item 1, 2, 2a, 4: intermediary item 5: end-investor	fee for FOP settlement is a fee for securities transfer payable by CSD participants (item 1, 2, 2a, 4) or by end-investor (item 5);	
	Clearing and settlement for Stock Exchange transactions DVP	Transfers and transitions of securities	Art. VII, item 1, 2, 2a and item 6a)	stock exchange	fee is split to fee for securities transfer (item 1, 2, 2a) and fee for clearing and financial settlement (item 6a);	
	Clearing and settlement for Stock Exchange transactions FOP	Transfers and transitions of securities	Art. VII, item 1, 2, 2a	stock exchange		
	Own account transfers	Transfers and transitions of securities	Art. VII item 1, 3	intermediary	item 3 is applicable to transfers executed in members' own registration;	
	Other - Transition of securities	Transfers and transitions of securities	Art. VII, item 8	intermediary, end-investor	transfer of inherited securities, transfer of securities based on decision of other state body etc.	
<b>Securities Lending and Borrowing</b>	Fail related SLB	service not provided				
	Other	n/a				
<b>Collateral management</b>	Collateral management related to collateralisation of central bank liquidity	service not provided				
	Other	n/a				
	Management of guarantee funds	service not provided				
<b>Credit provision</b>	service not provided	n/a				
<b>Communication (note: not in Code)</b>	Technical communication set-up and maintenance	Members of CDCP	Art. V, item 11, 12;	intermediary	fee for installation of systems and service works charged to clients if performed on site in foreign country	
<b>Other</b>	Services of the National Numbering Agency	National Numbering Agency	Art. II	issuer	Assigning, deletion and modification of ISIN	
	Registration of pledges	Register of pledges and registration of fiduciary transfers	Art. VIII	depending on instructing person	Registration of pledge in the register of pledges and related services	
	Registration of fiduciary transfers	Register of pledges and registration of fiduciary transfers	Art. VIII	depending on instructing person	Registration of fiduciary transfer in special registration and related services	
	Miscellaneous	Various	Art. IX	depending on type of service	miscellaneous services e.g. performance of corrections in the database, provision of information from the database, complaints handling, information provided from archived documents, etc.	
	Information duties in compliance with the Act on Securities and Investment Services	Various / Information duties and classified information	Art. IX, items 5-10	depending on type of service	Information provided to entities pursuant to the Act and other services	

## Guidelines for completion conversion table

### General

	Please put your entity's name in the header of the table and on the worksheet tab
<b>Column 1</b>	The list of services corresponds to the one from the Code of Conduct and uses the Commission definition (if any). The Commission definitions are repeated in worksheet 3
<b>Column 2</b>	Provides guidelines on which subsections belong to the defined services. As the list is not exhaustive, the "other" category may need to be used.
<b>Column 3</b>	<p>The table should at least include tariff captions that related to domestic equities. CSDs can decide to cover all asset classes</p> <p>All captions of the tariff (related to domestic equities) should be introduced in the table; if they cannot be allocated to a specific service, introduce them in the "other" category</p> <p>If you combine various tariff captions into one entry (e.g. because otherwise too many lines appear), clarify this</p> <p>To the extent possible, ensure that you use exactly the same wording as the text in your tariff brochure</p>
<b>Column 4</b>	Use column 4 to make the link to the tariff brochure as clear as possible
<b>Column 5</b>	Specify to whom the fees are charged. Four possibilities: issuers (or their agent), intermediaries, end investor and other
<b>Column 6</b>	Optional. Includes short service description, explanation of acronyms, or a reference to service description documentation

### Guidelines related to services

	<p>Reporting charges should be included in the relevant service caption, not in the other category</p> <p>If a certain line of the table is not applicable to your CSD, please complete with "service not offered" or "service not charged for separately"</p>
<b>Account provision and Asset servicing</b>	Should include all standard charges that are related to opening and maintaining securities accounts (e.g. membership fees, minimum fees, annual fees, etc) as well as holding and administrating securities on those accounts including special event driven asset services (proxy, Tax & other)
<b>Establishing securities in book-entry form</b>	Includes services to issuers in the issuance (redemption/cancellation) of their securities as well as the deposit (withdrawal) of physical securities; the other category may include registration services (if applicable)
<b>Clearing and Settlement (including verification)</b>	Should at least include domestic, internal settlement. CSDs may decide to also include external settlement .
<b>Securities Lending and Borrowing</b>	This caption should includes all types of SLB but makes the difference between fail related SLB and other forms of SLB offered
<b>Collateral Management</b>	Should include all collateral management services but make the difference between collateral management related to central bank liquidity provision and other collateral management services as well as services (operational, risk management, etc) related to running guarantee-type of funds for their members or third parties
<b>Communication</b>	Includes technical set-up and maintenance of communication network; can also include (re-)charges of network provider fees
<b>Other</b>	Other section should contain all services that cannot be classified in the above categories so that all captions of tariff brochure are shown in conversion table

Services	Commission definition
<b>Account provision</b>	The maintenance of securities accounts
<b>Establishing securities in book-entry form</b>	The initial representation and subsequent maintenance of securities in book-entry form through initial credits and subsequent credits or debits to securities accounts, on the basis of: (a) the information provided by the issuer or its agent; or (b) the number of physical securities on deposit
<b>Asset Servicing</b>	Securities administration activities performed for others , e.g. processing of corporate actions, tax reclaims and portfolio valuation
<b>Deposit</b>	The storage of physical securities on behalf of others
<b>Verification</b>	The process of comparison and reconciliation of transaction or settlement details, to ensure that there is agreement on these details
<b>Clearing</b>	The process of establishing settlement positions, possibly including the calculation of net positions, and the process of checking that securities, cash or both are available
<b>Settlement</b>	The act of crediting and debiting the transferee's and transferor's accounts respectively, with the aim of completing a transaction in securities