

Nasdaq CSD SE

NASDAQ CSD PRICE LIST

REGISTRY FEES

LATVIAN SECURITIES SETTLEMENT SYSTEM

Effective Date: 01.05.2019

1. REGISTRY SERVICES

1.1 Registry services to issuers

1.1.1 Registration and corporate actions

1.1.1.1 Initial registration of securities issue

Service name	Unit	Price
Proceeding fee	Application	30 €
Express proceeding	Application	100 €

1.1.1.2 Execution of corporate actions other than tender offers / squeeze outs

Value of the corporate action	Unit	Price
Proceeding fee	Application	30 €
Transfer instruction fee ¹	Instruction per securities account	0.85 €
Fee for transfer of payments in USD	Transfer order through USD correspondent bank	30 €
Manual adjustment of income tax calculations ²	Application	30 €
Fee for CSD Paying agent service	Application	5 € + 0.0015% of the value of the payments to be executed

1.1.1.3 Registration of the change of securities characteristics³

Service name	Unit	Price
Proceeding fee	Application	30 €

1.1.1.4 Assigning an ISIN code without registration of the issue

Service name	Unit	Price
Proceeding fee	Application	30 €

1.1.2 Maintenance fee⁴

1.1.2.1 Shares and rights and other securities representing equities and rights

Market value of securities ⁵	Period	Price
Up to 80,000 €	Quarter	12 €
80,000 € - 700,000 €	Quarter	0.015%
700,000 € – 2,000,000 €	Quarter	105 € + 0.01% of the amount exceeding the market value of 700,000 €
More than 2,000,000 €	Quarter	235 € + 0.0045% of the amount exceeding the market value of 2 million €
Maximum rate	Quarter	500 €

¹ Transfer of securities (credit or debit) counts as one transfer per account, transfer of cash (debit or credit) counts as one transfer per account. One corporate action event can include several transfers per account (for example redemption consists of two transfers per account).

³ Based on issuer calculations.

³ E.g. change of type, category, nominal value or name of the issue and/or issuer.

⁴ The maintenance fee for securities shall be paid for maintenance of each securities issue designated with a different registry code.

⁵ The market value shall be calculated according to the rules set out in Appendix 1 to the price list.

1.1.2.2 Debt securities

1.1.2.2.1 Debt securities registered until 17.09.2017

Market value of securities ⁶	Period	Price
Maintenance fee	Month	35.57 € + 0.001% of the nominal value of the securities issue

1.1.2.2.2 Debt securities and other securities representing debt registered after 17.09.2017

Market value of securities ⁷	Period	Price
Up to 200,000 €	Month	10 €
200,000 € - 10,000,000 €	Month	10 € + 0.0015% of the market value of securities
10,000,000 € – 100,000,000 €	Month	160 € + 0.001% of the amount exceeding the market value of 10,000,000 €
More than 100,000,000 €	Month	1,060 € + 0.0005% of the amount exceeding the market value of 100 million €
Maximum rate	Month	1,560 €

1.1.2.3 Investment fund units

Market value of securities ⁸	Period	Price
Up to 2,000,000 €	Quarter	0.01%
2,000,000 – 10,000,000 €	Quarter	200 € + 0.003% of the amount exceeding the market value of 2 million €
More than 10,000,000 €	Quarter	440 € + 0.001% of the amount exceeding the market value of 10 million €
Minimum rate	Quarter	60 €
Maximum rate	Quarter	500 €

1.1.2.4 Initial Register

Market value of securities ⁹	Period	Price
Servicing fee for securities with portfolio value up to 25,000,000 € per account	Month	0.0040% of the market value of securities registered in the Initial register
Servicing fee for securities with portfolio value from 25,000,001 € up to 50,000,000 € per account	Month	1,000 € + 0.0039% of the market value exceeding 25,000,000 €
Servicing fee for securities with portfolio value from 50,000,001 € up to 100,000,000 € per account	Month	1,975 € + 0.0037% of the market value exceeding 50,000,000 €
Servicing fee for securities with portfolio value from 100,000,001 € up to 150,000,000 € per account	Month	3,825 € + 0.0035% of the market value exceeding 100,000,000 €
Servicing fee for securities with portfolio value from 150,000,001 € up to 200,000,000 € per account	Month	5,575 € + 0.0033% of the market value exceeding 150,000,000 €
Servicing fee for securities with portfolio value from 200,000,001 € up to 250,000,000 € per account	Month	7,225 € + 0.0031% of the market value exceeding 200,000,000 €
Servicing fee for securities with portfolio value from 250,000,001 € up to 300,000,000 € per account	Month	8,775 € + 0.0029% of the market value exceeding 250,000,000 €
Servicing fee for securities with portfolio value from 300,000,001 € up to 350,000,000 € per account	Month	10,225 € + 0.0027% of the market value exceeding 300,000,000 €
Servicing fee for securities with portfolio value from 350,000,001 € up to 400,000,000 € per account	Month	11,575 € + 0.0025% of the market value exceeding 350,000,000 €

⁶ The market value shall be calculated according to the rules set out in Appendix 1 to the price list.

⁷ The market value shall be calculated according to the rules set out in Appendix 1 to the price list.

⁸ The market value shall be calculated according to the rules set out in Appendix 1 to the price list.

⁹ The market value shall be calculated according to the rules set out in Appendix 1 to the price list.

Servicing fee for securities with portfolio value from 400,000,001 € up to 450,000,000 € per account	Month	12,825 € + 0.0023% of the market value exceeding 400,000,000 €
Servicing fee for securities with portfolio value from 450,000,001 € up to 500,000,000 € per account	Month	13,975 € + 0.0021% of the market value exceeding 450,000,000 €
Servicing fee for securities with portfolio value from 500,000,001 € up to 1 000,000,000 € per account	Month	15,025 € + 0.0019% of the market value exceeding 500,000,000 €
Servicing fee for securities with portfolio value over 1,000,000,000 € per account	Month	24,525 € + 0.0016% of the market value exceeding 1,000,000,000 €

1.1.3 Transfer fee

1.1.3.1 Pledge

Service name	Unit	Price
Registration and change of a pledge	Entry	6 €

1.1.3.2 Transfer of shares from minority shareholders to majority shareholder

Service name	Unit	Price
Application-processing fee	Application	0.25% of the total amount of monetary compensation payable to minority shareholders
Minimum rate	Application	300 €
Maximum rate	Application	1,900 €

1.2 Query fees

1.2.1 List of holders of securities

List	Unit	Price
Automated processing (via the Nasdaq CSD ESIS system)	List per ISIN	50 € +VAT
Manual processing	List per ISIN	75 € +VAT

1.2.2 Statement of register entries

Query	Unit/Period	Price
Balance statement of the Issue account	Security / account	11.76 € +VAT
Statement from the Initial Register, issued within one business day, in case the person requesting the statement has ownership in or is entitled to the securities ¹⁰	Security / account	2.36 € +VAT
Statement from the Initial Register to a legal entity for securities in its ownership	Security / account	7.06 € +VAT
Statement from the Initial Register for securities owned by a third party	Securities holder	5.88 € +VAT
Statement / certification not quoted in the Regulations or in a foreign language	Security / account	24.92 € +VAT

¹⁰ The service is free of charge to pensioners or in case the statement is issued within 5 business days

2. ADDITIONAL SERVICES

2.1 Special queries¹¹

Price range	Unit	Price
Minimum rate	Query	25 € +VAT
Maximum rate	Query	1,000 € +VAT

2.2 Consultation services

Service name	Unit	Price
Professional consultation	Hour	90 € +VAT
Training	Half day	200 € +VAT
Training	Full day	350 € +VAT

The Issuer, whose activities led to the determination of a contractual penalty or the use of an additional service fee as a result of which Nasdaq CSD incurred additional expenses, shall compensate for all such additional expenses.

¹¹ Dependent on complexity of replying to the query – by agreement with the customer. The minimum rate of the query fee shall apply if replying to the query does not require any data processing operations with significant complexity and the reply to the query does not exceed 4 000 rows.