



Centrálny depozitár cenných papierov SR, a. s.

**SCALE OF FEES
OF CENTRÁLNY DEPOZITÁR CENNÝCH PAPIEROV SR, A. S.,
EFFECTIVE FROM 1 July 2018**

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Article I. Definitions and explanation of selected terms

In case following terms are used in other provisions of all parts of the Scale of Fees, these terms have the meanings set out below:

Account	owner's account or holder's account
Act	Act No 566/2001 (Coll.) on Securities and on Investment Services and on Amendments and Supplements to certain acts as amended by later legislation
BSSE	Bratislava Stock Exchange, jsc.
CDCP	Centrálny depozitár cenných papierov SR, a.s.
CP	security/securities
CS	identification code of securities with prefix CS
CSDR Regulation	Regulation No. 909/2014 of the European Parliament and of the Council of 23 July 2014 on improving securities settlement in the European Union and on central securities depositories and amending Directives 98/26/EC and 2014/65/EU and Regulation (EU) No 236/2012
ČEM	complementary code of an issue of registered paper-form shares, which is issued for purpose of keeping list of shareholders
DCP	Directly Connected Party in T2S
debt securities	all types of bonds, investment certificates and treasury bills
FI	financial instrument /financial instruments
holder's account	account opened pursuant to § 105a of the Act
ISIN	international securities identification number
LCP	paper-form securities
maturity period of bond	time period from start of bonds issuance to maturity date pursuant to issuance conditions
NV	nominal value
owner's account	owner's account opened pursuant to §105 and §164a of the Act
PL, units of unit trust	securities issued pursuant to act No. 203/2011 Coll. on Collective Investment as amended by later legislation
Scale of Fees	Scale of Fees of Centrálny depozitár cenných papierov SR, a.s.
T2S	Target2-Securities
unit price	basic price in euro for concerned value of the issue + percentage from value of securities issue
value of the securities issue	nominal value x number of securities /FI excluding units of a unit trust
value of issue of units of unit trust	number of shares per one unit of unit trust x initial value of one share x number of units of unit trust
ZCP	book-entry security /book-entry securities

1. The Scale of Fees includes prices for main and ancillary services provided by CDCP according to the list and division of services published on CDCP web page from moment when authorisation granted to CDCP pursuant to article 16 of CSDR Regulation becomes effective.

2. When sending the outputs of information services to natural and legal persons, a part of service is the postage of C.O.D according to the valid Scale of Postage Fees of the Slovak Post Office as well as all fees related to the transfer of payment to individual accounts **(Code CD-10306 - Postage according to the Scale of Postage Fees of the Slovak Post Office)**.
3. The payment for provided services is made on the basis of an issued invoice by means of cash transfer, cash on delivery, or possibly in cash at working place of the Business Services Department based on an issued receipt. In case the total price for services provided is higher than € 400 without VAT, CDCP has right to ask for advance payment in amount of € 400 in cash and remainder via an invoice. Members of CDCP pay for provided services via issued invoice.
4. In case of a request for services, job performance and statistical data from the CDCP's registry not included in this Scale of Fees, but related to the CDCP's scope of activity, the price for such services shall be determined through an agreement between the client and the CDCP **(Code CD-10307– Other services related to activities of CDCP)**.
5. In case the service was not executed successfully (ends with an error return code), the price for such service shall only be equal to the basic price, unless otherwise is stated in the Scale of Fees.
6. In case the nominal values of securities are specified in SKK, for purpose of this Scale of Fees the nominal values are converted into EUR by conversion rate 30.1260 SKK /1 EUR.
7. For securities issued in a currency other than euro applies that CDCP shall convert volume of securities issue using the exchange rate of the currency to euro set by the National Bank of Slovakia on the date of calculation.
8. For services of CDCP provided on the basis of a written agreement (in particular issue registration, issue cancellation, etc.) the agreement shall specify the price for provided service and terms of payment or pricing method. The price specified in the agreement need not be final and depends on the client's further requests for the performance of services.
9. For services provided on the basis of a written agreement CDCP reserves the right to issue for concerned services an invoice for advance payment and to perform the services only after the advance payment is received. CDCP also reserves the right, in compliance with the provisions of concluded agreement, to provide services only after the customer settles all overdue obligations it has towards CDCP.
10. In compliance with the Act No. 222/2004 (Coll.) on Value Added Tax in current wording CDCP adds, in the moment of service provision, a value added tax to the final price of the service, except services exempted from value added tax (hereinafter only "VAT").
11. The final price of provided services shall be rounded off in compliance with the Act No. 18/1996 (Coll.) on Prices in wording of later legislation.
12. Provisions of this Scale of Fees shall apply to securities issued pursuant to legislation of the European Monetary Union in the same way as they apply to securities issued in accordance with law of the Slovak Republic and CDCP shall execute services related to issuance of such securities free of charge pursuant to the community agreement on supporting monetary mechanisms of the European Union.
13. CDCP reserves the right to state in its invoices a code of service or an abbreviated name of the service.

Article II. Table part

1. National Numbering Agency

CDCP shall assign and cancel CFI and FISN codes together with assigning and cancelling the ISIN code.

Item	Service Name	Service Code	Price in € (w/o VAT)
1.1	Assignment of identification code ISIN (CFI, FISN)	CD-1001	150,00
1.2	Change of particulars in the identification code ISIN, CFI, FISN *	CD-1002	30,00
1.3	Cancellation of identification code ISIN (CFI, FISN)	CD-1003	30,00

* Price per request for service regardless on number of changes in one or more identification codes.

2. Issue of book-entry securities

- Unless stated otherwise, the fees are applicable to security issues with the nominal value and also without the nominal value.

2.1 Issuer

Item	Service Name	Service Code	Price in € (w/o VAT)
2.1.1	Opening of issuer's registry for book-entry securities	CD-2101	165,00
2.1.2	Change in data on issuer (change in trade name, issuer's name, seat in the issuer's registry and person of the issuer, except change in postal code which is free of charge)	CD-2102	165,00
2.1.3	Cancellation of issuer's registry		Free of charge

2.2 Securities Issue

Item	Service Name	Service Code	Price in € (w/o VAT)
2.2.1	covered bonds	CD-2201a	Price according to the table in 2.2.3.
	government bonds	CD-2201b	
	treasury bills	CD-2201c	
	bonds issue to the issuer's registry *	CD-2201d	
	other bonds and investment certificates	CD-2201e	
2.2.2	Price for issuance of bonds per month **	CD-2202	
2.2.3	Volume of issue from – to in €	Unit price in € Basic price + % of value	Price for max value of the issue in €
	To 331 000,00	66,00 + 0,100%	397, 00
	331 000,01 - 1 659 000,00	397,00 + 0,050%	1 061,00
	1 659 000,01 - 3 319 000,00	1 061,00 + 0,045%	1 808,00
	3 319 000,01 - 16 596 000,00	1 808,00 + 0,040%	7 118,80
	16 596 000,01 - 33 193 000,00	7 118,80 + 0,035%	12 927,75
	33 193 000,01 - 331 939 000,00	12 927,75 + 0,030%	102 551,55
	331 939 000,01 - 2 000 000 000,00	102 551,55 + 0,023%	486 205,58
	2 000 000 000,01 and more	486 205,58 + 0,020%	max. 600 000,00
Calculation example in € :			
number of securities = 1 200 units, Nominal value = 33 193,92 EUR. Price for issue registration: $[(1\ 200 \times 33\ 193,92) - 33\ 193\ 000,00] / 100 \times 0,03 + 12\ 927,75 = \text{€ } 14\ 919,66$			

<p>Price stated in the table is multiplied for an issue of other bonds with maturity period: a) to 12 months (including) by coefficient 0.2; b) from 12 to 24 months (incl.) by coefficient 0.4; c) from 24 to 36 months (incl.) by coefficient 0.6.</p> <p>Price stated in the table is multiplied for covered bonds with maturity period: a) to 12 months (including) by coefficient 0.9; b) from 12 to 36 months (incl.) by coefficient 0.8; c) above 36 months is not multiplied by any coefficient.</p> <p>Price stated in the table is multiplied by coefficient 0.4 for an issue of treasury bills.</p>																		
<p>Price for government bonds and investment certificates is calculated only from the table 2.2.3.</p>																		
<p>Premature redemption of debt securities shall not influence the final price for an issue registration.</p>																		
<p>When issue of bonds is issued in tranches, the price is calculated pursuant to the table in item 2.2.3 of the Scale of Fees, whereas applies that if value of the multiplication coefficient which should be used for calculation of the fee depends on the maturity period, then the difference between maturity date of the securities issue and date as of which registration of increase in number of units of the bonds is required, as specified by the issuer in the agreement, shall be used to determine the maturity period.</p>																		
<p>* In case the maturity period of bonds is longer than 12 months and value of the issue is € 500 000 000 or more, price for registration of bonds issue to the issuer's registry is 100 €.</p>																		
<p>** In case the maturity period of bonds is longer than 12 months and value of an issue is € 500 000 000 € or more, CDCP shall send an invoice with price for issuance/crediting of bonds from relevant issue to the issuer once per month; the price is calculated pursuant to the table 2.2.3, whereas basis for fee calculation is value of bonds which were credited to the accounts during previous month based on an instruction from the issuer; maximal price for entire bonds issue is € 600 000.</p>																		
<p>➤ CDCP shall provide a discount of 50% of the price according to the table 2.2.3 if the issuer undertakes to introduce an issue of bonds to trading on the listed market of BSSE within three months from the registration date. If the condition from the first sentence is not met, the issuer is obliged to pay additional price equal to the provided discount. Provisions of this paragraph do not apply to government bonds and covered bonds.</p>																		
2.2.4	Registration of issue of units of unit trust	CD-2204	Price according to the table 2.2.5.															
2.2.5	<table border="1"> <thead> <tr> <th>Volume of issue from – to in €</th> <th>Unit price in € Basic price + % of value</th> <th>Price for max value of the issue in €</th> </tr> </thead> <tbody> <tr> <td>To 1 659 000,00</td> <td>33,00 + 0,010%</td> <td>198,9</td> </tr> <tr> <td>1 659 000,01 – 3 319 000,00</td> <td>198,90 + 0,009%</td> <td>348,3</td> </tr> <tr> <td>3 319 000,01 – 16 596 000,00</td> <td>348,00 + 0,008%</td> <td>1 410,46</td> </tr> <tr> <td>16 596 000,01 and more</td> <td>1 410,00 + 0,007%</td> <td>max.2 500,00</td> </tr> </tbody> </table>		Volume of issue from – to in €	Unit price in € Basic price + % of value	Price for max value of the issue in €	To 1 659 000,00	33,00 + 0,010%	198,9	1 659 000,01 – 3 319 000,00	198,90 + 0,009%	348,3	3 319 000,01 – 16 596 000,00	348,00 + 0,008%	1 410,46	16 596 000,01 and more	1 410,00 + 0,007%	max.2 500,00	
	Volume of issue from – to in €	Unit price in € Basic price + % of value	Price for max value of the issue in €															
	To 1 659 000,00	33,00 + 0,010%	198,9															
	1 659 000,01 – 3 319 000,00	198,90 + 0,009%	348,3															
	3 319 000,01 – 16 596 000,00	348,00 + 0,008%	1 410,46															
16 596 000,01 and more	1 410,00 + 0,007%	max.2 500,00																
<p>Calculation example in € :</p>																		
<p>Qty. of securities = 65 000 units; Initial value of one share = € 33,19; qty. of shares (units) per one security = 1 unit. Price for issue registration: $[(65\ 000 \times 33,19 \times 1) - 1\ 659\ 000,00] / 100 \times 0,009 + 198,90 = 243,75\ €$</p>																		

2.2.6	Registration of an issue of shares and other securities *	CD-2206	Price according to the table 2.2.7.
2.2.7	Volume of issue from – to in €		Unit price in €
			Basic price + % of value
	A	B	C
	D		
			Price for max value of the issue in €
	To 16 596 000,00	165,00 + 0,10%	16 761,00
	16 596 000,01 – 33 193 000,00	16 761,00 + 0,08%	30 038,60
	33 193 000,01 and more	30 038,60 + 0,06%	max. 165 900,00
Calculation example in €:			
number of securities = 1 200 units; Nominal value = 33 193,92 in €. Price for issue registration: $[(1200 \times 33\ 193,92) - 33\ 193\ 000,00] / 100 \times 0,060 + 30\ 038,60 = \text{€ } 34\ 022,42$			
* The price will be used also for registration of security issue without the nominal value within the registered capital. In case of the issue of shares without the nominal value, value of the registered capital will be used to define value of the security issue.			
➤ CDCP shall provide a discount of 40% of the price according to the table 2.2.7, if the issuer undertakes to introduce a share issue to trading BSSE listed market within three months from the registration date. If the condition from the first sentence is not met, the issuer is obliged to pay an additional price equal to the provided discount.			
➤ In case of increase of registered capital by change of number of units, or by concurrent change in number of units and change in the nominal value of the security, or if the registered capital is increased by change in number of units of shares without the nominal value, the price is calculated based on the table 2.2.7.			
2.2.8	Change in data on an issue (decrease in number of securities units, change in the nominal value or form of security, registration or cancellation of restriction of negotiability). In case of decrease in number of units of securities, number of securities calculated as difference between original and new number of securities shall be used. <i>(Change in data on securities issue)</i>	CD-2208	165,00 + 0,003 for each security, max. 5 000,00
2.2.9	Change of the nominal value and concurrent change in number of units of book-entry securities, whereas value of securities issue remains the same. <i>(Change in data on securities issue)</i>	CD-2209	165,00 + 0,003 for each security, max. 5 000,00
2.2.10	Change of currency from SKK to € - for book-entry securities, in case number of units is not changed <i>(Change in data on securities issue)</i>	CD-2210	165,00 + 0,003 for each security, max. 5 000,00
2.2.11	Change in short name of a securities issue, further specification of type of shares or bonds, marking of negotiability or marking of termination of bond <i>(Change in data on securities issue)</i>		Free of charge
2.2.12	Cancellation of registration of securities issue * <i>(Cancellation of securities issue)</i>	CD-2212	33,00 + 0,007 for each security, max. 50 000,00
2.2.13	Crediting of securities to an account ** <i>(Settlement instruction)</i>		Free of charge

2.2.14	Debiting of securities from an account (<i>Settlement instruction</i>)	CD-2214	1,65/ISIN in owner's account
2.2.15	Sending of change statement after crediting of securities to or debiting of securities from an account		Free of charge
2.2.16	Registration / termination of Disposal Right Suspension over securities pursuant to §28, Section 3, item e) by change of issue status (<i>Change of data in the securities issue</i>)	CD-2216	16,60
* In case of cancellation of registration of securities issue of an issuer that is in liquidation, the issuer is charged only price according items 2.2.14 and 2.3.1.			
** Applies also in case of crediting of shares without the nominal value within the registered capital. If securities are credited to an account via DvP settlement instruction, price is calculated pursuant item 7.1.			
2.2.17	Registration of an issue of shares without the nominal value over the registered basic capital	CD-2217	100,00/ISIN
2.2.18	Crediting of shares without the nominal value to an account over the registered basic capital	CD-2218	1,65/ISIN in acc.
2.2.19	Movement of securities issue pursuant to §107 of the Act from the issuer's registry administered in CDCP	CD-2219	Price purs. to item 2.2.12 and 2.2.14
2.2.20	Movement of securities issue pursuant to §107 of the Act to the issuer's registry administered in CDCP	CD-2220	Price purs. to item 2.2.1, or 2.2.2 or 2.2.4, or 2.2.6
➤ In case subject matter of one agreement is covering multiple changes of security particulars, price for change of security particulars is calculated only once.			
➤ In case subject matter of one agreement/supplement to the agreement is covering multiple changes in data on security issue, price for change in data on security issue is calculated only once.			

2.3 Information services

Item	Service Name	Service Code	Price in € (w/o VAT)
2.3.1	Excerpt from issuer's registry	CD-2301	16,60
2.3.2	Finding the issuer's registration No. based on IČO/ birth reg. number (<i>Excerpt from data on entity</i>)	CD-2302	3,30
2.3.3	Statement of basic data on an issue for the issuer (<i>Excerpt from data on securities issue</i>)	CD-2303	3,30
2.3.4	Retrieval of all registered securities issues for entitled person * (<i>Retrieval of all registered securities issues</i>)	CD-2304	3,30
2.3.5	List of securities owners in electronic form (list issued as of current date, or as of previous date)	CD-2305	110,00 + 33,00 per required ISIN
2.3.6	List of securities owners in electronic form – output in printed form (price does not include item 2.3.5)	CD-2306	16,50 per ISIN

2.3.7	<p>List of securities owners owning 5% or more of all securities issues admitted to regulated market</p> <p>Price is determined according to subscription period (annual license fee):</p> <p>a) daily – information as of previous day is provided from 10 AM of respective business day;</p> <p>b) monthly – information for previous month is provided on first business day of following month;</p> <p>c) annually – information for previous year is provided at the turn of the year</p> <p>Daily/monthly information is provided by CDCP based on agreement concluded between CDCP and applicant.</p>	CD-2307	<p>a) 3 300,00</p> <p>b) 1 600,00</p> <p>c) 660,00</p>
2.3.8	<p>List of securities owners of a single issue owning 5% or more of the issue admitted to regulated market</p>	CD-2308	165,00
2.3.9	<p>Provision of data from issuance conditions of debt securities (for foreign entity in electronic form)</p>	CD-2309	10,50
*service is free of charge for BSSE			
➤ Prices set for book-entry securities apply also to immobilised securities.			

3. Administration of list of shareholders of registered paper-form shares

➤ If the nominal value is stated along with the name of the service, the service fee is applicable only to shares with the nominal value.

3.1 Registration of list of shareholders of registered paper-form shares

Item	Service Name	Service Code	Price in € (w/o VAT)
3.1.1	Registration of a list of shareholders in the registry of CDCP if the nominal value of a share is less than or equal to € 331,50 Applies also in case of amendment of the list of shareholders after increase of the registered capital through number of shares, if NV of share ≤ 331,50 EUR.	CD-3101	99,50 + 0,10/share, max. 6 635,00/ČEM
3.1.2	Registration of a list of shareholders in the registry of CDCP if the nominal value of a share is higher than € 331,50 Applies also in case of amendment of the list of shareholders after increase of the registered capital through number of shares, if NV of share > 331,50 EUR	CD-3102	99,50 + (0,10x MH/331,50) x number of shares, max. 6 635,00/ČEM
3.1.3	Cancellation of registration of the list of shareholders	CD-3103	33,00/ČEM
3.1.4	Cancellation of registration of the list of shareholders via issuer's notice of cancellation	CD-3104	100,00/ČEM
3.1.5	Registration of a list of shareholders in the registry of CDCP for shares without the nominal value within the registered basic capital* Applies also in case of amendment of the list of shareholders when	CD-3105	As in item 3.1.1

	the registered basic capital is increased by change in number of units.		
3.1.6	Registration of a list of shareholders in the registry of CDCP for shares without the nominal value over the registered capital.	CD-3106	100,00/ČEM
3.1.7	Registration of security to the shareholder (crediting of security) /Change in securities registry (debiting of securities from shareholder) in case of shares without the nominal value over the registered capital.	CD-3107	1,65/shareholder

* Number of units equal to registered basic capital is used to calculate the fee.

3.2 Change in issuer's data / list of holders of registered paper-form shares

Item	Service Name	Service Code	Price in € (w/o VAT)
3.2.1	Change in the business name or in address of the seat of an issuer of paper form securities.		Free of charge
3.2.2	Change in number of shares /of nominal value of paper-form registered shares: - decrease of registered capital through change in number of shares of change of nominal value separately for each list; -decrease of registered capital through change in number of shares for shares without the nominal value; - increase of registered capital through change of nominal value separately for each list; - increase of registered capital through increase of number of shares is calculated pursuant to item 3.1.1 - increase of the registered capital through change in number of shares for shares without the nominal value, by increase of number of the shares, will be calculated according item 3.1.5	CD-3202	99,50 + 0,03/share, max. 6 635,00/ČEM
3.2.3	Change in the nominal value and concurrent change in number of securities, whereas registered capital remains unchanged *	CD-3203	99,50 + 0,03/share, max. 6 635,00/ČEM
3.2.4	Adding new shareholders into the list of shareholders, to which the issuer issued paper-form registered shares in exchange for shares announced void		Free of charge
3.2.5	Change of currency from SKK to € in lists of shareholders of paper-form registered shares (number of securities is not changed and the list of shareholders is identified by one ČEM)	CD-3205	99,50 + 0,03/share, max. 6 635,00/ČEM
3.2.6	Deletion of shareholder from the list of shareholders, whose paper-form registered shares were announced void	CD-3206	33,00+0,03/share
3.2.7	Change of shareholder, based on issuer's request, if the nominal value of a share is less than or equal to € 331,50	CD-3207	0,10/share, min. 5,00, max. 1 659,00/ČEM

3.2.8	Change of shareholder, based on issuer's request, if the nominal value of a share is higher than € 331,50	CD-3208	(0,10x MH/331,50)x qty of shares, min. 5,00, max. 1 659,00/ČEM
3.2.9	Settlement/establishment of joint ownership of securities	CD-3209	3,30/sec, max. 331,50
3.2.10	Registration of change of shareholder based on instruction from the issuer for shares without the nominal value.	CD-3210	As in item 3.2.7
3.2.11	Settlement/establishment of co-ownership of securities	CD-3211	3,30/sec, max. 331,50
3.2.12	Change in number of shares for shares without the nominal value over the registered capital.	CD-3212	As in item 3.2.2

* Cancellation of registration of the list of shareholders due to change in the nominal value and change in number of securities, in case the registered capital remains unchanged, is free of charge.

3.3 Administration of the list of shareholders of registered paper-form shares

Item	Service Name	Service Code	Price in € (w/o VAT)
3.3.1	Administration of the list of shareholders for one calendar year	CD-3301	310,00
3.3.2	Administration of the list of shareholders for period equal or shorter than 6 calendar months	CD-3302	26,00/month

3.4 Information services

Item	Service Name	Service Code	Price in € (w/o VAT)
3.4.1	List of shareholders of paper-form registered shares (provided in printed form if less than 100 pages or on file medium)	CD-3401	66,00/ČEM
3.4.2	Excerpt from the list of shareholders, based on request of shareholder, in part concerning the shareholder in printed form	CD-3402	5,00
3.4.3	Excerpt from information on registered security issues to an issuer	CD-3403	10,00
3.4.4	Excerpt from the list of shareholders, based on request of shareholder, in part concerning the shareholder on file medium.	CD-3404	66,00
3.4.5	Excerpt from the list of shareholders as of previous date	CD-3405	10,00

4. Services related to administration of special registry of securities

➤ Price for provision of services related to special registry securities applies only to accounts in CDCP's registry.

Item	Service Name	Service Code	Price in € (w/o VAT)
4.1	Provision of information related to the General Meeting of an issuer of securities in the special registry of securities; one provision of information in printed form	CD-4001	5,00 incl. postage
4.2	Services related to payment of the nominal value and proceeds – payment of the nominal value or proceeds to a bank account kept in a bank with seat in the Slovak Republic	CD-4002	2,00 + transfer fee according to the scale of fees of the bank
4.3	Services related to payment of the nominal value and proceeds – payment of the nominal value or proceeds in other form than to a bank account kept in a bank with seat in the Slovak Republic	CD-4003	50,00 + fees related to cash delivery
4.4	Provision of list of shareholders owning foreign securities		Free of charge

5. Services provided to CDCP participants

Item	Service Name	Service Code	Price in € (w/o VAT)
5.1	Entry fee for a participant in the central depository (fee including registration of the participant and does not apply to existing entities with holder's accounts)	CD-5001	3 000,00
5.2	Change in data of a participant in the central depository / cancellation of registration of a participant of the central depository		Free of charge
5.3	Retrieval of basic data on a participant in the central depository		Free of charge
5.4	Training on operating CDCP's systems	CD-5004	200,00

➤ In case a standard service is used for processing of information from the archive of services performed by a member, the use of the service is free of charge.

➤ CDCP:

- shall not charge a participant a price for services used to provide for issuance of statements from a member's own registry, for extract of basic detail on the securities issue and selection of all registered issues of book-entry securities performed via IS CDCP, for establishment/change/cancellation of an entity; for registration/change/cancellation of securities disposal right suspension on an owner's account, for registration/change/cancellation of pledge pursuant to §53a of the Act on an owner's account; for registration/ change/ cancellation of transfer as collateral pursuant to §53c of the Act, for indicating pledge pursuant to §45 of the Act on an owner's account, and for indicating a change/termination of pledge established pursuant to §45 of the Act on an owner's account in case these services are processed in a member's own registry;
- shall not charge a participant for FoP transfer of securities, movement of securities and transitions of securities including matching, hold, release and cancellation of the settlement instruction in case the accounts of transferor and transferee are open in member's own registry;

- will charge a participant only for the service „Payment without delivery“ in case of settlement of DvP transaction between accounts of transferor and transferee open in member’s own registry.

6. Administration of securities account

6.1 Opening of an account and change in data on securities account

Item	Service Name	Service Code	Price in € (w/o VAT)
6.1.1	Registration of owner/holder, Update of data on owner/holder, Cancellation of registration of owner/holder, Excerpt from data on owner/holder		Free of charge
6.1.2	Opening of account for CDCP participant (owner’s account, client’s account, holder’s account)		Free of charge
6.1.3	Opening of owner’s account in CDCP registry		Free of charge
6.1.4	Reservation / cancellation of reservation of an owner’s account for the benefit of creditor (Update of data on account)	CD-6101	50,00

6.2 Administration of securities account

Item	Service Name	Service Code	Price in € (w/o VAT)					
6.2.1	Administration of an account for CDCP participant (owner’s account, client’s account, holder’s account) and administration of an holder’s account for legal persons other than CDCP participant:	CD-6201a						
	equities * (O = value of securities on the account in the nominal value, m= coefficient for equities)		<u>O x m</u>					
	debt securities** (O = value of securities on the account in the nominal value, m= coefficient for debt securities)		<u>O x d</u>					
	Rules for calculation of fee for account administration: Fee for account administration is calculated as of the last day of each calendar month by summing up fee for equities and fee for debt securities, whereas applies that fee for account administration is minimum 30 eur and maximum 10 000 eur per one account in given month. In case the volume of securities in the account is 0.00 eur as of the last day of the calendar month, or an account is cancelled, account administration is free of charge for given month. Coefficient:		CD-6201b CD-6201c CD-6201d					
	<table border="1"> <tr> <td>Security</td> <td>Coefficient</td> </tr> <tr> <td>Equity (m)</td> <td>0,0000044343</td> </tr> <tr> <td>Debt securities (d)</td> <td>0,0000012512</td> </tr> </table>	Security	Coefficient	Equity (m)	0,0000044343	Debt securities (d)	0,0000012512	
Security	Coefficient							
Equity (m)	0,0000044343							
Debt securities (d)	0,0000012512							
	Example of fee calculation (C) for account administration for one							

	<p>month for equities in value of 1 000 000 eur and debt securities in value of 40 000 000 eur: $C = (1\,000\,000 \text{ eur} \times 0.0000044343) + (40\,000\,000 \text{ eur} \times 0.0000012512) = (4.43 \text{ eur} + 50,05 \text{ eur}) = 54,48 \text{ eur}.$</p> <p>Rules for issuing an invoice for account administration fee: CDCP is issuing an invoice for administration fee for owner's account of CDCP participant, client's account for CDCP member, holder's account for CDCP participant and for administration of a holder's account for legal persons other than CDCP participant at the end of each calendar month.</p>		
6.2.2	<p>Administration of an owner's account for natural persons except persons specified in the item 6.2.3 and legal persons other than CDCP participant:</p> <p>equities* (O = value of securities on the account in the nominal value, m= coefficient for equities, i = calendar month for which the fee is calculated, possible value is 1 to 12, i.e. January to December)</p> <p>debt securities** (O = value of securities on the account in the nominal value, m= coefficient for debt securities, i = calendar month for which the fee is calculated, possible value is 1 to 12, i.e. January to December)</p> <p>Rules for calculation of fee for account administration: Fee for owner's account administration is created by sum of 12 fees calculated as of the last day of each calendar month of the calendar year, whereas the fee is the sum of fee for equities and fee for debt securities and applies that account administration fee is</p> <ul style="list-style-type: none"> a) minimum 30,00 eur and maximum 10 000 eur for one account for given month for legal persons other than CDCP participant, b) minimum 1,00 eur and maximum 10 000 eur for one account for given month for natural persons. <p>In case that volume of securities in the account is 0.00 eur as of the last day of the calendar month, or an account is cancelled, account administration is free of charge for given month for the natural persons and for legal persons other than CDCP member.</p> <p>Coefficients: Pursuant to the table in the item 6.2.1.</p> <p>Example of calculation of fee (C) for administration of owner's account for the legal persons other than CDCP member for one month for equities in value of 5 000 000 eur: $C = (5\,000\,000 \text{ eur} \times 0.0000044343) = 22.17 \text{ eur} = \text{minimum fee is } 30,00 \text{ eur}.$ In case there was no change in the value of securities during the calendar year, the fee for administration of an account for the calendar year is 360,00 eur (30,00 eur per calendar month).</p> <p>Example of fee calculation (C) for administration of owner's account for natural persons for one month for equities in value of 1 000 eur:</p>	CD-6202	$\sum_{i=1}^{12} (O_i \times m)$ $\sum_{i=1}^{12} (O_i \times d)$

	<p>$C = (1\,000 \text{ eur} \times 0.0000044343) = 0,004 \text{ eur} = \text{minimum fee is } 1,00 \text{ eur}.$</p> <p>In case there was no change in the value of securities during the calendar year, the fee for administration of an account for the calendar year is 12,00 eur (1,00 eur per calendar month).</p> <p>Rules for issuing an invoice for account administration fee:</p> <p>Invoice for fee for account administration for natural persons and for legal persons other than CDCP members is issued by CDCP after end of the calendar year.</p>		
6.2.3	Administration of an owner's account for deceased person		Free of charge

* For purpose of calculation of the account administration fee, following securities are considered as equity: shares, temporary certificate, units of the unit trust, co-operative units.

** For purpose of calculation of the account administration fee, following securities are considered as debt security: bonds, investment certificates, treasury bills.

- In case of securities held in the special registry of securities, CDCP reserves the right to categorise the foreign securities into debt securities or equity depending on character of the security.
- Value of securities is sum of products of number of securities and of the nominal value of each securities issue held on the account. In case of an issue of shares without the nominal value, sum 1,00 EUR will be used instead of the nominal value of the security issue to calculate value of securities in the account.
- CDCP shall set value of units of unit trusts as a product of the initial value of one unit, of number of shares in one unit of the unit trust and of number of units of the unit trust from respective issue held on an account of securities owner.
- The value of securities calculated in respective month does not include debt securities after maturity date that is specified in the issuance conditions. In case of premature redemption of debt securities, calculated securities value for respective month will not include such securities which will be cancelled, based on request of an issuer, by the end of respective month, if CDCP is delivered the request minimum 5 working days before the end of respective month.
- Securities issued by issuers deleted from the Companies Register without successor in title and whose issuer's register administrated by CDCP has been terminated in given month shall not be included to securities value in respective month.

6.3 Information services

Item	Service Name	Service Code	Price in € (w/o VAT)
6.3.1	Retrieval of basic data on an account (<i>Statement of basic data on an account</i>)		Free of charge
6.3.2	Owner's/holder's account statement as of the date of service provision (total position /selected ISIN)	CD-6302	3,30
6.3.3	Owner's/holder's account statement as of previous date (total position / selected ISIN)	CD-6303	6,60
6.3.4	Client's account statement (§106, section 7) as of the date of service provision	CD-6304	66,00
6.3.5	Client's account statement (§106, section 7) as of previous date	CD-6305	99,50
6.3.6	Selection of accounting entries in owner's account in CDCP registry	CD-6306	16,6 + 0,03/entry

	<i>(Selection of accounting entries in owner's/holder's account, ISIN for selected time period)</i>		
6.3.7	Retrieval of co-owners of securities pursuant to §105, Section 9 <i>(Statement on co-owners in co-ownership)</i>	CD-6307	3,30
6.3.8	Retrieval of all basic data on all owners in member's registration		Free of charge
6.3.9	Retrieval of all statements from all owner's accounts kept in member's registry		Free of charge
6.3.10	Retrieval of all statements from all owner's accounts kept in member's registry as of the previous date		Free of charge
6.3.11	Change account statement		Free of charge

7. Transaction in securities account and registration/cancellation of DRS over securities

7.1 Transactions, movements and transitions of securities

➤ Price for transfer is paid by both the transferor and transferee, unless otherwise is stated.

Transfers, movements and transitions of securities executed based on instruction submitted to CDCP in printed form:

Item	Service Name	Service Code	Price in € (w/o VAT)
7.1.1	Placement of order for securities transfer/movement <i>(Settlement instruction)</i>	CD-7101	18,00
7.1.2	Transition of securities (when securities from one ISIN in co-ownership are subject to transition, the basic fee shall be paid only once; the fee is paid by a transferee) <i>(Settlement instruction)</i>	CD-7102	Basic fee 1,65 + 0,026 per security, max. 10 000,00 EUR

Transfers, movement and transitions of securities executed based on instruction submitted to CDCP by a participant/BSSE in electronic form:

Item	Service Name	Service Code	Price in € (w/o VAT)	
7.1.3	Matching*	CD-7103	1,00	
7.1.4	Securities transfer – Free of Payment <i>(Settlement instruction)</i>	CD-7104	5,00	
7.1.5	Securities transfer – Delivery with Payment <i>(Settlement instruction)</i>	a) securities transfer	CD-7105a	5,00
		b) transfer of cash (VAT exemption)	CD-7105b	1,00
	Settlement of exchange trade –	a) securities transfer	CD-7106a	1,00

7.1.6	Delivery with Payment (price is paid by the BSSE)	b) transfer of cash (VAT exemption)	CD-7106b	1,00
7.1.7	Settlement of exchange trade – Free of Payment (price is paid by the BSSE)		CD-7107	2,00
7.1.8	Payment without delivery (VAT exemption) (Settlement instruction)		CD-7108	1,00
7.1.9	Movement of securities except securities movement pursuant item 7.1.10 (Settlement instruction)		CD-7109	5,00
7.1.10	Movement of securities from non-allocated account in the CDCP registry to an account open with the member (Settlement instruction)			Free of payment
7.1.11	Transition of securities (when securities from one ISIN in co-ownership are subject to transition, the basic fee shall be paid only once; the fee is paid by a transferee) (Settlement instruction)		CD-7111	Basic fee 1,65 + 0,026 per security, max. 10 000,- EUR
7.1.12	Central bank auto collateralisation ** (Settlement instruction)	a) securities transfer	CD-7112a	0,50
		b) transfer of cash (VAT exemption)	CD-7112b	0,50
7.1.13	Hold or Release of the settlement instruction *** (Change in settlement instruction)		CD-7113	1,00
7.1.14	Change in settlement instruction *** (Change in settlement instruction)		CD-7114	1,00
7.1.15	Cancellation of the settlement instruction *** (Cancellation of the settlement instruction)		CD-7115	1,00
7.1.16	Additional fee for day-time settlement**** (period from 07am till 18pm)		CD-7116	0,10
7.1.17	Additional fee for settlement failure on intended settlement date ****		CD-7117	0,25
7.1.18	Instruction for securities transfer in Centrální depozitář cenných papírů, a.s. (securities transfer from CDCP account in Centrální depozitář cenných papírů, a.s.)		CD-7118	10,00
7.1.19	Replacement of securities***** (Settlement instruction)		CD-7119	5,00

* Price is paid by both the transferor and transferee for each successful matching of the instruction for transfer/movement/transition of securities.

** Per each settled instruction in the central bank auto collateralisation. Price is paid by the provider of collateral.

*** Per each submitted instruction for change/hold or release/cancellation of the settlement instruction.

**** Price is paid by both the transferor and transferee. In case of the Stock Exchange trade the price is paid by the Stock Exchange for the transferor and transferee.

***** Price is paid by both the transferor and transferee for each settled instruction for Replacement of securities.

- Settlement of instructions for rearrangement in cross-CSD settlement and external cross-CSD settlement is free of charge. Fee is included in the price for settlement of underlying settlement instruction.

7.2 Registration/termination of DRS over securities

Item	Service Name	Service Code	Price in € (w/o VAT)
7.2.1	Registration / termination of Disposal Right Suspension over securities pursuant to §28, Section 3, item a) <i>(Instruction for restriction on securities on account)</i>	CD-7201	0,50
7.2.2	Registration / termination of Disposal Right Suspension over securities pursuant to §28, Section 3, item b) <i>(Instruction for restriction on securities on account)</i>	CD-7202	0,50
7.2.3	Registration / termination of Disposal Right Suspension over securities pursuant to §28, Section 3, item c) <i>(Instruction for restriction on securities on account)</i>	CD-7203	0,50
7.2.4	Registration / termination of Disposal Right Suspension over securities pursuant to §28, Section 3, item d) <i>(Instruction for restriction on securities on account)</i>	CD-7204	0,50
7.2.5	Registration / termination of Disposal Right Suspension over securities pursuant to §28, Section 3, item k) for the offeror with consent to enforce right of buy-out <i>(Instruction for restriction on securities on account)</i>	CD-7205	3,30

7.3 Reservation of securities for auto collateral

Item	Service Name	Service Code	Price in € (w/o VAT)
7.3.1	Reservation of securities /cancellation of securities reservation for auto collateral <i>[Instruction for restriction on securities on account]</i>		Free of payment

8. Pledge registry and special registry of transfers as collateral

8.1 Registration/change/cancellation of pledge or transfer as collateral

Item	Service Name	Service Code	Price in € (w/o VAT)
8.1.1	Registration of pledge creditor /Update of data on the pledge creditor /Cancellation of registration of the pledge creditor /Excerpt from data on the pledge creditor		Free of charge
8.1.2	Registration of contractual pledge *	CD-8102a	
	Registration of transfer as collateral **	CD-8102b	
	Debt value in €	Unit price in €	Price for max value of debt in €
			Price according to the

Basic price + % of debt value			table
Up to 3 319 000,00	16,50 + 0,0100%	348,40	
3 319 000,01 – 16 596 000,00	348,40 + 0,0075%	1344,17	
16 596 000,01 or more	1 344,17 + 0,0050%	max.1 659,00	

Example of calculation in €
Value of debt = 16 700 000,00 €
Price for registration of contractual pledge or transfer as collateral = (16 700 000,00 – 16 596 000,00)/
100x0,0050 + 1 344,17 = 1 349,37 €

* registration of pledge into the pledge registry or on owner's account pursuant to § 53a of the Act

** registration of transfer as collateral into special registry or on owner's account pursuant to § 53c of the Act

8.1.3	Marking a clause on paper-form securities (e.g. creation, change or termination of pledge)	CD-8103	3,30/security certificate
8.1.4	Marking a clause on a paper-form collective share (or other collective security)	CD-8104	33,00/collective share
8.1.5	Registration of change in pledge in the pledge registry	CD-8105	33,00
8.1.6	Registration of pledge cancellation in the pledge registry	CD-8106	33,00
8.1.7	Registration of change in pledge pursuant to § 53a of the Act	CD-8107	10,00
8.1.8	Registration of pledge cancellation pursuant to § 53a of the Act	CD-8108	10,00
8.1.9	Registration of change in transfer as collateral pursuant to § 53 of the Act	CD-8109	33,00
8.1.10	Registration of cancellation of transfer as collateral pursuant to § 53 of the Act	CD-8110	33,00
8.1.11	Registration of change in transfer as collateral pursuant to § 53c of the Act	CD-8111	10,00
8.1.12	Registration of cancellation of transfer as collateral pursuant to § 53c of the Act	CD-8112	10,00
8.1.13	Release of hold on change/cancellation of pledge (pursuant to §53a of the Act, collateral type) <i>(Instruction for change in processing indicators of the instruction)</i>	CD-8113	1,00
8.1.14	Registration of pledge pursuant to §50, Section 3 <i>(Instruction for restriction over securities on account)</i>	CD-8114	3,30
8.1.15	Registration of termination of pledge pursuant to §50, Section 5 <i>(Instruction for restriction over securities on account)</i>	CD-8115	3,30

8.2 Information services

Item	Service Name	Service Code	Price in € (w/o VAT)
8.2.1	Excerpt from register of pledges pursuant to §47, section 2	CD-8201	3,30
8.2.2	Retrieval of all registered pledge agreements pursuant to §47, section 2 of the Act for authorised persons	CD-8202	331,50
8.2.3	Information on pledge registered pursuant to §53a of the Act	CD-8203	10,00
8.2.4	Compound information on pledge registered pursuant to §45 or §53a of the Act for the National Bank of Slovakia	CD-8204	10,00
8.2.5	Excerpt from special registry of transfers as collateral pursuant to §53	CD-8205	3,30
8.2.6	Passing of the pledge registry pursuant to § 12, item (5) of the Act No. 203/2011 coll. <i>(Excerpt from the pledge registry for purpose of its handover to a depository)</i>	CD-8206	3 319,00/custodian
8.2.7	Passing of the registry of transfers as collateral pursuant to § 12, item (5) of the Act No. 203/2011 coll. <i>(Excerpt from the registry of transfers as collateral for purpose of its handover to a depository)</i>	CD-8207	3 319,00/ custodian
8.2.8	Repeated passing of registry pursuant to § 12, item (5) of the Act No. 203/2011 Coll. <i>(Excerpt from the pledge registry for purpose of its handover to a depository / Excerpt from the registry of transfers as collateral for purpose of its handover to a depository)</i>	CD-8208	6 640,00/ custodian

9. Services related to activities of LOU for LEI codes assignment

Item	Service Name	Service Code	Price in € (w/o VAT)
9.1	One-off fee for LEI code assignment *	CD-9001	70,00
9.2	Administration (renewal) of data on entity in the LEI code registry – annual fee *	CD-9002	45,00
9.3	Modification of data on entity in the LEI code registry in course of the year		Free of charge

* Fee for administration of data on the entity in the LEI code registry for the first year and a licence fee which CDCP is obliged to pay to Global LEI Foundation (GLEIF) are included.

➤ Administration fee shall not be refunded in case of transfer of data on the entity from the LEI code registry to other LOU.

10. Other services and information of CDCP

10.1 Information and services provided to persons pursuant to § 110

Item	Service Name	Service Code	Price in € (w/o VAT)
10.1.1	Information for persons specified in § 110 of the Act (For eligible persons who have no right for provision of the information free of charge pursuant to the Act or special legislation)	CD-10101	6,60/service
10.1.2	Registration/cancellation of registration of suspension of disposal right to book-entry securities based on instruction from government body, or capital market supervisory body, or distrainer <i>(Instruction for restriction over securities on account)</i>		Free of charge
10.1.3	Placement of instruction for registration of creation/change/cancellation of statutory pledge <i>(Registration/change/cancellation of pledge, Instruction for restriction over securities on account)</i>		Free of charge

10.2 Other services

Item	Service Name	Service Code	Price in € (w/o VAT)
10.2.1	Correction in the registry pursuant to § 108 of the Act *	CD-10201	66,00/per request

* Price for every request for an accounting entry crediting or debiting an account kept by CDCP or for change of shareholder of paper-form registered shares in the list of shareholders. The aforementioned provisions shall not apply to the requests submitted to CDCP before coming into effect of this Scale of Fees. The price is paid by the requesting party after recognition of the objection. In case an erroneous entry or incompleteness in the registration has been caused by CDCP's action/inaction, the price pursuant to item 10.2.1 shall not be charged.

10.3 Other services of CDCP

Item	Service Name	Service Code	Price in € (w/o VAT)
10.3.1	Registration of a securities dealer /Update of data on the securities dealer/Cancellation of registration of the sec. dealer /Excerpt from data on the sec. dealer		Free of charge
10.3.2	Provision of published data pursuant to § 111, section (1) of the Act	CD-10302	Free of charge
10.3.3	Provision of data specified in item 10.3.2 to persons to whom the CDCP is obliged to provide the data pursuant to § 111 of the Act		Free of charge

10.3.4	Reprographic work (photocopy of the prospect, photocopy of fax message)	CD-10304	1,00/page
10.3.5	Reprographic work and certification of a document	CD-10305	20,00/page
10.3.6	Postal charge	CD-10306	according to the Scale of Postage Fees of the Slovak Post Office
10.3.7	Other services related to activity of CDCP	CD-10307	by agreement
10.3.8	Basic fee - article I. item 5.	CD-10308	6,60
10.3.9	Information on Corporate Actions		Free of charge

10.4 Communication via SWIFT

Item	Service Name	Service Code	Price in € (w/o VAT)
10.4.1	Processing of received or sent SWIFT file (FileAct/InterAct)	CD-10401	0,15/file
10.4.2	SWIFT fee for FileAct/InterAct	CD-10402	According SWIFT scale of fee

- The sender or recipient of SWIFT file is charged a fee for processing of received or sent SWIFT file (FileAct/InterAct) (item 10.4.1) and the receiver is charged also a price equal to the fee for respective SWIFT file pursuant to valid SWIFT price list (item 10.4.2).

10.5 Services performed by DCP in T2S

Item	Service Name	Service Code	Price in € (w/o VAT)
10.5.1	Services executed by DCP in T2S* (free from VAT)	CD-10501	according to T2S pricelist

- * Services include transfer of messages from DCP to T2S, or from T2S to DCP, and information services executed by DCP in T2S.

Article III. Final provisions

- 1) By coming into effect of this Scale of Fees ends the validity and effective of the Scale of Fees of Centrálny depozitár cenných papierov SR, a.s. valid as of 1 January 2018.
- 2) The Scale of Fees is valid upon approval of the Supervisory Board of CDCP on 31 May 2018 and becomes effective on 1 July 2018