

**Nasdaq CSD SE**

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**NASDAQ CSD PRICE LIST**

**ISSUER FEES**

**LITHUANIAN SECURITIES SETTLEMENT SYSTEM**

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**Effective Date: 07.06.2023**

## 1. NOTARY SERVICES

### 1.1. Fees for registration and processing of corporate actions

#### 1.1.1. Registration and corporate actions<sup>1</sup>

##### 1.1.1.1. All securities other than government bonds

Service name	Unit	Price
Proceeding fee (within 5 working days)	Application	40 €
Express proceeding fee (within 1 working day for processing of corporate actions, 2 working days for initial registration)	Application	120 €
ISIN allocation fee without registration of the issue	Application	50 € + VAT
ISIN maintenance fee when issue is not registered <sup>2</sup>	Annual	100.20 € + VAT
Transfer instruction fee <sup>3</sup>	Instruction per account	0.85 €
Fee for CSD acting as Paying Agent	Application	0.0015% of the total value of payments to be executed

##### 1.1.1.2. Government bonds

Service name	Unit	Price
Issue initial registration fee <sup>4</sup>	Application	0.01% of par value
Maximum rate	Application	1,882.53 €
Minimum rate	Application	868.86 €
Coupon payment fee <sup>5</sup>	Per event	0.005% of total paid out amount
Early redemption fee	Per event	0.002% of total paid out amount

### 1.1.2. 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	7,900 €

### 1.1.3. Tax related information

Service name	Unit	Price
Manual adjustment of income tax calculations <sup>6</sup>	Application	40 € + VAT

<sup>1</sup> Involves the registration of changes in the data of the issuer and securities entered in the register, including change in the issued volume or nominal value, deletion of securities, merger, division and transformation.

<sup>2</sup> Not applicable for the year when ISIN is allocated.

<sup>3</sup> Securities and cash transfer instructions related to registration and corporate actions. 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).

<sup>4</sup> Issue registration fee covers issue registration, increase of the issue through the auctions of additional offers and final redemption of the issue.

<sup>5</sup> Not applied when coupon payment is done at final redemption.

<sup>6</sup> Applies in case there is a need to manually adjust tax calculation in relation to certain accounts (e.g. investment account).

## 1.2. Maintenance fees<sup>7</sup>

### 1.2.1. Shares in public and private limited companies, rights, funds and other securities representing equities and rights

Market value of securities <sup>8</sup>	Period	Price
Up to 100,000 €	Quarter	15 €
100,000 € - 700,000 €	Quarter	0.015% of the market value of securities
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	300 €

### 1.2.2. Corporate debt and other securities representing debt securities

Market value of securities	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 million €
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 €

#### 1.2.2.1. Commercial papers<sup>9,10,11</sup>

Service name	Unit	Price
Maintenance of a commercial paper / commercial paper programme including one tranche	ISIN / Programme of ISINs	1,300 €
Maintenance of each additional tranche included in a commercial paper programme	Tranche	300 €

## 1.3. Query fees

### 1.3.1. List of account managers<sup>12</sup>

List	Unit	Price
Manual processing	List per ISIN	12 € +VAT

<sup>7</sup> The maintenance fee for securities shall be paid for maintenance of each securities issue designated with a different ISIN code.

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

<sup>9</sup> A commercial paper is a corporate debt instrument with maximum maturity of up to one year from the date of issue.

<sup>10</sup> The fee shall be paid in advance until maturity.

<sup>11</sup> Subject to the preference of the issuer of commercial papers the fees for corporate debt and other securities representing debt securities according to clause 1.2.2 of the price list can be applied instead of the fee stated in clause 1.2.2.1.

<sup>12</sup> The list of account managers for the annual general meeting of shareholders shall be provided free of charge.

### 1.3.2. List of holders of securities including the information on Estonian, Latvian and Lithuanian securities holders

List	Unit	Price
Automated processing (via the Nasdaq CSD ESIS system)	List per ISIN	50 € +VAT
Manual processing	List per ISIN	100 € +VAT

### 1.3.3. List of holders of securities including the disclosure of the identity of all securities holders according to the requirements of the Shareholders Rights Directive 2<sup>13</sup>

List	Unit	Price
Automated processing (via the Nasdaq CSD ESIS system)	List per ISIN	100 € +VAT
Manual processing	List per ISIN	150 € +VAT
Each segregated nominee, nominee or omnibus account included in the query	Query per account	2 € +VAT

### 1.3.4. Analytics of holders of securities

Service name	Period	Price
Subscription for web-based Investor Analytics tool	Quarter <sup>14</sup>	137.5 € +VAT

## 2. ADDITIONAL SERVICES

### 2.1. Special queries<sup>15</sup>

Price range	Unit	Price
Minimum rate	Query	30 € +VAT
Maximum rate	Query	1,000 € +VAT

### 2.2. Consultation services

Service name	Unit	Price
Professional consultation	Hour	110 € +VAT
Training	Half day	240 € +VAT
Training	Full day	420 € +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.

<sup>13</sup> Directive 2017/828 of the European Parliament and of the Council of 17 May 2017 amending Directive 2007/36/EC as regards the encouragement of long-term shareholder engagement

<sup>14</sup> The minimum subscription period for the service shall be at least one year. The fee for the service shall be paid quarterly.

<sup>15</sup> Dependent on complexities 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.