

**Centrálny depozitár cenných papierov SR, a.s.**  
**Ul. 29. augusta 1/A, 824 81 Bratislava**

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**Scale of Fees**  
**of Centrálny depozitár cenných papierov SR, a.s.**  
**(effective from 1 January 2012)**

**Bratislava, 15 December 2011**

## Article I

### General conditions

1. Centrálny depozitár cenných papierov SR, a.s. (hereinafter referred to as the 'CDCP') performs services in the extent of a licence to establish and operate the CDCP and in compliance with the relevant provisions of the Operating Rules of the CDCP. In the provision of its services, the CDCP abides by the relevant provisions of the following laws: the Accountancy Act No. 431/2002 (Coll.) in wording of later amendments, the Act No. 222/2004 (Coll.) on Valued Added Tax in wording of later amendments, the Income Tax Act No. 595/2003 (Coll.) in wording of later amendments and other generally binding legal regulations.
2. For the performance of services to members, securities dealers, Bratislava Stock Exchange (hereinafter referred to as the 'BSSE'), the National Bank of Slovakia (hereinafter referred to as the 'NBS') and other clients, the CDCP charges fees according to the fee rates stipulated in this Scale of Fees of Centrálny depozitár cenných papierov SR, a.s. (hereinafter referred to as 'Scale of Fees'), unless stipulated otherwise.
3. For the CDCP services provided on the basis of a written agreement (in particular issue registration, issue cancellation and the like), the agreement shall specify the price for provided service and terms of payment. The price specified in the agreement need not be final, and depends on the client's further requests for the performance of services.
4. 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 the branch office based on an issued receipt. In case the total price for services provided at the branch office is lower than 20€, the CDCP has right to ask for the cash payment. In case the total price for services provided at the branch office is higher than 400€ without VAT, the CDCP has right to ask for advance payment of sum 400€ in cash and remainder via invoice. Members of the CDCP pay for provided services via issued invoice.
5. For services provided on the basis of a written agreement, the CDCP reserves the right to issue an advanced-payment invoice for such services and to perform the services only after the advance payment is paid. The CDCP also reserves the right to provide services only after the customer settles all overdue obligations he has towards the CDCP, in compliance with the provisions of concluded agreement.
6. In compliance with the Act No. 222/2004 (Coll.) on Value Added Tax in current wording, the CDCP adds a value added tax to the final price of service, unless otherwise specified in the Scale of Fees.
7. The final price of provided services shall be rounded off in compliance with the Act No. 18/1996 (Coll.) on Prices in wording of the Act No. 520/2003 (Coll.).
8. 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-01 – Postage according to the Scale of Postage Fees of the Slovak Post Office**).
9. The CDCP reserves the right to state, in its invoices, a code of service or an abbreviated name of service or a reference to a provision of the text part of the Scale of Fees (the list of abbreviated names is in Annex 2 of the Scale of Fees).
10. In the case of a request for services or job performance (for purpose of this section hereinafter referred to as "services") 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.

11. In case of a client's request for statistical data from the CDCP's registration, the price for provision of such data shall be determined through mutual consent in the agreement between the client and the CDCP.
12. In case that a service ends with an erroneous return code, the price for such service shall only equal the basic price, unless otherwise stated in the Scale of Fees.
13. For the purposes of this Scale of Fees, as a list of owners of paper-form registered shares shall be regarded such list of owners that has been assigned a numerical issue identification ('NII' hereinafter) with the 'LP' prefix by the CDCP.
14. In case clients require provision of software application "*web-portal*", price for providing an access to the service shall be determined in an agreement between the client and CDCP.
15. 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 are applied to securities issued in accordance with the law of the Slovak Republic, except for securities issued according to Article 99, par. 4, item f) of the Act.
16. The Central Depository shall execute services related to issuance of securities according to Article 99, par.4, item f) free of charge in accordance with the community agreements supporting the monetary mechanisms of the European Union.
17. In case the nominal value of securities are specified in SKK, for purpose of this Scale of Fees the nominal values are calculated into EUR by conversion rate 30,126 SKK/1€.
18. The price for early registration of a securities issue or for early registration of list of shareholders received from the issuer into the CDCP's registration is 300 EUR. In case of early registration the CDCP assures that relevant services are executed in two working days after the day, when all agreed conditions are met by the issuer. In case the conditions specified in the agreement concluded between the issuer and the CDCP are not fulfilled by the issuer, the issuer is not entitled for repayment of the fee. Possibility of early registration is provided individually, based on operational potentials. (**Code CD-14 Express surcharge**).

## Article II

### National Numbering Agency

1. The prices of the CDCP, as the National Numbering Agency, for assignment and cancellation of identification codes of securities issues or financial instruments are shown in Table 1 (**Code CD-02 – Assignment of identification code; Code CD-04 – Cancellation of identification code**).

**Table 1: Price for assignment and cancellation of ISIN or cancellation of IČE\***

Volume of securities issue from-to – in €	Price in €
A	B
Up to 332 000,00	33,00 €
332 000,01 - 1 660 000,00	66,00 €

1 660 000,01 - 16 600 000,00	165,00 €
16 600 000,01 and more	331,50 €

\*IČE – issue identification code starting with the prefix ‘88’

**Explanatory notes to Table 1:**

Column ‘A’ – volume of issue in €, i.e. nominal value x number of securities or financial instruments

Column ‘B’ – price for corresponding volume of issue in €

2. The prices are calculated from the volume of a securities issue or financial instruments, in nominal value converted to the Slovak koruna by the NBS rate valid on the day of assignment /cancellation of ISIN/identification code of a securities issue or financial instruments. In the case that financial instrument does not have the nominal value the fee for assigning (code CD-02)/ cancellation (code CD-04) of ISIN is 331.50 €.
3. The price for changes in assigned ISIN code or in IČE, registration of which is required due to the change in particulars of the security or financial instrument – change of commercial name, registered office, number of units of securities, nominal value, is 10 EUR if the issuer asks for the change in one request. If the request includes several changes specified in previous sentence and the changes can be made simultaneously, the issuer shall only pay one price. If more than one ISIN or IČE code has been assigned to the issuer and the issuer asks for changes in these codes in one request applies that the issuer shall pay stated price only once. Change in the postal code is free of charge. If an issuer requests that each change of particulars is to be made separately, the issuer shall pay the corresponding price for each request separately. The same applies also in case that an issuer requests for change in each assigned ISIN or IČE code by separate request. In case of change of form of the security the issuer is not charged the price for assignment and cancellation of identification code specified in Section 1 of this Article but only price according this Section (**code CD 03 – change of identification code**).
4. The price for issue of a repeated confirmation of ISIN assignment is 66.00 €. (**Code CD-05 – repeated confirmation of ISIN assignment**).
5. The price for restoring an ISIN in the special registration of the CDCP, as the National Numbering Agency, is 16.50 €. An ISIN can be restored based on the issuer’s request only on the condition that such ISIN has not been the object of a concluded agreement on registration of a securities issue. The ISIN shall be restored with the original data according to the request, based on which it has been already assigned. If the issuer also requests that changes be made in the restored ISIN, the provision of this Section shall not apply to such changes (**Code CD-06 – ISIN restoration**).
6. The price for a change of IČE to ISIN, a change of commercial name, a change of company’s registered office and a division of one original IČE or ISIN that contains securities or financial instruments with various dates of issue into several ISINs is 16.50 € for one request, without regard to the number of changes made simultaneously (§12 of the Act No 566/2001 on Securities and Investment Services and on Amendments and Supplements to Related Laws in wording of later legislation - hereinafter referred to as the ‘Act’); (**Code CD-07 – Change of IČE into ISIN**).

## Article III

### Issuer's register for book-entry securities

- Price for registration of an issue of book-entry securities is shown in Tables No. 2, 3 and 4 (code CD-08 - Registration of issue of government bonds and treasury bills; code CD-09 – Registration of issue of municipal obligations; code CD-10 – Registration of issue of mortgage bonds; code CD-11 – Registration of issue of other bonds; code CD-12 – Registration of issue of units; code CD-13 – Registration of issue of other securities).

**Table 2: Price for registration of a bond issue**  
(government bonds, treasury bills, municipal obligations, mortgage bonds and other bonds)

Volume of securities issue € (from-to)		Unit price in €		Price at maximum volume of securities issue	
A		B	C	D	
Up 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	7 118.00 €	+ 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	

#### Explanatory notes to Table 2

Column 'A' – volume of issue in €, i.e. nominal value x number of securities

Column 'B' – basic price in € for the corresponding volume of issue

Column 'C' – percentage of volume of a securities issue

Column 'D' – price in € at maximum volume of issue listed in Column 'A'

#### Computation example in €

Number of securities = 1,200 units

Nominal value = 33,193.92 €

Price for issue registration =  $[(1,200 \times 33,193.92) - 33,193,000.00] / 100 \times 0.03 + 12,927.75 = 14,919.66 \text{ €}$

**Table 3: Price for registration of issue of share certificates**

Volume of issue € (from – to)		Unit price in €		Price at maximum volume of securities issue	
A		B	C	D	
Up to	- 1 659 000.00	33.00 €	+ 0.010 %	198.90	€
1 659 000.01 -	3 319 000.00	198.90 €	+ 0.009 %	348.30	€
3 319 000.01 -	16 596 000.00	348.30 €	+ 0.008 %	1 410.46	€
16 596 000.01 -	or more	1410,46 €	+ 0.007 %	Max. 2 500.00	

#### Explanatory notes to Table 3

Column 'A' – volume of issue in €, i.e. nominal value x number of securities

Column 'B' – basic price in € for the corresponding volume of issue

Column 'C' – percentage of volume of a securities issue

Column 'D' – price in € at maximum volume of issue listed in Column 'A'

#### Example of calculation

Number of securities = 65 000 units

Initial value of one share = 33.19 €

Number of shares (units) per one security = 1 unit

Price for issue registration =  $[(65 000 \times 33.19 \times 1) - 1,659,000.00] / 100 \times 0.009 + 198.90 = 243.75 \text{ €}$

**Table 4: Price for registration of issue of other securities**

Volume of securities in € (from – to)		Unit price in €		Price at maximum volume of securities issue
A		B	C	D
Up 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	or more	30 038,60 €	+ 0,06 %	Max. 165 900,00 €

**Explanatory notes to Table 4**

Column ‘A’ – volume of issue in €, i.e. nominal value x number of securities

Column ‘B’ – basic price in € for the corresponding volume of issue

Column ‘C’ – percentage of volume of a securities issue

Column ‘D’ – price € at maximum volume of issue listed in Column ‘A’

**Computation example**

Number of securities = 1 200 units

Nominal value = 33,193.92 €

Price for issue registration = [(1200 x 33,193.92)- 33,193,000.00]/100 x 0.060+30,038.60 = 34,022.42 €

2. The price according to Table 2 for bond issues with a maturity period:
  - a) of up to 12 months (including) shall be multiplied by coefficient 0.2
  - b) from 12 months to 24 months (including) shall be multiplied by coefficient 0.4
  - c) from 24 months to 36 months (including) shall be multiplied by coefficient 0.6.

As the maturity period shall be regarded the longest possible maturity period stated in the terms of issue. Gradual subscription and premature redemption are not taken into account in price calculations. The provision from the first sentence shall not apply to government bonds and mortgage bonds.
3. The CDCP shall provide a discount of 50% of the price according to Section 2 of this Article (in case of maturity period longer than 36 months, a discount shall be provided from the price according to Table 2), if the issuer undertakes to introduce an issue of bonds to trading on the listed market of a Stock Exchange with registered office in Slovakia (hereinafter referred to as ‘Stock Exchange’) within three months from the registration date. If the condition from the first sentence is not met, the issuer is obligated to pay an additional price equal to the provided discount. Provisions of this paragraph do not apply to government bonds and mortgage bonds.
4. The CDCP shall provide a discount of 40% of the price according to Table 4, if the issuer undertakes to introduce a share issue to trading on the Stock Exchange’s listed market within three months from the registration date. If the condition from the first sentence is not met, the issuer is obligated to pay an additional price equal to the provided discount.
5. The price for request for an accounting entry – debiting securities from an account – is 1.65 €. The price for request for an accounting entry – crediting securities to an account – is included in the price of issue registration (**Code CD-15 – Price for debiting securities**).
6. The price for change of particulars of book-entry securities related to all issues of an issuer (change of issuer’s data: commercial name, registered office...) is 165.00 €/issuer. If

several such changes of particulars of book-entry securities are covered by a single agreement, the price for change of particulars of book-entry securities shall be calculated only once (**Code CD-16 – Change of information specified in §107 Section 4 Letter b) of the Act**). A change of zip code is free of charge.

7. The price for change of particulars of book-entry securities related to a specific issue of an issuer (change of issue's data: nominal value, form...) is 165.00 € (basic price) + 0.003 € for each security. If several such changes of issue particulars are covered by a single agreement with the issuer (change of issue's data: nominal value, form...), the price for change of issue particulars shall be calculated only once. The change of shortened name of an issue, change of a negotiability tag and change of bond expiry tag are free of charge. In case of change of particulars of a securities issue relating to decrease of the registered capital the basis for price calculation shall be the absolute value of the difference between the original number of securities and the new number of securities. In case of increase of the registered capital by number of units within already existing securities issue the price shall be calculated according to the Table No. 4. The price shall be calculated according to the Table No. 4 also if the nominal value and the number of units are changed concurrently with the increase of the registered capital (**Code CD-17 – Change of data specified in §107 Section 4 Letter c) of the Act**).

Above stated price shall be used also in case of change of the currency and the nominal value of securities from SKK to euro. Sum calculated according to the Table No. 4 shall be added to this price if volume of securities issue shall be increased / decreased concurrently with the change of the currency from SKK to euro. The absolute value of the difference between the original number of securities and the new number of securities shall be used as a basis for price calculation.

8. The maximum price for a change of particulars pursuant to Section 7 is 49,790.00 €, this is not applying to increase of registered capital, in which case the price is calculated according to the Table No. 4.
9. The price for cancellation of registration of an issue of book-entry securities is 33.00 € (basic price) + 0.007 € for each security; its maximum level is 50,000.00 € (**Code CD-18 – Cancellation of registration of a securities issue**).
10. In case of change of the form of securities, the issuer pays only the price for change of particulars of an issue of book-entry securities pursuant to Section 7 and the price for services of the National Numbering Agency.
11. When fulfilling the issuer's obligations pursuant to §12 Section 1 of the Act, i.e. when changing an issue's identification number into ISIN, the issuer pays the price of 165.00 €. If the issuer simultaneously requests also other changes in the security's particulars, e.g. change of registered office, commercial name and the like, the price for such changes of security's particulars shall be calculated in compliance with Section 6 or 7 (**Code CD-19 – Change of ISIN pursuant to §12 Section 1 of the Act**).
12. When performing the services of cancellation of registration of issue, issuer and securities in the owner's accounts of cancelled commercial companies within the period before their winding-up, the property of which is not transferred to a legal successor, the CDCP provides such services free of charge. The issuer is obligated to pay only the price pursuant to Section 5, plus the price for a statement of the issuer's register issued in compliance with the Act.
13. Price for list of owners of securities issued as of the current date (i.e. as of the date of service provision or as of the accounts closure on the last business day) or for list issued

as of the back date is 110.00 € (basic fee) + 33.00 € for each requested ISIN (**Code CD-21 – List of owners of securities**).

14. Price for preparation of list of owners of securities in paper form is 16.50 € for a single list of owners containing one ISIN. The price is exclusive of the price of particular service pursuant to Section 13 with output in electronic form that the applicant is obliged to pay (**Code CD-22 – List of owners of securities in paper/electronic form**).
15. Price for delivery of the list of owners of securities by mail to the address of the issuer entered in registration of the CDCP, following the Sections 13 and 14, in paper form or in electronic form at the electronic media is 8.30 €. Provisions in this Section shall not be applicable to authorised persons listed in §110 of the Act (**Code CD-24 –Delivery of the list of owners**).
16. If the issuer requests the change of particulars in a securities issue bearing the ‘CS’ identifier and does not simultaneously request the change of ISIN, the CDCP shall perform the required change in the issue based on an agreement with the issuer and relevant documents, whereas the ‘CS’ identifier will remain unchanged. The price for such changes will be calculated in compliance with Section 6.
17. If the issuer requests cancellation of a securities issue with the ‘CS’ code, the CDCP shall cancel the issue based on an agreement with the issuer and relevant documents. The price shall be calculated in compliance with Section 9.
18. If the issuer decreases a company’s registered capital in a securities issue with the ‘CS’ identifier, the CDCP shall register the decrease of registered capital based on an agreement with the issuer. The price shall be calculated in compliance with Section 7.
19. In the provision of CDCP services, the prices stipulated by the Scale of Fees for the provision of services for book-entry securities apply also to immobilised securities.
20. If an issuer of book-entry securities with the ‘CS’ code requests a change of the code to ‘SK’, the issuer shall pay the price for change of a security’s particulars pursuant to Section 11, plus the National Numbering Agency’s fee pursuant to Article II Section 1 of this Scale of Fees for assignment of an ISIN bearing the ‘SK’ code.
21. In case that an issuer requires change of the nominal value and concurrently the number of book-entry securities in such way that the value of the issue does not change (the sum of products of the number of units of securities and the nominal value), price for concurrent change of the nominal value and number of securities units is 331.50 € /issue (**code CD-105 – Concurrent change of the nominal value and of the number of units of book-entry securities, value of the issue is not changed**).
22. The price for provision of data from the terms of issue of bonds, for a foreign entity, in electronic form is 3.00 € (**Code CD-28 – Provision of data from the terms of issue of bonds**).
23. Price for preparation of the list of securities owners of all securities issues admitted to regulated market owning 5% or more of these issues is stated in Table No. 4a (**code CD-96-List of securities owners owning 5% or more of all securities issues admitted to regulated market**)



**Table No. 4a – List of securities owners owning 5% or more of securities issues admitted to regulated market**

Frequency of information delivery	Price in €
Daily (annual licence fee)*	3 300,00
Monthly (annual licence fee)**	1 600,00
Annually (annual licence fee)***	660,00

**Explanatory notes to Table No. 4a**

\* - i.e. information for the previous working day is provided from 10:00 of the given working day,

\*\* - i.e. information for the previous month is provided on the first working day of the following month,

\*\*\* - i.e. information for the previous year is provided at the end of the year/beginning of the following year.

Information provided daily/monthly is provided by the CDCP based on an agreement concluded between the CDCP and person requesting information.

24. In case the issuer of securities shall exceed the value of 4,8 billion EUR in securities issues registered in the issuer's register in one calendar year then CDCP shall provide such issuer with 25% discount for any additional registration service related to securities issue in that year. In case the issuer of securities shall exceed the value of 7,0 billion EUR in securities issues registered in the issuer's register in one calendar year then CDCP shall provide such issuer with 70% discount for any additional registration service related to securities issue in that year. Value of securities issues registered in the issuer's register during the respective calendar year from 1 January is considered in order to calculate the value of securities. Discounts shall not be cumulated for purpose of this Section.
25. The one-off fee for preparation of the list of securities owners of a single securities issue admitted to regulated market owning 5% or more of such issue for a single ISIN is 165.00 €. (code 97 – List of securities owners of a single issue owning 5% or more of this issue admitted to regulated market)

**Article IV**

**Registered shares in paper form**

**Keeping a list of owners of paper-form registered shares**

1. The price for taking over the list of shareholders to the CDCP registration and the price for amending the list of shareholders in connection with increasing of the registered capital by number of units of shares is:
  - a) 99.50 € + 0.10 €/share, but not more than 6,635.00 €, if the nominal value of the share ≤ 331.50 € (Code CD-29 – Taking over the list of shareholders to the CDCP registration, if the share's nominal value is less than or equals 331.50 €);
  - b) 99.50 € + (0.10 x nominal value / 331.50 €) x number of shares, but not more than 6,635.00 €, if the nominal value of the share > 331.50 € (Code CD-30 – Taking over the list of shareholders to the CDCP registration, if the share's nominal value greater than 331.50 €).
2. The price for termination of administration of a list of shareholders of a given company in the CDCP's registration is 66.00 € for each NII (Code CD-31 – Termination of administration of the list of shareholders). The price for termination of administration of a list of shareholders of a given company in the CDCP's registration based on a unilateral notice of cancellation from the issuer is 100.00 € for each NII (Code CD-107 – Termination of administration of the list of shareholders – issuer's notice of cancellation).

3. The price for change in identification of an issuer of paper-form registered shares and the price for change of type of share is 99.50 €. If a single agreement with an issuer comprises several changes in identification of the issuer of paper-form shares (e.g. change of commercial name and change of issuer's registered office), the price for change in identification of the issuer of paper-form registered shares is calculated only once. Change of the postal code is free of charge. **(Code CD-32 – Change in identification of the issuer/issue of paper-form registered shares).**
4. In case of a decrease of registered capital through a change in the number of shares in the list of shareholders or through a change of nominal value, the price is set to 99.50 € + 0.03 € /share, but not more than 6,635.00 €. In case of increase of registered capital through a change of the nominal value of shares, the price is calculated according to the previous sentence. The price is calculated individually for each submitted list of shareholders. An increase of registered capital through an increase in the number of shares is charged pursuant to Article IV Section 1 **(Code CD-33 – Change of nominal value of paper-form registered shares).**
5. The price for issuing the list of shareholders, containing the list of company shareholders in paper form or on a technical data medium is 66.00 €. In case of duplicate printing of the list of shareholders (the condition is identical date of issue of the list of shareholders), price is 3.30 € for each page of the list and maximum length of the list is 100 pages. If the duplicate list of shareholders will extend the length of 100 pages it will be provided on technical data medium priced € 66.00. **(Code CD-34 – List of shareholders of paper-form registered shares).**
6. The price for sending a list of shareholders pursuant to Article IV Section 5 is 8.30 €. The provisions of this Section do not apply to authorised persons specified in §110 of the Act. **(Code CD-35 –Delivery of the list of shareholders of paper-form registered shares).**
7. The price for issuing an extract from the list of shareholders following a request of a shareholder in a part concerning the shareholder is set to 3.30 € for each page of the extract, including incomplete pages, to the maximum extent of 200 pages. If an extract from the list of shareholders exceeds 100 pages, the CDCP can provide it on a technical data medium. If the extent of the list is exceeding 200 pages, the CDCP shall provide the list of shareholders on a technical data medium for 66.00 €. **(Code CD-36 – Extract from the list of shareholders based on request of a shareholder in a part concerning the shareholder in paper form, Code CD-37- Extract from the list of shareholders based on request of a shareholder in a part concerning the shareholder on a technical data medium).**
8. Persons authorised to obtain classified information pursuant to the Act (except for authorised persons specified in §110 of the Act), who are not permitted by the Act or by a special regulation to require classified information on a free-of-charge basis, shall pay prices pursuant to Article IV of the Scale of Fees.
9. The price for issuing an extract from the list of shareholders as of a back date is set to 16.50 € for every page of the extract, including incomplete pages **(Code CD-38 – Extract from the list of shareholders as of a previous date).**
10. The price for keeping a list of shareholders for a single joint-stock company for one calendar year, including incomplete year, is set to 331.50 €/issuer, this shall not apply if the list of shareholders is kept for less than 6 months. In such case the price for keeping a list of shareholders is 265.00 € per issuer. **(Code CD-109 –Administration of the list of shareholders for entire year; Code CD-110 – Administration of the list of shareholders for a period shorter than 6 months)**

11. If the issuer of registered physical shares concludes the supplement to agreement on administration of the list of shareholders of registered physical shares with purpose of the supplement to cancel the numbering of shares and an additional administration of the list of shareholders of registered physical shares without the numbering of individual shares, the issuer is not subject to any fee. In the case that the issuer at the same time requests execution of the change in identification of the issuer of registered physical shares these changes are subject to provisions of the effective Scale of Fees.
12. If the issuer requires the change of the nominal value and, simultaneously, the change of the number of securities units in such a manner that the total amount of registered capital (the sum of products of the number of units of securities and the nominal value) within one submitted list of owners of paper-form registered shares identified by one NII remains unchanged, the price is set as follows:
  - a) termination of administration of one list of shareholders identified by one NII due to change of the nominal value and number of units of shares is free of charge.
  - b) price for receiving of list of shareholders into the CDCP's registration identified by one NII due to change of the nominal value and number of units of shares is 99.50€ per NII.

In case an issuer simultaneously requires change in identification of an issuer of paper-form registered shares, provisions of valid Scale of Fees are applied to such change (**Code CD-42 – Change of nominal value with simultaneous change of the number of securities, with registered capital remaining unchanged**).

13. If, during a change of form of book-entry securities into paper-form registered shares, the issuer proceeds pursuant to §17 par. 7 of the Act, the price for deletion of shareholder/s, whose paper-form shares have been pronounced invalid, from the list of shareholders is 33.00 € + 0.03 € /share, for shares that have been pronounced invalid and are replaced with new shares which have been issued by the issuer and the number of which is stated in an agreement between the issuer and the CDCP. The entry of new shareholders, to which the issuer issued paper-form registered shares in replacement of paper-form registered shares that had been pronounced invalid, to the list of shareholders shall be made free of charge. The provision of this Article shall only apply in case that, under a single agreement, the issuer is replacing the paper-form registered shares pronounced invalid with the same number of new paper-form registered shares. (**Code CD-43 – Change of form of book-entry securities into paper-form registered shares pursuant to § 17 Section 7 of the Act**).
14. If an issuer shall decide on a change of the currency and the nominal value of shares from SKK to euro in such way that total amount of sum of products of number of securities and of the nominal value shall be higher/lower than actual, then the price comprises of
  - price for change of the nominal value together with the price for the change of number of units within the scope of one list of shareholders with one “NII” according to the subsection 13,and
  - price for increasing/decreasing in volume of a list of shareholders (product of the nominal value and number of units of shares in a scope of the list of shareholders with one “NII”), whereas the sum of increase/decrease in the volume of “NII” (S) shall create the basis for price calculation, it is: € 99.50 + (€ 0.10 x S/ € 331.50),

but maximum € 6,635.00 (Code CD-104 – Change of list of shareholders identified with one “NIF”)

### **Change of shareholders in the list of shareholders of paper-form registered shares**

15. The price for entry of change of shareholder into the list of shareholders is:
- a) 0.10 €/share, if the share’s nominal value  $\leq$  331.50 € (Code CD-44 – Entry of change of shareholder based on issuer’s request, if the share’s nominal value is less than or equal to 331.50 €);
  - b)  $(0.10 \text{ €} \times \text{nominal value} / 331.50 \text{ €}) \times \text{number of shares}$ , if the nominal value of given shares  $>$  331.50 € (Code CD-45 – Entry of change of shareholder based on issuer’s request, if the share’s nominal value is greater than 331.50 €),
- but minimum of 1.60 € and maximum of 1,659.00€. The entry of change of shareholder into the list of shareholders shall mean the entry of change of any number of registered shares between two shareholders from one list, on a single day. In case that the nominal value of shares is stated in EUR the price shall be calculated from the nominal value converted to Slovak koruna at the rate set by the NBS valid on a day of execution of change.
16. The price for service associated with the settlement/establishment of:
- a) Joint ownership of paper-form registered shares is 3.30 € for each security, but not more than 331.50 € for one service, which (the security) is at the input of the service providing for the settlement/establishment of joint ownership (Code CD-46 – Settlement/establishment of joint ownership of securities),
  - b) Co-ownership of paper-form registered shares is 3.30 € for each security, but not more than 331.50 € for one service, which (the security) is at the input of the service providing for the settlement/establishment of co-ownership (Code CD-47 – Settlement/establishment of co-ownership of securities).

## **Article V**

### **Members of CDCP**

1. Prices for utilisation of software applications and for usage of hardware of CDCP by members is 829.00 €/month (code CD-48 – Utilisation of software and usage of hardware by members of CDCP).
  - a) Price for financial settlement of securities trade is 0.00 €
  - b) The price for setting up and administration of a single member’s client account, owner’s account of member and holder’s account of member is 0.00 €. The price for opening of each additional holder’s account of member is 0.00 €
2. Each additional member’s client account or holder’s account of member is charged by an annual fee of 331.50 € (code CD-49 – Second and additional member’s client accounts or for holder’s account of member).
3. The price for setting up of holder’s account to a person listed in §105a of the Act and who is not a member, is 165.00 €. Setting up of each additional holder’s account to a person, listed in §105a of the Act, which is not member is 500.00 € (code CD-98 – Opening of holder’s account(s) of non-member).

4. Each holder's account of non-member is charged by an annual fee of 3,320.00 €. (**code CD-99 – Annual fee for administration of holder's account of non-member**)
5. The fee for granting CDCP membership is 33,200.00 €. (**Code CD-50 – Granting the CDCP membership**).
6. The fee for granting membership to a new member who takes over a registration from a terminated member is 16,600.00 €. (**Code CD-51 – Granting the CDCP membership to a member who takes over the registration from a member that is being in dissolution**).
7. For a foreign central depository, the CDCP Board of Directors can stipulate a different price conditions for granting of membership and for use of software applications based on a specific scope of co-operation, provisions of a membership agreement with the foreign central depository, possibilities for performance of services and use of software applications.
8. In case of processing of information from the archive of services performed by a member, if a standard service (D134) is used for processing, the use of this service is free of charge.
9. The CDCP shall not charge members a price for services used to provide for issuance of statements from a member's own registration, for establishment/change/cancellation of an owner's account in a member's own registration, for registration/change/cancellation of the securities disposal right suspension on an owner's account in a member's own registration, for registration/change/cancellation of pledge pursuant to §53a of the Act on an owner's account in a member's own registration, for registration/change/cancellation of fiduciary transfer pursuant to §53c of the Act in a member's own registration, 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.
10. Participation fee for training on operating the systems of CDCP – registration of securities according to the Act and clearing and settlement of securities trades (after taking all free of charge training for 10 employees of member), and participation fee for additional training based on needs of the participant is 200.00 €. (**code CD-52 – Training on operating the systems of CDCP**).
11. Installation of the CDCP systems for a client based outside the Slovak Republic (the price is charged for every started hour of work) is 33.00 €/hour (**Code CD-53 – Installation of CDCP systems**).
12. Service work on the CDCP systems for a client based outside the Slovak Republic (the price is charged for every started hour of work) is 33.00 €/hour (**Code CD-54 – Service work on CDCP systems for a client**).

## **Article VI**

### **Keeping securities accounts**

1. Price for administration of owner's account, open pursuant to §105 or §164a of the Act is 0.045% from the volume of securities on the owner's account, but minimum 10.00€ and maximum 165.00 € per calendar year without VAT. (**code CD-55 – Administration of owner's account**).

2. CDCP shall charge the price for administration of owner's account in terms of subsection 1 of this article also in case the owner's account was administered for period shorter than one year.
3. If, at the last day of each month, the volume of securities in the account is 0.00€, CDCP shall not invoice the price for administration of owner's account.
4. If the owner's account was administered for period shorter than one year and the last day of each month during the period of the owner's account administration is the volume of securities in the account 0.00€, then CDCP shall not invoice the price for administration of owner's account.
5. If invoicing conditions according the Sections 1 and 4 of this Article are fulfilled, CDCP shall calculate the price for administration of the owner's account as follows:
  - a. CDCP shall calculate price for administration of the owner's account, as of the last day of the month in which the owner's account was administered, as 1/12 of the price according the subsection 1, based on the sum of the nominal values of securities of all issues held at the owner's account. Volume of each issue is calculated as number of units multiplied by the nominal value of the security.
    - a.1. For securities held on the owner's account, that are issued in a currency other than euro, applies that CDCP shall convert volume of such securities on the owner's account using exchange rate of the currency to euro, set by the National Bank of Slovakia on the date when volume of such securities is calculated.
    - a.2. CDCP shall calculate volume of units of unit trusts as the nominal value of one unit multiplied by number of shares of one unit of unit trust and by number of units of unit trust of underlying issue in the account of securities owner.
  - b. CDCP, generally as of 31 December of the current year, shall count monthly fees up for months when the owner's account was administered and shall issue and send invoices to owners of securities accounts. The Board of Directors may decide on different term or terms for invoicing owner's account administration fee. In case of cancellation of an owner's account CDCP shall charge for administration of the owner's account on the date of the account cancellation.
6. Securities issued by issuers deleted from the Companies Register without successor in title shall not be included to the volume of securities calculated in respective month. This is valid from the date when the issuer is deleted from relevant trade register or from the maturity date of debt security.
7. The price for opening an owner's account is 35.00 € without VAT. (**Code CD-56 – Opening an owner's account**).

## **Article VII**

### **Transfers and transitions of securities**

1. For both the transferee and the transferor, in case that the order for transfer shall be submitted in electronic form via CDCP software equipment, the price for transfer is:
  - a) For up to 50 units (including) of securities: 3.30 € for each of the participating parties individually regardless of the type of security, except for securities issued pursuant to the Act No. 594/2003 (Coll.) on Collective Investment and on Amendments and Supplements to Related Laws in wording of later legislation. This price is also paid for

- a transfer service that has ended with an erroneous return code. (**Code CD-57 – Transfer of securities except for share certificates**);
- b) From 51 units (including) of securities: 6.60 € for each of the participating parties individually regardless of the type of security, except for securities issued pursuant to the Act No. 594/2003 (Coll.) on Collective Investment and on Amendments and Supplements to Related Laws in wording of later legislation. This price is also paid for a transfer service that has ended with an erroneous return code. (**Code CD-57 – Transfer of securities except for share certificates**);
  - c) If the transfer concerns securities issued pursuant to Act No. 594/2003 (Coll.) on Collective Investment and on Amendments and Supplements to Related Laws in wording of later legislation, the price for a transfer for consideration is 1.00 € (without VAT) for both the transferor and the transferee. (**Code CD-58 – Transfer of share certificates**).
- 2. The price for the transferor and the transferee pursuant to the Section 1 shall be paid by members. This does not apply if the order for transfer is placed by the Stock Exchange.
  - 2a The price for the transfer pursuant to the Section 1 of this article, in case the order for transfer is placed by the Stock Exchange, is 1.00 EUR.
  - 3. In case that change in the person of owner (transfer of securities) is executed by services in the registration of the same member, and service instructions are placed directly to the module of registration of securities, or they enter the clearing and settlement system as OTC trades without financial settlement than placement of semi-instructions or of instruction for service providing for the change in the person of owner is free of charge.
  - 4. The price for placement of semi-order to transfer or transition of securities (service of transfers or transitions matching for transferor resp. transferee) in securities registration module is 1.00 € for every instructed semi-order (**Code CD-60 – Semi-order for transfer or transition in securities registration module**).
  - 5. The price for placement of an order or semi-order for securities transfer directly to the CDCP (i.e. an account owner or authorised person that places the order for transfer at the CDCP's counter or delivers the transfer order to the CDCP in written form):
    - a) is 18.00 € for each of the participating parties individually (**code CD-62 – Placement of order for securities transfer directly to the CDCP**);
    - b) In case that the subject of placement of transfer order in other than electronic form via the CDCP's software equipment are securities issued according to the Act No. 594/2003 (Coll.) on Collective Investment and on amendments and supplements of certain acts as amended, the price for both transferee and transferor is 1.30 € (**code CD-101 – Transfer of units of the unit trust**)
  - 6. The price for clearing of a stock exchange transaction in the clearing and settlement module is 3.00 € . The price is paid by the Stock Exchange if cash transfer in the payment system takes place.
  - 7. The price for clearing of an OTC transaction in the clearing and settlement system module is 0.03% of the transaction volume, but not less than 1.50 € and not more than 82.50 €. The price is paid by both the transferor and the transferee if cash transfer in the payment system takes place.
  - 8. The price for registration of establishment, change and termination of disposal right in account pursuant to §105 Section 1 Subsection d) for a registered or, respectively, unregistered entity is 3.30 € (**Code CD-65 – Registration of establishment of the right to dispose**
-

**in an owner's account; Code CD-66 – Registration of change of the right to dispose in an owner's account; Code CD-67 – Registration of termination of the right to dispose in an owner's account).**

9. Transition of securities is 1.65 € (basic fee) + 0.026 € for the security. In the case that securities belonging to a single ISIN in co-ownership are subject to transition, the basic fee shall be paid only once. The fee is paid by the transferee of securities or the member with whom the transferee has opened an owner's account (code CD-68 – Transition of securities).
10. If a change in the owner's person (transition of securities) is performed via services within the registration of the same member and if the orders for services are placed directly into the module of securities registration the placement of semi-orders as well as the services providing for the change in the owner's person are free of charge.
11. An order for transfer of securities which results into transfer of securities from the account of CDCP in Centrální depozitář cenných papírů, a.s. to other account which is also kept in Centrální depozitář cenných papírů, a.s. is 10.00€ (code CD-108 transfer of securities in Centrální depozitář cenných papírů, a.s.)

## Article VIII

### Register of pledges and special registration of fiduciary transfers

1. Price for registration of pledge into Register of pledges or in the owner's account pursuant to §53a of the Act and price for registration of transfer as collateral into a special registration or in the owner's account pursuant to §53c of the act for both the book-entry and paper securities is stated in table No.6. If debt is in currency other than euro, the price is calculated from the amount of debt converted to euro by NBS rate valid on a day of placement of instruction to register the pledge or the transfer as collateral (code CD-69 – Registration of pledge, code CD-70 – Registration of transfer as collateral).

**Table 5 - Price for registration of pledge or fiduciary transfer**

Amount of debt in € A	Unit price B                  C	Price at maximum amount of debt D
Up to 3 319 000.00	16,50 € + 0,0100 %	348,40 €
3 319 000.01- 16 596 000.00	348,40 € + 0,0075 %	1 344,17 €
16 596 000.01 Or more	1344,17 € + 0,0050 %	max. 1 659,00 €

**Explanatory notes to Table 5**

Column 'A' – amount of debt in €

Column 'B' – base fee for corresponding amount of debt in €

Column 'C' – percentage of the amount of debt

Column 'D' – price in € at maximum amount of debt stated in the extent of Column 'A'

**Computation example in €**

Amount of debt = 16,700,000.00 €

Price for registration of pledge or fiduciary transfer =

$$= (16,700,000.00 - 16,596,000.00) / 100 * 0.0050 + 1,344.17 = € 1,349.37$$

2. The price for marking the 'for pledge', 'change of pledge' or 'termination of pledge' clause on a paper-form security shall be paid by the person that places the order for registration of establishment/change/termination of pledge in the register of pledges. The price for marking this 'clause' is 3.30 € /paper-form security (Code CD-71 – Marking the 'for



pledge' clause; Code CD-72 – Marking the 'change of lien clause; Code CD-73 – Marking the 'termination of lien' clause).

3. In the case of a collective share, the price for marking a clause is 33.00 €/collective share (Code CD-74 – Marking a clause on a paper-form collective share).
4. In the case of a statutory lien pursuant to §52 of the Act, the service according to Sections 2 and 3 of this Article shall be provided by the CDCP free of charge. In such a case, neither the fee pursuant to Section 9 of this Article shall be paid.
5. The price for registration of a change in registered data, or for supplementing new data, or for cancellation of certain data or for cancellation of pledge pursuant to §46 of the Act is 33.00 € in the register of pledges (Code CD-75 – Registration of change of lien in the register of pledges pursuant to §46 of the Act; Code CD-76 – Registration of cancellation of lien in the register of pledges pursuant to §46 of the Act).
6. The price for registration of a change in registered data, or for supplementing new data, or for cancellation of certain data or for cancellation of pledge pursuant to §53a) of the Act is 10.00 € (Code CD-77 – registration of change of lien pursuant to §53a of the Act; Code CD-78 – Registration of cancellation of lien pursuant to §53a of the Act).
7. The price for registration of a change in registered data, or for supplementing new data, or for cancellation of certain data or for cancellation of fiduciary transfer pursuant to §53 of the Act is 33.00 € in the special registration of fiduciary transfers (Code CD-79 – Registration of change of fiduciary transfer pursuant to §53 of the Act; Code CD-80 – Registration of cancellation of fiduciary transfer pursuant to §53 of the Act).
8. The price for registration of a change in already registered data, or for supplementing new data, or for cancellation of certain data or for cancellation of fiduciary transfer pursuant to §53c) of the Act is 10.00 € (Code CD-81 – Registration of change of fiduciary transfer pursuant to §53c of the Act, Code CD-82 – Registration of cancellation of fiduciary transfer pursuant to §53c of the Act).
9. In case that the service of registration/change/cancellation of pledge or fiduciary transfer ends with an erroneous NAKO, the price for performance of the service is 6.60 € (Code CD-83 – Basic fee).
10. The price for placement of semi-order for change in pledge right registered pursuant to § 53a par. 4) of the Act is 1.00 € for each placed semi-order (code CD-102 – Semi-order for change of pledge right registered pursuant to §53a par. 4) of the Act).
11. The price for placement of semi-order for cancellation of pledge registered pursuant to § 53a par. 4) of the Act is 1.00 € for each placed semi-order (code CD-103 – Semi-order for cancellation of pledge right registered pursuant to §53a par. 4) of the Act).

## **Article IX**

### **Provision of services related to registration of foreign securities**

1. The price for provision of services related to registration of foreign securities applies only to owner's accounts kept in CDCP's registration:
  - a. Provision of information related to the General Meeting of foreign securities issuer is charged 5.00 €, the price includes postal fee for one provision of information in paper form.

- b. Services related to payment of the nominal value and proceeds from the foreign securities:
- i. In case of payment of the nominal value and proceeds to a bank account kept in a bank with the seat in the Slovak Republic the price is flat fee in sum of 2.00 € + fee for cash transfer according a scale of fees of the bank
  - ii. In case of payment of the nominal value and proceeds different way than to a bank account kept in a bank with the seat in the Slovak Republic the price is a flat fee in sum of 50.00 € + fees related to cash delivery.

## **Article X**

### **Various**

#### **Correction in the securities registration pursuant to §108 of the Act**

1. The price for correction in the registration pursuant to §108 of the Act, which the CDCP performs based on a legitimate objection raised by an owner, member, BSSE or issuer is 66.00 € for every request for an accounting entry crediting or debiting an account kept by the CDCP, or a request for a change of shareholder of paper-form registered shares in the list of shareholders (**Code CD-84 – Request for correction in the registration pursuant to §108 of the Act**).
2. The aforementioned provisions shall not apply to the requests submitted to the CDCP before coming into effect of this Scale of Fees.
3. The price is paid by the requesting party after recognition of the objection.
4. In case an erroneous entry or incompleteness in the registration has been caused by the CDCP's action / inaction, the price pursuant to the Section 1 of this Article shall not be charged.

#### **Information duties and classified information**

5. The price for provision of data that the CDCP publishes in compliance with §111 Sections (1) and (3) of the Act is 132.50 € for calendar month, without possible further dissemination of such information. This price does not apply to the entities to which the CDCP is obligated to provide such data pursuant to §111 of the Act (**Code CD-85 – Provision of data pursuant to §111 Sections (1) and (3) of the Act**).
6. The price for every information service, provided from the CDCP registry, pursuant the Act No.566/2002 (Coll.) on Securities and Investment Services and on changes and supplements to certain acts as amended and from the registry pursuant to the Act No. 600/1992 (Coll.) on Securities and data related to book-entry securities and from the list of shareholders of paper-form registered shares to authorised persons who do not have, according to the Act or separate law, right to obtain this service free of charge, equals to the CDCP's costs what is 6.60 €. (**Code CD-86 – Information services for persons specified in §110 of the Act**).
7. If the relevant state authority or the authority supervising the capital market or a distrainer orders the CDCP, in compliance with §28 of the Act, to register suspension of the right to dispose of a book-entry security or to cancel the registration of suspension of the right to dispose of a book-entry security, the CDCP shall perform these services free of charge. If a state authority orders the CDCP, by a resolution, to register a statutory lien, its change or termination, the CDCP shall perform the relevant service free of charge.

8. The price for submission of registration pursuant to §40c Section (5) of the Act No. 213/2006 (Coll.) which amends and supplements the Act No. 594/2003 (Coll.) on Collective Investment and on Amendments and Supplements to Related Laws in wording of later legislation and which amends and supplements the Act No. 566/2001 (Coll.) on Securities and Investment Services and on Amendments and Supplements to Related Laws (the Securities Act) in wording of later legislation, from the register of pledges is 3,319.00 € /trustee (**Code CD-87 – Submission of registration of lien pursuant to §40c Section (5) of the Act No. 213/2006 Coll.**).
9. The price for submission of registration pursuant to §40c Section (5) of the Act No. 213/2006 (Coll.) which amends and supplements the Act No. 594/2003 (Coll.) on Collective Investment and on Amendments and Supplements to Related Laws in wording of later legislation and which amends and supplements the Act No. 566/2001 (Coll.) on Securities and Investment Services and on Amendments and Supplements to Related Laws (the Securities Act) in wording of later legislation from the special registration of fiduciary transfers is 3,319.00 € /trustee (**Code CD-88 – Submission of registration of fiduciary transfers pursuant to §40c Section (5) of the Act No. 213/2006 Coll.**).
10. The price for repeated submission of data according to Section 8 or 9 is 6.640.00 € (**Code CD-89 – Repeated submission of registration pursuant to §40c Section (5) of the Act No. 213/2006 Coll.**).

### **Complaints**

11. In connection with complaints and requests for other services in complaint proceedings, the requesting entity shall pay the price for submitting a proposal to start the complaint proceedings as follows:
  - a) 3.30 € if the request is being submitted by a natural person (**Code CD-90 – Complaint of a natural person**);
  - b) 66.00 € if the request is being submitted by a legal entity (**Code CD-91 – Complaint of a legal entity**).

In the case of a justifiable complaint, the price for submission of a proposal to start the proceedings shall be refunded to the requesting entity.

### **Reprographic work**

12. The price for provision of the photocopy of an issuer's prospectus is charged based on the number of pages, and is 1.00 € for every copied page of the prospectus. (**Code CD-92 – Reprographic work**).
13. The price for provision of reprographic work (including faxed pages) is charged based on the number of pages, and is 1.00 € for every copied or faxed page of the A4 format (**Code CD-92 – Reprographic work**).
14. The price for provision of certified photocopy of documents is charged based on the number of pages, and is € 20.00 for every page of the document (**Code CD-106 – Reprographic work with certification of a document**).

### **Other services**

15. Other services within the registration of book-entry securities, established pursuant to the Act that the CDCP provides to its clients are specified in Annex 1 of the Scale of Fees.

### **Article XI**

#### **Transitional and final provisions**

1. The services specified in the text part of the Scale of Fees can comprise various technological steps, which can be represented by services with various codes of Dxxxx type where the 'Dxxx' represents an alphanumerical identification of the corresponding service.
2. The coming into effect of this Scale of Fees ends the validity and effectiveness of The Scale of Fees for Services of the Central Securities Depository of the Slovak Republic, effective from 8 June 2011.
3. The Scale of Fees is valid upon approval of the Supervisory Board of the CDCP on 15 December 2011 and effective on 01 January 2012.

Bratislava, 15 December 2011

Rastislav Pavlík  
Chairman of the Board of Directors

Katarína Baričiaková  
Member of the Board of Directors

### **Annexes:**

- |         |  |
|---------|--|
| Annex 1 | The Price List for other services of the CDCP in the registration of book-entry securities in compliance with the Act. |
| Annex 2 | The list of codes and abbreviated names of services specified in the text part of the Scale of Fees.                   |

**Annex 1**

**The CDCP Price List for other services in the registration of book-entry securities in compliance with the Act**

Code of service	Name of service	Price for service	
		Base fee (in €)	Fee for data record/owner of securities/number of securities (in €)
D001	Registration of a securities dealer	165.00	
D002	Registration of an issuer of book-entry securities	165.00	
D007	Change in register of securities dealers	33.00	
D009A	Statement of basic data of an issue	3.30	
D011	Change in register of members of the central depository	165.00	
D013	Cancellation of registration of a securities dealer	33.00	
D017	Cancellation of registration of a member of the central depository	33.00	
D025	Opening of a client account pursuant to §106	331.50	
D027	Registration of authorised person in an owner's account	6.60	
D028	Cancellation of registration of authorised person in an owner's account	3.30	
D040	Statement of account for one selected ISIN as of the date of service provision	3.30	
D040A	Statement of account pursuant to §105a for one selected ISIN as of the date of service provision	3.30	
D041	Extract from the list of shareholders for a shareholder in the part related to him pursuant to §107 Sections 9 and 11	66.00	
D043	Statement of account for one selected ISIN as of previous date	6.60	
D043A	Statement of account pursuant to §105a for one selected ISIN as of previous date	6.60	
D044	Statement of account as of the date of service provision	3.30	
D044A	Statement of account pursuant to §105a as of the date of service provision	3.30	
D045	Statement of account as of the previous date	6.60	
D045A	Statement of account pursuant to §105a as of the previous date	6.60	
D046A	Statement of account with all rights associated with securities as of the date of service provision	9.90	
D046B	Statement of account with all rights attached to securities as of the previous date	13.20	
D046D	Statement of account pursuant to §105a with all rights attached to securities of the date of service provision	10.00	
D046E	Statement of account pursuant to §105a with all rights attached to securities as of the previous date	15.00	

D046F	Selection of all statements of all owner's accounts kept in registration of member as of the back date	165.00	
D047	Statement of account pursuant to §106 Section 7 as of the date of service provision	66.00	
D048	Statement of account pursuant to §106 Section 7 as of the previous date	99.50	
D065	Retrieval of basic data on an account owner based on entered identification number for CD	1.60	
D069	Detection of the issuer's registration number based on IČO/birth reg. number	3.30	
D070	Detection of the securities dealer's registration number based on IČO	3.30	
D071	Detection of the pledgee's registration number based on IČO/birth reg. number	3.30	
D072	Detection of the central depository member's registration number based on IČO	3.30	
D078	Information service – selection of accounting entries in owner's account in the central depository's registration	16.60	0.03
D080	Extract from Register of pledges pursuant to §47 Section 2	3.30	
D081	Extract from special register of fiduciary transfers pursuant to §53	3.30	
D082	Extract of issuer's registry	16.60	
D083	Retrieval of basic data on securities dealer	3.30	
D084	Retrieval of basic data on member of central depository	3.30	
D089	Retrieval of all registered issues of securities	3.30	
D091	Retrieval of co-owners of securities pursuant to §105 Section 9	3.30	
D104	Registration – termination of disposal right suspension over securities pursuant to §28 Section 3 Letter a)	3.30	
D105	Registration – termination of disposal right suspension over securities pursuant to §28 Section 3 Letter b)	0.33	
D106A	Registration /termination of disposal right suspension over securities pursuant to §28 Section 3 Letter c)	0.33	
D106B	Registration of disposal right suspension over securities pursuant to §28 Section 3 Letter c based on termination of disposal right suspension over securities pursuant to Letter b)	0.33	
D107	Registration/termination of disposal right suspension over securities pursuant to §28 Section 3 Letter d)	1.60	
D108	Registration/termination of disposal right suspension over securities pursuant to §28 Section 3 Letter e)	66.00	
D109	Registration/termination of disposal right suspension over securities pursuant to §28 Section 3 Letter f)	33.00	
D111	Registration/termination of disposal right suspension over securities pursuant to §28 Section 3 Letter e) by change of issue status	16.60	
D112	Registration/termination of disposal right suspension over securities pursuant to §28 Section 3 Letter f by change of issue status	33.00	
D144	Registration of lien pursuant to §50 par. 3	3.30	
D145	Registration of extinction of lien pursuant to §50 par. 5	3.30	
D080B	Retrieval of all registered security agreements pursuant to §47 Section 2 of the Act	331.50	
D080C	Retrieval of all registered security agreements with the extent pursuant to §47 Section 1 of the Act	3.30	-

D080L	Information on lien registered pursuant to §53a) of the Act	10.00	-
D080M	Detection of basic data on owners of securities which are subject to lien pursuant to §53a) of the Act	10.00	-
D080T	Combined information on lien established pursuant to §45 or pursuant to §53a) of the Act	10.00	-
D081K	Information on fiduciary transfer pursuant to §53c) of the Act	10.00	-
D081T	Combined information on fiduciary transfers established pursuant to §53 or pursuant to §53c) of the Act	10.00	-
D179	Detection of client account number based on member's IČO	16.60	-
D064A	Retrieval of all basic data on all owners in member's registration	165.00	-
D046C	Retrieval of all statements from all owner's accounts kept in a member's registration	165.00	-
D184	Replacement of securities	331.50	-

### Abbreviations/terms used in Annex 1

CD – Centrálny depozitár cenných papierov SR, a.s.

CP - security

IČE – identification number of a securities issue – a 12-character code starting with '88'

Disposal right (PN) – the right to dispose of securities

Disposal right suspension (PPN) – suspension of the right to dispose of securities

APV – the registration of book-entry securities established and kept under the Act

**List of codes and abbreviated names of services specified  
in the text part of the Scale of Fees**

Service code	Name of service in the Scale of Fees	Abbreviated name of service (in Slovak)
CD-01	Postage according to the List of Postage Fees of the Slovak Post Office	Poštovné podľa popl. Slov. pošty
CD-02	Assignment of identification code	Pridelenie identifikačného kódu
CD-03	Change of identification code	Zmena identifikačného kódu
CD-04	Cancellation of identification code	Rušenie identifikačného kódu
CD-05	Repeated confirmation of ISIN assignment	Opakované potvrdenie o pridelení ISIN
CD-06	ISIN restoration	Obnovenie ISIN
CD-07	Change of IČE into ISIN	Zmena IČE na ISIN
CD-08	Registration of a government-bonds issue	Reg. emisie štátnych dlhp.
CD-09	Registration of a municipal-obligations issue	Reg. emisie komunálnych obligácií
CD-10	Registration of a mortgage-bonds issue	Reg. emisie hypotekárnych záložných listov
CD-11	Registration of an issue of other bonds	Reg. emisie ostatných dlhp.
CD-12	Registration of a share-certificates issue	Reg. emisie PL
CD-13	Registration of an issue of other securities	Reg. emisie ostatných CP
CD-14	Express surcharge	Expresný príplatok
CD-15	Price for debiting securities	Cena za odpísanie cenných papierov
CD-16	Change of information specified in §107 Section 4 Subsection b) of the Act	Zm. údajov uved. v §107ods.4písm.b)zák.
CD-17	Change of information specified in §107 Section 4 Letter c) of the Act	Zm. údajov uved. v § 107ods.4písm.c) zák.
CD-18	Cancellation of registration of a securities issue	Zrušenie registrácie emisie CP
CD-19	Change of ISIN pursuant to §12 Section 1 of the Act	Zmena ISIN podľa §12 ods. 1 zákona
CD-21	List of owners of securities	Zoznam majiteľov cenných papierov
CD-22	List of owners of securities in written/electronic form	Zoznam MACP v písom./elektr. forme
CD-23	Extract from an issuer's register in written/electronic form	Výpis z reg. emit. v písom./elektr. forme
CD-24	Delivery of a list of owners/extract from an issuer's register	Zaslanie zozn. majit./výp. z reg. emit.
CD-25	Administration of the list of shareholders of book-entry registered shares	Vedenie zozn. akcion.zakn. akcií na meno
CD-26	Administration of the list of owners of book-entry registered bonds	Vedenie zozn. majit.zakn. dlh. na meno
CD-27	Administration of the list of owners of book-entry registered share certificates	Vedenie zozn.podieln.zakn.PL na meno
CD-28	Provision of information from the terms of issue of bonds	Posk. údajov z emisných podm. Dlhp.
CD-29	Taking over a list of shareholders into the registration, if the nominal value of share is less than or equal to 331.50 €	Prevzatie zozn. akcion. do evid., ak je MH akcie menšia alebo rovná 331,50 €
CD-30	Taking over a list of shareholders into the registration, if the nominal value of share is greater than 331.50 €	Prevzatie zoznamu akcionárov do evidencie, ak je MH akcie väčšia ako 331,50 €
CD-31	Termination of administration of a list of shareholders	Ukončenie vedenia zoznamu akcionárov
CD-32	Change in identification of issuer of paper-	Zm. v identifikácii emitenta LA na meno



	form registered shares	
CD-33	Change of nominal value of paper-form registered shares	Zmena menovitej hodnoty LA na meno
CD-34	List of shareholders of paper-form registered shares	Zoznam akcionárov LA na meno
CD-35	Delivery of a list of shareholders of paper-form registered shares	Zaslanie zozn. akcionárov LA na meno
CD-36	Extract from a list of shareholders based on request of a shareholder in a part that refers to him, in written form	Výp. zo zozn. akcion. na zákl. žiadosti akcion. v časti, ktorá sa ho týka v LP
CD-37	Extract from a list of shareholders based on request of a shareholder in a part that refers to him, on a technical data medium	Výp. zo zozn. akcion. na zákl. žiadosti akcion. v časti, ktorá sa ho týka na techn. nosiči údajov
CD-38	Extract from a list of shareholders as of a previous date	Výpis zo zozn. akcion. spätnému dátumu
CD-41	Adding numerical identification of individual shares in a list of shareholders of paper-form registered shares	Doplnenie číselného označenia jednotlivých akcií v zozn. akcion. LA na meno
CD-42	Change of nominal value and concurrent change of number of securities, whereas registered capital remains in the same amount	Zm. MH a súčasne zm. počtu CP pričom ZI zostáva v rovnakej výške
CD-43	Change of form of book-entry securities to paper-form registered shares pursuant to §17 Section 7 of the Act	Premena podoby zakn. CP na LA na meno podľa § 17 ods. 7 zákona
CD-44	Entry of change of shareholder based on issuer's request, if the nominal value of share is less than or equal to 331.50 €	Zápis zm. akcion. na zákl. pokynu emit., ak je MH akcie menšia alebo rovná 331,50 €
CD-45	Entry of change of shareholder based on issuer's request, if the nominal value of share is greater than 331,50 €	Zápis zmeny akcion. na zákl. pokynu emit., ak je MH akcie väčšia ako 331,50 €
CD-46	Settlement/establishment of joint ownership of securities	Vysporiadanie/zriadenie bezpodielového spoluvlastníctva k cenným papierom
CD-47	Settlement/establishment of co-ownership of securities	Vysporiadanie/zriadenie podielového spoluvlastníctva k cenným papierom
CD-48	Use of software applications and use of hardware by CDCP members	Používanie APV a využívanie HW členmi CDCP
CD-49	Second and the following client accounts of a member or for holder's account of a member	Druhý a nasledujúce klientské účty člena alebo za držiteľský účet člena
CD-50	Granting the CDCP membership	Udelenie členstva v CDCP
CD-51	Granting the CDCP membership to a member who takes over the registration from a member that is being dissolved	Udelenie členstva v CDCP pre člena, ktorý preberá evidenciu po zanikajúcom členovi
CD-52	Training course on work with CDCP systems	Školenie na činnosť so systémami CDCP
CD-53	Installation of CDCP systems	Inštalácia systémov CDCP
CD-54	Service work on CDCP systems at client's office	Servisné práce na systémoch CDCP u klienta
CD-55	Administration of owner's account	Vedenie účtu majiteľa
CD-56	Opening an owner's account	Zriadenie účtu majiteľa
CD-57	Transfer of securities except for share certificates	Prevod CP okrem podielových listov
CD-58	Transfer of share certificates	Prevod podielových listov
CD-60	Semi-order to transfer securities in the module of securities registration	Polpríkaz na prevod CP v module evid. CP
CD-62	Placement of semi-order to transfer securities directly to the CDCP	Podanie polpríkazu na prevod CP priamo CDCP

CD-63	Clearing of stock exchange trade	Zúčtovanie burzového obchodu
CD-64	Clearing of OTC trade	Zúčtovanie mimoburzového obchodu
CD-65	Registering establishment of the disposal right in an owner's account	Zareg. vzniku PN na účte majiteľa
CD-66	Registering change in the disposal right in an owner's account	Zareg. zmeny PN na účte majiteľa
CD-67	Registering termination of the disposal right in an owner's account	Zareg. zániku PN na účte majiteľa
CD-68	Transition of securities	Prechod CP
CD-69	Registration of pledge	Registrácia ZaP
CD-70	Registration transfer as collateral	Registrácia ZabP
CD-71	Marking the 'for pledge' clause	Vyznačenie doložky „na založenie“
CD-72	Marking the 'change of lien clause	Vyznačenie doložky „zmena záložného práva“
CD-73	Marking the 'lien termination' clause	Vyznačenie doložky „zánik záložného práva“
CD-74	Marking a clause on a paper-form collective share	Vyznačenie doložky na listinnej hromadnej akcii
CD-75	Registering change of lien in the register of pledges pursuant to §46 of the Act	Zareg. zmeny ZaP v RZP podľa § 46 zák.
CD-76	Registering termination of lien in the register of pledges pursuant to §46 of the Act	Zareg. zániku ZaP v RZP podľa § 46 zák.
CD-77	Registering change of lien pursuant to §53a) of the Act	Zaregistrovanie zmeny ZaP podľa § 53a zák.
CD-78	Registering termination of lien pursuant to §53a) of the Act	Zareg. zániku ZaP podľa § 53a zák.
CD-79	Registering change of fiduciary transfer pursuant to §53 of the Act	Zaregistrovanie zmeny ZabP podľa § 53 zák.
CD-80	Registering termination of fiduciary transfer pursuant to §53 of the Act	Zareg. zániku ZabP podľa § 53 zák.
CD-81	Registering change of fiduciary transfer pursuant to §53c) of the Act	Zareg. zmeny ZabP podľa § 53c zák.
CD-82	Registering termination of fiduciary transfer pursuant to §53c) of the Act	Zareg. zániku ZabP podľa § 53c zák.
CD-83	Basic fee	Základný poplatok
CD-84	Request for correction in the registration pursuant to §108 of the Act	Požiadavka na opravu v evidencii podľa § 108 zák.
CD-85	Provision of information pursuant to §111 Sections (1) and (3) of the Act	Poskytnutie údajov v zmysle § 111 ods. (1) a (3) zák.
CD-86	Information services for persons specified in §110 of the Act	Informačné sl. pre osoby uvedené v § 110 zák.
CD-87	Submission of the registration of lien pursuant to §40c) Section (5) of the Act No 213/2006 (Coll.)	Odovzdanie evid. ZaP podľa § 40c ods. (5) zák. č. 213/2006 Z.z.
CD-88	Submission of the registration of fiduciary transfers pursuant to §40c) Section (5) of the Act No. 213/2006 (Coll.)	Odovzdanie evid. ZabP podľa § 40c ods. (5) zák. č. 213/2006 Z.z.
CD-89	Repeated submission of registration pursuant to §40c) Section (5) of the Act No. 213/2006 (Coll.)	Opakované odovzdanie evid. podľa § 40c ods. (5) zák. č. 213/2006 Z.z.
CD-90	Complaint of a natural person	Reklamácia fyzickej osoby
CD-91	Complaint of a legal entity	Reklamácia právnickej osoby
CD-92	Reprographic work	Reprografické práce
CD-93	Transcription of an archived document	Odpis archívneho dokumentu

CD-94	Extracts from an archived document	Výpisu z archívneho dokumentu
CD-95	Confirmation of data from an archived document	Potvrdenie o údajoch z archívneho dok.
CD-96	List of securities owners owning 5% and more of all issues of securities listed at the regulated market	Zoz.maj.CP 5% a viac všet.emisíí
CD-97	Price of list of owners of securities of a single securities issue listed at the regulated market, owning 5% or more of such issue	Zoz.maj.CP 5% a viac jednej emisie
CD-98	Opening of holder's account(s) of non-member	Zal.držiteľského účtu/účtov nečlena
CD-99	Annual fee for administration of holder's account of non-member	Roč.popl.za vedenie drž. účtu nečlena
CD-100	Transfer of Securities except for units of the unit trust at paper media	Prevod CP okrem PL na pap. médiu
CD-101	Transfer of units of the unit trust at paper media	Prevod PL na pap. médiu
CD-102	Semi-order for change in pledge right registered pursuant to § 53a par. 4 of the Act	Polpríkaz na zmenu ZP podľa §53a ods. (4) zák.
CD-103	Semi-order for cancellation of pledge right registered pursuant to §53a par. 4 of the Act	Polpríkaz na zánik ZP podľa §53a ods. (4) zák.
CD-104	Change of the list of shareholders identified with one NII	Zmena zoz. akcionárov indentif. jedným ČEM
CD-105	Concurrent change of the nominal value and of the number of units of book-entry securities, value of the issue is not changed	Zmena MH a súčasne zmena počtu zakn. CP, objem emisie sa nemení
CD-106	Reprographic work with certification of a document	Reprograf. práce s úrad. overením
CD-107	Termination of administration of the list of shareholders – issuer's notice of cancellation	Ukončenie ved. zozn. akc. LA výpoveďou emitenta
CD-108	Transfer of securities in Centrální depozitář cenných papírů, a.s.	Prevod CP v CDCP ČR
CD-109	Administration of the list of shareholders for one year	Vedenie zoznamu akcionárov za rok
CD-110	Administration of the list of shareholders for less than 6 months	Vedenie zoznamu akcionárov za menej ako 6 mesiacov

### Explanatory notes to Annex 2 (in basic form)

PL = share certificates

zakn. = book-entry

MACP = owner of securities

CP = a security

Reg. = register

Emit. = issuer

Zm. = change

LA = paper-form shares

Akcion. = shareholder

Dlhp. = bond

ZaV = clearing and settlement

Dok. = document

Evid. = registration

Zák. = the Act

MH = nominal value

Sl. = service

Zareg. = registration

PN = right to dispose of (disposal right)

ZI = registered capital

RZP = register of lienZaP = a lien

ZabP = fiduciary transfer

Osob. = special

APV = software applications

HW = hardware

LP = paper-form