

Conversion table of KDD Tariff

1. Services	2. ECSDA proposed sub-sections to ease completion conversion table	3. Reference to KDD Tariff (chapters)	4. Reference to KDD Tariff (articles)	5. Fees charged to (issuer, intermediary, investor, other)	6. Detailed service description with reference to KDD Tariff		
Account provision & Asset servicing	Opening and maintenance of securities accounts	5.1. Compensation for opening, maintaining and closing of accounts <u>maintained by registry</u>	25, 26, 27	Intermediary	Compensation for opening and closing of a <u>respective account</u>	26/1	
		6. Compensation for securities balance maintenance	29.a	Intermediary	Compensation for maintenance of a <u>respective account</u>	26/2	
		Closing of securities accounts	<i>See Opening and maintenance of securities accounts</i>				
	CSD membership	<i>See Other services</i>					
	Asset servicing dematerialised securities	2. Compensation for services performed by KDD for its <u>members</u>	8	Intermediary	Compensation for transfer of data on holders of all dematerialised registered securities through <u>internet services</u>	8	
		4.2. Compensation for services with respect to data transmission from the dematerialised registered securities registry through the issuer's protected web site	18, 19	Issuer	Compensation for daily transmission of data on status and on modifications of data on holders through the issuer's protected web site	18	
		13. Compensation for other KDD's services	51, 53	Issuer	Compensation for providing data on the amount of accrued interest and principal amount on any <u>respective day</u> for any bonds traded on the <u>organised market</u>	51/1	
		4.1. Compensation for basic services of dematerialised securities registry maintenance performed for <u>the issuer</u>	17	Issuer	Compensation for issue of receipts by bearer dematerialised securities	17	
		4.3. Compensation for excerpts from the dematerialised registered securities registry	Issuer	21, 22, 23, 24	Issuer	Excerpt of data on holders or persons entitled to revenues according to status on the <u>day determined</u>	21/1
			Other		Issuer	Excerpt of modifications of data on holders in the <u>period determined</u>	21/2
			Issuer, other		Other	Excerpt of data on all holders of a respective dematerialised registered security according to <u>status on the day determined</u>	22
					Issuer, other	Excerpt of data on 50 largest holders of a respective dematerialised registered security <u>according to status on the day determined</u>	23
		5.2. Compensation for excerpts on status of dematerialised securities accounts	Intermediary, other	28, 29	Intermediary, other	Compensation for excerpt on status of dematerialised securities accounts of a <u>respective holder on a respective day</u>	28/1
						Compensation for receipt of holding required to enforce benefits from international treaties for avoidance of double taxation (KIDO) for a respective holder and on a respective day	28/2
						Compensation for receipt on the contents of a respective third party right or a legal deed on a <u>respective day</u>	28/3
						Compensation for excerpt on modifications of status of dematerialised securities accounts of a respective holder in the period indicated	28/5
		13. Compensation for other KDD's services	52	Intermediary, other	Compensation for preparation of special excerpts	52/1	
	13. Compensation for other KDD's services	Issuer, other	52	Issuer, other	<u>Preparation of procedures for pay-out</u>	52/1	
					Interest, dividend and principal payments upon <u>issuer's instructions</u>	52/1	
					Preparation of notifications to beneficiaries from supplementary payments and to National tax <u>administration office (REK-1)</u>	52/1	
	7.2. Compensation for execution of orders and for other entries entered by KDD	Other	36, 37, 37. a, 37. b	Other	Preparation of reports for National tax <u>administration office</u>	52/1	
		Other		Other	Compensation for transfer of dematerialised securities on the basis of a final ruling on <u>succession</u>	36/1	
Issuer, investor			Other	Compensation for transfer of dematerialised securities on the basis of universal legal <u>succession of a legal person</u>	36/2		
Issuer			Issuer, investor	Compensation for services when transferring shares due to exclusion of minority shareholders	37. a		
			Issuer	Compensation for services when transferring shares due to merger of a public limited company into another public limited company	37. b		
Asset servicing physical/immobilised securities	11. Compensation for services of collective deposit of physical securities in custody	45, 46, 47	Intermediary	Compensation for services of collective deposit of physical securities in custody	45		
Proxy voting	<i>service not offered</i>						
Withholding tax services	<i>service not offered</i>						
Establishing securities in book-entry form	Issuance dematerialised securities	3. Compensation for services with respect to issue, cancellation or replacement of securities	11, 12, 12.a, 12. b	Issuer	Compensation for services with respect to issue of securities (except short-term securities)	11, 12	
					Compensation for services with respect to issue and cancellation of short-term securities	11, 12	
					Cancellation of securities without simultaneous replacement (except short-term securities)	11,12	
					<u>Cancellation of matured debt securities</u>	11,12	
					Cancellation of shares due to restructuring of an issuer into a limited liability company, merger of an issuer with a limited liability company or winding up of an issuer with no legal successor, without a concurrent replacement thereof	11, 12	
					Replacement of securities of the same issuer	11, 12	
					Replacement of shares for execution of merger or <u>division</u>	11, 12	
					Identification of holders of securities due to replacement of securities issued as physical <u>certificates</u>	12	
					Opening of a floating account for the issue and first transfer of securities, which are the object of issue, to the credit of the floating account	12. a/1	

					Any subsequent transfer of securities, which are the object of issue, to the credit of the floating account	12. a/1
					Opening of floating account for deletion	12. a/1
					Maintenance of a floating account	12. a/4
					Entry of modifications of data on short term securities	12. b/1
					Entry of modifications of data on debt securities (except short term securities)	12.b/1
					Entry of modifications of data on shares	12. b/1
	Redemption/cancellation dematerialised securities	see <i>Issuance dematerialized securities</i>				
	Deposit physical securities in book-entry form (immobilisation)	<i>service not offered</i>				
	Withdrawal physical securities from book-entry system	<i>service not offered</i>				
	Other	10. Compensation for services in procedures with respect to take-over bid pursuant to Zpre	43, 44	Investor	Services with respect to take-over (fixed compensation)	43/1
					Services with respect to take-over; monetary bid (variable compensation)	44/1
					Services with respect to take-over; other bid type (variable compensation)	44/1
		4.1. Compensation for basic services of dematerialised securities registry maintenance performed for the issuer	13, 14, 15, 16	Issuer	Services of dematerialised securities registry maintenance (shares)	14/2, 3
					Services of dematerialised securities registry maintenance (long term debt securities)	15/1
					Services of dematerialised securities registry maintenance (short term debt securities)	15/2
					Services of maintenance of registry of dematerialised investment coupons of mutual funds or other debt securities having no nominal value	15/5
Clearing and settlement (including verification)	Verification (matching)	<i>service not charged separately</i>				
	Settlement netting	<i>service not charged separately</i>				
	Clearing and settlement of OTC transactions DVP	12. Compensation for services of settlement of off-market transactions on delivery versus payment basis	48, 49, 50	Intermediary	Execution of order for settlement of off-market transaction on delivery versus payment basis	48
	Clearing and settlement of OTC transactions FOP	7.1. Compensation for execution of orders entered by the registry member	30, 31, 32, 33, 34	Intermediary	Execution of orders whose object are securities traded on the organised market	30/1/1, 32/1/1, 32/2
					Execution of orders whose object are securities not traded on the organised market	31, 32
	Clearing and settlement for Stock	9. Compensation for settlement services	40, 41, 42	Intermediary	Settlement of securities	40/2, 4
	Own account transfers	See <i>Clearing and settlement of OTC transactions FOP</i>			Settlement of purchasing price	40/3, 4
	Other	7.1. Compensation for execution of orders entered by the registry member	30, 31, 32, 33, 34	Intermediary	Execution of order for entry, deletion or realisation of a third party right on dematerialised securities (except pledge)	30/1/2, 31/1
		7.2. Compensation for execution of orders and for other entries entered by KDD	35, 37	Intermediary	Entry and deletion of holder's cancellation of authorisation for entry of orders	35
		9. Compensation for settlement services	40	Intermediary	Deletion of a nullified stock exchange transaction	40/5
Securities lending and borrowing	Fail related SLB	<i>service not offered</i>				
Credit provision	Credit provision	<i>service not offered</i>				
Collateral management	Collateral management (related to collateralisation of central bank liquidity and other)	7.1. Compensation for execution of orders entered by the registry member	30, 31, 33, 34	Intermediary	Execution of order for entry, deletion or realisation of a pledge on dematerialised securities traded on the organised market	30/1/2
				Intermediary	Execution of order for entry, deletion or realisation of a pledge on dematerialised securities not traded on the organised market	31/1/2
		5.2. Compensation for excerpts on status of dematerialised securities accounts	28,29	Intermediary, other	Excerpt of status of all pledges, entered in the central registry to the benefit of a respective pledgee on a respective day	28/4
	Management of guarantee funds	<i>Charged pursuant to Regulations of KDD on settlement of stock exchange transactions</i>		Intermediary	Administration costs for management of Guarantee fund	
Communication (not in the Code)	Technical communication set-up and maintenance	2.2. Compensation for services of enabling the use of information system of dematerialised securities accounts maintenance	5, 6, 9	Intermediary	Fixed part of membership compensation	6/2
		2.1. Access compensation	4	Intermediary	Access to the system of dematerialised securities accounts maintenance	4/1
		2.2. Compensation for services of enabling the use of information system of dematerialised securities	5, 6, 7, 8, 9	Intermediary	Installation of client application	6/3, 6/4
					Ensuring connection to the server managed by KDD	7
		2.3. Compensation for assigning a user name to member's users	10		Use of application »WS Klient«	8. a
				Allocation of a user names to member's users	10	
Other	Other services	4.2. Compensation for services with respect to data transmission from the dematerialised registered securities registry through the issuer's protected web site	20	Issuer	Training for issuer's users	20
		7. Compensation for services of entry and maintenance of personal data on holders	38, 39	Issuer, Intermediary, Investor, Other	Assignment of KID due to the first entry of data on a subject	38/1
					Assignment of KID due to modification of uniform identification	38/2
		12. Compensation for other KDD's services	52	Issuer, Intermediary, Investor, Other	Other services	52/1
					Photocopying	52/2
				Sending dunning letters or notifications	52/3	
				Mail delivery	52/3	