OeKB CSD

Annex 3 to the GTC of OeKB CSD

Fees

All fees are in euro and net of value added tax.

Invoicing is made monthly in arrears unless otherwise specified.

Public / 01 April 2025

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1. Fees for Settlement of Instructions

1.1 Instructions for settlement between two securities accounts held with OeKB CSD (transaction type Intra[1] with instruction types RFP, DFP, RVP, DVP, RWP, DWP)

1.1.1 Fee per (partially) settled instruction for the settlement between two securities accounts of different account holders, which was not issued by a CCP for stock exchange clearing[2]

Total number of (partially) settled instructions per month		Fee for securities leg (in EUR)	Fee for forwarding/creating and passing of cash instructions for RVP, DVP, RWP, DWP as well as for PFOD and PFOR instructions in favour of a DCA maintained by a central bank (in EUR)	Fee for payments in foreign currencies on cash accounts with OeKB CSD (in EUR)
From	To			
0	8.350	1.75		
8.351	16.650	1.50		
16.651	25.000	1.25		
25.001	33.300	1.00	0.10	5.00
33.301		0.80		

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[1] Transaction type Intra includes instructions for the settlement between two securities accounts with OeKB CSD, even if one or both account holders are a CSD.

[2] Not included are realignments between CSDs (see section 1.1.4)

1.1.2   Fee per (partially) settled instruction for the settlement between a securities account of a CCP and a securities account of one of its clearing participants, which was issued by the CCP for stock exchange clearing

Fee for securities leg (in EUR)	Fee for forwarding the cash instruction for RVP, DVP, RWP, DWP as well as for PFOD and PFOR instructions in favour of a DCA maintained by a central bank (in EUR)	Fee for payments in foreign currencies on cash accounts with OeKB CSD (in EUR)
0.90	0.00	5.00

The fee for instructions issued in its own name has to be paid by the CCP. Fees for instructions issued by CCPs in the name of third parties have to be paid by the account holders (clearing participants).

1.1.3   Fee per settled instruction for the settlement between two securities accounts of the same account holder (only DFP, RFP instruction types)

Fee per instruction	EUR 0.85

1.1.4   Fee per settled instruction for the realignment between two accounts of CSDs

Fee per instruction	EUR 1.00

1.1.5   Fee per settled instruction within auto-collateralisation (Qualifier COLO and COLI)

Fee per instruction	EUR 1.00

1.1.6   Fee for modification of a submitted instruction

Change of Hold/Release indicator, partial settlement indicator, linkage, priorities	EUR 0.10

1.1.7   Fee per cancelled instruction

Per cancellation of instructions pursuant to 1.1.1 and 1.1.3	EUR 2.50

Per cancellation of instructions by CCPs pursuant to 1.1.2	EUR 0.90

1.1.8 Fee for recycling of unsettled instructions

Per day of delay, for party causing delay	EUR 1.50

1.2 Instructions for settlement between a securities account with OeKB CSD and a securities account with an OeKB CSD custodian in a security which is held by OeKB CSD as an Investor CSD with the custodian (transaction type Cross with instruction types RFP, DFP, RVP, DVP, RWP, DWP; transaction type External with instruction types RFP, DFP)

1.2.1 Fee per (partial-) settlement

Counterparty with securities account		Transaction Type	Fee for securities leg (in EUR)	Fee for forwarding the cash instruction for RVP, DVP, RWP, DWP as well as for PFOD and PFOR instructions in favour of a DCA maintained by a central bank (in EUR)
with one of the following Custodians of OeKB CSD	at the following IT platform of the Custodian			
Clearstream Banking Frankfurt	T2S	Cross	2.00	0.10
	Creation	External	4.00	-
	Creation für ISIN NL0012650360	Domestic delivery Crest	25.00	-
Euroclear Nederland	T2S	Cross	2.00	0.10
National Bank of Belgium	T2S	Cross	2.00	0.10
SIX SIS	T2S	Cross	2.00	0.10

1.2.2 Fee per cancelled instruction

Custodian	IT platform	Fee
Clearstream Banking Frankfurt	Creation	EUR 4.00
	All others	EUR 2.50

1.2.3 Fee for modification of a submitted instruction

Change of Hold/Release indicator, partial settlement indicator, linkage, priorities	EUR 0.10

1.2.4 Special third-party expenses

Special third-party expenses such as stamp duty, registration fees or fees for the transferral to a custodian's special securities accounts for the purpose of derecognition are passed on to the client.

1.3 Instructions for physical withdrawal of securities held with OeKB CSD as Issuer CSD

Fee per settled instruction for the physical withdrawal of a security from the vault of OeKB CSD	
Securities represented in global certificates or temporary global certificates	EUR 7.00 per category (ISIN)

Fees are plus expenses for shipment, insurance and registration.

1.4 Fee for manual processing of non-automatically processable instructions

Instructions for securities settlement via SWIFT MT 599, Fax etc.	EUR 150.00 per instruction in addition to other specified prices
Cash instructions via SWIFT MT 599, Fax etc.	EUR 15.00 per instruction

1.5 Fee for the provision of the Filebox

Flat fee	EUR 500.00 for each calendar year commenced

2. Administration of Securities Accounts

2.1 Fixed fees for securities accounts per month

Securities accounts without blocking the processing of instructions	EUR 55.00
Securities accounts with blocking the processing of instructions[3]	EUR 165.00
Securities accounts ending with 89 (blocking for corporate actions)	EUR 0.00

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[3] Securities accounts within the meaning of the GTC of OeKB CSD, section 3.2.1 (2) to (4).

2.2 Volume dependent fees for securities held with OeKB CSD as Issuer CSD

2.2.1 Rates per annum for unrestricted securities accounts in basis points, per securities account, per position

Sec. group	Type of sec.	Type of safe-keeping	Basis amount in EUR (from – to)								
			0–1,100,000	1,100,000–2,750,000	2,750,000–5,500,000	5,500,000–22,000,000	22,000,000–55,000,000	55,000,000–550,000,000	550,000,000–1,100,000,000	1,100,000,000–5,500,000,000	From 5,500,000,000
Shares	AK	GS	0.454	0.42	0.385	0.352	0.317	0.284	0.25	0.215	0.182
		ST	1.588	1.554	1.519	1.486	1.451	1.418	1.384	1.349	1.316
	AN	GS	0.454	0.42	0.385	0.352	0.317	0.284	0.25	0.215	0.182
		ST	1.588	1.554	1.519	1.486	1.451	1.418	1.384	1.349	1.316
Bonds	RK	GS	0.454	0.42	0.385	0.352	0.317	0.284	0.25	0.215	0.182
		ST	1.588	1.554	1.519	1.486	1.451	1.418	1.384	1.349	1.316
	RN	GS	0.51	0.477	0.442	0.408	0.374	0.34	0.307	0.272	0.238
		ST	1.644	1.611	1.576	1.542	1.508	1.474	1.441	1.406	1.372
Funds	FK	GS	0.113	0.09	0.08	0.068	0.057	0.045	0.034	0.023	0.012
		ST	1.247	1.224	1.214	1.202	1.191	1.179	1.168	1.157	1.146

2.2.2   Rates per annum for securities accounts with blocking (according to sec 3.2.1 GTC) and securities accounts ending with 89 in basis points, per securities account, per position

Sec. group	Type of sec.	Type of safe-keeping	Basis amount in EUR (from – to)								
			0-1,100,000	1,100,000 – 2,750,000	2,750,000 – 5,500,000	5,500,000 – 22,000,000	22,000,000 – 55,000,000	55,000,000 – 550,000,000	550,000,000 – 1,100,000,000	1,100,000,000 – 5,500,000,000	From 5,500,000,000
Shares	AK	GS	1.588	1.554	1.519	1.486	1.451	1.418	1.384	1.349	1.316
		ST	2.722	2.688	2.653	2.62	2.585	2.552	2.518	2.483	2.45
	AN	GS	1.588	1.554	1.519	1.486	1.451	1.418	1.384	1.349	1.316
		ST	2.722	2.688	2.653	2.62	2.585	2.552	2.518	2.483	2.45
Bonds	RK	GS	1.588	1.554	1.519	1.486	1.451	1.418	1.384	1.349	1.316
		ST	2.722	2.688	2.653	2.62	2.585	2.552	2.518	2.483	2.45
	RN	GS	1.644	1.611	1.576	1.542	1.508	1.474	1.441	1.406	1.372
		ST	2.778	2.745	2.71	2.676	2.642	2.608	2.575	2.54	2.506
Funds	FK	GS	1.247	1.224	1.214	1.202	1.191	1.179	1.168	1.157	1.146
		ST	2.381	2.358	2.348	2.336	2.325	2.313	2.302	2.291	2.28

2.2.3 Application of fees per securities group

The rate applied for the fees of a securities group is dependent on the sum of all basis amounts in euro in this securities group per end of month (regardless of the type of securities account or the type of custody).

Sum of all basis amounts (in euro) in a securities group	Weighting			Rate
	0 – 44,000,000,000	44,000,000,000 – 77,000,000,000	Over 77,000,000,000	
0 – 44,000,000,000	1	n.a.	n.a.	1 (result of weighting)
44,000,000,000 – 77,000,000,000	1	0.85	n.a.	result of weighting
From 77,000,000,000	1	0.85	0.70	result of weighting

2.3 Volume dependent fees for securities held with a foreign custodian of OeKB CSD as Investor CSD

2.3.1 Rate per annum for unrestricted securities accounts in basis points

Held with OeKB CSD via		Type of security	Rate		
Custodian	IT platform of custodian				
Clearstream Banking Frankfurt	T2S	Securities with a nominal value with ISO country code DE or EU	0.691 of nominal value	fees for special funds	plus from Clearstream possible allocated
		Securities with a nominal value with other ISO country code	2.50 of nominal value		
		Equities and the like with ISO country code DE	0.54 of market value		
		Equities and the like with other ISO country code	3.00 of market value		
		DE000A0S9GB0 Dt. Börse XETRA-Gold	35.00 of market value		
	Creation	Category A	3.50 of market resp. nominal value	DR-fees	
		Category B	4.50 of market resp. nominal value		
		Category C	7.00 of market resp. nominal value		
		Category D	11.00 of market resp. nominal value		
		Category E	19.00 of market resp. nominal value		
		Category F	30.00 of market resp. nominal value		
		Category G	42.00 of market resp. nominal value		
		Category H	48.00 of market resp. nominal value		
		Category I	100.00 of market resp. nominal value		
Euroclear Nederland	T2S	Securities with a nominal value	0.691 of market value		
		Equities and the like	1.30 of market value		
National Bank of Belgium	T2S	EU-Bonds	0.486 of nominal value		
SIX SIS	T2S	Securities with a nominal value	1.70 of nominal value		
		Equities and the like	3.00 of market value		
		Other securities	to be agreed upon; third-party charges applied to OeKB CSD will be passed on		

2.3.2 Rate per annum for securities accounts with blocking (according to sec 3.2.1 GTC) and securities accounts ending with 89 in basis points (bp) resp. EUR

Securities held under global custody	5.00 bp of price, min. EUR 0.125 per month per category (ISIN)
Securities held in fiduciary collective custody	27.50 bp of price, min. EUR 0.125 per month per category (ISIN)

2.3.3 Explanation of volume dependent fees for securities held at Clearstream Banking Frankfurt / System Creation by OeKB CSD as Investor CSD

Category	Issuing countries
A	Australia (bonds), Belgium, Denmark (bonds), Germany, France, Great Britain, Hong Kong (bonds, funds), International, Ireland, Italy, Japan (bonds), Canada, Luxembourg, Malta, The Netherlands, New Zealand (bonds), South Africa, Spain, Sweden (bonds), Switzerland, USA
B	Denmark (equities), Japan (equities), Sweden (equities)
C	Finland, Norway, Portugal
D	Australia (equities), Brazil, Bulgaria, Estonia, Hong Kong (equities), Greece (bonds), Lithuania, Philippines, Romania, Singapore, South Korea (bonds), Cyprus (bonds)
E	Dubai, Island, Indonesia, Israel, Latvia, New Zealand (equities), Russia (bonds), Slovenia, Czech Republic, Thailand (bonds), Turkey, Hungary, Uruguay
F	Argentina, China, Malaysia, Mexico, Russia (equities), Slovak Republic, South Korea (equities), Thailand (equities), Turkey (equities)
G	Poland
H	Cyprus (equities), Greece (equities)
I	Croatia

2.3.4 Fixed fee for securities quoted in units without market price held with a foreign custodian of OeKB CSD as Investor CSD

Fixed fee per position	EUR 15.00 per month

2.4 Explanation of volume dependent fees for securities

2.4.1 Type of security (Sec.Type) – EFIC product category segmentation

	Description	Quoted in/by	Sec.Type
Shares and equity-type values	1000 Shares and equity-type values 3000 Warrants 6000 Ancillary rights (exempt from fees) 6100 Profit-sharing rights/certificates	nominal	AN
	6500 Units 9300 GmbH (Company with Limited Liability) shares 9400 KG (Limited Partnership) shares 9500 Cooperative shares	units	AK
Bonds and bond-type values	2000 Bonds and bond-type values 2800 Bonds with certificate-type structure	nominal	RN
	4000 Certificates (secured derivatives and the likes) 8000 Programme 9600 Other registered debt securities	units	RK
Funds	5000 Funds	units	FK

2.4.2 Type of safekeeping

— GS: Collective Clearing Custody pursuant to OeKB CSD's GTCs

— ST: Individual Custody Accounts pursuant to OeKB CSD's GTCs

2.4.3 Basis amount in euro

— The basis amount is calculated on a daily basis as follows

  – In the case of securities quoted in units (AK, RK, FK):

    – The most recent available price, insofar as the last available price is not more than 500 days old

    – If the last available price is more than 500 days old

      – for AK: par value per unit or computed par value (total value of issue / number of units issued)

      – for RK: issue price

    – If neither par value per unit, computed par value nor issue price is available, an annual securities account fee of EUR 0.0015 per unit will be charged.

  – In the case of securities quoted by nominal value (AN, RN) the basis amount in euro corresponds to the nominal value of the securities account position in EUR. Pool factors

    – will be considered when securities are held by OeKB CSD as Issuer CSD

- will not be considered when securities are held by OeKB CSD as Investor CSD with a custodian.
- Rates for safekeeping fees are applied on the monthly average basis amount.

2.5 Fee per instruction to intra-position movement

Blocking, Reservation, Earmarking	EUR 0.20

2.6 Fee for statements of account

via SWIFT (MT 535), max. 1 time a day	EUR 0.00
via Settlement Client download as .pdf	EUR 0.00
Other electronic formats	EUR 50.00

2.7 Fee for transaction reports

via SWIFT (MT 536), max. 1 time a day	EUR 0.00

2.8 Fee for U2A Queries, A2A Queries and A2A Reports from T2S which are requested or received directly from T2S by DCPs

Fee corresponds to the fee charged by Eurosystem as the operator of the IT platform T2S of OeKB CSD.[4]

2.9 Fee for research

per enquiry and/or ISIN	EUR 10.00
for enquiries from customers that require extensive research	EUR 150.00 per working hour

2.10 Fee for copies of records (accounts and/or securities accounts) on the occasion of the audit of the annual financial statements or other deadlines for submission to the auditor

Processing fee for electronic mailing	EUR 200.00

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[4] Please refer to https://www.ecb.europa.eu/paym/t2s/pricing/list/html/index.en.html

Processing fee for postal delivery	EUR 300.00

2.11   Fee for copies of invoices and receipts

per page (physical or electronic form)	EUR 5.00

2.12   Fee for confirmation of holdings for investment companies, investment trusts, custodian banks etc.

Customer holdings reports which are checked and confirmed by OeKB CSD then forwarded to an investment company, investment trust or custodian bank.	EUR 25.00 per holdings report
Holdings reports which are generated and confirmed by OeKB CSD then forwarded to an investment company, investment trust or custodian bank.	EUR 20.00 per holdings report

2.13   Fee for manual processing of instructions/information

Processing of instructions submitted via Fax Form (Annex 23) not to redeem matured values, which are held by OeKB CSD itself.	EUR 300.00 per instruction
Processing of information submitted via Fax Form (Annex 23) to redeem matured values, which are held by OeKB CSD itself without deduction of Austrian withholding tax.	EUR 300.00 per information
Processing of instructions for corporate actions submitted via Fax Form (Annex 23) or via other formats that cannot be processed automatically, including instructions via SWIFT, which require manual processing due to incorrect filling.	EUR 300.00 per instruction

3.   Distribution Account

The provision of a Distribution Account is free of charge.

4. Asset Servicing

4.1 Fee for securities purchase/sale

Bonds and investment certificates	0.4% of price	
Equities, warrants and profit-sharing certificates	0.7% of price	plus third party charges
Subscription rights	0.7% of price	

4.2 Corporate actions and income (inclusive avoidance of withholding tax)

Services are free of charge with exception of:

Exercise of rights	0.7% of price, min. EUR 10.00 max. 1,500.00 per purchase	
Exercise of warrants	EUR 11.00 per exercise	
Settlement of paying off-offers (takeover, repurchases, odd lot)	EUR 7.00 per instruction	
Request/issuing/forwarding of non-Austrian tax forms	EUR 10.00 per ISIN and event	plus third party charges
Issuing of Austrian tax forms	EUR 50.00 per ISIN and event	
For clients with status non-QI and QI2 in case of incorrect allocation to the respective DBA-securities account	EUR 100.00 per event	

5.   Administration of Cash Accounts

Total no. of cash accounts	Flat fee per month
Up to 10 cash accounts	EUR 170.00
11 to 20 cash accounts	EUR 660.00
Over 20 cash accounts	EUR 1,100.00

6. Notary & Safekeeping

6.1 Delivery of securities into OeKB CSD vault and/or instructions for increase/decrease of a certificate (transaction type Change Quantity)

This fee must be paid by the holder of the Transfer Agent function.

	Total number of increases / decreases per month		Fee per settled instruction (in EUR)
• Creation of a Digital Global Certificate pursuant to GTC section 2.1.4 • Delivery of physical securities certificates representing shares physically at the Securities Counter of OeKB CSD or by post	EUR 0.00		
Delivery of physical securities certificates (except shares) at the securities counter of OeKB CSD or by post	EUR 500.00		
Instruction for increase / decrease of changeable global certificates and temporary global certificates (IGC/DGC) (Change Quantity)	**From**	**To**	
	0	500	5.00
	501	1,500	2.50
	1,501		0.50

6.2 Vault Management of securities certificates with a quantity of 0

This fee must be paid by the holder of the Transfer Agent function.

per PGC	EUR 10.00 per month
per DGC	EUR 0.50 per month

6.3 Commission for income collection

This fee applies for holder of the function Paying Agent.

Per case	EUR 15.00

6.4 Fee for certification as to non-US beneficial ownership

This fee applies for the issuer or the holder of the function Transfer Agent.

per issue of securities	EUR 750.00

6.5 MERCUR[5]

Electronical delivery - annual subscription price	EUR 260.00 per year in advance

6.6 Extraordinary support for the planning of issue of securities, corporate actions or the like

fee	EUR 150.00 per working hour

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[5] MERCUR is an Austrian gazette of called securities according to the Act on the Invalidation ("Kraftloserklärungsgesetz").

7. Connection to and communication with the IT systems of OeKB CSD

7.1 2-Factor-Authentication Online Service Clients

For 2-factor authentication of Online Service Clients with high security requirements a RSA SecurID Key Fob or a SMS Token is required per user.

User	Fee per user per month (in EUR)	
	Using RSA SecurID Key Fob	Using SMS Token
First and second user	0.00	0.00
Any further user	40.00	25.00
	Fee will be charged until RSA SecurID Key Fob has been returned to OeKB CSD	

7.2 Communication via SWIFT network

For communication with OeKB CSD via SWIFT network (inbound and outbound messages) the following infrastructure fee is charged:

	Number of SWIFT messages per month		Fee per message (in EUR)
	From	To	
Unit I	0	10,000	0.13
Unit II	10,001	20,000	0.11
Unit III	20,001	30,000	0.05
Unit IV	30,001	50,000	0.04
Unit V	50,001	unlimited	0.02

Additionally, a monthly fixed fee of EUR 290.00 is charged.

SWIFT communication fee is charged directly by SWIFT within the scope of reverse charge procedure. The minimum fee charged by SWIFT corresponds to SWIFT Global Tier 10 (GT 10).

7.3   Fee for support of guided tests/simulations:

tests/simulations requested by the client	EUR 150.00 per working hour

8. Mapping and routing of account statements to DCAs

per mapped/routed account statement	EUR 3.00

9. Settlement Discipline Regime (SDR)

9.1 Ongoing SDR fee

monthly per T2S Party BIC	EUR 55.58

9.2 Amortisation of implementation costs of the sanctioning mechanism (Art 18 Delegated Regulation 2018/1229)

Projection of project costs as of 01.12.2021 and based on the current participants in the SSS (see Annex 16). The accounting will take place over 4 years.

monthly per T2S Party BIC	EUR 78.13

10. Examples

10.1   Fees for Settlement of Instructions (see section 1)

The examples listed are based on the following assumptions:

— Bank X: Securities account holder at OeKB CSD

— Bank Y: Securities account holder at OeKB CSD

— CSD: Securities account holder at OeKB CSD and Custodian of OeKB CSD (OeKB CSD as Investor CSD)

— Security AT123: Security held in OeKB CSD's vault (OeKB CSD as Issuer CSD)

— Security XX123: Security held by OeKB CSD via Custodian CSD (OeKB CSD as Investor CSD)

— Bank A: Securities account holder at CSD

Example 1, transaction type Intra, DVP/RVP

Fee for delivery against payment of security AT123 from Bank X to Bank Y; if in the respective month not more than 8,350 instructions have been settled for either Bank X or Y.

Bank X (EUR): 1.85 (1.75 + 0.10) (see section 1.1.1)
Bank Y (EUR): 1.85 (1.75 + 0.10) (see section 1.1.1)
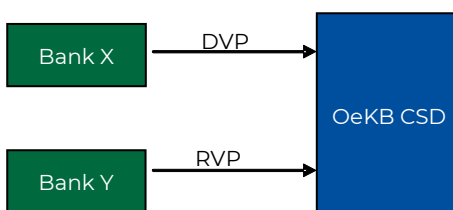
Example 2, transaction type Intra, DFP/RFP

Fee for delivery free of payment of security XX123 from Bank X to Bank Y; if in the respective month not more than 8,350 instructions have been settled for either Bank X or Y. The instruction of Bank X was sent in Hold Status. Bank X sends a release instruction before the Intended Settlement Date.

Bank X (EUR): 1.75 (see section 1.1.1) + 0.10 (see section 1.1.6)
Bank Y (EUR): 1.75 (see section 1.1.1)

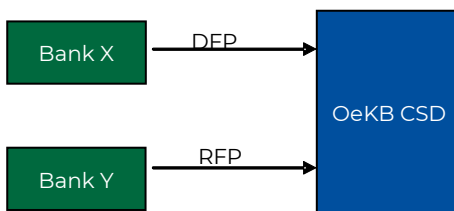Explanation: In case both counterparties are securities account holders of OeKB CSD, a fee of EUR 1.75 is charged even if the security is held with a Custodian.

Example 3, transaction type Intra, DFP/RFP

Fee for delivery free of payment of security XX123 from one securities account of Bank X to another securities account of Bank X

Bank X (EUR): 0.85 (see section 1.1.3)

Example 4, transaction type Intra, DVP/RVP

Fee for delivery against payment of security AT123 from Bank X to CSD; with final beneficiary Bank A; if in the respective month not more than 8,350 instructions have been settled for either Bank X or CSD.

Bank X (EUR): 1.85 (1.75 + 0.10) (see section 1.1.1)
CSD (EUR): 1.85 (1.75 + 0.10) (see section 1.1.1)
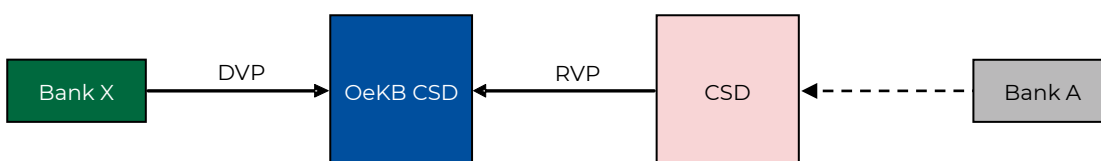
Explanation: Also in this case both counterparties are securities account holders with OeKB CSD. It is irrelevant whether there is a final beneficiary behind the counterparty (CSD). Transaction type Intra applies for instructions for the settlement between two securities accounts with OeKB CSD, even if one or both account holders are a CSD.
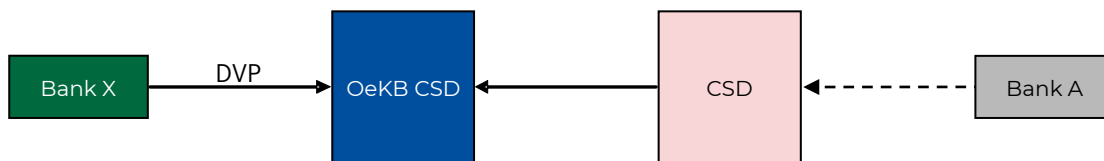
Example 5, transaction type Cross, DVP

Fee for delivery against payment of security XX123 from Bank X to CSD with final beneficiary Bank A

Fees for Bank X depends on the respective CSD; concrete examples (see section 1.2.1):

— CSD = Euroclear Nederland (IT platform T2S) (EUR): 2.10 (2.00 + 0.10) ← transaction type Cross

Example 6, transaction type External, DFP

Fee for delivery free of payment of security XX123 from Bank X to CSD with a securities account holder in the local market (of security XX123), whereby the final beneficiary is not receiving the security XX123 directly on a securities account held with the Custodian CSD.

Fees for Bank X depends on the respective CSD and the local market; concrete examples (see section 1.2.1, second table):

— CSD = Clearstream Banking Luxembourg, local market = Sweden: EUR 44.00
— CSD = Clearstream Banking Luxembourg, local market = China: EUR 70.00

Example 7, Fee for processing of delay due to lack of Cash/Security

Delivery against payment of security XX123 from Bank X to Bank Y

— Intended Settlement Date is June 05th, 2017
— Instruction from Bank X is done on June 02nd, 2017 in Hold Status
— Instruction from Bank X is done on June 05th, 2017 in Release Status
— Matching of Instructions is done on June 05th, 2017
— Bank X sends a release on June 06th, 2017 for the original instruction.
— On June 06th, 2017 and June 07th, 2017 the transaction cannot be settled due to lack of cash of Bank Y

Fee per day of delay (see section 1.1.8)

Bank X (EUR): 1.50 due to Hold Status on June 05th, 2017

Bank Y (EUR): 3.00 (2*1.50) due to lack of cash on June 06th, 2017 and June 07th, 2017

Example 8

Assumptions:

Number of settled instructions p.m. with counterparty having a securities account with OeKB CSD (examples 1, 2 and 4):

— free of payment: 10,000
— versus payment: 17,000

Calculation:

Fee per (partially) settled instruction for the settlement between two securities accounts of different account holders, which was not issued by a CCP for stock exchange clearing (see section 1.1.1).

Both instructions, free of payment and versus payment are considered to calculate the fee within the sliding scale: a) and b) 10,000 + 17,000 = 27,000.

From	To	Number (Bank X)	Fee for securities leg per instruction (in EUR)	Aggregated Fee for securities leg (in EUR)
0	8,350	8,350	1.75	14,612.50
8,351	16,650	8,300	1.50	12,450.00
16,651	25,000	8,350	1.25	10,437.50
25,001	33,300	2,000	1.00	2,000.00
33,301		0	0.80	
Total		**27,000**		**39,500.00**

17,000 instructions versus payment have been settled (on the securities account held with OeKB CSD): 17,000 * EUR 0.1 = EUR 1,700.

10.2 Administration of Securities Accounts (See section 2)

10.2.1 Volume dependent fees for securities held with OeKB CSD as Issuer CSD (see section 2.2)

Example 9

Bank X maintains 3 securities accounts with OeKB CSD

— OCSD111100 (unrestricted securities account)

— OCSD222200 (unrestricted securities account)

— OCSD333300 (securities account with blocking (according to sec 3.2.1 GTC))

The securities accounts show the following balances during June 2017:

Sec. Account	ISIN	Type of Sec.	Type of Safekeeping	From	To	Nominal Value in EUR	Units	Price/Unit	Price in EUR
				End of Day Holdings					
	AT1111111111	Bonds Nominal V. (RN)	Collective Clearing Custody (GS)	01 June 2017	15 June 2017	80,000,000			
		Bonds Nominal V. (RN)	Collective Clearing Custody (GS)	16 June 2017	30 June 2017	50,000,000			
	AT2222222222	Bonds Nominal V. (RN)	Collective Clearing Custody (GS)	01 June 2017	30 June 2017	100,000			
OCSD111100	AT3333333333	Bonds Nominal V. (RN)	Collective Clearing Custody (GS)	01 June 2017	10 June 2017	3,000,000,000			
		Shares Market V. (AK)	Collective Clearing Custody (GS)	01 June 2017	05 June 2017		1,000	50	50,000.00
	AT9999999999	Shares Market V. (AK)	Collective Clearing Custody (GS)	06 June 2017	10 June 2017		1,000	52	52,000.00
		Shares Market V. (AK)	Collective Clearing Custody (GS)	11 June 2017	30 June 2017		2,000	52	104,000.00
Sec. Account	**ISIN**	**Type of Sec.**		**From**	**To**	**Nominal Value in EUR**	**Units**	**Price/Unit**	**Price in EUR**
OCSD222200	AT1111111111	Bonds Nominal V. (RN)	Collective Clearing Custody (GS)	04 June 2017	30 June 2017	5,000,000,000			
Sec. Account	**ISIN**	**Type of Sec.**		**From**	**To**	**Nominal Value in EUR**	**Units**	**Price/Unit**	**Price in EUR**
OCSD333300	AT7777777777	Funds (FK)	Individual Custody (ST)	01 June 2017	30 June 2017		1,000	101	101,000.00

Calculation of the monthly average amount of the Euro basis amount:

Sec. Account	ISIN	Type of Sec.	Type of Safekeeping	Calculation of average basis amount	Basis Amount in EUR
OCSD111100	AT1111111111	Bonds Nominal V. (RN)	Collective Clearing Custody (GS)	[(80,000,000 * 15) + (50,000,000 * 15)] / 30	65,000,000
	AT2222222222	Bonds Nominal V. (RN)	Collective Clearing Custody (GS)	(100,000 * 30) / 30	100,000
	AT3333333333	Bonds Nominal V. (RN)	Collective Clearing Custody (GS)	(3,000,000,000 * 10) / 30	1,000,000,000
	AT9999999999	Shares Market V. (AK)	Collective Clearing Custody (GS)	[(50,000 * 5) + (52,000 * 5) + (104,000 * 20)] / 30	86,333.33
Sec. Account	ISIN	Type of Sec.		Calculation of average basis amount	Basis Amount in EUR
OCSD222200	AT1111111111	Bonds Nominal V. (RN)	Collective Clearing Custody (GS)	(5,000,000,000 * 27) / 30	4,500,000,000
Sec. Account	ISIN	Type of Sec.		Calculation of average basis amount	Basis Amount in EUR
OCSD333300	AT7777777777	Funds (FK)	Individual Custody (ST)	(101,000 * 30) / 30	101,000

Calculation of the monthly safekeeping fee:

Sec. Account	ISIN	Type of Sec.		Basis Amount in EUR	Fee according to Fee Schedule	Calculation Safekeeping Fee	Safekeeping Fee p.m. in EUR
OCSD111100	AT1111111111	Bonds Nominal V. (RN)	GS	65,000,000	2.2.1 RN GS	[(1.100.000 * 0,510) + (1.650.000 * 0,477) + (2.750.000 * 0,442) + (16.500.000 * 0,408) + (33.000.000 * 0,374) + (10.000.000 * 0,340)] / 10000 / 12	208.65
	AT2222222222	Bonds Nominal V. (RN)	GS	100,000	2.2.1 RN GS	(100.000 * 0,510) /10000 / 12	0.43
	AT3333333333	Bonds Nominal V. (RN)	GS	1,000,000,000	2.2.1 RN GS	[(1.100.000 * 0,510) + (1.650.000 * 0,477) + (2.750.000 * 0,442) + (16.500.000 * 0,408) + (33.000.000 * 0,374) + (495.000.000 * 0,340) + (450.000.000 * 0,307)] / 10000 / 12	2,734.06
	AT9999999999	Shares Market V. (AK)	GS	86,333.33	2.2.1 AK GS	(86.333,33 * 0,454) / 10000 /12	0.33

Sec. Account	ISIN	Type of Sec.		Basis Amount in EUR	Fee according to Fee Schedule	Calculation Safekeeping Fee	Safekeeping Fee p.m. in EUR
OCSD222200	AT1111111111	Bonds Nominal V. (RN)	GS	4,500,000,000	2.2.1 RN GS	[(1.100.000 * 0,510) + (1.650.000 * 0,477) + (2.750.000 * 0,442) + (16.500.000 * 0,408) + (33.000.000 * 0,374) + (495.000.000 * 0,340) + (550.000.000 * 0,307) + (3.400.000.000 * 0,272)] / 10000 / 12	10,696.56

Sec. Account	ISIN	Type of Sec.		Basis Amount in EUR	Fee according to Fee Schedule	Calculation Safekeeping Fee	Safekeeping Fee p.m. in EUR
OCSD333330	AT7777777777	Funds (FK)	ST	101,000	2.2.2 FK ST	(101.000 * 2,381) / 10000 / 12	2.00

Example 10

— Type of security: AK

— Basis amount in EUR (market value in EUR): 37,000,000,000.00

— Type of security: AN

— Basis amount in EUR (nominal value in EUR): 15,000,500,000.00

Calculation:

— Sum of all basis amounts in EUR in the securities group Shares:
37,000,000,000.00 + 15,000,500,000.00 = 52,000,500,000.00

— Result of weighting:
(44,000,000,000.00 * 1) + (8,000,500,000.00 * 0.85) = 50,800,425,000.00 / 52,000,500,000.00 = 0.9769

Sum of all basis amounts (in EUR) per securities group 52,000,500,000.00	Weighting			Rate
	0 – 44,000,000,000	44,000,000,000 – 77,000,000,000	Over 77,000,000,000.00	
44,000,000,000 – 77,000,000,000	44,000,000,000.00 * 1	8,000,500,000.00 * 0.85	n/a.	Result of weighting 0.9769

10.2.2 Volume dependent fees for securities held with a foreign custodian of OeKB CSD as Investor CSD (see section 2.3)

Example 11

— Foreign custodian: Clearstream Banking Frankfurt / Creation

— ISIN: AU000000BSG0

— Share

— Issuing country: Australia

— Position: 6,500 Units

— Rate in EUR: 1.64

— Rate and positions remained unchanged during the accounting period

Calculation (see section 2.3.1 and 2.3.3):

Fee (EUR) p.a.   = (market value in EUR) * (rate CBF category D BP)/10000 =
          = (6,500 * 1.64) * 11 /10000 = 11.726

Fee (EUR) p.m.   = Fee p.a. / 12 =
          = 11.726 / 12 = 0.977

Example 12

— Foreign custodian: Euroclear Nederland

— ISIN: NL0003563357

— Bond

— Position: EUR 30,000.00 nominal value

— Position remained unchanged during the accounting period

Calculation (see section 2.3.1):

Fee (EUR) p.a.   = Nominal value * (rate Euroclear Nederland (nominal value) BP)/10000 =
          = 30,000 * 0.691 /10000 = 2.4073

Fee (EUR) p.m.   = Fee p.a. / 12 =
          = 2.07 / 12 = 0.17

10.3 Connection to and communication with the IT systems of OeKB CSD (see section 7)

10.3.1 Communication via SWIFT network

Example 13

Account Holder Bank X

— sends 8,000 SWIFT messages to OeKB CSD

— receives 10,000 SWIFT messages from OeKB CSD

Calculation (see section 7.2):

Sum of inbound/outbound SWIFT messages: 8,000 + 10,000 = 18,000

Fee for messages: (10,000 * EUR 0.13) + (8,000 * EUR 0.11) = EUR 2,180.00

Additional monthly fix fee: EUR 290.00